



TOM TORLAKSON
State Superintendent
of Public Instruction

Federal Program Monitoring (FPM) Training

Early Education and Support Division

Fiscal Year 2015-16



TOM TORLAKSON
State Superintendent
of Public Instruction

Notification

A email is sent to the district prior to the start of the FPM cycle. Review details in CMT for the following:

- Evidence deadline
- Date of the review
- Reviewers
- Sites that will be reviewed
- Date of the Exit Meeting



TOM TORLAKSON
State Superintendent
of Public Instruction

The Program Review Instrument

- The FPM Compliance Monitoring Web Page provides access to CMT and Fiscal Year (FY) 2015-16 Program Instruments at: <http://www.cde.ca.gov/ta/cr/programinst1516.asp>



TOM TORLAKSON
State Superintendent
of Public Instruction

California Department of Education Monitoring Tool (CMT)

- Prior to the FPM review go to the EESD instrument at <http://www.cde.ca.gov/ta/cr/programinst1516.asp>
- View all items that apply to the district's contract types. (CCTR, CSPP etc.)
- Respond to the evidence request in the Document Tab by the deadline date.
- If evidence is hard copy, indicate where it will be located during the review.
- EESD Reviewer will start reviewing evidence and making comments in CMT prior to the FPM review.



TOM TORLAKSON
State Superintendent
of Public Instruction

During the Visit

The EESD Consultant will:

- Review hard copy evidence not in CMT (eligibility files, DRDPs, personnel permits/credentials)
- Conduct Classroom Observation(s)
- Debrief daily or as needed
- Conduct Pre-exit meeting
 - Identify any findings
- Finalize report for EESD
- Participate in Exit Meeting for the district



TOM TORLAKSON
State Superintendent
of Public Instruction

After the Review

District will respond to any findings in the Summary of Findings Report

- Respond to Findings (if any) within 45 days of the review by providing any new evidence for resolution in CMT.
- The program reviewer will respond in CMT to the new evidence within 15 calendar days.
- Consultant to clear item in CMT.

Resolution Agreement

If the program cannot resolve items not meeting requirements within the 45 day period after the review, request a resolution agreement in CMT.



TOM TORLAKSON
State Superintendent
of Public Instruction

California Department of Education Program Key Dimensions

- I. Involvement
- II. Governance and Administration
- III. Funding
- IV. Standards, Assessment, and Accountability
- V. Staffing and Professional Development
- VI. Opportunity and Equal Educational Access
- VII. Teaching and Learning

19 total items for Early Education and Support Division, each item will list the contract types being monitored/reviewed.



TOM TORLAKSON
State Superintendent
of Public Instruction

Program Types

Include documentation for your contract/program type:

- CCTR – Center-Based (General Program)
- CFCC – Family Child Care Home
Educations Network Programs
- CHAN – Handicapped Program
- CMIG – Migrant Program
- CSPP – State Preschool Program
- CAPP – Alternative Payment Program
- CMAP – Migrant Alternative Payment Program
- C2AP – CalWORKS Stage - 2
- C3AP – CalWORKS Stage - 3



TOM TORLAKSON
State Superintendent
of Public Instruction

I. Involvement

EES 01: Plan for Parent Involvement

Compliance Indicators

I-EES 01. (CCTR, CSPP, CMIG, CHAN, CFCC)
There is a plan for parent involvement and education, including the sharing of program goals and structure with families. The program ensures that effective, two-way, comprehensive communication between staff and parents is carried out on a regular basis throughout the program year.



TOM TORLAKSON
State Superintendent
of Public Instruction

EES 01: Plan for Parent Involvement cont.

Online Review

- Parent orientation materials
- Parent education & involvement **plan**
- Parent advisory committee (PAC) agenda or minutes of meetings
- Notice of meetings, bulletins, and correspondence
- Open door policy statement
- Other documents related to parent involvement

On-Site Review

- Completed Parent and Teacher conferences, or schedules of conferences

Observation

- Daily classroom schedule of activities
- Environment Rating Scale

Dialogue

- Program Administrator
- Program staff

Meets requirements **Does not meet requirements** **Not reviewed**



TOM TORLAKSON
State Superintendent
of Public Instruction

II. Governance & Administration

EES 02 : Family Eligibility Requirements

Compliance Indicators

II-EES 2. (CCTR, CSPP, CMIG, CHAN, CFCC, CAPP, CMAP, C2AP, C3AP) Families with children enrolled in the program have met the eligibility requirements of that contract, and the required documentation is complete. A family data file has been established for each family, including a completed application for services and supporting documentation. For all programs the contractor verifies the eligibility of each family or child within 30 days of a change in eligibility status or at intervals not to exceed 12 months and at least once each contract period. For part day CSPP eligibility is determined once per contract period. For families receiving services because of being at risk of abuse, neglect, or exploitation the certification is for a period of 3 months.



TOM TORLAKSON
State Superintendent
of Public Instruction

EES 02: Family Eligibility Requirements cont.

Online Review

- Written materials for parents or other documentation

On-Site Review

- Parent policies
- CD 9600 Application for Services
- CD 9600A Privacy Notice and Consent Form
- Eligibility documentation
- Record of eligibility, residency and family size documentation

Dialogue

- Intake personnel
- Program Administrator
- Program staff

Meets requirements

Does not meet requirements

Not reviewed



TOM TORLAKSON
State Superintendent
of Public Instruction

II. Governance & Administration

EES 03: Child Need Requirement Verification

Compliance Indicators

II-EES 3. (CCTR, CSPP, CMIG, CHAN, CFCC, CAPP, CMAP, C2AP, C3AP) With the exception of families enrolled in a part day CSPP, families with children enrolled in a contract have met the need requirements. Certified hours of child care correspond to the need of the parent/caretaker, as documented by the contractor. For all contracts with a need for service requirement, the contractor verifies the need of each family or child within 30 days of a change in need status or at intervals not to exceed 12 months and at least once each contract period.



TOM TORLAKSON
State Superintendent
of Public Instruction

EES 03: Child Need Requirement Verification cont.

Online Review

- Written materials for parents or other documentation
- Written procedures

On-Site Review

- Completed Application - CD 9600
- Completed CD 9600A
- Documentation and evidence of verification of Need for Services
- Parental Release to obtain verification of need.

Meets requirements

Does not meet requirements

Not reviewed



TOM TORLAKSON
State Superintendent
of Public Instruction

II. Governance & Administration

EES 04: Recording and Reporting Attendance

Compliance Indicators

II-EES 4. (CCTR, CSPP, CMIG, CHAN, CFCC, CAPP, CMAP, C2AP, C3AP) The program has adopted policies and procedures for recording and reporting attendance that are consistent with the certified hours of enrollment that are established for the parent/caretaker.

4.1 (CCTR, CSPP, CMIG, CHAN, CFCC)

(a) Statutes and regulations on excused and unexcused absences

(b) Regulations regarding documentation of attendance

4.2 (CAPP, CMAP, C2AP, C3AP) Provider reimbursement is based on the hours of service provided that are broadly consistent with the certified hours of need , or for variable schedules and licensed exempt provider reimbursement is the actual days and hours of attendance up to the maximum certified hours for the month.



TOM TORLAKSON
State Superintendent
of Public Instruction

EES 04: Recording and Reporting Attendance cont.

Online Review

- Contractor's attendance policy on excused/unexcused absent days

On-Site Review

- Written materials for parents
- Daily attendance registry, daily sign-in/out sheets

Dialogue

- Attendance Clerk
- Parents

Meets requirements Does not meet requirements Not reviewed



TOM TORLAKSON
State Superintendent
of Public Instruction

II. Governance & Administration

EES 05: Correct Fee Assessed

Compliance Indicators

II-EES 5. (CCTR, CSPP, CMIG, CFCC, CAPP, CMAP, C2AP, C3AP) Families with children enrolled are assessed the correct fee according to the current Family Fee Schedule issued by the California Department of Education with the exception of families certified in a part-day CSPP program.



TOM TORLAKSON
State Superintendent
of Public Instruction

EES 05: Correct Fee Assessed cont.

Online Review

- Policies and procedures for family fee collection

On-Site Review

- Family data file
- Receipt records of fee collection

Dialogue

- Program fiscal personnel

Meets requirements Does not meet requirements Not reviewed



TOM TORLAKSON
State Superintendent
of Public Instruction

II. Governance & Administration

EES 06: Inventory Records

Compliance Indicators

II–EES 6. (CCTR, CSPP, CMIG, CHAN, CFCC, CAPP, CMAP, C2AP, C3AP) For all categorical programs, the local agency maintains an inventory record for each piece of equipment, with an acquisition cost of \$500 or more per unit, that is purchased with state and/or federal funds. The record describes the acquisition by:

- Type
- Model
- Serial number
- Funding source
- Acquisition date
- Cost
- Location
- Current condition
- Transfer, replacement, or disposition of obsolete or unusable equipment

6.1. The contractor has conducted a physical check of the inventory of equipment within the past two years and has reconciled the result with inventory records.



TOM TORLAKSON
State Superintendent
of Public Instruction

EES 06: Inventory Records cont.

EES form 8604 recommended but not required.

- Equipment Inventory Records
- 6.1: Evidence of physical check of inventory

Meets requirements Does not meet requirements Not reviewed



TOM TORLAKSON
State Superintendent
of Public Instruction

II. Governance & Administration

EES 07: Alternative Payment Policies

Compliance Indicators

II-EES 7. (CAPP, CMAP, C2AP, C3AP) The provider and eligible parents are given information regarding alternative payment policies, procedures, and regulations. The contractor sets forth the basis of provider participation, scheduled provider payments, informed parental choice, and the rights and responsibilities of parents.



TOM TORLAKSON
State Superintendent
of Public Instruction

EES 07: Alternative Payment Policies cont.

Required and Associated Documents

- EESD written materials for parents
- Grievance procedures
- Policies and procedures for provider participation and written materials for providers

Meets requirements

Does not meet requirements

Not reviewed



TOM TORLAKSON
State Superintendent
of Public Instruction

IV. Standards, Assessment, and Accountability

EES 08: Desired Results Profile and Data

Compliance Indicators

IV-EES 8. (CCTR, CSPP, CMIG, CHAN, CFCC) The program maintains the Desired Results Developmental Profile – 2015 (DRDP-2015) and Desired Results parent survey data for children and families. The program uses the information to plan and conduct age and developmentally appropriate activities and to monitor family involvement and satisfaction.



TOM TORLAKSON
State Superintendent
of Public Instruction

EES 08: Desired Results Profile and Data cont.

Online Review

- Desired Results Developmental Profile
Summary of findings for classroom and family child Care Home
- Sample group data summary
- Summary of parent survey
- Schedule of Parent/Teacher conferences
- Annual Program Self Evaluation

On-Site Review

- Completed DRDP 2015
- Program activity plans
- Child portfolios
- Completed Parent/Teacher conference form

Observation

- Classroom
- Outdoor play area

Interviews

- Program Administrator
- Program staff
- Parents

Meets requirements Does not meet requirements Not reviewed



TOM TORLAKSON
State Superintendent
of Public Instruction

IV. Standards, Assessment, and Accountability

EES 09: Annual Evaluation Plan

Compliance Indicators

IV-EES 9. (CCTR, CSPP, CMIG, CHAN, CFCC, CAPP, CMAP, C2AP, C3AP) The program has developed and implemented an annual evaluation plan that addresses any areas identified during the self-evaluation as needing improvement.



TOM TORLAKSON
State Superintendent
of Public Instruction

EES 09: Annual Evaluation Plan cont.

Online Review

- Evidence of Annual Program Self Evaluation -
- Documented program goals/objectives
- Implementation/follow-up of program action plan
- Evidence of Program Action Plan follow-up
- Parent Survey Summary of Findings-CD 4003

On-Site Review

- Classroom group data summary
- DRDP Summary of Findings
- Summary of Findings for the age appropriate Environment Rating Scale
- Evidence data is being used for planning

Observation

- Classroom
- Outdoor play area

Dialogue

- Program Administrator
- Program staff that completed the Self-Evaluation

Meets requirements Does not meet requirements Not reviewed



TOM TORLAKSON
State Superintendent
of Public Instruction

IV. Standards, Assessment, and Accountability

EES 10: Site Licensure

Compliance Indicators

IV-EES 10. (CCTR, CSPP, CMIG, CHAN, CFCC)
Each site has a current license issued by the authorized licensing agency unless the site is exempt from licensure.



TOM TORLAKSON
State Superintendent
of Public Instruction

EES 10: Site Licensure cont.

Online Review

- Copy of each site's license
- Current license receipt
- Issued licensing citations
- Written policies regarding parental access

On-Site Review

- Parents have access to their children during normal hours of operation.

Observation

- Classroom
- Outdoor play area
- If exempt from licensure, observe:
 - Health and Safety standards
 - Health screening

Meets requirements Does not meet requirements Not reviewed



TOM TORLAKSON
State Superintendent
of Public Instruction

V. Staffing and Professional Development

EES 11: Staff Development Program

Compliance Indicators

V-EES 11. (CCTR, CSPP, CMIG, CHAN, CFCC)
The program has developed and implemented a staff development component.



TOM TORLAKSON
State Superintendent
of Public Instruction

EES 11: Staff Development Program cont.

Online Review

- Written Staff development plan linked to annual Self-Evaluation
- Documentation of the implemented staff development
- Notes, meeting minutes, or participant sign-in sheets for staff development sessions
- Sample of written job descriptions
- Developmentally appropriate activity planning sessions
- Instructional strategies

On-Site Review

Dialog

- Program Administrator
- Program staff

Meets requirements **Does not meet requirements** **Not reviewed**



TOM TORLAKSON
State Superintendent
of Public Instruction

V. Staffing and Professional Development

EES 12: Qualified Staff and Director

Compliance Indicators

V-EES 12. (CCTR, CSPP, CMIG, CHAN, CFCC) All program staff is qualified for the position held. Each program operating two or more sites or family child care homes has a qualified program director. Each program with more than one site has a qualified site supervisor at each site. Each site has qualified teachers.



TOM TORLAKSON
State Superintendent
of Public Instruction

EES 12: Qualified Staff and Director cont.

Online Review

- Current Personnel roster by position held
- Form CD 3701B

On-Site Review

- Copy of current permits/credentials/temporary certificate or EESD approved site supervisor and /or program director waiver

Meets requirements Does not meet requirements Not reviewed



TOM TORLAKSON
State Superintendent
of Public Instruction

V. Staffing and Professional Development

EES 13: Staff-Child Ratios

Compliance Indicators

V-EES 13. (CCTR, CFCC, CSPP, CMIG, CHAN)
The applicable staff-child ratios are met for each age group and program. 13.1 CSPP contractors operating child care home networks must meet Title 5 ratios.



TOM TORLAKSON
State Superintendent
of Public Instruction

EES 13: Staff-Child Ratios cont.

Online Review

- Completed Staff to Child Ratio Schedule
 - ✓ Form CD 3705
- Personnel Rosters for each classroom

On-Site Review

Observation

- Classroom
- Lunch room
- Bathroom or diapering area
- Outdoor area

Dialog

- Program Administrator
- Program staff

Meets requirements Does not meet requirements Not reviewed



TOM TORLAKSON
State Superintendent
of Public Instruction

VI. Opportunity and Equal Educational Access

EES 14: Family Selection

Compliance Indicators

VI-EES 14. (CCTR, CSPP, CMIG, CHAN, CFCC, CAPP, CMAP) Families with children enrolled in the programs are selected according to the priorities of that program.



TOM TORLAKSON
State Superintendent
of Public Instruction

EES 14: Family Selection cont.

Online Review

- Notification to parents of enrollment priorities
- Records of use of Contractor Waiting List

On-Site Review

- The family eligibility information of the most recently enrolled families
- Review Waiting List

Dialogue

- Program Administrator
- Intake personnel

Meets requirements Does not meet requirements Not reviewed



TOM TORLAKSON
State Superintendent
of Public Instruction

VI. Opportunity and Equal Educational Access

EES 15: Compliance with Due Process

Compliance Indicators

VI-EES 15. (CCTR, CSPP, CMIG, CHAN, CFCC, CAPP, CMAP, C2AP, C3AP) The contractor complies with the program's due process requirements, including (1) providing parents with written information regarding their responsibility to comply with program rules, (2) issuing a Notice of Action where appropriate and (3) establishing procedures for parental appeal of any contractor's decision contained in the notice of action.



TOM TORLAKSON
State Superintendent
of Public Instruction

EES 15: Compliance with Due Process cont.

Online Review

- Written materials for parents
 - Grievance
 - Uniform Complaint Procedures
 - Harassment Policies
 - Weapons and Drug Policies
- Copy of current blank Notice of Action
- Parent appeal procedures

On-Site Review

- Completed Notices of Action
- Sample of recent parent appeals

Dialogue

- Program Administrator
- Appeals Officer

Meets requirements Does not meet requirements Not reviewed



TOM TORLAKSON
State Superintendent
of Public Instruction

VI. Opportunity and Equal Educational Access

EES 16: Refrain from Religious Instruction

Compliance Indicators

VI-EES 16. (CCTR, CSPP, CMIG, CHAN, CFCC)
The program refrains from religious instruction and worship.



TOM TORLAKSON
State Superintendent
of Public Instruction

EES 16: Refrain from Religious Instruction cont.

Online Review

- Written materials to parents including the program refrains from religious instruction and worship.

On-Site Review

Observation

- Classroom
- Lobby area postings
- Any postings or information for parents, providers, and public that program refrains from religious instruction and worship

Meets requirements Does not meet requirements Not reviewed



TOM TORLAKSON
State Superintendent
of Public Instruction

VI. Opportunity and Equal Educational Access

EES 17: Services Responsive to Family Needs

Exclusive to Resource and Referral contracts

Compliance Indicators

VI-EES 17. (CRRP) The Contractor provides services that are responsive to the diverse cultural, linguistic, and economic needs of the geographic area of service.

17.1 The contractor has developed written referral policies that are available to parents and providers on request and has implemented the written complaint procedures.

17.2 The contractor has developed and implemented procedures to provide to all families with informed parental choice and has a comprehensive list of local providers and programs for offering choice.



TOM TORLAKSON
State Superintendent
of Public Instruction

EES 17: Services Responsive to Family Needs cont.

Online Review

- CRRP contractor written referral policy
- Evidence of informed parental choice

On-Site Review

- Examples of outputs from database or information systems
- Talking point or recording used
- Licensing citations log

Meets requirements Does not meet requirements Not reviewed



TOM TORLAKSON
State Superintendent
of Public Instruction

VII. Teaching and Learning

EES 18: Environment Rating Scale

Compliance Indicators

VII-EES 18. (CCTR, CSPP, CMIG, CHAN, CFCC)
The program shall complete an environment rating scale to measure program quality for the appropriate age group and setting, and shall achieve a rating of “Good”, defined as scoring at least an average of 5.0 on each subscale of the environment rating scale.



TOM TORLAKSON
State Superintendent
of Public Instruction

EES 18: Environment Rating Scale cont.

Online Review

- Completed Environment Rating Scale (ERS) Summary documents
- ERS Summary of Findings-form CD 4002

On-Site Review

- Completed age appropriate Environment Rating Scale

Observation

- Classroom

Dialogue

- Program Administrator
- Program staff

Meets requirements Does not meet requirements Not reviewed



TOM TORLAKSON
State Superintendent
of Public Instruction

VII. Teaching and Learning

EES 19: Nutritional Needs

Compliance Indicators

VII-EES 19. (CCTR, CSPP, CMIG, CHAN, CFCC)
The program provides for the nutritional needs of children in attendance.



TOM TORLAKSON
State Superintendent
of Public Instruction

EES 19: Nutritional Needs cont.

Online Review

- Menu for current month
- Written contractor policies on meals/snacks

On-Site Review

- List of children with any food allergies

Observation

- Mealtime
- Snack time

Dialogue

- Program Administrator
- Program staff

Meets requirements **Does not meet requirements** **Not reviewed**



TOM TORLAKSON
State Superintendent
of Public Instruction

Quick tips

Use available resources:

- Assigned Regional Consultant
- Ask Questions
- MB FAQs
- [Review Instrument](#)
- [Funding Terms & Conditions](#)
- [Federal Register, Title 5](#)
- [WestEd](#) (DRDP Profile)
- [CPIN](#) (Teacher Trainings)



TOM TORLAKSON
State Superintendent
of Public Instruction

Resources

DRDP Tech

<https://desiredresults.us/>

California Preschool Instructional Network
(CPIN)

<https://cpin.us>

WestEd.

wested.org

FPM Website

<http://www.cde.ca.gov/ta/cr/>



Questions?

Contact your assigned Field Services Consultant

<http://www.cde.ca.gov/sp/cd/ci/assignments.asp>

(916) 322-6233 EESD main line