



CHILD CARE AND DEVELOPMENT FUND (CCDF) STATE MONITORING COMPLIANCE DEMONSTRATION PACKET

The purpose of OCC's monitoring system is to determine State compliance with the Child Care and Development Block Grant Act of 2014 and the Child Care and Development Fund (CCDF) Final Rule. The monitoring process includes a pre-visit review of materials provided by the State, as well as an onsite visit to validate the evidence observed during the pre-visit review and to collect additional evidence of the State's compliance with the CCDBG Act and the CCDF Final Rule.

THE PAPERWORK REDUCTION ACT OF 1995 (Pub. L. 104-13)

Public reporting burden for this collection of information is estimated to average 96 hours per response, including the time for reviewing instructions, gathering and maintaining the data needed, and reviewing the collection of information.

An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number.

Office of Child Care (OCC) Monitoring System

State Approaches to Demonstrating Compliance with CCDF Rules

In the chart below, for each CCDF regulation listed in the Column A, please indicate in Column B how the State proposes to show evidence of its compliance with the regulation prior to the onsite visit (such as state/local regulations, policies, manuals, etc.) and indicate in Column C how the State proposes to demonstrate compliance during the onsite visit (such as staff interviews, system demonstrations, visits to field offices, guided case file reviews, etc.).

The State has flexibility to propose an approach that, from its perspective, makes sense in light of the State’s circumstances and processes. Starting with the State’s proposal, OCC will work with the State to finalize an approach that is feasible and provides sufficient evidence of compliance.

CCDF Rule (Column A)	Proposed Approach To Demonstrating Compliance With This Requirement	
	(Column B)	(Column C)
Topic 1: Disaster Preparedness, Response, and Recovery		
<p><u>98.16(aa)(1): Statewide Disaster Planning Collaboration</u> A CCDF Plan shall contain a demonstration of how the State or Territory will address the needs of children, including the need for safe child care, before, during and after a state of emergency declared by the Governor or a major disaster or emergency (as defined by section 102 of the Robert T. Stafford Disaster Relief and Emergency Assistance Act, 42 U.S. C. 5122) through a Statewide Disaster Plan (or Disaster Plan for a Tribe’s service area) that is developed in collaboration with:</p> <ul style="list-style-type: none"> • the State human services agency, • the State emergency management agency, • the State licensing agency, • the State health department or public health department, • local and State child care resource and referral agencies, and • the State Advisory Council on Early Childhood Education and Care (designated or established pursuant to section 642B(b)(1)(A)(i) of the Head Start Act (42 U.S.C. 9837b(b)(1)(A)(i))) or similar coordinating body. 	<p><u>Pre-Visit Information</u></p>	<p><u>Onsite</u></p>

<p style="text-align: center;">CCDF Rule</p> <p style="text-align: center;">(Column A)</p>	<p style="text-align: center;">Proposed Approach To Demonstrating Compliance With This Requirement</p>	
	<p style="text-align: center;">(Column B)</p>	<p style="text-align: center;">(Column C)</p>
<p><u>98.16(aa)(2): Statewide Disaster Plan Components</u></p> <p>A CCDF Plan shall contain a demonstration of how the State or Territory will address the needs of children, including the need for safe child care, before, during and after a state of emergency declared by the Governor or a major disaster or emergency (as defined by section 102 of the Robert T. Stafford Disaster Relief and Emergency Assistance Act, 42 U.S. C. 5122) through a Statewide Disaster Plan (or Disaster Plan for a Tribe’s service area) that includes the following components:</p> <ul style="list-style-type: none"> (i) Guidelines for continuation of child care subsidies and child care services, which may include the provision of emergency and temporary child care services during a disaster, and temporary operating standards for child care after a disaster; (ii) Coordination of post-disaster recovery of child care services; and (iii) Requirements that child care providers of services for which assistance is provided under the CCDF, as well as other child care providers as determined appropriate by the State or Territory, have in place: <ul style="list-style-type: none"> (A) Procedures for <ul style="list-style-type: none"> • evacuation, • relocation, • shelter-in-place, • lock-down, • communication and reunification with families, • continuity of operations, and • accommodations of infants and toddlers, children with disabilities, and children with chronic medical conditions; and (B) Procedures for staff and volunteer emergency preparedness training and practice drills, including training requirements for child care providers of services for which assistance is provided under CCDF at § 98.41(a)(1)(vii). 	<p style="text-align: center;"><u>Pre-Visit Information</u></p>	<p style="text-align: center;"><u>Onsite</u></p>

CCDF Rule (Column A)	Proposed Approach To Demonstrating Compliance With This Requirement	
	(Column B)	(Column C)
Topic 2: Consumer Education: Dissemination of Information to Parents, Providers, and General Public (Monitoring Reports and Annual Aggregate Data)		
<p>98.33(a)(4): Consumer Ed. - Posting Monitoring & Inspection Reports</p> <p>The Lead Agency shall certify that it will collect and disseminate to parents of eligible children, the general public, and providers (through a consumer-friendly and easily accessible website) results of monitoring and inspection reports for all eligible and licensed child care providers (other than an individual who is related to all children for whom child care services are provided), including:</p> <ul style="list-style-type: none"> • those required at § 98.42 and • those due to major substantiated complaints about failure to comply with provisions at § 98.41 and Lead Agency child care policies. <p>Lead Agencies shall post in a timely manner full monitoring and inspection reports, either in plain language or with a plain language summary, for parents and child care providers to understand, and shall establish a process for correcting inaccuracies in the reports. Such results shall include:</p> <ul style="list-style-type: none"> (i) Information on the date of such inspection; (ii) Information on corrective action taken by the State and child care provider, where applicable; (iii) Any health and safety violations, including any fatalities and serious injuries occurring at the provider, prominently displayed on the report or summary; and (iv) A minimum of 3 years of results where available. 	<u>Pre-Visit Information</u>	<u>Onsite</u>
<p>98.33(a)(5): Consumer Ed. – Annual Aggregate Data</p> <p>The Lead Agency shall certify that it will collect and disseminate to parents of eligible children, the general public, and providers (through a consumer-friendly and easily accessible website):</p> <ul style="list-style-type: none"> • Aggregate number of deaths that occurred in child care settings, for each year for eligible providers: <ul style="list-style-type: none"> ○ for each provider category ○ for each licensing status • Aggregate number of serious injuries that occurred in child care settings, for each year for eligible providers <ul style="list-style-type: none"> ○ for each provider category ○ for each licensing status • Aggregate number of instances of substantiated child abuse that occurred in child care settings, for each year for eligible providers 	<u>Pre-Visit Information</u>	<u>Onsite</u>

CCDF Rule (Column A)	Proposed Approach To Demonstrating Compliance With This Requirement	
	(Column B)	(Column C)
Topic 3: Twelve-Month Eligibility		
<p><u>98.21(a)(1): 12-Month Eligibility Determination & Re-determination</u></p> <p>A Lead Agency shall re-determine a child’s eligibility for child care services no sooner than 12 months following the initial determination or most recent re-determination, subject to the following: During the period of time between determinations or re-determinations, if the child met all of the requirements in §98.20(a) on the date of the most recent eligibility determination or re-determination, the child shall be considered eligible and will receive services at least at the same level, regardless of:</p> <ul style="list-style-type: none"> (i) A change in family income, if that family income does not exceed 85 percent of SMI for a family of the same size; or (ii) A temporary change in the ongoing status of the child’s parent as working or attending a job training or educational program. A temporary change shall include, at a minimum: <ul style="list-style-type: none"> (A) Any time-limited absence from work for an employed parent due to reasons such as need to care for a family member or an illness; (B) Any interruption in work for a seasonal worker who is not working between regular industry work seasons; (C) Any student holiday or break for a parent participating in training or education; (D) Any reduction in work, training or education hours, as long as the parent is still working or attending training or education. (E) Any other cessation of work or attendance at a training or education program that does not exceed three months, or a longer period of time established by the Lead Agency; (F) Any change in age, including turning 13 years old during the eligibility period; and (G) Any change in residency within the State or Territory. 	<u>Pre-Visit Information</u>	<u>Onsite</u>

<p style="text-align: center;">CCDF Rule</p> <p style="text-align: center;">(Column A)</p>	<p style="text-align: center;">Proposed Approach To Demonstrating Compliance With This Requirement</p>	
	<p style="text-align: center;">(Column B)</p>	<p style="text-align: center;">(Column C)</p>
<p><u>98.21(a)(2): Continued Assistance/Job Search</u> Lead Agencies have the option, but are not required, to discontinue assistance due to a parent’s loss of work or cessation of attendance at a job training or educational program that does not constitute a temporary change in accordance with 98.21(a)(1)(ii). However, if the Lead Agency exercises this option,</p> <ul style="list-style-type: none"> (i) it must continue assistance at least at the same level for a period of not less than three months after each such loss or cessation in order for the parent to engage in job search and resume work, or resume attendance at a job training or educational activity. (ii) At the end of the minimum three-month period of continued assistance, if the parent is engaged in a qualifying work, education, or training activity, with income below 85% of SMI, assistance cannot be terminated and the child must continue receiving assistance until the next scheduled re-determination, or at Lead Agency option, for an additional minimum 12-month eligibility period. (iii) If a Lead Agency chooses to initially qualify a family for CCDF assistance based a parent’s status of seeking employment or engaging in job search, the Lead Agency has the option to end assistance after a minimum of three months if the parent has still not found employment, although assistance should continue if the parent becomes employed during the job search period. 	<p><u>Pre-Visit Information</u> <i>(Type in N/A if the state has not opted to implement Job Search)</i></p>	<p><u>Onsite</u></p>
<p><u>98.21(b)(1): Graduated Phase-Out</u> Lead Agencies that establish family income eligibility at a level less than 85 percent of SMI for a family of the same size (in order for a child to initially qualify for assistance) must provide a graduated phase-out by implementing two-tiered eligibility thresholds, with the second tier of eligibility (used at the time of eligibility re-determination) set at:</p> <ul style="list-style-type: none"> (i) 85 percent of SMI for a family of the same size; or (ii) An amount lower than 85 percent of SMI for a family of the same size, but above the Lead Agency’s initial eligibility threshold, that: <ul style="list-style-type: none"> (A) Takes into account the typical household budget of a low income family; and (B) Provides justification that the second eligibility threshold is: <ul style="list-style-type: none"> (1) Sufficient to accommodate increases in family income over time that are typical for low-income workers and that promote and support family economic stability; and (2) Reasonably allows a family to continue accessing child care services without unnecessary disruption. 	<p><u>Pre-Visit Information</u></p>	<p><u>Onsite</u></p>

CCDF Rule (Column A)	Proposed Approach To Demonstrating Compliance With This Requirement	
	(Column B)	(Column C)
Topic 4: Child:Staff Ratios and Group Sizes		
<u>98.41(d)(1): Group Size Limits</u> The Lead Agency shall describe in the Plan standards for child care services for which assistance is provided under this part, appropriate to strengthening the adult and child relationship in the type of child care setting involved, to provide for the safety and developmental needs of the children served, that address group size limits for specific age populations.	<u>Pre-Visit Information</u>	<u>Onsite</u>
<u>98.41(d)(2): Child:Staff Ratios</u> The Lead Agency shall describe in the Plan standards for child care services for which assistance is provided under this part, appropriate to strengthening the adult and child relationship in the type of child care setting involved, to provide for the safety and developmental needs of the children served, that address the appropriate ratio between the number of children and the number of caregivers, in terms of age of children in child care.	<u>Pre-Visit Information</u>	<u>Onsite</u>

CCDF Rule (Column A)	Proposed Approach To Demonstrating Compliance With This Requirement	
	(Column B)	(Column C)
Topic 5: Health and Safety		
<p>98.41(a)(1): Health & Safety Requirements for Providers (11 Health and Safety Topics)</p> <p>The Lead Agency shall certify that there are in effect, within the State, under State, local or tribal law, requirements (appropriate to provider setting and age of children served) that are designed, implemented, and enforced to protect the health and safety of children. Such requirements must be applicable to child care providers of services for which assistance is provided under this part and shall include health and safety topics consisting of, at a minimum:</p> <ol style="list-style-type: none"> 1. The prevention and control of infectious diseases (including immunizations); 2. Prevention of sudden infant death syndrome and use of safe sleeping practices; 3. Administration of medication, consistent with standards for parental consent; 4. Prevention and response to emergencies due to food and allergic reactions; 5. Appropriate precautions in transporting children, if applicable; 6. Building and physical premises safety, including identification of and protection from hazards, bodies of water, and vehicular traffic; 7. Prevention of shaken baby syndrome, abusive head trauma, and child maltreatment; 8. Emergency preparedness and response planning for emergencies resulting from a natural disaster, or a man-caused event (such as violence at a child care facility), within the meaning of those terms under section 602(a)(1) of the Robert T. Stafford Disaster Relief And Emergency Assistance Act (42 U.S.C. 5195a(a)(1)) that shall include procedures for evacuation, relocation, shelter-in-place and lock down, staff and volunteer emergency preparedness training and practice drills, communication and reunification with families, continuity of operations, and accommodation of infants and toddlers, children with disabilities, and children with chronic medical conditions; 9. Handling and storage of hazardous materials and the appropriate disposal of biocontaminants; 10. Pediatric first aid and cardiopulmonary resuscitation; and 11. Recognition and reporting of child abuse and neglect, in accordance with the requirement at 98.41(e) 	<p><u>Pre-Visit Information</u></p>	<p><u>Onsite</u></p>
<p>98.41(a)(1)(i)(A): H&S Requirements for Providers - Immunization Requirements</p> <p>As part of their health and safety provisions for the prevention and control of infectious diseases (as noted in 98.41(a)(1)(i)), the Lead Agency shall assure that children receiving services under the CCDF are age-appropriately immunized. Those health and safety provisions shall incorporate (by reference or otherwise) the latest recommendation for childhood immunizations of the respective State public health agency.</p>	<p><u>Pre-Visit Information</u></p>	<p><u>Onsite</u></p>

CCDF Rule (Column A)	Proposed Approach To Demonstrating Compliance With This Requirement	
	(Column B)	(Column C)
<p><u>98.41(a)(1)(i)(B): H&S Requirements for Providers - Immunization Exemptions</u> Notwithstanding 98.41(a)(1)(i)(A), the Lead Agency may exempt:</p> <ol style="list-style-type: none"> (1) Children who are cared for by relatives (defined as grandparents, great grandparents, siblings (if living in a separate residence), aunts, and uncles), provided there are no other unrelated children who are cared for in the same setting. (2) Children who receive care in their own homes, provided there are no other unrelated children who are cared for in the home. (3) Children whose parents object to immunization on religious grounds. (4) Children whose medical condition contraindicates immunization. 	<p><u>Pre-Visit Information</u></p>	<p><u>Onsite</u></p>
<p><u>98.41(a)(1)(i)(C): H&S Requirements for Providers - Immunization Grace Period</u> The Lead Agency shall establish a grace period that allows children experiencing homelessness and children in foster care to receive services under this part while providing their families (including foster families) a reasonable time to take any necessary action to comply with immunization and other health and safety requirements.</p> <ol style="list-style-type: none"> (1) The length of such grace period shall be established in consultation with the State health agency. (2) Any payment for such child during the grace period shall not be considered an error or improper payment under subpart K of this part. (3) The Lead Agency may also, at its option, establish grace periods for other children who are not experiencing homelessness or in foster care. (4) The Lead Agency must coordinate with licensing agencies and other relevant State and local agencies to provide referrals and support to help families of children receiving services during a grace period comply with immunization and other health and safety requirements. 	<p><u>Pre-Visit Information</u></p>	<p><u>Onsite</u></p>
<p>Topic 6: Pre-Service/Orientation and Ongoing Training for Providers</p>		
<p><u>98.44(b)(1): Pre-Service/Orientation Training for Providers</u> The Lead Agency must describe in the Plan its established requirements for pre-service or orientation (to be completed within three months) for caregivers, teachers, and directors of child care providers of services for which assistance is provided under the CCDF that, to the extent practicable, align with the State framework and provide accessible pre-service or orientation training in health and safety standards appropriate to the setting and age of children served that addresses</p> <ol style="list-style-type: none"> (i) Each of the requirements relating to matters described in § 98.41(a)(1)(i) through (xi), specifying critical health and safety training that must be completed before caregivers, teachers, and directors are allowed to care for children unsupervised; (ii) At the Lead Agency option, matters described in § 98.41(a)(1)(xii); and (iii) Child development, including the major domains (cognitive, social, emotional, physical development and approaches to learning). 	<p><u>Pre-Visit Information</u></p>	<p><u>Onsite</u></p>

<p style="text-align: center;">CCDF Rule</p> <p style="text-align: center;">(Column A)</p>	<p style="text-align: center;">Proposed Approach To Demonstrating Compliance With This Requirement</p>	
	<p style="text-align: center;">(Column B)</p>	<p style="text-align: center;">(Column C)</p>
<p><u>98.44(b)(2): Ongoing Training for Providers</u></p> <p>The Lead Agency must describe in the Plan its established requirements for ongoing professional development for caregivers, teachers, and directors of child care providers of services for which assistance is provided under the CCDF that, to the extent practicable, align with the State framework and provide ongoing, accessible professional development, aligned to a progression of professional development, including the minimum annual requirement for hours of training and professional development for eligible caregivers, teachers and directors, appropriate to the setting and age of children served, that:</p> <ul style="list-style-type: none"> (i) maintains and updates health and safety training standards described in § 98.41(a)(1)(i)-(xi), and at the Lead Agency option, in § 98.41(a)(1)(xii); (ii) incorporates knowledge and application of the State’s early learning and developmental guidelines for children birth to kindergarten (where applicable); (iii) incorporates social-emotional behavior intervention models for children birth through school-age, which may include positive behavior intervention and support models including preventing and reducing expulsions and suspensions of preschool-aged and school-aged children; (iv) to the extent practicable, are appropriate for a population of children that includes: <ul style="list-style-type: none"> (A) Different age groups; (B) English learners; (C) Children with developmental delays and disabilities; and (D) Native Americans, including Indians, as the term is defined in section 4 of the Indian Self-Determination and Education Assistance Act (25 U.S.C. 450b) (including Alaska Natives within the meaning of that term), and Native Hawaiians (as defined in section 6207 of the Elementary and Secondary Education Act of 1965); (v) to the extent practicable, awards continuing education units or is credit-bearing; and (vi) shall be accessible to caregivers, teachers, and directors supported through Indian tribes or tribal organizations that receive assistance under this subchapter. 	<p style="text-align: center;"><u>Pre-Visit Information</u></p>	<p style="text-align: center;"><u>Onsite</u></p>
<p>Topic 7: Inspections for CCDF Licensed Providers</p>		
<p><u>98.42(b)(2)(i): Inspection of Licensed Providers</u></p> <p>For licensed child care providers and facilities, the Lead Agency shall require inspections, performed by licensing inspectors (or qualified inspectors designated by the Lead Agency), as follows:</p> <ul style="list-style-type: none"> (A) Not less than one pre-licensure inspection for compliance with health, safety, and fire standards, and (B) Not less than annually an unannounced inspection for compliance with all child care licensing standards, which shall include an inspection for compliance with health and safety (including, but not limited to, those requirements described in § 98.41) and fire standards (inspectors may inspect for compliance with all three standards at the same time). 	<p style="text-align: center;"><u>Pre-Visit Information</u></p>	<p style="text-align: center;"><u>Onsite</u></p>

CCDF Rule (Column A)	Proposed Approach To Demonstrating Compliance With This Requirement	
	(Column B)	(Column C)
Topic 8: Inspections for License-Exempt CCDF Providers		
<u>98.42(b)(2)(ii): Inspection of License-Exempt Providers</u> For license-exempt child care providers and facilities that are eligible to provide services for which assistance is made available in accordance with this part, the Lead Agency shall require an annual inspection, performed by licensing inspectors (or qualified inspectors designated by the Lead Agency), for compliance with health and safety (including, but not limited to, those requirements described in § 98.41), and fire standards.	<u>Pre-Visit Information</u>	<u>Onsite</u>
Topic 9: Ratios for Licensing Inspectors		
<u>98.42(b)(3): Ratios for Licensing Inspectors</u> The Lead Agency shall ensure the ratio of licensing inspectors to such child care providers and facilities is maintained at a level sufficient to enable the State or Territory to conduct effective inspections on a timely basis in accordance with the applicable Federal, State, Territory, Tribal, and local law.	<u>Pre-Visit Information</u>	<u>Onsite</u>
Topic 10: Child Abuse and Neglect Reporting		
<u>98.41(e): Provider Compliance with Child Abuse Reporting Requirements</u> The Lead Agency shall certify that caregivers, teachers, and directors of child care providers within the State will comply with the State's or Territory's child abuse reporting requirements as required by section 106(b)(2)(B)(i) of the Child Abuse and Prevention and Treatment Act (42 U.S.C. 5106a(b)(2)(B)(i)) or other child abuse reporting procedures and laws in the service area.	<u>Pre-Visit Information</u>	<u>Onsite</u>
Topic 11: Program Integrity and Accountability		
<u>98.68(a)(3): Effective Internal Controls – Provider and Staff Training</u> The Lead Agency is required to describe in its Plan effective internal controls that are in place to ensure integrity and accountability, while maintaining continuity of services, in the CCDF program, including processes to train child care providers and staff of the Lead Agency and other agencies engaged in the administration of CCDF about program requirements and integrity.	<u>Pre-Visit Information</u>	<u>Onsite</u>
<u>98.68(a)(4): Effective Internal Controls – Evaluation of Activities</u> The Lead Agency is required to describe in its Plan effective internal controls that are in place to ensure integrity and accountability, while maintaining continuity of services, in the CCDF program, including regular evaluation of internal control activities.	<u>Pre-Visit Information</u>	<u>Onsite</u>

CCDF Rule (Column A)	Proposed Approach To Demonstrating Compliance With This Requirement	
	(Column B)	(Column C)
<p><u>98.68(b)(1): Identifying Fraud or Other Program Violations</u> The Lead Agency is required to describe in its Plan the processes that are in place to identify fraud or other program violations, which may include, but are not limited to the following:</p> <ul style="list-style-type: none"> (i) Record matching and database linkages; (ii) Review of attendance and billing records; (iii) Quality control or quality assurance reviews; and (iv) Staff training on monitoring and audit processes. 	<u>Pre-Visit Information</u>	<u>Onsite</u>
<p><u>98.68(b)(2): Fraud Investigation, Payment Recovery, and Sanctions</u> The Lead Agency is required to describe in its Plan the processes that are in place to investigate and recover fraudulent payments and to impose sanctions on clients or providers in response to fraud.</p>	<u>Pre-Visit Information</u>	<u>Onsite</u>
<p><u>98.68(c): Documenting and Verifying Child Eligibility</u> The Lead Agency is required to describe in its Plan the procedures that are in place for documenting and verifying that children receiving assistance under this part meet eligibility criteria at the time of eligibility determination and redetermination.</p>	<u>Pre-Visit Information</u>	<u>Onsite</u>

Office of Child Care (OCC) Monitoring System Document Submission Chart

The purpose of OCC’s monitoring system is to determine State compliance with the Child Care and Development Block Grant Act of 2014 and the Child Care and Development Fund (CCDF) Final Rule. The monitoring process includes a pre-visit review of materials provided by the State, as well as an onsite visit to validate the evidence observed during the pre-visit review and to collect additional evidence of the State’s compliance with the CCDBG Act and the CCDF Final Rule.

In the chart below, for each CCDF regulation listed, please provide the title of the document being provided for pre-visit review, its file name or URL, the page or section that addresses the specific regulation, and the date that the document is being submitted to OCC. One document may be listed for multiple regulations.

CCDF Rule	Document to Review	File Name or URL	Page/Section	Date Sent
Topic 1 - Disaster Preparedness, Response, and Recovery				
98.16(aa)(1): Statewide Disaster Planning Collaboration				
98.16(aa)(2): Statewide Disaster Plan Components				

CCDF Rule	Document to Review	File Name or URL	Page/Section	Date Sent
Topic 2 - Consumer Education: Dissemination of Information to Parents, Providers, and General Public (focusing on the posting of Monitoring Reports and Annual Aggregate Data)				
98.33(a)(4): Consumer Ed. - Posting Monitoring & Inspection Reports				
98.33(a)(5): Consumer Ed. – Annual Aggregate Data				
Topic 3 – Twelve-Month Eligibility				
98.21(a)(1): 12-Month Eligibility Determination & Re-determination				

CCDF Rule	Document to Review	File Name or URL	Page/Section	Date Sent
98.21(a)(2): Continued Assistance/Job Search (OPTIONAL)				
98.21(b)(1): Graduated Phase-Out				
Topic 4 - Child:Staff Ratios and Group Sizes				
98.41(d)(1): Group Size Limits				
98.41(d)(2): Child:Staff Ratios				

CCDF Rule	Document to Review	File Name or URL	Page/Section	Date Sent
Topic 5 - Health and Safety Requirements for Providers				
98.41(a)(1)(i): H&S Requirements – Prevention and Control of Infectious Diseases				
98.41(a)(1)(i)(A): H&S Requirements - Immunization Requirements				
98.41(a)(1)(i)(B): H&S Requirements - Immunization Exemptions (OPTIONAL)				
98.41(a)(1)(i)(C): H&S Requirements for Providers - Immunization Grace Period				

CCDF Rule	Document to Review	File Name or URL	Page/Section	Date Sent
98.41(a)(1)(ii): H&S Requirements - SIDS Prevention				
98.41(a)(1)(iii): H&S Requirements - Medication Administration				
98.41(a)(1)(iv): H&S Requirements - Food & Allergic Reactions				
98.41(a)(1)(v): H&S Requirements - Building and Physical Premises				

CCDF Rule	Document to Review	File Name or URL	Page/Section	Date Sent
98.41(a)(1)(vi): H&S Requirements - SBS, Head Trauma, and Maltreatment				
98.41(a)(1)(vii): H&S Requirements - Emergency Preparedness and Response Planning				
98.41(a)(1)(viii): H&S Requirements - Hazardous Materials and Biocontaminants				
98.41(a)(1)(ix): H&S Requirements - Transporting Children				

CCDF Rule	Document to Review	File Name or URL	Page/Section	Date Sent
98.41(a)(1)(x): H&S Requirements - Pediatric First Aid and CPR				
98.41(a)(1)(xi): H&S Requirements - CA/N Recognition and Reporting				
Topic 6 - Pre-Service/Orientation and Ongoing Training for Providers				
98.44(b)(1): Pre-Service/ Orientation Training for Providers				
98.44(b)(2): Ongoing Training for Providers				

CCDF Rule	Document to Review	File Name or URL	Page/Section	Date Sent
Topic 7 - Inspections for CCDF Licensed Providers				
98.42(b)(2)(i): Inspections for Licensed Providers				
Topic 8 - Inspections for License-Exempt CCDF Providers				
98.42(b)(2)(ii): Inspections for License-Exempt Providers				
Topic 9 - Ratios for Licensing Inspectors				
98.42(b)(3): Ratios for Licensing Inspectors				

CCDF Rule	Document to Review	File Name or URL	Page/Section	Date Sent
Topic 10 - Child Abuse and Neglect Reporting				
98.41(e): Provider Compliance with Child Abuse Reporting Requirements				
Topic 11 - Program Integrity and Accountability				
98.68(a)(3): Effective Internal Controls – Provider and Staff Training				
98.68(a)(4): Effective Internal Controls – Evaluation of Activities				
98.68(b)(1): Identifying Fraud or Other Program Violations				

CCDF Rule	Document to Review	File Name or URL	Page/Section	Date Sent
98.68(b)(2): Fraud Investigation, Payment Recovery, and Sanctions				
98.68(c): Documenting and Verifying Child Eligibility				