

**ATTACHMENT 1
 RECORD REVIEW WORKSHEET AND INSTRUCTIONS (ACF-400)**

CHILD ID#		STATE:		COUNTY:		SAMPLE MONTH/YEAR:		REVIEW DATE:	
ELEMENTS OF ELIGIBILITY & PAYMENT DETERMINATION (1)			ANALYSIS OF CASE RECORD (2)			FINDINGS (3)		Results(4)	
SECTION I. STATE CHILD CARE PROGRAM FORMS									
100 APPLICATION/RE-DETERMINATION FORMS								100 RESULTS	
Determine presence, date, and completeness of required eligibility forms. Examples include (1) signed and dated CCDF application form, (2) child care agreement, and (3) voucher or certificate.								1	No Error / Error
								2	Insufficient/ Missing Documentation
SECTION II. PRIORITY GROUP PLACEMENT									
200 PRIORITY GROUP PLACEMENT								200 RESULTS	
Determine if client meets criteria of any State-designated priority groups, e.g., special needs or low income.								1	No Error / Error
								2	Insufficient/ Missing Documentation

SECTION III. GENERAL PROGRAM REQUIREMENTS

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300 QUALIFYING HEAD OF HOUSEHOLD			300 RESULTS
Determine if client meets parent definition (parent means a parent by blood, marriage, or adoption and also means a legal guardian, or other person standing in loco parentis), e.g., (1) parent, (2) step-parent, (3) legal guardian, (4) needy caretaker relative, or (5) spouse of same.			1 No Error / Error
			2 Insufficient/ Missing Documentation
310 RESIDENCY			310 RESULTS
Determine if client is a resident of the State and for what duration, if client is a resident of the county and for what duration, and whether there is an agreement regarding eligibility among counties.			1 No Error / Error
			2 Insufficient/ Missing Documentation
320 PARENTAL WORK/TRAINING STATUS			320 RESULTS
To receive services, a child's parent or parents must be working or attending a job training or educational program, or have a child receiving or needing to receive protective services.			1 No Error / Error
			2 Insufficient/ Missing Documentation
330 QUALIFYING CHILD			330 RESULTS
Determine if child is eligible for services, including (1) younger than 13 years, (2) younger than 19 years and physically or mentally incapable of caring for himself or herself, or under court supervision, or (3) meets other eligibility requirements defined in the State Plan, and (4) if child meets citizenship requirements as set forth in Federal policy.			1 No Error / Error
			2 Insufficient/ Missing Documentation

340 QUALIFYING CARE			340 RESULTS	
Determine number of hours needing authorization during review period, based on parental work/training status or child's protective services status. Determine hours and type of care authorized.			1	No Error / Error
			2	Insufficient/ Missing Documentation
350 QUALIFYING CARE AND PROVIDER ARRANGEMENT			340 RESULTS	
Determine if services are provided by a center-based child care provider, a group home child care provider, a family child care provider, or an in-home child care provider, and that the provider met all regulatory requirements.			1	No Error / Error
			2	Insufficient/ Missing Documentation
SECTION IV. INCOME AND AUTHORIZATION				
400 INCOME / INCOME STANDARDS / PARENTAL FEE CALCULATION			400 RESULTS	
Describe income verification and calculations for household members. Specify time period (e.g., based on 4 weeks prior to application) and all income to be considered based on State policies and definitions (e.g., head of household employment). Determine if household income meets State requirements (e.g., family gross income must be within X percent of State's median income). Determine the amount of subsidy payment authorized for payment for a sample review month. Determine if the amount authorized was based on income and family size, the State's payment rate schedule, and any sliding fee schedule, if applicable.			1	No Error / Error
			2	Insufficient/ Missing Documentation

410 AUTHORIZATION / COMPUTATIONS			410 RESULTS	
Compute the difference between the amount authorized to be paid in a sample review month and the amount that should have been authorized. This difference is the error amount. Indicate if the error amount is an Overauthorization or Underauthorization.			1	No Error / Error
			2	Insufficient/ Missing Documentation
			3	Overauthorization Underauthorization
			4	Total Amount of Improper Authorization for Payment

The coding for the Results Column is as follows: 1: "0" = no error, "1" = error; 2: "Y" = error due to missing or insufficient documentation, "N" = error not due to missing or insufficient documentation, and "NA" = no error; 3: "U" = Underauthorization, "O" = Overauthorization, and "NA" = no improper authorization; 4: Enter dollar amount of error.

"THE PAPERWORK REDUCTION ACT OF 1995" Public reporting for this collection of information is estimated to average 15.43 hours per response, including the time for reviewing instructions, gathering and maintaining the data needed, and reviewing the collection of information.

INSTRUCTIONS FOR COMPLETING RECORD REVIEW WORKSHEET

General Instructions

Reviewers use the customized *Record Review Worksheet* to record analysis of the case record and findings. This documentation provides the verification that substantiates the eligibility determination and the authorization for payment amount for the sample review month. Regarding eligibility status, reviewers examine the most recent eligibility determination in effect as of the sample review month, either the initial determination or a redetermination and any subsequently reported changes (e.g., income, or status) that might impact eligibility.

To properly review cases, reviewers must identify and examine the documentation within the case records that was used to determine eligibility for a sample review month and calculate a subsidy amount authorized for that month. This documentation may be permanent portions of the case record (copies of pay stubs, school schedules, birth certificates, etc.) or information specific to the eligibility period which covers the sample month (policy in effect for that month). The review also includes access or inquiry of any relevant screens or files within a State's automated system, as appropriate and necessary. The review does not include independent verification of eligibility and data elements found in the case record.

Review Information

Reviewers complete identifying information for each review in the first line of the *Record Review Worksheet*. This information includes: the unique Child ID #, State and County names, the Sample Month/Year, and the Review Date (the date the case record is reviewed).

Column 1: Elements of Eligibility and Payment Authorization and Column 2: Analysis of Case Record

Column 1: Elements of Eligibility and Payment Authorization includes for reviewers what forms, documents and information will assist them in identifying or assessing the accuracy of the specific element of eligibility.

Column 2: Analysis of Case Record is where reviewers summarize any pertinent facts, questions, or conflicts in information found in the case record documentation.

The following identifies each of the elements in Column 1 and the kinds of information that needs to be reviewed. Instructions follow about what companion facts, questions, or conflicts in information to insert in Column 2.

Section I. State Child Care Program Forms

- **Element 100 Application/Re-determination Forms**—*Determine presence, date, and completeness of required eligibility forms. Examples include (1) signed and dated CCDF application form, (2) child care agreement, and (3) voucher or certificate.*

Column 1—Reviewers identify any required child care subsidy eligibility-related forms in their State.

Column 2—Reviewers check the record for all required forms, recording if any required documentation is missing or incomplete.

Section II. Priority Group Placement

- **Element 200 Priority Group Placement**—*Determine if client meets criteria of any State-designated priority groups, e.g., special needs or low income.*

Column 1—Reviewers verify if States have designated priority group(s).

Column 2—Reviewers look for and record evidence that the case involves a priority group. Reviewers code this element "NA" if there are no State-designated priority groups.

Section III. General Program Requirements

- **Element 300 Qualifying Head of Household**—*Determine if client meets parent definition (parent means a parent by blood, marriage, or adoption and also means a legal guardian, or other person standing in loco parentis), e.g., (1) parent, (2) step-parent, (3) legal guardian, (4) needy caretaker relative, or (5) spouse of same.*

Column 1—Reviewers consult the list in the customized worksheet or refer directly to State policy for requirements for a qualifying head of household.

Column 2—Reviewers check the application form and supplementary documentation to determine if the necessary requirements are met.

- **Element 310 Residency**—*Determine if client is a resident of the State and for what duration, if client is a resident of the county and for what duration, and whether there is an agreement regarding eligibility among counties.*

Column 1—Reviewers examine the case record for the residency documentation required by the State, either customized in the worksheet or found in State policy.

Column 2—Reviewers compare State residency requirements with case record documentation.

- **Element 320 Parental Work/Training Status**—*To receive services, a child's parent or parents must be working or attending a job training or educational program, or have a child receiving or needing to receive protective services.*

Column 1—Reviewers identify State policy requirements for parental activity status, if not already on customized worksheet, and look for corresponding information in the case record.

Column 2—Reviewers compare State requirements with case record documentation to find out if the child's eligibility determination was appropriate based on the child's protective services status or the job/training/educational activity of the parent(s).

- **Element 330 Qualifying Child**—*Determine if child is eligible for services, including (1) younger than 13 years, (2) younger than 19 years and physically or mentally incapable of caring for himself or herself, or under court supervision, or (3) meets other eligibility requirements defined in the State Plan. Determine if the child meets citizenship/qualified alien status requirements as set forth in Federal policy.*

Column 1—Reviewers identify State policy requirements for child eligibility status, if not already on customized worksheet, and look for corresponding information about the child in the case record.

Column 2—Reviewers compare information in the case record with State policy to find out if the child's eligibility determination was appropriate to the child's age, physical or mental needs, or other child criteria in State policy, and if the child meets Federal citizenship/qualified alien status requirements.

- **Element 340 Qualifying Care**—*Determine number of hours needing authorization during review period, based on parental work/training status or child's protective services status. Determine hours and type of care authorized.*

Column 1—Reviewers refer to documentation of child protective services status or parent job/training/educational activity.

Column 2—Reviewers compare the hours authorized for services, as recorded in the case record, with the documentation of child protective services status or parent job/training/educational activity.

- **Element 350 Qualifying Provider Arrangement**—*Determine if services are provided by a center-based child care provider, a group home child care provider, a family child care provider, or an in-home child care provider, and that the provider met all regulatory requirements.*

Column 1—Reviewers check State policy for allowable provider categories and look for documentation of provider category in the case record. Reviewers check State policy for allowable legal provider status and look for documentation of provider category in the case record.

Column 2—Reviewers check provider information in the case record to verify that the provider is from an allowable provider category. Reviewers check provider information in the case record to see if there is a license, registration document, or other document showing legal provider status.

Section IV. Income and Authorization

- **Element 400 Income/Income Standards/Parental Fee Calculation**—*Describe income verification and calculations for household members. Specify time*

period (e.g., based on 4 weeks prior to application) and all income to be considered based on State policies and definitions (e.g., head of household employment).

Determine if household income meets State requirements (e.g., family gross income must be within X percent of State's median income).

Determine the amount of the subsidy payment authorized for the sample review month.

Determine if the subsidy payment amount authorized for a sample review month was based on income and family size, the State's payment rate schedule, and any sliding fee schedule, if applicable.

Column 1—Income categories may be customized on the worksheet and may include: head of household employment income; spouse employment income; any changes in income reported; income during job training for parent/caregiver; child support, if included as part of income; SNAP, if included as part of income; and loss of income during eligibility period. Reviewers identify the State income requirements from State policy, if not included in the customized worksheet. Reviewers locate in the case record the amount of subsidy authorized for the sample review month.

Column 2—Reviewers review and describe how household income, both earned and unearned, was verified and computed. This includes reviewing the income documentation information in the case record used for verification, reviewing compliance with State income verification policy, such as the treatment of disregarded income, and checking the computations for accuracy. Reviewers compare the State income requirements with the computed income. Reviewers locate in the case record and record the amount of subsidy authorized for the sample review month. Reviewers determine if the amount authorized was based on income and other factors used by the State in the calculation of the subsidy authorized.

- **Element 410 Authorization/Computations**—*Compute the difference between the amount authorized to be paid in a sample review month and the amount that should have been authorized. This difference is the error amount. Indicate if the error amount is an Overauthorization or Underauthorization.*

Column 1—There is no separate action required for Column 1.

Column 2—Reviewers record the amount authorized for payment in the sample review month and the amount that should have been authorized and compute the difference, if any. The review is limited to authorization for payment, regardless of what additional payment information might be part of the case file.

Column 3: Findings and Column 4: Results

Column 3: Findings is where reviewers summarize the analysis from Column 2 for each element. If an error is cited, the summary should include a detailed description of the cause(s) of the

error(s). In Element 410, the summary should also include; (1) whether the error(s) resulted in an improper authorization; (2) the reason for the improper authorization and whether it was due to missing or insufficient documentation; (3) whether the improper authorization was an overauthorization or underauthorization; and (4) the amount of the improper authorization.

This section also includes summaries of any error(s) that did not result in a dollar amount found in the element.

Column 4: Results is where reviewers complete the coding in Column 4 for each element in each section of the *Record Review Worksheet*. In Elements 100–400, Column 4 lists the following codes to summarize the review findings:

1. Error—Enter the correct code according to the following key: “0” = no error, “1” = error;
2. Reason for error—Enter “Y” if the error is due to missing or insufficient documentation, “N” if the error is not due to missing or insufficient documentation, and "NA" if there is no error;

For Element 410, the following codes summarize the findings for the complete case record review:

1. Error—Enter the correct code according to the following key: “0” = no error, “1” = error;
2. Reason for error—Enter “Y” if the error is due to missing or insufficient documentation, “N” if the error is not due to missing or insufficient documentation, and "NA" if there is no error;
3. Type of improper authorization(s) during sample review month—Enter “U” for Underauthorization, “O” for Overauthorization and "NA" if there is no improper authorization. (For cases with both error types, the type of the error responsible for the larger dollar amount is coded.); and
4. Total Amount of Improper Authorization—Enter the dollar amount of the error.

