

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

Monitoring Report

Contract: BCL-09-ELC4-2 Quality Assurance Services/Health and Safety and VPK Monitoring
Broward County Child Care Licensing & Enforcement Section

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

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This monitoring process reflected in this report began on August 3, 2009, one month 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 7, 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 **Quality Assurance Services/Health and Safety and VPK Monitoring** services in contract BCL-09-ELC4-2. **This report includes monitoring results of this contract.**

In addition to examining documentation related to performance objectives, the Coalition Monitors reviewed 230 VPK provider files for seven service agreement elements, conducted one (1) on-site interview with the VPK Monitor, conducted one (1) VPK provider site visit, and completed two (2) secret shopper phone calls to assess the facility of accessing services from the customer's point of view.

Prior to the monitoring visits, the Coalition staff identified children and providers who participated in the Voluntary Pre-kindergarten (VPK) program, as well as all school readiness children and the corresponding providers who serve these children, contained in the EFS data base for the period July 1, 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 files, 101 children (80%) were between the ages of birth to five and attended 80 (76%) of the selected providers, and 25 children (20%) were school-age; four 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 were tracked through the Coalition's early care and education system. **Of the 106 VPK providers, 102 providers (96%) received services from the Quality Assurance Services/Health and Safety and VPK Monitoring BCL-ELC 4-2 Service Provider during the 2008-2009 contract year. No informal child care providers were providing services when contacted to schedule monitoring services in 2008-2009.**

Administrative Review Summary:

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

Fiscal Review Summary:

- **Accounting Policies and Procedures** were reviewed and found to be in order and to meet required specifications.
- **General Ledger testing** indicated a 100% compliance rate related to the review of expenses and appropriate classification of transactions.
- **Payroll Records testing** indicated a 100% compliance rate related to the payroll records and personnel files examined. (As a part of the fiscal review the actual salary costs are compared to the approved budget salary amount. There were no significant variances. In the sampling, there were estimates for a vacant position and an adjustment for the budgeted amounts for interim staffing to actual salary.)

Programmatic Review Summary:

This contract focuses on the monitoring of Informal Child Care Providers serving children whose families receive financial assistance for child care from school readiness funds and the monitoring of approved Voluntary Pre-Kindergarten (VPK) Providers in Broward County according to laws, statutes, rules, and policies governing Early Care and Education funds. *Coalition staff and Service Providers 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 BCL-09-ELC4-2** has twenty (20) performance outcomes that cover General Performance, Health and Safety Monitoring and Voluntary Pre-Kindergarten Monitoring and two (2) programmatic deliverables related to clients to be served for review.
- **80% of the performance outcomes were achieved and 25% require adjustments to improve reporting for accountability in the 2009-2010 contract year; 100% of the programmatic deliverables were met in 2008-2009.**

- **100% of selected Voluntary Pre-kindergarten (VPK) Providers (230) received a monitoring visit and 94% of the Voluntary Pre-kindergarten (VPK) Provider inspection reports were in compliance with the minimum State of Florida VPK program standards including licensing and or accreditation status, group size and child ratios, director credentials, instructor's credential and background screening, and instructional hours of the VPK classroom.**
- **100% of Informal Providers were identified and contact attempted; 67% of the Informal Providers were reached. All Informal Providers were no longer caring for children when visits were attempted.**
- **In order to improve the delivery of Quality Assurance/Health and Safety and VPK Monitoring for the contract year, the Coalition is requiring the ELC 4-2 Service Provider to:**
 - **Communicate regularly with the ELC 2 Service Provider as required in the executed Memorandum of Understanding.**
 - **Communicate to the Coalition any potential delays in meeting reporting deadlines.**
 - **Create a written procedure that identifies how the aggregate data on Informal Providers is submitted to the ELC 2 Service Provider;**
- **In order to improve reporting for accountability in the 2009-2010 contract year, Coalition is requiring this Service Provider to:**
 - **Forward a copy of the phone call log sheets after the second quarter; and**
 - **Create a printed notice for Informal Providers alerting them of the existing complaint procedures; and**
 - **Report any founded complaints from BCCCLE on either Informal or VPK Providers to the ELC 2 Service Provider immediately; and**
 - **Create a written procedure that identifies how reports are sent to the ELC 2 Service Provider regarding the status of Informal Providers; and**

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

Contract Annual Review

Contract: **BCL-09-ELC4-2 Quality Assurance Services/Health and Safety and VPK Monitoring**

A. FEDERAL LAW REQUIREMENTS	ELC REVIEW
1. Does the Agency have a written Drug-Free Workplace Policy? About Broward County (ABC of Broward County Employment) page 10.	<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? ELC4-2: The posters are located on the main floor and displayed on a bulletin board near the restrooms and copier; which is accessible to all employees.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
3. Does the Agency have a written Non- Discrimination and Harassment Free Workplace Policy? About Broward County (ABC of Broward County Employment) EEO page 11; Harassment pages 12-13.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
ELC review comments: ELC 4-2 Quality Assurance Services/VPK and Informal Monitoring is located at Broward County Child Care Licensing and Enforcement Section, 2995 N. Dixie Highway, Ft. Lauderdale, Fl 33334. Agency Polices were reviewed and found to be in order and to meet required specifications.	
B. CORPORATE DOCUMENTS	ELC REVIEW
1. Does the Agency have an Accounting Policy and Procedures Manual? The Internal Control Handbook on the BC-Net. Internal Control Handbooks Volume 6, reviewed on-line, on-site, contains the county Accounting Policy and Procedures Manual.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
2. Are the Agency's By-laws available for review? The county does not have by-laws since it is county government.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
3. Are the Agency's Articles of Incorporation available for review? The county does not have Articles of Incorporation since it is county government.	<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? Reviewed organizational chart with names and positions listed.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
5. Is there an audit on File? Reviewed copy of the Single Audit Report for year ending Sept 30, 2008.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
ELC review comments: Agency Corporation Documents were reviewed and found to be in order and to meet required specifications.	

C. AUDITS AND RECORDS	ELC REVIEW
1. Does the Contractor maintain books, records and documents including electronic storage media and electronic records, in accordance with generally accepted accounting procedures and practices which sufficiently and properly reflect all revenues and expenditures of funds provide by the COALITION under this contract? Yes	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
2. Does the Contractor ensure that accounting records reflect the separation of all programs/activities it administers or for which it receives funding? Yes, through the use of funds and sub funds.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
3. Does a clear audit trail exist showing the benefit received from each expenditure as it relates to the applicable program/activity? Yes	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
<u>ELC review comments:</u>	
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? Yes	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
2. Does the Chart of Accounts have an unallowable cost code to properly identify unallowable costs? Through the use of the general fund.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
<u>ELC review comments:</u>	
E. INVOICING	ELC REVIEW
1. Are invoices submitted on a timely basis? Yes	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
2. Are payments made to subcontractors within seven (7) working days after receipt of full or partial payments from the Coalition? Not applicable	<input type="checkbox"/> Yes <input type="checkbox"/> No
3. Does the Agency maintain an Agency-wide budget by funding source and expenditure category? Yes	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
4. Does the Agency have an accounting system to properly account for ELC related transactions (revenues and expenses)? Advantage System is the financial system	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
5. Select a random number of invoices submitted to ELC and test to determine the following:	
a. Does the invoice accurately detail the number of units, description, unit cost, and total?	<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? Yes	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
d. Does the invoice reflect third party payments? Not applicable	<input type="checkbox"/> Yes <input type="checkbox"/> No
e. Are procedures established and implemented to eliminate duplicate billing? The financial system eliminates	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

duplications.	
6. Number of invoices randomly selected: Three transactions for the month October 2008 and April 2009	
7. Number of invoices meeting the above criteria (5a. –5f): 100% of the transactions met the criteria.	
<u>ELC review comments:</u>	
F. INDIRECT COSTS	ELC REVIEW
1. Review and document the Agency’s Cost Allocation Methodology. Not applicable	<input type="checkbox"/> Yes <input type="checkbox"/> No
2. Is the cost allocation methodology in writing and is it representative of the allocation used? Not applicable	<input type="checkbox"/> Yes <input type="checkbox"/> No
<u>ELC review comments:</u>	
G. BANK	ELC REVIEW
1. Are bank statements reconciled monthly? Yes, by the Broward County Finance Department.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
2. Are the bank statements reconciled by a person other than the person who receipts and disburses funds? Yes	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
3. Does the immediate supervisor review the reconciliation? Yes	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
4. Are adjustments properly documented and explained? Yes (Confirmed process verbally)	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
5. Select 3 random months and verify above transactions	
6. What three months were randomly selected? Not applicable	
7. Number of months meeting above transactions:	
<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? Year-to-Date expenditures are reviewed monthly	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
2. Did the actual up-to-date and complete revenue/expenditure report submitted follow the same format as the Contractor’s approved budget and include all listed line items? Yes	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
3. Did the report contain a detailed explanation of variances from the approved budget? Variances are reviewed monthly	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
<u>ELC review comments:</u>	
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? Not applicable in 2008-2009.	<input type="checkbox"/> Yes <input type="checkbox"/> No
2. In publicizing, advertising, or describing the sponsorship of the program, does Contractor state: "Sponsored by (Contractor's Name) and The Early Learning Coalition of Broward County, Inc." and the "State of Florida, Agency for Workforce Innovation"? Not applicable in 2008-2009.	<input type="checkbox"/> Yes <input type="checkbox"/> No
3. Do written materials include "The Early Learning Coalition of Broward County" and "Agency for Workforce Innovation, Office of Early Learning" in the same size letters or type as the name as the Contractor? Not applicable in 2008-2009.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
<u>ELC review comments:</u> Agency sponsorship/public announcements were all reviewed and found to be in order and to meet required specifications.	
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. Not applicable	<input type="checkbox"/> Yes <input type="checkbox"/> No
2. Does the subcontractor have a contract? Not applicable	<input type="checkbox"/> Yes <input type="checkbox"/> No
3. Are the payments to the subcontractors in line with the contract? Not applicable	<input type="checkbox"/> Yes <input type="checkbox"/> No
4. Does the contract specify a match budget for the subcontractor? Not applicable	<input type="checkbox"/> Yes <input type="checkbox"/> No
<u>ELC review comments:</u>	
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)] ELC 4-2: Maintained one (1) staff as required by Contract and matched organizational chart.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
2. Do names of personnel match positions listed in the budget? Organizational charts match Exhibit B (form B-3)	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
3. Did the Contractor ensure that staffing patterns and staff qualifications (see job descriptions) are sufficient to provide the services described within the contract, including backup plans when turnover occurs, with the capacity to provide services in English, Spanish, Portuguese, and Creole? BCCCLE employs multiple individuals who can speak a variety of languages and can be called upon to help with any translation issue and/or turnover issue that might arise in the ELC 4-2 program.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
4. Did the Contractor provide and/or ensure continuous quality improvement training to 100% of its staff? All staff participates in various County continuous quality improvement training. County training calendar lists all trainings	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

available free to county employees on BC-Net. County HR keeps record of all training taken by each employee by employee number. Reviewed evidence of all employees attending quality improvement trainings during contract year.	
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. NA but would if an entry level position opportunity arose.	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
ELC review comments: 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? County has a risk management department and they do a level 1 screening of potential employees. Criminal Background checks are conducted by the Safety and Occupational Health section of the Risk Management Division for new hires and may be conducted for other employment related matters. Page 9 in ABC's About Broward County Employment Handbook.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
ELC review comments: 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? On BC-Net Code of Ordinances, Internal Control Handbook, Volume 15 Human Resources.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
2. Where are personnel folders located? ELC 4-2: The HR office downtown keeps all employee records; however duplicate records are located on-site, with the secretary, in a locked file cabinet.	
3. Select a random number of personnel files and verify that each file contains the following: Reviewed one (1) of one (1) ELC 4-2 personnel file. Personnel file was reviewed and found to be in order and met required specifications.	
a. Job descriptions: One (1) ELC 4-2 personnel file <u>did</u> contain a job description.	
b. Qualification documentation: One (1) ELC 4-2 personnel files did contain qualification documentation.	
c. Evaluations: One (1) ELC 4-2 personnel file contained signed evaluations for 2008-2009.	
d. Individual Non-Disclosure: One (1) ELC 4-2 personnel file contained a signed form for 2008-2009.	
e. Confidentiality Certificate Form: <i>(same as above)</i>	

4. Number of randomly selected personnel files: 1	
5. Number of said files containing above mentioned criteria: 1	
6. Where are the employee records located? ELC 4-2: employee records are located in the Secretary's office.	
7. Are employee records securely stored? ELC 4-2: employee records are locked within a file cabinet in the Secretary's Office.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
<u>ELC review comments:</u> Agency Personnel Policies and individual personnel files were reviewed <i>and found to be in order 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?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
2. Are time records signed by both the employee and the supervisor?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
3. Review sample of Payroll journals to ensure that they include:	
a. Staff name	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
b. Position	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
c. Salary	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
d. Hours worked	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
e. Payroll period	<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: Four (4) payroll records were reviewed. _see payroll test sheets	
5. Number of said journals that included the above criteria: The four samples met the 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?	<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? Not applicable	<input 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? Not applicable	<input 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? Not applicable	<input 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. Not applicable	<input 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. Not applicable	<input type="checkbox"/> Yes <input type="checkbox"/> No	
6. Are program fixed assets being used in accordance with the funding intent? Not applicable	<input type="checkbox"/> Yes <input type="checkbox"/> No	
7. Do asset additions and/or disposal procedures follow ELC's Fixed Asset policy/procedures? Not applicable	<input type="checkbox"/> Yes <input type="checkbox"/> No	
8. Were fixed assets purchased within the contract period in which they were approved/funded? Not applicable	<input 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? In the Risk Management Department Governmental Center	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
3. Did the Contractor submit one Continuation of Operations Plan (COOP) to the Coalition's Contract Manager upon execution of the Contract? The COOP shall include the Contractor's plans to continue operations during unforeseen circumstances whether natural or man-made disasters, local emergencies, or other emergency situations requiring significant changes in operation. The plan shall include pre-disaster planning, including but not limited to record protections, alternative service accommodations, supplies, and a recovery plan that would allow the Contractor to continue functioning as per the executed Contract in the event of an actual disaster. Reviewed Broward County Children's Services Administrative Division (CSAD) 2008 Continuation Of Operations Plan	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
4. Worker's Compensation; minimum Liability limits of \$100,000 per accident, \$100,000 per person, and \$500,000 policy aggregate. Per confirmation letter from BC Risk Management Division: "Pursuant to Statute 627.7264, Broward County Board of County Commissioners is fully self insured and self administered for worker's compensation. The Workers' Compensation program operates in compliance with and under the auspices of Chapter 440 of Florida Statutes."	Expiration Date: Self-insured	Amount: \$100,000/200,000

5. Unemployment Compensation Insurance: 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 operating under the laws of the State of Florida may provide such coverage. Per confirmation letter from BC Risk Management Division: “Broward County institutes and maintains a fiscally sound risk management program with regard to its obligations in accordance with the provisions of Section 768.28 Florida Statutes. Pursuant to Statute 627.7264, Broward County Board of County Commissioners is fully self insured and self administered for general liability.”	Expiration Date: Self-insured	Amount: \$100,000/\$200,000
7. Professional Liability: Per confirmation letter from BC Risk Management Division: “Self-Insured as per F.S. 440.”	Expiration Date: Self-insured	Amount: \$100,000/\$200,000
8. Property: Per confirmation letter from BC Risk Management Division: “Broward County is insured for property coverage through FM Global (Factory Mutual Insurance Company).”	Expiration Date: Feb 1, 2010	Amount: \$100,000/\$200,000
9. Automobile Liability: Per confirmation letter from BC Risk Management Division: “Pursuant to Statute 627.7264, Broward County Board of County Commissioners is fully self insured and self administered for auto insurance.”	Expiration Date: Self-insured	Amount: \$100,000/\$200,000
ELC review comments: Agency Letter of Insurance was reviewed and found to be in order and to meet required specifications.		
R. CONFIDENTIAL INFORMATION AND SECURITY OBLIGATIONS		ELC REVIEW
1. Does the Agency have policies to safeguard client confidentiality? Internal Controls Handbook on BC-Net reviewed on-site contains Information Technology Procedures (Volume 12). Reviewed <i>Individual Non-Disclosure and Confidentiality Certification Form and Security Agreement Form with DCF</i>. Broward County follows Florida Statutes 119 relating public and confidential records as most of the County records are public records. Medical records are covered under the HIPPA laws and are referenced in the <i>ABC’s of Broward County and Your Benefits & You Booklet</i>. Child Licensing does not maintain medical records. Child care background screening records are covered under Chapter 435 regarding the use of child care personnel records.		<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
2. Does the Agency have protocols to protect computer based documents and records? Internal Controls Handbook on		<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

BC-Net reviewed on-site contains Information Technology Procedures (Volume 12).	
3. Do only the appropriate staff members have access to computerized records? Internal Controls Handbook on BC-Net reviewed on-site contains Information Technology Procedures (Volume 12).	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
4. Does the Agency have a system for the maintenance of files? ELC 4-2: There is a locked file room onsite for personnel files and background screening files. There is a space saving filing system and general files are kept for public record, as well.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
<u>ELC review comments:</u> Agency Confidential Information and Security Obligations Corporate Documents were <i>all reviewed and found to be in order and to meet required specifications.</i>	
S. INCIDENT REPORTING	ELC REVIEW
1. Child Abuse Reports made to the authorities and Coalition? No child abuse reports this year.	<input 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. None to report.	<input type="checkbox"/> Yes <input type="checkbox"/> No
<u>ELC review comments:</u> Agency Incident Reporting was <i>reviewed and found to be in order and to meet required specifications.</i>	
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: BCL-09-ELC4-2 Quality Assurance Services/Health and Safety and VPK Monitoring

A. MAJOR PROGRAM GOALS

ELC 4-2 2008-2009 Quality Assurance Services/Health and Safety and VPK Monitoring:

1. To ensure that quality Early Care and Education Services are provided through the COALITION funded School Readiness and Voluntary Pre-kindergarten programs by monitoring all participating direct service provider programs for the required elements in accordance with laws, statutes, rules, and policies governing Early Care and Education funds and providing timely action and feedback to community partners and the COALITION as to those monitoring results.

Service Provider Directions:

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

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

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

C. CLIENTS TO BE SERVED

General Description	BCL Reported Results Actual Number Served	ELC Review	As verified by
1. The minimum number of approved informal child care providers to be monitored for Health and Safety is <u>8</u> providers.	<u>0</u>	<input checked="" type="checkbox"/> Met <input type="checkbox"/> Not Met <i>The actual list of informal childcare providers included three (3) providers in Broward County during</i>	Letter to Coalition dated March 13, 2009

		<i>the 2008-2009 Contract year; these providers were not serving children at the time inspections were conducted.</i>	
2. The minimum number of VPK providers to be monitored in accordance with this Contract is 212 providers.	<u>230</u>	<input checked="" type="checkbox"/> Met <input type="checkbox"/> Not Met	Inspection Reports.
D. PERFORMANCE SPECIFICATIONS			
CORE COMPONENT OBJECTIVES (OUTCOMES AND OUTPUTS) - GENERAL			
1. 100% of the policies and procedures shall ensure the protection and confidentiality of individual child records and early learning provider records from unlawful disclosure as identified in Chapter 411 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 yes see row below for details.</i>
Service Provider annual review: Briefly describe the process by which confidentiality is ensured and any successes/challenges with achieving the outcome. <i>Child Care Licensing and Enforcement Section (CCLE) follow the Public Records law in Chapter 119, Florida Statutes and HIPPA laws related to confidentiality of records as a practice. CCLE does not maintain children records related to Informal and VPK Providers and information collected for providers does not contain confidential information, however, provider files that are generated are maintained in a locked file cabinet.</i>			
Documents to be ready for ELC on-site annual review: (1) Copy of Policies and Procedures (2) Confidentiality Policy			
ELC review comments: Reviewed the copy of the ELC 4-2 <i>Individual Non-Disclosure and Confidentiality Certification</i> form and the <i>DCF Security Agreement</i> Form for the employee hired under this contract. Per interview with Section I Manager, Broward County follows Florida Statutes 119 relating to public and confidential records. <i>All documents reported were reviewed and validated.</i>			
2. 100% of child care provider telephone calls shall be answered by the fourth ring and 100% of customer telephone calls which are placed on hold shall hold for no more than two (2) minutes before caller being given the option to continue to hold or	BCL Reported Results Actual <u>Number</u> Served		ELC Review Results validated?
	2.a. Total number of phone calls: <u>Not Recorded</u>		<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
	2.b. Percent of calls answered by		
		<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <i>If yes see row below for details.</i>	

to request a call-back within 48 business hours and 90% of customers who leave messages will receive follow-up within two (2) business days, (48-hours) or initial contact.	fourth ring: <u>Not Recorded</u>		
	2.c. Percent of calls on hold for no more than two minutes before being given options: <u>Not Recorded</u>		
	2.d. Percent of customers who left messages and received follow-up in two (2) business days: <u>Not Recorded</u>		
Service Provider annual review: Comment if needed. <i>Child Care Licensing and Enforcement Section (CCLE) monitor-of-the-day staff perform phone duties daily but do not routinely log calls and if calls for VPK/Informal Providers are received they were not identified separately for logging. When the one (1) hired staff to this contract spoke with a provider the calls were not logged after the procedure and form was approved in March 2009. This procedure will be implemented by the hired staff in the FY 2010 year and the phone log will document telephone activity where applicable.</i>			
Documents to be ready for ELC on-site annual review: (1) Copy of Provider call log (2) ELC staff will conduct Secret Shopper Calls			
ELC review comments: Reviewed <i>BCCCLE Monitor-of-the-Day</i> policy which indicates that all phone calls are answered by BCCCLE staff each day. There is no specific clerical group to answer phones; staff is assigned a time frame to answer phones at least one day a week. Staff receives training on answering phones and is given a list of employees so calls can be appropriately directed. Reviewed <i>VPK/Informal Provider Telephone Log Procedures</i> developed to document VPK and Informal Provider telephone calls. Reviewed <i>VPK and Informal Provider Telephone Log</i> which contains forms to record (a) the date and time of the call received; (b) the reason for the call; (c) the caller's name and location and (d) the resolution of the call. The Coalition approved phone log forms and procedures on March 19, 2009. No calls were logged by ELC 4-2 in 2008-2009. Two secret shopper calls were placed in 2008-2009; both calls were answered by a person after two – three rings; calls were transferred to the appropriate person. <i>All documents and data results reported were reviewed and validated.</i>			
<u>Adjustment Required:</u> <i>In order to ensure the intent of this objective is met for the 2009 – 2010 contract year, the ELC 4-2 Service Provider shall start using the Phone log forms to record calls handled by ELC 4-2 Child Care Specialist and send to Coalition staff a copy of the Phone Call Log sheets that have been completed for the second quarter 2009 by December 30, 2009.</i>			
Service Provider plan to meet adjustment required (HOW) Explain: <i>The phone log form completed by the ELC 4-2 Service Provider staff documenting a record of calls for the second quarter will be forwarded by US mail to the Coalition by requested date.</i>			
3. 100% of child care providers shall be proactively informed of complaint procedures, leading to formal, established grievance procedures.	BCL Reported Results Actual <u>Number</u> Served	ELC Review <i>Results validated?</i>	Action needed?
	3.a. Number of child care providers served: <u>230</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</i>

	3.b. Number of said provider receiving information on complaint procedures: <u>Not Recorded</u>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<i>below for details.</i>
	3.c. Percent achieved: <u>Not Recorded</u>	<input checked="" type="checkbox"/> Met <input type="checkbox"/> Not Met	
Contractor Responsibility: The Contractor shall report to the Coalition all provider and other complaints that activate a formal grievance process and the resolution. Contractor may request Coalition guidance. In case of dispute, the Coalition shall make the final determination.			
Contractor Responsibility: Provide guidance/parameters to the Coalition on the hearing process (due process) for those arrangements that are out of compliance.			
Service Provider annual review: Comment if needed. <i>Child Care Licensing and Enforcement Section as a practice does not track the number of providers that receive information on the complaint procedure to appeal any monitoring inspection but has included a statement on the VPK Information Gathering Form which is given after each monitoring visit and the Informal Providers will be provided a statement of their right to appeal the outcome of any monitoring inspection performed during the FY 2010 year.</i>			
Documents to be ready for ELC on-site annual review: (1) Copy of External Complaint Process (2) Copies of any complaints received that activate grievances and results of resolution (3) Copies of guidance/parameters provided to Coalition on hearing due process; (4) Broward County Child Care Ordinance Sec.7-11.11g (Violations and Penalties); (4) Health and Safety Checklist for Informal Providers; (5) VPK Information Gathering Form			
ELC review comments: Reviewed <i>BCCCLE External Complaints Policy and Procedures</i> that state that “it is the policy of CCLE to provide all customers with a formal mechanism for expressing and resolving complaints and concern.” All customers of BCCCLE are “entitled to provide input in the form of a complaint or concern and receive a response.” Reviewed <i>Broward County Child Care Ordinance Sec 7-11.11</i> which includes the following: “All requests for hearings shall be addressed and furnished to the Broward County Child Care Licensing and Enforcement Section, 2995 North Dixie Highway, Fort Lauderdale, Florida 33334, Attention: Hearings.” Monitored child care providers do not receive printed information on the established procedure; however, monitors verbally communicate in person to the provider that they can call BCCCLE if they have questions, concerns or complaints. Reviewed Health and Safety Checklist for Informal Providers which does not reflect printed information related to grievances. Reviewed <i>VPK Information Gathering Form</i> and the disclaimer line on the bottom which reads “Providers have the right to appeal the findings of this inspection report and monitoring, according to established procedures as a VPK Program. Please phone 954-537-2800.” The VPK form was approved by the Coalition on March 19, 2009 and put into effect for FY 09-10. All documents and data results reported were reviewed and validated.			
Adjustment Required: <i>In order to ensure that the intent of this objective is met for the next contract year, ELC 4-2 Service Provider shall submit to Coalition staff by December 30, 2009, a printed notice that will alert <u>Informal Providers</u> of the ELC 4-2’s complaint procedures, leading to formal, established grievance procedures. This notice shall be put into effect immediately.</i>			
Service Provider plan to meet adjustment required (HOW) Explain: <i>The ELC 4-2 Service Provider will develop a written notice statement</i>			

that will be provided to all monitored Informal Providers regarding complaint procedures, leading to formal, established grievance procedures and will be submitted to the Coalition by the requested date.

4. 100% of formal service linkage agreements and procedures that are approved by the Coalition, with any and all Early Care and Education System Providers and pertinent community partners in order to coordinate services and prevent duplication shall be developed within thirty (30) days from the date of execution of this Contract and shall be developed, implemented, followed and revised, as needed. 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>

Service provider annual review: Note the organization with whom linkage agreements/MOUs were executed and any successes/challenges with achieving the outcome. *Child Care Licensing and Enforcement Section has a linkage agreement with ELC 2 Service Provider- Family Central, Inc.*

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

ELC review comments: Reviewed one (1) signed and dated Memorandum of Understanding (MOU) with ELC 2: Eligibility Determination, Application Processing, Slot Management and Provider Payment, a service delivered by Family Central, Inc., signed **5/13/09**. Evidence of the MOU's development within thirty (30) days from the date of execution of the contract was **not found**. The BCL-09-ELC4-2 contract was fully executed on June 30, 2008 and the MOU was signed 49 day before the conclusion of the contract year. ***All documents reported were reviewed and validated.***

No Action at this Time: *The ELC 4-2 Service Provider developed and implemented the MOU for the 2009-2010 contract year within 30 days of the contract execution. The MOU was fully executed on July 28, 2009. The ELC 4-2 Service Provider is expected to implement all aspects of the mutually agreed upon Memorandum of Understanding currently in place with the ELC 2 Service Provider. After the completion of the first quarter 2009-2010, emails and conversations between ELC 4-2, ELC 2 and Coalition staff indicate that specific aspects of the MOU are occurring.*

Service Provider response (if desired):

5. See number 9 below

6. 100% participation in monthly Early Care and Education system coordination team meetings shall occur by a representative of the Contractor and all services shall be actively and successfully coordinated with system partners and with the Coalition.	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 attend the Coalition's annual meetings; participate in community collaborative groups; and attend Coalitions' in-service training sessions to the extent possible by funding and program description and design.

Documents to be ready for ELC on-site annual review: ELC will review its monthly sign-in sheets for attendance at system coordination team meetings along with meeting agendas and any other attendance documentation.

ELC review comments: Reviewed contract obligation log and system coordination team meeting attendance records. The ELC 4-2 Service Provider attended all monthly system coordinator team meetings and/or had a representative in attendance; eleven (11) meetings (100%) were attended by ELC 4-2 staff.

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

Service Provider annual review: Comment if needed.

Documents to be ready for ELC on-site annual review: (1) Copies of complaints/observations received and documentation showing each have been reported to DCF (2) child abuse complaint log

ELC review comments: Reviewed *ELC 4-2 VPK/Informal Provider Child Abuse Reporting Procedures* and the *ELC 4-2 VPK/Informal Provider Child Abuse Reporting Log* (approved by the Coalition on March 19, 2009 and subsequently implemented) for evidence of complaints or observations concerning potential abuse, neglect, or abandonment reported to the Florida Department of Children and Families, including notification of said reports (within the applicable confidentiality regulations) to the Coalition.

No complaints or observations concerning potential abuse, neglect, or abandonment from VPK or Informal Providers were received during the 2008-2009 contract year. *All documents and data results reported were reviewed and validated.*

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

Service Provider annual review: Briefly describe any successes/challenges with achieving this outcome.

Documents to be ready for ELC on-site annual review: Copies of any complaints/observations received and documentation licensing violations that would have been reported to BCCCLE.

ELC review comments: Reviewed *ELC 4-2 Child Care Facility/Home Licensing Complaint Procedures* and the *ELC 4-2 Child Care Facility/Home Licensing Complaints Log* approved by Coalition on March 19, 2009 and subsequently implemented. Reviewed *ELC 4-2 Child Care Facility/Home Licensing Complaints log* which documents licensing complaints and feedback for four (4) sites; one (1) complaint during the first quarter (July-Sept 08) and three (3) complaints received in 3rd quarter (Jan-Mar 09). There were four (4) complaints received by ELC 4-2 regarding child care licensing violations in 2008-2009. ***All documents and data results reported were reviewed and validated.***

Adjustment Required: *In order to ensure child safety within the Broward ECE system and adherence to VPK program requirements, ELC 4-2 Service Provider shall immediately report feedback received from BCCCLE that reflects a verified licensing violation at VPK Provider sites, to the ELC 2 Service Provider.*

Service Provider plan to meet adjustment required (HOW) Explain: *The ELC 4-2 Service Provider will upon verification of a licensing violation at a VPK Provider site that has been approved by a supervisor will fax a copy of the report to the ELC 2 Service Provider within the next two (2) business days.*

	BCL Reported Results Actual <u>Number</u> Served	ELC Review Results validated?	Action needed?
9. 100% of other complaints concerning providers shall be referred to the appropriate early care and education system service provider and feedback on the outcomes shall be documented.	9.a. Number of provider complaints received: <u>0</u>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <i>If <u>yes</u> see row below for details.</i>
	9.b. Number of said complaints referred to appropriate ECE system service provider with feedback documented: <u>0</u>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
	9.c. Percent achieved <u>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: Reviewed *ELC 4-2 Early Care and Education Referral Procedures* and the *ELC 4-2 Early Care and Education Referral Concerns Log* approved by the Coalition on March 19, 2009 and subsequently implemented. There were no complaints or observations concerning child care providers received by ELC 4-2 in 2008-2009 or referred to an early care and education system service provider. ***All documents and data results reported were reviewed and validated.***

<p>10. 100% of required data and reports shall be collected, tracked in accordance with Coalition standards and requirements and reports shall be delivered complete and on time and 100% of ad hoc data and report requests made by the Coalition shall be provided in a timely manner as mutually agreed.</p>	<p>ELC Review</p>	<p>Action needed?</p>
<p>Service Provider annual review: Comment if needed.</p>	<p><input type="checkbox"/> Met <input checked="" type="checkbox"/> Not Met</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No If <u>yes</u> see row below for details.</p>
<p>Documents to be ready for ELC on-site annual review: ELC staff will review its own Contract Obligation Checklist</p>		
<p>ELC review comments: Reviewed Coalition’s ELC 4-2 Contract Obligation Checklist to confirm reports were delivered by contractual commitment dates. The ELC 4-2 Contract Obligation Checklist revealed that 100% of required data was collected, input and tracked in accordance with Coalition standards and requirements and reports were delivered complete and on time and 100% of ad hoc data and report requests were provided in a timely manner; twelve (12) monthly key data activity reports, three (3) quarterly and one (1) annual report. Sixteen (16) reports were due to the Coalition; thirteen (13) reports were submitted complete and on time, one monthly key data and two quarterly reports were late.</p>		
<p>Corrective Action: <i>In order to ensure the intent of this objective is met for the 2009-2010 contract year, the ELC 4-2 Service Provider shall inform Coalition staff prior to potential delays in meeting reporting deadlines.</i></p>		
<p>Service Provider plan to meet compliance (HOW) Explain: <i>The ELC 4-2 Service Provider shall contact the Coalition staff by email and or phone of any potential delays in meeting reporting deadlines.</i></p>		
<p>11. 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.</p>	<p>ELC Review</p>	<p>Action needed?</p>
<p>Service Provider annual review: Comment if needed.</p>	<p><input checked="" type="checkbox"/> Met <input type="checkbox"/> Not Met</p>	<p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No If <u>yes</u> see row below for details.</p>
<p>Documents to be ready for ELC on-site annual review: ELC Fiscal department will review invoices submitted for timely submission</p>		
<p>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.</p>		
<p>12. 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.</p>	<p>ELC Review</p>	<p>Action needed?</p>
<p>Service Provider annual review: Comment if needed.</p>	<p><input checked="" type="checkbox"/> Met <input type="checkbox"/> Not Met</p>	<p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No If <u>yes</u> see row below for details.</p>

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

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

HEALTH AND SAFETY MONITORING

	BCL Reported Results Actual <u>Number</u> Served	ELC Review Results validated?	Action needed?
1. 100% verified/approved informal providers shall be scheduled for monitoring if Contractor is able to contact the provider by telephone or U.S. mail. If Contractor is unable to contact an informal provider, a report shall be prepared and delivered to the Eligibility Determination and Application Processing, Slot Management and Provider Payment (ELC 2) Service Provider.	1.a. Number of total informal providers: <u>3</u>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <i>If yes see row below for details.</i>
	1.b. Number of informal successfully contacted for monitoring: <u>2</u>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
	1.c. Number of informal providers successfully scheduled for monitoring: <u>0</u>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
	1.d. Percent Achieved: <u>None</u>	<input checked="" type="checkbox"/> Met <input type="checkbox"/> Not Met	
	1.e. Report delivered to ELC 2 Service Provider for providers who could not be reached: Delivered to Coalition	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	

Contractor Responsibility: Establish system of communication with the *Eligibility Determination and Application Processing, Slot Management and Provider Payment* (ELC 2) Service Provider to receive current data regarding the informal child care providers caring for children receiving financial assistance from school readiness funds.

Contractor Responsibility: Schedule informal child care providers who are verified/approved by the *Eligibility Determination, Application Processing, Slot Management and Provider Payment* (ELC 2) Service Provider for monitoring.

Contractor Responsibility: Notify the *Eligibility Determination, Application Processing, Slot Management and Provider Payment* (ELC 2) Service Provider and the Coalition staff in writing, if the informal child care provider is unavailable by phone or U.S. Mail.

Service Provider annual review: Briefly describe any successes/challenges with achieving this outcome.

Documents to be ready for ELC on-site annual review: (1) List of verified Informal Providers who were scheduled for monitoring (2) Copy of

communication to the Coalition describing the process of contacting Informal Providers. (3) Copy of Health and Safety Checklist for Informal Providers.

ELC review comments: Reviewed ELC 4-2 *Listing of Informal Providers; Quarterly Informal Provider Aggregated Data Report FY 0809* and letter from ELC 4-2 to Coalition dated March 13, 2009 detailing results of CCLE's efforts to conduct inspections of three (3) informal providers in December 2008. Results showed (a) one informal provider had moved with no forwarding information; (b) one informal provider was no longer providing care and had returned to work and (c) one informal provider was no longer providing care. Interviewed Section I Manager who confirmed that data was sent to ELC 2 via the Coalition. *All documents and data results reported were reviewed and validated.*

Adjustment Required: *In order to ensure the intent of this objective is met for 2009-2010 and that all reports on informal providers who are not able to be contacted is delivered to the ELC 2 Service Provider directly as agreed in the executed MOU signed July 15, 2009, the ELC 4-2 Service Provider shall submit to Coalition staff by December 30, 2009, a written procedure that identifies how the activities related to this objective will be accomplished.*

Service Provider plan to meet adjustment required (HOW) Explain: *The ELC 4-2 Service Provider will prepare a written procedure that will identify the actions to be taken for any informal provider who is not able to be contacted to conduct an inspection and will be forwarded to the Coalition by the requested due date.*

	BCL Reported Results Actual <u>Number</u> Served	ELC Review Results validated?	Action needed?
<p>2. 100% of scheduled informal child care providers shall receive a visit and inspection if they are present at the time of the appointment and if Contractor is permitted on site to inspect. If the provider is not present at the appointment time, Contractor shall attempt to reschedule only one (1) time. If Contractor is not permitted to inspect at the appointment time, the Coalition shall be notified immediately.</p>	2.a. Number of scheduled informal providers: <u>0</u>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <i>If yes see row below for details.</i></p>
	2.b. Number of scheduled informal providers who received a visit: <u>0</u>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
	2.c. Number of scheduled informal providers who did not allow inspection: <u>0</u>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
	2.d. Percent Achieved: <u>N/A</u>	<input checked="" type="checkbox"/> Met <input type="checkbox"/> Not Met	

Contractor Responsibility: Offer materials and resources and a Health and Safety package to informal child care providers during initial inspections to assist in providing health and safe environments.

Contractor Responsibility: Report and track Health and Safety Monitoring results of informal child care providers who care for children receiving financial assistance from school readiness funds.

Contractor Responsibility: Report non-compliance issues to the Eligibility Determination, Application Processing, Slot Management and Provider Payment (ELC 2) Service Provider and Coalition staff.

Service Provider annual review: Comment if needed.			
Documents to be ready for ELC on-site annual review: (1) A list of informal providers who are scheduled, received a visit and were offered materials and resources (2) Completed monitoring reports on Informal Providers.			
ELC review comments: Reviewed ELC 4-2 <i>Listing of Informal Providers; Quarterly Informal Provider Aggregated Data Report FY 0809</i> and letter from ELC 4-2 to Coalition dated March 13, 2009, detailing results of CCLE's efforts in December 2008 to conduct inspections of three (3) informal providers. No inspections were conducted since all three (3) informal providers were no longer in business at time of contact on December 2, 2008. <i>All documents and data results reported were reviewed and validated.</i>			
3. 100% of complaints related to monitored informal child care providers shall be reviewed and investigated in accordance with procedures mutually agreed upon by the Coalition and the Contractor.	BCL Reported Results Actual <u>Number</u> Served	ELC Review Results validated?	Action needed?
	3.a. Number of complaints received relating to monitored informal child care providers: <u>0</u>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <i>If <u>yes</u> see row below for details.</i>
	3.b. Number of said complaints reviewed and investigated with appropriate procedures: <u>0</u>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
	3.c. Percent achieved: <u>NA</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) Complaint log of monitored informal providers who were investigated accordance to procedures; (2) Documentation supporting complaint investigation process.			
ELC review comments: Reviewed ELC 4-2 <i>Informal Provider Compliant Procedures</i> and the <i>Informal Provider Complaints Log</i> approved by the Coalition on March 19, 2009, and subsequently implemented. No complaints were received by ELC 4-2 in 2008-2009. <i>All documents and data results reported were reviewed and validated.</i>			
4. 100% of inspection reports shall be reported as data becomes available, to the Eligibility Determination, Application Processing, Slot Management and Provider Payment (ELC 2) Service Provider in the mutually agreed upon format identified in the linkage agreement.	BCL Reported Results Actual <u>Number</u> Served	ELC Review Results validated?	Action needed?
	4.a. Number of inspection reports generated: <u>0</u>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <i>If <u>yes</u> see row below for details.</i>
	4.b. Number of inspection reports shared with the ELC 2 Service Provider: <u>0</u>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	

4.c. Percent Achieved: NA

Met Not Met

Service Provider annual review: Comment if needed.

Documents to be ready for ELC on-site annual review: Documentation of inspection reports shared with the ELC 2 Service Provider as identified in the MOU.

ELC review comments: Reviewed ELC 4-2 *Listing of Informal Providers; Quarterly Informal Provider Aggregated Data Report FY 0809* and letter from ELC 4-2 to Coalition dated March 13, 2009, detailing results of ELC 4-2's efforts to conduct inspections of three (3) informal providers in December 2008. Results showed (a) one informal provider had moved with no forwarding information; (b) one informal provider was no longer providing care and had returned to work and (c) one informal provider was no longer providing care. Thus no inspection reports were generated. *All documents and data results reported were reviewed and validated.*

ELC Recommendation: *The Coalition recommends establishing regular communication with the ELC 2 Service Provider to ensure the flow of information regarding providers' status is timely. After the completion of the first quarter 2009-2010, emails and conversation between the ELC 4-2 Service Provider, the ELC 2 Service Provider, and Coalition staff indicate that specific aspects of the MOU are currently in process, including the sharing of inspection reports (if any).*

Service Provider response (if desired):

	BCL Reported Results Actual <u>Number</u> Served		ELC Review <i>Results validated?</i>	Action needed?
	Data Report	Date provided to ELC 2 & Coalition		
5. One set of aggregate provider data shall be provided quarterly to the Coalition and the Eligibility Determination, Application Processing, Slot Management and Provider Payment (ELC 2) Service Provider.	4.a. 1st quarter	<u>None</u>	<input checked="" type="checkbox"/> Substantially Met <input type="checkbox"/> Not Met	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <i>If yes see row below for details.</i>
	4.b. 2nd quarter	<u>3/13/09</u>		
	4.c. 3rd quarter	<u>None</u>		
	4.d. 4th quarter	<u>7/16/09</u>		

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

Service Provider annual review: Comment if needed. *The Child Care Licensing and Enforcement Section (CCLE) provided a 4th Quarter Report to ELC 2 and the Coalition at the 7/16/2009 a scheduled meeting between the three (3) agencies. The 1st quarter report was not provided in a writing document but had been discussed with Coalition staff regarding the status of informal provider monitoring activities and the during the 3rd quarter there was no changes from the 2nd quarter report. The 4th quarter report provided also had no change in the status for informal*

providers.

Documents to be ready for ELC on-site annual review: (1) Quarterly Aggregate Provider Data Reports (2) Usable data submitted to the ELC 2 Service Provider for services to informal care arrangements.

ELC review comments: Reviewed signed MOU between ELC 4-2 and ELC 2 Service Provider dated May 2009. Reviewed quarterly/annual reports submitted to the Coalition in October 2008, January 2009, April 2009 and August 2009 to identify if submitted data. Reviewed ELC 4-2 *Listing of Informal Providers; Quarterly Informal Provider Aggregated Data Report FY 0809* and letter from ELC 4-2 to Coalition dated March 13, 2009, detailing results of ELC 4-2's efforts to conduct inspections of three (3) informal providers in December 2008.

Interviewed Section I Manager who confirmed verbal communication on aggregate provider data with ELC 2 Service Provider on a regular basis, but no written communication sent. *All documents and data results reported were reviewed and validated.*

Adjustment Required: *In order to ensure that this objective is met for 2009-2010 contract year, the ELC 4-2 Service Provider shall identify and submit to Coalition staff by December 30, 2009, the written procedure that identifies how the ECL 4-2 will ensure that one set of aggregate Informal Provider data shall be provided quarterly to the Coalition and the Eligibility Determination, Application Processing, Slot Management and Provider Payment (ELC 2) Service Provider as agreed to in the current executed MOU dated July 15, 2009 .*

Service Provider plan to meet adjustment required (HOW) Explain: *The ELC 4-2 Service Provider will develop a written procedure that describes how one set of aggregated Informal Provider data will be provided quarterly to the Coalition and ELC 2 Service Provider and will be submitted to the Coalition by the requested date.*

VOLUNTARY PRE-KINDERGARTEN MONITORING

1. 100% of selected VPK providers shall receive an unannounced visit from Contractor to inspect the elements of the program identified by AWI/OEL VPK Monitoring Instrument, including licensing or accreditation status, group size and child ratios, director credentials, instructor's credentials and background screening, and instructional hours of the VPK classroom.	BCL Reported Results Actual <u>Number</u> Served	ELC Review Results validated?	Action needed?
	1.a. Number of selected VPK providers: <u>212</u>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <i>If <u>yes</u> see row below for details.</i>
	1.b. Number of said VPK providers who received an unannounced visit: <u>230</u>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
	1.c. Percent achieved: <u>108%</u>	<input checked="" type="checkbox"/> Met <input type="checkbox"/> Not Met	

Contractor Responsibility: Establish system of communication with the *Eligibility Determination, Application Processing, Slot Management and Provider Payment (ELC 2) Service Provider* to receive current data regarding the VPK providers selected to be monitored.

Contractor Responsibility: Monitor VPK providers with unannounced visits to obtain data identified by AWI/OEL, including licensing or accreditation status, group size and child ratios, director credentials, instructor's credentials and background screening, and instructional hours of the VPK classroom.

Service provider annual review: Comment if needed.

Documents to be ready for on-site annual review: (1) List of VPK providers who received an unannounced visit and monitored as specified in the above objective (2) Copy of procedures for system of communication of data regarding VPK Providers with ELC2 Service Provider (3) Results from unannounced monitoring visits to VPK providers for 2008-2009.

ELC review comments: Reviewed ELC 4-2 *VPK Information Gathering* form used for VPK Monitoring with areas to record seven required elements of (1) licensing; (2) accreditation status; (3) group size/ratios; (4) director credentials; (5) instructor credentials; (6) background screenings; and (7) hours of program. Reviewed list of VPK Providers Monitored by ELC 4-2 for 2008-2010. Reviewed **230** inspection reports reflecting **230** individual VPK providers who received an unannounced visit in 2008-2009. *All documents and data results reported were reviewed and validated.*

	BCL Reported Results Actual <u>Number</u> Served	ELC Review Results validated?	Action needed?
2. 100% of complaints related to monitored VPK providers shall be reviewed and investigated in accordance with procedures mutually agreed by the Coalition and the Contractor.	2.a. Number of complaints received related to VPK providers: <u>0</u>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <i>If <u>yes</u> see row below for details.</i>
	2.b. Number of said complaints reviewed and investigated according to procedures: <u>0</u>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
	2.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) Complaint log of monitored VPK Providers who were investigated according to procedures (2) Results of investigations

ELC review comments: Reviewed ELC 4-2 VPK Provider Compliant Procedures and Provider Log, approved by the Coalition on March 19, 2009 and subsequently implemented. No complaints were received by the ELC 4-2 Service Provider regarding VPK providers. *All documents and data results reported were reviewed and validated.*

	BCL Reported Results Actual <u>Number</u> Served	ELC Review Results validated?	Action needed?
3. 100% of inspection reports shall be reported as data becomes available, to the Eligibility Determination and Application Processing, Slot Management and Provider Payment (ELC 2) Service Provider in the mutually agreed upon format identified in the linkage agreement.	3.a. Number of inspection reports generated: 230	<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>
	3.b. Number of said reports shared with the ELC 2 Service Provider: 230	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	

		3.c. Percent Achieved: 100%	<input type="checkbox"/> Met <input checked="" type="checkbox"/> Not Met	
Service Provider annual review: Comment if needed.				
Documents to be ready for ELC on-site annual review: Documentation of inspection reports shared with the ELC 2 Service Provider as identified in the MOU.				
ELC review comments: Reviewed the <i>VPK Information Gathering Form</i> used to verify compliance of the seven (7) required monitored elements; this form was modified into a triplicate form and accepted by the Coalition for use on March 19, 2009 for the 2009-2010 contract year. Reviewed <i>VPK Information Gathering Form</i> which is now in triplicate form with one copy of each inspection reports available to forward to the ELC 2 Service Provider to be filed in the appropriate VPK Provider file. Reviewed VPK Monitoring Non-Compliance Report FY 2008-2009 that was sent to Coalition staff and the ELC 2 Service Provider in July 2009 and reflects seventeen (17) potential issues. Evidence of 230 inspection reports reported to the ELC 2 Service Provider <i>was not found</i> .				
No Action at this time: <i>The ELC 4-2 Service Provider has already made adjustments and identified in writing, the procedure for delivering VPK Inspection reports to the ELC 2 Service Provider in a timely manner. All inspection reports from the first quarter (July 1, 2009 – September 30, 2009) were submitted to the ELC 2 Service Provider.</i>				
<i>Note: All VPK non-compliance shall be reported to the ELC 2 Service Provider and the Coalition within 48 hours.</i>				
Service Provider response (if desired):				
4. One set of aggregate provider data shall be provided quarterly to the Coalition and Eligibility Determination and Application Processing, Slot Management and Provider Payment (ELC 2) Service Provider.	BCL Reported Results		ELC Review	Action needed?
	Actual <u>Number</u> Served		<i>Results validated?</i>	
	Data Report	Date provided to ELC 2 and the Coalition	<input checked="" type="checkbox"/> Substantially Met <input type="checkbox"/> Not Met	
	4.a. 1st quarter	none		
	4.a. 2nd quarter	none		
4.b. 3rd quarter	none			
4.c. 4th quarter	July 16, 2009			
Contractor Responsibility: Report and track required monitoring elements of VPK Providers in a Coalition approved database.				
Contractor Responsibility: Provide a written report for each VPK provider, to the <i>Eligibility Determination, Application Processing, Slot Management and Provider Payment (ELC 2) Service Provider</i> for follow-up and/or for inclusion in the VPK provider's file.				
Contractor Responsibility: Provide a written report of non-compliance issues to the <i>Eligibility Determination, Application Processing, Slot Management and Provider Payment (ELC 2) Service Provider</i> and Coalition staff.				

Service Provider annual review: Comment if needed.

Documents to be ready for ELC on-site annual review: (1) Quarterly Aggregate Provider Data Reports (2) Documentation of results of tracking VPK Providers and services provided (3) Documentation of reports shared with the ELC 2 Service Provider as identified in the MOU.

ELC review comments: Reviewed quarterly/annual reports submitted to the Coalition in October 2008, January 2009, April 2009 and August 2009 for evidence of submitted data. Reviewed the *Quarterly Key Indicators* submitted to the Coalition on time and revealed monitoring activity occurred on a regular basis between September 2008 and June 2009. Reviewed monthly VPKMON Provider Invoices received by Coalition Staff. Reviewed letter to Coalition staff dated July 13, 2009, with spreadsheet for 230 VPK monitored providers.

Monthly VPKMON Provider Invoices received by Coalition Staff included a list of monitored providers. Quarterly reports indicated that aggregate data had been transmitted to the ELC 2 Service Provider and the Coalition. Evidence of aggregate provider data provided quarterly to the ELC 2 Service Provider *was not available during monitoring*. Meetings held in July with the Coalition staff, ELC 4-2 Service Provider and the ELC 2 Service Provider determined the need for an improved system for transfer of data and has since been implemented.

No Action at this time: *The ELC 4-2 Service Provider has already made adjustments and identified in writing the procedure for delivering one set of aggregate provider data quarterly to the Coalition and Eligibility Determination and Application Processing, Slot Management and Provider Payment (ELC 2) Service Provider. Aggregate VPK data reports from the first quarter from the current contract year were submitted to the Coalition and the ELC 2 Service Provider on October 16, 2009.*

Service Provider response (if desired):