

## **Maternal, Infant and Early Childhood Home Visiting Site (MIECHV) Onsite Compliance Review Awardee Webinar**

Good afternoon everyone and welcome. My name is Lisa King. On behalf of the Division of Home Visiting and Early Childhood Systems in the Maternal and Child Health Bureau, I'd like to welcome you to our Maternal, Infant, and Early Childhood Home Visiting; or MIECHV Program (MIECHV) On-Site Compliance Review Webinar for our MIECHV Awardees. The purpose of today's webinar is to introduce you to our new on-site compliance review contractor; DSFederal. This includes their key staff, orienting you to the site visit process, and DSFederal's role in assisting with the coordination and conduction of assisting the program.

As I said, my name is Lisa King and I'm the Region III Project Officer and the Contracting Officer Representative; or COR for the DSFederal contract. As such, I am the first POC for any issues related to this contract. Also assisting from the MIECHV program staff is Nicole Gaskin Laniyan; she is the Region I PO and will function as the contract Subject Matter Expert. First, I'd like to introduce the DSFederal key staff who will be leading the presentation today. They are Echo Wang: the Project Manager, Emmy Marshall: the Prime Subcontract Manager from ZERO TO THREE, and Cathy Bodkin: the programmatic consultant who is also from ZERO TO THREE. So now I will turn it over to Echo.

Thank you, Lisa. Let's start with a couple logistics. Everyone will be muted until we unmute you. Presenters will need to mute their phones. Please feel free to submit questions in the chat boxes throughout the webinar. Verbal questions will be taken during the question and answer. This webinar is being recorded. The recording and transcript will be posted on the address listed on the slide approximately a week after this presentation.

The objective of today's webinar is to have a formal introduction. We want to provide you an opportunity to become familiar with the MIECHV Onsite Compliance Review Process for Fiscal Year 2018-2019. We also want to introduce the key stakeholders and explore the site visit processes; including its timeline, tools and players. Lastly, we want to provide an opportunity to answer any questions you may have regarding site visits.

Our agenda today is to provide an overview of the MIECHV Onsite Compliance Review Project and Key Project Personnel, MIECHV Onsite Compliance Review: Methods, Timelines and Tools, and a Question & Answer session at the end.

Next is the purpose of this project. In this presentation, we refer to the project as the contract awarded to DSFederal to manage MIECHV's On-site Compliance Review. We may be using contract and project interchangeably in this webinar. The purpose of this project is almost the same as conducting compliance review site visits. The purposes include: Documenting awardee progress, assessing awardees' statutory, administrative, program and fiscal compliance with the

grant award, identifying awardee challenges and technical assistance needs, as applicable, identifying awardees best practices to share and highlight, and developing site visit reports and recommendations based on site reviews.

This slide gives an overview of the major scope of our contract. In addition to the standard project management and reporting activities, our major scopes include: Conducting two webinars for HRSA & TA providers; which occurred a week ago, as well as for awardees to introduce us and the site visit processes. We are responsible for recruiting programmatic and fiscal consultants and scheduling them for appropriate site visits. We are also responsible for developing and delivering trainings to ensure our consultants have the necessary knowledge and skills for conducting onsite compliance review to ensure oversight and quality. We also spent a lot of time standardizing, developing and documenting methods and processes for site visits. The methods and processes for site visits is part of the handout for this webinar; which was emailed to all the registrants yesterday. It serves as a standard operating procedure for site visits. In addition to methods, we also reviewed existing onsite compliance review tools used in the past and determine any necessary revisions and developed a few new tools. Tools used in the entire process will be covered in detail in this presentation. The key scope of our contract is to manage the pre-visit planning, onsite reviews, and post-site visit activities. The timeline, processes, tools and involved players will be covered in more detail later in this presentation.

The key players in the onsite compliance review process include: The Division of Home Visiting and Early Childhood Systems, all the technical assistance providers, and us. The DSFederal team is comprised of DSFederal and our subcontract partner ZERO TO THREE.

In the Division of Home Visiting and Early Childhood Systems, Lisa King is the contracting officers' representative for our contract; and Nicole is the subject matter expert that assists Lisa. This contract is overseen by Meseret; the branch chief of the implementation branch. All the POs are considered key to this project, as we will be working with you very closely to support all your compliance review site visits.

Home visiting program's TA providers are also important stakeholders in this effort, including: HV ImpACT - HV PMCQI Home Visiting Performance Measurement and Continuous Quality Improvement Technical Assistance Center and DOHVE - Design Options for Home Visiting Evaluation.

DSFederal is the prime for this contract. I am the PM of this project and will be responsible for the overall delivery and execution of this contract. I lead the recruitment and management of fiscal consultants; while ZTT leads the recruitment and management of programmatic consultants. I am an MPH in training and have years of experience supporting and managing HRSA projects in various domains; including research and evaluation, technical assistance, grants management and population health IT systems. Julie Catalano is the technical writer and she will be editing all the site visit reports to ensure all the reports we send to MHCb have great editorial

quality. Swathi and Jessica will serve as note takers for the site visits. They will travel with consultants and POs to awardee sites and take notes of the discussion. Mary Neyhard is the travel coordinator and she will coordinate all the travel and logistics for consultants and note takers.

ZTT is the subcontractor and our partner for this project. Barbara Gebhard serves as the senior program advisor for this project. Barb provides oversight and quality assurance, as well as ensuring ZTT resources are available for the project. Barb has extensive state policy expertise in early childhood comprehensive systems and home visiting. She previously provided oversight to the MIECHV Technical Assistance Coordinating Center at ZERO TO THREE. Emmy Marshall is the subcontract PM. Emmy will lead the management of programmatic consultants, development of site visit tools, and serve as a programmatic consultant on selected site visits. Emmy brings over 25 years of experience in providing consultation support on Early Childhood Home Visiting Program and Early Childhood Comprehensive Systems. She previously served as a TA Specialist for the MIECHV TA Coordinating Center at ZERO TO THREE. Cathy Bodkin will provide expert consultation by reviewing tools and delivering consultant training; as well as serving as a programmatic consultant on selected site visits. Cathy has served as State Program Coordinator for Home Visiting in Virginia and has provided TA to states through the MIECHV, Project LAUNCH, Healthy Start, and other programs. She conducted MIECHV compliance site visits 3 years ago and has provided technical assistance and training to many MIECHV awardees in all regions.

There is ongoing communication among our partners. DSFederal and DHVECS communication includes bi-weekly conference calls, monthly reports, an annual briefing, and any ad-hoc communications. We will also be reporting consultant status in every monthly report. DSFederal and DHVECS TA Providers communication occurs through our participation in the quarterly TA planning meetings once that resumes. DSFederal and ZERO TO THREE communication happens through daily huddles as a standard DSF practice. Daily communication also ensures we stay on the same page and have seamless coordination. With awardees, each site visit will have its own folder on the NIH secure email system. The folder will serve as a portal for consultants, POs and awardees to access and share documents. This includes site visit tools, and awardees' programmatic and fiscal documents for consultants' PO's review and assessment.

Critical to the success of the project is recruiting and maintaining a pool of competent programmatic and fiscal consultants with the capacity to provide technical support for MIECHV site visits. As of today, we have 17 fiscal and 11 programmatic consultants in the pool. Some are returned consultants, and some are new. We have also completed the preliminary consultant assignment for the confirmed site visits shared by the division. Updates to consultants' availability and bios are provided to DHVECS throughout the duration of the project period.

I want to give a brief rundown of how we recruit and maintain consultants. Once a consultant is identified and the resume is received, DSFederal will conduct an interview to confirm that the

consultant has the appropriate educational background, credentials, and relevant experience to perform the consultant role. A phone interview will be scheduled to verify consultants' interests and availability. Once a consultant is determined to be qualified, they will be added to the pool and their bio will be shared with the COR. All consultants will have a Professional Services Agreement (PSA) on file with DSFederal prior to beginning any work. The consultant agreement includes detailed information regarding the consultant's responsibilities and obligations on the MIECHV contract; as well as confidentiality and conflict of interest requirements. Once a consultant is assigned to a site visit, they will be screened for any conflict of interest with the awardee and its implementing local agencies. Once they pass the screening, they will be asked to sign a Conflict of Interest and Confidentiality Agreement. The performance monitoring is a strength-based process that helps the DSFederal team continuously improve consultant competency and the goodness of fit for the site visit assignments. For each site visit, the awardee and the PO will be given opportunities to provide feedback and rate their site visit experience through the feedback forms emailed to the awardee and PO after the visit. POs are also encouraged to email me directly if there is any issues or concerns. The feedback survey will focus on your experience with the DSFederal's consultants and notetaker. The feedback survey is the major mechanism for informing us about the performance by the programmatic and fiscal consultants; as well as the notetaker. We take this feedback seriously. Any performance issues or concerns will be addressed through additional training, coaching and other supports.

Consultant training is the key process to ensure consultants are competent and up-to-date. The training also prepares them with detailed information on the site visit process; such as how to use each site visit tool, timeframe for each procedure, and who is the owner for each task. The training designed for programmatic and fiscal consultants include several components: Pre-training reading and an accompanying knowledge check in December 2018. The reading includes MIECHV background documents, the latest NOFO and the methods and processes for site visits developed by DSFederal. The major part of the training is four 2-hour live webinar training sessions in January 2019. Among the 4 sessions, 3 were required for both programmatic and fiscal consultants. The programmatic consultant is required to attend a programmatic training; while fiscal consultant is required to attend a fiscal training. The training webinars are recorded and will be made available to consultants for review or for new consultants. Consultants will need to pass a post-webinar training knowledge check after each session. Completing the training and passing the knowledge check are required for them to go on site visits.

During this segment of the agenda, we will be providing an overview of the MIECHV On-site Compliance Review Process.

Comprehensive Site Visits provide an objective assessment of the Maternal, Infant and Early Childhood Home Visiting (MIECHV) Program recipient's, awardee or grantee, compliance with statutory, administrative, and programmatic requirements. Site visits support the Health Resources and Services Administration's (HRSA), Maternal and Child Health Bureau (MCHB) Division of Home Visiting and Early Childhood System (DHVECS) program oversight and quality

improvement. The purpose of site visits is to: Document awardee progress, assess awardees' statutory, administrative, program and fiscal compliance with the grant award, identify awardee challenges and technical assistance needs; as applicable, identify awardees best practices to share and highlight; and develop site visit reports and recommendations based on site reviews.

The primary resource for guidance on implementing MIECHV on-site compliance reviews for this project are outlined in the newly developed resource: *MIECHV On-Site Compliance Review Methods & Processes for Site Visits*. Everyone who registered for the webinar should have received a copy of this document prior to today's webinar. If you didn't receive it, you can use the contact information on our last slide to request a copy. The resource includes the timeline, the process, the activities, tools, and roles and responsibilities of all site visit team members. An appendix has a link to the site visit tool templates.

This chart provides an overview of the 3 different phases of the site visit process. The Pre-Site Visit phase begins 60-90 days prior to the site visit. This phase includes the site visit planning conference calls with POs and the site visit team; as well as one planning conference call with the awardee. Programmatic and fiscal consultants review the documents that the awardee has submitted and complete the *MIECHV Site Visit Assessment Tool*. The second phase is the on-site visit. The third phase is the post-site visit when the MIECHV Site Visit report is drafted and finalized.

The Project Officer (PO) initiates the selection of site visit dates with the awardee at least 90 business days in advance of the site visit.

The programmatic consultant will prepare and send the *MIECHV Site Visit Confirmation Letter* and attachments to the awardee after the letter has been reviewed and approved by the Project Officer. This will be sent to the awardee at least 60 business days prior to the site visit. The confirmation letter should include the document due date for the awardee to submit the required programmatic and fiscal documents. Also accompanying the letter are the *MIECHV Site Visit Assessment template* and the template for the *MIECHV Site Visit Compliance Agenda*. As I mentioned earlier, all these documents and site visit tools can be accessed through a link in the Appendix of the *MIECHV Methods and Processes for Site Visits*.

The due date of the documents the awardee needs to submit were included in the *MIECHV Site Visit Confirmation Letter*. Awardees usually have 15 business days after receiving the letter to submit the documents. A secure portal will be set up for the documents to be uploaded.

The programmatic consultant will schedule and facilitate the internal pre-planning conference call using the *MIECHV Site Visit Pre-planning call agenda*. The participants on the call will be the Project Officer, the Grants Management Specialist and the program and fiscal consultants assigned to the site visit. The purpose of the call is to review the documents that have been sent to the awardee, to begin to discuss the site visit agenda; as well as the awardee history, challenges, successes and key areas of focus for the site visit. This call usually takes around 90

minutes.

The programmatic consultant schedules and facilitates a call with the awardee, the PO and programmatic and fiscal consultants after the first internal planning call. The purpose of the call is to begin planning the site visit and working out the details of the site visit agenda. It's also a good time to review the MIECHV Site Visit Confirmation Letter and accompanying documents and reiterate the importance of uploading all requested documents within the timeframe provided.

The logistics for the site visit is discussed on this call. The logistics include: confirming the dates and verifying the meeting location, gathering details about building and meeting space directions, and confirming there will be a conference call line available throughout the visit; except for any meetings off site at a Local Implementing Agency, and confirming availability of LCD and any other technical needs. Verifying there is a separate meeting space for fiscal consultants, records review and any passwords or special permissions for accessing documents is handled in advance of the site visit. It is also nice to have recommendations for hotels; including if visiting a LIA site that is away from the main awardee site.

During the awardee call, details of the Comprehensive Site Visit Agenda are discussed; including verifying the attendance roster with name, title and agency of partners who will be attending the Site Visit Kick-Off on Day One and the Site Visit Debrief on the last day of the site visit. The recommended attendees are provided in the draft MIECHV Compliance Site Visit Agenda template.

The programmatic consultant and fiscal consultant have 10 business days to review documents and document their findings in the MIECHV Site Visit Assessment Tool. The Site Visit Assessment tool lists all MIECHV program requirements that are to be assessed during the document review and during the on-site review as well. The layout of the Site Visit Assessment tool has a similar layout to the final site visit report template; making organization of the information gathered during the pre-planning phase and the on-site visit phase easier to transfer to the final site visit report.

After the documents have been reviewed and a first draft of the Site Visit Assessment tool has been completed, there is a second internal pre-planning conference call with DHVECS Project Officer and Consultants.

On the second internal pre-planning conference call, the site visit team will verify logistics of site visit. This includes location, directions and meeting space details. It also includes verifying that the conference call line and pin/access codes are available, reviewing the preliminary findings in the Draft MIECHV Site Visit Assessment Tool, and discussing awardee history, challenges, successes and key areas of focus for the site visit. The site visit team will decide if additional pre-planning calls are needed, and the programmatic consultant will make arrangements and facilitate if necessary.

The Project Officer and programmatic consultant will conduct site visit using the MIECHV Site Visit Compliance Agenda. On day one there will be an Opening Kick-Off meeting with the awardee staff, key contractors, representatives of the LIAs, collaborative partners and the Site Visit Team. The Site Visit Team; which include the PO, programmatic and fiscal consultants and notetaker, will be introduced and the awardee will provide a brief introduction of their team and partners. A visit to a Local Implementing Agency may be scheduled. At the end of the day, there will be a Daily Debrief between the Project Officer and the Site Visit Tea; which include the programmatic and fiscal consultants and the notetaker.

On day one, the Opening Kick-Off meeting will include collaborative partners. The awardee will send out the invitations. The site visit agenda has recommendations for who should attend each segment of the agenda. The Opening Kick-Off will include a site visit overview and federal updates given by the Project Officer. The awardee will then give a grant overview highlighting their achievements related to the program goals.

After the Opening Kick-Off session, the site visit breaks into two groups; one led by the programmatic consultant, and one led by the fiscal consultant. Each consultant will go through their sections of the review process and complete the respective modules for each area in the Site Visit Tool. The modules which are to be reviewed by each consultant are provided in the MIECHV Site Visit Agenda.

The LIA Perspective will occur on the afternoon of day one, according to the MIECHV Site Visit Agenda template. The LIA perspective can be in the form of a discussion with LIA representatives or a visit to a Local Implementing Agency. The choice may depend upon the travel distance between the LIA and the awardee offices. The visit to the LIA with representatives on-site would be arranged during the preplanning calls. It can occur on any day of the visit that is most convenient and appropriate for the awardee, the LIA and the site visit team. The LIA visit can include meeting with MIECHV families who are service recipients. The modules of the *MIECHV Site Visit Assessment Tool* that are to be covered with the LIA are indicated in the MIECHV Site Visit Agenda; along with the recommended list of LIA attendees.

A Daily Debrief between the Project Officer and the site visit team is held each day to review the findings and recommendations of that day. The programmatic consultant, with the assistance of the notetaker, will complete a daily debrief summary that will record these findings and recommendations. This debrief will ensure that the Project Officer and the site visit team are aware of all findings and recommendations that are covered and recorded each day. These will be referenced in the final meeting with the awardee on the last day of the site visit.

Day two of the on-site visit will be a continuation of the process following the first day. The fiscal consultant will present information and ask questions in a joint session with the fiscal and programmatic staff. The awardee's contractors may be invited to certain sessions.

The process of meeting with fiscal and programmatic consultants in separate groups will continue through the last day of the site visit. While the example given here is for a three-day schedule, DSFederal recognizes the site visit could be four days; depending upon the particulars of each site. The afternoon of the last day of the site visit will include a Site Visit Debrief. Usually the attendees include the awardee staff, community partners, representative LIA staff, the PO, consultants and the notetaker.

On the last day of the site visit, a final debrief is held with the awardee and the community collaborative partners that attended the Opening Day Kick Off. The Project Officer will lead this session. The programmatic and fiscal consultants will provide their assessment for each section; noting best practices of the awardee and identifying recommendations. The PO will then provide information about the next steps, the timeline and what the grantee can expect in a written report. The participants may ask questions or provide additional materials.

Within 4 business days of the site visit, the site visit team; which includes the PO and programmatic and fiscal consultants, will have a conference call to discuss the site visit report content before development of the first draft. The programmatic and fiscal consultants complete the first draft of the MIECHV Compliance Site Visit Report and send to DSFederal within 10 business days after the site visit is completed. DSFederal copyedits and submits the first draft to COR and PO within 20 business days after the site visit. COR and PO provide feedback to DSFederal within 5 business days and submit the second draft to awardee within 35 business days of the site visit.

Awardee feedback goes to PO and COR within 45 business days after the site visit. If PO and/or COR decide to make any changes based on the awardee's feedback, they make those revisions within 5 business days of receiving the feedback and send the final report to DSFederal for final copyediting. DSFederal will do final copyediting and send final to COR and PO within 60 business days after the site visit. The report is then filed by DSFederal into the TATS system within 1 business day of final approval.

The post-site visit feedback form, HRSA MCHB Awardee Site Visit Survey and HRSA MCHB Project Officer Site Visit Survey, are sent respectively to Project Officer and awardee within 5 business days of the COR sending the final site visit report to the awardee. A summary of the overall feedback from the PO and awardee with a list of any lessons learned, recommended improvements prior to the next site visit and to the overall site visit processes is completed by DSFederal within 21 business days after the approved final site visit report is submitted.

We will now move on to the question and answer portion of our presentation.

This concludes the awardee webinar. Thank you so much for participating and have a great rest of your day!