

# Operations Communiqué #10-05 - CCIS Performance Standards and Monitoring – Process for Program Year 2010 – 2011

## This is a message from the Bureau of Subsidized Child Care Services

**Title:** CCIS Performance Standards and Monitoring – Process for Program Year 2010 – 2011

**Date:** 11/08/2010

**Category:** Informational

**Priority:** High

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

**Response Required:** None

### Purpose:

The purpose of this communiqué is to explain the Child Care Information Services (CCISs) Performance Standards monitoring process for Program Year 2010 – 2011.

### Discussion:

CCIS Monitoring will begin July 2010 and continue through June 2011. Monitoring is divided into two review areas; Operational Performance Standards Monitoring and Compliance Performance Standards Monitoring. The Operational Performance Standards are comprised of the standards for Customer Service, Caseload Management and Administrative Management. The Compliance Performance Standards are comprised of twelve standards that reflect the Child Care Bureau’s federal requirements for program compliance.

Attached to this communiqué are:

- CCIS Performance Standards for 2010 – 2011
- CCIS Performance Standards for 2010 – 2011 EXCEL Compliance Monitoring Tool (electronic version)
- CCIS Performance Standards for 2010 – 2011 Compliance Monitoring Instructions
- CCIS Performance Standards for 2010 – 2011 EXCEL Operations Monitoring Tool (electronic version)
- CCIS Performance Standards for 2010 – 2011 Plan of Correction
- CCIS Performance Standards for 2010 – 2011 Scheduling Letter
- CCIS Performance Standards for 2010 – 2011 Final Letter

Please refer to these documents while reviewing the following information.

### Operational Performance Standards

There are three categories of Operational Performance Standards

- 1) Customer Service which includes Resource and Referral
- 2) Caseload Management
- 3) Administrative Management which includes fiscal/funds management

- An Operational Monitoring Tool will be used by Subsidy Coordinators to gather information throughout the monitoring timeframe to standardize the documentation of CCIS ratings.

### Compliance Performance Standards

The process for compliance monitoring and the rating system are unchanged from the 2009/2010 program year. Pennsylvania will be also conducting the Federal Improper Payments Review during the same time frame to ensure Pennsylvania meets Federal requirements.

The Compliance Review Process will include the following guidelines:

- 1) The number of compliance case reviews will be 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

## Operations Communiqué #10-05 - CCIS Performance Standards and Monitoring – Process for Program Year 2010 – 2011

reviewed. This number will only deviate if the Federal Review sample list identifies more than 10 or 20 for an individual CCIS as part of the random sample.

- 2) The identified cases for review will be from October 2009 through September 2010.
- 3) The compliance review cases will be identified by using the Federal Improper Payment Review sample process.
- 4) 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 warrant explanations.
- 5) The respective Subsidy Coordinator will begin to conduct their on-site compliance reviews from November 2010 and will continue through June 2011. Two separate visit timeframes may be set up with the Subsidy Coordinator to meet the Federal Review guidelines in addition to the Compliance Review guidelines.
- 6) The 2010/2011 Compliance Excel Monitoring Tool will be used to record the review outcomes. 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 to coincide with OCDEL's review process.
- 7) The ratings for the Compliance Performance Standards will continue to be "Needs Improvement", "Satisfactory" and "Commendable". 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 ratings for compliance being assigned as follows:
  - a. 41% or greater marked wrong = Needs Improvement
  - b. 21% to 40% marked wrong = Satisfactory
  - c. 0% to 20% marked wrong = Commendable

### Plan of Correction (POC)

The Plan of Correction document will be completed for any standard that results in a "Needs Improvement Rating". 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 of June 2011.

### **Next Steps:**

1. Review the information with appropriate staff
2. Review the attached documents with appropriate staff
3. Do not obsolete this communiqué until further notice
4. Direct questions to the assigned Subsidy Coordinator