

# Mapping the Early Care and Education Monitoring Landscape



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## Overview

*Mapping the Early Care and Education Monitoring Landscape* is designed to help state/territory leaders document the early care and education (ECE) monitoring systems that are currently in place, so they can more effectively plan strategies to coordinate monitoring across the various sets of regulations. It is intended as a companion to the *Coordinated Monitoring Systems for Early Care and Education* brief (Maxwell, Sosinsky, Tout, & Hegseth, 2016). The brief provides a framework and considerations to support discussions and planning of coordinated monitoring efforts; its appendix provides an overview of eight major early care and education monitoring systems.



## Mapping the Early Care and Education Monitoring Landscape

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*Mapping the ECE Landscape* is divided into seven sections. Leaders can choose to complete all sections or only those that are most relevant to their state/territory planning discussion. Sections include:

1. Who Is Monitoring ECE Providers?
2. What Is the Role of 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?



## Section 1. Who is Monitoring ECE Providers?

Bringing together the key early care and education monitoring leaders is the first step in determining a plan for coordinating monitoring in a state/territory. This chart provides a structure for organizing the information about individuals responsible for various monitoring efforts, and addresses the following two questions:

1. What are the ECE monitoring systems in the state/territory, and where are they housed?
2. Who are the key contact people for each ECE monitoring system?

### Contact list for monitoring stakeholders

Early care and education monitoring system	Contact information
Date Completed ____ / ____ / ____	
<b>Child Care Licensing</b>	
What state agency is responsible for monitoring child care licensing?	Agency Name:
Who is the state agency director?	Name:
	Title:
	Email:
	Phone:
Who within the state agency administers the licensing monitoring unit?	Name:
	Title:
	Division:
	Email:
	Phone:
If there is a contract organization that is responsible for monitoring aspects of licensing? If so, who administers the monitoring?	Contract Organization:
	Name:
	Title:
	Email:
	Phone:

Early care and education monitoring system	Contact information
State fire marshal (if involved in licensing)?	Name: Title: Email: Phone:
State health department director?	Name: Title: Email: Phone:
Is there a county- or city-level agency responsible for monitoring child care licensing?	Agency Name: Director: Email: Phone:
Are there <a href="http://www.acf.hhs.gov/programs/occ/resource/ccdf-tribal-grantees-listed-by-state">tribal CCDF grantees</a> <sup>1</sup> who oversee child care programs?	Tribal Organization Name: Name of Contact Person: Email: Phone:

<sup>1</sup> <http://www.acf.hhs.gov/programs/occ/resource/ccdf-tribal-grantees-listed-by-state>

**Child Care Development Fund  
(CCDF)-Subsidy**

What agency is responsible for  
monitoring the license-exempt  
providers who receive CCDF subsidy?

Agency Name:

Who is the agency director?

Name:

Title:

Email:

Phone:

Who within the agency administers  
monitoring of license-exempt  
providers who receive CCDF  
subsidy funds?

Name:

Title:

Email:

Phone:

Is there a contract organization that is  
responsible for monitoring license-  
exempt providers? If so, who  
administers the monitoring?

Contract Name:

Title:

Email:

Phone:

**State-Funded Pre-Kindergarten**

What agency is responsible for  
monitoring pre-K?

Agency Name:

Who is the agency director?

Name:

Title:

Email:

Phone:

Who within the agency administers  
monitoring of pre-K?

Name:

Title:

Email:

Phone:

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**Early care and education monitoring system****Contact information**

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Is there a contract organization that is responsible for monitoring pre-k programs? If so, who administers the monitoring?

Contract Organization:

Name:

Title:

Email:

Phone:

**Head Start and Early Head Start**

*Head Start and Early Head Start are not monitored at the state level, but the Head Start collaboration director can serve as a state liaison for these discussions. The collaboration director can also connect leaders with Tribal Head Start and Migrant and Seasonal Head Start leaders.*

In what agency is the [Head Start collaboration director](#)<sup>2</sup> housed?

Who is the agency director?

Name:

Title:

Email:

Phone:

Who is the Head Start collaboration director?

Name:

Title:

Email:

Phone:

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<sup>2</sup> <http://eclkc.ohs.acf.hhs.gov/hslc/states/collaboration/map/index.html>



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**Early care and education  
monitoring system****Contact information****IDEA Part C**

What agency is responsible for IDEA  
Part C?

Agency Name:

Who is the agency director?

Name:

Title:

Email:

Phone:

Who within the agency administers  
monitoring of Part C providers?

Name:

Title:

Email:

Phone:

Is there a contract organization that  
is responsible for monitoring Part C  
providers? If so, who administrators  
the monitoring?

Contract Organization:

Name:

Title:

Email:

Phone:

**Child and Adult Care Food  
Program (CACFP)**

What agency is responsible for  
monitoring CACFP?

Agency Name:

Who is the agency director?

Name:

Title:

Email:

Phone:

Who within the agency oversees  
monitoring of CACFP?

Name:

Title:

Email:

Phone:

Early care and education monitoring system	Contact information
Is there a contract organization that is responsible monitoring of CACFP? If so, who administers the monitoring?	Name: Title: Email: Phone:
<b>Other<sup>3</sup></b>	
Is there anyone else who monitors ECE providers?	Agency Name:
Who is the agency director?	Name: Title: Email: Phone:
Who administers the monitoring system?	Name: Title: Email: Phone:

## Section 2. What is the Role of Child Care Licensing in Various Monitoring Systems?

Because licensing provides the minimum requirements to operate in a state, licensing can be a pre-requisite for receipt of other funds. As state leaders consider coordinating monitoring systems, it may be useful to document the role of child care licensing in the monitoring of various programs or funding streams.

1. Which types of providers are licensed and which are exempt from licensing? Describe the type of providers who are licensed by the state's child care licensing agency (e.g., centers operating more than 4 hours a day) and those who are exempt (e.g., home providers caring for no more than two children).
2. For each program/funding stream that requires licensing, complete the following information.

### Role of licensing in various monitoring systems

#### Child Care Development Fund (CCDF)-Subsidy

Does a change in licensing status affect the providers' eligibility for CCDF subsidies? ☐ Yes ☐ No

If yes, how?

Does a change in licensing status affect the monitoring for a provider? ☐ Yes ☐ No

If yes, how?

How is the change in licensing status communicated to CCDF subsidy administrators?

#### State-Funded Pre-Kindergarten

Does a change in licensing status affect the providers' *eligibility* for or *funding* from this program? ☐ Yes ☐ No

If yes, how?

Does a change in licensing status affect the monitoring of a provider? ☐ Yes ☐ No

If yes, how?

How is the change in licensing status communicated to pre-K leaders?

#### Head Start and Early Head Start

Does a change in licensing status affect the provider's *eligibility* for or *funding* from this program? ☐ Yes ☐ No

If yes, how?

Does a change in licensing status affect the monitoring of a provider? ☐ Yes ☐ No

If yes, how?

How is the change in licensing status communicated to Head Start monitoring staff?

#### IDEA Part C

Does a change in licensing status affect the provider's *eligibility* for this program? ☐ Yes ☐ No

If yes, how?

Does a change in licensing status affect the monitoring of a provider? ☐ Yes ☐ No

If yes, how?

How is the change in licensing status communicated to the IDEA Part C administrators?

### IDEA Part B

Does a change in licensing status affect the provider's *eligibility* for this program? ☐ Yes ☐ No

If yes, how?

Does a change in licensing status affect the *monitoring* of a provider? ☐ Yes ☐ No

If yes, how?

How is the change in licensing status communicated to IDEA Part B administrators?

### Quality and Rating Improvement System

Does a change in licensing status affect the provider's *eligibility* for this program? ☐ Yes ☐ No

If yes, how?

Does a change in licensing status affect the *monitoring* of a provider? ☐ Yes ☐ No

If yes, how?

How is the change in licensing status communicated to QRIS monitoring staff?

### Child and Adult Care Food Program

Does a change in licensing status affect the provider's *eligibility* for this program? ☐ Yes ☐ No

If yes, how?

Does a change in licensing status affect the monitoring of a provider? ☐ Yes ☐ No

If yes, how?

How is the change in licensing status communicated to CACFP monitoring staff?

## Section 3. Standards: What is Monitored?

In preparing to coordinate monitoring efforts, an important step is to gather information about the standards that are monitored. By closely reviewing different sets of standards, leaders can identify particular standards that are similar, inconsistent, or contradictory. It may be possible to develop the same wording for similar standards, and it may be useful to adjust particular standards to be more consistent across funding streams. This section of the *Monitoring Landscape* helps organize information about previous crosswalks of standards and offers suggestions for future possible standards crosswalks.

1. Has your state developed a comparison or crosswalk of standards across two or more early care and education monitoring systems?  
☐ Yes   ☐ No
  - a. If yes, please list the monitoring systems for which a standards crosswalk has been completed and briefly describe the purpose of each crosswalk.

The *Crosswalk of National Early Childhood Program Standards* (National Center on Child Care Quality Improvement, n.d.) is a searchable tool that allows users to compare standards across national programs/funding streams. It includes multiple federal or national standards that may be useful to a state's efforts to align standards across multiple programs. It is available here:

<https://occqrisguide.icfweb services.com/?do=crosswalk>

If leaders are interested in comparing standards from two or more programs, it may be helpful to answer the following questions:

2. Which sets of standards would you like to compare? This can include standards for programs/funding streams in your state (e.g., pre-k, QRIS) as well as national or federal standards of interest (e.g., Caring for Our Children Basics, Head Start, national accreditation).
3. Is there interest comparing all of the standards or only a particular subset of standards (e.g., health and safety)? If there is interest in a particular subset, please list the area(s).

It may be helpful to use a standard set of topics and subtopics when organizing the crosswalk. One list was developed by the National Center on Child Care Quality Improvement (n.d.)<sup>4</sup> for its [National Program Standards Crosswalk Tool](#) and includes 10 topic areas and several subtopic areas for early childhood standards.

#### Possible topics and subtopics of standards for early childhood learning and development facilities

Topic	Subtopic
<b>Administration</b>	Background Checks and Fingerprinting
	Communications/Postings
	Compliance
	Ethics and Professionalism
	Fiscal Management
	Governance
	Liabilities
	Mission and Vision
	Operation Hours and Closures
	Operational Policies
	Program Monitoring and Improvement
	Program Planning
	Record Keeping—Facility Administration
	Reporting
	Staff-Child Ratios and Classroom Assignments
	Staff Communication/Involvement
<b>Children with Special Needs</b>	Adaptive Learning Environment
	Developmental Learning Goals and Plans
	Family and Community Partnerships
	Individualized Plans
	Policies
	Record Keeping—Children with Special Needs
	Screening/Assessment
	Service Delivery
<b>Eligibility, Recruitment, and Transition</b>	Attendance
	Eligibility
	Enrollment/Admissions
	Fees
	Recruitment
	Selection/Placement
	Transition Planning

<sup>4</sup> As noted on the online instructions (<https://occqrisguide.icfwebervices.com/?do=crosswalk>), “these general topic areas were chosen after reviewing the various ways states, agencies, and organizations categorize program standards” and are not meant to suggest any particular framework for categorizing standards.



Topic	Subtopic
<b><i>Family and Community Partnerships</i></b>	Addressing Cultural and Family Needs
	Community Resources and Referrals
	Confidentiality and Access to Information
	Establishing Community Partnerships
	Family Education
	Home Visits
	Parental Involvement
	Program/Family Communication
<b><i>Health and Safety</i></b>	Animals and Plants
	Child Abuse and Neglect
	Child Health Records
	Dental Care
	Diapering and Toileting
	Disease Prevention and Immunizations
	Emergency Preparedness and First Aid
	Facility/Indoor Safety
	Field Trips
	Health Promotion/Health Education
	Health Screenings
	Hygiene and Sanitation
	Injury Prevention
	Inspections and Maintenance
	Materials and Equipment
	Medication Administration/Storage
	Playgrounds/Outdoor Safety
	Policies/Procedures/Plans
	Reporting Incidents and Emergencies
	Responding to Illness/Injury
	Safety and Supervision Practices
	Sleeping
	Staff Health
	Toxic/Hazardous Materials

Topic	Subtopic
<b><i>Learning Environment and Practices</i></b>	Guidance and Behavior
	Learning Environment—Indoor
	Learning Environment—Outdoor
	Materials and Equipment
	Observation and Assessment
	Teacher/Child Interaction
	Technology
<b><i>Nutrition</i></b>	Allergies/Other Special Needs
	Food Storage/Disposal
	Meal Preparation/Service
	Meal Time/Environment
	Reporting/Communications
<b><i>Personnel Management and Human Resources</i></b>	Annual/Ongoing Professional Development
	Personnel Policies
	Pre-Service Training
	Professional Development Planning
	Qualifications and Responsibilities of Administrators
	Qualifications and Responsibilities of Practitioners
	Qualifications and Responsibilities of Specialty Staff
	Qualifications and Responsibilities of Substitutes/Volunteers
	Specialized Professional Development
	Staff Benefits
	Staff Evaluation/Appraisals
	Staff Orientation
	Staff Recruitment and Retention
<b><i>Supporting Skill Development</i></b>	Creative Arts
	Curriculum and Learning Activities
	Language, Literacy and Cognition
	Math and Science
	Motor Skills and Physical Development
	Social and Emotional Development
	Social Studies
<b><i>Transportation</i></b>	Child Safety Restraints
	Supervision/Safety
	Transportation Services
	Vehicles

## Examples of crosswalks of standards

### **Crosswalk of NAEYC Early Childhood Program Standards and Accreditation Criteria with Other Accrediting/Assessment Systems (Connecticut, 2008).**

This crosswalk was completed in 2008 in Connecticut and was developed to crosswalk NAEYC standards with standards from American Montessori Society, Head Start, the New England Association of Schools and Colleges: Commission on Independent Schools, and the New England Association of Schools and Colleges: Commission on Public Elementary Schools.

[http://www.sde.ct.gov/sde/lib/sde/PDF/DEPS/Early/Quality\\_Systems\\_Crosswalk.pdf](http://www.sde.ct.gov/sde/lib/sde/PDF/DEPS/Early/Quality_Systems_Crosswalk.pdf)

### **Crosswalk of NAEYC Early Childhood Program Standards and Accreditation Criteria with Other Accreditation Systems (New Mexico, 2012)**

This crosswalk was completed in 2012 for New Mexico to compare the 2007 revised accreditation standards of the National Association for the Education of Young Children and the standards of the following early childhood education national accreditation systems: Association of Christian Schools International, National Accreditation Commission, International Christian Accrediting Association, National Early Childhood Program Accreditation, and Council On Accreditation.

[https://www.newmexicokids.org/content/announcements/docs/cyfd\\_crosswalk\\_matrix\\_2012.12.11.pdf](https://www.newmexicokids.org/content/announcements/docs/cyfd_crosswalk_matrix_2012.12.11.pdf)

Two updates were completed since the publication of the original crosswalk report:

[https://www.newmexicokids.org/content/caregivers\\_and\\_educators/resources/NM\\_state\\_child\\_care\\_Regulations/docs/cyfd\\_update\\_crosswalk\\_matrix\\_2014.pdf](https://www.newmexicokids.org/content/caregivers_and_educators/resources/NM_state_child_care_Regulations/docs/cyfd_update_crosswalk_matrix_2014.pdf)

[https://www.newmexicokids.org/content/caregivers\\_and\\_educators/resources/NM\\_state\\_child\\_care\\_Regulations/docs/cyfd\\_2nd\\_update\\_crosswalk\\_matrix\\_2014.pdf](https://www.newmexicokids.org/content/caregivers_and_educators/resources/NM_state_child_care_Regulations/docs/cyfd_2nd_update_crosswalk_matrix_2014.pdf)

### **Texas Early Childhood Program Standards Comparison Tool**

This online tool has a searchable database that allows users to compare standards from 11 Texas and federal programs or national accrediting bodies: Texas Pre-K Laws, Head Start/Early Head Start Performance Standards, Texas Department of Family and Protective Services Licensing Minimum Standards, Texas Rising Star Provider certification Guidelines, Department of Defense Military Child Care Standards and Effectiveness Rating and Improvement Systems, National Association for the Education of Young Children, National Association of Child Care Professionals, National Association for Family Child Care, National After-School Association, National Early Childhood Program Association, and Association of Christian Schools International.

<http://earlylearningtexas.org/comparison-tool.aspx>

### **A Crosswalk of the Head Start Program Performance Standards and Caring for Our Children**

The National Center on Health developed this resource for health managers; it provides a crosswalk of health-related standards in both the Head Start program performance standards and the standards from *Caring for Our Children*, 3<sup>rd</sup> edition.

<http://eclkc.ohs.acf.hhs.gov/hslc/tta-system/health/school-readiness/goals/crosswalk.html>

## Section 4. Tools and Procedures: How is Monitoring Conducted?

Even when different monitoring systems use the same standards, the monitoring tools and processes may not be the same. When gathering information about the current monitoring system in order to plan for a more coordinated monitoring approach, it is important to review the monitoring tools and procedures in addition to the standards. This section of the *Monitoring Landscape* focuses on the tools and procedures for monitoring, offering questions for consideration and suggested ways of organizing information to support planning efforts.

If standards are similar but the tools or procedures differ, leaders may want to develop a plan to use similar tools and procedures across various monitoring systems. If different systems use the same tool and procedure, leaders may want to develop an approach to reduce this duplication of effort.

1. Are the same tools used to monitor in more than one program or funding stream? If so, document the tools and procedures used across multiple programs/funding streams.

*The chart below provides a hypothetical example of how this information might be organized.*

*Some questions for consideration:*

- Which programs use the tool?
- Is the tool used with particular types of providers only? Or for certain staff roles?
- When is the information gathered (e.g., upon hire, annually)?
- Who completes the tool?

### Example of how to organize information gathered by various monitoring systems

	Licensing	Pre-K	CACFP
Criminal background check	Completed for every staff member prior to employment using fingerprints; national, state, and local records are checked	Completed for every teacher prior to employment and annually for all employees	Requires evidence at the time of application that the center's leadership has not been convicted of lack of business integrity in the last 7 years

2. For each standard that is the same or similar across more than one program or funding stream, how is the standard monitored by each system?

*It may be useful to develop a chart to record this information. An example is provided below. The two monitoring systems are listed as examples; each state will need to identify the key monitoring systems that are most relevant to its planning process.*

*Questions to consider when recording information:*

- What tools are used to monitor the standard?
  - Observation measure, checklist, document review, online portfolio submitted by the provider, self-report from director or teacher, another data source (e.g., teacher registry, local building inspection reports), etc.

- *Who completes the tools to monitor providers?*
  - *Are they contractors or staff? If staff, in what agency are they located?*
- *How often are the monitoring tools completed?*
  - *Is there a regular schedule (e.g., every 2 years)? Are there conditions under which monitoring would happen more frequently? If so, what are those?*

#### Example of chart organizing information about monitoring tools and procedures

	QRIS		Pre-K	
	Tools	Procedures	Tools	Procedures
Standard 1: Classroom Quality	<i>Environment Rating Scales for Levels 2-4; Classroom Assessment Scoring System for Level 5</i>	QRIS assessors in the Department of Human Resources complete on 1 randomly selected classroom for each age range; Part of rating assessment that is conducted every 3 years	<i>Classroom Assessment Scoring System</i>	Pre-K consultants from the Department of Education complete annually in all pre-K classrooms
Standard 2: Staff Qualifications	Access data from teacher registry	QRIS rating staff access data from teacher registry about degree, major, and coursework. QRIS staff review registry data every 3 years to determine whether the facility has met the standard.	Review of transcripts	Department of Education licensing staff review college transcripts on an ongoing basis for every newly hired pre-K teacher to ensure that the standard is met.

## Section 5. Qualifications, Training, and Oversight: How Are Monitoring Staff Supported?

This section of the tool provides an opportunity to document the qualifications, training, and oversight of monitoring staff across multiple monitoring systems.

Here are some general guiding questions, followed by sample charts that could be used to organize the information.

1. For each early care and education monitoring system of interest (e.g., CACFP, licensing), describe qualifications of monitoring staff (e.g., degree, expertise).
2. For each early care and education monitoring system of interest (e.g., Head Start, pre-K), describe the training provided to *new* monitoring staff.
3. For each early care and education program of interest (e.g., pre-K, QRIS), describe any *ongoing or regular* training provided to monitoring staff.
4. Are monitoring staff required to establish inter-rater agreement<sup>5</sup> on monitoring tools? If so, describe.
5. Who supervises monitoring staff and how is supervision provided?
6. Is there any cross-training of staff from different monitoring systems?
7. Is there any ongoing communication among supervisors or staff across different monitoring systems?

### Example of chart documenting the training of *newly* hired monitoring staff

	What is the content of the training provided?	Who provides the training?	Is there a training criterion that must be met? If so, what?
QRIS			
Licensing			
Add other programs of interest to the state's planning efforts			

<sup>5</sup> Inter-rater agreement or reliability is the extent to which two people rate the same thing similarly. If monitors maintain high inter-rater agreement on monitoring tools, it suggests that monitoring is done consistently across monitoring staff.



Example of chart documenting *ongoing* training

	What training is provided? About what tool or content?	Who provides the training?	Is the training voluntary or mandatory?	Is there a training criterion that must be met? If so, what?
QRIS				
Licensing				
<i>Add other programs of interest to the state's planning efforts</i>				

### Example of chart documenting inter-rater agreement procedures for monitoring

	What tools require inter-rater agreement?	How often is inter-rater agreement checked?	Is there a criterion that must be met? If so, what?	What happens if the criterion for inter-rater agreement is not met?
QRIS				
Licensing				
<i>Add other programs of interest to the state's planning efforts</i>				

## Section 6. What Data Systems are Used in Monitoring?

Sharing information and coordinating across multiple monitoring systems are easier if data are stored electronically and can be accessed by staff from multiple monitoring systems. This section of the *Monitoring Landscape* tool provides an opportunity to document the data systems used by various monitoring systems. The table on the following page is a sample template for states to use to gather information about the various data systems.

### Data systems used in monitoring

	What data are stored electronically?	Who enters data into the data system?	Who (agency, division, person) manages the electronic data system?	Who can view the data in the system?	Is there a data-sharing agreement in place with leaders of another ECE monitoring system?	Notes about the data and data system
Licensing						
CCDF subsidy						
QRIS						
Pre-K						
Head Start/ Early Head Start						
IDEA Part B						
IDEA Part C						
Child and Adult Care Food Program						
Accreditation						

## Section 7. What are Some Next Steps?

State leaders can complete the action plan below to document next steps in moving toward a coordinated monitoring system. The following questions may be useful to consider in determining next steps.

1. Which early care and education programs are housed in the same agency? It may be easier to begin coordinating with programs within a single agency.
2. Are monitoring data from two or more programs or funding streams in the same data system? It may be easier to begin coordinating with programs that share a data system.
3. Is there a crosswalk of standards from two or more programs? The crosswalk may identify particular standards (e.g., health and safety) that are similar and could be aligned by making small adjustments. The crosswalk could also identify inconsistencies across standards that may be important to address.
4. Are there similar monitoring tools used in two or more programs? If so, it may be useful to develop a strategy for coordinating the use of those tools.

### Action plan

Next step	Person responsible	Date to be completed	Notes

## References

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.

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