Early Learning and Care Division Field Services Office

A look at the updated Review Guides
Purpose and Goals
What is the Review Guide?
Review Guide alignment with IPERIA
Elements of the Review Guides
New Definitions and Terms
Agenda (2)

- A closer look into the Review Guide
  - Eligibility for Services
  - Family Size
  - Need for Services
- Individualized County Child Care Subsidy Plans (Pilots) Review Guide
- Questions and Answers
Purpose and Goals

- Provide overview of the updated review guides
  - Center-based
  - Alternative Payment/Family Child Care Home Networks
- Introduce the review guide for pilot counties/contractors
What is the review guide?

The review guide provides clear written information that can be used in state and federal error rate reviews.

Contains instructions for:

- Selecting a statistically valid sample of children receiving subsidized childcare services

- Analyzing the family and provider files associated with those children for errors

- Recording and aggregating those errors for the purposes of improvement
Review guides alignment with IPERIA

The review guides have been updated and aligned with definitions and terms used in the Improper Payment Elimination and Recovery Improvement Act (IPERIA) reviews that we also conduct which require federally funded agencies to:

- Review programs and activities they administer annually
- Identify those programs that have improper payment and administrative errors
- Submit a report on actions taken to reduce improper payments by June 30, 2020
Elements of the Review Guide

Section I.

- Initial Certification and Recertification
- Parental Right to Voluntarily Report Changes
- Eligibility
- Family Size
- Income Calculation
Elements of the Review Guide (2)

- Need for Services
- Family Fees
- Notice of Action
- Attendance
- Reimbursement—Sample Month Payment Determination
Elements of the Review Guide (3)

Section II. Resource Tools

• Process to Select Sample Size
• File Administrative Error Determination Process
• Method to Determine Material Improper Payment Error Amount
• Sample Material Improper Payment Error Rate Determination Worksheet
• Error Rate Reduction Plan Process
• Sample Error Rate Reduction Plan Form
Let's take a closer look into the Review Guide
New Definitions and Terms

- An improper payment error occurs when a violation of misapplication of policy or procedure governing the child care program results in an overpayment or underpayment to the child care provider.

- An administrative error is defined as any instance in which child care subsidy policy was misapplied, or rules or regulations were not followed, that did not result in an improper payment.
New Definitions and Terms (2)

• A compliance finding when a contractor is out of compliance with applicable laws, regulations, or contractual provisions
<table>
<thead>
<tr>
<th>Child Reported on the CDD 801A</th>
<th>Findings</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>1.1</strong> Did the child receive services in the review month <em>(California Code of Regulations, Title 5 (5 CCR), Section 18070 and Management Bulletin (MB) 09-12)</em>?</td>
<td><strong>Compliance:</strong> If the random sample files pulled include children that did not receive services during the review month, a compliance finding will be determined.</td>
</tr>
</tbody>
</table>
## Initial Certification and Recertification

<table>
<thead>
<tr>
<th>Question Number</th>
<th>Initial Certification and Recertification (Application for Services)</th>
<th>Findings</th>
</tr>
</thead>
<tbody>
<tr>
<td>2.1</td>
<td>Is there a completed, accurate and signed Application for Services in the family data file? (5 CCR sections 18081, 18082 and 18083)</td>
<td><strong>Material Improper Payment</strong>: 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. <strong>File Administrative Error</strong>: If the Application for Services is incomplete/inaccurate, an error will be determined in eligibility.</td>
</tr>
<tr>
<td>2.2</td>
<td>Was the Application for Services completed prior to serving the child? (5 CCR Section 18082[b])</td>
<td><strong>Material Improper Payment</strong>: 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.</td>
</tr>
</tbody>
</table>
Let's take a closer look at Eligibility for Services
Eligibility is based on documentation and verification of at least one of the following:

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

The parent provides the required documentation and the contractor verifies
Let’s Review and Discuss

- The eligibility test questions
- Type of errors that can be assessed for each test question
- What is your agency best practice?
  - Provide feedback on index card
Let's take a closer look at Family Size
Family Size Supporting Documentation

• The parent shall provide *supporting documentation* regarding the number of children and parents in the family

• Supporting documentation for the number of children shall be *at least one* of the following:
  
  a) Birth certificate
  
  b) Child custody court order
  
  c) Adoption documents
Family Size
Supporting Documentation (2)

d) Foster Care placement records

e) School or medical records

f) County welfare department records

g) Other reliable documentation indicating the relationship of the child to the parent
Let’s Review and Discuss Family Size

- The family size test questions
- Type of errors that can be assessed for each test question
- What is your agency best practice?
  - Provide feedback on index card
Lets take a closer look at Need for Services
Need for Services

For family to receive child care services they must have a qualifying need in at least one of the categories below:

- Employment
- Seeking Employment
- Vocational Training
- Parent Incapacitation
- Homeless
- Seeking Permanent Housing
- Child Protective Services (CPS)
- At risk of abuse, neglect, or exploitation
Let’s Review and Discuss Need for Services

• The need test questions
• Type of errors that can be assessed for each test question
• What is your agency best practice?
  – Provide feedback on index card
Individualized County Child Care Subsidy Plans (Pilots)

• Created to allow counties flexibility to set local policies for Child Care and Development programs

• Local policy may supersede state law in specific areas:
  – Eligibility
    • 24 month certification timeframe
    • 85% State Median Income
  – Fees
  – Reimbursement Rates
Lets take a closer look into the Review Guide for Pilot Counties
## Initial Certification and Recertification Pilot Counties

<table>
<thead>
<tr>
<th>Question Number</th>
<th>Initial Certification and Recertification (Application for Services)</th>
<th>Findings</th>
</tr>
</thead>
<tbody>
<tr>
<td>2.3</td>
<td>If applicable, did the recertification occur no sooner than <strong>24</strong> months from when they were last certified?</td>
<td>Note: CDE is currently working on timeline for recertification. <strong>Administrative Error:</strong> If the recertification was completed before the twelve month timeframe an error will be determined eligibility.</td>
</tr>
</tbody>
</table>

**Test Question number**

**Test Question**

**Type of Error that can be assessed**
QUESTIONS
Thank You for Your Participation!