



TRIBAL MANAGEMENT ♦ ♦ ♦ ♦ ♦ INSTITUTE ♦ ♦ ♦ ♦ ♦

Tuesday, March 19 – Friday, March 22, 2019 ♦ Kansas City Marriott Downtown ♦ Kansas City, MO



Record Keeping and Reporting

Rosa Williams and Jessica Gagliardi,
National Center on Child Care Data and Reporting



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Session Objectives

- Learn key concepts related to establishing effective records management
- Review the intersection between effective records management and meeting the Federal reporting requirements of the ACF-700 and ACF-696T
- Collaborate through exercises that demonstrate effective records management



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Check In

Does our record-keeping and reporting system help our program build and maintain its institutional memory?

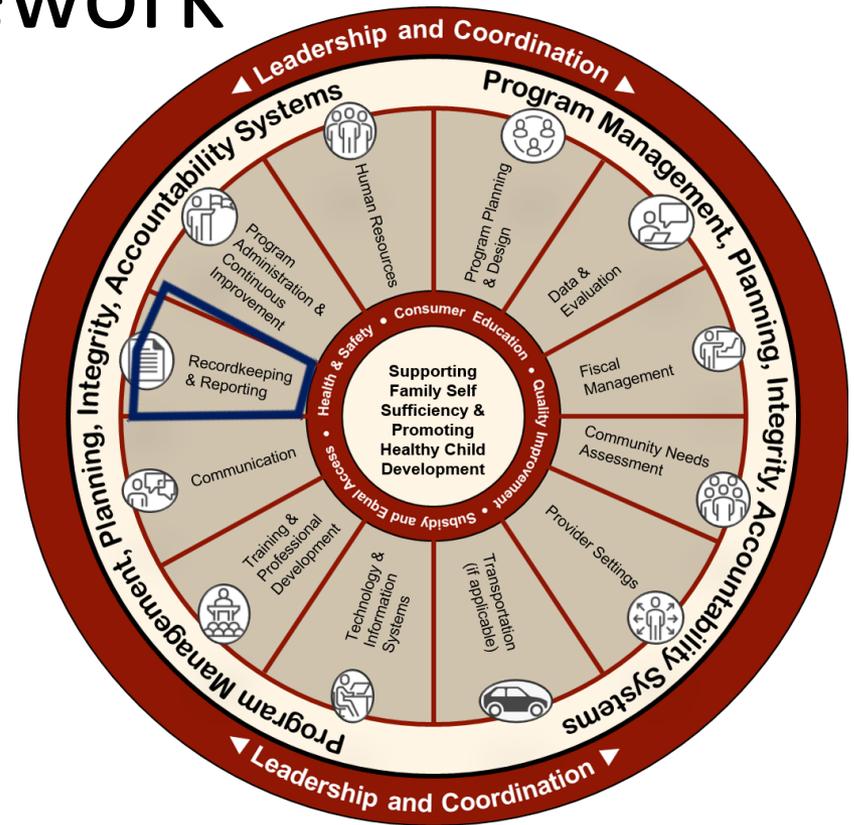


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Tribal Child Care Management Systems Framework





The Final Rule and Data Reporting

Section 98.68, Program Integrity

- Requires Lead Agencies to have effective procedures and practices that ensure integrity and accountability in the Child Care and Development Fund (CCDF) program.

Section 98.70, Program Reporting Requirements

- All grantees are subject to reporting requirements reestablished by the final rule.





Tribal Reporting Requirements

ACF-700

Annual report

Part 1: Administrative Data

Part 2: Supplemental Narrative

ACF-696T

Annual expenditure report

- Mandatory and discretionary funds
- Construction and renovation funds



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P.L. 102-477 Grantees

- Law allows tribes to combine federal grant funds (single budget and single reporting system)
- **Not** required to submit ACF-700 or ACF-696T
- **Required** to submit 102-477 report, which includes three parts:
 - Narrative report
 - Financial report
 - Statistical report



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P.L. 102-477 Grantee Reporting Requirements

Statistical Report

V. Child Care and Development Activities	Families	Children
A. Families Receiving Child Care		
B. Children Receiving Child Care		
1. Ages 0 through 3 years		
2. Ages 4 through 5 years		
3. Ages 6 through 12		
4. Ages 13 and older		
C. Care Received – Type of Provider		
1. Center Based		
2. Family Child Care Home		
3. Group Home		
4. Child's Home		

Financial Report (DOI-477)

OMB Control No. 1076-0135		Expiration Date 02/28/2021	
U.S. Department of the Interior Public Law 102-477			
Annual Financial Expenditure Report (Version 2)			
1. Tribe/Tribal Organization:		2. Other Identifying Number Assigned by DOI:	
3. Mailing Address: (Provide complete mailing address)			
4. Submission: (Mark One)		5. Final Report for Plan Period:	
<input type="radio"/> Original <input type="radio"/> Revised		<input type="radio"/> Yes <input type="radio"/> No	
6. Annual Report Period:		7. Plan Period Covered by this Report:	
From: ___/___/___ To: ___/___/___ (Month/Day/Year) (Month/Day/Year)		From: ___/___/___ To: ___/___/___ (Month/Day/Year) (Month/Day/Year)	
8. Transactions:	Column I: Previously Reported	Column II: This Annual Report Period	Column III: Cumulative/Total
a. Total Funds Available	\$ -	\$ -	\$ -
b. Cash Assistance Expenditures	\$ -	\$ -	\$ -
c. Child Care Services Expenditures	\$ -	\$ -	\$ -





Best Practices for Recordkeeping

- **Develop policies and procedures (P&Ps)**
 - Define what, how, and when information will be captured, managed, and reviewed
- **Ensure accuracy through entry and review processes**
- Data security
- Data-sharing agreements
- Establish a policy review schedule





Best Practices for Record Management *(additional considerations)*

- Develop policies and procedures (P&Ps)
 - Define what, how, and when information will be captured, managed, and reviewed
- Ensure accuracy through entry and review processes
- Data security
- Data-sharing agreements
- Establish a policy review schedule





P&Ps: Define What You Will Capture

- Know your federal reporting requirements
- Determine the best way to meet requirements
- Keep accurate documentation to back up data





P&Ps: Define What You Will Capture

Exercise 1: Understanding the reporting requirements and information programs need to capture to meet these requirements



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P&Ps: How to Collect the Data

Initial intake from clients

- Methods used to collect information
- Individuals to provide information
- Assistance provided to complete forms

Data collected on an ongoing basis

- As services are provided
- At redetermination





P&Ps: How to Manage Data

Child Care Data Record Management System should...

- Generate information relevant to ACF-700, ACF-696T, and P.L. 102-477 reports
- Analyze data to inform management decisions
- Serve as a comprehensive case management tool

The Data Tracker can be used to...

- Generate your ACF-700 data **automatically** and provide numbers for easy completion of the online ACF-700
- Easily access and update individual case records
- View and print lists of clients or providers, official certificates, approval letters, and data documents

Excel spreadsheet...

- Formulas embedded to calculate the ACF-700 report elements





P&Ps: Develop Data Collection, Quality Review, and Retention and Destruction Schedules

- Initial entry
- Updating records
- Quality review
- Retention of records
- Destruction of records



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Ensure Accuracy through Data Entry and Review Processes

- Communicate policies and procedures
- Define roles
- Set goals for entry and review
- Communicate the importance of the data to staff

Exercise 2: Quiz



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ACF-700 Report

Tribal Lead Agencies must submit data:

- Only for direct services provided during the fiscal year
- On services paid wholly or in part with CCDF funds
- On services offered through the grantee's CCDF program or services offered by other programs that are paid for by CCDF funds
- On services paid for by CCDF funds but offered by other programs or providers

ACF-700 report includes administrative data regarding the following:

- Total number of families and children who received services during the fiscal year
- Average number of children served each month
- Ages of children receiving care
- Reason for care
- Average service hours, subsidy, and copayment per child per month
- Children by family income relative to poverty
- Children by payment type





ACF-696T Report

Tribal Lead Agencies must submit

- separate annual reports for each fiscal year during which CCDF funds were awarded, up to three separate financial reports yearly;
- electronically through Online Data Collection (OLDC); and
- within 90 days after the end of the federal fiscal year (September 29 + 90 days = December 29).

The ACF-696T tracks expenditures in the following categories:

- Child care services (#4)
- Child care administration (#5)
- Nondirect services (#6)
- Quality activities (#7)
- Construction/renovation (#8)



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Best Practices for Data Reporting

- Understand the reporting guidance
- Document your process for cross-training
- Establish quality review schedule
 - Submission deadline is December 31 following the reporting period (October 1 to September 30).
- Locate relevant resources





Submission Quality Review

Things the Office of Child Care (OCC) looks for in reports:

- Is the report complete?
- Do the numbers add up properly?
- Does the report look realistic (similar to national averages)?



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Common Errors

- Submitting data that do not match the program description included in your Tribal CCDF Plan
- Not following OCC reporting guidelines
- Estimating numbers
- Skipping questions
- Typographical errors





Locate Relevant Resources

National Centers

- [National Center on Child Care Data and Reporting](#) (NCDR)
- [National Center on Tribal Early Childhood Development](#) (NCTECD)

General Resources

- Overview of Reporting Requirements for Tribes (Office of Child Care, 2012)
 - <https://www.acf.hhs.gov/occ/resource/overview-of-all-reporting-requirements-for-tribes>
- *Tribal CCDF Guide to Financial Management, Grants Administration and Program Accountability* (Administration for Children and Families, 2012)
 - <https://www.acf.hhs.gov/occ/resource/tribal-ccdf-guide-to-financial-management-grants-administration-and-0>





Locate Relevant Resources

ACF-700 requirements and guidance

<https://www.acf.hhs.gov/occ/resource/acf-700-tribal-annual-report>

- Tribal Annual Report: Guide for CCDF Tribal Lead Agencies (ACF-700 Manual)
- Child Care Data Tracker
- Submission site
- Technical bulletins
- ACF-700 Reporting Tips

ACF-696T requirements and guidance

<https://www.acf.hhs.gov/occ/resource/acf-696t>



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Exercise 3

Reporting activity for ACF-700

- Child care types
- Average monthly child care subsidy
 - Uses data from the ACF-696T
- Poverty thresholds



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Taking the Training Home

- What is one key takeaway you have from this session?
- How do you plan to put that takeaway into action once you're home?
- What technical assistance might you need to support you in implementing your takeaway?





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Thank You!

For assistance, contact the
**National Center on Child Care
Data and Technology**

2600 Tower Oaks Blvd., Suite 600
Rockville, MD 20852

Toll-free 1-877-249-9117
Fax 301-816-8640

ncdr@ecetta.info



National Center on Child Care Data and Reporting

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