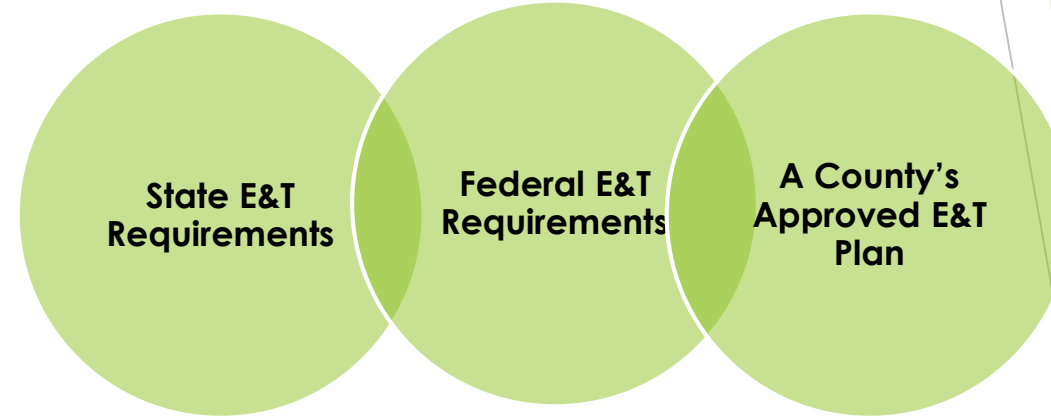
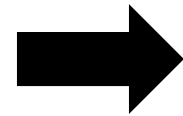


Introduction to State E&T Management Evaluation Process



Purpose of a State E&T ME

The purpose of a State E&T ME is to determine county compliance with:

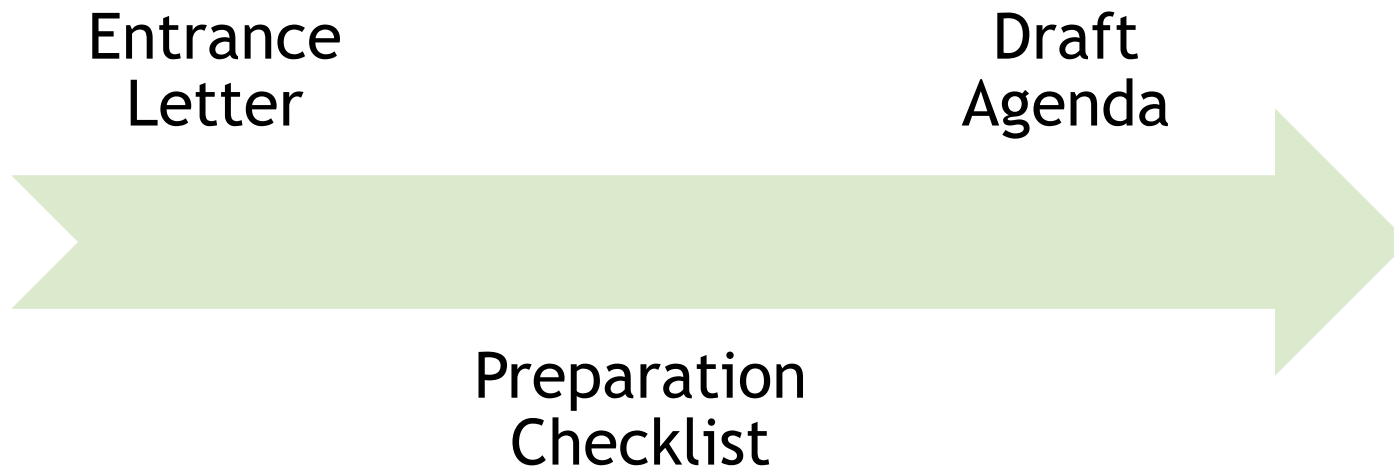


The review is intended to ***identify, describe, and document*** effective county practices.

Elements of a State E&T ME



ME Materials Sent to County



County Prep and Document Collection

**Provide County ME
Point of Contact.**

**Notify
Appropriate
Parties.**

**Book meeting
Space for On-
Site Activities.**

**Coordinate
Agenda
Adjustments
as Necessary**

County Prep and Document Collection



E&T Client Materials



E&T Policy & Training Materials



STAT 47 & Other Data



Partner Agreements



Sample ME Agenda

CalFresh E&T
MANAGEMENT EVALUATION (ME) REVIEW FFY 2018
December 11-12, 2018
DRAFT AGENDA

Tuesday December 11, 2018 9:00 am

County Offices:
Partner Site:

9:00-9:30 am	County Entrance Meeting Address, Room XX
9:30-10:15 am	Break/Travel to Partner Site
10:15-10:45 am	Partner Entrance Meeting Address, Room XX
10:45-11:30 am	Tour Partner Facility
11:30 am-1:00 pm	Lunch Break
1:00-1:15 pm	Partner Staff Interview
1:15-1:30 pm	Partner Supervisor Interview Room XX
1:30-1:45 pm	Participant Interview Room XX
1:45-2:00 pm	Break
2:00-3:00 pm	Partner Program File Review Room XX
3:00-4:00 pm	Partner Fiscal Review Room XX

Partner Staff Interview: Staff Name
Partner Supervisor Interview: Staff Name
Participant Interview: Participant Name

Wednesday December 12, 2018 9:00 am

County Offices: |

9:00-9:15 am	Agenda Review Room XX
9:15-10:30 am	County Staff Interview Room XX
10:30-10:45 am	County Supervisor Interview Room XX
10:45-11:00 am	Break
11:00 am-12:00 pm	County Program File Review Room XX
12:00 pm-1:30 pm	Lunch Break
1:30-2:30 pm	County Fiscal Review Room XX
2:00-2:45 pm	Stat 47 Review/Annual Reporting Room XX
2:45-3:00 pm	Eligibility Verification Room XX
3:00-4:00 pm	Break (CDSS staff to prep for exit meeting) Room XX
4:00-5:00 pm	Exit Meeting Room XX

County Staff Interview: Staff Name
County Supervisor Interview: Staff Name

CalFresh E&T
MANAGEMENT EVALUATION (ME) REVIEW FFY 2018
December 11-12, 2018

AGENDA DETAILS

Entrance Meeting: Conducted at the beginning of the ME to provide additional information about the review, communicate review expectations, and review agenda. CalFresh E&T county staff, including management should be in attendance.

CalFresh E&T Worker/Supervisor Interviews: Conducted by the CDSS ME team. Interviews will be with county and/or partner E&T staff. These interviews are designed to elicit information on the CalFresh E&T program. The specific questions will address E&T components as specified in the county plan. It is requested that one CalFresh E&T worker and one supervisor be chosen to participate prior to the ME. At the partner level, it is requested that one front line worker and one supervisor be selected.

Participant Interview: Conducted by the CDSS ME team. Interview will be with a current or former E&T participant. These interviews are designed to elicit information on the effectiveness of the program from a participant's view.

Program File Review: Conducted by the CDSS ME team. The file review determines if there is proper documentation of client records and compliance with E&T regulations. A "file" may consist of hard copy documents, electronic files or a combination of both. The client file should contain all pertinent information related to the individual's participation in the E&T program. Unless otherwise specified the minimum CalFresh E&T cases to be reviewed is up to 15. The County will be notified one week prior to the ME of the cases which will be reviewed. One county/partner staff member should be in attendance to answer questions and assist with navigating any data systems.

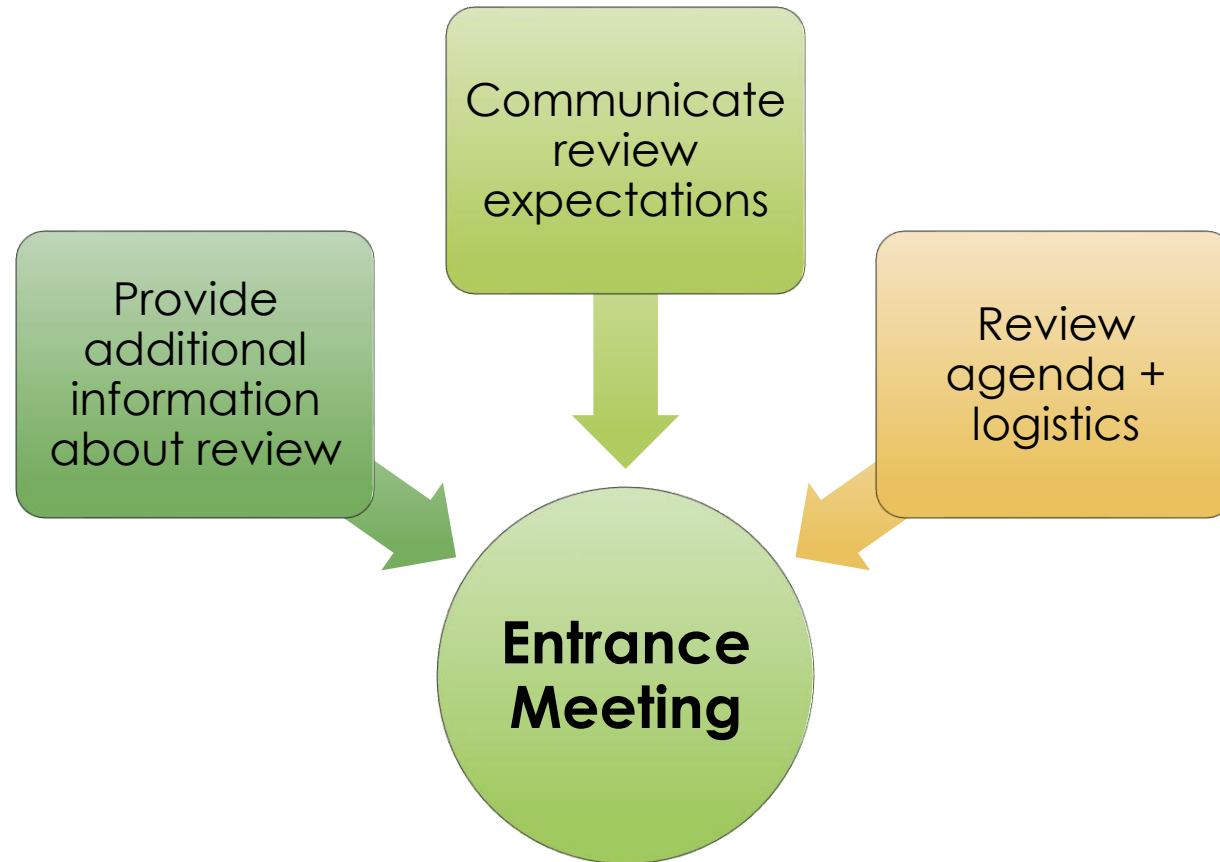
Fiscal Review: Conducted by the CDSS ME team. The fiscal review determines if there is proper fiscal documentation of client's record and the tracking of expenses is being properly documented. The County will be notified one week prior to the ME of the cases which will be reviewed. One county and/or partner fiscal staff member should be in attendance to answer questions and assist with navigating any fiscal data systems. Fiscal records will be chosen ahead of time by the CDSS ME team and the county.

Mini Exit: Conducted at the end of each ME day. The ME exit will provide a recap of the day's activities, as well as review the agenda and expectations for the next day.

Partner Entrance Meeting: Conducted at the beginning of the partner site visit at the partner's facility to provide additional information and expectations of the review. County staff should be present during the partner site visit.

Facility Tour: Short tour of the partner's facility which allows the CDSS ME team to gather additional information needed to determine program compliance.

Entrance Meeting



Programmatic Review



Programmatic Review

County Facility Tour

County Supervisor and Staff Interviews:

Focus: Staff roles, responsibilities and program insights

E&T Participant Interviews:

Focus: Program experience and insights



Programmatic Review

Component Administration:

Counties must clearly describe how they administer the E&T component(s) offered in their county and reflected in their annual plan. Allowable components are as follows:

- ▶ Job Search
- ▶ Job Search Training
- ▶ Workfare
- ▶ Work Experience/Internships
- ▶ Education
- ▶ Self Employment Training
- ▶ Apprenticeship/Pre-Apprenticeship
- ▶ On-the-Job Training
- ▶ Job Retention



Programmatic Review

Program In-Depth: Participant Reimbursement

Counties must clearly describe how they manage the participant reimbursements offered in their county and reflected in their annual plan. Allowable reimbursements are as follows:

- ▶ Ancillary
- ▶ Dependent Care
- ▶ Transportation



Programmatic Review

Program In-Depth: Participant Files

- Participants are clearly engaged in the E&T program
- Effective work registration processes are in place
- E&T program components and services are outlined
- Participant reimbursement/supportive services are appropriately provided to participants
- USDA Disclaimer language included on all printed materials

“Funding provided in part of United State Department of Agriculture.”

“USDA is an Equal Opportunity Provider, Employer, and Lender.”

- Other necessary programmatic elements



Programmatic Review

Partner Site Visit

If a county operates its E&T program in partnership with an outside entity, a partner review will be conducted. The following elements will only apply to these counties:

- ▶ Entrance Meeting
- ▶ Partner Facility Tour
- ▶ Partner Staff Interview
- ▶ Partner Participant Interview
- ▶ In-Depth Program Discussion
 - ▶ Component Administration
 - ▶ Participant Reimbursement
 - ▶ Participant File Documentation



Fiscal & Data Review

Fiscal Review

Fiscal Review Focus Areas:

- ▶ Fiscal Transparency & Integrity
- ▶ Applicable Cost Principles
- ▶ Invoicing and Reimbursement (if applicable)
 - ▶ Time and effort of E&T staff
 - ▶ Indirect costs vs. direct costs
 - ▶ Participant reimbursement/supportive services
- ▶ Partner Contracts and Agreements
- ▶ Partner Fiscal Review*

**Note that the partner fiscal review will occur during the partner site visit.*



Fiscal Review

Reviewers will ask questions to ensure integrity and fiscal transparency and, if necessary, identify opportunities for improvement.

- ▶ Are reimbursement sources allowable (e.g. non-federal funding)?
- ▶ Are controls in place to ensure E&T funds are not used to provide services to CalWORKs recipients?
- ▶ Do expenditures adhere to the approved budget in the county plan?
- ▶ Are CalFresh E&T participants charged equally for services with non-CalFresh participants?
- ▶ Are participant reimbursements tied to a participant and an allowable component?
- ▶ Are indirect/direct costs charged appropriately?
- ▶ How staff time is charged to E&T



Fiscal Review

Reviewers will ask questions to ensure **applicable cost principles** have been applied.

- ▶ Are costs incurred directly related to the provision of E&T to an individual participating in an allowable E&T component?
- ▶ Are costs incurred allowable, reasonable, necessary?
- ▶ How is CalFresh participation verified and tracked by the county?
- ▶ Are sufficient records in place to support claims/invoices?



Fiscal Review

Participant Reimbursements

A review of participant reimbursements to confirm that the reimbursement is tied to a participant enrolled in an allowable component.

- ▶ Ex: Bob is enrolled in a job search training component and is given 3 bus passes to attend 3 trainings.
- ▶ Ex: Sue is enrolled in an vocational training component at a truck driving school and is given a voucher to cover the expense of receiving her commercial drivers license.
- ▶ Ex: Tom is attending the local adult education school and is enrolled in the Education component which is 6 hours a week. Tom has a child that dependent care costs can be reimbursed for up to the 6 hours he is engaged in the allowable E&T component.

Fiscal Review

Partner Invoice Review with County Staff (if applicable)

Reviewers will ask staff to walk through a invoice, with 50% reimbursement, if applicable.

- ▶ Staff time
- ▶ Indirect Costs
- ▶ Participant Reimbursements
- ▶ 100% funds vs. 50% funds

Fiscal Review

Partner Fiscal Review

If a county operates its E&T program in partnership with an outside entity, a partner fiscal review will be conducted. The following elements will only apply to these counties:

- ▶ Fiscal Transparency & Integrity
- ▶ Applicable Cost Principles
- ▶ Invoicing and Reimbursements
 - ▶ Time and effort of E&T staff
 - ▶ Indirect costs vs. direct costs
 - ▶ Participant reimbursement
- ▶ Contracts and Agreements



Data Review

Data Review Focus Areas:

- ▶ General Tracking of Participants & Component Participation
- ▶ STAT 47
- ▶ Annual Outcome Reporting
- ▶ Validation Techniques



Data Review

Tracking of Participants and Component Participation

- ▶ General methodologies and practices
- ▶ Data sources and reporting responsibilities
- ▶ County efforts to minimize invalid data



Data Review

STAT 47 Background

- ▶ The county must submit a STAT 47 report on or before the 15th working day of the month following the end of the report quarter.
- ▶ The first report for the fiscal year must include an unduplicated count of the number of work registrants on October 1.
- ▶ Quarterly reports include a monthly total of unduplicated work registrants after October 1, the number of ABAWD applicants and recipients participating in qualifying components, and the number of all other applicants and recipients participating in E&T components.
- ▶ The STAT 47 quarterly report must include a list of the components offered during the fiscal year and the number of ABAWDs and non-ABAWDs who participated in each and the number of individual ABAWDs and non-ABAWDs who participated in the E&T program during the fiscal year.



Data Review

STAT 47 Review

- ▶ Ensure reporting processes are sound by crosschecking data reports, county plans and contracts.
- ▶ Consider previous STAT 47s to identify trends and patterns that confirm consistency in reporting practices and methodologies.
- ▶ Compare recent STAT 47s to corresponding E&T County Plan to ensure estimates are on track.
- ▶ Review contracts and agreements between county and partners to understand roles in reporting responsibilities.

Data Review

Annual Outcome Reporting Background

- ▶ Counties are required to submit annual outcomes data for each individual E&T participant to CDSS via Secured File Transfer (SFT) by October 31.
- ▶ Counties should verify that the annual outcomes data aligns with data submitted via the quarterly STAT 47.
- ▶ Counties have been provided a data validation checklist which should be used before submission to CDSS.



Annual Outcome Reporting Resources

- ▶ Federal guidance on the outcome reporting measures is available on the FNS website: <https://www.fns.usda.gov/snap/fr-032416>
- ▶ ACWDL September 13, 2018-CalFresh E&T: Compliance with Federal Reporting Requirements: <http://www.cdss.ca.gov/inforesources/Letters-Regulations/Letters-and-Notices/County-Letters> State guidance, such as the
- ▶ Validation Checklist, will be posted here: <http://www.cdss.ca.gov/inforesources/CalFresh/Employment-and-Training>



Data Review

Annual Outcome Reporting Review

- ▶ Ensure reporting processes are sound by crosschecking data reports, county plans and contracts.
- ▶ Understand the data sources, data collection methodology, and analysis used in preparing the report.
- ▶ Confirm data is collected and reported according to Federal guidance.
- ▶ Review any supporting documentation used to prepare the data.



One more plug....

E&T Online Resource Center

Data reporting functionalities are part of the E&T Online Resource Center design!



Validation Techniques

- ▶ Finally, the CDSS Team will ask the county to provide an overview of their data validation techniques.
 - ▶ How does the county validate that participant tracking & component participation, the STAT 47, and the annual outcomes report are accurate and consistent?
 - ▶ If a third-party provider is submitting data to the county, how does the county validate the accuracy of third-part provider data?

Exit Meeting

Conducted at the completion of the ME to provide a summary of the work performed and to discuss any additional documentation needed, anticipated findings, observations, and required corrective actions. CalFresh E&T county staff, including management should be in attendance.



ME Report

CDSS will provide the county with the ME Report within 60 days following the exit meeting. The report may contain:

- ▶ **Highlights** Innovative techniques, procedures or practices
- ▶ **Observations and Suggestions** Identification of program areas for improvement
- ▶ **Findings** Elements of non-compliance with program regulations, FNS instructions and policy memos. Each finding is associated with a required corrective action.

The county must submit a response and corrective action plan if applicable, within 60 days following the receipt of the ME Report.

