

## **Income Maintenance Child Care File Checklist Instructions**

**INSTRUCTIONS:** Each section of the form must be completed prior to sending the case file for audit. The items listed are required as outlined in the Child Care Manual section 1205.000.00 Setting Up a Case Record. Income levels, hours of care, child age, child care need and sliding fee rates (including reasons for enhancements) must be supported by documentation. Staff is to ensure any and all documentation supporting eligibility and payment is included, any system archive information is pulled and printed, along with any comments supporting eligibility and authorization

**SAO# (Applicable Audit Number)** – The number assigned by the auditor, identified as, “Test Item Number”.

**Application Period** – The application period for the review month. Example: If the application was entered 04/01/2013 and the review month is 08/2014, the application period would be 04/01/2013 – 03/31/2014.

**Review Service Month/Year** – The service month and year the auditor will be reviewing.

**Head of Household Name** – Enter the Head of Household Name

**HOH DCN** – Enter the Head of Household DCN

**Child Name** – Enter the name of the child listed for the audit.

**Child DCN** – Enter the DCN of the child listed for the audit.

### **TYPE OF DOCUMENTATION - FSD Review and ECPS Review**

**1. Request for Application (FA-100), Child Care Application/Eligibility Statement (IM-1CC), or Child Care Recertification Review Form (FA-502)** – Identify and ensure completion of the any of the listed forms that pertain to the case, the review period, and the audit review service month.

- Mark Yes when you have reviewed this, mark NA if this information does not apply to the child care case.

**2. Interview Summary (FA-102)** – Identify and ensure completion of the Interview Summary. Ensure the summary has been signed by the client if the interview was done in-person.

- Mark Yes when you have reviewed this, mark NA if this information does not apply to the child care case.

**3. Communications Transmittal Form (IM-16), as applicable** – Identify any communication documentation of any kind to support eligibility for child care during the review period.

- Mark Yes when you have reviewed this, mark NA if this information does not apply to the child care case.

**4. Eligibility Determination** – Identify and ensure completion/accuracy of documentation used to substantiate the eligibility decision.

- Mark Yes when you have reviewed this, mark NA if this information does not apply to the child care case.

**5. Valid Need for Care** – Identify and ensure completion/accuracy of documentation used to substantiate a valid need for care.

- Mark Yes when you have reviewed this, mark NA if this information does not apply to the child care case.

**6. Interim Changes** – Identify and ensure completion/accuracy of documentation of any interim changes during the eligibility period.

- Mark Yes when you have reviewed this, mark NA if this information does not apply to the child care case.

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**7. Quantity and Type of Care** – Identify and ensure completion/accuracy of documentation used to determine the type of care and number of units authorized for care.

- Mark Yes when you have reviewed this, mark NA if this information does not apply to the child care case.

**REVIEW OF CASE FILE FOR SUBMISSION** – Each staff member will print their name and title, sign and date the form indicating the case file and documentation has been reviewed and is approved for submission.