CALIFORNIA DEPARTMENT OF CHILD SUPPORT SERVICES
P.O. Box 419064, Rancho Cordova, CA 95741-9064

March 10, 2009

Reason for this Transmittal

[ ] State Law or Regulation Change
[ ] Federal Law or Regulation Change
[ ] Court Order or Settlement Change
[ ] Clarification requested by One or More Counties
[ ] Initiated by DCSS

LCSA LETTER: 09-04

ALL IV-D DIRECTORS

SUBJECT: UPDATED CHILD SUPPORT COMPLIANCE REVIEW GUIDE AND FORMS (REPLACES AND SUPERSEDES CSSIN LETTER 08-01 & CSSIN LETTER 08-01 ERRATA)

This letter formally transmits the Federal Fiscal Year (FFY) 2009 edition of the Child Support Compliance Review Guide and Forms. This guide applies to this year's compliance review to be conducted during FFY 2009. The review guide is updated annually to reflect changes in regulations, policies, and/or procedures affecting the compliance review. However, the review guide does not contain all child support program requirements and is not intended to replace the regulations or other formally issued program policies and instructions.

The Department of Child Support Services (DCSS) is aware of the increased workload resulting from the California Child Support Automated System conversion activities and due to these additional activities the Quality Assurance Section (QAS) staff will be completing a statewide review. However, each LCSA will be responsible for using the Compliance Review Tool for Child Support (CRTCS) to complete the Expedited Process and Program Administration Questionnaires as they are LCSA specific.

The compliance review process remains essentially the same as in prior years. The following is a summary of changes from the previous year.

Changes in Compliance Review:

1. All LCSAs will be reviewed for this annual "full sample" review. LCSAs achieving 75% or greater in the case review will be exempt from quarterly reviews until next year. LCSAs not achieving 75% in the case review will be subject to quarterly reviews until 75% is attained. The quarterly sample will include at least 30 cases for LCSAs having a caseload under 10,000 and at least 55 cases for all other LCSAs.

2. A master case list covering the FFY 2008 (October 1, 2007 to September 30, 2008) has been produced from which a statewide sample list will be used by QAS staff for the Q408 Compliance Review.

3. The review period will continue to be one year, but that year will move forward with each subsequent quarterly review. The following chart illustrates this change:

REVIEW ID	REVIEW PERIOD
Q408	Oct 1, 2007 – Sep 30, 2008
Q109	Jan 1, 2008– Dec 31, 2008
Q209	Apr 1, 2008 – Mar 31, 2009
Q309	Jul 1, 2008 – Jun 30, 2009

Changes in Case Review:

1. Establishment and Modification Component:
   a. HEADS UP: Certain functions regarding the Intercept Database (IDB) will phase into the Child Support Enforcement (CSE) System, specifically intercept submissions beginning February 2009 (3.0 release) and the License and Credit reporting submission that will phase into CSE beginning April 2009 (3.1 release).
   b. LCSA staff should no longer use Disso Master or any other stand alone calculator to calculate child support. Using the California Child Support Automation Systems (CCSAS) Guideline Calculator is required by federal certification requirements.
2. Review and Adjustment Component:
   a. Question AB03 has been added as an “administrative” question and only applies to LCSAs who transitioned on or after January 1, 2008. This question refers to notifying both the custodial and non-custodial parties of a mandatory review of their current assistance order.
   b. Question AB04 has been added as an “administrative” question and only applies to transitioned LCSAs. This question refers to notifying both the custodial and non-custodial parties in a current non-assistance case of their right to request a review of their case.
3. Enforcement Component:
   Question CC12 relating to new employee information entered into the State Directory of New Hires (SDNH) has been changed to the National Directory of New Hires (NDNH).
4. Collection and Distribution Component:
   a. The Collection and Distribution component has changed from an “administrative” requirement to a “compliance” requirement.
   b. Question CD07 regarding IRS Intercepts has been updated. This question no longer reflects the Pre-State Distribution Unit (Pre-SDU) as all payments are now received by the SDU. Reference to payments issued within the 30 calendar

   days has been updated to reflect 2 business days.

   c. The Collection and Distribution criteria as well as Table 1: Non-IRS Collections and Distribution Hierarchy Tax Intercept and Table 2: IRS Collection and Distribution Hierarchy Tax Intercept have been updated to reflect CSE requirements.

5. Medical Support Component:
   a. Question CF02 regarding service if employer not known has a form number addition, Form DCSS 0054.
   b. Question CF03 regarding service if employer is known has a form number addition, Form DCSS 0054.
   c. Question CF04 regarding the State Directory of New Hires (SDNH) is now referred to the National Directory of New Hires (NDNH).
   d. Question CF05 has been reworded to read: "If the medical provision in the support order is no longer enforceable, did the LCSA terminate the NMSN within 10 calendar days of obtaining documentation under the provisions of 22 CCR Section 116120?"
   e. Question CF07 has been reworded to read: "If medical insurance information was secured, was all required information transmitted to the California Department of Health Care Services (DHCS) on DHS 6110 or DHCS 6110 (whichever applicable) within 10 business days of date health insurance information was received by the LCSA?"
   f. Question CF08 has been reworded to read: "Was DHCS notified of any lapse, change or termination of the health insurance on DHS 6110 or DHCS 6110 (whichever applicable) within 10 business days of the date the LCSA received notification?"

Changes in Expedited Process:

In measuring compliance in Expedited Process, September 2007 will be used as the base month. For those LCSAs who use CSE report PGM-004, Expedited Process, it was recently brought to the state's attention that the report contained a defect. Through negotiations with the business partner an emergency fix was expedited and the report will be available for use on March 10, 2009.

Changes in Program Administration:

In the Required Notice Questionnaire reference to the new forms DCSS 0279-Notice Regarding Monthly Statement of Collection and Distribution and DCSS 0281-Monthly Statement of Collection and Distribution have been added. Question #2 has been reworded to address meeting the 45 calendar days for issuing either the CS916 or DCSS 0281 (whichever applicable) monthly notice. Question #4 should be answered if the LCSA had not transitioned to CSE during the review period.

In the Safeguard Activity Report (SAR) Questionnaire reference to the updated

Publication 1075-Tax Information Security Guidelines for Federal, State and Local Agencies (October 2007) has been added.

In the Case Transfer Questionnaire question #2 has been revised. It applies only to "non-transitioned" LCSAs. A new question #3 has been added and applies only to "transitioned" LCSAs. It reads: "Is the LCSA following the Duplicate Case Transfer Receivables-Temporary and Long Term Policy & Procedures as specified in CSS Letter 08-05?" HEADS UP: The procedures outlined in CSSIN Letter 08-05 regarding the registration of support orders in the Child Support Enforcement System are effective; however, for compliance purposes DCSS will not review to these procedures until the Q409 Compliance Review.

In Compromise of Arrears Program (COAP) Questionnaire, reference to the new COAP Policy and Procedures 7th Edition-June 2007 has been added. Two new questions have been added to ensure appropriate application forms are sent to targeted non-custodial parents (NCP) for COAP as well as new procedures in appropriately reducing arrears in the compromised cases according to the executed agreement.

A formal letter of findings for the Expedited Process and Program Administration Questionnaires signed by the LCSA director needs to be submitted by March 17, 2009 to:

Department of Child Support Services
Quality Assurance Branch
PO Box 419064 MS-30
Rancho Cordova, CA 95741-9064
Attn: Judy Homme

As in the past, QAS staff is available to provide ongoing assistance to LCSA reviewers. Questions regarding the compliance review process may be directed to your analyst or Judy Homme, Quality Assurance Section Supervisor, by telephone at (916) 464-2660 or by electronic mail at judy.homme@dcss.ca.gov.

Sincerely,

/os/

BILL OTTERBECK
Deputy Director

Attachment Q408 Compliance Review Guide

Q408 CHILD SUPPORT
COMPLIANCE REVIEW GUIDE & FORMS

For reviews designated as Q408, Q109, Q209 and Q309

California Department of Child Support Services
Quality Assurance Section

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Background

Federal legislation, Public Law 104-93, the Personal Responsibility and Work Opportunity Reconciliation Act of 1996 (PRWORA) requires states to conduct an annual self-assessment of Title IV-D (Child Support) program operations. Section 342 of the PRWORA established the self-assessment requirement and mandates a report of the results of the reviews be submitted to the Secretary, Department of Health and Human Services. Guidelines were developed under the authority of the Act and have been issued by Federal Action Transmittal (AT-98-12). The guidelines specify review parameters intended to measure compliance with program requirements contained in Title 45, Code of Federal Regulations sections 302 through 303. Also, Office of Child Support Enforcement Action Transmittal (OCSE-AT-00-09), dated and effective December 12, 2000 transmitted the Final Rule on State Self assessment. The rule is designated as 45 CFR § 308 and implements the guidelines into regulation. Statutory language is also contained in California Family Code sections 17702 and 17704.

State legislation, Assembly Bill (AB) 738 (Chapter 308, Statutes of 2003), codified existing State requirements pertaining to the child support program and memorialized in statute the Quality Assurance and Performance Improvement (QAPI) program (Family Code § 17702). The assessment of program compliance has been incorporated into QAPI and is an integral part of the overall effort to ensure program compliance and improve program compliance. AB 738 also altered language addressing the compliance reviews, in that reviews of individual local child support agencies (LCSAs), using a representative sample of cases, are reduced from at least annually to at least once every three years for those LCSAs found in compliance. LCSAs found out of compliance are reviewed every year until they are in compliance.

Under QAPI, each LCSA has been conducting a quarterly review of program compliance using a “scaled down” sample of cases. However, in keeping with state statue, LCSAs are required to conduct a full sample review at least once every three years. All LCSAs are required to conduct a full review this year. Also, only those LCSA’s that do not achieve 75% or above for this review will be subject to reviewing a smaller sample of cases on a quarterly basis until 75% is achieved. Again this year, DCSS staff will conduct the Case Review portion of the review on behalf of each LCSA. However, each LCSA will be responsible for conducting Expedited Process and Program Administration as they are county specific. Once the review is completed each LCSA will have the opportunity to review and respond to the findings before they become final. All findings will be reviewed and incorporated into the final findings as appropriate.

LCSAs which score 90 percent or greater in a quarterly case review will be exempt from the requirement to conduct reviews for the remaining quarters. Otherwise, LCSAs will be subject to the same requirements for corrective action and program improvement as in previous reviews.

The current compliance review process, as outlined in this review guide, is designed to meet both state and federal mandates described above. LCSAs are reviewed to determine compliance with mandates in effect during the review period. Although changing from an annual to a quarterly process, the basic methodology remains the same as in previous reviews.

Changes in Compliance Review:

1. All LCSAs will be reviewed for this annual "full sample" review. LCSAs achieving 75% or greater in the case review will be exempt from quarterly reviews until next year. LCSAs not achieving 75% in the case review will be subject to quarterly reviews until 75% is attained. The quarterly sample will include at least 30 cases for LCSAs having a caseload under 10,000 and at least 55 cases for all other LCSAs.

2. A master case list covering the FFY 2008 (October 1, 2007 to September 30, 2008) has been produced from which a statewide sample list will be used by QAS staff for the Q408 Compliance Review.

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   a. The Collection and Distribution component has changed from an “administrative” requirement to a “compliance” requirement.
   b. Question CD07 regarding IRS Intercepts has been updated. This question no longer reflects the Pre-State Distribution Unit (Pre-SDU) as all payments are now received by the SDU. Reference to payments issued within the 30-calendar days has been updated to reflect 2 business days.
   c. The Collection and Distribution Criteria as well as Distribution Hierarchy have been updated to reflect CSE requirements.
5. Medical Support Component:
   a. Question CF02 regarding service if employer not known has a form number addition, Form DCSS 0054.
   b. Question CF03 regarding service if employer is known has a form number addition, Form DCSS 0054.
   c. Question CF04 regarding the State Directory of New Hires (SDNH) is now referred to the National Directory of New Hires (NDNH).
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Changes in Program Administration:

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In Compromise of Arrears Program (COAP), reference to the new COAP Policy and Procedures 7th Edition-June 2007 has been added. Two new questions have been added to ensure appropriate application forms are sent to targeted non-custodial parents for COAP as well as new procedures in appropriately reducing arrears in the compromised cases according to the executed agreement.

***Compliance Review Tool for Child Support (CRTCS)*:**

The internet-based review tool, CRTCS, was adapted for recording the results of both review processes and will continue to be used. Some changes have been made to improve ease of its utilization.

This Compliance Review Guide is intended to provide guidance to the California Department of Child Support Services (DCSS) and the LCSA staff regarding the compliance reviews. It contains information about the scope of the reviews, definitions, general steps involved in conducting the reviews, and other information pertinent to the review process. The guide does not provide information on how to access or use the SDU, CRTCS or CSE.

Reviews are generally conducted by LCSA staff and verified by DCSS. In some cases, DCSS may conduct the review directly. *C*ase samples used for the compliance review are drawn and loaded into CRTCS. Exact review dates are determined by DCSS and LCSAs are generally allowed six weeks to complete the review and submit findings to DCSS.

Review Requirement References:
In each of the compliance reviews, either LCSA or DCSS staff will review to the state and federal requirements, administrative instructions and state policies in effect during the review period as described in this Review Guide. They may include any of the following:

NOTE: Regulations referenced in the Compliance Review Guide add some new program requirements and repeal some sections contained in the State of California's Manual of Policies and Procedures.

- Code of Federal Regulations (CFR)
- California Code of Regulations
- Manual of Policies and Procedures (MPP)

- Welfare & Institutions Code (W&I)
- Code of Civil Procedure (CCP)
- Family Code (FC)
- Child Support Services Letters (CSS)
- Child Support Services Informational Letters (CSSIN)
- Local Child Support Agency Letters (LCSA)
- Family Support Director Letters (FSD)
- Family Support Director Informational Notices (FSDIN)

Reviewers are required to follow the review procedures and forms as outlined in this Review Guide. The Review Guide, compliance requirements, case review forms and instructions will also be accessible through CRTCS, which will be updated and available for each review period. New requirements from amended regulations are generally incorporated into the compliance review once they have been in effect for an entire review period. In some cases new requirements are introduced as "administrative" issues (not counted toward overall compliance).

Part I: Case Review

The DCSS reviewers will review a sample of cases to determine case compliance, confirm and annotate results, and interview LCSA staff as needed. Case review forms and case compliance criteria will be used for this portion of the compliance review. For each case found out of compliance, a Case Review Finding Verification form is completed by the DCSS reviewer(s) describing the problem. The form is submitted, along with the case being reviewed, to the appropriate LCSA staff for comment and/or possible additional clarification. This process allows for immediate resolution of discrepancies as well as a continuous, ongoing status of the review.

SPECIAL PROVISIONS

Review Period Crossover: If a required action was or should have been initiated prior to the review period, but the required time frame(s) ended during the review period, the action is applicable and the initial date must be considered in the review. If an action was required prior to the review period and the time frame(s) began and ended before the current review period (but the required action was still not completed as of the beginning of the current review period), the action is applicable for the current review and October 1 is used as the beginning date of the required time frame. Cases with no required activity in any component during the review period are not reviewable and are considered to be "no forms" cases.

"Notwithstanding" Provision: Federal self-assessment rules provide that certain accomplishments in case actions essentially "overcome" some errors in preliminary actions or time frames leading to the accomplishment as long as the end result occurs within the review period. Included under this provision are the following actions:

1. The establishment or modification of a support order or the registration of a foreign order. (Does not include establishment of paternity only)
2. An enforcement action resulting in a payment. (Does not include a tax intercept.)

"Latest Required Action" Provision: Federal rules also provide that, within a case review component, if the "notwithstanding" provision cannot be applied, case compliance may be measured by whether the LCSA correctly carried out the "latest required action" (LRA) for the case in the review period. Under this provision, if a LCSA exceeds a time limit for a required action, the case could still be found in compliance if a subsequent action is taken timely within the review period. It does not apply to the same action, unless that action is required to be repeated. This provision applies to the Establishment/Modification, Enforcement, Interstate and Medical Support review components.

Procedures for Reviewing Cases Involved in Intercounty Transfer: A transfer case being reviewed in a sending LCSA will be subject to appropriate review components until the LCSA is allowed to close it. A transfer case in a receiving LCSA must be treated as a referral of a new case and is subject to case review requirements. For purposes of the review, it is evaluated the same as any other case, with appropriate actions determined by the status of the case.

Conflict of Interest: The LCSA needs to ensure it has a process to avoid possible conflicts of interest, which may arise during the review.

The following constitutes a conflict of interest case:

- If the compliance reviewer had personally worked on the case during the review period.
- If the compliance reviewer had direct involvement in the case as a line supervisor during the review period.
- If the individual(s) are relatives or friends of the compliance reviewer.
- If the compliance reviewer was subject to disciplinary action as a result of case handling and processing.
- If the professional judgment of the compliance reviewer, is in the best interest of all concerned that the case be reassigned.

Once a case has been determined to be a conflict of interest, an alternate staff member who has no conflict should review the case. If this cannot be accomplished at the LCSA level, the case may be reviewed, but must be held for further review by a state reviewer. In its report, the LCSA should address whether conflict of interest was an issue and, if so, how it was handled.

Establishing a Sample Case List

NOTE: For the Q408 Review, a sample of cases for each LCSA is derived from the annual Audit Case Listing, generated for federal audit purposes. For subsequent quarterly reviews (Q109, Q209 and Q309) samples will be obtained from the consortia systems.

Standard statistical methods are used to select random samples, which encompass all types of cases existing in LCSA caseloads during the review period. The DCSS will make the actual sample case selections and notify each LCSA of the cases subject to review. These lists are preloaded into CRTCS.

Case Review Face Sheet Instructions

A Case Review Face Sheet must be completed for each case reviewed. Instructions are included below, followed by review forms. The face sheet is designed to capture basic case-related information to avoid duplicate, time-consuming entries on other case review forms.

1	Bring up the case to be reviewed in CRTCS, by entering the sample case number in the "Search" field.
2	Identify compliance type.
3	Enter support order date, last county/state NCP resided during review period, support order amount, date NCP located and arrears amount. (CRTCS automatically inputs reviewer's name, LCSA case number, if NCP has Social Security number and first three letters of NCP and CP's last name.
4	Check all status boxes that apply during the review period.
5	Check all components for review forms to be used.
6	Provide overview of case status at the beginning of the review period. What actions were taken (or should have been taken) during the review period and status of the case at the end of the review period.

NOTE: For purposes of this review, cases are considered "assistance" if the child or all of the children in the case are on public assistance throughout the review period. Cases are considered "nonassistance" if the child(ren) were not on public assistance at any time during the review period and there is no assistance arrears balance against which collections could be applied. Otherwise cases are counted as "combination." Also, for a situation in which the only child in the IV-D case is a "maximum family grant" child in the public assistance unit, the case is considered a "combination" case.

Sample Face Sheet Entry

Sample Review #: X X 408

Search

COMPLIANCE	
Assistance	☐
Non-Assistance	☐
Combination	☐

Latest SO date		Reviewer	
NCP County		LCSA #	
Current $/month		NCP SSN	
Date Locate Confirmed		NCP Name	
Arrears $/month		CP Name	

Check all that apply during the review period

☐	Assistance	☐	Non-Assistance
☐	Assistance Arrears Only	☐	Non-Assistance Arrears Only
☐	Interstate Initiating	☐	Foster Care
☐	MNO	☐	Interstate Responding

Review Forms - Check Forms Used

	A-EST	B-R&A	C-ENF	D-C&D	E-IST	F-MED	G-CLS
SELECTION	☐	☐	☐	☐	☐	☐	☐
COMPLIANCE							

Provide brief overview of case

Blank Intentionally

Case Review Component Form Instructions

NOTE: The case review component forms are presented in this guide for illustration purposes. Actual form completion is done in CRTCS.

Space has been provided on the forms for comments for each question. This space is used to record the rationale for the response, which will be yes ("Y"), no ("N") or non-applicable ("U"). The comment should be as brief as possible, but still convey the reason for the response. It is important for monitoring purposes that notations are made in the comment section to support the responses indicated. Remember to also provide an overview of the case in Part D of the Case Review Face Sheet. (Case review forms begin on the next page with the Establishment/Modification component.)

NOTE: CRTCS automatically overrides "no" answers when appropriate based on the Notwithstanding Provisions. However, the Latest Required Action Provision is subjective and the reviewer can override "no" answers except in the Enforcement component when "no" answers cannot be overridden for the first seven case requirements. If the Notwithstanding provision applies, it is redundant to use Latest Required Action.

<u>*Case Compliance Criteria*</u>: Each case review component includes compliance questions followed by case compliance criteria. The compliance criteria contain federal and state requirements and instructions corresponding to each review component, i.e., Establishment/Modification, Review and Adjustment, etc. This material is intended to provide guidance to the reviewer in completing the corresponding review forms. Each section contains one or all of the following:

- A guideline of when the particular review form should be used. Please note that it may not list all possible situations; therefore, reviewer judgment should be exercised.

- Special Considerations: This section contains information which the reviewer should be aware in making case determinations. At times, this section is used to merely emphasize a point that can be found in one of the references. At other times, this material is in addition to the references.

- Compliance Requirements: This section describes the particular requirements that must be met for compliance in that component.

- References: The Guide includes background references applicable to the component.

(Case compliance questions begin on page 13 in the Establishment/Modification component.)

Blank Intentionally

COMPLIANCE **Establishment/Modification Review Form**

CA01 [ ] If a support order was established or modified or a foreign order was registered during the review period, did it:
a) contain a provision for a wage assignment and medical support;
b) follow the statewide formula for determining support; and
c) include an amended judgment, if applicable:
(Notwithstanding Provision)
Comments: _____

CA02 [ ] A) If a support order was required during the review period and the CP provided the LCSA with locate information, was the service of process completed within 60 calendar days?
Date locate confirmed:
Date service of process completed:
Elapsed days: (60 calendar days)
Was the CP informed in writing of the results?
B) If a support order was required during the review period and locate information was obtained through a source other than the CP, was service of process completed within 90 calendar days?
Date locate confirmed:
Date service of process completed:
Elapsed days: (90 calendar days)
Comments: _____

CA03 [ ] If a case requiring establishment of an order was opened or reopened during the review period, or was opened prior to the review period (but required intake actions were never completed), did the LCSA conduct an interview with the CP within 10 business days of date case opened or reopened?
Date case opened or reopened:
Date CP interviewed:
Elapsed days: (10 business days)
Comments: _____

COMPLIANCE **Establishment/Modification Review Form (continued)**

CA04 [ ] If a case requiring establishment of an order was opened or reopened during the review period, or was opened prior to the review period (but required intake actions were never completed), did the LCSA establish a case record, solicit necessary information from the CP or other sources (if appropriate) and initiate verification of that information within 20 calendar days?
Date of application or referral:
Date intake completed:
Elapsed days: (20 calendar days)
Comments: _____

CA05 [ ] If location of the NCP/alleged father is necessary, did the LCSA access all appropriate federal, state and local locate sources, and as appropriate, initiate verification of any information received within 75 calendar days?
Date locate became necessary:
Date of locate action:
Elapsed days: (75 calendar days)
Note locate source(s) and date(s):
Comments: _____

CA06 [ ] If the NCP/alleged father is not located within the initial 75 calendar days and sufficient identifying information is available, did the LCSA continue to access appropriate locate sources quarterly?
Comments: _____

CA07 [ ] Was new information which may have assisted in locating the NCP or NCP's assets/earnings, acted upon immediately (in no more than 75 calendar days)?
Date(s) new information received:
Date(s) new information acted upon:
Elapsed days (75 calendar days)
Comments: _____

COMPLIANCE **Establishment/Modification Review Form (continued)**

CA08 [ ] When paternity is at issue, to gather information necessary to pursue paternity and/or establish an order, if appropriate, did the LCSA:

- interview the CP; and
- use Form DCSS 0095 "Paternity Questionnaire", or
- Form DCSS 0063 "Attestation Statement" (if applicable); or
- otherwise obtain/receive pertinent documentation, including the results of genetic testing.

Comments: _____

CA09 [ ] If applicable, did the LCSA prepare and transmit the "Referral to Local Child Support Agency" Form CW 371, to the county welfare department as notice that the CP failed to cooperate?

Comments: _____

CA10 [ ] Did the LCSA conduct screening for family violence and provide the CP and NCP (in person or by mail) the "Child Support Domestic Violence Questionnaire" (Form DCSS 0048)?

Comments: _____

CA11 [ ] If the LCSA mailed the "Domestic Violence Cover Letter #1" (Form DCSS 0049) and "Child Support Domestic Violence Questionnaire" (Form DCSS 0048), was it mailed within 5 business days of first locating a CP or an NCP?

Date CP or NCP located:

Date letter mailed:

Elapsed days (5 business days)

Comments: _____

COMPLIANCE **Establishment/Modification Review Form (continued)**

CA12 [ ] If this case was appropriate for transfer to another California county during the review period, did the LCSA process the transfer according to established requirements, accompanied by a complete financial summary package?

NOTE: If this question is answered "yes", Case Closure question (CG01) may be applicable. If this question is answered "no", it is not redeemed by the "notwithstanding" or "latest required action" provision.
Date transferred:
Receiving county:
Comments:

CA13 [ ] LATEST REQUIRED ACTION
Does the "Latest Required Action" provision (pertaining to time frames) apply to this component? (Answer either "y" or "U.")
If yes, explain:

Establishment and Modification Compliance Criteria

This review form is to be used if, during the review period, one or more of the following apply:

- A case requiring establishment or modification of an order is opened or reopened.
- A case requiring establishment or modification of an order was opened prior to the review period, but required intake actions were never completed or initiated.
- An existing order is modified during the review period.
- A foreign support order is registered during the review period.
- No order exists, but the NCP has been identified.
- A putative father is located or an alleged father is excluded.
- A case requiring establishment or modification was appropriate for transfer to another California county during the review period.
- A case requiring establishment of paternity only was referred by the IV-A agency.

SPECIAL CONSIDERATIONS

"Notwithstanding" Provision: Consistent with requirements of 45 CFR § 308.2(b)(1), the LCSA will be considered to have taken appropriate action in this component if an order is established or modified, or if a foreign order is registered during the review period, notwithstanding the failure of the LCSA to meet required time frames leading to this result. In order to be considered to meet the notwithstanding criterion, the order must contain required provisions listed below under Compliance Requirements.

"Latest Required Action" Provision: Consistent with requirements of 45 CFR § 308.2(b)(2), if the "notwithstanding" provision cannot be applied, the "latest required action" provision may be considered; that is, if the latest appropriate action for this case in this component was taken correctly and timely, the case is considered in compliance. However, in this component this provision does not apply if questions CA01, CA10 and CA12 is answered "no." (Answer only "Y" or "U")

NOTE: The "latest required action" does not apply to a situation where a required time frame was not met, but where the action associated with that time frame was eventually completed within the review period. It only applies to a subsequent (latest required) action where the time frame was met. Also, if a required action was still not taken as of the end of the review period, the latest required action provision cannot be applied.

QUESTION CA01 should be answered if one or more of the following actions occurred during the review period:

1. A support order was established or modified; and/or
2. A foreign support order was registered.
3. If a support order was established and all three provisions are met, then answer "yes" to the question. If a support order was established and any one or none of the provisions are met, then answer "no" to the question. If a support order was not necessary, then leave the question blank, or answer not applicable (U).

COMPLIANCE REQUIREMENTS	
A	Consistent with requirements of 45 CFR § 308.2(b)(1), the LCSA will be considered to have taken appropriate action in this component if an order is established or modified, or if a foreign order is registered during the review period, notwithstanding the failure of the LCSA to meet required time frames leading to this result.
B	The LCSA shall petition the court for a wage assignment provision for any support order entered or adjusted after July 1, 1990. [45 CFR § 303.100; FC § 5230 (b)]
C	For new or modified orders, the LCSA shall petition the court or administrative authority to include in the order a provision for health insurance that is or may become available to the NCP at reasonable cost, except when: [45 CFR § 303.31; FC § 3751] 1. The CP and child have satisfactory health insurance (other than Medi-Cal); or 2. There is an arrears only order or an order reserving support.
D	The LCSA shall use the child support guidelines in effect at the time the order is entered to determine the amount of support sought. [45 CFR § 303.4 (d); MPP 12-106.1] *NOTE: If the court did not order the amount of support requested by the LCSA, the specific reason that rebuts the guideline amount must be documented on the order or attachments.* *NOTE: The federal certification requirements specify that the CCSAS Guideline Calculator is the only calculator that should be used when calculating child support. LCSA staff should no longer use Disso Master or any other stand alone calculator. CSS 06-31*
E	The LCSA shall amend a proposed judgment if additional financial information is received within 30 days of service of the complaint and proposed judgment and the additional information would result in a support order that is different from the amount in the proposed judgment. [FC § 17430(c)]

QUESTION CA02 should be answered if an order required establishment or modification and the NCP and/or assets were located prior to or during the review period. Within 60 calendar days of receiving information from the CP or 90 calendar days of receiving information through a source other than the CP, the LCSA must either establish an order for support, complete service of process or document unsuccessful attempts to serve process in accordance with the state guidelines defining diligent efforts. If two such actions occur in the review period, review to the latter. [45 CFR § 303.4 (d); MPP 12-106.1; FC § 17401]

SPECIAL CONSIDERATIONS

For service of process, "diligent effort" means the LCSA shall attempt all appropriate statutory mechanisms for service of process and shall repeat such attempts as soon as new information becomes available or yearly, whichever occurs first.
[MPP 12-101.3 (d)(4)]

QUESTION CA03 and QUESTION CA04 should be answered if a case requiring establishment of an order is opened or reopened during the review period. This question also applies if required intake actions were never completed on a case opened prior to the review period. This question is to determine if cases requiring establishment/modification of an order are being opened and assessed in the time frames prescribed by state and federal regulations.

Applications are not required of assistance recipients who are discontinued from aid. For those cases, all child support enforcement services must continue to be provided until a request is made to terminate services. A signed application is required for all nonassistance cases and for all non-Federal Foster Care cases because they are considered nonassistance.

COMPLIANCE REQUIREMENTS	
A	The LCSA must conduct an initial interview with the CP, unless the CP is a foster care agency, or a NCP if that individual is the applicant for Title IV-D services, within 10 business days of opening a case, unless an interview was conducted pursuant to 22 CCR § 112100(e). [22 CCR § 112140]
B	The LCSA must within 20 calendar days of receipt of referral or application, establish a case record which shall contain: 1. All documents regarding the case; 2. All relevant facts and dates; and A record of all actions taken and contacts made including the name of the person taking the action, the name of any person contacted and the date of contact. [45 CFR § 303.2(b); 22 CCR § 112130(a)]
C	Based on the assessment of the case the LCSA must: 1. Solicit any necessary information from the CP if appropriate; 2. Solicit any necessary information from any other relevant sources if appropriate; and initiate verification of the information obtained (if appropriate). [22 CCR § 112130(e)]

QUESTIONS CA05 THROUGH CA07 relate to locating the NCP and/or assets. These questions should be answered if an order needed to be established or modified and the NCP and/or assets were not located.

SPECIAL CONSIDERATIONS

The definition of "location" is information concerning the physical whereabouts of the NCP, the NCP's employer(s), other sources of income/assets, which is sufficient to take appropriate action in a case. [45 CFR § 303.3 (a); 22 CCR § 110514]. Location efforts used for closure purposes are for the physical whereabouts of NCP(s). Location efforts for purposes of establishing a support order include both the physical whereabouts necessary for service of process (MPP 12-106.1) and for sources of income/assets used to determine the appropriate amount of child support.

COMPLIANCE REQUIREMENTS	
A	Within 75 days of determining locate is necessary, the LCSA will access all appropriate federal, state and local locate sources. The LCSA must ensure that location information received is sufficient to take the next appropriate action or service. The Federal Parent Locator Services (FPLS) need not be accessed if locate information sufficient to take the next appropriate action in a case is otherwise obtained within the 75 calendar day time frame. If locate information from a locate source that was accessed within the initial 75 calendar days was received after the 75 days have elapsed, then the information would be treated as new information (defined in paragraph B below; hence, another 75 calendar day time period would begin). [45 CFR § 303.3 (a); 22 CCR § 110514]
B	Following the 75-day time period, locate actions must be repeated in cases in which previous attempts to locate the NCP or sources of income/assets have failed, but adequate identifying and other information exists to meet requirements for submittal for location. Repeated locate attempts must be done either quarterly or immediately upon receipt of new information which may aid in location, whichever occurs sooner. Quarterly attempts may be limited to automated sources when the noncustodial parent's name, date of birth, or social security number are known. Referral to an automated locate source must include accessing the State Employment Development Department (EDD) and the Parent Locator Service records. [45 CFR § 303.3 (b)(5); 22 CCR § 113100 (c)(2)]

QUESTION CA08 should be answered if paternity needs to be established.

COMPLIANCE REQUIREMENTS	
A	When paternity is at issue, the LCSA must solicit information (i.e., use the three-part Paternity Questionnaire DCSS 0095, interview the CP, or use Attestation Form DCSS 0063) necessary to pursue establishment of paternity. [45 CFR § 303.5; 22 CCR § 112100]

QUESTION CA09 should be answered if the applicant or recipient has failed to assist the LCSA in all required activities necessary to establish paternity, or to establish, modify or enforce a medical or child support order, unless a finding of good cause has been made as specified in 22 CCR § 112210.

QUESTIONS CA10 AND CA11 relate to the family violence indicator policy.

COMPLIANCE REQUIREMENTS	
A	The LCSA shall screen all CP and NCP for family violence in all new cases opened during the review period, except interstate responding. This screening shall occur during the initial interview as specified in 22 CCR § 112100(e) and 112140. [45 CFR § 260.52; 22 CCR § 112300, CSS Letter 01-03].
B	If the LCSA mails the domestic violence cover letter (Form DCSS 0049) and "Child Support Domestic Violence Questionnaire" (Form DCSS 0048), it must be mailed within 5 business days of first locating the CP or NCP. If a child is in foster care, the forms shall be mailed to both NCPs. [22 CCR § 112300; CSS Letter 01-03].

QUESTION CA12 should be answered if a case requiring establishment or modification was appropriate for transfer to another California county during the review period.

COMPLIANCE REQUIREMENTS
The LCSA shall transfer a case, if appropriate, to another California county. When transferring a case to a receiving county, the sending county must complete a standardized case transfer package, including a completed Case Transfer Financial Summary and all supporting financial documentation. When the receiving county acknowledges the case transfer, the sending county shall close the case. [22 CCR § 118203(a)(13); CSS Letter 02-18].

QUESTION CA13 should be answered "y" if the "latest required action" provision is applicable; otherwise answer "U" if not applicable or leave unanswered. DO NOT answer this question "no." [45 CFR § 308.2(b)(2)]

Blank Intentionally

COMPLIANCE/
ADMINISTRATIVE **Review and Adjustment Review Form**

CB01 [ ] As a result of the review and adjustment process, was a modification of the support order issued? (Answer either "yes" or "U.") (Notwithstanding Provision)
Comments: _____

CB02 [ ] Was the required review and adjustment process completed within 180 calendar days?
Date process was initiated:
Date completed:
Elapsed days: (180 calendar days)
Comments: _____

AB03 [ ] **LCSAs WHO TRANSITIONED ON OR AFTER 1-1-2008:** If a case with a current assistance order was established on January 1, 2005 (or after) was the DCSS 0639-Notice of Mandatory Review (TANF) sent notifying both the custodial and non-custodial parties of the mandatory review?
Comments: _____

AB04 [ ] **TRANSITIONED LCSAs ONLY:** Was the notice of their right to request a review sent to both the custodial and non-custodial parties in a current non-assistance order?
Comments: _____

AB05 [ ] **REVIEW and ADJUSTMENT WORKAROUND (CRTCS PURPOSES ONLY)**
If you answered U or Blank in CB01 and/or CB02, but answered NO in AB03 and/or AB04, answer YES to AB05.

Blank Intentionally

Review and Adjustment Compliance Criteria

All child support orders are subject to the review and adjustment process as follows:

- A review may be requested by either parent subject to a child support order, or by any person or entity that may have standing to make the request, including the IV-D agency.
- If a change in circumstance is reasonably expected to last for more then three months, and will alter the amount of the support, upward or downward, by at least 20% or $50, whichever is less; or
- If the parties stipulated to a child support order below the amount established by the statewide uniform guideline

The LCSA has a maximum of 180 calendar days from the date it is determined either a review should be conducted or the non-requesting parent is located, whichever is later, to complete the review and adjustment process. The 180 calendar days begins when the Income and Expense Declaration is received by the LCSA.
[45 CFR § 303.8(e); CSS Letter 04-09]

SPECIAL CONSIDERATIONS
"Notwithstanding" Provision: Consistent with requirements in 45 CFR § 308.2(f)(1), the LCSA will be considered to have taken appropriate action in this component, if as a result of this process, a modification of the support order is issued during the review period, the LCSA will be considered to have met the review and adjustment requirements, notwithstanding the failure of the LCSA to meet the required time frame for completing the review process.

QUESTION AB03 only applies to LCSAs that transitioned on or after January 1, 2008. This question relates to the mandatory review of all current assistance TANF cases.

COMPLIANCE REQUIREMENTS
At least once every three years, the LCSA shall review, and, if appropriate, seek modification of, each child support case for which assistance is being provided under the CalWORKs program. [FC 3680.5]

QUESTION AB04 only applies to LCSAs transitioned during the review period. This question relates to the mandatory notice sent to the custodial and non-custodial parties in non-assistance cases.

COMPLIANCE REQUIREMENTS
Each local child support agency shall have procedures under which every 3 years, upon the request of either parent, review and if appropriate, adjust the non-assistance order in accordance with the guidelines. [45 CFR § 303.8(a)(1); 22 CCR § 115502]

NOTE: The "latest required action" does not apply to a situation where a required time frame was not met, but where the action associated with that time frame was eventually completed within the review period. It only applies to a subsequent (latest required) action where the time frame was met. Also, if a required action was still not taken as of the end of the review period, the latest required action provision cannot be applied. (Answer only "Yes" or "U.")

NOTE: DCSS issued CSS Letter 04-09 notifying the LCSAs that they will not be required to comply with the new Review and Adjustment requirements until the implementation of the California Child Support Automation System (CCSAS). In the interim, the LCSAs are only required to meet the conditions as stated in CSS Letter 04-09. [22 CCR § 115500]

NOTE: DCSS issued CSS Letter 06-15 notifying the LCSAs of a new Review and Adjustment process to members of the National Guard and military reservists deployed out-of-state. Allowing a support order to be made retroactive to the date of service on the other party or the date of deployment whichever later, unless the court finds good cause not to make the order retroactive. [CSS Letter 06-15]

COMPLIANCE **Enforcement Review Form**

CC01 [ ] If eligible, was the case submitted for IRS/FTB intercept?
Comments:

CC02 [ ] If eligible, was the case submitted for UIB/SDI withholding?
Comments:

CC03 [ ] Was a real property lien recorded?
County:
Date:
Comments:

CC04 [ ] If an employer was known, was a wage assignment sent to the NCP's employer that included:
A) Both current support and arrears, if applicable and
B) Did the LCSA withhold less than 50 percent of the NCP's disposable earnings for both current support and medical support, if applicable?
Comments:

CC05 [ ] If this case was applicable as of the end of the review period, was it referred to DCSS under the 60-day delinquent requirement?
Comments:

CC06 [ ] For enforcement cases in which either the CP or NCP are located during the review period, did the LCSA conduct screening for family violence and provide the CP and NCP (in person or by mail) the "Child Support Domestic Violence Questionnaire" (Form DCSS 0048)?
Comments:

COMPLIANCE **Enforcement Review Form (continued)**

CC07 [ ] If the LCSA received verification that the NCP receives Supplemental Security Income/State Supplementary Payments (SSI/SSP) benefits, and that the income was used in the calculation of the support order; did the LCSA file a motion for a modification within 30 calendar days?
Date LCSA received verification of benefits?
Date the motion filed?
Elapsed days: (30 calendar days)
Comments:

CC08 [ ] Was a collection received from income withholding during the last quarter of the review period, or, if income withholding was not appropriate, was a collection otherwise received during the review period?
(Answer either "y" or "U.") (Notwithstanding Provision)
Comments:

CC09 [ ] If the NCP became delinquent in the payment of current support, or in the case of a successful locate in an ongoing delinquency, was either administrative action (enforcement action not requiring service of process) taken within 30 calendar days or legal action (enforcement action requiring service of process) taken (or process served or unsuccessful attempts documented) within 60 calendar days?
Date of delinquency or locate:
Date of action or service of process:
Elapsed number of days:
Comments:

CC10 [ ] If an enforcement action was unsuccessful or could not be completed because of a court delay (after successful service of process), was the reason documented and a date for future action determined and initiated or taken as appropriate?
Comments:

COMPLIANCE **Enforcement Review Form (continued)**

CC11 If a lien was required, did the LCSA prepare and submit the lien for recording within 45 calendar days of the date a money judgment or order is received by the LCSA, a case is opened for enforcement of an existing order or judgment, or an existing order is registered for enforcement?
Date money judgment/order received/registered:
Date lien prepared and submitted:
Elapsed days: (45 calendar days)
Comments:

CC12 [ ] A) If a wage assignment was used as an enforcement action, was the wage assignment served within 2 business days after new employee information was entered into the National Directory of New Hires (NDNH)?
Date of NDNH entry:
Date wage assignment served:
Elapsed days: (2 business days)
B) If a wage assignment was used as an enforcement action and the employer information was received from a source other than NDNH, was it served within 15 calendar days from when the information was received?
Date employer known:
Date wage assignment served:
Elapsed days: (15 calendar days)
Comments:

CC13 [ ] **NON-TRANSITIONED LCSA ONLY:** If this case was delinquent at intake was it referred (if applicable) to DCSS within 30 calendar days of case opening?
Date case opened:
Date referred:
Elapsed days: (30 calendar days)
Comments:

COMPLIANCE **Enforcement Review Form (continued)**

CC14 [ ] If a case that already contained an enforceable order was opened or reopened during the review period, or was opened prior to the review period, but required intake actions were never completed, did the LCSA complete all of the following within 20 calendar days:

- Establish a case record;
- Solicit necessary information from the CP or other sources (if appropriate);
- Initiate verification of that information (if appropriate)?

Date of application or referral:

Date intake completed:

Elapsed days: (20 calendar days)

Comments: _____

CC15 [ ] If location of the NCP or assets is necessary, did the LCSA access all appropriate federal, state and local locate sources, and as appropriate, initiate verification of any information received within 75 calendar days?

Date locate became necessary:

Date of locate action:

Elapsed days: (75 calendar days)

Note locate sources(s) and date(s):

Comments: _____

CC16 [ ] If the NCP or his/her assets are not located within the initial 75 calendar days and sufficient identifying information is available, did the LCSA continue to access appropriate locate sources quarterly?

Comments: _____

COMPLIANCE **Enforcement Review Form (continued)**

CC17 [ ] Was new information, which may have assisted in locating the NCP or NCP's assets/earnings, acted upon immediately within 75 calendar days?
Date(s) new information received:
Date(s) new information acted upon:
Elapsed days: (75 calendar days)
Comments: _____

CC18 [ ] If the LCSA mailed the "Domestic Violence Cover Letter #1" (Form DCSS 0049) and "Child Support Domestic Violence Questionnaire" (Form DCSS 0048), were they mailed within 5 business days of first locating a CP or NCP?
Date CP or NCP located:
Date letter mailed:
Elapsed days: (5 business days)
Comments: _____

CC19 [ ] If this case was appropriate for transfer to another California county during the review period, did the LCSA process the transfer according to established requirements, accompanied by a complete financial summary package?
NOTE: If this question is answered "yes", Case Closure question (CG01) may be applicable. If this question is answered "no", it is not redeemed by the "notwithstanding" or "latest required action" provision.
Date transferred:
Receiving county:
Comments: _____

CC20 [ ] LATEST REQUIRED ACTION
Does the "Latest Required Action" provision (pertaining to time frames) apply to this component? (Answer either "y" or "U.")
If yes, explain: _____

Blank Intentionally

Enforcement Compliance Criteria

The review form for this component is generally used if the case contains an enforceable support order during the review period.

SPECIAL CONSIDERATIONS

In order to be in compliance in this component, the LCSA must meet the following federal and state requirements, regardless of other actions taken:

- If eligible, the case must be submitted for Internal Revenue Service/Franchise Tax Board (IRS/FTB) intercept and Unemployment Insurance Benefits/State Disability Insurance (UIB/SDI) withholding.
- If an employer is known, a wage assignment addressing both current support and arrears (if appropriate) must be sent to the employer.
- A real property lien must be recorded (if applicable).
- If the case is applicable, it must be referred to DCSS under the 60-day delinquent requirement and family violence screening must have been addressed.
- If family violence screening or SSI/SSP income is an issue, it must be addressed.

"Notwithstanding" Provision: Consistent with requirements of 45 CFR § 308.2[c], the LCSA will be considered to have taken appropriate action in this component, if at least one enforcement action is used that results in a collection during the review period, notwithstanding the failure of the LCSA to meet required time frames in intake, locate and enforcement actions.

"Latest Required Action" Provision: Consistent with requirements of 45 CFR § 308.9(c)(3), if the "notwithstanding" provision cannot be applied, the "latest required action" provision may be considered; that is, if the latest appropriate action for this case in this component was taken correctly and timely, the case is considered in compliance. However, in this component this provision does not apply if any of questions 1 through 7, and 19 are answered "no."

NOTE: The "latest required action" does not apply to a situation where a required time frame was not met, but where the action associated with that time frame was eventually completed within the review period. It only applies to a subsequent (latest required) action where the time frame was met. Also, if a required action was still not taken as of the end of the review period, the latest required action provision cannot be applied. (Answer only "Y" or "U.")

QUESTION CC01 should be answered if during the review period, a case meets the eligibility requirements for IRS/FTB intercept at the time of submittal.

NOTE: If all other eligibility requirements are met, LCSAs may submit cases to the integrated database with arrearages below dollar limits, and for IRS cases, if the case will be three months in arrears at the beginning of the new process year.

SPECIAL CONSIDERATION

The DCSS processes all intercept cases through an integrated database (IDB). Because of the IDB, the LCSA can submit less than minimum arrearage and the IDB system will combine the arrearage amounts with any other LCSA's arrearage. If the combined arrearages meet the criteria for submission, the case will be submitted.

CSE REQUIREMENTS

A case needs to meet these eligibility requirements for IRS/FTB intercept at the time of submittal.

1) The total arrears balance for the case is > than $0
2) The obligor's total arrears balance is greater than or equal to his or her monthly support obligation.
3) The Social Security Number is verified through FCR.
4) There is not suppression of an individual activity.
5) The case is active IV-D.
6) There is not good cause claimed or granted.

(Transition Item Specification TTI54)

COMPLIANCE REQUIREMENTS	
A	Procedures for Federal Tax Refund Intercept: 1. Submit annually all eligible cases to DCSS for submission to the IRS tax refund intercept program as follows: [45 CFR § 303.6(c)(3); MPP 12-702.1; FSDIN Letter 1-35-96] a) Have a court order or an order of an administrative process established under state law. [MPP 12-703.11; FSDIN Letter 1-35-96] b) The amount owed under the order must be at least three months delinquent and not less than $150 as of January of the process year for assisted cases or $500 for non-assisted cases. [MPP 12-704.13; FSDIN Letter 1-35-96] c) Assistance and foster care arrearage amounts for multiple cases with the same SSN or name should be combined. Assistance, foster care and nonassistance arrearage for cases with the same SSN or name should not be combined. [FSDIN Letter 1-35-96] d) For nonassistance related cases, the support must be owed on behalf of a minor child, and records reviewed to determine if an assistance arrearage exists for the family. [MPP 12-704.151 & 704.152; FSDIN Letter 1-35-96] e) The case record must contain a copy of the order and any modifications upon which the amount referred is based, which specify the date of issuance and amount of support. [45 CFR § 303.72 (a)(4)(i); MPP 12-704.17] f) If the LCSA cannot verify the amount owed using a copy of the payment record, the CP shall sign an affidavit attesting to the amount of child support arrears. [45 CFR § 303.72(a)(4)(ii); MPP 12-704.16] 2. Update all individual case arrearage amounts in IRS tax refund intercept cases and submit them to DCSS at least monthly whenever the certified arrearage has been reduced by any amount. [MPP 12-710.1; FSDIN Letter 1-35-96]

B	Procedures for State Tax Refund Intercept: 1. Meet the minimum criteria for submission of cases for state income tax refund offset. [45 CFR § 303.102; MPP 12-703.1; FSD Letter 98-24] 2. Ensure that the amount referred is accurate, has been verified and that assistance and nonassistance arrearages are not combined. [45 CFR § 303.102; FSDIN Letter 1-35-96] 3. Annually submit all eligible cases to DCSS for submission to the FTB tax refund intercept program. Eligible cases shall be submitted in a manner and time frame prescribed by DCSS. [MPP 12-702.1]

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QUESTION CC02 should be answered if during the review period there is:

1. An arrearage.
2. An unmet current amount of child support that has been established or adjusted by a court order.

The case was not and should have been submitted for UIB/SDI intercept prior to the review period

SPECIAL CONSIDERATION:
Federal requirements cover the withholding of UIB. The DCSS requires withholding of SDI, in addition to UIB [FSD Letter 92-13]. This section of the review guide pertains to both UIB and SDI.

"Assigned arrears" are arrears owed at the time a family receives assistance which automatically become assigned to the LCSA for recoupment for aid paid.

NOTE: Do not answer the question for cases which were submitted prior to the review period and currently remain on the UIB/SDI submission list.

CSE REQUIREMENTS
A case needs to meet these eligibility requirements for IRS/FTB intercept at the time of submittal.

1) The total arrears balance for the case is > than $0
2) The obligor's total arrears balance is greater than or equal to his or her monthly support obligation.
3) The Social Security Number is verified through FCR.
4) There is not suppression of an individual activity.
5) The case is active IV-D.
6) There is not good cause claimed or granted.

(Transition Item Specification TTI54)

COMPLIANCE REQUIREMENTS	
A	The LCSA shall have written criteria for selecting cases to pursue withholding of UIB/SDI for support purposes. These criteria must be designed to ensure maximum case selection and minimal discretion in the selection process. [45 CFR § 302.65(c)(3); FC Section 17518; FSD Letter 92-02] 1. All eligible assistance and nonassistance cases shall be submitted for UIB/SDI intercept and all assistance cases must include an Assignment of Support Rights. [FSD Letter 92-13] 2. An eligible case is defined as one in which an arrearage or unmet current amount of child support has been established by a court order. [FC § 17518;FSD Letter 92-13] a) The unmet current child/spousal support plus arrearage submitted cannot be less than $150. Assistance and nonassistance arrearage can be combined to meet the $150 requirement. All assigned arrearages accrued after going off aid are considered nonassistance arrears. [FSD Letter 92-13]

QUESTION CC03 should be answered if during the review period:

1. A new support order is obtained.
2. A foreign order is registered.
3. A lien was not recorded, but should have been, on an existing court order and had not been by the end of the review period.

COMPLIANCE REQUIREMENTS	
A	The LCSA shall create a real property lien: [45 CFR § 302.70 (a)(4); 22 CCR § 116130] 1. In all intracounty cases and all intercounty/interstate responding cases. [22 CCR § 116130(c)(1) and (2)] 2. In interstate initiating cases only if the obligor is known to have, or is likely to acquire real property interests in California [22 CCR § 116130(c)(3)] 3. Within 45 days of the date a money judgment or order is received by the LCSA, a case is opened for enforcement of an existing order or judgment, or an existing order is registered for enforcement. [22 CCR § 116130(a)] (see NOTE #1 below). 4. If not previously recorded, record each existing order as the case is worked. [FSD Letter 89-02] *NOTE #1: For purposes of the review, a lien is not required if there is a $0 or reserved order. [22 CCR § 116130(a)]* *NOTE #2: Effective January 1, 1996, per AB 554 (Chpt. 583, statutes of 1995), liens are only required to be recorded on new (not modified) orders. Liens shall be recorded:* a) In the county in which the obligor resides. [22 CCR § 116130(e)(1)] b) In the county in which the obligor's parents reside, if known and different from the county in which the obligor resides. [22 CCR § 116130(e)(2) c) In any other county in which the NCP is known to have, or could reasonably be expected to acquire a real property interest. [22 CCR § 116130(e)(3)] 5. The LCSA shall record one of the following: a) An Abstract of Support Judgment. [22 CCR § 116130(d)(1)] b) An Abstract of Support Judgment (notice of support judgment), DCSS 0239 (9/1/05). [22 CCR § 116130(d)(2); CCP § 697.320; FC § 4506(c)] c) A certified copy of the support order. [22 CCR § 116130(d)] A notice of lien, Form OMB Control #0970-0153 Expiration date 3/31/08 [CCP § 697.320; OCSE-AT-02-01, CSSIN 02-23; 22 CCR § 116130(d)]

QUESTION CC04 should be answered if, during the review period:

1. An employer is known and an existing wage assignment was not previously served; or
2. If a new employer is identified.

SPECIAL CONSIDERATIONS

A "Wage Assignment" is an enforcement action used to ensure current support payments (plus a specific payment on arrearage, if any) by withholding a portion of the NCP's salary or earnings. For purposes of the review and compliance determination, if a wage assignment was issued for current support only (no arrears) and cannot be served because no employer is known, and an employer subsequently becomes known, the LCSA should serve the existing wage assignment for current support on the NCP's employer within 15 calendar days or 2 business days after employee information was entered into the State Directory of New Hires (SDNH). The LCSA should initiate action to review the wage assignment immediately to include an amount to be applied towards arrears.

If service of the assignment has been ordered stayed, the stay shall terminate:

1. On the NCP's failure to make timely support payments or earlier by court order if requested by the LCSA or the NCP.
2. If CP makes a request and can establish that good cause for the stay no longer exists. [FC § 5261]

COMPLIANCE REQUIREMENTS	
A	In addition to the withholding amount requested to pay the current month's obligation, the LCSA must also include an amount to be applied toward liquidation of any overdue support. [45 CFR § 303.100(a)(2); FC § 5230 (a)(2); 22 CCR § 116100(a)(2) and (3)]
B	To initiate withholding after the court orders it, the LCSA must serve the wage assignment on the NCP's employer, if known, within 15 calendar days of receipt of the order [22 CCR § 116100(c)(1). The LCSA must send the NCP's employer a notice, which includes the information on Wage and Earnings Assignment Order. Each new or adjusted support order established after November 1, 1990, must include a wage assignment provision, effective immediately, to allow the LCSA to withhold wages (unless a determination of good cause or alternative arrangement has been rendered by the court). [45 CFR § 303.100; 22 CCR § 116100(b); FC § 5200 et. seq]
C	If the NCP changes employment when withholding is in effect, the LCSA must serve the NCP's new employer (when known) within 15 calendar days. [45 CFR § 303.100(e)(4); 22 CCR § 116100]
D	The LCSA shall specify that the total amount withheld for both current support and medical support shall not exceed 50% of the NCP's disposable earnings or the amount indicated on the court order, whichever is less. [45 CFR § 303.100(a)(3); 22 CCR § 116116(b)]

QUESTION CC05 should be answered if the case was applicable for referral to DCSS at the end of the review period under the 60-day delinquent requirement. [FC § 17453 & 17500; CSS Letter 05-21]

CSE REQUIREMENTS
A case needs to meet these eligibility requirements for referral to DCSS
1) Case is $100 in arrears.
2) The case is active IV-D.
3) There is not a pending/good case granted.
4) There is not suppression on the case.

However, the first $3,500 of an obligor's assets is exempt from collection under this subdivision without the obligor having to file a claim of exemption.
[Transition Item Specification TTI54; FC 17453(C)(2)]

QUESTION CC06 relates to the family violence indicator policy.

COMPLIANCE REQUIREMENTS	
A	The LCSA shall screen all CPs and NCPs for family violence for enforcement cases in which either the CP or NCP are located during the review period. This screening shall occur during the initial interview as specified in 22 CCR § 112100(e) and 112140. [45 CFR § 260.52; 22 CCR § 112300, CSS Letter 01-03]
B	The LCSA is required to mail to the CP and the NCP a domestic violence cover letter and Child Support Domestic Violence Questionnaire. If a child is in foster care, the forms shall be mailed to both NCPs. [22 CCR § 112300, CSS Letter 01-03]

QUESTION CC07 should be answered if the LCSA received verification that the NCP is receiving SSI/SSP benefits and the income was used in the calculation of the support order; then the LCSA must file a motion for a modification within 30 calendar days. After the order is modified the LCSA worker must manually initiate case closure if appropriate. Cases cannot close while legal actions are pending so Case Closure should not be initiated until after the order is modified. [45 CFR § 581.104(j); FC 17400.5; CSS Letter 02-15]

CSE REQUIREMENTS
CSE will not trigger a modification. Instead CSE will automatically begin the closure process; therefore, the LCSA worker will need to manually override the closure to complete the modification.

QUESTION CC08 should be answered if a wage assignment was appropriate and a withholding collection was received during the last quarter of the review period or, if a wage assignment was not appropriate and a collection, other than a withholding collection was received during the review period and the case was submitted for FTB/IRS intercept. [45 CFR § 308.2(c)(1)(2)]

QUESTIONS CC09 AND CC10 should be answered if during the review period a case becomes delinquent and/or sufficient locate information becomes available to pursue enforcement of a delinquent case.

SPECIAL CONSIDERATIONS

The LCSA is required to maintain an effective system for identifying delinquencies on the date the NCP fails to make a payment equal to one month's support obligation. The IV-D agency must then initiate action to enforce the support order within specified time standards.

If the NCP has a delinquency which occurred prior to and has carried over into the review period and the LCSA is successful in locating the NCP or earnings/assets were located, enforcement action(s) has to occur either within the 30 or 60 days of the locate date.

For purposes of distribution, amounts collected shall be treated first as payment on the required support obligation for the month in which the support was collected. To be consistent with [45 CFR § 302.51(a)(1)] and for purposes of the compliance review, the NCP is considered delinquent if he/she fails to make a payment in the amount of one month's support during the month in which it is due. Therefore, delinquency occurs when the accumulated unpaid support totals an amount equal to or exceeds one month's support.

Enforcement attempts must include as many of the following actions as are appropriate and necessary:

- Delinquency letter with specific language (first 30 days only)
- Civil or criminal contempt proceedings
- Wage assignment and garnishment [22 CCR § 116100]
- Orders for examination of judgment debtor and debtor's creditors
- Writs of execution/levy
- Liens on workers' compensation awards
- Utilize action of credit reporting agencies (first 30 days only)
- Application to utilize United States District Courts
- Application for collection by the Secretary of the Treasury
- Any other collection or enforcement process authorized by state or federal law (example: Program Save Our Children (PSOC), see CSS Letter 01-13)

COMPLIANCE REQUIREMENTS	
A	If service of process is not necessary, taking any appropriate enforcement action (except income withholding and Federal and State income tax refund offset) within no more than 30 calendar days of identifying a delinquency or other support related non-compliance with the order or the location of the NCP whichever occurs later. [45 CFR § 303.6(c)(2)]
B	If service of process is necessary prior to taking an enforcement action, service must be completed (or unsuccessful attempts to serve process must be documented in accordance with DCSS guidelines defining diligent efforts) or enforcement action taken within no later than 60 calendar days of identifying a delinquency or other support related noncompliance, or locating the NCP when that person's location was unknown, whichever occurs later. [45 CFR § 303.6(c)(2)]
C	In cases in which enforcement attempts have been unsuccessful, at the time an attempt to enforce fails, examine the reason why the enforcement attempt failed and determine when it would be appropriate to take an enforcement action in the future and take such action in accordance with the requirements of this section at that time. If legal action is subject to court delays, document the reason and the eventual completion of the action. [45 CFR § 303.6(c)(4); MPP 12-107.5]

QUESTION CC11 should be answered when a real property lien is recorded against the real property of the NCP to obtain compliance with money judgments or orders enforced by the LCSA pursuant to Title IV-D of the Social Security Act.

COMPLIANCE REQUIREMENTS
The LCSA shall prepare and submit for recording a real property lien within 45 days of the date a money judgment or order is received by the LCSA, a case is opened for enforcement of an existing order or judgment, or an existing order is registered for enforcement. [22 CCR § 116130(a)]

QUESTION CC12 should be answered if a wage assignment was served on an employer during the review period.

COMPLIANCE REQUIREMENTS
The LCSA must implement a wage assignment (if one is not already in place) within 15 calendar days of the date an employer was known or within 2 business days after new employee information was entered into the NDNH. [45 CFR § 303.100(e)(2); 22 CCR § 116100(c)(1) & (2)]

QUESTION CC13 only applies to a Non-Transitioned LCSA and should be answered if the case was delinquent at intake, and applicable for referral to DCSS within 30 calendar days of case opening. [FC § 17500(d); CSS Letter 05-21]

QUESTION CC14 should be answered if:

1. During the review period, a case containing an enforceable support order was opened or reopened, or
2. The case was opened prior to the review period, but required intake actions were never completed or initiated.

SPECIAL CONSIDERATIONS

This section of the review guide is to determine if cases are being opened and assessed in the time frames prescribed by state and federal regulations.

Applications are not required of assistance recipients who are discontinued from aid. For these cases, all child support enforcement services must continue to be provided until a request is made to terminate services. A signed application is required for all nonassistance cases.

COMPLIANCE REQUIREMENTS

The LCSA must: [45 CFR § 303.2(b); 22 CCR § 112130(a)]

1. Within 20 calendar days of receipt of referral or application:
   a) Establish a case record which shall contain:
      (1) all documents regarding the case
      (2) all relevant facts and dates
      (3) a record of all actions taken and contacts made including the name of the person taking action, the name of any person contacted and the date of contact
      (4) any results of the actions taken and contacts made
   b) Based on the assessment of the case:
      (1) solicit any necessary information from the CP if appropriate
      (2) solicit any necessary information from any of the relevant sources if appropriate
      (3) initiate verification of the information obtained (if appropriate)

QUESTIONS CC15 THROUGH CC17 should be answered if one or more of the following situations occur during the review period and the case contains an enforceable support order:

1. the NCP's whereabouts are not known; or
2. the NCP's whereabouts are known, but the location of income/assets is needed in order to proceed with enforcement.

SPECIAL CONSIDERATION

For purposes of this section the definition of "location" is information concerning the physical whereabouts of the NCP, the NCP's employer(s), or the NCP's sources of income and/or assets which are used for the purpose of modifying and/or enforcing a child support obligation. [45 CFR § 303.3(a)]

The definition of "quick locate" means a request for locate services from one state's parent locator service to another state's parent locator service with the responding state providing those services without opening a Title IV-D case. [22 CCR § 113100(g)]

COMPLIANCE REQUIREMENTS	
A	Within 75 days of determining locate is necessary, the LCSA will access all appropriate federal, state and local locate sources. The LCSA must ensure that location information received is sufficient to take the next appropriate action or service. The Federal Parent Locator Services (FPLS) need not be accessed if locate information sufficient to take the next appropriate action in a case is otherwise obtained within the 75-calendar day time frame. If locate information from a locate source that was accessed within the initial 75-calendar days were received after the 75-calendar days have elapsed, then the information would be treated as new information (defined in paragraph B below; hence, another 75 calendar day time period would begin). [22 CCR § 113100(b); 45 CFR 303.3(b)(3)]
B	Following the 75-day time period, locate actions must be repeated in which previous attempts to locate the NCP or sources of income/assets have failed, but adequate identifying and other information exists to meet requirements for submittal for location. Repeated locate attempts must be done either quarterly or immediately upon receipt of new information which may aid in location, whichever occurs sooner. Quarterly attempts may be limited to automated sources when the noncustodial parent's name, date of birth, or social security number is known. Referral to an automated locate source must include accessing the State Employment Development Department (EDD) and the FPLS records. [45 CFR § 303.3 (b)(5); 22 CCR § 113100(c)]
C	If the SSN is unknown, the LCSA must have made every reasonable effort to obtain it before making the request for FPLS information. (Sources include, but are not limited to the Department of Motor Vehicles (DMV), the Department of Justice (DOJ), and Credit Reporting Agencies, etc.) [45 CFR § 303.70(c)(2); FSD Letter 92-19]
D	Additional locate action requirements are contained in 22 CCR § 113100.

QUESTION CC18 relates to the family violence indicator policy.

COMPLIANCE REQUIREMENTS
If the LCSA mailed the domestic violence cover letter and Child Support Domestic Violence Questionnaire, it must have been mailed within 5 days of first locating the CP or NCP. If a child is in foster care, the forms shall be mailed to both CP and NCP. [22 CCR § 112300(a)(1)(B)(b)(1); CSS Letter 01-03]

QUESTION CC19 should be answered if a case requiring enforcement was appropriate for transfer to another California county during the review period.

COMPLIANCE REQUIREMENTS
The LCSA shall transfer a case, if appropriate, to another California county. When transferring a case to a receiving county, the sending county must complete a standardized case transfer package, including a completed Case Transfer Financial Summary and all supporting financial documentation. When the receiving county acknowledges the case transfer, the sending county shall close the case. [22 CCR § 118203(a)(13); CSS Letter 02-18].

QUESTION CC20 should be answered "y" if the "latest required action" provision is applicable; otherwise, answer "U" if not applicable, or leave unanswered. DO NOT answer this question "no." [45 CFR § 308.29(c)(3)]

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COMPLIANCE **Collections and Distribution Review Form**

CD01 [ ] Was the payment received from a NCP with more than one case allocated correctly?
Comments: _____

CD02 [ ] For a current assistance case, was the county welfare agency notified of the amount collected on the current obligation within 10 business days of the end of the month in which the support payment was received?
Comments: _____

CD03 [ ] Was the county welfare agency notified when it was learned that a support payment was paid directly to and retained by a current assistance CP?
Comments: _____

CD04 [ ] For a current assistance case, were the disregard, pass-on (Federal Foster Care case only), and/or excess payments issued correctly and timely?
Comments: _____

CD05 [ ] Were payments distributed correctly, based on the payment source and distribution hierarchy?
Comments: _____

CD06 [ ] In nonassistance cases, were payments paid to the family or interstate initiating agency within 2 working days after the date of receipt?
Date of receipt:
Date payment made to family:
Elapsed days: (2 working days)
Comments: _____

COMPLIANCE **Collections and Distribution Review Form**

CD07 [ ] In nonassistance cases, if a payment due to the family was an IRS intercept, was the payment issued within 2 business days from the date of receipt by the SDU?
Date of receipt:
Date payment made to family:
Elapsed days: (2 business days)
Comments: _____

CD08 [ ] In nonassistance cases, if a payment due to the family was based on a tax intercept involving a joint IRS return, was payment issued within 6 months from notification of offset?
Date of notification of offset:
Date payment made to family:
Elapsed days: (6 months)
Comments: _____

Collections and Distribution Criteria

Payment Selection Criteria: For purposes of determining compliance in this component, identify and review only the last payment received and distributed by the LCSA during the review period.

Definitions

Business Day (or working day): Any day that is not a Saturday, Sunday or holiday as specified in Sections 6700 and 6701 of the Government Code.

Date of Receipt: For the following collection types, the date of receipt of collection is the date the collection/payment is received at the SDU.

Noncustodial Parent Payment (cash, check, or money order)

Intercept Payments (IRS, FTB, Lottery, EDD etc.)

Liens

UIB

Wage Withholding

Writs/Till Taps

Postdated Checks

Date of Receipt: of Interstate Payments The date of receipt of an interstate payment is the date the payment is received by the California SDU. From this date California DCSS has two business days to distribute the payment. (Note: The NCP is given credit for payment upon receipt of his payment by the other state's SDU)

Allocation: The step in the distribution process pursuant to which a support payment is apportioned among several cases/children.

Regular payments: All collections received, regardless of payment sources, except support collections received through a Financial Management Service tax intercept.

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Definitions

Disbursement: The dispensing or paying out of a collection.

Distribution: The application of monies to specific accounts to determine the appropriate disbursement of monies.

Unassigned During Assistance Arrearages – Unpaid support in former public assistance cases that accrued while the family was receiving public assistance which exceeds the total unreimbursed assistance pool.

Unassigned Pre-assistance Arrearages – Unpaid support in former public assistance cases that accrued before a family was receiving public assistance and which exceed the total unreimbursed assistance pool.

Futures: Collections received in a month that exceed both the current support obligation and the arrearages owed that are credited towards obligations that will become due in a future month.

Case Aid Status: The classification based on whether the family is currently receiving public assistance, or formerly received public assistance, or never received public assistance.

Aid: Assistance payments made to any eligible child, in a specified amount and administered in a manner as to achieve the greatest possible reduction of dependency and to promote the rehabilitation of recipients. Examples include: TANF, CalWORKs, Medi-Cal or Foster Care assistance.

Current Assistance Case – A case in which an obligee or child is currently receiving public assistance and Title IV-D services from a local child support agency.

Former Assistance Case – A case in which an obligee and/or child has formerly received public assistance and is currently receiving Title IV-D services from a local child support agency.

Never Assistance Case – A case in which an obligee and child is not currently, and has never in the past, received public assistance and is currently receiving Title IV-D services from the local child support agency.

Mixed Aid Status Case – A Title IV-D case in which one or more of the children in the case has a different public assistance or non-public assistance status, either currently or in the past.

Definitions

Current support payment:	Support collected pursuant to a court-ordered current support obligation and any voluntary payments for the month
Disregard:	Up to the first $50.00 of a current support collection that is sent to an obligee on behalf of a current assistance case receiving TANF/CalWorks/KinGAP benefits.
Excess:	The amount of assigned support paid that exceeds the Unreimbursed Assistance Pool.
Pass-on Payment:	The amount by which the current support payment exceeds the current federal Foster Care assistance payment for the month which is forwarded to the county welfare department on behalf of the child.
Unreimbursed Assistance Pool (UAP):	The cumulative amount of public assistance paid to a family receiving pubic assistance under the CalWORKs, Foster Care, or KinGAP programs which has not been repaid by the recoupment of collections for assigned current support or arrearages.
Arrearage:	The unpaid child support payments for past periods owed by a parent who is obligated to pay by court order. The arrears or arrearage or arrearages include interest and are adjusted for the amount of any partial satisfactions of the judgment.
Assigned:	The transfer of the right to support payments by an individual to the State as a condition of receiving public assistance.

Conditionally Assigned Arrearages – Arrearages that were temporarily assigned while the family received public assistance, but the temporary assignment has ended because the family is no longer receiving public assistance.

Never Assigned Arrearages – Arrearages that have never been assigned to the state in never assistance cases. Never assigned arrearages also means the arrearages in former assistance cases that accrued after a family's most recent period of public assistance ends.

Permanently Assigned Arrearages – Unpaid support that is assigned to the State as of September 30, 1998, and unpaid support that accrues on or after October 1, 1998, or while a family or child is receiving public assistance.

Definitions

Temporarily Assigned Arrearages – Unpaid support that accrues after October 1, 1998, and before the period a family receives public assistance which becomes assigned when the family receives pubic assistance. Temporarily assigned arrearages also means any unassigned arrearages that accrued before October 1, 1998, for a family who began receiving public assistance after October 1, 1998.

Unassigned During Assistance Arrearages – Unpaid support in former public assistance cases that accrued while the family was receiving public assistance which exceeds the total unreimbursed assistance pool.

Unassigned Pre-assistance Arrearages – Unpaid support in former public assistance cases that accrued before a family was receiving public assistance and which exceed the total unreimbursed assistance pool.

Collections & Distribution Component Compliance Criteria

QUESTION CD01: Was the payment received from a NCP with more than one case allocated correctly?

When the LCSA receives a collection from or on behalf of an NCP with more than one case in the county, the payment shall be either applied to one specific case and distributed within the case based on the case status, or allocated between multiple cases depending upon the payment source and distributed within each case based on the case status. The allocation rules based upon payment sources are in [45 CFR § 303.100(a)(5); MPP 12-415.1]

Also for NCPs with multiple cases, the allocation rules require the LCSA to prorate regular (non-IRS) collections, first to satisfy all current support obligations, then to satisfy arrearages. IRS intercept collections are allocated first to certified assigned arrears, then to certified unassigned arrears. The allocation methodology for determining each case's share of the allocation is in MPP 12-415.12.

After the allocation of each case's share of a payment, support is applied based on the distribution hierarchy for the case status (see question CD06 below).

NOTE: If the LCSA has transitioned to CSE refer to CCSASNet Alternative Process #00259510 if applicable.

QUESTION CD02: For a current assistance case, was the county welfare agency notified of the amount collected on the current obligation within 10 business days of the end of the month in which the support payment was received?

Within 10 business days of the end of the month in which the support is received by the LCSA, the LCSA must inform the county welfare agency of the amount of the collection which represents payment on the required support obligation for the month. [MPP 12-108.1]

QUESTION CD03: Was the county welfare agency notified when it was learned that a support payment was paid directly to and retained by a current assistance CP?

The LCSA must notify the county welfare agency whenever it discovers that directly received payments are or have been retained by a current assistance recipient [MPP 12-225.1]

QUESTION CD04: For a current assistance case, was the disregard, and/or excess payment issued correctly and timely?

The LCSA/SDU is responsible for ensuring that all distribution amounts are proper and the time frames are met for completing the welfare distribution process and disbursing disregard, pass-on and excess payments to the family or to the foster care placement agency.

If a current support payment is received on behalf of a current CalWORKs and KinGAP assistance case, the LCSA shall authorize up to $50 of a collection as a *disregard payment*. In a Federal Foster Care case (but not a non-Federal Foster Care case), any amount of current child support that exceeds the assistance paid in the same month will be sent to the county welfare department (for a foster care child) as a pass-on payment. Any amount collected that exceeds the UAP will be paid to the family or the county welfare department as an *excess payment*.

The required time frames are:

1. For disregards, payments must have been disbursed within 2 business days from the date the payment was received by the LCSA/SDU.
2. Beginning April 1, 2000, pass-on payments were discontinued except in Federal Foster Care cases, and the time frame requirements for disbursement of both excess and pass-on payments was changed to 15 calendar days after the end of the collection month.
3. The welfare distribution process must have been completed within 13 calendar days after the end of the aid and collection month.
   [45 CFR § 302.51 & 302.52; MPP 12-425(a)(1)]

QUESTION CD05: Was the payment distributed correctly, based on the payment source and distribution hierarchy?

The priority for distribution of collections depends on the case status and the payment source, either regular or IRS intercept. The distribution hierarchy is in MPP 12-420. [45 CFR § 302.51 & 302.52]

NOTE: If the LCSA has transitioned to CSE and the payment source was a foster care payment, refer to CCSASNet Alternative Process #00240057, if applicable.

QUESTION CD06: In nonassistance cases, payments paid to the family or interstate initiating agency must be issued within 2 working days after the date of receipt by the SDU. [45 CFR § 302.32(b)(1)(2)]

NOTE: If the LCSA has transitioned to CSE refer to CCSASNet Alternative Process #00257865, if applicable.

QUESTION CD07: In nonassistance cases, if a payment due to the family was subject to an IRS intercept that was not the result of a joint tax return must be issued within 2 business days from the date of receipt from the SDU.
[45 CFR § 302.32(b)(3)(i)(ii); CSS Letter 06-25]

> *NOTE: If the LCSA has transitioned to CSE, refer to CCSASNet Alternative Process #00258269, if applicable.*

QUESTION CD08: In nonassistance cases, if past-due support is based on a tax intercept involving a joint IRS return, the collection must be distributed but which may be delayed for a period not to exceed six months from offset notification, or until the State receives injured spouse claim information, which ever is earlier. In some cases, the IRS tax intercept involving a joint IRS return may, in specific circumstances, be release prior to six months (see CSS Letter 06-25). Payment released in 2 business days or prior to six months under specific circumstances will be in compliance with the requirement to release payment within six months from notification of offset.
[45 C CFR § 303.72(h)(5); CSS Letter 06-25]

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Table 1: Non-IRS Collections & Distribution Hierarchy (Financial Management System-FMS) Tax Intercept

Priority	Aid	Type	Category	Sub-Category	Applicable to Case Type				Non-Cash
					NA	CA	FA	Mix	
1.		Child/Family	Ongoing	Current	✓	✓	✓	✓	✓
2.		Medical	Ongoing	Current	✓	✓	✓	✓	✓
3.		Spousal	Ongoing	Current	✓	✓	✓	✓	✓
4.	NAA	Child/Family	Arrears	Interest	✓		✓	✓	✓
5.	NAA	Medical	Arrears	Interest	✓		✓	✓	✓
6.	NAA	Spousal	Arrears	Interest	✓		✓	✓	✓
7.	NAA	Child/Family	Arrears	Principal	✓		✓	✓	✓
8.	NAA	Medical	Arrears	Principal	✓		✓	✓	✓
9.	NAA	Spousal	Arrears	Principal	✓		✓	✓	✓
10.	CAA	Child/Family	Arrears	Interest			✓	✓	✓
11.	CAA	Spousal	Arrears	Interest			✓	✓	✓
12.	CAA	Child/Family	Arrears	Principal			✓	✓	✓
13.	CAA	Spousal	Arrears	Principal			✓	✓	✓
14.	UPA	Child/Family	Arrears	Interest			✓	✓	✓
15.	UPA	Spousal	Arrears	Interest			✓	✓	✓
16.	UPA	Child/Family	Arrears	Principal			✓	✓	✓
17.	UPA	Spousal	Arrears	Principal			✓	✓	✓
18.	PAA	Child/Family	Arrears	Interest		✓	✓	✓	✓
19.	PAA	Medical	Arrears	Interest		✓	✓	✓	✓
20.	PAA	Spousal	Arrears	Interest		✓	✓	✓	✓
21.	PAA	Child/Family	Arrears	Principal		✓	✓	✓	✓
22.	PAA	Medical	Arrears	Principal		✓	✓	✓	✓
23.	PAA	Spousal	Arrears	Principal		✓	✓	✓	✓
24.	TAA	Child/Family	Arrears	Interest		✓		✓	✓
25.	TAA	Spousal	Arrears	Interest		✓		✓	✓
26.	TAA	Child/Family	Arrears	Principal		✓		✓	✓
27.	TAA	Spousal	Arrears	Principal		✓		✓	✓
28.	UDA	Child/Family	Arrears	Interest			✓	✓	✓
29.	UDA	Spousal	Arrears	Interest			✓	✓	✓
30.	UDA	Child/Family	Arrears	Principal			✓	✓	✓
31.	UDA	Spousal	Arrears	Principal			✓	✓	✓
32.		Due to obligee (Interstate)	Costs/Fees	Interest	✓	✓	✓	✓	
33.		Due to obligee (Interstate)	Costs/Fees	Principal	✓	✓	✓	✓	
34.		Federal Late Payment (Interstate)	Penalties	Interest	✓	✓	✓	✓	
35.		Federal Late Payment (Interstate)	Penalties	Principal	✓	✓	✓	✓	
36.		Admin reimbursement	Costs/Fees	Interest	✓	✓	✓	✓	
37.		Admin reimbursement	Costs/Fees	Principal	✓	✓	✓	✓	
38.		FUTURES			✓	✓	✓	✓	

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Table 2: IRS Collections & Distribution Hierarchy (Financial Management System-FMS) Tax Intercept

Priority	Aid	Type	Category	Sub-Category	Applicable to Case Type				Non-Cash
					NA	CA	FA	Mix	
1.	PAA	Child/Family	Arrears	Interest		✓	✓	✓	✓
2.	PAA	Medical	Arrears	Interest		✓	✓	✓	✓
3.	PAA	Spousal	Arrears	Interest		✓	✓	✓	✓
4.	PAA	Child/Family	Arrears	Principal		✓	✓	✓	✓
5.	PAA	Medical	Arrears	Principal		✓	✓	✓	✓
6.	PAA	Spousal	Arrears	Principal		✓	✓	✓	✓
7.	TAA	Child/Family	Arrears	Interest		✓		✓	✓
8.	TAA	Spousal	Arrears	Interest		✓		✓	✓
9.	TAA	Child/Family	Arrears	Principal		✓		✓	✓
10.	TAA	Spousal	Arrears	Principal		✓		✓	✓
11.	CAA	Child/Family	Arrears	Interest			✓	✓	✓
12.	CAA	Spousal	Arrears	Interest			✓	✓	✓
13.	CAA	Child/Family	Arrears	Principal			✓	✓	✓
14.	CAA	Spousal	Arrears	Principal			✓	✓	✓
15.	UPA	Child/Family	Arrears	Interest			✓	✓	✓
16.	UPA	Spousal	Arrears	Interest			✓	✓	✓
17.	UPA	Child/Family	Arrears	Principal			✓	✓	✓
18.	UPA	Spousal	Arrears	Principal			✓	✓	✓
19.	UDA	Child/Family	Arrears	Interest			✓	✓	✓
20.	UDA	Spousal	Arrears	Interest			✓	✓	✓
21.	UDA	Child/Family	Arrears	Principal			✓	✓	✓
22.	UDA	Spousal	Arrears	Principal			✓	✓	✓
23.	NAA	Child/Family	Arrears	Interest	✓		✓	✓	✓
24.	NAA	Medical	Arrears	Interest	✓		✓	✓	✓
25.	NAA	Spousal	Arrears	Interest	✓		✓	✓	✓
26.	NAA	Child/Family	Arrears	Principal	✓		✓	✓	✓
27.	NAA	Medical	Arrears	Principal	✓		✓	✓	✓
28.	NAA	Spousal	Arrears	Principal	✓		✓	✓	✓

- NAA: Never Assigned Arrears
- CAA: Conditionally Assigned Arrears
- UPA: Unassigned PreAssistance Arrears
- PAA: Permanently Assigned Arrears
- TAA: Temporarily Assigned Arrears
- UDA: unassigned During Assistance

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COMPLIANCE **Interstate Review Form**

INTERSTATE-INITIATING CASES

CE01 [ ] When appropriate, did the LCSA attempt to use the "long-arm" statute to establish paternity?
Comments: _____

CE02 [ ] A) When did the LCSA determine that this is an interstate case and when was all the necessary information needed to process this case received?
Date(s) information received:
B) When was the case referred to the responding state's central registry?
Date(s) of referral:
Elapsed days: (20 calendar days)
Comments: _____

CE03 [ ] A) When did the LCSA receive a request for additional or new information from the responding state?
Date request received:
B) When did the LCSA provide information to responding state, or notify the responding state the information would be provided?
Date information provided:
Elapsed days: (30 calendar days)
Comments: _____

CE04 [ ] A) When did the initiating LCSA receive new information on the case?
Date information received:
B) When was the information forwarded to the responding state?
Date information forwarded:
Elapsed days: (10 business days)
Comments: _____

COMPLIANCE **Interstate Review Form (continued)**

INTERSTATE–RESPONDING CASES

NOTE: Interstate cases are subject to the same time frames and notice requirements as in-state cases. Interstate initiating cases must meet additional requirements as specified in that section of this form.

CE05 [ ] After determining it was appropriate to request a review of a child support order in another state, did the LCSA send the request for review to that state within 20 calendar days of receipt of sufficient information to conduct the review?
Date sufficient information was received for review/adjustment:
Date review request sent:
Elapsed days: (20 calendar days)
Comments: _____

CE06 [ ] A) When did the LCSA receive the appropriate interstate documentation from the initiating state requesting services?
Date:
B) When did the LCSA provide the requested services/information or request additional information from the initiating state to proceed?
Date:
Elapsed days: (75 calendar days)
Comments: _____

CE07 [ ] A) When was it determined that the NCP had moved to another California county?
Date:
B) By what date did the LCSA complete all of the following three steps?
Transfer the case to the new county?
Date:
Notify the initiating state?
Date:
Notify the California Central Registry?
Date:
Elapsed days: (10 business days)
Comments: _____

COMPLIANCE **Interstate Review Form (continued)**

CE08 [ ] A) When did the LCSA receive information that the NCP was located in a state other than California?
Date:

B) By what date did the LCSA complete all of the following three steps?
Notify the initiating state of the NCP's new location?
Date:
Return documentation to initiating state or central registry in the state where the NCP is located?
Date:
Notify the California Central Registry of the case transfer?
Date:
Elapsed days: (10 business days)
Comments:

CE09 [ ] LATEST REQUIRED ACTION
Does the "Latest Required Action" provision (pertaining to time frames) apply to this component? (Answer either "y" or "U.")
If yes, explain:

Blank Intentionally

Interstate Component Compliance Criteria

This review form is to be used if during the review period:

1. the "long arm" statute has or should have been used; or
2. initiating or responding activities have, or should have, occurred.

The PRWORA requires all states to enact the Uniform Interstate Family Support Act of 1996 (UIFSA) effective January 1, 1998. UIFSA replaces the previous uniform act, the Uniform Reciprocal Enforcement of Support Act (URESA); UIFSA is the law currently governing interstate child support enforcement in California. [FSD Letter 97-16]

SPECIAL CONSIDERATIONS

The initiating jurisdiction is defined as the jurisdiction in which the applicant for support resides. The responding jurisdiction is defined as the place where the NCP or respondent petitioner resides. The "long arm" statute for paternity provides that a person who has sexual intercourse in this state submits to the jurisdiction of the courts of this state for an action brought with respect to a child who may have been conceived by that act of intercourse. [FSD Letter 92-02]

The long arm provision has been expanded under UIFSA. FC § 4905 states: "In a proceeding to establish, enforce or modify a support order or to determine parentage, a tribunal of this state may exercise personal jurisdiction over a nonresident individual or the individual's guardian or conservator if any of the following apply":

(1) The individual is personally served with notice within this state.
(2) The individual submits to the jurisdiction of this state by consent, by entering a general appearance, or by filing a responsive document having the effect of waiving any contest to personal jurisdiction.
(3) The individual resided with the child in this state.
(4) The individual resided in this state and provided prenatal expenses or support for the child.
(5) The child resides in this state as a result of the acts or directives of the individual.
(6) The individual engaged in sexual intercourse in this state and the child may have been conceived by that act of intercourse.
(7) The individual has filed a declaration of paternity pursuant to Chapter 3 (commencing with § 7570) of Part 2 of Division 12.
(8) There is any other basis consistent with the constitutions of this state and the United States for the exercise of personal jurisdiction.

In order for the case to be considered an interstate case, the LCSA must have determined that it cannot take any further action without the assistance of the other jurisdiction. The 20-calendar day time frame for referring an interstate case begins with the receipt of information necessary to process the case. [45 CFR § 303.7(b)(2); 22 CCR Chapter 7]

The date of receipt of the request is now defined as the date the requesting party's complete current income and expense information is provided to the LCSA.
[CSS Letters 04-19]

"Latest Required Action" Provision: Consistent with requirements of 45 CFR § 308.2[c][3], if the "notwithstanding" provision cannot be applied, the "latest required action" provision may be considered; that is, if the latest appropriate action for this case in this component was taken correctly, the case is considered in compliance (Answer only "Y" or "U.")

NOTE # 1: The "latest required action" does not apply to a situation where a required time frame was not met, but where the action associated with that time frame was eventually completed within the review period. It only applies to a subsequent (latest required) action where the time frame was met. Also, if a required action was still not taken as of the end of the review period, the latest required action provision cannot be applied.

NOTE # 2: UIFSA has introduced a new concept to interstate cases. That is, if an order already exists in another state, California should NOT establish a new one. LCSAs must consider whether that other state has "continuing exclusive jurisdiction" (CEJ) before it may modify that order in California even to add medical. If multiple orders already exist, then a LCSA may need to bring a notice of determination of controlling order.

NOTE #3: Wage assignments may be enforced directly in other states and a LCSA may directly withhold income under UIFSA without going through the responding tribunal.

NOTE #4: If a LCSA takes advantage of our "long-arm" jurisdiction to sue a parent out of state directly, or if a LCSA enforces via a direct wage assignment to an NCP's out of state employer (no other state IV-D agency involved in either situation), then the time frame requirements for handling interstate cases do not apply.

QUESTIONS CE01 THROUGH CE04 relate to establishing Interstate-Initiating cases.

COMPLIANCE REQUIREMENTS	
A	Use the "long arm" statute authority to establish paternity whenever appropriate. [45 CFR § 303.7(b)(1); 22 CCR § 117200(a), FSD Letter 92-02] (See Special Considerations for "long-arm" provisions under UIFSA.)
B	Within 20 calendar days of determining that the NCP is in another state, and if appropriate, receipt of any necessary information needed to process the case, refer the case to the responding state's central registry for action including interstate petition (or a computer generated replica), request for location, document verification, administrative reviews in IRS tax refund offset cases, wage assignment in child support cases. (See NOTE #3 above regarding direct income withholding.) [45 CFR § 303.3(b)(4) & CFR 303.7(b)(2); 22 CCR § 117400(d)(1)]
C	Within 30 calendar days of receipt of request for additional or new information, provide all requested information or notify the responding state when the information will be provided. This can be accomplished by submitting an updated review form or a computer-generated replica of the form containing the same information and all necessary additional documentation. [45 CFR § 303.7(b)(3) and (4); 22 CCR § 117400(d)(2)]
D	Within 10 working days of receipt of new information on a case, notify the child support agency in the responding state by submitting an updated review form and all necessary documentation. [45 CFR § 303.7(b)(5); 22 CCR § 117400(d)(3)]

QUESTIONS CE05 THROUGH CE08 relate to Interstate-Responding cases.

COMPLIANCE REQUIREMENTS	
A	After the LCSA determines that it is appropriate to request a review of a child support order in another state, the request for review must be sent to the state that has continuing exclusive jurisdiction to modify the order within 20 calendar days of receipt of sufficient information to conduct the review. If the request for review is the first contact between the initiating and responding states in the case, the request for review must be sent to the central registry in the responding state. If the initiating state previously referred the case to the responding state for action, the request for review may be sent directly to the appropriate agency in the responding state for processing. [45 CFR § 303.7(b)(6); 22 CCR § 117403(a)(b)(c); CSS Letter 04-09]
B	Within 75 calendar days of receipt of an interstate request from the central registry, the LCSA must: [45 CFR § 303.7(c)(4); 22 CCR § 117500(b)] a) Provide requested/needed locate services; b) Request the initiating state to provide all necessary additional documentation or information; c) Process the case to the extent possible, pending receipt of additional information
C	Within 10 business days of locating the NCP in another county in California, the LCSA must have completed all of the following: [45 CFR § 303.7(c)(5); 22 CCR § 117502(a)] a) Transfer the case to the appropriate jurisdiction; b) Notify the initiating state and c) Notify the California Central Registry of the transfer
D	Within 10 business days of locating the NCP in a different state, the LCSA must have completed all of the following: [45 CFR § 303.7(c)(6); 22 CCR § 117502(b)] a) Notify the initiating state of the NCP's new location b) Return the documentation to the initiating state or if requested, forward to the central registry in the state where the NCP has been located c) Notify the California Central Registry where the case has been sent

QUESTION CE09 should be answered "y" if the "latest required action" provision is applicable; otherwise, answer "U" if not applicable or leave unanswered. DO NOT answer this question "no." [45 CFR § 308.2(c)(3)]

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COMPLIANCE **Medical Support Review Form**

When the LCSA determines that the existing order for current support DOES NOT contain a provision for health insurance coverage:

Exception: Where nonassistance parent declined medical support services and verified the children are covered by insurance.

CF01 [ ] Did the LCSA file a Notice of Motion or Order to Show Cause with the court to include a health insurance coverage provision in the support order?
Comments: _____

CF02 [ ] If an employer is not known, did the LCSA serve the NCP by first class mail Form CSS 4330 or DCSS 0054, (whichever applicable), along with written notification to complete and return the form to the LCSA within 20 calendar days of the date of the notification?
Comments: _____

CF03 [ ] If the NCP's employer is known, did the LCSA serve the employer by first class mail Form CSS 4333 or DCSS 0054, (whichever applicable), along with written notification to complete and return the form to the LCSA within 30 calendar days of the date of the notification?
Comments: _____

When the LCSA determines that the existing order for current support DOES contain a provision for health insurance coverage:

CF04 [ ] A) If new employee information was received from the National Directory of New Hires (NDNH), did the LCSA serve the employer the National Medical Support Notice (NMSN) within 2 business days?
Date of NDNH entry:
Date NMSN served:
Elapsed days: (2 business days)
B) If new employer information was received from a source other than the NDNH, did the LCSA serve the NMSN within 15 calendar days from when the information was received?
Date employer known:
Date NMSN served:
Elapsed days: (15 calendar days)
Comments: _____

COMPLIANCE **Medical Support Review Form (continued)**

CF05 [ ] If the medical provision in the support order was no longer enforceable, did the LCSA terminate the NMSN within 10 calendar days of obtaining documentation under the provisions of 22 CCR Section 116120?
Date documentation received:
Date NMSN terminated:
Elapsed days: (10 calendar days)
Comments:

CF06 [ ] If the NMSN was terminated, did the LCSA notify the CP, NCP and NCP's employer in writing under the provisions of 22 CCR Section 116120?
Comments:

CF07 [ ] If medical insurance information was secured, was all required information transmitted to the California Department of Health Care Services (DHCS) on DHS 6110 or DHCS 6110, (whichever applicable) within 10 business days of date health insurance information was received by the LCSA?
Date information was received by the LCSA:
Date DHS 6110 or DHCS 6110 sent to DHCS:
Elapsed days: (10 business days)
Comments:

CF08 [ ] Was DHCS notified of any lapse, change, or termination of the health insurance coverage on DHS 6110 or DHCS 6110, (whichever applicable) within 10 business days of the date the LCSA received notification?
Date notification received by LCSA:
Date DHS 6110 or DHCS 6110 sent to DHCS:
Elapsed days: (10 business days)
Comments:

CF09 [ ] Did the LCSA forward any health insurance coverage information received by a health plan administrator to the CP within 10 business days of receipt?
Date information received:
Date information sent to CP:
Elapsed days: (10 business days)
Comments:

CF10 [ ] LATEST REQUIRED ACTION
Does the "latest required action" provision (pertaining to timeframes) apply to this component? (Answer either "y" or "U.")
If yes, please explain: _____

_____

_____

_____

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Medical Support Component Compliance Criteria

This review form is to be used if during the review period:

1. The case includes minor children and
2. A case has a NEW or ADJUSTED order; or
3. If there is no provision in the existing current support order for medical support; or
4. If an order was established prior to the review period, but no actions were taken to enforce the medical support provision; or
5. An order for health insurance coverage only is requested.

SPECIAL CONSIDERATIONS

Health insurance cost is considered reasonable if it is employment related or other group health insurance, regardless of the service delivery mechanism. Health insurance includes fees for service, health maintenance organizations, preferred provider organizations, and other types of medical services that could be provided to the dependent child of the NCP Health insurance also includes dental and vision coverage. Activities to obtain and enforce health insurance coverage for dependent children must occur in all cases referred by the IV-A Agency (assistance, foster care and MNO cases), as well as all nonassistance cases. Medical support activities are a responsibility of the LCSA when establishing and enforcing a child support obligation.
[45 CFR 303.31]

NOTE #1: *The February 9, 1999 Federal Register (Vol. 64. No. 26) issued a change which requires the Secretary to issue regulations requiring State agencies to petition for inclusion of medical support in a child support order whenever health care coverage is available to the noncustodial parent at reasonable cost except as specified by 45 CFR § 303.31 (b)(1). Therefore, non-IV-A applicants or recipients of services under 45 CFR § 302.33 no longer have the option, in receiving IV-D services, to refuse the inclusion of health insurance coverage in the order.*

"Latest Required Action" Provision: Consistent with requirements of 45 CFR § 308.2[c][3], if the "notwithstanding" provision cannot be applied, the "latest required action" provision may be considered; that is, if the latest appropriate action for this case in this component was taken correctly and timely, the case is considered in compliance. (Answer this question "Y" or "U")
[45 CFR § 308.2(c)(3)]

NOTE #2: *The "latest required action" does not apply to a situation where a required time frame was not met, but where the action associated with that time frame was eventually completed within the review period. It only applies to a subsequent (latest required) action where the time frame was met. Also, if a required action was still not taken as of the end of the review period, the latest required action cannot be applied.*

NOTE: If all other eligibility requirements are met, LCSAs may submit cases to the integrated database with arrearages below dollar limits, and for IRS cases, if the case will be three months in arrears at the beginning of the new process year.

QUESTIONS CF01 THROUGH CF03 apply when an existing order DOES NOT contain a provision for health insurance coverage

COMPLIANCE REQUIREMENTS	
A	Identify cases which do not include a provision for medical insurance and where the NCP is having wages withheld for a child support obligation. For those cases identified, the LCSA shall petition the courts to modify those cases to include health insurance coverage for the dependent children. [45 CFR § 303.31(b)(4); 22 CCR § 116114(a)]
B	When the LCSA determines that a support order for current support does not include health insurance coverage, and the NCP's employer is not known, the LCSA must serve the NCP by first class mail, CSS 4330 or DCSS 0054, whichever is applicable and notification to complete and return the form to the LCSA within 20 days of notification. If the NCP's employer is known, the LCSA must serve the employer by first class mail, CSS 4333 or DCSS 0054, whichever is applicable and written notification to complete and return the form to the LCSA within 30 days of notification. [45 CFR § 303.30(7); CCR § 116114(a)(2) and (3)]

QUESTIONS CF04 THROUGH CF09 apply when an existing order DOES contain a provision for health insurance coverage

COMPLIANCE REQUIREMENTS	
A	The LCSA must serve the employer the NMSN accompanying the wage assignment within 2 business days of intercept of the new employee information from the National Directory of New Hires (NDNH) or 15 calendar days of the date an employer was known. [45 CFR § 303.32(c)(2); 22 CCR § 116100(c)(1) and (2)]
B	If medical support is no longer enforceable, the LCSA shall terminate the NMSN within 10 days of obtaining: 1)an order by the court terminating medical support 2)an order for medical support is no longer in effect 3)proof that the child(ren) has died or reached emancipation 4)a request in writing from non-welfare CP to cease medical support and enforcement services 5)a request in writing from non-welfare CP to close case [45 CFR § 303.32(c)(7); 22 CCR § 116120(a)]
C	Upon terminating the NMSN as specified in 116120(a), the LCSA must notify the CP, NCP and NCP's employer. [45 CFR § 303.32(c)(7); 22 CCR § 116120(b)]
D	Complete all required information on DHS 6110 or DHCS 6110 (whichever applicable) within 10 business days of the date health insurance coverage enrollment has been received. [45 CFR § 303.31(b)(7); 22 CCR § 116114(d)]
E	The LCSA shall update and forward DHS 6110 DHCS 6110 to DHCS within 10 business days of notification when the following has occurred: 1)any health insurance coverage has lapsed 2)any health insurance coverage provider has changed 3)any term of the health insurance coverage has changes 4)any health insurance coverage has been terminated 5)any medical support order or assignment order has been quashed or set aside by court order. [45 CFR § 303.31(b)(8); 22 CCR § 116114(e)]
F	Forward to CP any health insurance policy information received from a Plan Administrator within 10 business days of receipt of information.[22 CCR § 116114(f)]

QUESTION CF10 should be answered "y" if the "latest required action" provision is applicable; otherwise, answer "U" if not applicable or leave unanswered. DO NOT answer this question "no." [45 CFR § 308.2(c)(3)]

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COMPLIANCE		**Case Closure Review Form**
CG01	[ ]	If the child support case was eligible for closure under the provisions of 22 CCR § 118203, was it closed during the review period? Comments:
CG02	[ ]	If the child support case was closed, was it closed in accordance with case closure criteria? Comments:
CG03	[ ]	Was written notice of intent, using required language, sent to the CP prior to closing? (Exceptions permitted) Date notice sent: Date case closed: Elapsed days: (Minimum 60 calendar days) Comments:

Blank Intentionally

Case Closure Component Compliance Criteria

This review form is to be used if during the review period the case was closed or was eligible for closure under 22 CCR § 118203.

QUESTIONS CG01 THROUGH CG03 should be answered if a case was closed or was eligible for closure.

SPECIAL CONSIDERATION:

Case closure means that Title IV-D services will no longer be provided. However, case closure does not affect the support order if the order is still current, or arrearages are accrued under the order. Although the LCSA closes a case, a support order that is current remains in effect and arrearage continues to accrue for the life of the order.

COMPLIANCE REQUIREMENTS	
A	The LCSA shall close any case that meets at least one case closure criteria [45 CFR § 303.11(b); 22 CCR § 118203(a)]: 1. There is no longer a current support order and no arrearage payments were made in the preceding twelve consecutive months, and assigned and unassigned arrearages are under $500; or arrearages are unenforceable under state law. Situations to which these criteria apply include, but are not limited to the following: [45 CFR § 303.11(b): 22 CCR § 118203(a)(1)] a) Reconciliation of the family or the death of a child. [22 CCR § 118203(a)(1)(A) and (B)] b) Paternity is established and is the only Title IV-D service provided because both parents in a Title IV-grant are living together [22 CCR § 118203(a)(1)(C)]; c) The child for whom support is sought dies before paternity is established. [22 CCR § 118203(a)(1)(D)]; d) Cases with medical support orders with a specific dollar amount and arrears which accrue under such orders. [22 CCR § 118203(a)(1)(E)]; or e) Emancipation of the youngest child. [22 CCR § 118203(a)(1)(F)] 2. NCP or alleged father is deceased and no further action can be taken, including a levy against the estate. [45 CFR § 303.11(b)(2), 22 CCR § 118203(a)(2)]. The LCSA shall verify the death of the NCP or alleged father and shall document attempts to identify assets in the estate that could be levied against were unsuccessful. The case closure notice shall include information about possible Social Security Administration death benefits. [22 CCR § 118203(a)(2)(A) and (B)] 3. Paternity cannot be established because one of the following: [45 CFR § 303.11(b)(3); 22 CCR § 118203(a)(3)] a) The youngest child requiring paternity establishment has reached 18 years of age and there is no pending judicial action to establish the child's paternity. [45 CFR § 303.11(b)(3)(i); 22 CCR § 118203(a)(3)(A)]

COMPLIANCE REQUIREMENTS	
A cont.	b) A genetic test or court or administrative process has excluded the alleged father and the custodial party has attested under penalty of perjury that he/she does not know the identity of other individuals who could be the father. [45 CFR § 303.11(b)(3)(ii); 22 CCR § 118203(a)(3)(B)] c) The LCSA, in conjunction with the county welfare department, determines that the child's best interest will not be served by establishing paternity in a case involving incest or forcible rape, or a case where legal proceedings for adoption are pending. [45 CFR § 303.11(b)(3)(iii); 22 CCR § 118203(a)(3)(C)] d) The first or last name of the biological father is unknown and cannot be identified after diligent efforts, including at least one face-to-face interview by the LCSA with the custodial party. Diligent efforts means the LCSA must act on leads the custodial party provides that help identify and locate the biological father, such as the biological father's last known address or employer. The LCSA may conduct the interview by telephone when, to be interviewed face-to-face, the CP would have to travel 60 miles or take time off from work, or the CP is disabled or lacks transportation. [45 CFR § 303.11(b)(3)(iv); 22 CCR § 118203(a)(3)(D)] e) The child was conceived as the result of artificial insemination of a woman other than the donor's wife, and the husband of the woman, if any, did not consent to the insemination. [22 CCR § 118203(a)(3)(E)] 4. The LCSA has no knowledge of any of the following: the NCP's or alleged father's residence, employment address, earnings and assets are unknown and the LCSA has made quarterly attempts using all locate sources to locate the NCP, all of which have been unsuccessful. Such efforts shall be made over a three year period when there is sufficient information to initiate an automated locate, or over a one year period when there is insufficient information to initiate an automated locate effort. a) Sufficient information means the first and last name, and date of birth, and/or social security number of the NCP or alleged father. b) When there is insufficient information, the LCSA shall at least once ask the CP for additional information to assist with identifying or locating the NCP or alleged father. The LCSA shall make every effort to obtain a social security number of the NCP or alleged father using all appropriate sources, including, but not limited to the Department of Justice, Department of Motor Vehicles, Social Security Administration, and the Federal Parent Locator Service." [45 CFR § 303.11(b)(4); 22 CCR § 118203(a)(4)] 5. The NCP cannot pay support for the duration of the child's minority for any of the three reasons stated below and the LCSA determines that no income assets are available to the NCP which could be levied or attached for support. [45 CFR § 303.11(b)(5); 22 CCR § 118203(a)(5)] a) The NCP is institutionalized in a psychiatric facility. [22 CCR § 118203(a)(5)(A)] b) The NCP is incarcerated with no chance of parole. [22 CCR § 118203(a)(5)(B)] c) The NCP has a medically verified total and permanent disability with no evidence of support potential. [22 CCR § 118203(a)(5)(C)] d) The NCP receives SSI/SSP and has no other attachable income or assets. [22 CCR § 118203(a)(5)(D)] 6a. The NCP lives in a foreign country, other than Mexico, and all of the following apply: [45 CFR § 303.11(b)(6); 22 CCR § 118203(a)(6)(A)] a) The NCP is a citizen of that foreign country. [22 CCR § 118203(a)(6)(A)1.] b) The NCP does not work for the U.S. Government or a company which has its headquarters or offices in the United States. [22 CCR § 118203(a)(6)(A)2.]

COMPLIANCE REQUIREMENTS	
A cont.	c) The NCP has no reachable domestic income or assets; [22 CCR § 118203(a)(6)(A)3.] d) California does not have reciprocity with the country. [22 CCR § 118203(a)(6)(A)4.] 6b. The NCP resides in Mexico and in addition to a) through c) above, the case is a California-initiated request for reciprocal child support services with Mexico, and at least one of the following apply: [22 CCR § 118203(a)(6)(B)] a) Paternity is at issue and California does not have the basis to establish paternity using long-arm jurisdiction specified in FC § 4905, or the use of long-arm jurisdiction to establish paternity is appropriate, but the LCSA is unable to establish paternity. [22 CCR § 118203(a)(6)(B)1.] b) The NCP's location is not known. [22 CCR § 118203(a)(6)(B)2.] c) The NCP is not known to be working or the LCSA is unable to determine the NCP's employer. [22 CCR § 118203(a)(6)(B)3.] d) The LCSA cannot be provided with a photograph of the NCP. [22 CCR § 118203(a)(6)(B)4.] e) The only issue in the case is retroactive support for past public assistance paid. [22 CCR § 118203(a)(6)(B)5.] 7. The LCSA has provided non-Title IV-D location-only services as requested by the CP, legal guardian, attorney or agent of a child who is not receiving assistance, whether or not such services were successful. [45 CFR § 303.11(b)(7); 22 CCR § 118203(a)(7)] 8. The recipient of services who is currently not receiving public assistance under Title IV-A requests closure of a case and there is no assignment for medical support and no assigned arrears. [45 CFR § 303.11(b)(8); 22 CCR § 118203(a)(8)] 9. The court determines it would be inappropriate to establish a child support order for a case in which retroactive child support for past assistance paid is the only issue. [22 CCR § 118203(a)(9)] 10. There has been a finding of good cause as specified in Welfare and Institutions Code Sections 11477.04 or 14008.6 or other exceptions to cooperation with the LCSA and the state or county welfare department has determined that support enforcement may not proceed without risk or harm to the child or caretaker relative. [45 CFR § 303.11(b)(9); 22 CCR § 118203(a)(10)] 11. Except as specified in subparagraph (c), the LCSA is unable to contact the nonTitle IV-A recipient of services over 60-calendar days despite attempts to contact the recipient of services both by phone and first class letter, sent to the last known address and after using the Department of Motor Vehicles and other locate sources to locate the recipient of services. a) The 60-day period shall begin the date the contact letter is mailed to the last known address of the recipient of services. b) A LCSA shall not mail the notice of case closure until 60 days have elapsed from the date the contact letter was mailed to the recipient of services and all responses from queried locate sources have been received indicating no new information is available that would allow the case to remain open. c) When the recipient of services is a CP and a LCSA has a child support collection that needs to be distributed to the CP, the LCSA shall attempt to locate the CP for six months, applying the same requirements and locate sources for locating NCPs, before the case qualifies for closure under this criterion. d) Medically Needy Only cases shall not be closed under this closure criterion. The LCSA shall contact the county welfare department for assistance in locating the recipient of services. [45 CFR § 303.11(b)(10); 22 CCR § 118203(a)(11)]

COMPLIANCE REQUIREMENTS	
A cont.	12. The non-Title IV-A recipient of services, except a Medically Needy Only recipient, is uncooperative and all of the following apply: [45 CFR § 303.11(b)(11); 22 CCR § 118203(a)(12)] a) The LCSA documents the circumstances of noncooperation in the case file. b) An action by the recipient of services is essential for the next step in providing child support services. c) The LCSA shall explain the incident(s) of noncooperation to the recipient of services, in writing, and shall warn the recipient of services that further noncooperation may result in case closure. d) Noncooperation shall include any action or inaction by the recipient of services that is essential for the next step in providing Title IV-D services, including but not limited to: 1) Continuing to accept direct child support payments. 2) Failing to attend hearings. 3) Refusing to sign forms. 4) Refusing to report private attorney actions. 13. The recipient of services has moved to another county or state and both a) and b) apply: [22 CCR § 118203(a)(13)] a) The recipient of services has applied for service in another county or state. b) The LCSA documents in the case file that contact was made with the other county or state to confirm that the recipient of services has applied for services in the other county or state, or in the case of an intercounty transfer, to confirm that the case has been transferred. c) In addition to a) and b), when there are assigned arrears, the case shall not close until one of the following occurs: 1) The assigned arrears are collected. 2) The case can be closed under another closure criterion. 3) The responsibility for collecting the assigned arrears is transferred to another jurisdiction. 14. A LCSA documents failure by an initiating state in an interstate case to take an action which is essential for the next step in providing Title IV-D services [45 CFR § 303.11(b)(12); 22 CCR § 118203(a)(14)] a) If California is the responding state and a LCSA needs additional information to process an interstate case that LCSA shall send to the initiating state a notice requesting the initiating state to provide the information within 30 days, or provide a response within 30 days as to when the information shall be provided. 1) If the information or notice of when information will be provided is not received by the responding LCSA after 30 days from mailing the request specified in (a) above, the responding LCSA shall notify the initiating state that the case will be closed in 60 days. 2) The responding local child support agency shall also send a copy of the closure notification to the initiating state's central registry with a notation requesting any assistance the central registry can provide the initiating state's Title IV-D agency in obtaining information necessary to keep the case open. b) The case shall be closed after 60 days have elapsed from the date of mailing the closure notice specified above, if the initiating state does not provide the information needed to process the interstate case or a response stating when the information will be provided.

COMPLIANCE REQUIREMENTS	
A cont.	c) When the initiating state requests case closure and does not provide the case closure criterion, or provides a case closure criterion that is inconsistent with 22 CCR §§ 118203(a)(1) through (13) and (15), the LCSA shall send the initiating state a written notice of intent to close the case in 60 days, unless the initiating state provides a case closure criterion that is consistent with 22 CCR §§ 118203(a)(1) through (13) and (15). After 60 days, if the initiating state does not provide the appropriate case closure criterion, the case shall be closed as specified in (b). 15. A Title IV-D case is erroneously opened and both of the following apply: a) No Title IV-D services can be appropriately provided for the case. b) There is clear and complete documentation in the case file explaining why the case was erroneously opened and why no Title IV-D services can be provided. [22 CCR § 118203(a)(15)]
B	The LCSA shall notify the recipient of services in writing of the LCSA's intent to close the case. A written notice of case closure shall be mailed to the last known address of the recipient of services 60 calendar days prior to closing the case pursuant to 22 CCR §§ 118203(a)(1) through (6) and (11) through (14). [45 CFR § 303.11(c);22 CCR § 118203(b)] 1. Written notice shall not be provided for cases closed under 22 CCR §§ 118203(a)(7) through (10) and (15). 2. The written notice of intent to close a case shall include the following: a) The reason the case is closed. b) The circumstances under which the case may be reopened. c) Whom to contact to apply for possible Social Security benefits for cases closed under subsection [22 CCR § 118203(a)(2).] 3. When the case is eligible for closure pursuant to 22 CCR § 118203(a)(1) because the parents have reconciled, consequently the family is ineligible for public assistance, and there are no arrears assigned to the state, the LCSA shall mail the written notice of case closure to both the custodial party and noncustodial parent. The notice shall state the following: a) The case is closed because the family has reconciled. b) Title IV-D services shall be terminated. 4. The case shall be kept open if the recipient of services responds to the closure notice with information that could lead to the establishment of paternity, a support order or enforcement of an order. 5 The case shall remain open if contact is reestablished with the recipient of services in the instance of 22 CCR § 118203(a)(11). 6. A case shall be reopened at a later date if a non Title IV-A former recipient of services requests that the case be reopened and can provide information that could lead to the establishment of paternity or a support order or enforcement of an order. When a non Title IV-A former recipient of services requests resumption of Title IV-D services, the recipient of services shall complete a new application package. [45 CFR § 303.11(c); 22 CCR § 118203(c)]

COMPLIANCE REQUIREMENTS	
B cont.	7. The LCSA shall retain closed Title IV-D case records for a minimum of four years and four months from the date of closure, unless otherwise specified. Summary criminal history information shall be disposed of in accordance with record disposal requirements specified in 22 CCR § 111460. [45 CFR § 303.11(d); 22 CCR § 118203(d)] 8. When Title IV-D cases are closed, LCSAs shall evaluate the case to determine whether it is appropriate to release, remove, rescind or terminate establishment and enforcement activities initiated against the obligor. Release, removal, rescission or termination includes, but is not limited to: a) Dismissal of Summons and Complaint b) Termination of income withholding orders and National Medical Support Notices c) Removal of obligor's name and social security number from intercepts d) Release of personal and real property liens e) Substitution of payee [22 CCR § 118203(e)] 9. When a recipient of services has a family violence indicator, the LCSA shall obtain from the recipient of services a substitute address, when necessary for releasing, removing, rescinding or terminating establishment and enforcement actions, and shall not disclose the whereabouts of the recipient of services and the affected child(ren) unless ordered to do so by a court of competent jurisdiction after proper notice and hearing. [22 CCR § 118203(e)(4)]

Part II: Expedited Process

The measurement of compliance with expedited process requirements, as specified by regulations [45 CFR § 303.101(b)(2); MPP §§ 12-106.2, 12-109 and 12-211; FSD 98-04] will be completed as follows:

a) Obtain the expedited process log or record for the month of September 2007. This log should list all cases entering expedited process during that month.
b) Track these cases forward for one year to determine the date of disposition for each. The requirement is that 75 percent must be completed within 6 months and 90 percent within 12 months, leaving not more than 10 percent that may exceed 12 months.
c) Record the results on the Expedited Process Tabulation Form (in CRTCS) and include the results in the review report, with a finding of either compliance or noncompliance.
d) If there are fewer than 11 cases for the month of September 2007, the LCSA will be considered in compliance in Expedited Process, but will be encouraged to take voluntary corrective action if the percentage scores are below the required standard.

Expedited Process Tabulation Form Instructions: For those cases included on the September 2007 Expedited Process Tabulation Form page 87, calculate the elapsed time between the service of process dates and disposition dates.

Review Month	Enter month reviewed (from IV-D expedited process case log)
Page ___ of ___	Enter number of pages used to record expedited process case time frames
IV-D Case Number	Enter the LCSA case number (last four digits only)
Date of Service of Process	Enter the date the NCP was served
Date of Disposition	Enter the date of disposition
Completed Disposition Time Frames	Enter a check mark in applicable column(s) to indicate when action in a case reached disposition within the expedited process time frames. For any case where a check is placed in the 6-month column, also check the 12-month column
Subtotal	Enter appropriate count in each column
Total	On last page only—enter total count of all subtotaled pages
Grand Total	On last page only—enter total count of the three total columns
Percentage	On last page only—enter appropriate calculated percentages from the grand total amount for the three columns using the following: 6 mo. column = % 12 mo. column = % >12 months column = % GRAND TOTAL GRAND TOTAL GRAND TOTAL
LCSA is considered to be	On last page only—enter, via check mark, appropriate compliance status of LCSA's expedited process time frames

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EXPEDITED PROCESS TABULATION FORM

REVIEW MONTH: September 2007 *Page ___ of _____*

IV-D Case No.	Date of Service of Process	Date of Disposition	COMPLETED DISPOSITION TIME FRAMES		
			6 Months (75%)	12 Months (90%)	More than 12 Months (Less than 10%)

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Part III: Program Administration

In the Program Administration Section there are eight components. The Required Notices, Case Application, Safeguard Activity, and Declarations of Paternity involve federal requirements and Case Transfer involves state requirements that are considered compliance areas for purposes of the compliance review. Therefore, the Local Child Support Agency's (LCSA) failure to meet the minimum requirement of any one of these components will result in a finding of noncompliance and will require a corrective action plan. The remaining three components, Complaint Resolution Tracking System, Co-Locate and the Compromise of Arrears Program (COAP), involve state requirements that are considered "administrative." Therefore, a finding of noncompliance of any one of these components will not affect the overall compliance result, but will require a program improvement plan to correct the noncompliance.

REQUIRED NOTICES QUESTIONNAIRE

PART 1
MONTHLY STATEMENT OF COLLECTIONS AND DISTRIBUTIONS

REFERENCES: 45 CFR § 302.54[a][1]; Barnes v. Anderson et al., First Amended Permanent Injunction and Judgment, No. CIV-S-90-0579, filed December 14, 1998; 22 CCR § 119184;'CSS Letter 05-26; CSSIN Letter 07-04

REQUIREMENTS: As a result of the Barnes vs. Anderson lawsuit and federal requirements monthly statements of collections are required to be sent to the Custodial Parents (CP) and the Non-Custodial Parents (NCP) who are assistance and non-assistance recipients of IV-D services if a payment or distribution has occurred during the month.

A. The notices must be sent within 45 calendar days from the end of the statement period when there is either a collection or distribution of support during the period covered by the statement.
B. DCSS has elected to use the date of receipt as the legal date of collection for all payments, including employer withheld payments once it is received at the State Disbursement Unit (SDU).
    1. If the LCSA has not transitioned it shall issue a "Monthly Statement of Collections and Distribution," CS 916, dated (03/02), and "Notice of Important Information about Support that has been Collected" CS 917, dated (03/02) to each custodial party who is a recipient of child support services. If the LCSA has transitioned, Child Support Enforcement (CSE) system will issue the "Monthly Statement of Collections and Distribution" DCSS 0281, dated (08/04) and "Notice of Important Information About Support that has been Collected" DCSS 0279, dated (08/04)

REQUIRED NOTICES QUESTIONNAIRE – continued

D. The notices must be sent to both assistance and non-assistance recipients of IV-D services. Notices do not need to be sent to foster care IV-D cases or responding UIFSA cases. The notices must be sent to former assistance recipients who were also recipients of Title IV-D services, even if they are no longer receiving Title IV-D services unless no collection is made in the month, the assignment is no longer in effect and there are no longer any assigned arrearages.

E. Notices are to include the following:

1. If the LCSA has not transitioned the "date of receipt" must be used and shown under "Payments to the LCSA". If the LCSA has transitioned the "date of receipt" must be used and shown under "Payments Collected by the DCSS".
2. The explanation why a CP did not receive a disregard must be one of the following:
   a) "The collection dated _____ came from a federal income tax refund. Under federal law, tax refund money can only be used to pay past due child support and is applied first to repayment of CalWORKs previously paid to you."
   b) "There is no order for current support to be paid by the noncustodial parent. When no current support is ordered, no disregard can be paid to you. Support collected on an order for past due support or arrears only cannot be used to pay a disregard."

REVIEW QUESTIONS: To determine if the LCSA fulfilled the above requirements, please respond to the following questions:

1) Did the LCSA use CS 916 or DCSS 0281 (Monthly Statement of Collections and Distribution) and CS 917 or DCSS 0279 (Important Information Sheet) whichever applicable to comply with the monthly Barnes Notice?
   _____YES _____NO

2) Did the LCSA meet the 45 calendar days for issuing the CS 916 or DCSS 0281 monthly notice?
   _____YES _____NO

3) Did the CS 916 or DCSS 0281 monthly notice contain all the required elements?
   _____YES _____NO

PART II
REQUIREMENT TO NOTIFY PARENTS OF THEIR RIGHT TO REQUEST A REVIEW OF THEIR CURRENT SUPPORT ORDER

REFERENCE: 45 CFR § 303.8[b][1]; 22 CCR § 115503; CSS 04-19

REVIEW QUESTIONS: To determine if the LCSA fulfilled the above requirements, please respond to the following questions:

4) **NON-TRANSITION LCSA ONLY:** Does the LCSA have a procedure to notify parents every three years of their right to request a review of their current support order?
_____YES _____NO

5) Explain the procedure:

6) Conclusion: State whether the LCSA met or did not meet the requirements for both notices by the end of the review period. (FOR USE BY THE REVIEWER)

CASE APPLICATION QUESTIONNAIRE

Applications for child support services must be made readily accessible to the public. The LCSA must provide an application when an individual makes a request in person or send an application within no more than 5 working days of a written request. Also, LCSAs must accept applications and open cases for all appropriate referrals from the county IV-A Agency or from other LCSAs when receiving an ex-parte transfer and order for a UIFSA responding case and from other state agencies when receiving a UIFSA responding case. To ensure that this is routinely done, the LCSA must have procedures in place.

REFERENCE: 45 CFR § 303.2(a), 22 CCR §§ 112100 and 112110;

REQUIREMENTS: The LCSA will ensure that:

- Applications for child support services are readily accessible to the public.
- Applications are provided on the day they are requested in person or within 5 working days of a telephone or written request for one.
- Information describing available services, the applicant's rights and responsibilities, the State's fees and, cost recovery and distribution policies must accompany all applications for services and must be provided to Welfare, Medicaid and Title IV-E Foster Care applicants or recipients within no more than 5 working days of referral to the IV-D agency.
- Applications are accepted on the day they are received.
- Referrals (from the county welfare agency, the court, or other LCSAs based on an ex parte transfer and order and other IV-D state agencies) are accepted on the day they are received.

REVIEW QUESTIONS: To determine if the LCSA fulfilled the above requirements, please respond to the following questions:

1) Does the LCSA have procedures in place to ensure that applications are accessible to the public and are provided within five working days of the written or telephone request?

   _____YES NO

2) Does the LCSA accept referrals and applications as filed on the day they are received?

   _____ YES _____ NO

CASE APPLICATION QUESTIONNAIRE - continued

3) Does the LCSA use the following forms for the case intake process:
_____YES _____NO

Non-Welfare (Non- IV-A) Applications

NON-TRANSITIONED	TRANSITIONED	TRANSITIONED FORM NAME
CS 196	DCSS 0064	Notice of Child Support Services Program Child Support Services Program Notice (196)
CSS 1071	DCSS 0095	Confidential Paternity Questionnaire
CSS 2101 AND CSS 2103	DCSS 0066	Information Regarding the Application for Support Services Package (DCSS 0066 & CSS 2103) Application for Support Services (CSS 2101)
CSS 2105	DCSS 0069	Child Care Verification
CSS 2107	DCSS 0053	Visitation Verification
CSS 2109	DCSS 0569	Declaration of Support Payment History
CSS 2111	DCSS 0054	Health Insurance Information
CSS 2115	DCSS 0055	Request for Support Services
CSS 2140	DCSS 0049	Family Violence Questionnaire Cover DVCVR #1 (CSS 2140)
CSS 2142	DCSS 0048	Family Violence Questionnaire; Child Support Domestic Violence Questionnaire (CSS 2142)
N/A	DCSS 0057	Application for Support Services (Cover)
DCSS 0373	DCSS 0373	Simplified Application for Child Support Services
FL 150	FL 150	Income and Expense Declaration

Welfare (IV-A) Referrals

NON-TRANSITIONED	TRANSITIONED	TRANSITIONED FORM NAME
CA 2.1 Q	CA 2.1 Q	Support Questionnaire
CS 870	DCSS 0063	Attestation Statement
CW 371	CW 371	Referral to Local Child Support Agency
CSS 2140	DCSS 0049	Family Violence Questionnaire Cover DVCVR #1 (CSS 2140)
CSS 2142	DCSS 0048	Family Violence Questionnaire Child Support Domestic Violence Questionnaire (CSS 2142)

4) Does the LCSA provide the following information with the application?
   a) Available services
   b) The applicant's rights and responsibilities
   c) Fees and cost recovery procedures
   d) Distribution policies

   _____YES _____NO

5) Does the LCSA provide the above information within 5 working days for cases referred from the IV-A Agency?

   _____YES _____NO

6) Conclusion: State whether the LCSA met or did not meet the requirement by the end of the review period. (FOR USE BY THE REVIEWER)

SAFEGUARD ACTIVITY REPORT (SAR) QUESTIONNAIRE

Federal law requires an annual SAR to be prepared by each LCSA as a condition of receiving federal tax information (FTI). These safeguards are designed to ensure the confidentiality of Internal Revenue Service (IRS) data and prevent its unauthorized use. LCSAs must prepare a SAR and make it available for the compliance review process.

REFERENCE: Internal Revenue Code (IRC) § 6103(p)(4)(D); FSDIN Letter I-64-98; CSS Letter 05-02; CSS Letter 05-24 and CSS Letter 05-25; CSS Letter 06-17; Publication 1075-Tax Information Security Guidelines for Federal, State and Local Agencies (October 2007)

REQUIREMENTS:

- Federal law requires an annual SAR be prepared by each recipient agency of tax information
- Safeguards must be in place at the state and LCSA levels as a condition of receiving federal tax return information.
- The safeguards are designed to ensure the confidentiality of IRS data and prevent its unauthorized use in accordance with IRC § 6103 (p)(4)(D).
- Each LCSA must prepare an annual SAR and make it available for the state to review during the compliance review process.
- Each LCSA must certify and annually recertify employees who have access to FTI. This includes viewing 3 video segments and signing the form titled "Protect IRS Tax Returns and Return Information-Disclosure Penalties."

REVIEW QUESTIONS: To determine if the LCSA fulfilled the above requirements, please respond to the following question.

1) Does the LCSA have a SAR to comply with FSDIN Letter I-64-98?

_____YES _____NO

2) Does the LCSA have procedures in place to comply with CSS Letters 05-02; 05-24 and 05-25 for employees who have access to FTI?

_____YES _____NO

3) Conclusion: State whether the LCSA met or did not meet the requirement by the end of the review period. (FOR USE BY THE REVIEWER)

DECLARATIONS OF PATERNITY IN CHILD SUPPORT CASES QUESTIONNAIRE

Federal regulations require that for IV-D cases needing paternity establishment, the IV-D agency must first determine if a voluntary acknowledgement has been recorded in the statewide database in accordance with 303.5(g)(8) before proceeding to file for paternity establishment or administrative process. In addition once the IV-D agency matches a case with a voluntary acknowledgment recorded in the State database, it must then use that acknowledgement to seek a support order.

REFERENCE: 45 CFR § 303.5[g] and [h]; CSS Letter 02-11

REQUIREMENTS:

- The LCSA must review the statewide Paternity Opportunity Program (POP) database of filed declarations of paternity prior to filing a Summons and Complaint.
- The LCSA must recognize that a filed voluntary declaration of paternity is a legal establishment of paternity.
- Failure to adopt and follow policy will result in a finding of noncompliance.

REVIEW QUESTIONS: To determine if the LCSA fulfilled the above requirements, please respond to the following questions.

1) In all IV-D cases where paternity is at issue, did the LCSA review the statewide Paternity Opportunity Program (POP) database for a voluntary acknowledgement of paternity prior to filing a Summons and Complaint with the court system?
   _____YES _____NO

2) Does the LCSA follow policy and practice to recognize that a filed voluntary declaration of paternity obviates the need for a legal establishment of paternity through the courts?
   _____YES _____NO

3) Conclusion: State whether the LCSA met or did not meet the requirements by the end of the review period. (FOR USE BY THE REVIEWER)

CASE TRANSFER QUESTIONNAIRE – COMPLIANCE (State Requirement)

To ensure consistent statewide implementation of the revised duplicate case transfer policy, LCSA's compliance with the below requirements is necessary. Verification that the prescribed procedures were followed and/or the review of a sampling of cases from the LCSA's duplicate case list will determine if the LCSA met the requirements. This is now a compliance component; that is, a finding of noncompliance, as described below, will affect the overall compliance review result, and will require a corrective action plan addressing actions to be taken to achieve compliance.

REFERENCE: CSS Letter 05-30; CSS Letter 06-19; CSS 07-11; CSS 07-11 Errata; CSS 08-05

REVIEW QUESTIONS: To determine if the LCSA fulfilled the above requirements, please respond to the following questions.

1) Does the LCSA's sample duplicate case report comply with all the above requirements as stated in CSS Letters 05-30; CSS 06-19; CSS 07-11 and CSS 07-11 Errata?

   _____YES _____NO

2) **NON-TRANSITION LCSA ONLY:** Is the LCSA following the revised duplicate case transfer procedures?

   _____YES _____NO

3) **TRANSITION LCSA ONLY:** Is the LCSA following the Duplicate Case Transfer Receivables-Temporary and Long Term Policy & Procedures as specified in CSS Letter 08-05?

   _____YES _____NO

4) Conclusion: State whether the LCSA met or did not meet the requirement by the end of the review period. (FOR USE BY THE REVIEWER)

COMPLAINT RESOLUTION TRACKING SYSTEM QUESTIONNAIRE – ADMINISTRATIVE (State Requirement)

The DCSS required the establishment of a uniform complaint resolution process within the LCSA, to ensure uniform complaint handling and resolution. LCSAs are under obligation to acknowledge complaints made by recipients of services and take certain specific actions within required time frames. Under this component, LCSAs are to certify whether they are in compliance with the requirements of this process. This is an administrative component; that is, a finding of noncompliance, as described below, will not affect the overall compliance review result, but will require a program improvement plan addressing actions to be taken to achieve compliance.

For each complaint received by the LCSA, actions must be taken to resolve it, or refer it to another appropriate jurisdiction, within no more than 30 days (unless extended by the director). Complaints are to be discussed with the complainant and he or she is to be notified of the result.

REFERENCE: 22 CCR §§ 120100-120105

REQUIREMENTS:

- The LCSA reviewer will need to review up to the last twenty (20) complaints (initially received by the LCSA) during the review period.
- If there are fewer than 20 complaints, review them all.
- If at least 75 percent of the complaints meet all three requirements, the questions can be answered "yes." If not, the LCSA has not met the requirements and must pursue program improvement.

REVIEW QUESTIONS: To determine if the LCSA fulfilled the above requirements, please respond to the following questions.

1) Are complaints resolved (or referred to another appropriate jurisdiction) within 30 days (or 60 days, if extended)?
   _____YES _____NO

2) In the process of attempting to resolve complaints, do LCSA investigators discuss the complaint with the complainant?
   _____YES _____NO

3) Are complainants properly notified of the results of the investigation, the actions to be taken, and the complainant's right to pursue a state hearing?

   _____YES _____NO

4) Conclusion: State whether the LCSA met or did not meet the requirement by the end of the review period. (FOR USE BY THE REVIEWER)

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CO-LOCATE QUESTIONNAIRE - ADMINISTRATIVE (State Requirement)

As a condition of eligibility for aid paid each applicant or recipient shall cooperate with the county welfare department and the LCSA.

REFERENCE: Welfare & Institutions (W&I) Code § 11477(b)(1)

REQUIREMENTS:

- State law requires the IV-A applicant to cooperate with the county welfare department and the LCSA in establishing the paternity of the child of the applicant or recipient born out of wedlock.
- State law requires the IV-A applicant to cooperate with the county welfare department and the LCSA in establishing, modifying, or enforcing a support order with respect to a child of the individual for whom aid is requested or obtained.
- The LCSA shall have staff available, in person or by telephone, at all county welfare offices and shall conduct an interview with each applicant to obtain information necessary to establish paternity and establish, modify or enforce a support order at the time of the initial interview with the welfare office.

REVIEW QUESTIONS: To determine if the LCSA fulfilled the above requirements, please respond to the following question.

1) Does the LCSA have staff available in person or by telephone at county welfare offices to conduct interviews with each applicant to obtain information necessary to establish paternity and establish, modify or enforce a support order at the time of the initial interview?
   _____YES _____NO

2) Conclusion: State whether the LCSA met or did not meet the requirement by the end of the review period. (FOR USE BY THE REVIEWER)

COMPROMISE OF ARREARS PROGRAM (COAP) QUESTIONNAIRE - ADMINISTRATIVE (State Requirement)

State legislation required the DCSS to establish a program to compromise arrears owed for reimbursement of public assistance. Pursuant to this legislation, DCSS developed the COAP - a collection enhancement process in which DCSS may accept offers from non-custodial parent(s) (NCPs) to compromise of arrears and interest owed to the government. DCSS developed a secure web-based automated system for the LCSAs use in processing COAP cases. There is also a manual process (formerly known as I-COAP) which is now only used for cases where the NCP has multiple cases within the same LCSA. If the NCP meets all eligibility criteria for a compromise in the COAP automated system, upon the execution of the compromise agreement, they have the option to repay the required arrears in a lump sum or in scheduled monthly payments for a maximum of three years. NCPs with only one case in one LCSA, with or without a current child support obligation, are eligible to participate in the COAP automated process. NCPs with multiple cases in one LCSA are eligible for the COAP manual process, unless there is a current child support obligation on any of these cases. To qualify for the COAP manual process, NCPs must have the ability to pay a lump sum upon execution of the compromise agreement. Compromises over $5,000 must be reviewed by the State to ensure legislation, policies and procedures are being followed uniformly statewide and to ensure compromise are being made in the best interest of the State.

REFERENCE: FC § 17560; CSS Letter 03-27; CSS Letter 04-07; CSS Letter 04-32; CSS Letter 05-18, CSS Letter 06-20; Compromise of Arrears Program Business Protocols & Processes V.1-June 2007; Compromise of Arrears Policy and procedures 7th Edition-June 2007

REQUIREMENTS:

- The LCSA shall provide outreach to targeted NCPs identified as potential candidates for the COAP to provide them with information and encourage them to apply.
- The LCSA shall provide the appropriate application forms to the targeted NCPs and other NCPs who request applications and provide assistance with completion if necessary.
- The LCSA shall process the application upon receipt of all necessary supporting documentation.
- The LCSA shall track payments to determine if NCP is in compliance with the Compromise agreement.
- The LCSA shall ensure that arrears are properly reduced if the required payments are made by the NCP.

(COAP) QUESTIONNAIRE - ADMINISTRATIVE (State Requirement) - continued

REVIEW QUESTIONS: To determine if the LCSA fulfilled the above requirements, please respond to the following questions.

1) Is the LCSA ensuring that staff is following DCSS policy, procedures and instructions regarding COAP?
(This could be evidenced by reviewing the LCSA training plan to determine if COAP policy, procedure and instruction training have been provided)
_____YES _____NO

2) Did the LCSA perform outreach to targeted NCPs for COAP as specified in the Compromise of Arrears Program Business Protocols & Processes and the COAP Technical Assistance Training? (This could be evidenced by copies of the outreach letters and/or other letters, materials, lists of NCPs who received the letter)
_____YES _____NO

3) Did the LCSA provide the appropriate application forms to targeted NCPs for COAP and provide assistance in completing these forms, if requested? (This could be evidenced by the reviewer verifying twith the COAP staff the I & E forms are used)
_____YES _____NO

4) Did the LCSA process the applications for COAP received from NCPs wanting to compromise their arrears?
(This could be evidenced by the reviewer verifying with the COAP staff that returned applications are being processed)
_____YES _____NO

5) Did the LCSA appropriately reduce arrears in the compromised cases according to the executed agreement?
(This could be evidenced by reviewing a sample of cases with COAP agreements to verify the arrears adjustments were made in the consortia system)
_____YES _____NO

6) Did the LCSA appropriately track scheduled repayments within the COAP Automated System and appropriately reduce arrears in the compromised cases according to the executed agreement?
(This could be evidenced by reviewing a sample of cases with COAP agreements to verify tracking within the COAP Automated System and compromise adjustments being made within the consortia system)
_____YES _____NO

7) Did the LCSA appropriately reduce arrears in the compromised cases according to the executed agreement?
(This could be evidenced by reviewing a sample of cases with COAP agreements to verify the arrears adjustments were made in the consortia system)
_____YES _____NO

8) Conclusion: State whether the LCSA met or did not meet the requirement by the end of the review period. (FOR USE BY THE REVIEWER)

Through CRTCS, LCSA reviewers are to document compliance reviews by including:

- Overall and specific case review findings
- Expedited Process findings and
- Program Administration findings

Part I: Compliance Review Summary Instructions and Form

Overall Compliance	If the LCSA is in compliance in Case Review, Expedited Process and Program Administration, the IN BOX is checked. If the LCSA is out of compliance in Case Review, Expedited Process or Program Administration, the OUT BOX is checked.
Case Review Findings (by total case compliance)	"Total Cases Reviewed", is the combined total of Assistance, Nonassistance and Combination cases. (DOES NOT INCLUDE THE "NO FORMS" COLUMN)
	"Cases In Compliance", is the combined totals of the "Yes" columns for Assistance, Nonassistance and Combination cases. (DOES NOT INCLUDE THE "NO FORMS" COLUMN)
	"Cases Out of Compliance", is the combined totals of the "NO" columns for Assistance, Nonassistance and Combination cases. (DOES NOT INCLUDE THE "NO FORMS" COLUMN)
	"Percentage", is the computed percentage of the cases in compliance using the following formula: CASES IN COMPLIANCE / TOTAL CASES REVIEWED = PERCENTAGE *NOTE: The total reviewed only includes cases for which at least one review component was applicable.*
Case Review Findings by Component	The totals from the Case Review Tabulation Forms are computed automatically and reflect each component.
	The number of cases in compliance (YES).
	The number of cases not in compliance (NO).
	The total number of cases (TOTAL OF YES and NO).
	The number of cases in compliance (YES) is divided by the number of cases reviewed (TOTAL): YES / TOTAL = PERCENTAGE
	The appropriate boxes are automatically checked if a PIP or CAP is required for that component.
Expedited Process Findings	The appropriate expedited process findings for the LCSA are obtained from the Expedited Process Tabulation Form.
Program Admin. Findings	The conclusions from the eight Program Administration questionnaires are automatically entered.

COMPLIANCE REVIEW SUMMARY

County: COUNTY NAME

Starting Period: Q408 Ending Period: Q408

	IN	OUT
OVERALL COMPLIANCE		

CASE REVIEW FINDINGS			
TOTAL CASES REVIEWED	CASES IN COMPLIANCE	CASES OUT OF COMPLIANCE	PERCENTAGE

CASE REVIEW FINDINGS BY COMPONENT						
	YES	NO	TOTAL	Percentage	PIP	CAP
A. ESTABLISHMENT/MODIFICATION						
B. REVIEW AND ADJUSTMENT						
C. ENFORCEMENT						
D. COLLECTIONS & DISTRIBUTION						
E. INTERSTATE						
F. MEDICAL SUPPORT						
G. CASE CLOSURE						

EXPEDITED PROCESS FINDINGS			
SIX-MONTH PERCENTAGE	12-MONTH PERCENTAGE	REQUIREMENTS	
		MET	NOT MET

PROGRAM ADMINISTRATION FINDINGS		
COMPONENT	REQUIREMENTS	
	MET	NOT MET
1. REQUIRED NOTICES		
2. CASE APPLICATION		
3. SAFEGUARD ACTIVITY REPORT		
4. DECLARATIONS OF PATERNITY IN CHILD SUPPORT CASES		
5. CASE TRANSFER		
6. COMPLAINT RESOLUTION TRACKING SYSTEM (ADMINISTRATIVE)		
7. CO-LOCATE (ADMINISTRATIVE)		
8. COAP (ADMINISTRATIVE)		

Part II: Writing the Report

State-review LCSA Compliance Review Report: In situations where the review is conducted by DCSS staff, findings will be recorded in CRTCS. The LCSA will have the opportunity to review and respond to the findings before they become final. The DCSS reviewers will review the LCSAs comments and incorporate them into the findings as appropriate, then issue the final report.

Self-review LCSA Compliance Review Report: In situations where the review is conducted by LCSA staff, a letter of findings signed by the LCSA Director must be sent to DCSS. As most of the report detail is available from CRTCS, LCSAs need only submit a report narrative consisting of the following:

Compliance Review Report Format
1) A brief summary highlighting the overall findings and areas of major significance. 2) Describe any case problems, i.e., transfer cases, inaccurate case identification, misplaced case records, etc. 3) Number of cases reviewed (that is, cases with at least one review component applicable), number of cases with no review components applicable and number of cases not found and a 4) Conflict of interest statement and explanation of the handling of conflict cases, if any.

Monitoring Report

In situations where the review is conducted by the LCSA, DCSS staff will need to verify the LCSA's findings by conducting a monitoring review. This includes an in-house desk review of the LCSA's report and supporting documents. In certain occasions an on-site verification may be required. Once the monitoring review is completed a report addressing the findings will be sent to the LCSA. This will provide a formal notice of compliance or non-compliance to the LCSA.

If the monitoring review finds the LCSA report is inaccurate or insufficient in determining compliance, DCSS may require the LCSA to reconduct all or part of the review, or DCSS may elect to reconduct all or part of the review directly. (MPP 12-202 et seq.)

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Part I: Compliance Definitions

The annual compliance review process is used to evaluate LCSA's compliance with federal and state requirements. Findings associated with the review in general and with the specific review sections and components are categorized in the following compliance levels:

Overall Compliance: The LCSA is deemed to be in overall compliance for the review if it is in compliance (see compliance definition below) in all three parts of the compliance review- Case Review, Expedited Process and Program Administration.

Substantial Compliance: In the total case review findings and in each case review component, with the exception of Case Closure, the LCSA is deemed in substantial compliance if greater than 80 percent of the cases reviewed meet all applicable requirements. For Case Closure, the LCSA will be deemed in substantial compliance if at least 90 percent of the cases meet all applicable requirements. (Administrative questions are excluded from compliance requirements).

Marginal Compliance: In the total case review findings and in each case review component, with the exception of Case Closure, the LCSA is deemed in marginal compliance if at least 75 percent, but not more than 80 percent of the cases reviewed meet all applicable requirements. For Case Closure, the LCSA will be deemed in marginal compliance if at least 75 percent, but less than 90 percent of the cases meet all applicable requirements.

Compliance:

- In the Case Compliance Criteria section, it is used to refer to the status of a case meeting all applicable component criteria
- In the Expedited Process section, it refers to the LCSA meeting case disposition requirements
- In the Program Administration section, it means the LCSA met component requirements
- It is also used in general reference to a LCSA in overall compliance status

Out of Compliance (Noncompliance) In the Case Review section, the LCSA is deemed out of compliance or there is a finding of noncompliance if less than 75 percent of the cases reviewed meet all of the applicable requirements. This is subject to the statistical validity tests described below. In the Expedited Process section, the LCSA is out of compliance if it does not meet both minimum standards of compliance. In the Program Administration section, the LCSA is out of compliance if it does not meet the minimum requirements for each component. If the LCSA is found out of compliance, it must complete the program improvement and corrective action process.

Part II: Definition of Program Improvement Plan and Corrective Action Plan (PIP/CAP)

Program Improvement and Corrective Action is a process used to respond to findings of noncompliance, identify errors and causes, develop and implement solutions, and to monitor and evaluate the effectiveness of the actions taken.

Part III: Program Improvement and Corrective Action Process

The PIP/CAP process has been organized into six steps: development, submission, implementation, evaluation, certification of compliance and verification. (MPP 12-203, 12-204)

Development: In the development process, the results of the case review summary will determine the type of action needed. If the LCSA is out of compliance in any of the following, Case Review, Expedited Process or Program Administration, corrective action will be required. If the LCSA is in compliance overall, program improvement may be required if the case review findings include marginal scores or below (refer to Case Review Compliance Chart), or if the LCSA does not meet the requirements in one of the administrative questionnaires in the Program Administration component.

If corrective action is necessary, it will be either "prospective" or "retrospective." Prospective corrective action is always required and identifies measures the LCSA will take to prevent the error from occurring in the future. Retrospective corrective action applies to situations where case errors can be corrected by taking appropriate action. It may or may not be required, depending on whether errors are correctable. If so, the plan must include a methodology and time table for correcting the errors, with quarterly milestones. The date of implementation and completion also needs to be included in both CAPs and PIPs.

Submission: Once the PIP/CAP has been prepared it should be submitted to DCSS, preferably with the review report, but not later than 30 calendar days of the review report becoming final. If a CAP includes a quarterly milestone report, it needs to be submitted by the 15th day after the end of each calendar quarter. The LCSA will have no more than one year from the finding to complete the PIP/CAP.

Implementation: A PIP/CAP can be implemented at any time. The LCSA should be correcting or taking action to correct the problem as soon as one is discovered. Early corrective action is encouraged to prevent errors from occurring in the future.

Evaluation: Corrective action must be fully implemented and run a minimum of 30 days. The success of the CAP must be evaluated, possibly by reviewing a sample of cases or actions.

Certification of Compliance: Once the LCSA is confident the actions taken under the CAP have corrected the problem, a certification of compliance should be submitted, describing the evaluation process and results.

Verification: Once the certification of compliance is received, DCSS staff will review the information to ensure the outlined process is working and the problem has been corrected. If the information is inaccurate or insufficient in determining compliance, DCSS may require a field verification to determine compliance with the CAP.

The following chart illustrates the compliance categories and the results of various findings:

CASE REVIEW COMPLIANCE CHART		
TOTAL BY COMPLIANCE	FINDINGS BY COMPONENT*	COMPLIANCE RESULT**
Greater than 80% Substantial Compliance	Greater than 80%	None
	Between 75% - 80%	None
	Less than 75%	Program Improvement Plan
Between 75% - 80% Marginal Compliance	Greater than 80%	None
	Between 75% - 80%	Program Improvement Plan
	Less than 75%	Program Improvement Plan
Less than 75% Out of Compliance	Greater than 80%	None
	Between 75% - 80%	Program Improvement Plan
	Less than 75%	Corrective Action Plan

* For substantial compliance in Case Closure, the LCSA must have at least 90 percent of the cases meet all applicable requirements. For marginal compliance in Case Closure, the LCSA must have at least 75 percent, but less than 90 percent of the cases meet all applicable requirements.

**A Program Improvement Plan (PIP) is always required for a marginal compliance finding in Case Closure, but for the other case review components, a marginal finding requires a PIP when there is a finding of noncompliance or marginal compliance in the case compliance component.

A Corrective Action Plan (CAP) is required in response to a finding of noncompliance in the total compliance finding.

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The following are suggested samples for use in completing the program improvement and corrective action process.

INSTRUCTIONS: For a CAP, complete questions 1 through 7. For a PIP, complete questions 1 through 6. For a CAP with retrospective correction action and the quarterly milestone report, complete questions 1 though 9.

Corrective Action Plan
Program Improvement Plan
For the Review Period _____

COUNTY_____
COMPONENTS_____
SUBCOMPONENTS #_____
NOTE: Please use a separate form for each component. If there are several subcomponents within a component, and the cause and solutions are the same, counties can combine on one form.

1. Identify the specific finding.
2. List and describe the cause(s) for the finding(s).
3. List and describe the proposed solution(s) considered to address the cause(s) listed above.
4. Identify the selected solution(s) and provide rationale for selection.
5. Describe how the county will implement the solution(s) and include a completion date for each solution listed in Section 4.
6. Describe the method (including frequency) to be used to measure and evaluate the effectiveness of each solution.
7. If corrective action is in progress, provide the date the action was implemented and the status to date. If corrective action has been completed, provide the number of cases completed, the date of completion, and the compliance percentage level attained.

SECTIONS 8 AND 9 SHOULD ONLY BE COMPLETED IF RETROSPECTIVE CORRECTIVE ACTION (CASE CORRECTION) IS APPLICABLE.

8. For this component and/or subcomponent, estimate the number of cases not in compliance at the end of the review period. Describe the methodology used to arrive at the estimate.
9. Of the total number of cases identified in Section 8, provide the number of cases that will be corrected each quarter and the date of completion. If retrospective corrective action has been in progress for three months or more, please complete and submit a Retrospective Corrective Action Quarterly Milestone Report with all appropriate information.
   NOTE: If retrospective corrective action has been completed, please provide the following:
   a) Methodology used;
   b) Total number of cases identified;
   c) Total number of cases completed and date of completion; and
   d) List of cases corrected.

Signature: _____
Title: _____
County: _____
Date: _____

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RETROSPECTIVE CORRECTIVE ACTION QUARTERLY MILESTONE REPORT

COUNTY _____ REVIEW YEAR_____

COMPONENT_____ Original Estimated Universe:

Subcomponent:									
Start Date: _____-- End Date: _____									
Quarter Ending	FFY: ----------			FFY:			FFY:		
	Goal	Corrected	Balance	Goal	Corrected	Balance	Goal	Corrected	Balance

COMPONENT_____ Original Estimated Universe:

Subcomponent:									
Start Date: / / End Date: / /									
Quarter Ending	FY:			FY:			FY:		
	Goal	Corrected	Balance	Goal	Corrected	Balance	Goal	Corrected	Balance

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Date

DCSS Address

RE: CERTIFICATION OF COMPLIANCE REVIEW YEAR (_____)

Dear XXX:

XXX County certifies that it has completed implementation of its Corrective Action Plan and is in compliance. The results of our evaluation are as follows:

Component	Universe	# Excluded	(Sample) # of Cases Reviewed	Evaluation of Results		
				Cases In	Cases Out	Compliance %

Case Number	Beginning Date	Ending Date	Action Taken	Days Elapsed	In	Out

If you have any questions, please call me at _____.

Signature of LCSA Director

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Part IV: Statistical Significance

There are 2 statistical significance tests that can be applied to case review findings:

1. In order for a valid judgment to be made, at least 11 cases must have been reviewed. For purposes of the review, this applies to two areas:

    a. In the Case Review section, compliance is determined by the total number of cases in compliance compared to the total applicable for review, which will always be greater than ten cases. Because of this, the individual components need not be tested for statistical validity, even if the number of cases in a component is fewer than 11.

    b. In the Expedited Process section, compliance is measured using those cases entering Expedited Process during the month of September 2007. It is possible there will be fewer than 11 cases applicable in some smaller LCSAs. For purposes of the review in those circumstances, the LCSA will be considered in compliance in Expedited Process, but will be encouraged to take voluntary corrective action if the percentage scores are below the required standard.

2. In the Case Review section, a statistical test of confidence may need to be applied before the results can be considered valid if the score is slightly below 75 percent. If the results are validated, the LCSA is found out of compliance and a CAP is required. If the results do not pass the significance test, the LCSA is considered to be in marginal compliance for purposes of the review and a PIP may be required (see chart on page 109).