

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

Monitoring Report  
**Contract: BCL-QRS-10-ELC4-1 Quality Assurance Services/Quality Rating System**  
*Broward County, Child Care Licensing and Enforcement*

**Monitors for Early Learning Coalition (ELC)**

Lisa Feeney, Senior Early Care and Education Program Specialist  
Jessica Novak, Early Care and Education Program Specialist  
Andrea Braynon, Chief Financial Officer  
Sandra Martinez, Accounting and HR Manager

**Broward County, Child Licensing and Enforcement (BCCCLE) Representative**

Anita Platt, Supervisor of Quality Rating Services

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/Quality Rating System** services in contract BCL-QRS-10-ELC4-1. **This report includes monitoring results of this contract.**

In addition to examining documentation related to performance objectives, Coalition Monitors conducted one (1) on-site observation of the Quality Rating Services to assess service delivery and technology usage; and conducted interviews with the QRIS Coordinator.

Prior to the monitoring visit, 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 73 providers participating in the Quality Rating System were tracked through the Coalition's early care and education system. **Of the 163 combined early care and education providers (Providers serving children receiving financial assistance from school readiness funds and QRS Providers receiving a rating according to the full 5 star protocol in 2009-2010), chosen and eligible for ELC 4-1 services, 115 providers (71%) received a Quality Rating between January 2006 and June 30, 2010; 20 received a full rating according to the 4 star protocol in 2006; 35 received a full rating according to the 4 star protocol and 3 received an ERS pre-assessment in 2006-2007; two (2) received a full rating according to the 4 star protocol and 37 received an ERS pre-assessment in 2007-2008; ten (10) received an ERS pre-assessment and ten (10) received a revised full rating according to the 5 star protocol in 2008-2009; and seven (7) received an ERS pre-assessment and 70 received the revised full rating according to the 5 star protocol between July 1, 2009 and June 30, 2010. Two hundred fourteen centers (214) and 24 homes were active in the Quality Counts system as of June 30<sup>th</sup>. Forty-four (44) of these providers (40%) were to receive a full rating according to the 5 star protocol during the contract year and were chosen for review in this monitoring.**

#### **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 with exception noted below:*

#### **Findings:**

- Page 5, Section 1.H. of the Standard Contract, entitled Sponsorship/Public Announcements, paragraph 2 has not been completely followed:
  - “2. If the sponsorship reference is in any written format, the words “Early Learning Coalition of Broward County, Inc.” and “State of Florida, Agency for Workforce Innovation” shall appear in the same size letters or type as the name of the CONTRACTOR. When issuing 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 CONTRACTORS 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. For purposes of complying with this section, the percentage and dollar amount of federal funds are those shown on Exhibit A to this Contract.”

#### **Corrective Action:**

*In order to ensure that this objective is met for 2010 – 2011 contract year, the ELC 4-1 Service Provider shall submit to Coalition staff by December 30, 2010, protocol that directs ELC 4-1 staff when issuing a statement, press release, request for proposal, bid solicitation, and other documents describing projects or programs funded in whole or in part under this contract, to 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 as indicated in Exhibit A of the contract.*

Examples of such statements are as follows:

- "Sponsorship by Early Learning Coalition of \_\_\_\_\_ and State of Florida, Agency for Workforce Innovation. \$ amount (\_\_\_%) Federal Funds, \$ amount (\_\_\_%) State Funds, [if necessary: \$ amount (\_\_\_%) local funds."
- "The *Service Provider* announces a special quality initiative for providers to receive books. Ninety percent of this initiative is funded through CCDF federal dollars in the amount of \$\_\_\_\_\_ and ten percent of this initiative is funded through *something else* in the amount of \$\_\_\_\_\_."

#### **Fiscal Review Summary:**

- ***Accounting Policies and Procedures* were reviewed and found to be in order and to meet required specifications.**
- ***General Ledger* testing indicated a 100% compliance rate related to the review of expenses and appropriate classification of transactions.**
- ***Payroll Records* testing 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. In the sampling, there were estimates for a vacant position and an adjustment for the budgeted amounts for interim staffing to actual salary.)

#### **Programmatic Review Summary:**

This contract focuses on the implementation of Broward County's Quality Rating services for early care and education sites delivered by the ELC 4-1 Service Provider. *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-QRS-10-ELC4-1 had fourteen (14) performance outcomes and two (2) program deliverables.**
- **93% of the performance outcomes were achieved; 50% of the program deliverables were met or substantially met; and 100% of contract responsibilities were met for the 2009-2010 contract.**
- **79 different early care and education practitioners from 64 different provider sites attended QRIS informational meetings; six (6) attended two (2) sessions (ERS and Portfolio Overviews), and one (1) attended two (2) Portfolio Overview sessions.**
- **One hundred one (101) early care and education providers received pre-assessments or 5 star ratings between July 1, 2009 and June 30, 2010; twenty-seven (27) centers and three (3) family child care homes received pre-assessments and seventy-one (71) sites received Star Ratings, with two (2) sites receiving re-ratings.**
- **Eighty eight (88) early care and education providers (87%) rated in 2009-2010 held Service Agreements to serve children receiving financial assistance from school readiness funds; and 78% serve children participating in VPK.**

- One hundred twenty (120) providers were rated according to the 5 star protocol in Broward as of 6/30/10; 83% received 3 Stars or more and 82% increased their ERS scores from the prior period.
- Since the initial implementation of the QRS protocol in Broward County (Jan 2005), quality baseline data has been obtained for 323 Broward County legally operating early care and education providers serving children birth to school-age; 26 providers closed since their initial rating/pre-assessment, 60 providers chose to opt-out of the program at the time the revised 5 star protocol was due, leaving 214 centers actively participate in Quality Counts Broward/QRIS. [39% of 554 centers and 11% of 209 family child care homes]
- Beginning August 11, 2009, the ELC 4-1 Service Provider contracted with the Children’s Forum to conduct ERS pre-assessments as necessary, to assist with scheduling anomalies.
- A linkage agreement with the ELC 2 Service Provider was developed and implemented to obtain a quarterly report of names, addresses, and executed dates of each Provider’s Service Agreement to track those providers who serve children receiving school readiness funds.
- In order to improve the delivery of Quality Rating Services in the 2011-2012 contract year, both parties will work together to add an annual update process for facilities receiving a rating according to the 5 star protocol to the ELC contract, in order to continue to strengthen QRIS.
- In order to improve reporting for accountability in the 2010-2011 contract year, the Coalition is requiring this Service Provider to:
  - Develop policies and procedures to review program plan for expenditures on a regular basis and develop implementation plan to release any under spent funds to the Coalition prior to year end through the Coalition’s budget modification process.

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

**Contract Annual Review**

Contract: **BCL-QRS-10-ELC4-1 Quality Assurance Services/Quality Rating System**

A. FEDERAL LAW REQUIREMENTS	ELC REVIEW
1. Does the Agency have a written Drug-Free Workplace Policy? <b>About Broward County (ABC’s of Broward County Employment 2010) page 9</b>	<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? <b>The posters are located on the main floor in the employee lunch room displayed on a bulletin board which is accessible to all employees.</b>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
3. Does the Agency have a written Non- Discrimination and Harassment Free Workplace Policy? <b>About Broward County (ABC's of Broward County Employment 2010) EEO page 11; Harassment page 12.</b>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
<b>ELC review comments:</b> Quality Assurance Services/Quality Rating System is located in the Broward County Human Services Administration Division of Child Care Licensing and Enforcement Section at the Broward County Family Success Center 10077 N.W. 29 <sup>th</sup> Street, Coral Springs, FL 33065. Agency Policies were reviewed and found to be in order and to meet required specifications.	
<b>B. CORPORATE DOCUMENTS</b>	<b>ELC REVIEW</b>
1. Does the Agency have an Accounting Policy and Procedures Manual? <b>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.</b>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
2. Are the Agency's By-laws available for review? <b>Broward County does not have By-laws since it is a governmental entity.</b>	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> N/A
3. Are the Agency's Articles of Incorporation available for review? <b>Broward County does not have Articles of Incorporation since it is a governmental entity.</b>	<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? <b>Reviewed organizational chart with names and positions.</b>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
5. Is there an Audit on File? <b>Reviewed a copy of the Single Audit Report for year ending September 30, 2009.</b>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
<b>ELC review comments:</b> Agency corporation documents were reviewed and found to be in order and to meet required specifications.	
<b>C. SPONSORSHIP/PUBLIC ANNOUNCEMENTS</b>	<b>ELC REVIEW</b>
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? <b>QRS Brochure</b>	<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"? <b>QRS Brochure, Flyer</b>	<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 Innovation, Office of Early Learning" in the same size letters or type as the name as the Contractor? <b>Yes.</b>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
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	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No

money, and (2) the dollar amount of federal funds for the project or program. Does the Contractor comply?	
<p><b>ELC review comments:</b> Reviewed QRS brochure and Flyer. Agency sponsorship/public announcements were all reviewed and contract items #4 was not found in documents describing the Quality Rating/Quality Counts Program. The following statements: (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 on any agency-wide or contract written materials were not included in the document.</p>	
<p><b>Corrective Action:</b> <i>In order to ensure that this objective is met for 2010 – 2011 contract year, the ELC 4-1 Service Provider shall submit to Coalition staff by January 17, 2011, protocol that directs ELC 4-1 staff to meet the 2010-2011 contract requirements for Sponsorship/Public Announcements including when issuing a statement, press release, request for proposal, bid solicitation, and other documents describing projects or programs funded in whole or in part under this contract, to 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 as indicated in Exhibit A of the contract.</i></p>	
<p><b>Service Provider plan to meet compliance (HOW) Explain:</b> <i>ELC 4-1 will put into place for the 2010-2011 contract year a process to ensure that this requirement is met. The current QRIS provider manual has been reprinted with the required wording inserted on page 18 of the document, prior to the beginning of the appendices.</i></p>	
<b>D. STAFFING</b>	<b>ELC REVIEW</b>
<p>1. Did the Contractor maintain sufficient and qualified staff to deliver the agreed upon services required by the Contract? [Exhibit B (B-3)] <b>Maintained seven (7) staff as required by Contract and matched organizational chart.</b></p>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
<p>2. Do names of personnel match positions listed in the budget? <b>Organizational charts match Exhibit B (form B-3)</b></p>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
<p>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? <b>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; BCCCLE has access to the County temporary personnel process to hired for 6 months, to simplify immediate hiring in case of turnover. Additionally, BCCCLE entered into a contract, beginning August 11, 2009 through August 10, 2010, with the Children’s Forum to conduct ERS pre-assessments as necessary, to assist with scheduling anomalies. The ITERS and ECERS tools are available in Spanish; if client comes into QRS office Spanish and Creole interpreters are available. In classrooms, teachers are bi-lingual in English and Spanish. (Translation Services are available for other languages as needed.)</b></p>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
<p>4. Did the Contractor provide and/or ensure continuous quality improvement training to 100% of its staff? <b>All staff participate in various County 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. All staff attended the annual ERSI reliability training.</b></p>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

<p>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. <b>N/A but would if an entry level position opportunity arose.</b></p>	<p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p>
<p><b><u>ELC review comments:</u> Staffing documentation was reviewed and found to be in order and met required specifications.</b></p>	
<p><b>E. BACKGROUND SCREENING</b></p>	<p><b>ELC REVIEW</b></p>
<p>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 days of employment in accordance with Section 435.03(1), Florida Statutes? <b>County has a risk management department and they do a 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.</b></p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p>
<p><b><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.</b></p>	
<p><b>F. KEY PERSONNEL/PERSONNEL POLICIES</b></p>	<p><b>ELC REVIEW</b></p>
<p>1. Does the Agency have written Personnel Policies? <b>On BC-Net Code of Ordinances, Internal Control Handbook, Volume 15 Human Resources.</b></p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p>
<p>2. Where are personnel folders located? <b>The HR office downtown keeps all employee records; however duplicate records are located on-site, with the Supervisor, in a locked file cabinet.</b></p>	
<p>3. Select a random number of personnel files and verify that each file contains the following: <b>Reviewed six (6) of seven (7) personnel files. Personnel file was reviewed and found to be in order and met required specifications.</b></p>	
<p>a. Job descriptions: <b>Six (6) personnel files did contain job descriptions.</b></p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p>
<p>b. Qualification documentation: <b>Six (6) personnel files did contain qualification documentation.</b></p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p>
<p>c. Evaluations: <b>Six (6) personnel files contained signed evaluations for 2009-2010.</b></p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p>
<p>d. Individual Non-Disclosure: <b>Six (6) personnel files contained a signed Data Security form signed December 21, 2009.</b></p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p>
<p>e. Confidentiality Certificate Form: <b>Six (6) personnel files contained a signed Data Security form signed November 2009.</b></p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p>
<p>4. Number of randomly selected personnel files: <b>Six (6)</b></p>	

5. Number of said files containing above mentioned criteria: <b>Six (6)</b>		
6. Where are the employee records located? <b>Employee records are located in the Supervisor's office.</b>		
7. Are employee records securely stored? <b>Employee records are stored within a locked cabinet in the Supervisor's office.</b>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
<b>ELC review comments:</b> Agency Personnel Policies and individual personnel files were reviewed and found to be in order and to meet required specifications.		
<b>G. INSURANCE</b>		<b>ELC REVIEW</b>
1. Review the Agency's Accord Form to determine which policies are in place.		
2. Where are the Agency Policies located? <b>Agency Policies are located in the Risk Management Department Governmental Center.</b>		
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. <b>Reviewed Broward County Children's Services Administrative Division (CSAD) 2009 Continuation Of Operations Plan</b>	<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. <b>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."</b>	Expiration Date: <b>Self-insured</b>	Amount: <b>\$100,000/200,000</b>
5. Unemployment Compensation Insurance:	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
6. General Liability: <b>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."</b>	Expiration Date: <b>Self-insured</b>	Amount: <b>\$100,000/\$200,000</b>
7. Professional Liability: <b>Per confirmation letter from BC Risk Management Division: "Self-Insured as per F.S. 440."</b>	Expiration Date: <b>Self-insured</b>	Amount: <b>\$100,000/\$200,000</b>
8. Property: <b>Per confirmation letter from BC Risk Management Division: "Broward</b>	Expiration Date:	Amount:

County is insured for property coverage through FM Global (Factory Mutual Insurance Company).”	2/1/2011	\$100,000/\$200,000
9. Automobile Liability: <b>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 auto insurance.”</b>	Expiration Date: <b>Self-insured</b>	Amount: <b>\$100,000/\$200,000</b>
<b><u>ELC review comments:</u> Agency Letter of Insurance was reviewed and found to be in order and to meet required specifications.</b>		
<b>H. CONFIDENTIAL INFORMATION AND SECURITY OBLIGATIONS</b>		<b>ELC REVIEW</b>
1. Does the Agency have policies to safeguard client confidentiality? <b>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 &amp; 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.</b>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
2. Does the Agency have protocols to protect computer based documents and records? <b>Internal Controls Handbook on BC-Net reviewed on-site contains Information Technology Procedures (Volume 15).</b>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
3. Do only the appropriate staff members have access to computerized records? <b>Internal Controls Handbook on BC-Net reviewed on-site contains Information Technology Procedures (Volume 15).</b>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
4. Does the Agency have a system for the maintenance of files? <b>Yes; Times 2, Speed Files system is locked in a cabinet where QRS provider files are filed alphabetically and by year of entrance into QRS.</b>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
<b><u>ELC review comments:</u> Agency Confidential Information and Security Obligations Corporate Documents were all reviewed and found to be in order and to meet required specifications.</b>		
<b>I. INCIDENT REPORTING</b>		<b>ELC REVIEW</b>
Child Abuse Reports made to the authorities and Coalition. <b>No child abuse reports this year.</b>	<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. <b>None to report.</b>	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
<b><u>ELC review comments:</u> Agency Incident Reporting was reviewed and found to be in order and to meet required specifications.</b>		

***Fiscal Performance Specification Annual Review and Assessment Instrument 2009-2010***

**Contract: BCL-QRS-10-ELC4-1 Quality Assurance Services/Quality Rating System**

<b>A. AUDITS AND RECORDS</b>	<b>ELC REVIEW</b>
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? <b>Yes</b>	<input checked="" type="checkbox"/> <b>Yes</b> <input type="checkbox"/> <b>No</b>
2. Does the Contractor ensure that accounting records reflect the separation of all programs/activities it administers or for which it receives funding? <b>Yes, through the use of funds and subfunds.</b>	<input checked="" type="checkbox"/> <b>Yes</b> <input type="checkbox"/> <b>No</b>
3. Does a clear audit trail exist showing the benefit received from each expenditure as it relates to the applicable program/activity? <b>Yes</b>	<input checked="" type="checkbox"/> <b>Yes</b> <input type="checkbox"/> <b>No</b>
<b><u>ELC review comments:</u></b>	
<b>B. EFFECTIVE USE OF FUNDS</b>	<b>ELC REVIEW</b>
1. Does the Chart of Accounts support proper allocation by having revenue and expense categories properly identified by program? <b>Yes</b>	<input checked="" type="checkbox"/> <b>Yes</b> <input type="checkbox"/> <b>No</b>
2. Does the Chart of Accounts have an unallowable cost code to properly identify unallowable costs? <b>Through the use of the general fund.</b>	<input checked="" type="checkbox"/> <b>Yes</b> <input type="checkbox"/> <b>No</b>
<b><u>ELC review comments:</u></b>	
<b>C. INVOICING</b>	<b>ELC REVIEW</b>
1. Are invoices submitted on a timely basis? <b>Yes</b>	<input checked="" type="checkbox"/> <b>Yes</b> <input type="checkbox"/> <b>No</b>
2. Are payments made to subcontractors within seven (7) working days after receipt of full or partial payments from the Coalition?	<input type="checkbox"/> <b>Yes</b> <input checked="" type="checkbox"/> <b>N/A</b>
3. Does the Agency maintain an Agency-wide budget by funding source and expenditure category? <b>Yes</b>	<input checked="" type="checkbox"/> <b>Yes</b> <input type="checkbox"/> <b>No</b>
4. Does the Agency have an accounting system to properly account for ELC related transactions (revenues and expenses)? <b>Advantage System is the financial system</b>	<input checked="" type="checkbox"/> <b>Yes</b> <input type="checkbox"/> <b>No</b>
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? <b>Yes</b>	
b. Do the attendance records and other required documentation flow through to the invoice correctly? <b>Not applicable</b>	
c. Is the invoice approved by authorized staff/management? <b>Yes</b>	

d. Does the invoice reflect third party payments? <b>Not applicable.</b>	
f. Are procedures established and implemented to eliminate duplicate billing? <b>The financial system eliminates duplications.</b>	
6. Number of invoices randomly selected: <b>Ten (10) SR expenditures were reviewed for the months of October 2009 and April 2010</b>	
7. Number of invoices meeting the above criteria: <b>The ten met the criteria.</b>	
<b><u>ELC review comments:</u></b>	
<b>D. INDIRECT COSTS</b>	<b>ELC REVIEW</b>
1. Review and document the Agency's Cost Allocation Methodology. <b>Not applicable</b>	
2. Is the cost allocation methodology in writing and is it representative of the allocation used? <b>Not applicable</b>	
<b><u>ELC review comments:</u></b>	
<b>E. BANK</b>	<b>ELC REVIEW</b>
1. Are bank statements reconciled monthly? <b>Yes, by the Broward County Finance Department</b>	<input checked="" type="checkbox"/> <b>Yes</b> <input type="checkbox"/> <b>No</b>
2. Are the bank statements reconciled by a person other than the person who receipts and disburses funds? <b>Yes</b>	<input checked="" type="checkbox"/> <b>Yes</b> <input type="checkbox"/> <b>No</b>
3. Does the immediate supervisor review the reconciliation? <b>Yes</b>	<input checked="" type="checkbox"/> <b>Yes</b> <input type="checkbox"/> <b>No</b>
4. Are adjustments properly documented and explained? <b>Yes (confirmed process verbally)</b>	<input checked="" type="checkbox"/> <b>Yes</b> <input type="checkbox"/> <b>No</b>
5. Does the subrecipient receive advances?	<input type="checkbox"/> <b>Yes</b> <input checked="" type="checkbox"/> <b>No</b>
6. If they received advances, are the funds in an interest bearing account? <b>Not applicable</b>	<input type="checkbox"/> <b>Yes</b> <input checked="" type="checkbox"/> <b>N/A</b>
7. Select 3 random months and verify above transactions	
8. What three months were randomly selected?	
9. Number of months meeting above transactions:	
<b><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.</b>	
<b>F. DELIVERABLES - REPORTS</b>	<b>ELC REVIEW</b>
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? <b>Year-to-Date expenditures are reviewed monthly</b>	<input checked="" type="checkbox"/> <b>Yes</b> <input type="checkbox"/> <b>No</b>
2. Did the actual up-to-date and complete revenue/expenditure report submitted follow the same format as the	<input checked="" type="checkbox"/> <b>Yes</b> <input type="checkbox"/> <b>No</b>

Contractor's approved budget and include all listed line items?	
3. Did the report contain a detailed explanation of variances from the approved budget? <b>Variances are reviewed monthly</b>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
<b>ELC review comments:</b> 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.	
<b>G. ASSIGNMENTS AND SUBCONTRACTS</b>	<b>ELC REVIEW</b>
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. <b>Not applicable</b>	<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
<b>ELC review comments:</b>	
<b>H. STAFFING</b>	<b>ELC REVIEW</b>
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
<b>ELC review comments:</b>	
<b>I. PAYROLL RECORDS</b>	<b>ELC REVIEW</b>
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: <b>October 3, 2009 and April 17, 2010 were the selected pay periods.</b>	<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: <b>There were three payroll records selected for review.</b>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
5. Number of said journals that included the above criteria: <b>The three payroll records met the criteria.</b>	<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? <b>Yes, all charges reviewed in the random selection process did match with the exception of the estimated salary increases that were included in the proposed budgets.</b>	<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? <b>Duties are separated by department function.</b>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
<b><u>ELC review comments:</u></b>	
<b>J. NONEXPENDABLE PROPERTY</b>	<b>ELC REVIEW</b>
1. Has the Inventory of Non-expendable Property been submitted for 2009-2010?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
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 checked="" type="checkbox"/> Yes <input type="checkbox"/> No
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 checked="" type="checkbox"/> Yes <input type="checkbox"/> No
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 included capital expenditures.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
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 checked="" type="checkbox"/> Yes <input type="checkbox"/> No
6. Are program fixed assets being used in accordance with the funding intent?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
7. Do asset additions and/or disposal procedures follow ELC's Fixed Asset policy/procedures?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
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
<b><u>ELC review comments:</u></b>	
<b>K. PERFORMANCE BOND</b>	<b>ELC REVIEW</b>
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

**ELC review comments:**

*Program Performance Specification Annual Review and Assessment Instrument 2009-2010*

**Contract: BCL-QRS-10-ELC4-1 Quality Assurance Services/Quality Rating System**

**A. MAJOR PROGRAM GOALS**

ELC 4-1 2009-2010 Quality Assurance Services:

1. To ensure that quality Early Care and Education Services are provided through the Coalition funded School Readiness and Voluntary Prekindergarten programs by monitoring all participating direct service 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 rating results.
2. To ensure that quality Early Care and Education services are available to the community by performing Ratings or Pre-assessments to those child care service providers volunteering to participate in the approved Quality Rating System.
3. To facilitate community and services planning and action around increasing the quality of services offered by providing data on Quality Assurance results and an analysis of same to the Coalition and other Early Care and Education System partners.

**Service Provider Directions:**

**Please fill in shaded sections using “track changes” tool.**

**Do not write in any other area.**

**B. BRIEF PROVIDER SUMMARY OF ELC4-1 SERVICES & HIGHLIGHTS**

**1. Staffing and Training:**

*There were three (3) full time assessors providing QRS services for ELC 4-1 during the full year. The fourth assessor left in September. A new assessor was hired in February who was in training for three months on the ITERS-R. Consultants from The Children’s Forum were used to complete some assessments during the year, primarily pre-assessments so new programs could enter Quality Counts. The annual reliability training with the representatives of the Environment Rating Scale Institute (ERSI) was held at the beginning of May. It was a very helpful learning experience for everyone as ECERS-R and ITERS-R items were discussed in depth to increase the understanding of the assessors.*

**2. Rating:**

*A total of 101 programs received ratings this year, three (3) family child care homes, 27 center pre-assessments, and 73 full ratings in centers, 2 of which received re-ratings. The breakdown of star ratings is: one 1 star; two 2 stars; three 2+ stars; fourteen 3 stars; sixteen 3+ stars; seven 4 stars; sixteen 4+ stars; three 5 stars; nine 5+ stars. This translates into: 1.4% at 1 star, 7% at 2/2+ stars, 42.5% at 3/3+ stars, 30% at*

4/4+ stars, and 18% at 5/5+ stars.

**3. Collaboration Activities:**

*The QRS program was involved in the following collaboration activities during the year:*

- *Multi-county QRIS Collaboration – continuing participation in conference calls and meetings to move forward on a statewide QRIS model.*
- *Broward VPK Conference planning and implementation – continued participation in planning for the 2010 conference by involvement with the facility selection, as well as agreeing to again oversee volunteer recruitment. Some assessors presented workshops.*
- *ELC System Partners group – continued active participation in the monthly meetings and coordinated the group’s participation in the activities of the CSC/SREL Workforce Development subcommittee.*
- *QRIS Broward Joint Provider Group – although an attempt was made to coordinate quarterly meetings, the many responsibilities of all parties precluded regular meetings, so only one was held, early in the year.*
- *School Readiness and Early Learning Committee – continued participation in this community based group under the auspices of the CSC, and co-chaired the Workforce Development subcommittee. This subcommittee worked on identifying entry level hiring and training opportunities for the ECE workforce through WorkForce One.*
- *One County Assessor completed Broward County facilitation training and provided facilitation several times for the department as well as for our joint meeting.*

**4. The Quality Rating and Improvement System:**

*As the plan for a statewide QRIS progresses through the work of the multi-county collaboration, Broward has come to be seen as a leader among many of our peers in other counties. The Workforce Development Committee found through the past year that state level planning along the same lines is ongoing and is closely related to the local activities. The program and the committee are following state level progress so as to remain in alignment. This includes development of a set of Core Competencies for practitioners, as well as professional development standards that relate back to the Core Competencies. We are watching the development of QRIS nationally as it grows and matures as a major method of building the ECE system around the country.*

**5.Support to Providers**

*During this fiscal year a total of 16 informational meetings were held. Ninety-two different providers attended. A portfolio information meeting was held monthly to assist the participants in understanding how to prepare the documentation needed for a full rating. In addition, two new classes were begun, an ERS Overview Workshop and A Quality Counts Orientation. Both were held twice, in January and again in April. These were successful, resulting in a better understanding of the program among the participants. It was decided, as a result, to implement these on a bi-monthly basis in the 10-11 year.*

**C. CLIENTS TO BE SERVED**

General Description	BCCCLE Reported Results	ELC Review	As verified by (provide at
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	Actual <u>Number</u> Served		time of on-site monitoring)												
(1) All legally operating early care and education providers who have a need to engage in informational Quality Rating System meetings including, but not limited to, QRS environment rating scale introduction meetings, QRS orientation meetings, full rating informational meetings.	1. Total number of informational Quality Rating System meetings: <u>16</u>  Number of different provider sites (unduplicated) who attended meetings: <u>64</u>	<input checked="" type="checkbox"/> Met <input type="checkbox"/> Not Met	Informational Meeting Sign-in Sheets and summary sheet of all meetings.												
<p><b>ELC review comments:</b> Reviewed summary of meetings, topics, dates held. Reviewed lists of attendees and sign-in sheets and their tallied provider sites. <i>All documents and data results reported were reviewed and validated.</i></p> <p>Reviewed sign-in sheets for 16 provider meetings held during the contract year for a total of 79 unduplicated providers from 64 unduplicated Child Care Center sites:</p> <ul style="list-style-type: none"> <li>• Twelve (12) 5-Star Overview (Portfolio) Workshops; and</li> <li>• Three (3) ERS Overview Workshops; and</li> <li>• One (1) Quality Counts Orientation meeting.</li> </ul>															
(2) The minimum number of legally operating early care and education providers to receive a Star Rating or Pre-assessment is <u>118</u> providers.  <i>October 20, 2009: contract deliverable amended from 100 providers.</i>  (a) Pre-assessment of early care and education providers shall include appropriate Environment Rating Scale assessments conducted in Family Child Care Homes and in one half of the classrooms in child care centers.  (b) Star Ratings shall include the appropriate Environment Rating Scale assessments conducted in Family Child Care Homes and in one half of the classrooms in child care centers plus review of documentation and program according to COALITION approved protocol.	2. Number of early care and education providers receiving a rating: <u>101+2</u>  <table border="1"> <thead> <tr> <th>a. Pre Assessed</th> <th>b. Star Rated</th> <th>c. Re-ratings</th> </tr> </thead> <tbody> <tr> <td><u>Centers</u> <u>27</u></td> <td><u>Centers</u> <u>73</u></td> <td><u>Centers</u> <u>2</u></td> </tr> <tr> <td><u>Homes</u> <u>3</u></td> <td><u>Homes</u> <u>0</u></td> <td><u>Homes</u> <u>0</u></td> </tr> <tr> <td><u>Total</u> <u>30</u></td> <td><u>Total</u> <u>73</u></td> <td><u>Total</u> <u>2</u></td> </tr> </tbody> </table> <p><i>Note: the 2 re rated facilities are</i></p>	a. Pre Assessed	b. Star Rated	c. Re-ratings	<u>Centers</u> <u>27</u>	<u>Centers</u> <u>73</u>	<u>Centers</u> <u>2</u>	<u>Homes</u> <u>3</u>	<u>Homes</u> <u>0</u>	<u>Homes</u> <u>0</u>	<u>Total</u> <u>30</u>	<u>Total</u> <u>73</u>	<u>Total</u> <u>2</u>	<input checked="" type="checkbox"/> Substantially Met* <input type="checkbox"/> Not Met  * Original Contract deliverable met; funds allocated in the 10/20/09 Amendment for additional ratings were found not to be necessary due to fewer facilities agreeing to the full revised 5 Star Rating than expected.	List of all early care and education providers to receive Quality Rating during 2009-2010FY including date and type of service delivered.
a. Pre Assessed	b. Star Rated	c. Re-ratings													
<u>Centers</u> <u>27</u>	<u>Centers</u> <u>73</u>	<u>Centers</u> <u>2</u>													
<u>Homes</u> <u>3</u>	<u>Homes</u> <u>0</u>	<u>Homes</u> <u>0</u>													
<u>Total</u> <u>30</u>	<u>Total</u> <u>73</u>	<u>Total</u> <u>2</u>													

(c) Up to 25 re-ratings may occur for interested early care and education programs that receive a two (2) star rating or lower on their Environment Rating Scales rating during the previous three contract years and have demonstrated improvement.	<i>included in the number of ‘Star Rated’ facilities (73).</i>		
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**Service provider annual review:** Briefly describe any successes and/or challenges in delivering this service. *All providers who were available and agreeable to being rated were rated during the year. Re-ratings were conducted in an effort to be responsive to providers who had concerns about their ratings.*

**ELC review comments:** Reviewed summary data report to ensure that the minimum number of licensed early care and education providers to receive ERS ratings was 118. Data revealed that one hundred seven (101) providers received Ratings by QRS in 2009-2010; twenty seven (27) centers and three (3) family child care homes received pre-assessments, seventy one (71) sites received Star Ratings and two (2) sites received re-ratings. This deliverable is substantially met at 87%. All documents and data results reported were reviewed and validated.

Reviewed 44 child care provider files to ensure that ratings occurred according to Coalition approved protocol, in one half of the classrooms using the appropriate scale for the age group.

- 44 child care provider files (100%) showed evidence that one half of the total active classrooms, at the time of monitoring, were reviewed; and 44 child care provider files (100%) indicated classrooms were rated with the proper age group tool.

**Note:** Since the first 5 star ratings were conducted in January 09, an Annual Review process for Star Rated sites was initiated in January 2010. Data indicated that annual reviews were submitted for 24 sites.

**No Action at this time:** On October 20, 2009, \$47,600 in ARRA funds were allocated to this contract to pay for “consulting as needed” for an additional 18 ratings (54+ classrooms). The rating workload never warranted the additional ratings and the funds were unused at year end. All ratings due were conducted during the contract year. The original contract deliverable of 100 ratings was exceeded and the projected additional ratings were found to be unnecessary.

**Service Provider response (if desired):**

**D. CONTRACTOR RESPONSIBILITIES**

<b>Did the contractor:</b>	<b>ELC Review</b>	<b>Action needed?</b>
1. Provide services that are sensitive to special needs populations and other at-risk population groups.	<input checked="" type="checkbox"/> Met <input type="checkbox"/> Not Met	
2. Provide services that are conveniently accessible by customers within Broward County by	<input checked="" type="checkbox"/> Met <input type="checkbox"/> Not Met	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No

co-locating and/or out-posting at related agencies, as possible. Provide service on days and at times which meet the needs of the customers.		<i>If <u>yes</u> see row below for details.</i>
3. Ensure and employ maximum use of available technology and information technology linkages, in order to enhance access to and provision of services in inclusive of, but not exclusive to, the use of state mandated database systems.	<input checked="" type="checkbox"/> <b>Met</b> <input type="checkbox"/> <b>Not Met</b>	
4. Establish and maintain efficient and effective external and internal communications systems including: (a) Delineated points of contact for the program; (b) The ability to receive faxes, e-mail, and electronic documents; (c) The establishment, maintenance, and publication of a Web site 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 Web site must denote membership in the Early Care and Education Service System and publicize and link to the COALITION's web site and Resource and Referral and Family Education and Supports (ELC 1) website, Eligibility Determination, Application Processing, Slot Management and Provider Payment (ELC 2) website, Quality Assurance Services (ELC 4) website, Quality Improvement Services (ELC 3) website, and Child Screening and Assessment (ELC 5) website, denote entry points for services; (d) The maintenance of an up-to-date listing with all relevant resource and referral databases and directories in Broward County and up-to-date listing in local phone directories; (e) The establishment of a telephone system with a Broward County phone number and with the number of lines necessary to adequately serve the needs of the public.	<input checked="" type="checkbox"/> <b>Met</b> <input type="checkbox"/> <b>Not Met</b>	

**Service provider annual review: Comment if needed.**

**ELC review comments: All documents concerning contractor responsibilities were reviewed and validated.**

**E. PERFORMANCE SPECIFICATIONS**

**CORE COMPONENT OBJECTIVES (OUTCOMES AND OUTPUTS) – GENERAL**

	<b>BCCCLE Reported Results Actual <u>Number</u> Served</b>	<b>ELC Review Results validated?</b>	<b>Action needed?</b>
<b>1. 75% of the early care and education providers who attend a quarterly QRIS informational meeting shall document at least three (3) benefits of being involved in the Broward QRIS program.</b>	1a. Number of ECE unduplicated <b>provider sites</b> who attended quarterly informational meetings: <b><u>64 sites</u></b>	<input checked="" type="checkbox"/> <b>Yes</b> <input type="checkbox"/> <b>No</b>	<input type="checkbox"/> <b>Yes</b> <input checked="" type="checkbox"/> <b>No</b>  <i>If <u>yes</u> see row below for details.</i>
	1.b. Number of ECE duplicated <b>provider staff</b> who attended quarterly		

	informational meetings: <u>86 staff; 79 unduplicated staff</u>		
	1c. Number of ECE providers at quarterly information meetings who documented at least 3 benefits of being involved in Broward QRIS: <u>82 of 86 staff</u>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
	1d. Percent achieved: <u>95%</u>	<input checked="" type="checkbox"/> Met <input type="checkbox"/> Not Met	
<b>Service Provider Annual Review:</b> Comment if needed. <i>Implemented written evaluation for all QRS meetings.</i>			
<b>Documents to be ready for ELC on-site annual review:</b> 1) Attendee evaluations or surveys documenting three or more ways they would benefit from being involved in QRIS.			
<b>ELC review comments:</b> Reviewed 82 evaluation forms of 86 attendees at 16 informational meetings. Ninety-five percent (95%) of providers who attend a quarterly QRIS informational meeting documented at least three (3) benefits of being involved in the Broward QRIS program. <i>All documents and data results reported were reviewed and validated.</i>			
b. <b><u>Contractor Responsibility:</u></b> Follow the Coalition's approved prioritization and rationale for participation in the Quality Rating System, which can be used to focus available resources. Priorities may include, but are not limited to, the following: (a) Providers who serve children whose families receive school readiness funds; and (b) Providers who serve children birth to school age, with particular emphasis on providers who serve children birth up to the age of three; and/or (c) Providers who are located in zip codes that can be deemed at-risk from available statistical data.	<b>BCCCLE Reported Results</b> <b>Actual <u>Number Served</u></b>	<b>ELC Review</b> <i>Results validated?</i>	<b>Action needed?</b>
	a. Number of unduplicated providers rated or pre-assessed: <u>101</u>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<b>100%</b> <b>44/44</b> <b>N=44</b>
	b. Number of rated providers with School Readiness rate agreements: <u>88 (87%)</u>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
	c. Number of rated providers who serve children birth to school age (ECERS and FCCERS SITES): <u>101 100%</u>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<i>If <u>yes</u> see row below for details</i>
	d. Number of rated providers who serve children birth up to the age of three (ITERS or FCCERS): <u>98 (97%) 3 serve 3-5 only</u>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	

	e. Number of rated providers located in zip codes deemed at-risk: (including, but not limited to: 33009, 33020, 33311, 33313) <u>51</u> <i>(51/101 = 50%)</i>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
<b>Service provider annual review:</b> <i>The program implemented a priority checklist this year to document the priority categories for each participating program that was served during the year. Priority Review Checklist indicates one or more provider priority status for participation in QRS, School Readiness: 85; VPK:95 and high need Zip Codes: 44</i>			
<b>Documents to be ready for ELC on-site annual review:</b> 1) List of providers, including addresses, rated and pre-assessed during the contract term; 2) Priorities used during contract term to rate or preassess providers; 4) ELC randomly selected provider files.			
<b>ELC review comments:</b> All of the 101 providers served in FY2009-2010 indicated on a priority checklist that they fit one or more of the Coalition's approved priorities for participation in QRS. <i>All documents and data results reported were reviewed and validated.</i> Reviewed 44 provider files for evidence that one or more of the Coalition approved priorities for participation in QRS were met. <ul style="list-style-type: none"> <li>100% of the 44 providers met one or more of the Coalition's approved priorities for participation in QRS: <ul style="list-style-type: none"> <li>(a) Thirty-eight (38) providers (86%) served children whose families receive school readiness funds;</li> <li>(b) Forty-three (43) providers (98%) served children birth up to the age of three; one (1) served preschoolers only; and</li> <li>(c) Twenty (20) providers (45%) were located in zip codes that can be deemed at-risk by available data: 33311, 33313, 33020, 33009, 33064, 33060, 33069, 33063, 33068, 33321, 33319, 33305, 333043, 33312, 33314, 33021, and/or 33023.</li> </ul> </li> </ul>			
<b>2. 100% of provider-specific results from the Environment Rating Scale(s) shall be provided immediately, as agreed upon in the linkage agreement, to the Service Providers providing Quality Improvement Supports (ELC 3) in a mutually agreed upon useable format for that Service Provider's work, as data becomes available.</b>	<b>BCCCLE Reported Results</b> <b>Actual <u>Number Served</u></b>	<b>ELC Review</b> <i>Results validated?</i>	<b>Action needed?</b>
	2.a. Total number of provider-specific ERS results created: Total: <u>103</u> Classroom ERS results: <u>314</u> Provider ERS results: <u>103</u>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
	2.b. Number ERS results provided to the Service Providers providing <i>Quality Improvement Supports</i> (ELC 3): Total: <u>83</u> Classroom ERS results: <u>249</u> Provider ERS results: <u>83</u>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<i>If yes see row below for details.</i>
	2.c. Percent Achieved: <u>100%</u> *	<input checked="" type="checkbox"/> Met <input type="checkbox"/> Not Met	

**Service provider annual review:** \*All provider specific ERS results in programs receiving ELC 3 services were provided to ELC 3 Service providers.

**Documents to be ready for ELC on-site annual review:** 1. Provider-specific Results from the Environment Rating Scale(s) provided to the Service Providers providing *Quality Improvement Supports* (ELC 3); 2. Linkage agreement/MOU with ELC 3 Service Providers.

**ELC review comments:** Reviewed two (2) executed linkage agreements with the ELC 3 Service Providers for provider specific Quality Rating. Reviewed timeline of transfer of information from ELC 4-1 (Quality Rating) Service Provider to ELC 3 (Quality Improvement Services) Service Providers and quarterly spreadsheet of rating results for evidence that provider-specific Quality Rating results were provided to the Quality Improvement Services (ELC 3) Service Provider, as mutually agreed upon in the linkage agreement in a useable format for that Service Provider's work. *All documents and data results reported were reviewed and validated.*

	BCCCLE Reported Results Actual <u>Number</u> Served		ELC Review <i>Results validated?</i>	Action needed?
	<u>Data Report</u>	<u>Date provided to ELC 3</u>		
<b>3. One set of aggregate provider data from the Quality Rating System, shall be provided quarterly to the Coalition and the Service Providers providing Quality Improvement Supports (ELC 3) in a useable format for that Service Provider's work.</b>	3a. 1 <sup>st</sup> quarter	<u>10/10/09</u>	<input checked="" type="checkbox"/> Met <input type="checkbox"/> Not Met	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No  <i>If yes see row below for details.</i>
	3b. 2 <sup>nd</sup> quarter	<u>1/13/10</u>	<input checked="" type="checkbox"/> Met <input type="checkbox"/> Not Met	
	3c. 3 <sup>rd</sup> quarter	<u>4/14/10</u>	<input checked="" type="checkbox"/> Met <input type="checkbox"/> Not Met	
	3d. 4 <sup>th</sup> quarter	<u>8/11/10</u>	<input checked="" type="checkbox"/> Met <input type="checkbox"/> Not Met	

**Service provider annual review:** Briefly describe any successes and/or challenges in delivering this service.

**Documents to be ready for ELC on-site annual review:** Quarterly aggregate provider data reports.

**ELC review comments:** Reviewed four (4) aggregate reports and dates the four reports were developed and provided to each of the *Quality Improvement Supports* (ELC 3) Service Providers. Reports were sent quarterly and sent via email to ELC. Aggregate data reported included ratings for each of the seven (7) subscales of the ITERS-R, ECERS-R, and FCCERS-R showing the range of subscale scores and the average of these subscale scores. *All documents and data results reported were reviewed and validated.*

	BCCCLE Reported Results Actual <u>Number</u> Served		ELC Review <i>Results validated?</i>	Action needed?
<b>4. 100% of staff scoring the Environment Rating Scale(s) shall be reliable raters (85% within one point) at the time of scoring, according to the standards set by the authors of said instrument.</b>	4a. Number of staff scoring ERS: <u>4</u>		<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No  <i>If yes see row</i>
	4b. Number of staff scoring ERS who achieved 85% within one point		<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	

	at time of scoring: <u>4</u>		<i>below for details.</i>
	4a. Percent of staff who are reliable raters: <u>100 %</u>	<input checked="" type="checkbox"/> <b>Met</b> <input type="checkbox"/> <b>Not Met</b>	

**Contractor Responsibility:** Achieve and maintain inter-rater reliability on the Environment Rating Scales in accordance with the standards established by the authors of said instruments.

**Contractor Responsibility:** Attend training to ensure reliability in using the Environment Rating Scales.

**Service provider annual review:** 1. Briefly state standards set forth by authors; 2. Provide a list of each QT with the name of the scale(s) reliability level.

1. *The standards set forth by the authors are:*

- A) *Each assessor is checked 3 times on each scale used. The training specialist uses this opportunity to help the assessors think through the “whys” so they can use the information to make correct decisions over time.*
- B) *The highest scorer on each scale then becomes the “checker” for the others to maintain reliability. Reliability should be checked every 6-10 observations on each scale.*
- C) *Annual reliability with FPG is suggested at 1 day per scale for the “checker” as a shape-up, but most communities don’t bring FPG back after establishing initial reliability.*
- D) *Training of new assessors should be done by the highest scoring assessors (“checkers”) until reliability is established.*
- E) *The standard for reliability is that the average of the last three reliability scores should be equal to or higher than 85%.*

2. *List of each QT with the name of the scale(s) reliability level was provided to ELC staff.*

**Documents to be ready for ELC on-site annual review:** 1) Documentation of reliability ratings of each 4-1 Child Care Quality Tech employed during the contract term; 2) Standards set forth by authors; 3) Notes from author trainers from reliability training.

**ELC review comments:** Reviewed standards set forth by authors. Reviewed Reliability Check notes from Frank Porter Graham, Environment Rating Scales Institute author trainers. Reviewed the author reliability-check results for four (4) Broward County raters conducted during five consecutive days in May 2010. Reviewed local reliability tracking form of inter-rater reliability for the entire year, including back up documentation.

- All four (4) staff (100%) scoring the Environment Rating Scale(s) were reliable to the standards set by the authors of said instrument:
  - Two (2) Rater staff scored reliable for the year on the ECERS-R at 84% and 100% respectively;
  - Two (2) Rater staff scored reliable for the year on the ITERS-R at 91%, and 97% respectively; and
  - One (1) Rater staff scored reliable for the year on the FCCERS-R at 88%.
- Broward County Child Care Licensing and Enforcement Standard Operating Procedure states that “100% of staff scoring the Environment Rating Scale(s) will be reliable raters (85% within one point) at the time of scoring.”
- All four (4) rater staff (100%) scored within one point of authors at the time of scoring on the particular scale they will execute. ***All documents and data results reported were reviewed and validated.***

*NOTE: One Rater staff was reliable on the ECERS-R and the ITERS-R assessment tools, the second Rater staff was reliable on the ITERS-R; the third Rater staff was reliable on the FCCERS-R; and the fourth Rater staff was reliable on the ECERS-R. Continued inter-rater reliability training sessions were held for Rater staff to increase their reliability on various tools at five (5) monthly staff meetings held on May, 25<sup>th</sup>, June 29<sup>th</sup>, July 27, August 23, and September 21<sup>st</sup>.*

	<b>BCCCLE Reported Results</b> <b>Actual <u>Number</u> Served</b>	<b>ELC Review</b> <i>Results validated?</i>	<b>Action needed?</b>
<b>5. 100% of clients shall be proactively informed of complaint procedures, leading to formal, established grievance procedures.</b>	5a. Number of clients: <u>101</u>	<input checked="" type="checkbox"/> <b>Yes</b> <input type="checkbox"/> <b>No</b>	<input type="checkbox"/> <b>Yes</b> <input checked="" type="checkbox"/> <b>No</b> <i>If <u>yes</u> see row below for details.</i>
	5b. Number informed of Grievance procedures: <u>101</u>	<input checked="" type="checkbox"/> <b>Yes</b> <input type="checkbox"/> <b>No</b>	
	5c. Percent achieved: <u>100%</u>	<input checked="" type="checkbox"/> <b>Met</b> <input type="checkbox"/> <b>Not Met</b>	

**Contractor Responsibility:** 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 of continued participant eligibility.

**Service provider annual review:** Briefly describe any successes or challenges in delivering this service.

**Documents to be ready for ELC on-site annual review:** 1) A blank copy of documentation that child care providers receive that proactively informs them of complaint procedures leading to formal, established grievance procedures; 2) Evidence of documentation received by Providers that informs them of complaint procedures leading to formal, established grievance procedures.

**ELC review comments:** Reviewed *BCCCLE External Complaints Policy and Procedures* #054 dated 5/28/07, that state “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 *Early Childhood Center Manual* for evidence that child care providers are proactively informed of complaint procedures leading to formal, established grievance procedures. The *Early Childhood Center Manual* contained information regarding grievance procedures and was provided at orientation and portfolio meetings, site visits, and upon request. ***All documents and data results reported were reviewed and validated.***

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

<b>Service provider annual review:</b> Comment if needed			
<b>Documents to be ready for ELC on-site annual review:</b> 1) Protocol for tracking/recording complaints/observations; and 2) Copies of complaints/observations received by ELC 4-1 staff and documentation showing each have been reported to DCF.			
<b>ELC review comments:</b> Reviewed Service Provider Department of Children and Families Child Abuse Complaint 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 to the Coalition. <i>All documents and data results reported were reviewed and validated.</i>			
<b>7. 100% of complaints received or observations made 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 said department shall be documented.</b>	<b>BCCCLE Reported Results Actual <u>Number</u> Served</b>	<b>ELC Review Results validated?</b>	<b>Action needed?</b>
	7.a. Number of complaints received: <u>2</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 BCCCLE: <u>2</u>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
	7.c. Percent achieved: <u>100%</u>	<input checked="" type="checkbox"/> Met <input type="checkbox"/> Not Met	
<b>Contractor Responsibility:</b> Develop accurate feedback procedures concerning any and all action taken by Broward County Child Care Licensing and Enforcement Section.			
<b>Service provider annual review:</b> Briefly describe any successes/challenges with achieving this outcome. <i>Broward County Child Care Licensing investigated the complaints that were made and provided the results in a timely manner.</i>			
<b>Documents to be ready for ELC on-site annual review:</b> 1) Protocol for tracking/recording complaints/observations; and 2) ELC 4-2 Complaint Log with copies of complaints/observations received and documented licensing violations have been reported to BCCCLE and feedback recorded.			
<b>ELC review comments:</b> Reviewed Service Provider Broward County Child Care Licensing Complaint Log and supporting documentation for referral and feedback on outcomes. A total of two (2) potential child care licensing violation complaints were reviewed with feedback from Child Care Licensing and Enforcement on two (2) cases (100%) received. <i>All documents and data results reported were reviewed and validated.</i>			
<b>8. 100% of 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),</b>	<b>BCCCLE Reported Results Actual <u>Number</u> Served</b>	<b>ELC Review Results validated?</b>	<b>Action needed?</b>
	8.a. Number of provider concerns 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>
	8.b. Number of said concerns referred to appropriate Service Provider and/or addressed through	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	

<b>and/or Quality Assurance: Monitoring (ELC 4-2) as appropriate and feedback on the outcomes shall be documented.</b>	training and TA: <u>0</u>		
	8.c. Percent achieved: <u>100%</u>	<input checked="" type="checkbox"/> Met <input type="checkbox"/> Not Met	
<b>Service provider annual review:</b> Briefly describe any successes/challenges with achieving this outcome.			
<b>Documents to be ready for ELC on-site annual review:</b> 1) Provider concerns/complaint log; 2) Supporting documentation for referral and feedback on outcomes; and 3) Policy and Procedures for tracking/recording concerns/complaints.			
<b>ELC review comments:</b> Reviewed Service Provider complaint log and supporting documentation for referral and feedback on outcomes. There were no other concerns about early care and education providers referred to the ELC 1, ELC 2, ELC 3, or ELC 5 Service Provider during the fiscal year. <i>All documents and data results reported were reviewed and validated.</i>			
<b>9. 75% of providers participating in the Quality Rating System shall report being treated with professionalism and respect by the rater, as measured by a Provider survey.*</b>	<b>BCCCLE Reported Results</b> <b>Actual <u>Number Served</u></b>	<b>ELC Review</b> <i>Results validated?</i>	<b>Action</b> <b>needed?</b>
	9.a. Number of providers participating in QRS: <u>101; 2 received a re-rating</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>
	9.b. Number of said providers surveyed: <u>103</u> Number returned: <u>61 (59%)</u>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
	9.c. Percent of providers surveyed who report being treated with professionalism and respect by the rater: <u>92%</u>	<input checked="" type="checkbox"/> Met <input type="checkbox"/> Not Met	
<b>Service provider annual review:</b> Briefly describe method for gathering data and any successes and/or challenges in delivering this service. <i>A satisfaction survey is mailed to every provider who is pre-assessed or fully rated. The returned surveys are reviewed, filed and tallied quarterly. Sometimes it is a challenge to get the surveys back, so we occasionally send it out a second time if responses are very low.</i>			
<b>Documents to be ready for ELC on-site annual review:</b> 1) Blank Satisfaction Survey; 2) Satisfaction Surveys from providers; and 3) Summary of analyzed results tallied for individual categories.			
<b>ELC review comments:</b> Reviewed blank provider survey and summary documentation of 103 completed provider survey responses for documentation of <b>Quality Rating System (QRS)</b> rater's ability to treat early care and education providers with professionalism and respect. A total of 103 surveys were distributed to 103 providers participating in the Quality Rating System and 61 providers (59%) returned the survey; 56 providers (92%) reported being treated with professionalism and respect by the rater. <i>All documents and data results reported were reviewed and validated.</i>			

<p><b>10. 100% of required data 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.</b></p>	<p><b>ELC Review</b></p>	<p><b>Action needed?</b></p>
<p><b><u>Contractor Responsibility:</u></b> 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. Provide other program specific reports and information upon request to the Coalition.</p>	<p><input checked="" type="checkbox"/> Met <input type="checkbox"/> Not Met</p>	<p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <i>If yes see row below for details.</i></p>
<p><b>Service provider annual review:</b> Comment if needed.</p>		
<p><b>Documents to be ready for ELC on-site annual review: Note:</b> 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.</p>		
<p><b><u>ELC review comments:</u></b> Reviewed Coalition’s ELC 4-1 Contract Obligations Checklist. Reviewed emails of reports due and sent to the ELC. ELC 4-1 Contract Obligations Checklist revealed that 100% of required data was collected, input, and tracked in accordance with state and local standards and requirements and reports were delivered complete and on time and 100% of ad hoc data made by the Coalition were provided in a timely manner. Twelve (12) monthly Key Data Indicator reports, three (3) quarterly reports, one (1) annual report, for a total of 16 reports. Reviewed the contract due dates for various monthly, quarterly, annual, and ad hoc reports. Sixteen (16) reports were due to the Coalition; 100% of the required monthly, quarterly, annual, and ad hoc data reports were submitted complete and on time in accordance with state and local standards and requirements.</p>		
<p><b>11. 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.</b></p>	<p><b>ELC Review</b></p>	<p><b>Action needed?</b></p>
<p><b><u>Contractor Responsibility:</u></b> Participate in professional associations; 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><input checked="" type="checkbox"/> Met <input type="checkbox"/> Not Met</p>	<p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <i>If yes see row below for details.</i></p>
<p><b>Service provider annual review:</b> Please submit a list of associations and community collaborate groups that 4-1 participated in 2009-2010. <i>List of Associations and Collaborations ELC 4-1 participated in during 09-10 contract year:</i></p> <ol style="list-style-type: none"> <li>1. BAEYC</li> <li>2. FLAEOYC</li> </ol>		

3. *CSC: SREL Committee*
4. *CSC: Workforce Development subcommittee*
5. *Broward County: Facilitation Team*
6. *Family Central, Inc.*
7. *Broward County Public schools*
8. *Early Learning Coalition of Broward County: System Partner Group*
9. *Early Learning Coalition of Broward County: Early Childhood Educators Conference committee*
10. *Multi-County Collaboration workgroup*
11. *QRIS Leadership meetings*

**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.

**ELC review comments.** Reviewed contract obligation log and system coordination team meeting attendance records. The ELC 4-1 Service Provider attended all monthly system coordinator team meetings and/or had a representative in attendance; eleven (11) meetings (100%) were attended by ELC 4-1 staff.

<p><b>12. 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 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 any change in status of or critical incident with any child care provider. Linkage agreements shall be actively implemented and maintained throughout the service year.</b></p>	<b>ELC Review</b>	<b>Action needed?</b>
	<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:** Participate in the development, implementation, and maintenance of formal service linkage agreements and procedures with any and all Service Provider(s) of early learning and related community service providers as necessary.

**Service provider annual review:** Note the organization with whom linkage agreements were executed and any successes/challenges with achieving the outcome. *Linkage agreements were done with the following organizations:*

- *Family Central, Inc.*
- *Broward County Public Schools*

*The Family Central agreement is a standard MOU executed by both agencies regarding linkages for all ELC contracts affected, and signed by both parties. During the year an additional informal agreement was made that ELC-2 will provide a list of programs with service agreements*

and update it quarterly. (The BCPS Agreement is an informal memo as that entity stated that a formal agreement would require going through a process of bringing the agreement to the school board for approval.) There were no problems with the execution or implementation of either agreement.

**Documents to be ready for ELC on-site annual review:** Copies of all signed and dated linkage agreements/ Memorandums of Understanding (MOU).

**ELC review comments:** Reviewed one (1) signed and date Memorandum of Understanding (MOU) with Family Central, Inc. (FCI-ELC 3); developed July, 1, 2009 and signed August 7, 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. (Additionally, there were two (2) informal memo agreements between ELC 4-1 and the SBBC and between ELC 4-1 and FCI ELC 2.) The BCL-QRS-10-ELC4-1 contract was fully executed on June 30, 2009.

<b>13. 100% of policies and procedures shall ensure the protection and confidentiality of individual child records and early learning provider’s records from unlawful disclosure as identified in Chapter 411, Chapter 402, and Chapter 1002, Florida Statutes.</b>	<b>ELC Review</b>	<b>Action needed?</b>
	<input checked="" type="checkbox"/> Met <input type="checkbox"/> Not Met	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <i>If yes 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 this outcome. *Each employee has signed and has in their file the Confidentiality and Non-Disclosure agreement. Provider files are kept in a locked file cabinet.*

**Documents to be ready for ELC on-site annual review:** Confidentiality Policies and Procedures.

**ELC review comments:** Reviewed policies and procedures that ensure the protection and confidentiality of individual child records and early learning provider’s records from unlawful disclosure. Reviewed the copy of the ELC 4-1 *Individual Non-Disclosure and Confidentiality Certification* form, Data Security Agreement, and the *DCF Security Agreement* Form for the employees hired under this contract. **All documents reported were reviewed and validated.**

<b>14. 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.</b>	<b>ELC Review</b>	<b>Action needed?</b>
	<input checked="" type="checkbox"/> Met <input type="checkbox"/> Not Met	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <i>If yes see row below for details.</i>

**Service provider annual review:** Comment if needed.

**Documents to be ready for ELC on-site annual review:** ELC will review supporting documentation from ELC Fiscal Department.

**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.		
15. 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 type="checkbox"/> Met <input checked="" type="checkbox"/> Not Met	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <i>If yes 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. The contract ended with a <b>16.2%</b> surplus (\$100,294) for the fiscal year. Unexpended School Readiness funds were used for the needs addressed by the October 2009 ARRA fund allocation.		
<b><i>Corrective Action: In order to meet the intent of this objective for the FY 2010-2011, the ELC 4-1 Service Provider shall submit to the Coalition by January 17, 2011, an action plan including timeline for budget management activities that will ensure forecasts, trend analyses and budget management will 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.</i></b>		
Service Provider plan to meet compliance (HOW) Explain: <i>ELC 4-1 will provide an action plan by January 17, 2011, addressing the necessary budget management activities to ensure forecasts, trend analyses and budget management will 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. A budget modification to address the extra salary funds due to County furlough days was submitted by the end of December 2010. A mid-year budget modification will be done in January to proactively address any anticipated budget anomalies in the second half of the year.</i>		