

Early Learning Coalition of Broward County, Inc.
Annual Review and Assessment Instrument 2008-2009

Monitoring Report

Contract: FCI-09-ELC 2 Eligibility Determination, Application Processing, Slot Management and Provider Payment
Family Central, Inc.

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

K. Lee Tirpak, Chief Program Officer
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Jessica Novak, ECE Program Specialist
Sharon Cohen, ECE Project Manager,
Monica King, Resource & Systems Manager
Andrea Braynon, Chief Financial Officer
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Jose Abreu, IT/Data Manager

Family Central, Inc. (FCI) Representatives

Khalil Zeinieh, VP Broward Operations
Gilbert Rincon, Director of Eligibility
Carol Wasserman, VP of Voluntary Prekindergarten
Mercedes Velez, EDE Manager
Diane Bowman, EDE Manager
Doris Rivas, Manager of VPK Payment
Sandra Paul, Manager of School Readiness Payment
Cindy Watts, Business Developer
Felicia Walker, VPK Registrar
Natalie Yetman, Counselor
Ainsworth Geddes, Chief Financial Officer
Novlett Dawkins, Administrative Assistant

The monitoring process reflected in this report began on July 13, 2009, two weeks after the close of the second year of implementing the revised Early Learning Coalition of Broward County's Early Care and Education System, and was completed on December 4, 2009. 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 **Eligibility Determination, Application Processing, Slot Management and Provider Payment** services in contract FCI-09-ELC2. **This report includes monitoring results of this contract.**

In addition to examining documentation related to performance objectives, the Coalition Monitors reviewed 101 provider files for service agreement information and post audit monitoring activity, conducted one (1) on-site interview with an eligibility counselor, conducted one (1) on-site interview with a parent, conducted one (1) VPK provider site visit, conducted one (1) school readiness provider site visit, and completed two (2) secret shopper phone calls to assess 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 FCI-09-ELC2 Eligibility Determination, Application Processing, Slot Management and Provider Payment

the period July 1, 2008-June 30, 2009. The EFS data was used to randomly select **127 VPK children files, 106 VPK provider files, 127 files representing children receiving financial assistance from school readiness funds and the 101 early care and education provider files where these children received early learning opportunities. Of the 127 clients in receipt of school readiness funds, 101 children (80%) were between the ages of birth to five and attended 80 of the selected providers (79%), and 26 children (20%) were school-age; four (4) of the early care and education providers serving school-age children also served children birth to school-age children; these children and their corresponding providers along with the 127 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.**

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, paragraphs 1 and 3 have not been completely followed:
 - “1. If CONTRACTOR sponsors a program financed wholly or in part by state funds, including any funds obtained through this Contract, in accordance with Section 286.25, Florida Statutes, it shall in publicizing, advertising, or describing the sponsorship of the program, state: “Sponsored by (CONTRACTOR’s name) and Early Learning Coalition of Broward County, Inc.” and the “State of Florida, Agency for Workforce Innovation.”
 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 2009 – 2010 contract year, this ELC 2 Service Provider shall submit to Coalition staff by January 15, 2010, documents used to publicize all programs funded by the Early Learning Coalition of Broward County, Inc. and the State of Florida, Agency for Workforce Innovation; said documents shall include the following clause: “Funded by: Early Learning Coalition of Broward County, Inc. and State of Florida, Agency for Workforce Innovation” and said text shall be the same size letters or type as the name of this ELC 2 Service Provider.

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 and a 100% compliance rate related to the review of SR and the VPK provider payment testing. Of the 29 General Ledger transactions selected and reviewed; 15 transactions were SR, and 14 transactions were for VPK.
- ***Provider Reimbursement Payment*** testing indicated a 100% compliance rate related to the review of (53) SR and the VPK provider payment testing.
- ***Payroll Records*** testing indicated a 100% compliance rate related to the payroll records and personnel files examined. The annual budget total for one staff salary was 1% above the budgeted amount. (This observation should be considering when negotiating salary, fringe and attrition for the purposes of discussing staffing levels for the budget.)

Programmatic Review:

This contract focuses on the eligibility determination and application processing for families receiving financial assistance from school readiness and Voluntary Pre-kindergarten funds, as well as slot management and provider payment for Voluntary Pre-Kindergarten providers and providers serving children receiving financial assistance provided by the ELC 2 Service Provider. ***Coalition staff and Service Providers 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 2009-2010 fiscal year.***

Results & Highlights Include:

- **Contract FCI-08-ELC2 has fifty-seven (57) Performance Outcomes that cover General Performance, School Readiness and Voluntary Pre-Kindergarten and four (4) programmatic deliverables related to Client Eligibility and Enrollment services for review.**
- **91% of the fifty-seven (57) performance outcomes were achieved and 13% require adjustment or action to improve reporting for accountability in the 2009-2010 contract year; and 100% of the programmatic deliverables were met in 2008-2009.**
- **98% of parents reported overall satisfaction with services.**
- **91% of School Readiness providers reported overall satisfaction with services.**
- **95% of parent/guardian eligibility determination and redetermination was determined accurately. (Target = 100%)**
- **100% of the School Readiness client files reviewed were in compliance for required elements in accordance with 60BB-4.200-4.209.**
- **100% of School Readiness provider eligibility was determined accurately.**
- **91% of parent co-payments were accurately calculated and managed. (Target = 100%)**
- **62% of Broward County providers (671) participated in service agreements and served school readiness children. (Target =70%)**

- **40% of selected School Readiness providers were monitored for compliance with administrative requirements for the first year of the two-year period, 2008-2009 and 2009-2010 contract years.**
- **77% of the School Readiness clients came to their appointment with proper paper work; 84% of the clients came to their appointment with a provider selected; and 64% came with both.**
- **100% of child eligibility for VPK was determined accurately. (Target = 100%)**
- **98% of VPK provider eligibility was determined accurately.**
- **100% of all operating VPK Providers (479) in Broward County had a signed provider agreement.**
- **50% of all VPK Providers with a signed provider agreement were monitored for administrative requirements in 2008-2009 completing the required 100% of VPK providers monitored for compliance over a two year period, 2008-2009 and 2009–2010 contract years.**
- **In order to meet an outcome for the 2008-2009 contract year, the Coalition is requiring the ELC 2 Service Provider to inform Coalition staff that the Service Agreements for 54 Providers exist and are available for review on-site.**
- **In order to improve the delivery of Eligibility Determination, Application Processing, Slot Management and Provider Payment in the 2009-2010 contract year, the Coalition is requiring the ELC 2 Service Provider to:**
 - **Provide clarification as to the discrepancies in the information presented and the total number of clients (Protective Service, WFO, and income eligible) who received eligibility determination services and were offered an opportunity to make an appointment within seven (7) business days of the ELC 1 Service Provider confirming to the ELC 2 Service Provider that the customer has a valid choice of provider. Submit a revised operations plan collaborating with the ELC 1 Service Provider on a data collection process that ensures that all clients (protective service, WorkForce One and income eligible) are offered an appointment within 7 days and an appropriate tracking mechanism is in place and how the ELC 2 Service Provider will proactively inform the Coalition of issues with meeting this goal during high enrollment periods, in order that the Coalition may address special circumstances that arise.**
 - **Ensure that families who are scheduled for a first appointment with the Eligibility Determination, Application Processing, Slot Management and Provider Payment (ELC 2) Service Provider come to that first appointment with appropriate documentation and a valid provider selected.**
- **In order to improve the delivery of Eligibility Determination, Application Processing, Slot Management and Provider Payment in the 2009-2010 contract year, the ELC 2 Service Provider (FCI) *has already* put procedures in place to ensure:**
 - **Written information on how to file a grievance is in place. The ELC 2 Service Provider’s Standard Operating Procedure Grievance and Appeals Process was finalized on September 3, 2009; and**
 - **Linkage agreements for 2009-2010 with the 3 system partners, are developed and implemented and**
 - **Appropriate adjustments to all eligibility documentation were made and evidence was provided to the Coalition.**
- **In order to improve reporting for accountability in the 2009-2010 contract year, the Coalition is requiring this Service Provider to:**
 - **Follow existing protocol that addresses the specific intake and recording of complaints or observation concerning**

- potential abuse, neglect, or abandonment reported to DCF and the Coalition including the process to ensure that the backup documentation supports reported data; and
- Follow existing protocol that addresses the specific intake and recording of complaints or observations concerning potential child care licensing violations reported to BCCCLE and feedback tracked including a process to ensure backup documentation supports all reported data; and
 - Train staff to follow the existing department protocol: “Complaints Directed Towards Providers”; add to Attachment 1, Section “Reported To:” two new entities: the ELC 3 and ELC 4 Service Providers; and maintain a log book available for viewing back-up documentation in an organized manner throughout the year; and
 - Identify VPK providers and follow-up with expired (or expiration approaching) level II background screenings. Also provide training for VPK eligibility staff to prevent similar errors.
 - Revised current operations plan to collaborate with the ELC 1 Service Provider on a data collection process that ensures that all legally operating child care providers in Broward County are identified and offered an opportunity to participate in providing school readiness funded early care and education services and that signed rate agreements exist for all interested Broward providers.

Early Learning Coalition of Broward County, Inc.
Administrative and Fiscal Specification Annual Review and Assessment Instrument
2008-2009

Contract Annual Review

Contract: FCI-09-ELC2 Eligibility Determination, Application Processing, Slot Management and Provider Payment

A. FEDERAL LAW REQUIREMENTS	ELC REVIEW
1. Does the Agency have a written Drug-Free Workplace Policy? Policy dated: 07/2006; Employee Handbook.	<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? Five-in-one posters were posted on the fourth floor by the Fiscal department, including laws regarding FMLA, EEOC, Minimum Wage, Child Labor, and Polygraph. Additional information regarding Worker's Compensation, Unemployment Opportunities, Florida Discrimination, and USERRA were seen on the 4th Floor by the Fiscal office. The five-in-one poster was also in the lunch room on the first floor.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
3. Does the Agency have a written Non- Discrimination and Harassment Free Workplace Policy? Policy dated: 03/10/2005; Employee Handbook.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
<u>ELC review comments:</u> Agency Policies were all 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?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
2. Are the Agency's By-laws available for review? Amended and Restated Bylaws reviewed; effective June 17, 2008.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
3. Are the Agency's Articles of Incorporation available for review? Articles of Incorporation available.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
4. Is there an Organizational Chart available that reflects the current organization of the Agency and provides clearly delineated chain-of-command? Organizational Chart Revised May 2009.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
5. Is there an audit on File? Audit available for June 30, 2008, 2007, and 2006.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
<u>ELC review comments:</u> Agency Corporate Documents were all reviewed and found to be in order and to meet required specifications.	
C. 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?	<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?	<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?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
<u>ELC review comments:</u>	
D. 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? FCI utilizes Program and Project Element Codes.	<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?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
<u>ELC review comments:</u>	
E. INVOICING	ELC REVIEW
1. Are invoices submitted on a timely basis?	<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 checked="" type="checkbox"/> Yes <input type="checkbox"/> No
3. Does the Agency maintain an Agency-wide budget by funding source and expenditure category?	<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)? Microsoft Great plains Accounting	<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?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
b. Do the attendance records and other required documentation flow through to the invoice correctly?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
c. Is the invoice approved by authorized staff/management?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
d. Does the invoice reflect third party payments?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
e. Are procedures established and implemented to eliminate duplicate billing?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
6. Number of invoices randomly selected: Thirty (30) transactions were selected for the months of September 2008 and April 2009. Fifteen (15) of the selected samples were for SR and fifteen (15) were transactions funded with VPK funds.	
7. Number of invoices meeting the above criteria: 100% of the SR and VPK invoices met the criteria.	
<u>ELC review comments:</u>	
F. INDIRECT COSTS	ELC REVIEW

1. Review and document the Agency's Cost Allocation Methodology.	
2. Is the cost allocation methodology in writing and is it representative of the allocation used?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
<u>ELC review comments:</u>	
G. BANK	ELC REVIEW
1. Are bank statements reconciled monthly?	<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?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
3. Does the immediate supervisor review the reconciliation? Yes, the statements are prepared by the Accounting Manager and approved by the CFO, demonstrating an appropriate separation of duties.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
4. Are adjustments properly documented and explained? There were adjustments included in the samples which were properly documented.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
5. Select 3 random months and verify above transactions Three months were selected and reviewed.	
6. What three months were randomly selected: November 2008, February 2009, and May 2009.	
7. Number of months meeting above transactions: The three months met the above criteria.	
<u>ELC review comments:</u>	
H. 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? Actual to date 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? Reports are submitted that list the detailed line items information.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
3. Did the report contain a detailed explanation of variances from the approved budget? Yes, variances are reviewed in detail on a monthly basis.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
<u>ELC review comments:</u>	
I. 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?	<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	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No

Workforce Innovation”?	
3. Do written materials include “The Early Learning Coalition of Broward County” and “State of Florida, Agency for Workforce Innovation” in the same size letters or type as the name of the Contractor?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
ELC review comments: Reviewed information distributed to parents and providers. The Family Central (FCI) brochures, enrollment/redetermination packet, and other client and provider communications do not describe the sponsorship of the program, nor are the ELC or the AWI name or logo on these documents in the same size letters or type as the name as the Contractor.	
Corrective Action Required: <i>In order to ensure that this objective is met for 2009-2010 contract year, this ELC 2 Service Provider shall submit to Coalition staff by January 15th, 2010, documents used to publicize all programs funded by the Early Learning Coalition of Broward County, Inc. and the State of Florida, Agency for Workforce Innovation; said documents shall include the following clause: “Funded by: Early Learning Coalition of Broward County, Inc. and State of Florida, Agency for Workforce Innovation” and said text shall be the same size letters or type as the name of the CONTRACTOR.</i>	
Service Provider plan to meet compliance (HOW) Explain: <i>All ELC funded program flyers and related materials will be reviewed and revised to meet this requirement as appropriate going forward. In order to maximize limited resources and because of the expense, it is recommended that existing materials including program flyers be fully utilized before new materials are created with the required letter sizes and text type.</i>	
ELC note: <i>The Coalition accepts the recommendation to fully use existing materials including program flyers before new materials are created and looks forward to receiving revised documents as they are developed during the 2009-2010 contract year.</i>	
J. ASSIGNMENTS AND SUBCONTRACTS	ELC REVIEW
<i>Perform only if there are sub-contracts in place being paid for direct services with funding covered by this monitoring visit.</i>	
1. Are sub-contracts allowed under this funding? Some funding sources do not allow the use of sub-contracts to deliver direct services. N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No
2. Does the subcontractor have a contract? N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No
3. Are the payments to the subcontractors in line with the contract? N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No
4. Does the contract specify a match budget for the subcontractor? N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No
ELC review comments:	
K. STAFFING	ELC REVIEW
1. Did the Contractor maintain sufficient and qualified staff to deliver the agreed upon services required by the Contract? [Exhibit B (Form B-3)]	<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
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	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

English, Spanish, Portuguese, and Creole?	
4. Did the Contractor provide and/or ensure continuous quality improvement training to 100% of its staff?	<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 requires a high school education or less? In the event that the Contractor or its agent employs a person who was referred by the Work Force One office, the Contractor shall notify the Coalition.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
<u>ELC review comments:</u> Staffing support was reviewed and found to be in order and to meet required specifications.	
L. 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) submitted to a local and state criminal records check within ten days of employment in accordance with Section 435.03(1), Florida Statutes?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
<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.	
M. KEY PERSONNEL/PERSONNEL POLICIES	ELC REVIEW
1. Does the Agency have written Personnel Policies?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
2. Where are personnel folders located? Personnel Folders are located: <u>on the fourth floor.</u>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
3. Select a random number of personnel files and verify that each file contains the following:	
a. Job descriptions	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
b. Qualification documentation	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
c. Evaluations	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
d. Individual Non-Disclosure	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
e. Confidentiality Certificate Form	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
4. Number of randomly selected personnel files: Reviewed a total of eight (8) personnel files for ELC 2 for Job Description Requirement/Qualifications compared to documented education and experience, etc. Confidentiality and Individual Non-Disclosure and Confidentiality Certificate Forms.	
5. Number of said files containing above mentioned criteria: All eight (8) personnel files for ELC 2 contained the required documents mentioned above.	
6. Where are the employee records located? Personnel Folders are located: <u>on the fourth floor.</u>	
7. Are employee records securely stored?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
<u>ELC review comments:</u> ELC 2: Agency Personnel Policies and eight (8) personnel files were reviewed and found to be in order	

<i>and to meet required specifications.</i>	
N. PAYROLL RECORDS	ELC REVIEW
1. Does staff, including management, document their work hours through a time sheet or punch clock? Agency policies require non-exempt to utilize a time punch clock and exempt utilize time sheets.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
2. Are time records signed by both the employee and the supervisor? The randomly sampled identified payroll records were both signed by 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	<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 were four (4) payroll records reviewed for ELC2	
5. Number of said journals that included the above criteria:	
6. For a sample of employees charged to the program, review that positions match the budget approved by the funding agency, Do they match? The actual expenditures charged to the program did match the budget within reasonable variance.	<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?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
<u>ELC review comments:</u>	
O. NONEXPENDABLE PROPERTY	ELC REVIEW
1. Has the Inventory of Nonexpendable Property been submitted for 2008-2009?	<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 checked="" type="checkbox"/> Yes <input type="checkbox"/> No
<u>ELC review comments:</u>	
P. PERFORMANCE BOND	ELC REVIEW
1. Has the Performance Bond in the amount of <u>\$539,435.00</u> or an Irrevocable Standby letter of credit been submitted to the Coalition? A standby letter of credit was submitted.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
<u>ELC review comments:</u>	
Q. INSURANCE	ELC REVIEW
1. Review the Agency's Accord Form to determine which policies are in place.	
2. Where are the Agency Insurance Policies located? Agency Policies located: Administrative Office on Fourth Floor.	
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.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
4. Workers' Compensation; minimum Liability limits of \$100,000 per accident, \$100,000 per person, and \$500,000 policy aggregate	Expiration Date: <u>04/01/10</u> Amount: <u>\$500,000</u>
5. Unemployment Compensation Insurance: reporting and contributions up-to-date payments	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
6. General Liability: The CONTRACTOR shall maintain adequate liability insurance coverage on a comprehensive basis and hold such liability insurance at all times during the existence of this Contract and any renewal(s) and extension(s) of it. By execution of this Contract, unless it is a state agency or subdivision as defined by subsection 768.28(2), Florida Statutes, and as may be amended from time to time, the CONTRACTOR will provide its self-insurance letter to the COALITION prior to the execution of the Agreement. A self-insurance program established and	Expiration Date: <u>07/01/10</u> Amount: <u>\$3,000,000</u>

operating under the laws of the State of Florida may provide such coverage.		
7. Professional Liability:	Expiration Date: <u>07/01/10</u>	Amount: <u>\$1,000,000</u>
8. Property:	Expiration Date: <u>07/01/10</u>	Amount: <u>\$10,349,600</u>
9. Automobile Liability:	Expiration Date: <u>07/01/10</u>	Amount: <u>\$1,000,000</u>
<u>ELC review comments:</u> Agency Insurance Documents were all reviewed and found to be in order and to meet required specifications. Note: Property Liability Insurance coverage amounts have been increased from \$300,000 to \$10 million.		
R. CONFIDENTIAL INFORMATION AND SECURITY OBLIGATIONS		ELC REVIEW
1. Does the Agency have policies to safeguard client confidentiality? Employee Handbook Confidentiality Policy; department protocol and signed copy in each employee file.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
2. Does the Agency have protocols to protect computer based documents and records? Signed Security Agreement in each employee's File and referenced in Employee Handbook.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
3. Do only the appropriate staff members have access to computerized records? Rights are assigned to specific employees to access specific job related records.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
4. Does the Agency have a system for the maintenance of files? Employee Handbook.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
<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.		
S. INCIDENT REPORTING		ELC REVIEW
1. Child Abuse Reports made to the authorities and Coalition. Child Abuse and Neglect reporting forms.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
2. Report knowledge of any abuse or alleged abuse or any serious injury or death by a child while in care to the Coalition. Child Abuse and Neglect reporting forms.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
<u>ELC review comments:</u> Agency Incident Reporting Documents were all reviewed and found to be in order and to meet required specifications.		
T. RETURN OF FUNDS / FINAL INVOICE		ELC REVIEW
1. Final Invoice submitted for payment no later than 40 calendar days after the contract ends.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
<u>ELC review comments:</u>		

Program Performance Specification Annual Review and Assessment Instrument 2008-2009

Contract: FCI-09-ELC 2 Eligibility Determination, Application Processing, Slot Management and Provider Payment

A. MAJOR PROGRAM GOALS

ELC 2 2008-2009 Eligibility Determination, Application Processing, Slot Management and Provider Payment:

1. To provide smooth access for families to financial assistance for School Readiness services by serving as the single point of entry for eligibility determination/redetermination and application processing of financial assistance for school readiness services, in accordance with the State of Florida and COALITION requirements.
2. To ensure that eligible families have access to the maximum amount of financial assistance for School Readiness services (slots) possible with available funding.
3. To support the provision and availability of a wide variety of quality School Readiness services from which parents may choose when provided financial assistance for child care by recruiting legally operating School Readiness providers and forming and maintaining provider agreements which adhere to and support the mission of School Readiness and its quality parameters.
4. To provide smooth access to Voluntary Pre-kindergarten services by serving as the single point of entry for verification of child eligibility for the Voluntary Pre-kindergarten Education program, in cooperation and coordination with local providers as applicable.
5. To support the provision and availability of a wide variety of Voluntary Pre-kindergarten provider sites from which parents may choose when selecting a Voluntary Pre-kindergarten site by recruiting provider participation, certifying providers as qualified to deliver the program, facilitating provider agreements which adhere to and support the mission of Voluntary Pre-kindergarten and its quality parameters, and training providers on program rules.
6. To support School Readiness and Voluntary Pre-kindergarten providers in their ability to maintain financial viability by making accurate, on-time payments for services provided to eligible families.

Service Provider Directions:

Please fill in shaded sections using “track changes” tool. Do not write in any other area.

B. BRIEF PROVIDER SUMMARY OF ELC 2 SERVICES & HIGHLIGHTS

1. School Readiness:

During this year, EDE Counselors performed 4,863 new enrollments, handled 3,603 transfers and 10,595 slot turnovers, and performed 8,873 terminations. Slot turnover consists of child transfers from one billing group to another, from one provider to another, and/or from one program to another.

Out of 3,311 that came to scheduled appointments, 2,563 families provided proper documentation at the time of their initial appointment, and 2,769 families came with a provider selected.

EDE also manages the slot management and provider payment services as well as the Service Agreement process; staff ensures data entry integrity, processes the documentation, and generates necessary reports in order to better manage the process.

a. Intake Process:

This process continues to be an invaluable tool in the re-determination process. Due to this year's economic climate, the number of re-determinations and desk audits had to be increased in order to assure the provision of services to our qualifying clients; this effort resulted in an increase of work load that could not have been accomplished without the intake process. The intake process has allowed increased productivity, more flexibility and higher quality of interaction with the clients; thus, allowing us to provide better customer service. Clients continue to express their appreciation for this process.

b. Document Imaging:

During this year the imaging system reached full implementation; all staff was trained in the usage of the system and a new process was instituted for the implementation of this new process. As with any new technological endeavor, the system had to go through new adjustments and a process of design improvements; the software and hardware were updated to meet the demands of staff and the process. Both imaging rooms went through physical changes in order to create a more spacious and workable environment for staff. As of today, the system has been performing as designed and a total of 4,960 files have been converted to the imaging system. At this stage, we continue to collect feedback from users to improve the versatility and flexibility of the system.

c. Service Agreements:

The Service Agreement document is a requirement that all providers must meet in order to provide services to children in the School Readiness Program. In order to execute a Service Agreement, the FCI Service Agreement Assistant must collect the necessary documentation from providers in order to prepare the agreement. This process is very challenging as providers do not provide the proper documentation with their service agreement application; staff spends a lot of time in the activity of collecting missing paperwork from providers, this has become a very tedious and time-consuming task. By year's end we received 739 Service Agreement Applications and executed 737 agreements. Currently we have 1 ½ FTE's allocated to this function; FCI has been able to work with the ELC in order to increase the number of FTE's to two for the 2009-2010 fiscal year.

d. New Phone System:

The phone system continues to perform as expected and its features continue to allow the EDE department to provide a higher level of customer service to our clients. This year we were able to set one point of entry for all the incoming calls to the EDE department, this allowed our clients to be able to get their phone calls answered promptly and in most instances we were able to provide answers to our clients at the time of their call. We created a process by which the calls are triaged by members of the Intake unit; the Intake Techs answer

most of the client's questions and then, if needed, they transfer the call to the client's counselor. This process has allowed for counselors to spend more quality time with the clients that they are meeting with at their offices. The new system and process has also provided a more timely response to the questions of our clients

e. Electronic Calendar:

The calendar allows staff to schedule appointments in an efficient manner; this allows counselors to spend more quality time with the clients and reduces the amount of time the client has to wait to see a counselor.

f. Out-posting:

The EDE department continues to outpost with WorkForce One at the Sample Road office, the Oakland Park office and at the Davie Road Extension office. FCI continues to serve around 350 families from the out-posted location at Hispanic Unity on Johnson Street and State Road 7 as well. This year, we opened a new out-posted office at the Resource Center at the City of Miramar on Miramar Parkway. This center is now serving around 300 clients. Due to the geographical location of these two offices, clients do not have to take a full day of work or travel to our main office in order to receive services from the EDE department.

2. Voluntary Pre-kindergarten:

a. VPK/Preschool Conference:

This has been a very successful year for the VPK program. FCI coordinated a VPK conference for over 600 VPK teachers and directors. There was an overwhelmingly positive response to the workshops. Plans began in October 2008 for the 2009 VPK/Preschool Conference and continued throughout the year. The VPK/Preschool Conference Committee met monthly to discuss and identify tasks to be completed each month. The targeted participants are going to be VPK and preschool teachers (teachers of three year olds) so that both VPK and school readiness dollars may be used to support this event if approved by the Early Learning Coalition. The target number of participants is 700. Members of the VPK/Preschool Conference Committee wrote and received a grant from the A.D. Henderson Foundation to cover 70% of the costs for providing Continuing Education Units and partial dollars to purchase resource materials for the participants. All tasks for the conference were assigned to various community members who are on the VPK/Preschool Conference Committee. The VPK/Preschool Conference Committee met monthly to discuss and identify tasks to be completed each month.

In addition, the VPK/Preschool Conference Committee decided to have a preconference for directors and administrators on Friday, September 11, 2009. Yanick Goutier, Director of Early Care and Education at Family Central, is spearheading this effort and working with the VP of VPK and Special Projects (VPVPK) to coordinate this event. The number of participants is targeted at 225.

b. Child Registration:

VPK child registration went very smoothly and efficiently. Temporary staff were hired for the month of March to handle the 6,588 registrations that occurred in March. These personnel learned quickly on how to conduct a child registration and did an excellent job assisting with this process. The parent educators from the school board composed the outposting team that worked in July and August 08

and from March – June 30, 2009. They were well trained and conduct registrations in a professional manner. The VPK Registrars supported the out-posting teams as scheduled. A total of 16,682 children were registered during the fiscal year.

c. Provider Authorization and Transfers:

The VPK Registrars worked diligently with their assigned VPK providers to ensure that all programs were authorized appropriately and all changes to classrooms, teachers, assistants, etc. were handled appropriately. They have positive relationships with their providers; in addition, they handled 726 transfers of children throughout the year from one VPK school to another.

d. Communication with Providers:

During July 2008 - June 2009 a total of seventy (70) emails/faxes were sent to communicate with VPK providers. During July - September 2008, fifteen (15) emails/faxes were sent, during October - December 2008, fifteen (15) emails/faxes were sent, during January - March 2009, eighteen (18) emails/faxes were sent, and during April - June 2009, twenty-two (22) emails/faxes were sent to communicate with VPK providers. Information was provided on topics, such as: calendars and directions to VPK registration sites, VPK Provider Lists, DOE online courses, orientation information, VPK training information, provider reimbursement information, key processes that need to be followed, Family Central Inc.'s building closings, the VPK/Preschool 2009 Conference, and information regarding gift cards to use to purchase VPK curriculum materials.

e. Provider Verification:

During the 2008 – 2009 year, the VPK Registrars continued to authorize new providers, approve changes to current VPK providers due to changes to teachers and assistants, and handled reenrollments of children from one school to another. Beginning in February 2009, the VPK Registrars began working with current VPK providers and new VPK providers to have them submit the AWI-VPK-10 Statewide Provider Registration Application form with the necessary documentation for the summer 09 and/or school year 2009 – 2010 programs. This enabled the providers to be provisionally approved VPK providers for summer 2009 and/or school year 2009 – 2010. The distribution of the Statewide Provider Agreements was held up due to a review of the language in the existing agreement and the amendment document. The final Statewide Provider Agreement was not distributed until June 9, 2009. In addition, Family Central implemented the use of a Signature Authorization Form that each owner and/or owner/director had to complete and have notarized stating who the person was that was authorized to sign VPK documents. This form and two (2) Statewide Provider Agreements were available to all provisionally approved providers to sign and return to Family Central. They also had to submit the AWI-VPK-11 Class Registration Application and the appropriate teacher and teacher assistant information and school calendar for review and full approval as a VPK provider for summer 09 VPK programs and for school year 2009-2010. The number of fully approved summer 2009 providers as of June 30, 2009 was 126. The number of school year providers as of June 30, 2009 was 155. The number for fully approved school year providers was impacted by the late distribution of the Provider Agreements.

f. Provider Profile Updates:

VPK Provider Profiles were updated on both Family Central's and the Early Learning Coalition of Broward County, Inc.'s websites as

often as necessary and in print at least twice a month if there were updates that needed to be made in order to give the most updated information on approved providers to parents/guardians registering at outpost sites and at Family Central. There were sixty (60) updates to the Provider Profiles during this fiscal year: 1st quarter – 16; 2nd quarter 7; 3rd quarter – 23; 4th quarter – 14.

g. Efficiencies in the enrollment process:

The VPVPK communicated with the Office of Early Learning at the Agency for Workforce Innovation and obtained clarification that the use of the Delayed Enrollment Form was not required. As a result, the VPVPK redesigned the Certificate of Eligibility to include the information that had been on the Delayed Enrollment Form that was still necessary. The Coalition approved this change. The impact is that when a VPK provider receives the revised Certificate, he/she will complete the added section regarding the number of hours remaining in the program and not have to complete an additional form (Delayed Enrollment Form). This eliminated one form that VPK providers would have had to submit previously if a child began the program after the first day of the program. This form began being phased in during June 09 and will continue to be phased in over the 09-10 school year program.

C. CLIENTS TO BE SERVED			
CLIENT ELIGIBILITY AND ENROLLMENT SERVICES	FCI Reported Results Actual <u>Number</u> Served	ELC Review	As verified by
New enrollments performed in 2008 – 2009	<u>4,863</u>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	Key Data Indicators and EFS data base
Transfers (slot turnover) handled in 2008 – 2009	<u>3,603</u>		
Terminations performed in 2008 – 2009	<u>8,873</u>		
SCHOOL READINESS	FCI Reported Results Actual <u>Number</u> Served	ELC Review	As verified by
Target Number of Slots to Be Served – as set in Exhibit A	<u>11,127</u>	<input checked="" type="checkbox"/> Met <input type="checkbox"/> Not Met	Key Data Indicators and EFS data base
Actual Number of Unduplicated Children Served 2008 – 2009	<u>16,695</u>		
Average Number Children Processed for Enrollment each Month	<u>405</u>		
VOLUNTARY PREKINDERGARTEN	FCI Reported Results Actual <u>Number</u> Served	ELC Review	As verified by
Target Number of VPK Enrolled Children to be Served	<u>11,400</u>	<input checked="" type="checkbox"/> Met <input type="checkbox"/> Not Met	

on a Monthly Basis			Key Data Indicators and EFS data base
Actual Number of VPK Enrolled Children Served on a Monthly Basis	<u>VPK 2008-2009</u>		
	<u>Month</u>	<u>Children Served</u>	
	<u>August-08</u>	<u>10,053</u>	
	<u>September-08</u>	<u>11,713</u>	
	<u>October-08</u>	<u>12,194</u>	
	<u>November-08</u>	<u>12,272</u>	
	<u>December-08</u>	<u>12,161</u>	
	<u>January-09</u>	<u>12,165</u>	
	<u>February-09</u>	<u>12,069</u>	
	<u>March-09</u>	<u>11,972</u>	
	<u>April-09</u>	<u>11,608</u>	
	<u>May-09</u>	<u>11,389</u>	
	<u>June-09</u>	<u>8,820</u>	
Target Number of VPK Enrolled Children to be Served during Summer Program	<u>1,000</u>		
Actual Number of VPK Enrolled Children Served during Summer Program	<u>Summer 08 - 1,178</u> <u>(June July and August)</u> <u>Summer 09- 1,073</u> <u>(June)</u>		<input checked="" type="checkbox"/> Met <input type="checkbox"/> Not Met
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 Exhibit F of this Contract, Chapter 411, 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: Comment if needed.			
Documents to be ready for ELC on-site annual review: Confidentiality protocol.			
ELC review comments: Reviewed FCI Department Protocol “Confidentiality of Records” (EDE-Broward) revised 6/21/06 and FCI Department Protocol “Confidentiality of Records” (ECE-Broward) revised 10/31/06 which ensures the protection and confidentiality of			

individual child records and early learning provider records from unlawful disclosure as identified in the Standard Levels of Service (Exhibit E), Chapter 411 and Chapter 1002, Florida Statutes. Policies are sufficient. *All documents were reviewed and validated.*

	FCI Reported Results Actual <u>Number</u> Served	ELC Review <i>Results validated?</i>	Action needed?
2. 100% of parent/guardian and child care provider telephone calls shall be answered by the fourth ring and 100% of customer telephone calls which are placed on hold 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 three (3) business days, (72-hours) of initial contact.	2.a. Percent of calls answered by fourth ring: <u>100%</u>	<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>
	2.b. Percent of calls on hold for no more than two minutes before being given options: <u>100%</u>	<input checked="" type="checkbox"/> Met <input type="checkbox"/> Not Met	
	2.c. Percent of customers who left messages received follow-up in three days: <u>98%</u>	<input checked="" type="checkbox"/> Met <input type="checkbox"/> Not Met Validated 96%	
	2.d. Percent achieved: <u>99%</u>	<input checked="" type="checkbox"/> Met <input type="checkbox"/> Not Met	

Service Provider annual review: *a. and b. are guaranteed by the way the phone system is set up. The results in c. and d. are measured by a combination of client survey and provider phone logs; the average of these reports yielded a 98%. We would like to note that if we were to factor only the provider's phone logs the results would be 99%.*

Documents to be ready for ELC on-site annual review: (1) Provider Call Log (2) Parent Survey Results (3) ELC will conduct a Secret Shopper Call

ELC review comments: Reviewed Parent Blank Surveys. Reviewed annual summary documentation for the Eligibility Determination & Enrollment (EDE) Department Provider Calls Tracking Log and Parent Surveys for 2008-2009. Conducted two (2) Secret Shopper calls. Summary parent survey documentation indicated on average, **ninety-three percent (93%)** of callers who left messages received a follow-up call within three (3) business days. Summary provider survey documentation indicated on average, **one-hundred percent (100%)** of callers who left messages received a follow-up call within three (3) business days:

- 3,022 parents of 3,249 (93%) survey respondents received a return call within three (3) business days.
- 629 provider calls of 631 (100%) provider phone log calls received a return call before three (3) business days.

Conducted two (2) Secret Shopper Calls:

- 9/30/09 phone call: (1st call) the system automatically answered after the first ring; tracking inbound calls in seconds instead of rings; the phone system gives the option to hold, request a call-back or dial 0 for the operator within minutes. The phone system is automated and is answered by first ring and automatically gives callers on hold the option to continue to hold or leave a message for a call back.
- 9/30/09 phone call: (2nd call) a counselor was contacted directly instead of calling the main line. A message was left for the counselor. The call was not returned. This was the week of mass enrollment and the message offered other options to reach another person.

All documents and data results reported were reviewed and validated; however, the 98% reported in 2.c by the ELC 2 Service Provider was determined by averaging percentages of each component (2.a., 2.b. and 2.c.) instead of total population involved in each part of the objective.

	ELC Review	Action needed?
3. 100% of parents/guardians and child care providers shall be proactively informed of complaint procedures, leading to formal, established grievance procedures.	<input type="checkbox"/> Met <input checked="" 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: (1) A blank copy of documentation that parents/guardians and child care providers receive that proactively informs them of complaint procedures leading to formal, established grievance procedures. (2) An original Terms & Condition form for appropriate language; (3) Selected Client Files for review for signed Terms and Conditions forms and selected provider files for signed Service Agreements.

ELC review comments: Reviewed Family Central, Inc’s *Grievance and Appeals Process* Protocol (revised 11/19/08). Reviewed two (2) *Terms and Conditions* forms (*dated 8/08 and 1/09*) for appropriate language. Reviewed one (1) Provider Service Agreement and Provider Service Agreement Amendment and corresponding EDE Provider Packet information for evidence of complaint procedures that lead to formal, established grievance procedures. Reviewed 127 SR client files and 101 SR provider files. Interviewed the Director of Eligibility, Determination, Enrollment & Payment on 9/22/09.

The ELC 2 Service Provider informs parents/guardians at the time of initial enrollment of a mechanism to file a grievance through the receipt of a copy of the *Terms and Conditions* form which states: “I understand that I may file a grievance with Family Central, Inc. if I am found ineligible for a service; if a service is ended, suspended or reduced; or if I am unhappy with any school readiness service.” Families continuing services through the redetermination process are informed of the right to file a grievance in the *Terms and Conditions* form; however, there is no information provided at that time as to how to file the grievance.

- 127 client files (100%) included signed *Terms and Conditions*.

Reviewed Provider Service Agreement (2007-2008) and Amendment (2008-2009) but neither document contains grievance procedures or forms:

- 101 provider files (100%) included *Service Agreements and Amendments*.

Note: The 2008-2009 draft grievance policy was under review by Senior Management during the second half of the contract year and approved on September 3, 2009. The revised protocol “the Grievance and Appeals Process” that ensures parents/guardians and child care providers are proactively informed of Family Central’s complaint procedures in writing went into effect September 3, 2009, and to ensure continued compliance has been implemented for FY09-10 and the “Grievance and Appeals Process Overview” was mailed to all providers on 9/21/09.

No Action at this time: Upon completion of monitoring in November 2008, the ELC 2 Service Provider began steps to put into place written information as to how to file a grievance. The ELC 2 Service Provider's Standard Operating Procedure Grievance and Appeals Process was finalized on September 3, 2009. Additionally, the ELC 2 Service Provider began work on the Provider Service Agreement Amendment. The amendment states: "The Provider has a right to file a grievance with Family Central in accordance with Family Central's grievance policy in the event that the Provider believes that payment has been denied or the contract has been terminated contrary to or not in accordance with applicable laws, rules, statutes, FCI policies or protocols, or this contract." This amendment was accepted by the Coalition and put into place for FY 2009-2010.

Service Provider response: Comment if desired.

	FCI Reported Results Actual <u>Number</u> Served	ELC Review Results validated?	Action needed?
<p>4. 90% of families served shall report satisfaction with services, including cultural competency/sensitivity, sensitivity of services to special needs, customer-friendliness, usefulness of services provided, efficiency of service, and convenience of hours and location of services.*</p>	4.a. Total number of families returning a survey: <u>3,410</u>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p> <p><i>If <u>yes</u> see row below for details.</i></p>
	4.b. Total number of families reporting satisfaction with:		
	<ul style="list-style-type: none"> Cultural Competency/sensitivity: <u>3357 responded, 3281 were satisfied for 98%</u> 	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
	<ul style="list-style-type: none"> Sensitivity of services to special needs: <u>52 responded, 51 were satisfied for 98%</u> 	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
	<ul style="list-style-type: none"> Customer friendliness: <u>3,403 responded, 3,319 were satisfied for 98%</u> 	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
	<ul style="list-style-type: none"> Usefulness of services provided: <u>3,343 responded, 3,291 were satisfied for 98%</u> 	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
	<ul style="list-style-type: none"> Efficiency of service: <u>3,391 responded, 3,330 were satisfied for 98%</u> 	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
	<ul style="list-style-type: none"> Convenience of hours and location 	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	

	of services <ul style="list-style-type: none"> Hours: <u>3,375 responded, 3,303 were satisfied for 98%</u> Location: <u>3,394 responded, 3,283 were satisfied for 97%</u> 		
	4.c. Percent Achieved: <u>98%</u>	<input checked="" type="checkbox"/> Met <input type="checkbox"/> Not Met	
Service Provider annual review: Briefly describe survey methodology and any success/challenges with achieving the outcome. <i>This outcome is measured via survey. Surveys are provided to parents at moment of enrollment, with eligibility redetermination packages, and they are also available at the front desk.</i>			
Documents to be ready for ELC on-site annual review: Satisfaction surveys from families with results tallied for individual categories			
ELC review comments: Reviewed results of annual summary documentation for the Eligibility Determination and Enrollment Department Parent Survey 2008-2009. A total of 4,690 surveys were distributed and 3,410 families (73%) returned a survey. A total of 3,410 families who used ELC 2 services completed all or part of the ELC 2 satisfaction survey: <ul style="list-style-type: none"> 3,281 of 3,410 families (96%) were satisfied with cultural competency/sensitivity. 3,319 of 3,410 families (97%) were satisfied with customer friendliness. 3,291 of 3,410 families (97%) were satisfied with usefulness of services provided. 3,330 of 3,410 families (98%) were satisfied with efficiency of service. 3,283 of 3,410 families (96%) were satisfied with convenience of location of services. 3,303 of 3,410 families (97%) were satisfied with convenience of hours of services. 3,328 of 3,410 families (98%) were overall satisfied with services. 51 of 52 families (98%) were satisfied with sensitivity of services to specials needs. <i>All documents and data results reported were reviewed and validated.</i>			
5. 85% of providers using ELC 2 services shall report overall satisfaction with services, including cultural competency/sensitivity, customer-friendliness, usefulness of services provided, efficiency of service, and convenience of access.*	FCI Reported Results Actual <u>Number</u> Served	ELC Review <i>Results validated?</i>	Action needed?
	5.a. Number of providers using ELC 2 services surveyed: <u>600</u>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
	5.b. Number of said providers returning satisfaction surveys: <u>234</u>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<i>If <u>yes</u> see row below for details.</i>

	<ul style="list-style-type: none"> • Cultural Competency/sensitivity: <u>230 responded, 211 were satisfied (92%)</u> 	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
	<ul style="list-style-type: none"> • Customer friendliness: <u>231 responded, 203 were satisfied (88%)</u> 	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
	<ul style="list-style-type: none"> • Usefulness of services provided: <u>231 responded, 223 were satisfied (97%)</u> 	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
	<ul style="list-style-type: none"> • Efficiency of service: <u>234 responded, 213 were satisfied (91%)</u> 	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
	<ul style="list-style-type: none"> • Convenience of hours and location of services: <ul style="list-style-type: none"> • <u>Hours: 228 responded, 214 were satisfied (94%)</u> • <u>Location: 228 responded, 194 were satisfied (85%)</u> 	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
	5.c. Percent Achieved: <u>Over all 229 responded and 209 were satisfied for 91%</u>	<input checked="" type="checkbox"/> Met <input type="checkbox"/> Not Met	

Service Provider annual review: Briefly describe survey methodology and any successes/challenges with achieving the outcome. *Surveys are distributed to all providers once a year. Surveys are mailed to all the providers and they are also handed out as requested.*

Documents to be ready for on-site annual review: Satisfaction surveys from providers with results tallied for individual categories

ELC review comments: Reviewed results of Eligibility Determination and Enrollment Department Provider Survey summary data conducted for January 2009. Six hundred (600) surveys were mailed to providers receiving payment from School Readiness funds; two hundred thirty four (234) surveys (39%) were partially or fully completed and returned.

Providers reported overall satisfaction of services:

- 211 of 234 providers (90%) were satisfied with cultural competency/sensitivity.
- 203 of 234 providers (87%) were satisfied with customer friendliness.
- 223 of 234 providers (95%) were satisfied with usefulness of services provided.

- 213 of 234 providers (91%) were satisfied with efficiency of service.
- 194 of 234 providers (83%) were satisfied with convenience of service location.
- 214 of 234 providers (91%) were satisfied with convenience of hours of services.
- 209 of 234 providers (89%) were overall satisfied with services.

All documents and data results reported were reviewed and validated.

6. 100% of formal service linkage agreements and procedures, that are approved by the COALITION, with all Early Care and Education System Providers and pertinent community partners in order to coordinate services and prevent duplication shall have been developed within thirty (30) days from the date of execution of a contract and shall be implemented, followed, and revised as needed. This is inclusive of the link to Broward County Child Care Licensing and Enforcement, as to communication about the change in status of, or critical incident with, any child care provider. Linkage agreements shall be actively implemented and maintained throughout the service year.	ELC Review	Action needed?
	<input type="checkbox"/> Met <input checked="" 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: The Contractor shall develop a working knowledge of other community social service agencies to facilitate appropriate referrals and partnership. The Contractor must delineate in writing how it intends to collaborate with these agencies to facilitate the provision of comprehensive, non-duplicative early learning services in order to make maximum use of indigenous resources.

Contractor Responsibility: The Contractor shall develop a communication system with Broward County Licensing to ensure that Contractor is aware of the current licensure status of all Providers with service agreements and certificate vouchers with the exception of informal care providers.

Service Provider annual review: Note the organizations with whom linkage agreements were executed and any successes/challenges with achieving the outcome. *Service agreements were obtained with ChildNet, WorkForce One, and Broward County Licensing. All Linkage Agreements were sent to the respective agencies within 30 days of execution of the ELC 2 contract. FCI believes that this outcome has been met since all the agreements were sent to the agencies on time.*

Documents to be ready for ELC on-site annual review: Copies of all signed and dated linkage agreements.

ELC review comments: Reviewed three (3) linkage agreements: Reviewed one (1) Linkage Agreement with WorkForce One, dated September 18, 2008 and signed **October 15, 2008**. Reviewed one (1) Linkage Agreement with Child Net, dated September 18, 2008 and signed **October 17, 2008**. Reviewed one (1) Memorandum of Agreement with Broward County Child Care Licensing and Enforcement, dated October 22, 2008 and signed **November 7, 2008**. The ELC 2 contract was fully executed on June 30, 2008. Evidence of agreement development with the respective agencies within the 30 days of execution of this Contract was not available. *All documents reported were reviewed and validated as presented.*

No Action at this time: *The ELC 2 Service Provider already made an adjustment to ensure this objective is met for the 2009-2010 contract year. The ELC 2 Service Provider has developed and implemented linkage agreements in place for 2009-2010 with the same partners*

mentioned above.

Service Provider response: Comment if desired.

7. 100% participation in monthly Early Care and Education system coordination team meetings shall occur by a representative of the Service Provider and all services shall be actively and successfully coordinated with system partners and with the COALITION.	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: The Contractor shall participate in associations; attend the Coalition’s annual meetings; participate in community collaborative groups; and attend Coalitions’ in-service training sessions to the greatest extent possible and consistent with funding, program description and design.

Service Provider annual review: Please submit a list of associations and community collaborate groups that ELC 2 participated in 2008-2009. *This is a list of associations and community collaborate groups that ELC2 participated in 2008-2009: WFO Youth Council Board; WFO, DCF and FCI monthly systems meeting; Waitlist Committee, Homeless Program Continuum Care, Family Provider Meeting for the Homeless, Entrant Task Force meeting.*

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

8. 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 report, within the applicable confidentiality regulations.	FCI Reported Results Actual <u>Number</u> Served	ELC Review <i>Results validated?</i>	Action needed?
	8.a. Number of complaints received: <u>37</u>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
	8.b. Number of complaints reported to FLDCF and ELC: <u>37</u>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<i>If <u>yes</u> see row below for details.</i>
	8.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: Copies of complaints/observations received and documentation showing each have been reported to DCF.

ELC review comments: Interviewed a Manager and an Administrative Assistant on the process that occurs when receiving abuse complaints. Reviewed Service Provider Abuse/Neglect Complaints for the fiscal year of each report phoned to the Department of Children and Families, Florida Abuse Hotline. A total of 37 complaints were received and reported to Abuse Hotline. Beginning in December 2008, the ELC 2

Service Provider improved their process of notifying the Coalition of said abuse reports. Reviewed Coalition emails for evidence of said complaints received beginning December 2008. *All documents and data results reported were reviewed and validated.*

Adjustment Required: *In order to ensure this objective is met for 2009 - 2010, the ELC 2 Service Provider shall follow their existing protocol and maintain back-up documentation in an organized manner throughout the year to ensure that the backup documentation supports reported data.*

Service Provider plan to meet adjustment required (HOW) Explain: *At this time the protocol has been reviewed and staff has been reminded of its implementation and the necessity to maintain the back up documentation in an organized manner.*

9. 100% of complaints received, or observations, concerning potential child care licensing violations shall be tracked and reported to Broward County Child Care Licensing and Enforcement and feedback on the outcome from Broward County Child Care Licensing and Enforcement shall be documented.	FCI Reported Results Actual <u>Number</u> Served	ELC Review Results validated?	Action needed?
	9.a. Number of complaints received by ELC2: <u>58</u>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
	9.b. Number of complaints reported to BCCCLE: <u>58</u>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<i>If <u>yes</u> see row below for details.</i>
	9.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: ELC 2 Complaint Log with copies of complaints/observations received and documented licensing violations have been reported to BCCCLE and feedback recorded.

ELC review comments: Interview with a Manager and an Administrative Assistant on the process that occurs when receiving complaints concerning potential child care licensing violations. Reviewed Licensing Violations Complaint log for evidence of complaints or observations concerning potential child care licensing violations tracked and reported to Broward County Child Care Licensing, and any supporting documentation of feedback received on complaints. A total of 58 complaints received with feedback from Broward County Child Care Licensing (BCCCLE) on 30 of the cases (52%) reported; an increase of 17% more cases with feedback than in the previous year. *All documents and data results reported were reviewed and validated.*

Adjustment Required: *In order to ensure this objective is met for 2009 - 2010, the ELC 2 Service Provider shall follow their existing protocol and maintain back-up documentation in an organized manner throughout the year to ensure that the backup documentation supports reported data.*

Service Provider plan to meet adjustment required (HOW) Explain: *At this time the protocol has been reviewed and staff has been reminded of its implementation and the necessity to maintain the back up documentation in an organized manner.*

10. 100% of other complaints concerning providers shall be referred to the Service Provider(s)	FCI Reported Results Actual <u>Number</u> Served	ELC Review Results validated?	Action needed?

providing, Quality Improvement Supports (ELC 3) and/or Quality Assurance (ELC 4) as appropriate, and feedback on the outcomes shall be documented.	10.a. Total number of complaints concerning providers received: <u>0</u>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <i>If <u>yes</u> see row below for details.</i>
	10.b. Total number of Providers referred to the ELC 3 and ELC 4 Service providers as appropriate with feedback on outcomes documented: <u>0</u>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
	10.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) Provider complaint log (2) Supporting documentation for referral and feedback on outcomes.

ELC review comments: The Service Provider Log of Complaints was not available for review. No feedback on the outcomes was documented. *All documents and data results reported were reviewed and validated.*
 Interview with ELC 2 Director of Director of Eligibility, Determination, Enrollment & Payment on 9/21/09 indicated there were no complaints concerning providers received in 2008-2009, to refer to the Service Provider(s) providing, Quality Improvement Supports (ELC 3) and/or Quality Assurance (ELC 4).

Adjustment Required: *In order to ensure that the intent of this objective is met for the 2009 - 2010 contract year, the ELC 2 Service Provider shall train staff to follow the existing department protocol: "Complaints Directed Towards Providers"; add to Attachment 1, Section "Reported To:" two new entities: the ELC 3 and ELC 4 Service Providers; and maintain a log book available for viewing back-up documentation in an organized manner throughout the year.*

Service Provider plan to meet adjustment required (HOW) Explain: *Although this outcome was met in the 2008-2009 fiscal year and the appropriate staff have been trained to report any issues to ELC 3 and ELC 4, FCI will develop a tracking log where staff will be able to record any issues that are forwarded to ELC 3 and ELC 4 and will add it to Attachment 1 of the applicable protocol by January 15, 2010.*

ELC Note: *The ELC agrees to extend the response date to close of business January 4, 2010. ELC anticipates that the ELC 2 Service Provider's response by that date will suffice to meet the expectations of monitoring, but understands that additional enhancement of the response may be forthcoming after that due date.*

11. 100% of required data shall be collected, entered, and tracked in accordance with State of Florida and COALITION standards and requirements and reports shall be delivered complete and on time and 100% of report requests that appear in the "Office of Early Learning's EFS Available Reports List" made by the COALITION shall be provided in a timely manner.	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 will review its own Contract Obligations Checklist.

ELC review comments: Reviewed Coalition’s ELC 2 Contract Obligation Checklist to confirm reports were delivered by contractual commitment dates. Reviewed emails for report arrival dates. The ELC 2 Contract Obligation 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 or delayed with permission. Seventeen (17) reports were due to the Coalition; 100% of the required monthly, quarterly, annual, and ad hoc data and reports were submitted complete and on time in accordance with state and local standards and requirements: Thirteen (13) monthly Key Data reports; three (3) quarterly; and one (1) annual report; for a total of 17 reports submitted on time to the Coalition.

12. 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: ELC Fiscal department will review invoices submitted for timely submission.

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

13. 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: Fiscal department will review budgets for deficit spending and significant surplus of funds.

ELC review comments: Reviewed contract budget and modifications in comparison to the actual expenditures for fiscal year 2008-2009. Budget management objectives were met.

SCHOOL READINESS

1. 100% of parents/guardians receiving eligibility determination services shall also have received child care resource and referral services and shall have been offered family needs screening services through the Resource and Referral and Family Education and Supports (ELC 1) Service Provider.	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 (1) Client File Review: Eligibility Appointment Checklist confirming family needs

screening services were offered (2) Client File Review for services received by Resource and Referral

ELC review comments: Reviewed signed and dated *Eligibility Appointment Checklists* in client files for documented evidence that families receiving *on-site, in-person*, eligibility determination services also received child care resource and referral services and were offered family needs screening services through the Resource and Referral and Family Education and Supports (ELC 1) Service Provider. Reviewed mail-in recertification packet for the “*Do you Need to Choose Child Care?*” form which tells the reader how to reach Resource & Referral. All clients receive Resource and Referral services before receiving their initial eligibility determination services per interview with the ELC 2 Service Provider.

Reviewed 127 client files: 101 non-school-age children (80%) and 26 school-age children (20%) for evidence that clients receiving eligibility determination services shall also have received child care resource and referral services and were offered family needs screening services through the Resource and Referral and Family Education and Supports (ELC 1) Service Provider.

Fifty nine (59) client files contained signed and dated *Eligibility Appointment Checklists*:

- Fourteen (14) clients were referral clients from ChildNet/BSO and first time receivers of financial assistance; all clients received R&R during the referral process; family needs screening services are not necessary for these clients to avoid duplication of services.
- Twenty-three (23) clients were referral clients from WFO and first timer receivers of financial assistance; clients receive R&R services at the time of WFO orientation and the family needs screening is offered during the referral process when requested.
- Twenty-two (22) income eligible clients received *on-site, in-person eligibility determination counseling* which included the *Eligibility Appointment Checklist* indicating that families who received services from the ELC 2 Service Provider also received resource and referral services and were offered family needs screening services.
- Sixty-eight (68) clients were currently enrolled and reminded of the R&R services during the mail in recertification process.

2. 95% of parents/guardians receiving eligibility determination services shall be offered an opportunity to make an appointment within seven (7) business days of the ELC 1 Service Provider confirming to the ELC 2 Service Provider that the customer has a valid choice of provider.	FCI Reported Results Actual <u>Number Served</u>	ELC Review <i>Results validated?</i>	Action needed?
	2.a. Total number of clients: <u>1,854</u>	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
	2.b. Number of appointments offered within 7 days: <u>1,743</u>	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	<i>If <u>yes</u> see row below for details.</i>
	2.c. Percent achieved: <u>94%</u>	<input type="checkbox"/> Met <input checked="" type="checkbox"/> Not Met	

Service Provider annual review: *Although FCI attempts to provide all clients the opportunity to have an appointment within 7 days, some times this goal may be limited by the number of counselors that we have in this program. In periods of high referrals or enrollments, this goal becomes particularly difficult to achieve due to the number of staff allocated.*

Documents to be ready for ELC on-site annual review: (1) Copies of data tabulation confirming appointment was offered within seven (7) days – data tabulation: appointments made, appointment date offered, and date accepted by the client and valid choice of provider; (2) Copy of Procedure/Protocol that connects R&R with EDE

ELC review comments: Reviewed ELC 1 Service Provider quarterly emails of summary data for appointments offered for clients within seven (7) business days and confirming valid choice of provider. Reviewed Waitlist Management for Enrollment Department Protocol that connects R&R with EDE revised July 9, 2009. ELC 1 and ELC 2 data does not match. ELC 1 Service Provider reports 4,294 appointments made during the contract year with 1,457 made by *WorkForce One* staff; according to ELC 2 and ELC 1 Service Providers, 3,311 families attended appointments. ***All reported data cannot be validated across contracts.***

[Note: R&R counselors attend WorkForce One orientations and provide general R&R services to clients with opportunity for personal follow-up with R&R counselors via telephone. WorkForce One counselors are reported to make all appointments for their clients directly with ELC 2 within a seven day period.]

Corrective Action: *In order to ensure that this objective is met for 2008-2009 contract year, this ELC 2 Service Provider shall submit to Coalition staff by December 30, 2009, clarification as to the discrepancies in the information presented and the total number of clients (at-risk, WFO, and income eligible) who received eligibility determination services and were offered an opportunity to make an appointment within seven (7) business days of the ELC 1 Service Provider confirming to the ELC 2 Service Provider that the customer has a valid choice of provider. Additionally, in order to ensure that this objective is met for 2009-2010 contract year, this ELC 2 Service Provider shall submit to Coalition staff by December 30, 2009, a revised operations plan collaborating with the ELC 1 Service Provider on a data collection process that ensures that all clients (at-risk, workforce one and income eligible) are offered an appointment within 7 days and an appropriate tracking mechanism is in place including and how the ELC 2 Service Provider will proactively inform the Coalition of issues with meeting this goal during high enrollment periods, in order that the Coalition may address special circumstances that arise.*

Service Provider plan to meet compliance (HOW) Explain: *FCI does not agree that there is a discrepancy with the numbers reported for the clients that came for an appointment within 7 days (1,854), and the number of clients offered an appointment within 7 days (1,743). This specific outcome was also discussed in the 2007-08 ELC monitoring at which time it was explained that WorkForce One makes their appointments for FCI EDE counselors within 7 business days and that the appointments were not made by R&R. As stated in the 2007-08 ELC monitoring review comments for this specific outcome: "Reviewed ELC 1 summary data of appointments offered within seven (7) business days and confirming valid choice of provider. Interviewed EDE Director on process of appointment scheduling for WFO clients. All documents and data results reported were reviewed and validated...", "Note: WorkForce One counselors make all appointments for their clients directly with ELC 1 and ELC 2 within a seven day period." The 2007-08 ELC comments for this outcome did not require FCI to track or count the number of appointments set by WorkForce One for FCI EDE counselors. Because of this reason, the number of appointments set at the WorkForce One locations should not be counted in 2008-09 outcomes. FCI respectfully requests that this outcome be amended to say Substantially Met as the percent achieved was 94% with a 95% target. FCI will investigate ways in which the appointments for WorkForce One can be tracked and will measure the effectiveness of tracking and the efforts required to manually track these appointments. FCI will need to coordinate with WorkForce One and be able provide recommendations as to how to track these appointments by January 15, 2010.*

*With regard to data discrepancies across FCI ELC contracts, ELC contracts currently require **over 275 output and demographic measures** to be counted and reported each month. Because of the limitations of EFS and ancillary state data systems (SPE), much of this data has to be*

collected and counted manually by R&R and EDE counselors and management staff on a daily, weekly and monthly basis and tracked in spreadsheets. For data that is pulled from EFS, there are different ways and at different times that the FCI departments pull and report data. In order to address the ELC's questions about data correlation, FCI is creating a report which explains how each of the 275 measures are collected, counted and reported. This will be completed by January 31, 2010.

ELC Note: *The ELC agrees to extend the response data to close of business January 4, 2010. ELC anticipates that the ELC 2 Service Provider's response by that date will suffice to meet the expectations of monitoring, but understands that additional enhancement of the response may be forthcoming after that due date. The ELC accepts the January 31, 2010 deadline to complete the FCI-initiated report which explains how each of the 275 measures are collected, counted and reported, to ensure synchronized data collection practices.*

	FCI Reported Results Actual <u>Number</u> Served	ELC Review Results validated?	Action needed?
3. 85% of families who are scheduled for a first appointment with the Eligibility Determination, Application Processing, Slot Management and Provider Payment (ELC 2) Service Provider shall come to that first appointment with appropriate documentation and a provider selection.	3.a. Number of families that came to scheduled appointments: <u>3,311</u> ; <u>2,564- last 3 quarters</u>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <i>If <u>yes</u> see row below for details.</i>
	3.b. Number of families that provided proper documentation at initial scheduled appointment: <u>2,563</u>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
	3.c. Number of families that provided selected provider at initial scheduled appointment: <u>2,769</u>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
	3.d. Number of families that provided proper documentation and a provider selection at initial scheduled appointment: <u>1,637</u>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
	3.3. Percent achieved: <u>1,637/2,564=</u> <u>64%</u> <i>77% provided documentation and 84% provided selected provider</i>	<input type="checkbox"/> Met <input checked="" type="checkbox"/> Not Met	

Service Provider annual review: *This outcome is out of the control of FCI: although we provide clients with a list of documents to bring and a list of providers to choose from, it is always up to the client to come to their appointment with the requested documentation. This information is provided to all clients by the R&R department and by the EDE department when the appointment is scheduled for the client.*

Documents to be ready for ELC on-site annual review: Summary of Daily Tracking Logs identifying scheduled appointments for families and those who came with a valid provider selected.

ELC review comments: Reviewed summary of monthly appointment statistics to validate the number of families scheduled for their first appointment and those coming with appropriate documentation *and* a provider selected. ELC 1 data indicated 4,294 families were scheduled for a first appointment with the ELC 2 Service Provider and 3,311 families (77%) attended the appointment.

Summary data indicated that 3,311 families attended their appointment:

- 1,637 families (49%) came to the first appointment with appropriate documentation and a provider selected; and
- 1,674 families (51%) were not completely prepared for their appointment.

Summary data further revealed:

- 2,563 families (77%) came to the first appointment with proper documentation.
- 2,769 families (84%) came to the first appointment with a provider selected.

All documents and data results reported were reviewed and validated.

Corrective Action: *In order to ensure that this objective is met for 2009-2010 contract year, the ELC 2 Service Provider shall submit to the Coalition for approval, by December 30, 2009, a written operations plan with implementation strategies (along with a timeline) that will ensure that families who are scheduled for a first appointment with the Eligibility Determination, Application Processing, Slot Management and Provider Payment (ELC 2) Service Provider will come to that first appointment with appropriate documentation and a valid provider selected.*

Service Provider plan to meet compliance (HOW) Explain: *As reported in the Eligibility Determination, Application Processing, Slot Management and Provider Payment (ELC2) 3rd Quarter Report, this outcome is out of the control of FCI; although we provide clients with a list of documents to bring and a list of providers to choose from, it is always up to the client to come to their appointment with the requested documentation. This information is initially provided to all clients by the R&R department when they sign up for the wait list. R&R also reminds the clients to bring the proper documentation and a provider selected when their appointment is set. Clients are then sent an appointment notice with the same information. Finally clients are reminded again with a phone call before their appointment to bring required documentation and to have a provider selected. At this time we believe that we are performing due diligence in informing clients of the proper documentation to bring to their appointment with the current resources and do not see the necessity to write a plan that will only include the existing efforts.*

ELC Note: *This objective is intended to ensure that FCI has done everything possible to promote and ensure that clients come prepared to their appointments, in order to make the most efficient use of counselor time. Although this is not entirely in FCI's control, it has been shown through past years that activities put in place by FCI to achieve this outcome are successful at influencing client behavior in this way. ELC would like ELC 2 to seek ways to enhance the current activities to improve the level at which the outcome is achieved. ELC suggests looking at past achievement of this outcome by FCI, which has been met at a higher rate in previous years, to see what may have changed and what techniques may benefit from being enhanced or reemphasized at this time. The ELC 2 Service Provider shall submit to the Coalition for approval, by January 4th, 2010, a written operations plan with implementation strategies (along with a timeline) that will ensure that families who are scheduled for a first appointment with the Eligibility Determination, Application Processing, Slot Management and Provider Payment (ELC 2) Service Provider are more likely to come to that first appointment with appropriate documentation and a valid provider selected. ELC anticipates that the ELC 2 Service Provider's response by that date will suffice to meet the expectations of*

monitoring, but understands that additional enhancement of the response may be forthcoming after that due date.

	ELC Review	Action needed?
<p>4. 90% of parents'/guardians' eligibility determination and redetermination shall be determined accurately. (COALITION monitoring standard shall be 90%, but eligibility documentation must be corrected to 100% if errors are discovered at monitoring.)</p>	4.a. Number of client files reviewed: <u>127</u>	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <i>If <u>yes</u> see row below for details.</i>
	4.b. Number of client files determined accurately: <u>121</u>	
	4.c. Percent achieved: <u>95%</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:
 ELC will perform a Client File Review for Eligibility documentation including current and completed:

- Eligibility and Enrollment Applications for School Readiness Services forms; and
- Referral forms; and
- Client Rights and Responsibilities Forms; and
- Terms and Conditions Forms; and
- Documentation of Age; and
- Income sheets to determine eligibility and parent fees.

ELC review comments: Reviewed 127 client files for accurate eligibility determination and redetermination documentation including current and completed “Eligibility and Enrollment Application” for School Readiness Services’ forms, Referral forms, Client Rights and Responsibilities Forms, Documentation of Age, Income sheets to determine eligibility and parent fees.

- One hundred twenty-one (121) of client files (95%) indicated parents’/guardians’ eligibility determination and re-determination had been determined accurately; and
- Six (6) client files (5%) indicated eligibility determination and re-determination had been determined incorrectly:
 - Four (4) referral files (3%) contained referrals for eligibility but eligibility determination was **not completed within 10 days** of referral date. [clients **#13, #18, #100** and **#105**]
 - One (1) client file (1%) contained a Client Rights and Responsibilities form but it was **not signed** for the review period. [client **#84**]
 - One (1) client file (1%) was recalculation during monitoring upon Coalition request for updated paystub documentation. [client

#44] This recalculation resulted in lower fees for the clients due to current fee scale for the 2009 - 2010 fiscal year.

The Objective has been met at 95% according to COALITION monitoring standards; however, eligibility documentation must be corrected to 100% since errors were discovered at monitoring.

No Action at this time: The ELC 2 Service Provider has already made appropriate adjustments during the Coalition's ten-day response period given to the ELC 2 Service Provider; all eligibility documentation was corrected to 100% and evidence was provided to the Coalition.

Service Provider response (if desired):

	ELC Review	Action needed?
5. 100% of client files, for those clients requesting and receiving financial assistance for school readiness funded early care and education services (slots), must contain required elements in accordance with 60BB-4.200-4.209, Florida Administrative Code.	5.a. Number of client files reviewed: <u>127</u>	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <i>If <u>yes</u> see row below for details.</i>
Required elements: Documentation to verify proof of age; current referral; current computer generated Eligibility & Enrollment application form; child's legal name and identification number appropriately entered and completed; current notice of eligibility determination, timely redetermination or documented exceptions; termination of services for families who are no longer eligible; case notes generated using the EFS system; complete parent information including copy of official identification, official documentation of family size and verification of Employment and Family Income Form.	5.b. Number of client files containing required elements: <u>127</u>	
	5.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: ELC will perform a Client File Review.

ELC review comments: Reviewed 127 client files for all required elements in accordance with 60BB-4.200-4.209.

	ELC Review	Action needed?
6. 100% of application processing and provision of financial assistance for child care to parents/guardians shall be performed in accordance with the State of Florida and local COALITION service priorities and as funding permits.	6.a. Number of client files reviewed: <u>127</u>	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <i>If <u>yes</u> see row below for details.</i>
	6.b. Number of said files in compliance: <u>127</u>	
	6.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) Copy of Enrollment procedures that delineates compliance with Coalition service priority groups (2) ELC will perform a Client File Review			
ELC review comments: Reviewed ELC 2 Service Provider's <i>Department Protocol Intake Process</i> , revised 9/24/08. Reviewed 127 client files and found all enrollments (100%) to have been completed according to the guidelines established.			
<p>7. 100% of families who have sought assistance with child care options shall have been given and 90% will report having received information on their right to choose their provider setting and location and of their right to unlimited access to their child in that setting and location during care hours.</p>	ELC Review		Action needed?
	7.a. Number of client files reviewed: <u>127</u>		<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <i>If <u>yes</u> see row below for details.</i>
	7.b. Number of client files given information on their right to choose their provider: <u>127</u>		
	7.c. Number of client files reporting having received said information: <u>126</u>		
	Percent Achieved: <u>100% families given information; 99% reported received information verified by signature</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: Client File Review for (1) Eligibility Appointment Checklists; (2) Clients Rights and Responsibilities; (3) Terms and Conditions.			

ELC review comments: Reviewed *Client Rights and Responsibilities* form for indication of information on families' right to choose their provider setting and location and of their right to unlimited access to their child in that setting and location during care hours. Reviewed ELC 2 Service Provider's *Department Protocol Intake Process*, revised 9/24/08.

Reviewed 127 client files for signed and dated *Client Rights and Responsibilities* form:

- One hundred twenty seven (127) client files (100%) included a copy of the *Client Rights and Responsibilities* form
- One hundred twenty-six (126) client files (99%) included a signed and dated copy of the *Client Rights and Responsibility* form; and
- One (1) client file (1%) included a copy of the *Client Rights and Responsibility* form but was not signed or dated. This client did sign a *Client Rights and Responsibility* form four months after the period of review.

8. 100% of families receiving financial assistance for school readiness funded early care and education services (slots) must be regularly re-determined in accordance with applicable statutory and regulatory provisions and COALITION Re-determination Policies.	ELC Review	Action needed?
	8.a. Number of client files reviewed: <u>127</u>	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <i>If <u>yes</u> see row below for details.</i>
	8.b. Number of client files re-determined timely: <u>127</u>	
	8.c. Percent achieved: <u>100%</u>	
<input checked="" type="checkbox"/> Met <input type="checkbox"/> Not Met		

Contractor Responsibility: Include in the redetermination process the advance notification of pending redetermination with an accompanying packet mailed to each family expecting a redetermination. The packet would include, but not be limited to, requests for proof of income, family size documentation, proof of birth and other information required by the State of Florida and/or the Coalition.

Service Provider annual review: Comment if needed.

Documents to be ready for ELC on-site annual review: Client File Review for regular and timely redeterminations conducted in accordance with applicable statutory and regulatory provisions

ELC review comments: Reviewed 127 client files for regular and timely redetermination services.

- One hundred twenty-seven (127) client files indicated that all clients (100%) were re-determined appropriately at either six (6) months or annual intervals in accordance with applicable statutory and regulatory provisions and COALITION Re-determination Policies.

9. 90% of families receiving re-determination services must be notified upon completion of re-determination.	ELC Review	Action needed?
	9.a. Number of	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No

	client files reviewed which received redetermination services: <u>127</u>	<i>If <u>yes</u> see row below for details.</i>	
9.b. Number of said client files receiving notification upon completion: <u>127</u>			
9.c. Percent Achieved: <u>100%</u>			
<input checked="" type="checkbox"/> Met <input type="checkbox"/> Not Met			
Contractor Responsibility: This notice shall include current status of family's re-determination including any changes in parent fees and/or notice of termination if gross income exceeds level.			
Service Provider annual review: Comment if needed.			
Documents to be ready for ELC on-site annual review: Client File Review for documentation to parents notifying redetermination is complete			
ELC review comments: Reviewed 127 client files for redetermination completion notification. <ul style="list-style-type: none"> One hundred twenty-seven (127) client files (100%) contained notification sent to families upon completion of re-determination. 			
10. 100% of parents/guardians receiving financial assistance for child care shall receive such assistance for legally operating child care settings only.	ELC Review	Action needed?	
	10.a. Number of client files reviewed: <u>127</u>	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <i>If <u>yes</u> see row below for details.</i>	
	10.b. Number of child care settings found in review: <u>101</u>		
	10.c. Number of said settings found to be legally operating: <u>101</u>		
	10.d. Percent achieved: <u>100%</u>		

Met Not Met

Service Provider annual review: Comment if needed.

Documents to be ready for ELC on-site annual review: (1) Copy of list of all legally operating child care facilities located in Broward County (2) ELC will perform a Client File Review and verify enrollment with legally operating providers.

ELC review comments: Reviewed 127 client files that were served by 101 early care and education providers. Reviewed Provider Short list Report of legally operating child care facilities in Broward County generated from EFS on 9/8/09. Confirmed legally operating child care facilities in Broward County on Broward County Child Care Licensing and Enforcement website and Miami Dade Child Care Lookup website. Reviewed Service Agreements for 101 providers for evidence of current license. All 101 providers (100%) reviewed were legally operating child care settings.

	ELC Review	Action needed?
<p>11. 95% of parent-requested provider transfer shall be processed within three (3) business days of initial request.</p>	<p>11.a. Number of client files reviewed: <u>81</u></p>	<p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p> <p><i>If <u>yes</u> see row below for details.</i></p>
	<p>11.b. Number of said files requesting transfer: <u>9</u></p>	
	<p>11.c. Percent of transfers processed within three (3) business days: <u>88%</u></p>	
	<p><input checked="" type="checkbox"/> Substantially Met <input type="checkbox"/> Not Met</p>	

Contractor Responsibility: Work closely with new and existing providers to ensure smooth transition. Paperwork in client file should reflect all provider change requests and actions including any delinquent parent fee owed to existing provider.

Service Provider annual review: Comment if needed.

Documents to be ready for ELC on-site annual review: ELC will conduct client file review for transfers processed as documented on Child Care Provider Telephone Transfer Form

ELC review comments: Reviewed eighty-one (81) client files for transfers completed within three (3) business days of initial request. Nine (9) client files (11%) indicated parent-requested provider transfers. Reviewed nine (9) client files for evidence of processed transfers: Eight (8) transfers were processed within three (3) business days of the initial telephone request; one (1) transfer request was processed in

advance of the requested summer transfer date.

FCI's Response: *As stated in the ELC's comments above: "one (1) transfer request was processed in advance of the requested summer transfer date." This transfer was requested and executed on the date requested by the parent. This transfer should be considered as meeting the intent of the outcome since the parent and FCI were proactive in the process and were attempting to schedule ahead of time. FCI respectfully requests that the percentage achieved is amended to 100%.*

ELC Note: *The transfer was processed for the parent as FCI indicates; however, it was not processed in the three-day time frame required by the objective. The objective is recorded as substantially met.*

<p>12. 100% of parents with children, birth to school-age, enrolled in COALITION financially assisted care and/or COALITION identified family support programs that are without a primary health care physician shall be provided with a list of primary health care resources for their children.</p>	ELC Review	Action needed?
	12.a. Number of client files reviewed: <u>127</u>	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <i>If <u>yes</u> see row below for details.</i>
	12.b. Number of said files provided list of health care resources for families: <u>127</u>	
	12.d. 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) Procedures/policy on distribution of primary health care resources (2) The current list of primary health care resources offered and distributed to parents (BCHD Resource Directory); (3) ELC Interview with client for confirmation of distribution.

ELC review comments: Reviewed Broward County Health Department Resource Directory 2008. Reviewed procedure for distributing health care resources to families. Observed an eligibility appointment with a client on 9/17/09 and observed counselor utilizing *Eligibility Appointment Checklist* as she covered each topic. The client was given list of primary healthcare resources during the observed eligibility visit. Clients get a list of primary healthcare resources in their packet during eligibility appointments regardless if they need it.

<p>13. 100% of provider eligibility shall be determined accurately according to State of Florida and the local COALITION guidelines.</p>	ELC Review	Action needed?
	13.a. Number of provider files reviewed: <u>101</u>	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No

	13.b. Number of provider files determined accurately: <u>101</u>	<i>If <u>yes</u> see row below for details.</i>
	13.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: ELC will perform a Client File Review for eligibility to be determined accurately

ELC review comments: Reviewed one (1) Provider Short List Report for legally operating providers in Broward County generated on 9/8/09 from the EFS database. Reviewed Broward County Child Care Licensing and Enforcement’s Web page plus Miami Dade Child Care Lookup website for evidence of legal status for the 101 provider files connected to the client review. Provider data including the legal/licensing status is maintained in the EFS database and validated regularly by the ELC 1 Service Provider.

Reviewed 101 provider files for determination of eligibility according to State of Florida and the local Coalition guidelines:

- 98 provider files (97%) contained dated and signed Service Agreements and were confirmed to be licensed providers through review of licensing websites;
- 3 provider files (3%) contained dated and signed Service Agreements and were confirmed to be legally operating providers through review of documents within the actual onsite provider files maintained by the ELC 2 Service Provider.

All 101 providers (100%) were confirmed to be legally operating providers according to the EFS generated list.

	FCI Reported Results Actual <u>Number</u> Served	ELC Review <i>Results validated?</i>	Action needed?
14. 70% of all legally operating child care providers in Broward County shall participate in providing school readiness funded early care and education services.	14.a. Number of legally operating child care providers in Broward County: <u>1,057</u>	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	62% 671/1,091 N =1,091
	14.b. Number of said providers with a signed rate agreement to participate in providing school readiness funded early care and education services: <u>737 Signed agreements: 62 out of county and 675 Broward providers with signed rate agreements.</u>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <i>If <u>yes</u> see row below for details.</i>

	14.c. Percent achieved: <u>72%</u>	<input checked="" type="checkbox"/> Substantially Met <input type="checkbox"/> Not Met	
<p>Service Provider annual review: <i>FCI has no control over this outcome as providers have the choice of providing school readiness services or not. Also, this outcome greatly depends on parental choice, as parents might only use certain providers according to their needs, geographical location and/or cost. Currently we have providers with approved service agreements that have not received any clients due to parental choice, which means that we have more slots than the market needs. Due to the current economic conditions we are also seeing an increasing number of child care providers going out of business because of lack of referrals.</i></p>			
<p>Documents to be ready for ELC on-site annual review: (1) Review list of all legally operating providers (2) Review documentation of providers who have signed service agreements (spreadsheet aggregate data of attachments) (3) Client file review</p>			
<p>ELC review comments: Reviewed one (1) Provider Short List Report for legally operating providers in Broward County participating in providing school readiness funded early care and education services through service agreements. Reviewed Excel Spreadsheet of providers with signed Service Agreements. Reviewed EFS/R&R data report of all legally operating providers in Broward County during the contract period.</p> <p>A total of 1,115 providers were legally operating in Broward County during the 2008-2009 contract year (14 closed in the first quarter, 12 closed in the second quarter, 11 closed in the third quarter, and 21 closed in the fourth quarter), according to the CCR&R EFS database. 768 providers (69%) were reported by ELC 1 at year end to be willing to provide school readiness funded early care and education services; 814 providers served non-school-age children and 301 providers offered school-age only programs. According to a comparison of EFS data and ELC 2 manual data collection of providers with service agreements, 671 Broward legally operating providers (62%) held service agreements. [671/(1115-24) closed providers during the first 5 months of the contract year]</p> <p>Reviewed 101 provider files; all (100%) contained signed service agreements and were legally operating child care providers in Broward County (100 providers) and Miami Dade County (1 provider).</p> <p>This objective is determined to be Substantially Met at 62% with an adjustment to strategy required.</p> <p><i>Note: ELC 2 Service Provider identified the number of providers legally operating in Broward County on June 30, 2009, not those operating throughout the year. Additionally, the number of providers the ELC 2 Service Provider identified with Service Agreements includes those with providers served in Dade and Palm Beach Counties.</i></p>			
<p>Adjustment Required: <i>In order to ensure that this objective is met for 2009-2010 contract year, the ELC 2 Service Provider shall submit to Coalition staff by December 30, 2009, a revised operations plan collaborating with the ELC 1 Service Provider on a data collection process that ensures that all legally operating child care providers in <u>Broward County</u> are identified and offered an opportunity to participate in providing school readiness funded early care and education services and that signed rate agreements exist for all interested Broward providers.</i></p>			
<p>Service Provider plan to meet adjustment required (HOW) Explain: <i>As we have been reporting in the ELC quarterly reports since FY 2006-2007, this outcome is outside of FCI's control. Child care providers have the choice of participating in the school readiness program and make this decision based on a number of factors (market, demographics, location, economic conditions, staffing, etc...). This outcome</i></p>			

greatly depends on parental choice, as parents might only use certain providers according to their needs, geographical location and/or cost. At this time ELC 2 works closely with ELC 1 in the identification of qualifying providers that do not participate in school readiness. ELC 2 sends invitations to all active providers in the R&R data base that do not participate in the school readiness program and offers them the opportunity to become school readiness providers. Also if a client chooses a provider that does not have a service agreement, FCI contacts that provider and offers them the opportunity to participate in the program. It is important to note that the rates that providers are paid for this program, which are the rates set by the ELC of Broward County, are in many cases well below the private rates that providers charge. This, in addition to significant documentation, tracking and manual attendance processing, is a deterrent for providers to sign up for a program that might not cover their costs or meet their expected rate of return for the services they provide. FCI ELC 2 is working in tandem with R&R to reach providers that are not currently participating in the school readiness program.

ELC Note: The ELC understands that it is ultimately a provider's choice as to whether they will participate in school readiness, by signing a rate agreement or not. However, it is important that those who express interest are proactively offered an opportunity to do so. To that end, the ELC 2 Service Provider shall submit to Coalition staff, by January 4th, 2010, a revised operations plan collaborating with the ELC 1 Service Provider on a data collection process that ensures that all providers that indicate to the ELC 1 Service Provider that they are interested in providing school readiness services to children have been proactively offered a rate agreement to sign. The ELC 2 Service Provider shall submit to Coalition staff by January 4th, 2010, a revised operations plan collaborating with the ELC 1 Service Provider on a data collection process that ensures that all providers that indicate to the ELC 1 Service Provider that they are interested in providing school readiness services to children have been proactively offered a rate agreement to sign.

	FCI Reported Results Actual <u>Number</u> Served	ELC Review Results validated?	Action needed?
15. 100% of providers in Broward County who serve children, who receive financial assistance from School Readiness funds, shall participate in service agreements which adhere to and support the mission of School Readiness and its quality parameters.	15.a. Number of providers serving school readiness children: <u>730</u>	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	100% 100/100 N=100
	15.b. Number of providers participating in service agreements: <u>730</u>	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
	15.c. Percent achieved: <u>100%</u>	<input checked="" type="checkbox"/> Met <input type="checkbox"/> Not Met	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <i>If yes see row below for details.</i>

Contractor Responsibility: The Contractor shall survey providers to determine if they will charge additional fees other than transportation and late pickup fees and those in accordance with the Parent Co-Payment Schedule as established by the Coalition. This information shall become a part of the service agreement.

Contractor Responsibility: The Contractor shall survey providers to determine if they will participate in Quality Improvement Supports offered by the Coalition and its partners. This information shall become part of the service agreement.

Contractor Responsibility: The Contractor shall survey providers to determine what Curriculum is used by the program and what child

assessment tools are used to determine child progress in the program. This information shall become part of the service agreement.

Service Provider annual review: Comment if needed.

Documents to be ready for ELC on-site annual review: (1) Review documentation of providers with signed service agreements (2) Review documentation from Broward County providers who agree to serve school readiness children (ELC 1 information) (3) Summary of data (from the surveys) plus the actual aggregate data

ELC review comments: Reviewed EFS for providers paid during the 2008-2009 contract year for Broward and out-of County Providers. Reviewed Excel Spreadsheet of providers with signed Service Agreements. Reviewed 101 Provider Files for service agreements. All Provider files (100 Broward and 1 Dade) contained signed Service Agreements acknowledging adherence to and support of the mission of School Readiness and its quality parameters.

Note: Though the sample of paid provider files all held up-to-date Service Agreements, the Excel Spreadsheet used by ELC 2 staff to track provider Service Agreements did not recognize 54 providers (41 Broward Providers and 13 Out-of-County Providers) who had received a payment. The total number of paid providers during the 2008-2009 contract year was 735, 64 providers served Broward children in Dade or Palm Beach counties and 671 were Broward Providers.

Action Required: *In order to ensure that this objective is met for 2008-2009 contract year, this ELC 2 Service Provider shall inform Coalition staff by December 30, 2009, that the Service Agreements for the 54 Providers exist and are available for review on-site.*

Service Provider plan to meet action required (HOW) Explain: *FCI has initiated a manual review of all service agreements and will research the 54 providers in question to reconcile all the service agreements requested. Because of the manual nature of this review, FCI respectfully requests that the deadline for completing this action be extended to January 15, 2010.*

ELC Note: *The ELC agrees to extend the response date to close of business January 4, 2010. The ELC anticipates that the ELC 2 Service Provider's response by that date will suffice to meet the expectations of monitoring, but understands that additional enhancement of the response may be forthcoming after that due date.*

	ELC Review	Action needed?
<p>16. 100% of parents who initially enroll their child for school readiness funded early care and education services in the contract year will provide evidence to their child care provider of a recent physical and up-to-date immunizations as recorded on the Health Report, or evidence of an exemption from the Health Form requirements. (COALITION monitoring standard shall be 90%, but enrollment documentation must be corrected to 100% if errors are discovered at monitoring.)</p>	<p>16.a. Number of client files reviewed: <u>127</u></p>	<p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p> <p><i>If <u>yes</u> see row below for details.</i></p>
	<p>16.b.– Review of provider PAAM files verified number of newly enrolled client files in compliance: <u>19</u></p>	
	<p>16.c. Percent</p>	

	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: ELC will review PAAM’s administrative review of providers for providers assurance of recent up-to-date immunizations

ELC review comments: Reviewed Immunization Attestation forms submitted monthly with their attendance sheets to ELC 2 Service Provider by the 19 child care providers selected for file review serving newly enrolled children during the contract year. *All documents and results reported were reviewed and validated.*
 Announced visits were conducted by Coalition staff during the month of September 2009, at four (4) Provider sites holding Service Agreements serving four (4) children receiving financial assistance from school readiness funds in Broward County to verify proof of immunization for these newly enrolled children connected with the file review. Of the selected children, 100% of providers displayed proof of immunization to Coalition staff.

	FCI Reported Results Actual <u>Number</u> Served	ELC Review	Action needed?
17. 100% of providers enrolling children who’s families receive financial assistance from School Readiness funds must obtain immunization and health information for children receiving services under the Child Care Development Fund (CCDF) plan, as required in Section 411.01(2)(a) and (4)(j), Florida Statutes, and 45 C.F.R. 98.41(a)(1)(i), as verified by the ELC 2 Service Provider.	17.a. Number of providers receiving assistance from School Readiness funds: <u>730</u>	Number of provider files reviewed: <u>101</u>	100% 19/19 N=19 <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <i>If yes see row below for details.</i>
	17.b. Number of said providers reviewed for immunization and health information compliance: <u>101</u>	Number of providers connected to file review that had newly enrolled children: <u>19</u>	
	17.c. Number of said providers who correctly obtained immunization and health information: <u>101</u>	Percent Achieved: <u>100%</u>	
	17.d. 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 on-site annual review: ELC will perform a file check to confirm that the provider has affirmed that health records have been obtained on file.

ELC review comments: Reviewed reports of Service Provider’s internal attendance monitoring (PAAM) review process of providers. Reviewed SMP PAAM Summary Report 2008-2009 with 101 providers reviewed for immunization attestations. Interviewed Manager of

School Readiness Payment. Reviewed EFS for providers paid during the 2008-2009 contract year. Reviewed 127 client files for evidence of newly enrolled children at 101 different school readiness providers.

Of the 127 client files, 19 files indicated newly enrolled children attended 19 School Readiness Provider sites during 2008-2009.

- Ten (10) children attended ten (10) Provider sites receiving PAAMS and evidence of attestations submitted was reviewed; and
- Nine (9) children attended nine (9) providers not receiving PAAMS but who submitted attestation that parents had provided evidence of a recent physical and up-to-date immunizations as recorded on the Health Report, or evidence of an exemption from the Health Form requirements with attendance monthly.

All of the providers (100%) with newly enrolled children receiving financial assistance from school readiness funds submitted proof of immunization through signed attestation forms.

Note 1: Per discussion with Manager of School Readiness Payment, each provider is now asked to sign an attestation form each month and submit it with their monthly attendance records to the ELC 2 Service Provider for 2009-2010.

Note 2: EFS report indicated 735 providers served school readiness children during the contract year.

	FCI Reported Results Actual Number Served	ELC Review Results validated?	Action needed?
18. 95% of providers requesting assistance with the application or service agreement process shall receive said help within two (2) business days.	18.a. Number of provider requests for assistance: <u>1,299</u>	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Validated 825 provider requests	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
	18.b. Number of said provider requests that received help within two business days: <u>1,282</u>	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Validated 819 requests received help within two business days.	<i>If <u>yes</u> see row below for details.</i>
	18.c. Percent achieved: <u>99%</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: Service Agreement Daily Phone Log Report, Provider Call Tracking Log

ELC review comments: Reviewed one (1) Service Agreement Daily Phone Log Report 2008-2009 (calls from July 1, 2008 until October 13, 2008) and one (1) Provider Calls Tracking Log for 2008-2009, for evidence that providers requesting assistance with the application or service agreement process received said help within two (2) business days. Reviewed 199 requests for assistance related to service agreements and 626 requests for assistance with applications or other matters. Most calls (99%) were returned within two (2) business days.

All documents and results reported were reviewed and validated.

	ELC Review	Action needed?
<p>19. 100% of parent co-payments shall be accurately calculated and managed. (COALITION monitoring standard shall be 90%, but eligibility documentation must be corrected to 100% if errors are discovered at monitoring.)</p>	19.a. Number of client files reviewed: <u>127</u>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <i>If yes see row below for details.</i>
	19.b. Number of said files accurately calculated/managed <u>116</u>	
	19.c. Percent achieved: <u>91%</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) Client file review for paperwork; (2) track clients through EFS payment process		
<p><u>ELC review comments:</u> Reviewed income documentation, income worksheets, fee waivers forms (where appropriate), family size and EFS entry data for evidence that parent co-payments were accurately calculated and managed.</p> <p>Reviewed 127 client files:</p> <ul style="list-style-type: none"> • 116 client files (91%) indicated parents’/guardians’ co-payments were accurately calculated and managed; and • Five (5) client files (4%) indicated client fees had been determined inaccurately: <ul style="list-style-type: none"> • Three (3) clients (#24, # 31 and #111) had been charged less fees than required; and • One (1) client (#107) had been charged more fees than required. • One (1) client file (#44) was redetermined during monitoring upon Coalition request for updated documentation on paystubs reflecting overtime. This redetermination resulted in lower fees for the clients because of the current fee scale for the 2009-2010 fiscal year. • Two (2) client files (2%) contained EFS entry errors (#2 and #89); both files reflected incorrect birthdates on EFS and were corrected onsite and proof of correction was submitted to the Coalition. • Four (4) client files (3%) had missing documentation: <ul style="list-style-type: none"> • Three (3) client files (#50, #63 and #68) did not contain fee waiver forms but were corrected onsite and proof of correction was submitted to the Coalition. • One (1) client file (#49) did not contain documentation on child support but evidence of documentation was subsequently submitted to the Coalition. 		

The Objective has been met at 91% according to COALITION monitoring standards; however, eligibility documentation must be corrected to 100% since errors were discovered at monitoring.

Action Required: *Though the ELC 2 Service Provider has already made required adjustments (during the Coalition’s ten-day response period) to the identified client files and data base and provided proper documentation to the Coalition to ensure that documentation is corrected to 100%, the ELC 2 Service Provider shall credit the parent fee as appropriate (credit funds to either parent or provider for client file #24, #31, #111, #107 and #44, whomever paid such fees) from non Coalition funds and submit to the Coalition by December 30, 2009, documentation identifying payment of credited parent fee as appropriate, and submit a plan and timeline for implementation, to provide periodic training to eligibility staff utilizing cases as examples to correctly calculate parent co-payments identifying specific strategies, that will be employed to prevent errors in the future.*

Service Provider plan to meet action required (HOW) Explain: *FCI has initiated a review of the aforementioned case and respectfully requests until January 15, 2010 to complete the action described above including the training plan and timeline development.*

ELC Note: *The ELC agrees to extend the response date to close of business January 4, 2010. The ELC anticipates that the ELC 2 Service Provider’s response by that date will suffice to meet the expectations of monitoring but understand that additional enhancement of the response may be forthcoming after that due date.*

20. In coordination with the COALITION, the CONTRACTOR shall actively work to ensure that 100% of available funds for slots shall be spent on slots and slot budget shall not be exceeded each fiscal year.	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 yes see row below for details.</i>

Service Provider annual review: Comment if needed.

Documents to be ready for ELC on-site annual review: (1) Fiscal will review monthly invoices (2) Review financial records (3) Review ongoing spending patterns

ELC review comments:

21. 100% of School Readiness provider reimbursement requests received by the CONTRACTOR shall be entered into the state approved data system within two (2) business days of a complete, correct invoice for payment from a School Readiness provider being received by the CONTRACTOR.	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 yes see row below for details.</i>

Service Provider annual review: Comment if needed.

Documents to be ready for ELC on-site annual review: (1) Fiscal will review monthly invoices (2) Review financial records

ELC review comments:

22. 100% of the invoices for School Readiness provider reimbursements shall be submitted	ELC Review	Action needed?
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to the COALITION by the 14th day of each month.	22.a. Number of monthly invoices submitted on time: <u>13</u>	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <i>If <u>yes</u> see row below for details.</i>	
	22.b. 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: ELC will review Fiscal Department's records.			
ELC review comments: Reviewed Fiscal Department's Date Log of invoices received by the Service Provider. Twelve (12) monthly invoices were submitted to the Coalition by the 14 th of the month as per the contract and the thirteenth invoice was submitted according to contract requirements.			
23. 100% of complete monthly attendance reimbursement invoices submitted to the Service Provider within the prescribed reimbursement period by providers of School Readiness services shall be paid by the 20th of each month.	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 will review financial records			
ELC review comments:			
24. 95% of providers requesting assistance with reimbursement/payment processes shall receive said help within two business days.	FCI Reported Results Actual Number Served	ELC Review Results validated?	Action needed??
	24.a. Number of providers calls requesting help with reimbursement/payment process: <u>626</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>
	24.b. Number of provider calls receiving help within two business days: <u>626</u>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
	24.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: Provider Calls Tracking Log			
ELC review comments: Reviewed one (1) Provider Calls Tracking Log for 2008-2009 for evidence that providers requesting assistance with reimbursement/payment processes received said help within two business days. The Provider Calls Tracking Log revealed 626 clients requested assistance and all requests (100%) received help within two business days. <i>All documents and results reported were reviewed and validated.</i>			
25. 100% of local match requirements shall be met, tracked, and accurately reported, and 100% of CCEP match garnered shall be tracked and accurately reported.	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 yes see row below for details.</i>
Contractor Responsibility: Participate in the Coalition’s CCRD committee every month and provide updates to the committee on the CCEP activities and the businesses approached for participation in the CCEP program.			
Contractor Responsibility: Attend local child care provider meetings to educate the child care business community on the benefits of the CCEP program. (the CCEP Business Developer)			
Service Provider annual review: Comment if needed.			
Documents to be ready for ELC on-site annual review: Summary of CCEP match garnered, tracked and reported			
ELC review comments:			
26. 100% of all deficiencies found through the monitoring of administrative requirements shall be documented and addressed through follow-up within two weeks. Deficiencies which threaten the health and safety of children and/or staff shall be acted upon immediately.	FCI Reported Results Actual <u>Number</u> Served	ELC Review <i>Results validated?</i>	Action needed?
	26.a. Number monitored: <u>293</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>
	26.b. Number of deficiencies noted: <u>23</u>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
	26.c. Number of deficiencies addressed through follow-up within two week time frame: <u>23</u>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
26.d. 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: SR PAAM Activity Report			
ELC review comments: Reviewed one (1) SR PAAM Activity Report 2008-2009 reflecting 293 providers monitored for administrative requirements and 23 providers with deficiencies. Reviewed one (1) SMP PAAM Follow-Up Report Tracking Sheet reflecting 23 Providers			

serving children receiving financial assistance from school readiness funds with documented deficiencies requiring follow-up. Interviewed Manager of Slot Management and Payment on 9/16/09 regarding the process of auditing providers.

Reviewed 61 provider files monitored for administrative requirements connected to the client file review:

- Sixty- one (61) provider files (100%) contained evidence of administrative requirements
- Four (4) provider files (7%) had documented deficiencies; all (100%) were addressed within two weeks. However, the next step indicated a follow-up monitoring visit within the next three (3) months, but, no evidence of a follow-up visit for the specified time frame was observed for all four (4) files. It is documented that a staff member had resigned during the time frame.

There were no deficiencies that threatened health or safety of children and/or staff identified during this review. ***All documents and results reported were reviewed and validated.***

Audit Process Note: If the provider receives a clean audit they receive a mailed copy of their report. Providers will receive a telephone call if there is a discrepancy noted during their audit and a mailed copy of their report. All reports are signed and dated by the auditor as well as the manager and a copy is placed in the provider's file.

	FCI Reported Results Actual Number Served	ELC Review Results validated?	Action needed?
27. 100% of all provider/service agreements shall be monitored for compliance with administrative requirements over a 2 year period.	27.a. Number of providers with service-agreement with SR children 2008-2009: <u>737 served SR children</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>
	27.b. Total providers monitored in 2008-2009: <u>293</u>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
	27.c. Percent achieved 2008-2009: <u>40%</u>	<input checked="" type="checkbox"/> Met <input type="checkbox"/> Not Met	

Contractor Responsibility: The Contractor shall establish and maintain an approved internal quality improvement process to assess its performance and that of the early learning child care providers holding a Provider/Service Agreement.

Contractor Responsibility: Early Care and Education services under the contract shall be purchased through the provision of a Provider/Service Agreement in accordance with Chapter 411, Florida Statutes. The Contractor shall develop written procedures for post-audit attendance monitoring of Providers providing services pursuant to Provider/Service Agreements. Post-audit attendance monitoring by the Contractor must occur according to Coalition policy.

Contractor Responsibility: The Contractor shall conduct post-audit attendance monitoring of Providers, as required by the Coalition, to determine whether services which have been authorized and for which payment has been made were actually performed.

Service Provider annual review: The total number of providers with actual children receiving financial assistance from School Readiness funds was 658. This is the first year of a two year period. FCI is confident that it will reach the 100% mark by the end of the second year.

Documents to be ready for ELC on-site annual review: SR PAAM Activity Report

ELC review comments: Reviewed EFS list of Providers serving children whose families receive financial assistance from school readiness funds. Reviewed one (1) SMP PAAM Summary Report 2008-2009 of 293 providers. (FY 2008-2009 was the first year review of the two-year cycle). One Post-Attendance Monitor resigned effective 5/29/09 and was not replaced before the end of the fiscal year. **All PAAM related documents and results reported were reviewed and validated.**

Reviewed 101 SR provider files connected to client file review:

- Sixty-one (61) SR provider files (60%) were monitored for administrative requirements during 2008-2009.

Note: EFS report indicated 735 providers served school readiness children during the contract year.

	FCI Reported Results Actual Number Served	ELC Review Results validated?	Action needed?
28. Thirteen (13) new child care employers shall establish or substantially increase dependent care supports, three (3) of which shall be minority-owned centers.	28.a. Total number of new or substantially increased child care employers: <u>26</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>
	28.b. Number of above mentioned that are minority-owned: <u>18</u>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
	28.c. Percent achieved: <u>200%</u>	<input checked="" type="checkbox"/> Met <input type="checkbox"/> Not Met	

Contractor Responsibility: Maintain, manage, garner, and renew the pledges for the existing participating employers. (The CCEP Child Care Business Developer).

Contractor Responsibility: Provide invoicing and reporting support to the participating child care business and will perform the initial employee presentations. (The CCEP Child Care Business Developer)

Service Provider annual review: Comment if needed.

Documents to be ready for ELC on-site annual review: A list of new child care business obtained delineating which three are minority-owned businesses.

ELC review comments: Reviewed list of twenty-six (26) CCEP new child care businesses for FY 2008-2009 including those indicated as minority-owned. Interviewed the CCEP Business Developer on 9/17/09 regarding the process of recruiting and managing providers and their employees in this program. **All documents and results reported were reviewed and validated.**

VOLUNTARY PREKINDERGARTEN

	ELC Review	Action needed?
1. 100% of child eligibility for Voluntary Pre-kindergarten shall be determined accurately according to State of Florida and the local COALITION guidelines. (COALITION monitoring standard shall be 95%, but eligibility documentation must be corrected to 100% if errors are discovered at monitoring.)	1.a. Number of VPK client files reviewed: <u>127</u>	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <i>If yes see row below</i>

	1.b. Number of said files in compliance: <u>127</u>	<i>for details.</i>
	1.c. Percent achieved: <u>100%</u>	
	<input checked="" type="checkbox"/> Met <input type="checkbox"/> Not Met	

Service Provider annual review *Eligibility is determined in accordance with rules by the State of Florida and local Coalition guidelines. Appropriate eligibility determination is assessed as part of an internal audit process.*

Documents to be ready for ELC on-site annual review: ELC will review VPK client files.

ELC review comments: Reviewed 127 VPK client files for evidence of accurate determination of child eligibility for Voluntary Pre-kindergarten (VPK) according to State of Florida and the local COALITION guidelines.

- One hundred twenty-seven (127) client files (100%) revealed accurate determination of child eligibility for VPK according to State of Florida and the local Coalition guidelines.

	ELC Review	Action needed?
<p>2. 100% of families with children potentially eligible for Voluntary Pre-kindergarten will be advised of their right to choose a Voluntary Pre-kindergarten Provider setting and location during the eligibility determination and application process.</p>	2.a. Number of VPK client files reviewed: <u>127</u>	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <i>If <u>yes</u> see row below for details.</i>
	2.b. Number of files reflecting parental rights to choose their own VPK setting: <u>127</u>	
	2.c. Percent achieved: <u>100%</u>	
	<input checked="" type="checkbox"/> Met <input type="checkbox"/> Not Met	

Service Provider annual review: *Eligibility is determined in accordance with rules by the State of Florida and local Coalition guidelines. Parents/Guardians receive information about their right to choose a VPK provider and sign the Parent/Guardian Information form that is kept on file at FCI indicating that they received this information. Appropriate eligibility determination is assessed as part of an internal audit*

<i>process.</i>		
Documents to be ready for ELC on-site annual review: ELC will conduct VPK client file review.		
ELC review comments: Reviewed 127 VPK client files for evidence of accurate determination of child eligibility for Voluntary Pre-kindergarten (VPK) according to State of Florida and the local Coalition guidelines. Reviewed Parent/Guardian Information form which reflects that families are informed during the eligibility determination and application process of their parental rights and responsibilities to choose a Voluntary Pre-kindergarten Provider setting and location.		
<ul style="list-style-type: none"> One hundred twenty-seven (127) client files (100%) contained a copy of the signed Parent/Guardian Information form. 		
Contractor Responsibility: Provide families registering for VPK programs with the following information:	ELC Review <i>Results validated?</i>	As verified by
a. Orientation to and information about the Coalition, the Early Care and Education Service System and the availability of supports for families	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	Parent/ Guardian Information Form
b. Education around the elements of early learning and family engagement and involvement in support of children's school readiness	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
c. Information regarding the availability of resource and referral services including financial assistance information for school readiness funded services	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
d. Information on quality of care indicators, including health and safety issues, developmentally appropriate curricula, and guidance on employing those standards for selection of an early learning environment	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
e. State of Florida Voluntary Pre-kindergarten Parent Handbook	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
f. Certificate of eligibility	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
g. Resource and Referral Brochure	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
h. The list of approved providers, current as to the date distributed, with an explanation as to <i>approved</i> versus <i>provisional</i> providers and instructions on how to track provider status as it is updated.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
Service Provider annual review: <i>Parents/Guardians check off that they have received the required information on the Parent/Guardian Information Form and sign the form indicating that they received this information. This form is kept with their applications in a file at FCI.</i>		
Documents to be ready for ELC on-site annual review: Copies of materials listed above (a-h)		
ELC review comments: Reviewed copies of the materials listed above (a-h). Reviewed 127 VPK client files for signed Parent/Guardian Information form requiring parents' signature indicating they received said material.		

<ul style="list-style-type: none"> One hundred twenty-seven (127) client files (100%) contained a copy of the signed Parent/Guardian Information form indicating parents received these materials. 		
3. 100% of customers receiving Voluntary Pre-kindergarten eligibility determination services shall be informed of the availability of Resource and Referral services.	ELC Review	Action needed?
	3.a. Number of VPK client files: <u>127</u>	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <i>If <u>yes</u> see row below for details.</i>
	3.b. Number of files reflecting information on R&R distributed: <u>127</u>	
	3.c. Percent achieved: <u>100%</u>	
<input checked="" type="checkbox"/> Met <input type="checkbox"/> Not Met		
Service Provider annual review: <i>A Resource and Referral brochure is given to each parent/guardian at the community registration sites. Parents/guardians sign off on a Parent/Guardian Information Form stating that they have received information about Resource and Referral. This form is kept with their applications in a file at FCI.</i>		
Documents to be ready for ELC on-site annual review: ELC will conduct VPK client file review.		
<u>ELC review comments:</u> Reviewed one hundred twenty seven (127) VPK client files for signed Parent/Guardian Information form which reflects receiving information about Resource and Referral services. <ul style="list-style-type: none"> 127 client files (100%) contained a signed Parent/Guardian Information form indicating receipt of the R&R brochure/information of the availability of Resource and Referral services. 		
4. 100% of Voluntary Pre-kindergarten provider reimbursement requests received by the Service Provider shall be entered into the state approved data system within two (2) business days of a complete, correct invoice for payment Voluntary Pre-kindergarten provider being received by the Service Provider.	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 financial records		
<u>ELC review comments:</u>		
5. 100% of the invoices for provider pre-payments for Voluntary Pre-kindergarten services	ELC Review	Action needed?

shall be submitted to the COALITION by the 14th day of each month.		<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 fiscal department will review invoices for timely submission.			
<u>ELC review comments:</u>			
6. Voluntary Pre-kindergarten provider pre-payments shall be paid to the providers within one (1) business day of the Service Provider receiving payment from the COALITION.	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 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 financial records			
<u>ELC review comments:</u>			
7. 100% of complete monthly attendance reimbursement invoices submitted to the Service Provider by providers of Voluntary Pre-kindergarten services shall be reconciled to the provider pre-payments and paid within one (1) business day of receiving payment from the COALITION.	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 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 financial records			
<u>ELC review comments:</u>			
8. 100% of the invoices for Voluntary Pre-kindergarten provider reimbursements shall be submitted to the COALITION by the 14th day of each month.	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 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 financial records			
<u>ELC review comments:</u> Reviewed Fiscal Department's Date Log of Invoices received by the Service Provider. Twelve (12) monthly invoices were submitted to the Coalition by the 14 th of the month as per the contract and the thirteenth (13 th) invoice was submitted according to contract requirements.			

	FCI Reported Results Actual <u>Number</u> Served	ELC Review Results validated?	Action needed?
9. 95% of providers requesting assistance with reimbursement/payment processes shall receive said help within two business day.	9.a. Number of provider requests for assistance: <u>408</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 provider requests receiving help within two business days: <u>407</u>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
	9.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: VPK Provider Liaison phone call tracking log.			
ELC review comments: Reviewed one (1) VPK Provider Liaison Phone Call Tracking Log 2008-2009 report for evidence that providers requesting assistance with the reimbursement/payment process received said help within two (2) business days. <i>All documents and results reported were reviewed and validated.</i>			
10. 100% of Voluntary Pre-kindergarten providers' eligibility (both summer and school year VPK providers) shall be determined accurately according to the State of Florida rules, policies and procedures and local COALITION guidelines. (COALITION monitoring standard shall be 95%, but eligibility documentation must be corrected to 100% if errors are discovered at monitoring.)		ELC Review	Action needed?
		10.a. Number of VPK provider files reviewed: <u>106</u>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <i>If <u>yes</u> see row below for details.</i>
		10.b. Number of said files compliant: <u>104</u>	
		10.c. Percent achieved: <u>98%</u>	
	<input checked="" type="checkbox"/> Met <input type="checkbox"/> Not Met		
Service Provider annual review: VPK provider eligibility is determined in accordance with State of Florida rules, policies and procedures and local Coalition guidelines. The steps in the process of becoming an approved provider are tracked for each provider to ensure all requirements are met.			
Documents to be ready for on-site annual review: ELC will conduct VPK provider file review.			
ELC review comments: Reviewed 106 VPK provider files for accurate eligibility according to the State of Florida rules, policies and procedures and local Coalition guidelines.			
<ul style="list-style-type: none"> One hundred and four (104) VPK provider files (98%) contained completed, signed and dated AWI-VPK-10 and AWI-VPK-11 forms; 			

completed, signed and dated State of Florida Voluntary Prekindergarten Education Program Statewide Provider Agreement; proof of licensure/faith based exempt/accreditation/gold seal status; proof of Director's Credential; proof that all VPK instructors were in compliance with statutory requirements and educational requirements; Level 2 screening for staff; background screening for Directors; Good Moral Character forms signed, dated and notarized for all staff; and

- Two (2) VPK provider files (2%) contained level II background screenings for staff which were expired beginning January 2009 and did not receive Level II clearance until July 2009.

Action Required: *In order to ensure that eligibility is corrected to 100%, the ELC 2 Service Provider shall submit to the Coalition by December 30, 2009, a plan and process to identify providers and follow-up with expired (or expiration approaching) level II background screenings. Also provide training for eligibility staff, utilizing these cases as examples, to prevent errors in the future.*

Service Provider plan to meet action required (HOW) Explain: *A plan and process to identify providers and follow-up with expired (or expiration approaching) Level II background screenings has been initiated and will be submitted to the Coalition by January 15, 2010. Additional training will also be provided to the VPK Registrars regarding the need to follow-up with expired (or expiration approaching) Level II background screenings utilizing the two cases from the ELC 2 monitoring to prevent errors in the future. It is important to note that the VPK Registrars are highly trained in the steps necessary to ensure that provider eligibility is determined accurately according to the AWI/OEL policies. The caseload that the VPK Registrars have to manage regarding verifying valid background screenings and ensuring that they do not expire for the staff in the VPK classrooms has increased 122% from the inception of the VPK Program to date with the same number of VPK Registrars (4). In order to maintain the excellent level of service for the processing of all VPK staff paperwork including background screenings for over 1,785 VPK staff and to maintain excellent customer service, an addition of at least one (1) VPK Registrar is required.*

ELC Note: *The ELC agrees to extend the response date to close of business January 4, 2010. The ELC anticipates that the ELC 2 Service Provider's response by that date will suffice to meet the expectations of monitoring but understands that additional enhancement of the response may be forthcoming after the due date.*

	ELC Review	Action needed?
<p>11. 100% of Voluntary Pre-kindergarten providers (both summer and school year VPK providers) shall receive orientation information on said program and on-going training on all policies, procedures and rules necessary to implement the program at their site.</p>	<p>11.a. Providers receive policy and procedures/rules communication by email : Yes</p>	<p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p> <p><i>If <u>yes</u> see row below for details.</i></p>
	<p>11.b. Percent achieved: 100%</p>	
	<p><input checked="" type="checkbox"/> Met <input type="checkbox"/> Not Met</p>	

Service Provider annual review: *All new directors must attend a VPK orientation. Many current providers attend as well to review policies and forms and get the latest VPK Provider Handbook. On-going training is provided through emails which provide any updated guidance or clarification to the VPK policies, procedures and rules. For summer 2008 and school year 2008-2009 year, a total of 183 providers attended*

orientation. Of those providers, 41 were new and the remainder included 123 current providers and 19 prospective providers who were new directors or wanted to hear about the latest information regarding VPK.

Documents to be ready for on-site annual review: Copies of emails/fax sent to all VPK providers.

ELC review comments: Reviewed a sample of *FCI-Broward VPK Provider Communications* emails sent between July 2008 and January 2009 to VPK providers identifying VPK orientation information and on-going training on all policies, procedures and rules necessary to implement the VPK program at their site. Reviewed and validated website for Broward County VPK Providers, (<http://www.familycentral.org/vpkproviderbc>), accessible to anyone with an Internet connection. Reviewed email dated July 9, 2008, which states that it is mandatory for all new VPK providers to attend a VPK Orientation, two orientation sessions were listed as choices for the month of July. Reviewed undated email sent which states that it is mandatory for all new VPK providers to attend a VPK Orientation, two orientation sessions were listed as choices for the month of October 2008. Reviewed email dated December 3, 2008 which states it is mandatory for all new VPK providers to attend a VPK Orientation, two orientation sessions were listed as choices for the month of December. Reviewed email dated January 29, 2009 which states that it is mandatory for all new VPK providers to attend a VPK Orientation, sessions were listed for February, March, April and May 2009. All emails clarify that all first time VPK providers are mandated to attend VPK orientation but welcome any VPK provider interested in attending. **All documents and results reported were reviewed and validated.**

	ELC Review	Action needed?
12. 100% of all operating Voluntary Pre-kindergarten providers in Broward County shall have a signed provider agreement.	12.a. Number of VPK provider files reviewed: 106	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <i>If <u>yes</u> see row below for details.</i>
	12.b. Number of said files containing signed provider agreements: 106	
	12.c. Percent achieved: 100%	
	<input checked="" type="checkbox"/> Met <input type="checkbox"/> Not Met	

Service provider annual review: *Provider Agreements are signed as part of the approval process for VPK providers in accordance with rules set by the State of Florida and local Coalition guidelines. A VPK provider may not receive full approval unless he/she has signed two (2) provider agreements. These are then sent to the Coalition for its signature. Appropriate signed provider agreements are tracked as part of an internal audit process.*

Documents to be ready for ELC on-site annual review: ELC will conduct VPK provider file review.

ELC review comments: Reviewed 106 VPK provider files for evidence of a signed provider agreement.

- One hundred and six (106) VPK provider files (100%) contained signed VPK provider agreements.

	FCI Reported Results Actual <u>Number</u> Served	ELC Review <i>Results validated?</i>	Action needed?
13. 100% of Voluntary Pre-kindergarten provider data shall be regularly shared with the ELC 1 Service Provider in order to ensure an accurate and up to date provider database.	13.a. Frequency of data sharing: <u>Every time provider profile is updated</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>
	13.b. Method of data sharing: <u>Posted on FCI website</u>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
	13.d. Percent achieved: <u>100%</u>	<input checked="" type="checkbox"/> Met <input type="checkbox"/> Not Met	
Service Provider annual review: <i>Updated provider information is shared with the ELC 1 service provider through updated provider profile lists.</i>			
Documents to be ready for on-site annual review: (1) Copy of procedures and/or policy (2) Copy of provider lists			
ELC review comments: Reviewed FCI department protocol for <i>VPK Provider Profile Updates, Informing Parents/Guardians</i> , revised 10/24/08. Reviewed list of Broward County Approved and Provisionally Eligible Voluntary Prekindergarten Providers (455 for school year). <i>All documents and results reported were reviewed and validated.</i>			
	FCI Reported Results Actual <u>Number</u> Served	ELC Review <i>Results validated?</i>	Action needed?
14. 90% of providers certified as eligible to deliver the Voluntary Pre-kindergarten program shall report that they are well informed about the program requirements and rules.	14.a. Number of eligible VPK providers: <u>Summer 08 – 93</u> <u>School Year 08-09 - 455</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>
	14.b. Number of surveys distributed: <u>Summer 08 - 0</u> <u>School Year 08-09 - 90</u>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
	14.c. Number of surveys returned: <u>Summer 08 - 0</u> <u>School Year 08-09 - 57</u>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
	14.d. Number of surveys reflecting VPK providers' being well-informed about the requirements and rules: <u>97%</u>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
	14.e. Percent achieved: <u>97%</u>	<input checked="" type="checkbox"/> Met <input type="checkbox"/> Not Met	
Service provider annual review: <i>The VPK Provider Surveys are distributed per the established protocol. The surveys and data analysis are kept on file. There was a return of 57 of 90 provider surveys distributed for a 62% return rate for the school year. VPK providers were overall</i>			

very satisfied with a satisfaction rate of 99%. 97% of VPK providers stated that they were well informed about the program requirements and rules.

Documents to be ready for on-site annual review: ELC will review Provider Surveys and back-up

ELC review comments: Reviewed a blank *Provider Satisfaction Survey*. Reviewed SurveyMonkey.com results from *VPK Provider Satisfaction Survey* from 57 school year providers which reflect that 96% of providers feel they have been well informed about the VPK program requirements and rules. No surveys were conducted for summer 2008. *All documents and results reported were reviewed and validated.*

	FCI Reported Results Actual <u>Number</u> Served	ELC Review <i>Results validated?</i>	Action needed?
15. 100% of all deficiencies found through the monitoring of administrative requirements shall be documented and addressed through follow-up within two weeks. Deficiencies which threaten the health and safety of children and/or staff shall be acted upon immediately.	15.a. Number monitored: <u>238</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>
	15.b. Number of deficiencies documented: <u>16</u>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
	15.c. Number of deficiencies addressed within two weeks: <u>16</u>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
	15.d. 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: VPK PAAM Daily Activity Report

ELC review comments: Reviewed one (1) list of 2008-2009 VPK Providers Monitored including street address of 238 VPK providers. Reviewed 2008-2009 VPK PAAM Follow-Up Report Tracking Sheet reflecting 16 VPK sites that had deficiencies documented and addressed within two weeks. There were no deficiencies that threatened health or safety of children and/or staff identified during this review. *All documents and results reported were reviewed and validated.*

Reviewed list of 65 VPK providers connected to the client file review for evidence of monitoring for administrative requirements and subsequent follow-up:

- Sixty- one (61) VPK provider files (100%) contained evidence of administrative requirements; and
- Four (4) VPK Providers had documented deficiencies found through monitoring of administrative requirements; all deficiencies (100%) were addressed within two weeks.

	FCI Reported Results Actual <u>Number</u> Served	ELC Review <i>Results validated?</i>	Action needed?
16. 100% of all provider/service agreements shall be monitored for compliance with administrative requirements over a two (2) year period.	16.a. Total number of service agreements: <u>479</u>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No

	16.b. Number of service agreements monitored in 0809: <u>238</u>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<i>If <u>yes</u> see row below for details.</i>
	Percent achieved: <u>50%</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: VPK PAAM Daily Activity Report			
<p>ELC review comments: Reviewed list of School Year VPK providers and Summer Program VPK providers. Reviewed one (1) list of VPK Providers Monitored during 2008-2009 of 238 VPK providers (FY 2008-2009 was the first year review of the two-year cycle). <i>All documents and results reported were reviewed and validated.</i></p> <p>Reviewed 65 VPK provider files connected to client file review:</p> <ul style="list-style-type: none"> • Sixty-five (65) VPK provider files (100%) were monitored for administrative requirements for 2008-2009. 			