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Welcome
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Questions?
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WELCOME

Our Mission: To protect and improve the health and environment of all Kansans.
Questions?
The 2018-2019 Regional PHEP Coordinator Work Plan Guidance Document

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Questions?
Budgetary Considerations
2018-2019 PHEP/Regional PHEP Work Plan Guidance Document Overview

Budgetary Considerations

- **25% Advance of BP1 Supplemental Grant Award**
  - “Start-up” funds to help with cash flow.
  - It is part of the total award and it **must be accounted** for.
  - The advance will need to be reconciled in the 4th quarter.

- **Purchasing Food**

- **Supporting Budget Form**
  - For the approval of changes that can be tied to the work plan that account **for less than 25%** of the approved budget.
  - Only submit a revised budget if:
    - Requesting a completely new activity
    - The change or changes results in an accumulative modification greater than 25%.

- **Per Diem**
  - No longer will need to submit meal receipts for overnight travel
  - KDHE will pay per diem rate
  - KDHE will reimburse for meals not provided as part of a conference, symposium, etc..
Exercise Considerations
Exercise Considerations

LHD Exercise Requirements BP1 SUPP

- **LHD Work plan item 6 - Annual Exercise**
  - The updated form in the packet that was sent out and *(also available on the KDHE Preparedness website)* is the format *every agency* will need to submit to KDHE Preparedness for receive credit.
  - Accompanying this form is a set of simple instructions
  - Other helpful resources have also been included such as
    - At-Risk Population workbooks
    - POETE Table with definitions
    - PowerPoint about Exercise Progression.

- **LDH Work plan item 8E - discusses priority communication services**
  - It is highly encouraged that all the health departments to participate in the *Healthcare Coalition’s Communication Drills* conducted every quarter to ensure their communications platforms and procedures are operating effectively.
Exercise Considerations

Regional Coordinator Exercise Requirements BP1 SUPP

• **Regional work plan item #8 – Annual Exercise**
  • Participation is required in at least one annual exercise as a facilitator, player or evaluator.
  • Being an observer will not meet the participation requirement.

• **Regional work plan item #9 – AAR/IP Review**
  • The updated checklist is in the provided packet
  • Available on the KDHE Preparedness website is the format every agency is to submit to KDHE for credit.
  • Accompanying this checklist will be a set of simple instructions.

• Record the date(s) the AAR/IP was received and returned on the TA form, be sure to note the type of technical assistance provided.
Training Considerations
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Compliance Considerations
PROGRAM COMPONENTS
Compliance is accomplished through 4 basic tenants:

- **Simplistic** - The components of the Program are easy to understand without compromising its intended function.
- **Encompassing** - The Program is designed to cover the entire spectrum of the cooperative agreement requirements without hampering its intended function.
- **Progress Driven** - The components of the Program can identify trending points, challenges, and gaps that can be quickly addressed in real-time or as a study.
- **Adaptable** - The various components are easily adjustable from budget period to budget period. This applies to fundamental changes in-between project cycles.
What is PCACP-CRT?

The revised program serves to do the following:

- The *Preparedness Cooperative Agreement Compliance Program* or PCACP is a proactive performance monitoring program that is a requirement of the FOA.
  - Adapted from the prototype program
  - Provides overwatch regarding programmatic activities
  - Provides overwatch regarding fiscal accuracy
  - Trending data for performance challenges and gaps
- Revised monitoring model aligns with the programmatic shift of the cooperative agreement to a quarterly based proactive model.
  - Proactive variant of the older programs
  - This concept is *Compliance in Real time* or CRT
  - The sub-awardee’s performance is audited on a quarterly basis
  - Allows expansion into other aspects of the cooperative agreement management
  - Provides improved technical assistance for the sub-awardees
Compliance Considerations

- **PCACP** is made up of four components:
  1. Programmatic Progress Monitoring
  2. Fiscal Documentation Accuracy
  3. Exercise Reporting Accuracy
  4. Deliverables and Template Standardization

- Each can act as a stand alone module for narrow-scoped cross-sectional reviews or combined for full scale audits

**Scope**

- All programmatic monitoring will fall into Compliance’s venue with review and audit capacity for work plan progress and reporting, exercise reporting, and deliverable/template standardization.
- Compliance’s role in fiscal reporting will be determined by the need of the Program Director, the Deputy Director, and the Grant Manager.
- The PCACP-CRT is not a **A-133 audit** and is limited to only the activities of the cooperative agreement and contracted work plan.
- Cooperation with a Compliance review or audit is a required
Programmatic Progress Monitoring

- Quarterly audit of the sub-awardee’s programmatic progress.
- Designed to identify gaps and challenges early.
- Primary part of **CRT**.
- Direct monitoring of all contracted work plan activities with deadlines
- Provides in-depth reviews of all submitted documents for the proper feedback.
- Determines if the reported information is complete, accurate, and relevant to the work plan activity.
- Sub-awardees are notified of findings that are discovered and what corrective action is needed to resolve the finding via the audit tool.
- Findings are either **critical**, **major**, **minor**, **clarification**, **inquiry**, or **recommendation**.
- The process uses a numerical system to establish a score of the sub-awardee’s performance for future risk assessment considerations.
- It is possible for reporting errors, incomplete or missing documentation, or performance related issues to effect the sub-awardee’s funding amounts during budget period. KDHE reserves the authority to reduce or withhold funding for non-performance.
Compliance Considerations

Fiscal Documentation Accuracy

- Compliance can review the fiscal supporting documentation to ensure that the documents are relevant to the affidavit, satisfactorily support the affidavit, and include all required information needed to support the affidavit.
- Actual fiscal review of the financial processes will be completed by the Grant Manager, the Preparedness Program Director, and the KDHE Fiscal Management Office.
- It is possible for reporting errors and incomplete or missing documentation to lengthen processing times for reimbursement.
- KDHE reserves the capacity to reduce or withhold funding for non-performance.
Compliance Considerations

**Exercise Reporting Accuracy**

Compliance will be assisting in reviewing exercise plans for the inclusion of changes identified in past years exercises.

- Helps to ensure that identified improvements from the previous exercises are integrated into future exercises.
- Ensuring that all of the correct cooperative agreement capabilities must be the capabilities associated with *this cooperative agreement* and not Emergency Management or CMS.
- This will be done in conjunction with the regular HSEEP requirements using *only the FEMA HSEEP method*.
- Encourages coordination with all community preparedness stakeholders.
- Serves to compare identified gaps and needs against the various parts of the exercised plans that are required to be updated regularly.
Compliance Considerations

Deliverable and Template Standardization (DTS)

DTS is an ongoing process. All of the templates and deliverables that go out or come in will undergo a review process to ensure that they have the correct information on them and have the correct functionality.

- Helps KDHE Preparedness process the sub-awardee’s deliverables.
- Ensures that KDHE Preparedness is sending out professional deliverables and templates that are easy to read and understand.
- Working to establish a standardize the templates, deliverables, and tools for use across the state.
- Increases the degree by which templates and the deliverables are providing the correct information, reducing requests for additional information.
Program Template and Deliverables
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Compliance Considerations

The Scorecard / Performance Tracker for the cooperative agreement sub-awardees.

Deliverable examples are available for viewing on the KDHE Preparedness webpage under the Resource tab and then the Compliance tab.
Compliance Considerations

Compliance Templates and Deliverables: Performance Scorecard and Tracker

• The Scorecard deliverable is provided to the sub-awardee at the end of the budget period after *all* quarterly reporting has been finalized.
• Serves as the primary monitoring tracker for both programmatic progress and fiscal reporting for all participating sub-awardees.
• Identifies all submitted information, findings, notification dates, response and mitigation dates as they occur.
• Provides KDHE Preparedness with a picture of sub-awardee performance during the Budget Period.
• Acts as a trending tool that will highlight gaps, obstacles, and challenges
  • Created by the work plan language
  • Caused by the sub-awardee’s interpretation of the work plan
  • Impacted by outside source
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Compliance Considerations

Compliance Templates and Deliverables: PCACP-CRT Quarterly Audit Tool

- Serves as the primary findings notification method for all quarterly reporting.
- Serves to outline findings discovered by Compliance.
- Each audit tool is specific to that particular sub-awardee.
- All findings will require resolution in order to receive credit for completing the contracted work plan activity unless otherwise stated.
- Defines the finding, explains the resolution for the finding, declares a deadline, and acknowledges the sub-awardee's response and corrections.
- Once the finding has been resolved, the sub-awardee will be provided a cleared PDF copy for record.
- Serves as one of several monitoring tools for ensuring sub-awardees remain compliant with the work plan activities and FOA.
- Serves as supporting documentation for the Scorecard and Performance Tracker.
Findings

- **Recommendation**- Recommendations regarding improving reporting or a process for a work plan activity. There is no obligation to follow such recommendations.
- **Clarification**- Used to request the clarification of information or an explanation of the reported information.
- **Inquiry**- A general request for information on a work plan item or progress regarding finding mitigation. May also include the request for additional documentation.
- **Minor Finding (score: 4)**- denotes a finding that is a simple omission of information or mis-information created by simple data mis-matches. (i.e. dates, names, places, etc.)
- **Major Finding (score: 2-3)**- denotes a finding that identifies a major discrepancies with any reported information when compared against the provided documentation, missed deadlines, and activities that are completed with some major errors.
- **Critical Finding (score: 0-1)**- denotes a work plan activity that was not attempted or completed with substantial errors, completed contrary to the work plan instructions, the FOA, or state statute.
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BP1 SUPP Compliance Process
Compliance Considerations

The Compliance Process: Quarterly Reporting and Audits

- Reporting from the four different work plans: PHEP, Regional PHEP, HCC, and CRI will be reviewed once they are received by KDHE.
  - All reporting, to include all work plan updates, fiscal reporting, and deliverables must be provided to KDHE via kdhe.preparedness@ks.gov.
  - Any activity that is uploaded to a database like the Coalition Assessment Tool (CAT), and all required completion notifications need to be sent through the Preparedness email.
  - Information sharing (draft meeting minutes) will need to include KDHE Preparedness in order to validate the information shared with a coalition or region.
  - As with BP1, the deadlines have been established to provide the maximum amount of time needed for the sub-awardee to complete the activity. Deadlines will be enforced.
Compliance Considerations

The Compliance Process: Quarterly Reporting and Audits continued...

- All submitted quarterly deliverables will be reviewed using the Quarterly Audit Tool.
- The tool will identify the type of finding, the solution for the finding, and establish a deadline for completing the solution.
- Once a finding has been corrected, the sub-awardee will be provided a copy of the cleared Audit Tool for their records.
- It is Compliance’s intent to provide quarterly review feedback no later than 45 days after the end of each quarter.
- Repeated or critical findings will also be reviewed by the Preparedness Program Director.
- In the case of all critical findings, KDHE Preparedness will offer enhanced technical assistance in order to resolve the finding and achieve compliance.
- Work Plan activities that are not quarterly requirements will be reviewed by Preparedness staff using specific feedback tools.
- The HCC Response Plan
- The HCC Resource Assessment

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Compliance Considerations

The Compliance Process: The End of Budget Period Scorecard/Performance Tracker

- The Scorecard serves as a final review of the sub-awardee’s performance from the budget period.
- The Scorecard is the primary performance and accuracy tracking method used by KDHE Preparedness for monitoring the sub-awardee’s activities as well as a historical reference document.
- The finalized Scorecard will be provided to the sub-awardee only after the 4th quarter deliverables are received and the card is updated.
- The Preparedness Director will act as a final reviewer of the Scorecard before it is submitted to the sub-awardee.
- The Scorecard findings can be appealed if the sub-awardee feels there is incorrect reporting. The Scorecard does include instructions for the appeal process.
- As with before, the appeals process can only be used once. The number of addressed findings is not restricted, only the number of times those findings can be appealed.
- It is Compliance’s intent to provide the Scorecard’s no later than 45 days after the end of the budget period.

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future compliance objectives: deadline adherence

- FOA requirements and stipulations now places a burden on KDHE Preparedness to have benchmark activities regularly reported.
- In increased requirement to provide the validation of the completion of work plan activities.
- The need to have all required documentation submitted to the federal government in a reasonable amount of time.
Future Compliance Objectives: Documentation Standardization and Accuracy

- A move to standardize the templates, tools, and deliverables in order to ensure the following:
  - Provides and requests the same information to and from the target.
  - Ensures that KDHE Preparedness is receiving the information.
  - Streamlines the process
  - Increases efficiency

- The burden of performance reporting to the federal funders is KDHE Preparedness’s function so document standardization falls onto KDHE Preparedness.
- An on-going process
Future Compliance Objectives: Documentation Maintenance

- Completing a work plan activity generates an outcome/output.
- Outcomes/outputs are validation that the activity was completed correctly. Some of these are in the form of but not limited to training certifications, plans, sign-in sheets, invoices and receipts.
- As these documents provide validation that an activity was completed, they can be maintained in hardcopy or digital form.
- Per the contract, all documents generated by conducting or completing contracted work plan activities must be maintained for a period of no less than 5 years.
- All documentation that is either generated directly or indirectly by completing any of the contracted activities that are associated with this contracted work plan are subject to audit either by KDHE Preparedness or an authorized outside entity.
Questions?
CLOSING…

As a reminder, please provide KDHE Preparedness a list of staff who attended this webinar so that KDHE Preparedness can credit the various departments with their attendance. The list can be submitted to kdhe.preparedness@ks.gov.

Thank you for attending.
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