MONITORING GUIDE

Identify Case Sample

Request Report RE322 Subsidy Caseload Report with the following parameters:

Office- COUNTY/CCIS
Supervisory Unit – LEAVE BLANK
User Id – CLEAR ID AND LEAVE BLANK
Caseload – LEAVE BLANK
Case Status – OPEN
Case Mode – ONGOING
Report Type – DETAIL

This report will be used to identify all cases that need to be reviewed for the CCIS monitoring, except the ineligible applications sample. For joinder counties, you will request one report for each CCIS office.

Identify Invoice Sample

Request Report RE403 Invoice Status Report with the following parameters:

Service Period – Most recent paid invoice month prior to monitoring process start
County and Office – County/CCIS
Provider ID – Leave Blank
Invoice Status – Payment Requested or Paid (Depending on Agency usage of these fields)
Sort by: Invoice ID

This report will be used to identify all invoices that need to be reviewed for the CCIS monitoring. For joinder counties, you will request one report for each CCIS office.

Identify Ineligible Case Sample

Using the Application Log issued by OCD in August, 2006, sort the Application Outcome column by A/Z order and identify all ineligible applications that were processed. Add up the total number of ineligible cases from September 1, 2006 through the review date and sample 3% of those applications or a minimum of 3. For joinders, request the log for each CCIS office.

EXCEL MONITORING DOCUMENT

This is the document that will be used to complete the 2006/2007 Child Care Information Services Performance Standards Monitoring.

The document contains all the sheets necessary to record the agency's data and results.

Basic Excel Instructions for document:

- Immediately upon receipt of document SAVE AS – using CCIS name as part of the new document name.
- Tabs at the bottom identify each of the individual pages for the monitoring tool.
- In the left bottom corner are arrows which allow you to scroll forward and backward through the different pages of the tool.
- Throughout the document when a drop down box is available, the choice has to be made by using the drop down box or the answer must be typed exactly and in all capitals.

- Only one choice can be made from a drop down box, in situations where more than one answer applies to the question choose the first answer. This will occur with 2 parent family incomes or multiple other income or deductions.
- Dates need to be entered 00/00/00 with the slashes.
- Save the document regularly in order to maintain data.
- In order for the results to calculate correctly all review data must be entered in one final document.

The Excel document consists of:

1ST TAB

- **MONITORING SUMMARY (RED TAB)** - This page is used to identify sample size for compliance and caseload management invoices. It will also automatically record the final ratings for each of the performance standards, eligibility results and the agency overall rating. PLEASE NOTE: Until all the worksheets are completed the results will default to "Needs Improvement".

The next 5 TABS are the worksheets needed to review cases and invoices:

- **APP WS (BLUE TAB)**– for review of applications
- **REDE WS (FUCHSIA TAB)**– for review of re-determinations
- **FM TANF WS (ORANGE TAB)**– for review of TANF transfers
- **FT INTIAL REDE WS (GREEN TAB)**– for review of FT Initial-Redes
- **CLMGT WS (PURPLE TAB)** – Caseload Management of Provider Invoices

The next 5 TABS are the Performance Standard Rating Summaries:

- **CUST SD RS (CREAM TAB)** – All 5 Customer Service Standards are included in this page. Use the scroll down arrows to complete each rating summary sheet for this standard.
- **R&R SD RS (GREY TAB)** – 2 Resource and Referral Standards are included in this page. Use the scroll down arrows to complete each rating summary sheet for this standard.
- **COMPL SD RS (YELLOW TAB)** – All 7 Compliance Standards are included in this page. Use the scroll down arrows to complete each rating summary sheet for this standard.
- **CLMGT SD RS (PINK)** – 2 Caseload Standards are included in this page. Use the scroll down arrows to complete each rating summary sheet for this standard.
- **FUNDS MGT RS (BROWN TAB)** – All 5 Funds Management Standards are included in this page. Use the scroll down to complete each rating summary sheet for this standard.

Review Process Instructions:

1. Using the **Subsidy Caseload Report**, click on the Monitoring Summary Tab in the Excel document.
   - **a.** On the Monitoring Summary page choose the appropriate CCIS, Review Period and Date Completed. This information will transfer to the rest of the worksheets based on the response.
   - **b.** Enter the Subtotal for the office located on the last page of the report the number of cases in the "Total Active # of Cases" column. The total number of cases to review will populate based on OCD requirements.
   - **c.** Total the number of different user id (employees) in the report and enter that number in the "Total # of Caseload Employees" column. The total number of cases to review per employee will populate in the "Cases to Review per Employee" column.
   - **d.** Randomly select under each employee the number of cases to review per employee and pull those files for review.

2. Using the **Invoice Status Report**
    a. Add up the total number of invoices processed during the service period and enter the number in the “Total Active # of Invoices” column. The total number of cases to review will populate based on OCD requirements.
    b. Enter in the number of employees that process invoices and enter that number in the “Total # of Fiscal Employees” column. The total number of invoices to review per employee will populate in the “Invoices to Review per Employee” column.
    c. Randomly select invoices from each of the fiscal employees and pull those invoices for review.

CASE WORKSHEET INSTRUCTIONS

As files are pulled using the sample criteria above, a decision needs to be made as to which worksheet will be used to perform the case review.

Choose the file’s most current 6 month segment, either Application, Re-determination, Former TANF transfer within first 6 months, and former TANF Initial Re-determination. Go to the appropriate worksheet and complete.

For Application Worksheet: (APP WS -Blue TAB)

- The CCIS name and review period will be populated automatically from the Monitoring Summary.
- Enter the first file to be reviewed Record Number at the top of column C. Continue down the column and answer all questions that pertain to the file.
- Use drop down boxes for responses to the question using the most appropriate answer, Click “Enter” to move down the worksheet for each question.
- Questions requiring dates should be entered using the slashes.
- Questions #49 - #54 will automatically populate based on the answers from the file. These answers will transfer to the appropriate Rating Summary for each corresponding Performance Standard.
- For the next application file, proceed to column D and repeat process, and so on.
- Save after each file review.

For Re-determination Worksheet: (REDE WS – Fuchsia TAB)

- The CCIS name and review period will be populated automatically from the Monitoring Summary.
- Enter the first file to be reviewed Record Number at the top of column C. Continue down the column and answer all questions that pertain to the file.
- Use drop down boxes for responses to the question using the most appropriate answer, Click “Enter” to move down the worksheet for each question.
- Questions requiring dates should be entered using the slashes.
- Questions #49 - #54 will automatically populate based on the answers from the file. These answers will transfer to the appropriate Rating Summary for each corresponding Performance Standard.
- For the next re-determination file, proceed to column D and repeat process, and so on.
- Save after each file review.

For Former TANF transfer Worksheet: (FM TANF WS – Orange TAB)

- The CCIS name and review period will be populated automatically from the Monitoring Summary.
- Enter the first file to be reviewed Record Number at the top of column C. Continue down the column and answer all questions that pertain to the file.
- Use drop down boxes for responses to the question using the most appropriate answer, Click “Enter” to move down the worksheet for each question.
- Questions requiring dates should be entered using the slashes.
- Questions #44 - #45 will automatically populate based on the answers from the file. These answers will transfer to the appropriate Rating Summary for each corresponding Performance Standard.
- For the next Former TANF transfer file, proceed to Column D and repeat process, and so on.

- Save after each file review.

For Former TANF Initial Re-determination Worksheet: (FT INTIAL REDE WS – Green TAB)

- The CCIS name and review period will be populated automatically from the Monitoring Summary.
- Enter the first file to be reviewed Record Number at the top of column C. Continue down the column and answer all questions that pertain to the file.
- Use drop down boxes for responses to the question using the most appropriate answer, Click “Enter” to move down the worksheet for each question.
- Questions requiring dates should be entered using the slashes.
- Questions #48 - #49 will automatically populate based on the answers from the file. These answers will transfer to the appropriate Rating Summary for each corresponding Performance Standard.
- For the next Former TANF Initial Re-de file, proceed to Column D and repeat process, and so on.
- Save after each file review.

For Caseload Management Worksheet: (CLMGT WS – Purple TAB)

- The CCIS name and review period will be populated automatically from the Monitoring Summary.
- Enter the first file to be reviewed Record Number at the top of column C. Continue down the column and answer all questions that pertain to the file.
- Use drop down boxes for responses to the question using the most appropriate answer,
- Questions requiring dates should be entered using the slashes. Click “Enter” to move down the worksheet for each question.
- Questions #4 will automatically populate based on the answers from the file. This answer will transfer to the appropriate Rating Summary for the Performance Standard.
- For the next Invoice, proceed to Column D and repeat process, and so on.
- Save after each invoice review.

Once all worksheets are completed for all sample files, proceed to the Rating Summary TABS to complete the review.

RATING SUMMARY PAGES

Customer Service Standards Rating Summary (CUST SD RS – Cream TAB)

- There are 5 standards for this Sheet.
- Go to each statement and answer “YES” or “NO” to whether the CCIS agency meets that statement
- The total Performance Rating is defaulted to “Needs Improvement” until all the answers are completed and then will automatically populate with the correct result.
- Scroll down answering the statements for each of the Standards.
- A comment section is available to explain the results if necessary.

Resource and Referral Standards Rating Summary (R & R SD RS – Grey TAB)

- There are 2 standards for this Sheet.
- Go to each statement and answer “YES” or “NO” to whether the CCIS agency meets that statement
- The total Performance Rating is defaulted to “Needs Improvement” until all the answers are completed and then will automatically populate with the correct result.
- Scroll down answering the statements for each of the Standards.
- A comment section is available to explain the results if necessary.

Compliance Standards Rating Summary (COMPL SD RS – Yellow TAB)

- There are 7 standards for this Sheet.

- The top portion of these standards will automatically populate based on the answers from the Worksheets.
- Go to each statement and answer “YES” or “NO” to whether the CCIS agency meets that statement
- The total Performance Rating is defaulted to “Needs Improvement” until all the answers are completed and then will automatically populate with the correct result.
- Scroll down answering the statements for each of the Standards.
- A comment section is available to explain the results if necessary.

Caseload Management Standards Rating Summary (CLMGT SD RS – Pink TAB)

- There are 2 standards for this Sheet.
- The top portion of the first standard will automatically populate based on the answers from the Worksheet on invoices.
- Go to each statement and answer “YES” or “NO” to whether the CCIS agency meets that statement
- The total Performance Rating is defaulted to “Needs Improvement” until all the answers are completed and then will automatically populate with the correct result.
- Scroll down answering the statements for each of the Standards.
- A comment section is available to explain the results if necessary.

Funds Management Standards Rating Summary (FUNDS MGT SD RS – Brown TAB)

- There are 5 standards for this Sheet.
- Go to each statement and answer “YES” or “NO” to whether the CCIS agency meets that statement
- The total Performance Rating is defaulted to “Needs Improvement” until all the answers are completed and then will automatically populate with the correct result.
- Scroll down answering the statements for each of the Standards.
- A comment section is available to explain the results if necessary.

Once all the Rating Summaries are completed, go back to the Monitoring Summary Sheet.

- The Compliance Eligibility Review Results will automatically populate with all the results from each of the worksheets and provide an overall eligibility results for the agency based on eligibility criteria for all cases reviewed.
- The Rating Results will populate based on the results from the Rating Summaries and give an overall rating for the agency based on all results.
- Once the Document is complete, “Save As” Final for that CCIS Monitoring Process.

CCMIS REFERENCE GUIDE

This table indicates which CCMIS pages can be used to validate data in CCMIS for the review process. This is just a guide to assist the reviewer in the assessment process.

Case Summary Page	Correspondence Search Page	Employment and Wage Page
Application Date	Missing Info Letter	Earned Income
Family Composition	Confirmation Letter	Self-Employed
	TANF transfer Letter	Work hour requirement
	Adverse Actions	

Other Income Page	Training Page	Teen Parent Education Page
Other Income	Training Information	Education Information

Disability Page	Eligibility Results/History Page	File
Disability Information	Co-pay Verification	Re-determination due date
	Eligibility Run Date	
	Re-determination Run Date	
	TANF transfer Run Date	

CIS Screens	Case Comments Page	Deductions Page
TANF transfer dates	Collateral Contacts	Deductions