



**SUMMARY OF FINDINGS
 FISCAL YEAR 2015–2016**

OFFICE USE ONLY	Date	Initials
Administrator		
Database		

ALTERNATIVE PAYMENT MONITORING REVIEW (APMU)

CENTER-BASED MONITORING REVIEW (CMU)

CONTRACT MONITORING REVIEW (CMR)

FOLLOW UP: (Date)

OTHER

ALL DNMR CLEARED
<input type="checkbox"/> APMU
<input type="checkbox"/> CMU
<input type="checkbox"/> CMR

Contractor: Shasta County Head Start Child Development Center		County: Shasta	Vendor Number: B679
Contract Type(s): CSPP		# Classrooms Reviewed: 1	
EESD Consultant: Shellie Wright MacColl		Email: smaccoll@cde.ca.gov	Phone: 916-445-7353
EESD Reviewer(s): Patty Wagoner			
Initial Review Date(s): October 5-8, 2015	Corrective Action Date: November 23, 2015	Error Rate Reduction Date: November 23, 2015	
Agency Rep. (Print):		Title:	Date:
Agency Rep. (Signature):			
EESD Consultant (Signature):			Date:
EESD Manager (Print):			Date:
EESD Manager (Signature):			

All items of noncompliance shall be resolved within 45 calendar days. If the item(s) of noncompliance cannot be resolved within 45 days, the contractor may request an extension not to exceed 180 days.



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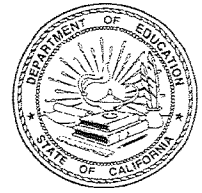
MR = Meets Requirements, DNMR = Does Not Meet Requirement, NR = Not Reviewed

Findings		Error Rate Percentage		NR
KEY DIMENSION II	Governance and Administration Policies, plans, and administration of categorical programs to meet statutory requirements.	Center-Based:	9%	
		Alternative Payment:		
		MR	DNMR	
KEY DIMENSION I Early Education & Support Division (EESD1)	Involvement Parents, staff, students, and community members participate in developing, implementing, and evaluating core and categorical programs.	EESD 1 <input checked="" type="checkbox"/>	EESD 1 <input type="checkbox"/>	<input type="checkbox"/>
KEY DIMENSION II Early Education & Support Division (EESD2 – EESD7)	Governance and Administration Policies, plans, and administration of categorical programs to meet statutory requirements.	EESD 2 <input checked="" type="checkbox"/>	EESD 2 <input type="checkbox"/>	<input type="checkbox"/>
		EESD 3 <input checked="" type="checkbox"/>	EESD 3 <input type="checkbox"/>	<input type="checkbox"/>
		EESD 4 <input checked="" type="checkbox"/>	EESD 4 <input type="checkbox"/>	<input type="checkbox"/>
		EESD 5 <input checked="" type="checkbox"/>	EESD 5 <input type="checkbox"/>	<input type="checkbox"/>
		EESD 6 <input checked="" type="checkbox"/>	EESD 6 <input type="checkbox"/>	<input type="checkbox"/>
		EESD 7 <input type="checkbox"/>	EESD 7 <input type="checkbox"/>	<input checked="" type="checkbox"/>
		KEY DIMENSION IV Early Education & Support Division (EESD8 – EESD10)	Standards, Assessment, and Accountability Categorical programs meet state standards and are based on the assessed needs of program participants.	EESD 8 <input checked="" type="checkbox"/>
EESD 9 <input checked="" type="checkbox"/>	EESD 9 <input type="checkbox"/>			<input type="checkbox"/>
EESD10 <input checked="" type="checkbox"/>	EESD10 <input type="checkbox"/>			<input type="checkbox"/>
KEY DIMENSION V Early Education & Support Division (EESD11 –EESD13)	Staffing and Professional Development Staff members are recruited, trained, assigned, and assisted to ensure the effectiveness of the program.	EESD11 <input checked="" type="checkbox"/>	EESD11 <input type="checkbox"/>	<input type="checkbox"/>
		EESD12 <input checked="" type="checkbox"/>	EESD12 <input type="checkbox"/>	<input type="checkbox"/>
		EESD13 <input checked="" type="checkbox"/>	EESD13 <input type="checkbox"/>	<input type="checkbox"/>
KEY DIMENSION VI Early Education & Support Division (EESD14 – EESD17)	Opportunity and Equal Educational Access Participants have equitable access to all programs provided by the LEA, as required by law.	EESD14 <input checked="" type="checkbox"/>	EESD14 <input type="checkbox"/>	<input type="checkbox"/>
		EESD15 <input checked="" type="checkbox"/>	EESD15 <input type="checkbox"/>	<input type="checkbox"/>
		EESD16 <input checked="" type="checkbox"/>	EESD16 <input type="checkbox"/>	<input type="checkbox"/>
		EESD17 <input type="checkbox"/>	EESD17 <input type="checkbox"/>	<input checked="" type="checkbox"/>
KEY DIMENSION VII Early Education & Support Division (EESD18 -EESD19)	Teaching and Learning Participants receive core and categorical program services that meet their assessed needs.	EESD18 <input checked="" type="checkbox"/>	EESD18 <input type="checkbox"/>	<input type="checkbox"/>
		EESD19 <input checked="" type="checkbox"/>	EESD19 <input type="checkbox"/>	<input type="checkbox"/>



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Contract Type	Key Dimension Item	FINDING(S)
CENTER-BASED MONITORING REVIEW		
CCTR, CSPP	EESD2	<p>The 12% error rate in Governance and Administration resulted from the following material errors:</p> <p>Eligibility</p> <p>Pursuant to 5 CCR, Section 18103(a) (3) after initial certification and enrollment, the contractor shall verify need, eligibility, and recertify each family/child at least once each contract period and intervals not to exceed 12 months.</p> <p>Based on review of the family data file, it was determined that 3 of 27 files the recertification date on the application for services exceeded the 12 month time frame after the date of the prior certification.</p> <p>The agency shall review and ensure that current and ongoing family files are recertified within 12 month time frame of the initial certification.</p>
CSPP	EESD2	<p>Pursuant to 5 CCR, Section 18092(c) when eligibility is based on child protective services, the data file shall contain a written referral, dated within the six (6) months immediately preceding the date of application for services, from a legal, medical, social service agency or emergency shelter and shall include the probable duration of the child protective service plan.</p> <p>Based on review of the family files, it was determined that 1 of the 27 files probable duration of the child protective service plan expired and the contractor did not collect additional eligibility documentation.</p> <p>The contractor shall request additional eligibility documentation when current child protective services documentation expires.</p>
CSPP	EESD3	<p>Need:</p> <p>Pursuant to 5 CCR, Section 18086.5 (a) when need is based on seeking employment, child care and development services is limited to 60 working days during the contract period.</p> <p>Based on review of the family files, it was determined that 1 of the 27 files seeking employment period of 60 working days had expired and the contractor did not collect additional need documentation for that parent.</p>



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<p>CSPP</p>	<p>EESD4</p>	<p>The contractor shall request additional need documentation when seeking employment period of 60 days expires.</p> <p>Attendance:</p> <p>Pursuant to 5 CCR, Section 18094 (b) (5) when the contractor approves services the Notice of Action shall contain hours of service for each day.</p> <p>Based on the review of the attendance sign-in/sign-out sheet and the enrollment and attendance register for the report month, it was determined in 1 of 27 files the certified hours of care did not correspond with the supporting documentation.</p> <p>The contractor shall track the attendance sign-in/sign-out sheet to coincide with certified hours of care on the Notice of Action (NOA). The contractor shall claim reimbursement for services based on certified hours of care.</p>
<p>CCTR</p>	<p>EESD4</p>	<p>Pursuant to 5 CCR, Section 18065 (b) (1) when the parent or other adult authorized by the parent drops off/picks up a child shall enter the time of arrival and departure on a sign-in/sign-out sheet and shall sign the sheet using their full signature.</p> <p>Based on review of the family data file it was determined that 1 of 27 files full signatures were not used on the sign-in/out sheet by the parent and/or other authorized adult at the time of arrival and departure.</p> <p>The contractor shall ensure that full signatures of the parent or contractor’s authorized representative are used on the daily sign-in/sign-out sheets.</p>
<p>CCTR</p>	<p>EESD5</p>	<p>FAMILY FEE</p> <p>Pursuant to Management Bulletin (MB) 14-03a, families will be assessed either a flat full-time fee or part-time fee, based on hours of care certified for the month, income, and family size. Families with a certified need of less than 130 hours per month will be assessed a part-time fee while families with a certified need of 130 or more per month will be assessed full-time fee.</p> <p>Based on review of the family fee assessment, it was determined that 1 of 27 files the agency assessed the family fee incorrectly due to miscalculation of income.</p> <p>The contractor shall assess and collect a family fee in accordance with MB 14-03a.</p>



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CSPP	V-EES 13	<p>STAFF-CHILD RATIOS</p> <p>The applicable staff-child ratios are met for each age group and program. (5 CCR Section 18290(c) – Staffing Ratios for Child Care and Development Programs)</p> <p>Contractors shall maintain at least the following minimum ratios in all Preschool centers:</p> <p>Preschool (36 mos to enrollment in Kindergarten) 1:8 adult:child ratio / 1:24 teacher:child ratio</p> <p>During an observation of the State Preschool full day program there were multiple instances noted when the required adult:child ratio was not met.</p> <p>To resolve this finding, 45 CCR Section 18290(c) must be maintained at all times.</p>
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 FISCAL YEAR 2015–2016**

Follow-up Visit(s)				
Follow-Up Visit	Date	Item(s)	Cleared	
			Yes	No
1.	June 2, 2016	EES-02 Family Eligibility Requirements	<input checked="" type="checkbox"/>	<input type="checkbox"/>
		EES-03 Child Need Requirement Verification	X	
		EES-04 Recording and Reporting Attendance	X	
		EES-05 Correct Fee Assessed	X	
		EES-13 Staff-Child Ratios	X	

Comments:

II. Governance and Administration

Contract Monitoring Unit (CMU) provided a follow-up to determine if corrections planned in response to a file review in September 2015, were being implemented. A review of the family files determined a 9% rate of error.

EES-02 – Meets Requirements

EES-03 – Meets Requirements

EES-04 – Meets Requirements

EES-05 – Meets Requirements

The file review report is attached.

V. Staffing and Professional Development

An acceptable plan to correct the staff-child ratios was submitted timely.

An onsite visit today verified the system in place and the staff understanding to ensure Title 5 ratios are adhered to at all times.

This item now meets requirements.



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Follow-Up Visit	Date	Item(s)	Cleared	
			Yes	No
2.			<input type="checkbox"/>	<input type="checkbox"/>
Comments:				
.				
Follow-Up Visit	Date	Item(s)	Cleared	
			Yes	No
3.			<input type="checkbox"/>	<input type="checkbox"/>
Comments:				