

Child Care and Development Fund (CCDF) Lead Agency Monitoring Profile

CCDF requires Lead Agencies to maintain compliance with all provisions of the Child Care and Development Block Grant Act, CCDF regulations at 45 CFR 98, and the state's approved CCDF Plan during the administration of their program. OCC's Monitoring Protocol validates CCDF Lead Agency implementation of a specific subset of CCDF requirements and determines compliance. The Monitoring Protocol includes pre-visit State Planning Calls, a review of policies, procedures, and other documentation of implementation provided by the Lead Agency, and an onsite visit to validate the Lead Agency's implementation of the requirements through data collection interviews, system demonstrations, and case file reviews.

The Lead Agency Monitoring Profile provides a current summary of the Lead Agency's compliance status for only the CCDF requirements included in the Monitoring Protocol scope that fall within five (5) Program Areas: Eligibility and Enrollment, Equal Access, Health and Safety, Comprehensive Background Checks and Program Integrity and Accountability. OCC uses the Lead Agency Monitoring Profile to confirm areas of compliance and non-compliance, identify documents needed for pre-visit review and establish the specific scope for the onsite visit. The Lead Agency Monitoring Profile is a key step in OCC's data collection process.

The Lead Agency Monitoring Profile is divided into two (2) parts. Part 1 of the Lead Agency Monitoring Profile contains four sections:

- Section A - Administrative Structure: Summary of information regarding sub-recipients (internal/external entities) responsible for administering child care subsidy, provider training and inspections, and oversight of program integrity and accountability.
- Section B - Provider Structure: Summary of the Lead Agency's provider types and entities providing oversight of each provider type.
- Section C - Compliant Provisions: Summary of compliant CCDF requirements as indicated in the approved CCDF Plan and Plan Amendments
- Section D - Non-Compliant Provisions: Summary of non-compliant CCDF requirements as indicated in the approved CCDF Plan and Plan Amendments.

Part 2 of the Lead Agency Profile includes information for the pre-visit document submission process.

OCC will pre-populate Part 1 of the Lead Agency Monitoring Profile with information contained in the Lead Agency's CCDF Plan, and information the Lead Agency has previously submitted to OCC. A copy of the pre-filled Lead Agency Monitoring Profile will be sent to the Lead Agency for review. During State Planning Call #1, OCC will review the pre-populated form with the Lead Agency to confirm accuracy and to identify documents for the pre-visit review. Following State Planning Call #1, the Lead Agency will review Part 1 for accuracy and submit to OCC with a signature from the Lead Agency Contact certifying the information in Part 1. Lastly, the Lead Agency will complete Part 2 of the Lead Agency Monitoring Profile titled Document Submission Chart and submit the requested documentation to OCC for review.

Lead Agency Information:

State/Territory:	Lead Agency:
Date Profile Created:	Lead Agency Contact:
Onsite Monitoring Date:	State Planning Call #1 Date:

State/Territory Administrative Structure – Section A is completed by OCC and confirmed by the lead agency.**Lead Agency Entities**

Identify the number of total entities for each section and list out any details for inspections of CCDF eligible providers and CCDF subsidy eligibility. In addition, please include any details on training sources, outside entities, or training requirements that may be relevant.

Example: “10 Total Entities. Child Care Resource & Referral (CCR&R) (6) and County Agencies (4)”. List any geographical details that also may be relevant (e.g., “Northwest region of state”).

*Entity is defined as any internal or external organizations determining subsidy eligibility and/or conducting inspections of CCDF providers (e.g., CCR&Rs or sister agencies internal to state government). Any organization with a Memorandum of Understanding, Written Agreement, delegation of funds, or considered a sub-recipient that determines subsidy eligibility or conducts inspections of CCDF providers could be considered an entity.

CCDF Subsidy Eligibility - # of entities determining eligibility:

- **Details:**

CCDF Eligible Providers - # of entities conducting inspections of CCDF providers:

- **Details:**

Lead Agency Data Systems

- **Subsidy:**
- **Licensing:**

Pre-Service/Orientation Training

- **Single Source** ☐
- **Multi source** ☐

Details:

Program Integrity & Accountability

Agencies/Entities/Departments involved with Program Integrity and Accountability, specifically maintaining effective internal controls and fraud investigations, recovery, and sanctions.

- **Investigations:**
 - **Sanctions:**
 - **Payment Recoupment:**
- Fraud Risk Assessment:**

SECTION B – STATE/TERRITORY PROVIDER STRUCTURE (PART 1 continued)

State/Territory Provider Structure - Section B is completed by OCC and confirmed by the Lead Agency.

CCDF Plan Provider Types	Lead Agency Provider Types	Name of entity responsible for inspecting Provider Type
Licensed Center Care		
Licensed Family Child Care Homes		
Licensed In-Home Care		
Out-of-School Programs - Licensed		
Out-of-School Programs - License-Exempt		
License-Exempt Center Care		
License-Exempt In-Home Care		
License-Exempt Family Child Care Homes		

The last two sections of Part 1 (Section C and D) will focus on FFY2025-2027 CCDF Plan compliance. Section C will address compliant CCDF Provisions in the Lead Agency's CCDF Plan, while Section D addresses non-compliant provisions. Both Sections are completed by OCC and confirmed by the Lead Agency.

SECTION C – LEAD AGENCY COMPLIANT PROVISIONS (PART 1 continued)

Lead Agency Compliant Provisions - Section C is completed by OCC and confirmed by the Lead Agency.

CCDF Provision & Description	Documents Previously Reviewed to determine compliance	Changes made to previously reviewed documents	Document Needed from Lead Agency?	List of Documents Needed from Lead Agency	Notes (Optional)
(provision listed here)		<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A		
(provision listed here)		<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A		
(provision listed here)		<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A		

SECTION D – LEAD AGENCY NON-COMPLIANT PROVISIONS (PART 1 continued)

Lead Agency Non-Compliant Provisions - Section C is completed by OCC and confirmed by the Lead Agency.

CCDF Provision & Description	Non-Compliance details	CCDF Plan Amendment Submitted	Amendment Date	Transitional Waiver	Notes (Optional)
(provision listed here)		<input type="checkbox"/> YES <input type="checkbox"/> NO		<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A	
(provision listed here)		<input type="checkbox"/> YES <input type="checkbox"/> NO		<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A	
(provision listed here)		<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/>		<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A <input type="checkbox"/>	
(provision listed here)		<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/>		<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A <input type="checkbox"/>	
Lead Agency Certification					
By signing the Lead Agency Monitoring Profile, the Lead Agency is certifying that the information in Sections A, B, C, and D of Part 1 are true and accurate to the best of their knowledge.		Certifier Name: _____ Title of Certifier: _____ Date of Certification: _____			

DOCUMENT SUBMISSION CHART (PART 2)

Document Submission Chart – Part 2 is completed by the Lead Agency after State Planning Call #1.

Instructions: In Part 2, the Lead Agency completes the Document Submission Chart. The Lead Agency will only need to fill out the rows that identified any of the following in Part 1:

- A policy change or a change in process; and/or
- CCDF requirements marked with an (*) asterisk to indicate provisions that were not previously included in OCC's Monitoring Protocol.

Please ensure that accurate titles, links/URLs, and page/sections are documented. OCC will use this information to determine the onsite monitoring scope, so accuracy is essential. Once this section is completed, the Lead Agency will upload all identified documents in the chart to the Office of Child Care Monitoring System within two weeks of State Planning Call #1.

CCDF Rule	Document to Review	File Name or URL	Page/Section	Date Sent
Eligibility and Enrollment: Continuity of Care				
98.21(a)(1)(i) 12-month Eligibility				
98.21(a)(1)(ii) Policies for Temporary Changes				
98.21(h)(1-2), 98.21(h)(4)(i) Family Reporting Policies				
98.21(a)(3) Copayments within 12-month Eligibility Period				
Equal Access: Payment Practices to Providers				
98.45(m)(1) Prospective Payments*				
98.45(m)(2) Enrollment Based Payments*				
Equal Access: Affordability				
98.21(h)(4)(ii) Maintaining Services & Affordability				
@idHealth & Safety: 11 Health & Safety Requirements				
98.44(b)(1)(i) Pre-service/Orientation for Providers				

98.42(b)(2)(i)(B) Annual Inspections for Licensed Providers				
98.42(b)(2)(ii) Annual Inspections for Licensed Exempt Providers				
Health & Safety: Inspections of In-Home providers				
98.42(b)(2)(iv)(B) In-home Provider Inspections				
Health & Safety: Pre-Licensure Inspections				
98.42(b)(2)(i)(A) Pre-licensure Inspections				
Health and Safety: Posting Inspection Reports				
98.33(a)(4) Posting Full Monitoring/Inspection Reports*				
Health and Safety: Fire Standards				
98.42(b)(2)(ii) Annual Inspections for Providers				
Comprehensive Background Checks: Pre-service Check Requirements				
98.43(d)(4) Provisional Hire*				
Program Integrity and Accountability: Effective Internal Controls				
98.68(a)(2) Identification of Risk				
98.68(a)(3) Program Administration Staff Training on Program Requirements and Integrity				
98.68(a)(3) Child Care Provider Training on Program Requirements and Integrity				
98.68(a)(4) Evaluation of Internal Control Activities				
98.68(c) Documenting and Verifying Child Eligibility				

Program Integrity and Accountability: Fraud Investigation, Payment Recovery and Sanctions				
98.68(b)(1) Identifying Fraud or Other Program Violations				
98.68(b)(2) Investigating and Recovering Fraudulent Payments and Imposing Sanctions				