



**NATIONAL CENTER ON**  
**Early Childhood Quality Assurance**

# Coordinated Monitoring in Early Care and Education: Benefits and Strategies

National Webinar

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Welcome!

# Introductions

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# Outline



Setting the  
Stage

Coordinated  
Monitoring



State  
Strategies



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## Setting the Stage

- ◆ Child Care and Development Fund (CCDF) Requirements
- ◆ Joint Monitoring Policy Statement





# 2016 CCDF Final Rule

- ◆ Requires monitoring to cover health and safety standards and training
- ◆ Allows differential monitoring or a risk-based approach
- ◆ Encourages coordination with other monitoring entities
- ◆ Allows alternative monitoring requirements for care in the child's home

# 2016 CCDF Final Rule

- ◆ Requires prelicensure and annual unannounced visits for all licensed CCDF providers
- ◆ Requires annual visits for all license-exempt CCDF providers
- ◆ States must ensure the following:
  - Licensing inspectors are qualified; and
  - The ratio of inspectors to providers is sufficient to inspect in a timely manner.

# Stakeholder Feedback

- ◆ More user friendly regulations, plain language
- ◆ Inspectors who are knowledgeable, fostering a culture of mutual respect
- ◆ Seamless monitoring across programs with a shared core (e.g., health and safety requirements)
- ◆ Common forms where possible
- ◆ More coordination and consistency
- ◆ Greater transparency (publicly post inspector checklists)
- ◆ Monitors and programs want to feel supported

# Joint Monitoring and Oversight Policy Statement Purpose

- ◆ Improve efficiency and cost effectiveness of monitoring across ECE programs
- ◆ Create a culture of health and safety
- ◆ Enable States to be successful in meeting Child Care and Development Block Grant (CCDBG) broader inspection requirements
- ◆ Move from “compliance only” to continuous quality improvement



# Joint Monitoring and Oversight Policy Statement

- ◆ Provides federal and state monitoring models
- ◆ Includes recommendations for moving toward more effective monitoring models





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## Coordinated Monitoring

- ◆ Multiple monitoring systems
- ◆ Goals for a coordinated monitoring system
- ◆ Approaches to coordinated monitoring
- ◆ Framework for coordinated monitoring
- ◆ Mapping the monitoring landscape



# Acknowledgement

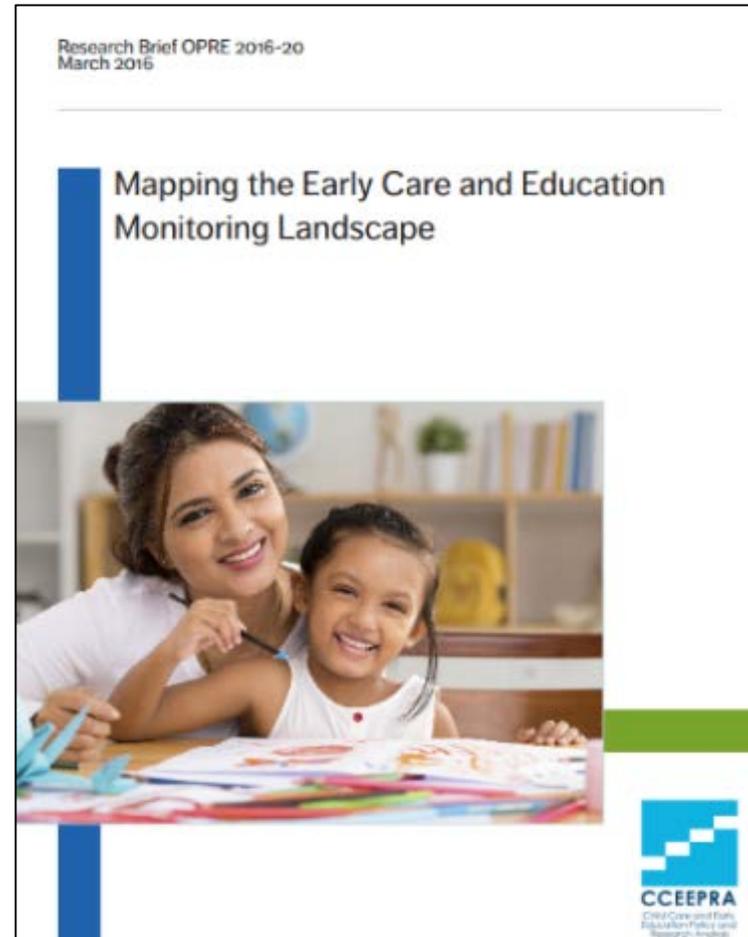
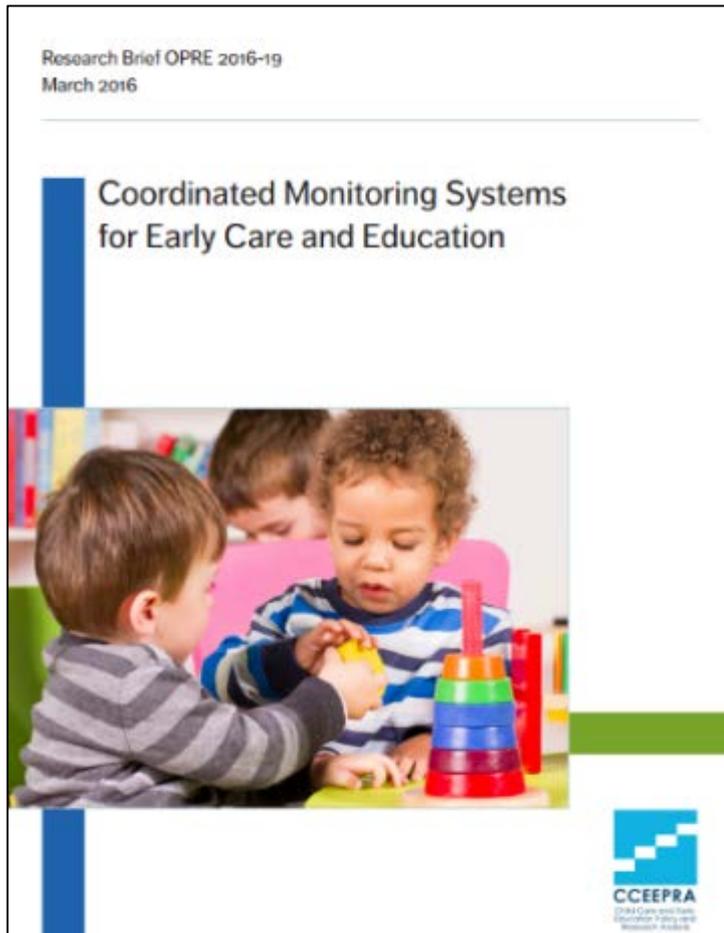
*The resources described in this presentation were developed as part of the Child Care and Early Education Policy and Research Analysis project, which is funded through the Office of Planning, Research and Evaluation (OPRE) in the Administration for Children and Families and managed through a contract with Child Trends.*

*The resources are available at*

*<http://www.acf.hhs.gov/programs/opre/resource/monitoring-in-early-care-and-education>*

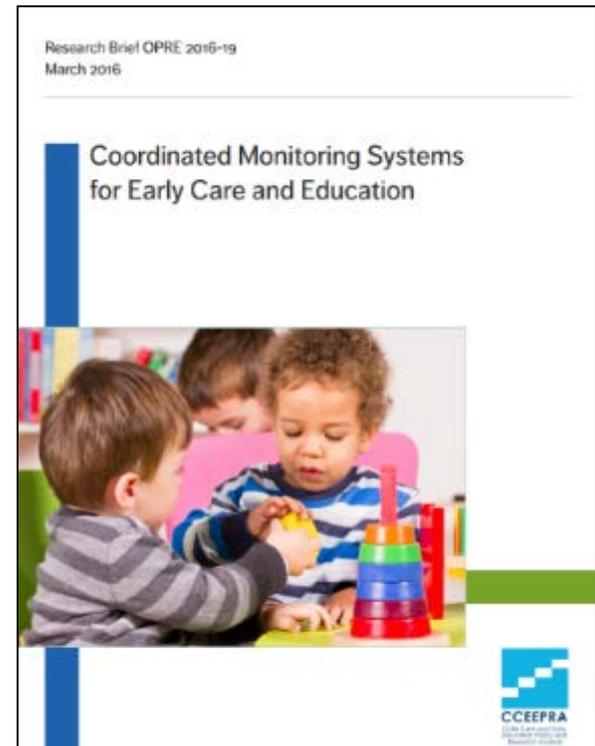


# Two Resources From OPRE



# Multiple Monitoring Systems

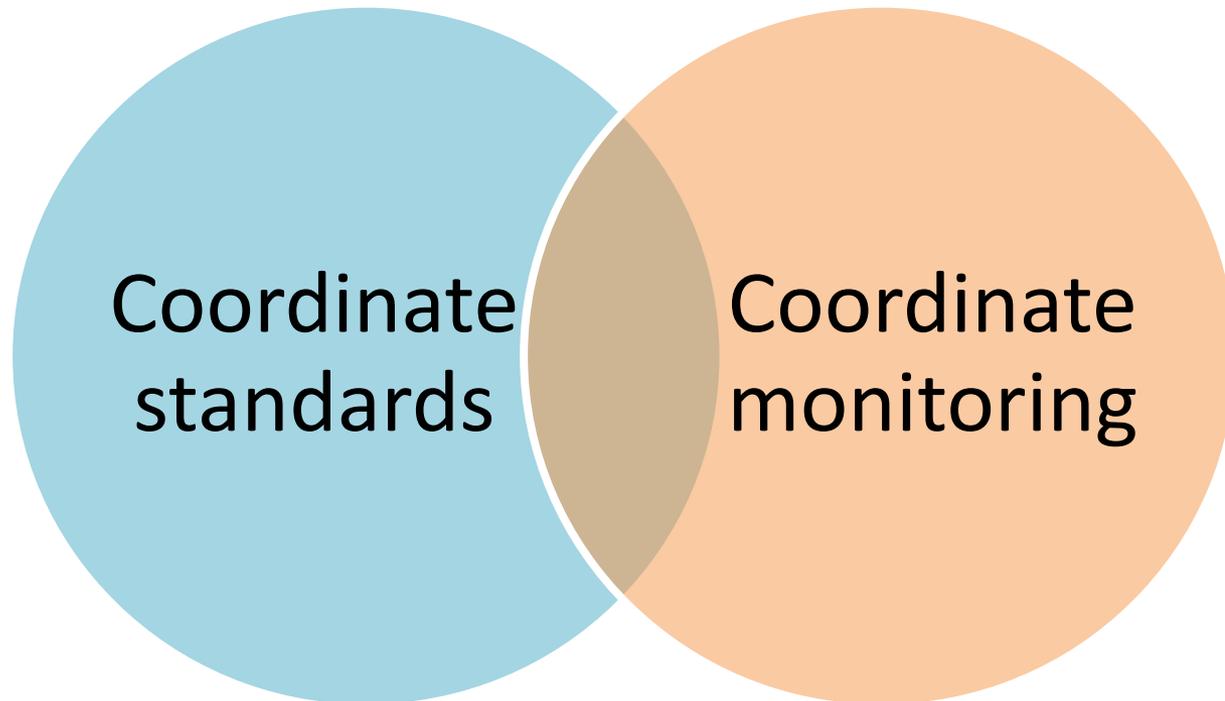
- CCDF: Licensing
- CCDF: Subsidy
- Quality rating and improvement systems (QRIS)
- State-funded prekindergarten
- Head Start/Early Head Start
- Individuals with Disabilities Education Act, Part B and C
- Child and Adult Care Food Program
- Accreditation



# Goals of a Coordinated Monitoring System

- Improve consistency across programs or funding streams
- Reduce the burden on providers
- Increase efficiency
- Support continuous quality improvement

# Approaches



## Coordinate standards

- Align standards across monitoring systems
- Use or develop a single set of standards

# Approaches

## Coordinate monitoring

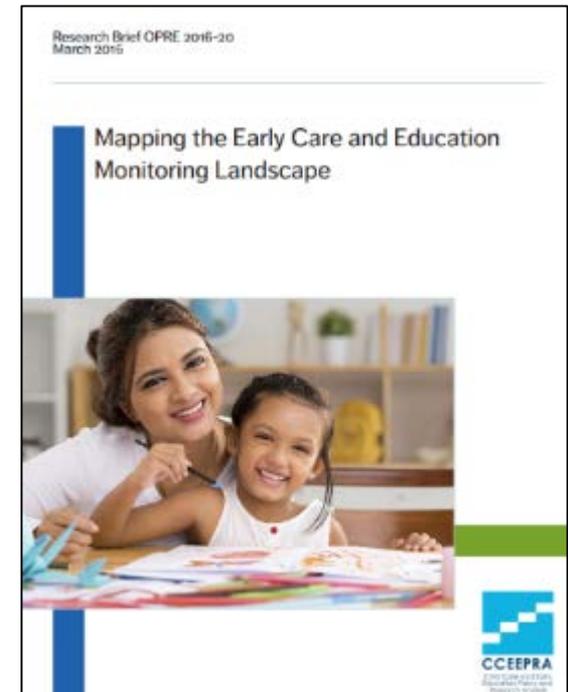
- Staff in one agency monitor multiple programs within the agency
- Multiple agencies share responsibility for monitoring the same standards in different settings
- Monitoring data from one program are used by monitoring staff in another program
- One agency is responsible for monitoring all program standards

# Framework for Coordinated Monitoring

- Goals/purposes
- Stakeholder engagement
- Governance
- Standards
- Measurement tools/procedures
- Planning and implementation
- Monitoring staff
- Data systems
- Accountability
- Sustainability
- Evaluation/continuous quality improvement

# Mapping the Monitoring Landscape

1. Who is monitoring ECE providers?
2. What is the role of licensing in various monitoring systems?
3. What is monitored?
4. How is monitoring conducted?
5. How are monitoring staff supported?
6. What data systems are used in monitoring?
7. What are some next steps?



# Example: Excel-Based Mapping Tool



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## Mapping the Early Care and Education Monitoring Landscape

This tool is designed to help state and territory leaders document current early care and education (ECE) monitoring systems as they evaluate opportunities for alignment and integration. The tool is designed as a companion to *Coordinated Monitoring Systems for Early Care and Education* (Maxwell, Sosinsky, Tout, & Hegseth, 2016).

This tool is divided into seven sections. Leaders can choose to complete all sections or only those that are most relevant to their planning discussions. For links organized by monitoring systems, please see the index.

Follow the links below to access the sections:

- 1 • Who Is Monitoring ECE Providers?
- 2 • What Is the Role of Child Care Licensing in Various Monitoring Systems?
- 3 • Standards: What Is Monitored?
- 4 • Tools and Procedures: How Is Monitoring Conducted?
- 5 • Qualifications, Training, and Oversight: How Are Monitoring Staff Supported?
- 6 • What Data Systems Are Used in Monitoring?
- 7 • What Are Some Next Steps?

# Polling

How much was your understanding of approaches to coordinated monitoring improved?

- ◆ Not improved
- ◆ A little improved
- ◆ Moderately improved
- ◆ Significantly improved



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## State Strategies

- ◆ Ohio
- ◆ New Mexico



# Coordinated Monitoring Systems in Early Care and Education



Ohio Department of Education  
Ohio Department of Job and Family Services

# State Agency Oversight

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- Ohio Department of Job and Family Services
  - Licensing and monitoring child care centers and family child care operated by the following:
    - Individuals owners;
    - Corporations;
    - Nonprofit entities;
    - Faith-based entities; and
    - School-age day camps.

# State Agency Oversight

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- Ohio Department of Education
  - Licensing and monitoring of preschool and school-age programs operated by the following:
    - School districts;
    - Educational service centers;
    - Developmental disabilities;
    - Joint vocational schools; and
    - Chartered nonpublic schools.

# Purpose of Alignment

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- Early Learning Challenge Grant
  - Created a five-star QRIS
  - Established one definition and measure of quality for all program types in the State
  - Implemented a joint data system to track and monitor outcomes
- Statutory requirements
  - QRIS participation
  - Eligibility
- Influence from the provider community

# Process of Alignment

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- State leadership support and vision
  - Shared vision among leadership team
- Understanding each agency's work
  - Dispelling myths
  - Recognizing and respecting differences
  - Forming and maintaining relationships
- Working together
  - Developing policies, procedures, and standards
  - Combined trainings for staff

# Process of Alignment

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- Maintaining internal communication
  - Intentional communication
    - Daily leadership calls
    - Several weekly leadership meetings
    - Combined biannual staff meetings
    - Sharing consistent questions/answers
    - Fostering relationships with agency support teams
- External communication process
  - Review process
  - Joint branding

# Achievements and Challenges

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## ■ Achievements

- Established one measure of quality for all early learning programs
- Presented a united front to providers and stakeholders
- Created efficient procedures
- Shared a data system
- Improved communication

## ■ Challenges

- Statutory differences
- Agency structural differences
- Support from other agency staff
- Time commitment

# Licensing and QRIS Functions

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- Previous structure
  - One licensing section
    - Five district offices
  - One QRIS section
    - One centralized unit
- Strengths
  - One unit dedicated to a specialty area
- Challenges
  - Inefficient
  - Lack of continuity for providers
  - Frequent miscommunication

# Licensing and QRIS Functions

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- Current structure
  - One licensing and monitoring bureau
    - Nine units in five district offices
    - Combination of licensing and QRIS functions
- Strengths
  - Better stewards of state resources
  - Team approach
  - Continuity for providers
  - Staff understand the full scope of a program
- Challenges
  - Shifting the philosophy
    - Staff wearing two hats
  - Integrated visit for higher ratings

# Licensing and QRIS Functions

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- Achieving the integrated model
  - Created a vision and plan
  - Communicated frequently
    - Obtained feedback
    - Explained purpose
    - Impacted their work
  - Evaluated at each phase
    - Altered plan as appropriate
  - Developed a training plan
    - Phase-in approach
  - Began with small groups

# Licensing and QRIS Functions

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- Next steps
  - Finalizing team caseload concept
    - Work units
  - Establishing consistent caseloads
  - Continuing evaluation and feedback
  - Integrating new background check unit
    - Implement CCDBG requirements
    - Allow more time for licensing and QRIS visit for staff

# New Mexico Early Childhood Ongoing Monitoring System

Providing accountability and support for early learning programs to  
improve the quality of life for our New Mexico children



EARLY CHILDHOOD  
SERVICES DIVISION

**PULLTOGETHER**.ORG

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# Accountability and Support

## ★ New Mexico Children, Youth and Families Department (CYFD) Operating Principles

- ★ Aligned within all CYFD programs
- ★ CYFD Early Childhood Services (CYFD-ECS) cross sector approach
  - ★ Integrated process for monitoring, technical assistance and consultation
  - ★ Regardless of funding stream
  - ★ Simplifying processes to ensure positive outcomes
- ★ Coordination with other New Mexico Early Learning Sectors
  - ★ Ensure system alignment
  - ★ Eliminate duplications
  - ★ Address gaps in services

New Mexico



# Early Childhood Services Early Learning Programs

- ★ Child Care Regulatory Services for License-Exempt Providers
- ★ Child Care Licensing
- ★ Child Care Assistance
- ★ Home Visiting
- ★ Early PreK (3 year olds)
- ★ PreK (4 year olds)
- ★ Quality Rating and Improvement System – FOCUS
- ★ Head Start Collaboration Office
- ★ Child and Adult Care Food Program

New Mexico



# Accountability and Support: Ensuring Program Success

- ★ CYFD – ECS Child Care Specialists provide site visits to License-Exempt providers
  - ★ Health and Safety Standards
  - ★ Basic Child - Classroom Management
  - ★ Environments
  - ★ Compliance with Child Care Assistance requirements
  - ★ Coordination with CACFP Sponsors to ensure support and compliance with USDA requirements
  - ★ Provide technical assistance to programs as needed

# Accountability and Support: Ensuring Program Success

- ★ CYFD – ECS Child Care Licensing Monitors provide site visits to Licensed Providers
  - ★ Health and Safety Standards
  - ★ Child - Classroom Management
  - ★ Social-Emotional Supports
  - ★ Environments
  - ★ Compliance with Child Care Assistance requirements
  - ★ Coordination with CACFP Sponsors to ensure support and compliance with USDA requirements
  - ★ Provide technical assistance to programs as needed
  - ★ Includes Head Start Programs

New Mexico



# Accountability and Support: Ensuring Program Success

- ★ CYFD – ECS PreK Monitors provide site visits to CYFD Contracted programs to ensure compliance with PreK Standards
  - ★ Coordinated Case Management meeting with Licensing and Quality staff to ensure alignment and support for PreK Programs
    - ★ Eliminate duplication of efforts by all partners
    - ★ Ensure consultation and support is relevant to the needs of programs
  
- ★ CYFD – ECS Home Visiting Monitors provide site visits to CYFD Contracted programs to ensure compliance with Home Visiting Standards
  - ★ Coordinated Case Management meeting with Consultation and Quality staff to ensure alignment and support for PreK Programs
    - ★ Eliminate duplication of efforts by all partners
    - ★ Ensure consultation and support is relevant to the needs of programs

# Accountability and Support: Ensuring Program Success - Next Steps

- ★ Developing and Integrated-Responsive Early Learning Monitoring and Verification System
- ★ Utilizing the “OIR” (to hear) approach
  - ★ **Observe** onsite environment, activities, strategies, utilizing the CYFD approved observation tool
  - ★ **Interview** directors, administrators, coordinators, educators, parents and community partners utilizing the CYFD approved interviewing protocol
  - ★ **Review** health and safety documents, lesson plans, child portfolios CQI goal setting records, family participation, etc. utilizing the CYFD approved record review

# Accountability and Support: Ensuring Program Success - Next Steps

- ★ Developing an Integrated-Responsive Early Learning Consultation and Support System
  - ★ Recruitment and Orientation for Child Care Licensed and License-Exempt in targeted communities
  - ★ Tiered Quality Rating and Improvement System for Licensed-Exempt programs
  - ★ Enhanced Support to high needs programs
    - ★ Implementation of responsive practices to meet the needs of individual programs
  - ★ Training, Technical Assistance, Consultation and Coaching to all Child Care Programs
    - ★ Health and Safety practices
    - ★ Inclusion of children with disabilities and developmental delays
    - ★ Social- Emotional Support
    - ★ Support for Dual Language Learners
    - ★ New Mexico Early Learning Guidelines

# Polling

How likely is it that you will use at least one of the ideas or strategies mentioned today?

- ◆ Won't
- ◆ Probably not
- ◆ Will consider
- ◆ Definitely
- ◆ Already doing all of this
- ◆ Not applicable to my work

And

Which of the following strategies are you most likely to consider using?

- ◆ Sharing staff
- ◆ Sharing data
- ◆ Improving communication
- ◆ Combining staff trainings
- ◆ Simplifying monitoring processes

# Questions and Reflections



# Resources

- ◆ Maxwell, K. L., Sosinsky, L., Tout, K., & Hegseth, D. (2016). *Coordinated monitoring systems for early care and education*. OPRE Research Brief #2016-19. Washington, DC: Office of Planning, Research and Evaluation, Administration for Children and Families, U.S. Department of Health and Human Services. Available at <http://www.acf.hhs.gov/opre/resource/monitoring-in-early-care-and-education>.
- ◆ Maxwell, K. L., Sosinsky, L., & Tout, K. (2016). *Mapping the early care and education monitoring landscape*. OPRE Research Brief #2016-20. Washington, DC: Office of Planning, Research and Evaluation, Administration for Children and Families, U.S. Department of Health and Human Services. Available at <http://www.acf.hhs.gov/opre/resource/monitoring-in-early-care-and-education>.

# Resources

- ◆ National Center on Child Care Quality Improvement. (2014). *Contemporary issues in licensing*. Retrieved from <https://childcareta.acf.hhs.gov/resource/contemporary-issues-licensing>
- ◆ National Center on Child Care Quality Improvement. (n.d.) *National program standards crosswalk tool*. Retrieved from <https://occqrisguide.icfwebservices.com/index.cfm?do=crosswalk>

# Resources

- ◆ Trivedi, P. A. (2015). *Innovation in monitoring in early care and education: Options for states*. Washington, DC: Office of the Assistant Secretary for Planning and Evaluation, U.S. Department of Health and Human Services. Retrieved from <https://aspe.hhs.gov/basic-report/innovation-monitoring-early-care-and-education-options-states-aspe-white-paper-partnership-acf>
- ◆ U.S. Department of Health and Human Services & the U.S. Department of Agriculture. (2016). *Joint statement on coordinated efficiencies in monitoring and oversight of early care and education programs*. Retrieved from <http://www.acf.hhs.gov/ecd/joint-monitoring>

A photograph of two young girls hugging outdoors. The girl on the left is wearing a bright pink dress and has her arms around the girl on the right. The girl on the right is wearing a purple dress with white polka dots and is smiling broadly, showing her teeth. They are standing on a green lawn in front of a dark, textured stone wall. The text "Thank you!" is overlaid in the upper right corner of the image.

Thank you!

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# Polling

Please tell us what was useful – and how we could improve the webinar.