

Review Month: November 2019

**Alternative Payment Child Care Program
 Self-Evaluation Summary**

A Self Evaluation team comprised of a Program Development Manager, one Administrative Aide, one Senior Office Assistant, two Senior Account Clerks and one Accountant III participated in the review. The Family, Youth & Children’s Services (FY&C) Child Care program staff (the Administrative Aide), led the evaluation process. The review process was conducted on February 18 & 19, 2020 for services provided in November 2019.

The team reviewed 49% (18) of 37 children listed on the CDD 801A report for November payments. Child care provider and family files listed on the fiscal report for the month of November 2019 were reviewed to ensure compliance with established policy and procedures and state and federal regulations. Applicable sections of the California Department of Education, Alternative Payment Monitoring Review Checklist were used for each file review. Areas of review included attendance, completion of required application documents, Notice of Action forms, correspondence with families and child providers and other items as outlined in the Alternative Payment Monitoring Review Checklist. A summary of the findings are included as part of the review to include corrective action for items that received 3 or more non-compliance scores.

Summary of Items with Corrective Action

Notice of Action		N/A	Y	N	Corrective Action
10.1	Did the contractor mail or deliver a completed NOA to the parents within thirty (30) calendar days from the date the parent signed the application for services for approval or denial of child care and development services?	0	15	3	The HSD/FYC Child Care Program staff will comply with the regulations and train social workers more effectively to ensure applications are submitted in a timely manner. Who’s Responsible: Vickie Miller Completed: March 1, 2020

Attendance (Provider Payments)		N/A	Y	N	Corrective Action
11.2	Does the attendance record or invoice per the contractor’s definition of “broadly consistent”, correspond with the certified hours of care?	0	15	3	The HSD/FYC Child Care Program staff will comply with the regulations and follow the attendance issue procedure. Who’s Responsible: Cindy Sundberg Completed: March 1, 2020

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A: Licensed Child Care Center/ Licensed Family Home		N/A	Y	N	Corrective Action
12.1	Is there written documentation of the service provider’s current fees (rates) with information regarding the provider’s usual and customary services provided for those fees?	1	17	0	A revised rate agreement form was implemented in July 2019 that includes both the service provider and contractor signatures in addition to the caregiver’s signature. Who’s Responsible: Amber Todahl Completed: July 26, 2019
	Is there a document that contains the rate and schedule of payment for approved services that is signed by both the service provider and contractor?	0	5	13	
	Is there a copy of the facility license that shows the authorized capacity of the facility, name, address of the service provider and age group(s) served by the provider?	3	15	0	

Other actions initiated for program improvement:

1. The AP Child Care Program Coordinator and staff reviewed the HSD/FYC Child Care policies and procedures in February 2020 for any needed changes.

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Summary

	CDD-801A: Monthly Population Report	N/A	Y	N	Comments
1.1	Did the child receive services in the review month?	0	18	0	
	Initial Certification and Recertification (Application for Services)	N/A	Y	N	Comments
2.1	Is there a completed, accurate and signed Application for Services in the family data file?	0	18	0	
2.2	Was the Application for Services completed prior to serving the child?	0	17	1	Same day
2.3	If applicable, did the recertification occur no sooner than twelve (12) months from when they were last certified?	16	0	2	Old application
2.4	Does the family data file contain all child health and current emergency information required by <i>California Code of Regulations (22 CCR)</i> , Title 22, Social Security, Division 12, Community Care Facilities Licensing regulations?				Checking green and blue case files for 5-6 children
2.5	Does the family data file contain residency requirements?	0	18	0	On the case plan
	Parent’s Right to Voluntarily Report Changes	N/A	Y	N	Comments
3.1	If applicable, did the family voluntarily request a change to reduce their family fee, increase the family services or extend the period of eligibility?	16	1	1	
	Did the contractor request documentation to support a reduction of family fees, increase the family’s services, or extend the period of eligibility?	16	1	1	
	Did the contractor issue a (NOA) no later than 10 business days after receipt of applicable documentation and not use the documentation received to make other changes to the service agreement?	15	3	0	
3.2	If applicable, did the family voluntarily request to decrease their service level in writing?	15	2	1	
	Does the voluntary written request include: <ul style="list-style-type: none"> • Days and hours per day requested • Effective date of proposed reduction of service level; • Acknowledgment in writing that parent understands that they may retain their current service level? Upon receipt of the parents written request to decrease their service level, did the contractor:	16	1	1	

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	<ul style="list-style-type: none"> Notify the family in writing of their right to continue to bring the child pursuant to the original certified service level If applicable, collect documentation to support the changes requested? 	16	0	2	
	Did the contractor issue a (NOA) no later than 10 business days after receipt of applicable documentation and not use any other documentation received to make other changes to the service agreement?	16	1	1	
	A: Child Protective Services (CPS)/At-Risk	N/A	Y	N	Comments
5.1	Does the child have a written referral from a legal, medical, social service agency or emergency shelter, dated within six (6) months immediately preceding the date of the Application for Services?	0	18	0	
	Does the written referral include a statement that child care and development services are a necessary component of the child protective services (CPS) plan?	0	18	0	
	OR Needed to reduce or eliminate the risk of abuse or neglect?	0	18	0	
	Does the written referral include the name, address, telephone number, and the signature of the legally qualified professional?				
	E: Exceptional Needs	N/A	Y	N	Comments
5.11	Is the child between the ages of 13 through 21 years of age ?	18	0	0	
5.12	Is there evidence the child has an active IEP and a statement signed by a legally qualified professional stating the child requires the special attention of adults in a child care setting?	18	0	0	
	Does the statement include the name, address, license number, telephone number, and signature of the legally qualified professional?	18	0	0	

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	Family Size	N/A	Y	N	Comments
6.1	Is there documentation for all the children reported in the family size that indicates the relationship of the child to the parent (e.g., birth certificates, court orders, etc.)?	0	18	0	
6.2	If applicable, if a child and his or her sibling(s) are living in a family that does not include their biological or adoptive parent, were only the child and related siblings counted to determine family size?	11	7	0	With grandma
6.3	If applicable, did the parent who signed the application for services appropriately self-certify their single parent status under penalty of perjury: <ul style="list-style-type: none"> • Check the box in Section I • Initial Section V.1 • Sign under penalty of perjury? 	6	12	0	
6.4	Is the family size documented correctly on the application for services?	0	18	0	
	H: Child Protective Services	N/A	Y	N	Comments
8.31	Is there a statement from the local county welfare department, child protective services unit certifying that the child is receiving child protective services and that child care and development services are a necessary component of the child protective services plan?	0	18	0	
8.32	Do the days and hours of child care and development services approved and documented by the contractor meet the family’s need for child care?	0	18	0	
	Notice of Action	N/A	Y	N	Comments
10.1	Did the contractor mail or deliver a completed NOA to the parents within thirty (30) calendar days from the date the parent signed the application for services for approval or denial of child care and development services?	0	15	3	Application was signed 2 months prior to receipt of application
10.2	Is the NOA complete and accurate?	0	17	1	Hours changed after initial application
10.3	Did the contractor notify parents of due process requirements?	0	18	0	

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Attendance (Provider Payments)		N/A	Y	N	Comments
11.1	Does the monthly attendance record or invoice contain: <ul style="list-style-type: none"> • The name of the child • Specific dates services were provided • Actual times the child entered and the times the child departed care for each service day and the specific date that services were provided • Signature of both the provider and the parent at the end of each month, attesting under penalty of perjury, that the information provided is accurate? 	0	18	0	For 1 application: times were not actual, everything else was good
11.2	Does the attendance record or invoice per the contractor’s definition of “broadly consistent”, correspond with the certified hours of care?	0	15	3	Check family file; don’t see notification to FYC
A: Licensed Child Care Center/ Licensed Family Home		N/A	Y	N	Comments
12.1	Is there written documentation of the service provider’s current fees (rates) with information regarding the provider’s usual and customary services provided for those fees?	1	17	0	Old rate agreement; new agreement effective 7/1/2019
	Is there a document that contains the rate and schedule of payment for approved services that is signed by both the service provider and contractor?	0	5	13	
	Is there a copy of the facility license that shows the authorized capacity of the facility, name, address of the service provider and age group(s) served by the provider?	3	15	0	

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B: License-Exempt Provider		N/A	Y	N	Comments
12.2	Does the provider file contain: <ul style="list-style-type: none"> • A description of caregiver’s qualifications and work experience obtained during a personal interview with a caregiver • Declaration by the care giver that h/she is in good health • Signed statement from the parent that the parent has interviewed and approved of the caregiver • A California driver’s license number or other valid and recognized form of identification to verify that the caregiver is at least eighteen (18) years of age? 	17	0	1	
	Does the provider meet or are they exempt from Health and Safety requirements?	17	1	0	??? not sure what was checked
	Is there documentation that includes the name, address, and telephone number of the service provider?	17	0	?	unknown
12.3	Is the license-exempt non-relative provider Trust-lined? OR Is the license-exempt relative provider exempt from Trust-line?	17	1	0	
12.4	Is there a statement of the service provider’s current fees and Is there a document that contains the rate and schedule of payment for approved services that is signed by both the service provider and contractor?	17	0	1	Old rate agreement; new agreement effective 7/1/2019
12.5	If applicable, did the contractor reimburse the in-home license-exempt care provider based on their policy requiring minimum number of children to ensure the provider receives a reimbursement equivalent to minimum wage?	17	0	1	
C: Multiple Providers		N/A	Y	N	Comments
12.6	If applicable, does the parent use multiple providers? Is the primary provider unable to accommodate all hours of certified care needed? OR Is one provider not a licensed center and the parent has chosen a licensed center for specific purposes of providing the child with large group school readiness experiences?	18	0	0	

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	D: Regional Market Rate (RMR) Selection	N/A	Y	N	Comments
12.7	Was the selection of the RMR determined correctly based on age of child, certified need for care, and facility type?	0	18	0	
	E: Provider Reimbursement	N/A	Y	N	Comments
12.8	Was the appropriate reimbursement rate selected based on the RMR (maximum subsidy amount) and the provider’s rates, whichever is less?	0	18	0	
12.9	If applicable, was an adjustment to the RMR determined correctly based on evening and/or weekend care?	16	1	1	1 hour of evening care not calc.
	If applicable, was an adjustment made to the reimbursement based on children with exceptional needs and was it determined correctly (will be adjusted on the RMR or provider rate whichever is lower)?	17	0	1	Evening hours not used in Nov
	F: Reimbursable Hours of Care	N/A	Y	N	Comments
12.10	If applicable, did the provider have a paid day of non-operation and provide documentation that the contractual terms used by the provider for services to unsubsidized families require payment for such day(s) of non-operation?	3	14	1	Fire week
	If applicable, did the contractor reimburse no more than ten (10) days of non-operation per fiscal year?	3	11	2	2 - unknown
12.11	If applicable, did the parent use an alternate provider for time that services are provided when the regular provider has a paid day of non-operation?	18	0	0	
12.12	If applicable, did the parent use an eligible alternate provider when the child is ill and the parent had to obtain care from an eligible alternate provider?	18	0	0	
	Did the contractor limit the days of reimbursement for an eligible alternate provider due to child illness to ten days per fiscal year?	18	0	0	
12.13	If applicable, did the contractor reimburse any hours that include the scheduled instructional minutes of public educational program available to a school-age child, or a private school in which the child is enrolled and attending? OR Time when the child is receiving any other child care and development services?	15	1	2	Child care was for illness that caused school to be missed