



CDE Federal Program Monitoring 2016–17 Early Education and Support (EES) Online

I. Involvement

EES 01: Plan for Parent Involvement

1.0 (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. (EC §§ 8202, 8203, 8240(c), 8245(b)(3) and (b)(9); 5 CCR §§ 18275, 18277, 18280.)

II. Governance and Administration

EES 02: Family Eligibility Requirements

2.0 (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. (EC §§ 8201(a), 8208(i)(ad)(ai)(aj), 8231, 8235, 8236, 8237, 8238.4, 8239, 8246(a), 8250, 8263, 8263.1, 8263.4, 8353, 8354; 5 CCR §§ 18078, 18081–18085, 18089, 18090, 18096, 18100, 18102, 18103(a)(1)(2), 18107, 18118, 18131, 18133, 18191, 18211, 18212, 18405-18408, 18420-18423.)

EES 03: Child Need Requirement Verification

3.0 (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. (EC §§ 8235, 8239, 8250, 8263, 8263.1, 8353, 8354; 5 CCR §§ 18078, 18081, 18083, 18084, 18085.5-18088, 18090, 18091, 18092, 18102, 18103, 18104, 18118, 18191, 18406(c) and (d), 18421(b) and (c).)

EES 04: Recording and Reporting Attendance

4.0 (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.

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

- (a) Statutes and regulations on excused and unexcused absences; and
- (b) Regulations regarding documentation of attendance

4.2 (CAPP, CMAP, C2AP, C3AP) Provider reimbursement is based on:

- (a) the hours of service provided that are broadly consistent with the certified hours of need, or
- (b) 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. (EC §§ 8208(e), 8221.5, 8246(h); 5 CCR §§ 18065, 18066, 18068)

EES 05: Correct Fee Assessed

5.0 (CCTR, CSPP, CMIG, CFCC, CAPP, CMAP, C2AP, C3AP) Families with children enrolled are assessed the correct monthly 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/part-year CSPP program. (EC §§ 8246(c), 8250(d)(3), 8263(g) and (h); 5 CCR §§ 18078(g), 18108-18116.)

EES 06: Inventory Records

6.0 (CCTR, CSPP, CMIG, CHAN, CFCC, CAPP, CMAP, C2AP, C3AP, CRRP) The local agency maintains an inventory record for each piece of equipment, with an acquisition cost of more than \$500 per unit, that is purchased with state and/or federal funds.

The record describes the acquisition by:

- (a) Type
- (b) Model
- (c) Serial number
- (d) Funding source
- (e) Acquisition date
- (f) Cost
- (g) Location
- (h) Current condition
- (i) Transfer, replacement, or disposition of obsolete or unusable equipment

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(EC § 35168; 5 CCR § 3946, 18025; Funding Terms and Conditions for Child Care and Development Programs for Fiscal Year 2015-16 (hereafter, “FTCs”), § III.D.34 CFR § 80.32(d)(I))

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. (FTCs, § III.D.; see also, 45 CFR 75.320(d)(2) and 2 CFR 200.313(d)(2).)

6.2. All contractors that are not local educational agencies shall adopt procedures regarding the procurement of goods and services that prohibit conflicts of interest and ensure competition. (Management Bulletin 13-05; FTCs, § II.Q.; 5 CCR §§18027 and 18040; see also, 45 CFR 75.327; 2 CFR 200.319(c).)

EES 07: Alternative Payment Policies

7.0 (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. (EC §§ 8222, 8225, 8226, 8266.5, 8357; 5 CCR §§ 18074, 18074.1, 18074.2, 18075-18076.3, 18220.6, 18221-18224, 18226, 18228, 18230, 18231, 45 CFR § 98.30.)

IV. Standards, Assessment, and Accountability

EES 08: Desired Results Profile and Data

8.0 (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. (EC §§ 8203(b)(c), 8203.5(b), 8240(a), 8245, 8246; 5 CCR §§ 18270.5, 18272, 18273, 18276, 18279–18281.)

EES 09: Annual Evaluation Plan

9.0 (CCTR, CSPP, CMIG, CHAN, CFCC, CRRP, 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. (EC §§ 8203, 8203.5, 8261; 5 CCR § 18279.)

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EES 10: Site Licensure

10.0 (CCTR, CSPP, CMIG, CHAN, CFCC) Each site has a current license issued by the authorized licensing agency unless the site is exempt from licensure. (EC §§ 8203(a), 8245(a); 5 CCR § 18020; Health & Saf. Code § 1596.792; 22 CCR §§ 101158 (a)(8), 101218.1.)

V. Staffing and Professional Development

EES 11: Staff Development Program

11.0 (CCTR, CSPP, CMIG, CHAN, CFCC, CAPP, C2AP, C3AP, CRRP) The program has developed and implemented a staff development component. (EC §§ 8240(g), 8245(b)(6), 8360; 5 CCR § 18274.)

EES 12: Qualified Staff and Director

12.0 (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. (EC §§ 8203(g), 8208(v), (aa), and (af), 8244, 8264.5, 8264.7, 8360-8361; 5 CCR § 18295.)

EES 13: Staff-Child Ratios

13.0 (CCTR, CFCC, CSPP, CMIG, CHAN) The applicable staff-child ratios are met for each age group and program.

13.1 CSPP contractors operating family child care home networks must meet Title 5 ratios. (EC §§ 8203(a), 8264.7, 8264.8; 5 CCR §§ 18013(d), 18135, 18290.)

VI. Opportunity and Equal Educational Access

EES 14: Family Selection

14.0 (CCTR, CSPP, CMIG, CHAN, CFCC, CAPP, CMAP) Families with children enrolled in the programs are selected according to the priorities of that program. (EC §§ 8231, 8235(c), 8236, 8263, 8263.2-.4; 5 CCR §§ 18105–18107, 18131, 18133, 18182, 18192.)

EES 15: Compliance with Due Process

15.0 (CCTR, CSPP, CMIG, CHAN, CFCC, CAPP, CMAP, C2AP, C3AP) The contractor complies with the program's due process requirements, including (1) providing parents with

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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. (EC 8263; 5 CCR §§ 18094, 18095, 18118–18122, 18400(k) and (l), 18418, 18419, 18433, 18434.)

EES 16: Refrain from Religious Instruction

16.0 (CCTR, CSPP, CMIG, CHAN, CFCC) The program refrains from religious instruction and worship. (EC § 8269; 5 CCR § 18017.)

EES 17: Services Responsive to Family Needs

17.0 (CRRP) The contractor provides services that are responsive to the diverse cultural, linguistic, and socio-economic needs of the geographic area of service. (EC §§ 8212, 8213, 8214.)

17.1. (CRRP) The contractor has developed written referral policies that are available to parents and providers on request and has implemented the written complaint procedures. (EC § 8216; 5 CCR §§ 18244, 18247.) (CRRP, CAPP, C2AP, C3AP.)

17.2 (CRRP) The contractor has developed and implemented procedures to provide all families with informed parental choice and has a comprehensive list of local providers and programs for offering choice. (5 CCR § 18245; 45 CFR §§ 98.30 and 98.33.)

VII. Teaching and Learning

EES 18: Environment Rating Scale

18.0 (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. (EC §§ 8203, 8203.5(a), 8245, 8246(d) and (f); 5 CCR § 18281.)

EES 19: Nutritional Needs

19.0 (CCTR, CSPP, CMIG, CHAN, CFCC) The program provides for the nutritional needs of children in attendance. (EC §§ 8203(l), 8204, 8240(f), 8245(b)(5), 8246(g); 5 CCR §§ 18111, 18278.)

EES 20: Health and Social Services

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20. (CCTR, CSPP, CMIG, CHAN, CFCC) The program includes identification of the child or family health and social service needs and makes referrals to appropriate agencies for services. The program does follow-up to ensure that identified needs have been met. (EC §§ 8203(l)(m)(n), 8208(q), 8240(d)(e); 5 CCR § 18276.)

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2016-17 EES Evidence Requests

Attendance policy for excused and unexcused absences

AbsncAtndncPlcy

Description: Current attendance policies used to track and determine excused and unexcused.

Item Instructions:

Related Items: EES 04

Activity plans

ActvtyPlns

Description: Copy of the process used to develop program activity plans and samples of activity plans.

Item Instructions:

Related Items: EES 08

Annual Program Self-Evaluation

AnlPrgrmSlfEvltn

Description: Most recent Program Action Plan.

Item Instructions: EES 08: Summary of the Desired Results Profiles (DRDP).
EES 09: Early Education and Support Program instrument self-review for all contract types.

Related Items: EES 08, EES 09

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CRRP contractor written referral policy

CntrctrRfrlPlcy

Description: CRRP contractor written referral policy.

Item Instructions:

Related Items: EES 17

DRDP summary of findings

DRDPsmryFndgs

Description: DRDP summary of findings for the most recent Program Self Evaluation.

Item Instructions: EES 08: DRDP summary of findings for the most recent Program Self Evaluation for Classroom and Family Child Care Home Networks
EES 09: DRDP summary of findings (Center-base and Family Child Care Home Networks); Data used for the DRDP summary of findings (hard copy onsite only)

Related Items: EES 08, EES 09

Equipment Inventory

EqpmtInvty

Description: Historical inventory of all equipment \$500 or more in unit price and/or those items under \$500 that are easily pilferable.

Item Instructions: EES 06: Copy of the current inventory and documentation of the most recent physical check of the inventory.

Related Items: EES 06, AE 03, AE 09, ME 06, BASP 10, BASP 15

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Environment Rating Scale Summary of Findings

ERSSmryFndgs

Description: ERS summary of findings for each classroom.

Item Instructions: EES 09: ERS summary of findings for the most recent Program Self Evaluation.

Related Items: EES 09, EES 18

Completed Environment Rating Scale and Summary report for classroom

ERSSmryRprt

Description: Summary report of completed Environment Rating Scale for each classroom.

Item Instructions:

Related Items: EES 18

Grievance procedures

GrvncPrcdrs

Description: Copy of the provider written grievance procedures.

Item Instructions:

Related Items: EES 07

Process for identification of health and social service needs

IdntfctnHssNds

Description: Copy of form used by contractor to identify health and social service needs.

Item Instructions:

Related Items: EES 20

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Licensing citations (if any)

LcnsngCtns

Description: Copy of any licensing citations that the contractor has received.

Item Instructions:

Related Items: EES 10

Current license and current receipt for fee

LcnsRcpt

Description: Current license and current receipt for fee.

Item Instructions:

Related Items: EES 10

Current month menu

MenuCrntMnth

Description: Current month menu.

Item Instructions:

Related Items: EES 19

Written policies for provision of meals/snacks

MlsSnck

Description: Written policies/procedures for provision of meals/snacks.

Item Instructions:

Related Items: EES 19

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Current blank Notice of Action

NoA

Description: Completed Notice of Action will be reviewed in the eligibility files onsite.

Item Instructions:

Related Items: EES 15

Open door policy statement

OpnDrPlcyStmnt

Description: Copy of the statement provided to parents regarding an Open Door Policy.

Item Instructions:

Related Items: EES 01

Process used to inform parents of types of providers and choices available

PrclsInfrmPrntsChcs

Description: Talking points or recording used to inform parents of provider types and choices available to parents.

Item Instructions:

Related Items: EES 17

Proof of license exempt status

PrfLcnsExmptSts

Description: Proof of license exempt status.

Item Instructions:

Related Items: EES 10

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Written policies regarding parental access

PrntAcsPlcs

Description: Copy of the contractor's written open door policy.

Item Instructions:

Related Items: EES 10

Parent appeal procedures

PrntAplPcdr

Description: Policy informing parents of their appeal rights. Information in the parent handbook or other materials.

Item Instructions:

Related Items: EES 15

Parent education and involvement plan

PrntEdInvPln

Description: Copy of the plan for the Parent Education and Involvement.

Item Instructions:

Related Items: EES 01

Data collected for parental preferences for provider/programs

PrntlPrfrncsData

Description: Examples from database or information systems of data collected for parental preferences for provider/programs.

Item Instructions:

Related Items: EES 17

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Parent orientation materials

PrntOrtnMtrls

Description: Documentation of parent orientation and materials given to parents.

Item Instructions:

Related Items: EES 01

Parent policies

PrntPlcs

Description: Current information given to parents regarding eligibility for services. Usually found in a parent handbook or other materials given to a parent.

Item Instructions:

Related Items: EES 02

Parent Survey Summary of Findings

PrntSrvySOF

Description: Completed most recent parent survey forms and the summary of the results of the survey for all contract types.

Item Instructions:

Related Items: EES 09

Contractor's current classroom personnel roster by position held (hard copy only)

PrsnlRstr

Description: Personnel Roster will be reviewed onsite (hard copy only).

Item Instructions:

Related Items: EES 12

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Policies and procedures for provider participation and written materials for providers

PrvdrPlcsPrcdrs

Description: Copy of the policies, procedures and information for provider participation.

Item Instructions:

Related Items: EES 07

Postings or information that the program refrains from religious instruction and worship

PstngPrgmRfrnRlgsInstn

Description: Statement for parents, providers, or public that the program does not provide religious instruction or worship.

Item Instructions:

Related Items: EES 16

R & R written materials

R&RWrtmMtrls

Description: Sample of the written materials available to parents, providers and public.

Item Instructions:

Related Items: EES 17

Completed Staff-Child Ratio Schedule (form CD-3705)

SCRS

Description: Classroom observation will be completed by the reviewer.

Item Instructions:

Related Items: EES 13

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Participant sign-in sheet for staff development sessions

SDPSgnSht

Description: Copy of the Staff Development Plan and sign-in sheet for the staff development sessions completed.

Item Instructions:

Related Items: EES 11

Written staff development plan linked to Annual Program Self-Evaluation

StfDvlpmntPlanASE

Description: Staff development plan adopted by the contractor for the current year.

Item Instructions:

Related Items: EES 11

Records of implemented staff trainings

StfDvlpmntRcrds

Description: Agendas and participant sign in and out sheets for attendance at staff development sessions.

Item Instructions:

Related Items: EES 11

Telephone referral log (if applicable)

TelRfrlLog

Description: Telephone referral log (if applicable).

Item Instructions:

Related Items: EES 17

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Verification of operating hours

VrfctnOprtnHrs

Description: Operating hours of R & R services.

Item Instructions:

Related Items: EES 17

Written complaint policies and procedures

WrtnCmplntPlcsPrcdrs

Description: Procedures used to inform parents and providers of the contractor's complaint policy and process.

Item Instructions:

Related Items: EES 17

Written materials for parents

WrtnMtrlsPrnts

Description: Documents from the current year.

Item Instructions: EES 02: Current information given to parents regarding eligibility for services. Usually found in a parent handbook or other materials given to a parent.

EES 03: Current information given to parents needing full time services on the documentation required for the need verification. Usually found in a parent handbook or other materials given to a parent.

EES 04: Current attendance policies used to track and determine excused and unexcused absences.

EES 07: Current information given to parents regarding alternative payment policies, procedures, and regulations. Usually found in a parent handbook or other materials given to a parent.

EES 15: Policy informing parents of their appeal rights. Information in the parent handbook or other materials.

Related Items: EES 02, EES 03, EES 04, EES 07, EES 15

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Written procedures for competitive procurement

WrtnPrcdrsCmptvPrcrmnt

Description: Copy of the contractor's procedures for competitive purchases of equipment/services.

Item Instructions:

Related Items: EES 06
