



## Subsidy Monitoring Information

### County

### Date of Monitoring

The purpose of this monitoring visit was to determine compliance with state and federal policies, rules, and regulations as it relates to your agency's administration of the Subsidized Child Care Assistance Program. The Division of Child Development and Early Education (DCDEE) appreciates the time and effort from your staff to ensure case documentation for the sample was made available to the monitoring team.

Following today's exit interview, the Team Leader from DCDEE will compile and review findings using the monitoring checklist, which will be sent to you with the monitoring report. The Team Leader will write the monitoring report for your agency using the responses and narrative the monitoring team recorded on the monitoring checklist. Once the report is written, the monitoring team and administrative staff review the monitoring report for accuracy. Once approved, the monitoring report will be sent to you and designated agency staff for review of each error cited during the review process.

Child care staff will use the following information to work towards finalization of the monitoring visit.

- The DCDEE will send the monitoring report and checklist to you no later than 90 days after the visit. Child care supervisory staff may be emailed a copy of the report, if requested.
- To be considered in compliance, the agency's compliance score must be at least 95%.
- Within 45 days of receipt of the monitoring report, the agency submits the written response to the Program Compliance Consultant for review and approval. The written response should include the following:
  - A detailed plan for making corrections, which requires approval from your Consultant prior to being implemented.
  - An outline of processes that will be implemented to prevent errors in the future.
  - Other requests to DCDEE, such as rebuttals with supporting documentation.

\*Note: For additional information regarding the initial response process, please refer to page 2.

- After the initial response is received by the Program Compliance Consultant, the Consultant and the Agency will remain in communication every 4 to 6 weeks. Your Program Compliance Consultant will provide a method to track individual correction status.
- Errors found in proper application of policies and procedures may result in retroactive changes in NC FAST that may result in county responsible overpayments. Any underpayments that are created from the monitoring will be paid out of the subsidized child care funding allocation from the month and year that it is activated.
- It is vital that retroactive evidence corrections are made by the agency only after receiving plan approval from the Program Compliance Consultant. If inadvertent errors are made when making case corrections, it may result in additional overpayments generated in NC FAST and/or requiring Help Desk Tickets for resolution. **By working only approved corrections, agency staff can avoid additional corrections resulting from inadvertent errors.**
- The Program Compliance Consultant will track overpayment and/or underpayment totals.
- The agency will submit final verification of completion of all corrections no later than ten (10) months after the date of the monitoring visit. If final corrections cannot be submitted within ten (10) months after the date of the visit, the agency must request an extension at that time.

- Any changes in the due dates requires advanced approval from the Senior Subsidy Compliance Manager. The Agency Director must request an extension through the Consultant at least 10 business days before the response due date. Acceptable reasons to request an extension may include, but are not limited to the following:
  - system errors
  - personnel issues
  - other extenuating circumstances

Please refer to this additional information when working on your 45-day response.

- Whether an error is a documentation error or financial error, the agency's 45-day response should include information about policies and procedures the agency put into place to prevent the type of errors that were documented in the monitoring from reoccurring.
  - If the agency's compliance score is under 95%, more detailed program compliance improvement activities may be necessary and may involve a Subsidy Technical Assistance Consultant and/or training.
  - Regardless of the compliance score, once improvement activities are completed, the LPA must submit supporting documentation to the Consultant, including but not limited to the following:
    - staff meeting minutes
    - signed training rosters
    - staff coaching
  - The Consultant uses this documentation to verify implementation of the LPA's specified program compliance improvement activities, to collect information for the monitoring file, and to finalize the monitoring visit.
- If the agency believes a record was cited in error, the agency may choose to rebut the record.
  - The agency must rebut the error in the 45-day response and include copies of the case file.
  - The agency should send copies of the case narrative, the current application or recertification packet for the month monitored, verifications, any referrals as appropriate and policy to support the case rebuttal.
  - The record is then reviewed by the Program Compliance Unit and Policy Unit, if necessary.
  - If it is determined that the case was cited in error, DCDEE may return points and you will be notified in writing.
  - **All decisions are final.**

After you receive the monitoring report, \_\_\_\_\_, Program Compliance Consultant, will continue to communicate with agency staff to follow-up on corrections until they are completed and to work towards finalization of the monitoring visit. All documentation for verifying corrections, including supporting documents for retroactive corrections, NC FAST screen shots, totals for under and over payments, calculations, case notes/narratives, and any other materials generated from making the corrections must be sent to your Consultant at the address below. If you have any questions about the monitoring visit, please do not hesitate to contact the Consultant below. If you require additional assistance, feel free to contact Wanda Hopkins, Program Compliance Lead Worker, at 252-802-0409 or via email at [Wanda.Hopkins@dhhs.nc.gov](mailto:Wanda.Hopkins@dhhs.nc.gov), as we remain available to assist you and your staff during this process.

**Program Consultant Name**  
**Program Consultant Address**  
**Program Consultant Email Address**  
**Program Consultant Phone**

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Consultant Signature

Date

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Agency Director

Date