



# Eligibility, Need and Family Size in Early Education and Support Division Programs

CAPPA Statewide Meeting July 2016

Presenters: Vanessa Saunders, Governance and Administration Unit B Manager  
and Sandy Patitucci, Field Services Consultant



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



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# AGENDA

1. Introduction and Overview of the Governance and Administration (GA) Review Guide
2. Definitions
3. 801A Monthly Population Report
4. Certification and Recertification
5. Eligibility
  - Family Size
6. Need
7. Questions





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# INTRODUCTION AND OVERVIEW

Error Rates Reviews are Required by Federal Regulations

- Federal target for each state is 10%
- States above 10% have to do a statewide error reduction plan
- States too far above 10% receive a visit from federal auditors

California's system for meeting these federal targets is to conduct reviews of alternative payment and full-day child care programs, estimate errors, and implement error rate reduction plans where needed.





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# INTRODUCTION AND OVERVIEW

Purpose of training session today:

1. To utilize the Governance and Administration Review Guide to clearly describe standards and procedures for doing a review – to make our process transparent.
2. To empower contractors to do their own reviews – replicate what we do.
3. To distinguish between errors:
  - material error (federal term is “improper payment”) and
  - file error (federal = administrative error)
4. To provide some guidance on best practices – to make implementation of regulations easier when we can.





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# DEFINITIONS

To better understand the GA Review Guide, let's go over the definitions of some commonly used terms.

- Adjusted Monthly Income
- Authorized representative
- Certify eligibility
- Declaration
- Family
- Family size





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# DEFINITIONS (cont.)

- Homeless
- Income Eligible
- Legally Qualified Professional
- Parent
- Parental Incapacity
- Self Certification of Income
- Total Countable Income





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# Adjusted Monthly Income

“Adjusted Monthly Income” means total countable income, minus verified support payments paid by the parent whose child is receiving services, excluding non-countable income.





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# Authorized Representative

“Authorized Representative” means a person certified by the contractor to certify eligibility for subsidized services and/or issue a Notice of Action.







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# Certify Eligibility

“Certify Eligibility” means the formal process the contractor goes through to collect information and documentation to determine that the family/child meets the criteria for subsidized services. The signature of the contractor’s authorized representative attests that the criteria have been met.





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# Declaration

“Declaration” means a written statement signed by a parent under penalty of perjury attesting that the contents of the statement are true and correct to the best of his or her knowledge.





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# Family

- “Family” means the ***parents*** and the ***children*** for whom the parents are responsible, who comprise the household in which the child receiving services is living.
- When a child, and his or her siblings are living in a family that does not include their biological or adoptive parent, “**family**” shall be considered the child and related siblings.





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# Family Size

“Family size” means the number of people constituting a “family” as determined by documentation supporting the number of children and parents in the family.





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# Homeless

“Homeless” means a person or family that lacks a fixed, regular, and adequate night-time residence and has a primary night-time residence that is:

- A supervised publicly or privately operated shelter, transitional housing, or homeless support program designed to provide temporary living accommodations; or
- A public or private place not designed for, or ordinarily used as, a regular sleeping accommodation for human beings.





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# Income Eligible

“Income eligible” means for the purpose of early care and education services, that a family’s adjusted monthly income is at or below seventy percent (70%) of the state median income, adjusted for family size.





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# Legally Qualified Professional

“ Legally qualified professional” means a person licensed under applicable laws and regulations of the State of California to perform legal, medical, health or social services for the general public.





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# Parent

“Parent” means a biological parent, adoptive parent, stepparent, foster parent, caretaker, relative, legal guardian, or domestic partner of the parent, who has responsibility for the care, and welfare of the child.







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# Parental Incapacity

“Parental incapacity” means the temporary or permanent inability of the child’s parent(s) to provide care and supervision of the child(ren) for part of the day due to a physical or mental health condition.





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# Self-Certification of Income

“Self-Certification of Income” means a declaration signed by the parent under penalty of perjury identifying:

- To the extent known, the employer and date of hire, and stating the rate of pay, total amount of income received for the preceding month(s), the type of work performed, and the hours and days worked, when an employer refuses or fails to provide requested employment information or when a request for documentation would adversely affect the parent’s employment; or
- The amount and frequency of sources of income for which no documentation is possible.





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# Total Countable Income

“Total countable income” means all income of the individuals counted in the family size, including, but not limited to:

- Gross wages or salary;
- Wages for migrant, agricultural, or seasonal work;
- Public cash assistance;
- Gross income from self-employment, less business expenses, with the exception of wage draws;
- Disability or unemployment compensation;
- Workers compensation;
- Spousal support and/or child support.





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# GOVERNANCE AND ADMINISTRATION UNIT (GAU) REVIEW GUIDE

## Alternative Payment Review Guide



Early Education and Support Division

September 2014





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Tab where section of Review Guide can be located.



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# CERTIFICATION AND RECERTIFICATION

## APMU 1.1

Where you  
can see  
what will  
cause an  
error

Section

Question  
Number

Question with  
CCR Section

| Certification and Recertification<br>(Application for Services) |  | Findings   |
|---|--|--|
| APMU<br>2.1   | Is the Application for Services present (5 CCR, Section 18083)?  | <b>Material:</b> If the Application for Services is not present in the family data file an error will be determined in eligibility. The error will equal the cost of services provided for the sample month or the portion of the month in which there was insufficient documentation, whichever is less.  |
| APMU<br>2.2   | Is the Application for Services complete (5 CCR, Section 18082[b])?<br>Was the application completed prior to serving the child (5 CCR, Section 18082[b])? | <b>Material:</b> If services are provided prior to the Application for Services being completed and <b>not</b> all supporting documentation is in the family data file, an error will be determined in eligibility. The error amount will be determined as in 2.1.<br><b>File:</b> If the Application for Services is incomplete, however the supporting documentation is present in the family data file, an error will be determined in eligibility.   |
| APMU<br>2.3   | If applicable, did the recertification occur within 12 months (5 CCR, Section 18103)?  | <b>Material:</b> If the recertification date on the Application for Services exceeds the 12 month (3 months at risk) after the date of prior certification, an error will be determined in eligibility. The error amount will be determined as in 2.1.<br><b>File:</b> If the recertification date on the Application for Services exceeds 12 months (3 months at risk) after the date of the prior certification, however the certification is completed before the review month, an error will be determined in eligibility. |

Type of  
Error that  
can be  
assessed  
with each  
question



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# 801A MONTHLY POPULATION REPORT

## APMU 1.1

| Child Reported on the CDD 801A |  | Findings   |
|--------------------------------|--|--|
| <b>APMU<br/>1.1</b>            | Did the child receive services in the test month (5 CCR, Section 18070)? | <b>Material:</b> If the attendance record is not present, but the provider was reimbursed, an error will be determined in provider reimbursement. The error will equal the cost of services provided for the sample month.<br><b>Material:</b> If more than 10 percent of the random sample files pulled include children that did not receive services during the review month, an Error Rate of 100 percent will be found for the review.<br><b>File:</b> If the attendance record is not present and a reimbursement was not made, a reporting error will be found on the 801A. |





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# 801A MONTHLY POPULATION REPORT

## APMU 1.1

The report should include all children that have **received** any amount of EESD subsidized child care and development services during the report month.

- Revise the report as soon as possible if discrepancies are found.







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# CERTIFICATION AND RECERTIFICATION

## APMU 2.1

| Certification and Recertification<br>(Application for Services) |   | Findings   |
|---|---|--|
| <b>APMU<br/>2.1</b>   | Is the Application for Services present (5 CCR, Section 18083)?                       | <b>Material:</b> If the Application for Services is not present in the family data file an error will be determined in eligibility. The error will equal the cost of services provided for the sample month or the portion of the month in which there was insufficient documentation, whichever is less.  |
| <b>APMU<br/>2.2</b>   | Is the Application for Services complete (5 CCR, Section 18082[b])?                   | <b>Material:</b> If services are provided prior to the Application for Services being completed and <b>not</b> all supporting documentation is in the family data file, an error will be determined in eligibility. The error amount will be determined as in 2.1.<br><b>File:</b> If the Application for Services is incomplete, however the supporting documentation is present in the family data file, an error will be determined in eligibility.   |
|   | Was the application completed prior to serving the child (5 CCR, Section 18082[b])?   |  |
| <b>APMU<br/>2.3</b>   | If applicable, did the recertification occur within 12 months (5 CCR, Section 18103)? | <b>Material:</b> If the recertification date on the Application for Services exceeds the 12 month (3 months at risk) after the date of prior certification, an error will be determined in eligibility. The error amount will be determined as in 2.1.<br><b>File:</b> If the recertification date on the Application for Services exceeds 12 months (3 months at risk) after the date of the prior certification, however the certification is completed before the review month, an error will be determined in eligibility. |





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# CERTIFICATION AND RECERTIFICATION

## APMU 2.1

The certification of eligibility is a formal process to collect information and documentation to determine that the family and/or child meets the criteria for receipt of subsidized services, prior to enrollment in the program. All information and documentation collected is maintained in the family data file.





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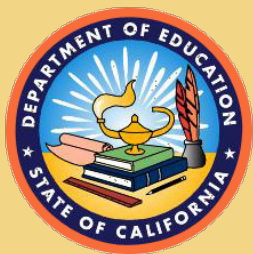
# CERTIFICATION AND RECERTIFICATION

## APMU 2.1

The contractor must designate a staff person authorized to certify eligibility and need. The authorized staff person must:

- Certify each family's/child's eligibility and/or need for services after reviewing the completed application, and documentation contained in the family data file;
- Issue a Notice of Action to the family.





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# CalWORKs CONTRACT ELIGIBILITY

## CalWORKs Stage 2

### APMU 3.1

- Entry – when the CWD determines the parent is stable.
- Service – as long as the parent remains eligible and has need.
- Exit – during the 24<sup>th</sup> consecutive month that the parent is not receiving cash aid.

## CalWORKs Stage 3

### APMU 3.4

- Entry – during the 24<sup>th</sup> consecutive month the parent not receiving cash aid (letter to parent).
- Service- the parent must remain eligible and have need.
- Exit – when funds are insufficient and parent is high income or when parent is not eligible.





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# ELIGIBILITY

## APMU 4

For a family to receive services, they must be deemed eligible in one (1) of the categories of eligibility:

### **CHILD:**

- Child Protective Services (CPS)
- At Risk

### **CHILD/FAMILY:**

- Exceptional need (13-21 years of age)

### **FAMILY:**

- Income eligibility
- Current aid recipient
- Homelessness





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# CHILD ELIGIBILITY CPS

## APMU 4.1

| Child Eligibility – CPS |  | Findings  |
|-------------------------|--|---|
| <b>APMU 4.1</b>         | Does the child have a written referral from the local county welfare department dated within six (6) months immediately preceding the date of Application for Services (5 CCR, Section 18092)? | <p><b>Material:</b> If the CPS referral is not dated within six (6) months immediately preceding the date of the Application for Services, an error will be determined in eligibility.</p> <p><b>Material:</b> If the CPS Plan does not include a statement indicating child care and development services are a necessary component of the CPS plan, an error will be determined in eligibility.</p> <p><b>Material:</b> If the written referral is missing or incomplete, a material error will be determined in eligibility.</p> <p><b>The above material errors will equal the cost of services provided for the sample month or the portion of the month in which there was insufficient documentation, whichever is less.</b></p> |
|                         | Does the statement include child care and development services are a necessary component of the CPS plan (5 CCR, Section 18092[a])?  |   |
|                         | Does the written referral include the probable duration (5 CCR, Section 18092[c])?   |   |
|                         | Does the written referral include the name, address, telephone number, and the signature of the county social worker (5 CCR, Section 18092[d])?  |   |





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# CHILD ELIGIBILITY AT RISK APMU 4.2

| Child Eligibility – At-Risk |   | Findings  |
|-----------------------------|---|---|
| APMU<br>4.2                 | Is there a statement by a legally qualified professional that the child is at risk of abuse or neglect (5 CCR, Section 18092[b])?                         | <p><b>Material:</b> If the written referral is missing or incomplete, an error will be determined in eligibility.</p> <p><b>Material:</b> If the At-Risk plan does not include a statement indicating that child care and development services are needed to reduce or eliminate that risk, an error will be determined in eligibility.</p> <p><b>The above material errors will equal the cost of services provided for the sample month or the portion of the month in which there was insufficient documentation, whichever is less.</b></p> |
|                             | Does the statement include that child care and development services are needed to reduce or eliminate that risk (5 CCR, Section 18092[b])?                |   |
|                             | Does the written referral include the probable duration (EC 8263[b][1][B]) and (5 CCR, Section 18092[c])?   |   |
|                             | Does the written referral include the name, address, telephone number, and the signature of the legally qualified professional (5 CCR, Section 18092[d])? |   |
| APMU<br>4.3                 | Were At-Risk services provided for a maximum of three (3) months (EC 8263[b][1][B]) and (5 CCR, Section 18092[c])?  | <p><b>Material:</b> If At-Risk services were provided for more than three (3) months, an error will be determined in eligibility. The error will equal the cost of services provided for the sample month or the portion of the month in which services exceed the three (3) month time frame.</p>  |





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# CHILD ELIGIBILITY AT-RISK CHILDREN

## APMU 4.2

- Eligibility for At-risk children can also be established by a written statement from a County Social Worker.
- Legally qualified professional is much more common.





# CHILD ELIGIBILITY EXCEPTIONAL NEEDS

## APMU 4.4



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| Child Eligibility – Exceptional Needs  |   | Findings   |
|--|---|--|
| <p><b>NOTE:</b> To receive a waiver of age eligibility (13-21 of age), the family must be otherwise eligible and the child must have an active Individualized Education Program (IEP) and a letter from a legally qualified professional stating that the child is incapable of self care.</p> |   |  |
| <p><b>APMU<br/>4.4</b></p>   | <p>Is the child between the ages of 13-21 years of age (5 CCR, Section 18089)?</p>  | <p><b>Material:</b> If the child is not between the ages of 13-21, an error will be determined in eligibility. The error will equal the cost of services provided for the sample month or the portion of the month in which the child was not age eligible, whichever is less.</p>   |
| <p><b>APMU<br/>4.5</b></p>   | <p>Is there evidence that the child has an active IEP and a statement signed by a legally qualified professional stating that the child is incapable of self care (5 CCR, Section 18089[b][1])?</p> | <p><b>Material:</b> If there is no evidence of an active IEP, an error will be determined in eligibility.<br/> <b>Material:</b> If a statement signed by a legally qualified professional is missing or incomplete, an error will be determined in eligibility.<br/> <b>Material:</b> If the statement, signed by a legally qualified professional does not include evidence that the child is incapable of self care, an error will be determined in eligibility.</p> <p><b>The above material errors will equal the cost of services provided for the sample month or the portion of the month in which there was insufficient documentation, whichever is less.</b></p> |





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# CHILD ELIGIBILITY EXCEPTIONAL NEEDS

## APMU 4.4

Child is over 13 with an IEP.

Eligibility is a two prong test:

1. The child must have an active IEP,  
and
2. The child must have a written  
statement by a legally qualified  
professional stating the child cannot  
care for themselves if alone.





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# FAMILY ELIGIBILITY INCOME

- Employment Income  
APMU 4.6
- Self Employment Income  
APMU 4.10
- Self Declaration of Income  
APMU 4.14





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# EMPLOYMENT INCOME

## APMU 4.6

| Family Eligibility – Income Eligibility<br>Employment Income |   | Findings  |
|--|---|---|
| <b>APMU 4.6</b>  | Is there a release authorizing the contractor to contact the employer(s) (5 CCR, Section 18084[a][1][A])? <b>OR</b> A declaration signed under penalty of perjury indicating such a request for income verification would adversely affect their employment (5 CCR Section 18086[b][2][F])? | <b>File:</b> If either the release or declaration is not present or incomplete, an error will be determined in eligibility.   |
| <b>APMU 4.7</b>  | Are there payroll check stubs and/or other record of wages issued by the employer (5 CCR, Section 18084[a][1][B])?  | <b>Material:</b> If the required employment documentation is not present, an error will be determined in eligibility. The error will equal the cost of services provided for the sample month or the portion of the month in which there was insufficient documentation, whichever is less. |
| <b>APMU 4.8</b>  | Is the income documentation current (the month preceding the certification or the family's current and ongoing income) (5 CCR, sections 18084[a][1][B] and 18096)?  | <b>Material:</b> If the income documentation is not current and cannot be calculated, an error will be determined in eligibility. The error amount will be determined as in 4.7.  |
| <b>APMU 4.9</b>  | If applicable, did the contractor verify income documentation (5 CCR, Section 18084[b][2])?   | <b>Material:</b> If the contractor did not verify income of a parent and verification was necessary an error will be determined in eligibility. The error amount will be determined as in 4.7.  |



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# EMPLOYMENT INCOME VERIFICATION OF INCOME

## APMU 4.7

- Contractors do not always have to contact the employer to verify income.
  - If the check stubs:
    1. Are from an employer known to the contractor;
    2. The hours and pay-rate on the stubs are consistent with the known practices of that employer (and parent's story); then no independent verification required.





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# EMPLOYMENT INCOME VERIFICATION OF INCOME

## APMU 4.9

- If you have any questions at all, you must seek to have those questions answered (i.e., independent verification).
  - Independent means independent of the parent.
- Request additional documentation if necessary





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# FAMILY ELIGIBILITY INCOME (Cont.)

- Self Employment Income  
APMU 4.10
- Self Declaration of Income  
APMU 4.14





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# FAMILY ELIGIBILITY

- Current Aid Recipient

APMU 4.15

- Homelessness

APMU 4.16







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# CURRENT AID RECIPIENT

## APMU 4.15

If the basis of eligibility is current aid recipient, the parent must provide documentation of public cash assistance, unless the contractor has and elects to use other means of verification.





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# HOMLESSNESS

## APMU 4.16

Parent must provide:

- A written referral from an emergency shelter or other legal, medical or social service agency; or
- A written parental declaration that the family is homeless, and a statement describing the family's current living situation.





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# FAMILY SIZE

## APMU 5.1

| Family Size  |  | Findings   |
|--|--|--|
| <b>NOTE:</b> An error in family size may also result in an error in eligibility and/or family fee. |  |  |
| <b>APMU<br/>5.1</b>  | Is there documentation for all the children reported in the family size that indicates the relationship of the child to the parent (e.g. birth certificates, court orders, etc.)<br>(5 CCR, Section 18100[a][1])?  | <p><b>Material:</b> If the supporting documentation for the child under review is not present in the family data file, an error will be determined in eligibility. The error will equal the cost of services provided for the sample month or the portion of the month in which there was insufficient documentation, whichever is less.</p> <p><b>File:</b> If the supporting documentation for any child(ren) not being reviewed is not present in the family data file, an error will be determined in eligibility.</p> |
| <b>APMU<br/>5.2</b>  | <p>If applicable, is the presence or absence of a parent documented (e.g. records of divorce, custody agreement, rental receipt or rental agreement etc.) (5 CCR, Section 18100[a][2])?</p> <p>If applicable, was there a recent departure of a parent, is there subsequent documentation verifying the absence of a parent within six (6) months of applying or reporting the change of family size (5 CCR, Section 18100[a][3])?</p> | <p><b>Material:</b> If the presence or absence of a parent is not documented, an error will be determined in eligibility.</p> <p><b>Material:</b> If there is not documentation verifying the absence of a parent within six (6) months of applying or reporting the change of family size, an error will be determined in eligibility.</p> <p><b>The above material errors will be determined as in 5.1.</b></p>  |





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# FAMILY SIZE

## APMU 5.1

- Family size is used to:
  - Determine income eligibility;
  - Determine assessment of family fees
- Parents must provide (on the application for services):
  - Names of parents; and
  - Names, gender and birth dates of the children identified in the family.





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# FAMILY SIZE (cont.)

## APMU 5.1

Supporting documentation for the number of children shall be at least **one** of the following:

- Birth record;
- Child custody court order;
- Adoption documents;
- Foster Care placement records;
- School or medical record;
- County welfare department records;
- Other reliable documentation indicating the relationship of the child to the parent.





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# FAMILY SIZE (cont.)

## APMU 5.1

When only one parent has signed the application and the birth certificate (or other documentation) indicates the child has another parent whose name does not appear on the application, then the presence or absence of that parent shall be documented.





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# FAMILY SIZE (CONT.)

## APMU 5.2

**BEST PRACTICES** - Establishing the number of parents in the family .

1. For AP programs, especially in Stages 2 and 3, documentation from welfare is easiest.

2. For all other types of contracts, looking for “official” documentation is often easier than re-documenting every year.

- Food Stamps, Medi-Cal, Healthy Families
- Medical records or School records

3. Don't track down the absent parent





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# INCOME CALCULATION

## APMU 6.1

| Income Calculation |  | Findings  |
|--------------------|--|---|
| <b>APMU 6.1</b>    | Is there an income calculation worksheet present (5 CCR, Section 18096[a])?  | <b>File:</b> If the income calculation worksheet is missing or incomplete, however the income is calculated correctly, an error will be determined in eligibility.  |
| <b>APMU 6.2</b>    | Was the income calculated and documented correctly to include all individuals counted in the family size (5 CCR, sections 18096 & 18078[q])? | <p><b>Material:</b> If the monthly income is miscalculated and the family is determined to be over-income, an error will be determined in eligibility. The error will equal the cost of services provided for the sample month or the portion of the month in which the family was over-income, whichever is less.</p> <p><b>Material:</b> If there is insufficient income documentation present in the family data file to substantiate the family's total countable income, an error will be determined in eligibility. The error will equal the cost of services provided for the sample month or the portion of the month in which there was insufficient documentation, whichever is less.</p> <p><b>File:</b> If the monthly income is miscalculated, however, it does not affect the family's eligibility or family fee, an error will be determined in eligibility.</p> |







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# INCOME CALCULATION

## APMU 6.1

- The parent is responsible for providing all documentation of the family's total countable income on a timely basis.
- Used to determine:
  - Income eligibility
  - Family Fee
- Based on income information reflecting the family's current and on-going income.





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# INCOME CALCULATION

## APMU 6.1

Use of an Income Calculation Worksheet is **required**. The worksheet must specify:

- Frequency of income:
  - Weekly
  - Bi-weekly
  - Twice monthly
  - Monthly
  - Fluctuating
- All sources of income

An Income Calculation Worksheet can be located at:

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





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# FAMILY FEE

## APMU 7.1

|          | Family Fee   | Findings  |
|----------|--|---|
| APMU 7.1 | Was the family fee assessed correctly based on income and family size (5 CCR, Section 18109[a])?   | <p><b>Material:</b> If the family size and/or income are determined incorrectly and affect the assessment of the family fee, an error will be determined in family fee.</p> <p><b>Material:</b> If the assessment of the family fee is incorrectly assessed (i.e. part-time vs full-time monthly), an error will be determined in family fee.</p> <p><b>The above material errors will equal the difference in the family fee assessed and the correctly determined family fee.</b></p> |
| APMU 7.2 | Was the family fee collected (5 CCR, sections 18109[a][3] and [4])?  | <b>Material:</b> If family fees were not collected, an error will be determined in family fee. The error amount will be determined as in 7.1.   |
| APMU 7.3 | If applicable, did the contractor retain a copy of the family fee receipt (5 CCR, Section 18113[b])?   | <b>File:</b> If the family fee receipt is missing or incomplete, however the family fee was assessed correctly, an error will be determined in family fee.  |
|          | Does the receipt include the amount paid; the date of payment, rate of payment, and the period of service (5 CCR, Section 18113[a])?   |   |
| APMU 7.4 | Did the contractor adopt policies regarding fee assessment, collection and the possible consequences for delinquent payment of fees (5 CCR, sections 18109[c], 18114, 18115, & 18116)? | <p><b>Material:</b> If delinquent family fees are not collected and do not follow the contractors policy, an error will be determined in family fee. The error will equal the delinquent family fee not collected in the sample month.</p> <p><b>File:</b> If the policy does not align with regulatory requirements, an error will be determined in family fee.</p>  |





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# FAMILY FEE

## APMU 7.1

Total countable income and family size are the two factors which determine if a family fee is to be assessed. A new family fee schedule took effect on July 1, 2014, and applies to both existing and new families in the program.

In determining whether a part-time or full time monthly fee should be assessed: If the total certified hours are less than 130 hours, the part-time fees apply or if the total hours are 130 hours or more, the full time fee apply. If determining the family fee based on a weekly certified need multiply the number of certified hours by 4.33 and then assess according to the above.





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# FAMILY FEE

## APMU 7.1

- The following factors shall be used in determining the family fee to be assessed:
  - Adjusted monthly family income;
  - Family size;
  - Certified hours a need for services.
- For additional information on calculating fees please see MB 14-03a at:

<http://www.cde.ca.gov/sp/cd/ci/mb1403a.asp>





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# FAMILY FEE

## APMU 7.1

### Fee Schedule:

- Use the most recently approved fee schedule issued by the CDE. The family fee schedule can be found at:  
<http://www.cde.ca.gov/sp/cd/ci/familyfeeschedjuly2014.asp>
- A family fee rate calculator is located at:  
<http://www2.cde.ca.gov/familyfee/famfeecalc2014.aspx>





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# NEED FOR SERVICES

## APMU 8

- **Employment – APMU 8.1**
- **Self Employment – APMU 8.6**
- **Seeking Employment – APMU 8.11**
- **Vocational Training – APMU 8.15**
- **Parental Incapacitation – APMU 8.20**
- **Child Protective Services – APMU 8.24**
- **Seeking Permanent Housing – APMU 8.26**





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# NEED EMPLOYMENT

## APMU 8.1

| Need – Employment |  | Findings  |
|-------------------|--|---|
| <b>APMU 8.1</b>   | Does the parent have a release authorizing the contractor to obtain information regarding days and hours worked; <b>OR</b><br>A declaration signed under penalty of perjury indicating such a request for employment documentation would adversely affect their employment (5 CCR sections 18086[b][2][F] and 18086[d])? | <b>File:</b> If the contractor does not have a release authorizing the contractor to contact the employer, or a declaration indicating that such a request would adversely affect their employment, an error will be determined in need.  |
| <b>APMU 8.2</b>   | Does the documentation indicate the pay period, days, and hours of employment (e.g. payroll check stubs, employer verification, contact with employer, etc) (5 CCR, Section 18086[b])?   | <b>Material:</b> If the required employment documentation is not present in the family data file, an error will be determined in need. The error will equal the cost of services provided for the sample month or the portion of the month in which there was insufficient documentation, whichever is less.  |
| <b>APMU 8.3</b>   | If applicable, were the unpredictable hours of need updated at least every four (4) months (5 CCR, Section 18086[b][2][D])?  | <b>Material:</b> If the unpredictable hours were not updated at least every four (4) months, an error will be determined in need. The error amount will be determined as in 8.2.<br><b>File:</b> If the unpredictable hours were not updated at least every four (4) months, however the update was completed before the review month, an error will be determined in need. |





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# NEED EMPLOYMENT

## APMU 8.2

Per 18086(b)(2), contractors are to verify employment by doing one of the following:

- (A) Secure a written statement from the employer;
- (B) Telephone the employer and maintain a record, or
- (C) If the provided pay stubs indicate the total hours of employment and if the contractor is satisfied that the pay stubs have been issued by the employer, specify on the application for services the days and hours of employment to correlate with the total hours of employment and the parent's need.





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# NEED FOR SERVICES

## APMU 8

- Self Employment  
APMU 8.6
- Seeking Employment  
APMU 8.11





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# NEED SELF EMPLOYMENT APMU 8.6

## Self-Employment:

- If the parent is self-employed, they must provide the following:
  - Declaration that includes a description of the employment, and an estimate of the days and hours worked per week.





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# NEED SELF EMPLOYMENT (cont.)

## APMU 8.6

### Self-Employment

- A copy of at least one of the following:
  - Appointment logs;
  - Client receipts;
  - Job logs;
  - Mileage logs;
  - Clients list with contact information, or similar records.
- As applicable:
  - Business license;
  - Workspace lease; or
  - Workspace rental agreement.





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# NEED SEEKING EMPLOYMENT

## APMU 8.11

### Limitations for Seeking Employment:

- Limited to 60 working days during the contract period;
- No more than 5 days per week and for **less than 30 hours per week**;
- The period of eligibility begins the first day of authorization and extends for consecutive working days.





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# NEED SEEKING EMPLOYMENT (cont.)

## APMU 8.11

- The parent must provide a written declaration stating that they are seeking employment, and must identify the parent's plan to secure, change, or increase employment and include a general description of when services will be necessary.
- The contractor must determine the number of working days available for seeking employment and the schedule of services, which may include a variable schedule, based on the plan submitted.





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# VOCATIONAL TRAINING

## APMU 8.15

| Need – Vocational Training |  | Findings  |
|----------------------------|--|---|
| <b>APMU 8.15</b>           | Is the parent eligible for vocational training based on time limitations?<br>(1) Six years from the initiation of services; <b>OR</b><br>(2) Twenty- four semester units or its equivalent after the attainment of a Bachelor's Degree (5 CCR, sections 18087[a][1] & [2] and 18087[l])? | <b>Material:</b> If the contractor certified services that exceed a vocational training limitation, an error will be determined in need. The error will equal the cost of services provided for the sample month or the portion of the month in which the family was ineligible, whichever is less. |





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# NEED VOCATIONAL TRAINING

## APMU 8.16

- General education does not equal vocational training.
- General education is approvable when it is part of a vocational training program, e.g.,
  - When obtaining a GED is necessary to complete an apprenticeship program.
- When completing ESL classes is necessary to complete community college course in early education (and there is written documentation from community college counselor verifying).
- Simply stating a vocational goal does not transform a general education program into vocational training.







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# NEED VOCATIONAL TRAINING

## APMU 8.16

The contractor must determine the days and hours needed per week, based on the documentation provided.

A training verification form can be located at:

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





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# NEED

## VOCATIONAL TRAINING (CONT.)

### APMU 8.16

Continuation of services based on training is contingent upon making adequate progress;

- Parent must provide a report card or transcript to document that parent is making progress toward the attainment of the vocational goal.





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# NEED FOR SERVICES

## APMU 8

- Parental Incapacitation  
APMU 8.20
- Child Protective Services  
APMU 8.24
- At Risk  
APMU 8.25
- Seeking Permanent Housing  
APMU 8.26





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# NEED PARENTAL INCAPACITATION APMU 8.20

The parent must sign a release authorizing a legally qualified health professional to disclose information necessary to establish that the parent meets the definition of incapacity.

[http://www.cde.ca.gov/search/searchresults.asp?cx=001779225245372747843:gpfwm5rhxiw&output=xml\\_no\\_dtd&filter=1&num=20&start=0&q=statement%20of%20incapacity](http://www.cde.ca.gov/search/searchresults.asp?cx=001779225245372747843:gpfwm5rhxiw&output=xml_no_dtd&filter=1&num=20&start=0&q=statement%20of%20incapacity)





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# NEED PARENTAL INCAPACITATION

## APMU 8.20

Documentation of incapacitation must include:

- A statement that the parent is incapacitated and is incapable of providing care and supervision for part of the day;
- The days, and hours per week that services are recommended;
- The probable duration of the incapacitation; and
- The name, business address, phone number, professional license number, and signature of the legally qualified health professional.



# NEED CHILD PROTECTIVE SERVICES

## APMU 8.24



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The parent must provide a written referral, dated within the six (6) months immediately preceding the date of application for services. The referral must:

- Be from a county welfare department, child welfare services worker;
- Certify that the child is a CPS recipient and that services are a necessary component of the CPS plan;
- Include the probable duration of the CPS plan; and
- Include the name, address, telephone number, and signature of the child welfare services worker who is making the referral.





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# NEED AT-RISK APMU 8.25

## Limitations for At-Risk:

- Up to three (3) months;
- After three (3) months, the family must meet another need criteria (i.e. CPS).





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# NEED AT-RISK (cont.)

## APMU 8.25

The parent must provide a statement that the child is at-risk of abuse, neglect or exploitation and that services are needed to reduce or eliminate risk. The referral must:

- Be from a legally qualified professional;
- Include the probable duration of the child protective services plan or at-risk situation; and
- The name address, telephone number and signature of the legally qualified professional who is making the referral.







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# NEED SEEKING PERMANENT HOUSING

## APMU 8.26

- Parent must provide:
  - A written declaration that the family is seeking permanent housing,
  - A plan to secure permanent housing that identifies a general description of when services will be necessary.
- The contractor must determine the number of weeks available for seeking permanent housing and the schedule for services, which may be a variable schedule, based on the documentation.





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# NEED SEEKING PERMANENT HOUSING (CONT.) APMU 8.26

If necessary to verify need, the contractor may request that the parent provide, no more than once a week:

- Declaration of the previous week's activities to seek permanent housing; or
- A **signed** statement from the shelter, transitional housing agency or homeless support program regarding the parent's search progress to date.





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# NOTICE OF ACTION

## APMU 9.1

| Notice of Action |   | Findings   |
|------------------|---|--|
| <b>APMU 9.1</b>  | Is the NOA complete, accurate and contain all <i>CCR</i> Title 5 components (5 <i>CCR</i> , Section 18094)?                             | <b>File:</b> If the NOA is not complete and/or accurate, an error will be determined in eligibility.   |
| <b>APMU 9.2</b>  | Was the NOA issued within 30 calendar days from the date the parent signed the Application for Services (5 <i>CCR</i> , Section 18118)? | <b>File:</b> If the contractor did not send out a NOA within 30 calendar days from the date the Application for Services was signed by the parent, an error will be determined in eligibility. |
| <b>APMU 9.3</b>  | Did the contractor notify parents of due process requirements (5 <i>CCR</i> , Section 18120)?   | <b>File:</b> If the contractor did not notify the parent of due process requirements, an error will be determined in eligibility.  |





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# NOTICE OF ACTION

## APMU 9.1

AP and CalWORKs programs require a certificate.

45CFR98.2 – “means a certificate (that may be a check or other disbursement) that is issued by the grantee directly to a parent who may use such certificate only as payment for child care services or a deposit for child care services..... For purposes of this chapter, a child care certificate is assistance to the parent, not assistance to the provider.”





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# NOTICE OF ACTION

## APMU 9.1

AP and CalWORKs programs – the Notice of Action may be used as the certificate, if the Notice meets federal requirements.

1. Acceptable by providers as payment or deposit.
2. Indicates the parent's level or amount of assistance.





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# NOTICE OF ACTION (CONT.)

## APMU 9.1

The NOA must be mailed or delivered to the applicant within thirty (30) calendar days from the date the application is signed by the parent(s).

A parent appeal information pamphlet (in various languages) is available at:

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





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# QUESTIONS





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Thank you for your participation

