



ADMINISTRATION FOR  
**CHILDREN & FAMILIES**



## State and Territory Administrators Meeting

STAM 2022



# Preparing for OCC's Federal Monitoring Process: What to Expect in the Pre-Visit and Onsite Phases of Monitoring

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## Today's Objectives

### Upon completion of the workshop, participants will:

Feel more comfortable stepping into Cycle 2 of monitoring after hearing from other States about what to expect and tips for preparing

Reflect on their own State's Cycle 1 monitoring experience and those shared by other states in Cycle 1 and 2

Identify strategies for submitting the compliance demonstration chart and document submission chart, as well as ways to better prepare the State monitoring team for the visit

Understand what to expect during the onsite visit to include preparing for the guided case file reviews for family subsidy cases and provider child care records

Learn about useful resources for State and Local partners to help prepare for Cycle 2 of monitoring

Understand the post-visit timeline and activities for closing out the monitoring process



## OCC Federal Monitoring Goals

- Ensure compliance with CCDF Regulations and approved CCDF Plan
- Identify technical assistance needs to meet CCDF requirements
- Identify promising practices to inform continuous quality improvement



### Transparent

Engage States throughout the process and ensure clear communication of expectations



### Supportive

Identify TA as part of the Monitoring Process



### Efficient

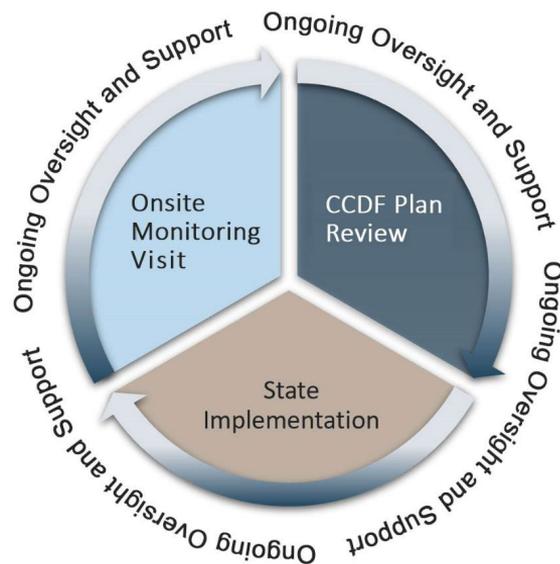
Design a process that considers the use of existing grantee information and the need for other pre-visit documentation





## OCC's Federal Monitoring/Oversight Approach

- Visits are conducted to 1/3 of the States each year (3 cohorts of 17-18)
  - States monitored within the same year are called a **cohort**.
  - States with visits during the same part of the fiscal year (usually a calendar quarter) are called a **sub-cohort**.
- Monitoring includes an in-depth review of areas of focus (Monitoring Topics)





## Monitoring Topics for Cycle #2



Stars mean  
new for Cycle 2.

### Consumer Education: Dissemination of Information to Parents, Providers, and General Public

- Monitoring Reports
- Annual Aggregate Data

### Twelve-Month Eligibility

- Eligibility Determination and Re-determination
- Continued Assistance/Job Search
- Graduated Phase-out
- Change Reporting\*
- Co-payments During the 12-Month Period\*

### Equal Access\*

- Building the Supply of Child Care for Underserved Populations\*
- Sliding Fee Scales\*
- Waiving Co-payments\*
- Payment Policies \*
  - Timeliness of Payments\*
  - Delinking Provider Payments from a Child's Occasional Absences\*
  - Generally-Accepted Payment Practices\*

### Health and Safety Requirements for Providers

- 11 health and safety topics for all CCDF-eligible providers

### Pre-Service/Orientation and Ongoing Training for Providers

- 11 health and safety topics for all CCDF-eligible providers





## Monitoring Topics for Cycle #2



Stars mean  
new for Cycle 2.

### Inspections for Licensed CCDF Providers, which include inspections for compliance with:

- Health and safety requirements and fire standards
- Pre-service/orientation and ongoing training requirements
- Child:staff ratios and group sizes

### Inspections for License- Exempt CCDF Providers, which include inspections for compliance with:

- Health and safety requirements and fire standards
- Pre-service/orientation and ongoing training
- Child:staff ratios and group sizes

### Background Checks\*

- Requirements for FBI fingerprint checks\*
- In-State searches of the State criminal repository\*
  - State sex offender registry\*
  - State-based child abuse and neglect registry and database\*

### Program Integrity and Accountability

- Written Agreements\*
- Effective Internal Controls – Identification of Risk\*
- Effective Internal Controls – Provider and Staff Training
- Effective Internal Controls – Evaluation of Activities
- Identifying Fraud or Other Program Violations
- Fraud Investigation, Payment Recovery, and Sanctions
- Documenting and Verifying Child Eligibility





## Three Phases of OCC's Federal Monitoring





## Pre-visit Panel Discussion

1

Which specific trainings and monitoring resources helped you prepare for the pre-visit phase?

2

How did you structure the pre-visit work internally and how did it go?

3

Which state staff and/or partners did you ask to be involved in the planning and why?

4

How did you approach the Compliance Demonstration Chart for Cycle 2? What types of evidence did you include for the new topic areas?

5

What planning activities did you do with your staff/partners to prepare for the local session guided case file reviews and interviews?

6

What shifts did you make in how you prepared following the lessons you learned from Cycle 1? How did those changes improve your experience in Cycle 2?





## Visit Panel Discussion

1

Reflecting on the **State-level sessions** during the visit, what went well and what might you have done differently to prepare?

2

What went well during the **local session guided case file reviews and interviews**, and what might you have done differently to help presenters feel comfortable and well-prepared?

3

What shifts did you make in how you prepared for the visit based on lessons learned from Cycle 1?





## Pre-visit Discussion

In small groups or individually, consider:

If you have prior experience with OCC's monitoring:

- a. Based on your experience, what pre-visit planning activities went well that you would like to repeat?
- b. Based on what you heard from the panel, what changes in your preparation during the pre-visit phase might you make stepping into the next cycle of monitoring?

If you do not have prior experience with OCC's monitoring:

- a. Based on what you heard from the panel, how are you planning to approach the pre-visit phase of Cycle 2 monitoring?





## Visit Discussion

In small groups or individually, consider:

If you have prior experience with OCC's monitoring:

- a. Based on your experience, what visit preparation efforts went well that you would like to repeat?
- b. Based on what you heard from the panel, what changes in your preparation for the visit might you make stepping into the next cycle of monitoring?

If you do not have prior experience with OCC's monitoring:

- a. Based on what you heard from the panel, how are you planning to approach the visit phase of Cycle 2 monitoring?





## Discussion Report Outs

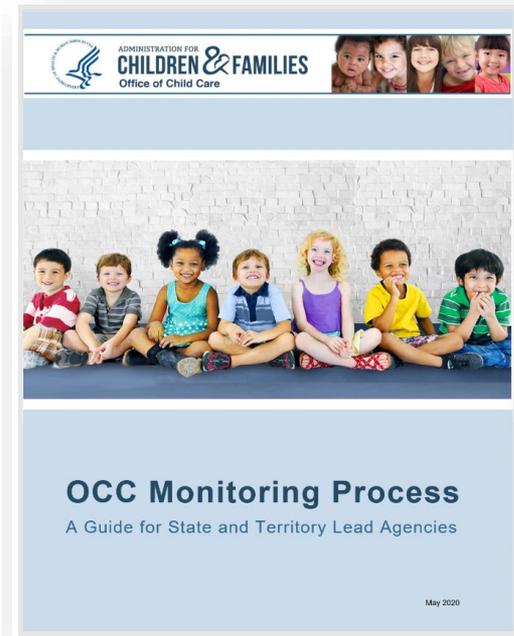




## Resources for States

Additional resources for States are available on OCC's website and on the Online Learning Hub:

<https://bit.ly/3PeJARn>



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## Thank You

