

# Operations Communiqué #09-14 CCIS Performance Standards and Monitoring – Process for Program Year 2009 – 2010

**Title:** CCIS Performance Standards and Monitoring – Process for Program Year 2009 – 2010

**Date:** December 9, 2009

**Category:** Informational

**Priority:** High

**Action Required:** Yes, see “Discussion” and “Next Steps”.

**Response Required:** None

## **Purpose:**

The purposes of this communiqué are to explain the Child Care Information Services (CCISs) Performance Standards monitoring process for Program Year 2009 – 2010, to inform the CCISs that the Bureau will provide an overview of the monitoring process during regional teleconferences and to provide the schedule for those teleconferences.

## **Discussion:**

CCIS Monitoring will begin January 2010 and continue through June 2010 and is divided into two review sections: Operational Performance Standards Monitoring and Compliance Performance Standards Monitoring. The Operational Performance Standards comprise the standards for Customer Service, Resource & Referral (R&R), Caseload and Funds Management. These standards have been modified to better reflect OCDEL expectations for CCIS operational performance.

In addition to shortening the monitoring period, the rating system for the Operational Performance Standards has also been simplified for this program year. These have been done to take into account the operational impact the budget impasse had on the CCISs.

Attached to this communiqué are:

- CCIS Performance Standards for 2009 – 2010
- CCIS Performance Standards for 2009 – 2010 Compliance Monitoring Tool
- CCIS Performance Standards for 2009 – 2010 Compliance Monitoring Case File Instructions
- CCIS Performance Standards for 2009 – 2010 Operations Monitoring Tool
- CCIS Performance Standards for 2009 – 2010 Plan of Correction
- CCIS Performance Standards for 2009 – 2010 Scheduling Letter
- CCIS Performance Standards for 2009 – 2010 Final Letter
- Performance Standards Conference Call Schedule

Please refer to these documents while reviewing the following information.

## **Operational Performance Standards**

There are three categories of Operational Performance Standards

- Customer Service, which includes R&R
- Caseload Management
- Administrative Management, which include Fiscal/Funds Management

Performance for these standards will be rated as either “Satisfactory” or “Needs Improvement”. A CCIS staff interview will be completed by the Subsidy Coordinator to assist in the overall rating for each Operational Performance Standard. These interviews will be conducted throughout the monitoring timeframe, January 2010 to June 2010. An Operational Monitoring Tool will be used by Subsidy Coordinators to gather information throughout the monitoring timeframe to standardize the documentation of these ratings for the CCIS.

## **Compliance Performance Standards**

The process for Compliance monitoring and the rating system are unchanged from last program year and will continue to mirror the Federal Improper Payments review process.

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In addition to using PELICAN-CCW to determine the overall rating for Compliance Standard #8 “services provided by a legally operating and eligible provider”, coordinators will be reviewing the provider’s agreement and file while conducting on-site reviews.

The Compliance Review Process will include the following criteria:

- The number of compliance case reviews will be increased for a total of 10 cases per CCIS grantee with the exception of the Philadelphia and Allegheny CCIS agencies where 20 cases per site will be reviewed.
- The identified cases for review will be from October 2008 through June 2009.
- The compliance review cases will be identified by using the Federal Improper Payment Review sample process to be consistent for future Federal Reviews
- The respective Subsidy Coordinator will start sending scheduling letters to their individual CCIS agencies after the scheduled conference calls on 12/16 & 12/17.
- Prior to the on-site compliance review the respective Subsidy Coordinator will send the list of cases to be reviewed, with instructions on how to prepare the files. CCIS agencies should not make any corrections to the review cases prior to the coordinators review. CCIS staff may make notes and be prepared to discuss with the Subsidy Coordinator areas of those cases that require explanations.
- The respective Subsidy Coordinator will begin to conduct their on-site compliance reviews in January 2010 and will continue through June 2010.
- The 2009/2010 Compliance Excel Monitoring Tool has been updated to include provider file reviews. CCIS agencies are encouraged to use the Compliance Excel Monitoring Tool for their agency’s internal case reviews to familiarize themselves with the tool and to standardize their review process with OCDEL’s review process.
- The ratings for the Compliance Performance standards will continue to be the "Needs Improvement", "Satisfactory" and "Commendable" system. However, over-all ratings for compliance will be determined based on the number of standards (review elements), not the number of cases, marked wrong. The total number of standards or review elements marked wrong across all standards/elements will be translated into a percentage, with the over-all rating for compliance being assigned as follows:
  - 41% or greater marked wrong = Needs Improvement
  - 21% to 40% marked wrong = Satisfactory
  - 0% to 20% marked wrong = Commendable

### Plan of Correction

The Plan of Correction (POC) document has been modified to reflect the changes identified for Operations Monitoring. The POC for Compliance Standards will be completed after the Subsidy Coordinator completes the on-site review. The POC for Operations will be completed after the review period has concluded in June 2010.

### Conference Calls

There will be regional conference calls to explain the 2009 – 2010 Performance Standard Monitoring Process with the CCIS agencies. Please review the attachment “Performance Standards Conference Call Schedule” for specific information about the teleconferences scheduled next week.

### **Next Steps:**

1. Review the information with appropriate staff.
2. Review the attached documents with appropriate staff
3. Participate in the conference call for your CCIS.
4. Direct questions to the assigned Subsidy Coordinator