

Governance and Administration Alternative Payment, CalWORKs Child Care and Family Child Care Home Education Network Contracts Review Guide



Early Education and Support Division

April 2018

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INTRODUCTION

In 2010, the California Department of Education (CDE) began the process of developing a review guide for the Alternative Payment, CalWORKs Child Care and Family Child Care Home Education Network (CFCC) Programs to implement federal guidelines for reducing errors in Child Care and Development Fund (CCDF) programs. The review guide contains instructions for: 1) selecting a statistically valid sample of children receiving subsidized child care services, 2) analyzing the family and provider files associated with those children for errors, and 3) recording and aggregating those errors for the purposes of administrative improvement.

The material presented in the guide is to provide clear written information that will be used in an Alternative Payment, CalWORKs Child Care and Family Child Care Home Education Network monitoring review. We also believe the guide will assist local contractors in developing and implementing quality assurance processes.

The current version of the review guide is consistent with contract rules and regulations. The review guide distinguishes between material errors¹ (the federal term is improper payment), file errors² (the federal term is administrative error) and compliance finding³.

Our goal is to provide support and technical assistance that will lead to successful administration of programs. Questions or feedback regarding the review guide should be directed to your assigned Field Services Consultant or Governance and Administration Managers. The following link shows contact information <http://www.cde.ca.gov/sp/cd/ci/assignments.asp>.

¹ A material error is an error that results in an improper reimbursement of services. A material error occurs when the requirements in statutes and/or regulations are either misapplied and/or when there is insufficient or conflicting documentation to support a decision regarding eligibility, need, family fees and provider payments

² A file error occurs when the requirements in statutes and/or regulations are not met, but the result is not an improper authorization of services

³ Compliance finding is when a contractor does not meet minimum legal requirements in statutes, regulations or contractual provisions

I. GOVERNANCE AND ADMINISTRATION ALTERNATIVE PAYMENT, CalWORKs Child Care and CFCC CONTRACTS
REVIEW GUIDE

1. CDD-801A Monthly Population Report

Child Reported on the CDD 801A		Findings
1.1	Did the child receive services in the review month (5 <i>California Code of Regulations (CCR)</i> , Section 18070 and Management Bulletin (MB) 09-12)?	Compliance: If the random sample files pulled include children that did not receive services during the review month, a compliance finding will be determined.

2. Initial Certification and Recertification (Application for Services)

The Application for Services (EESD 9600) includes basic data regarding eligibility, need, and family information.

NOTE: Effective July 1, 2017, in accordance with California *Education Code (EC)* sections 8263(h) and 8263.1, once a family establishes eligibility and need at initial certification or recertification, a family shall be considered to meet all eligibility and need requirements for not less than 12 months.

Initial Certification and Recertification (Application for Services)		Findings
2.1	Is there a completed and signed Application for Services in the family data file (5 <i>CCR</i> , sections 18081, 18082 and 18083)?	Material: 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. File: If the Application for Services is incomplete, an error will be determined in eligibility.
2.2	Was the application completed prior to serving the child (5 <i>CCR</i> , Section 18082[b])?	Material: If services were provided prior to the Application for Services being completed, an error will be determined in eligibility. The error amount will be determined as in 2.1.

2.3	<p>If applicable, did the recertification occur no sooner than twelve (12) months from when they were last certified (MB 17-14)?</p>	<p>Note: CDE is currently working on the timeline for recertification. File: If recertification was completed before twelve (12) months, an error will be determined in eligibility.</p>
2.4	<p>Does the family data file contain all child health and current emergency information (5 CCR, Section 18081[e])?</p> <p>Note: Immunization records are not required for children attending a public or private elementary school or receiving care in licensed facilities.</p>	<p>File: If the family data file does not contain all child health and current emergency information, an error will be determined in eligibility.</p>
2.5	<p>Does the family data file contain residency requirements (5 CCR, Section 18107)?</p>	<p>File: If the family data file does not contain residency requirements, an error will be determined in eligibility.</p>

3. Parent's Right to Voluntarily Report Changes

At any time between the initial certification or recertification period a parent may voluntarily request to reduce their family fee, increase the family services or extend the period of eligibility. A family may also at any time voluntarily request a reduction in their service level, 5 CCR, Section 18084.2.

Parent's Right to Voluntarily Report Changes (MB 17-14)		Findings
<p>3.1 If applicable, did the family voluntarily request a change to reduce their family fees, increase the family services or extend the period of eligibility (5 CCR Section 18084.2 [a] and MB 17-14)?</p>	<p>Did the contractor request documentation to support a reduction of family fees, increase the family's services or extend the period of eligibility? AND If applicable, immediately reduce the family fee in accordance with the directives outlined in (5 CCR, Section 18084.2, MB 17-11 and 17-14)?</p> <p>Did the contractor issue a Notice of Action (NOA) no later than 10 business days after receipt of applicable documentation and not use any other documentation received to make other changes to the service agreement (5 CCR Section 18084.2 [a][3][4] and MB 17-11 and 17-14)?</p>	<p>Material: If the family voluntarily requested a change to reduce the family fee and the contractor did not reassess the family fee, an error will be determined in family fee. The error will equal the difference between the assessed family fee and the new family fee based on current documentation in the family data file.</p> <p>Material: If the contractor makes a change in family fee without supporting documentation, an error will be determined in family fee. The error will equal the difference between the assessed family fee and the new family fee based on current documentation in the family data file.</p> <p>Material: If the contractor did not make the effective date of the reduced fee effective immediately, an error will be determined in family fee. The error will equal the difference between the assessed family fee and the new family fee based on current documentation in the family data file.</p> <p>Material: If the contractor increases the family services without supporting documentation, 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.</p> <p>File: If the family voluntarily requested a change to reduce their family fee and the contractor reassessed the family fee, but did not issue a NOA within required timelines, an error will be determined in family fee.</p> <p>File: If the contractor increases the family services without supporting documentation, however the reimbursement was not affected an error will be determined in need.</p> <p>Note: CDE is currently working on requirements for extending the period of eligibility.</p>
<p>3.2 If applicable, did the family voluntarily request to decrease their service level in writing (5 CCR, Section 18084.2 and MB 17-</p>	<p>Did the contractor request documentation to support a reduction of family fees, increase the family's services or extend the period of eligibility? AND If applicable, immediately reduce the family fee in accordance with the directives outlined in (5 CCR, Section 18084.2, MB 17-11 and 17-14)?</p> <p>Did the contractor issue a Notice of Action (NOA) no later than 10 business days after receipt of applicable documentation and not use any other documentation received to make other changes to the service agreement (5 CCR Section 18084.2 [a][3][4] and MB 17-11 and 17-14)?</p>	<p>Material: If the family voluntarily requested in writing to decrease their service level and the contractor did not make the appropriate changes, an error will be determined in need. The error will equal the difference between the original</p>

14)?	certified service level and the requested decreased service level reimbursement amount.
<p>Does the written voluntary request include:</p> <ul style="list-style-type: none"> • Days and hours per day requested • Effective date of proposed reduction of service level; • Acknowledgment in writing that parent understands that they may retain their current service level (5 CCR, Section 18084.2 and MB 17-14)? 	<p>Material: If the contractor makes a change to the family’s approved service level with missing/incomplete written request, an error will be determined in need. The error will equal the difference between the original certified service level and the decreased certified service level reimbursement amount.</p> <p>File: If the family voluntarily requested a change to decrease their service level and the contractor reassessed the service hours, but did not issue a NOA within the required timeline, an error will be determined in need.</p>
<p>Upon receipt of the parents written request to decrease their service level, did the contractor:</p> <ul style="list-style-type: none"> • Notify the family in writing of their right to continue to bring the child pursuant to the original certified service level. • Collect documentation to support the changes requested (5 CCR, Section 18084.2 and MB 17- 14)? 	
<p>Did the contractor issue a Notice of Action (NOA) no later than 10 business days after receipt of applicable documentation and not use any other documentation received to make other changes to the service agreement (5 CCR, Section 18084.2 and MB 17-14)?</p>	

4. Contract Eligibility

CalWORKs Stage 2 (C2AP)

CalWORKs Stage 3 (C3AP)

Contract Eligibility indicates the Alternative Payment Program in which a family is enrolled. Review the documentation to ensure the family was eligible for the contract in which they were enrolled.

NOTE: Stage 2: A family receiving diversion services meeting the requirements of 5 CCR, sections 18406 and 18407 is eligible to receive child care services in Stage 2 for 24 months. The 24 month time limit begins the first day of the month that the family is determined eligible for diversion services.

CalWORKs Stage 2 (C2AP)		Findings
4.1	<p>Was the parent transferred from a CalWORKs Stage 1 program or another contractor's CalWORKs Stage 2 program (5 CCR, Section 18409[a])?</p> <p>Were the nine (9) data elements obtained by the receiving contractor (5 CCR, Section 18409[a][1-9])?</p>	<p>Material: If any of the nine (9) data elements are missing from the transfer documentation from CalWORKs Stage 1 or CalWORKs Stage 2, 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>
4.2	<p>When a categorically eligible family would otherwise have their child care terminated due to the family's violation of the child care provider's policy, did the contractor notify the CWD of the actions of the family that violated the contractor's policy in order to determine what action(s) may be taken (5 CCR, Section 18408 and MB 17-06)?</p>	<p>Material: If the contractor terminated the family without following up with the County Welfare Department (CWD) to discuss how to remedy the situation, an error will be determined in eligibility. The error amount will be determined as in 4.1</p>
4.3	<p>When the family is certified as income eligible. Did the contractor inform the parent in writing, at initial certification or recertification, of the requirement to report when their income exceeds the exit 85% State Median Income (SMI) threshold?</p> <p>AND</p> <p>Did the contractor provide a Schedule of</p>	<p>File: If the contractor did not inform the parent in writing of the income threshold and/or provide the Schedule of Income Ceilings, an error will be determined in eligibility.</p>

Income Ceilings 85% SMI, with the maximum adjustment monthly income the family may earn? (MB 17- 08, 17-09 and 17-14, 5 CCR, Section 18084.3 [b][1][A-B])?	
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NOTE: Stage 3: A family that is a former CalWORKs cash aid recipient and is in his/her 24th month of eligibility for CalWORKs Stage 1 and/or 2 after leaving CalWORKs cash aid or a diversion services recipient and is in his/her 24th month of eligibility for CalWORKs Stage 1 and/or 2 child care.

CalWORKs Stage 3 (C3AP)		Findings
4.4	<p>Was the parent transferred from a CalWORKs Stage 1, CalWORKs Stage 2, or from another contractor's Stage 2 or Stage 3 program (5 CCR, Section 18424)?</p> <p>Were the nine (9) data elements obtained from the receiving contractor (5 CCR, Section 18424[a][1-9])?</p>	<p>Material: If any of the nine (9) data elements are missing from the transfer documentation, 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>
4.5	<p>Is there documentation from the CWD indicating the parental cash-aid end date (5 CCR, Section 18421[a][3][A-B])?</p> <p>Was the parent transferred into CalWORKs Stage 3 in the 24th month, no later than the 1st day of the 25th month after the parental cash-aid end date (5 CCR, Section 18421[a][3][A-B])?</p>	<p>Material: If the CWD documentation (e.g. Passport to Services, GEARS, and CalWin) is missing or does not identify the parent's cash aid end date an error will be determined in eligibility. The error amount will be determined as in 4.4.</p> <p>Material: If a family is eligible and not transferred from CalWORKs Stage 1 or 2 to CalWORKs Stage 3 within the 24th month, and no later than the first day of the 25th month after the parental cash-aid end date, an error will be determined in eligibility. The error will equal the cost of services for the sample month or for the period of time services were provided in an inappropriate alternative payment contract, whichever is less.</p>
4.6	<p>When the family is certified as income eligible. Did the contractor inform the parent in writing, at initial certification or recertification, of the requirement to report when their income exceeds the exit 85% SMI threshold?</p> <p>AND</p> <p>Did the contractor provide a Schedule of Income Ceilings 85% SMI, with the maximum adjustment monthly income the</p>	<p>File: If the contractor did not inform the parent in writing of the income threshold and/or provide the Schedule of Income Ceilings, an error will be determined in eligibility.</p>

	family may earn? (MB 17- 08, 17-09 and 17-14, 5 CCR, Section 18084.3 [b][1][A-B])?	
4.7	<p>If applicable, did the family notify the contractor within 30 calendar days of any change causing the family's adjusted monthly income to exceed 85% SMI?</p> <p>AND</p> <p>Upon notification did the contractor obtain income documentation, calculate the family's adjusted monthly income and if the monthly income exceeds the 85% SMI, determine if the family is eligible for services based upon other eligibility criteria or issue a NOA dis-enrolling the family? (MB 17-14)</p>	<p>Material: If the contractor did not dis-enroll the family once the documentation indicated that the family exceeded the 85% SMI, an error will be determined in eligibility. The error will be determined as in 4.4.</p> <p>File: If the contractor dis-enrolled the family, but did not issue a NOA, an error will be determined in eligibility.</p>

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5. Eligibility

Child Protective Services(CPS)/At-Risk
Income Eligibility
Current Aid Recipient
Homeless

Reimbursement – Exceptional Needs

For a family to receive child care services, they must be deemed eligible in one (1) of the categories of eligibility. Review documentation to determine if the family is eligible for child care services.

NOTE: If the parent(s) is/are eligible based on multiple categories, complete the questions for each applicable category.

Eligibility – CPS/At-Risk		Findings
5.1	Does the child have a written referral from a legal, medical, social service agency or emergency shelter, dated within six (6) months immediately preceding the date of the Application for Services (5 CCR, Section 18092)?	<p>Material: If the written referral is missing or not from a legal, medical, social service agency or emergency shelter or dated within six (6) months immediately preceding the date of the Application for Services, 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>File: If the written referral is incomplete, a file error will be determined in eligibility.</p>
	Does the written referral include a statement that child care and development services are a necessary component of the child protective services (CPS) plan (5 CCR, Section 18092)?	
	Does the written referral include the name, address, telephone number, and the signature of the legally qualified professional (5 CCR, Section 18092[d])?	

Eligibility – Income Eligibility Employment Income		Findings
5.2	Is there a release authorizing the contractor to contact the employer(s) (5 CCR, Section 18084[a][1][A])? OR A declaration signed under penalty of perjury indicating such a request for income	<p>File: If either the release or declaration is not present or incomplete, an error will be determined in eligibility.</p>

	verification would adversely affect their employment (5 CCR, Section 18084[a][2])?	
5.3	<p>Are there payroll check stubs, a letter from the employer or other record of wages issued by the employer for the month preceding the initial certification or recertification (5 CCR, Section 18084[a][1][B])? OR</p> <p>Did the parent provide other means of verification that may include a list of clients and amounts paid, the most recently signed and completed tax returns, quarterly estimated tax statements, or other records of income to support the reported income, along with a self-certification of income for which no documentation is possible? (5 CCR, Section 18084[a][2])</p>	<p>Material: If income 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.</p> <p>Material: If the income documentation is not from the month preceding the certification or reflecting the family's current 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>
5.4	If applicable, did the contractor verify income documentation (5 CCR, Section 18084[b][2])?	Material: 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 5.3.
5.5	<p>Did the contractor inform the parent in writing, at initial certification or recertification, of the requirement to report when their income exceeds the exit 85% State Medium Income (SMI) threshold?</p> <p>AND</p> <p>Did the contractor provide a Schedule of Income Ceilings 85% SMI, with the maximum adjustment monthly income the family may earn (MB 17- 08, 17-09 and 17-14, 5 CCR, Section 18084.3 [b][1][A-B])?</p>	File: If the contractor did not inform the parent in writing of the income threshold and/or provide the Schedule of Income Ceilings, an error will be determined in eligibility.

<p>5.6</p>	<p>If applicable, did the family notify the contractor within 30 calendar days of any change in ongoing income that caused the family's adjusted monthly income to exceed 85% SMI? AND Upon notification did the contractor obtain income documentation, calculate the family's adjusted monthly income and if the monthly income exceeds the 85% SMI determine is the family is eligible for services based upon other eligibility criteria or issue a NOA dis-enrolling the family? (MB 17-14)</p>	<p>Material: If the contractor did not dis-enroll the family once the documentation indicated that the family exceeded the 85% SMI, an error will be determined in eligibility. The error will be determined as in 5.3. File: If the contractor dis-enrolled the family, but did not issue a NOA, an error will be determined in eligibility.</p>
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Eligibility – Income Eligibility Self-Employment Income		Findings
<p>5.7</p>	<p>Does the parent have a letter from the source of income? OR Did the parent provide the most recently signed and completed tax returns and a statement of current estimated income, business records, or copies of documentation of all non-wage income and self-certification of any income for which no documentation is possible (5 CCR, Section 18084[a][3][A-C])?</p>	<p>Material: If the required self-employment income 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.</p>
<p>5.8</p>	<p>Is the income documentation the month preceding or reflecting the family's current income at the initial certification or recertification (MB 17-14, 5 CCR, sections 18084[a][3] and 18096)?</p>	<p>Material: If the income documentation is not the month preceding the certification or reflecting the family's current income, an error will be determined in eligibility. The error amount will be determined as in as in 5.7.</p>
<p>NOTE: Definition of reliable and/or reasonable documentation is the agencies familiarity and/or knowledge of community practice.</p>		
<p>5.9</p>	<p>If applicable, did the contractor verify self-employment income documentation (5</p>	<p>Material: If the contractor did not assess whether the income is reasonable or consistent with the community practice, an error will be determined in eligibility.</p>

	<p>CCR, Section 18084[b][3])? If income cannot be independently verified, did the contractor assess whether the reported income is reasonable or consistent with community practice (via contractor attestation) for the employment (5 CCR, Section 18084[b][3])?</p>	<p>The error amount will be determined as in 5.7.</p>
<p>5.10</p>	<p>Did the contractor inform the parent in writing, at initial certification or recertification, of the requirement to report when their income exceeds the exit 85% SMI threshold? AND Did the contractor provide a Schedule of Income Ceilings 85% SMI, with the maximum adjustment monthly income the family may earn (MB 17- 08, 17-09 and 17-14, 5 CCR, Section 18084.3 [b][1][A-B])?</p>	<p>File: If the contractor did not inform the parent in writing of the income threshold and/or provide the Schedule of Income Ceilings, an error will be determined in eligibility.</p>
<p>5.11</p>	<p>If applicable, did the family notify the contractor within 30 calendar days of any change in ongoing income that caused the family's adjusted monthly income to exceed 85% SMI? AND Upon notification did the contractor obtain income documentation, calculate the family's adjusted monthly income and if the monthly income exceeds the 85% SMI determine is the family is eligible for services based upon other eligibility criteria or issue a NOA dis-enrolling the family? (MB 17-14)</p>	<p>Material: If the contractor did not dis-enroll the family once the documentation indicated that the family exceeded the 85% SMI, an error will be determined in eligibility. The error will be determined as in 5.7. File: If the contractor dis-enrolled the family, but did not issue a NOA, an error will be determined in eligibility.</p>

<p>Eligibility – Income Eligibility Self-Certification of Income</p>	<p>Findings</p>
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<p>NOTE: Self-Certification shall be used 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 (5 CCR, Section 18078[s][1-2]).</p>		
<p>5.12</p>	<p>When no documentation is possible, did the parent self-certify income under penalty of perjury (5 CCR, Sections 18084[a] [4])? If income cannot be independently verified, did the contractor assess whether the reported income is reasonable or consistent with community practice (via contractor attestation) for the employment (5 CCR, Section 18084[b][3])?</p>	<p>Material: If the self-certification of income is not present in the family data file and/or the contractor did not assess whether the income is reasonable or consistent with the community practice, 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>5.13</p>	<p>Did the contractor inform the parent in writing, at initial certification or recertification, of the requirement to report when their income exceeds the exit 85% SMI threshold? AND Did the contractor provide a Schedule of Income Ceilings 85% SMI, with the maximum adjustment monthly income the family may earn (MB 17- 08, 17-09 and 17-14, 5 CCR, Section 18084.3 [b][1][A-B])?</p>	<p>File: If the contractor did not inform the parent in writing of the income threshold and/or provide the Schedule of Income Ceilings, an error will be determined in eligibility.</p>
<p>5.14</p>	<p>If applicable, did the family notify the contractor within 30 calendar days of any change in ongoing income that caused the family’s adjusted monthly income to exceed 85% SMI AND Upon notification did the contractor obtain income documentation, calculate the family’s adjusted monthly income and if the monthly income exceeds the 85% SMI, determine if the family is eligible for services based upon other eligibility criteria or issue a NOA dis-enrolling the family (MB</p>	<p>Material: If the contractor did not dis-enroll the family once the documentation indicated that the family exceeded the 85% SMI, an error will be determined in eligibility. The error will be determined as in 5.12. File: If the contractor dis-enrolled the family, but did not issue a NOA, an error will be determined in eligibility.</p>

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Eligibility – Income Eligibility Current Aid Recipient		Findings
5.15	Does the parent have current documentation of public cash-aid assistance (e.g. GEARS, Passport to Services, CalWin, etc.) (5 CCR, Section 18085)?	Material: If public cash-aid assistance documentation is not 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.

Eligibility - Homelessness		Findings
5.16	Does the parent have 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 (5 CCR, Section 18090)?	Material: If the written referral or the written parental declaration is missing, 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. File: If the written referral or the written parental declaration is incomplete, an error will be determined.

Reimbursement – Exceptional Needs		Findings
NOTE: Age eligibility (13 through 21 years 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 the child requires the special attention of adults in a child care setting.		
5.17	Is the child between the ages of 13 through 21 years of age (5 CCR, Section 18089)?	Material: If the child is not between the ages of 13 through 21 , an error will be determined in reimbursement/provider payment. 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.
5.18	Is there evidence the child has an active IEP and a statement signed by a legally qualified professional stating the child requires the special attention of adults in a child care setting (5 CCR, Section 18089[b][1])? Does the statement include the name,	Material: If there is no evidence of an active IEP, an error will be determined in need. Material: If a statement signed by a legally qualified professional is missing, an error will be determined in need. Material: If the statement, signed by a legally qualified professional does not specify that the child requires the special attention of adults in a child care

	address, license number, telephone number, and signature of the legally qualified professional (5 CCR, Section 18089[b][2])?	setting, an error will be determined need. File: If the statement by a legally qualified professional does not include name, address, license number, telephone number, or signature, an error will be determined in need. 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.
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6. Family Size

An error in family size may also result in an error in eligibility and/or family fee.

Family Size		Findings
6.1	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.) (5 CCR, Section 18100[a][1])?	Material: 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. File: 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.
6.2	If applicable, if a child and his or her sibling(s) are living in a family that does not include their biological or adoptive parent, were only the child and related siblings counted to determine family size (5 CCR, Section 18100 [c])?	File: If the family size was documented inaccurately on the Application for Services, however does not affect the eligibility or family fee, an error will be determined in eligibility.
6.3	If applicable, did the parent who signed the Application for Services appropriately self-certify their single parent status, under penalty of perjury: <ul style="list-style-type: none"> • Check the box in Section I • Initial Section V.1 • Sign under penalty of perjury (MB 16-14) 	Material: If the parent did not complete a self-certification of single parent status, an error will be determined in eligibility. The error amount will be determined as in 6.1. File: If the parent only completed one of the following: check the box in Section 1 or initial Section 5 of the Application for Services, but did sign under penalty of perjury to self-certify single parent status, an error will be determined in eligibility.
6.4	Is the family size documented correctly on Application for Services (5 CCR, Section 18100)?	Material: If the family size was documented inaccurately on the Application for Services in an ineligible family being certified for care, an error will be determined in eligibility. The error amount will be determined as in 6.1. File: If the family size was documented inaccurately on the Application for Services, however does not affect the eligibility or family fee, an error will be determined in eligibility.

7. Income Calculation

The family data file shall include sufficient and current documentation to determine the total countable income for the family. The reviewer shall ensure the family's income was calculated correctly and if family's eligibility is based on income, the family's income is equal to or less than 70 percent of the SMI at initial certification. Once determined and certified as income eligible for services, families remain income eligible until their adjusted monthly income exceeds 85 percent of the most recent SMI, adjusted for family size.

The contractor shall calculate total countable income based on income information reflecting the family's current and on-going income.

NOTE: Fluctuating Income:

- (1) **Migrant, agricultural or seasonal work:** This covers workers whose annual employment has periods of highs and low to no activity (average monthly income from the preceding 12 months prior to the period that establishes eligibility for services).
- (2) **Intermittent earnings or income:** This covers income that is infrequent or single occurrences over a period of certification (average the intermittent income from the preceding 12 months by dividing by 12 and add this to the other countable income).
- (3) **Unpredictable income:** This covers parents whose income is difficult to calculate because it has no recognizable pattern (average the income from at least three (3) consecutive months and no more than 12 months preceding the period that establishes eligibility for services).

If a family is voluntarily requesting a change in income refer to Section 3 of this Review Guide.

Income Calculation		Findings
7.1	Is there an income calculation worksheet present (5 CCR, Section 18096[a])?	File: If the income calculation worksheet is missing or incomplete, however the income is calculated correctly, an error will be determined in eligibility.
7.2	Was the income calculated and documented correctly to include all individuals counted in the family size (5 CCR, sections 18096 & 18078[u])?	Material: 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. File: 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>7.3</p>	<p>If applicable, when zero income is reported, did the parent self-certify income under penalty of perjury (5 CCR, sections 18078[s][1-2] and 18084[b][5])?</p>	<p>Material: If the self-certification documentation 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>7.4</p>	<p>Did the contractor inform the parent in writing, at initial certification or recertification, of the requirement to report when their income exceeds the exit 85% SMI threshold? AND Did the contractor provide a Schedule of Income Ceilings 85% SMI, with the maximum adjustment monthly income the family may earn (MB 17-08,17-09 and 17-14, 5 CCR, Section 18084.3 [b][1][A-B])?</p>	<p>File: If the contractor did not inform the parent in writing of the income threshold and/or provide the Schedule of Income Ceilings, an error will be determined in eligibility.</p>
<p>7.5</p>	<p>If applicable, did the family notify the contractor within 30 calendar days of any change in ongoing income that caused the family's adjusted monthly income to exceed 85% SMI? AND Upon notification did the contractor obtain income documentation, calculate the family's adjusted monthly income and if the monthly income exceeds the 85% SMI determine if the family is eligible for services based upon other eligibility criteria or issue a NOA dis-enrolling the family (MB 17-14)?</p>	<p>Material: If the contractor did not dis-enroll the family once the documentation indicated that the family exceeded the 85% SMI, an error will be determined in eligibility. The error will be determined as in 7.2. File:If the contractor dis-enrolled the family, but did not issue a NOA, an error will be determined in eligibility.</p>

8. Need for Services

Employment	Homeless
Seeking Employment	Seeking Permanent Housing
Vocational Training	Child Protective Services (CPS)
Parent Incapacitation	At-Risk

At initial certification or recertification the contractor shall certify services for not less than twelve (12) months.

NOTE: At any time between the initial certification or recertification period a parent may voluntarily request an increase to their certified child care schedule based on provided documentation.

For a family to receive child care services, they must have a qualifying need in at least one (1) of the Need for Services categories.

The certified hours of care indicated on the NOA must include and correspond to the hours and days established by the supporting need documentation in the basic family data file.

Need – Employment		Findings
8.1	Does the parent have a release authorizing the contractor to obtain information regarding days and hours worked? OR 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])?	File: 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.
8.2	Does the documentation of need indicate the days, and hours of employment (e.g. payroll check stubs, employer verification, contact with employer, etc.) (5 CCR, Section 18086[b])?	Material: If the required documentation of need 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.
8.3	If applicable, is the parent's employment in the family's home or on property that includes the family's home (5 CCR, Section 18086.1[b])?	Material: If the required justification is missing or incomplete, 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 justification was missing or incomplete, whichever is less.

	<p>Did the parent provide justification for requesting subsidized child care and development services based on:</p> <ul style="list-style-type: none"> • Type of work being done and its requirements, • Age of the family's child for whom services are sought, • If the child is more than five years old, the specific child care needs (5 CCR, Section 18086.1[b])? 	<p>Material: If the contractor did not determine and document whether the parent's employment and the identified child care needs preclude the supervision of the family's child, an error will be determined in need. The error will be determined as in 8.2.</p>
	<p>Did the contractor determine and document whether the parent's employment and the identified child care needs preclude the supervision of the family's child (5 CCR, Section 18086.1[b])?</p>	
<p>8.4</p>	<p>If applicable, is the parent a licensed family day care home provider (5 CCR, Section 18086.1[c])?</p> <p>Did the parent request child care and development services during their business hours (5 CCR, Section 18086.1[c])?</p>	<p>Material: If the parent is a licensed family day care home provider and requested services during their business hours, 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 parent received services during their business hours, whichever is less.</p>
<p>8.5</p>	<p>If applicable, is the parent employed as an assistant in a licensed large family day care home (5 CCR, Section 18086.1[d])?</p> <p>Did the parent provide documentation per 5 CCR:</p> <ul style="list-style-type: none"> • Copy of facility license • Signed statement from the licensee stating that the parent is the assistant • Proof that the parent's fingerprints are associated with that licensed family day care home as an assistant • Pay-roll deduction withheld for the assistant by the licensee (5 CCR, Section 18086.1 [d][1-4])? 	<p>Material: If the required documentation is missing or incomplete, 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 need documentation was missing or incomplete, whichever is less.</p>
<p>8.6</p>	<p>If applicable, were additional hours</p>	<p>Material: If travel and/or sleep hours were requested and the contractor</p>

	requested and given for travel and/or sleep time (5 CCR, Section 18086[e][1-2])?	authorized more than the maximum hours allowed per 5 CCR which resulted in a higher reimbursement, an error will be determined in need. The error amount will equal the difference between the maximum hours allowed by 5 CCR and the reimbursement for certified hours. File: If travel and/or sleep hours were requested and the contractor authorized more than the maximum hours allowed per 5 CCR, however it did not result in a higher reimbursement, an error will be determined in need.
8.7	Do the certified hours of care correspond with the employment documentation in the family data file (5 CCR, sections 18074.1[a] and 18086[b])?	Material: If the certified hours of care do not have any supporting documentation an error will be determined in need. The error will equal the cost of services for the sample month. Material: If the certified hours of care do not correspond to the supporting documentation, an error will be determined in need. The error will equal the difference between what the documentation supports and what was certified.

Need – Self Employment		Findings
8.8	Does the parent have a declaration that includes: <ul style="list-style-type: none"> Description of the employment Estimate of the days and hours worked per week (5 CCR, Section 18086[c][1][A])? 	Material: If the required self-employment documentation is not present in the family data file, an error will be determined in need. Material: If the documentation does not indicate the days and hours worked, an error will be determined in need. 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.
	Does the parent’s documentation indicate the days and hours worked (e.g. appointment logs, client receipts, job logs, or other similar records) (5 CCR, Section 18086[c][1][B])?	
	If applicable, does the parent have a business license, a workspace lease, or workspace rental agreement (5 CCR, Section 18086[c][1][C])?	
8.9	If applicable, did the contractor assess the certified hours of care by dividing the parent’s self-employment income by the applicable minimum wage (5 CCR, Section 18086[c][3])? NOTE: The resulting quotient shall be the	Material: If the contractor did not assess the certified hours of care by dividing the parent’s self-employment income by the applicable minimum wage, an error will be determined in need. The error amount will be determined as in 8.8.

	maximum hours needed for employment per month.	
8.10	If applicable, were additional hours requested and given for travel and/or sleep time (5 CCR, Section 18086[e][1-2])?	<p>Material: If travel and/or sleep hours were requested and the contractor authorized more than the maximum hours allowed per 5 CCR which resulted in a higher reimbursement, an error will be determined in need. The error amount will equal the difference between the maximum hours allowed by 5 CCR and the reimbursement for certified hours.</p> <p>File: If travel and/or sleep hours were requested and the contractor authorized more than the maximum hours allowed per 5 CCR, however it did not result in a higher reimbursement, an error will be determined in need.</p>
8.11	Do the certified hours of care correspond with the self-employment documentation in the family data file (5 CCR, sections 18074.1[a] and 18086[c])?	<p>Material: If the certified hours of care do not have any supporting documentation, an error will be determined in need. The error will equal the cost of services for the sample month.</p> <p>Material: If the certified hours of care do not correspond to the supporting documentation, an error will be determined in need. The error will equal the difference between what the documentation supports and what was certified.</p>

Need – Seeking Employment		Findings
8.12	Is there a written parental declaration of seeking employment signed under penalty of perjury (5 CCR, Section 18086.5[b])?	<p>Material: If the required seeking employment documentation is incomplete or not present in the family data file, an error will be determined in need. The error will equal cost of services provided for the sample month or the portion of the month in which there was insufficient documentation, whichever is less.</p>
	Does the declaration include the parent’s plan to secure, change, or increase employment (5 CCR, Section 18086.5[b])?	
	Does the declaration identify a general description of when the services will be necessary (5 CCR, Section 18086.5[b])?	
8.13	Did the contractor determine services for no more than 5 days per week and for less than 30 hours per week (5 CCR, Section 18086.5[a])?	<p>Material: If the certified days and/or hours exceed the limitations, 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 parent exceeded the seeking employment limitations, whichever is less.</p>
8.14	Do the certified hours of care correspond with the seeking employment documentation in the family data file (5 CCR, sections 18074.1[a] and 18086.5[a])?	<p>Material: If the certified hours of care do not have any supporting documentation, an error will be determined in need. The error will equal the cost of services for the sample month.</p> <p>Material: If the certified hours of care do not correspond to the supporting</p>

documentation, an error will be determined in need. The error will equal the difference between what the documentation supports and what was certified.

Need – Vocational Training	Findings
<p>NOTE: Per EC 66060, For the following the service limitations specified in 5 CCR, Section 18087 (a)(1-2) shall not apply to a parent who demonstrates he or she is:</p> <ul style="list-style-type: none"> • As of June 27, 2008, receiving services for vocational training and has attained a Bachelor’s Degree; • Receiving services from a program operating pursuant to EC 66060 (Campus child care and development programs); • Attending vocational training when the parent has been deemed eligible for rehabilitation services by the California Department of Rehabilitation; or • Attending retraining services available through the Employment Development Department of the State or its contractors due to a business closure or mass layoff. <p>If the parent voluntarily requests in writing to increase or decrease their service hours refer to Section 3</p>	
<p>8.15 Is the parent eligible for vocational training based on time limitations? (1) Six years from the initiation of services; OR (2) Twenty- four semester units or its equivalent after the attainment of a Bachelor’s Degree (5 CCR, Section 18087[a][1-2])?</p>	<p>Material: 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.</p>
<p>8.16 Is there a written statement of the parent’s vocational goal (5 CCR, Section 18087[c][1])? Does the vocational training, General Education Development (GED) or English language acquisition documentation include the name of the training institution the</p>	<p>Material: If the vocational training, GED or English language acquisition documentation is missing, 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 missing documentation, whichever is less. File: If the parents’ written statement of their vocational goal is missing, an error will be determined in need. File: If the vocational training, GED or English language acquisition documentation is incomplete, but there is sufficient documentation in the family</p>

	<p>parent is currently enrolled (5 CCR, Section 18087[c][2][e])?</p> <p>Does the documentation include the dates of the current quarter, semester, or training period, as applicable, will begin and end (5 CCR, Section 18087[c][3][e])?</p> <p>Does the documentation include a current class schedule that is either an electronic print-out OR A document that includes; the classes in which the parent is currently enrolled, the days of the week and times of day of the classes and the signature or stamp of the training institution's registrar (5 CCR, Section 18087[c][4][A-C][e])?</p> <p>Does the documentation include the anticipated completion date of their vocational training (5 CCR, Section 18087[c][5][e])?</p>	<p>data file to verify training, an error will be determined in need.</p>
<p>8.17</p>	<p>If applicable, at the first recertification did the parent provide documentation from the most recently completed quarter, semester, or training period that indicates the parent is making adequate progress toward the attainment of their vocational goal (e.g. report card or transcript) (5 CCR, Sections 18087 and MB 17-14)?</p>	<p>Material: If the parent has not submitted documentation from the most recently completed quarter, semester, or training period, and is still receiving services under vocational training, an error will be determined in need. The error amount will be determined as in 8.15.</p>
<p>8.18</p>	<p>If applicable, at the second recertification did the parent provide documentation from the most recently completed quarter, semester, or training period that indicates the parent is making adequate progress toward the attainment of their vocational goal (e.g. report card or transcript) (5 CCR, Sections 18087 and MB 17-14)?</p>	<p>Material: If the parent has not submitted documentation from the most recently completed quarter, semester, or training period, and is still receiving services under vocational training, an error will be determined in need. The error amount will be determined as in 8.15.</p> <p>Material: If the contractor did not dis-enroll the family for not making adequate progress, an error will be determined in need. The error amount will be determined as in 8.15.</p>

	If applicable, Did the contractor dis-enroll the family for not meeting the adequate progress requirements (5 CCR, Sections 18087 and MB 17-14)?	
8.19	If applicable, were additional hours given for travel and/or study time (5 CCR, Section 18087[k][1-2])?	<p>Material: If travel and/or study hours were requested and the contractor authorized more than the maximum hours allowed per 5 CCR which resulted in a higher reimbursement, an error will be determined in need. The error amount will equal the difference between the maximum hours allowed by 5 CCR and the reimbursement for certified hours.</p> <p>File: If travel and/or study hours were requested and the contractor authorized more than the maximum hours allowed per 5 CCR, however it did not result in a higher reimbursement, an error will be assessed in need.</p>
8.20	Do the certified hours of care correspond with the training documentation in the family data file (5 CCR, sections 18074.1[a] and 18087[j])?	<p>Material: If the certified hours of care do not have any supporting documentation, an error will be determined in need. The error will equal the cost of services for the sample month.</p> <p>Material: If the certified hours of care do not correspond to the supporting documentation, an error will be determined in need. The error will equal the difference between what the documentation supports and what was certified.</p>

Need – Parental Incapacitation		Findings
8.21	Did the parent provide a release authorizing a legally qualified health professional to disclose information necessary to establish that the parent meets the definition of incapacity (5 CCR, Section 18088[b])?	<p>File: If the contractor does not have a release authorizing a legally qualified health professional to disclose information, an error will be determined in need.</p>
8.22	<p>Is there documentation provided by a legally qualified health professional (5 CCR, Section 18088[c])?</p> <p>Is there a statement that the parent is incapacitated, that the parent is incapable of providing care and supervision for the child for part of the day, and, if the parent is physically incapacitated, identifies the extent to which the parent is incapable of providing care and supervision (5 CCR, sections 18078[n] and 18088[c][1])?</p>	<p>Material: If the documentation signed by the legally qualified health professional is missing, 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.</p> <p>File: If the incapacity documentation is incomplete, but there is sufficient documentation in the family data file to verify incapacitation, an error will be determined in need.</p>

	Does the statement include the days and hours of recommended services (5 CCR, Section 18088[c][2])?	
	Does the statement include the name, business address, telephone number, professional license number, signature of the legally qualified health professional and if applicable the name of the health organization the health professional is associated (5 CCR, Section 18088[c][4])?	
8.23	Did the contractor determine the days and hours of service based on the information provided by the legally qualified health professional, not to exceed 50 hours per week (5 CCR, Section 18088[a] and [e])?	<p>Material: If the certified need for care exceeds the total hours of care requested by the health professional, an error will be determined in need. The error will equal the cost of services provided which exceeded the total hours of care requested by the health professional for the sample month or the portion of the month in which the documentation of need did not correspond to the certified hours of care, whichever is less.</p> <p>Material: If the certified need for care exceeds 50 hours per week, an error will be determined in need. The error will equal the cost of services provided which exceeded 50 hours per week for the sample month.</p>
8.24	Do the certified hours of care correspond with the incapacitation documentation in the family data file (5 CCR, sections 18074.1[a] and 18088[a] and [e])?	<p>Material: If the certified hours of care do not have any supporting documentation, an error will be determined in need. The error will equal the cost of services for the sample month.</p> <p>Material: If the certified hours of care do not correspond to the supporting documentation, an error will be determined in need. The error will equal the difference between what the documentation supports and what was certified.</p>

Need – Homeless		Findings
8.25	Does the parent have 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 (5 CCR, Section 18090)?	<p>Material: If the written referral or the written parental declaration is missing, 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>File: If the written referral or the written parental declaration is incomplete, an error will be determined in need.</p>

Need – Seeking Permanent Housing		Findings
8.26	Is there a written parental declaration signed under penalty of perjury that the family is seeking permanent housing (5 CCR, Section 18091[b] and MB 17-14)?	<p>Material: If the written seeking permanent housing parental declaration is missing, 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.</p> <p>File: If the written seeking permanent housing parental declaration is incomplete, but there is sufficient documentation in the family data file to verify that the parent is seeking permanent housing, an error will be determined in need.</p>
	Does the written declaration include the parent’s search plan to secure a fixed, regular, and adequate residence (5 CCR, Section 18091[b] and MB 17-14)?	
	Does the written declaration identify a general description of when services will be necessary (5 CCR, Section 18091[b])?	
8.27	Are services for no more than five days per week and less than 30 hours per week (5 CCR, Section 18091 and MB 17-14)?	<p>Material: If the certified days and/or hours exceed the limitations, 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 parent exceeded the regulatory limitations, whichever is less.</p>
8.28	Do the certified hours of care correspond with the seeking permanent housing documentation in the family data file (5 CCR, Sections 18074.1[a] and 18091[a] and [b])?	<p>Material: If the certified hours of care do not have any supporting documentation, an error will be determined in need. The error will equal the cost of services for the sample month.</p> <p>Material: If the certified hours of care do not correspond to the supporting documentation, an error will be determined in need. The error will equal the difference between what the documentation supports and what was certified.</p>

Need – Child Protective Services		Findings
8.29	Is there a statement from the local county welfare department, child protective services unit certifying that the child is receiving child protective services and that child care and development services are a necessary component of the child protective services plan (5 CCR, section 18092[a] and MB 17-14)?	<p>Material: If the statement from the local county welfare department is missing, 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.</p> <p>File: If the statement from the local county welfare department is incomplete, but there is sufficient documentation in the family data file to verify that the child is receiving child protective services, an error will be determined in need.</p>

	Need – At Risk	Findings
8.30	Is there a statement by the legally qualified professional that the child is at risk of abuse, neglect and child care and development services are needed to reduce or eliminate that risk (5 CCR, section 18092[b] and MB 17-14)?	<p>Material: If the statement by the legally qualified professional is missing, 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.</p> <p>File: If the statement by the legally qualified professional is incomplete, but there is sufficient documentation in the family data file to verify that the child is at risk of abuse or neglect, an error will be determined in need.</p>

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9. Family Fee

Total countable income, family size and certified need are the three factors which determine if a family fee is to be assessed. Fees are not adjusted for excused and unexcused absences.

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, multiplied the number of certified hours by 4.33 and then assess according to the above.

The fees are not assessed for the following:

- Families receiving (CalWORKs) cash aid
- Children enrolled in part-day CSPP
- Children enrolled in severely handicapped program (CHAN) (MB 17-11 does not include)
- At Risk/CPS if a waiver exists, not to exceed 12 months

Family fees should only be assessed at initial certification and recertification.

NOTE: If parent voluntarily requests in writing to reduce their family fee refer to Section 3, question 3.1.

Family Fee		Findings
9.1	Was the family fee assessed correctly based on income, family size, and certified hours of care (5 CCR, Section 18109[a] [1-3] and MB 17-11)?	<p>Material: If the income, family size and/or certified hours of care are determined incorrectly and affect the assessment of the family fee, an error will be determined in family fee. The error will equal the difference in the family fee assessed and the correctly determined family fee.</p> <p>Material: If the family fee was assessed incorrectly (part-time vs full-time monthly), an error will be determined in family fee. The error will equal the difference in the family fee assessed and the correctly determined family fee.</p>
9.2	Was the family fee collected (5 CCR, Section 18109[a][3-4])?	Material: If family fees were not collected, an error will be determined in family fee. The error amount will be determined as in 9.1.
9.3	If applicable, did the contractor retain a copy of the family fee receipt (5 CCR, Section 18113[b])? Does the receipt include the amount paid; the date of payment, rate of payment, and	File: If the family fee receipt is missing or incomplete, however the family fee was assessed correctly, an error will be determined in family fee.

	the period of service (5 CCR, Section 18113[a])?	
9.4	<p>If applicable, did the contractor grant a fee credit to the amount paid to another provider(s) for child care and development services?</p> <p>AND</p> <p>Did the contractor have copies of the receipts or cancelled checks for the other child care and development services (5 CCR, Section 18112[b-c])?</p>	<p>Material: If a fee credit was granted, however there is no supporting documentation of an amount paid to another provider, an error will be determined in family fee. The error will equal the amount of the fee credit.</p>
9.5	<p>Did the contractor adopt policies regarding fee assessment, collection of family fees in advance of providing services and the possible consequences for delinquent payment of family fees (5 CCR, sections 18109[c], 18114, 18115, & 18116)?</p> <p>If applicable, did the contractor accept a reasonable plan from the parent(s) for payment of delinquent family fees (5 CCR, Section 18115)?</p>	<p>Material: If delinquent family fees have not been collected, a payment plan has not been established and/or the delinquent family fees were not collected per payment plan, an error will be determined in family fee. The error will equal the delinquent family fee not collected in the sample month.</p> <p>Material: If a payment plan was established and the contractor did not terminate services for nonpayment of delinquent fees, an error will be determined in family fee. The error will equal the cost of services for the sample month (Documentation of the error will be as follows: The family fee amount assessed for the review month will be documented as a family fee error and the remainder of the cost of services for the sample month will be documented as an eligibility error).</p> <p>File: If the policy does not align with regulatory requirements, an error will be determined family fee.</p>

10. Notice of Action

The contractor shall mail or deliver a completed NOA, to the parents within thirty (30) calendar days from the date the Application for Services is signed by the parent(s) for approval or denial of child care and development services.

Notice of Action		Findings
10.1	Is the NOA complete (5 CCR, Section 18094)?	File: If the NOA is not complete, an error will be determined.
10.2	Was the NOA issued within thirty (30) calendar days from the date the parent signed the Application for Services (5 CCR, Section 18118)?	File: If the contractor did not send out a NOA within thirty (30) calendar days from the date the Application for Services was signed by the parent, an error will be determined.
10.3	Did the contractor notify parents of due process requirements (5 CCR, Section 18120)?	File: If the contractor did not notify the parent of due process requirements, an error will be determined.

11. Attendance (Provider Payments)

The attendance record is the primary source document for audit and reimbursement purposes. When reviewing the attendance record, the hours of care the child utilizes should broadly correspond with the certified hours of care as identified on the applicable NOA or child care certificate.

Attendance (Provider Payments)	Findings
<p>NOTE: Child care providers authorized to provide subsidized child care services to families, are required to submit a monthly attendance record or invoices to the AP or CalWORKs contractors. Contractors should develop and implement policies, including a definition for “broadly consistent”, with clear and consistent consequences for program violations.</p>	
<p>11.1 Does the monthly attendance record or invoice contain:</p> <ul style="list-style-type: none"> • The name of the child • Specific dates services were provided • Actual times the child entered and the times the child departed care for each service day and the specific date that services were provided • Signature of both the provider and the parent at the end of each month, attesting under penalty of perjury, that the information provided is accurate (MB 14-04)? 	<p>Material: If the name of the child, the specific date services were provided, the actual time of arrival/departure of the child and the parent and provider’s signature are not documented on the attendance record or invoice and the contractor did not implement their written attendance policies, an error will be determined in provider payments. The error will equal the cost of services provided for the sample month.</p>
<p>11.2 Does the attendance record or invoice per the contractor’s definition of “broadly consistent”, correspond with the certified hours of care (5 CCR, sections 18074.1[a] and MB 14-04)?</p>	<p>Material: If the child care times in and out as documented on the attendance or invoice do not broadly correspond with the certified need for care and the contractor did not implement their attendance policies, an error will be determined in provider payments. The error will equal the cost of the services provided for the sample month.</p>

12. Reimbursement Determination (Provider Payments)

<p>Provider Information</p> <ul style="list-style-type: none"> • Licensed child care center/ Licensed family home • License-exempt Providers • Multiple Providers 	<ul style="list-style-type: none"> • Regional Market Rate (RMR) Selection • Provider Reimbursement (Provider Payment) • Reimbursable Hours of Care
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Provider Information:

Licensed Child Care Center/ Licensed Family Home	Findings
<p>12.1 NOTE: Written information the provider gives to private pay families should be included in the provider records. The information should include the business contact information, provider's policies or practices, and rates (e.g. hours of operation, holidays, etc.).</p>	
<p>Is there written documentation of the service provider's current fees (rates) with information regarding the provider's usual and customary services provided for those fees (5 CCR, Section 18231[a])?</p>	<p>Material: If the license provider's statement of fees (rates) or license is missing, an error will be determined in provider payments. 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>File: If the document that contains the rate and schedule of payment for approved services is missing or incomplete, an error will be determined in provider payments.</p>
<p>Is there a statement signed by the provider that child care and development services being provided do not include religious instruction or worship (5 CCR, Section 18231[b])?</p>	
<p>Is there a document that contains the rate and schedule of payment for approved services that is signed by both the service provider and contractor (5 CCR, Section 18231[c])?</p>	
<p>Is there a copy of the facility license that shows the authorized capacity of the facility, name, address, and telephone number of the service provider and age group(s) served by the provider(5 CCR, Section 18231[d-f])?</p>	

License-Exempt Provider	Findings
<p>12.2 Is the provider at least eighteen (18) years of</p>	<p>Material: If the provider is not at least eighteen (18) years of age and/or the</p>

	<p>age (5 CCR, Section 18411[c][2][A])? Does the provider meet or are they exempt from Health and Safety requirements (5 CCR, Section 18411[c][2][B])? Is there documentation that includes the name, address, and telephone number of the service provider (5 CCR, Section 18231[e])?</p>	<p>provider's written documentation is missing, an error will be determined in provider payments. 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. File: If the provider's written documentation is incomplete, an error will be determined in provider payments.</p>
12.3	<p>NOTE: If the provider is exempt from Trustline they must be an aunt, uncle, or grandparent of the child receiving child care services (Title 22 CCR, sections 18224.6, 18227, 18227.1, 18409, 18411, and 18426 and MB 13-01). Is the license-exempt non-relative provider Trustlined; OR Is the license-exempt relative provider exempt from Trustline?</p>	<p>Material: If the license-exempt non-relative provider is not Trustlined or the license-exempt relative provider is not an aunt, uncle, or grandparent, an error will be determined in provider payments. The error amount will be determined as in 12.2.</p>
12.4	<p>Is there a statement of the service provider's current fees and Is there a document that contains the rate and schedule of payment for approved services that is signed by both the service provider and contractor (5 CCR, Section 18231[a][c])?</p>	<p>Material: If the license-exempt provider's statement of fees is missing, an error will be determined in provider payments. The error amount will be determined as in 12.2. File: If the document that contains the rate and schedule of payment for approved services that is signed by both the service provider and contractor provider's written documentation is missing or incomplete, an error will be determined in provider payments.</p>
12.5	<p>If applicable, did the contractor reimburse the in-home license-exempt care provider based on their policy requiring minimum number of children to ensure the provider receives a reimbursement equivalent to minimum wage (5 CCR, Section 18411[d])?</p>	<p>Material: If the contractor did not ensure that the in-home license-exempt provider did not receive a reimbursement equivalent to minimum wage, an error will be determined in provider payments. The error will equal the cost of the services provided for the sample month.</p>
Multiple Providers		Findings
12.6	<p>If applicable, does the parent use multiple providers? Is the primary provider unable to accommodate all hours of certified care needed; OR One provider is not a licensed center and the parent has chosen a licensed center for</p>	<p>Material: If the parent is using multiple providers and the primary provider is able to accommodate all hours of certified need for care, an error will be determined in provider payments. The error amount will be the cost of services to the secondary provider. Material: If the parent has a provider that has a large group school readiness experience associated with it and is also using a secondary licensed center for</p>

	specific purposes of providing the child with large group school readiness experiences (5 CCR, Section 18076.3)?	the same purpose, an error will be determined in provider payments. The error amount will be the cost of services to the secondary provider.
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Regional Market Rate (RMR) Selection: The RMR ceiling is the parent's maximum child care assistance level. It is not necessarily equal to the provider's rate.

Regional Market Rate (RMR) Selection		Findings
12.7	Was the selection of the RMR determined correctly based on age of child, certified need for care, and facility type (5 CCR, Section 18074.2)?	Material: If the RMR ceiling is selected incorrectly an error will be determined in provider payments. The error will equal the difference between the provider payment paid by the contractor and the correct determined provider payment.

Provider Reimbursement (Payments): Determine the reimbursement rate by reviewing the appropriate RMR ceiling AND the providers rate(s) or invoice? Compare the newly calculated reimbursement to the reimbursement that was paid to the provider.

Provider Reimbursement		Findings
12.8	Was the appropriate reimbursement rate selected based on the RMR (maximum subsidy amount) and the provider's rates, whichever is less (5 CCR, sections 18428[a] and 18074.1[c])?	Material: If the appropriate reimbursement rate was not selected, an error will be determined in provider payments. The error will equal the difference between the reimbursement paid to the provider by the contractor and the correctly determined reimbursement.
12.9	<p>NOTE: Adjustments are made on the following:</p> <p>Evening and/or Weekend Care - Adjustments are used for weekend and evening care. An adjustment is applied to the RMR ceilings for a licensed provider and cannot be applied to the hourly rate ceiling. No adjustment should be made for license-exempt providers.</p> <p>Children with Exceptional Needs - Adjustments are made only when there is documentation that additional services and or accommodations are being provided and such services and/or accommodations result in an on-going financial impact on the provider (will be adjusted on the RMR or provider rate whichever is lower).</p>	
	If applicable, was an adjustment to the RMR determined correctly based on evening and/or weekend care (5 CCR,	Material: If the adjustment to the RMR is incorrect, a material error will be determined in provider payments. The error amount will be determined as in 12.8.

	Section 18075.1)?	Material: If the adjustment to the reimbursement based on exceptional needs is incorrect, an error will be determined in provider payments. The error will be determined as in 12.8.
	If applicable, was an adjustment made to the reimbursement based on children with exceptional needs and was it determined correctly (will be adjusted on the RMR or provider rate whichever is lower) (5 CCR, Section 18075.2)?	
Reimbursable Hours of Care		Findings
12.10	If applicable, did the provider have a paid day of non-operation and provide documentation that the contractual terms used by the provider for services to unsubsidized families require payment for such day(s) of non-operation (5 CCR, Section 18076.2[b][2])?	Material: If the contractor reimbursed a provider for a day of non-operation for which there was no documentation that the contractual terms used by the provider for services to unsubsidized families require payment for such day(s) of non-operation, an error will be determined in provider payments. The error amount will be the cost of services for the day(s) of non-operation that were reimbursed. Material: If the contractor reimbursed a provider for more than ten (10) days of non-operation per fiscal year, an error will be determined in provider payments. The error amount will be the cost of services for the day(s) of non-operation that were reimbursed past the regulatory limit of ten (10) days.
	If applicable, did the contractor reimburse no more than ten (10) days of non-operation per fiscal year (5 CCR, Section 18076.2[b][2])?	
12.11	If applicable, did the parent use an alternate provider for time that services are provided when the regular provider has a paid day of non-operation; OR time that the child care services are provided by an eligible alternate provider when the child is ill and the parent has to obtain care from an eligible alternate provider (5 CCR, Section 18076.2 [c] [1][2])?	Material: If the parent is using an alternate provider when the regular provider has paid day of non-operation shall be limited to ten days per fiscal year. The error will be determined in provider payments. The error amount will be the cost of services to the secondary provider that exceeded ten days per fiscal year.
12.12	If applicable, did the contractor not reimburse any hours that include the scheduled instructional minutes of public educational program available to a school-age child, or a private school in which the	Material: If the parent is using care when the school age child is receiving scheduled instructional minutes or developmental services the error will be determined in provider payments. The error amount will be the cost of services during the non-certified need for child care.

child is enrolled and attending ; OR Time when the child is receiving any other child care and development services; (5 CCR, Section 18076.2 [d][1][2])?	
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II. Resource Tools

1. Process to Select Sample Size

Contractors will use this guide to review a sampling of their family files. All direct service contracts are combined for the purpose of selecting the sample size. To identify the sample size complete the following:

Step 1:

To establish a sample size, go to the Raosoft web site at <http://www.raosoft.com/samplesize.html>. Enter the following data:

- Margin = 10%
- Confidence Level = 90%
- Population size = the total number of children reported to CDD on the 801A data report for the selected sample month
- Response distribution = 15%

A sample size will automatically be displayed.

Step 2:

To determine the interval counts to select children from the list. To do this:

- Divide the total number of children by the number of files to be sampled. For example, 400 (total # of children) divided by 60 (sample size) = 6.66 (round up to 7).
- Pick any number from 1 to 100 to be the first child selected on the list (e.g., 24).
- Beginning with the first child to be reviewed (#24), count down 7 children to the 2nd child to be reviewed.
- Continue through the remainder of the list and cycle back to the beginning of the list until the sample size is reached (e.g., 60 family files to review).



Sample size calculator

<p>What margin of error can you accept? 5% is a common choice</p>	<input type="text" value="7"/> %	<p>The margin of error is the amount of error that you can tolerate. If 90% of respondents answer <i>yes</i>, while 10% answer <i>no</i>, you may be able to tolerate a larger amount of error than if the respondents are split 50-50 or 45-55.</p> <p>Lower margin of error requires a larger sample size.</p>
<p>What confidence level do you need? Typical choices are 90%, 95%, or 99%</p>	<input type="text" value="90"/> %	<p>The confidence level is the amount of uncertainty you can tolerate. Suppose that you have 20 yes-no questions in your survey. With a confidence level of 95%, you would expect that for one of the questions (1 in 20), the percentage of people who answer <i>yes</i> would be more than the margin of error away from the true answer. The true answer is the percentage you would get if you exhaustively interviewed everyone.</p> <p>Higher confidence level requires a larger sample size.</p>
<p>What is the population size? If you don't know, use 20000</p>	<input type="text" value="100"/>	<p>How many people are there to choose your random sample from? The sample size doesn't change much for populations larger than 20,000.</p>
<p>What is the response distribution? Leave this as 50%</p>	<input type="text" value="15"/> %	<p>For each question, what do you expect the results will be? If the sample is skewed highly one way or the other, the population probably is, too. If you don't know, use 50%, which gives the largest sample size. See below under More information if this is confusing.</p>
<p>Your recommended sample size is</p>	<p>42</p>	<p>This is the minimum recommended size of your survey. If you create a sample of this many people and get responses from everyone, you're more likely to get a correct answer than you would from a large sample where only a small percentage of the sample responds to your survey.</p>

Online surveys with [Vovici](#) have completion rates of 66%!

Alternate scenarios

<p>With a sample size of</p>	<input type="text" value="100"/>	<input type="text" value="200"/>	<input type="text" value="300"/>	<p>With a confidence level of</p>	<input type="text" value="90"/>	<input type="text" value="95"/>	<input type="text" value="99"/>
<p>Your margin of error would be</p>	<p>0.00%</p>	<p>0.00%</p>	<p>0.00%</p>	<p>Your sample size would need to be</p>	<p>42</p>	<p>51</p>	<p>64</p>

Save effort, save time. [Conduct your survey online with Vovici.](#)



2. Monitoring Checklist Procedure

The Monitoring Checklist, (pp. 44-55) is a tool to assist in reviewing a family's data file, attendance record and provider records in accordance to *EC* and 5 *CCR* regarding Alternative Payment, CalWORKs Child Care and Family Child Care Home Education Networks Contracts.

The monitoring checklist should only be used once the reviewer has thoroughly reviewed and understood each section of the Review Guide. The monitoring checklist includes generalized questions that correspond numerically with the guide. "N/A", "Y" and, "N" columns are included next to each question.

Answering "N/A" to a question indicates a question is not applicable to the family file under review.

Answering "Y" to a question indicates the question meets all required regulations and/or statutes. If "Y" is answered to all questions on the monitoring checklist, the file is in compliance.

Answering "N" to a question indicates there is a material or file error. The reviewer will determine whether a material or file error is assessed by referencing "Findings" next to each question in the Governance and Administration – Alternative Payment, CalWORKs Child Care and Family Child Care Home Education Networks Review Guide. To determine the material error amount, refer to section 3: Method to Determine Material Error Amount.

Material Error

A material error is an error that results in an improper reimbursement of services. A material error occurs when the requirements in statutes and/or regulations are either misapplied and/or when there is insufficient or conflicting documentation to support a decision regarding eligibility, need, family fees and provider payments.

File Error

A file error occurs when the requirements in statutes and/or regulations are not met, but the result is not an improper authorization of services.

When the review of a family data file is complete, the reviewer shall document the contractor's determination of provider reimbursement and family fee (if applicable).

If a material error is found during the review, the error amount will be calculated as indicated in the findings section for that particular error. The reviewer will then document the correctly determined reimbursement amount on the monitoring review checklist.

NOTE: Regardless of whether multiple errors are found, the determined error cannot exceed the gross payment for the review month

Alternative Payment, CalWORKs Child Care and Family Child Care Home Education Network Monitoring Checklist Worksheet

Child's Name:		Child's Birthday:	
Agency Name:		Site Name:	
Review Month:		Reviewer's Name:	
File ID or Number:	Contract Type:	Date of Self-Evaluation:	
Reimbursement Determined by:	Contractor	Reviewer	Eligibility Error Amount (\$):
Provider Reimbursement (\$):			Need Error Amount (\$):
Family Fee (\$):			Family Fee Error Amount (\$):
Gross Payment (\$):			Provider Reimbursement Amount(\$):
			Total Error Amount (\$):

While reviewing a family data file, if any of the following questions are answered "No", an error will be assessed. Refer to the Review Guide for clarification on type of error (material or file).

	Child Reported on the CDD 801A	N/A	Y	N	Material	Compliance
1.1	Did the child receive services in the review month?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	N/A	<input type="checkbox"/>

	Certification and Recertification (Application for Services)	N/A	Y	N	Material	File
2.1	Is the Application for Services completed and signed?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	\$	<input type="checkbox"/>
2.2	Was the application completed prior to serving the child?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	\$	X
2.3	If applicable, did the recertification occur once each contract period?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	X	<input type="checkbox"/>
2.4	Does the family data file contain all child health and current emergency information?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	X	<input type="checkbox"/>
2.5	Does the family data file contain residency requirements?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	X	<input type="checkbox"/>

	Parent's Right to Voluntarily Report Changes	N/A	Y	N	Material	File
3.1	If applicable, did the family voluntarily request a change to reduce their family fee, increase the family services, or extend the period of eligibility?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	\$	X
	Did the contractor request supporting documentation? AND Immediately reduce the family fee?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	\$	<input type="checkbox"/>
	Did the contractor issue a timely Notice of Action?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	X	<input type="checkbox"/>

3.2	If applicable, did the family voluntarily request to decrease their service level in writing?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	\$	X
	Does the voluntarily request include the regulatory requirements?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	\$	X
	Upon receipt of the written request did the contractor notify the family in writing of their right to continue to bring the child pursuant to the original certified service level? AND	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	\$	X
	Did the contractor collect documentation to support changes requested?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
	Did the contractor issue a timely Notice of Action?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	X	<input type="checkbox"/>

	CalWORKs Stage 2 (C2AP)	N/A	Y	N	Material	File
4.1	Was the parent transferred from a CalWORKs Stage 1 or another contractor's CalWORKs Stage 2 program?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	\$	X
	Were the nine (9) data elements obtained by the receiving contractor?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	\$	X
4.2	If a family violated the child care provider's policy, did the contractor notify the CWD of the actions of the family, in order to determine what actions(s) may be taken?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	\$	X
4.3	When the family is certified as income eligible, did the contractor notify the parent in writing of the requirement to report when their income exceeds the exit threshold?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	X	<input type="checkbox"/>
	Did the contractor provide a Schedule of Income Ceilings?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	X	<input type="checkbox"/>

	CalWORKs Stage 3 (C3AP)	N/A	Y	N	Material	File
4.4	Was the parent transferred from a CalWORKs Stage 1 or another contractor's CalWORKs Stage 2 or 3 program?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	\$	X
	Were the nine (9) data elements obtained by the receiving contractor?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	\$	X
4.5	Is there documentation from the CWD indicating the parental cash-aid end date?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	\$	
	Was the parent transferred into CalWORKs Stage 3 appropriately and timely?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	\$	
4.6	When the family is certified as income eligible, did the contractor notify the parent in writing of the requirement to report when their income exceeds the exit threshold?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	X	<input type="checkbox"/>

	Did the contractor provide a Schedule of Income Ceilings?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	X	<input type="checkbox"/>
4.7	If applicable, did the family notify the contractor within 30 calendar days of any change in ongoing income that caused the family adjusted monthly income to exceed 85% SMI?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	\$	X
	Upon notification, did the contractor obtain income documentation, calculate the family's adjusted monthly income and if the income exceeds 85% SMI, issue a NOA dis-enrolling the family?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	\$	X

	Child Eligibility – CPS/At-Risk	N/A	Y	N	Material	File
5.1	Does the child have a written referral from a legal, medical, social service agency or emergency shelter, dated within six (6) months immediately preceding the date of the Application for Services?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	\$	X
	Does the written referral include a statement that child care and development services are a necessary component of the CPS plan?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	\$	X
	Does it include the name, address, telephone number, and the signature of the legally qualified professional?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	\$	X

	Family Eligibility – Income Eligibility – Employment Income	N/A	Y	N	Material	File
5.2	Is there a release authorizing the contractor to contact the employer(s)? OR A declaration signed under penalty of perjury indicating such a request for income verification would adversely affect their employment?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	X	<input type="checkbox"/>
5.3	Are there payroll check stubs and/or other record of wages issued by the employer? OR Did the parent provide other means of verification?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	\$	X
5.4	If applicable, did the contractor verify income documentation?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	\$	X
5.5	Did the contractor notify the parent in writing of the requirement to report when their income exceeds the exit 85% SMI threshold?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	X	<input type="checkbox"/>
	Did the contractor provide a Schedule of Income Ceilings 85% SMI?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	X	<input type="checkbox"/>
5.6	If applicable, did the family notify the contractor within 30 calendar days of any change in ongoing income that caused the family adjusted monthly income to exceed 85% SMI?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	\$	X

	Upon notification, did the contractor obtain income documentation, calculate the family's adjusted monthly income and if the income exceeds 85% SMI, issue a NOA dis-enrolling the family?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	\$	X
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	Family Eligibility – Income Eligibility – Self Employment Income	N/A	Y	N	Material	File
5.7	Does the parent have a letter from the source of income? OR Did the parent provide the most recently signed and completed tax returns with a statement of current estimated income, business records, or copies of documentation of all non-wage income and self-certification of any income for which no documentation is possible?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	\$	X
5.8	Is the income documentation current (the month preceding the certification or the family's current and ongoing income)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	\$	X
5.9	If applicable, did the contractor verify self-employment income documentation?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	\$	X
	If income cannot be independently verified, did the contractor assess whether the reported income is reasonable or consistent with community practice (via contractor attestation) for the employment?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	\$	X
5.10	Did the contractor notify the parent in writing of the requirement to report when their income exceeds the exit 85% SMI threshold?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	X	<input type="checkbox"/>
	Did the contractor provide a Schedule of Income Ceilings 85% SMI?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	X	<input type="checkbox"/>
5.11	If applicable, did the family notify the contractor within 30 calendar days of any change in ongoing income that caused the family adjusted monthly income to exceed 85% SMI?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	\$	X
	Upon notification, did the contractor obtain income documentation, calculate the family's adjusted monthly income and if the income exceeds 85% SMI, issue a NOA dis-enrolling the family?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	\$	X

	Family Eligibility – Income Eligibility – Self Certification of Income	N/A	Y	N	Material	File
5.12	When no documentation is possible, did the parent self-declare income under penalty of perjury?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	\$	X
	If income cannot be independently verified, did the contractor assess whether the reported income is reasonable or consistent with community practice for the employment?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	\$	X

5.13	If applicable, when the family is certified as income eligible, did the contractor notify the parent in writing of the requirement to report when their income exceeds the exit 85% SMI threshold?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	X	<input type="checkbox"/>
	Did the contractor provide a Schedule of Income Ceilings 85% SMI?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	X	<input type="checkbox"/>
5.14	If applicable, did the family notify the contractor within 30 calendar days of any change in ongoing income that caused the family adjusted monthly income to exceed 85% SMI?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	\$	X
	Upon notification, did the contractor obtain income documentation, calculate the family's adjusted monthly income and if the income exceeds 85% SMI, issue a NOA dis-enrolling the family?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	\$	X

	Family Eligibility – Income Eligibility – Current Aid Recipient	N/A	Y	N	Material	File
5.15	Does the parent have current documentation of public cash-aid assistance?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	\$	X

	Family Eligibility – Homelessness	N/A	Y	N	Material	File
5.16	Does the parent have 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?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	\$	<input type="checkbox"/>

	Reimbursement – Exceptional Needs	N/A	Y	N	Material	File
5.17	Is the child between 13-21 years of age?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	\$	X
5.18	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?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	\$	X
	Does the statement include the name, address, license number, telephone number, and signature of the legally qualified professional?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	\$	<input type="checkbox"/>

	Family Size	N/A	Y	N	Material	File
6.1	Is there documentation for all the children reported in the family size that indicates the relationship of the child to the parent?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	\$	<input type="checkbox"/>
6.2	If applicable, if a child does not live in the home that includes their biological parent(s) or adoptive parent(s), were only the child and related siblings counted in	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	X	<input type="checkbox"/>

	the family size?					
6.3	If applicable, did the parent who signed the application appropriately self-certify their single parent status, under penalty of perjury?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	\$	<input type="checkbox"/>
6.4	Is the family size determined correctly?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	\$	<input type="checkbox"/>

	Income Calculation	N/A	Y	N	Material	File
7.1	Is there an income calculation worksheet present?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	\$	<input type="checkbox"/>
7.2	Was the income calculated and documented correctly to include all individuals counted in the family size?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	\$	<input type="checkbox"/>
7.3	If applicable, when zero income is report, did the parent self-certify income under penalty of perjury?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	\$	X
7.4	If applicable, when the family is certified as income eligible, did the contractor notify the parent in writing of the requirement to report when their income exceeds the exit 85% SMI threshold?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	X	<input type="checkbox"/>
	Did the contractor provide a Schedule of Income Ceilings 85% SMI?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	X	<input type="checkbox"/>
7.5	If applicable, did the family notify the contractor within 30 calendar days of any change in ongoing income that caused the family adjusted monthly income to exceed 85% SMI?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	\$	X
	Upon notification, did the contractor obtain income documentation, calculate the family's adjusted monthly income and if the income exceeds 85% SMI, issue a NOA dis-enrolling the family?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	\$	X

	Need – Employment	N/A	Y	N	Material	File
8.1	Does the parent have a release authorizing the contractor to obtain information regarding days and hours worked?					
	OR A declaration signed under penalty of perjury indicating such a request for employment documentation would adversely affect their employment?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	X	<input type="checkbox"/>
8.2	Does the documentation indicate the days and hours of employment?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	\$	X
8.3	If applicable, is the parent's employment in the family's home or on property that includes the family's home?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	\$	X
	If applicable, is there justification for requesting subsidized child care and development services?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	\$	X
	If applicable, did the contractor determine and document whether the parent's	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	\$	X

	employment and the identified need precludes the supervision of the family's child?					
8.4	If applicable, is the parent a licensed family day care home provider?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	\$	X
	Did the parent request child care and development services during their business hours?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	\$	X
8.5	If applicable, is the parent employed as an assistant in a licensed large family day care home?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	\$	X
	Did the parent provide the documentation per 5 CCR?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	\$	X
8.6	If applicable, were additional hours requested for travel and/or sleep time?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	\$	<input type="checkbox"/>
8.7	Do the certified hours of care correspond with the employment documentation in the family data file?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	\$	X

	Need – Self-Employment	N/A	Y	N	Material	File
8.8	Does the parent have a declaration that includes a description of the employment and an estimate of the days and hours worked per week?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	\$	X
	Does the parent's documentation indicate the days and hours worked?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	\$	X
	If applicable, does the parent have a business license, a workspace lease, or workspace rental agreement?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	\$	X
8.9	If applicable, did the contractor assess the certified hours of care by dividing the parent's self-employment income by the applicable minimum wage?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	\$	X
8.10	If applicable, were additional hours given for travel and/or sleep time?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	\$	<input type="checkbox"/>
8.11	Do the certified hours of care correspond with the self-employment documentation in the family data file?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	\$	X

	Need – Seeking Employment	N/A	Y	N	Material	File
8.12	Is there a written parental declaration of seeking employment?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	\$	X
	Does the declaration include the parent's plan to secure, change, or increase employment?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	\$	X
	Does the declaration identify a general description of when the services will be necessary?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	\$	X
8.13	Did the contractor determine the number of working days available for seeking employment and the child care schedule?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	\$	X
8.14	Do the certified hours of care correspond with the seeking employment documentation in the family data file?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	\$	X

	Need – Vocational Training	N/A	Y	N	Material	File
8.15	Is the parent eligible for vocational training based on time limitations? (1) Six years from the initiation of services; OR (2) Twenty-four semester units or its equivalent after the attainment of a Bachelor's Degree?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	\$	X
8.16	Is there a written statement of the parent's vocational goal?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	X	<input type="checkbox"/>
	Does the documentation include the name of the training institution that the parent is currently enrolled?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	\$	<input type="checkbox"/>
	Does the documentation include the dates of the current quarter, semester, or training period, as applicable, will begin and end?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	\$	<input type="checkbox"/>
	Does the documentation include a current class schedule that is either an electronic print-out? OR A document that includes: the classes in which the parent is currently enrolled, the days of the week and times of day of the classes and the signature or stamp of the training institution's registrar?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	\$	<input type="checkbox"/>
	Does the documentation include the anticipated completion date of their vocational training?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	\$	<input type="checkbox"/>
8.17	If applicable, at the first recertification did the parent provide documentation from the most recently completed quarter, semester, or training period that indicates the parent is making adequate progress toward the attainment of their vocational goal (e.g. report card or transcript)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	\$	X
9.18	If applicable, at the second recertification did the parent provide documentation from the most recently completed quarter, semester, or training period that indicates the parent is making adequate progress toward the attainment of their vocational goal (e.g. report card or transcript)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	\$	X
	If applicable, Did the contractor dis-enroll the family for not meeting the adequate progress requirements?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	\$	X
8.19	If applicable, were additional hours given for travel and/or study time?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	\$	<input type="checkbox"/>
8.20	Do the certified hours of care correspond with the training documentation in the family data file?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	\$	X

	Need – Parental Incapacitation	N/A	Y	N	Material	File
8.21	Has the parent provided a release authorizing a legally qualified health professional to disclose information?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	X	<input type="checkbox"/>
8.22	Is there documentation of incapacitation provided by a legally qualified health	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	\$	<input type="checkbox"/>

	professional?					
	Is there a statement that the parent is incapable of providing care?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	\$	<input type="checkbox"/>
	Does the statement include the days and hours of recommended services?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	\$	<input type="checkbox"/>
	Does the statement include the name, business address, telephone number, and signature of the legally qualified health professional?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	\$	<input type="checkbox"/>
8.23	Did the contractor determine the days and hours of service based on the recommendation of the legally qualified health professional not to exceed 50 hours per week?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	\$	X
8.24	Do the certified hours of care correspond with the incapacitation documentation in the family data file?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	\$	X

	Need – Homeless	N/A	Y	N	Material	File
8.25	Does the parent have a written referral from an emergency shelter or other legal medical or social services agency? OR A written parental declaration that the family is homeless and a statement describing the family's current living situation?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	\$	<input type="checkbox"/>

	Need – Seeking Permanent Housing	N/A	Y	N	Material	File
8.26	Is there a written parental declaration that the family is seeking permanent housing?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	\$	<input type="checkbox"/>
	Does the written declaration include the parent's search plan to secure a fixed, regular, and adequate residence?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	\$	<input type="checkbox"/>
	Does the written declaration identify a general description of when services will be necessary?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	\$	<input type="checkbox"/>
8.27	Are services for no more than five days per week and less than 30 hours per week?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	\$	X
8.28	Do the certified hours of care correspond with the seeking permanent housing documentation?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	\$	X

	Need – Child Protective Services	N/A	Y	N	Material	File
9.29	Is there a statement from the local county welfare department, child protective services unit that indicates the child is receiving CPS and that child care and development services are a necessary component of the child protective service plan?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	\$	<input type="checkbox"/>

	Need – At Risk	N/A	Y	N	Material	File
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8.30	Is there a statement by a legally qualified professional that the child is at-risk of abuse, neglect and that child care and development services are needed to reduce or eliminate that risk?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	\$	<input type="checkbox"/>
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	Family Fee	N/A	Y	N	Material	File
9.1	Was the family fee assessed correctly based on income, family size and certified hours of care?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	\$	<input type="checkbox"/>
9.2	Was the family fee collected?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	\$	X
9.3	If applicable, did the contractor retain a copy of the family fee receipt?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	X	<input type="checkbox"/>
	Does the receipt include the amount paid; the date of payment, rate of payment, and the period of service?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	X	<input type="checkbox"/>
9.4	If applicable, did the contractor grant a fee credit?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	X	<input type="checkbox"/>
	Did the contractor have copies of the receipts of the receipts or cancelled checks for the other child development services	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	X	<input type="checkbox"/>
9.5	Did the contractor adopt policies regarding fee assessment, collection and the possible consequences for delinquent payment of fees?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	\$	<input type="checkbox"/>
	If applicable, did the contractor accept a reasonable plan from the parents for a payment of delinquent family fees?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	\$	<input type="checkbox"/>

	Notice of Action	N/A	Y	N	Material	File
10.1	Is the NOA complete?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	X	<input type="checkbox"/>
10.2	Was the NOA issued within 30 calendar days from the date the parent signed the Application for Services?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	X	<input type="checkbox"/>
10.3	Does the contractor notify parent of due process requirements?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	X	<input type="checkbox"/>

	Attendance (Provider Payments)	N/A	Y	N	Material	File
11.1	Does the monthly attendance record or invoice contain the four elements per Management Bulletin 14-04?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	\$	X
11.2	Does the attendance record or invoice per the contractor's definition of "broadly consistent", correspond with the certified hours of care?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	\$	X

	Reimbursement Determination – Licensed Child Care Center/ Licensed Family Home (Provider Payments)	N/A	Y	N	Material	File
12.1	Is there written documentation of the service provider's current fees (provider's	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	\$	X

	usual and customary services provided for those fees)?					
	Is there a statement signed by the provider that child care and development services being provided do not include religious instruction or worship?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	X	<input type="checkbox"/>
	Is there a document that contains the rate and schedule of payment for approved services that is signed by both the service provider and contractor?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	X	<input type="checkbox"/>
	Is there a copy of the facility license that shows the authorized capacity of the facility, lists the name, address, and telephone number of the provider?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	\$	X

Reimbursement Determination – Licensed Exempt Provider (Provider Payments)		N/A	Y	N	Material	File
12.2	Is the provider at least eighteen (18) years of age?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	\$	X
	Does the provider meet or exempt from Health and Safety requirements?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	\$	<input type="checkbox"/>
	Is there documentation that lists the name, physical address, and telephone number of the provider?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	\$	<input type="checkbox"/>
12.3	Is the license-exempt non-relative provider Trustlined; OR Exempt from Trustline?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	\$	X
12.4	Is there a statement of the service provider's current fees and is there a document that contains the rate of the scheduled of payment for approved services that is signed by the service provider and contractor?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	\$	<input type="checkbox"/>
12.5	If applicable, did the contractor reimburse the in-home license exempt care provider minimum wage?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	\$	X

Reimbursement Determination – Multiple Providers (Provider Payments)		N/A	Y	N	Material	File
12.6	If applicable, does the parent use multiple providers? Is the primary provider unable to accommodate all hours of certified care needed; OR One provider is not a licensed center and the parent has chosen a licensed center for specific purposes of providing the child with large group school readiness experiences?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	\$	X

Reimbursement Determination – Regional Market Rate (RMR) Selection (Provider Payments)		N/A	Y	N	Material	File
12.7	Was the selection of the RMR determined correctly based on age of child, certified need for care, and facility type?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	\$	X

	Reimbursement Determination – Provider Reimbursement (Provider Payments)	N/A	Y	N	Material	File
12.8	Was the appropriate reimbursement rate selected based on the RMR and the provider's rates?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	\$	X
12.9	If applicable, was an adjustment to the RMR determined correctly based on evening and/or weekend care?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	\$	X
	If applicable, was an adjustment made to the reimbursement based on children with exceptional needs and was it determined correctly (will be adjusted on the RMR or provider rate whichever is lower)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	\$	X

	Reimbursement Determination – Reimbursable Hours of Care (Provider Payments)	N/A	Y	N	Material	File
12.10	If applicable, did the provider have a paid day of non-operation and provide documentation that the contractual terms used by the provider for services to unsubsidized families require payment?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	\$	X
	If applicable, did the contractor reimburse no more than ten days of non-operation per fiscal year?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	\$	X
12.11	If applicable, did the parent use an eligible alternate provider?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	\$	X
12.12	If applicable, did the contractor correctly reimburse hours to not include scheduled instructional minutes of public educational program, private school or when child is receiving any other child care and development services?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	\$	X

3. File Error Determination Process

When a file error occurs, the contractor will develop a Corrective Action Plan. The plan assists the contractor by strategically analyzing, correcting and validating the processes necessary to ensure compliance.

To develop a Corrective Action Plan, the contractor should:

1. Analyze the identified errors to determine how and why the errors were made.
2. Develop the process necessary to remedy the errors.
3. Develop specific training for all staff involved.
4. Develop a Quality Assurance Process to validate the accuracy of documentation and processes.
5. Establish a timeline for implementation.

4. Method to Determine Material Error Amount

When a material error is found while completing the monitoring review checklist the reviewer can utilize the calculation example below to determine the material error amount.

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.

Example: Provider was reimbursed \$500 for the sample month:

If there is insufficient documentation for the entire sample month, the error equals the cost of services provided.

Example:

\$500.00	- Provider Reimbursement (Payments)
\$ 0.00	- Correctly Calculated Reimbursement
<hr/>	
\$500.00	- Material Error Amount

If there is insufficient documentation for any portion of the month, the error will equal the difference between what was reimbursed and the correctly determined reimbursement based on sufficient documentation.

Example:

\$500.00	- Provider Reimbursement (Payments)
\$275.00	- Correctly Calculated Reimbursement
<hr/>	
\$225.00	- Material Error Amount

4. Sample Material Error Rate Determination Worksheet

The Error Rate Worksheet (p. 59) can be utilized to determine the error rate for the entire sample. After completing the monitoring checklist for every family data file in the sample, transfer the results to the Error Rate Worksheet. It will document each error found in the random sample. Once all the names and errors have been entered the error rate can be calculated.

Example:

File #	Child Name	Reimbursement (CDEs x Rate)	Eligibility Dollar Errors	Need Dollar Errors	Attendance (Provider Payment) Dollar Errors	Family Fee Dollar Errors	Total Dollar Errors
01	Maria Garcia	\$643.00	\$643.00				\$643.00
08	Joseph Glass	\$892.50		\$245.00			\$245.00
10	Susie Yee	\$525.31					\$50.00
31	Eric Onye	\$235.00			\$235.00		\$235.00
44	Abdul Mohammed	\$350.00				\$80.00	\$80.00
Review Month Totals:		\$2,645.81	\$643.00	\$245.00	\$235.00	\$80.00	\$1,253.00
Error Rate Percentage:			24%	9%	9%	3%	47%

The Error Rate Percentages for Eligibility, Need, Attendance, Family Fee, and Total Dollar Errors are the sum of each column (Review Month Totals) divided by the sum of Reimbursement (Review Month Totals).

For example, the formula to determine the error rate percentage for eligibility is:

$$\$643 \div \$2,645.81 = 0.243 \text{ or } 24\%.$$

Repeat the formula for each column.

The formula to determine Total Dollar Errors is:

$$\$1,253 \div \$2,645.81 = 0.473 \text{ or } 47\%.$$

5. Error Rate Reduction Plan Process

When an error rate estimate exceeds 10 percent, the contractor will develop an Error Rate Reduction Plan. The plan assists the contractor by strategically analyzing, correcting and validating the processes necessary to ensure compliance.

To develop an Error Rate Reduction Plan, the contractor should:

1. Analyze the identified errors to determine how and why the errors were made.
2. Develop the process necessary to remedy the errors.
3. Develop specific training for all staff involved.
4. Develop a Quality Assurance Process to validate the accuracy of documentation and processes.
5. Establish a timeline for implementation.

5. Sample Error Rate Reduction Plan Form



Governance and Administration Review Error Rate Reduction Plan Fiscal Year 2017-18

Agency: Sample Agency
 CDE/CDD Reviewer(s): Rhonda Reviewer
 Review Date(s): September 11-15, 2017
 Agency Rep. Signature: _____ Title: _____
 Consultant Signature: _____ Date: _____
 Manager Signature: _____ Date: _____
 Error Rate Reduction Plan Due Date: October 30, 2017

Error / Description	Current Practice:		Proposed End Date:
	System Change:	Corrective Action:	Person(s) Responsible:
	Proposed Practice:		Timelines: Implementation date: Progress check dates: