

OCC Monitoring System

AN OVERVIEW FOR STATE ADMINISTRATORS

AUGUST 7, 2018

About Today's Session

OBJECTIVES

-  Provide an overview of final monitoring processes
-  Address State questions about the monitoring approach
-  Gather input on future training needs
-  Hear from State Administrators who experienced the monitoring pilots

AGENDA

-  Background
-  3 Phases of Monitoring
 -  Pre-Visit
 -  Onsite
 -  Post-Visit
-  Next Steps
 -  State Training Plan
-  FY '18 Pilot States Panel



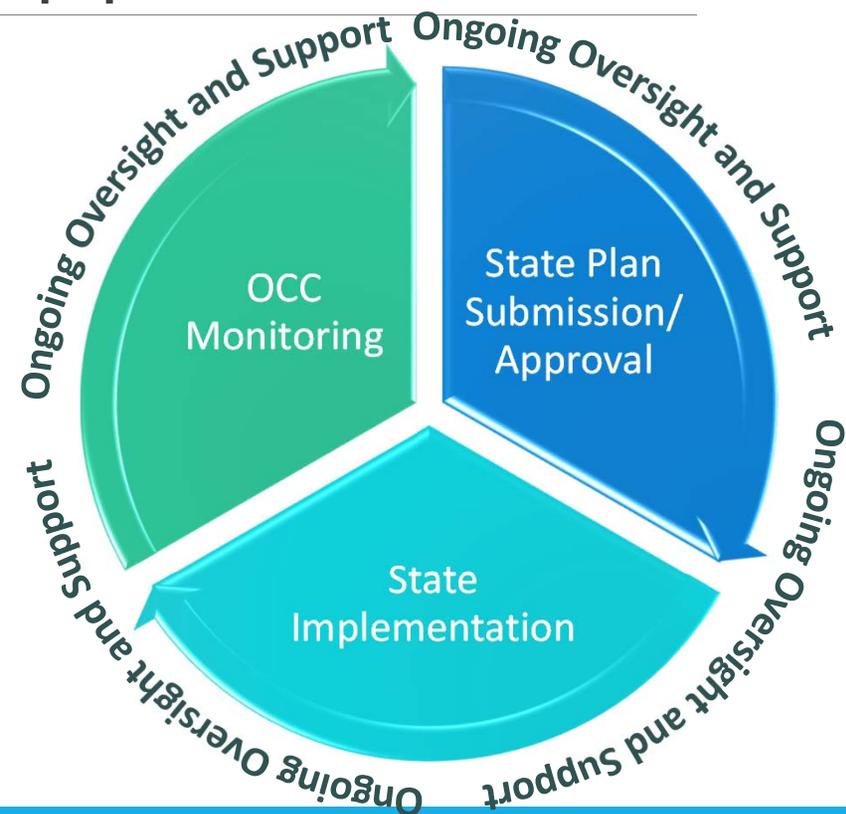
Background

Developing the Monitoring System

- 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
- Guiding Principles for Development Process:
 - **Transparent:** Engage States throughout the process and to 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

Monitoring/Oversight Approach

- OCC reviews and approves CCDF State Plans
- States implement approved Plans
- OCC conducts monitoring visits to 1/3 of the States each year (3 cohorts of 17)
 - In-depth review of areas of focus (Monitoring Topics)
- OCC provides ongoing oversight and support of States throughout Plan period
 - Regular calls with States and, as needed, regional oversight visits
 - Amendment review/approval as needed
 - TA provided to States upon request



Monitoring Cohorts

	Monitoring Cycle #1
Cohort 1 States	10/1/18-9/30/19
Cohort 2 States	10/1/19-9/30/20
Cohort 3 States	10/1/20-9/30/21

Cohort 1 States	Region	Cohort 2 States	Region	Cohort 3 States	Region
MA	I	CT	I	NH	I
RI	I	ME	I	VT	I
NY	II	NJ	II	PA	III
DE	III	DC	III	WV	III
VA	III	MD	III	GA	IV
FL	IV	KY	IV	AL	IV
MS	IV	NC	IV	IL	V
TN	IV	SC	IV	IN	V
OH	V	MI	V	TX	VI
WI	V	MN	V	OK	VI
LA	VI	NM	VI	KS	VII
AR	VI	MO	VII	CO	VIII
IA	VII	NE	VII	ND	VIII
UT	VIII	MT	VIII	CA	IX
SD	VIII	WY	VIII	NV	IX
AZ	IX	HI	IX	WA	X
OR	X	ID	X	AK	X

Monitoring Topics for Cycle #1

1. Disaster Preparedness, Response, and Recovery
2. Consumer Education: Dissemination of Information to Parents, Providers, and General Public (Monitoring Reports and Aggregate Annual Data)
3. Twelve-Month Eligibility
4. Child:Staff Ratios and Group Sizes
5. Health and Safety Requirements for Providers (11 topics)
6. Pre-Service/Orientation and Ongoing Training for Providers
7. Annual Inspections for CCDF Licensed Providers
8. Inspections for License-Exempt CCDF Providers
9. Ratios for Licensing Inspectors
10. Child Abuse and Neglect Reporting
11. Program Integrity and Accountability

National Scheduling Process

Process – for Cohort 1

Onsite period: Feb. 2019–Sept. 2019, excl. weeks with federal holidays

OCC & States identify “blackout” weeks via SurveyMonkey form

National monitoring schedule developed based on OCC/State availability



Deadlines – for Cohort 1

- State blackout dates (up to 4) due: **August 22**
- National schedule released: **September**

Monitoring Teams

OCC MONITORING TEAM

- OCC RO and CO staff
- Monitoring contract staff (WRMA

STATE MONITORING TEAM

- State Administrator(s)
- Other State staff
- State partners and subrecipients, as appropriate

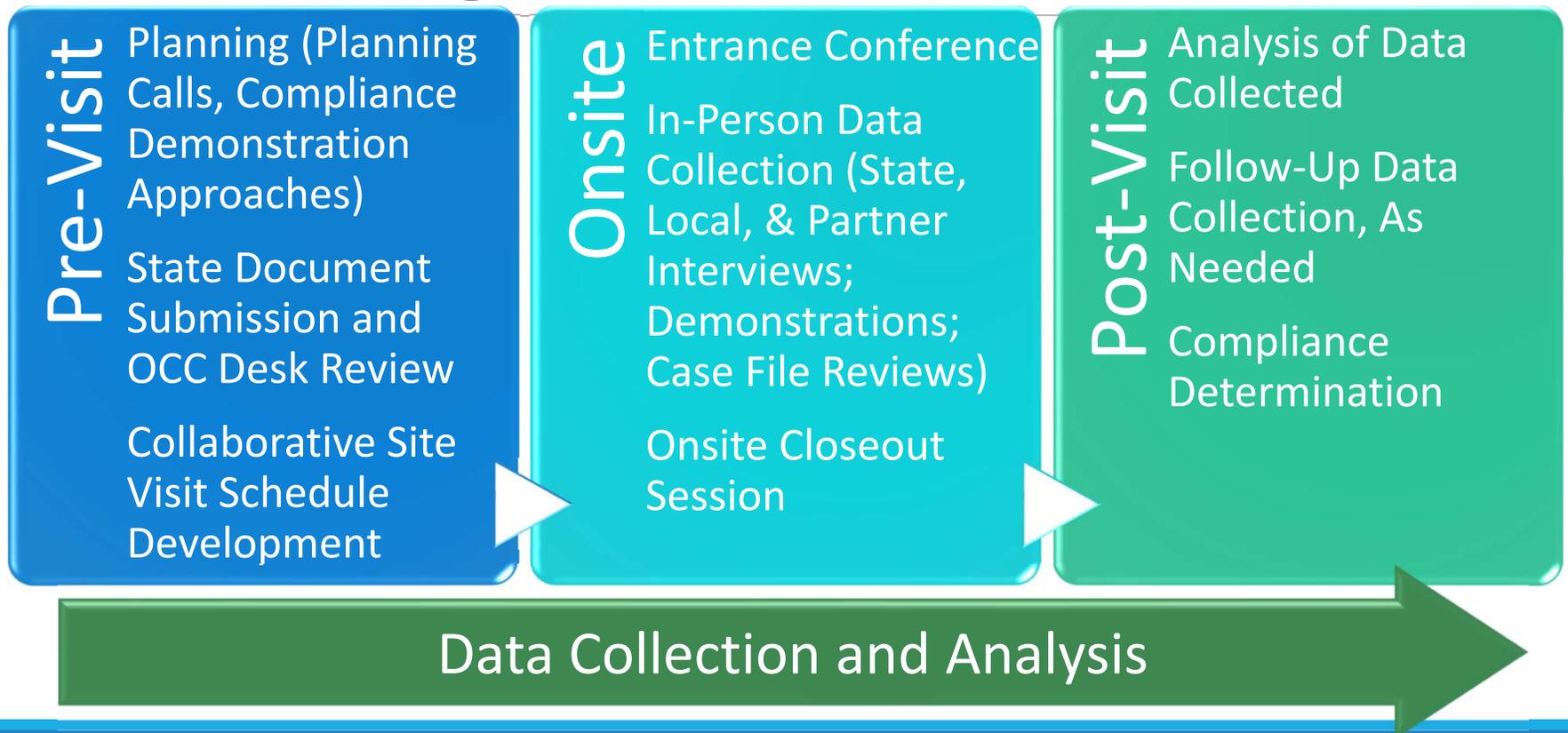


3 Phases of Monitoring

PRE-VISIT, ONSITE, AND POST-VISIT ACTIVITIES

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3 Monitoring Phases: An Overview





Pre-Visit Phase

Sub-Cohort Training

PARTICIPANTS

- States with upcoming visits in the next 5-8 months
 - State Administrators
 - Key State staff & partners

CONTENT

- Pre-Visit Planning Calls and Activities
 - Detailed review of monitoring topics and regulations
 - Suggested approaches to demonstrating compliance
 - Walk-throughs of documents to submit
 - Review of next steps

Scheduling Process: State-Specific Calls



State receives confirmation letter with online call scheduling polls and customized *State Activities One-Pager*



Planning calls scheduled based on input from State



State Administrators are encouraged to involve other State staff/partners in planning calls

State-Specific Pre-Visit Activities

STATE ACTIVITIES

- 3 State-Specific Pre-Visit Calls
- Completion and Submission of *Compliance Demonstration Chart*
- Completion and Submission of *Document Submission Chart* with desk review materials
- Preparation for Onsite Visit

OCC ACTIVITIES

- 3 State-Specific Pre-Visit Calls
- Review of State's completed *Compliance Demonstration Chart*
- Data collection from desk review materials and analysis of evidence
- Development of onsite visit schedule
- Preparation for Onsite Visit

Sample Completed Compliance Demonstration Chart

CCDF Rule (Column A)	Proposed Approach To Demonstrating Compliance With This Requirement (Column B) (Column C)	
Topic 1: Disaster Preparedness: Response and Recovery		
<p>98.16(aa)(1): Statewide Disaster Planning Collaboration [State Plan §:1.8.1]</p> <p>A CCDF Plan shall contain a demonstration of how the State will address the needs of children, including the need for safe child care, before, during and after a state of emergency declared by the Governor or a major disaster or emergency (as defined by section 102 of the Robert T. Stafford Disaster Relief and Emergency Assistance Act, 42 U.S. C. 5122) through a Statewide Disaster Plan (or Disaster Plan for a Tribe's service area) that is developed in collaboration with:</p> <ul style="list-style-type: none"> the State human services agency, the State emergency management agency, the State licensing agency, the State health department or public health department, local and State child care resource and referral agencies, and the State Advisory Council on Early Childhood Education and Care (designated or established pursuant to section 642B(b)(l)(A)(i) of the Head Start Act (42 U.S.C. 9837b(b)(1)(A)(i))) or similar coordinating body. 	<p>Pre-Visit Information</p> <p>Disaster Plan Acknowledgements page showing agencies and individuals involved in development</p> <p>Agenda, minutes, and participant list from planning meeting where Disaster Plan was shared and discussed</p>	<p>Onsite</p> <p>Discussion with Lead Agency's emergency management lead</p>

Sample Completed *Document Submission Chart*

CCDF Rule	Document to Review	File Name or URL	Page/Section	Date Sent
Topic 1 - Disaster Preparedness: Response and Recovery				
98.16(aa)(1): Statewide Disaster Planning Collaboration [State Plan 1.8.1]	Statewide Disaster Plan	Statewide Disaster Plan.pdf	Acknowledgements, pg ii	7/20/2018
	Children in Disasters Advisory Committee (CIDAC) Members	CIDACMembers2016.doc	all	7/26/2018
	Children in Disasters Advisory Committee Mtg Minutes (sample #1)	CIDACMinutesJune2016.doc	all	7/26/2018
	Children in Disasters Advisory Committee Mtg Minutes (sample #2)	CIDACMinutesSept2016.doc	all	7/26/2018
98.16(aa)(2): Statewide Disaster Plan Components [State Plan 1.8.2-1.8.6]				
Topic 2 - Consumer Education: Dissemination of Information to Parents, Providers, and General Public (focusing on the posting of Monitoring Reports and Annual Aggregate Data)				
98.33(a)(4): Consumer Ed. - Posting Monitoring R.				



Onsite Visit Phase

Major Onsite Visit Activities

- Entrance Conference
 - OCC Presentation
 - State Presentation
- Data Collection Sessions
 - Discussions
 - Demonstrations
 - Case File Reviews
- Onsite Debriefings
 - Daily debriefings with State Admin.
 - Onsite Closeout Session



General Onsite Visit Schedule

Day 1	Day 2	Day 3
<ul style="list-style-type: none">• Entrance Conference at State Office<ul style="list-style-type: none">◦ OCC Presentation◦ State Presentation• Data Collection Sessions at State Office(s)	<p>Monitoring Team splits to go to two different geographic locations</p> <ul style="list-style-type: none">• Data Collection Sessions at Local Licensing/Monitoring, Subsidy, and Other Partner Sites	<ul style="list-style-type: none">• Data Collection Sessions• Onsite Closeout Session



Non-Compliant
Compliant

Post-Visit
Phase

Post-Visit Activities

- State Post-Visit Call
 - Address follow-up questions from Monitoring Team
- Preliminary Compliance Determinations
 - Monitoring Team makes preliminary recommendations
 - National body validates preliminary determinations
- Virtual Exit Conference
 - Review preliminary determinations
 - Discuss OCC and State next steps

State Post-Visit
Call



Preliminary
Compliance
Determination



Virtual Exit
Conference



Next Steps

State Training Plan

- 1.5-hour, live, web-based orientation session for all States (Wednesday, September 5, 2018)
- 1-hour, in-depth, live, web-based training session for each Cohort 1 sub-cohort:
 - Feb.-May Sub-Cohort (Thursday, September 13, 2018)
 - June-Sept. Sub-Cohort (Monday, January 7, 2019 - proposed)
- Pre-recorded, web-based mini-trainings on specific topics



Q&A

FY '18 Pilot State Panel

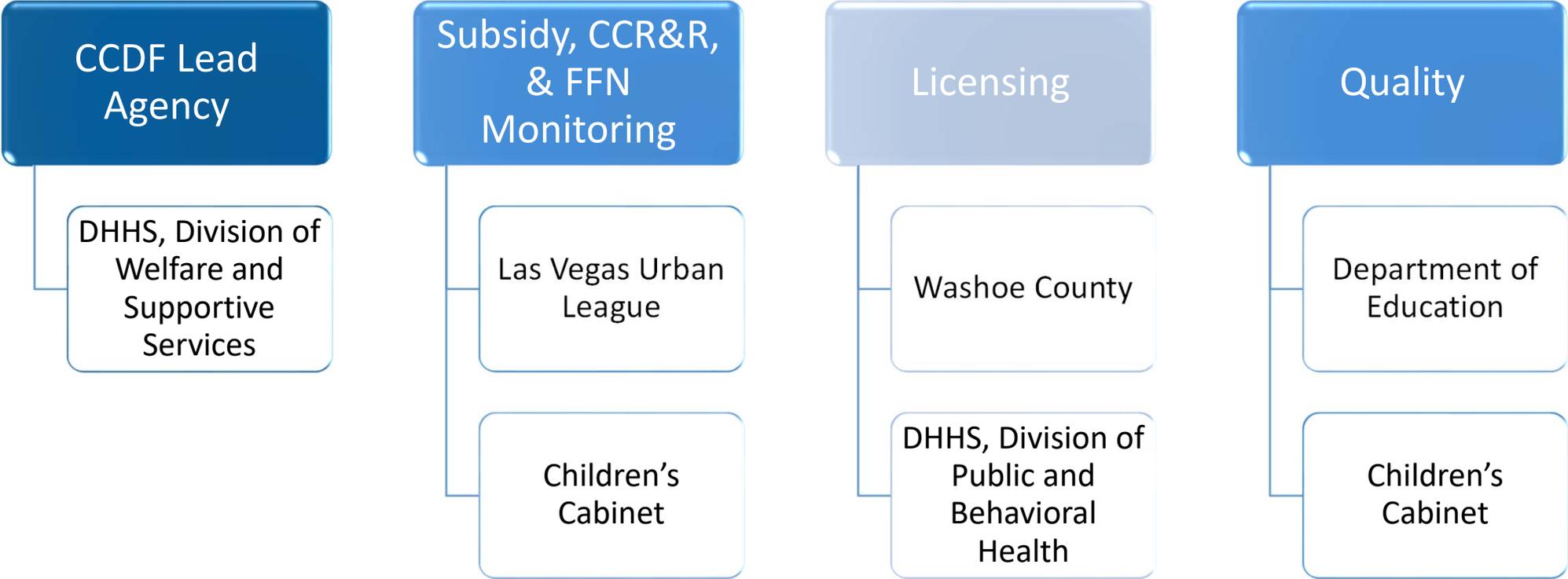
PANELISTS:

CHRISTELL ASKEW, NEVADA

KAREN BECKERMAN, KANSAS

TERRY SHANER-WADE, PENNSYLVANIA

Nevada's Child Care and Development Team





We appreciate your time today! If you have any remaining questions, please feel free to ask them now.