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# Our Mission

American Public Human Services Association advances the well-being of all people by *influencing* modern approaches to sound policy, *building* the capacity of public agencies to enable healthy families and communities, and *connecting* leaders to accelerate learning and generate practical solutions together.

*... Because we build well-being from the ground up.*

Thriving Communities Built on Human Potential



## Center for Child and Family Well-Being (CCFWB)

### Our Focus:

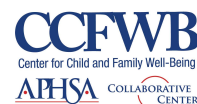
The Center for Child and Family Well-being serves and connects our members and partners who share responsibility for healthy child development, preserving and supporting families, and empowering communities.

### We Aim to:

Reconfigure the structure of the service delivery system to better promote the social and emotional well-being of children and families.

Create healthier environments for all through social engagement and community supports that build health and wellness.

Build a national peer network to advance policy and practice solutions across sectors aimed at enhancing family functioning and sustained outcomes.



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## Today's Speakers

Tracy Gruber – Director, Utah Office of Child Care  
at Utah Department of Workforce Services

Janice Molnar – Deputy Commissioner, Division  
of Child Care Services. NYS Office of Children  
and Family Services

Reginal Williams – Program Integrity Manager,  
Office of Early Learning, State of Florida

Molly Grant – Project Manager, Office of Early  
Learning, State of Florida



## Objectives



- (1) Provide an overview of the federal Office of Child Care's process to monitor state's use of CCDF, from the perspective of states that either completed the process or are currently going through it.
- (2) Explain the primary areas of focus that are being monitored.
- (3) Ensure states that have not yet gone through the process have a better of understanding of what to expect during the process.

## Content Areas Being Monitored



### Areas Monitored for Compliance

During the first 3-year monitoring cycle (Federal Fiscal Years 2019-2021), States will be monitored for compliance within 11 topic areas. Within each topic, there are specific CCDF regulations for which the States will be required to demonstrate compliance. The topics are:

1. Disaster Preparedness, Response, and Recovery
2. Consumer Education: Dissemination of Information to Parents, Providers, and General Public (Monitoring Reports and Annual Aggregate Data)
3. Twelve-Month Eligibility
4. Child:Staff Ratios and Group Sizes
5. Health and Safety Requirements for Providers (11 health and safety topics)
6. Pre-Service/Orientation and Ongoing Training for Providers
7. Inspections for CCDF Licensed Providers
8. Inspections for License-Exempt CCDF Providers
9. Ratios for Licensing Inspectors
10. Child Abuse and Neglect Reporting
11. Program Integrity and Accountability

## Overview of the Monitoring Process



### 4 Primary Phases of Monitoring

Phase 1: Document Gathering

Phase 2: Development of Onsite Monitoring Visit

Phase 3: Onsite Monitoring Visit

Phase 4: Post-Onsite Monitoring Visit

Phase 5: Report from OCC to the State

## PHASE 1: Document Gathering



### 2 Primary Steps

Demonstrating Compliance with CCDF Rules  
Document Submission Chart

#### Timeline:

New York's Experience  
Utah's Experience  
Florida's Experience

## New York's Strategy

Shared location on lead agency's IT network was created  
Section-by-section review of each topic area  
Gather documentation  
Follow-up meetings  
Internal review of both Part A and Part B

- 1-24-19 Webinar
- 9-13-18 Webinar
- Onsite
- Post-visit
- Pre-visit
- Topic 1 - Disaster Preparedness, Response, and Recovery
- Topic 2 - Consumer Education
- Topic 3 - Twelve-Month Eligibility
- Topic 4 - Child Staff Ratios and Group Sizes
- Topic 5 - Health & Safety Requirements for Providers - 11 Health and Safety Topics
- Topic 6 - Pre-Service Orientation and Ongoing Training for Providers
- Topic 7 - Inspections for CCDF Licensed Providers
- Topic 8 - Inspections for License-Exempt CCDF Providers
- Topic 9 - Ratios for Licensing Inspectors
- Topic 10 - Child Abuse and Neglect Reporting
- Topic 11 - Program Integrity and Accountability







## New York's Timeline

Internal meeting 4/4/19

Internal meeting 4/17/19

**Submitted Part A: Approaches to Demonstrating Compliance with CCDF Rules:** 4/17/19

Planning call #1: 5/3/19

Received Summary of Agreements: 5/9

Internal meeting 5/10/19

Internal check-in meeting 5/17/19

Revised Part A submitted 5/17/19

Internal check-in meeting 5/21/19

Panning call #1.5: 5/29/19

**Submitted Part B: Document Submission Chart:** 5/31/19

Planning call #2: 7/18/19

## State Examples

### Part A: New York Compliance with CCDF Rules



CCDF Rule (Column A)	Proposed Approach To Demonstrating Compliance With This Requirement	
	(Column B)	(Column C)
<b>Topic 2: Consumer Education: Dissemination of Information to Parents, Providers, and General Public (Monitoring Reports and Annual Aggregate Data)</b>		
<b>98.33(a)(4): Consumer Ed. - Posting Monitoring &amp; Inspection Reports</b> The Lead Agency shall certify that it will collect and disseminate to parents of eligible children, the general public, and providers (through a consumer-friendly and easily accessible website) results of monitoring and inspection reports for all eligible and licensed child care providers (other than an individual who is related to all children for whom child care services are provided), including: <ul style="list-style-type: none"> <li>those required at § 98.42 and</li> <li>those due to major substantiated complaints about failure to comply with provisions at § 98.41 and Lead Agency child care policies.</li> </ul> Lead Agencies shall post in a timely manner full monitoring and inspection reports, either in plain language or with a plain language summary, for parents and child care providers to understand, and shall establish a process for correcting inaccuracies in the reports. Such results shall include: <ol style="list-style-type: none"> <li>Information on the date of such inspection;</li> <li>Information on corrective action taken by the State and child care provider, where applicable;</li> <li>Any health and safety violations, including any fatalities and serious injuries occurring at the provider, prominently displayed on the report or summary; and</li> <li>A minimum of 3 years of results where available.</li> </ol>	<b>Pre-Visit Information</b>	
	Lead Agency website  <a href="https://ocfs.ny.gov/main/childcare/default.asp">https://ocfs.ny.gov/main/childcare/default.asp</a>  Compliance history posting document  413.3(g)(3)(i) 413.3(g)(3)(ii) 413.3(g)(3)(iii)  SSL 390-i	<b>Onsite</b>  Staff interview/system demonstrations of OCFS website and Child Care Facility System (CCFS) as needed



### Topic 9: Ratios for Licensing Inspectors

#### 98.42(b)(3): Ratios for Licensing Inspectors

The Lead Agency shall ensure the ratio of licensing inspectors to such child care providers and facilities is maintained at a level sufficient to enable the State or Territory to conduct effective inspections on a timely basis in accordance with the applicable Federal, State, Territory, Tribal, and local law.

#### Pre-Visit Information

Regional Office  
Caseload Analysis

Quarterly monitoring  
inspection target:  
Approx. 57,000  
conducted annually

#### Onsite

Staff interviews

Staff interviews

### Topic 10: Child Abuse and Neglect Reporting

#### 98.41(e): Provider Compliance with Child Abuse Reporting Requirements

The Lead Agency shall certify that caregivers, teachers, and directors of child care providers within the State will comply with the State's or Territory's child abuse reporting requirements as required by section 106(b)(2)(B)(i) of the Child Abuse and Prevention and Treatment Act (42 U.S.C. 5106a(b)(2)(B)(i)) or other child abuse reporting procedures and laws in the service area.

#### Pre-Visit Information

Statutes:  
413, 422, 424-a, of  
NYS Social Services  
Law

NYS Code of Rules  
and Regulations:  
414.10  
416.10  
417.10  
418-1.10  
418-2.10

#### Onsite

Staff interviews

Staff interviews

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## State Examples

### Part B: New York Document Submission Chart



CCDF Rule	Document to Review	File Name or URL	Page/Section	Date Sent
<b>Topic 2 - Consumer Education: Dissemination of Information to Parents, Providers, and General Public (focusing on the posting of Monitoring Reports and Annual Aggregate Data)</b>				
<b>98.33(a)(4): Consumer Ed. – Posting Monitoring &amp; Inspection Reports</b>	Lead Agency website: Search for Child Care feature on the Office of Children and Family Services (OCFS) Division of Child Care website	<a href="https://ocfs.ny.gov/main/childcare/default.asp">https://ocfs.ny.gov/main/childcare/default.asp</a> <a href="https://ocfs.ny.gov/main/childcare/ccfs_template.asp">https://ocfs.ny.gov/main/childcare/ccfs_template.asp</a>	Complete the applicable fields to search for programs. When the list of programs is shown, click on the  icon for additional information, including inspection history, on that program.	5/31/19
	Sample Compliance History Posting Document: Program Name: Christ the King Childcare Center	Sample Compliance History Doc CTKCC.pdf	Entire document	5/31/19
	New York State Code of Rules and Regulations 413.3(g)(3)(i), (ii) and (iii)	<a href="https://ocfs.ny.gov/main/childcare/regs/413-Definitions.docx">https://ocfs.ny.gov/main/childcare/regs/413-Definitions.docx</a>	Page 14	5/31/19
	Statute SSL 390-I	<a href="http://www.ocfs.state.ny.us/main/childcare/390%20Social%20Services%20Law.doc">http://www.ocfs.state.ny.us/main/childcare/390%20Social%20Services%20Law.doc</a>	Page 7	5/31/19
<b>98.33(a)(5): Consumer Ed. – Annual Aggregate Data</b>	New York State Code of Rules and Regulations 414.15(b)(14)	<a href="https://ocfs.ny.gov/main/childcare/regs/414-SACC.docx">https://ocfs.ny.gov/main/childcare/regs/414-SACC.docx</a>	Page 53	5/31/19
	New York State Code of Rules and Regulations 416.15(b)(14)	<a href="https://ocfs.ny.gov/main/childcare/regs/416-SFDC.pdf">https://ocfs.ny.gov/main/childcare/regs/416-SFDC.pdf</a>	Page 51	5/31/19
	New York State Code of Rules and Regulations 417.15(b)(14)	<a href="https://ocfs.ny.gov/main/childcare/regs/417-FDC.docx">https://ocfs.ny.gov/main/childcare/regs/417-FDC.docx</a>	Page 51	5/31/19

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CCDF Rule	Document to Review	File Name or URL	Page/Section	Date Sent
<b>Topic 9 - Ratios for Licensing Inspectors</b>				
<b>98.42(b)(3): Ratios for Licensing Inspectors</b>	Quarterly monitoring inspection target: Approx. 57,000 conducted annually	2018 Inspections Jan-Dec 2018 Topic 9.pdf	Entire document	5/31/19
	Regional Office Caseload Analysis	Regional Office Caseload Analysis_OCC-Final.pptx	Entire document	5/31/19
<b>Topic 10 - Child Abuse and Neglect Reporting</b>				
<b>98.41(e): Provider Compliance with Child Abuse Reporting Requirements</b>	NYS Codes of Rules and Regulations 414.10	<a href="https://ocfs.ny.gov/main/childcare/regs/414-SACC.docx">https://ocfs.ny.gov/main/childcare/regs/414-SACC.docx</a>	Pages 21-24	5/31/19
	NYS Codes of Rules and Regulations 416.10	<a href="https://ocfs.ny.gov/main/childcare/regs/416-GFDC.pdf">https://ocfs.ny.gov/main/childcare/regs/416-GFDC.pdf</a>	Page 21	5/31/19
	NYS Codes of Rules and Regulations 417.10	<a href="https://ocfs.ny.gov/main/childcare/regs/417-FDC.docx">https://ocfs.ny.gov/main/childcare/regs/417-FDC.docx</a>	Page 21	5/31/19
	NYS Codes of Rules and Regulations 418-1.10	<a href="https://ocfs.ny.gov/main/childcare/regs/418-1-DCC.docx">https://ocfs.ny.gov/main/childcare/regs/418-1-DCC.docx</a>	Pages 27-30	5/31/19
	NYS Codes of Rules and Regulations 418-2.10	<a href="https://ocfs.ny.gov/main/childcare/regs/418-2-SDCC.docx">https://ocfs.ny.gov/main/childcare/regs/418-2-SDCC.docx</a>	Page 21	5/31/19
	NYS Social Services Law 413	<a href="https://www.nysenate.gov/legislation/laws/SOS/413">https://www.nysenate.gov/legislation/laws/SOS/413</a>	Entire section	5/31/19
	NYS Social Services Law 422	<a href="https://www.nysenate.gov/legislation/laws/SOS/422">https://www.nysenate.gov/legislation/laws/SOS/422</a>	Entire section	5/31/19
	NYS Social Services Law 424-a	<a href="https://www.nysenate.gov/legislation/laws/SOS/422-A">https://www.nysenate.gov/legislation/laws/SOS/422-A</a>	Entire section	5/31/19

## State Examples: Compliance with CCDF Rules



### Office of Child Care (OCC) Monitoring System

#### State Approaches to Demonstrating Compliance with CCDF Rules

The purpose of OCC's monitoring system is to determine State compliance with the Child Care and Development Block Grant Act of 2014 and the Child Care and Development Fund (CCDF) Final Rule. The monitoring process includes a pre-visit review of materials provided by the State, as well as an onsite visit to validate the evidence observed during the pre-visit review and to collect additional evidence of the State's compliance with the CCDBG Act and the CCDF Final Rule.

In the chart below, for each CCDF regulation listed in the Column A, please indicate in Column B how the State proposes to show evidence of its compliance with the regulation prior to the onsite visit (such as state/local regulations, policies, manuals, etc.) and indicate in Column C how the State proposes to demonstrate compliance during the onsite visit (such as staff interviews, system demonstrations, visits to field offices, guided case file reviews, etc.).

The State has flexibility to propose an approach that, from its perspective, makes sense in light of the State's circumstances and processes. Starting with the State's proposal, OCC will work with the State to finalize an approach that is feasible and provides sufficient evidence of compliance.

CCDF Rule (Column A)	Proposed Approach To Demonstrating Compliance With This Requirement	
	(Column B)	(Column C)
<b>Topic 1: Disaster Preparedness, Response, and Recovery</b>		
98.16(aa)(1): Statewide Disaster Planning Collaboration A CCDF Plan shall contain a demonstration of how the State or Territory will address the needs of children, including the need for safe child care, before, during and after a state of emergency declared by the Governor or a major disaster or emergency (as defined by section 102 of the Robert T. Stafford Disaster Relief and Emergency Assistance Act, 42 U.S.C. 5122) through a Statewide Disaster Plan (or Disaster Plan for a Tribe's service area) that is developed in collaboration with: <ul style="list-style-type: none"> <li>the State human services agency,</li> <li>the State emergency management agency,</li> <li>the State licensing agency,</li> <li>the State health department or public health department,</li> <li>local and State child care resource and referral agencies, and</li> <li>the State Advisory Council on Early Childhood Education and Care (designated or established pursuant to section 642b(b)(1)(A)(i) of the Head Start Act (42 U.S.C. 9837b(b)(1)(A)(i)) or similar coordinating body.</li> </ul>	Pre-Visit Information Utah's Statewide Disaster Plan Utah's Statewide Disaster Plan participant list CAC Director's Meeting-Disaster Preparedness meeting minutes and participants	Onsite Care About Child Care (CAC) Emergency Alert System (EAS)-demo at CAC site DWS, Office of Child Care (OCC) policy CCL Temporary Operation Standards





### Topic 3: Twelve-Month Eligibility

#### 98.21(a)(1): 12-Month Eligibility Determination & Re-determination

A Lead Agency shall re-determine a child's eligibility for child care services no sooner than 12 months following the initial determination or most recent re-determination, subject to the following: During the period of time between determinations or re-determinations, if the child met all of the requirements in §98.20(a) on the date of the most recent eligibility determination or re-determination, the child shall be considered eligible and will receive services at least at the same level, regardless of:

- (i) A change in family income, if that family income does not exceed 85 percent of SMI for a family of the same size; or
- (ii) A temporary change in the ongoing status of the child's parent as working or attending a job training or educational program. A temporary change shall include, at a minimum:
  - (A) Any time-limited absence from work for an employed parent due to reasons such as need to care for a family member or an illness;
  - (B) Any interruption in work for a seasonal worker who is not working between regular industry work seasons;
  - (C) Any student holiday or break for a parent participating in training or education;
  - (D) Any reduction in work, training or education hours, as long as the parent is still working or attending training or education;
  - (E) Any other cessation of work or attendance at a training or education program that does not exceed three months, or a longer period of time established by the Lead Agency;
  - (F) Any change in age, including turning 13 years old during the eligibility period; and
  - (G) Any change in residency within the State or Territory.

#### 98.21(a)(2): Continued Assistance/Job Search

Lead Agencies have the option, but are not required, to discontinue assistance due to a parent's loss of work or cessation of attendance at a job training or educational program that does not constitute a temporary change in accordance with 98.21(a)(1)(ii). However, if the Lead Agency exercises this option,

- (i) it must continue assistance at least at the same level for a period of not less than three months after each such loss or cessation in order for the parent to engage in job search and resume work, or resume attendance at a job training or educational activity;
- (ii) At the end of the minimum three-month period of continued assistance, if the parent is engaged in a qualifying work, education, or training activity, with income below 85% of SMI, assistance cannot be terminated and the child must continue receiving assistance until the next scheduled re-determination, or at Lead Agency option, for an additional minimum 12-month eligibility period.
- (iii) If a Lead Agency chooses to initially qualify a family for CCDF assistance based a parent's status of seeking employment or engaging in job search, the Lead Agency has the option to end assistance after a minimum of three months if the parent has still not found employment, although assistance should continue if the parent becomes employed during the job search period.

Pre-Visit Information	Onsite
DWS Eligibility Policy Manual	Guided case reviews
DWS Admin Rules	Discussions with state subsidy staff and eligibility workers
Customer education	Staff training materials
	Eligibility Procedures

Pre-Visit Information	Onsite
DWS Eligibility Policy Manual	Guided case reviews
DWS Admin Rules	Discussions with state subsidy staff and eligibility workers
Customer education	Staff training materials
	Eligibility Procedures

## State Examples: Document Submission Chart



### Office of Child Care (OCC) Monitoring System Document Submission Chart

The purpose of OCC's monitoring system is to determine State compliance with the Child Care and Development Block Grant Act of 2014 and the Child Care and Development Fund (CCDF) Final Rule. The monitoring process includes a pre-visit review of materials provided by the State, as well as an onsite visit to validate the evidence observed during the pre-visit review and to collect additional evidence of the State's compliance with the CCDBG Act and the CCDF Final Rule.

In the chart below, for each CCDF regulation listed, please provide the title of the document being provided for pre-visit review, its file name or URL, the page or section that addresses the specific regulation, and the date that the document is being submitted to OCC. One document may be listed for multiple regulations.

CCDF Rule	Document to Review	File Name or URL	Page/Section	Date Sent
<b>Topic 1 - Disaster Preparedness, Response, and Recovery</b>				
<b>98.16(aa)(1): Statewide Disaster Planning Collaboration</b>	Utah's Statewide Disaster Plan	<a href="https://jobs.utah.gov/occ/occdisaster.pdf">https://jobs.utah.gov/occ/occdisaster.pdf</a>	Pages 8-10	
	Utah's Statewide Disaster Plan participant list	Utah Emergency Preparedness Plan Committee	Email attachment	1/3/19
	CAC Director's Meeting- Disaster Preparedness meeting minutes and participants	CAC Meeting minutes and participants	Email attachment	1/3/19
<b>98.16(aa)(2): Statewide Disaster Plan Components</b>	CCL website	<a href="https://childcarelicensing.utah.gov/Emergency.html">https://childcarelicensing.utah.gov/Emergency.html</a>		
	Health and Safety Plan	<a href="https://childcarelicensing.utah.gov/forms/All/Health%20and%20Safety%20Plan.pdf">https://childcarelicensing.utah.gov/forms/All/Health%20and%20Safety%20Plan.pdf</a>	Pages 8-12	
	Utah - Child Care Licensing (CCL) Program Temporary Operation Standards	<a href="https://childcarelicensing.utah.gov/forms/All/Child%20Care%20Licensing%20Program%20-%20Temporary%20Operation%20Standard%20a.pdf">https://childcarelicensing.utah.gov/forms/All/Child%20Care%20Licensing%20Program%20-%20Temporary%20Operation%20Standard%20a.pdf</a>		
	Utah's Statewide Disaster Plan	<a href="https://jobs.utah.gov/occ/occdisaster.pdf">https://jobs.utah.gov/occ/occdisaster.pdf</a>	Pages 5-8, 10-11	
	CAC-USU Eastern written disaster plan sample	CAC-USU Eastern written disaster plan	Email attachment	1/3/19



### Topic 3 – Twelve-Month Eligibility

<b>98.21(a)(1): 12-Month Eligibility Determination &amp; Re- determination</b>	DWS Eligibility Policy 730: Eligibility Period	<a href="https://jobs.utah.gov/Infosource/eligibilitymanual/700%20Eligibility%20Process%20and%20Case%20Maintenance/730%20Eligibility%20Period.htm">https://jobs.utah.gov/Infosource/eligibilitymanual/700 Eligibility Process and Case Maintenance/730 Eligibility Period.htm</a>	Section 730	
	DWS Eligibility Policy 210-10: Changes During 12 Month Certification Period	<a href="https://jobs.utah.gov/Infosource/eligibilitymanual/200%20Program%20Eligibility%20Requirements/210-10%20Changes%20During%2012%20Month%20Certification%20Period.htm">https://jobs.utah.gov/Infosource/eligibilitymanual/200 Program Eligibility Requirements/210-10 Changes During 12 Month Certification Period.htm</a>	Section 210-10	
	DWS Eligibility Policy 216: Utah Residency	<a href="https://jobs.utah.gov/Infosource/eligibilitymanual/200%20Program%20Eligibility%20Requirements/216%20Utah%20Residency.htm">https://jobs.utah.gov/Infosource/eligibilitymanual/200 Program Eligibility Requirements/216 Utah Residency.htm</a>	Section 216	
	DWS Administrative Rules- children turning age 13 during the eligibility period remain eligible	<a href="https://rules.utah.gov/publicat/code/r986/r986-700.htm#T2">https://rules.utah.gov/publicat/code/r986/r986-700.htm#T2</a>	Section 700-703, 6(a)(iv)	
	Customer education	<a href="https://jobs.utah.gov/customereducation/services/childcare/employmentsupport.html">https://jobs.utah.gov/customereducation/services/childcare/employmentsupport.html</a>	Eligibility Requirements	

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## PHASE 2: Development of Onsite Monitoring Visit



Timeline:

Florida's Experience

New York's Experience

Utah's Experience

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## State Examples: Onsite Monitoring Visit Schedule (Utah)



Tuesday, April 9, 2019 - Day 1		
Logistics	Invited Participants	Topic Area/Activity
	<b>Utah Department of Health (DOH) Child Care Licensing (CCL):</b> Joel Hoffman, Bureau of Licensing and Certification Director Simon Bolivar, Child Care Licensing Administrator Donna Thomas, CCL License Exempt Program Manager Jessica Strout, CCL North Region Manager  <b>Office of Child Care (OCC) Staff and Contractors:</b> Karen Knoll-Moran, Regional Program Manager Ashanti Butcher, Child Care Program Specialist Rhonda Prodzinski, Monitoring Lead, Contractor Crescenta Sabree, Monitoring Liaison, Contractor Stefan Bishop, Monitoring Specialist, Contractor	
<b>9:30 am – 9:45 am MT</b> <b>Data Collection Session</b> 9:45 am – 11:00 am MT  <b>Location:</b> Utah Department of Workforce Services (DWS) Employment Center 720 South 200 East Salt Lake City, UT 84111  <b>Room #: 100</b>  <b>A/V Needs:</b> Computer/LCD projector	<b>Utah DWS:</b> Tracy Gruber, OCC, Director Kathy Link, OCC, Assistant Director Ann Stockham Mejia, OCC, Subsidy Program Manager  <b>Utah CCL:</b> Simon Bolivar, Child Care Licensing Administrator Donna Thomas, CCL License Exempt Program Manager Jessica Strout, CCL North Region Manager  <b>OCC Staff and Contractors:</b> Karen Knoll-Moran, Regional Program Manager Ashanti Butcher, Child Care Program Specialist Rhonda Prodzinski, Monitoring Lead, Contractor Crescenta Sabree, Monitoring Liaison, Contractor Stefan Bishop, Monitoring Specialist, Contractor	<b>Break</b>  <b>Topic 2: Consumer Education</b> <ul style="list-style-type: none"> <li>Dialogue on State compliance with CCDBG Final Rule               <ul style="list-style-type: none"> <li>98.33(a)(4): Consumer Ed. – Posting Monitoring &amp; Inspection Reports</li> <li>98.33(a)(5): Consumer Ed. – Annual Aggregate Data</li> </ul> </li> <li>Demonstration and discussion of CCL Website, CCL Provider Portal and CCL Database</li> </ul> <b>Topic 7: Annual Inspections for CCDF Licensed Providers</b> <ul style="list-style-type: none"> <li>Dialogue on State compliance with CCDBG Final Rule               <ul style="list-style-type: none"> <li>98.42(b)(2)(i): Inspection of Licensed Providers</li> </ul> </li> <li>Interpretation Manual</li> </ul> <b>Topic 8: Annual Inspections for CCDF License-Exempt Providers</b> <ul style="list-style-type: none"> <li>Dialogue on State compliance with CCDBG Final Rule               <ul style="list-style-type: none"> <li>98.42(b)(2)(ii): Inspection of Licensed-Exempt Providers</li> </ul> </li> </ul>
<b>11:00 am – 11:15 am MT</b> <b>Data Collection Session</b> 11:15 am – 12:00 pm MT  <b>Location:</b> Utah Department of Workforce Services (DWS) Employment Center	<b>Utah DWS:</b> Tracy Gruber, OCC, Director Kathy Link, OCC, Assistant Director Ann Stockham Mejia, OCC, Subsidy Program Manager  <b>Utah CCL:</b> Simon Bolivar, Child Care Licensing Administrator	<b>Break</b>  <b>Topic 5: Health and Safety</b> <ul style="list-style-type: none"> <li>Dialogue on State compliance with CCDBG Final Rule               <ul style="list-style-type: none"> <li>98.41(a)(1): Health &amp; Safety Requirements for Providers (11 Topics)</li> </ul> </li> <li>Guided provider case review - see <i>Case File Section for Guided Case Reviews document</i></li> <li>Interpretation Manual</li> </ul>

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## State Examples: Onsite Monitoring Visit Schedule (Florida)



Tuesday, February 12, 2019 - Day 1		
Logistics	Invited Participants	Topic Area/Activity
<b>Entrance Conference</b> 8:30 am – 9:30 am EST  <b>Location:</b> Department of Education, Office of Early Learning (OEL)  250 Marriott Drive Tallahassee, FL 32399  <b>Contact:</b> Reginal Williams Stephanie Gehres  <b>Phone #:</b> 850.717.8606 or 850.717.8598  <b>Room #:</b> Fourth Floor Training Room, Lottery Building  <b>A/V Needs:</b> Computer/LCD projector for PPT presentations; Internet access	<b>Florida OEL:</b> Rodney MacKinnon, Executive Director Stephanie Gehres, CCDF Co-Administrator, Deputy Director of Operations and Programs Melanie May, Deputy Director of Information Services Sarah Hall, Inspector General Stacey Emminger, OIG Analyst/Accreditation Manager Courtney Wheelless, Partner Initiatives and CCR&R Manager Reginal Williams, Program Integrity Manager Andrea Ward, Accountability Supervisor LaToya Sampson, Accountability Supervisor Katrina Maroney, School Readiness Policy Supervisor Molly Grant, Educational Policy Analyst Meredith Wright, Accountability Analyst Andrea Barber, School Readiness Policy Analyst Shatoya Mitchell, School Readiness Policy Analyst  <b>Florida DCF:</b> Samantha Wass de Czege, Director, Office of Child Care Regulation Dinah Davis, Policy Manager, Office of Child Care Regulation Patricia Franklin, Director of Community and Administrative Services  <b>Florida ELC staff:</b> NWFL staff (via webinar) Big Bend staff (via webinar)  <b>OCC Staff and Contractors:</b> Sherry Fahmi Eric Blanchette LaPrayshia Hayes Rhonda Prodzinski Crescenta Sabree Tracy Dry	<b>Entrance Conference</b> <ul style="list-style-type: none"> <li>Welcome and introductions</li> <li>RO presentation               <ul style="list-style-type: none"> <li>Review agenda for the Onsite visit</li> </ul> </li> <li>State presentation</li> </ul>
<b>9:30 am – 9:45 am EST</b>		<b>Break</b>

Updated: January 29, 2019

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## PHASE 3: Onsite Visit—Florida's Experience



### Planning ahead with State Partners

- Identifying subject matter experts for each monitoring topic
- Aligning CCDF Plan elements with monitoring topics
- Identifying how compliance would be demonstrated

### OCC terminology vs. Florida Office of Early Learning (OEL) terminology

### Being clear about onsite compliance demonstration expectations

- Presentations vs. system walk-throughs
- Understanding that OCC questions may be generated from document submission
- Understanding that OCC monitors may not be as familiar with how the state administers CCDF as the state's regional program manager and specialists

## PHASE 3: Onsite Visit—Utah's Experience



### Preparation with the Document Gathering is KEY!

Do not do more work than necessary

Ensure all the partners are prepared and use consistent messaging

Be Flexible—they do make adjustments to the schedule

Day 1 is the Overview of all of the Topics

Day 2 & 3 provides greater detail like case reviews, monitoring visits, etc with Licensors, Eligibility Staff, etc—Prepare Them!

## PHASE 4: Post-Visit Period



Prepare for Post-Visit Call and providing additional documents

Avoiding Post-Visit Call really depends on how thorough document gathering goes before the visit and the number of questions that are raised during the onsite visit

Supposed to receive a report of findings and then period for response

## Contacts



### Florida Contacts

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