



Department of Early Education and Care

Financial Assistance Policy Guide



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(Effective Date: 12/3/2007)

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Glossary of Terms

CCR&R	Child Care Resource and Referral Agency
CPC	Community Partnerships for Children Program
DCF	Department of Children and Families
DTA	Department of Transitional Assistance
EEC	Department of Early Education and Care
ESL	English as a Second Language
GED	General Educational Development Diploma
HAP	Housing Assistance Program
IRS	Internal Revenue Service
NTCC	Non-Traditional Hours Child Care
SMI	State Median Income
SSDI	Social Security Disability Insurance
SSI	Supplemental Security Income
TAFDC	Transitional Aid to Families with Dependent Children
TLP	Teen Living Program
TPCC	Teen Parent Child Care
YPP	Young Parents Program

Note: “Early education and care programs” referred to in this policy guide include early education and school age or out-of-school-time programs.

EEC Financial Assistance Policy Guide – Amendment Log

EMB/Policy#	New/Revised Policy	Section Amended	Effective Date
FY 2010-02	<p>Self-Reporting Requirements: Clarifies and revises the specific circumstances triggering self-reporting requirements for families receiving child care assistance in the Commonwealth by establishing 6 specific circumstances triggering self-reporting requirements for continued eligibility for child care assistance. This policy update changes current practice by limiting self-reporting income changes to only "significant" changes of 20% or more.</p>	Replaces Section 3.6 of the Guide	12/23/2009
FY 2010-03	<p>Disability/Special Need Forms: Clarifies and revises policies for verifying disabilities/special needs for families seeking child care assistance by creating separate forms for children and parents/guardians in recognition of the differing needs of parents and children reporting disabilities/special needs for purposes of establishing priority access for child care assistance.</p>	Replaces Appendix C of the Guide	4/2/2010
FY 2010-03	<p>Citizenship, Residency and Identity: Updates financial assistance policy guide for purposes of verifying the citizenship or immigration status of children receiving subsidized child care in the Commonwealth. Additionally, revises and clarifies policies related to verification of residency and identity.</p>	Replaces Sections 3.2 and 3.4 of the Guide	4/2/2010
FY 2010-03	<p>Adding Travel Time to Service Need: Clarifies policy for adding transportation for purposes of determining parent/guardian's part-time or full-time service need for child care.</p>	Replaces Section 4.0.3 of the Guide	4/2/2010
FY 2010-03	<p>Variance Policy: Establishes formal procedure by which parents and/or providers may request a variance from EEC financial assistance policy, including circumstances that may give rise to variance requests and procedures for submission & response.</p>	N/A – New Policy	4/2/2010

FY2010-05	Approved Break in Service Policy: Creates a new “Continuity of Care category of “Approved Break in Service” that replaces “Child Left Within Three Months.”	Replaces Table 2.0.1.A. of the Guide	5/12/2010
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Chapter 1: Eligibility

1.0 Determination of Eligibility for EEC Financial Assistance

1.0.0. Income Eligibility Requirements

The *Income Eligibility Levels*¹ table (See Appendix A) 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 accessing EEC financial assistance must have an income at or below 50% of the State Median Income (SMI) upon initial assessment and may remain income eligible if their income remains at or below 85% SMI, provided they continue to meet EEC activity requirements (See Section 1.1. Family Activity and Other Eligibility Requirements).

Families with a child or parent with a documented special need may have an income at or below 85% SMI upon initial assessment and may remain income eligible up to 100% SMI, provided the child or the parent continues to have a documented special need.

Please see Appendix A to determine appropriate income eligibility standards by family size.

1.0.1. Income Included in Income Eligibility Determination

An applicant must submit documentation of all relevant sources of income including both earned income and other sources of income.

Earned income includes:

- Income from employment and/or self employment;²
- Income from business, if self-employed; and
- Tips and commissions.

Other sources of income include:

- Unemployment or worker's compensation;
- Alimony paid or received;³
- Child support paid or received, including but not limited to in-kind support such as direct payments of utilities, rent/mortgage, child care costs³;
- Lottery winnings;
- Social Security income and retirement benefits (including but not limited to survivor benefits, SSI, SSDI);
- Cash benefits received from TAFDC for a child in the applicant's care;

¹ **The EEC Financial Assistance: Income Eligibility Levels and Parent Co-Payment Schedule** (See Appendix A) separates family income eligibility and family co-payment determination into two distinct steps. The *Income Eligibility Levels* table is used to identify whether a family's income meets EEC's income eligibility criteria, while 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.

² 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 earnings.

³ Alimony or child support paid to another household should be deducted from the applicant's gross income.

- Pension/Retirement income;
- Net rental income; and
- Dividends and interest from estates and trusts.

1.1. Family Activity and Other Eligibility Requirements

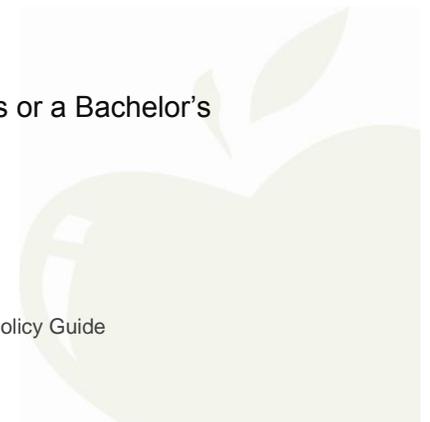
In order to be considered eligible for EEC financial assistance, families must be participating in one or more EEC approved activities or must meet one of the other eligibility criteria listed below.

1.1.1. Activity

A parent/guardian must participate in at least one (or a combination of one or more) of the activities listed below for a minimum of 20 hours per week to be eligible for part time care and 30 hours per week to be eligible for full time care (with a maximum of 50 hours of care). In two parent families, both parents must be participating in one or more EEC approved activities for, at minimum, the amounts of time previously stated.

EEC approved activities include:

- Employment;
- Seeking employment:
 - A parent receiving EEC financial assistance (i.e., an existing family) who had a work/training schedule but leaves (voluntarily or involuntarily) his/her job or finishes his/her education or training and is seeking employment will be considered to have an equivalent need for an allowable 8-week job search period;
 - A parent who has not been receiving EEC financial assistance (i.e., a new family) and is seeking employment will be considered to have a full-time service need for an allowable 8-week job search period; or
 - A formerly employed parent who requests more than 8 weeks of financial assistance for job search within a 12-month period may be granted an additional 4 weeks of financial assistance in extraordinary circumstances only (e.g., when a parent is laid off or a parent loses a job due to a domestic violence situation). A letter from the employer documenting the circumstances regarding the loss of employment will be required;
- Participating in education or training (not including graduate school, medical school, or law school):
 - High school;
 - High school equivalency program (such as GED);
 - Vocational training program;
 - ESL; or
 - Accredited college or university, leading to an Associate's or a Bachelor's degree;
- Housing search or other shelter activities, if homeless; and



- Military service for a member of the U.S. military, including the National Guard, who is deployed or activated to a combat zone, hazardous duty zone, or venue for preparation for deployment to a combat or hazardous duty zone, hereafter referred to as “deployed or activated.”⁴ 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. 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.

1.1.2. Other Eligibility Criteria

A parent/guardian may also be eligible for EEC financial assistance if he/she or his/her child meets one of the following criteria:

- 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;
- A child with a documented special need who would benefit from access to early education and care; or
- Parent/guardian age 65 or over and retired.

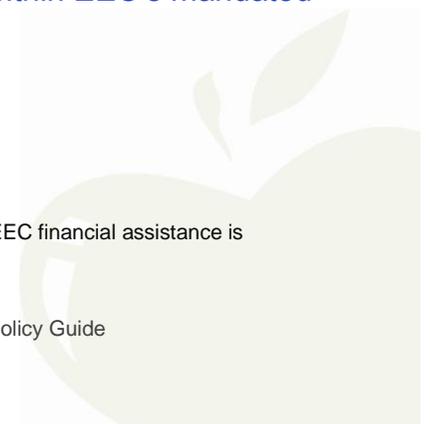
1.2. Requesting Variances from EEC Policy *{effective April 2, 2010}*

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 present in the routine implementation of the child care financial assistance program. From time to time, however, unusual circumstances requiring resolution are brought to the attention of the Department.

Requests for variances shall be limited to unusual, 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 presenting extenuating circumstances, and in its sole discretion, may allow a variance to policy when warranted.

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.

⁴ The deployed/activated parent(s) must reside in the same household as the child(ren) for whom EEC financial assistance is requested.



Types of Variances

Extraordinary Circumstances include but are not limited to:

- Death, severe illness of an immediate family member or other extreme family crisis that impacts the family's ability to temporarily 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;
- Unforeseen catastrophic event or natural disaster, such as flood or fire, that would result in a family's immediate need for temporary financial assistance to assist in stabilizing the family; or
- Unforeseen catastrophic event or natural disaster that impedes the family's ability to temporarily comply with EEC financial assistance policy.

Variance Process

Requests for variances shall be submitted, in writing, to EEC. The final decision to grant a variance shall be made by the EEC General Counsel, or her designee, within seven (7) calendar days of the receipt of a written request for variance.



Chapter 2: The EEC Centralized Waiting List for Financial Assistance

The EEC centralized waiting list is the only waiting list for EEC financial assistance that is to be used for eligible families applying for EEC financial assistance, and is the first step in the process for families⁵ to access EEC financial assistance.

2.0. Placing Families on the EEC Centralized Waiting List

The following procedures apply to the EEC centralized waiting list:

- Families may access the EEC centralized waiting list from any CPC, CCR&R, EEC contracted provider or Head Start programs that accept EEC financial assistance placements.
- All families seeking EEC financial assistance (vouchers, contracts, CPC scholarships) must be placed on the EEC centralized waiting list in order to access EEC financial assistance, with the exception of families who have a DTA authorization or a DCF referral for supportive child care and families who receive services through CPC Inclusive Learning Environment Funding (formerly known as Phase I).
- All children must be consistently categorized within a child priority status when placed on the centralized waiting list (as detailed in Section 2.0.1: *Waiting List Child Status Priority Codes*) regardless of access point.
- All families entered onto the EEC centralized waiting list for EEC financial assistance must verbally confirm⁶ that they meet required EEC activity and income requirements. Please see Section 2.0.2: *Future Date Needed for Placement* for how to place families who will meet required EEC activity and income requirements at a future date on the centralized waiting list.

⁵ Please note that there are three exceptions to this policy: families who have a DTA authorization or DCF referral for care and families who receive services through CPC Inclusive Learning Environment Funding (formerly known as Phase I). These are the only families not placed on the EEC centralized waiting list.

⁶ No documentation is required for verification of eligibility for placement on the centralized waiting list. Verbal confirmation is sufficient.

2.0.1. Waiting List Child Priority Status Codes

All children placed on the EEC centralized waiting list should receive one of the following child priority status codes:

Table 2.0.1.

Child Priority Status Code	Definition	Eligibility Criteria for EEC Waiting List Placement
Child in Foster Care	A child receiving temporary substitute parental care under the auspices of the Department of Children and Families (DCF)	<p>Family must:</p> <ul style="list-style-type: none"> ▪ be referred by DCF; and ▪ meet EEC activity requirement. <p>Family is exempt from EEC income requirement.</p>
Child of Homeless Family	A child whose family is homeless	<p>Family must:</p> <ul style="list-style-type: none"> ▪ be referred by DTA, Housing Authority Program (HAP) or shelter; ▪ meet EEC income requirement; and ▪ meet EEC activity requirement, which can include housing search.
Child of Military Personnel	A child with one or both parents/guardians who are a member of the U.S. military, including National Guard, who is deployed or activated to a combat zone, a hazardous duty zone, or venue for preparation for deployment to a combat or hazardous duty zone.	<p>Family must:</p> <ul style="list-style-type: none"> ▪ meet EEC income requirements. <p>If one parent/guardian is deployed or activated, the other parent must meet EEC activity requirement. If both parents are deployed or activated, the person responsible for the care of the child(ren) in the parents' absence must meet EEC activity requirement.</p>
Child of Teen Parent	A child with a parent who is younger than 20 years of age	<p>Family must:</p> <ul style="list-style-type: none"> ▪ meet EEC income requirements; and ▪ meet EEC activity requirement.
Grandparent/Guardian Family	A child who is in the legal temporary or permanent custody of a grandparent or other adult	<p>If under 65 years of age, grandparent/guardian must:</p> <ul style="list-style-type: none"> ▪ meet EEC activity requirements. <p>Family is exempted from EEC income requirement.</p> <p>If 65 years of age or over and receiving retirement income, the grandparent/guardian must:</p> <ul style="list-style-type: none"> ▪ meet EEC income requirement. <p>Retirement is considered an allowable EEC activity, and, thus, meets the EEC activity requirement.</p>

Child Priority Status Code	Definition	Eligibility Criteria for EEC Waiting List Placement
Parent with Special Needs	A child of 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	Family must: <ul style="list-style-type: none"> meet EEC income requirements (up to 85% SMI allowable). Family is exempt from EEC activity requirement.
Child with Special Needs	A child with a documented special need who would benefit from access to early education and care	Family must: <ul style="list-style-type: none"> meet EEC income requirements (up to 85% SMI allowable). Family is exempt from EEC activity requirement.
General Priority	A child who does not meet any of the specific child priority status criteria listed above	Family must: <ul style="list-style-type: none"> meet EEC income requirements; and meet EEC activity requirement.

Please email bulletinquestions@massmail.state.ma.us if a family presents extraordinary circumstances above and beyond those circumstances captured within these priority codes that you believe would warrant immediate access to EEC financial assistance.

2.0.1. A. Continuity of Care

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, voucher or CPC scholarship under the following circumstances, provided that the child **maintains** EEC eligibility.⁷ Please use the following codes to designate the circumstances of continuity of care priority.

Table 2.0.1. A.

Child Priority Status Code	Definition	Eligibility Criteria for EEC Waiting List Placement
Continuity of Care: Aging-Out	A child currently receiving EEC financial assistance who exceeds the age limit for the program (e.g., a child aging out of a CPC program or a contracted slot, where no other contracted slot is available)	Child must: be currently receiving EEC financial assistance.

⁷ Income eligible families must have an income at or below 50% SMI upon initial assessment and may remain income eligible up to 85% SMI, provided they continue to meet EEC activity requirements. Families with a child or parent with a documented special need may have an income at or below 85% SMI upon initial assessment and may remain income eligible up to 100% SMI, provided they continue to have a documented special need.

Child Priority Status Code	Definition	Eligibility Criteria for EEC Waiting List Placement
Continuity of Care: Child Left Care Within 3 Months Approved Break in Service {effective May 11, 2010}	<p>A child who was removed from an EEC financial assistance program and whose family now wishes to re-enroll the child within 90 days from the date of removal</p> <p>A child:</p> <ul style="list-style-type: none"> • 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; • whose parent/guardian is participating in education/training activity with a summer break; • whose parent/guardian chooses to un-enroll their child from EEC financial assistance to allow for travel or alternate care (e.g., to care for a sick relative, a non-custodial parent visitation, etc.) for a specified period of time not to exceed 90 days; and • who is enrolled in programs that only operate on the school calendar. 	<p>Child must: have received EEC financial assistance within last 90 days and provide required documentation as described in EMB FY 2010-05.</p>
Continuity of Care: Geographic Relocation	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)	<p>Child must: be currently receiving EEC financial assistance.</p>
Continuity of Care: Homeless Contract	A child currently receiving EEC financial assistance through a homeless shelter contract finds housing.	<p>Child must: be currently receiving EEC financial assistance.</p>
Continuity of Care: NTCC	Family has a child currently enrolled in a non-traditional hours child care contract (NTCC), and changes activity hours, and, thus no longer needs evening and/or weekend care.	<p>Child must: be currently receiving EEC financial assistance.</p>
Continuity of Care: Summer Only	A child who received EEC financial assistance within the last fiscal year requires care for school vacations, summers, holidays or other school closings.	<p>Child must: have received EEC financial assistance within the current fiscal year.</p>
Continuity of Care: DCF Referred	A child who received EEC financial assistance as a result of a DCF referral (e.g., supportive child care, foster	<p>Child must: be currently receiving EEC financial</p>

Child Priority Status Code	Definition	Eligibility Criteria for EEC Waiting List Placement
	parent) and is leaving DCF supportive care or is being adopted out of foster care.	assistance. Family must meet income and activity requirements.
Continuity of Care: Teen Parent Contract	A child currently receiving EEC financial assistance through a Teen Parent Child Care Contract (TPCC) has a parent who is aging out of this program (turning age 20).	Child must: be currently receiving EEC financial assistance.

2.0.1. B. Children with a Sibling(s) Currently Receiving EEC Financial Assistance

A child with a sibling(s) who **already** receives EEC financial assistance in the form of an EEC contract, voucher, or CPC scholarship may be placed on the centralized waiting list and given priority status, given the family **maintains** EEC eligibility.

Please use the following codes to designate the circumstances of sibling priority.

Table 2.0.1. B.

Child Priority Status Code	Definition	Eligibility Criteria for EEC Waiting List Placement
Sibling: Contract	A child, with a sibling currently receiving EEC financial assistance in the form of an EEC contracted slot, who is EEC eligible and not receiving EEC financial assistance.	Child must: <ul style="list-style-type: none"> ▪ have a sibling documented as currently receiving EEC financial assistance through a contract.
Sibling: Voucher	A child, with a sibling currently receiving EEC financial assistance in the form of a voucher, who is EEC eligible and not receiving EEC financial assistance.	Child must: <ul style="list-style-type: none"> ▪ have a sibling documented as currently receiving EEC financial assistance through a voucher.
Sibling: CPC	A child, with a sibling currently receiving EEC financial assistance from the CPC program, who is EEC eligible and not receiving EEC financial assistance.	Child must: <ul style="list-style-type: none"> ▪ have a sibling documented as currently receiving EEC financial assistance through CPC.

2.0.2. Future Date Needed for Placement

Families may be placed on the EEC centralized waiting list if their child needs care in the future or if they will meet eligibility requirements at a future date. Circumstances in which a family may need care in the future include:

- Pregnancy;
- Family member currently caring for child will be unable to care for the child at a future date;

- Child is going to age out of a program (e.g., CPC);
- Summer only care (i.e., child requires care only for summer, school holidays, vacations or other school closings); and
- Other family circumstances (e.g., child's parent/caretaker is out of country or is in poor health).

2.1. Communicating with Families on the EEC Centralized Waiting List

2.1.1. Issuing Waiting List Confirmation Letters

CCR&Rs are responsible for sending confirmation letters to all new waiting list families at least weekly.

2.1.2. Issuing Waiting List Renewal Letters

CCR&Rs are responsible for sending renewal letters to all families placed on the EEC centralized waiting list. Each family on the EEC centralized waiting list is issued an automatic renewal letter every six months to maintain information accuracy. CCR&Rs must send renewal letters 45 days prior to the waiting list end date.

If a family contacts an EEC contracted provider or CPC program instead of the CCR&R upon receipt of a renewal letter, the CPC or EEC contracted provider may update the family record (if the record has not yet expired), contact their local CCR&R on behalf of the family to communicate any updates to that family's waiting list record, OR should refer the family to their local CCR&R.

2.1.3. Offering Financial Assistance to Families from the EEC Centralized Waiting List: Issuing Funding Availability Letters

2.1.3. A. CCR&R: Issuance of Available Funding Letters (Voucher Only)

CCR&Rs must send funding availability letters to all families identified by EEC Central Office from the EEC centralized waiting list. CCR&Rs may also call families to whom they have sent letters in order to expedite the process. Families must contact the CCR&R within fifteen days of date of the letter to schedule an appointment.

Note: 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 in order to prioritize them for other EEC financial assistance.

2.1.3. A-1. Available Funding Letter Search Options

Certain waiting list priority categories may be given immediate access to vouchers, provided funding is available. A current list of priority codes with definitions and immediate access status is posted in eCCIMS for your reference. This list should be reviewed on a regular basis. Families with child priority status codes which are open for immediate access will appear when the CCR&R performs a search for available funding letters.

Before a new voucher is issued to any family in an immediate access category, the family must be added to the EEC centralized waiting list and then immediately marked as placed. Once the family has been added to the waiting list, the family may immediately be issued a voucher and they may then enroll their child(ren) in voucher-funded care. The step of adding the family to the waiting list is critical for EEC to monitor caseloads and available funding.

2.1.3. B. EEC Contract Provider and CPC Program: Issuance of Available Funding Letters (EEC contracted slots and CPC Scholarships)

All EEC funded contracted slots and CPC scholarships must be filled through the use of the centralized waiting list.

When funding or a slot becomes available, families on the EEC centralized waiting list should be notified on a first come, first serve basis in the following order:

1. Families with a priority code, as defined by EEC, listed in Section 2.0.1 above shall be offered financial assistance in descending order (starting with the earliest waiting list date) from the EEC centralized waiting list before general priority families on the waiting list.
2. General priority families may be offered financial assistance on a first come, first serve basis in descending order (starting with the earliest waiting list date) from the EEC centralized waiting list after all efforts have been made to place priority families.

Agencies may also call families to whom they have sent available funding letters in order to expedite the process.

Note: Families who have been offered EEC financial assistance through a CPC program 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 in order to prioritize them for other EEC financial assistance.

2.2. Maintaining a Current and Accurate Centralized Waiting List

2.2.1. Updating Child and Family Waiting List Records

Child and family waiting list information can be corrected at any time. CPCs, CCR&Rs, and EEC contracted providers may edit waiting list records for any family within their service area, regardless of which entity originally entered the family onto the waiting list.

2.2.1. A. Incorrect Child Priority Status Coding

CPCs, CCR&Rs, and EEC contracted providers should correct a child priority status code if it is incorrect or has changed.

2.2.1. A-1. Incorrect Priority Codes Discovered Following Issuance of Available Funding Letter (Voucher Only)

If a family who was sent an available funding letter indicates that they no longer meet a priority status code which is open for immediate access they must be placed back on the waiting list with the appropriate child priority status code, including "General Priority" if applicable, with their original waiting list date.

If the family was incorrectly coded but they meet a different child priority status code which is open, they may be served under the correct priority code.

2.3. Removing Families/Children from the EEC Centralized Waiting List

It is essential that waiting list users remove families or children from the EEC centralized waiting list as described below in order to ensure accurate, updated data. Families removed from the EEC centralized waiting list must be sent a removal letter, informing them of their removal and the reinstatement process (See Section 2.4).

2.3.1. General Updates (CPC, CCR&R and EEC Contracted Providers)

Families shall be removed from the centralized waiting list under any of the following circumstances:

- A letter is returned to sender via mail as undeliverable;
- Family does not meet EEC income requirements;⁸
- Family does not meet EEC activity requirements,⁸ or
- Family indicates that they are no longer waiting for care or financial assistance.

2.3.2. Renewal Letters (CCR&Rs Only)

Families shall be removed from the centralized waiting list under any of the following circumstances:

- Family did not respond to the waiting list renewal letters within fifteen days from the date of the letter;
- Renewal letter is returned to sender via mail as undeliverable;
- Family does not meet EEC income requirements;⁸
- Family does not meet EEC activity requirements;⁸ or
- Family indicates that they are no longer waiting for care or financial assistance.

2.3.3. Available Funding Letters

Families shall be removed from the centralized waiting list under any of the following circumstances:

- Available funding letter is returned to sender via mail as undeliverable;
- Family does not meet EEC income requirements;⁸
- Family does not meet EEC activity requirements;⁸ or
- Family indicates that they are no longer waiting for care or financial assistance.

⁸ This provision does not apply to families on the centralized waiting list with a future date needed for placement. These families should remain on the centralized waiting list, irrespective of whether they meet EEC income and activity requirements.

2.4. Reinstating Waiting List Records

CCR&Rs are responsible for reinstating families who have been removed from the centralized waiting list.

If a family that has been removed from the waiting list contacts the CPC, CCR&R, or EEC contracted provider within six months from their most recent waiting list end date, the CCR&R may place that family back onto the waiting list using their original waiting list date, provided the family meets EEC eligibility requirements.

CPCs and EEC contracted providers should either contact their local CCR&R to have these families reinstated on the active centralized waiting list or refer the family to the CCR&R for reinstatement.

Families who believe that they have been improperly removed from the waiting list and that such removal has affected their access to EEC Financial Assistance may file a request for review in order to appeal their removal from the waiting list. Please see Chapter 8: EEC Financial Assistance Complaint and Investigation Process.

Chapter 3: Documentation of Eligibility

An **Application for EEC Financial Assistance**⁹ must be completed by each applicant upon initial assessment for EEC financial assistance and each subsequent reassessment.

3.0. Documentation Requirements

In order to be eligible for EEC financial assistance, applicants must submit the required documentation relative to:

- Family Composition and Size;
- Identity;
- Massachusetts Residency;
- Income From Paid Employment and Other Sources; and
- Activity.

Documentation must be used to verify that a family meets EEC financial assistance eligibility criteria, including income and activity requirements.

All documentation which verifies eligibility must be maintained in the family's file.

3.0.1. Translation of Documentation

Applicants submitting documents in foreign languages must arrange to have the documents translated prior to submission.

The intake agency shall offer translation services if resources are available to provide translation services or if such services are delineated in their contract with EEC.

3.1. Family Size and Composition

Family size must be determined in order to verify eligibility for EEC financial assistance and determine parent co-payment level. The intake agent must verify family composition in order to determine family size. The applicant must list all family members residing in the household and attest to the veracity of such list when they complete and sign the EEC Application for Financial Assistance.

3.1.1. Definition of Family

For the purposes of determining eligibility for EEC financial assistance, a family shall be defined as one of the following:

- A parent and his/her dependent children and any dependent grandparents who reside in the same household; or
- A teen parent and his/her children who reside in the same household.¹⁰

⁹ The Application for EEC Financial Assistance is currently in the process of being updated.

¹⁰ A teen parent is defined as a parent who is younger than 20 years of age.



3.1.2. Definition of Parent

A “parent” is a biological or adoptive parent, a stepparent, or another person who lives with, supervises, and cares for a child or children whose parents do not live in the home (guardian).

If a household includes two parents, both parents shall be included in the family for purposes of determining family size and shall submit documentation of income and EEC approved activity/service need.

A teen parent is defined as a parent younger than 20 years of age. To document teen parent status, the applicant must submit a copy of his/her birth certificate, driver’s license, or other government issued identification (e.g., state identification card, military dependent’s card, or passport) which lists the date of birth.

3.1.3. Relationship: Dependent Children

A dependent child is a person under age 18, or a person under age 24 if he/she is a full time student, who resides in the household with the child and is financially dependent on the child’s parents.

Documentation of the relationship of each child in the family under age 18, or under age 24 if the child is a full time student, must be maintained in the family’s file regardless of whether all children receive EEC financial assistance.

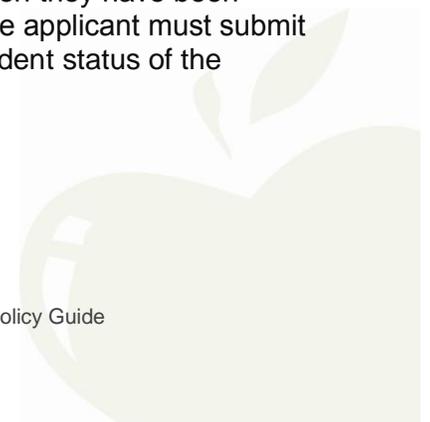
The preferred form of documentation of relationship between parent and child is a birth certificate indicating the names of parent(s) and child. If the applicant cannot obtain a birth certificate, the relationship may be documented by one of the following, if the document contains both the name of the child and the name of the applicant:

- Baptismal certificate;
- Hospital birth record;
- Copy of previous EEC child care voucher;
- Social Security benefits record;
- Court guardianship records (for both permanent and temporary guardians); or
- School records showing the address of the child and the name and relationship of relative responsible for the child.

If an applicant is the parent of a teen parent, and that teen and his/her child(ren) are dependent on the applicant for support, the teen’s child(ren) may be included in the applicant’s family size, provided that the teen is not receiving EEC financial assistance for his/her child(ren).

3.1.4. Dependent Grandparents

Grandparents may be included as dependent members of the family when they have been claimed as dependents on the applicant’s federal income tax return. The applicant must submit a copy of their most recent federal income tax return to verify the dependent status of the grandparent(s).



~~3.2. Identity {repealed on April 2, 2010 and replaced with new Section 3.2 below}~~

~~Documentation of applicant's identity is required in order to receive EEC financial assistance and must be maintained in the family's file.~~

~~In order to document identity, the applicant must submit at least one of the following forms of photo identification:~~

~~Passport;~~

~~Driver's license;~~

~~Federal or state identification card with photograph;~~

~~Military identification card (or military dependent's identification card with photograph); or~~

~~School identification card with photograph.~~

~~One additional form of identification is also required. Applicants may choose to submit a second form of photo identification listed above or submit one of the following:~~

~~Birth Certificate;~~

~~Certificate of U.S. Citizenship;~~

~~Certificate of U.S. Naturalization;~~

~~U.S. Permanent Resident Card ("Green Card"), formerly known as Alien Registration Receipt Card;~~

~~U.S. Social Security card;~~

~~Unexpired U.S. Temporary Resident Card;~~

~~Copy of applicant's record of school registration; or~~

~~Voter registration card.~~

3.2. Citizenship, Residency and Identity¹¹ {effective April 2, 2010}

3.2.1. Citizenship Requirement

For purposes of determining 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.¹² 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.¹³ To qualify for child care

¹¹ For each of the requirements in this section, subsidy managers shall be sensitive to the unique needs of the populations served by EEC, including low-income families, special need families, homeless families and families with other risk factors, by working with the families to obtain any and all necessary documents to verify citizenship, residency and/or identity for purposes of establishing eligibility for early education and care subsidies.

¹² 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).

¹³ 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

financial assistance in the Commonwealth, 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 are not eligible to receive child care services in the Commonwealth of Massachusetts.

- Special Note for Head Start Programs: Head Start is exempt from the citizenship or immigration status verification requirement. Therefore, the citizenship verification is not required for a child who is participating in Head Start and is also receiving wrap-around child care services funded by EEC (e.g., before and/or after school child care) because the child's full day experience of care is being supported by combined Head Start and child care funding.¹⁴ In contrast, the Head Start citizenship verification exception does not apply to a child that only attends the before or after school component of the Head Start program because the child care funding is not combined with Head Start.

The laws regarding U.S. citizenship and nationality are complex and constantly changing. For this reason, broad definitions, along with detailed lists of documents that may be used to verify children's citizenship and/or immigration status, have been provided in Appendix R.

Acceptable documents for proof of citizenship

Documentation of citizenship and/or immigration status must be maintained in the child care file and only needs to be established once. The most common forms of documentation to verify citizenship status are as follows:

- 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);
- United States passports; and
- Report of birth abroad of a U.S. citizen (FS-240) (issued by the U.S. State Department).

For a complete list of acceptable documents that may document the citizenship and/or immigration status of the child(ren) seeking subsidized child care in the Commonwealth, please refer to Appendix R.

3.2.2 Residency Requirement

Child care applicants must be residents of the Commonwealth.¹⁵ Additionally, child care subsidies administered by EEC may only be used for child care provided within the Commonwealth. The purpose of this policy is to help establish that the child resides in a household within the borders of Massachusetts. If necessary, the subsidy manager may request additional documentation linking an individual to a specific address, including, but not limited to, a copy of any bill, preferably a utility bill, dated within 45 days of the eligibility

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.

¹⁴ ACF confirmed that Head Start is not a federal public benefit for purposes of PRWORA and noted that citizenship verification exemption extends to programs supported by combined Head Start and child care funds. See CCDF-ACF-PI-2008-01 (issued May 2, 2008).

¹⁵ Pursuant to 606 CMR 10.03(1), child care subsidies administered by the Department of Early Education and Care are available only to residents of the Commonwealth of Massachusetts.

assessment.

For purposes of establishing eligibility for child care subsidies in Massachusetts, proof of residency for the child(ren)'s parent(s) or caretaker(s) is required and shall be established by documenting a valid proof of residency, selected from the list below.

Acceptable documents for proof of residency

Unlike documentation related to citizenship, immigration status and identity, 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 are not accepted as proof of residency in Massachusetts. The following proofs are acceptable:

- MA utility bills with service at a MA residence address;
- MA property tax bill or receipt indicating a MA residence address;
- MA individual income tax return for the most recent year;
- MA mortgage documents or homeowner insurance documents for a MA residence or proof of MA home ownership with a MA residence address;
- MA W-2 Form for most recent state and/or federal tax return, but no older than 18 months, with the applicant's name and MA residence address;
- MA weapons permit with a MA residence address;
- MA Motor Vehicles registration card that contains a MA residence address;
- MA Voter's registration card with a MA residence address;
- MA school enrollment form if applicant is under age 18 with the applicant's MA residence address;
- MA proof of undergraduate/graduate student of in-state tuition payment verification;
- MA Homestead tax exemption with a MA residence address;
- Residential rental and/or lease agreement with a MA address; or
- Letter from MA shelter program confirming that parent & child(ren) reside at the shelter.¹⁶

3.2.3 Identity Requirement

For purposes of verifying the identity of the applicant(s), the parent(s), guardian(s) or caretaker(s) is required to submit an original, valid photo ID selected from the following list.

Acceptable documents for proof of identity

Documentation of identity must be maintained in the child care file and only needs to be established once. An applicant seeking child care assistance may submit any one of the following original, valid, and unexpired documents:¹⁷

¹⁶ In the case of a family living in a domestic violence shelter, the letter does not need to identify the shelter address, but must simply indicate that it is somewhere in Massachusetts.

¹⁷ Since documentation of Identity is only necessary at the initial assessment, the documentation only needs to be original, valid and unexpired at the date of the initial assessment. Families shall not be required to update the child care file with new documentation of identity, after it expires.



- Certificate of U. S. Citizenship with photograph;
- Certificate of Naturalization with photograph;
- Driver's license, permit, or state ID card with photograph;
- U. S. Military ID Card with photograph;
- U. S. Military Retiree Card or Uniform Service Identification Privilege Card with photograph;
- Passport with photograph; or
- School identification card with photograph.

Note: Any documentation other than the forms listed above, requires EEC written approval, in accordance with the Variance policy detailed in section 1.2 of the Guide.

3.3. Income Documentation Requirements

To determine the family's income, the intake agency must obtain documentation verifying the income of each member of the family, including parents (biological, adoptive, or stepparent), dependent grandparents, and all dependent children over age 21.

Permanent or temporary guardians, foster parents or other caretakers, children under age 21, or others sharing the household do not need to submit verification of income.

An applicant must submit documentation of all relevant sources of income including both earned income and other sources of income.

Earned income includes:

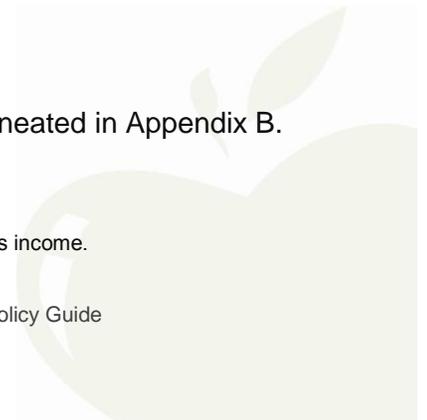
- Income from employment and/or self-employment;
- Income from business, if self-employed; and
- Tips and commissions.

Other sources of income include:

- Unemployment or worker's compensation;
- Alimony paid or received;¹⁸
- Child support paid or received, including but not limited to in-kind support such as direct payments of utilities, rent/mortgage, child care costs;¹⁸
- Lottery winnings;
- Social Security income and retirement benefits (including but not limited to survivor benefits, SSI, and SSDI);
- Cash benefits received from TAFDC for a child in the applicant's care;
- Pension/Retirement income; and
- Net rental income.

All income which is excluded from income eligibility determination is delineated in Appendix B.

¹⁸ Alimony or child support paid to another household should be deducted from the applicant's gross income.



Total gross family income must not exceed EEC financial assistance income thresholds (See Chapter 1).

3.3.1. Documentation of Earned Income from Employment

Employment is defined as an activity in which a participant earns at least state minimum wage.

The chart below lists the required documentation of earned income from employment.

Table 3.3.1.

Category of Employment	Required Income Documentation
<p>Employed: Parent/guardian is engaged in paid employment for at least 4 weeks.</p>	<p>Copies of pay stubs for one month (four weeks within the most recent six week period)¹⁹</p> <p>Please note that income (for the purposes of eligibility) for parents/guardians in military service excludes compensation provided for service in combat or in a hazardous duty area.²⁰</p>
<p>Newly Employed: Parent/guardian is newly employed, for less than 4 weeks.</p>	<ol style="list-style-type: none"> 1. <i>Employment Verification</i> form (See Appendix E) 2. After parent has engaged in paid employment for 4 weeks or more, copies of four (4) of the six (6) most recent pay stubs
<p>Existing Self-Employment: Parent/guardian is self-employed and self-employment income is reflected in most recent federal tax returns</p>	<ol style="list-style-type: none"> 1. <i>Report of Self-Employment Earnings</i> form (See Appendix D) 2. 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 3. Copies of most recent federal tax returns, including all applicable schedules 4. Tax return transcript for most recent federal tax returns²¹ (Tax transcript form is available on EEC website.)

¹⁹If the applicant is not paid through a pay check and, therefore, cannot provide pay stubs, he/she must submit other documentation of his/her income. Applicants who are paid by check or money order must submit copies of cancelled checks or money orders reflecting payment for four weeks within the most recent six week period as well as copies of their most recent federal tax returns and tax return transcript. Applicants who are paid in cash must submit the *Employment Verification* form as well as copies of their most recent federal tax returns and tax transcript.

²⁰ 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 earnings for the purposes of EEC income eligibility determination (See Appendix B).

²¹ The purpose of collecting the tax return transcript (which the parent obtains by completing and 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.

Category of Employment	Required Income Documentation
<p>Newly Self-Employed: Parent/guardian is newly self-employed and his/her self-employment income is not reflected in most recent federal tax returns</p>	<ol style="list-style-type: none"> 1. <i>Report of Self-Employment Earnings</i> form 2. 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 3. Copies of federal tax returns for the first year of self-employment, including all applicable schedules, must be submitted upon reassessment. 4. Tax return transcript for federal tax returns²² for first year of self-employment must be submitted upon reassessment. (Tax transcript form is available on EEC website.) <p><i>Note: Reassessment must take place no later than April 30th or within 12 months of the last assessment, whichever comes first.</i></p>
<p>Newly Self-Employed For Less than 3 Months: Parent/guardian has been self-employed for less than three months</p>	<ol style="list-style-type: none"> 1. <i>Report of Self-Employment Earnings</i> form, without the <i>Monthly Self-Employment Worksheets</i>. <p>Note: Upon expiration of initial 12 week eligibility period, an updated <i>Report of Self-Employment Earnings</i> form including completed <i>Monthly Self-Employment Earnings Worksheets</i> for the previous three months must be submitted.</p> <ol style="list-style-type: none"> 2. 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 3. Copies of federal tax returns for the first year of self-employment, including all applicable schedules, must be submitted at reassessment. 4. Tax return transcript for federal tax returns²² for the first year of self-employment must be submitted at reassessment. (Tax transcript form is available on EEC website.) <p>Note: If available, tax returns and the tax transcript must be submitted at the reassessment which follows the initial 12 week eligibility period (See Section 3.3.1.A.-5). If the tax return and the tax transcript are not yet available at that time, they must be submitted at the next reassessment, which shall occur within 12 months of the reassessment which follows the initial 12 week eligibility period, or no later than April 30th, whichever comes first.</p>

3.3.1. A. Self-Employment

3.3.1. A-1. Definition of Self-Employment

Self-employment is the process of actively earning income directly from one's own business, trade, or profession. A self-employed individual exercises control over how the business is

²² The purpose of collecting the tax return transcript (which the parent obtains by completing and 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.

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 Internal Revenue Service (IRS) W-4 form for an employer.

Note: For purposes of eligibility for EEC financial assistance, an individual who works regularly and exclusively for **one** employer as an independent contractor²³, but has no business expenses and is treated by that employer as an employee in every respect except for the withholding of taxes will **not** be required to submit the Report of Self Employment Earnings form. Such individuals are required to provide EEC with copies of pay stubs, paychecks, or other documentation of their income for one month (four weeks within the most recent 6 week period) along with a signed copy of their most recent federal income tax return and a tax return transcript for their most recent federal income tax returns. The purpose of collecting the tax return transcript (which the parent obtains by completing and 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.

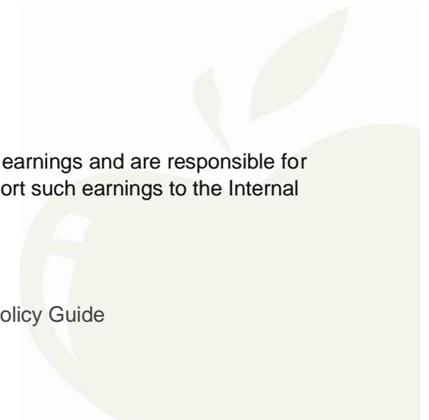
3.3.1. A-2. Minimum Wage and Hour Requirements

Parents/guardians must participate in self-employment for a minimum of 20 hours per week and earn an income equivalent to at least the Massachusetts' minimum wage in order to be eligible for EEC financial assistance. If both parents/guardians are self-employed, either in a joint business or in separate businesses, the minimum wage and hour requirements apply to each one.

3.3.1. A-3. Calculation of Self-Employment Income

Self-employment income is calculated by taking the gross receipts from the business and subtracting allowable business expenses. Allowable business expenses include those expenses which are necessary for the operation of the business as well as those which are both commonly accepted in the business/trade and appropriate for the business/trade. Please note, however, that some expenses, such as depreciation and depletion, which are allowed by the IRS are not allowable deductions for the purpose of determining eligibility for EEC financial assistance because such expenses do not accurately reflect the actual income available to a self-employed individual to meet his/her living expenses. Thus, the determination of allowable business expenses and business income for recipients of EEC financial assistance who are self-employed will be different from the allowable business expenses and income used by the IRS for tax purposes.

²³ Individuals who are employed as independent contractors do not have taxes withheld from their earnings and are responsible for paying self-employment taxes. Businesses that employ individuals as independent contractors report such earnings to the Internal Revenue Service on Form 1099 rather than on a W-2 at the end of the year.



Allowable Business Expenses

All business expenses are subject to review and verification by EEC, through receipts, business records, and other relevant documentation, to ensure that they are allowable. Examples of allowable business expenses include the following:

- 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 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);
- 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 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);
- 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 these costs may be deducted; and
- Mileage expenses between business sites, except for 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 include the following:

- Personal expenses, such as the parent's/guardian's health insurance premiums, life insurance premiums, or retirement benefits;
- Taxes that parent/guardian pays on his/her net income, including Social Security, federal, and state taxes;
- Monthly mortgage or rental payment for the home;
- Depreciation; and
- Business losses from prior months/years.

3.3.1. A-4. Types of Self-Employment

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. The chart below provides a summary of the required tax forms and how to calculate self-employment income by type of self-employment.

Please note: Tax documentation for a partnership, corporation, and S corporation should be sent to the EEC central office in Boston for review and determination of self-employment income.

Table 3.3.1. A-4. Required Tax Documentation by Self-Employment Type

Type	Definition	Required Tax Forms	Calculation of Self-Employment Income
Sole Proprietorship	A trade or business owned and operated by an individual in which all profit and loss belongs to that individual	<ol style="list-style-type: none"> 1. IRS Form 1040 1. Schedule C (Form 1040)-<i>Net Profit or Loss from Business</i> (Sole Proprietorship) or Schedule C-EZ-<i>Net Profit from Business</i> 2. Schedule SE (Form 1040)-<i>Self-Employment Tax</i> (Sole Proprietorship) 1. 4. Any other applicable schedules 	Gross receipts minus allowable business expenses
Partnership	An agreement by two or more individuals to contribute money, skills, and/or labor to a business and share the profits, losses, and management	<ol style="list-style-type: none"> 1. IRS Form 1040, and all applicable schedules 2. IRS Form 1065-<i>U.S. Return of Partnership Income</i> 	Gross receipts minus allowable business expenses, divided by the number of partners, if 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
Corporation	Distinct legal entity separate and apart from the individuals who comprise it; corporations must file articles of incorporation with the Secretary of the Commonwealth	<ol style="list-style-type: none"> 1. IRS Form 1040, and all applicable schedules 2. IRS Form 1120-<i>U.S. Corporate Income Tax Return</i> 	Gross receipts minus allowable business deductions Note: 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.



Type	Definition	Required Tax Forms	Calculation of Self-Employment Income
S Corporation	Small corporation with a limited number of shareholders which elects to be taxed as a partnership for federal tax purposes	<ol style="list-style-type: none"> 1. IRS Form 1040, and all applicable schedules 2. IRS Form 1120S-S <i>U.S. Income Tax Return for an S Corporation</i> 	<p>Gross receipts minus allowable business deductions, plus any in-kind compensation paid to the owners</p> <p>Note: S corporations are permitted to provide in-kind compensation to their 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.</p>

3.3.1. A-5. Newly Self-Employed Parents/Guardians

Parents/guardians who are newly self-employed and have not yet filed taxes reflecting their self-employment status are required to submit the following:

- A completed *Report of Self-Employment Earnings* form (See Appendix D) to document their self-employment income for the most recent three month period.
- Copies of their federal income tax returns, including all applicable schedules, reflecting their self-employment income from the year in which they first became self-employed, by the first April 30th after their application, and then subsequently by April 30th of each year.
- A tax return transcript of their federal income tax return reflecting their first year of self-employment income from the year in which they first became self-employed by the first April 30th after their application, and then subsequently by April 30th of each year. Parents/guardians need to submit IRS Form 4506-T to the IRS in order to authorize the release of their income tax return transcript to EEC. The purpose of collecting the tax return transcript is to verify that the income tax returns submitted to EEC are consistent with those submitted to the IRS.

Provided they meet EEC financial assistance eligibility criteria (both income and service need), they will be reassessed on April 30th or within twelve months of the prior reassessment, whichever comes first.

Parents/guardians whose self-employment business is less than three months old and, therefore, do not yet have three months worth of income and expenses to report, shall be eligible to receive EEC financial assistance for an initial three month (12 weeks) period of time, provided they submit the required documentation of having established a business listed in Table 3.3.1. This documentation should be attached to the *Report of Self-Employment Earnings* form, which must be completed and submitted in full with the exception of the *Monthly Self-Employment Earnings Worksheets*. Following this initial three month period, parents/guardians will be required to submit an updated *Report of Self-Employment Earnings* form, including completed *Monthly Self-Employment Earnings Worksheets*, documenting their self-employment income for the initial three month (12 weeks) period. Provided that the applicant continues to meet EEC financial assistance

eligibility criteria (both income and activity), they will then be reassessed on April 30th or within twelve months of the prior reassessment, whichever comes first.

3.3.2. Documentation: Other Sources of Income

The table below lists the required documentation of other sources of income.

Table 3.3.2.

Category of Income	Required Income Documentation
Alimony or Child Support Received	Self-declaration of in-kind contributions and/or formal agreements documented by one of the following: <ul style="list-style-type: none"> • Copy of court order or most recent amendment; • Copies of check from payer; OR • Child support verification from the Department of Revenue.
Alimony or Child Support Child Paid to Another Household	Self-declaration of in-kind contributions and/or formal agreements documented by one of the following: <ul style="list-style-type: none"> • Copy of court order or most recent amendment; • Copies of check from payee; OR • Child support verification from the Department of Revenue. <p>Note: Child support and/or alimony paid to another household should be <u>deducted</u> from the applicant's gross income.</p>
Lottery Earnings	A statement from the state Lottery Commission indicating amount of awards and number and amount of installment payments, if applicable
Pension/Retirement	Copy of award letter or check stub
Social Security Benefits	Copy of award letter or check stub
Social Security Insurance	Copy of award letter or check stub
Unemployment Compensation	Copy of award letter or check stub
Workers Compensation	Copy of award letter or check stub
Net Rental Income	Total rental income less the cost of utilities, mortgage, and taxes paid, which must be verified through appropriate documentation (e.g., copies of utility, mortgage, and property tax bills)
Dividends/Income from Estates or Trusts	Copy of check or interest statement

~~3.4. Massachusetts Residency {repealed on April 2, 2010 and replaced with new Section 3.2 above}~~

~~Only families residing in the Commonwealth of Massachusetts are eligible for EEC financial assistance. EEC financial assistance may only be used for care provided in the Commonwealth of Massachusetts.~~

~~Documentation of residence must be maintained in the family's file and must be updated upon reassessment or the family reports a change in residence.~~

~~Documentation verifying Massachusetts residency may include one of the following; provided it clearly notes address and name of applicant:~~

~~Copy of any bill (gas, electric, cell phone, telephone, cable, etc.) dated within 45 days of application or reassessment;~~

~~Copy of rental document; or~~

~~School records of applicant's child(ren) (e.g., school enrollment, report card, or communication from school to parent).~~

3.5. Approved Activity Participation

A parent or guardian (where applicable)²⁴ must document that he/she is participating in at least one (or a combination of one or more) of the EEC approved activities 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. In two parent families, both parents must be participating in one or more EEC approved activities for, at minimum, the amounts of time previously stated.

Documentation of participation in an EEC approved activity should be updated upon reassessment or when the parent/guardian reports a change in activity.

3.5.1. EEC Approved Activities

EEC approved activities include the following:

- Employment;
- Seeking employment:
 - A parent receiving EEC financial assistance (i.e., an existing family) who was working or participating in education or training, but leaves (voluntarily or involuntarily) his/her job or finishes his/her education or training and is seeking employment will be considered to have an equivalent need for an allowable 8-week job search period;
 - A parent who has not been receiving EEC financial assistance (i.e., a new family) and is seeking employment will be considered to have a full-time service need for an allowable 8-week job search period; or
 - A formerly employed parent who requests more than 8 weeks of financial assistance for job search within a 12-month period may be granted an additional 4 weeks of financial assistance in extraordinary circumstances only (e.g., when a parent is laid off or a parent loses a job due to a domestic violence situation). A letter from the employer documenting the circumstances regarding the loss of employment will be required;
- Participating in education or training (not including graduate school, medical school, or law school):

²⁴ A parent/guardian may also be eligible for EEC financial assistance if they have a child with a documented special need, the parent/guardian has a documented special need, or the parent/guardian is age 65 years or older and retired (See Chapter 4: Service Need).

- High school;
 - High school equivalency program (such as GED);
 - Vocational training program;
 - ESL; or
 - Accredited college or university, leading to an Associate's or a Bachelor's degree;
- Housing search or other shelter activities, if homeless;
 - Maternity (parental) leave for parent/guardian already receiving EEC financial assistance;²⁵
 - Military service for a member of the U.S. military, including the National Guard, who is deployed or activated to a combat zone, hazardous duty zone, or venue for preparation for deployment to a combat or hazardous duty zone, hereafter referred to as "deployed or activated."²⁶ 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. 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.

3.5.1. A. Documentation: EEC Approved Activities

Table 3.5.1.A. lists the required documentation of EEC approved activity.

Note: In order to verify participation in employment as an activity, all newly employed or self-employed applicants must complete an Employment Verification form.

Table 3.5.1. A.

Eligibility Category	Definition	Required Activity Documentation
Existing Employment	Parent/guardian is engaged in paid employment for at least 4 weeks. <u>This category includes post-transitional families previously authorized by DTA who are employed.</u>	Copies of pay stubs for one month (four weeks within the most recent six week period)
Newly Employed	Parent/guardian is newly employed, for less than 4 weeks. <u>This category includes post-transitional families previously authorized by DTA who are newly employed.</u>	<i>Employment Verification</i> form (Appendix E)

²⁵ Maternity (parental) leave is not an allowable activity for new applicants. Maternity (parental) leave is only an allowable activity for those parent/guardians already receiving EEC financial assistance, provided supporting documentation establishing that the parent./guardian is or will be taking maternity (parental) leave is submitted.

²⁶ The deployed/activated parent(s) must reside in the same household as the child(ren) for whom EEC financial assistance is requested.

Eligibility Category	Definition	Required Activity Documentation
Existing Self-Employment	Parent/guardian is self-employed and self-employment income is reflected in most recent federal tax returns.	<i>Employment Verification</i> form
Newly Self-Employed	Parent/guardian is newly self-employed and his/her self-employment income is not reflected in most recent federal tax returns.	<i>Employment Verification</i> form
Newly Self-Employed For Less than 3 Months	Parent/guardian has been self-employed for less than three months.	<i>Employment Verification</i> form
Education & Training	A parent enrolled in: <ul style="list-style-type: none"> • full time high school program; • a high school equivalency program (such as GED); • a vocation training program; or • college/university, not including graduate school, medical school or law school (work study, practicum, clinical experience or internship is considered employment). 	If 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, written statement the school or training program to verify enrollment, including duration and schedule of program
Guardianship (Temporary or Permanent)	A child who is in the legal temporary or permanent custody of a grandparent or other adult	A court order granting temporary or permanent custody
Housing Search	A family currently residing in shelter	Referral from Housing Authority Program, shelter, or DTA
Job Search	Parent is experiencing unemployment and is in the process of seeking paid employment.	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.
Maternity (Parental) Leave	Parent is on parental leave from previously approved EEC activity.	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



Eligibility Category	Definition	Required Activity Documentation
Military Service	Parent/guardian serving in the U.S. military, including the National Guard, deployed or activated.	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 at least 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 at least the minimum required amount of time.

3.5.2. Other Eligibility Criteria

A parent/guardian may also be eligible for EEC financial assistance if he/she or his/her child meets one of the following criteria:

- 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;
- A child with a documented special need who would benefit from access to early education and care; or
- Parent/guardian age 65 or over and retired.

3.5.2. A. Documentation: Other Eligibility Criteria

The table below lists the required documentation of other eligibility criteria.

Table 3.5.2. A

Eligibility Category	Definition	Required Documentation
Child with a documented special need	A child with a documented special need who would benefit from access to early education and care	<i>Verification of Special Need</i> form (See Appendix C)
Parent with a documented special need	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	<i>Verification of Special Need</i> form

Eligibility Category	Definition	Required Documentation
Parent/guardian age 65 or over and retired	A parent or guardian age 65 year or older who is also retired	<ol style="list-style-type: none"> 1. Documentation of retirement income 2. Verification of age, including birth certificate, driver's license, passport, government identification, Social Security card

~~3.6. Eligibility Self-Reporting *(repealed on April 2, 2010 and replaced with new Section 3.6 below)*~~

~~All families will be required to self-report changes in income and service need, and to submit documentation to demonstrate their ongoing eligibility for EEC financial assistance.~~

~~Families must report any change in income, work or school schedule, family size, family composition, or any other circumstances that may impact their eligibility for EEC financial assistance. This notification should happen as soon as the family is aware of the change, and must happen within 10 days of the change taking place. Families who fail to report changes in their income, work or school schedule, family size, family composition, or any other circumstances that may impact their eligibility or co-payment or those who provide false or misleading information in order to receive or continue receiving EEC financial assistance may have their financial assistance terminated and may be deemed ineligible to apply for and/or receive EEC financial assistance for a period of up to three years. In addition, families who receive EEC financial assistance as a result of false or misleading information may have to repay the financial assistance provided to them for all periods during which they were ineligible and may be subject to a civil fine and possible criminal prosecution.~~

3.6. Eligibility Self-Reporting *{effective December 23, 2009}*

All families are responsible for self-reporting substantial changes that might affect their eligibility to receive financial assistance for early education and care. Substantial changes must be reported immediately, but no later than 10 business days after the change takes place.

Substantial changes triggering self-reporting by a family receiving child care financial assistance may include:

- (1) "significant changes" in income,
- (2) employment change (e.g., loss of job, new employer, changes to schedule, etc.),
- (3) school and/or training schedule change,
- (4) family size change (e.g., changes to family composition and/or the number of children receiving care),
- (5) change in address, or
- (6) any other factor that may affect eligibility.

For purposes of this policy, a "significant change" in income is defined as a 20% increase or decrease in total household income. Unless there is a "significant change" in the total household income, the family is not required to report the change, nor is the CCR&R or contracted provider required to re-determine the families' copayment fee prior to the 12 month

reassessment appointment. If a significant change in the total household income occurs, which impacts the family's copayment fee, the effective date of the new copayment will be the first day of the month after the information is received by the CCR&R or contracted provider/system.

Although routine and/or minor changes in income (e.g., less than 20%) may not trigger self-reporting requirements, in some circumstances minor income changes may impact a family's eligibility. For this reason, it is in the best interests of all families receiving subsidized child care in the Commonwealth to report any change in income to their voucher manager. If contacted by a family to self-report 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 shall determine whether the reported change amounts to a substantial change requiring a reassessment of eligibility or redetermination of co-payment fee. All reported changes must be documented, in writing, in the case file, regardless of the need to conduct a reassessment or to re-determine the parent co-payment fee.

Additionally, families should be made aware of the fact that routine or minor income increases will 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 CCR&R and/or contracted provider/system should notify the family that a routine or minor change to a parent(s)' income may actually result in the family being ineligible for child care assistance; therefore, any increase in total household income must be reported to ensure continued eligibility.

When families report a change in their eligibility, within the annual assessment period, the CCR&R and/or contracted provider/system, may allow the family to mail or fax the required documentation to demonstrate their continued eligibility for EEC financial assistance. CCR&Rs and/or contracted provider/systems shall not be required to schedule a face-to-face reassessment.

A family's failure to report a substantial change in family status, as described above, to the CCR&R and/or the contracted provider/system within 10 business days **may** result in the termination of financial assistance and/or an improper payment of child care assistance that may subject the family to recoupment of any improper payments.



Chapter 4: Service Need

The service need is defined as the amount of time (during which EEC early education or out-of-school time care is available) that neither parent is available to care for the child because they are participating in an EEC approved activity or because the parents or their child meets one of the other eligibility criteria (See Chapter 3: Section 3.5).

4.0. Full Time and Part Time Service Need

4.0.1. Full Time Service Need

Families who participate in an EEC approved activity for at least 30 hours during the week may be eligible for full time care for eligible children, up to a maximum of 50 hours of care per week, in accordance with the schedule of their service activity(ies) or the schedule required by the parent's or child's special need.

Note: A parent/guardian participating in 12 credit hours or more of college courses will be eligible for a full-time service need, regardless of schedule (See Section 4.2.5 below).

4.0.2. Part Time Service Need

Families who participate in an EEC approved activity for at least 20 hours but less than 30 hours per week are eligible to receive part time care for eligible children, in accordance with the schedule of their service need activity, up to a maximum of 30 hours of care per week.

Note: Parents with a part time service need whose work hours coincide with before or after school program hours may receive EEC financial assistance for the before or after school program during the academic year. During the summer, the subsidy will be provided in accordance with the parent's schedule, for a maximum of 30 hours per week.

~~4.0.3. Travel Time *{repealed on April 2, 2010 and replaced with Section 4.0.3. below}*~~

~~All parent/guardian's may be eligible to add up to 5 hours per week of transportation time to and from the early education and care program to their participation hours in an EEC approved activity (See Chapter 3) for the purpose of determining the amount of care that they may receive.~~

4.0.3. Travel Time *{effective April 2, 2010}*

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. For purposes of establishing the minimum 20 hours of service need, travel time is not an approved activity. For a list of approved activities, please refer to 606 CMR 10.04(1)(b) or Section 3.5 of the EEC Financial Assistance Policy Guide. Parents/guardians that establish a minimum service need may be eligible to add up to 5 hours of travel time per week, provided that the travel is reasonably related to the time to/from their early education and care program to their work, education or training activity (as discussed in Chapter 3). For the purpose of determining the amount of care that a parent/guardian may receive for their child(ren), travel time may only be used to establish a need for full-time care, but shall not be used to establish a need for part-time care.

4.1. Service Need Eligibility Distinctions

Regardless of participation in an EEC approved activity, a parent/guardian may also be eligible for EEC financial assistance if they have a child with a documented special need, the parent/guardian has a documented special need, or the parent/guardian is age 65 years or older and retired, provided the family meets EEC financial assistance income criteria (See Chapter 1).

4.1.1. Child with a Documented Special Need

A parent with a child with a documented special need may be eligible for a full time service need, regardless of their parent's/guardian's participation in an EEC approved activity. In this instance, the parent/guardian must submit a completed *Verification of Special Needs* form in order to demonstrate a service need. On this form, the child's physician or other health professional must indicate the amount of time during which the child could benefit from access to an early education and care program. This amount should be used to determine if a child is eligible for full or part time care (See Section 4.0).

4.1.2. Parent/Guardian with a Documented Special Need

A parent/guardian with a documented special need must submit a completed *Verification of Special Need* form in order to demonstrate a service need. On this form, the parent's/guardian's physician or other health professional must indicate the amount of time during which the parent/guardian needs access to EEC subsidized care; this should be used to determine service need.

4.1.3. Parent/Guardian Age 65 or Older and Retired

A parent/guardian who is age 65 or older and retired must submit documentation of:

- Retirement income (See Chapter 3, Section 3.3.2); and
- Age (birth certificate, driver's license, passport, government identification, Social Security card).

If the applicant is a guardian, they must also submit verification of guardian status (See Chapter 3, Section 3.1.3).

4.2. Service Need Determinations

4.2.1. Homeless Families

The total service need of a homeless family (as defined in Table 3.5.2) shall be determined according to the parent's/guardian's schedule of participation in any combination of the following activities:

- An EEC approved activity;
- Up to 20 hours per week of housing search activities when required by DTA, HAP, or shelter;
- A maximum of 5 hours per week for counseling sessions, meetings with social workers, and assigned activities within shelter;
- A maximum of 5 hours per week of parenting workshops or training sessions; and/or

- Up to 5 hours per week of travel between activities listed above and the early education and care program or between activities and shelter, if the parent is responsible for transportation.

4.2.2. Overnight Shifts

Parents/guardians who work during the overnight shift (e.g., 11:00 p.m. to 7:00 a.m., or 12 p.m. to 8 a.m.), and are able to arrange (unsubsidized) care for their children during the parent(s)' work hours, are eligible to receive care to allow them to sleep during the daytime hours when subsidized care is available. EEC financial assistance will not be provided for care during sleeping hours for parents/guardians who work during evening hours (for example, 3 – 11 p.m. or 4 – 12 p.m.).

4.2.3. Rotating or Varying Schedules

In cases where the parent's/guardian's total number of hours of participations in an EEC approved activity(ies) varies each week, the average number of hours from the most recent four week period should be used to determine service need.

4.2.4. Teen Parents

The following teen parents will be eligible for a full time service need, regardless of schedule:

- Teen parents participating in a full time high school or GED program; and
- Teen parents participating in the Young Parents Program (YPP).²⁷

Service need for other teen parents shall be determined in accordance with their schedule of participation in an EEC approved activity (ies).

4.2.5. Service Need for Participation in College Courses

A parent/guardian participating in 12 credit hours or more of college courses will be eligible for a full-time service need, regardless of schedule. The service need for those participating in fewer than 12 credit hours of college courses should be calculated as follows: each credit hour counts as 2.5 hours of service need.

Credits for an online course may be counted when they are a part of a college student's official college course work.

During summer sessions, parents enrolled full time in college may continue to receive full time care, even though they are participating in less than 12 credits because the coursework during summer sessions is more intensive. EEC allows students enrolled in college courses during the summer to receive full time care when they are participating in full-time coursework as defined by the college or university they are attending, regardless of schedule. The intake agent should confirm the definition of full time summer enrollment with the college or university.

²⁷ The Young Parents Program (YPP) is intended to assist young parents pass the GED exam and achieve long-term economic independence. In addition, YPP provides: parenting classes, access to ESL and GED software, vocational training and placement, college placement, life skills, housing assistance, transportation, daycare access, counseling access, and referrals and access to other resources. To be eligible to participate in YPP, an individual must: 1) be between the ages of 14 and 20; 2) be parenting or pregnant; 3) be receiving TAFDC assistance from DTA or be under the age of 18 and living at home; and 4) not have a high school diploma.

4.2.6. Semester Breaks for Students

College students or GED students on semester break between fall and spring semester are considered to have a continuing service need, provided they submit evidence that they attended the fall semester and are registered for the spring semester.

Students should continue to receive care during summer breaks, provided they are participating in another EEC approved activity, excluding job search.

Students who do not to participate in an EEC approved activity during the summer are not eligible for summer care and their EEC financial assistance must be terminated for the summer; however, they should be prioritized for access to EEC financial assistance for the fall, in accordance with the EEC continuity of care categories listed in table 2.0.1.A.

4.2.7. 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 own 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.

4.2.8. Newly Employed Applicants

Newly employed applicants, including newly self-employed, must submit a completed *Employment Verification* form (See Appendix E) in order to demonstrate a service need.

4.3. Enrollment of Children Prior to the Start of or Between Service Need/Family Activity

In order to optimize transitions for children and families, families receiving EEC financial assistance may enroll their children in care up to two weeks prior to beginning a new job, school, or training program or between activities (e.g., going from school to employment).

Note: A family who is accessing EEC financial assistance for the first time and whose service need/family activity is seeking employment is initially eligible to receive 8 weeks of financial assistance. Such a family would **not** be eligible to receive an additional 2 weeks of EEC financial assistance prior to the beginning of an 8 week job search.

Chapter 5: Parent Co-Payments

Families receiving EEC financial assistance will be required to contribute to the cost of early education and care services through a parent co-payment (See Section 5.0.1 for parent co-payment exemptions for special populations).

5.0. Determination of Parent Co-Payments

A parent's co-payment level is based on the family's income and size. 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. Instructions on how to use the *Parent Co-Payment Schedule* are included in **Attachment A: Parent Co-Payment Schedule**. Please see Chapter 3, Section 3.3 for information regarding income sources which must be considered when determining a family's income level and co-payment amount.

5.0.1. Co-Payment Determination for Special Populations

5.0.1. A. Families Authorized by DTA

Fees will not be charged to parents who are authorized for care by DTA and have an open DTA case (i.e., families with voucher placement code of 1).

5.0.1. B. Foster Parents

Fees will not be charged to foster parents authorized for care by DCF.

5.0.1. C. Temporary Guardians

Fees will not be charged to temporary guardians.

5.0.2 Determining Half Day Co-Payments

To determine the co-payment for a child who attends a program for a half day, please divide the full day co-payment indicated in the *Parent Co-Payment Schedule* by two (2), with the exclusion of school age blended co-payments

5.0.3. Discount of Co-Payments for Siblings

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

1. Oldest child receiving EEC financial assistance: full fee;
2. Second **oldest** child receiving EEC financial assistance: ½ of full fee; and
3. **Each additional** child receiving EEC financial assistance: ¼ of full fee.

Children enrolled in EEC financial assistance on an intermittent basis should be treated as a younger sibling for the purposes of sibling discount procedure.

5.0.4. 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, CPC, or Head Start program) must do the following:

1. Inquire if the family has another child receiving EEC financial assistance;

2. Identify the provider with whom the sibling is placed;
3. Confirm the sibling's enrollment status by contacting the identified provider directly; and
4. Document confirmation of the sibling's enrollment status in the family's file.

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

5.1. Collection of Co-Payment

Collection of parent co-payment fees is the responsibility of the early education and care or out-of-school time program where the child whose family is receiving EEC financial assistance is placed.

5.1.1. Payments

5.1.1. A. Schedule of Payment

Payments must be made, at a minimum, in weekly amounts based on a daily fee.

All parent 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.²⁸

Timely reminders of payment may be used to help parents meet their payment schedule.

5.1.1. B. Deposit and Appropriate Payment for Services

An initial deposit, equal to the amount of the parent's weekly co-payment amount, will be required prior to the child's first day of care.

Parents must pay the appropriate co-payment amount for every day that care is available to the child, including:

- approved holidays/closures of the provider (per the provider's public handbook and policy or as approved by EEC); and
- child absences (due to illness and/or a maximum of two weeks of vacation per year).

Parents do **not** pay co-payment fees for days when care is not available due to the provider's illness, vacation, or other closing which is not approved in advance by EEC.

The amount of the parent co-payment may not exceed the stated daily reimbursement rate for subsidized care.

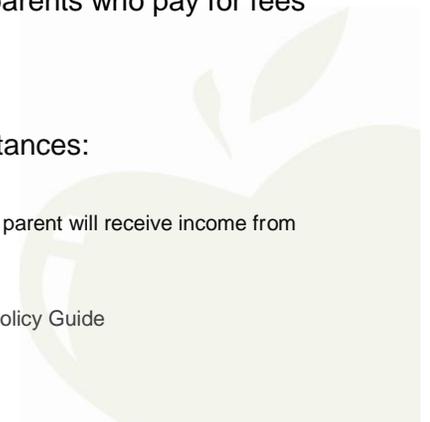
5.1.1. C. Collection of Co-Payment by Program Staff

Programs should designate a trained staff person or persons to be responsible for the collection of parent fees. Parents and other staff should be informed as to who is responsible for proper fee collection. Receipts must be provided to parents who pay for fees in cash.

5.1.2. Refunds

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

²⁸ Fees for newly employed parents are payable upon the first date of care, regardless of when the parent will receive income from new employment



- If a parent gives a ten day advance notice of a planned withdrawal from the program and pays the fee for the last week, the initial deposit shall be refunded.
- 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 shall be promptly issued by check within five days of receiving notice of EEC's decision.

5.1.3. Late Payments

Providers shall establish their own policies to address late payments by all parents, provided that 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 termination for non-payment or establishment of an alternative payment schedule. Providers must provide parents with a copy of their late payment policy at the time of enrollment, or two weeks prior to any 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 provider's late payment policy must be implemented consistently with all parents.

For termination of services as a result of late payment or unpaid payment of parent co-payment fees, see Chapter 7.

5.2. Additional Fees

Providers shall not charge parents, for whom they are receiving EEC financial assistance funding, any additional "registration," application, field trip, special activity, food for special events, or materials fees for participation in their program, or surcharges for late payments of parent fees.

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, when not paid by EEC. Only providers who have signed a transportation addendum as part of their provider agreement or who hold a transportation contract with EEC are allowed to provide transportation with EEC funding. At their discretion, 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 in care beyond program hours due to late pick-up by parents, and for bank fees resulting from checks deposited against overdrawn accounts (e.g., bounced checks).



Chapter 6: Reassessment

6.0. Eligibility Reassessment

A family's documentation of income, activity (service need), family size, and residence must be updated upon each reassessment. When possible, this communication should occur through phone, mail, or fax to facilitate access for families. Parent co-payments must be updated upon reassessment to reflect any family income changes.

Upon 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 document special need).

6.1. Reassessment Period

A 12 month reassessment period applies to the following families:

- Families originally receiving 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
- All families receiving 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 already receiving EEC financial assistance (i.e., existing families) may be authorized to receive an additional 4 weeks of job in extraordinary circumstances.
 - **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.²⁹
 - **Self-employed:** Newly self-employed parents/guardians must be initially 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 initially reassessed within 8 weeks; each additional reassessment should occur every 12 months.

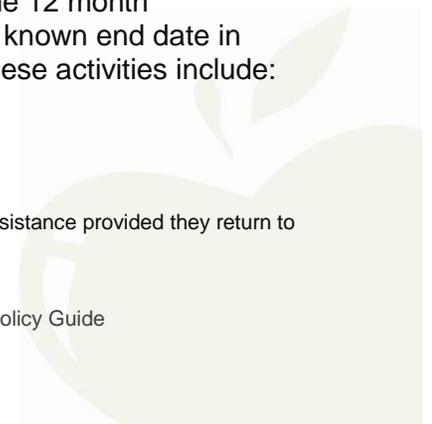
Note: Families receiving EEC financial assistance for supportive child care (i.e., referred for care by DCF) and families receiving EEC financial assistance through a DTA authorization whose DTA case is open (i.e., families with a code of 1) will continue to be reassessed according to the length of authorization provided by DCF and DTA respectively.

6.1.1. Reassessment for Applicants with an Activity Shorter than 12 Months

Parents/guardians whose eligible activity is **scheduled** to end prior to the 12 month reassessment period must be contacted prior to the end of the activity's known end date in order to verify their continued eligibility for EEC financial assistance. These activities include:

- Newly self-employed (12 weeks);

²⁹ A parent/guardian returning from maternity leave may continue to be eligible for EEC financial assistance provided they return to any EEC approved activity except for job search.



- College (documented end of school year);
- High school (documented end of school year);
- GED and training programs (documented end date of program);
- Temporary special need (documented end date of special need);
- Job search (8 weeks); and
- Maternity leave (up to 12 weeks, based on employer allowance).

Parents/guardians must submit documentation of continued eligibility for EEC financial assistance prior to the end date of their eligible activity. When possible, CCR&Rs, contracted providers, and CPC programs should communicate with parents/guardians by phone, mail, or fax to facilitate the reassessment process for families.

Parents/guardians who do not submit the documentation required to determine their continued eligibility for EEC financial assistance shall have their assistance terminated. (See Chapter 7, Terminations and Reductions)

Summary of Length of Reassessment Period by Service Need

Table 6.1

Activity	Length of Reassessment
DTA Authorization: coded as 1 (voucher)	As authorized by DTA
Transitional DTA: coded as 2 (voucher)	12 months, or as authorized by DTA
Post Transitional DTA: coded as 3 (voucher)	12 months
DCF Supportive Referral (contract and supportive expansion vouchers)	As authorized by DCF
Child in Foster Care (voucher)	12 months
Teen Parent	12 months
Income Eligible: Working	12 months; newly employed must be initially reassessed within 8 weeks; each additional reassessment should occur every 12 months.
Income Eligible: Education/Training	12 months
Income Eligible: Homeless	12 months
Income Eligible: Guardian over 65 and retired	12 months
Income Eligible: Parent with a Special Need	12 months; parents/guardians with a temporary special need must be reassessed prior to the documented end date of the special need
Income Eligible: Child with a Special Need	12 months; parents/guardians with a child who has a temporary special need must be reassessed prior to the

Activity	Length of Reassessment
	documented end date of the child's special need
Maternity (Parental) Leave	Up to 12 weeks, based on employer allowance
Self Employed	Newly self-employed parents/guardians must be initially reassessed within 12 weeks; each additional reassessment should occur on April 30 th or within 12 months of the previous reassessment, whichever comes first.
Job Search	Initial: 8 weeks; existing families may receive up to 4 additional weeks in extraordinary circumstances

6.2. Notification of Reassessment

Parents/guardians must be notified in writing 45 days prior to reassessment in order to provide both the family and the intake agent sufficient time to schedule an appointment, if necessary, or to mail or fax the required documentation to demonstrate their continued eligibility for EEC financial assistance.

Notification of reassessment should inform parents/guardians that failure to submit the documentation required to determine their continued eligibility for EEC financial assistance shall result in their financial assistance being terminated. (See Chapter 7, Terminations and Reductions.)

6.3. Continuation of EEC Financial Assistance upon Reassessment

Continuity of Care refers to the *continuation* of EEC financial assistance services for a child who is already receiving EEC financial assistance in the form of an EEC contract, voucher, or CPC scholarship, provided that the child remains eligible.

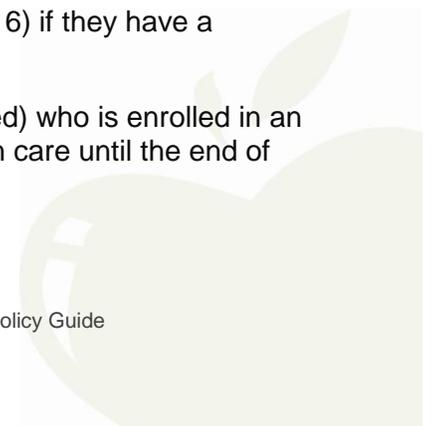
Families who have a change in activity, income, or family size or composition (including DTA authorized families who lose their authorization and children who experience a change in child custody) upon reassessment or who are reassessed due to a reported change in activity, income, family size or composition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

Please see Section 2.0.1A (Continuity of Care) for instances in which a family should receive priority access to EEC financial assistance in order to ensure continuity of care for the child(ren) in care.

6.3.1. Continuity of Care for Older School Age Children

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

- A child turning age 13 (or age 16 with a documented special need) who is enrolled in an out-of-school time program during the school year may remain in care until the end of the school year.



- A child turning 13 (or age 16 with a documented special need) who is enrolled in a summer camp or program which takes place during the summer may remain in the program until the end of the summer.



Chapter 7: Termination and Reductions

EEC financial assistance must be terminated under the following circumstances:

- lack of a continuing service need;
- lack of financial eligibility;
- non-payment of fees or late payment;
- unexplained or excessive absence; or
- failure to submit required documentation at reassessment.

Similarly, if a family's service need changes from full time to part time, or otherwise diminishes, the amount of care funded through EEC financial assistance must be reduced accordingly.

7.0. Service Need or Income Criteria

If reassessment indicates that the family no longer meets EEC service need or income requirements, the child care provider or intake agency must notify the family in writing that their EEC financial assistance will end.

The last day of EEC subsidized care will be the proposed end date on the termination notice, the authorization end date (noted on the Child Care Application and Fee Agreement), or the voucher/scholarship end date, whichever date is earlier.

However, if the parent/guardian files with EEC a request for review (See Chapter 8) of the decision to terminate or reduce services, the family may continue to receive subsidized care at the previous level until the outcome of the EEC Review Process, provided that all undisputed parent fees continue to be paid, and the child continues to attend in accordance with EEC attendance policy.

7.1. Failure to Pay Required Fees

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

A *Notice of Termination/Reduction of Financial Assistance for Child Care*³⁰ must be mailed or handed to the parent/guardian **two weeks** prior to termination of care (CCR&Rs and contracted providers should continue to use form in its current format and CPCs should continue to use their own processes; The form will be updated by Fall 2007 to include CPC scholarships). A *Notice of Termination/Reduction of Financial Assistance for Child Care* includes information on how and under what circumstances the family may seek an EEC review of the termination decision if they wish to do so and states 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.

However, 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 and all subsequent 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

³⁰ CCR&Rs and contracted providers should continue to use the *Notice of Termination/Reduction of Financial Assistance for Child Care* form in its current format and CPCs should continue to follow their own processes. A new form for use by all EEC financial assistance programs is currently under development.

parent. The review will be limited to determining whether the amount of the fees assessed is correct.

If a *Notice of Termination/Reduction of Financial Assistance for Child Care* is sent or given to a parent because of unpaid fees, the provider may retain the parent's initial one 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.

7.2. Unexplained or Excessive Absence

A *Notice of Termination/Reduction of Financial Assistance for Child Care* shall be issued in instances of excessive or unexplained child absences.

7.2.1. Definition of Explained Absence

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

7.2.2. Definition of Excessive or Unexplained Absence

Excessive absence is defined as:

- 11 or more absences due to illness or emergency within a 30 day period, or more than 10 service days of vacation per year; OR
- three consecutive unexplained absences.

7.2.3. Action in Cases of Excessive or Unexplained Absences

The provider/intake agency must attempt to contact the family after three consecutive days of unexplained absence. A doctor's note which specifies why a child is ill and an expected return date will be required for absences which exceed 10 days. If a child is anticipated to have an extended medical absence, the provider/intake agency should terminate the child's subsidy and prioritize the child for re-enrollment. Please see Table 2.0.1.A for prioritizing children removed from EEC financial assistance on the EEC centralized Waiting List.

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 *Notice of Termination/Reduction of Financial Assistance for Child Care* directly to the parent/guardian. Providers accepting a voucher or CPC payment must contact the CCR&R or CPC Lead Agency to discuss whether EEC financial assistance should be terminated.

A *Notice of Termination/Reduction of Financial Assistance for Child Care* may be issued by handing it to the parent/guardian in person or by sending it to him/her through the mail. Such notice is effective on the date that it is handed to or sent to the parent/guardian, and care will terminate fourteen days later. It is important that providers and intake agencies maintain accurate records of when notices are issued.

It is important that the *Notice of Termination/Reduction of Financial Assistance for Child Care* form be used consistently with all parents and in accordance with EEC policy and the provider's policies, as applicable.

7.3. 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 shall result in the termination of EEC financial assistance.

Parents/guardians must be notified in writing 45 days prior to their reassessment date, informing them that reassessment is required to verify continued eligibility for EEC financial assistance (See Section 6.2). If a parent/guardian does not submit required documentation at time of reassessment, the provider or intake agency shall issue *A Notice of Termination/Reduction of Financial Assistance for Child Care*.

A Notice of Termination/Reduction of Financial Assistance for Child Care may be issued by handing it to the parent/guardian in person or by sending it to him/her through the mail. Such notice is effective on the date that it is handed to or sent to the parent/guardian, and care will terminate fourteen days later. A termination shall not occur prior to the parent/guardian's reassessment date. It is important that providers and intake agencies maintain accurate records of when notices are issued.

It is important that the *Notice of Termination/Reduction of Financial Assistance for Child Care* form be used consistently with all parents and in accordance with EEC policy and the provider's policies, as applicable.

7.4. Voluntary Termination

Parents/guardians are expected to notify programs at least two weeks in advance of a planned termination. If parents/guardians provide at least ten service 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 need not give two weeks' notice of intent to withdraw the sibling of any child terminated by the program.

Chapter 8: EEC Financial Assistance Complaint and Investigation Process

8.0. Complaints

A complaint is an expression of dissatisfaction or concern conveyed to a Department of Early Education and Care (EEC) staff person that alleges a violation of EEC contracting standards, or EEC financial assistance policy or regulations. Complaints may be filed against any EEC intake agency or 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 receiving 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 Child Care Resource and Referral Agency or CPC Lead Agency; or
- an in-home (either relative or non-relative) child care provider.

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

The CCR&R, CPC, and subsidized providers will report any financial assistance complaints directly to the EEC central office. Complaints should be directed to the EEC Financial Assistance Unit.

8.0.1. Request for Review

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

- denies, terminates or reduces the parent's EEC financial assistance;
- assesses a parent 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 policy in the review process. The scope of the review shall be limited to determining whether the intake agency or contracted provider acted in accordance with EEC financial assistance regulations and policy.

8.0.1. A. Filing a Request for Review

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

- notice that their child care is being terminated or their access being reduced; or

- an action or determination by the provider or intake agency that the parent has violated EEC financial assistance regulations or policy.

The parent may submit evidence in support of his/her request, such as documents or receipts. In order to make such evidence a part of the record, the parent must submit such evidence within 14 days of submitting the request for review.

The form that parents/guardians may use to request a review may be found on the EEC website.³¹ For more information regarding the review process, please see 606 CMR 10.13: Review Process.

8.1. Investigations

EEC fully expects that all families receiving EEC financial assistance comply with all relevant EEC financial assistance policies. If an intake agency or provider suspects that a recipient of EEC financial assistance is providing false or misleading information, thereby impacting their eligibility for EEC financial assistance, they should report the incident to the Financial Assistance Unit in the EEC central office for further investigation.

³¹ A new request for review form for use by all EEC financial assistance programs is currently under development.



Income Eligibility Table

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 may remain income eligible if their income remains at or below 85% SMI, provided they continue to meet EEC activity requirements.

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

Step 1: Use This Form to Determine Family 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. Then read directly across to the left to determine "Percent State Median Income" (SMI).

% of State Median Income (SMI)	Family of Two		Family of Three		Family of Four		Family of Five		Family of Six		Family of Seven		Family of Eight		Family of Nine	
	Annual	Monthly*	Annual	Monthly	Annual	Monthly	Annual	Monthly	Annual	Monthly	Annual	Monthly	Annual	Monthly	Annual	Monthly
50% SMI	\$33,511	\$2,793	\$41,396	\$3,450	\$49,281	\$4,107	\$57,166	\$4,764	\$65,051	\$5,421	\$66,529	\$5,544	\$68,007	\$5,667	\$69,486	\$5,790
85% SMI	\$56,968	\$4,747	\$70,372	\$5,864	\$83,777	\$6,981	\$97,181	\$8,098	\$110,586	\$9,215	\$113,098	\$9,425	\$115,612	\$9,634	\$118,125	\$9,844
100% SMI	\$67,021	\$5,585	\$82,791	\$6,899	\$98,561	\$8,213	\$114,331	\$9,528	\$130,101	\$10,842	\$133,057	\$11,088	\$136,014	\$11,335	\$138,971	\$11,581

% of State Median Income (SMI)	Family of Ten		Family of Eleven		Family of Twelve	
	Annual	Monthly	Annual	Monthly	Annual	Monthly
50% SMI	\$70,964	\$5,914	\$72,443	\$6,037	\$73,921	\$6,160
85% SMI	\$120,639	\$10,053	\$123,152	\$10,263	\$125,666	\$10,472
100% SMI	\$141,928	\$11,827	\$144,885	\$12,074	\$147,842	\$12,320

EEC Financial Assistance Table

Parent Co-Payment Table

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. Then read directly across to the right until you are under the “Daily Fee” column.

GROSS MONTHLY INCOME								PARENT CO-PAYMENT				FEE LEVEL	
Family of Two	Family of Three	Family of Four	Family of Five	Family of Six	Family of Seven	Family of Eight	Family of Nine		Daily Fee	Weekly Fee	Daily Fee SACC Blended	Weekly Fee SACC Blended	
\$0-971	\$0-1180	\$0-1421	\$0-1663	\$0-1905	\$0-2146	\$0-2387	\$0-2630	→	\$-	\$-	\$-	\$-	1
\$972-1095	\$1181-1260	\$1422-1499	\$1664-1739	\$1906-1980	\$2147-2205	\$2388-2450	\$2631-2675	→	\$2.00	\$10.00	\$1.20	\$6.00	2
\$1096-1219	\$1261-1340	\$1500-1575	\$1740-1825	\$1981-2080	\$2206-2315	\$2451-2575	\$2676-2775	→	\$3.00	\$15.00	\$1.80	\$9.00	3
\$1220-1380	\$1341-1420	\$1576-1675	\$1826-1900	\$2081-2180	\$2316-2550	\$2576-2700	\$2776-2825	→	\$4.50	\$22.50	\$2.70	\$13.50	4
\$1381-1457	\$1421-1529	\$1676-1799	\$1901-2087	\$2181-2380	\$2551-2675	\$2701-2800	\$2826-2940	→	\$5.50	\$27.50	\$3.30	\$16.50	5
\$1458-1540	\$1530-1675	\$1800-1900	\$2088-2150	\$2381-2500	\$2676-2800	\$2801-2900	\$2941-3050	→	\$6.50	\$32.50	\$3.90	\$19.50	6
\$1541-1634	\$1676-1760	\$1901-2000	\$2151-2260	\$2501-2650	\$2801-2900	\$2901-3000	\$3051-3125	→	\$7.50	\$37.50	\$4.50	\$22.50	7
\$1635-1725	\$1761-1850	\$2001-2175	\$2261-2435	\$2651-2800	\$2901-3000	\$3001-3100	\$3126-3242	→	\$8.00	\$40.00	\$4.80	\$24.00	8
\$1726-1843	\$1851-1931	\$2176-2250	\$2436-2550	\$2801-3000	\$3001-3100	\$3101-3200	\$3243-3340	→	\$8.50	\$42.50	\$5.10	\$25.50	9
\$1844-1986	\$1932-2414	\$2251-2874	\$2551-3333	\$3001-3793	\$3101-3879	\$3201-3966	\$3341-4052	→	\$9.00	\$45.00	\$5.40	\$27.00	10
\$1987-2186	\$2415-2476	\$2875-3130	\$3334-3550	\$3794-3900	\$3880-4030	\$3967-4100	\$4053-4125	→	\$12.50	\$62.50	\$7.50	\$37.50	11

\$2187-2286	\$2477-2676	\$3131-3340	\$3551-3800	\$3901-4000	\$4031-4132	\$4101-4199	\$4126-4249	→	\$15.00	\$75.00	\$9.00	\$45.00	12
\$2287-2429	\$2677-2876	\$3341-3550	\$3801-4100	\$4001-4199	\$4133-4350	\$4200-4499	\$4250-4599	→	\$16.50	\$82.50	\$9.90	\$49.50	13
\$2430-2573	\$2877-3076	\$3551-3760	\$4101-4363	\$4200-4500	\$4351-4700	\$4500-4799	\$4600-4899	→	\$17.50	\$87.50	\$10.50	\$52.50	14
\$2574-2717	\$3077-3277	\$3761-3970	\$4364-4607	\$4501-4966	\$4701-4998	\$4800-5099	\$4900-5149	→	\$19.00	\$95.00	\$11.40	\$57.00	15
\$2718-2860	\$3278-3477	\$3971-4180	\$4608-4851	\$4967-5444	\$4999-5549	\$5100-5650	\$5150-5699	→	\$20.50	\$102.50	\$12.30	\$61.50	16
\$2861-3004	\$3478-3677	\$4181-4490	\$4852-5095	\$5445-5939	\$5550-6074	\$5651-6209	\$5700-6344	→	\$22.00	\$110.00	\$13.20	\$66.00	17
\$3005-3132	\$3678-3869	\$4491-4606	\$5096-5342	\$5940-6079	\$6075-6217	\$6210-6355	\$6345-6494	→	\$23.00	\$115.00	\$13.80	\$69.00	18
\$3133-3322	\$3870-4104	\$4607-4885	\$5343-5667	\$6080-6433	\$6218-6595	\$6356-6743	\$6495-6887	→	\$24.00	\$120.00	\$14.40	\$72.00	19
\$3323-3410	\$4105-4210	\$4886-5012	\$5668-5812	\$6434-6615	\$6596-6765	\$6744-6915	\$6888-7066	→	\$25.00	\$125.00	\$15.00	\$75.00	20
\$3411-3549	\$4211-4380	\$5013-5214	\$5813-6047	\$6616-6883	\$6766-7039	\$6916-7195	\$7067-7350	→	\$26.00	\$130.00	\$15.60	\$78.00	21
\$3550-3685	\$4381-4551	\$5215-5418	\$6048-6285	\$6884-7153	\$7040-7314	\$7196-7477	\$7351-7639	→	\$27.00	\$135.00	\$16.20	\$81.00	22
\$3686-3908	\$4552-4828	\$5419-5747	\$6286-6666	\$7154-7586	\$7315-7758	\$7478-7932	\$7640-8103	→	\$28.00	\$140.00	\$16.80	\$84.00	23
\$3909-4885	\$4829-6035	\$5748-7184	\$6667-8333	\$7587-9483	\$7759-9698	\$7933-9915	\$8104-10129	→	\$29.00	\$145.00	\$17.40	\$87.00	24
\$4886-5150	\$6036-6325	\$7185-7550	\$8334-8750	\$9484-9950	\$9699-10300	\$9916-10400	\$10130-10650	→	\$32.00	\$160.00	\$19.20	\$96.00	25
\$5151-5400	\$6326-6625	\$7551-7900	\$8751-9200	\$9951-10400	\$10301-10750	\$10401-10900	\$10651-11150	→	\$35.00	\$175.00	\$21.00	\$105.00	26
\$5401-5650	\$6626-6925	\$7901-8250	\$9201-9550	\$10401-10950	\$10751-11150	\$10901-11400	\$11151-11650	→	\$38.00	\$190.00	\$22.80	\$114.00	27
\$5651-5849	\$6925-7225	\$8251-8601	\$9551-9978	\$10951-11353	\$11151-11611	\$11401-11869	\$11651-12126	→	\$41.00	\$205.00	\$24.60	\$123.00	28

Appendix B: Income Excluded from Income Eligibility Determination

All of the following income sources should be *excluded* from a family's income when determining whether the family meets EEC income 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

1. 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;
2. Payments made under the Radiation Exposure Compensation Act of 1990;
3. Payments made to individuals because of their status as victims of Nazi persecution in accordance with Public Law 103-286;
4. Veterans Benefits Payments to a female Vietnam veteran made on behalf of a child with birth defects or spina bifida;
5. Agent Orange Settlement Fund payments made to Vietnam veterans or their survivors in accordance with public law 101-201, January 1, 1989;
6. Any payment received under the uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970; and
7. 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 Worker's 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 children under the age of 21;
5. Gifts and lump sum inheritance; and
6. Lump sum insurance payments.



~~Appendix C: Verification of Special Needs Form~~ *{repealed on April 2, 2010 and replaced with Appendices C.1 and C.2 below}*

~~Verification of Special Need for Children and Families~~

~~The Department of Early Education and Care (EEC) provides financial assistance for eligible families to enroll in an early education and care program. Eligible families must meet income requirements and be participating in an approved activity such as work, school, or training. Families may be exempt from the activity requirement if a parent or child has a documented physical, health, emotional, and/or mental disability or special need. The purpose of this form is to document the disability/special need and to demonstrate how, based on the nature of the disability/special need, the child would benefit from participation in an early education and care program. Please complete and sign one form for each child/family with special needs.~~

~~Section I: Special Needs Verification (to be completed by the professional)~~

~~(Parent/Guardian must complete and sign Section II before any medical release information is provided)~~

~~1) Professional role (check one — only professionals in roles listed below may complete this verification form):~~

- ~~Physician Psychiatrist Psychologist
 Nurse Practitioner Psychiatric Nurse Certified Physician's Assistant
 Licensed Independent Clinical Social Worker (LICSW)
 Early Intervention Program Director (child must have a current IFSP)
 Special Education Staff Person (child must have a current IEP or 504 plan)~~

~~2) Diagnosed individual: _____~~

~~Provide information about only the individual named in the medical records release above.~~

~~3) I see this individual daily weekly monthly~~

~~_____ other (specify frequency) _____~~

~~4) This individual is a:~~

- ~~Child with Special Need(s)/Disability (answer question 5a, skip question 5b)
 Parent/Guardian with Special Need(s)/Disability (skip question 5a, answer question 5b)~~

~~The parent/guardian's special need may include caring full time for a child with a special need, thus necessitating care for one of their other children.~~



5a) Nature of **Child's** special need(s)/disability (*check all that apply*):

- Autism Emotional Impairment Developmental Delay
 Physical Impairment Cognitive Impairment Specific Learning Disability
 Sensory Impairment Health Impairment Communication Impairment
 Neurological Impairment

and based on the nature of the child's disability, how will the child benefit from enrollment in an early education and care program (*check all that apply*)?

- Increased socialization Specialized instruction Age appropriate activities
 Other _____

5b) Nature of **Parent's/Guardian's** special need(s)/disability (*check all that apply*):

- Parental depression Substance abuse Terminal illness Mental illness
 Chronic illness Disability
 Other child in family with a special need/disability requires full time care by parent during the day

and how does the parent's/guardian's special needs impact his or her ability to care for the child needing access to a early education and care program?

- Parent is in treatment during the day
 Due to special need/disability parent is not able to care for child during the day
 Other child's special need/disability requires full time care by parent during the day
 Other _____

6) a. What amount of time (in hours/day) of early education and care do you recommend for the child?

- Part day (<6 hours/day) Full day (6 hours/day or more) Other: _____ hours/day

b. What amount of time (in days/week) of early education and care do you recommend for the child?

- Five days/week Other: _____ days/week

7) What is the expected duration of the disability/special needs?

In the case of a parent with a child with a special need/disability requiring full time care by the parent during the day, please indicate the duration of the parent's need to care for this child during the day.

- Less than 6 months Permanent 6 months to 1 year
 Unknown Longer than one year, not permanent



8) Required documentation attached to this verification form:

~~For a parent with a special need, only 8a is required. In the case where care is requested because the "other child has a special need/disability" and the parent is caring for this child, verification of this child's special need/disability must be documented as described in 8b and the child needing access to an early education and care program must be documented as outlined in 8a.~~

For a child with a special need, 8a or 8b are required.

~~a. A letter on official letterhead of the professional completing this form providing specific information about the special needs (child and/or parent) that establishes the relationship between the nature of the special needs, the amount of time recommended in child care, and how the child will benefit from being enrolled in an early education and care program.~~

~~b. A current Individualized Education Programs (IEP)
 A current Individualized Family Service Plan (IFSP) _____
 A current Section 504 plan~~

~~a) Return original verification form and required documentation (as indicated in #8a) attachment to:~~

~~_____ adhere mailing label here _____

_____~~

~~b) Return one copy of this verification form and required documentation (as indicated in #8) to parent/guardian.~~

~~Signature of professional: _____~~

~~Date: _____~~

Please print

~~Name: _____~~

~~Title: _____~~

~~Address: _____~~

~~Phone: _____~~

Section II: Medical Records Release (to be completed by the parent/guardian)

I am requesting financial assistance for child care based on my *(circle one)* child's / family's special need(s). I authorize the professional listed in Section I to release the information requested on this form for this following individual: _____, and I also authorize the professional to share medical records or other information about the disability and/or special needs listed in Section I with the Child Care Resource and Referral agency (CCR&R), Community Partnerships for Children Program (CPC), child care provider, and/or Department of Early Education and Care (EEC) in order to determine eligibility for financial assistance for child care. I further authorize the CCR&R, CPC, child care provider and/or EEC to contact the professional listed in Section I to verify the information provided on this form and to discuss his/her diagnosis of a disability and/or special needs **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 exceptions. The professional listed in Section I cannot disclose certain medical or health information unless such disclosure is authorized. Please check the box next to the each item below if you specifically authorize the professional listed in Section I to share the information described therein.~~

~~___ I authorize the professional listed in Section I to share information about AIDS/HIV status.~~

~~___ I authorize the professional listed in Section I to share information about drug or alcohol use.~~

~~___ I authorize the professional listed 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 listed in Section I.~~

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

~~Furthermore, I understand that my decision to authorize the professional listed in Section I to share medical information with the CCR&R, CPC, child care provider, and/or EEC is voluntary. However, I understand that if I do not authorize the professional listed in Section I to share medical information with the CCR&R, CPC, child care provider, and/or EEC, the CCR&R, CPC, child care provider, and/or EEC will not be able to make a determination regarding a disability or special needs, and the decision about eligibility for financial assistance for child care will be made without consideration of the disability or special needs claimed.~~

~~Parent's/Guardian's Signature: _____~~

~~Date: _____~~

~~**(Please Print Below)**~~

~~Parent's/Guardian's Name: _____~~

~~Child's Name & Age: _____~~

~~Address: _____~~

~~Phone: _____~~



Appendix C.1: Verification of Disability/Special Needs for Children {effective April 2, 2010}

MASSACHUSETTS DEPARTMENT OF EARLY EDUCATION AND CARE

Verification of Disability/Special Need 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 time care programs in Massachusetts.³² **Child care financial assistance funded by CCDF is not an entitlement.**³³ Federal and state regulations establish maximum household income thresholds and require parents to participate in an approved service need activity, including work, education or training program.³⁴ 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.³⁵ CCDF funded child care cannot be authorized for purposes of providing respite care (e.g. to give a parent time off from parenting).³⁶

On a case by case basis, a child may access early education and out of school time 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 “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 twofold: (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.

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, s/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.

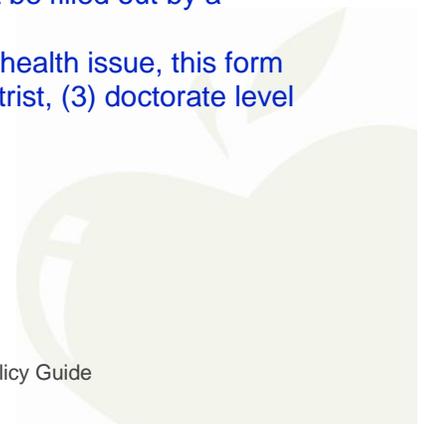
³² See G.L. c. 15D, § 2.

³³ See 42 U.S.C. 9858(d)(a).

³⁴ See 45 CFR 98.20 and 606 CMR 10.04.

³⁵ *Id.*

³⁶ See 45 CFR 98.20 and Federal Register/Vol. 63, No. 142 @ p. 39948-39949.



- 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 time 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: _____

Please note 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 also 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, in order to determine eligibility for financial assistance for child care. 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 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 the 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 also understand that, even if I cancel this release, the professional cannot take back any information that s/he has shared with the CCR&R, child care provider, and/or EEC when s/he had the authorization to do so.

Furthermore, 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 with the CCR&R, child care provider, and/or EEC, 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 & age: _____

Address: _____ Phone: _____

Second Parent/Guardian _____

Address (if different from above) _____ Phone: _____



Appendix C.2: Verification of Disability/Special Needs for Parent/Guardian *{effective April 2, 2010}*

MASSACHUSETTS DEPARTMENT OF EARLY EDUCATION AND CARE

Verification of Disability/Special Need 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 time care programs in Massachusetts.³⁷ **Child care financial assistance funded by CCDF is not an entitlement.**³⁸ Federal and state regulations establish maximum household income thresholds and require parents to participate in an approved service need activity, including work, education or training program.³⁹ 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.⁴⁰ **CCDF funded child care cannot be authorized for purposes of providing respite care** (e.g. to give a parent time off from parenting).⁴¹

On a case by case basis, 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 shall submit request a variance, in accordance with EEC policy.

The purpose of this verification form is threefold (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).

SECTION I: DISABILITY/SPECIAL NEEDS VERIFICATION (to be completed by the professional)

The individual identified below has stated that s/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. S/he has requested EEC provide financial assistance to enroll his/her children in an early education and care program because s/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.

³⁷ See G.L. c. 15D, § 2.

³⁸ See 42 U.S.C. 9858(d)(a).

³⁹ See 45 CFR 98.20 and 606 CMR 10.04.

⁴⁰ *Id.*

⁴¹ See 45 CFR 98.20 and Federal Register/Vol. 63, No. 142 @ p. 39948-39949.



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:

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?

6. I currently see this individual:

- daily weekly monthly other (specify frequency) _____

7. How does the disability/special need impact his/her 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; or
 Other: _____

8. 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

9. 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: _____

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

Furthermore, 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 with the CCR&R, child care provider, and/or EEC, 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: _____

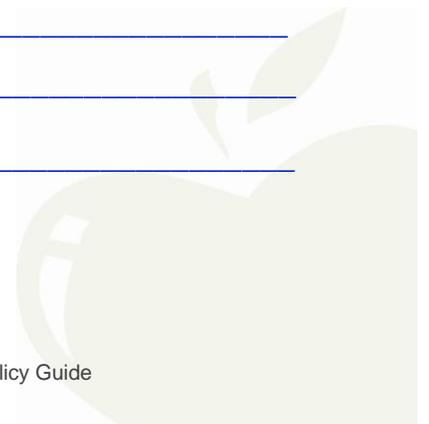
Child's name & age: _____

Address: _____ Phone: _____

Second Parent/Guardian _____

Address (if different from above): _____

Phone (if different from above): _____



Appendix D: 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, i.e. 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.

In order to help you understand EEC's policies regarding self-employment income and the information that you will need to provide to determine your eligibility for EEC financial assistance, EEC has prepared this self-employment information packet. This packet 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 of the documentation that you must provide to determine your eligibility for EEC financial assistance.

Please note that in addition to providing information about income, self-employed parents, like all parents applying for EEC financial assistance, must also document their service need, or reason for needing care. The attached *EEC Report of Self-Employment Earnings* form includes a section that asks 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 for these hours of work.

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 [<insert EEC contact phone number or e-mail address>](#) .

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)⁴²: _____
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 20-25 hours per week.

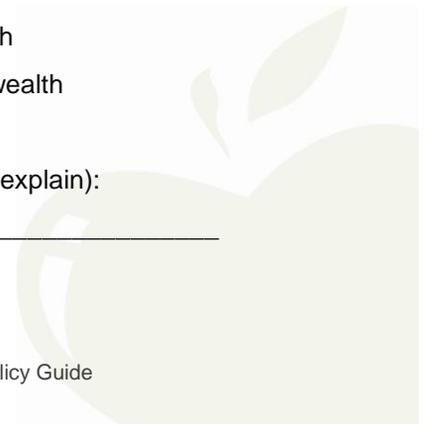
8. Days and Times of the Week Worked**: _____
(e.g., Monday, Wednesday, and Friday from 9:00 a.m.-3p.m.)

**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):

⁴² Also known as a Federal Identification Number



Section IV: Monthly Self-Employment Income and Expenses

Please report your self-employment income and expenses for **each of the last three 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 these 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: _____

List 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)

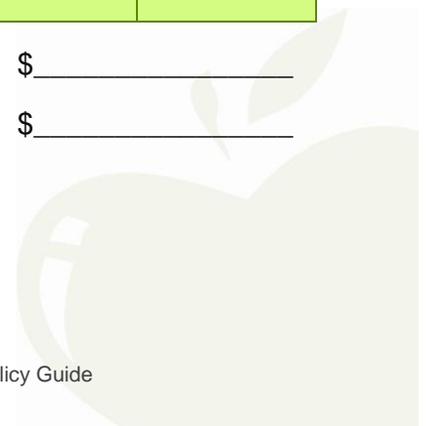
A. Monthly Gross Receipts or Sales (including all tips) \$ _____

Monthly Business Expenses

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

B. Total Monthly Business Expenses (Add together lines 1 through 19) \$ _____

C. Net Monthly Business Income (Subtract line B from line A) \$ _____



Parent's/Guardian's Name: _____

Name of Self-Employed Family Member Whose Earnings are Listed on this Worksheet
(if different from above):

Month: _____

List 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)

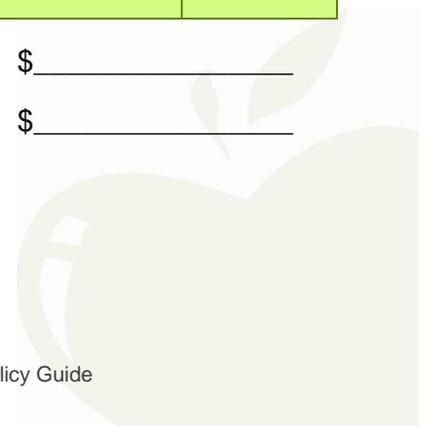
A. Monthly Gross Receipts or Sales (including all tips) \$ _____

Monthly Business Expenses

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

B. Total Monthly Business Expenses (Add together lines 1 through 19) \$ _____

C. Net Monthly Business Income (Subtract line B from line A) \$ _____



Parent's/Guardian's Name: _____

Name of Self-Employed Family Member Whose Earnings are Listed on this Worksheet (if different from above):

Month: _____

List month and year (e.g., January 2007)
(e.g., 30 hours)

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

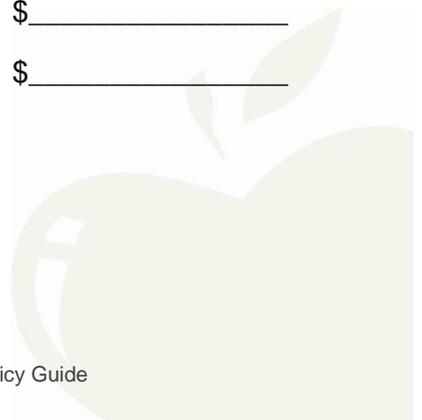
A. Monthly Gross Receipts or Sales (including all tips) \$ _____

Monthly Business Expenses

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

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, Community Partnerships for Children program, 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 ten 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 a time period of up to three 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: _____

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

Date: _____



Appendix E: Employment Verification Form

The Department of Early Education and Care (EEC) provides financial assistance for early education and care to eligible Massachusetts families. In order to be eligible, 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 can not yet provide pay stubs which document his/her income for one month (four weeks within the most recent six 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.

This information helps EEC determine whether 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), Community Partnerships for Children program (CPC), or contracted child care provider. It is important that the form be completed and returned 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 *Appendix A: Monthly Work Schedule Worksheet*. After completing these Sections and, if necessary, Appendix A, you should make and retain a copy of this form for your records and then give the form to the person verifying your employment.
3. If you are a new employee of a business or are an existing employee of a business who is paid in cash, you must give this form to your employer to complete Section IV and send to the CCR&R, CPC, 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 to the CCR&R, CPC, 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 to the CCR&R, CPC, or contracted child care provider.

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

Instructions for Person Verifying Employment:

Please complete Section IV of this form. Please make and retain a copy of the form for your records and send the original along with any supporting documentation to the CCR&R, CPC, or contracted child care provider listed on page 6 of this form.

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.*

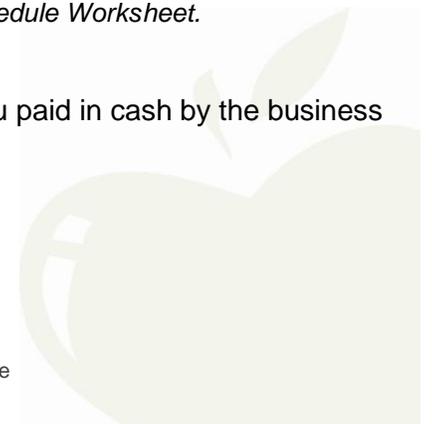
d. If you are an independent contractor/contract worker or are self-employed, do you perform work for or provide services to multiple clients?

Yes

If you answered yes, you must complete and attach Appendix A: 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, between 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. What is 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 relating to my employment status, work schedule, and income with the child care resource and referral agency (CCR&R), Community Partnerships for Children program (CPC), child care provider, and/or EEC in order to determine my eligibility for financial assistance; and
- The CCR&R, CPC, 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, CPC, 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 with the CCR&R, CPC, child care provider, and/or EEC, the CCR&R, CPC, 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: _____

Telephone: _____

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 ten 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 a time period of up to three 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)

1. 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.

2. 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.

A1. Please describe the type of work performed by the EEC financial assistance 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 John/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. John/Jane Doe works 30 hours per week and is paid \$300 per week plus tips.*

Please provide the following information about your business.

A2. Name of Business: _____

A3. Address of Business: _____

A4. Business Telephone: _____

A5. Nature of Business: _____



A6. Social Security Number: _____ **OR**

Employer Identification Number (EIN)⁴³: _____

A7. Corporate Status of Business: (Please check one of the following)

Sole Proprietorship Partnership Corporation S-Corporation

A8. Doing Business As (DBA) Certificate Number: _____ (If applicable)

A9. 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.

B1. Please check the box below that best describes your business relationship to applicant.

I am a customer/client of this applicant.

I supply goods or services to this applicant as part of his/her business.

B2. How long have you been a customer/client/supplier of the applicant?

B3. Please describe the type of work performed by the applicant, including the nature of the goods/services provided. *For example, John/Jane Doe has his/her own landscaping business and does landscaping and gardening work.*

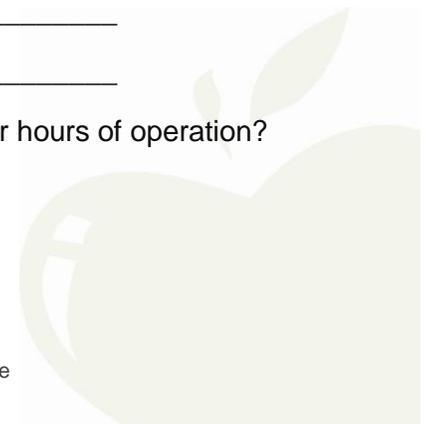
B4a. If you are a customer/client of the applicant, how often do you purchase goods/services from this individual? *For example, John/Jane Doe takes care of my lawn and garden twice a month during the months of April-November.*

B4b. 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/Jane Doe once a month.*

B5a. Do you know how many hours per week the applicant works and/or his/her hours of operation?

Yes No

⁴³ Also known as a Federal Identification Number



B5b. If you answered yes to question 5a, please list below the weekly work hours and/or hours of operation of

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: _____

Telephone: _____

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

Enter CCR&R, CPC, or Contracted Provider address below 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: _____

List month and year (e.g., July 2007)

Week (include dates, e.g., July 1-7, 2007)	Hours of Work/Operation (e.g., 8:00 a.m. - 6:00 p.m.)	Total Number of Hours Worked During This Week (e.g., 50)	Total Number of Clients Served This Week (e.g., 25)	Name and Telephone Number of One Client Served This Week (e.g., John Doe (617) 000-0000)
Week #1	M			
	T			
	W			
	Th			
	F			
	Sat.			
	Sun.			
Week #2	M			
	T			
	W			
	Th			
	F			
	Sat.			
	Sun.			



Week #3	M			
	T			
	W			
	Th			
	F			
	Sat.			
	Sun.			
Week #4	M			
	T			
	W			
	Th			
	F			
	Sat.			
	Sun.			
Monthly Totals	Total: _____ days worked this month	Total: _____ hours worked this month	Total: _____ clients served this month	



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 ten 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 a time period of up to three 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: Summary of Eligibility, Requirements, Parent Co-Payments, and Reassessment Length

The table below summarizes the definition, income and activity requirements, activity documentation, and reassessment period for **income eligible** 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 (where applicable) 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, at minimum, the amounts of time previously stated.

Eligibility Category	Definition	Income Requirement	Activity Requirement	Required Documentation*	Parent Fee	Reassessment Length
Existing Employment:	Parent/guardian is engaged in paid employment for at least 4 weeks. <u>This category includes post-transitional families previously authorized by DTA who are employed.</u>	Standard	Standard	1. Copies of pay stubs for one month (four weeks within the most recent six week period)	Yes	12 months
Newly Employed:	Parent/guardian is newly employed, for less than 4 weeks. <u>This category includes post-transitional families previously authorized by DTA who are newly employed.</u>	Standard	Standard	1. <i>Employment Verification</i> form 2. After parent has engaged in paid employment for 4 weeks or more, copies of four (4) of the six (6) most recent pay stubs	Yes	Initial: 8 weeks; thereafter, once employment is established, additional reassessment should occur every 12 months

Eligibility Category	Definition	Income Requirement	Activity Requirement	Required Documentation*	Parent Fee	Reassessment Length
Existing Self-Employment:	Parent/guardian is self-employed and self-employment income is reflected in most recent federal tax returns.	Standard	Standard	<ol style="list-style-type: none"> 1. <i>Employment Verification</i> form 2. <i>Report of Self-Employment Earnings</i> form (See Appendix D) 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 transcript¹ for most recent federal tax returns (available on EEC website) 	Yes	Every April 30 th or within six months of the previous reassessment, whichever comes first
Newly Self-Employed:	Parent/guardian is newly self-employed and his/her self-employment income is not reflected in most recent federal tax returns.	Standard	Standard	<ol style="list-style-type: none"> 1. <i>Employment Verification</i> form 2. <i>Report of Self-Employment Earnings</i> 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.) <p>Note: Reassessment must take place no later than April 30th or within 12 months of the last assessment, whichever comes first.</p>	Yes	Every April 30 th or within six months of the previous reassessment, whichever comes first

Eligibility Category	Definition	Income Requirement	Activity Requirement	Required Documentation*	Parent Fee	Reassessment Length
Newly Self-Employed For Less than 3 Months:	Parent/guardian has been self-employed for less than three months.	Standard	Standard	<p>1. <i>Employment Verification</i> form</p> <p>2. <i>Report of Self-Employment Earnings</i> form, without the <i>Monthly Self-Employment Worksheets</i></p> <p>Note: Upon expiration of initial 12 week eligibility period, an updated <i>Report of Self-Employment Earnings</i> form including completed <i>Monthly Self-Employment Earnings Worksheets</i> for the previous three months must be submitted.</p> <p>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</p> <p>4. Copies of federal tax returns for the first year of self-employment, including all applicable schedules, must be submitted at reassessment.</p> <p>5. Tax return transcript for federal tax returns²² for the first year of self-employment must be submitted at reassessment. (Tax transcript form is available on EEC website.)</p> <p>Note: If available, tax returns and the tax transcript must be submitted at the reassessment which follows the initial 12 week eligibility period (See Section 3.3.1.A.-5). If the tax return and the tax transcript are not yet available at that time, they must be submitted at the next reassessment, which shall occur within 12 months of the reassessment which follows the initial 12 week eligibility period, or no later than April 30th, whichever comes first.</p>	Yes	Initial: 12 weeks; thereafter, provided the parent/guardian remains eligible, every April 30 th or within 12 months, whichever comes first

Eligibility Category	Definition	Income Requirement	Activity Requirement	Required Documentation*	Parent Fee	Reassessment Length
Education & Training	A parent enrolled in: <ul style="list-style-type: none"> • full time high schools program • a high school equivalency program (such as GED) • a vocation 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	<p>1. If 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</p> <p>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</p> <p>2. Documentation of family income</p>	Yes	12 months; reassessment to verify continuation of required activity should occur following the documented end of activity (e.g., end of the school year, semester)
Guardianship (Temporary or Permanent)	A child who is in the legal temporary or permanent custody of a grandparent or other adult	Exempt	Standard	A court order granting temporary or permanent custody	No	12 months
Housing Search	A family is currently residing in a shelter.	Standard	Standard (including housing search)	<p>1. Referral from Housing Authority Program, shelter, or DTA</p> <p>2. Documentation of family income, if any</p>	Yes	12 months

Eligibility Category	Definition	Income Requirement	Activity Requirement	Required Documentation*	Parent Fee	Reassessment Length
Job Search	Parent is experiencing unemployment and is in the process of seeking paid employment.	Standard	Standard	<p>1. A letter from former employer documenting termination (voluntary or involuntary)</p> <p>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.</p> <p>Note: Families applying for EEC financial assistance for the first time need not submit evidence of initial job search.</p> <p>2. Documentation of family income</p>	Yes	Initial: 8 weeks; <u>existing clients</u> may receive up to 4 additional weeks in extraordinary circumstances <u>approved by EEC</u>
Maternity (Parental) Leave	Parent is on parental leave from previously approved EEC activity.	Standard	Exempt (Documented leave meets activity requirement)	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	Yes	Up to 12 weeks, based on employee allowance.

Eligibility Category	Definition	Income Requirement	Activity Requirement	Required Documentation*	Parent Fee	Reassessment Length
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	<p>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 at least 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 at least the minimum required amount of time.</p> <p>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 <u>deducted</u> from the parent's included earnings.</p>	Yes	12 months

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

Special Populations Table

Eligibility Category	Definition	Income Requirement	Activity Requirement	Required Documentation*	Parent Fee	Reassessment Length
Child in Foster Care	A child receiving temporary substitute parental care under the auspices of the Department of Children and Families (DCF)	Exempt:: child considered family of 1	Standard	<ol style="list-style-type: none"> 1. DCF referral 2. Documentation of foster parent's participation in an EEC approved activity 	No	12 months
DCF Adoptive Family	Family participating in formal DCF adoption process	At or below 85% SMI	Standard	<ol style="list-style-type: none"> 1. Documentation of family income 2. Documentation of adoptive parent's participation in an EEC approved activity 	Yes	12 months
Guardianship (Temporary or Permanent) in which guardian is over age 65 and retired	A child who is in the legal temporary or permanent custody of a grandparent or other adult	Standard	Exempt	<ol style="list-style-type: none"> 1. A court order granting temporary or permanent custody 2. Documentation of retirement income 3. Verification of age, including birth certificate, driver's license, passport, government identification, social security card) 	No	12 months
Special Need: Child	A child with a documented special need who would benefit from access to early education and care	Entry up to 85% SMI; Exit at 100% SMI	Exempt	<ol style="list-style-type: none"> 1. <i>Verification of Special Need Form</i> 2. Documentation of family income 	Yes	12 months; parents/guardians with a child who has a temporary special need must be reassessed prior to the documented end date of the child's special need
Special Need: Parent	A parent with a documented special need who is unable, due to the special need, to care for	Entry up to 85% SMI; Exit at 100% SMI	Exempt	<ol style="list-style-type: none"> 1. <i>Verification of Special Need Form</i> 2. Documentation of family income 	Yes	12 months; parents/guardians with a temporary special need must be

Eligibility Category	Definition	Income Requirement	Activity Requirement	Required Documentation*	Parent Fee	Reassessment Length
	the child during the time for which early education and care financial assistance is being requested					reassessed prior to the documented end date of the special need
Teen Parent	A parent who is younger than 20 years of age	Standard	Standard	<ol style="list-style-type: none"> 1. Copy of their birth certificate, driver's license, or other government issued identification (state identification card, military dependent's card, passport) which notes of 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, where applicable.

Eligibility Category	Definition	Required Documentation	Parent Fee	Reassessment Period
DTA Authorization	Families receiving TAFDC benefits and for whom DTA has authorized access to EEC financial assistance	<ol style="list-style-type: none"> 1. DTA Authorization; and 2. Documentation of identity to verify recipient of authorization. <p>No other documentation is required.</p>	No	As authorized by DTA
DTA Transitional Authorization	Families transitioning from TAFDC support and for whom DTA has authorized access to EEC financial assistance.	<ol style="list-style-type: none"> 1. DTA Authorization; 2. Documentation of identity to verify recipient of authorization; and 3. Documentation of family income. <p>No other documentation is required.</p>	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.	<ol style="list-style-type: none"> 1. DCF Authorization; and 2. Documentation of identity to verify recipient of authorization. <p>No other documentation is required.</p>	No	As authorized by DCF

Appendix G: Application (03/11/2003)

Income Eligible Child Care Subsidy

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

The Child Care Application and Fee Agreement (CCAFA) 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 Child Care Application and Fee Agreement form serves five purposes:

- to identify and verify the financial and service need eligibility of parents at initial application and reassessment.
- to determine family size and record gross monthly income (or compute adjusted gross monthly income, under certain limited conditions, when applicable).
- 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 is in a priority category to receive services (See Policy *EEC -IncomeEligible-04: Enrollment: Priorities*).
- 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.⁴⁴ Once the application form is complete, the parent must verify the information provided through documentation. (See Policy *EEC-IncomeEligible-05: Eligibility: Documentation*) Providing false or misleading information which 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 Application and Fee Agreement must be completed and signed at least every six months. It is advisable for the parent to complete and sign a new Child Care 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 that warrants an increase in parent fee, the parent must sign a new Child Care Application and Fee Agreement. The parent may, at his or her option, sign a new Agreement if the parent fee decreases.

In addition to the Child Care Application and Fee Agreement, 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 to policies regarding attendance, absence and notification. Further, the parent must sign a Financial Assistance Statement, which documents the parent's understanding of the consequences of failure to accurately report information that may impact her eligibility or fee level.

⁴⁴ Otherwise eligible parents may not be denied care for refusing to provide a social security number.

Appendix H: Attendance (02/25/2003)

Income Eligible Child Care Subsidy

Policy Statement: Attendance

Number: P-EEC-Income Eligible-11

In order to meet the needs of families and children for access to child care it is necessary to make the best possible use of child care resources. 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 week's vacation per year are considered explained absences. All other absences are considered unexplained. Excessive absence (11 or more explained absences in a 30 day period or three consecutive unexplained absences) will result in a reassessment of the family's need for child care.

Providers must take the following actions to ensure maximum attendance:

- Explain and then have parents sign the Attendance Notification Agreement as part of the intake/ authorization process.
- Monitor attendance frequently. When children are absent and the family does not call, a telephone call from the provider will help to determine if the family has withdrawn from services.
- Deal with excessive absences promptly. Excessive absence (11 or more explained absences in a thirty day period or three consecutive unexplained absences at any time) must result in an immediate reassessment of the family's continued need for child care. Both contracted providers and providers accepting voucher payment must contact the family immediately when a child has more than 3 consecutive unexplained absences or 11 or more absences for any reason during a 30-day period. A doctor's note that includes why a child is ill with expected return date will be required for illnesses over ten days of duration. If a child is absent often, the provider may request supporting documentation for absences of shorter duration. If a child is absent excessively (whether consecutively or not), the contracted provider will determine if the degree of absence meets a test of reasonableness regarding misuse of services. (Note: Non-contracted providers accepting voucher payment should discuss concerns regarding excessive absence with the CCR&R agency.) An important factor that must be taken into account is whether or not the child has a documented chronic condition that would reasonably allow for a greater number of absences. If a child is or 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 child care subsidy should be terminated. If the absence is twelve or fewer weeks' duration, the child should be prioritized for enrollment at a later date in accordance with enrollment priority and continuity policy. (See *EEC-Income Eligible - 04: Enrollment: Priorities*.)

Late Arrival

Providers may establish policies regarding arrival and departure times for children. Such policies must be in writing and provided to parents prior to implementation. Providers may

not exclude children from care who arrive late. However, care may be terminated (following a two week Advance Notice of Termination) if parents consistently fail to follow the provider's policies.



Appendix I: CORI for In Home Non-Relative Providers

(02/25/2003)

Income Eligible Child Care Subsidy

Policy Statement: CORI POLICY for In Home Non-Relative Caregivers

Number: P-EEC-Income Eligible-16

The Department of Early Education and Care (EEC) prohibits the provision of In Home, Non-Relative EEC-subsidized child care services (IHNR) by any individual whose background bears adversely on his/her ability to care for children. For that reason, Child Care Resource & Referral Agencies shall not issue child care vouchers for an IHNR provider until EEC has conducted a Criminal Offender Record Information (CORI) background check and has notified the CCR&R that the individual's CORI has been approved.

Procedures to Determine Eligibility

At the time of initial registration to provide these services and at each subsequent registration an applicant to provide IHNR must complete the Consent for Criminal Record Check form. When an applicant registers to provide IHNR, 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; or any conviction of a misdemeanor where the final disposition date occurred five or more years prior to the date of the registration.

The Consent form will be sent by the CCR&R to EEC. Upon receipt, EEC will send the information to the Criminal History Systems Board (CHSB) for processing. Based upon information provided by CHSB, and in accordance with *102 CMR 14.00, Criminal Offender 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 appeal EEC's decision, if any, by completing an application for discretionary approval.

The CCR&R may only approve an applicant within 45 business days of receipt of a CORI approval notification from EEC.

Charges Following Approval

Any person approved by EEC to provide IHNR shall notify EEC if a criminal charge is filed against him or her. Pending criminal charges may be grounds for disqualification.

Confidentiality

CORI 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 CORI information will not be communicated in any form to any person other than the individual on whom the CORI was completed. EEC will notify both the Child Care Resource and Referral Agency (CCR&R), and the parent seeking to utilize the provider-applicant for child care services whether the provider-applicant is approved or disqualified from receiving a state

funded voucher. Willful dissemination of CORI information to unauthorized individuals is punishable by up to one year in jail and/or a \$5000.00 fine.

Care Pending CORI Approval

In order to minimize the risk that parents may be unable to receive or retain employment while a CORI check is pending, the CCR&Rs should direct parents to use licensed or relative child care, if available, while the CORI check is pending on the non-relative provider. In addition, parents should be strongly encouraged to request their child care authorizations from the Department of Transitional Assistance during the job search phase of the Employment Services Program, and then promptly apply for the voucher through the CCR&R. In this way, if a parent intends to use IHNR, the CORI checks on the provider 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 provider for a maximum of 30 days prior to CORI approval. For a new provider applicant, retroactive payment may only be approved for the period of time after the CORI request was submitted, and only if:

- the CORI was ultimately approved;
- 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 the 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 were not issued.

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



Appendix J: Enrollment Choice of Providers (4/30/2007)

Income Eligible Child Care Subsidy

Policy Statement: ENROLLMENT: Choice of Providers
Number: P-EEC-Income Eligible-09

Initial Enrollment

At initial application parents must be given information about the availability and range of child care providers who may accept EEC child care subsidies, including center based care, family child care (both system and independent providers), and in home / relative care.

Once a parent has been determined eligible and has identified a provider appropriate to care for the child, the child may either be enrolled in a contracted slot, or a voucher may be written for care with a provider who completes an EEC subsidized provider agreement. Parents with a current child care authorization from the Department of Transitional Assistance have immediate access to an EEC voucher for child care, and should be referred to the appropriate Child Care Resource & Referral Agency to obtain a voucher. However, if the only available child care slot is a contracted slot, the program may enroll the child and maintain a copy of the Child Care Authorization from DTA.

Change in Care Provider

If the parent becomes dissatisfied with the child care, 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 caregiver. A new voucher will not be written for parents with outstanding parent fees.

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 provider. (Note: Exceptions for emergency relocations will be considered on a case-by-case basis. The Child Care Resource and Referral Agency or the contracted provider should contact the Regional Policy and Training Advisor for approval.)

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 the EEC Regional Policy and Training Advisor. Then the child may be enrolled in another contracted program slot, or a voucher may be written for the child to attend the new program, provided that all fees owed are paid.

(Note: 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.)

Providers may not move children from one care location to another without the parent(s)' permission.



Appendix K: Flexible Pool Funding

(P-IE-19 - Rev. 03/14/2004)

Income Eligible Child Care Subsidy

Policy Statement: ELIGIBILITY: Flexible Pool Funding
Number: P-EEC-Income Eligible-19

EEC may provide funding through the Flexible Pool to assist families in accessing Income Eligible Child Care when they have continuity of care needs, and/or special transportation or service needs which current contract capacity cannot accommodate. All flex pool funding is subject to the availability of funding and budgetary constraints.

Continuity of Care

Providers that hold Income Eligible contracts with EEC may access flex pool funding to accommodate families with continuity of care needs when the provider's income eligible contract slots are full, but the provider has licensed capacity within his/her program to serve additional children.

Flexible pool funding shall be approved for continuity of care needs in accordance with priorities and categories established by EEC. (See Policy *P-EEC-Income Eligible – 04, Enrollment: Priorities*).

Contracted providers that seek flex pool funding to serve children with continuity of care needs may bill the flex pool until a contract slot becomes available. Children in flex pool slots for continuity of care purposes must be placed in a contract slot as soon as one becomes available.

Transportation

Children who are eligible for an Income Eligible Contracted Child Care subsidy but cannot attend child care due to a lack of available transportation may be eligible for transportation funding from the flexible pool. Funding for transportation may be approved when parents do not have access to a car or to public transportation; when parents are physically incapacitated and unable to transport the child; or when there is a conflict between the parent's work hours and child care hours that prohibits the parents from transporting the child. Contracted programs seeking funding to serve such children must submit documentation supporting their request with their monthly billing.

Children with Special Needs

Children with special needs who cannot attend child care without specific program accommodations may be eligible for funding from the Income Eligible flex pool. Such funding may be used to support training for program staff, consultation to identify necessary supports for the child, technical assistance in meeting the individual needs of the child, enhanced staffing to maintain the child in the program, or specialized equipment. Children served through this funding must have documented physical, mental, or behavioral disabilities that have prohibited or will prohibit the child from participating in the program. Contracted programs seeking funding to serve such children must submit their requests with appropriate documentation to their Regional Policy and Training Advisor for approval. Non-contracted programs seeking to serve

children with voucher funding must submit their requests, along with appropriate documentation, to their Resource & Referral Agency for approval.

Foster Parent Support

Income Eligible contracted providers that have received approval from EEC for flex pool funding to enroll foster children referred by the Department of Children and Families will continue to bill the flexible pool for the care of these children as long as the children remain in the care of their foster parents, and their foster parents remain eligible. The provider must reassess foster parent eligibility every six months. To remain eligible, foster parents must submit a current DCF Foster Care Placement Agreement (to verify relationships) and documentation of service need. Foster parents may present pay stubs documenting hours worked and income earned, or may submit a letter signed by their employer that specifies their work schedule and certifies that they are earning at least minimum wage for the hours worked. Foster parents who are self-employed must submit documentation of service need and income in accordance with EEC policy *P-EEC-Income Eligible-05, ELIGIBILITY: Documentation*.



Appendix L: Grievances (07/07/2004)

Income Eligible Child Care Subsidy

Policy Statement: GRIEVANCES

Number: P-EEC-Subsidy 00-18

DTA and DCF clients who wish to appeal their referral for child care may do so through the respective agency's Fair Hearing Process. All other grievances related to subsidized child care are addressed through EEC subsidized child care Review Process.

Reasons for Request

A parent may request a review of a contracted provider's or child care resource and referral agency's decision to deny, reduce or terminate the parent's access to a subsidized child care program if the decision is based on the following: a delay in determining eligibility, a determination that the applicant is ineligible, a disagreement regarding the appropriate parent fee, failure to pay the required fees, excessive or unexplained absence, or failure to submit documentation required to re-determine eligibility. A parent may not challenge the legality of state, federal, or EEC policy. To be eligible for the Review Process, the parent must allege to EEC that the provider did not follow EEC guidelines, regulations or policies; that no relevant regulations apply; and/or that the provider's decision had no reasonable basis.

Parent Notice

The provider must give the parent the "*Request for Review Process for Subsidized Child Care Services*" (Request for Review) form whenever the child care subsidy is denied, reduced or terminated, or whenever the parent expresses disagreement with a decision made by the provider about parent fees. The *Request for Review* form must always accompany a *Notice of Termination/Reduction of Financial Assistance for Child Care*. The provider must assist the parent in completing the *Request for Review* form, if requested to do so. The parent will submit the completed form to EEC at the address below.

Department of Early Education and Care

Financial Assistance Unit
51 Sleeper Street, 4th floor
Boston, MA 02210

The Request for Review must be submitted to EEC within 30 days of the proposed date of termination of child care subsidy, or within 30 days of denial of access to child care services.

Continuing Care Pending Review

In order for subsidized child care services to continue pending the outcome of a Review, the parent must file a *Request for Review* prior to the proposed termination date on the Notice of Termination / Reduction of Financial Assistance for Child Care, and keep all undisputed fee payments current. Subsidized care will continue provided that the child continues to attend care in accordance with EEC *Attendance* policy, P-EEC- Income Eligible-11.

Disputes Regarding Fees

Parents who request a Review Process on the reassessment of their fees must continue to pay any undisputed fee until the Review decision has been rendered. If the Review determines that

a higher parent fee is required, the parent must pay all fees owed, within ten days of the Review decision.



Appendix M: In Home Relative Caregivers Policy (02/25/2003)

Income Eligible Child Care Subsidy

Policy Statement: IN HOME / RELATIVE CHILDCARE
Number: P-EEC-Income Eligible-22

Parents receiving a voucher for child care services may choose care provided by a relative, or care provided in the child's home by a friend. Such care is exempt from EEC child care licensing requirements.

Characteristics of Caregivers

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; is not a member of the parent's TAFDC assistance unit (unless the parent is under the age of 18), and if the caregiver is not the child's parent, stepparent, foster parent or guardian.

Relative caregivers include siblings, aunts, uncles, and grandparents. Relatives must submit evidence of their relationship to the child receiving care and of their age. The evidence may include birth certificates, baptismal certificates, and marriage certificates.

Caregivers unrelated to the child who are providing subsidized care must be at least 18 years old, and must have a background free of conduct which, in the judgment of the EEC, bears adversely upon their ability to provide for the safety and well-being of children. (See *EEC Policy P-EEC-IncomeEligible-16: CORI Policy for In Home Non-Relative Caregivers.*) Unrelated caregivers must provide care in the child's home, and may not be residents of the child's household.

Orientation for Caregivers

In home / relative caregivers must attend an orientation provided by the Child Care Resource & Referral Agency and must complete a Health & Safety Checklist prior to providing the child care services and being reimbursed for care.

Limits on Capacity

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. If the caregiver is caring for children in their home, the total number of the provider'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 6. **Note:** Children under the age of 16 with special needs shall be included in determining a caregiver's capacity.



Appendix N: Voucher Shared Agreement Procedure (07/02/2004)

Income Eligible Child Care Subsidy

Procedure: Shared Provider Agreements
(See P-EEC-Income Eligible-07)

The Department of Early Education and Care (EEC) contracts with Child Care Resource and Referrals Agencies (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 child/ren they place who are receiving care with providers out of their service delivery area;
- managing the reimbursement for providers out of their 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 (ex. calendar) if needed; and
- sharing appropriate information with the lead CCR&R regarding the shared provider.

Appendix O: Reimbursement (12/09/2003)

Income Eligible Child Care Subsidy

Policy Statement: REIMBURSEMENT

Number: P-EEC-Income Eligible-14

Utilization and Approved Closures

Programs that hold 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 Department. Programs should remain open during inclement weather except in case of a snow emergency declared by the Department of Public Works. However, if prevailing weather conditions are so extreme as to be considered unsafe the provider may decide to close. Excessive closings or closings considered to be unwarranted will be reviewed and may be disqualified from payment. Providers must maintain in their files documentation (such as local newspaper clippings) demonstrating the extreme weather conditions.

A child is not considered enrolled in subsidized care until the first day the child actually attends the program following a determination of eligibility. If the child is on a voucher, the child may not be enrolled in a program prior to the beginning date indicated on a child care voucher. The child remains enrolled in subsidized care until the authorization end date on the Application and Fee Agreement or the authorized end date on the child care voucher, or until the child care 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 a current 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.

Providers who have not taken appropriate action to deal with unexplained or excessive absence will not be reimbursed for those absences. Providers must monitor children's attendance and contact the parent to determine the necessity of the child's absence. Programs accepting voucher payment must confer with the CCR&R issuing the payment voucher to determine the appropriateness of continuing the subsidy. If the absences continue, an Advance Notice of Termination should be issued to the parent by the contracted provider or the CCR&R, and the child care subsidy should be terminated at the end of the fourteen calendar day notice period. If the absence is due to an extended illness or medical problem, court ordered visitation with a non-custodial parent, or an interruption in the parent's service need, the child care subsidy should be terminated, and the child should be prioritized for re-enrollment in accordance with continuity of care priorities. (See *EEC-Income Eligible -04, Enrollment: Priorities*).

Note: If a family terminates care without providing sufficient notice (10 service days) to the provider, the Department will reimburse the provider for service days until the slot is filled, up to a maximum of ten service days after the child's actual termination, depending on the number of days' notice given by the parent. The parent's initial deposit shall be deducted from the reimbursement and applied to offset part of the program cost. The provider may bill EEC at the

full rate for the remaining unenrolled days for which the parent did not give notice, (up to a maximum of five additional days) without deducting the parent fee for those days, if the provider documents efforts to collect from the parent the unpaid fee. 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 ten service days' notice due to health and safety concerns. Providers will not be reimbursed for vacant days when parents withdraw the sibling(s) of any child terminated from care by the program.

Transportation

EEC will reimburse providers for transportation services provided to children who have been approved for transportation based on the family's individual need for the service. Except in cases of snow emergency declared by the local Department of Public Works, or if the provider considers the conditions to be so extreme as to be considered unsafe, EEC will not reimburse and providers may not bill for transportation when the service is cancelled for any reason.

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 an average of the number of full days and partial days that care is needed. Family Child Care programs serving school age children are paid according to the hours of service provided. A full day rate is paid when the child is present for a full day (six or more hours), and a half-day rate when the child is present for part of the day (fewer than six hours).

Providers will be paid the appropriate rate for the group the child attends. Providers should contact their Regional Contracting & Monitoring Coordinator to get billing approval when the child ages out of the grouping, but remains in the group due to the child's 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 two 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 a full day (six or more hours), and a half-day rate when the child is present for part of the day (fewer than six hours).

Processing Payments

Two payment systems are offered: Regular Invoiced Payment (Non Ready Payment) within 10 to 15 days of receipt of invoice or the Commonwealth of Massachusetts Ready Payment System with mid-month and semimonthly Comptroller scheduled payments.

Contracted programs must complete and submit a Service Delivery Report and Payment Voucher to the EEC Accounting Unit by the 10th calendar day of each month following the month of service delivery for all contracts on Ready Payment, and by the 20th calendar day of each month following the month of service delivery for all contracts on Regular Invoiced Payment (Non Ready Payment). Master forms preprinted with program, slot and rate information will be provided to each contracted program for billing purposes.

For voucher providers, the CCR&R will complete the Request for Reimbursement form and mail 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 RFR must be submitted to EEC by the 20th of the month for payment. EEC will reimburse the CCR&R, who will reimburse each provider as appropriate.

In-Home / Relative Child Care

Following completion of any required orientation, registration, CORI and other procedures, and in accordance with the terms of the child care voucher, In-Home and Relative Child Care providers will be reimbursed for the number of days on which they actually provide care, up to the maximum number of approved days per month. In no case will a provider be paid more than the number of service days in a given month. In-Home and Relative providers will not be reimbursed for care during a parent's maternity leave, nor for care provided to a child, whose service need is special needs of child.

In rare cases the CCR&R may approve retroactive payment for an in-home, non-relative provider for a maximum of 30 days prior to CORI approval. For a new provider applicant, retroactive payment may be approved for the period of time after the CORI request was submitted, if:

- The CORI was ultimately approved;
- 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 the 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 were not issued.

In home / Relative Child Care is paid a full day rate for care for six or more hours per day, and a half day rate for care less than six hours per day.

In home / Relative providers must submit a request for reimbursement to the CCR&R by the 10th calendar day of the month following the month in which care was provided. The CCR&R will review the request for reimbursement (RFR) for compliance with the terms of the child care voucher. If approved, the CCR&R will submit the RFR to EEC by the 20th of the month for payment. EEC will reimburse the CCR&R, who, in turn, will reimburse each provider as appropriate.



Appendix P: 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 maintained in children's records that is relevant to a family's eligibility for a child care subsidy. Such information sharing is in furtherance of 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. In addition, such information sharing is in furtherance of 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).

Accordingly, the sharing of information maintained in a child's records does not constitute a breach of child care licensing regulations governing confidentiality of records, 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' designated authority (e.g., the CCR&R).



Appendix Q: Transportation

(P-IE-21 Rev.10/19/2004)

Income Eligible Child Care Subsidy

Policy Statement: ELIGIBILITY: Transportation

Number: P-EEC-Income Eligible- 21

Transportation Funding

Funding may be available to assist families receiving a child care subsidy through the income eligible program in 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 individual assessment of the family's need for transportation. The contracted provider or Child Care Resource and Referral Agency 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 making determinations regarding eligibility for transportation funding, the provider or CCR&R must also consider the distance from between the child's home and the child care program. Generally, 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 him from walking or being transported by stroller, carriage or other similar means;⁴⁵ or
- the parent's disability prevents him/her from walking the child to care.¹

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 the parent from transporting the child to care, either 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 schedule require transportation, and must be able to accommodate the child and parent's disability, if any. In addition, public transportation will not be considered "available" if the time required to travel from home to 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.

⁴⁵ 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.

Regional Policy Advisors may make exceptions to allow transportation funding on a case-by-case basis 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 children's health prohibits the outdoor time or physical exercise required, an exception may be appropriate. However, Policy Advisors will not make exceptions to the 45 minute travel time limit for transportation arranged or provided by the child care program.

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

All programs providing transportation services must assure that all transportation, including that provided by sub-contractors, complies with Registry of Motor Vehicles standards, and all EEC requirements, including the general terms and conditions of their contract or voucher provider agreement).

Transportation Policies

Each program that provides or coordinates transportation must develop written transportation policies and designate a specific staff person responsible for transportation services. The staff person shall be responsible for coordination of the transportation system, for hearing and addressing consumer concerns, complaints, or suggestions. Providers must discuss with parents their transportation policies, and inform parents of the identity of the transportation coordinator.

At minimum, providers must include the following in their policies: the procedures to be followed when children 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 contacts prior to taking additional steps such as filing a 51A with the DCF Area Office or after hours hot line; 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 five hours per week of time spent by the parent in travel between work or school and child care may be included in determining the parent's service need when the parent is responsible for transportation of the child.

Appendix R: Evidence of United States Citizenship, United States National Status, or Alien Status⁴⁶

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:

- **United States 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 or 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 U.S. as a lawful permanent resident; and (c) in the legal and physical custody of at least one parent who is a U.S. citizen.
- **United States 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.

⁴⁶ Proposed Rules, Verification of Eligibility for Public Benefits, 8 CFR § 104.23; 63 FR 41662-01 August 4, 1998); and Interim Guidance of Verification of Citizenship, Qualified Alien Status and Eligibility Under Title IV of the Personal Responsibility and Work Opportunity Reconciliation Act of 1996 ("Interim Guidance"), 62 FR 61344 (Nov. 17, 1997).

LIST A: U.S. CITIZEN OR U.S. NATIONAL

Note: In this List, the term "Service" refers to the U.S. Citizenship and Immigration Service, 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) United States 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
- 10) Finalized Certificate of Adoption for a child adopted from abroad by a U.S. Citizen.

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 recorded 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 three 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(s) and place(s) of birth of the applicant's parents(s);
- 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 (e.g., a contemporaneous hospital record of birth in that hospital 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 or she was residing in the U.S., 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 or 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 U.S., 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 U.S., a U.S. possession or the U.S. Virgin Islands on February 25, 1927, and that he or 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 U.S., 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 U.S., or a U.S. territory or possession on November 3, 1986 (NMI local time) and the applicant's statement that he or 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 or 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 or 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 nonimmigrant 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 make a determination of derivative U.S. citizenship:

Applicant born abroad to two U.S. citizen parents: Evidence of the 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 U.S. or an outlying possession prior to the applicant's birth.

Applicant 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 U.S., a U.S. possession, American Samoa or Swain's Island for a period of at least one year prior to the applicant's birth.

Applicant 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.

Applicant 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 U.S., 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 U.S., 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 for a determination of U.S. citizenship, if the applicant provides no evidence of U.S. citizenship.

f. U.S. Citizenship By Marriage⁴⁷

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.

⁴⁷ 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 U.S. at that time and continued to reside in the U.S.

LIST B: QUALIFIED ALIENS, NONIMMIGRANTS, AND ALIENS PAROLED INTO U.S. 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-688B (Employment Authorization Card) annotated "274a.12(a)(5)";
- * 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
- * Form I-766 (Employment Authorization Document) annotated "A3"

Alien Paroled Into the U.S. for a 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-688B (Employment Authorization Card) annotated "274a.12(a)(10)";
- * 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
- * Form I-766 (Employment Authorization Document) annotated "A3."

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. Nonimmigrant

Evidence of "Nonimmigrant" status includes the following:

- * Form I-94 with stamp showing authorized admission as nonimmigrant

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