

Early Learning Coalition of Broward County, Inc.
Annual Review and Assessment Instrument 2009-2010

Monitoring Report

Contract: BCL-MON-10-ELC4-2 Quality Assurance Services/Health and Safety and VPK Monitoring
Broward County Child Care Licensing & Enforcement Section

Monitors for Early Learning Coalition of Broward County, Inc. (ELC)

Leticia Strasser, ECE Program Specialist
Andrea Braynon, Chief Financial Officer
Sandra Martinez, Accounting and HR Manager

Broward County Child Care Licensing Enforcement (BCCCLE) Representative

Willie Cameron, Section Manager I
Naomi Parker, Child Care Licensing Specialist I

The monitoring process reflected in this report began on July 28, 2010, one month after the close of the third year of implementing the Early Learning Coalition of Broward County's Early Care and Education System, and was completed on December 3, 2010. The Coalition Monitors completed a comprehensive monitoring review, which included an administrative review of the agencies policies and procedures, a fiscal review of the accounting records and supporting documentation, as well as a review of the programmatic services as reflected in the performance objectives of the **Quality Assurance Services/Health and Safety and VPK Monitoring** services in contract BCL-MON-10-ELC4-2. **This report includes monitoring results of this contract.**

In addition to examining documentation related to performance objectives, the Coalition Monitors reviewed 51 VPK provider files for seven service agreement elements, conducted one (1) on-site interview with the VPK Monitor and completed two (2) secret shopper phone calls to assess the facility of accessing services from the customer's point of view.

Prior to the monitoring visits, the Coalition staff identified children and providers who participated in the Voluntary Pre-kindergarten (VPK) program, as well as all School Readiness children and the corresponding providers who serve these children, contained in the EFS data base for the period July 1, 2009-June 30, 2010. The EFS data was used to randomly select **142 VPK children files, 103 VPK provider files,**

142 files representing children receiving financial assistance from School Readiness funds and 109 early care and education provider files where these children received early learning opportunities. Of the 142 clients in receipt of School Readiness funds, 115 children (81%) were between the ages of birth to five and attended 91 of the selected providers (83%), and 27 children (19%) were school-age and attended 25 of the remaining selected providers, with seven (7) of the early care and education providers serving school-age children also served birth to school-age children; these children and their corresponding providers along with the 142 VPK children and the providers they attended were tracked through the Coalition's early care and education system and were chosen for review in this monitoring. **Of the 103 VPK providers, 46 providers (45%) received services from the Quality Assurance Services/Health and Safety and VPK Monitoring (ELC4-2) Service Provider during the 2009-2010 contract year. No informal child care providers were providing services in 2009-2010.**

Administrative Review Summary:

Agency policies, corporate documents, insurance, document protocols, and incident reporting documents were all *reviewed and found to be in order and to meet required specifications.*

Fiscal Review Summary:

- *Accounting Policies and Procedures* were reviewed and found to be in order and to meet required specifications.
- *General Ledger Testing* occurred for the period October 2009 and April 2010 and indicated a 100% compliance rate related to the review of expenses and appropriate classification of transactions.
- *Payroll Records Testing* occurred for the period October 3, 2009 and April 17, 2010 and indicated a 100% compliance rate related to the payroll records and personnel files examined. (As a part of the fiscal review the actual salary costs are compared to the approved budget salary amount. There were no significant variances.)

Programmatic Review Summary:

This contract focuses on the monitoring of Informal Child Care Providers serving children whose families receive financial assistance for child care from School Readiness funds and the monitoring of approved Voluntary Pre-Kindergarten (VPK) Providers in Broward County according to laws, statutes, rules, and policies governing Early Care and Education funds. *Coalition staff and Service Providers continue to share a common obstacle with regards to the inability of the multiple and various technologies currently employed by the Broward ECE system to accurately pull aggregate data for the purpose of validating or accounting for performance outcomes within and across services. ELC and Service Provider staff will continue to work collaboratively to address the issues during the 2010-2011 fiscal year.*

Results & Highlights Include:

- **Contract BCL-MON-10-ELC4-2 has twenty (20) performance outcomes that cover General Performance, Health and Safety Monitoring and Voluntary Pre-Kindergarten Monitoring and two (2) programmatic deliverables related to clients to be served for review.**
- **100% of the performance outcomes were met or substantially met and 10% required adjustment to improve reporting for accountability in the 2009-2010 contract year; 100% of the programmatic deliverables were met in 2009-2010.**
- **98% of the selected Voluntary Pre-kindergarten (VPK) Providers (231) received a monitoring visit and 100% of the Voluntary Pre-kindergarten (VPK) Provider inspection reports were in compliance with the minimum State of Florida VPK program standards including licensing and or accreditation status, group size and child ratios, director credentials, instructor’s credential and background screening, and instructional hours of the VPK classroom.**
- **In order to improve the delivery of Quality Assurance/Health and Safety and VPK Monitoring for the contract year, the ELC 4-2 Service Provider is requiring this Service Provider to:**
 - **Implement communication strategies for continued system improvements with the Coalition related to potential delays in meeting reporting deadlines and/or outcomes; and**
 - **Implement communication strategies for continued system improvements with the ELC 2 Service Provider as required in the executed Memorandum of Understanding.**

**Early Learning Coalition of Broward County, Inc.
Administrative Specification Annual Review and Assessment Instrument
2009-2010**

Contract Annual Review

Contract: BCL-MON-10-ELC4-2 Quality Assurance Services/Health and Safety and VPK Monitoring

A. FEDERAL LAW REQUIREMENTS	ELC REVIEW
1. Does the Agency have a written Drug-Free Workplace Policy? About Broward County (ABC’s of Broward County Employment 2010) page 9	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
2. Are Equal Employment Opportunity, Worker’s Compensation, Family Leave Act, and other mandated or relevant posters conspicuously displayed by the agency? The posters are located on the main floor and displayed on a	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

bulletin board near the restrooms and copier; which is accessible to all employees. ELC 4-1: The posters are located on the main floor in the employee lunch room displayed on a bulletin board which is accessible to all employees.	
3. Does the Agency have a written Non- Discrimination and Harassment Free Workplace Policy? <i>About Broward County (ABC's of Broward County Employment 2010) EEO page 11; Harassment page 12.</i>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
ELC review comments: Quality Assurance Services/VPK and Informal Monitoring is located at Broward County Child Care Licensing and Enforcement Section, 2995 N. Dixie Highway, Ft. Lauderdale, FL 33334. Agency Policies were reviewed and found to be in order and to meet required specifications.	
B. CORPORATE DOCUMENTS	ELC REVIEW
1. Does the Agency have an Accounting Policy and Procedures Manual? The Internal Control Handbook on the BC-Net. Internal Control Handbooks Volume #15, reviewed on-line, on-site, contains Broward County's Accounting Policy and Procedures Manual.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
2. Are the Agency's By-laws available for review? Broward County does not have By-laws since it is a governmental entity.	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> N/A
3. Are the Agency's Articles of Incorporation available for review? Broward County does not have Articles of Incorporation since it is a governmental entity.	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> N/A
4. Is there an Organizational Chart available that reflects the current organization of the Agency and provides clearly delineated chain-of-command? Reviewed organizational chart with names and positions.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
5. Is there an Audit on File? Reviewed a copy of the Single Audit Report for year ending September 30, 2009	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
ELC review comments: Agency corporation documents were reviewed and found to be in order and to meet required specifications.	
C. SPONSORSHIP/PUBLIC ANNOUNCEMENTS	ELC REVIEW
1. Does the Agency have sponsorship materials, financed wholly or in part by state funds (including any funds through ELC) that are in accordance with the requirements outlined in the contract? Not applicable in 2009-2010.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
2. In publicizing, advertising, or describing the sponsorship of the program, does Contractor state: "Sponsored by (Contractor's Name) and The Early Learning Coalition of Broward County, Inc." and the "State of Florida, Agency for Workforce Innovation"? Not applicable in 2009-2010.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
3. Do written materials include "The Early Learning Coalition of Broward County" and "Agency for Workforce	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

Innovation, Office of Early Learning” in the same size letters or type as the name as the Contractor? Not applicable in 2009-2010.	
4. When using statements, press releases, requests for proposals, bid solicitations, and other documents describing projects or programs funded in whole or in part with state or federal funds, all awardees receiving state or federal funds, shall clearly state (1) the percentage of the total cost of the program or project which will be financed with federal money, and (2) the dollar amount of federal funds for the project or program. Does the Contractor comply?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
<u>ELC review comments:</u> Agency sponsorship/public announcements were all reviewed and found to be in order and to meet required specifications. The Agency did not produce documents during the year that described the program.	
D. STAFFING	ELC REVIEW
1. Did the Contractor maintain sufficient and qualified staff to deliver the agreed upon services required by the Contract? [Exhibit B (B-3)] Maintained one (1) staff as required by Contract and matched organizational chart.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
2. Do names of personnel match positions listed in the budget? Organizational charts match Exhibit B (form B-3)	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
3. Did the Contractor ensure that staffing patterns and staff qualifications are sufficient to provide the services described within the contract, including backup plans when turnover occurs, with the capacity to provide services in English, Spanish, Portuguese, and Creole? BCCCLE employs multiple individuals who can speak a variety of languages and can be called upon to help with any translation issue and/or turnover issue that might arise.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
4. Did the Contractor provide and/or ensure continuous quality improvement training to 100% of its staff? All staff participate in various County offered continuous quality improvement training. County training calendar lists all trainings available free to county employees on BC-Net. County HR keeps record of all training taken by each employee by employee number. Reviewed evidence in personnel files of all employees attending quality improvement trainings during contract year. Staff member attended “The Joy of Stress” on 12/17/09.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
5. Has the Contractor or its agent notified WorkForce One of all entry level employment opportunities associated with this Contract which require a high school education or less? In the event that the Contractor or its agent employs a person who was referred by the WorkForce One office, the Contractor shall notify the Coalition. N/A but would if an entry level position opportunity arose.	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
<u>ELC review comments:</u> Staffing documentation was reviewed and found to be in order and met required specifications.	
E. BACKGROUND SCREENING	ELC REVIEW
1. Did the Contractor’s personnel and volunteers, who as part of their duties and responsibilities, spend forty hours or more per month in early care and education program(s) submit to a local and state criminal records check within ten	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

days of employment in accordance with Section 435.03(1), Florida Statutes? County has a risk management department that conducts level 1 screening of potential employees. Criminal Background checks are conducted by the Safety and Occupational Health section of the Risk Management Division for new hires and may be conducted for other employment related matters. Page 8 in ABC's of Broward County Employment Handbook 2010.	
<u>ELC review comments:</u> Background screenings (submitted in accordance with Section 435.01 (1) Florida Statutes) were reviewed and found to be in order and to meet required specifications.	
F. KEY PERSONNEL/PERSONNEL POLICIES	ELC REVIEW
1. Does the Agency have written Personnel Policies? On BC-Net Code of Ordinances, Internal Control Handbook, Volume 15 Human Resources.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
2. Where are personnel folders located? The HR office downtown keeps all employee records; however duplicate records are located on-site, with the secretary, in a locked file cabinet.	
3. Select a random number of personnel files and verify that each file contains the following: Reviewed the contract's one (1) personnel file. Personnel file was reviewed and found to be in order and met required specifications.	
a. Job descriptions: One (1) personnel file <u>did</u> contain a job description.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
b. Qualification documentation: One (1) personnel file <u>did</u> contain qualification documentation.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
c. Evaluations: One (1) personnel file contained signed evaluations for 2009-2010.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
d. Individual Non-Disclosure: One (1) personnel file contained a signed Data Security form signed December 21, 2009.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
e. Confidentiality Certificate Form: One (1) personnel file contained a signed Data Security form signed December 21, 2009.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
4. Number of randomly selected personnel files: One (1)	
5. Number of said files containing above mentioned criteria: One (1)	
6. Where are the employee records located? Employee records are located in the Secretary's office.	
7. Are employee records securely stored? Employee records are locked in a file cabinet in the Secretary's Office.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
<u>ELC review comments:</u> Agency Personnel Policies and individual personnel files were reviewed and found to be in order and to meet required specifications.	

G. INSURANCE		ELC REVIEW
1. Review the Agency's Accord Form to determine which policies are in place.		
2. Where are the Agency Policies located? Agency Policies are located in the Risk Management Department Governmental Center.		
3. Did the Contractor submit one Continuation of Operations Plan (COOP) to the Coalition's Contract Manager upon execution of the Contract? The COOP shall include the Contractor's plans to continue operations during unforeseen circumstances whether natural or man-made disasters, local emergencies, or other emergency situations requiring significant changes in operation. The plan shall include pre-disaster planning, including but not limited to record protections, alternative service accommodations, supplies, and a recovery plan that would allow the Contractor to continue functioning as per the executed Contract in the event of an actual disaster. Reviewed Broward County Children's Services Administrative Division (CSAD) 2009 Continuation Of Operations Plan		<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
4. Worker's Compensation; minimum Liability limits of \$100,000 per accident, \$100,000 per person, and \$500,000 policy aggregate. Per confirmation letter from BC Risk Management Division: "Pursuant to Statute 627.7264, Broward County Board of County Commissioners is fully self-insured and self-administered for worker's compensation. The Workers' Compensation program operates in compliance with and under the auspices of Chapter 440 of Florida Statutes."	Expiration Date: Self-insured	Amount: \$100,000/200,000
5. Unemployment Compensation Insurance:		<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
6. General Liability: Per confirmation letter from BC Risk Management Division: "Broward County institutes and maintains a fiscally sound risk management program with regard to its obligations in accordance with the provisions of Section 768.28 Florida Statutes. Pursuant to Statute 627.7264, Broward County Board of County Commissioners is fully self-insured and self-administered for general liability."	Expiration Date: Self-insured	Amount: \$100,000/\$200,000
7. Professional Liability: Per confirmation letter from BC Risk Management Division: "Self-Insured as per F.S. 440."	Expiration Date: Self-insured	Amount: \$100,000/\$200,000
8. Property Per confirmation letter from BC Risk Management Division: "Broward County is insured for property coverage through FM Global (Factory Mutual Insurance Company)."	Expiration Date: 2/1/2011	Amount: \$100,000/\$200,000
9. Automobile Liability: Per confirmation letter from BC Risk Management Division: "Pursuant to Statute 627.7264, Broward County Board of County Commissioners is fully	Expiration Date: Self-insured	Amount: \$100,000/\$200,000

self-insured and self-administered for auto insurance.”		
ELC review comments: Agency Letter of Insurance was reviewed and found to be in order and to meet required specifications.		
H. CONFIDENTIAL INFORMATION AND SECURITY OBLIGATIONS		ELC REVIEW
1. Does the Agency have policies to safeguard client confidentiality? Internal Controls Handbook on BC-Net reviewed on-site contains Information Technology Procedures (Volume 15). Reviewed Data Security Agreement Form with ELC/AWI. Broward County follows Florida Statutes 119 relating public and confidential records as most of the County records are public records. Medical records are covered under the HIPPA laws and are referenced in the ABC’s of Broward County Employment 2010 and Your Benefits & You Booklet. Child Licensing does not maintain medical records. Child care background screening records are covered under Chapter 435 regarding the use of child care personnel records.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
2. Does the Agency have protocols to protect computer based documents and records? Internal Controls Handbook on BC-Net reviewed on-site contains Information Technology Procedures (Volume 15).	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
3. Do only the appropriate staff members have access to computerized records? Internal Controls Handbook on BC-Net reviewed on-site contains Information Technology Procedures (Volume 15).	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
4. Does the Agency have a system for the maintenance of files? ELC 4-2: There is a locked file room onsite for personnel files and background screening files. Additionally, there is a space saving filing system and general files are kept for public record, as well.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
ELC review comments: Agency Confidential Information and Security Obligations Corporate Documents were all reviewed and found to be in order and to meet required specifications.		
I. INCIDENT REPORTING		ELC REVIEW
Child Abuse Reports made to the authorities and Coalition. No child abuse reports this year.	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
Report knowledge of any abuse or alleged abuse or any serious injury or death by a child while in care to the Coalition. None to report.	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
ELC review comments: Agency Incident Reporting was reviewed and found to be in order and to meet required specifications.		

Fiscal Performance Specification Annual Review and Assessment Instrument 2009-2010

Contract: BCL-MON-10-ELC4-2 Quality Assurance Services/Health and Safety and VPK Monitoring

A. AUDITS AND RECORDS	ELC REVIEW
1. Does the Contractor maintain books, records and documents including electronic storage media and electronic records, in accordance with generally accepted accounting procedures and practices which sufficiently and properly reflect all revenues and expenditures of funds provide by the COALITION under this contract? Yes	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
2. Does the Contractor ensure that accounting records reflect the separation of all programs/activities it administers or for which it receives funding? Yes, through the use of funds and subfunds.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
3. Does a clear audit trail exist showing the benefit received from each expenditure as it relates to the applicable program/activity? Yes	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
<u>ELC review comments:</u>	
B. EFFECTIVE USE OF FUNDS	ELC REVIEW
1. Does the Chart of Accounts support proper allocation by having revenue and expense categories properly identified by program? Yes	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
2. Does the Chart of Accounts have an unallowable cost code to properly identify unallowable costs? Through the use of the general fund.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
<u>ELC review comments:</u>	
C. INVOICING	ELC REVIEW
1. Are invoices submitted on a timely basis? Yes	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
2. Are payments made to subcontractors within seven (7) working days after receipt of full or partial payments from the Coalition?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> N/A
3. Does the Agency maintain an Agency-wide budget by funding source and expenditure category? Yes	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
4. Does the Agency have an accounting system to properly account for ELC related transactions (revenues and expenses)? Advantage System is the financial system	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
5. Select a random number of invoices submitted to ELC and test to determine the following:	
a. Does the invoice accurately detail the number of units, description, unit cost, and total? Yes	

b. Do the attendance records and other required documentation flow through to the invoice correctly? Not applicable	
c. Is the invoice approved by authorized staff/management? Yes	
d. Does the invoice reflect third party payments? Not applicable.	
f. Are procedures established and implemented to eliminate duplicate billing? The financial system eliminates duplications.	
6. Number of invoices randomly selected: Two (2) VPK expenditures were reviewed for the months of October 2009 and April 2010	
7. Number of invoices meeting the above criteria: The two met the criteria.	
<u>ELC review comments:</u>	
D. INDIRECT COSTS	ELC REVIEW
1. Review and document the Agency's Cost Allocation Methodology. Not applicable	
2. Is the cost allocation methodology in writing and is it representative of the allocation used? Not applicable	
<u>ELC review comments:</u>	
E. BANK	ELC REVIEW
1. Are bank statements reconciled monthly? Yes, by the Broward County Finance Department	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
2. Are the bank statements reconciled by a person other than the person who receipts and disburses funds? Yes	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
3. Does the immediate supervisor review the reconciliation? Yes	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
4. Are adjustments properly documented and explained? Yes (confirmed process verbally)	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
5. Does the subrecipient receive advances?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
6. If they received advances, are the funds in an interest bearing account?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> N/A
7. Select 3 random months and verify above transactions	
8. What three months were randomly selected?	
9. Number of months meeting above transactions:	
<u>ELC review comments:</u> Broward County Government Treasury Department was interviewed and the bank reconciliation process was discussed. It was established that effective custodial accountability policies and procedures are in place and bank statements were not obtained due to the low level of risk related to the contracts being cost reimbursable without advances, the minimal amounts of non-personnel line item expenses and the single audit provided by the sub-recipient.	

F. DELIVERABLES - REPORTS	ELC REVIEW
1. Did the Contractor submit to the Coalition on a quarterly basis a statement of actual up-to-date and complete revenue/expenditures, by category, within 30 calendar days following the end of the reporting period? Year-to-Date expenditures are reviewed monthly	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
2. Did the actual up-to-date and complete revenue/expenditure report submitted follow the same format as the Contractor's approved budget and include all listed line items?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
3. Did the report contain a detailed explanation of variances from the approved budget? Variances are reviewed monthly	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
<u>ELC review comments:</u> Reviewed copies of expenditure report submission confirmations for July 2009 – June 2010. Agency Reports were reviewed and found to be in order and met required specifications	
G. ASSIGNMENTS AND SUBCONTRACTS	ELC REVIEW
Perform only if there are sub-contracts in place being paid for direct services with funding covered by this monitoring visit.	
1. Are sub-contracts allowed under this funding? Some funding sources do not allow the use of sub-contracts to deliver direct services.	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> N/A
2. Does the subcontractor have a contract?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> N/A
3. Are the payments to the subcontractors in line with the contract?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> N/A
4. Does the contract specify a match budget for the subcontractor?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> N/A
<u>ELC review comments:</u>	
H. STAFFING	ELC REVIEW
1. Does staff, including management, document their work hours through a time sheet or punch clock?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
2. Do names of personnel match positions listed in the budget?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
<u>ELC review comments:</u>	
I. PAYROLL RECORDS	ELC REVIEW
1. Does staff, including management, document their work hours through a time sheet or punch clock?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

2. Are time records signed by both the employee and the supervisor?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
3. Review sample of Payroll journals to ensure that they include:	
a. Staff name	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
b. Position	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
c. Salary	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
d. Hours worked:	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
e. Payroll period October 3, 2009 was the selected pay periods.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
f. Deductions	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
4. Number of payroll journals reviewed: There was one payroll record selected for review.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
5. Number of said journals that included the above criteria: The payroll record met the criteria.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
6. For a sample of employees charged to the program, review that positions match the budget approved by the funding agency, Do they match? Yes, all charges reviewed in the random selection process did match with the exception of those salaries that were estimates versus actual.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
7. For a sample of employees charged to the program, review that recorded time worked matches time paid as reflected in the Payroll journal. Do they match?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
8. Review the distribution of fiscal duties (i.e. who approves the expense, who cuts the check, who mails the payment). Is the distribution of duties adequate to safeguard assets? Duties are separated by department function.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
<u>ELC review comments:</u>	
J. NONEXPENDABLE PROPERTY	ELC REVIEW
1. Has the Inventory of Non-expendable Property been submitted for 2009-2010?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> N/A
2. Is a list of property with a useful life greater than one year on file and submitted at the end of the year?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> N/A
3. Does the list of property include: property tag identification number, description of item(s); physical location, name, make or manufacturer, year and/or model; manufacturer's serial number(s); date of acquisition and the current condition of the item?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> N/A
4. Perform the following only if the Agency has been funded by ELC, in current or prior funding cycles, for fixed assets such as computers or equipment. This test includes fixed price contracts where rates were based on calculations that	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> N/A

included capital expenditures.	
5. Perform a physical inventory of a sample of ELC program assets drawn from the fixed assets register provided by ELC. Do they agree? Note any discrepancies.	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> N/A
6. Are program fixed assets being used in accordance with the funding intent?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> N/A
7. Do asset additions and/or disposal procedures follow ELC's Fixed Asset policy/procedures?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> N/A
8. Were fixed assets purchased within the contract period in which they were approved/funded?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> N/A
<u>ELC review comments:</u>	
K. PERFORMANCE BOND	ELC REVIEW
1. Has the Performance Bond in the amount of \$450,000 or an Irrevocable Standby letter of credit been submitted to the Coalition?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> N/A
<u>ELC review comments:</u>	

Program Performance Specification Annual Review and Assessment Instrument 2009-2010

Contract: BCL-MON-10-ELC4-2 Quality Assurance Services/Health and Safety and VPK Monitoring

A. MAJOR PROGRAM GOALS
ELC 4-2 2009-2010 Quality Assurance Services/Health and Safety and VPK Monitoring:
1. To ensure that quality Early Care and Education Services are provided through the Coalition funded School Readiness and Voluntary Pre-kindergarten programs by monitoring all participating child care services provider programs for the required elements in accordance with laws, statutes, rules, and policies governing Early Care and Education funds and providing timely action and feedback to community partners and the Coalition as to those monitoring results.
Service Provider Directions: Please fill in shaded sections using "track changes" tool. Do not write in any other area.

B. BRIEF PROVIDER SUMMARY OF ELC4-2 SERVICES & HIGHLIGHTS

1. **Health and Safety Monitoring:** *Monitoring services for informal child care provided in an unregulated child care arrangement either in the child’s home or other home and provided by a relative or non-relative to ensure that the environments are healthy and safe for children who receive financial assistance for school readiness services. Services include inspecting for compliance and investigation of complaints.*
2. **VPK Monitoring:** *Monitoring services for select VPK Providers located in Broward County to ensure compliance with minimum State of Florida VPK program standards including licensing and or accreditation status, group size and child ratios, director credentials, instructor’s credential and background screening, and instructional hours of the VPK classroom. Services include monitoring for compliance and investigation of complaints.*

C. CLIENTS TO BE SERVED

General Description	BCL Reported Results Actual Number Served	ELC Review	As verified by
1. The minimum number of approved informal child care providers to be monitored for Health and Safety is <u>5</u> providers.	1. Number of approved informal child care providers to be monitored for Health and Safety: <u>0</u>	<input checked="" type="checkbox"/> Met <input type="checkbox"/> Not Met	EFS data
2. The minimum number of VPK providers to be monitored in accordance with this Contract is <u>229</u> providers.	2. Number of VPK providers monitored: <u>231</u>	<input checked="" type="checkbox"/> Substantially Met <input type="checkbox"/> Not Met	BCLE Inspection Reports indicated 231 providers monitored, 5 providers received more than one (1) inspection for a total of 236 site visits.

Contractor responsibility: Fifty percent (50%) of VPK programs shall be monitored to ensure compliance with minimum State of Florida VPK program standards.

ELC review comments: Reviewed list of VPK providers who were identified by the ELC 2 Service Provider to receive attendance and unannounced on-site monitoring visits according to the contract requirement (fifty percent (50%) of the 472 VPK providers) in FY 2009-2010.

Reviewed summary list of 231 VPK Providers (98%) monitored by the ELC 4-2 Service Provider during FY 2009-2010; five (5) providers were identified as receiving one (1) follow-up visit for non-compliance concerns. Forty nine percent (49%) of the 472 VPK providers received unannounced monitoring visits to ensure compliance with minimum State of Florida VPK program standards.

Adjustment Required: *In order to ensure that this objective is met for the 2010-2011 fiscal year, the Service Provider shall submit to the Coalition by January 17, 2011, a plan of action to ensure that 50% of all VPK providers are monitored by June 30, 2011 to ensure compliance with minimum State of Florida VPK program standards.*

Service Provider plan to meet compliance (HOW) Explain: *CCLE will submit to the Coalition by January 17, 2011, a plan of action to ensure that 50% of all VPK providers are monitored by June 30, 2011, to ensure compliance with minimum State standards through quarterly tracking of VPK inspections with the supervisor and validate with the ELC 2 Service Provider the total number of approved VPK providers for 2011.*

D. PERFORMANCE SPECIFICATIONS

CORE COMPONENT OBJECTIVES (OUTCOMES AND OUTPUTS) - GENERAL

1. 100% of the policies and procedures shall ensure the protection and confidentiality of individual child records and early learning provider records from unlawful disclosure as identified in Chapter 411, Chapter 402 and Chapter 1002, Florida Statutes.	ELC Review	Action needed?
	<input checked="" type="checkbox"/> Met <input type="checkbox"/> Not Met	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <i>If <u>yes</u> see row below for details.</i>

Service Provider annual review: Briefly describe the process by which confidentiality is ensured and any successes/challenges with achieving the outcome. *No children records are maintained by CCLE; however, records that contain confidential information are maintained in locked filed cabinets and any public record request are reviewed and redacted of personal information. CCLE follows the Public Record law under Chapter 119, Florida Statutes.*

Documents to be ready for ELC on-site annual review: (1) Copy of Policies and Procedures (2) Confidentiality Policy (3) *Individual Non-Disclosure and Confidentiality Certification* form and *DCF Security Agreement* Form

ELC review comments: Reviewed the copy of the ELC 4-2 *Individual Non-Disclosure and Confidentiality Certification* form, Data Security Agreement, and the *DCF Security Agreement* Form for the employee hired under this contract. Per interview with Section I Manager, Broward County follows Florida Statutes 119 relating to public and confidential records. ***All documents reported were reviewed and validated.***

2. 100% of child care provider telephone calls shall be answered by the fourth ring and 100% of customer telephone calls which are placed on hold	BCL Reported Results Actual <u>Number</u> Served	ELC Review Results validated?	Action needed?
	2.a. Total number of phone calls: <u>8</u>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No

shall hold for no more than two (2) minutes before caller being given the option to continue to hold or to request a call-back within 48 business hours and 90% of customers who leave messages will receive follow-up within two (2) business days, (48-hours) of initial contact as demonstrated by a contract specific call log with follow up documentation.	2.b. Percent of calls answered by fourth ring: <u>100%</u>		<i>If <u>yes</u> see row below for details.</i>
	2.c. Percent of calls on hold for no more than two minutes before being given options: <u>100%</u>		
	2.d. Percent of customers who left messages and received follow-up in two (2) business days: <u>N/A</u>		
<u>Contractor responsibility:</u> The establishment, maintenance, and publication of a website that can be linked to other related sites and through which customers can receive access to information and services to the greatest degree possible based on available technology. The website must denote membership in the Early Care and Education Service system and publicize and link to the Coalition’s website and the ELC 1, ELC 2, ELC 3, ELC 4, and ELC 5 websites.			
Service Provider annual review: Briefly describe any successes or challenges in delivering this service. <i>CCLE has successfully included the links to the Coalition and the other Service Providers websites.</i>			
Documents to be ready for ELC on-site annual review: (1) Copy of Provider call log (2) ELC staff will conduct Secret Shopper Calls (3) BCCCLE Monitor-of-the-Day policy ; (4) VPK/Informal Provider Telephone Log Procedures; (5) VPK and Informal Provider Telephone Log. Review website located at: http://www.broward.org/children/chi_qrs.htm			
<u>ELC review comments:</u> Reviewed <i>BCCCLE Monitor-of-the-Day</i> policy which indicates that all phone calls are answered by BCCCLE staff each day. There is no specific clerical group to answer phones; staff is assigned a time frame to answer phones at least one day a week. Staff receives training on answering phones and is given a list of employees so calls can be appropriately directed. Reviewed <i>VPK/Informal Provider Telephone Log Procedures</i> developed to document VPK and Informal Provider telephone calls. Reviewed <i>VPK and Informal Provider Telephone Log</i> which contains forms to record (a) the date and time of the call received; (b) the reason for the call; (c) the caller’s name and location and (d) the resolution of the call. Eight phone calls were logged by ELC 4-2 in 2009-2010. Two secret shopper calls were placed in November 2009; both calls were answered by a person after two – three rings; calls were transferred to the appropriate person. <i>All documents and data results reported were reviewed and validated.</i>			
3. 100% of child care providers shall be proactively informed of complaint procedures, leading to formal, established grievance procedures.	BCL Reported Results Actual <u>Number</u> Served	ELC Review Results validated?	Action needed?
	3.a. Number of child care providers served: <u>231</u>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <i>If <u>yes</u> see row</i>

	3.b. Number of said provider receiving information on complaint procedures: <u>231</u>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<i>below for details.</i>
	3.c. Percent achieved: <u>100%</u>	<input checked="" type="checkbox"/> Met <input type="checkbox"/> Not Met	
<p><u>Contractor Responsibility:</u> Report to the Coalition any and all complaints that trigger the initiation of a formal grievance process and the resolution, or to request Coalition guidance on specific reporting standards. In case of dispute, the Coalition shall make the final determination.</p>			
<p><u>Contractor Responsibility:</u> Provide guidance/parameters to the Coalition on the hearing process (due process) for those arrangements that are out of compliance.</p>			
<p>Service Provider annual review: Briefly describe any successes or challenges in delivering this service. <i>CCLE has provided providers with statement on inspection report regarding complaint procedures.</i></p>			
<p>Documents to be ready for ELC on-site annual review: (1) Copy of <i>BCCCLE External Complaints Policy and Procedures</i> (2) Copies of any complaints received that activate grievances and results of resolution (3) Copies of guidance/parameters provided to Coalition on hearing due process; (4) Broward County Child Care Ordinance Sec.7-11.11g (Violations and Penalties); (4) Health and Safety Checklist for Informal Providers; (5) VPK Information Gathering Form</p>			
<p><u>ELC review comments:</u> Reviewed <i>BCCCLE External Complaints Policy and Procedures</i> that state that “it is the policy of CCLE to provide all customers with a formal mechanism for expressing and resolving complaints and concern.” All customers of BCCCLE are “entitled to provide input in the form of a complaint or concern and receive a response.” Reviewed <i>Broward County Child Care Ordinance Sec 7-11.11</i> which includes the following: “All requests for hearings shall be addressed and furnished to the Broward County Child Care Licensing and Enforcement Section, 2995 North Dixie Highway, Fort Lauderdale, Florida 33334, Attention: Hearings.” Monitored child care providers do receive printed information on the established procedure. Reviewed <i>Health and Safety Checklist for Informal Providers</i> which reflects printed information related to grievances. Reviewed <i>VPK Information Gathering Form</i> and the disclaimer line on the bottom which reads “Providers have the right to appeal the findings of this inspection report and monitoring, according to established procedures as a VPK Program. Please phone 954-537-2800.” Reviewed list of 231 unduplicated VPK child care providers who received monitoring visits during 2009-2010. <i>All documents and data results reported were reviewed and validated.</i></p>			
<p>4. 100% of formal service linkage agreements and procedures that are approved by the Coalition, with any and all Early Care and Education System Providers and pertinent</p>	<p>ELC Review</p>	<p>Action needed?</p>	

<p>community partners shall be developed and reduced to writing within thirty (30) days after the date of execution of this Contract in order to coordinate services and prevent duplication, and shall be implemented, followed, and revised as needed. This paragraph shall be inclusive of the links to the Broward County Child Care Licensing and enforcement Division regarding communication about change in status of or critical incident with any child care provider. Linkage agreements shall be actively implemented and maintained throughout the service year.</p>	<input checked="" type="checkbox"/> Met <input type="checkbox"/> Not Met	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <i>If <u>yes</u> see row below for details.</i>
<p><u>Contractor responsibility:</u> Participate in the development, implementation, and maintenance of formal service linkage agreements and procedures with any and all other Service Provider(s) of early learning services and related community providers as necessary.</p>		
<p>Service provider annual review: Please note the organization with whom linkage agreements/MOUs were executed and any successes/challenges with achieving the outcome. <i>CCLE has executed a MOU agreement with Family Central, Inc. successfully.</i></p>		
<p>Documents to be ready for ELC on-site annual review: Copies of all signed and dated formal service linkage agreements/MOUs.</p>		
<p><u>ELC review comments:</u> Reviewed one (1) signed and dated Memorandum of Agreement with Family Central, Inc.; dated July 15, 2009 and signed July 28, 2009. The MOU was developed and reduced to writing within thirty (30) days after the date of execution of this Contract and was implemented, followed, and revised as needed. The BCL-MON-10-ELC4-2 contract was fully executed on June 30, 2009.</p>		
<p>5. 100% participation in monthly Early Care and Education system coordination team meetings shall occur by a representative of the Contractor and all services shall be actively and successfully coordinated with system partners and with the Coalition.</p>	<p>ELC Review</p>	<p>Action needed?</p>
	<input checked="" type="checkbox"/> Met <input type="checkbox"/> Not Met	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <i>If <u>yes</u> see row below for details.</i>
<p><u>Contractor Responsibility:</u> Meet on a monthly basis with the Coalition and any and all other Service Provider(s) of early learning services and related community providers as part of an on-going system coordination team, in order to enhance the delivery of comprehensive, integrated services and supports.</p>		
<p><u>Contractor Responsibility:</u> Attend the Coalition’s annual meeting; participate in community collaborative groups; and attend the Coalition’s in-service training sessions to the greatest extent possible and consistent with funding, program description and design.</p>		
<p>Service provider annual review: Please submit a list of associations and community collaborate groups that ELC 4-2 participated in 2009-2010. <i>CCLE collaborated with NSU, School Board, DCF, FCI, five (5) local licensing agencies, BCHD, Coalition, CSC, and BSO.</i></p>		
<p>Documents to be ready for ELC on-site annual review: ELC will review its monthly sign-in sheets for attendance at system coordination team meetings along with meeting agendas and any other attendance documentation.</p>		
<p><u>ELC review comments:</u> Reviewed contract obligation checklist and system coordination team meeting attendance records. The ELC 4-2 Service</p>		

Provider attended all monthly staff coordination team meetings and/or had a representative in attendance; eleven (11) meetings (100%) were attended by ELC 4-2 Staff.

6. 100% of complaints or observations concerning potential abuse, neglect, or abandonment shall be reported to the Department of Children and Families and the Coalition shall be notified of said reports, within the applicable confidentiality regulations.	BCL Reported Results Actual <u>Number</u> Served	ELC Review Results validated?	Action needed?
	7.a. Number of complaints received: <u>0</u>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <i>If <u>yes</u> see row below for details.</i>
	7.b. Number of complaints reported to FLDCF: <u>0</u>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
	7.c. Percent achieved: <u>N/A%</u>	<input checked="" type="checkbox"/> Met <input type="checkbox"/> Not Met	

Service Provider annual review: Comment if needed.

Documents to be ready for ELC on-site annual review: 1) Protocol for tracking/recording complaints/observations; and 2) Copies of complaints/observations received by ELC 4-2 staff and documentation showing each have been reported to DCF.

ELC review comments: Reviewed *ELC 4-2 VPK/Informal Provider Child Abuse Reporting Procedures* and the *ELC 4-2 VPK/Informal Provider Child Abuse Reporting Log* for evidence of complaints or observations concerning potential abuse, neglect, or abandonment reported to the Florida Department of Children and Families, including notification of said reports (within the applicable confidentiality regulations) to the Coalition. No complaints or observations concerning potential abuse, neglect, or abandonment from VPK or Informal Providers were received during the 2009-2010 contract year. ***All documents and data results reported were reviewed and validated.***

7. 100% of complaints received, or observations, concerning potential child care licensing violations shall be tracked and reported to the appropriate department at Broward County Child Care Licensing and Enforcement and feedback on the outcome from Broward County Child Care Licensing and Enforcement shall be promptly documented.	BCL Reported Results Actual <u>Number</u> Served	ELC Review Results validated?	Action needed?
	8.a. Number of complaints received: <u>4</u>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <i>If <u>yes</u> see row below for details.</i>
	8.b. Number of complaints tracked and reported to appropriate department at BCCCLE with outcome documented: <u>4</u>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
	8.c. Percent achieved: <u>100%</u>	<input checked="" type="checkbox"/> Met <input type="checkbox"/> Not Met	

Service Provider annual review: Briefly describe any successes/challenges with achieving this outcome. *CCLE was successful in reporting all potential licensing violations to the appropriate department for the County and received documented feedback.*

Documents to be ready for ELC on-site annual review: 1) Protocol for tracking/recording complaints/observations; 2) Child Care

Facility/Home Licensing Complaint Procedures; and 3) Child Care Facility/Home Licensing Complaints Log which documents licensing complaints and feedback.			
ELC review comments: Reviewed ELC 4-2 <i>Child Care Facility/Home Licensing Complaint Procedures</i> and the ELC 4-2 <i>Child Care Facility/Home Licensing Complaints Log</i> . Reviewed ELC 4-2 <i>Child Care Facility/Home Licensing Complaints log</i> with four (4) complaints or observations concerning potential child care licensing violation complaints from VPK Providers; four (4) complaints were tracked and outcome documented (100%) during the 2009-2010 contract year. <i>All documents and data results reported were reviewed and validated.</i>			
8. 100% of all other concerns about early care and education providers shall be referred to the Service Provider(s) providing Resource and referral and Family Education and Supports (ELC 1), Eligibility Determination, Application Processing, Slot Management, and Provider Payment (ELC 2), Quality Improvement Supports (ELC 3 and ELC 6) and/or Quality Assurance (ELC 4-1) as appropriate and feedback on the outcomes shall be documented.	BCL Reported Results	ELC Review	Action needed?
	Actual <u>Number</u> Served	<i>Results validated?</i>	
	9.a. Number of provider complaints received: <u>0</u>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <i>If <u>yes</u> see row below for details.</i>
	9.b. Number of said concerns referred to appropriate ECE system service provider with feedback documented: <u>0</u>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
9.c. Percent achieved: <u>0%</u>	<input checked="" type="checkbox"/> Met <input type="checkbox"/> Not Met		
Service Provider annual review: Briefly describe any successes/challenges with achieving this outcome. <i>CCLE did not have any concerns about early care and education providers to make referrals to appropriate Service Providers.</i>			
Documents to be ready for ELC on-site annual review: 1) Early Care and Education Referral Concerns Log; 2) Supporting documentation for referral and feedback on outcomes; and 3) Early Care and Education Referral Policy and Procedures for tracking/recording concerns/complaints.			
ELC review comments: Reviewed ELC 4-2 <i>Early Care and Education Referral Procedures</i> and the ELC 4-2 <i>Early Care and Education Referral Concerns Log</i> . There were no other concerns about early care and education providers referred to the ELC 1, ELC 2, ELC 3, ELC 4, or ELC 5 Service Provider during the fiscal year. <i>All documents and data results reported were reviewed and validated.</i>			
9. 100% of required data and reports shall be collected, input, and tracked in accordance with State of Florida and Coalition standards and requirements and reports including any ad hoc data and report requests made by the Coalition, shall be delivered complete and on time as mutually agreed.	ELC Review		Action needed?
	<input checked="" type="checkbox"/> Met <input type="checkbox"/> Not Met		<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <i>If <u>yes</u> see row below for details.</i>
Contractor responsibility: Provide monthly service reports and quarterly and annual summary reports on service data and performance standards, which include data analysis, demographic statistics and any applicable projections and recommendations to the Coalition.			
Service Provider annual review: Comment if needed.			

Documents to be ready for ELC on-site annual review: Note: ELC will review its own Contract Obligations Checklist for evidence of monthly, quarterly, and annual reports, as well as any requested ad hoc data/reports delivered complete and on time.

ELC review comments: Reviewed Coalition’s ELC 4-2 Contract Obligation Checklist to confirm reports were delivered by contractual commitment dates. The ELC 4-2 Contract Obligation Checklist revealed that 100% of required data was collected, input and tracked in accordance with Coalition standards and requirements and reports were delivered complete and on time and 100% of ad hoc data and report requests were provided in a timely manner; twelve (12) monthly key data activity reports, three (3) quarterly and one (1) annual report. Sixteen (16) reports were due to the Coalition; fifteen (15) reports were submitted complete and on time, one annual report was late with approval from ELC staff.

10. 100% of invoices submitted to the Coalition for processing shall be submitted on time and shall accurately meet the requirements of the approved cost allocation plan and contractual budget.	ELC Review	Action needed?
	<input checked="" type="checkbox"/> Met <input type="checkbox"/> Not Met	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <i>If <u>yes</u> see row below for details.</i>

Service Provider annual review: Comment if needed.

Documents to be ready for ELC on-site annual review: Fiscal department will review invoices submitted for timely submission.

ELC review comments: Reviewed invoice submission log from the ELC fiscal department. All invoices were submitted on time and accurately met the requirements of the approved cost allocation plan.

11. The Contractor’s forecasts, trend analyses, and budget management shall result in fiscal year budgets that are balanced, with no deficit spending and with no significant surplus of funds that have been contracted for services.	ELC Review	Action needed?
	<input checked="" type="checkbox"/> Met <input type="checkbox"/> Not Met	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <i>If <u>yes</u> see row below for details.</i>

Service Provider annual review: Comment if needed.

Documents to be ready for ELC on-site annual review: ELC fiscal department will review budgets for deficit spending and significant surplus of funds.

ELC review comments: Reviewed contract budget and amendments in comparison to the actual expenditures for fiscal year 2009-2010. Budget Management Objectives were met within a reasonable range of 10%.

HEALTH AND SAFETY MONITORING

1. 100% verified/approved informal providers shall be	BCL Reported Results	ELC Review	Action needed?
--	-----------------------------	-------------------	-----------------------

scheduled for monitoring if Contractor is able to contact the provider by telephone or U.S. mail. If Contractor is unable to contact an informal provider, a report shall be prepared and delivered to the Eligibility Determination and Application Processing, Slot Management and Provider Payment (ELC 2) Service Provider.	Actual Number Served	<i>Results validated?</i>	
	1.a. Number of total informal providers: <u>0</u>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <i>If <u>yes</u> see row below for details.</i>
	1.b. Number of informal successfully contacted for monitoring: <u>0</u>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
	1.c. Number of informal providers successfully scheduled for monitoring: <u>0</u>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
	1.d. Percent Achieved: <u>100%</u>	<input checked="" type="checkbox"/> Met <input type="checkbox"/> Not Met	
1.e. Report delivered to ELC 2 Service Provider for providers who could not be reached: Date: <u>N/A</u> Date: <u>N/A</u>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		
<u>Contractor Responsibility:</u> Establish system of communication with the <i>Eligibility Determination and Application Processing, Slot Management and Provider Payment (ELC 2) Service Provider</i> to receive current data regarding the informal child care providers caring for children receiving financial assistance from school readiness funds.			
<u>Contractor Responsibility:</u> Schedule informal child care providers who are verified/approved by the <i>Eligibility Determination, Application Processing, Slot Management, and Provider Payment (ELC 2) Service Provider</i> for monitoring.			
<u>Contractor Responsibility:</u> Notify the <i>Eligibility Determination, Application Processing, Slot Management and Provider Payment (ELC 2) Service Provider</i> and the Coalition staff in writing, if the informal child care provider is unavailable by phone or U.S. Mail.			
Service Provider annual review: Briefly describe any successes/challenges with achieving this outcome. <i>CCLE did not have any approved Informal Providers for the FY10 to conduct monitoring inspections.</i>			
Documents to be ready for ELC on-site annual review: 1) List of verified Informal Providers who were scheduled for monitoring; 2) Copy of communication to the Coalition describing the process of contacting Informal Providers; and 3) Copy of Health and Safety Checklist for Informal Providers.			
<u>ELC review comments:</u> Reviewed ELC 4-2 <i>Quarterly Informal Provider Aggregated Data Report FY 0910</i> . There were no informal providers participating during the 2009-2010 fiscal year to conduct monitoring visits. <i>All documents and data results reported were reviewed and</i>			

<i>validated.</i>			
2. 100% of scheduled informal child care providers shall receive a visit and inspection if they are present at the time of the appointment and if Contractor is permitted on site to inspect. If the provider is not present at the appointment time, Contractor shall attempt to reschedule only one (1) time. If Contractor is not permitted to inspect at the appointment time, the Coalition shall be notified immediately.	BCL Reported Results Actual <u>Number</u> Served	ELC Review <i>Results validated?</i>	Action needed?
	2.a. Number of scheduled informal providers: <u>0</u>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <i>If <u>yes</u> see row below for details.</i>
	2.b. Number of scheduled informal providers who received a visit: <u>0</u>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
	2.c. Number of scheduled informal providers who did not allow inspection: <u>N/A</u>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
	2.d. Percent Achieved: <u>0%</u>	<input checked="" type="checkbox"/> Met <input type="checkbox"/> Not Met	
<u>Contractor Responsibility:</u> Offer materials and resources and a Health and Safety package to informal child care providers during initial inspections to assist in providing health and safe environments.			
<u>Contractor Responsibility:</u> Report and track Health and Safety Monitoring results of informal child care providers who care for children receiving financial assistance from school readiness funds.			
<u>Contractor Responsibility:</u> Report non-compliance issues to the <i>Eligibility Determination, Application Processing, Slot Management and Provider Payment</i> (ELC 2) Service Provider and Coalition staff.			
Service Provider annual review: Comment if needed.			
Documents to be ready for ELC on-site annual review: 1) A list of informal providers, who are scheduled, received a visit and were offered materials and resources; and 2) Completed monitoring reports on Informal Providers.			
<u>ELC review comments:</u> Reviewed ELC 4-2 <i>Quarterly Informal Provider Aggregated Data Report FY 0910</i> . There were no informal providers participating during the 0910 fiscal year. <i>All documents and data results reported were reviewed and validated.</i>			
3. 100% of complaints related to monitored informal child care providers shall be reviewed and investigated in accordance with procedures mutually agreed upon by the Coalition and the Contractor.	BCL Reported Results Actual <u>Number</u> Served	ELC Review <i>Results validated?</i>	Action needed?
	3.a. Number of complaints received relating to monitored informal child care providers: <u>0</u>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <i>If <u>yes</u> see row</i>

	3.b. Number of said complaints reviewed and investigated with appropriate procedures: <u>0</u>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<i>below for details.</i>
	3.c. Percent achieved: <u>100%</u>	<input checked="" type="checkbox"/> Met <input type="checkbox"/> Not Met	
Service Provider annual review: Comment if needed.			
Documents to be ready for ELC on-site annual review: 1) Informal Provider Compliant Procedures; and 2) Informal Provider Complaints Log of monitored informal providers who were investigated accordance to procedures.			
ELC review comments: Reviewed ELC 4-2 <i>Informal Provider Compliant Procedures</i> and the <i>Informal Provider Complaints Log</i> ; No complaints were received by ELC 4-2 in 2009-2010. All documents and data results reported were reviewed and validated.			
4. 100% of inspection reports shall be reported as data becomes available, to the Eligibility Determination, Application Processing, Slot Management and Provider Payment (ELC 2) Service Provider in the mutually agreed upon format identified in the linkage agreement.	BCL Reported Results Actual Number Served	ELC Review Results validated?	Action needed?
	4.a. Number of inspection reports generated: <u>0</u>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <i>If yes see row below for details.</i>
	4.b. Number of inspection reports shared with the ELC 2 Service Provider: <u>0</u>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
	4.c. Percent Achieved: <u>100%</u>	<input checked="" type="checkbox"/> Met <input type="checkbox"/> Not Met	
Service Provider annual review: Comment if needed.			
Documents to be ready for ELC on-site annual review: Documentation of inspection reports shared with the ELC 2 Service Provider as identified in the MOU.			
ELC review comments: Reviewed ELC 4-2 <i>Listing of Informal Providers; Quarterly Informal Provider Aggregated Data Report FY 0910</i> . There were no informal providers participating during the 2009-2010 fiscal year. All documents and data results reported were reviewed and validated.			
5. One set of aggregate provider data shall be provided quarterly to the Coalition and the Eligibility Determination, Application Processing, Slot Management and Provider Payment (ELC 2)	BCL Reported Results Actual Number Served	ELC Review Results validated?	Action needed?
	Data Report	Date provided to ELC 2 &	

Service Provider.		Coalition	<input checked="" type="checkbox"/> Met <input type="checkbox"/> Not Met	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No If <u>yes</u> see row below for details.
	4.a. 1st quarter	<u>9/14/2009</u>		
	4.b. 2nd quarter	<u>1/12/2010</u>		
	4.c. 3rd quarter	<u>4/14/2010</u>		
	4.d. 4th quarter	<u>6/14/2010</u>		

Contractor Responsibility: Provide useable data for each informal child care provider, around which the *Eligibility Determination, Application Processing, Slot Management and Provider Payment* (ELC 2) Service Provider can organize services and supports.

Service Provider annual review: Please comment on process. *CCLE provides to the Coalition and Service Provider on a quarterly basis an electronic excel document of aggregated data.*

Documents to be ready for ELC on-site annual review: 1) Quarterly Aggregate Provider Data Reports; and 2) Communication (email/letter) showing the date Aggregate Provider data submitted to the ELC 2 Service Provider for services to informal care arrangements.

ELC review comments: Reviewed quarterly/annual reports submitted to the Coalition for evidence of submitted data. Reviewed the *Quarterly Key Indicators* submitted to the Coalition on time and revealed monitoring activity occurred on a regular basis between July 2009 and June 2010. Reviewed monthly VPKMON Provider Invoices received by Coalition Staff. **There were no informal providers participating during the 2009-2010 fiscal year.** Quarterly reports indicated that aggregate data had been transmitted to the ELC 2 Service Provider and the Coalition. **Evidence of aggregate provider data provided quarterly to the ELC 2 Service Provider was reviewed.**

VOLUNTARY PRE-KINDERGARTEN MONITORING

1. 100% of selected VPK providers shall receive an unannounced visit from Contractor to inspect the elements of the program identified by AWI/OEL VPK Monitoring Instrument, including licensing or accreditation status, group size and child ratios, director credentials, instructor's credentials and background screening, and instructional hours of the VPK classroom.	BCL Reported Results	ELC Review	Action needed?	
	Actual <u>Number Served</u>	Results validated?		
	1.a. Number of selected VPK providers: <u>236</u>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	100% 46/46 N=46 <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No If <u>yes</u> see row below for details.
	1.b. Number of said VPK providers who received an unannounced visit: <u>231</u>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		
1.c. Percent achieved: <u>98%</u>	<input checked="" type="checkbox"/> Substantially Met <input type="checkbox"/> Not Met			

Contractor Responsibility: Establish system of communication with the *Eligibility Determination, Application Processing, Slot Management*

<i>and Provider Payment (ELC 2) Service Provider to receive current data regarding the VPK providers selected to be monitored.</i>			
<u>Contractor Responsibility:</u> Monitor VPK providers with unannounced visits to obtain data identified by AWI/OEL, including licensing or accreditation status, group size and child ratios, director credentials, instructor's credentials and background screening, and instructional hours of the VPK classroom.			
<u>Contractor Responsibility:</u> Coordinate with the <i>Eligibility Determination, Application Processing, Slot Management and Provider Payment (ELC 2) Service Provider</i> to ensure that VPK providers for whom they conduct monitoring of attendance verification, also receive VPK monitoring according to Chapter 1002, Florida Statutes as outlined in the contract.			
Service provider annual review: Comment if needed.			
Documents to be ready for on-site annual review: 1) VPK Information Gathering form; 2) Complete list of all VPK providers who received an unannounced visit and monitored as specified in the above objective for FY 09/10; 3) Copy of procedures for system of communication of data regarding VPK Providers with ELC2 Service Provider; and 4) Copies of all inspection reports from all unannounced monitoring visits to VPK providers for 09/10.			
<u>ELC review comments:</u> Reviewed ELC 4-2 <i>VPK Information Gathering</i> form used for VPK Monitoring with areas to record seven required elements of (1) licensing; (2) accreditation status; (3) group size/ratios; (4) director credentials; (5) instructor credentials; (6) background screenings; and (7) hours of program. Reviewed list of VPK providers who were identified by the ELC 2 Service Provider to receive attendance and unannounced on-site monitoring visits according to the contract requirement (fifty percent (50%) of the 472 VPK providers). Reviewed summary list of 231 VPK Providers (98%) monitored during FY 2009-2010; five (5) providers were identified as receiving follow-up visits for non-compliance concerns. <i>All documents and data results reported were reviewed and validated.</i> Reviewed 46 VPK provider files selected as the sample for monitoring for evidence of unannounced visits in 2009-2010: <ul style="list-style-type: none"> • 46 VPK provider files (100%) contained completed inspection reports indicating unannounced visits. 			
<u>Adjustment Required:</u> <i>In order to ensure that this objective is met for the 2010 – 2011 fiscal year, the Service Provider shall submit to the Coalition by January 17, 2011, a plan of action to ensure that 100% of the VPK providers selected for attendance monitoring by ELC 2 receive an on-site monitoring visit for the appropriate VPK program, by June 30, 2011.</i>			
Service Provider plan to meet compliance (HOW) Explain: <i>CCLE will submit to the Coalition by January 17, 2011, a plan of action to ensure that 100% of all VPK providers selected for attendance monitoring by ELC 2 receive an on-site monitoring visit for the appropriate VPK program, by June 30, 2011 through quarterly tracking of VPK inspections with the supervisor and validate with the ELC 2 Service Provider the total number of approved VPK providers for 2011.</i>			
2. 100% of complaints related to monitored VPK providers shall be reviewed and investigated in	BCL Reported Results Actual <u>Number</u> Served	ELC Review <i>Results validated?</i>	Action needed?

accordance with procedures mutually agreed by the Coalition and the Contractor.	2.a. Number of complaints received related to VPK providers: <u>3</u>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <i>If <u>yes</u> see row below for details.</i>
	2.b. Number of said complaints reviewed and investigated according to procedures: <u>3</u>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
	2.c. Percent achieved: <u>100%</u>	<input checked="" type="checkbox"/> Met <input type="checkbox"/> Not Met	
Service Provider annual review: Comment if needed.			
Documents to be ready for ELC on-site annual review: 1) VPK Provider Compliant Procedures; and 2) VPK Provider Compliant Provider Log that reflects results of investigations.			
ELC review comments: Reviewed ELC 4-2 VPK Provider Compliant Procedures and Provider Log, Three (3) complaints were received by the ELC 4-2 Service Provider regarding VPK providers and investigated according to procedures. <i>All documents and data results reported were reviewed and validated.</i>			
3. 100% of inspection reports shall be reported as data becomes available, to the <i>Eligibility Determination and Application Processing, Slot Management and Provider Payment (ELC 2) Service Provider in the mutually agreed upon format identified in the linkage agreement.</i>	BCL Reported Results Actual <u>Number</u> Served	ELC Review Results validated?	Action needed?
	3.a. Number of inspection reports generated: <u>231</u>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	100% 46/46
	3.b. Number of said reports shared with the ELC 2 Service Provider: <u>231</u>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	N=46 <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <i>If <u>yes</u> see row below for details.</i>
	3.c. Percent Achieved: <u>100%</u>	<input checked="" type="checkbox"/> Met <input type="checkbox"/> Not Met	
Service Provider annual review: Comment if needed.			
Documents to be ready for ELC on-site annual review: Documentation of inspection reports shared with the ELC 2 Service Provider as identified in the MOU.			
ELC review comments: Reviewed the <i>VPK Information Gathering Form</i> used to verify compliance of the seven (7) required monitored element. Reviewed <i>VPK Information Gathering Form</i> which is now in triplicate form with one copy of each inspection reports available to forward to the ELC 2 Service Provider to be filed in the appropriate VPK Provider file. Reviewed VPK Monitoring Non-Compliance Report FY 2009-2010 that was sent to Coalition staff and the ELC 2 Service Provider in July 2010 and reflects seventeen (17) potential issues. Evidence of 231 inspection reports reported to the ELC 2 Service Provider were reviewed and validated.			

Reviewed 46 inspection reports (100%) reported to the Eligibility Determination and Application Processing, Slot Management and Provider Payment (ELC 2) Service Provider as data became available; three (3) inspection reports (7%) indicated potential issues.

4. One set of aggregate provider data shall be provided quarterly to the Coalition and <i>Eligibility Determination and Application Processing, Slot Management and Provider Payment (ELC 2) Service Provider.</i>	BCL Reported Results Actual <u>Number</u> Served		ELC Review <i>Results validated?</i>	Action needed?
	Data Report	Date provided to ELC 2 and the Coalition	<input checked="" type="checkbox"/> Met <input type="checkbox"/> Not Met	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <i>If <u>yes</u> see row below for details.</i>
	4.a. 1st quarter	<u>9/14/2009</u>		
	4.a. 2nd quarter	<u>1/12/2010</u>		
	4.b. 3rd quarter	<u>4/14/2010</u>		
4.c. 4th quarter	<u>6/14/2010</u>			

Contractor Responsibility: Report and track required monitoring elements of VPK Providers in a Coalition approved database.

Contractor Responsibility: Provide a written report for each VPK provider, to the *Eligibility Determination, Application Processing, Slot Management and Provider Payment (ELC 2) Service Provider* for follow-up and/or for inclusion in the VPK provider's file.

Contractor Responsibility: Provide a written report of non-compliance issues to the *Eligibility Determination, Application Processing, Slot Management and Provider Payment (ELC 2) Service Provider* and Coalition staff.

Service Provider annual review: Comment if needed.

Documents to be ready for ELC on-site annual review: 1) Quarterly Aggregate Provider Data Reports; 2) Documentation of reports shared with the ELC 2 Service Provider as identified in the MOU; and 3) Documentation of data shared with Coalition.

ELC review comments: Reviewed quarterly/annual reports submitted to the Coalition for evidence of submitted data. Reviewed the *Quarterly Key Indicators* submitted to the Coalition on time and revealed monitoring activity occurred on a regular basis between July 2009 and June 2010. Reviewed monthly VPKMON Provider Invoices received by Coalition Staff. Reviewed letter to Coalition staff dated July 14, 2010, with spreadsheet for 231 VPK monitored providers.

Monthly VPKMON Provider Invoices received by Coalition Staff included a list of monitored providers. Quarterly reports indicated that aggregate data had been transmitted to the ELC 2 Service Provider and the Coalition. Evidence of aggregate provider data provided quarterly to the ELC 2 Service Provider *was reviewed*. Meetings held in July and October with the Coalition staff, ELC 4-2 Service Provider and the ELC 2 Service Provider determined the need for an improved system for transfer of data and has since been implemented.