

SAMPLING DECISIONS, ASSURANCES, AND FIELDWORK PREPARATION PLAN

Part 1: Sampling Decisions

1a. Selection of cases and replacement cases

Lead Agency will select 276 cases and [REDACTED] replacement cases per month.

Approval will be obtained from the ACF Regional Office before using any replacement cases

Clearly describe the Lead Agency procedure for collecting samples, including how replacement cases are pulled separately. [REDACTED]

1b. Random number generator

Name the source for the Lead Agency's random number generator (the Random Number Sampling Book or software) [REDACTED]

1c. Frequency of collecting monthly sampling frames and projected start dates

Select the Lead Agency's frequency of collecting monthly sampling frames

Monthly Quarterly Semi-Annually Annually

Other [REDACTED]

Projected start date for the sampling process (Month/Year) [REDACTED]

Projected start date for reviewing cases (Month/Year) [REDACTED]

Comments on projected start dates (optional) [REDACTED]

Note: The Lead Agency must receive OCC approval of the SDAP prior to drawing the first sample, and OCC approval of the Record Review Worksheet prior to beginning case record reviews, regardless of estimated projected start dates.

Part 2: Assurances and Certifications

The state assures that it will abide by the instructions contained in the *Child Care Improper Payments Data Collection Instructions*.

1. The data collection process, including sample selection and case record reviews, adhered to all requirements of the instructions and regulations for *Error Rate Reporting* at 45 CFR 98 Subpart K.

2. The reviews were not conducted by persons who: (1) make or approve eligibility determinations, (2) are under the supervision of persons responsible for eligibility determinations, or (3) ever made or approved eligibility determinations for a case in which they were assigned to review.
3. All reviewers have been trained to ensure that the review process is consistent with state policies and that there is consistency within the state in interpretation of what is an error.
4. The state agrees to retain *Record Review Worksheets*, the *State Improper Payments Report* and any revisions, and any other records pertinent to the case reviews and submission of error rate reports for five years from the date of submission of the *State Improper Payments Report* or final revision submitted, whichever date is later.
5. The state understands that this information, including the sampled case records and calculations is subject to federal review.
6. Documents submitted to the Office of Child Care as part of the error rate review must not contain any personally identifiable information (PII) as defined in Section I of the *Child Care Improper Payments Data Collection Instructions*.

Yes to all assurances

Part 3: Fieldwork Preparation Plan

3a. Identification of project leadership

Identify by name(s), job title(s), and role(s), the leadership of the improper payments process

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The leader(s) understands the program and has the authority to ensure timelines are met

Note: the level of authority should be comparable to that of the leader who is responsible for the submission of the state plan.

Name and job title of the person who will certify and submit the final report: █

Name and job title of the backup person who can certify/submit the report in their absence [optional]

3b. Review team composition

Describe the review team by providing information about the following:

Size: █

Composition: █

3c. Inter-reviewer consistency

Select and describe methods the Lead Agency will use to ensure inter-reviewer consistency. Note: at a minimum, a re-review of cases must be selected and the description must include a number or percentage of cases to be re-reviewed.

- Re-review of cases to ensure inter-reviewer consistency (required).

Describe, including the number or percentage of cases to be re-reviewed:

Improper payment error cases: [redacted]

Nonpayment (administrative) error cases: [redacted]

Cases with no error: [redacted]

Describe:

- Group discussion of case review findings (optional). Describe: [redacted]

- Other (optional). Describe: [redacted]

3d. Error definition

For the purposes of the state improper payment review, define the following:

Errors: [redacted]

Improper Payment errors: [redacted]

Nonpayment (administrative) errors: [redacted]

3e. Plan for review of state policies/procedures and processes

Describe the Lead Agency’s plan to ensure that customization of the RRW will use state policy in effect during the sample month: [redacted]

Describe the Lead Agency’s plan to ensure that reviewers consistently interpret error as defined by the state: [redacted]

3f. Pooling factor

Will the Lead Agency apply a pooling factor in the *State Improper Payments Report*? That is, are funds from CCDF pooled with other funds for sampled cases?:

- Yes No

Describe the process used to determine whether a pooling factor is applied, including the individuals and entities involved. Note: if the Lead Agency does not use a pooling factor, they should still provide information about how this was determined: [REDACTED]

3g. Information systems project responsibilities

Select tasks that the Lead Agency accomplishes through coordination with information technology staff:

- Identification of the universe of cases paid with CCDF funding
- Identification of the sample review calendar month payment amount
- Archival of the universe and sample frames files
- Use of random number generator software
- Generation of the 12 monthly sampling frames
- Selection of the monthly samples and replacement cases
- Determination of the annual amount of payments for the review period's universe of children
- Other tasks, describe: [REDACTED]

If these tasks are accomplished through some other means, specify which tasks and describe how they are accomplished and by whom: [REDACTED]

If using an automated or electronic *Record Review Worksheet*, describe its process for development, including whether it will be developed in coordination with information technology staff.

If using an automated or electronic *Record Review Worksheet*, provide an estimated timeframe for information technology-related improvements and upgrades (e.g., 1 week, 2 weeks, 48 hours).

Describe the process used to determine the annual amount of payments: [REDACTED]

3h. Case review logistics

Describe details of review logistics to include the following:

Whether electronic or physical records are reviewed. Describe: [REDACTED]

Whether record reading will take place on-site, off-site (excluding the Lead Agency's office), or both. Describe: [REDACTED]

How the Lead Agency obtains and manages eligibility documentation, such as how reviewers access and store images on a server, or how they request and receive documentation or images from partner agencies responsible for determining eligibility. Describe: [REDACTED]

The organization and maintenance of the review files. Describe: [REDACTED]

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