

Operations Communiqué #11-03: CCIS Performance Standards and Monitoring – Process for Program Year 2011 – 2012

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

Title: CCIS Performance Standards and Monitoring – Process for Program Year 2011 – 2012

Date: September 30, 2011

Priority: **HIGH**

Category: Informational

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 (CCIS) Performance Standards monitoring process for Program Year 2011 – 2012.

Background:

The Office of Child Development and Early Learning (OCDEL) of the Bureau of Subsidized Child Care Services established Performance Standards for the Child Care Information Services (CCIS) agencies in October 2005. Performance Standards were created by OCDEL to outline the expectations for the CCIS agencies to adhere to the regulations, policy and procedures associated with managing the subsidized child care program. The Performance Standards are based on the requirements of the Improper Payments Information Act of 2002, issued by the Federal Administration for Children and Families Child Care Bureau (CCB), and Pennsylvania's Regulations and Policies.

Discussion:

CCIS Monitoring began July 2011 and will continue through June 2012. 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 CCB's federal requirements for program compliance.

The following documents are attached to this communiqué:

- CCIS Performance Standards 2011 – 2012
- CCIS Performance Standards 2011 – 2012 Scheduling Letter
- CCIS Performance Standards 2011 – 2012 Compliance Monitoring Tool
- CCIS Performance Standards 2011 – 2012 Compliance Monitoring Instructions
- CCIS Performance Standards 2011 – 2012 Operations Monitoring Tool
- CCIS Performance Standards 2011 – 2012 Plan of Correction
- CCIS Performance Standards 2011 – 2012 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 2010 - 2011 program year.

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 reviewed.
- 2) The identified cases for review will be from October 2010 through September 2011.
- 3) 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 coordinator's review. CCIS staff may make notes and be prepared to discuss with the Subsidy Coordinator areas of those cases that warrant explanations.
- 4) The respective Subsidy Coordinator will begin to conduct their on-site compliance reviews from November 2011 and will continue through June 2012.
- 5) The 2011 - 2012 Compliance Monitoring Tool will be used to record the review outcomes. CCIS agencies are encouraged to use the Compliance 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.
- 6) 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 2012.

Next Steps:

1. Review the information with appropriate staff.
2. Review the attached documents with appropriate staff.
3. Direct questions to the assigned Subsidy Coordinator.