



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

THE PAPERWORK REDUCTION ACT OF 1995 (Pub. L. 104-13) STATEMENT OF PUBLIC BURDEN:

The purpose of this information collection is to determine compliance with the Child Care Development Block Grant Act of 2014 and the Child Care Development Fund Final Rule and the State's Approved Plan. Public reporting burden for this collection of information is estimated to average 50 hours per grantee, including the time for reviewing instructions, gathering and maintaining the data needed, and reviewing the collection of information. This is a mandatory collection of information as part of the OCC Monitoring and Oversight process (45 CFR § 98.90 Subpart J). An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information subject to the requirements of the Paperwork Reduction Act of 1995, unless it displays a currently valid OMB control number. The OMB # is 0970-0558 and the expiration date is 11/30/2023. If you have any comments on this collection of information, please contact Sherry Fam at Sherry.Fam@acf.hhs.gov.

Office of Child Care (OCC) Monitoring System

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.

Part A: State Approaches to Demonstrating Compliance with CCDF Rules

Completing the Compliance Demonstration Chart

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.).

Flexibility

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.

Deadline of Submission

The Compliance Demonstration Chart is to be completed and submitted at least two full weeks prior to **State Planning Call #1**. The State's estimated date of submission is included in the State's *Monitoring Activities Chart*. If needed, after State Planning Call #1, the Regional Office will send a summary of the agreed upon changes or additions to Part A to the State. The State's Team will then review, update, and submit the revised *Compliance Demonstration Chart* based on agreements made during State Call #1.

Please Note: Part B of this document should not be completed until *after State Planning Call #1*.

CCDF Rule (Column A)	Proposed Approach To Demonstrating Compliance With This Requirement (Column B) (Column C)	
Consumer Education: Dissemination of Information to Parents, Providers, and General Public (Monitoring Reports and Annual Aggregate Data)		
<p><u>98.33(a)(4): Consumer Ed. - Posting Monitoring & Inspection Reports</u> (a) The Lead Agency shall certify that it will collect and disseminate consumer education information to parents of eligible children, the general public, and providers through a consumer-friendly and easily accessible website...:</p> <p>(4) 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. 	<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>98.33(a)(5): Consumer Ed. – Annual Aggregate Data</p> <p>(a) The Lead Agency shall certify that it will collect and disseminate consumer education information to parents of eligible children, the general public, and providers through a consumer-friendly and easily accessible website...:</p> <p>(5) Aggregate number of deaths that occurred in child care settings, for each year for eligible providers:</p> <ul style="list-style-type: none"> • for each provider category • for each licensing status <p>Aggregate number of serious injuries that occurred in child care settings, for each year for eligible providers</p> <ul style="list-style-type: none"> • for each provider category • for each licensing status <p>Aggregate number of instances of substantiated child abuse that occurred in child care settings, for each year for eligible providers.</p>	<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>(Column B)</p>	<p>(Column C)</p>
<p>Twelve-Month Eligibility</p>		
<p>98.21(a)(1): 12-Month Eligibility Determination & Re-determination</p> <p>(a) 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:</p> <p>(1) 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> <p>(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</p> <p>(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:</p> <p>(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;</p> <p>(B) Any interruption in work for a seasonal worker who is not working between regular industry work seasons;</p> <p>(C) Any student holiday or break for a parent participating in training or education;</p> <p>(D) Any reduction in work, training or education hours, as long as the parent is still working or attending training or education.</p> <p>(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;</p> <p>(F) Any change in age, including turning 13 years old during the eligibility period; and</p> <p>(G) Any change in residency within the State or Territory.</p>	<p><u>Pre-Visit Information</u></p>	<p><u>Onsite</u></p>
<p>98.21(a)(2): Continued Assistance/Job Search</p> <p>(a)(2)(i) 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, 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.</p> <p>(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.</p> <p>(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>	<p><u>Pre-Visit Information</u></p> <p><i>(Type in N/A if the State has not opted to implement Job Search)</i></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>98.21(b)(1): Graduated Phase-Out</p> <p>(b)(1) 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>
<p>98.21(e)(1), (2), and (4): Change Reporting During the Minimum 12-Month Eligibility Period</p> <p>(e) The Lead Agency shall specify in the Plan any requirements for parents to notify the Lead Agency of changes in circumstances during the minimum 12-month eligibility period, and describe efforts to ensure such requirements do not place an undue burden on eligible families that could impact continued eligibility between redeterminations.</p> <p>(1) The Lead Agency must require families to report a change at any point during the minimum 12-month period, limited to:</p> <ul style="list-style-type: none"> (i) If the family's income exceeds 85% of SMI, taking into account irregular income fluctuations; or (ii) At the option of the Lead Agency, the family has experienced a non-temporary cessation of work, training, or education. <p>(2) Any additional requirements the Lead Agency chooses, at its option, to impose on parents to provide notification of changes in circumstances to the Lead Agency or entities designated to perform eligibility functions shall not constitute an undue burden on families. Any such requirements shall:</p> <ul style="list-style-type: none"> (i) Limit notification requirements to: <ul style="list-style-type: none"> • items that impact a family's eligibility (e.g., only if income exceeds 85 percent of SMI, or there is a non-temporary change in the status of the child's parent as working or attending a job training or educational program) or • those that enable the Lead Agency to contact the family or • those that enable the Lead Agency to pay providers; (ii) Not require an office visit in order to fulfill notification requirements; and (iii) Offer a range of notification options (e.g., phone, email, online forms, extended submission hours) to accommodate the needs of working parents; 	<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>(4) Lead Agencies must allow families the option to voluntarily report changes on an ongoing basis.</p> <p>(i) Lead Agencies are required to act on this information provided by the family if it would reduce the family's co-payment or increase the family's subsidy.</p> <p>(ii) Lead Agencies are prohibited from acting on information that would reduce the family's subsidy unless the information provided indicates the family's income exceeds 85 percent SMI for a family of the same size, taking into account irregular income fluctuations, or, at the option of the Lead Agency, the family has experienced a non-temporary change in the work, training, or educational status.</p>		
<p><u>98.21(a)(3): Co-payment Amounts During the Minimum 12-Month Period</u></p> <p>(a)(3) Lead Agencies cannot increase family co-payment amounts, established in accordance with § 98.45(k), within the minimum 12-month eligibility period except as described in § 98.21(b)(3).</p>	<p><u>Pre-Visit Information</u></p>	<p><u>Onsite</u></p>
<p>Equal Access</p>		
<p><u>98.16(x): Building the Supply of Child Care for Underserved Populations</u></p> <p>A CCDF Plan shall contain the following:</p> <p>(x) A description of the Lead Agency's strategies (which may include alternative payment rates to child care providers, the provision of direct grants or contracts, offering child care certificates, or other means) to increase the supply and improve the quality of child care services for:</p> <ul style="list-style-type: none"> • children in underserved areas, • infants and toddlers, • children with disabilities as defined by the Lead Agency, and • children who receive care during nontraditional hours, 	<p><u>Pre-Visit Information</u></p>	<p><u>Onsite</u></p>
<p><u>98.45(k)(2): Sliding Fee Scales</u></p> <p>(k) Lead Agencies shall establish, and periodically revise, by rule, a sliding fee scale(s) for families that receive CCDF child care services that:</p> <p>(2) Is based on income and the size of the family and may be based on other factors as appropriate, but may not be based on the cost of care or amount of subsidy payment;</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>98.45(k)(4): Waiving Co-payments (k) Lead Agencies shall establish, and periodically revise, by rule, a sliding fee scale(s) for families that receive CCDF child care services that: (4) At Lead Agency discretion, allows for co-payments to be waived for families whose incomes are at or below the poverty level for a family of the same size, that have children who receive or need to receive protective services, or that meet other criteria established by the Lead Agency.</p>	<p><u>Pre-Visit Information</u></p>	<p><u>Onsite</u></p>
<p>98.45(l)(1) – (3): Payment Policies (l) The Lead Agency shall demonstrate in the Plan that it has established payment practices applicable to all CCDF child care providers that: (1) Ensure timeliness of payment by either: (i) Paying prospectively prior to the delivery of services; or (ii) Paying within no more than 21 calendar days of the receipt of a complete invoice for services. (2) To the extent practicable, support the fixed costs of providing child care services by delinking provider payments from a child’s occasional absences by: (i) Paying based on a child’s enrollment rather than attendance; (ii) Providing full payment if a child attends at least 85 percent of the authorized time; (iii) Providing full payment if a child is absent for five or fewer days in a month; or (iv) An alternative approach for which the Lead Agency provides a justification in its Plan. (3) Reflect generally-accepted payment practices of child care providers that serve children who do not receive CCDF subsidies, which must include (unless the Lead Agency provides evidence that such practices are not generally-accepted in the State or service area): (i) Paying on a part-time or full-time basis (rather than paying for hours of service or smaller increments of time); and (ii) Paying for reasonable mandatory registration fees that the provider charges to private-paying parents.</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)	
Health and Safety		
<p>98.41(a)(1): Health & Safety Requirements for Providers (11 Health and Safety Topics) (a) Each Lead Agency shall certify that there are in effect, within the State (or other area served by the Lead Agency), 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. Such requirements shall:</p> <p>(1) Include health and safety topics consisting of, at a minimum:</p> <ul style="list-style-type: none"> (i) The prevention and control of infectious diseases (including immunizations); (ii) Prevention of sudden infant death syndrome and use of safe sleeping practices; (iii) Administration of medication, consistent with standards for parental consent; (iv) Prevention and response to emergencies due to food and allergic reactions; (v) Building and physical premises safety, including identification of and protection from hazards, bodies of water, and vehicular traffic; (vi) Prevention of shaken baby syndrome, abusive head trauma, and child maltreatment; (vii) 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; (viii) Handling and storage of hazardous materials and the appropriate disposal of biocontaminants; (ix) Appropriate precautions in transporting children, if applicable; (x) Pediatric first aid and cardiopulmonary resuscitation; and (xi) 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 (a)(1)(i)(A) As part of their health and safety provisions in this area [the prevention and control of infectious diseases], Lead Agencies 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, territorial, or tribal 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 (Optional)</u> (a)(1)(i)(B) Notwithstanding 98.41(a)(1)(i)(A), the Lead Agency may exempt:</p> <ul 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> <i>(Type in N/A if the State does not have immunization exemptions)</i></p>	<p><u>Onsite</u></p>
<p><u>98.41(a)(1)(i)(C): H&S Requirements for Providers - Immunization Grace Period</u> (a)(1)(i)(C) Lead Agencies 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> <ul 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>Pre-Service/Orientation and Ongoing Training for Providers</p>		
<p><u>98.44(b)(1)(i) and (iii): Pre-Service/Orientation Training for Providers</u> (b) 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:</p> <ul style="list-style-type: none"> (1) Accessible pre-service or orientation training in health and safety standards appropriate to the setting and age of children served that addresses: <ul 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; (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>

CCDF Rule (Column A)	Proposed Approach To Demonstrating Compliance With This Requirement	
	(Column B)	(Column C)
<p>98.44(b)(2)(i): Ongoing Training for Providers</p> <p>(b) 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:</p> <p>(2) 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> <p>(i) Maintains and updates health and safety training standards described in § 98.41(a)(1)(i) through (xi),</p>	<p><u>Pre-Visit Information</u></p>	<p><u>Onsite</u></p>
<p>Inspections for Licensed CCDF Providers</p>		
<p>98.42(b)(2)(i): Inspection of Licensed Providers</p> <p>(b) Each Lead Agency shall certify in the Plan it has monitoring policies and practices applicable to all child care providers and facilities eligible to deliver services for which assistance is provided under this part. The Lead Agency shall:</p> <p>(2) Require inspections of child care providers and facilities, performed by licensing inspectors (or qualified inspectors designated by the Lead Agency), as specified below:</p> <p>(i) For licensed child care providers and facilities,</p> <p>(A) Not less than one pre-licensure inspection for compliance with health, safety, and fire standards, and</p> <p>(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 [11 health and safety requirements, pre-service/orientation and ongoing training requirements, group size and child:staff ratios]) and fire standards (inspectors may inspect for compliance with all three standards at the same time).</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)	
Inspections for License-Exempt CCDF Providers		
<p>98.42(b)(2)(ii): Inspection of License-Exempt Providers (b) Each Lead Agency shall certify in the Plan it has monitoring policies and practices applicable to all child care providers and facilities eligible to deliver services for which assistance is provided under this part. The Lead Agency shall:</p> <p>(2) Require inspections of child care providers and facilities, performed by licensing inspectors (or qualified inspectors designated by the Lead Agency), as specified below:</p> <p>(ii) 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, an annual inspection for compliance with health and safety (including, but not limited to, those requirements described in § 98.41 [11 health and safety requirements, pre-service/orientation and ongoing training requirements, group size and child:staff ratios]), and fire standards.</p>	<u>Pre-Visit Information</u>	<u>Onsite</u>
Background Checks		
<p>98.43(b)(1): FBI Fingerprint Checks (b) A criminal background check for all prospective child care staff of all child care providers eligible to deliver services for which assistance is provided under this part shall include:</p> <p>(1) A Federal Bureau of Investigation fingerprint check using Next Generation Identification;</p>	<u>Pre-Visit Information</u>	<u>Onsite</u>
<p>98.43(b)(3): In-state Searches of the State Criminal Repository, State Sex Offender Registry, and State-based Child Abuse and Neglect Registry and Database (b) A criminal background check for all prospective child care staff of all child care providers eligible to deliver services for which assistance is provided under this part shall include:</p> <p>(3) A search of the following registries, repositories, or databases in the State where the child care staff member resides...:</p> <p>(i) State criminal registry or repository, with the use of fingerprints being:</p> <p>(A) Required in the State where the staff member resides</p> <p>(ii) State sex offender registry or repository; and</p> <p>(iii) State-based child abuse and neglect registry and database.</p>	<u>Pre-Visit Information</u>	<u>Onsite</u>
Program Integrity and Accountability		
<p>98.11(a)(3): Written Agreements (a) The Lead Agency has broad authority to administer the program through other governmental or non-governmental agencies. In addition, the Lead Agency can use other public or private local agencies to implement the program; however:</p> <p>(3) Administrative and implementation responsibilities undertaken by agencies other than the Lead Agency shall be governed by written agreements that specify the mutual roles and responsibilities of the</p>	<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>Lead Agency and the other agencies in meeting the requirements of this part. The contents of the written agreement may vary based on the role the agency is asked to assume or the type of project undertaken, but must include, at a minimum:</p> <ul style="list-style-type: none"> • tasks to be performed, • a schedule for completing tasks, • a budget which itemizes categorical expenditures consistent with CCDF requirements at § 98.65(h), and • indicators or measures to assess performance. 		
<p>98.68(a)(2): Effective Internal Controls – Identification of Risk (a) Lead Agencies are required to describe in their Plan effective internal controls that are in place to ensure integrity and accountability, while maintaining continuity of services, in the CCDF program. These shall include: (2) Processes to identify areas of risk;</p>	<u>Pre-Visit Information</u>	<u>Onsite</u>
<p>98.68(a)(3): Effective Internal Controls – Provider and Staff Training (a) Lead Agencies are required to describe in their Plan effective internal controls that are in place to ensure integrity and accountability, while maintaining continuity of services, in the CCDF program. These shall include: (3) 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;</p>	<u>Pre-Visit Information</u>	<u>Onsite</u>
<p>98.68(a)(4): Effective Internal Controls – Evaluation of Activities (a) Lead Agencies are required to describe in their Plan effective internal controls that are in place to ensure integrity and accountability, while maintaining continuity of services, in the CCDF program. These shall include: (4) Regular evaluation of internal control activities.</p>	<u>Pre-Visit Information</u>	<u>Onsite</u>
<p>98.68(b)(1): Identifying Fraud or Other Program Violations (b) Lead Agencies are required to describe in their Plan the processes that are in place to: (1) Identify fraud or other program violations, which may include, but are not limited to the following: (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.</p>	<u>Pre-Visit Information</u>	<u>Onsite</u>

CCDF Rule (Column A)	Proposed Approach To Demonstrating Compliance With This Requirement	
	(Column B)	(Column C)
<u>98.68(b)(2): Fraud Investigation, Payment Recovery, and Sanctions</u> (b) Lead Agencies are required to describe in their Plan the processes that are in place to: (2) Investigate and recover fraudulent payments and to impose sanctions on clients or providers in response to fraud.	<u>Pre-Visit Information</u>	<u>Onsite</u>
<u>98.68(c): Documenting and Verifying Child Eligibility</u> (c) Lead Agencies must describe in their 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.	<u>Pre-Visit Information</u>	<u>Onsite</u>

Office of Child Care (OCC) Monitoring System

PART B: DOCUMENT SUBMISSION CHART



STOP

Part B should not be completed until *after* **State Planning Call #1**.

The State will then identify any documents and/or links to include for the pre-visit desk review and complete the table below with detailed information related to the identified materials.

Completing the Document Submission Chart

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.

Deadline

The completion of *Part B: Document Submission Chart* and the gathering and submission of these materials should take the State no more than **1 month** following **State Planning Call #1**. Please refer to your State's *Monitoring Activities Chart* for estimated dates for these activities. A submission deadline will be agreed upon during State Planning Call #1.

CCDF Rule	Document to Review	File Name or URL	Page/Section	Date Sent
Consumer Education: Dissemination of Information to Parents, Providers, and General Public (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				
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				
98.21(e)(1), (2), and (4): Change Reporting During the Minimum 12-Month Eligibility Period				
98.21(a)(3): Co-payment Amounts During the Minimum 12-Month Period				

CCDF Rule	Document to Review	File Name or URL	Page/Section	Date Sent
Equal Access				
98.16(x): Building Supply of Child Care for Underserved Populations				
98.45(k)(2): Sliding Fee Scales				
98.45(k)(4): Waiving Co- payments				
98.45(l) – (3): Payment Policies				

CCDF Rule	Document to Review	File Name or URL	Page/Section	Date Sent
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 - Sudden Infant Death Syndrome Prevention/Use of Safe Sleep Practices				
98.41(a)(1)(iii): H&S Requirements - Medication Administration				
98.41(a)(1)(iv): H&S Requirements - Prevention/Response to Emergencies due to Food and Allergic Reactions				
98.41(a)(1)(v): H&S Requirements - Building and Physical Premises Safety (hazards, bodies of water, and vehicular traffic)				

CCDF Rule	Document to Review	File Name or URL	Page/Section	Date Sent
98.41(a)(1)(vi): H&S Requirements - Shaken Baby Syndrome, Abusive Head Trauma, and Child Maltreatment				
98.41(a)(1)(vii): H&S Requirements - Emergency Preparedness and Response Planning				
98.41(a)(1)(viii): H&S Requirements - Handling and Storage of Hazardous Materials and Biocontaminants Disposal				
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 - Child Abuse and Neglect Recognition and Reporting				
Pre-Service/Orientation and Ongoing Training for Providers				
98.44(b)(1)(i) and (iii): Pre-Service/ Orientation Training for Providers				
98.44(b)(2)(i): Ongoing Training for Providers				

CCDF Rule	Document to Review	File Name or URL	Page/Section	Date Sent
Inspections for Licensed CCDF Providers				
98.42(b)(2)(i): Inspections for Licensed Providers				
Inspections for License-Exempt CCDF Providers				
98.42(b)(2)(ii): Inspections for License-Exempt Providers				
Background Checks				
98.43(b)(1): FBI Fingerprint Checks				
98.43(b)(1) and (3): In-state Searches of the State Criminal				

CCDF Rule	Document to Review	File Name or URL	Page/Section	Date Sent
Repository, State Sex Offender Registry, and State-based Child Abuse and Neglect Registry and Database				
Program Integrity and Accountability				
98.11(a)(3): Written Agreements				
98.68(a)(2): Effective Internal Controls – Identification of Risk				
98.68(a)(3): Effective Internal Controls – Provider and Staff Training				
98.68(a)(4):				

CCDF Rule	Document to Review	File Name or URL	Page/Section	Date Sent
Effective Internal Controls – Evaluation of Activities				
98.68(b)(1): Identifying Fraud or Other Program Violations				
98.68(b)(2): Fraud Investigation, Payment Recovery, and Sanctions				
98.68(c): Documenting and Verifying Child Eligibility				