

17-18 ACCOUNTABILITY REVIEW PROCESS

Biennial Review Process

1. OEL will send the *notification letter* to coalitions and the statewide contractor approximately four weeks prior to the review start date. The notification letter will include an initial document request; due dates for the document request; a schedule of important monitoring events; and a certification/questionnaire about the coalition's adherence to its approved school readiness (SR) plan.
2. *Entrance conference* for on-site reviews will typically occur the first day of the on-site visit. There may be exceptions to this process for circumstances beyond the control of the on-site team or coalition staff.
3. *Review components*
 - a. Eligibility/Payment Validation
 - i. Data pulls for these reviews will include a full quarter from the last closed period available in the Statewide Enhanced Field System.
 - ii. OEL will review all 30 coalitions and two statewide contractors biennially. OEL may review some coalitions on an annual basis due to other risk factors (e.g., change in service delivery model; amount of funding; special review requests).
 - iii. OEL will conduct on-site reviews of 16 coalitions and one (1) contractor during the 17-18 fiscal year.
 - iv. Areas covered during this review will be SR, voluntary prekindergarten (VPK) child eligibility, VPK provider eligibility and payment validation. OEL will pull Statewide Enhanced Field System data for the review for each review that will include a full quarter from the last closed period and the last quarter of the previous fiscal year.
 - b. Programmatic Performance
 - i. Review areas are Child Care Resource and Referral, Coalition Governance, Operations and Program Management, and Educational Service Delivery.
 - ii. The programmatic review period will start on July 1, 2016, and will typically include the time period leading up to the date of the post-site (official) exit conference.
 - iii. OEL will complete the programmatic areas for all coalitions as a desk review.
 - iv. Areas covered during this review will be compliance and implementation of prior review corrective action plans, as well as the areas identified in the Program Integrity Monitoring Guides.
 - c. Data Accuracy-Edit and Exception Reports
 - i. The Data Quality Unit and the Accountability Section run edit and exception reports on a monthly or quarterly basis to assist the coalitions with compliance with data correction requests and data cleansing activities. The reports may identify instances in which there is missing, invalid or inaccurate information.
 - ii. OEL will select edit and exception reports for review during the biennial reviews to identify errors that will require coalition follow-up and review team validation.

RODNEY MACKINNON

EXECUTIVE DIRECTOR, OFFICE OF EARLY LEARNING

250 MARRIOTT DRIVE • TALLAHASSEE, FL 32399 • 850-717-8550 • Toll Free 866-357-3239 • www.FloridaEarlyLearning.com

- iii. OEL will review the 30 coalitions and RCMA biennially.
 - iv. Each coalition or contractor scheduled will receive a desk review of edit and exception reports during the 2017-18 fiscal year, as applicable.
- 4. OEL will send a **document request** to the coalitions for additional documentation, as needed.
- 5. OEL may conduct **phone interviews** prior to the beginning of the onsite, if necessary. If there is a need for additional interviews during the pre-site, on-site or post-site review process, OEL will inform the coalition in advance to schedule.
- 6. OEL will send surveys to providers sampled for the review in lieu of the onsite provider focus group. OEL may conduct a provider focus group if survey results indicate a need for the providers to provide additional feedback regarding their relationship with the coalition/RCMA.
- 7. **Commencement of on-site** reviews will typically include the **entrance conference** on the day of the review team's arrival. The onsite review will also include SR and VPK file review, document collection and may include other on-site monitoring activity required to maximize the on-site team's visit (e.g., provider focus groups, parent focus groups, staff and board member interviews, and provider site visits).
- 8. **Preliminary findings briefing** will occur after the conclusion of the SR and VPK eligibility and payment validation and DA review. The preliminary findings briefing will give the coalition an opportunity to discuss the preliminary findings with OEL staff. During the onsite reviews, OEL will conduct the briefing on the last day of the onsite or three to five business days following the onsite review, if there is a need for additional time. The coalition will have 10 business days to submit a response to OEL's preliminary findings.
- 9. **Post-site review** will include finalization of the working papers, document citations and additional follow-up with the coalition as needed.
- 10. OEL will conduct the **official exit conference** by phone, approximately 30 calendar days after the end of the post-site review period, to review the draft report. During the exit conference, OEL will have a verbal discussion with the coalition of the preliminary eligibility and programmatic findings in the draft report. The courtesy review period will begin immediately following the exit conference. During the courtesy review period, the coalition has 10 business days to respond to the draft report and management addendum to the draft report. This period permits coalitions to submit documentation that OEL will review and determine either to remove findings or to accept corrective action. OEL will incorporate these determinations in the final report. The management addendum to the draft report mostly provides business practice suggestions for the coalition's consideration and does not require a coalition response. However, in some instances the management addendum will reflect business practices that if not implemented will become a finding in the coalition's next accountability review.
- 11. **Accountability report** – After the monitoring team completes its post-site review, OEL will document the observations in a draft report and send to the coalition/contractor as a courtesy review approximately 79 days from the end of the on-site visit. After OEL receives and processes the coalition's courtesy review responses, OEL management will review and finalize the draft report. OEL will subsequently publish the final report and send it to the coalition. While it is OEL's objective to have the draft report available as soon as possible in order to facilitate timely feedback, there may be instances where the need for additional research, documentation, and communication (on behalf of the coalition/contractor and OEL to ensure report accuracy and provide needed technical assistance) causes delays in the report's final publication
- 12. **Corrective action plan and case corrections** – The coalition must respond to all findings with a corrective action plan (CAP) and additional documentation that will correct the findings that the coalition did not address during the courtesy review period. The coalition must submit its CAP and case corrections within 30 calendar days after OEL publishes the coalition's final report. OEL will accept the CAP if the corrections address and resolve all. After the review closes, OEL will review any pending corrective actions for implementation in 30-day increments following the review closure date.
- 13. **Review is closed.**

Quarterly Edit and Exception Report Technical Assistance

1. OEL runs *edit and exception reports* on a monthly or quarterly basis to assist the coalitions and the statewide contractor with compliance with data correction requests and data cleansing activities. OEL places these reports on the Coalition Zone as information for the coalitions to follow up on, as these reports may identify instances in which there is missing, invalid or inaccurate information.
2. OEL has selected edit and exception reports for quarterly technical assistance reviews to identify potential errors that will require coalition follow-up and review team validation.
3. OEL will review all 30 coalitions and RCMA during the 2017-18 fiscal year. Approximately 4-5 coalitions will receive a technical assistance desk review of edit and exception reports monthly, starting in November 2017. (*See exception above.*)
4. OEL will send *notification* to coalitions via email informing them that OEL is providing technical assistance on the selected edit reports and OEL will attach the Data Accuracy (DA) Technical Assistance Scorecard to the email to identify the reports and report errors that need correcting. OEL will provide *technical assistance* as needed to coalitions to assist with correcting any errors identified in edit reports during this process.
5. OEL will request *new reports* be loaded to Coalition or Accountability Zone after the 20th of the subsequent month if report is not already available. (*Any corrections the coalition makes in the current month will not show up in the EFS system until after the 20th, so screen prints from the coalition will assist with reviewing for corrections until a new report is available.*) OEL will note on the DA Technical Assistance scorecard any new files listed on the subsequent report so that the coalition is aware it needs to follow up on these subsequent errors. The analyst will work with the coalition to correct these files. The coalition will receive *10 days* to correct the files.
6. OEL will note on the Final DA Scorecard *case corrections and actions* taken and send the scorecard to the coalition, completing the technical assistance review.