2005 – 2006
CCIS Performance Standards
General Review Guide

CCIS PERFORMANCE STANDARDS GENERAL REVIEW GUIDE

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I EXECUTIVE SUMMARY

I. General Principles

- The Performance Standards for 2005-06 represent the measure of each CCIS agency's performance for managing the subsidized child care program.
- The CCIS must review family case files, provider invoices, and various reports and must use CCMIS extensively to conduct this review.
- The CCIS Performance Standards Review for 2005-06 represent a "hold harmless' year for CCISs. There will be no written corrective action plan required if there is a performance rating of "needs improvement " and there will be no impact on the 2005-06 grant . However if there is a standard with the performance rating of "needs improvement " the Office of Child Development (OCD) will follow up with the CCIS to determine how the CCIS will meet the performance standard.
- Each CCIS will self assess its performance and then send the results to the regional subsidy coordinator in the Office of Child Development (OCD). The regional subsidy coordinator will conduct an exit interview with each CCIS regarding its responses to the self assessment.
- The regional subsidy coordinator will select one or more CCIS to conduct a site visit to perform a monitoring review of the CCISs adherence to the CCIS Performance Standards 2005-06. When the regional subsidy coordinator conducts the monitoring review, he or she will conduct an entrance and exit conference.

II. Definition of Terms

Basis – This term is found on the CCIS Performance Standards chart. Basis is the requirement that the Office of Child Development (OCD) Department of Public Welfare has issued that establishes the where and how OCD communicated a standard to the CCIS.

Caseload – The total number of cases/families in the Fund A or Fund C funding stream for each CCIS. For example there are 1000 children from 775 families who receive subsidy in Fund A. There are 775 cases in the Fund A caseload for the CCIS.

Caseload Management – This term is found on the CCIS Performance Standards chart. Caseload management is the work that the CCISs perform for certain activities that result in assuring that all funds are distributed timely to eligible providers on behalf of eligible children. Caseload Management is also monitoring the cases that are in suspension to assure that obligated funds are handled appropriately.

Customer Service – These are the activities that result in staff responding accurately, timely and respectfully to parents and other members of the public who request services from the CCIS.

Day (s) of Review – These are the dates that the CCIS actually conducts the self assessment or the regional subsidy coordinator actually conducts the site visit. The day(s) of review is not the same as the review month. For most performance standards, actual documents or reports are assessed on a 'real time basis "rather than activities that occurred prior to the day(s) of review.

Entrance Interview – This interview is the discussion that the regional subsidy coordinator has with the CCIS agency director prior to conducting a site visit to assess whether the CCIS is meeting the performance standards.

Error Rate – The rate of the number of family case files or other documents that did not meet a particular standard compared to the entire number of family case files that are selected for the review. If there is one component of the standard that is not met (i.e. there is one “NO” answer on the individual worksheets under “Review Results’) then the document is considered to have an error. There may be more than one standard that is not met in one family case file. The error rate is for <u>each</u> performance standard not for the individual family case file or other document.

Exit Interview – This is the interview that the regional subsidy coordinator has with the CCIS agency director after reviewing the results of the CCIS self assessment or conducting the site visit to the CCIS. The regional subsidy coordinator gives a report on his or her findings and the CCIS has an opportunity to respond.

Funds Management – The standards which indicate the OCD expectations for managing encumbrances and obligated funds to assure the maximum use of funds to serve children on the waiting list .The standards also include the expectations for submitting expenses and other reports as required by OCD.

Performance Ratings – The rating that the CCIS assigns itself or the regional subsidy coordinator assigns for each of the performance standards. The CCIS determines the performance rating by taking the information from the individual review work sheets and /or the rating review questionnaire. The Performance Ratings are needs improvement, satisfactory or commendable.

Program year – The state fiscal year that the Department has a grant with the CCIS .The time period for the program year is always July 1st through June 30th of the next year. For example if the performance standards review is being conducted in February 2006, the performance standards review is for the program year from July 1, 2005 through June 30, 2006.

Review Period – The time period that the CCIS or OCD designates to select a specific number of family case files or other documents for the review of the performance standards. The review period must be in the same program year as the performance standard review. For example if the performance standards review is completed in May 2006, the review period is any time from July 2005 through April 2006. The review period may be several months prior to the day of review.

Self Assessment – The activity that the CCIS director performs by reviewing his or her agency’s daily subsidy activities, determining if those activities meet the CCIS Performance Standards for 2005-06 and assigning a performance rating to each standard.

III. <u>Description of Documents and Use</u>

There are eight documents that are a part of the CCIS Performance Standards Review.

1. CCIS Performance Standards 2005 – 2006
2. CCIS Performance Standards General Review Guide
3. CCIS Performance Standards Rating Review Questionnaire.
4. CCIS Performance Standards Individual Review Worksheet for Compliance Standards for Low Income Applications
5. CCIS Performance Standards Individual Review Worksheet for Compliance Standards for Low Income and Former TANF Re- Determinations
6. CCIS Performance Standards Individual Review Worksheet for Compliance Standards for Former TANF transfers and Former TANF initial re-determinations
7. CCIS Performance Standards Individual Review Worksheet for Case Management and Funds Management
8. CCIS Performance Standards Rating Review Summary

1. CCIS Performance Standards 2005 – 2006

The chart is the original source document for the CCIS Performance Standard review. The chart contains a description of the performance standards, the description of satisfactory performance, sources to review to determine on if the CCIS met the performance standard, the review cycle and the criteria for the performance ratings for each standard. The CCIS should review this tool carefully to understand the full scope of the performance standards.

2. CCIS Performance Standards General Review Guide

The review guide includes this Executive Summary and all of the instructions on conducting the self assessment for each of the performance standards. It also contains specific instructions for the use of Individual Review Worksheets as described below. The review guide includes very specific instructions on where to find information in the family case files, what processes to follow in CCMIS to conduct the review and the steps the reviewer takes in completing all of the documents for the self assessment. This guide also includes a “prep guide “which tells the CCIS how to prepare for the self assessment prior to conducting the actual review.

2. CCIS Performance Standards Rating Review Questionnaire

This questionnaire contains all of the questions to which the reviewer must respond in order to determine the appropriate rating for each performance standard. The questions are directed to the agency’s overall performance regarding a performance standard. Also the questionnaire includes general information questions which do not have an impact on the performance rating for a particular standard.

4 – 6. CCIS Performance Standards Individual Review Worksheets – Compliance

The three individual review worksheets are the documents that the CCIS director or the regional subsidy coordinator uses to compile the results of the family case record review. For the Compliance Standards, the CCIS will review a maximum of 20 family case files to determine whether each case demonstrated that it met one or more of the seven Compliance Standards. The performance standards reflect the eligibility regulations in 55 Pa. Code Chapter 3041, procedures and other training material issued by the Office of Child Development.

There is one set of specific instructions in the review guide for each of the three worksheets.

Each worksheet is designed to complete all of the Compliance Standards that are relevant for each family case file.

If there are 20 family case files reviewed for all the Compliance Standards, there should be 15 individual worksheets. (Former TANF Transfers and Former TANF Initial Re-determinations will combine the results from a transfer and initial re-determination on one worksheet). If there are fewer than 20 case files reviewed for Compliance Standards then there will be fewer than 15 worksheets.
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The maximum number of Low Income applications reviews/worksheets is 5.

The maximum number of Re-determinations reviews/worksheets is 5.

The maximum number of TANF Transfers worksheets and Initial TANF Re-determinations reviews/worksheets is 5.

7. CCIS Performance Standards Individual Review Worksheet – Case Management and Funds Management

This worksheet is the document that the CCIS director or the regional coordinator uses to compile the results of the review of the Caseload Management and the Funds Management Standards.

Case Management Standards

a. For the two Case Management standards you will review a maximum of 5 provider invoices used for payment during the review month and a maximum of 5 family case files which include children in suspension at the time of the review. (Note: You will use different family case files that are used for the Compliance Standards that are described above.)

Each Case Management /Funds Management review worksheet is designed to include information for the **total** number of the invoices or family case files to review for the two Case Management standards. The worksheets are not case specific.

Funds Management Standards

b. For two of the five Funds Management standards you will review a maximum of 5 family case files or samples of names drawn from the waiting list, and a maximum of 5 family case files that are enrolled with a provider who has an invoice outstanding more than 60 days. (Note: You will use different family case files that are used for the Compliance Standards that are described above.)

The worksheet is designed to collect all of the information on every case or invoice that is reviewed.

Summary:

There is **one** Case Management/ Funds Management Worksheet for provider invoices, family case files for suspensions, family case files /names drawn from the waiting list report, and family case files of children enrolled with a provider with an outstanding invoice.

Note: There are no worksheets for the remaining three of the five Funds Management Standards.

8. CCIS Performance Standards Rating Review Summary

The rating review summary is the document that the CCIS director or the regional subsidy coordinator uses to compile the results of his or her review of each of the performance standards and to assign a performance rating for each of the standards.

The rating review summary uses the information from individual review worksheets for certain standards to determine if the appropriate performance standard for compliance, caseload management and funds management are met. The rating review summary also uses the responses to the questions from the Performance Rating Review Questionnaire to determine the appropriate performance rating.

There is a comments section on the rating summary. The CCIS should use this section to indicate any comments or questions about the performance standards, any related policy questions or any clarifications needed. The regional subsidy coordinator will review the comments and use the information to determine what additional technical assistance or training is needed.

Note: Use the comments section to record any questions. Do not contact the regional subsidy coordinator with questions on policy or procedures. Only contact the regional subsidy coordinator if there are questions on the process involved with the self assessment.

There are specific instructions in the review guide on the use of the rating review summary.

IV. The Self Assessment Review – Steps to Follow to complete the CCIS Performance Standards Review .

Step A.

Carefully review the CCIS Performance Standards Chart and examine each of columns on the chart to determine the areas that must be considered in the performance standard review.

Go to the column entitled "sources of review "on the CCIS Performance Standards Chart. The items in that column tell the reviewer what information to review at the CCIS or in CCMIS to complete the self assessment.

Step B.

Go to the review guide instructions and review its contents. The review guide offers very specific instructions for the steps to take to complete the review.

Step C.

Go to the Performance Standard Rating Review Questionnaire and complete responses to all the questions. You will use these responses to help determine the performance ratings for each of the standards.

Step D.

Conducting the self- assessment for the Customer Service and Resource and Referral Performance Standards

- Go to the questionnaire and complete the responses to the questions for the Customer Service and Resource and Referral Performance Standards. You will also interview agency staff as well as review documents.
- Once you begin the self assessment for these two standards, note that there are no separate worksheets for these two standards. Take notes on separate sheets of paper about your findings. You need this information to make a determination on the performance ratings.
- Go to the CCIS Performance Rating Review Summary and assign a rating for each of the Customer Service and Resource and Referral Performance Standards.

Step E.

Conducting the self assessment for the Compliance Performance Standards

- Go to the questionnaire and complete the responses to the questions pertaining to the agency's adherence to the Compliance Performance Standards.
- Go to the review guide for complete instructions on the selection of the sample for these standards, running reports from CCMIS, use of the questionnaire and the completion of the rating review summary.
- Use one worksheet for each of the family case files that you review. Complete the worksheet for each case by reviewing <u>all</u> of the standards that pertain to that family case file.
- Go to the CCIS Performance Standard Rating Review Summary and assign a rating for each of the seven Compliance Performance Standards. You will use information from the worksheets and the questionnaire to determine the performance standard rating.

Step F.

Conducting the Self Assessment for Caseload Management and Funds Management Performance Standards

- Go to the questionnaire and complete the responses to the questions pertaining to the agency's adherence to the standards.

- Go to the review guide for complete instructions on the selection of the cases, invoices, other documents, or reports that you must review to measure these standards and to complete the rating review summary.
- Go to the CCIS Performance Standard Rating Review Summary and assign a rating for each of the two Case Management Standards and five Funds Management Standards.

V. Submitting the Self Assessment Information to the Office of Child Development (OCD) Regional Office

Submit the following information through the mail to the subsidy coordinator by the date indicated by OCD.

- Performance Standards Rating Review Questionnaire with the agency responses.
- Individual Review Worksheets for Compliance Performance Standards- There should be a maximum of 15 worksheets for the Compliance Standards
- Individual Review Worksheets for Case Management and Funds Management Performance Standards- There should be a maximum of one worksheet for the Case Management and Funds Management Performance Standards.
- Any attachments that the CCIS wants to submit which are referenced in the review guide and review summary. These include but are not limited to tracking tools, surveys, quality material and agency brochures
- The CCIS Performance Standards Rating Review Summary

VI. Follow – Up

Self Assessments

The regional subsidy coordinator will conduct an exit interview with all CCIS after he or she has reviewed the information that the CCIS submitted. The coordinator can ask questions about the rationale that the CCIS used to assign a performance rating.

The regional subsidy coordinator will issue a written final report to the CCIS regarding the OCD's findings, reactions and comments about the CCIS's responses on the self assessment.

Site Visits

The regional subsidy coordinator will contact the CCIS that he or she has selected for a site visit. The regional subsidy coordinator will review the procedure for the visit with the CCIS director.

The regional subsidy coordinator will conduct an exit conference before the site visit and an exit conference at the conclusion of the site visit. In addition the regional subsidy coordinator will issue a final written report to the CCIS regarding the OCD's findings, reactions and comments about the CCIS responses on the self assessment.

II PREPARATION GUIDE

<u>At least 2 days before the review, request the following reports:</u>

1) **Low Income Application Sample**

In CCMIS, Click on Reports, Click on Case, Click on (RE 318) Enrollment Status Report, Click Go.

Note: You may need to alter report period to identify a sample of at least 5 by expanding the range if this report period does not realize a sample of 5. If going back to 7/1/05 doesn't realize a sample of 5, review the amount of cases to date.

<u>Report Parameters</u>

- Reporting Period = 2/1/2006 To: 3/31/06
- Funding Program = Low Income (Fund A)- Regular
- Supervisory Unit: = BLANK
- Caseload = BLANK
- Status = Enrolled State
- County = enter county of review
- District/Office = enter office of review
- Report Type = Detail
- Sorted By = Co-Record Number
- Sorted By = Status Date
- Sorted By = Status
- Report Format = Portable Document File (pdf)
- Name of Request = "county" enrollment status report 3/9/2006
- Generate Report

Instructions to identify the sample cases are located in the individual instructions for the Low - Income Section and Worksheet.

2) **Former TANF Transfers Sample**

In CCMIS, Click on Reports, Click on Case, Click on (RE 318) Enrollment Status Report, Click Go.

Note: You may need to alter report period to identify a sample of at least 5 by expanding the range if this report period does not realize a sample of 5. If going back to 7/1/05 doesn't realize a sample of 5, review the amount of cases to date.

<u>Report Parameters</u>

- Reporting Period = 2/1/2006 To: 3/31/06
- Funding Program = Former TANF (Fund C) - Regular
- Supervisory Unit: = BLANK

- o Caseload = BLANK
- o Status = Enrolled State
- o County = enter county of review
- o District/Office = enter office of review
- o Report Type = Detail
- o Sorted By = Co-Record Number
- o Sorted By = Status Date
- o Sorted By = Status
- o Report Format = Portable Document File (pdf)
- o Name of Request = “county” enrollment status report 3/9/06
- o Generate Report

Instructions to identify the sample cases are located in the individual instructions for the TANF Transfer Section and Worksheet.

3) **Low-Income Re-Determinations Sample**
Receive and have available the Query Report from your Regional Coordinator identifying the sample for Re-determinations.

Instructions to identify the sample cases are located in the individual instructions for the Re-determination Section and Worksheet.

4) **TANF Re-Determinations Sample**

Receive and have available the Query Report from your Regional Coordinator identifying the sample for Initial TANF Re-determinations.

Instructions to identify the sample cases are located in the individual instructions for the Re-determination Section and Worksheet.

5) **Case Management – Provider Payments Sample**

In CCMIS, click “Reports”, “Payments”, “Invoice Status Report (RE403)”, “Go”.

<u>Report Parameters</u>

- o Service Period = December 05
- o County = enter county reviewing
- o District/Office = enter office reviewing
- o Provider ID = BLANK
- o Invoice Status = Select
- o Sorted By = Invoice Status
- o Report Format – Portable Document File (pdf)

- Name of request = “county” invoice status report 3/9/06
- Click Generate Report

Instructions to identify the sample cases are located in the individual instructions for the Case Management/ Funds Management Section and Worksheet.

6) **Funds Management – Waiting List Management Sample**

In CCMIS, Click on Reports, Click on Case, Click Go, Click Closed WL Report (RE308), Click Go.

<u>Report Parameters</u>

- Reporting Period = 12/01/05 To: 12/31/05
- Closed Reason = Select
- County = enter county reviewing
- District/Office = enter office reviewing
- Caseload = BLANK
- Supervisory Unit = BLANK
- Sorted By = Closure Reason
- Report Format = Portable Document File (pdf)
- Name of request = “county” Closed Waiting List Report 3/9/2006
- Click Generate Report.

Instructions to identify the sample cases are located in the individual instructions for the Case Management/ Funds Management Section and Worksheet.

(**B) Worksheet Copies**

1) Make 5 Copies of Worksheet “Compliance – Low-Income Applications

2) Make 5 Copies of Worksheet “Compliance – Re-Determinations

3) Make 5 Copies of Worksheet “Compliance – TANF Transfers

4) Make 1 Copy of Worksheet “Caseload Management/Funds Management”

III INSTRUCTIONS FOR INDIVIDUAL REVIEW WORKSHEET COMPLIANCE – APPLICATIONS

STEP 1 Request CCMIS Enrollment Status Report using the Preparation Desk Guide - Step 1

STEP 2 PRINT REPORT

In CCMIS, Click Reports, Click Reports Inbox, Click Report Title hyperlink of requested report (RE318), Print results.

Randomly select maximum of 5 cases (different record numbers) from this report by adding the total number of unduplicated cases and dividing that number by 5 (Example: You have 40 unduplicated cases divide by 5 = the number 8, therefore you count and select every eighth case until 5 are picked.)

STEP 3 Compliance Standard 1 Review Worksheet Instructions (For Each Application)

Question #1

- Review the application page 10 for date/time stamped information.
- In CCMIS, Click on Case, enter the record number of the case into the case summary section, Click Go, look at Case Information section and verify application date received matches application stamped date.
- Answer question YES/NO. If YES enter date on worksheet.

Question # 2

- Review the application page 10 for signature confirmation.
- Answer question YES/NO. If NO, explain.

Question #3a

- Review application page 10. Is there a date stamp under "all required documentation received on" section? **or** does the file contain case notes that indicate that all verification was verified (i.e. collateral contact)? **or** is the individual verification information date stamped to indicate a receipt date same as application received date?
- If YES, Go to Question #4
- If NO, Go to Question #3b

Question #3b

- If unable to determine that all verification was available at application do **one** of the following to view missing information letter:
    - **With Record #, i**n CCMIS, click on Correspondence, Under Action = Find, enter record #, status= printed, Correspondence = Missing Information Letter, Dates = parameter that included the application date, Click GO.
    - **With Correspondence #,** In CCMIS, click "Correspondence", click "Correspondence Search", enter Correspondence ID # under Simple Search, click "Search".
- Click on check box next to Correspondence, Click View. To view correspondence.

- Answer questions 3b & 3c with the results from above.

Question #4

- Within the same case record **either** go to the SELECT DROP DOWN BOX and choose Eligibility Results **or** with record # in CCMIS, Click Case, enter record # on Eligibility Results section, Click GO

- Look at "Run Date" at the top of screen, if this date coincides with the application date and indicates the run reason, write the date on the Worksheet. Keep Eligibility Results page open and proceed to #5.

  OR

- Go to the bottom Click Eligibility Results page and click on History to review the run dates. (If more than 1 date is listed you will need to click on the date hyperlinks to determine reason for eligibility run) You may need to look at the Eligibility Detail History as well. Choose the date closest to application rec'd date. Keep Eligibility Results page open and proceed to #5.

Question #5

- Under Eligibility Status, record whether the case was eligible or ineligible.

- Keep Eligibility Results page open and proceed to #6.

Question #6

- Under Failure Reasons, see if an entry is made and then proceed to Override Details. If information is entered in this section answer YES and then explain. If the section is blank answer NO.

- Keep Eligibility Results screen open and proceed to #7.

Question #7

- Under Eligibility Results Page, look at the Eligibility Begin Date at top of page and look back to question #1 of this review worksheet, if the dates are the same answer YES, if they are not answer NO and explain.

Question #8

- Is the date entered into #4 (Eligibility Run Date) and correct in CCMIS?

  - within 10 days of the date entered in on #3c

  OR

  - within 30 calendar days of the date entered in on #1

- Answer YES/NO and explain

- Go to the front page of the Worksheet and enter the result from #8 YES/NO in the Review Results column for Standard 1.

PROCEED WITH SAME CASE TO STEP 4 (STANDARD 4)

Standard 4– Verification Requirements Applications

STEP 4 Worksheet Instructions: (For Each Application)

Question # 1a

- Review the hard copy family file, application or Self-Certification Form if not on application. On page 4 & 5 of the application- Citizenship and DOB should be documented. On page 9 is the Immunization Certification.

- **CCMIS Verification Codes**
  - **V= Verification, SV = Self-Certified, SD = Self-Declare, NA = Not Available, PEN = Pending**.

- Within the same case record **either** go to the SELECT DROP DOWN BOX and choose Individual Information **or** In CCMIS, with record #, Click on Case, enter record # in Individual Information section and Click GO.

- Confirm verification codes next to DOB and next to Citizen Status. Go up to select drop down box, select Child Care Request, click GO. Verify immunization verification.

Question # 1b

- Determine if Self-Certification form is in file

- If NO, was self-certification based on the signed application?

Question #1c

- Determine if anything else was self-certified from the file.

Question #2a

- Review the hard copy family file and application. Are there any Self-Declaration forms in file? Or a file note indicating self-declare verification.

- If YES, indicate which information was self-declared and go to #2b. If NO, go to #3.

Question #2b

- If YES, confirm form is in file**.** If NO, explain.

Question #2c

- If YES, was it verified? If NO, explain.

Question #2d

- If YES, within the same case record **either** go to the SELECT DROP DOWN BOX and choose tracking dates **or** In CCMIS, with record #, click “Case”, enter record # in tracking date section and click “GO”.

- If a tracking date was set it would show up on this screen with a reason and date. If NO, Explain.

Question #2e

- Within the same case record **either** go to the SELECT DROP DOWN BOX and choose Eligibility Results **or** In CCMIS click "Case", enter record # in Eligibility Results section, click "GO". Look at "Run Date History" and determine if verification was processed in CCMIS within 30 days from the self-declare date.

Question #3a

- Review hard copy file and application. Are there file notes that indicate a collateral contact verification?

  OR
- Within the same case record **either** go to the SELECT DROP DOWN BOX and choose Case Comments **or** In CCMIS, Click case, enter record # in Case Comments section, Click GO and review if there is a case comment indicating collateral contact verification was utilized, click on date hyperlink for that case comment to review full text of comment.

- If YES, write the information that was verified by Collateral Contact and go to #3b. If NO, go to #4a.

Question #3b

- If YES, is authorization for information by the parent in the file? If NO, Explain.

Question #4a

- In hard copy application, see if page 8 (Employer Verification Form) is in file.

Question #4b

- If YES, determine what it was used to verify and document it.

- Within the same case record **either** go to the SELECT DROP DOWN BOX and choose Employment and Wager **or** In CCMIS, go to case, enter record # in Employment Wage section, Click GO. At the Employment Wage Summary Page, Click the check box next to employment to correspond with Employer Form and Click Update, verify that employment/hours match employer form.

- If NO, Go to #5a.

Question #5a

- Is there a training form in the file?

Question #5b

- If YES, what was verified with this information? Indicate what information was verified.

- Within the same case record **either** go to the SELECT DROP DOWN BOX and choose Parent/Caretaker Training **or** In CCMIS, Click case, enter record # in Parent/Caretaker Training, Click GO. At the Training Summary Page, click the check box next to the verified training and click update. Verify training information matches training form.

- If NO, go to #6a.

Question #6a

- Is there a medical assessment form in file?

- If NO, go to #7a.

Question #6b

- If YES, what was verified with the assessment form?

- Within the same case record **either** go to the SELECT DROP DOWN BOX and choose Parent Disability **or** In CCMIS, Click case, enter record # in Parent Disability section, Click GO. On Parent Disability Summary Page, verify information from medical assessment form.

- If NO, continue.

Question #7a

- Indicate what type of verification was used to verify income by checking appropriate document or list on worksheet.

Question #7b

- If YES, explain.

- If NO, go to #8a.

Question #8a

- Does employer form or file indicate employment was prospective at application? On the Employer Form the question was the employee Newly Hired would be answered YES or another indication of prospective employment.

- If NO, go to #9.

- If YES, go to #8b.

Question #8b

- Was income verification received within 10 days of the date the parent received the income?

- If YES, record the date that verification was received. Go to #8c.

- If NO, Explain. Go to #8c.

Question #8c

- Does the file or comments indicate that additional income verification beyond 1 week was required to verify income. If YES, Explain.

Question #9

- Answer YES/NO based on the answers to Questions #1-8 and explain.

- Go to the Front page of worksheet form and enter the results from #9 (YES/NO) into the Review Results column for Standard 4.

PROCEED WITH SAME CASE TO STEP 5 (STANDARD 5)

Standard 5– Low-Income Applications Accurate Processing and Family Size and Income

STEP 5 Worksheet Instructions: (For Each Application)

Question # 1

- Review Application page 4 to confirm the correct family size.

- Within the same case record **either** go to the SELECT DROP DOWN BOX and choose Eligibility Results **or** In CCMIS with record #, Click on Case, enter record # in Eligibility Results section and Click GO, at bottom of page under "Co-Pay Results" verify family size is correct.

Question #2

- Review Application page 6 to confirm that all required family members have countable income.

- Within the same case record **either** go to the SELECT DROP DOWN BOX and choose Eligibility Details **or** In CCMIS, with record#, Click on Case, enter record# in Eligibility Results, Click on Eligibility Details and look at income summary. Were all correct family members and income entered correctly?

Question #3

- Based on the answers from #1 & #2, make a final determination regarding income and family size calculations.

- Go to the front page of the Worksheet Form and enter the result from Q #3 (YES/NO) into the Review Results column for Standard 5.

PROCEED WITH SAME CASE TO STEP 6 (STANDARD 6)

Standard 6– Low-Income Applications Accurate Processing and Income Calculations

STEP 6 Worksheet Instructions: (For Each Application)

Question #1

- Review Application pages 5-7 and note annual income from page 10 in order to identify and confirm all income inclusions and deductions. If there are not income inclusions or deductions, mark N/A and go to #3a.

Question #2

- Within the same case record **either** go to the SELECT DROP DOWN BOX and choose Eligibility Details **or** In CCMIS with record #, Click on Case, enter record # in Eligibility Results section and Click GO, Click Eligibility Details and verify that all income and deductions are correct. Verify annual income matches the annual income recorded on the application.

Question #3a

- Review Application and file to determine if eligibility is based on prospective employment.
- If case doesn't involve Prospective Employment Mark N/A and go to #4.
- If YES, Within the same case record **either** go to the SELECT DROP DOWN BOX and choose Employment and Wage **or** In CCMIS, click case, enter record # in Employment/Wage section, Click GO, At the Employment Wage Summary Page, Click the check box next to prospective employment and Click Update, verify amount in CCMIS is correct based on prospective employment information.

Question #3b

- If prospective employment is noted, is there follow-up income verification in the file if after 10 days of receipt of first income?
- Within the same case record **either** go to the SELECT DROP DOWN BOX and choose Employment and Wage **or** In CCMIS, with record#, Click on Case, enter record# in Employment and Wage, Click GO, Click check box next to the employment and Click on Update, Verify the income was entered correctly on the Employment and Wage page.
- If it is prior to the 10 days of receipt of first income:
- Within the same case record **either** go to the SELECT DROP DOWN BOX and choose Tracking Date **or** In CCMIS with record # Click Case, enter record # in Tracking Date section and Click GO, Confirm that a tracking date was set to receive income verification.

Question #4

- Based on the answers from #1-3 make a final determination regarding income calculations.
- Go to the front page of the Worksheet Form and enter the result from Question #4 into the Review Results column for Standard 6.

PROCEED WITH SAME CASE TO STEP 7 (STANDARD 7)

Standard 7– Low-Income Applications -Accurate Processing and Work Requirement

STEP 7 Worksheet Instructions: (For Each Application)

Question #1a

- Review Application and determine if parent's age is under age 18 based on DOB. On page 9 of application, Section VII, is GED program marked with YES.
- Within the same case record **either** go to the SELECT DROP DOWN BOX and choose Teen Parent Education **or** In CCMIS with record #, Click on Case, enter record # in Teen Parent Education section, Click GO. Go to #1b.
- If NO, go to #2a.

Question #1b

- If parent is enrolled in full time education program is it approved by school district?
- If NO, Explain.

Question #2a

- Is the parent between the ages of 18 and 22?
- If NO, go to #3a.
- If YES, go to 2b.

Question #2b

- If YES, within the same case record **either** go to the SELECT DROP DOWN BOX and choose Teen Parent Education **or** In CCMIS with record #, click on Case, enter record # in Teen Parent Education section, Click GO. Verify information with Teen Parent Education Summary page.
- If NO, Explain.

Question #3a

- Look at employer form or other employment verification to determine hours of work.
- If 20 or more hours of work are noted answer YES.
- Within the same case record **either** go to the SELECT DROP DOWN BOX and choose Employment and Wage **or** In CCMIS with record #, Click on Case, enter record # in Employment and Wage section, Click GO, Check box next to the employment and wage page and Click Update, look under Employment Income/ Hours worked and verify over 20 hours per week of work. Go to #4.
- If 10 or more hours of work are noted answer NO.
- Within the same case record **either** go to the SELECT DROP DOWN BOX and choose Employment and Wage **or** In CCMIS with record #, Click on Case, enter record # in Employment and Wage section, Click GO, Check box next to the employment and wage page and Click Update, look under Employment Income Hours worked and verify work hours in CCMIS match employer form and Go to #3b.

Question #3b

- Look at training form and verify that training hours plus the work hours are equal to or more than 20 hours.
- If YES, within the same case record **either** go to the SELECT DROP DOWN BOX and choose Parent/Caretaker Training **or** In CCMIS with record #, Click on Case, enter record # in Parent/Caretaker Training section, Click GO. Verify training hours in CCMIS match training form.
- If NO, Explain.

Question #4

- Based on the answers from #1-3 make a final determination regarding work requirements.
- Go to the front page of the Worksheet Form and enter the result from Q #4 into the Review Results column for Standard 7.

Complete a Review Worksheet for all applications identified in sample. When all Review Worksheets are complete for sample cases, Go to the Rating Review Summary and follow the Instructions below.

STEP 8 Rating Review Summary Instructions:

A. Go to the Rating Review summary section **C. Compliance Standard 1 (Applications)**

- Enter in Number of cases Reviewed for Standard 1 Applications
- Enter number of cases marked NO for Standard 1 from the Review Results Column for all applications completed.
- Divide the number of NO cases by the number of cases reviewed, convert into a percentage and enter on the Error rate line.
- Check off all Sources that you reviewed.
- Review Performance Standard Questionnaire Compliance Standard 1 (pg 9)
- Determine Performance Rating based on Worksheet Responses and Questionnaire Responses
- Enter any comments regarding the agency's performance regarding this standard.

B. Go to the Rating Review Summary section **C. Compliance Standard 4 (Applications)**

- Enter the total number of cases reviewed for Standard 4 Applications
- Enter the number of cases marked NO for Standard 4 from the Review Results Column for all applications completed.
- Divide the number of NO cases by the number of cases reviewed, convert into a percentage and enter on the Error rate line.
- Check off all Sources that you reviewed.
- Review Performance Standard Questionnaire Compliance Standard 4 (pg. 10)
- Determine Performance Rating based on Worksheet Responses and Questionnaire Responses
- Enter any comments regarding the agency's performance regarding this standard.

C. Go to the Rating Review Summary section **C. Compliance Standard 5 (Application)**

- Enter the total number of cases reviewed for Standard 5 Applications

- Enter the number of cases marked NO for Standard 5 from the Review Results Column for all applications completed.
- Divide the number of NO cases by the number of cases reviewed, convert into a percentage and enter on the Error rate line.
- Check off all Sources that you reviewed.
- Review Performance Standard Questionnaire Compliance Standard 5 (pg. 11)
- Determine Performance Rating based on Worksheet Responses and Questionnaire Responses
- Enter any comments regarding the agency's performance regarding this standard.

D. Go to the Rating Review Summary Tool section **C. Compliance Standard 6 (Applications)**

- Enter the total number of cases reviewed for Standard 6 Applications
- Enter the number of cases marked NO from the Review Results Column for all applications completed.
- Divide the number of NO cases by the number of cases reviewed, convert into a percentage and enter on the Error rate line.
- Check off all Sources that you reviewed.
- Review Performance Standard Questionnaire Compliance Standard 6 (pg. 11)
- Determine Performance Rating based on Worksheet Responses and Questionnaire Responses
- Enter any comments regarding the agency's performance regarding this standard.

E. Go to the Rating Review Summary Tool section **C. Compliance Standard 7 (Applications)**

- Enter the total number of cases reviewed for Standard 7 Applications
- Enter the number of cases marked NO from the Review Results Column for all applications completed.
- Divide the number of NO cases by the number of cases reviewed, convert into a percentage and enter on the Error rate line.
- Check off all Sources that you reviewed.
- Review Performance Standard Questionnaire Compliance Standard 7 (pg. 11)
- Determine Performance Rating based on Worksheet Responses and Questionnaire Responses
- Enter any comments regarding the agency's performance regarding this standard.

IV INSTRUCTIONS FOR INDIVIDUAL REVIEW WORKSHEET COMPLIANCE – RE-DETERMINATIONS

STEP 1 Using the Re-Determination Query Report that identifies Re-determinations performed in CCMIS for December 2005, locate the LI (low income) column on the report and use those cases to identify the sample.

STEP 2 Randomly select a maximum of 5 re-determinations performed from the Query Report by adding the total number of cases and dividing that number by 5 (Example: You have 40 unduplicated cases divide by 5 = the number 8, therefore you count and select every eighth case until 5 are picked.)

Note: If you do not have 5 re-determinations on the list, expand your sample to include FT (Former TANF) cases that have a re-determination that has a last re-de date on the report.

STEP 3 Compliance Standard 3 Worksheet Instructions: (For Each Re-Determination)

Question # 1

- Review the hard copy family file and locate the re-determination letter and record the re-determination due date (For those that do not contain a re-de letter in the file, ask the CCIS how they track the re-de due date and view and record the date.)

Question #2

- Review the hard copy family file and verify the date the re-de form was received by the CCIS based on the date stamp.

Question #3a

- Review the re-determination form, was it signed without changes to the form. If YES, Go to #5.
- Review the re-determination form, if changes were made was verification submitted with form to verify those changes? If YES, go to #5

Question #3b

- If unable to determine that all verification was sent in with re-determination packet, do **one** of the following to view missing information letter:
  - **With Record #,** in CCMIS, click on Correspondence, Under Action = Find, enter record #, status= printed, Correspondence = Missing Information Letter, Dates = parameter that included the application date, Click GO.
  - **With Correspondence #,** In CCMIS, Click on Correspondence, Click on Correspondence Search, enter Correspondence ID # under Simple Search, Click Search.

Question #4a

- Review file and determine if additional verification was received, date stamped, by re-de due date (refer to # 1 date) If NO, explain and go to #4c

Question #4b

- Record date that the follow-up verification was received in #4a.

Question #4c

- In CCMIS, click Correspondence, Correspondence Search, under Simple Search using the following criteria:

- Co/Record Number = County Record #
- Correspondence = Adverse Action
- User ID = BLANK
- Status = Select
- Status Date From = Re-due date
- District Office = Office Reviewing
- Caseload = BLANK
- County = County Reviewing
- Status Date To = Review Date

- If AA found, Click box to view AA

Question #5

- Within the same case record **either** go to the SELECT DROP DOWN BOX and choose Eligibility Results **or** In CCMIS, Click Case, enter record # on Eligibility Results section, Click GO.

- Look at "Run Date" at the top of screen, if this date coincides with the re-de performed date on the query report and indicates run reason as re-determination (mode = re-determination), write the date on the worksheet.

OR

- Go to the bottom of Eligibility Results page and click on History to review the run dates. (If more than 1 date s listed you will need to click on the date hyperlinks to determine reason for eligibility run) Choose the date closest to re-determination date on the query report.

Question #6

- Based on the answers from #1-5 make a final determination regarding re-determinations.

- Go to the front page of the Review Form and enter the result from Question #6 into the Review Results column for Standard 3.

PROCEED WITH SAME CASE TO STEP 4(STANDARD 4)

Standard 4– Verification Requirements Applications

STEP 4 Compliance Standard 4 Worksheet Instructions: (For Each Re-Determination)

Question # 1

- If there were no changes indicated on the re-determination form that required self-certification verification, Mark N/A and proceed to #2a.

- If information changed, Review the hard copy re-determination form in the family file or Self-Certification Form documenting the Citizenship, DOB, Immunization should be documented.

- **CCMIS verifications codes:**

V= Verification, SV = Self-Certified, SD = Self-Declare, NA = Not Available, PEN = Pending

- Within the same case record **either** go to the SELECT DROP DOWN BOX and choose Individual Information **or** In CCMIS with record #, Click on Case, enter record # in Individual Information section and Click GO, Confirm verification codes next to DOB and next to Citizen Status. Go up to select drop down box and select Child Care Request click GO, Verify immunization verification.

Question #2a

- Review the hard copy family file and re-determination form. Are there any Self-Declaration forms in file? Or a file note indicating parent is self-declaring verification.
- If YES, indicate which information was self-declared and Go to #2b.
- If NO, Go to #3a.

Question #2b

- If YES, confirm form is in file**.** If NO, explain.

Question #2c

- If YES, was it verified? If NO, explain.

Question #2d

- If YES, Within the same case record **either** go to the SELECT DROP DOWN BOX choose Tracking Date **or** In CCMIS, Click on Case, enter the record # of the case in tracking date section, Click GO. If a tracking date was set it would show up on this screen with a reason and date. If NO, explain.

Question #2e

- Within the same case record **either** go to the SELECT DROP DOWN BOX and choose Eligibility Results **or** In CCMIS, Click Case, enter record # in Eligibility Results section, Click GO. Look at "Run Date History" and determine if verification was processed in CCMIS within 30 days from the self-declare date.

Question #3a

- Review hard copy file and re-determination form, are there file notes that indicate a collateral contact verification was done?

  OR

- Within the same case record **either** go to the SELECT DROP DOWN BOX and choose Case Comments **or** In CCMIS, Click case, enter record # in Case Comments section, Click GO and review if there is a case comment indicating collateral contact verification was utilized, click on date hyperlink for that case comment to review full text of comment.
- If YES, write the information that was verified by Collateral Contact and go to #3b.
- If NO, go to #4a.

Question #3b

- If YES, Is authorization for information by the parent in the file?
- If NO, Explain.

Question #4a

- In hard copy file, determine if an Employer Verification form was submitted with re-determination packet and is in file.
- If NO, go to #5a.

Question #4b

- If YES, determine what it was used to verify and document it.
- Within the same case record **either** go to the SELECT DROP DOWN BOX and choose Employment and Wage **or** In CCMIS, go to case, enter record # in Employment Wage section, Click GO. At the Employment Wage Summary Page, Click the check box next to employment to correspond with Employer Form and Click Update, verify that employment/hours match employer form.
- If NO, go to #5a

Question #5a

- Is there a training form in the file?
- If NO, go to #6a

Question #5b

- If YES, what was verified with this information? Indicate what information was verified.
- Within the same case record **either** go to the SELECT DROP DOWN BOX and choose Parent/Caretaker Training **or** In CCMIS, Click case, enter record # in Parent/Caretaker Training, Click GO, At the Training Summary Page, click the check box next to the verified training and click update. Verify training information matches training form.
- If NO, go to #6a

Question #6a

- Is there a medical assessment form in file?
- If NO, go to #7a

Question #6b

- If YES, What was verified with the assessment form?

- Within the same case record **either** go to the SELECT DROP DOWN BOX and choose Parent Disability **or** In CCMIS, Click case, enter record # in Parent Disability section, Click GO. On Parent Disability Summary Page verify information from the medical assessment form.

- If NO, continue.

Question #7a

- Indicate what type of verification was used to verify income by checking appropriate document or list on worksheet.

Question #7b

- If YES, explain

- If NO, go to #8a

Question #8a

- Does employer form or file indicate employment was prospective at application? On the Employer Form the question was the employee Newly Hired would be answered YES or another indication of prospective employment.

- If NO, go to #9

- If YES, go to #8b

Question #8b

- Was income verification received within 10 days of the date the parent received the income?

- If YES, record the date that verification was received. Go to #8c

- If NO, explain. Go to #8c

Question #8c

- Does the file or comments indicate that additional income verification beyond 1 week was required to verify income. If YES, Explain.

Question #9

- Answer YES/NO based on the answers to Questions #1-8 and explain.

- Go to the front page of Review Worksheet and enter the results from #9 (YES/NO) into the Review Results column for Standard 4.

PROCEED WITH SAME CASE TO STEP 5 (STANDARD 5)

Standard 5– Re-determinations Accurate Processing Family Size/Income

STEP 5 Worksheet Instructions: (For Each Re-Determination)

Question # 1

- Review Re-determination form to confirm the correct family size.
- Within the same case record **either** go to the SELECT DROP DOWN BOX and choose Eligibility Results **or** In CCMIS with record #, Click on Case, enter record # in Eligibility Results section and Click GO, at bottom of page under "Co-Pay Results" verify family size is correct.

Question #2

- Review Re-determination form to confirm that all required family members have countable

  income.
- Within the same case record **either** go to the SELECT DROP DOWN BOX and choose Eligibility Results **or** In CCMIS with record#, Click on Case, enter record# in Eligibility Results, Click on Eligibility Details, Look at income summary, were all correct family members income entered correctly.

Question #3

- Based on the answers from #1-2, make a final determination regarding income and family size calculations.
- Go to the front page of the Review Worksheet and enter the result from Q #3 (YES/NO) into the Review Results column for Standard 5.

PROCEED WITH SAME CASE TO STEP 6 (STANDARD 6)

Standard 6– Low-Income –Re-Determinations Accurate Processing and Income Calculations

STEP 6 Compliance Standard 6 Worksheet Instructions: (For Each Re-Determination)

Question #1

- Review Re-determination form and note annual income in order to identify and confirm all income inclusions and deductions.
- If there are not income inclusions or deductions, mark N/A and go to #3.

Question #2

- Within the same case record **either** go to the SELECT DROP DOWN BOX and choose Eligibility Details **or** In CCMIS with record #, Click on Case, enter record # in Eligibility Results section and Click GO, Click Eligibility Details and verify that all income and deductions are correct and verify annual income matches the annual income recorded on the re-determination form.

Question #3a

- Review Re-determination form and file to determine if eligibility is based on prospective employment.
- If case doesn't involve Prospective Employment Mark N/A and go to #4

- If YES, Within the same case record **either** go to the SELECT DROP DOWN BOX and choose Employment and Wage **or** In CCMIS, click case, enter record # in Employment/Wage section, Click GO, At the Employment Wage Summary Page, Click the check box next to prospective employment and Click Update, verify amount in CCMIS is correct based on prospective employment information.

Question #3b

- If prospective employment is noted, is there follow-up income verification in the file if after 10 days of receipt of first income?
- Within the same case record **either** go to the SELECT DROP DOWN BOX and choose Employment and Wage **or** In CCMIS with record#, Click on Case, enter record# in Employment and Wage, Click GO, Check box next to the employment and Click on Update, Verify the income was entered correctly on the Employment and Wage page.
- If it is prior to the 10 days of receipt of first income, Within the same case record **either** go to the SELECT DROP DOWN BOX and choose Tracking Date **or** In CCMIS with record # Click Case, enter record # in Tracking Date section and Click GO, Confirm that a tracking date was set to receive income verification.

Question #4

- Based on the answers from #1-3 make a final determination regarding income calculations.
- Go to the front page of the Worksheet Form and Enter the result from Question #4 into the Review Results column for Standard 6.

PROCEED WITH SAME CASE TO STEP 7 (STANDARD 7)

STEP 7 Compliance Standard 7 Worksheet Instructions: (For Each Re-Determination)

Question #1a

- Review Re-determination form and determine if parent's age is less than 18 years based on their DOB and is enrolled in a GED program.
- Within the same case record **either** go to the SELECT DROP DOWN BOX and choose Teen Parent Education **or** In CCMIS with record #, Click on Case, enter record # in Teen Parent Education section, Click GO. Go to #1b.
- If NO, go to #2a

Question #1b

- If parent is enrolled in full time education program is it approved by school district. Verify that Education Form is in file.
- If NO, explain

Question #2a

- Is the parent between the age of 18-22?
- If NO, go to #3a
- If YES, go to 2b.

Question #2b

- If YES, within the same case record **either** go to the SELECT DROP DOWN BOX and choose Teen Parent Educations **or** In CCMIS with record #, Click on Case, enter record # in Teen Parent Education section, Click GO. Verify information with Teen Parent Education Summary page.

- If NO, explain

Question #3a

- Look at employer form or other employment verification to determine hours of work

- If 20 or more hours of work are noted answer YES.

- Within the same case record **either** go to the SELECT DROP DOWN BOX and choose Employment and Wage **or** In CCMIS with record #, Click on Case, enter record # in Employment and Wage section, Click GO, Check box next to the employment and wage page and Click Update, look under Employment Income/ Hours worked and verify over 20 hours per week of work. Go to #4.

- If 10 or more hours of work are noted answer NO.

- Within the same case record **either** go to the SELECT DROP DOWN BOX and choose Employment and Wage **or** In CCMIS with record #, Click on Case, enter record # in Employment and Wage section, Click GO, Check box next to the employment and wage page and Click Update, look under Employment Income Hours worked and verify work hours in CCMIS match employer form and Go to #3b.

Question #3b

- Look at training form and verify that training hours plus the work hours are equal to or more than 20 hours.

- If YES, within the same case record **either** go to the SELECT DROP DOWN BOX and choose Parent/Caretaker Training **or** In CCMIS with record #, Click on Case, enter record # in Parent/Caretaker Training section, Click GO. Verify training hours in CCMIS match training form.

- If NO, explain.

Question #4

- Based on the answers from #1-3 make a final determination regarding work requirements

- Go to the front page of the Worksheet Form and enter the result from Q #4 into the Review Results column for Standard 7.

Complete a worksheet for all re-determinations identified in sample. When all Review Worksheets are complete for sample cases, Go to the Rating Review Summary and follow the Instructions below.

STEP 8 Rating Review Summary Instructions:

A. Go to the Rating Review Summary section **C. Compliance Standard 3 (Re-Determinations)**

- Enter in Number of cases Reviewed for Standard 3 Re-Determinations
- Enter number of cases marked NO for Standard 3 from the Review Results Column for all re-determinations completed.
- Divide the number of NO cases by the number of cases reviewed, convert into a percentage and enter on the Error rate line.
- Check off all Sources that you reviewed.
- Review Performance Standard Questionnaire Compliance Standard 3 (pg. 10)
- Determine Performance Rating based on Worksheet Responses and Questionnaire Responses
- Enter any comments regarding the agency's performance regarding this standard.

B. Go to the Rating Review Summary section **C. Compliance Standard 4**

- Enter the total number of cases reviewed for Standard 4
- Enter the number of cases marked NO from the Review Results Column for all re-determinations Completed.
- Divide the number of NO cases by the number of cases reviewed, convert into a percentage and enter on the Error rate line.
- Check off all Sources that you reviewed.
- Review Performance Standard Questionnaire Compliance Standard 4 (pg. 10)
- Determine Performance Rating based on Worksheet Responses and Questionnaire Responses
- Enter any comments regarding the agency's performance regarding this standard.

C. Go to the Review Tool section **C. Compliance Standard 5**

- Enter the total number of cases reviewed for Standard 5
- Enter the number of cases marked NO from the Review Results Column for all re-determinations Completed.
- Divide the number of NO cases by the number of cases reviewed, convert into a percentage and enter on the Error rate line.
- Check off all Sources that you reviewed.
- Review Performance Standard Questionnaire Compliance Standard 5 (pg. 11)

- Determine Performance Rating based on Worksheet Responses and Questionnaire Responses
- Enter any comments regarding the agency's performance regarding this standard.

D. Go to the Review Tool section **C. Compliance Standard 6**

- Enter the total number of cases reviewed for Standard 6
- Enter the number of cases marked NO from the Review Results Column for all re-determinations Completed.
- Divide the number of NO cases by the number of cases reviewed, convert into a percentage and enter on the Error rate line.
- Check off all Sources that you reviewed.
- Review Performance Standard Questionnaire Compliance Standard 6 (pg. 11)
- Determine Performance Rating based on Worksheet Responses and Questionnaire Responses
- Enter any comments regarding the agency's performance regarding this standard.

E. Go to the Review Tool section **C. Compliance Standard 7**

- Enter the total number of cases reviewed for Standard 7
- Enter the number of cases marked NO from the Review Results Column for all re-determinations Completed.
- Divide the number of NO cases by the number of cases reviewed, convert into a percentage and enter on the Error rate line.
- Check off all Sources that you reviewed.
- Review Performance Standard Questionnaire Compliance Standard 7 (pg. 11)
- Determine Performance Rating based on Worksheet Responses and Questionnaire Responses
- Enter any comments regarding the agency's performance regarding this standard.

V INSTRUCTIONS FOR INDIVIDUAL REVIEW WORKSHEET COMPLIANCE – PART 1 FORMER TANF TRANSFERS

STEP 1 Request CCMIS Enrollment Status Report using the Preparation Desk Guide - Step 2

STEP 2 PRINT REPORT

- In CCMIS, Click Reports, Click Reports Inbox, Click Report Title hyperlink of requested report (RE318), Print results.

- Randomly select maximum of 5 transfer cases (different record numbers) from this report by adding the total number of unduplicated cases and dividing that number by 5 (Example: You have 40 unduplicated cases divide by 5 = the number 8, therefore you count and select every eighth case until 5 are picked.)

If going back to 7/1/05 doesn't realize a sample of 5, review the amount of cases to date.

STEP 3 Review Worksheet Instructions: (For Each Transfer)

Question #1

- Verify TANF closing date using either CIS (CQCASE or CQBUDG screens) or viewing the CIS printout if available in the file, write date.

Question #2

- Do one of the following to view Former TANF Transfer letter and document date it was sent.

NOTE: Manually generated TANF transfer letters may not be able to be viewed in CCMIS, see if one was maintained in hard copy file as confirmation of date the letter was sent. If unable to view make a note in comments on worksheet and explain and verify in Case Comments.

- **With Record #, i**n CCMIS, Click on Correspondence, Under Action = Find, enter record #, status= printed, Correspondence = TANF Transfer Letter, Dates = parameter that starts with transfer date, Click GO.

- **With Correspondence #,** In CCMIS, Click on Correspondence, Click on Correspondence Search, enter Correspondence ID # under Simple Search, Click Search

Question #3

- Review hard copy file and determine if the parent contacted the CCIS within 60 days.

- Within the same case record **either** go to the SELECT DROP DOWN BOX and choose Case Comments **or** In CCMIS, Click case, enter record # in Case Comments section, Click GO and review if there is a case comment indicating contact with TANF parent within 60 days, click on date hyperlink for that case comment to review full text of comment.

- If YES, proceed to #4

- If NO, proceed to #7

Question #4a

- Review hard copy file to determine when face to face occurred.

- Within the same case record **either** go to the SELECT DROP DOWN BOX and choose Household Information **or** In CCMIS, with record #, Click on Case, enter record # in the Household Information section and Click Go, Confirm face to face date with file.

Question #4b

- Refer back to answer #2 and determine if face to face occurred within 30 days from that date.
- If YES, Go to #5.
- If NO, go to #4c.

Question #4c

- Review file notes to determine if hardship existed.
- Within the same case record **either** go to the SELECT DROP DOWN BOX and choose Household Information **or** In CCMIS, with record #, Click on Case, enter record # in the Household Information section and Click Go, determine if a face to face waiver reason was entered. (Case Comments may also have this information).
- If NO, explain.

Question #4d

- If YES, determine if parent was given an additional 30 days to complete face to face.
- If NO, explain.

Question #5a

- Review hard copy file to determine if parent self-certified?

Question #5b

- If YES, is there a self-certification form in file?
- If NO, explain.

Question #5c

- Within the same case record **either** go to the SELECT DROP DOWN BOX and choose Household Information **or** In CCMIS, Click Case, Enter the record # in the Household information section, Click Go.
  - View Screen and verify all information is accurate based on hard file (self cert form or CIS download printouts)
- Go to Select drop down box, and choose Individual Information page, Click Go.
  - View Screen and verify all information is accurate based on hard file (self cert form or CIS download printouts)
- Go to Select drop down box, choose Relationship page, Click Go.
  - View Screen and verify all information is accurate based on hard file (self cert form or CIS download printouts)

- Go to Select drop down box, choose Child Care Request page. Click Go.
    - View Screen and verify all information is accurate based on hard file (self cert form or CIS download printouts)

- Go to Select drop down box, choose Employment and Wage page, Click Go.
    - View Screen and verify all information is accurate based on hard file (self cert form or CIS download printouts)

- OTHER, for all other self-certification information in file, Go to Select drop down box, choose specific page, Click Go.
    - View Screen and verify all information is accurate based on hard file (self cert form or CIS download printouts)

Question #6a

- Review hard copy file, did information change since the download or from CIS?
- If YES, continue.
- If NO, go to #11.

Question #6b

- Review hard copy file, did the parent self-declare changes after the download information was received.

Question #6c

- Review hard copy file, is there a self-declaration form in the record?
- If NO, explain.

Question #6d

- If parent self-declared changes, did they provide follow-up information within 30 days.
- Verify that the verification is in file.

    OR

- Within the same case record **either** go to the SELECT DROP DOWN BOX and choose Tracking Dates Click on Case, enter the record # of the case in tracking date section, Click GO. If a tracking date was set it would show up on this screen with a reason and date.
- If NO, explain.
- Proceed to #11.

Question #7

- Review hard copy file, review notes and determine if the parent contacted the CCIS between day 61 and 183.

- Within the same case record **either** go to the SELECT DROP DOWN BOX and choose Case Comments **or** In CCMIS, Click case, enter record # in Case Comments section, Click GO and review if there is a case comment indicating contact with TANF parent within 60 days, click on date hyperlink for that case comment to review full text of comment.

- If YES, document date and continue.

- If NO, go to #12.

Question #8a

- Review hard copy file to determine when face to face occurred document date.

- Within the same case record **either** go to the SELECT DROP DOWN BOX and choose Household Information **or** In CCMIS, with record #, Click on Case, enter record # in the Household Information section and Click Go, Confirm face to face date with file. (Case Comments may also have this information).

Question #8b

- Refer back to answer #7 and determine if face to face occurred within 30 days from that date.

- If YES, Go to #9

Question #8c

- If NO, review file notes to determine if hardship existed.

- Within the same case record **either** go to the SELECT DROP DOWN BOX and choose Household Information **or** In CCMIS, with record #, Click on Case, enter record # in the Household Information section and Click Go, determine if a face to face waiver reason was entered.

Question #8d

- If hardship existed, determine if parent was given an additional 30 days to complete face to face.

- If NO, explain.

Question #9a

- Review hard copy file, did the parent self-declare information from the download.

Question #9b

- Review hard copy file, is there a self-declaration form in the record?

- If NO, explain.

Question #9c

- If parent self-declared changes, did they provide follow-up information within 30 days.

- Verify that the verification is in file.

- OR

- Within the same case record **either** go to the SELECT DROP DOWN BOX and choose Tracking Dates **or** In CCMIS, Click on Case, enter the record # of the case in tracking date section, Click GO. If a tracking date was set it would show up on this screen with a reason and date.

- If NO, explain.

Question #10

- Within the same case record **either** go to the SELECT DROP DOWN BOX and choose Household Information **or** In CCMIS, Click Case, Enter the record # in the Household information section, Click Go.
  - View Screen and verify all information is accurate based on hard file (self cert form or CIS download printouts)
- Go to Select drop down box, and choose Individual Information page, Click Go.
  - View Screen and verify all information is accurate based on hard file (self cert form or CIS download printouts)
- Go to Select drop down box, choose Relationship page, Click Go.
  - View Screen and verify all information is accurate based on hard file (self cert form or CIS download printouts)
- Go to Select drop down box, choose Child Care Request page. Click Go.
  - View Screen and verify all information is accurate based on hard file (self cert form or CIS download printouts)
- Go to Select drop down box, choose Employment and Wage page, Click Go.
  - View Screen and verify all information is accurate based on hard file (self cert form or CIS download printouts)
- OTHER, for all other self-certification information in file, Go to Select drop down box, choose specific page, Click Go.
  - View Screen and verify all information is accurate based on hard file (self cert form or CIS download printouts)

Question #11

- Within the same case record **either** go to the SELECT DROP DOWN BOX and choose Enrollments **or** In CCMIS, Click Case, Enter Record number in Enrollment section, Click Go, View the Case Enrollment Summary Page and identify the Effective date of the Status.
- Is the enrollment date the day after TANF closed in CIS refer to # 1
- If NO, explain.

Question #12

- Based on the answers from #1-11 make a final determination regarding TANF transfer processing.
- Go to the front page of the Review Worksheet and Enter the result from Question #12 into the Review Results column for Standard 2.

Complete a Review Worksheet for all applications identified in sample.

USING THE SAME WORKSHEETS FOR THE INITIAL TRANSFERS UTILIZE THE LAST PAGE OF THE WORKSHEETS TO DO PART II THE INITIAL TANF RE-DE SAMPLES.

PART II FORMER TANF TRANSFERS – INITIAL RE-DETERMINATIONS

STEP 3 Using the Re-Determination Query Report that identifies Re-determinations performed in CCMIS for December 2005, locate the FT (Former TANF) column that have blank date entries for the last re-determination performed on the report and use those cases to identify the sample.

STEP 4 Randomly select a maximum of 5 re-determinations performed from the Query Report by adding the total number of cases and dividing that number by 5 (Example: You have 40 unduplicated cases divide by 5 = the number 8, therefore you count and select every eighth case until 5 are picked.)

Note: If less than 5 review all cases for sample

STEP 5 Review Worksheet Instructions: (For Each Initial TANF Re-determination)

Question #13

- Verify TANF closing date using CIS screens (CQCASE or CQBUDG) or viewing the CIS printout if available in file, write date.

Question #14

- Review the Query Report and indicate the Re-de Performed Date.
- Was this date 184 days or later from #13?
- If NO, explain.

Question #15

- Within the same case record **either** go to the SELECT DROP DOWN BOX and choose Household Information **or** In CCMIS, Click Case, Enter the record # in the Household information section, Click Go.
  - View Screen and verify all information is accurate based on re-determination form.
- Go to Select drop down box, and choose Individual Information page, Click Go.
  - View Screen and verify all information is accurate based on re-determination form**.**
- Go to Select drop down box, choose Employment and Wage page, Click Go.
  - View Screen and verify all information is accurate based on re-determination.
- If NO, explain

Question #16

- Based on the answers from #13 - #15 make a final determination regarding TANF Transfer Initial Re-determination processing.
- Go to the front page of the Review Worksheet and enter the result from Question #16 into the Review Results column for Standard 2.

***Complete a Review Worksheet for all TANF Initial Re-determinations identified for sample. When all Review Worksheets are complete for both TANF Transfers and Initial TANF Re-determination sample cases, Go to the Rating Review Summary and follow the Instructions below*.**

STEP 6 Rating Review Summary Instructions:

A. Go to the Rating Review summary section **C. Compliance Standard 2 (Section A)**

- Enter in Number of cases Reviewed for Standard 2 TANF Transfers
- Enter number of cases marked NO for Standard 2 from the Review Results Column for all applications completed.
- Divide the number of NO cases by the number of cases reviewed, convert into a percentage and enter on the Error rate line.
- Check off all Sources that you reviewed.
- Review Performance Standard Questionnaire Compliance Standard 2 (pg 9)
- Determine Performance Rating based on Worksheet Responses and Questionnaire Responses
- Enter any comments regarding the agency's performance regarding this standard.

B. Go to the Rating Review summary section **C. Compliance Standard 2 (Section B)**

- Enter in Number of cases Reviewed for Standard 2 TANF Transfers Initial Re-determinations
- Enter number of cases marked NO for Standard 2 from the Review Results Column for all applications completed.
- Divide the number of NO cases by the number of cases reviewed, convert into a percentage and enter on the Error rate line.
- Check off all Sources that you reviewed.
- Review Performance Standard Questionnaire Compliance Standard 2 (pg 9)
- Determine Performance Rating based on Worksheet Responses and Questionnaire Responses
- Enter any comments regarding the agency's performance regarding this standard.

VI INSTRUCTIONS FOR INDIVIDUAL REVIEW WORKSHEET CASELOAD MANAGEMENT/FUNDS MANAGEMENT

1. These instructions coincide with the Case Management/Funds Management Worksheet.

2. You will need the following to complete the one worksheet:

- ***a. Invoice Status Report – Sample = Maximum of 5 invoices***
- ***b. Closed Waiting List Report – Sample = Maximum of 5 case records***

3. The Preparation Desk Guide document indicates all the steps that are necessary to identify and generate the sample reports prior to conducting the review.

- ***c. Case Search for Suspension cases less than 90 days = Maximum of 5 cases. Case Search for Suspension cases greater than 103 days = review all.***
- ***d. Invoice Search with Need, Have, Calculated Invoices that exceed 60 days – Sample = Maximum of 5 invoices combined.***

4. The individual instructions for each standard will identify the search criteria for the samples.

CASELOAD MANAGEMENT
Standard 1 – Provider Payments Timely Processing of Attendance Invoices

STEP 1 Request CCMIS Invoice Status Report using the Preparation Desk Guide - Step 5

STEP 2 PRINT REPORT

- In CCMIS, Click Reports, Click Reports Inbox, Click Report Title hyperlink of requested report (RE403), Print results.
- Find the following Sub headings: **Paid or Payment Requested** and **Paid Pending Adjustment** throughout report.
- Randomly select a total of 5 invoices from the above headings, if results are found in each of the sub headings, select a few from each.

STEP 3 Worksheet Instructions (For each invoice)

Standard 1 Caseload Management

Question #1

- For each of the randomly selected invoices pull the hard copy invoice
- Verify that attendance invoice is signed.

Question #2a

- Verify Date Stamp on attendance invoice and write it on worksheet.
- In CCMIS, Click Payments from Home page, click "Provider Invoices", enter the Invoice ID, click "Search", click "Provider Location" hyperlink to view Invoice Detail.
- The Received Date on the Invoice Detail Screen should match the date stamp on the Attendance Invoice in the hard file.

Question #2b

- If CCIS office **enters paid dates and check numbers into CCMIS**, click on Provider Payment Line Item hyperlink at the bottom of the page to view check number and paid date.

- If the **CCIS does not enter paid dates into CCMIS**, go to the drop down box and select View Invoice Status History, Click Go.

- In CCMIS, Paid Date = Payment Requested Status Date

- Verify on the notated attendance invoice or other CCIS fiscal records the actual paid date.

Question #3

- Answer YES/NO based on answers to Questions 1 & 2 and Explain.

- ***Complete this process for each case in identified sample.***

- Go to the front page of the worksheet and record the CCMIS invoice # and enter the result from #3 (YES/NO) in the Review Results column for Case Management Standard 1.

Standard 2 – Case Actions Subsidy Suspension

STEP 4 Identify Sample:

- In CCMIS, Click on Administration, Click on Funds, Select CCIS under Available Funds, Funding Source =Select Funding Source, Click Go, Click on Base hyperlink for Fund A, Click Obligated Funds.

  - Print all pages of Fund A search results.

  - Click "Return to Detail" at bottom of the screen, Click "Return to Summary" at bottom of the screen, Click on Base hyperlink for Fund C, Click Obligated Funds.

  - Print all pages of Fund C search results.

  - Identify all Fund A and Fund C cases in obligated funds that have subsidy suspension status.
    - Status Effective Date = Effective Date of Suspension

    - If there are no suspension cases at time of review, then mark N/A on review worksheet in the CCMIS # column.

    - Identify any suspensions which are greater than 103 days and complete a review form for all of those cases. If results meet the criteria, additional copies of the worksheet for this standard may be required.

    - Identify all suspensions less than 90 days and sample those cases as follow:

- Randomly select a maximum of 5 cases, split the sample between Fund A and Fund C cases from the printed search results.

- The hard files should be pulled in these cases for possible reference.

STEP 5 Worksheet Instructions Caseload Management Standard 2:

Question #1a

- From the printed pages of the suspensions in STEP 4, record the Effective date of the Suspension from the sample

Question #1b

- For the selected case, In CCMIS, from the Obligated Funds Screen, Click on the identified case record # hyperlink, Click on check box next to child's name on Case Enrollment Summary Screen, Click Change/End Enrollment.
  - The reason for the need of suspension may be listed under Enrollment Status Information Column

    OR
  - Go to select drop down box, Click on Case Comments, Click Go.
  - On Case Comments Summary Screen, enter '90' in the show last box, Click Go
  - Review Case Comments by clicking on the appropriate Contact Date/Time hyperlink.

    OR
  - Review hard case file notes to determine the reason for subsidy suspension.

Question #2a

- Determine whether case action is needed on the suspension prior to 90 days.
- If NO, go to #3a

Question #2b

- To review tracking dates, go to select drop down menu, select Tracking Dates, Click Go.
- If tracking date information is available, click on Tracking Date hyperlink to view the information.
- If Tracking Date has passed, access CCMIS Home Page, Click Alerts.
  - On Alert Search Page, Enter the County/Record Number of the case, Status = Cleared, Class = Subsidy Case, Alert date auto defaults to one year (maintain), Category = Tracking Date, Click Search.

NOTE: A CCMIS Director Role User Access will be needed to view alert search page.

Question #2c

- Determine if the track date was established appropriately for the suspension reason.

Question #3a

- If YES, In CCMIS, Click Correspondence, Click Correspondence Search, Under Simple Search:

- Co/Record Number = County Record #
- Correspondence = Adverse Action
- User ID = BLANK
- Status = Select
- Status Date From – Suspension Date
- District/Office = Office Reviewing
- Caseload = BLANK
- County = County Reviewing
- Status Date To = Review Date

- Click Search
- If AA found, Click box to view AA

Question #4

- Answer YES or NO based on the answers to Questions #1-3 and explain.
- ***Complete this process for each case in identified sample.***
- Go to the front page of the worksheet and record the CCMIS invoice # and enter the result from #4 (YES/NO) in the Review Results column for Case Management Standard 2.

Funds Management

Standard 1 – Waiting List Management Case Actions and Enrollments

STEP 6 Request CCMIS Closed Waiting List Report using the Preparation Desk Guide - Step 6

STEP 7 PRINT REPORT

- In CCMIS, Click Reports, Click Reports Inbox, Click (RE308) Report hyperlink, print results.
- Randomly Select 5 case record numbers, (make sure to not include same family more than once in selection)

STEP 8 Worksheet Instructions Funds Management Standard 1

NOTE: A CCMIS Director Role User Access will be needed to view alert search page.

Question #1

- For each of the selected cases, access CCMIS Home Page, Click Alerts. On Alert Search Page, Enter the following parameter:

  - Office = County Office
  - Supervisor Unit/Caseload = BLANK
  - Supervisor Unit/Provider Load = BLANK
  - Supervisor Unit/Fiscal Load = BLANK
  - User ID = BLANK
  - Co/Record = Enter Record number of case
  - Provider Location = BLANK
  - Invoice = BLANK
  - Class = All
  - Priority = All
  - Status = Cleared
  - Category = Enrollment Waitlist
  - Alert Date From = Default year (Don't Change)

- Click Search
- Access Correspondence Home Screen, Click Correspondence Search
- In CCMIS, Click Correspondence, Click Correspondence Search, Under Simple Search, Enter County/Record Number:

  - Correspondence = W/L Fund Avail Letter
  - User ID = BLANK
  - Status = Select
  - Status Date From = 12/01/2005
  - District/Office = County reviewing
  - Caseload = BLANK

- County = County reviewing
- Status Date To = Review Date

- Click Search, If results found they will appear at top of page

- Check to see date that letter was sent, Status Date = Letter generation date and verify that the status of correspondence = printed.

Question #2

- To View Enrollments, Click Case, Enter Record number in Enrollment section. From Case Enrollment Summary Page, click check box next to the applicable enrollment, Click Change/End Enrollment, Click History under Enrollment Status Information, Last Change Date = date of entry, Click Return to Summary

Question #3a & 3b

- To validate if Adverse Action was sent, In CCMIS, Click Correspondence, Click Correspondence Search, Under Simple Search, Enter County/Record Number:
  - Correspondence = Adverse Action
  - User ID = BLANK
  - Status = Select
  - Status Date From = Suspension Date
  - District/Office = County reviewing
  - Caseload = BLANK
  - County = County reviewing
  - Status Date To = Review Date

- Click Search

- If AA found, Click box to view AA

- Verify Date AA was sent

Question #4

- Answer YES or NO based on the answers to Questions #1 - 3 and explain.

- Go to the front page of the worksheet and record the CCMIS invoice # and enter the result from #4 (YES/NO) in the Review Results column for Funds Management Standard 1.

- ***Complete this process for each case in identified sample***

Standard 2 – Waiting List Management Case Actions for Outstanding Attendance Invoices and Associated Enrollments

STEP 9 Identify Sample

- In CCMIS, Click Payments, Click Provider Invoices enter the following search criteria:
  - Invoice ID = BLANK
  - Provider ID = BLANK
  - Service Period = Select
  - Invoice Status = NEED INVOICE
  - Office = County office reviewing
  - County = County reviewing
  - Fiscal Year = Select
  - Fiscal Load = BLANK
  - Click Search

- If results are received, and 60 days or older print screens to include all search results.

- Scroll down to bottom of page and change parameters to the following search criteria:
  - Invoice ID = BLANK
  - Provider ID = BLANK
  - Service Period = Select
  - Invoice Status = HAVE INVOICE
  - Office = County office reviewing
  - County = County reviewing
  - Fiscal Year = Select
  - Fiscal Load = BLANK
  - Click Search

- If results are received, and 60 days or older print screens to include all search results.

- Scroll down to bottom of page and change parameters to the following search criteria:
  - Invoice ID = BLANK
  - Provider ID = BLANK
  - Service Period = Select
  - Invoice Status = CALCULATED
  - Office = County office reviewing
  - County = County reviewing
  - Fiscal Year = Select
  - Fiscal Load = BLANK
  - Click Search

- If results are received, and 60 days or older print screens to include all search results

WITH PRINTED SCREEN RESULTS FROM THE ABOVE THREE SEARCHES, RANDOMLY SELECT A MAXIMUM OF 5 INVOICES AND CONTINUE WITH THE WORKSHEET INSTRUCTIONS.

IF NONE OF THE ABOVE THREE SEARCHES REALIZED RESULTS GO TO THE FRONT OF THE WORKSHEET AND MARK N/A IN THE CCMIS # COLUMN.

STEP 9 Worksheet Instructions Funds Management Standard 2

Question #1

- Review the case files for associated enrollments attached to the sample invoices.

- In CCMIS, Click Payments, Enter Invoice ID in View Invoice Detail Box, Click Go.

- To check active enrollments, go to drop down box, click “View/Update Attendance”, click “Go”.

- Click on Individual Number hyperlink to take you to the Case Enrollment Summary Screen. Click check box next to the enrollment, click “Schedule” and view for active enrollments.

Question #2

- Review file and/or Case Comments to determine if special circumstances exist.

Question #3

- Answer YES or NO based on the answers to Questions 1 & 2 and explain.

- Go to the front page of the worksheet and record the CCMIS invoice # and enter the result from #3 (YES/NO) in the Review Results column for Funds Management Standard 2.

- ***Complete this process for each case in identified sample***

WHEN ALL 4 STANDARDS OF THIS WORKSHEET ARE COMPLETE, GO TO RATING REVIEW SUMMARY

STEP 10 Rating Review Summary Instructions

A. Go to the Rating Review Summary section **D. Caseload Management Standard 1**

- Enter the total number of invoices reviewed for Standard 1
- Enter the number of invoices marked NO from the Review Forms Completed.
- Divide the number of NO invoices by the number of invoices reviewed, convert into a percentage and enter on the Error rate line.
- Check off all Sources that you reviewed.
- Determine Performance Rating based on review and Questionnaire (pg. 12)
- Enter any comments regarding the agency's performance regarding this standard.

B. Go to the Rating Review Summary section **D. Caseload Management Standard 2**

- If review was N/A, mark next to N/A on the Rating Review Summary
- Enter the total number of cases reviewed for Standard 2
- Enter the number of cases marked NO from the Review Forms Completed.
- Divide the number of NO cases by the number of cases reviewed, convert into a percentage and enter on the Error rate line.
- Check off all Sources that you reviewed.
- Determine Performance Rating based on review and Questionnaire (pg. 12)
- Enter any comments regarding the agency's performance regarding this standard.

C. Go to the Rating Review Summary section **E. Funds Management Standard 1**

- Enter the total number of cases reviewed for Standard 1
- Enter the number of cases marked NO from the Review Forms Completed.
- Divide the number of NO cases by the number of cases reviewed, convert into a percentage and enter on the Error rate line.
- Check off all Sources that you reviewed.
- Determine Performance Rating from review and Questionnaire (pg. 12)

- Enter any comments regarding the agency's performance regarding this standard.

D. Go to the Rating Review Summary section **E. Funds Management Standard 2**

- If review was N/A, mark next to N/A on the Rating Review Summary
- Enter the total number of cases reviewed for Standard 2
- Enter the number of cases marked NO from the Review Forms Completed.
- Divide the number of NO cases by the number of cases reviewed, convert into a percentage and enter on the Error rate line.
- Check off all Sources that you reviewed.
- Determine Performance Rating based on review and Questionnaire (Page 12)
- Enter any comments regarding the agency's performance regarding this standard.