

<b>ACF</b>  <b>Administration for Children and Families</b>	<b>U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES</b>	
	<b>Administration on Children, Youth and Families</b>	
	<b>1. Log No. ACYF-PI-CC-01-02</b>	<b>2. Issuance Date: April 12, 2001</b>
	<b>3. Originating Office: Child Care Bureau</b>	
	<b>4. Key Words: Child Care and Development Fund</b>	
<b>Revised ACF-801 Case-Level Reporting Form</b>		

- To** State and Territorial Lead Agencies administering child care programs under the Child Care and Development Block Grant (CCDBG) Act of 1990 as amended, and other interested parties.
- References** The CCDBG Act of 1990 as amended by the Personal Responsibility and Work Opportunity Reconciliation Act (PRWORA) of 1996 (P.L. 104-193) and the Balanced Budget Act of 1997 (P.L. 105-33); 45 CFR 98; Information Memorandum Log No. ACYF-IM-CC-97-01, ACYF-IM-CC-97-02 and ACYF-PI-CC-98-01. Relevant Technical Bulletins are located on the Child Care Bureau Web site at the following address:  
[www.acf.dhhs.gov/programs/ccb/report/formhelp/techbull/index.htm](http://www.acf.dhhs.gov/programs/ccb/report/formhelp/techbull/index.htm).
- Purpose** To inform States and Territories of the reauthorized and modified collection of case-level Child Care and Development Fund data (ACF-801). The form and instructions (definitions) are attached.
- Background** Case-level child care program information for the Child Care and Development Fund (CCDF) is required by Section 658K of the CCDBG Act as amended by PRWORA and as modified by the Balanced Budget Act of 1997.
- Reauthorized Form** The Office of Management and Budget (OMB) has extended authorization for ACF-801 Form through March 31, 2003.
- The reauthorized form includes one new data element: Number in Eligible Family (Item 16). State reports must include this element for the reporting period beginning with the month of January 2002. States should not attempt to report Item 16 before January 1, 2002 because the Federal system must be modified to accept the new item.

Revised Instructions	The instructions are revised to incorporate needed clarifications including some that have been made in Technical Bulletins. The revised instructions also discuss the need for Unique State Identifiers in cases where parents have chosen not to provide Social Security Numbers. (See ACYF-PI-CC-00-04, issued on October 27, 2000.) This is necessary to ensure that cases can be unduplicated for reporting purposes in accordance with the statute governing the Child Care and Development Fund. (The Act, 658K(a)(B)(2)(E)) If a case has neither a Social Security Number nor a Unique State Identifier, the data related to that case cannot be processed.
Due Dates for the Case Level Disaggregate Report	Case-level data is collected monthly and reported quarterly. Reports are due 60 days after the end of each quarter. States and Territories may submit case level data monthly instead of quarterly. If they choose to submit the data monthly, the report is due 90 days after the reported month.
Who Must Report	All Lead Agencies in the United States, the District of Columbia, and Territories (including Puerto Rico, American Samoa, Guam, Northern Mariana Islands, and the U.S. Virgin Islands) are responsible for completing the ACF-801.
Penalties	The statute provides that the Secretary may sanction a Lead Agency for non-compliance with any requirement of the CCDF program. (CCDBG Act, Section 658I(b)(2)(B)) The regulations provide that the Secretary may impose a penalty of not more than four percent of the Discretionary Funds for a Fiscal Year, if it is determined that a Lead Agency has failed to implement a provision of the Act, the regulations, or the Lead Agency's biennial Plan. (§ 98.92(b)(2)) States failing to provide reports may be subject to this penalty. (63 FR 39980)
Additional Information Required	<p>1) Information on Pooling (if applicable)  If a grantee pools its CCDF funds (i.e., includes other funding, such as Title XX, State-only funds not used for MOE or Match, or other funds not used for Match), it must report the percentage of funds that are provided by CCDF on the ACF-800 Form. The Child Care Bureau will calculate the percentage of each data element attributable to CCDF.</p> <p>2) Sampling Plan  All States and Territories that submit a sample of their records must have a sampling plan that has been approved by their Regional Administrator. Sampling plans were required to be submitted to Child Care Bureau by February 28, 1998. If there are anticipated changes to the existing sampling plan, e.g., switching from submitting a sample to submitting full population data or vice versa, the Child Care Bureau should be notified 60 days in advance.</p>
Reporting Burden	No change is expected in the reporting burden for collecting the information on the ACF-801 Form. Collection of the information for the ACF-801 is expected to average 20 hours per response, including the time for reviewing instructions, gathering and maintaining the data needed, and reviewing the collection of information.

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**Data Uses** The case-level administrative information received through this collection provides the means to analyze and evaluate the CCDF program and the extent to which States are assisting families in addressing child care needs. This collection will provide ACF with the information necessary to make its biennial report to Congress, address national child care needs, offer technical assistance to grantees, meet performance measures, assess performance for the TANF High Performance Bonus for Child Care, and conduct research.

**Electronic File Transfer Method for Transmitting the Case Level Data File** The case-level report must be submitted electronically to ACF via Connect:Direct (C:D). For all 50 States and the District of Columbia, the Social Security Administration computer center serves as a gateway when transmitting the data file to the National Institutes of Health computer center. C:D provides the security when transmitting confidential data. States should contact the Child Care Automation Resource Center for information on the C:D contacts.

It is acceptable for Territories to submit their data file on a diskette.

**Notification** Upon receipt of the case-level data file, the Federal system will process the data and generate summary and detail assessment reports. The two report files will automatically be transmitted via C:D to the State. The summary assessment report is sent via e-mail to the State Lead Agency and the appropriate Regional Office staff. This serves as a notification that the data file has been received.

**Child Care Information Systems Technical Assistance** The Child Care Bureau has awarded a contract for information systems technical assistance and development to the Anteon Corporation. The Child Care Automation Resource Center is part of that contract. The Center assists CCDF grantees with their questions and concerns related to information systems. Assistance for completing the ACF-801 Form is available weekdays from 9:00 a.m. to 5:00 p.m. (Eastern Time). The telephone number is: (877) 249-9117.

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**Reporting Problems** Lead agencies that have problems complying with the statutory reporting requirements should contact the Department for technical assistance.

Questions should be directed as follows:

Child Care Bureau: Joseph Gagnier: 202-205-8455

Technical Assistance: Child Care Automation Resource Center:  
Toll Free (877) 249-9117

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James Harrell  
Acting Commissioner  
Administration on Children, Youth and Families

**ACF - 801 Child Care Quarterly Case Record Form**

OMB #: 0970-0167

Expires: **03-31-2003**

**Head of Family Receiving Assistance**

1. Reporting Period	Month: _____ Year: _____
2. Unique State Identifier (required in absence of SSN#)	_____
3. Social Security Number (optional)	_____ - _____
4. FIPS Codes	State: _____ County: _____
5. Single Parent	_____
6. Reason for Receiving Care	_____
7. Total Monthly Child Care Copayment by Family	\$ _____ , _____
8. Month/Year Child Care Assistance to the Family Started	Month: _____ Year: _____
9. Total Monthly Family Income for Determining Eligibility	\$ _____ , _____

<b>Family Income Sources</b>		<b>(Y/N)</b>
10. Employment Including Self-Employment		_____
11. Cash or Other Assistance Under Title IV of the Social Security Act (TANF)		_____
12. State Program for Which State Spending Is Counted Towards TANF MOE		_____
13. Housing Voucher or Cash Assistance		_____
14. Assistance Under the Food Stamps Act of 1977		_____
15. Other Federal Cash Income Programs (such as SSI)		_____

### Head of Family Receiving Assistance (Continued)

16. Number in Eligible Family (Required as of 04/01/02)

### Dependent Children Receiving Child Care Assistance

Child Receiving Care	17. Social Security Number (Optional) OR Unique State Identifier (Required in absence of SSN#)	18. Hispanic or Latino	19. American Indian or Alaskan Native	20. Asian	21. Black or African American	22. Native Hawaiian or Other Pacific Islander	23. White	24. Gender	25. Month/Year of Birth	26. Type of Child Care	27. Total Monthly Amount Paid to Provider	28. Total Hours of Care Provided in Month
Child 1	--- - - - -								/			
Child 1, Provider 1											\$ ,	
Child 1, Provider 2											\$ ,	
Child 2	--- - - - -								/			
Child 2, Provider 1											\$ ,	
Child 2, Provider 2											\$ ,	
Child 3	--- - - - -								/			
Child 3, Provider 1											\$ ,	
Child 3, Provider 2											\$ ,	
Child 4	--- - - - -								/			
Child 4, Provider 1											\$ ,	
Child 4, Provider 2											\$ ,	

**CHILD CARE AND DEVELOPMENT FUND  
ACF-801 CASE-LEVEL REPORTING FORM  
Definitions**

**Head of Family Receiving Assistance**

The following elements (items 1-16) refer to the head of the family receiving child care assistance. The "Head of Family Receiving Assistance," is the person for whom eligibility is determined. If the child is considered a family of one (i.e., a protective service case), then all items refer to the child.

1. Reporting Period: The month and year being reported. The report should include information about the families and children who actually received child care services during the reporting month, irrespective of when payment is made for those services.
2. Unique State Identifier: A unique identifying number, up to fifteen characters, assigned by the State to the family receiving child care assistance. States may use alphanumeric characters. The Social Security Number may not be required of families as a condition of eligibility. However, in the absence of the Social Security Number, the Child Care Bureau requires that States use a Unique State Identifier to ensure that cases are unduplicated for reporting purposes in accordance with the Statute governing the Child Care and Development Fund. If a case has neither a Social Security Number nor a Unique State Identifier, the data related to the case cannot be processed.
3. Social Security Number: The Social Security Number of the head of the family. Again, States are reminded that CCDF eligibility may not be denied because a parent chooses not to provide their Social Security Number. (See ACYF-PI-CC-00-04 issued October 27, 2000). In cases in which care is being provided to a child as a family of one, the child's Social Security Number is used for this element.
4. Federal Information Processing Standards (FIPS) Code: The FIPS Code geographic identifier issued by the National Bureau of Standards to designate where the head of the family receiving assistance is residing. A list of all FIPS codes can be found at the Child Care Bureau's Technical Assistance Web site (<http://www.acf.dhhs.gov/programs/ccb/systems/index.htm>) or by contacting the Child Care Automation Technical Assistance Center (1-877-249-9117). This includes a two digit State code and three digit county code.

5. **Single Parent:** A single parent/adult who is legally/financially responsible for and living with a child where there is no other adult legally/financially responsible for the child in that eligible family. If there is someone else in the household who does not have legal/financial responsibility for the child, the legally/financially responsible applicant is still considered a single parent. A one-digit code indicates if the head of the family receiving assistance is single or not.
- 0 -- No
  - 1 -- Yes
  - 9 -- Not applicable; child is reported as head of household. (If “9” is selected, indicate the Child’s Social Security Number in Item 3).
6. **Reason for Receiving Subsidized Child Care:** The one-digit code indicating the reason for receiving subsidized child care. If more than one category applies, report the primary reason. “Other” should only be used when no other category applies and should not be used to report missing data.
- 1 -- Employment
  - 2 -- Training/Education
  - 3 -- Both Employment and Training/Education
  - 4 -- Protective Services
  - 5 -- Other
7. **Total Monthly Child Care Co-payment by the Family Receiving Assistance:** The monthly dollar amount the family receiving assistance must pay for child care services for the month being reported (the co-payment assigned by the Lead Agency or its designee).
8. **Date Child Care Assistance to the Family Started:** The numbers for the month and year child care assistance started for the family receiving assistance. If there was a short interruption of up to three months in child care assistance (for reasons such as a vacation or illness) indicate the original month/year the assistance started, rather than when the assistance resumed.
9. **Total Gross Monthly Income:** The total monthly dollar amount received by the family prior to any deductions that may be allowed for determining eligibility and/or co-payments. This includes cash assistance received under TANF or other program but not income disregarded in TANF eligibility determinations. The amount should be rounded to the nearest dollar.

FAMILY INCOME BY SOURCE: Items 10 through 15, sources of income, require a “yes” (1) or “no” (0) answer as they relate to the family receiving assistance for the month being reported. Even if a source of income is disregarded for eligibility determination purposes, the correct answer is “yes” for a family that received income from that source in the reporting month. If, on a case-by-case basis, income is not used to determine eligibility for protective service cases, items 10-15 do not have to be reported for such cases. Item 13, “State program in which State spending is counted toward TANF MOE,” refers to State-funded initiatives that provide assistance to needy families. Lead Agencies will need to consult with their TANF administrative offices to determine which programs are used for TANF MOE since these programs differ from State to State.

- 10. Employment income, including self-employment.
- 11. Cash or other monetary assistance under Title IV of the Social Security Act (TANF)
- 12. State program for which State spending is counted towards TANF MOE
- 13. Housing voucher or cash assistance
- 14. Assistance under the Food Stamps Act of 1977
- 15. Other Federal Cash Income Programs (such as SSI)
  
- 16. NUMBER IN ELIGIBLE FAMILY (New Data Element): Number of family members upon which eligibility is based. The field size is two (2) with a required value within the range of 1 to 99. The change must be implemented for the reporting period beginning with the month of January 2002.

**Dependent Children Receiving Child Care Assistance (One record per child)**

These items, 17 through 25, refer to dependent children in the family receiving child care assistance and indicate the demographic characteristics of children receiving care. States and Territories are required to request information about ethnicity and race. However, if a parent refuses to report ethnicity and/or race for their child, the field should be left blank.

- 17. Child’s Social Security Number (*Optional*): Indicate the Social Security Number of the child receiving assistance.
  
- 18. Hispanic or Latino Ethnicity: Indicate the one digit code for the ethnicity of each child. (Ethnicity should be determined for every child in the family).
  - 0 – No
  - 1 –Yes

**RACE OF CHILD** (ITEMS 19-23) applies to each child receiving care. Indicate the code for "yes" (1) or "no" (0) for each race listed below. Select yes for as many races as reported by the family. (Each child should have at least one race coded yes.)



19. American Indian or Alaskan Native
20. Asian
21. Black or African American
22. Native Hawaiian or Other Pacific Islander
23. White
  
24. Child's Gender: Indicate the one digit code for the gender of the child receiving care.
  - 1 -- Male
  - 2 -- Female
  
25. Month/Year of Birth: Enter the numbers for the month and year of birth of the child receiving care.

<b>Child Care Provider (One record for each provider for each child)</b>
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This group of questions applies to the child care provided to each child. Include all providers receiving subsidies for each child in the family receiving care.

26. Type Of Child Care:

Definitions: Provider types are divided into two broad categories: “licensed/regulated” and “legally operating without regulation.” For reporting purposes, a legally operating, unregulated provider is a provider that, if not participating in the CCDF program, would not be subject to any State or local child care regulations. The “licensed/regulated” and “legally operating without regulation” categories each include four types of providers (each State's definition of these terms apply): in-home, family home, group home, and centers. A relative provider is defined as being at least 18 years of age and the grandparent, great-grandparent, aunt or uncle, or sibling (living outside of the child's home) of the child in care. The following codes specify the type of care provided by each provider for each child during the report month.

Codes:

- 01 -- Licensed/regulated in-home child care
- 02 -- Licensed/regulated family child care
- 03 -- Licensed/regulated group home child care
- 04 -- Licensed/regulated center-based care
- 05 -- In-home care provided by a non-relative in a setting legally operating without regulation
  
- 06 -- In-home care provided by a relative in a setting legally operating without regulation
- 07 -- Family home child care provided by a non-relative in a setting legally operating without regulation

- 08 -- Family home child care provided by a relative in a setting legally operating without regulation
- 09 -- Group home child care provided by a non-relative in a setting legally operating without regulation
- 10 -- Group home child care provided by a relative in a setting legally operating without regulation
- 11 -- Child care center legally operating without regulation

27. Total Monthly Amount Paid to the Provider: For each child receiving care, indicate the total monthly dollar amount (rounded to the nearest dollar) paid or to be paid to the provider for the care of the child. The total monthly amount should include Federal, State, and locally funded amounts as well as the amount the parent is responsible for contributing as the assigned co-pay. (This should not include any other amount the provider may charge the parent in addition to the co-pay determined by the Lead Agency or its designee.)
28. Total Hours of Care Provided in the Month: Indicate the total number of hours of care provided for the reporting period (rounded to the nearest whole number).

The Paperwork Reduction Act of 1995

Public reporting burden for this collection of information is estimated to average 20 hours per response, including the time for reviewing instructions, gathering and maintaining the data needed, and reviewing the collection of information.

An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number.