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**INDEPENDENT STATE AUDITOR'S REPORT ON
CERTAIN STATE-FUNDED CHILDCARE SERVICES
JULY 1, 1999 TO SEPTEMBER 30, 2002**

**OFFICIAL AUDIT
REPORT
NOVEMBER 13, 2002**

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The Office of Child Care Services (OCCS) was established by Chapter 28A, Section 3, of the Massachusetts General Laws and is authorized by this statute to be the lead agency to administer childcare services within the jurisdiction of the state's Executive Office of Health and Human Services (EOHHS) and to communicate with other state agencies providing similar or related services.

OCCS was created in 1997 through the consolidation of the various subsidized child care programs that formerly resided at the Departments of Social Services and Transitional Assistance and were administered through EOHHS. OCCS's charge was to create an improved childcare subsidy administration and service delivery system, as well as retain the licensing responsibility it had administered since 1972 as the Office for Children. The primary mission of OCCS is to regulate childcare and administer childcare subsidies for the Commonwealth.

Presently, OCCS uses both vouchers and contracts to purchase developmentally appropriate childcare for infants, toddlers, preschoolers, and school-age children. During fiscal year 2001, OCCS reported subsidies to qualifying families totaling approximately \$336 million. Of this amount, OCCS used \$188 million to fund 35,650 voucher slots and \$148 million for 16,666 contract slots. OCCS offered these subsidies to families through the state's Employment Services, Post-Transitional, Income Eligible, Teen Parent, Trial Court, and Supportive childcare programs.

The scope of our audit was to review certain administrative and operational activities of OCCS and the Department of Education's (DOE) Community Partnerships for Children (CPC) Programs relative to the state's childcare system during fiscal years 2000 through 2003 (up to September 2002). The objective of our audit was to determine the extent to which state-funded childcare services are available to income eligible families throughout the Commonwealth and, where necessary, to make recommendations on how to improve the delivery of such services. Our specific objectives were to:

- a. Obtain an understanding of OCCS's income-eligible childcare program and DOE's CPC program, including the responsibilities and activities of OCCS and DOE.
- b. Review OCCS's and DOE's policies, guidelines, procedures, and other relevant information to determine whether they represent adequate guidance to contract service providers and CPCs relative to program activities.
- c. Assess the effectiveness of the system of administrative and accounting controls established by OCCS and DOE by conducting audits at a sample of 16 childcare providers, nine Child Care Resource and Referral agencies (CCR&Rs), and nine CPCs to assess their business practices and determine the extent to which these

sampled entities were complying with all applicable laws, rules, and regulations, as well as the terms and conditions of their contracts and grants.

- d. Evaluate OCCS’s policies and procedures for identifying the Commonwealth’s unmet demand for childcare services, as well as the reliability of OCCS’s quarterly “unduplicated childcare waitlist” reports.
- e. Evaluate the results of OCCS’s and DOE’s statewide mandated collaborative efforts, which were intended to reduce the number of families waiting for childcare subsidies, and assess efforts of local service providers to collaborate on the delivery of childcare services on a daily basis.
- f. Evaluate OCCS’s efforts to ensure that state resources provided for income eligible childcare are properly safeguarded and expended in the most economical and efficient manner and for their intended purposes.

Given the substantial unmet demand for childcare, and the importance of this issue to low-income working families and single parents, OCCS needs to continue to strengthen its policies and procedures regarding the collection of waitlist information to ensure that the Legislature is receiving accurate data on the unmet demand for subsidized childcare in the Commonwealth. Our audit also indicated that OCCS and DOE need to improve their collaboration and better communicate to providers the need for them to provide timely, accurate, and updated waitlist information. In addition, our audit revealed that OCCS needs to continue to improve its monitoring and administrative functions to effectively and efficiently redistribute unused childcare resources.

AUDIT RESULTS

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1. ADMINISTRATION OF CHILDCARE WAITLIST NEEDS IMPROVEMENT TO ENSURE THAT ACCURATE INFORMATION IS BEING USED BY THE LEGISLATURE TO FUND MILLIONS OF DOLLARS IN STATEWIDE CHILDCARE SERVICES

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In order to obtain childcare services, applicants must first submit an application to a service provider, after which they are placed on a waitlist for program services. OCCS and the state Legislature use this waitlist information to determine the unmet demand for childcare services and the amount of funding that needs to be appropriated to meet this unmet demand. We found, however, that OCCS’s policies do not provide sufficient detailed instructions to ensure that all service providers update waitlists in a uniform manner and maintain supporting documentation of waitlist activities. Moreover, these policies do not define what families should be included on waitlists. Also, OCCS accepts waitlist reports from service providers without verifying data, and OCCS field staff do not routinely monitor waitlist activities at service provider locations. As a result, there is inadequate assurance that the waitlist information provided to the Legislature by OCCS is accurate. In fact, at the 25 service providers that we visited, we found that waitlist activities varied

significantly and resulted in inaccurate, outdated, and missing family information. Specifically, our review of the information on a sample of waitlists at six of the nine CCR&Rs we visited identified that approximately 80% of the information on these waitlists was inaccurate. To compound the problem, many childcare providers did not submit their required quarterly waitlist reports to OCCS. For example, contrary to OCCS policy, 51 of 222 center-based providers (23%) did not report the names of families waiting for services for the period ending December 30, 2001. These 51 providers also did not report status changes that they made to existing waitlisted families during the same period.

2. IMPROVED COLLABORATION IS REQUIRED WITHIN THE STATE'S CHILDCARE SYSTEM TO ENSURE A MORE EFFECTIVE UTILIZATION OF FUNDING FOR CHILDCARE SERVICES

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Our audit identified that the state's childcare network, which involves state agencies, CCR&Rs, and contracted childcare providers, is not working in a collaborative manner to ensure an efficient and effective childcare delivery system within the Commonwealth. For example, we found that a \$10 million collaboration childcare project between OCCS and DOE had minimal impact upon the unmet demand for childcare. The effort, which was mandated by the Legislature during fiscal year 2000, was unsuccessful because (1) waitlist information shared with service providers was flawed; (2) many providers chose not to participate in the endeavor; (3) some providers did not share the results of their work; and (4) some results were misinterpreted or lost. Also, CCR&Rs and childcare providers reported to us that daily collaboration is lacking or ineffectual at the local level. This lack of collaboration prevented providers from fully utilizing their contracts and, more importantly, prevented families from obtaining needed childcare services.

3. INEFFICIENCIES WITHIN THE CHILDCARE INDUSTRY HAVE CAUSED SERVICE PROVIDERS TO UNDERUTILIZE STATE CHILDCARE RESOURCES TOTALING APPROXIMATELY \$28 MILLION

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Throughout the state's childcare industry, certain inefficiencies have caused childcare providers to underutilize their service contracts with OCCS. The childcare industry's inability to overcome these inefficiencies caused OCCS to revert in total approximately \$12.5 million to the General Fund at the close of fiscal years 2000 and 2001, while using an additional \$15.5 million, which the Legislature originally intended for direct family subsidies, on one-time teacher and staff salary enhancements. Although OCCS monitors the performance of service providers in order to identify, recover, and redistribute unused resources, OCCS's reversions and reallocations of childcare funds occurred at the same time that its own data indicated an average unmet annual demand for childcare totaling approximately 18,000 children. Therefore, OCCS must take further action to reduce, wherever possible, inefficiencies within the industry as well as more aggressively pursue underutilized childcare resources in order to better serve those families in need of childcare services.

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INTRODUCTION

Background

The Office of Child Care Services (OCCS) was established by Chapter 28A, Section 3, of the Massachusetts General Laws and is authorized by this statute to be the lead agency to administer childcare services within the jurisdiction of the state's Executive Office of Health and Human Services (EOHHS) and to communicate with other state agencies providing similar or related services outside of EOHHS.

OCCS was created in 1997 through the consolidation of the various subsidized childcare programs that formerly resided at the Departments of Social Services and Transitional Assistance and were administered through EOHHS. OCCS's charge was to create an improved childcare subsidy administration and service delivery system, as well as retain the licensing responsibility it had administered since 1972 as the Office for Children. The primary mission of OCCS is to regulate childcare and administer childcare subsidies for the Commonwealth.

Presently, OCCS uses both vouchers and contracts to purchase developmentally appropriate childcare for infants, toddlers, preschoolers, and school age children. During fiscal year 2001, OCCS reported subsidies to qualifying families totaling approximately \$336 million. Of this amount, OCCS used \$188 million to fund 35,650 voucher slots, and \$148 million for 16,666 contract slots. (See Appendix I) OCCS offered these subsidies to families through the Employment Services, Post Transitional, Income Eligible, Teen Parent, Trial Court, and Supportive childcare programs.

As part of its childcare delivery system, OCCS contracts with a network of 15 Child Care Resource and Referral agencies (CCR&R) located throughout the Commonwealth. (See Appendix II.) CCR&Rs take on a primary role in providing information, data management, and linkages to local communities for four main constituency groups: families seeking childcare, individuals and organizations that provide childcare services, local communities, and OCCS. In this regard, CCR&Rs are primarily responsible for data collection (needs assessments/resource inventory/community planning/regional waitlist management) resource and referral services to

families seeking childcare, voucher management, technical assistance, and training to individuals and organizations providing childcare services. CCR&Rs are also responsible for childcare slots development and establishing linkages with all state-funded childcare programs, individuals, and organizations providing contracted and non-contracted childcare and local business by establishing local provider networks and other collaborations.

In addition to OCCS and CCR&Rs, the state's childcare network also involves the state's Community Partnerships for Children (CPC) program. Under the CPC program, the Massachusetts Department of Education (DOE) awards grants to communities to serve three- and four-year old children in early care and education programs. Communities that receive CPC funds are expected to develop a plan that meets the following five program objectives:

- Increase the affordability and accessibility of programs for three- and four-year old children of diverse cultural, linguistic, and economic backgrounds through the use of a sliding fee scale.
- Enhance collaboration among families, community programs, businesses, and other organizations concerned with children and families to develop a system of early care and education, reduce duplication of services, and promote equitable services.
- Provide comprehensive early childhood programs and services for three- and four- year old children of working families.
- Provide early childhood programs and services that are high quality.
- Conduct community outreach to ensure that children from families that may be difficult to reach by traditional methods are offered opportunities to participate in a program that meets their needs.

State statute requires that participating communities form a CPC Council, which is a decision-making process for developing collaborative relationships and partnerships that improve early childhood care and education in a community. A CPC Council gives families and community members an opportunity to be involved in decision making and provides a means for assessing and responding to the needs of young children and their families through information sharing and program planning and development.

Among other things, CPC Councils are responsible for selecting a lead agency to manage day-to-day program operations. A public school, a Head Start agency, or a licensed childcare agency may serve as a lead agency. Lead agencies may provide services directly and/or subcontract with other public and private agencies for early care and education services.

For fiscal year 2001, DOE awarded grants totaling approximately \$104 million to 168 CPC Councils serving three- and four- year old children residing in 335 Massachusetts communities. DOE and CPC programs are required to collaborate with CCR&Rs and OCCS to ensure that childcare services within the Commonwealth are delivered in the most effective and efficient manner.

Audit Scope, Objectives, and Methodology

The Office of the State Auditor has completed a statewide audit of OCCS's income eligible childcare program¹, and DOE's CPC program. The scope of our audit was to review certain administrative and operational activities of OCCS relative to the state's childcare system during fiscal years 2000 through 2003 (September 2002). The audit included on-site work at OCCS, DOE, 16 contracted childcare providers, nine CCR&Rs, and nine CPCs. (See Appendix III for a list of our audit sites). In selecting childcare providers, CPCs, and CCR&Rs for review, we attempted to obtain a representative sample from each service component (i.e., entities located in different parts of the state and receiving various levels of program funding). At each location, we reviewed program files and discussed the Commonwealth's delivery of childcare services with program officials. In addition, we contacted 171 families residing throughout the Commonwealth in order to confirm their childcare waitlist status.

Our audit was conducted in accordance with generally accepted government auditing standards for performance audits and, accordingly, included such tests as we considered necessary in the circumstances.

The objective of our review was to determine the extent to which state-funded childcare services are available to income eligible families throughout the Commonwealth and, where necessary, to

¹ During our audit period, OCCS operated six childcare programs (see Appendix I). Our audit was limited to this program.

make recommendations on how to improve the delivery of such services. Our specific objectives were to:

- a. Obtain an understanding of the income eligible childcare program and the CPC program, including the responsibilities and activities of OCCS and DOE.
- b. Review OCCS's and DOE's policies, guidelines, procedures, and other relevant information to determine whether they represent adequate guidance to contract service providers, CCR&Rs and CPCs relative to program activities.
- c. Assess the effectiveness of the system of administrative and accounting controls established by OCCS and DOE by conducting audits at a sample of 16 childcare providers, nine CCR&Rs, and nine CPCs to assess their business practices and determine the extent to which these sampled entities were complying with all applicable laws, rules, and regulations, as well as the terms and conditions of their contracts and grants.
- d. Evaluate OCCS's policies and procedures for identifying the Commonwealth's unmet demand for childcare services, as well as the reliability of OCCS's quarterly "unduplicated childcare waitlist" reports.
- e. Evaluate the results of OCCS's and DOE's statewide collaborative effort, which was intended to reduce the number of families waiting for childcare subsidies. Also, evaluate efforts of local service providers to collaborate on the delivery of childcare services on a daily basis.
- f. Evaluate OCCS's efforts to ensure that state resources provided for income eligible childcare are properly safeguarded and expended in the most economical and efficient manner and for their intended purposes.

To achieve our audit objectives, we reviewed all applicable laws, regulations, policies, and procedures relative to OCCS's income eligible childcare program and the CPC program, held discussions with OCCS and DOE officials, and conducted reviews of OCCS and DOE activities. The purpose of these discussions and reviews was to obtain an understanding of how OCCS and DOE administer their childcare programs and to determine whether OCCS and DOE had established administrative and accounting controls to ensure that public funds are expended in an allowable, reasonable, and allocable manner.

We also conducted reviews at 16 contracted childcare providers, nine CCR&Rs, and nine CPCs to assess their program activities and their compliance with the terms of their contracts and grants and all applicable laws, rules, regulations, and guidelines. We used these audits to assess

(1) the effectiveness of OCCS's fiscal and programmatic monitoring activities and of OCCS's guidelines in this area, (2) the reliability of OCCS's quarterly unduplicated childcare waitlist reports, and (3) the effectiveness of collaborative childcare projects between OCCS and DOE, as well as the daily collaborative efforts between local service providers. Lastly, we contacted 171 families on the childcare waitlists maintained by CCR&Rs to help assess the effectiveness of the waitlist procedures prescribed by OCCS and to evaluate the reliability of waitlist data maintained by CCR&Rs.

AUDIT RESULTS

1. ADMINISTRATION OF CHILDCARE WAITLIST NEEDS IMPROVEMENT TO ENSURE THAT ACCURATE INFORMATION IS BEING USED BY THE LEGISLATURE TO FUND MILLIONS OF DOLLARS IN STATEWIDE CHILDCARE SERVICES

In order to obtain childcare services, applicants must first submit an application to a service provider, after which they are placed on a waitlist for program services. The Office of Child Care Services (OCCS) and the state Legislature use this waitlist information to determine the unmet demand for childcare services and the amount of funding that needs to be appropriated to meet this unmet demand. We found, however, that OCCS's policies do not provide sufficient detailed instructions to ensure that all service providers update waitlists in a uniform manner and maintain supporting documentation of waitlist activities. Moreover, these policies do not define what families should be included on waitlists. Also, OCCS accepts waitlist reports from service providers without verifying data, and OCCS field staff do not routinely monitor waitlist activities at service provider locations. As a result of these deficiencies, there is inadequate assurance that the waitlist information provided to the Legislature by OCCS is accurate. In fact, at the 25 service providers that we visited, we found that waitlist activities varied significantly and resulted in inaccurate, outdated, and missing family information. Specifically, our review of the information on a sample of waitlists at six of the nine Child Care Resource and Referral Agencies (CCR&Rs) we visited identified that approximately 80% of the information on these waitlists was inaccurate. To compound the problem, many childcare providers did not submit their required quarterly waitlist reports to OCCS. For example, contrary to OCCS policy, 51 of 222 center-based providers (23%) did not report the names of families waiting for services for the period ending December 30, 2001. These 51 providers also did not report status changes that they made to existing waitlisted families during the same period.

As mentioned in the Background section, OCCS is authorized by Chapter 28A, Section 3, of the Massachusetts General Laws to be the lead agency to administer childcare services within the jurisdiction of the Executive Office of Health and Human Services (EOHHS). Among OCCS's duties is the requirement to report quarterly to the state Legislature and the state's

Executive Office for Administration and Finance (EOAF) on the unduplicated number of children waiting for state-subsidized childcare. Specifically, since fiscal year 1998, the Commonwealth's General Appropriating Acts have mandated OCCS to report the following:

Said office [OCCS] shall report quarterly to the house and senate committees on ways and means and the secretary of administration and finance on the unduplicated number of children on waiting lists for state subsidized daycare.

To meet this requirement, OCCS developed a data collection strategy that enabled childcare service providers to submit waitlist information using a standard format. Specifically, on October 2, 1997 OCCS sent out 255 packets to service providers. Included in the packets were detailed instructions on collecting the necessary waitlist information, a diskette for electronic submission, and teleforms for a paper submission. Subsequently, during August 2000, OCCS implemented a Child Care Information Management System (CCIMS) to manage the Commonwealth's \$400 million childcare system. CCIMS is a state-of-the-art automated childcare management system that provides OCCS with a statewide database, which the agency uses to analyze childcare needs, costs, and demographic trends. Moreover, OCCS uses the database to maintain its current statewide childcare waitlist.

Finally, OCCS has established a comprehensive policy manual for subsidized childcare services. Section P-OCCS-Subsidy 00-13 of this manual describes procedures for updating waitlists and reporting waitlist data to OCCS, by stating:

CCR&Rs and childcare providers will periodically update their voucher waitlists by contacting parents to determine whether they are still seeking a childcare subsidy. Parents who fail to respond to the CCR&R's or provider's inquiries will be dropped from the voucher waitlist. If a parent contacts the provider or CCR&R after having been dropped from the waitlist and expresses interest in the childcare subsidy, the parent will be placed at the bottom of the waitlist.

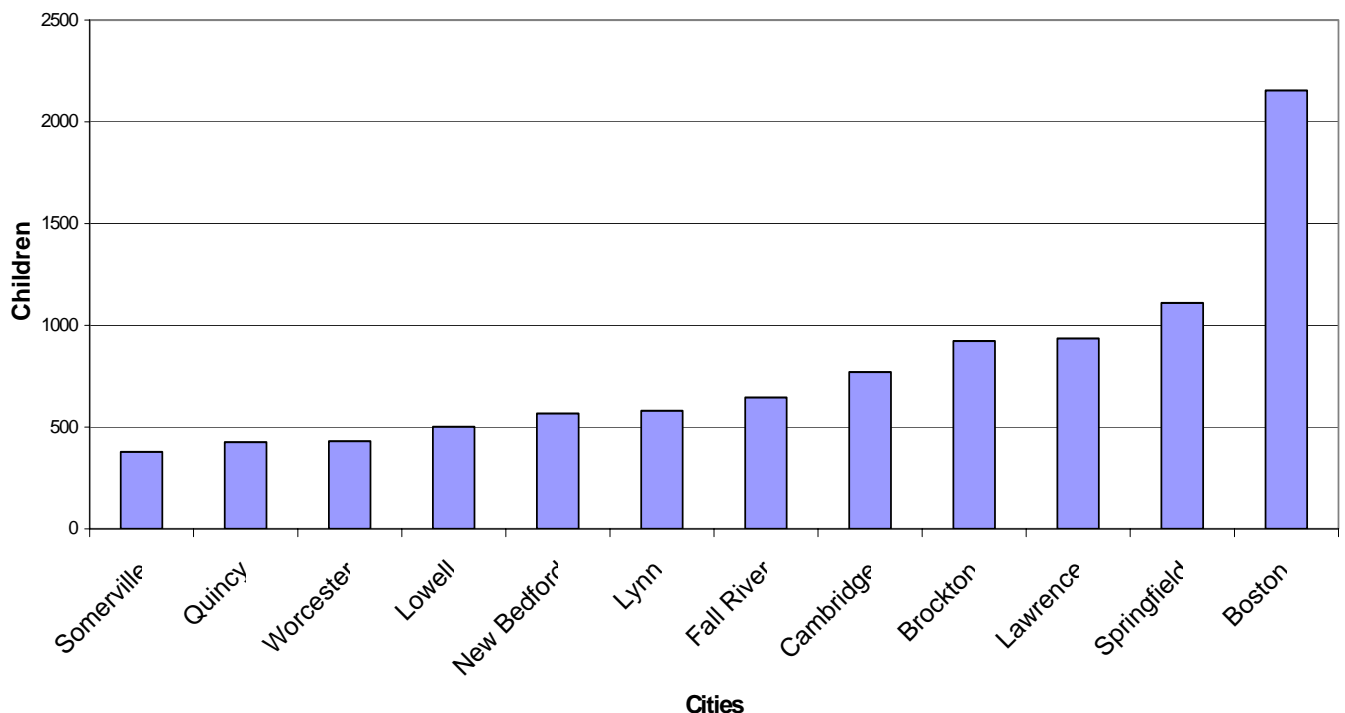
Contracted programs must update and report waitlist data to OCCS quarterly in a format prescribed by the Office so that the Office can maintain a statewide, unduplicated waiting list..

Note: OCCS reserves the right to sanction a contracted provider who fails to submit the required waitlist information by the required date, in accordance with the Commonwealth's Terms and Conditions For Human and Social Services.

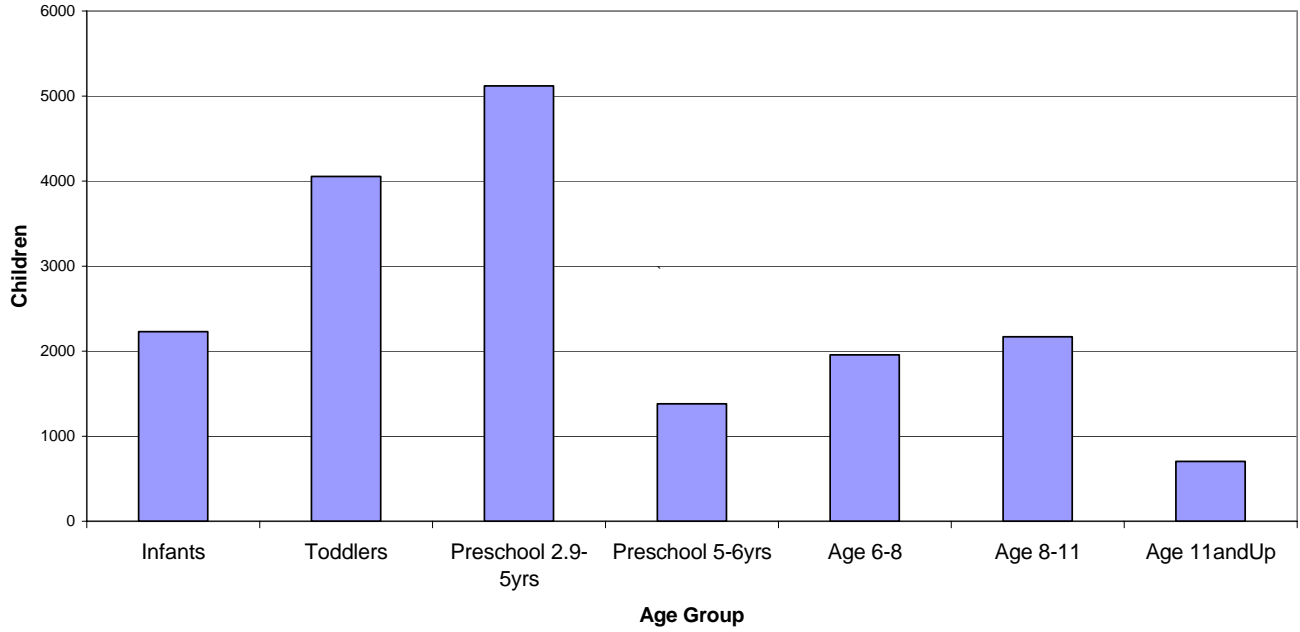
During our audit, we found that OCCS has met its legislative mandate relative to the submission of childcare waitlists to EOAF and the House and Senate Committees on Ways and Means. Specifically, we found that OCCS uses information it collects from CCR&Rs and contracted providers to prepare detailed quarterly reports that specify the number of unduplicated children waiting for subsidize childcare and other childcare statistics vital to program planning and budgeting. OCCS uses the waitlist information it obtains from CCR&Rs and contracted providers to determine program funding levels and identify the geographic areas of greatest need for childcare services.

For the period ended December 31, 2001, OCCS reported that 17,610 individual children were waiting for childcare throughout the Commonwealth. The largest concentrations of these children lived in Boston (2,154), Springfield (1,110), and Lawrence (935), and preschool children aged two years and nine months to five years represented the largest group of children (5,119) in need of services. Of the 386 cities, towns and neighborhoods for which OCC reported waitlist information to the Legislature, (307) or 80%, have 25 or fewer children waiting for subsidized childcare. The graphs that follow detail some of the information OCCS reported relative to childcare for the quarter ended December 31, 2001.

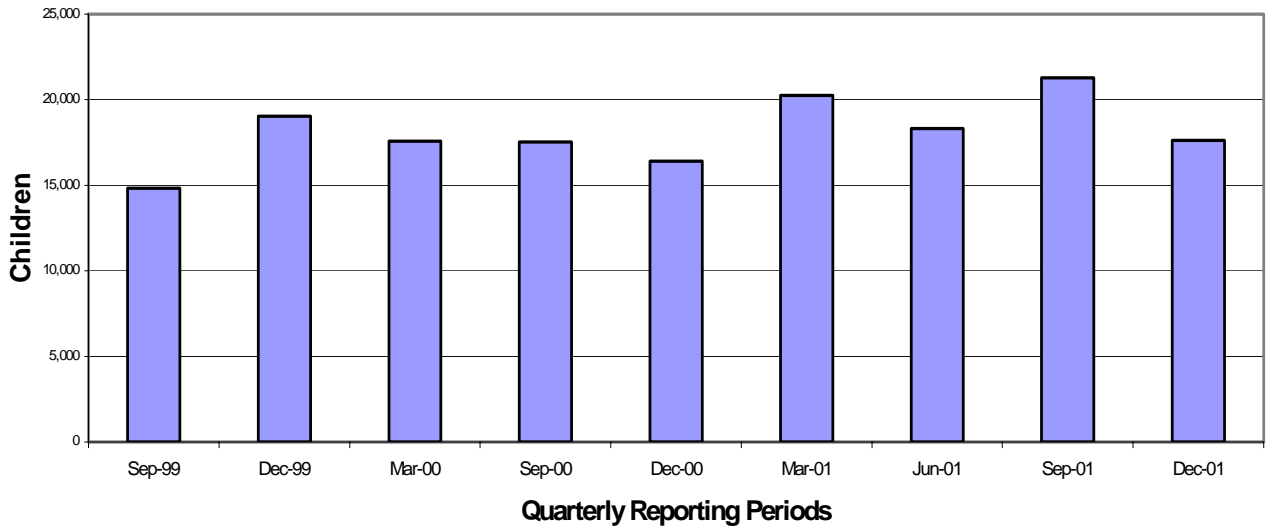
Cities > 300 Waitlisted Children



Waitlisted Children by Age Group 12/31/01



Children Waiting for Childcare



Since November 1997, the waitlist data reported by OCCS to the Legislature depicts a significant unmet demand for subsidized childcare within the Commonwealth. In this regard, we agree that many families have been unable to quickly access services for their children, and in some cases children have aged out of programs before being placed within subsidized care. However, our review identified that the number of waitlisted children reported by OCCS may be overstated due to reporting deficiencies at local service providers and weaknesses within OCCS's internal control structure. We found that although OCCS has met its mandated responsibility of providing waitlist information to EOAF and the state Legislature, it needs to improve its internal controls over waitlists to ensure that the Legislature receives an accurate assessment of the unmet demand for childcare in the Commonwealth. Specifically, although OCCS policies require CCR&Rs and contracted providers to maintain and periodically update waitlist information, we found that OCCS policies do not provide detailed instructions to ensure that all service providers update waitlists in a uniform manner and maintain supporting documentation of waitlist activities. Also, these policies do not define what families should be on waitlists. As a result, we found the following problems relative to waitlist information.

a. Inconsistent Management of Waitlist Information

Contrary to OCCS's policies, many center-based providers and CCR&Rs do not update their waitlist on a quarterly basis. Instead, they contact families at various intervals, including semiannually, annually, and biennially. Such delays cause waitlists to contain outdated information, which artificially inflates the Commonwealth's unmet demand for childcare.

In addition, some service providers do not routinely update their waitlist, but prefer to manage it on a rolling family basis (i.e., open slots are offered to families at the top of the list and new families are placed at the bottom). By managing waitlists in this manner, service providers tend to maintain families on waitlists much longer than necessary. This is often the case as families find formal childcare on their own or decide to place their children with relatives, neighbors, or friends.

Table I below details the seven childcare providers and eight CCR&Rs visited that did not update their waitlist reports on a quarterly basis.

TABLE I
Summary of Waitlist Activity
Selected Audited Providers

Agency	Location	Agency Type	Frequency of Waitlist Update
Child Care Resources	Fitchburg	CCR&R	Semi-Annual
Child Care Circuit	Lawrence	CCR&R	Semi-Annual
Community Action, Inc.	Haverhill	Provider	Semi-Annual
Franklin Athol Child Care Services	Greenfield	CCR&R	Semi-Annual
New England Farm Worker's Council	Springfield	CCR&R	Semi-Annual
Resources For Child Care	Pittsfield	CCR&R	Semi-Annual
Child Care Works	New Bedford	CCR&R	Annual
Community Day Care Center of Lawrence	Lawrence	Provider	Biennial
Child Care Focus	Northampton	CCR&C	Non-Routine
Community Care for Kids	Quincy	CCR&R	Non-Routine
Early Childhood Center of Springfield	Springfield	Provider	Non-Routine
Holyoke, Chicopee, Springfield Head Start	Springfield	Provider	Non-Routine
Rainbow Child Development Center	Worcester	Provider	Non-Routine
South Middlesex Opportunity Council	Framingham	Provider	Non-Routine
Worcester Comprehensive Child Care Services	Worcester	Provider	Non-Routine

Due to the inconsistencies in the manner in which CCR&Rs and contracted providers collect and maintain waitlist information, as part of our audit we attempted to assess the quality of information being maintained on waitlists. In order to do this we selected a sample of 171 waitlisted families to verify the accuracy of information being reported to OCCS. The families, which we attempted to contact by telephone, appeared on lists that were maintained by six of the CCR&Rs that we visited. Our sample identified that 35 families (20.5%) were still searching for childcare. However, 48 families (28%) were no longer in need of services. Specifically, two families had moved to another state; five

families relied upon relatives for childcare; 11 families had children enrolled in elementary or secondary school; and 30 families had already enrolled their children in formal childcare programs. The remaining 88 families (51.5%) could not be contacted because the information maintained by the CCR&Rs was not current. Specifically, several families had moved, but the CCR&R's waitlist did not have the family's current address or telephone number. Also, we found that many telephone numbers were incorrect and that telephone service was temporarily out of order or disconnected for some families. Table II below provides a full description of our sample results.

TABLE II
Summary of Waitlist Information Analysis

CCR&R	Listed Total Families	Sampled	Need Childcare	Found Childcare	Not Reached
Child Care Focus	110	17	8	5	4
Child Care Search*	179	18	5	8	5
Child Care Works	714	34	4	8	22
Franklin Athol Child Care Services	225	28	3	7	18
New England Farm Workers Council	1,497	53	8	15	30
Resources For Childcare	<u>295</u>	<u>21</u>	<u>7</u>	<u>5</u>	<u>9</u>
Total	<u>3,020</u>	<u>171</u>	<u>35</u>	<u>48</u>	<u>88</u>

*Although Child Care Search updates its waitlist on a quarterly basis, its data was also found to be outdated.

As can be seen from the table above, our testing in this area identified that approximately 80% of the families in our sample had either already found childcare or could not be reached due to erroneous waitlist information. The majority of service providers that we visited concurred with our sample results and acknowledged that waitlists do not contain accurate and complete information. For the most part, program officials stated that waitlists were flawed for one or more of the following reasons: (1) families do not respond to waitlist inquiries from service providers; (2) families do not keep service providers apprised of changes to their telephone number, address, or service need; (3) OCCS waitlist policies do

not provide sufficient detail instruction to ensure that service providers collect timely and accurate information; and (4) waitlists are too extensive and require too much time to update quarterly. Provided below are two examples of specific waitlist deficiencies that we identified during the audit.

- During December 2001, New England Farm Workers Council shared its waitlist with the Holyoke/Chicopee/Springfield Head Start (HCSHS) program. The local CCR&R's waitlist contained the names of 209 families residing in HCSHS's catchment area. Prior to adding the new names to its waitlist, HCSHS tried to contact each family and found that 30 families had moved and left no forwarding address, eight families did not respond to HCSHS' inquiry, four families no longer had telephone service, two families had found childcare for their children, and two families no longer qualified for services because of age constraints.
- Mass Job Training, Inc., requested a current waitlist from Child Care Resources in an effort to fill vacancies within its program. After reviewing the local CCR&R's waitlist, Mass Job Training tried to telephone potential clients about its available services. However, the families in question had moved or their telephone number was not correct.

Some childcare providers expressed concern that the state might use waitlists as a basis for funding childcare in the future. These providers emphasized that they believed waitlists are simply a management tool with a very limited purpose (i.e., to help service providers fill vacant slots). They added that local demographics, which are readily available and already used for distributing state funding for primary and secondary education, would provide an accurate and reliable data base for distributing childcare funds. These concerns were heightened by the fiscal year 2003 House 1A Budget Recommendations, which revealed that OCCS's waitlist was being considered as a basis for funding the Department of Education (DOE), Community Partnerships For Children Program. Specifically the Governor's recommendation states:

Grant awards to community partnership councils shall be in direct proportion to the number of children on the waiting list maintained by the office of childcare services in that community....

Although the Governor's recommendation was removed from the final fiscal year 2003 budget, the problems surrounding waitlist management must be understood and shared with

all interested parties to ensure that future childcare funding is based upon reliable and accurate information.

Presently, OCCS's income eligible childcare policies provide three basic instructions to service providers for developing, maintaining, and reporting waitlists. First, OCCS requires providers to develop a waitlist that includes a specific set of data elements (e.g., family name, address, and telephone number; child's date of birth; family's source of income; and family's service needs). Second, OCCS has instructed service providers to contact parents quarterly to reassess their service needs. Parents who do not respond must be dropped from providers' waitlists. Moreover, parents who have been removed from a waitlist and subsequently express interest in a childcare subsidy must be placed at the bottom of the provider's waitlist. Lastly, service providers must report their updated waitlist to OCCS quarterly utilizing a format and status codes prescribed by OCCS.

Although OCCS's existing policies have helped service providers manage their waitlist responsibilities, several service providers indicated that it would be helpful for OCCS to further develop its waitlist instructions. For example, the Early Childhood Center of Springfield had 247 waitlisted children as of October 1, 2001. However, the Executive Director indicated that his agency has never attempted to formally update its waitlist because OCCS had not provided specific instructions for the task.

In this regard, we found that OCCS has not developed a series of steps for service providers to follow for updating waitlists. For example, as a first step, OCCS could recommend that service providers initiate family contact with a specified number of telephone calls. Families not reached in this manner could be pursued via routine mail service or, if necessary, certified mail. Such steps would help to eliminate any guesswork from the update process and encourage providers to utilize common timetables, techniques, and processes.

In addition, OCCS policies do not require service providers to maintain supporting documentation for their waitlist efforts. Consequently, most service providers we visited did not keep a telephone log, maintain copies of letters sent to families, or document home visits

they made. Without such documentation, OCCS cannot ensure that service providers have utilized due diligence to update waitlists on a quarterly basis.

Lastly, OCCS policies do not define what families should be included on waitlists. Specifically, OCCS policies do not presently differentiate families with a current need from those families with a potential, anticipated, or preferred service need. Consequently, service providers have waitlisted families with various issues facing them. For example, Montachusets Opportunity Council Inc., allows families that have already received subsidized childcare to remain on its waitlist if the family wants to place their children with a different service provider. Likewise, Early Childhood Center of Springfield has waitlisted a family that is expecting the birth of a child, as well as other parents who are considering future employment versus actually seeking employment. By not fully defining the appropriate characteristics and composition of waitlists, OCCS cannot ensure equitable treatment for families across the Commonwealth. Moreover, allowing contracted providers to place families on waitlists who are already receiving services or who do not have an immediate need for childcare services, distorts the perceived demand for these services.

b. OCCS Does Not Routinely Verify the Accuracy of Waitlist Information

Our review also identified that OCCS has not established internal controls to verify the accuracy of quarterly waitlist reports or to adequately monitor waitlist activities performed by service providers.

Presently, OCCS merges all service provider submissions into one waitlist database and runs various software routines against the database to ensure that only one record exists for any given child. Thus, a family who has applied to several providers will have several database entries before the filtering process, but only one after. In addition, OCCS compares the database with its current billing information in order to eliminate any children who may already be receiving services. In total, OCCS typically identifies approximately 1,300 to 1,400 duplicate entries through these routines each quarter.

Although these routines help to cleanse the database, OCCS officials acknowledged that formal procedures have not been established to verify the accuracy of waitlist data reported by service providers. Instead, OCCS summarily accepts in “good faith” the information being supplied. In this regard, family need, as well as the information essential to reaching families (e.g., telephone number, home address), is not validated through any type of random sample testing. Consequently, any third party utilizing an OCCS unduplicated waitlist report will likely find it to be an ineffective tool for reaching families in need of childcare.

Lastly, OCCS performs on-site visits at service provider locations in an effort to monitor the overall effectiveness of their operations. These efforts, which began in May 2000, provide OCCS with an excellent opportunity to review, assess, and instruct service providers on waitlist management. However, our audit identified that many service providers have yet to be visited, and reviewing waitlists procedures is an optional step for OCCS staff.

Since May 2000, OCCS staff monitors have not visited 11 (44%) of the 25 service providers that we audited. As Table III below details, three of these locations are scheduled for visits this fall, but OCCS has yet to schedule visits at the remaining eight locations due to staffing constraints.

TABLE III

Summary of OCCS Site Visits at Our Sample of Contracted Providers

Contracted Service Provider	On-Site Visits
Resources for Child Care	Scheduled /Fall 2003
New England Farm Workers Council	Scheduled/ Fall 2003
Child Care Focus	Scheduled/ Fall 2003
Child Care Resources (Fitchburg)	Not Scheduled
Franklin Athol Child Care Services	Not Scheduled
Mass. Job Training	Not Scheduled
Rainbow Child Development Center	Not Scheduled
Metro West YMCA	Not Scheduled
South Middlesex Opportunity Council	Not Scheduled
Montachusetts Opportunity Council	Not Scheduled
Worcester Comprehensive Child Care Services	Not Scheduled

As previously discussed, under OCCS policies service providers must update and report waitlists on a quarterly basis. In this regard, the Commonwealth's 15 CCR&Rs have consistently submitted their quarterly reports to OCCS on a timely basis. However, many contracted childcare providers have disregarded this requirement. For example, OCCS should have received 222 submissions from contracted providers for the period ended December 31, 2001. However, we found that 51 childcare centers (23%) did not respond. Table IV below details the responses that OCCS received for the reporting period September 30, 1999 through December 31, 2001.

TABLE IV
Summary of Waitlist Reports Submitted
September 30, 1999 through December 31, 2001

Report Date	Childcare Centers	Did Not Submit	Percent	Complied	Percent
09/30/99	241	15	6%	226	94%
12/31/99	230	56	24%	174	76%
03/31/00	237	56	24%	171	76%
09/30/00	237	55	23%	182	77%
12/31/00	240	83	35%	157	65%
03/31/01	231	62	27%	169	73%
06/30/01	230	86	37%	144	63%
09/30/01	230	53	23%	197	77%
12/31/01	222	51	23%	171	77%
Average	<u>233</u>	<u>57</u>	<u>25%</u>	<u>176</u>	<u>75%</u>

As can be seen from the preceding table, during our audit period, on average 25% of OCCS's contracted providers did not submit the required waitlist information. To compound the problem, many childcare centers have failed to provide OCCS with waitlists for multiple periods, as well as multiple sequential reporting periods. For example, OCCS did not receive a single submittal from Paige Company, Inc., from September 30, 1999 through December 31, 2001. Similarly, during the same period, Harbor Health Services did not submit a waitlist for eight of the nine reporting periods. In total, OCCS did not receive

517 submittals for the period. (Appendix IV of this report provides a complete listing of childcare centers that did not comply with OCCS reporting policies from September 30, 1999 through December 31, 2001.)

Under OCCS's waitlist policies and in accordance with the Commonwealth's Terms and Conditions for Human and Social Services, OCCS reserves the right to sanction a contract provider who fails to submit the required waitlist information by the required date. However, to date OCCS has not imposed any such sanctions against repeat offenders. Rather, OCCS contacts offenders by telephone and reminds them to submit future waitlists reports in a timely manner.

Regarding these matters, OCCS officials acknowledged that many service providers are not maintaining current information, which directly impacts the quality of data that OCCS reports to the Legislature. The officials stated that they were aware that improvements were needed to ensure that OCCS's funding requests to the Legislature are based upon reliable information and that OCCS's allocation of childcare funds and childcare slots is equally founded. To this end, in September 2002, OCCS began implementing a new policy, P-OCCS-Subsidy 00-13, relative to waitlisting applicants for childcare services. This policy attempts to standardize intake/waitlist procedures for families seeking childcare services through CCR&Rs. This policy also establishes standardized forms (e.g., a waitlist termination letter) to be issued by CCR&Rs during the intake and waitlist update process. In addition, OCCS plans to test pilot a proposed waitlist policy at selected contract childcare providers. Following the test phase, OCCS intends to issue a final version of the policy that will be applicable to all contract service providers. Finally, OCCS stated that it is in the process of instituting a formal sanction plan to address repeat noncompliance by contracted service providers. Specifically, OCCS will have the option of withholding contract payments from service providers until such time that the required information is submitted.

Recommendation

As noted above, during our audit, we discussed these matters with OCCS officials. As a result of these discussions, in September 2002, OCCS began implementing a new policy, No.

P-OCCS-Subsidy 00-13, relative to waitlisting applicants for childcare services. We believe the actions taken by OCCS in these matters were necessary and appropriate. However, in order to fully address our concerns relative to this matter, we believe that OCCS should take the following additional measures.

- OCCS should continue with its plans to test pilot a proposed waitlist policy at selected contract childcare providers and to subsequently implement a final version that would be applicable to all contract service providers.
- OCCS should require its staff to review a sample of waitlist records being maintained by CCR&Rs and contracted childcare providers during their site visits at these entities and assess their compliance with OCCS's waitlisting policy. Any instances of noncompliance should be identified and documented, and the organizations found to be in noncompliance should be required to submit to OCCS a corrective action plan with timelines describing how they plan to resolve these issues.

Auditee's Response

In response to this audit result, OCCS officials provided comments, which are excerpted below:

a. OCCS Agrees With The Auditor's Recommendation That OCCS Continue Its Plans to Test Its Newly Developed Wait List Policy:

OCCS has established a comprehensive policy for providers and CCR&Rs to update and report on wait lists to OCCS and has implemented and is continuing to develop a state-of-the-art automated child care management system to track this information. OCCS agrees with the Auditor that OCCS should continue to put systems and procedures in place to ensure that: (1) the wait list is updated in a uniform manner; (2) records of communications to families on the wait list and information received from providers are maintained; and (3) there are clear definitions of what families should be on the wait list.

b. OCCS Agrees That State Resources Should Be Deployed to Improve an Updated Wait List System. . . :

OCCS agrees and has implemented the Auditor's suggestion to put into place a sanctions procedure for providers and CCR&Rs who do not meet their contractual obligation of reporting wait list information on a quarterly basis.

Auditor's Reply

Based on its response, OCCS is taking measures to address our concerns relative to waitlist information. However, we again urge that OCCS consider implementing all of our recommendations relative to improving waitlist information.

2. IMPROVED COLLABORATION IS REQUIRED WITHIN THE STATE'S CHILDCARE SYSTEM TO ENSURE A MORE EFFECTIVE UTILIZATION OF FUNDING FOR CHILDCARE SERVICES

Our audit identified that the state's childcare system, which involves state agencies, CCR&Rs, contracted childcare providers and CPCs, is not working in a collaborative manner to ensure an efficient and effective childcare delivery system within the Commonwealth. For example, we found that a \$10 million² collaboration project between OCCS and DOE had minimal impact upon the unmet demand for childcare. The effort, which was mandated by the Legislature during fiscal year 2000, did not succeed because (1) waitlist information shared with service providers was flawed; (2) many providers chose not to participate in the endeavor; (3) some providers did not share the results of their work; and (4) some results were misinterpreted or lost. Also, CCR&Rs and childcare providers reported to us that daily collaboration is lacking or ineffectual at the local level, which has hindered providers from fully utilizing their contracts and, more importantly, has prevented families from obtaining needed childcare services.

Throughout the state's childcare system, statutory and contracted requirements have been established to ensure that time and effort is allocated to creating linkages and fostering strong collaboration between childcare programs. The overall intent is to create a childcare delivery system that offers all eligible families equal access to quality childcare at an affordable price. Moreover, by collaborating effectively, service providers create a service environment receptive to sharing ideas, resources, and training opportunities. In addition, collaboration facilitates the sharing of waitlists, which enables childcare providers to expand their database of potential clients. Successful contact with such families affords service providers an immediate financial benefit by minimizing vacant slots and maximizing contract

² Although \$10 million was appropriated for this project, DOE officials stated that that this amount was subsequently reduced to approximately \$7 million.

revenues. For families, a childcare system that fosters collaboration translates into shorter waitlist periods and improved childcare for their children. Provided below are Massachusetts General Laws, OCCS guidelines and contract provisions, and DOE program guidelines that mandate collaboration within the Commonwealth's childcare system.

- General Appropriating Acts for Fiscal Year 2000: Provided further, that notwithstanding the provisions set forth herein or any general or special law to the contrary, \$10,000,000 shall be allocated for services which shall be provided to three and four year old children on the waitlist maintained by the office of childcare services; provided further, that the department of education shall ensure that the community partnership lead agencies collaborate with the department of education and the office for childcare services to provide services for said children; provided further, that said children shall retain priority status for future services available through said office upon attaining the age of five....
- General Appropriating Acts for Fiscal Year 2001: Provided further, that notwithstanding the provisions set forth herein or any general or special law to the contrary, funds may be allocated for services which shall be provided to three and four year old children formerly on the waitlist maintained by the office of childcare services; provided further, that the department of education shall ensure that the community partnership lead agencies collaborate with the department of education and the office for childcare services to provide services for said children; provided further, that said children shall retain priority status for future services available through said office upon attaining the age of five....
- OCCS Contract Requirement: Income eligible childcare contractors will be required to affiliate and collaborate with the appropriate CCR&R agency serving their area and as well as other local community networks including community partnership councils in order to ensure that linkages and resources for childcare are being maximized.
- OCCS Contract Requirement: Building on existing local networks through Community Partnership Councils (CPC), regional CCR&R providers will establish local linkages and identify opportunities for shared planning and collaborations in the areas of needs assessment, training, transportation, capacity development, off-hours care and other childcare needs. CCR&R providers will play an integral role on Community Partnership Councils where such Councils are already established. Where there are no Councils, the CCR&R will work with local communities to plan and collaborate on childcare issues. Child Care Provider Networks will be established in areas of the state in order to formalize the connections between childcare providers, CCR&R providers, state providers, state and federally funded childcare and related programs in order to increase collaborations to make the childcare system better for children and families.

- Community Partnerships for Children Guidelines: CCR&Rs have been required members of Councils since the inception of the Community Partnerships for Children program, which began as the Chapter 188 Program in 1986. CCR&Rs have a broad knowledge of state, regional, and local childcare needs, gaps in services, trends in childcare, professional development opportunities, childcare data and developmentally appropriate practice information. CCR&Rs can use their extensive knowledge of other local and state CPC efforts to assist each Council to meet its grant objectives.

Despite the need and requirements for effective collaboration, we found the following problems relative to the childcare services collaboration between state and private organizations.

a. Fiscal Year 2000 Collaboration Project between OCCS and DOE Did Not Achieve Its Intended Results of Benefiting More Families in Need of Childcare Services

On December 9, 1999 the first childcare collaboration project between OCCS and DOE was initiated in response to the General Appropriating Acts for fiscal year 2000. Under the legislative mandate, the two agencies were required to collaborate to provide services to three- and four-year old children on OCCS's waitlist and ensure that these children retain priority status for future services available through OCCS upon attaining the age of five. In addition, DOE was required to ensure that community partnerships' lead agencies collaborated with DOE and OCCS to provide the necessary services.

In order to fulfill the mandate, OCCS and DOE met on several occasions to plan the effort, share waitlist information, develop and distribute project materials, respond to lead agencies' questions, and tabulate project results. Overall, OCCS and DOE collaborated in earnest to bring lead agencies together with families in need of childcare services. Provided below is a timeline that details some of the steps taken by OCCS and DOE to complete the project.

Date	Agency	Activity
12/09/99	OCCS/DOE	Project planning with Division of Fiscal Affairs.
12/09/99	OCCS/DOE	OCCS Commissioner invites collaboration of DOE on project; DOE Commissioner agrees.
12/28/99	OCCS/DOE	OCCS and DOE identify steps and establish timeframes for completing the project.
01/10/00	DOE	DOE provides electronic list of lead agencies and contacts to OCCS.
01/21/00	OCCS/DOE	Joint letter announcing project sent from OCCS and DOE Commissioners to lead agencies.

02/01/00	OCCS	OCCS prepares packet of instructions, diskettes, and technical assistance information for CPC lead agencies.
02/00-04/00	OCCS	OCCS responds to lead agencies' request for help.
05/01/00	OCCS	OCCS staff tabulates project results.

In total, OCCS distributed information packets to 168 lead agencies, of which only 152 lead agencies had families in their services areas seeking childcare services. The packets were specific to each lead agency's service areas, and contained, among other things, a list of families whose children needed childcare. The lead agencies were required to contact each family and report back to OCCS on the children (a) placed from the list, (b) already receiving CPC services, (c) not served due to lack of program slots, (d) ineligible for services, and (d) whose families did not respond to the inquiry.

Although OCCS and DOE collaborated effectively during the project's planning phase, the results returned by the 152 CPC lead agencies were discouraging, since very few families benefited from the project's \$10 million appropriation. Our analysis of the project revealed that 5,627 children's names were shared with lead agencies and that OCCS received feedback on only 948 of these children (17%). Of the reported amount; 101 children (11%) were newly placed in childcare, 274 children (29%) were already receiving CPC services, the families of 553 children (58%) could not be reached, and the remaining 20 children (2%) were either ineligible for services or did not receive services because a vacant slot was not available.

In addition, the majority of lead agencies did not fully embrace the undertaking. Specifically, of the 152 lead agencies involved, 101 agencies (66.45%) did not forward their project results to OCCS. Moreover, of the 51 agencies (33.55%) that did respond, only 24 (47%) actually placed children in their programs. (Appendix V of this report provides complete project results based upon information maintained by OCCS.)

During the audit, we identified several factors that contributed to the poor project results. First, many lead agencies that we visited stated that the packets that they received contained outdated, inaccurate, and missing family information. Consequently, these lead agencies had difficulty reaching families and identifying families with actual service needs. For example,

the Brockton Public School System (BPS) received the names of 148 waitlisted families. However, 73 families did not respond to BPS's telephone inquiries, 52 families could not be reached because a family telephone number or address was not provided, 14 families had found formal childcare for their children, and nine families were still seeking childcare.

Second, several lead agencies stated that they had submitted their project results to OCCS, but believed that OCCS had either lost or misplaced the information. For example, Holyoke/Chicopee/Springfield Head Start (HHS) stated that as part of the collaborative effort it attempted to contact 42 waitlisted families within its service area. Of these families, HHS found that 13 were already receiving services and 29 could not be contacted because the telephone number and home address provided for these families was not correct. HHS officials stated that although it forwarded these results to OCCS on April 14, 2000, OCCS had not given HHS appropriate credit for the work that it performed.

Similarly, DOE officials reported to us that several lead agencies had not received credit for submitting their project results to OCCS despite having evidence to the contrary. For example, the Falmouth Public School System (FPS) indicated that it used "return receipt requested" mail service to deliver its project information to OCCS and kept a copy of the delivery receipt from the United States Postal Service. However, FPS did not receive credit for participating in the collaborative effort. Because OCCS did not maintain the diskettes that contained each lead agency's project results, we could not substantiate whether information was lost or misplaced by OCCS.

In addition, other lead agencies involved in the collaborative effort never submitted their completed results to OCCS as required. For example, the Springfield Public School System (SPS) served 40 children off of OCCS's fiscal year 2000 waitlist, but SPS officials never informed OCCS about the matter. Similarly, DOE officials provided us with documents indicating that lead agencies served 1,075 children off of OCCS's waitlist during the period, in contrast to the 375 children reported by OCCS. The variance, which is detailed in Appendix VI of this report, highlights the need for improved collaboration within the state's childcare industry.

Finally, for fiscal year 2000, the Legislature specified within the General Appropriating Acts that DOE shall spend \$10 million of the approximately \$93.3 million appropriated for the CPC program to serve three- and four-year old children on OCCS's waitlist. DOE, however, did not allocate the \$10 million to local CPC programs in a manner that provided for fiscal accountability at the local level or within DOE. Specifically, DOE included these funds within its general pool of CPC grant funds and allocated them without distinguishing the clients being served. Consequently, the extent to which the children on OCCS's waitlist benefited from the special funding and any other purposes for which the local CPCs utilized the funds could not be determined.

b. Fiscal Year 2001 Collaborative Project between OCCS and DOE Did Not Achieve Its Intended Results of Benefiting More Families in Need of Childcare Services

For fiscal year 2001, OCCS and DOE were once again required by the Legislature to collaborate on the delivery of childcare services within the Commonwealth. In this regard, the General Appropriating Acts specify that (a) CPC funds may be allocated for services that shall be provided to three- and four-year old children on the waitlist maintained by OCCS, (b) DOE shall ensure that community partnership lead agencies collaborate with DOE and OCCS to provide services for these children, and (c) these children shall retain priority status for future services available through OCCS upon attaining the age of five. Unlike in fiscal year 2000, the Legislature did not earmark a specific amount of money for the collaborative effort.

OCCS and DOE collaborated on the project from December 2000 through the spring of 2001. During that period, OCCS and DOE representatives worked in earnest to evaluate the prior year's project results, establish a plan and timeframe for completing the current year's project, exchange program information, develop an information packet for each CPC lead agency, answer questions, and provide project training.

The information packets mailed to the lead agencies included a cover letter detailing the project and instruction materials. Based upon these instructions, the lead agencies had three primary tasks to perform: (1) contact their local CCR&R during the third week of March

2001 to obtain a customized (i.e. age-appropriate and catchment-area specific) list of families waiting for services, (2) identify from the list those children who were already placed in CPC programs and enroll children into CPC programs to the extent that vacancies allowed, and (3) detail children who were aging out of the CPC program and becoming eligible for priority status in OCCS's school aged childcare program. Upon completion of this work, lead agencies were instructed to report project results to their local CCR&R and OCCS.

As detailed in Appendix VII of this report, the majority of lead agencies did not respond positively to the fiscal year 2001 collaborative effort. Specifically, although OCCS mailed out 168 information packets, only 20 lead agencies (12%) performed all the requested tasks and reported their project results to the local CCR&R and OCCS. In contrast, 43 lead agencies (26%) did not respond to the collaborative effort in any fashion. Similarly, 37 lead agencies (22%) contacted their local CCR&R for their customized waitlist, but did not report their project results, while 55 lead agencies (33%) performed some combination of the tasks requested by OCCS and DOE. OCCS did not have information on file for the remaining 13 lead agencies (8%).

In addition to the poor participation by lead agencies, the overall project results indicate that only a limited number of families received an immediate benefit from the collaborative effort. Statistics maintained by OCCS indicated that lead agencies placed only 42 children into CPC programs.

Following the initial fiscal year 2000 collaborative effort, OCCS and DOE made substantive changes to the project hoping to elicit greater CPC participation during fiscal year 2001. However, OCCS's Assistant Commissioner for Information Technology acknowledged that CPC information came in very slowly or not at all and that the results were again disappointing. The Assistant Commissioner noted that OCCS invited DOE to participate in a third collaborative project, but because of limited resources, DOE wished to delay indefinitely a continuation of the effort.

Finally, OCCS's Deputy Commissioner believed that the CPCs response to the collaborative effort was adversely affected by two factors. First, CPCs received their information packets

directly from OCCS and were instructed to return their project results directly to OCCS, as well. However, since DOE is the funding agency for the CPC program, the Deputy Commissioner believed that the response rate of CPCs would have been significantly higher had the flow of information gone through DOE. Second, at training sessions that OCCS and DOE conducted for the collaborative effort, CPCs were informed that CPC funds “may” be utilized to serve children on OCCS’s statewide waitlist. Consequently, the Deputy Commissioner believed that many CPCs approached the project from a voluntary perspective rather than as a required program initiative.

c. Local Service Providers Need to Improve Collaboration on a Daily Basis

Although OCCS and DOE require local service providers to allocate time and effort to create linkages and foster strong collaboration among childcare programs, our audit identified that effective ongoing collaboration does not exist in many local areas. At several OCCS contract providers, CCR&Rs and CPC lead agencies visited, we found that program information is not being exchanged on a daily, weekly, or monthly basis. This lack of collaboration delays service providers from reaching families in need of childcare, contributes to contract underutilization, and tends to foster a “go it alone” mentality. For example, during fiscal years 2000 and 2001, the Pittsfield YMCA underutilized its service contracts by \$57,698 and \$63,000, respectively. The underutilization resulted primarily from the Pittsfield YMCA’s inability to fill childcare slots within its center-based school age program. Despite its program difficulties, the Pittsfield YMCA never requested assistance from its local CCR&R, Resources For Child Care, and at one point rejected the CCR&R’s offer of help. Because of these problems, OCCS reduced the Pittsfield YMCA’s fiscal year 2001 contact award from 18 to nine center-based school age slots.

Several contract providers that we visited indicated that they tried to collaborate with their local CCR&R but found that the information provided was seriously flawed. This issue, which is described in detail in Audit Result No. 1, tends to discourage service providers from requesting assistance or relying upon CCR&Rs for future program support. For example, Franklin Community Action Corporation (FCAC) received an eight-page waitlist from its local CCR&R, Franklin Athol Child Care Services. From the entire list, FCAC identified

only one family that was eligible for childcare services. The remaining families were ineligible because the children were already placed at FCAC and other service provider locations, the families did not have an immediate need for childcare, or the families had moved out of FCAC's local service area.

During our audit we also identified the following factors that prevented contracted service providers, CCR&Rs, and CPC lead agencies from collaborating effectively on the delivery of childcare services.

- CCR&Rs did not share their waitlists with contracted service providers and CPC lead agencies on a routine basis. For example, Child Care Focus never forwarded its waitlist to childcare providers; and New England Farm Workers Council shared its waitlist for the first time during January 2002.
- CCR&Rs and contracted service providers were reluctant to share waitlist information due to confidentiality issues. For example, the Metro West YMCA does not share or request waitlists because it believes that information provided by families is strictly confidential. Similarly, Child Care Network of Cape Cod and the Islands claimed that, because of parent confidentiality issues, it would not release family names to CPC programs in its service area.
- Contracted service providers and CPC lead agencies did not report back to CCR&Rs the names of children placed from the CCR&Rs' waitlist. This was reported at all nine CCR&Rs we visited and confirmed at several childcare providers we visited.
- CCR&Rs did not routinely attend CPC council meetings. For example, during fiscal year 2001, New England Farm Workers Council never attended a council meeting at the Springfield Public Schools CPC or the Holyoke/Chicopee/Springfield Head Start CPC.

It should be noted that some contracted service providers were extremely satisfied with the working relationship that they maintained with their local CCR&R. For example, South Middlesex Opportunity Council indicated that it communicates almost daily with Child Care Search on various childcare matters, including program vacancies.

Recommendation

During our audit, we discussed these matters with OCCS officials. As previously noted, as a result of these discussions on September 2002, OCCS implemented a new policy, No. P-

OCCS-Subsidy 00-13, relative to waitlisting applicants for childcare services. This policy requires CCR&Rs to electronically distribute their waitlists to contracted providers on a quarterly basis. Providers are required to compare their waitlist information to that of the CCR&R and notify the CCR&R of any duplication of individuals on their waitlist and that of the CCR&R. We believe that the recommendations made in Audit Result No. 1 of this report relative to improving the quality of waitlist information will facilitate a better collaborative childcare system. Also, given DOE's involvement in the childcare system, we believe that DOE should take measures similar to OCCS to ensure the quality, accuracy, and timeliness of its waitlist information and improve the sharing of information between CCR&Rs and CPCs. We also believe that OCCS's plan to implement a waitlist policy specific to contract providers, as detailed in Audit Result No. 1, should help improve collaboration at the local level, thus ensuring the most effective and efficient delivery of program services.

Moreover, in the future, when joint childcare efforts are undertaken at the state level, in addition to establishing protocols and sharing applicable information, OCCS and DOE should consider establishing joint committees to oversee the implementation of future collaborative projects. State agencies should establish sanctions for CCR&Rs, CPCs, and contracted providers who do not participate. OCCS and DOE should include such sanctions within their annual appropriation requests to the Legislature in a further effort to ensure that CCR&Rs, CPCs, and contract providers participate fully in future collaborative efforts.

Finally, DOE and OCCS should take measures to ensure that applicant information can be shared amongst state agencies involved in the provision of childcare services. Such measures could include having parents authorize during the intake process the sharing of this information.

Auditee's Response

In response to this audit result, OCCS officials provided comments, which are excerpted below:

With regard to the auditor's recommendation on "improved collaboration," OCCS thanks the Auditor for recognizing that OCCS and DOE have worked together "in earnest" and agrees that OCCS can take additional steps to accomplish more. . . .

OCCS agrees with the Auditor's recommendation that OCCS and the Department of Education (DOE) need to continue to improve their collaboration to best utilize the resources available for children and families in the Commonwealth. OCCS is grateful to the auditors for noting that "OCCS and DOE collaborated in earnest". . . .[and] the significant efforts OCCS has made with regard to improving collaboration with its sister agency, including its development of the first and most sophisticated information and technology system dedicated to improving the efficiency of child care service delivery. . . . which will serve to continue to ensure and improve accuracy of wait list data. Significantly, OCCS has offered to pilot with CPCs the technology system OCCS has developed to further assist DOE in carrying out its legislative mandate.

With regard to the CCR&R's and OCCS's contracted providers, OCCS understands the Audit Report's focus on putting in place additional sanctions for these agencies and providers. . . . Currently, OCCS does administer sanctions, including imposing reductions in contract funding upon providers. Consequently, appropriation is not needed by OCCS to act on this recommendation. . . .

OCCS Acknowledges The Hard Work of Child Care Providers, CCR&Rs, and DOE and its CPC Program Participants.

OCCS is dedicated to supporting these agencies and programs. OCCS also believes that its role in supporting the CCR&Rs and its contracted providers includes taking responsibility for any improvements that need to be made with regard to the relationship between OCCS and the CCR&Rs, and the CCR&Rs' efforts to work with DOE's Community Partnership agencies.

Auditor's Reply

Based on its response, OCCS recognizes the need for improved collaboration between agencies involved in the state childcare system and is taking measures to address this matter. However, we again urge OCCS to fully implement all of our recommendations relative to improving collaboration among entities involved in the state's childcare system.

Auditee's Response

In response to this audit result, DOE provided written comments. The full text of these comments are on file with Office of the State Auditor. The significant points made by DOE in its response are excerpted or paraphrased below:

1. *Contrary to what the draft report states, "families did benefit from both the FY [fiscal year] 00 legislative language and the FY 01 legislative language that directed the Department of Education to prioritize families on the OCCS waitlist."*

DOE then provided the following information in support of this position:

- a. *A significant number of children on OCCS's waitlist were served each year, 1,088 during fiscal year 2000 and 1,985 during fiscal year 2001.*
- b. *The Community Partnerships for Children programs served a significant number of low-income children who would have been on the OCCS wait list if they were not receiving services through the CPCs. In FY 2000 our records show that 61% of the children served through CPCs were from families whose income was below 50% of the state median income. Again in FY 2001, our records show that 51% of children served through CPCs are in families whose income is below 50% of the state median income....*
2. *The undertaking of the collaborative efforts was flawed. This was due to the fact that the majority of lead agencies did not fully embrace the undertaking because the wait list information they received from OCCS was inaccurate. As a result, CPCs enrolled families from their own wait list, many of whom would have been also eligible for OCCS wait list. Also, CPC programs believed that by serving income-eligible children and taking them off the wait list, they would jeopardize access to future services to their families when their children became eligible to enter kindergarten.*
3. *The Department allocated the funding it received for these collaborative projects in a manner that provided for fiscal accountability.*

While the Department did not create a separate funding stream to serve OCCS waitlist families, a very strong message was sent to CPC programs to prioritize children on the OCCS waitlist. The RFP [Request for Proposals] for expansion funds (issued in January 2000) for that year added these words under the "Priorities" heading: "Priorities for tuition assistance are: 1. Preschool-aged children on the Office for Child Care Services waiting list for income-eligible child care. Parents who are in training or education programs as well as those who are working are eligible for tuition assistance under this priority." In addition funding priority was given to applicants that were able to demonstrate a documented need and the capacity to serve additional children.

In addition, the required information section of the RFP included five questions on how the CPC planned to use the OCCS waitlist data. Several months later, the CPC continuation grant for FY 2001 (issued in May 2000) asked how many children were served from the waitlist and asked respondents to detail reasons why children were not served if that was the case.

The monthly data reports that the Department requires from CPC programs asks them to track children, categories for family income and spending each month.

Extensive fiscal accountability activities have been put in place along with strict data collection requirements. These requirements have dramatically improved both the state and local accountability. In addition, the Commonwealth uses the data to draw down federal Transitional Assistance to Needy Families (TANF) funding. These reports, and the back-up files, are subject to federal audit and allowed the Commonwealth to draw down approximately \$25 million in Maintenance of Effort funding in FY 00, \$42.6 million in TANF funds in FY 2001 and \$43.4 million in TANF and matching funds in FY 2002.

In May 2002 the Department piloted a site visit monitoring process for CPC programs, and this fiscal year we plan to conduct on-site review of about 20 programs across the state.

4. *The effectiveness of collaboration of Community Partnerships for Children programs at the local level has been noted in both state and federal studies.*

The Community Partnership for Children program has brought an unprecedented amount of collaboration to early childhood programs throughout the Commonwealth. "Unprecedented" is not an exaggeration – other states, the federal government and research organizations point to the Massachusetts CPC program as a model program because of its success in bringing a wide variety of early care and education programs together to create a system of early care and education in each community.

- a. *The Department can document the effectiveness of local collaboration with data from a FY 2002 evaluation using the Community Collaboration Inventory.*

The Community Collaboration Inventory is an instrument developed by DOE and used by CPC councils to assess the level of communication and collaboration among council members. Results indicate that providers are able to better serve families due to the relationships they have developed and the forum the council provides for collaboration.

Results from additional efforts by the Department to document effective collaboration, including site visits, review of meeting minutes and continuation reports to the Department demonstrate that CPC coordinators maintain high levels of collaboration within their communities for outreach, openings for care, waitlists and eligibility determination.

- b. *The Community Profiles project, which collects data from OCCS, DOE, Head Start and privately funded programs, collects information on the extent to which local programs collaborate with each other.*
- c. *Collaboration between the CPC programs and the CCR&R agencies would be strengthened if CCR&R agencies had adequate resources to provide quality representation and assistance to local CPC Councils.*

Early Learning Services within the Department of Education has been a strong supporter of the CCR&Rs in implementing a CPC program and has required all CPCs to include a representative from the CCR&R on their governing councils.

However, a fundamental weakness within the CCR&R infrastructure has contributed to creating a barrier in this process. Most resource and referral agencies do not have enough staff to attend CPC meetings, particularly if the CPC program is not subcontracting with the CCR&R agency. Our understanding is that OCCS added a requirement to the CCR&R FY 2001 contract mandating attendance at CPC meetings but there are no dollars directly targeting this effort. Despite this requirement, voucher management and training, which are supported financially, are often higher priorities for CCR&R organizations.

5. *Other barriers that affected the success of the waitlist project.*

Overall, a lack of communication, misunderstanding about eligibility requirements and concerns about confidentiality eroded local confidence in this project. Many parents and professionals are confused by the differences in eligibility between CPC sliding fees for working families and OCCS income-eligible vouchers. CPC Councils, individual child care providers and parents find the system confusing. Early Learning Services worked closely with OCCS to develop a chart that explains these differences but additional training is needed for various stakeholders.

Although the report acknowledges the importance of confidentiality, our contact with the field leads us to believe that concerns about confidentiality probably created an even bigger barrier than the audit report indicates. Many CCR&R agencies felt that it was unethical to share the waitlist, and many child care providers felt it would violate confidentiality to provide parent information to OCCS and DOE.

Among the key stakeholders at the local level, the highly flawed process in FY 2000 (inaccurate lists, no lists) and concerns about confidentiality did not inspire confidence for the continuation of the project in FY 2001.

We believe that the Office for Child Care Services and the Child Care Resource and Referral agencies it funds need a more effective waitlist system, and better communication and collaboration with CPC programs about waitlist information.

Auditor's Reply

As stated in our report, the results returned by CPC lead agencies in their collaborative projects were clearly discouraging. These projects were designed specifically to serve children on the OCCS waitlist who were not directly receiving childcare services. The number of children served provided by DOE in its response (i.e., 1,088 in fiscal year 2000 and 1,985 in 2001), are inflated in that they include both new children who were provided services by CPCs off of OCCS waitlists and children already being served by CPCs who may have been eligible and/or who were also on OCCS waitlists. In fact, as noted in our report, during fiscal years 2000 and 2001 only 101 and 42 children, respectively, on OCCS waitlists who were not already receiving services were actually provided services by CPCs. The fact

that some of the children in question who were already receiving services from CPCs may have also been eligible to be on OCCS waitlists is irrelevant and misleading. These projects were intended to provide services to children who were on OCCS waitlists and not receiving services and the true effectiveness of this program needs to be measured by these results.

We agree with DOE that certain aspects of the administration of these collaborative efforts are flawed. First, our report clearly acknowledges the problems with waitlist information. Further, we concur with DOE's assertion that CPCs frequently chose to place children from their own waitlist rather than from OCCS waitlists. However, it was DOE's responsibility to ensure that such problems within its CPC program did not exist and that CPCs participated in these collaborative efforts. Based on the information we reviewed, DOE did not do an adequate job of meeting these responsibilities. In its response, DOE asserts that CPC programs that did not fully embrace the collaborative effort because of concerns that children placed from OCCS waitlists would lose their priority status for school-aged childcare. However, by distancing themselves from the project, CPC's failed to serve the best interest of families in need of childcare. Such families need subsidized childcare immediately. Without childcare, parents have difficulties remaining employed or attending training programs that provide the skills necessary to find employment. Moreover, to withhold services because of potential future placement issues, which may be years in forthcoming, adversely effects the entire family since children are denied access to developmentally appropriate preschool programs and parents must rely on lesser-quality child care or delay their entry or reentry into the workforce. Finally, at the inception of the collaborative project, OCCS's Commissioner formally informed each CPC lead agency that "children on the OCCS Wait Lists who already receive or will receive CPC assistance will maintain their wait list place and status while receiving CPC care." Therefore, DOE's assertion that CPCs were concerned about future placement is unfounded.

As stated in our report, DOE included funds it received under the appropriation for the collaborative efforts in its general pool of CPC grant funds and allocated them without differentiating the clients served. As a result, it was not possible to determine the extent to which the children on OCCS waitlists benefited from this funding and to what extent the

funds may have been used for their intended purposes. In its response, DOE states that it took measures to communicate to CPCs the need to prioritize children on OCCS's waitlists and solicited feedback from CPCs on how they were going to use the OCCS waitlist data. However, clearly these measures are punitive in nature and do not effectively allow DOE to document that the funds provided for these collaborative efforts were used for their intended purposes. Further, although CPCs provide monthly data reports to DOE, these reports do not differentiate between children who were selected from OCCS waitlists versus CPC waitlists and are therefore not useful in documenting the extent to which the funds appropriated for these collaborative efforts were used for the purposes required by this legislation. In receiving these funds, DOE had an obligation to ensure that this funding was used for its intended purposes. Clearly, DOE did not take the measures necessary to ensure that it met this responsibility.

We recognize that CPCs work collaboratively with both the state and federal governments at various levels. However, our concern is that CPCs failed to work collaboratively with DOE and OCCS in ensuring that children on OCCS waitlist receive their necessary services. This fact is not disputed by DOE. Clearly, both DOE and OCCS need to take measures to ensure that, in the future, the level of collaborative between all entities involved in the state's childcare system is sufficient to ensure that project outcomes are achieved in the most effective and efficient manner.

3. INEFFICIENCIES WITHIN THE CHILDCARE INDUSTRY HAVE CAUSED SERVICE PROVIDERS TO UNDERUTILIZE STATE CHILDCARE RESOURCES TOTALING APPROXIMATELY \$28 MILLION

Throughout the state's childcare industry certain inefficiencies have caused childcare providers to underutilize their service contracts with OCCS. The childcare industry's inability to overcome these inefficiencies caused OCCS to revert in total approximately \$12.5 million to the General Fund at the close of fiscal years 2000 and 2001, while using an additional \$15.5 million, which the Legislature originally intended for direct family subsidies, on one-time teacher and staff salary enhancements. Although OCCS monitors the performance of service providers in order to identify, recover, and redistribute unused resources, OCCS's

reversions and reallocations of childcare funds occurred at the same time that its own data indicated an average unmet annual demand for childcare totaling approximately 18,000 children. Because there is a substantial unmet need problem, OCCS must take further action to reduce, wherever possible, inefficiencies within the industry as well as more aggressively pursue underutilized childcare resources in order to better serve those families in need of childcare services.

Participants in the state's childcare system frequently underutilize their service contracts because of inefficiencies, including extended program vacancies, excess parent fees, staff recruitment and retention issues, and other systemic inefficiencies, including funding restrictions and inspection, licensing, and space rental issues. In this regard, many providers experience program vacancies due to clients' extended illnesses, travel plans of non-custodial parents, or temporary breaks in the employment of parents. Also, competition from public school programs, CPC programs, private childcare providers, and other nonprofit agencies, while offering parents childcare choices, has also hampered providers from maintaining full enrollment.

Moreover, as vacancies occur, providers need time to identify potential clients and to document a family's program eligibility. For example, during fiscal year 2001, Community Action, Inc., could fill only two of its four school-age program slots. Community Action, Inc., officials explained that the Haverhill Public School System had opened a similar program that was more convenient for families because of its "one-stop drop" appeal, which contributed to Community Action, Inc.'s inability to fully utilize its contract award.

Second, parents who enroll their children into state-subsidized childcare must contribute toward the cost of such care by paying a daily fee that is based upon the Commonwealth's sliding fee scale. However, we found that the parent fees collected by service providers frequently exceeded OCCS's estimates and thus enabled many service providers to rely less upon state contract payments. In this regard, for fiscal year 2001, OCCS estimated that parent fees would average \$3.85 per day for all infant, infant/toddler, and preschool childcare contracts. In contrast, OCCS used an average rate of \$2.65 for school-age

childcare programs. Based upon these estimates, which are factored into all contract awards, OCCS projected that service providers would collect parent fees totaling \$10,294,064; however, actual receipts for the period totaled \$12,088,270. The difference, \$1,794,207, represented additional resources that OCCS had available to reduce the Commonwealth's unmet demand for childcare.

Moreover, several service providers stated that contract underutilization was primarily a function of parent fees and not a reflection of vacant slots. For example, during fiscal year 2001, Community Teamwork, Inc., received contract awards from OCCS totaling \$2,041,681 that represented 383 childcare slots. Throughout the year, Community Teamwork, Inc., maintained full enrollment but received contract payments totaling only \$2,029,495. The difference, \$12,186, reflects the parent fees that Community Teamwork, Inc., collected above OCCS's estimate.

We also found that recruiting and retaining classroom staff is a problem within the childcare industry that can force service providers to close classrooms or suspend expansion efforts. In this regard, service providers that we visited indicated that staff salaries are relatively low in comparison to other professions and lead to high turnover and teacher burnout. Moreover, these officials cited examples of classroom staff leaving the industry and accepting higher paying positions. On the other hand, a few service providers that we visited experienced little staff turnover and pointed to fringe benefits such as paid health insurance, holidays and vacations, and educational opportunities as a means of offsetting low wages and encouraging individuals to remain in the childcare field.

A study prepared by Mills & Pardee, Inc., entitled the Massachusetts Early Care & Education Staff Recruitment and Retention Research and Recommendations, which was published during April 2001, included similar observations regarding childcare staff recruitment and retention. Among other things, the study reported that 127 (87%) of 146 childcare center directors contacted perceive recruiting and retaining staff to be at least "somewhat difficult." The main reasons the directors cited for this difficulty were a lack of properly qualified applicants and salaries that are not competitive with other fields. The study also points out

that two in three employees who leave their centers are leaving the childcare field entirely. Lastly, the directors reported that their most successful recruitment and retention strategies are raising pay, creating a good work environment, providing health care benefits, and offering flexible scheduling.

Lastly, childcare providers can only use state contract funding for the group of children (infant, infant/toddler, preschool, school-age) and type of program (family childcare, center-based childcare, Head Start, before-/after-school wrap-around) for which the funding was provided. Consequently, providers that experience a lack of demand in one age group or program cannot utilize the available resources to augment their other programs. In fact, the restrictive nature of childcare funding has prevented some service providers from more efficiently addressing the service needs of families within their service area.

For example, Worcester Comprehensive Child Care Services (WCC) on average utilized 13 of its 21 basic preschool slots during fiscal year 2001. WCC would have preferred to reallocate the excess slots to its infant/toddler program, which was experiencing high demand but receiving limited state resources. In this regard, WCC officials indicated that in general the unmet demand for preschool programs has diminished because most public school systems are now offering such programs. Moreover, WCC officials believed that OCCS could improve program efficiency by awarding service providers a limited number of “non-categorical” slots that could be used by providers to meet demand where it exists.

OCCS has developed procedures to identify, recover, and redistribute underutilized childcare resources. In this regard, OCCS analyzes provider billings on a monthly basis to determine the extent to which program vacancies and parent fees affected the delivery of childcare. Providers who under or over utilize their maximum obligation have their funding adjusted accordingly. In addition, providers who underutilize their slots face a slot reduction if the problem persists over a six-month period.

For fiscal years 2000 and 2001, many of OCCS’s contract providers could not fully utilize their contract funding. In response, OCCS reduced contract maximum obligations by \$14,635,491 for the period. These reductions, which are detailed in Appendix VIII of this

report, impacted 139 service providers during fiscal year 2000 and 174 service providers during fiscal year 2001.

In addition, during fiscal year 2001, OCCS reclaimed 209 childcare slots from 19 contract service providers. This reduction of slots was OCCS's first such action against service providers and affected only those providers whose vacancies extended over a six-month period. OCCS continued to reclaim underutilized slots during fiscal year 2002, during which time OCCS reclaimed an additional 209 slots from 13 service providers. (Appendix IX details the recovery of these slots.)

In order to effectively redistribute recovered slots, OCCS has identified existing service providers who seek additional childcare slots because of unmet demands within their service area. Moreover, as slots become available, OCCS redistributes them to providers based upon programmatic factors, including a provider's prequalification status, recommendations from program monitoring staff, and the extent of unmet demand in a given service area. In the past, OCCS was able to rely upon existing service providers to absorb all of the recovered slots into their programs; thus it was unnecessary for OCCS to seek out any new service providers for this purpose.

Regarding the approximately \$6.4 million reduction in fiscal year 2000 maximum contract obligations (see Appendix VIII), OCCS utilized these funds to help address the universally acknowledged problem of low wages within the childcare industry. Specifically, OCCS implemented a "quality award" program aimed at recognizing excellence in childcare service delivery and helping the childcare industry retain staff.

Under the program, OCCS provided approximately \$7.5 million for one-time salary enhancements for center-based administrative and classroom staff and one-time bonuses for family childcare providers and staff. These funds, coupled with the \$8,529,993 that OCCS reverted to the General Fund, represent the extent that childcare providers underutilized their service contracts during fiscal year 2000.

For fiscal year 2001, OCCS again tried to effectively utilize the maximum contract obligations that it recovered from service providers. In this regard, OCCS funded a second round of quality awards with the approximately \$8.3 million that it recovered during the period (see Appendix VIII). These awards were intended to improve the learning environment at service provider locations and, coupled with the \$4,112,456 that OCCS reverted to the General Fund, represent the extent to which state childcare resources were underutilized during the period.

As part of the audit, we reviewed quality awards totaling \$787,800 that OCCS provided to 14 service providers during fiscal year 2000. For the most part, we found that the service providers spent their quality awards according to OCCS instructions. However, we identified deficiencies at the Pittsfield YMCA, Community Day Care Center of Lawrence, Inc., and Infants and Other People, Inc., as described below.

- Pittsfield YMCA received \$9,000 for one-time staff salary incentives, which it distributed to 18 employees in amounts ranging from \$50 to \$2,250. However, contrary to OCCS instructions, the awards were not distributed to employees based upon a plan authorized by the YMCA's Board of Directors. Consequently, the awards, which were based solely upon the YMCA President's judgment, were inequitable in amount. For example, the Director of Childcare received a \$2,250 award, whereas the majority of classroom teachers received awards ranging from \$50 to \$300. Additionally, the Director of Finance received a \$1,750 award, yet this employee spent 99% of her time on non-childcare-related matters.
- Community Day Care Center of Lawrence, Inc., and Infants and Other People, Inc., both underspent their quality awards. Specifically, Community Day Care Center of Lawrence, Inc., received \$119,650 yet only provided its employees with awards totaling \$115,401, and Infants and Other People, Inc., received \$18,600 and provided its employees only \$18,368. Consequently, these providers must return their unspent quality award funds (\$4,249 and \$232, respectively) to OCCS.

Although OCCS has procedures in place to identify and redistribute underutilized resources, it has not taken an aggressive enough approach to resolving this matter. As previously noted, OCCS recovers slots from service providers once a slot has been vacant for approximately six months. This approach resulted in OCCS's recovering only 209 (12%) of 1,682 contract slots that were not used by service providers during fiscal year 2001. Clearly,

OCCS's six-month timeframe is too long considering the number of families in need of childcare throughout the Commonwealth.

Recommendation

In order to more effectively utilize the state's childcare resources, we recommend that OCCS further analyze the impact that excess parent fees have had upon the delivery of childcare services throughout the Commonwealth. If after such analysis OCCS determines that its parent fee estimate is set too low, it should establish a new estimate that better reflects actual parent contributions. Moreover, any resources that may become available by applying the new parent fee estimate to existing and future service contracts should be used by OCCS to create and fund additional childcare slots within those service areas with the greatest unmet need.

During its next procurement process, OCCS should take the necessary measures to provide childcare providers with some funding flexibility in order for them to better meet the needs of their service areas and more fully utilize their contract awards. For example, OCCS could allow service providers to reallocate a specified portion of their childcare funding between program slots and use funds that unused for certain slots (e.g., preschool) to fund other slots (e.g., infant/toddler).

Finally, OCCS should take a more aggressive approach to identifying, recovering, and redistributing vacant childcare slots. For example, OCCS could establish procedures whereby it initially identifies contract slots that are left vacant for 30 days. If such slots are not filled during the following 30-day period, OCCS could then take appropriate administrative action to recover the vacant slots and redistribute them to service providers with significant unmet needs. Such a process, which would reduce the time that slots are allowed to remain vacant from 180 days to 90 days, would enable OCCS to more effectively meet the needs of families waiting for childcare.

Auditee's Response

In response to this audit result, OCCS officials provided comments, which are excerpted below:

. . . . OCCS Agrees With the Auditor That OCCS Should Take Any and All Available Steps To Increase The Utilization of Child Care.

OCCS agrees that the Commonwealth must be vigilant to utilize, to the maximum extent possible, its child care resources. The year before contracts were consolidated at OCCS, a reversion of more than \$30 million occurred and OCCS set out to improve that system. As a result of improvements implemented by OCCS, OCCS dramatically reduced the \$30 million reversion and was able to cut in half the underutilization from FY 2000 to FY 2002, from 5.4% to 2.7%, respectively. Specifically, reversions from underutilized contract child care slots and conservative estimates of parent fees declined from an \$8.5 million of a \$157.4 million appropriation (or 5.4%) for FY 2000, to \$4.1 million of a \$124.7 million appropriation (or 3.3%) for FY 2001. In FY 2002, OCCS reverted \$3.5 million of its \$127.9 million appropriation (or 2.7%). Accordingly, while OCCS has already made improvements to reduce underutilization, we agree with the Auditor that we should continue to undertake steps to close OCCS's fiscal year utilizing as much of the available child care as possible, without overspending our budget. . . .

OCCS Agrees With The Auditor That Vacant Contract Slots Should Be Redistributed . . .

The report recommends that OCCS establish procedures where slots that are vacant for thirty days should be redistributed to other providers. Over the past year OCCS has consulted with providers regarding this issue, and OCCS believes that the six-month period before redistribution could be too great, but that a thirty-day "use it or lose it" approach may be unfair and underestimates the resources it takes to change the contracts under current state rules. For example, OCCS would have to start a process of moving vacant slots after ten days or so in order to have them moved by the 30th day. OCCS has been working with providers on underutilization through its monitoring initiative, and recommends that it start with an approach of redistributing slots that have been vacant for three months because this will have minimal negative consequences to providers while still keeping slots filled, and this time frame would allow OCCS to meet the encumbrance requirements of the procurement regulations which are resource intensive. OCCS is concerned that a thirty-day timeframe could destabilize provider programs, and as such, would be inapposite to the legislative mandate that OCCS balance contracts and vouchers. . . .

OCCS Agrees With The Auditor That Tracking Parent Fees Will Help Reduce Reversions And Respectfully Requests that the Audit Report Note the Difficulty in Getting Exact Tracking in FY 1999 and FY 2000 Because of the Change In Parent Co-Pays.

Historically, there was no mechanism for tracking parent fees. Accuracy in projecting parent fees is important because if projections are too conservative, providers do not

bill to their maximum contract obligation and even if the provider is fully enrolled reversions may occur. If projections for fees are too high, OCCS would have to make up the shortfall in the contract to the provider and the income eligible account could fall into deficiency. Consequently, in FY 1999 and FY 2000 OCCS created a system to track parent fees through the "paylog." OCCS was able to reduce the reversion caused by conservative estimates of parent fees by 10% from FY 2000 to FY 2001.

The "paylog" allows OCCS to analyze discrepancies in actual parent fees versus expected fees to allow for more accurate projections, but only when the sliding fee scale, which determines the amount of parent co-pays, is static. Since the sliding fee scale was changed in FY 2001 and FY 2002, OCCS cannot responsibly lower its projection of what fees will be paid until at least one year of information is available. OCCS agrees with the Auditor that when it has this information (which will be this year), OCCS will be able to set and track parent fee levels with a greater degree of accuracy.

Auditor's Reply

Its response indicates that OCCS is taking measures to address our concerns in this area.

APPENDIX I
OCCS Childcare Expenses and Slots
Fiscal Year 2001

<u>Program Account Number</u>	<u>Childcare Program</u>	<u>Voucher Slots</u>	<u>Voucher Expense</u>	<u>Contract Slots</u>	<u>Contract Expense</u>
4130-3200	Employment Services	15,716	\$ 93,222,356	-	-
4130-3250	Post Transitional	13,628	62,923,322	-	-
4130-3300	Income Eligible	6,000	29,439,225	11,645	\$ 89,504,871
4130-3400	Teen-Parent	306	2,102,608	443	6,434,845
4130-3500	Trial Court	-	-	161	1,718,795
4130-3600	Supportive	-	-	4,417	50,712,160
		<u>35,650</u>	<u>\$ 187,687,511</u>	<u>16,666</u>	<u>\$ 148,370,671</u>

APPENDIX II
Massachusetts Childcare Resource and Referral Agencies

Resources for Child Care
152 North Street, Suite 230
Pittsfield
Serving Berkshire County

Child Care Circuit
190 Hampshire Street
Lawrence
Serving Essex & Eastern Middlesex Counties

Home Health and Child Care Services, Inc.
15 Jonathan Drive
Brockton
Serving Brockton/Attleboro & Surrounding Areas

Child Care Focus
56 Vernon Street
Northampton
Serving Hampshire and Franklin County

Child Care Search
Concord Office Center, Suite 102
Concord
Serving Parts of Middlesex County

Child Care Works
4 Park Place, Room 101
New Bedford
Serving New Bedford, Fall River and Taunton Areas

Preschool Enrichment Team
1391 Main Street, Suite 822
Springfield
Serving Hampden County

Child Care Resource Center
130 Bishop Allen Drive
Cambridge
Serving Cities & Towns West of Boston

Child Care Network of Cape Cod and the Islands
1115 Enterprise Road
Hyannis
Serving the Cape and the Islands

Child Care Resources
76 Summer Street, Suite 345
Fitchburg
Serving Northern Worcester County

Child Care Choices of Boston
105 Chancy Street
Boston
Serving the City of Boston

New England Farm Workers Council
1628-1640 Main Street
Springfield
Serving Springfield Area

Child Care Connection
100 Grove Street, Suite 102
Worcester
Serving Central and Southern Worcester Counties

Community Care for Kids
1509 Hancock Street
Quincy
Serving South Shore Area

Franklin Athol Child Care Services
393 Main Street
Greenfield
Serving Franklin County

APPENDIX III

Audit Sites Visited

CPC Lead Agencies:

1. Brockton Public School
175 Warren Avenue
Brockton, MA
2. Fall River Public Schools
GB Stone School
1207 Globe Street
Fall River, MA
3. Springfield Public School
15 Mulberry Street, 3rd Floor
Springfield, MA
4. Framingham Public School
475 Franklin Street
Framingham, MA
5. Greater Lawrence Community Action Council, Inc.
350 Essex Street
Lawrence, MA
6. Hampshire Educational Collaborative
97 Hawley Street
Northampton, MA
7. Holyoke/Chicopee/Springfield Head Start, Inc.
30 Madison Avenue
Springfield, MA
8. Montachusets Opportunity Council, Inc.
133 Prichard Street
Fitchburg, MA
9. Boston Public Schools
26 Court Street
Boston, MA

Appendix III (Continued)

CCR&Rs:

1. Resources for Child Care
152 North Street, Suite 230
Pittsfield, MA
2. Child Care Resources
76 Summer Street, Suite 345
Fitchburg, MA
3. Child Care Circuit
190 Hampshire Street
Lawrence, MA
4. Child Care Search
2352 Main Street
Concord, MA
5. Franklin Athol Child Care Services
393 Main Street
Greenfield, MA
6. Child Care Focus
56 Vernon Street
Northampton, MA
7. New England Farm Workers Council
1628-1640 Main Street
Springfield, MA
8. Child Care Works
4 Park Place, Room 101
New Bedford, MA
9. Community Care for Kids
1509 Hancock Street
Quincy, MA

Appendix III (Continued)

Contract Providers:

1. Montachusets Opportunity Council, Inc.
133 Prichard Street
Fitchburg, MA
2. Holyoke/Chicopee/Springfield Head Start, Inc.
30 Madison Avenue
Springfield, MA
3. Franklin Community Action Corporation
393 Main Street
Greenfield, MA
4. Early Childhood Centers of Greater Springfield, Inc.
620 State Street
Springfield, MA
5. South Middlesex Opportunity Council
300 Howard Street
Framingham, MA
6. Rainbow Child Development Center
16 Laurel Street
Worcester, MA
7. United Front Child Development Programs, Inc.
145 Arnold Street
New Bedford, MA
8. Community Teamwork, Inc.
167 Dutton Street
Lowell, MA
9. Old Colony YMCA
320 Main Street
Brockton, MA
10. Pittsfield Family YMCA
292 North Street
Pittsfield, MA
11. Community Day Care Center of Lawrence
190 Hampshire Street
Lawrence, MA

Appendix III (Continued)

12. Worcester Comprehensive Child Care Service, Inc.
160 Tacoma Street
Worcester, MA
13. Metro West YMCA
280 Old Connecticut Path
Framingham, MA
14. Mass Job Training, Inc.
332 Main Street
Worcester, MA
15. Infants and Other People, Inc.
464 Tremont Street
Boston, MA
16. Community Action, Inc.
25 Locust Street
Haverhill, MA

APPENDIX IV

Contract Service Providers with Missing Waitlist Reports

September 1999 Through December 2001

<u>Contract Service Provider</u>	<u>December 2001</u>	<u>September 2001</u>	<u>June 2001</u>	<u>March 2001</u>	<u>December 2000</u>	<u>September 2000</u>	<u>March 2000</u>	<u>December 1999</u>	<u>September 1999</u>	<u>Total Non-Responses</u>
A Kangaroo's Pouch, Inc.								*		1
Abilities Unlimited of Western New England						*	*			2
Action for Boston Community Development	*									1
Allston/Brighton APAC	*	*	*	*	*	*	*	*		8
American Chinese Christian Education Association	*	*	*	*	*					5
Athol Area YMCA			*	*	*	*	*	*		6
Attleboro Voc-Tech H.S. Teen Parent Program					*	*	*			3
Bear Care Centers Ltd.	*	*			*			*		4
Becket-Chimney Corners YMCA			*	*	*					3
Bethel Child Care Services, Inc.								*		1
Boston Children's Services Association		*	*	*	*		*			5
Boys and Girls Club of Brockton			*							1
Bridge Fund, Inc.	*	*	*	*	*	*		*		7
Butler Child Care Center, Inc.			*	*			*			3
Cambodian M.A.A. of Greater Lowell			*	*						2
Cambridge Economic Opportunity Committee	*	*	*	*	*		*			6
Cambridge Head Start Child Care			*							1
Capacidad	*	*	*	*	*	*	*	*		8
Cape Cod Child Development Program, Inc.	*				*					2
Cape Cod YMCA									*	1
Center for Child Care & Development, Inc.	*									1
Cerebral Palsy Association So. Shore Area, Inc.	*	*	*	*	*	*				6
Chicopee Child Development					*		*			2
Child Care of the Berkshires						*		*		2
Child Development Center, Inc.		*	*	*	*	*			*	6

Appendix IV (Continued)

<u>Contract Service Provider</u>	<u>December 2001</u>	<u>September 2001</u>	<u>June 2001</u>	<u>March 2001</u>	<u>December 2000</u>	<u>September 2000</u>	<u>March 2000</u>	<u>December 1999</u>	<u>September 1999</u>	<u>Total Non- Responses</u>
Child Development Family System, Inc.	*	*	*	*	*			*	*	7
Child Development Program of Cape Ann					*					1
Childcare Project, Inc.	*	*	*		*					4
Children's Discovery Centers		*		*	*		*			4
Children's Aid & Family Service					*					1
Children's Corner Day Care, Inc.			*						*	2
Children's Services of Roxbury, Inc.	*	*	*					*		4
Children's World Educational Center, Inc.	*			*	*		*	*	*	6
City of Brockton				*		*				2
City of Cambridge/Dept. of Human Service Program								*		1
City of Fall River		*		*						2
City of Quincy - Teen Mothers Program					*		*			2
City of Somerville/Comm. Schools			*					*		2
City of Taunton						*	*			2
Clarendon Family Day Care								*		1
Colonel Daniel Marr Boys Club of Dorchester				*	*	*		*		4
Committee for Boston Public Housing, Inc.		*	*		*	*		*		5
Community Action Programs Intercity, Inc.			*					*		2
Community Art Center			*		*	*	*	*		5
Community Day Care Ctr. of Lawrence			*							1
Community Family Day Care	*	*	*	*	*					5
Crittenton Hastings House								*		1
Curwin Child Care Center	*	*	*					*		4
Dandelion School			*							1

Appendix IV (Continued)

<u>Contract Service Provider</u>	<u>December 2001</u>	<u>September 2001</u>	<u>June 2001</u>	<u>March 2001</u>	<u>December 2000</u>	<u>September 2000</u>	<u>March 2000</u>	<u>December 1999</u>	<u>September 1999</u>	<u>Total Non- Responses</u>
Dimock Community Health Center		*			*	*				3
Discovery Day Care Center	*	*	*	*	*					5
Doves Nest Day Care Center	*	*		*	*					4
Doves Nest Family Day Care System, Inc.			*			*	*			3
Early Childhood Center of Springfield			*							1
East Boston Social Centers, Inc.				*	*		*			3
Educare for Kids, Inc.	*	*			*		*			4
Edward Street Day Care Center, Inc.			*							1
Ellis Memorial & Eldridge House, Inc.	*	*	*		*			*		5
Elizabeth Peabody House	*					*				2
Elm Park Center for Early Childhood Education				*						1
Entre Familia/Boston Medical Center			*		*	*				3
Family Services Association of Greater Fall River				*			*			2
Federated Dorchester Neighborhood House	*			*		*				3
For Kids		*								1
Franklin Community Action Corporation					*			*		2
Franklin County Dial Self, Inc.									*	1
Franklin Square House Day Care Center, Inc.			*		*		*	*		4
Friendly House, Inc.					*					1
Fun Ages FDGS	*	*	*	*	*	*	*			7
Girls Club of Greenfield			*	*						2
Girls Incorporated of Holyoke			*				*			2
Girls Incorporated of Lynn							*			1
Girls Incorporated of Pittsfield	*							*		2

Appendix IV (Continued)

<u>Contract Service Provider</u>	<u>December 2001</u>	<u>September 2001</u>	<u>June 2001</u>	<u>March 2001</u>	<u>December 2000</u>	<u>September 2000</u>	<u>March 2000</u>	<u>December 1999</u>	<u>September 1999</u>	<u>Total - Non- Responsive</u>
Greater Lawrence Community Action Council							*			1
Greater Lynn YMCA				*	*					2
Gregg Neighborhood House Association, Inc.	*									1
Hampshire Community Action Commission						*		*		2
Hampshire Regional YMCA					*			*		2
Hampshire/Franklin Day Care				*	*					2
Happy Day Child Care Center			*	*						2
Harbor Health Services (Neponset)	*	*	*	*	*	*	*	*		8
Hattie B. Cooper Community Center, Inc.			*		*	*		*		4
Henry Buckner School							*			1
Holyoke/Chicopee/Springfield Headstart		*				*	*			3
Holyoke Day Nursey					*					1
House of Seven Gables Settlement Association			*							1
Infants and Other People, Inc.					*	*	*	*		4
Independence Route Day Care/Kids Stop	*	*	*							3
Inquilinos Boricuas En Accion		*		*						2
Job Options, Inc.							*	*		2
Jolly Farms Day Care	*	*	*	*	*					5
Kid-Start, Inc.			*		*	*	*	*	*	6
Kids Choice Early Childhood Center	*	*	*	*	*		*	*		7
Learning Unlimited, Inc.		*	*	*	*	*	*		*	7
Lemberg Children's Center	*									1
Lena Park Community Development Corporation		*	*		*	*				4
Lincoln-Sewall Day Care, Inc.	*	*	*		*		*	*	*	7

Appendix IV (Continued)

<u>Contract Service Provider</u>	<u>December 2001</u>	<u>September 2001</u>	<u>June 2001</u>	<u>March 2001</u>	<u>December 2000</u>	<u>September 2000</u>	<u>March 2000</u>	<u>December 1999</u>	<u>September 1999</u>	<u>Total - Non- Responses</u>
Little Folks Community Day Care Center		*		*				*	*	5
Little Scholars Workshop, Inc.					*					1
Little Sisters of Assumption								*		1
Little Tots Day Care			*							1
Lowell Day Nursery Association		*	*	*						3
Lynn Economic Opportunity, Inc.			*							1
Malden Young Mens Christian Association, Inc.					*		*			2
Malden Young Womens Christian Association, Inc.							*			1
Marks Meadow After School Program			*		*	*				3
Martin L. King Community Center	*	*	*		*	*	*	*		7
Mass. Job Training						*		*		2
Meadowlark, Inc.	*	*	*		*	*		*		6
Merrimack Valley YMCA	*	*	*		*		*			5
Metrowest YMCA					*					1
Montachusetts Opportunity Council				*						1
Mont Marie Child Care Center	*	*	*	*	*					5
Mystic Learning Center			*							1
Nevins Family of Services			*			*				2
New Concepts Christian Day Care		*	*	*			*			4
New England Farmworkers Council						*	*			2
New England Home for Little Wanderers		*	*	*						3
North Shore Family Day Care, Inc.					*		*			2
Old Colony Y			*	*	*					3
Open Center for Children	*	*	*		*					4
Oxford Street Day Care				*	*	*	*	*		5

Appendix IV (Continued)

<u>Contract Service Provider</u>	<u>December 2001</u>	<u>September 2001</u>	<u>June 2001</u>	<u>March 2001</u>	<u>December 2000</u>	<u>September 2000</u>	<u>March 2000</u>	<u>December 1999</u>	<u>September 1999</u>	<u>Total Non- Responses</u>
Paige Company, Inc.	*	*	*	*	*	*	*	*	*	9
Pakachoag Acres	*		*	*						3
Pilgrim Church Day Care Center	*	*	*				*		*	5
Pittsfield YMCA						*				1
Play Care, Inc.		*	*	*	*	*	*			6
Plowshares Child Care Programs			*	*						2
Preschool Center, Inc.			*	*	*		*	*	*	6
Prevention Now, Inc.					*	*	*		*	4
Professional Family Day Care Services				*	*	*	*			4
Prospect Terrace Day Care					*					1
Rainbow Day Care Center	*	*	*	*	*	*	*	*		8
Rockwood Day Care Center, Inc.			*					*		2
Rosa Parks Day Care Center			*	*		*				3
Salvation Army					*	*		*		3
Self Help, Inc.	*					*	*			3
Sgt. Carney Academy After School Day Care	*		*	*		*	*			5
Somerville YMCA			*						*	2
So. Boston Neighborhood House, Inc.	*	*								2
So. Hadley Child Care Association			*	*	*	*	*			5
South Cove Community Health Center	*				*	*		*		4
So. Middlesex Latin Emergency Services			*				*			2
Springfield Day Nursery								*		1
Springfield Partners for Community Action, Inc.			*	*	*			*		4
Special Moments in Learning Experience				*				*		2
Stonybrook Children's Center								*		1
Thorndike Street		*					*			2

Appendix IV (Continued)

<u>Contract Service Provider</u>	<u>December 2001</u>	<u>September 2001</u>	<u>June 2001</u>	<u>March 2001</u>	<u>December 2000</u>	<u>September 2000</u>	<u>March 2000</u>	<u>December 1999</u>	<u>September 1999</u>
Tri-City Community Action Program, Inc.	*	*	*	*	*	*	*	*	
United South End Settlements	*		*						
University of Mass./Amherst	*				*	*			
University of Mass./Boston	*					*		*	
Uphams Corner Community Center		*			*	*			
Valley Human Services			*						
VIP Childcare, Inc.	*	*					*	*	
Waltham Boys & Girls Club			*	*					
Waltham Day Care Center					*				
Wareham Early Childhood Educ. & Devel. Corp.		*	*						
West End Day Nursery of New Bedford, Inc.			*	*	*				
Williamstown Community Day Care					*				
Young Dimensions Family Day Care, Inc.			*						
YMCA of Greater Fall River			*	*					
YMCA of Greater New Bedford	*				*	*		*	
YMCA of Greater Springfield, Inc.			*	*	*		*	*	
YMCA of Greater Westfield				*	*	*	*	*	
YMCA of Greater Worcester			*	*	*			*	
YWCA of Greater Lawrence			*						
YWCA of Boston	*	*			*	*			
Total	<u>51</u>	<u>53</u>	<u>86</u>	<u>62</u>	<u>83</u>	<u>55</u>	<u>56</u>	<u>56</u>	<u>15</u>

*=Provider failed to respond to OCCS' request for waitlist information for that period.

APPENDIX V

Results of Fiscal Year 2000 Collaborative Effort

<u>LEAD AGENCY</u>	Children Per OCCS <u>Wait List</u>	Family Did Not <u>Respond</u>	Children Placed From <u>Wait List</u>	Children Already <u>Served</u>	Slots Un- available for <u>Children</u>	Families Ineligible For <u>Services</u>	Total <u>Responses</u>	Non- <u>Responses</u>
ABCD Headstart	1,491						-	1,491
Acushnet Public Schools	3						-	3
Agawam Public Schools	20						-	20
Amesbury Public Schools	8						-	8
Amherst Public Schools	4						-	4
Ashburnham-Westminster Regional School District	6						-	6
Attleboro Public Schools	20						-	20
Ayer Public Schools	4						-	4
Barnstable Public Schools	23						-	23
Bellingham Public Schools	3						-	3
Berkshire Hills Regional School District	3	2		1			3	-
Bourne Public Schools	15	3	2	9			14	1
Brockton Public Schools	148						-	148
Brookfield Public Schools	4						-	4
Brookline Public Schools	8						-	8
Cambridge Public Schools	269		5	37			42	227
Cape Cod Children's Place	21						-	21
Central Berkshire Regional School District	5	5					5	-
Chelsea Public Schools	76						-	76

Appendix V (Continued)

<u>LEAD AGENCY</u>	<u>Children Per OCCS Wait List</u>	<u>Family Did Not Respond</u>	<u>Children Placed From Wait List</u>	<u>Children Already Served</u>	<u>Slots Unavailable For Children</u>	<u>Families Ineligible For Services</u>	<u>Total Responses</u>	<u>Non- Responses</u>
Chicopee Public Schools	56	42		7		7	56	-
Child Development Program of Cape Ann	14	-	-	-	-	-	-	14
Child Works Child Care Center	8	-	-	-	-	-	-	8
Citizens for Citizens	5	1	2	1	1	-	5	-
Clinton Public Schools	10			4			4	6
Communities United, Inc.	1	1	-	-	-	-	1	-
Communities United, Inc.	3	1	-	1			2	1
Communities United, Inc.	15	8	1	6	-	-	15	-
Communities United, Inc.	20	15	1	3	-	-	19	1
Communities United, Inc.	11	9	2	-	-	-	11	-
Community Action, Inc.	4	-	-	-	-	-	-	4
Community Day Care Center, Inc.	4	-	-	-	-	-	-	4
Community Teamwork, Inc.	45	-	-	-	-	-	-	45
Concord Children's Center	1	-	-	-	-	-	-	1
Dennis-Yarmouth Regional School District	33	-	-	-	-	-	-	33
Discovery Schoolhouse, Inc.	8	-	-	-	-	-	-	8
Dudley-Charlton Regional School District	7	-	-	-	-	-	-	7
Duxbury Public Schools	2	-	-	-	-	-	-	2
East Longmeadow Public Schools	6	-	-	-	-	-	-	6
Erving Elementary Schools	3	1	1	1	-	-	3	-
Everett Public Schools	32	-	-	-	-	-	-	32

Appendix V (Continued)

<u>LEAD AGENCY</u>	Children	Family	Children	Children	Slots	Families	Total	Non-
	Per OCCS	Did Not	Placed	Already	Unavailable For	Ineligible For		
	<u>Wait List</u>	<u>Respond</u>	<u>Wait List</u>	<u>Served</u>	<u>Children</u>	<u>Services</u>	<u>Responses</u>	<u>Responses</u>
Fairhaven Public Schools	3	-	-	-	-	-	-	3
Fall River Public Schools	71	-	-	-	-	-	-	71
Falmouth Public Schools	28	2	1	13	-	-	16	12
Fitchburg Public Schools	83	52	8	17	-	1	78	5
Framingham Public Schools	25	-	-	-	-	-	-	25
Frontier Regional School District	1	-	-	-	-	-	-	1
Gateway Regional School District	18	-	-	-	-	-	-	18
Georgetown Public Schools	1	-	-	-	-	-	-	1
Gill-Montague Regional School District	10	3	-	4	1	-	8	2
Greater Lawrence Community Action Commission	40	18	-	-	-	-	18	22
Greater Lawrence Community Action Commission	12	4	-	-	-	-	4	8
Greater Lawrence Community Action Commission	295	76	24	8	-	-	108	187
Greenfield Public Schools	20	-	-	-	-	-	-	20
Hadley Public Schools	3	-	-	-	-	-	-	3
Hamilton-Wenham Regional School District	4	-	-	-	-	-	-	4
Hampshire Community Action Commission	7	3	-	3	-	-	6	1
Hampshire Educational Collaborative	6	-	-	-	-	-	-	6
Hampshire Educational Collaborative	35	-	-	-	-	-	-	35
Hampshire Regional School District	4	-	-	-	-	-	-	4
Harwich Public Schools	3	-	-	-	-	-	-	3
Haverhill Public Schools	46	26	-	12	1	-	39	7
Health and Education Services	20	12	1	7	-	-	20	0
Holyoke/Chicopee/Springfield Head Start	4	-	-	-	-	-	-	4
Holyoke/Chicopee/Springfield Head Start	42	2	-	-	-	-	2	40

Appendix V (Continued)

<u>LEAD AGENCY</u>	Children	Family	Children	Children	Slots	Families	Total	Non-
	Per OCCS <u>Wait List</u>	Did Not <u>Respond</u>	Placed From <u>Wait List</u>	Already <u>Served</u>	Unavailable For <u>Children</u>	Ineligible For <u>Services</u>		
Holland Public Schools	1	-	-	-	-	-	-	1
Holliston Public Schools	1	-	-	-	-	-	-	1
Hudson Public Schools	4	2	2	-	-	-	4	-
Hull Public Schools	1	-	-	-	-	-	-	1
Infant Toddler Children's Center	1	-	-	-	-	-	-	1
Ipswich Public Schools	2	-	-	-	-	-	-	2
Lee Public Schools	1	-	-	-	-	-	-	1
Leominster Public Schools	57	-	-	-	-	-	-	57
Leverett Elementary School	1	-	-	1	-	-	1	-
Lowell Public Schools	142	-	-	-	-	-	-	142
Ludlow Public Schools	13	-	-	-	-	-	-	13
Lynn Public Schools	218	-	-	-	-	-	-	218
Malden Public Schools	111	-	-	-	-	-	-	111
Marblehead Public Schools	4	1	1	2	-	-	4	-
Marshfield Public Schools	16	-	-	-	-	-	-	16
Martha's Vineyard Regional School District	20	-	-	-	-	-	-	20
Mashpee Public Schools	20	-	-	-	-	-	-	20
Maynard Public Schools	4	-	-	-	-	-	-	4
Medfield Public Schools	1	-	-	-	-	-	-	1
Medford Public Schools	44	17	3	3	2	-	25	19
Melrose Public Schools	9	-	-	-	-	-	-	9
Milford Public Schools	11	7	-	4	-	-	11	-
Mohawk Trail Regional School District	11	-	-	-	-	-	-	11

Appendix V (Continued)

<u>LEAD AGENCY</u>	<u>Children Per OCCS Wait List</u>	<u>Family Did Not Respond</u>	<u>Children Placed From Wait List</u>	<u>Children Already Served</u>	<u>Slots Unavailable For Children</u>	<u>Families Ineligible For Services</u>	<u>Total Responses</u>	<u>Non- Responses</u>
Montachusets Opportunity Council	9	-	-	-	-	-	-	9
Montachusets Opportunity Council	19	3	13	1	-	-	17	2
Montachusets Opportunity Council	8	5	1	2	-	-	8	-
Nantucket Public Schools	2	-	-	-	-	-	-	2
Narragansett Regional School District	4	-	-	-	-	-	-	4
Nashoba Regional School District	4	-	-	-	-	-	-	4
New Bedford Public Schools	158	61	-	72	2	-	135	23
New Salem-Wendall Regional School District	5	-	-	-	-	-	-	5
North Adams Public Schools	34	-	-	1	-	-	1	33
Northampton Public Schools	8	-	-	-	-	-	-	8
Norwood Public Schools	4	-	-	-	-	-	-	4
Old Rochester Regional School District	2	-	-	-	-	-	-	2
Orange Public Schools	1	-	-	-	-	-	-	1
Oxford Public Schools	9	-	-	-	-	-	-	9
PACE	7	2	-	5	-	-	7	-
Peabody Public Schools	45	-	-	-	-	-	-	45
Pentucket Regional School District	2	-	-	-	-	-	-	2
Pioneer Valley Regional School District	1	1	-	-	-	-	1	-
Pittsfield Public Schools	71	39	10	13	-	1	63	8
Plymouth Public Schools	36	13	4	4	-	-	21	15
QCAP Head Start	92	-	-	-	-	-	-	92
QCAP Head Start	11	-	-	-	-	-	-	11

Appendix V (Continued)

<u>LEAD AGENCY</u>	Children	Family	Children	Children	Slots	Families	Total	Non-
	Per OCCS	Did Not	Placed	Already	Unavailable For	Ineligible For		
	<u>Wait List</u>	<u>Respond</u>	<u>From</u>	<u>Served</u>	<u>Children</u>	<u>Services</u>	<u>Responses</u>	<u>Responses</u>
Quabog Regional School District	2	-	-	-	-	-	-	2
Revere Public Schools	72	-	-	-	-	-	-	72
Roudenbush Public Schools	3	-	-	-	-	-	-	3
Salem Public Schools	98	-	-	-	-	-	-	98
Sandwich Public Schools	4	-	-	-	-	-	-	4
Saugus Family YMCA	6	-	-	-	-	-	-	6
Self Help, Inc.	24	2	-	-	-	-	2	22
Self Help, Inc.	22	13	-	4	-	-	17	5
Self Help, Inc.	91	58	6	8	-	-	72	19
Self Help, Inc.	22	7	-	4	-	-	11	11
Shirley Public Schools	2	-	-	-	-	-	-	2
Shrewsbury Children's Center	5	-	-	-	-	-	-	5
Shutesbury Public Schools	2	-	-	-	-	-	-	2
SMOC Head Start	1	1	-	-	-	-	1	-
Somerville Public Schools	179	-	-	-	-	-	-	179
South Shore Community Action Commission	8	-	-	3	-	2	5	3
South Shore Community Action Commission	6	1	-	4	-	-	5	1
South Shore Community Action Commission	9	-	-	-	-	-	-	9
Southbridge Public Schools	8	-	2	-	-	-	2	6
Southern Berkshire Regional School District	7	-	-	-	-	-	-	7
Spencer Childcare Center	7	-	-	-	-	-	-	7
Springfield Public Schools	270	-	-	-	-	-	-	270
Sturbridge Public Schools	1	-	-	-	-	-	-	1
Sudbury Public Schools	1	-	-	-	-	-	-	1

Appendix V (Continued)

<u>LEAD AGENCY</u>	Children	Family	Children	Children	Slots	Families	Total	Non-
	Per OCCS	Did Not	Placed	Already	Unavailable For	Ineligible For		
	<u>Wait List</u>	<u>Respond</u>	<u>From</u>	<u>Served</u>	<u>Children</u>	<u>Services</u>	<u>Responses</u>	<u>Responses</u>
Triton Regional School District	6	-	-	-	-	-	-	6
Triumph, Inc.	15	-	-	-	-	-	-	15
Uxbridge Public Schools	3	-	-	-	-	-	-	3
Wales Public Schools	1	-	-	-	-	-	-	1
Walpole Public Schools	5	-	-	-	-	-	-	5
Wareham Public Schools	8	-	-	-	-	-	-	8
Watertown Public Schools	8	-	-	-	-	-	-	8
West Boylston Public Schools	3	-	-	-	-	-	-	3
West Springfield Public Schools	19	14	3	-	-	-	17	2
Westfield Head Start	1	-	-	1	-	-	1	-
Westwood Public Schools	3	-	3	-	-	-	3	-
Weymouth Public Schools	44	-	-	-	-	-	-	44
Whitman-Hanson Regional School District	7	-	-	-	-	-	-	7
Winchendon Public Schools	4	-	-	-	-	-	-	4
Winthrop Public Schools	13	7	-	2	-	-	9	4
Worcester Community Action Commission	10	5	1	-	-	-	6	4
Worcester Public Schools	180	-	-	-	-	-	-	180
YMCA of Greater Worcester	13	4	4	2	-	1	11	2
YMCA of Greater Worcester	9	4	-	4	-	1	9	-
Total	<u>5,627</u>	<u>553</u>	<u>101</u>	<u>274</u>	<u>7</u>	<u>13</u>	<u>948</u>	<u>4,679</u>

Appendix VI
OCCS/DOE Comparative Results
Results of Fiscal Year 2000 Collaborative Effort

<u>LEAD AGENCY</u>	<u>Children Waitlisted</u>	<u>Children Served</u>		
		<u>OCCS</u>	<u>DOE</u>	<u>Difference</u>
ABCD Headstart	1,491	-	14	14
Acushnet Public Schools	3	-	1	1
Agawam Public Schools	20	-	-	-
Amesbury Public Schools	8	-	-	-
Amherst Public Schools	4	-	2	2
Ashburnham-Westminster Regional School District	6	-	1	1
Attleboro Public Schools	20	-	4	4
Ayer Public Schools	4	-	2	2
Barnstable Public Schools	23	-	-	-
Bellingham Public Schools	3	-	-	-
Berkshire Hills Regional School District	3	1	-	(1)
Bourne Public Schools	15	11	9	(2)
Brockton Public Schools	148	-	32	32
Brookfield Public Schools	4	-	-	-
Brookline Public Schools	8	-	-	-
Cambridge Public Schools	269	42	47	5
Cape Cod Children's Place	21	-	-	-
Central Berkshire Regional School District	5	-	2	2
Chelsea Public Schools	76	-	12	12
Chicopee Public Schools	56	7	3	(4)
Child Development Program of Cape Ann	14	-	-	-
Child Works Child Care Center	8	-	5	5
Citizens for Citizens	5	3	5	2
Clinton Public Schools	10	4	4	-
Communities United, Inc.	3	1	-	(1)
Communities United, Inc.	15	7	7	-

Appendix VI (Continued)

<u>LEAD AGENCY</u>	<u>Children Waitlisted</u>	<u>Children Served</u>		
		<u>OCCS</u>	<u>DOE</u>	<u>Difference</u>
Communities United, Inc.	20	4	2	(2)
Communities United, Inc.	1	-	-	-
Communities United, Inc.	11	2	1	(1)
Community Action, Inc.	4	-	-	-
Community Day Care Center, Inc.	4	-	-	-
Community Teamwork, Inc.	45	-	10	10
Concord Children's Center	1	-	-	-
Dennis-Yarmouth Regional School District	33	-	33	33
Discovery Schoolhouse, Inc.	8	-	3	3
Dudley-Charlton Regional School District	7	-	-	-
Duxbury Public Schools	2	-	2	2
East Longmeadow Public Schools	6	-	2	2
Erving Elementary Schools	3	2	1	(1)
Everett Public Schools	32	-	-	-
Fairhaven Public Schools	3	-	4	4
Fall River Public Schools	71	-	12	12
Falmouth Public Schools	28	14	13	(1)
Fitchburg Public Schools	83	25	34	9
Framingham Public Schools	25	-	25	25
Frontier Regional School District	1	-	-	-
Gateway Regional School District	18	-	1	1
Georgetown Public Schools	1	-	-	-
Gill-Montague Regional School District	10	4	3	(1)
Greater Lawrence Community Action Commission	40	-	7	7
Greater Lawrence Community Action Commission	12	-	2	2

Appendix VI (Continued)

<u>LEAD AGENCY</u>	<u>Children Waitlisted</u>	<u>Children Served</u>		
		<u>OCCS</u>	<u>DOE</u>	<u>Difference</u>
Greater Lawrence Community Action Commission	295	32	34	2
Greenfield Public Schools	20	-	4	4
Hadley Public Schools	3	-	-	-
Hamilton-Wenham Regional School District	4	-	-	-
Hampshire Community Action Commission	7	3	3	-
Hampshire Educational Collaborative	35	-	3	3
Hampshire Educational Collaborative	6	-	2	2
Hampshire Regional School District	4	-	2	2
Harwich Public Schools	3	-	1	1
Haverhill Public Schools	46	12	16	4
Health and Education Services	20	8	6	(2)
Holland Public Schools	1	-	-	-
Holliston Public Schools	1	-	-	-
Holyoke/Chicopee/Springfield Head Start	4	-	-	-
Holyoke/Chicopee/Springfield Head Start	42	-	13	13
Hudson Public Schools	4	2	4	2
Hull Public Schools	1	-	-	-
Infant Toddler Children's Center	1	-	-	-
Ipswich Public Schools	2	-	2	2
Lee Public Schools	1	-	-	-
Leominster Public Schools	57	-	-	-
Leverett Elementary School	1	1	2	1
Lowell Public Schools	142	-	70	70
Ludlow Public Schools	13	-	5	5
Lynn Public Schools	218	-	134	134

Appendix VI (Continued)

LEAD AGENCY	Children <u>Waitlisted</u>	Children Served		
		<u>OCCS</u>	<u>DOE</u>	<u>Difference</u>
Malden Public Schools	111	-	5	5
Marblehead Public Schools	4	3	1	(2)
Marshfield Public Schools	16	-	7	7
Martha's Vineyard Regional School District	20	-	32	32
Mashpee Public Schools	20	-	1	1
Maynard Public Schools	4	-	1	1
Medfield Public Schools	1	-	-	-
Medford Public Schools	44	6	17	11
Melrose Public Schools	9	-	2	2
Milford Public Schools	11	4	4	-
Mohawk Trail Regional School District	11	-	-	-
Montachusetts Opportunity Council	9	-	2	2
Montachusetts Opportunity Council	8	3	4	1
Montachusetts Opportunity Council	19	14	2	(12)
Nantucket Public Schools	2	-	1	1
Narragansett Regional School District	4	-	2	2
Nashoba Regional School District	4	-	-	-
New Bedford Public Schools	158	72	57	(15)
New Salem-Wendall Regional School District	5	-	-	-
North Adams Public Schools	34	1	21	20
Northampton Public Schools	8	-	5	5
Norwood Public Schools	4	-	-	-
Old Rochester Regional School District	2	-	-	-
Orange Public Schools	1	-	1	1
Oxford Public Schools	9	-	4	4

Appendix VI (Continued)

LEAD AGENCY	Children Waitlisted	Children Served		
		OCCS	DOE	Difference
PACE	7	5	2	(3)
Peabody Public Schools	45	-	13	13
Pentucket Regional School District	2	-	-	-
Pioneer Valley Regional School District	1	-	-	-
Pittsfield Public Schools	71	23	24	1
Plymouth Public Schools	36	8	8	-
QCAP Head Start	92	-	33	33
QCAP Head Start	11	-	-	-
Quabog Regional School District	2	-	-	-
Revere Public Schools	72	-	5	5
Roudenbush Public Schools	3	-	3	3
Salem Public Schools	98	-	28	28
Sandwich Public Schools	4	-	13	13
Saugus Family YMCA	6	-	2	2
Self Help, Inc.	24	-	5	5
Self Help, Inc.	22	4	6	2
Self Help, Inc.	22	4	4	-
Self Help, Inc.	91	14	18	4
Shirley Public Schools	2	-	1	1
Shrewsbury Children's Center	5	-	2	2
Shutesbury Public Schools	2	-	1	1
SMOC Head Start	1	-	-	-
Somerville Public Schools	179	-	18	18
South Shore Community Action Commission	8	3	1	(2)
South Shore Community Action Commission	6	4	2	(2)
South Shore Community Action Commission	9	-	-	-

Appendix VI (Continued)

LEAD AGENCY	Children <u>Waitlisted</u>	Children Served		
		<u>OCCS</u>	<u>DOE</u>	<u>Difference</u>
Southbridge Public Schools	8	2	-	(2)
Southern Berkshire Regional School District	7	-	3	3
Spencer Childcare Center	7	-	-	-
Springfield Public Schools	270	-	40	40
Sturbridge Public Schools	1	-	-	-
Sudbury Public Schools	1	-	-	-
Triton Regional School District	6	-	2	2
Triumph, Inc.	15	-	22	22
Uxbridge Public Schools	3	-	-	-
Wales Public Schools	1	-	-	-
Walpole Public Schools	5	-	1	1
Wareham Public Schools	8	-	13	13
Watertown Public Schools	8	-	2	2
West Boylston Public Schools	3	-	-	-
West Springfield Public Schools	19	3	-	(3)
Westfield Head Start	1	1	1	-
Westwood Public Schools	3	3	3	-
Weymouth Public Schools	44	-	9	9
Whitman-Hanson Regional School District	7	-	-	-
Winchendon Public Schools	4	-	1	1
Winthrop Public Schools	13	2	2	-
Worcester Community Action Commission	10	1	1	-
Worcester Public Schools	180	-	-	-
YMCA of Greater Worcester	13	4	4	-
YMCA of Greater Worcester	9	6	7	1
Totals	<u>5,627</u>	<u>375</u>	<u>1,075</u>	<u>700</u>

APPENDIX VII *

Results of Fiscal Year 2001 Collaborative Effort

<u>CPC Lead Agency - Performed Required Tasks</u>		<u>Requested Waitlist</u>	<u>Provided Waitlist Results</u>	<u>Identified Children Aging Out Of CPC Program</u>
1	Brockton Public Schools	Yes	Yes	Yes
2	Communities United, Inc.	Yes	Yes	Yes
3	Dennis-Yarmouth Regional School District	Yes	Yes	Yes
4	Fall River Public Schools	Yes	Yes	Yes
5	Gill-Montague Regional School District	Yes	Yes	Yes
6	Greater Lawrence Community Action Commission	Yes	Yes	Yes
7	Hudson Public Schools	Yes	Yes	Yes
8	Narragansett Regional School District	Yes	Yes	Yes
9	New Salem-Wendall Regional School District	Yes	Yes	Yes
10	North Adams Public Schools	Yes	Yes	Yes
11	Norwood Public Schools	Yes	Yes	Yes
12	Old Rochester Regional School District	Yes	Yes	Yes
13	Orange Public Schools	Yes	Yes	Yes
14	Plymouth Public Schools	Yes	Yes	Yes
15	QCAP Head Start	Yes	Yes	Yes
16	Shutesbury Public Schools	Yes	Yes	Yes
17	Sudbury Public Schools	Yes	Yes	Yes
18	Walpole Public Schools	Yes	Yes	Yes
19	Westwood Public Schools	Yes	Yes	Yes
20	Weymouth Public Schools	Yes	Yes	Yes

* THE INFORMATION IN THIS TABLE WAS PROVIDED BY OCCS AND MAY BE DIFFERENT FROM THAT DATA MAINTAINED BY DOE.

Appendix VII (Continued)

<u>CPC Lead Agency - Failed to Perform Required Tasks</u>		<u>Requested Waitlist</u>	<u>Provided Waitlist Results</u>	<u>Children Aging Out Of CPC Program</u>
1	Agawam Public Schools	No	No	No
2	Amesbury Public School	No	No	No
3	Amherst Public Schools	No	No	No
4	Ashburnham-Westminster Regional School District	No	No	No
5	Bedford Montessori School	No	No	No
6	Brimfield Public Schools	No	No	No
7	Brookfield Public Schools	No	No	No
8	Brookline Public Schools	No	No	No
9	Discovery Schoolhouse, Inc.	No	No	No
10	Dudley-Charlton Regional School District	No	No	No
11	East Longmeadow Public Schools	No	No	No
12	Farmington River Regional School District	No	No	No
13	Greenfield Public Schools	No	No	No
14	Hadley Public Schools	No	No	No
15	Hamilton-Wenham Regional School District	No	No	No
16	Hampshire Community Action Commission	No	No	No
17	Hampshire Educational Collaborative	No	No	No
18	Harwich Public Schools	No	No	No
19	Holland Public Schools	No	No	No
20	Holyoke/Chicopee/Springfield Head Start	No	No	No
21	Infant Toddler Children's Center	No	No	No
22	Ipswich Public Schools	No	No	No
23	Lee Youth Association	No	No	No

Appendix VII (Continued)

	<u>CPC Lead Agency - Failed to Perform Required Tasks</u>	<u>Requested Waitlist</u>	<u>Provided Waitlist Results</u>	<u>Identified Children Aging Out Of CPC Program</u>
24	Malden Public Schools	No	No	No
25	Manchester Essex Regional School District	No	No	No
26	Marshfield Public Schools	No	No	No
27	Martha's Vineyard Regional School District	No	No	No
28	Melrose Public Schools	No	No	No
29	Northampton Public Schools	No	No	No
30	Peabody Public Schools	No	No	No
31	Quabog Regional School District	No	No	No
32	Saugus Family YMCA	No	No	No
33	Self Help, Inc.	No	No	No
34	Self Help, Inc.	No	No	No
35	SMOC Head Start	No	No	No
36	Southern Berkshire Regional School District	No	No	No
37	Uxbridge Public Schools	No	No	No
38	Wales Public Schools	No	No	No
39	West Boylston Public School	No	No	No
40	Winchester Public Schools	No	No	No
41	Worcester Public Schools	No	No	No
42	Roudenbush Public Schools	No	No	No
43	Salem Public Schools	No	No	No

Appendix VII (Continued)

	<u>CPC Lead Agency - Only Requested Waitlist</u>	<u>Requested Waitlist</u>	<u>Provided Waitlist Results</u>	<u>Identified Children Aging Out Of CPC Program</u>
1	YMCA of Greater Worcester	Yes	No	No
2	Winthrop Public Schools	Yes	No	No
3	Whitman-Hanson Regional School District	Yes	No	No
4	Westport Public Schools	Yes	No	No
5	Westfield Head Start	Yes	No	No
6	Watertown Public Schools	Yes	No	No
7	Triton Regional School District	Yes	No	No
8	Sturbridge Public Schools	Yes	No	No
9	Springfield Public Schools	Yes	No	No
10	Shirley Public Schools	Yes	No	No
11	Sandwich Public Schools	Yes	No	No
12	Pentucket Regional School District	Yes	No	No
13	North Brookfield Pubic Schools	Yes	No	No
14	Natick Public Schools	Yes	No	No
15	Nashoba Regional School District	Yes	No	No
16	Lynn Public Schools	Yes	No	No
17	Hull Public Schools	Yes	No	No
18	Holliston Public Schools	Yes	No	No
19	Health and Educations Services	Yes	No	No
20	Haverhill Pubic Schools	Yes	No	No
21	Hampshire Regional School District	Yes	No	No
22	Hampshire Educations Collaborative	Yes	No	No
23	Georgetown Public Schools	Yes	No	No

Appendix VII (Continued)

	<u>Requested Waitlist</u>	<u>Provided Waitlist Results</u>	<u>Identified Children Aging Out Of CPC Program</u>
<u>CPC Lead Agency - Only Requested Waitlist</u>			
24 Framingham Public Schools	Yes	No	No
25 Falmouth Public Schools	Yes	No	No
26 Fairhaven Public Schools	Yes	No	No
27 Everett Public Schools	Yes	No	No
28 Concord Children's Center	Yes	No	No
29 Community Teamwork, Inc.	Yes	No	No
30 Community Action, Inc.	Yes	No	No
31 Citizens for Citizens	Yes	No	No
32 Child Development Program of Cape Ann	Yes	No	No
33 Bourne Public Schools	Yes	No	No
34 Bellingham Public Schools	Yes	No	No
35 Barnstable Public Schools	Yes	No	No
36 Ayer Public Schools	Yes	No	No
37 Ashland Public Schools	Yes	No	No
<u>CPC Lead Agency - Performed Partial Tasks</u>			
1 Gateway Regional School District	No	No	Yes
2 Cape Cod Children's Place	No	No	Yes
3 Chicopee Public Schools	No	No	Yes
4 Erving Elementary Schools	No	No	Yes
5 Holyoke/Chicopee/Springfield Head Start	No	No	Yes
6 Leverett Elementary School	No	No	Yes
7 Marblehead Public Schools	No	No	Yes
8 Spencer Children's Center	No	No	Yes
9 West Springfield Public Schools	No	No	Yes

Appendix VII (Continued)

		Requested	Provided	Identified
	<u>CPC Lead Agency - Performed Partial Tasks</u>	<u>Waitlist</u>	<u>Waitlist</u>	<u>Children</u>
			<u>Results</u>	<u>Aging Out Of</u>
				<u>CPC Program</u>
10	Acushnet Public Schools	Yes	Yes	No
11	Attleboro Public Schools	Yes	Yes	No
12	Clinton Public Schools	Yes	Yes	No
13	Community Day Care Center, Inc.	Yes	Yes	No
14	Fitchburg Public Schools	Yes	Yes	No
15	Frontier Regional School District	Yes	Yes	No
16	Leominster Public Schools	Yes	Yes	No
17	Maynard Public Schools	Yes	Yes	No
18	Mohawk Trail Regional School District	Yes	Yes	No
19	Montachusetts Opportunity Council	Yes	Yes	No
20	Montachusetts Opportunity Council	Yes	Yes	No
21	New Bedford Public Schools	Yes	Yes	No
22	PACE	Yes	Yes	No
23	Pioneer Valley Regional School District	Yes	Yes	No
24	Self Help, Inc.	Yes	Yes	No
25	Self Help, Inc.	Yes	Yes	No
26	South Shore Community Action Commission	Yes	Yes	No
27	Wayland Public Schools	Yes	Yes	No
28	Westfield Public Schools	Yes	Yes	No
29	Berkshire Hills Regional School District	Yes	No	Yes
30	Boston Public Schools	Yes	No	Yes
31	Cambridge Public Schools	Yes	No	Yes
32	Central Berkshire Regional School District	Yes	No	Yes
33	Chelsea Public Schools			

Appendix VII (Continued)

	<u>CPC Lead Agency - Performed Partial Tasks</u>	<u>Requested Waitlist</u>	<u>Provided Waitlist Results</u>	<u>Identified Children Aging Out Of CPC Program</u>
34	Child Works Child Care Center	Yes	No	Yes
35	Communities United, Inc.	Yes	No	Yes
36	Duxbury Public Schools	Yes	No	Yes
37	Lowell Public Schools	Yes	No	Yes
38	Ludlow Public Schools	Yes	No	Yes
39	Mashpee Public Schools	Yes	No	Yes
40	Medfield Public Schools	Yes	No	Yes
41	Medford Public Schools	Yes	No	Yes
42	Milford Public Schools	Yes	No	Yes
43	Nantucket Public Schools	Yes	No	Yes
44	Oxford Public Schools	Yes	No	Yes
45	Pittsfield Public Schools	Yes	No	Yes
46	Revere Public schools	Yes	No	Yes
47	Shrewsbury Children's Center	Yes	No	Yes
48	Somerville Public Schools	Yes	No	Yes
49	Southbridge Public Schools	Yes	No	Yes
50	Triumph, Inc.	Yes	No	Yes
51	Wareham Public Schools	Yes	No	Yes
52	Winchendon Public Schools	Yes	No	Yes
53	Worcester Community Action Council	Yes	No	Yes
54	YMCA of Greater Worcester	Yes	No	Yes
55	YMCA of Central Massachusetts	Yes	No	Yes

Appendix VII (Continued)

	<u>CPC Lead Agency - Results Not On File At OCCS</u>	<u>Requested Waitlist</u>	<u>Provided Waitlist Results</u>	<u>Identified Children Aging Out Of CPC Program</u>
1	Action for Boston Community Development	N/A	N/A	N/A
2	Citizens for Citizens, Inc.	N/A	N/A	N/A
3	Communities United, Inc.	N/A	N/A	N/A
4	Communities United, Inc.	N/A	N/A	N/A
5	Communities United, Inc.	N/A	N/A	N/A
6	Greater Lawrence Community Action Council	N/A	N/A	N/A
7	Greater Lawrence Community Action Council	N/A	N/A	N/A
8	Health and Educational Services	N/A	N/A	N/A
9	Montachusetts Opportunity Council	N/A	N/A	N/A
10	Quincy Community Action Council	N/A	N/A	N/A
11	South Shore Community Action Council	N/A	N/A	N/A
12	South Shore Community Action Council	N/A	N/A	N/A
13	Swampscott Public Schools	N/A	N/A	N/A

APPENDIX VIII

Summary of Underutilization of Income Eligible Contract

Fiscal Years 2000 and 2001

<u>Vendor Name</u>	<u>Underutilization</u>	
	<u>2000</u>	<u>2001</u>
A Kangaroo's Pouch, Inc.		\$6,368
Acre Family Day Care	\$300	70,000
Action for Boston Community Development	87,300	96,390
Allston/Brighton APAC		7,000
American Chinese Christian Education	5,544	1,000
Association Day Care Services Metropolitan Boston	40,398	194,167
Bear Care Centers LTD		37,796
Becket - Chimney Corners YMCA	15,714	37,719
Belchertown Day Care		13,000
Berkshire County Head Start Child Development	36,000	53,000
Berkshire Center for Families and Children	87,000	
Bethel Child Care Services, Inc.	20,523	10,000
Bethel Christian Learning Center	7,308	27,500
Beverly Children's Learning Center, Inc		19,900
Boston Medical Center		68,032
Boys and Girls Club of Brockton, Inc.	33,973	13,000
Boys and Girls Club of Taunton	12,079	17,000
Bridge Fund, Inc.	28,133	40,500
Cambodian MAA of Greater Lowell, Inc.	41,883	35,000
Cambridge Economic Opportunity Committee	169,000	184,000
Cambridgeport Children's Center		13,500
Capacidad	4,493	
Cape Cod Child Development Program, Inc.	99,500	23,000
Cape Cod YMCA, Inc.	9,140	500
Catholic Charitable Bureau of Boston	117,286	125,362
Center for Child Care & Development Inc.		24,400
Center for Development of Human Services	9,500	32,000

Appendix VIII (Continued)

<u>Vendor Name</u>	<u>Underutilization</u>	
	<u>Fiscal Years</u>	
	<u>2000</u>	<u>2001</u>
Cerebral Palsy Association - South Shore Area, Inc.	\$1,429	\$2,000
Chicopee Child Development		25,000
Child Care of the Berkshires	191,840	203,000
Child Development Center, Inc.	46,284	
Child Development Family System, Inc.	6,800	46,222
Child Development Program of Cape Ann	25,322	119,000
Childcare Project, Inc.		46,488
Children Discovery Centers	1,276	14,300
Children's Aid and Family Services	69,000	51,000
Children's Friend, Inc.	5,000	
Children's Service of Roxbury, Inc.	638,000	85,000
Children's World Educational Center, Inc.	10,063	
City of Boston/Community Centers	171,657	245,563
City of Brockton	11,000	9,200
City of Cambridge/Department of Human Services		8,000
City of Fall River		25,000
City of Somerville/Comm. Schools		115,000
Clarendon Family Day Care	14,000	22,077
Comm. Day Care Center of Lawrence		140,000
Commonwealth Family Child Care	9,738	
Communities United, Inc.	45,200	139,900
Community Action, Inc.	19,224	49,500
Community Action Programs Intercity, Inc.	30,000	2,892
Community Art Center	10,694	30,000
Community Family Day Care		2,148
Community Teamwork, Inc.	69,210	327,000
Crittenton Hastings House	135,195	69,024
Dandelion School	7,127	16,000
Dimock Community Health Center	7,917	
Discovery Day Care Center, Inc.	1,972	9,000
Dove's Nest Day Care Centers	2,328	2,350

Appendix VIII (Continued)

<u>Vendor Name</u>	<u>Underutilization</u>	
	<u>2000</u>	<u>2001</u>
Doves Nest Family Day Care System, Inc.	\$3,000	
Early Learning Child Care, Inc.	1,000	\$40,000
East Boston Social Centers, Inc.		12,268
Educare for Kids, Inc.	8,000	
Edward Street Day Care Center, Inc.	57,000	100,000
Ellis Memorial and Eldredge House, Inc.		7,056
Elm Park Center for Early Childhood Education	15,500	1,200
Enable, Inc.	21,200	28,100
Expanded Horizon		11,000
Family Day Care Program, Inc.	31,040	80,000
Family Services Association of Greater Fall River	16,080	
Federated Dorchester Neighborhood House	58,400	30,000
For Kids Only After School	1,355	5,378
Franklin Community Action Corporation	52,040	93,034
Franklin Square House Day Care Center, Inc.		3,882
Friendly House, Inc.	58,000	2,000
Girls Club of Greenfield	16,559	37,000
Girls Inc. of Berkshire/Pittsfield	29,937	
Girls Inc. of Greater Haverhill	14,784	15,000
Girls Inc. of Holyoke	4,912	35,000
Girls Inc. of Lynn	2,768	20,000
Greater Boston YMCA	283,088	290,275
Greater Lynn YMCA	114,416	177,000
Gregg Neighborhood House Association, Inc.		55,000
Greater Lawrence Community Action Council		17,000
Guild of St. Agnes	64,264	34,000
Hampshire Community Action Commission	47,000	59,000
Hampshire Regional YMCA	16,402	20,000
Happy Day Child Care Center	33,000	58,000
Harbor Health Services (Neponset)		9,000
Hattie B. Cooper Community Center, Inc.	139,854	27,807

Appendix VIII (Continued)

<u>Vendor Name</u>	<u>Underutilization</u>	
	<u>Fiscal Years</u>	
	<u>2000</u>	<u>2001</u>
Henry Buckner School		\$18,000
Holyoke Day Nursery	\$27,225	23,000
Holyoke YMCA	28,096	25,000
Holyoke/Chicopee/Springfield/Headstart	30,000	100,000
House of Seven Gables Settlement Association	2,976	
Independence Route Day Care/Kids Stop		2,000
Infants and Other People, Inc.	86,000	103,598
Inquilinos Boricuas En Accion		28,492
JCH Child Care Corp.		10,000
Job Options, Inc.	6,996	65,000
John F. Kennedy Family Service Center, Inc.		2,000
Jolly Farms Day Care	125,798	213,645
Kennedy-Donovan Center, Inc.	70,208	43,000
Kiddie Kampus, Inc.		700
Kids Place		45,000
Kids Unlimited, Inc.	40,000	22,000
LP College, Inc.		4,462
Lemberg Children's Center		5,000
Lena Park Community Development Corp.		14,798
Lincoln-Sewall Daycare, Inc.		2,000
Little Folks Community Day Care Center	35,406	
Little People's College	15,300	26,092
Little Sisters of the Assumption	20,900	11,355
Little Tots Day Care	38,374	28,000
Lynn Economic Opportunity, Inc.	5,769	15,000
Malden Young Men's Christian Association, Inc.		21,579
Markman Children's Program	152,342	111,000
Marks Meadow After School Program		7,000
Martha's Vineyard Community Services	12,000	55,400
Mass. Job Training	75,000	30,130
Meadowlark, Inc.		7,000

Appendix VIII (Continued)

<u>Vendor Name</u>	<u>Underutilization</u>	
	<u>Fiscal Years</u>	
	<u>2000</u>	<u>2001</u>
Mental Health & Retardation Center of C/S	\$71,557	\$45,000
Merrimack River Community Child Care, Inc.	1,970	25,000
Merrimack Valley YMCA	1,456	
Metrowest Latin American Center, Inc.	93,003	58,000
Metrowest YMCA	12,977	23,000
Mont Marie Child Care Center	25,802	22,500
Montachusets Opportunity Council	97,000	111,000
Montachusets Regional YMCA	13,862	4,000
Mother Hubbard Preschool Center		6,000
N.I.C.E. Day Care	6,588	9,450
Neighborhood Development Corp. of Jamaica Plain		5,915
Nevins Family of Services	1,127	33,000
New Bedford YMCA/YMCA Southcoast	12,403	24,000
New North Citizens Council		38,000
Newton Community Service Center, Inc.	43,600	76,430
North Shore Family Day Care, Inc.		40,000
Northern Educational Services	18,095	15,000
Oakland Park Children's Center		50,000
Old Colony Y	165,595	30,000
Oxford Street Day Care		8,700
Paige Company, Inc.	6,578	22,612
Pittsfield YMCA	57,698	63,000
Plowshares Child Care Programs	23,100	59,165
Prevention NOW, Inc.	7,320	
Professional Family Child Care Services	29,100	275,230
Prospect Terrance Day Care	41,673	59,300
Quincy School Community Council, Inc.	30,000	22,016
Rockwood Day Care Center, Inc.		11,000
Salem's Community Child Care, Inc.	7,931	
Salvation Army	4,454	37,967
Self Help, Inc.	19,000	19,000

Appendix VIII (Continued)

<u>Vendor Name</u>	<u>Underutilization</u>	
	<u>2000</u>	<u>2001</u>
Sgt. Carney Academy After School DC, Inc.	\$7,000	\$7,000
SMOC	216,856	84,474
South Hadley Child Care Association	18,205	20,000
South Shore Day Care Services	68,400	75,000
Somerville YMCA	32,774	55,000
South Boston Neighborhood House, Inc.	1,019	4,715
South Cove Community Health Center		5,000
South Shore Community Action Council, Inc.	55,000	13,000
Southside Community Day Care	6,865	5,000
Special Moments in Learning Experience	74,536	18,000
Springfield Day Nursery	50,000	99,000
Springfield Girls Club Family Center	27,464	15,000
Springfield Partners for Community Action		230,000
Thorndike Street		7,500
Tri City Comm. Mental Health & Retardation	17,217	27,262
Tri Community YMCA	15,000	14,000
Tri-City Community Action Program, Inc.	8,100	
Triumph, Inc.	4,400	
Tufts Educational Day Care Center		13,000
United Front Child Development Programs	281,027	480,000
United South End Settlements	12,920	17,800
University of Mass/Amherst	13,361	20,000
Valley Human Services		16,000
Valley Opportunity Council		40,000
Village Preschool		5,107
VIP Childcare Inc.		50,192
Waltham Boys and Girls Club		8,400
Waltham Day Care Center		26,000
Wareham Early Childhood Education & Development Center	4,000	20,100
Wesley Child Care Center, Inc.	8,613	9,076
West End Day Nursery of New Bedford, Inc.	6,509	17,000

Appendix VIII (Continued)

<u>Vendor Name</u>	<u>Underutilization</u>	
	<u>Fiscal Years</u>	
	<u>2000</u>	<u>2001</u>
Williamstown Community Day Care	\$15,070	\$15,000
Woburn Council of Social Concern	66,300	36,000
Worcester Comprehensive Child Care	43,267	125,000
YMCA of Greater Fall River	45,000	16,000
YMCA of Greater Springfield	99,741	147,000
YMCA of Greater Westfield		30,000
YMCA of Greater Worcester	14,400	
YMCA of the North Shore, Inc.		10,000
YWCA of Boston	18,943	25,757
YWCA of Central Mass.	21,000	300
YWCA of Greater Lawrence	13,264	
YWCA of Southeastern MA	<u>80,000</u>	<u>15,000</u>
Total Underutilization of Maximum Obligation	<u>\$6,355,479</u>	<u>\$8,280,017</u>

APPENDIX IX
Service Providers with Slot Reductions
Fiscal Year 2001

Childcare Providers	Childcare Program	Slot Reduction
Hampshire Regional YMCA	School-Age	3
Learning Unlimited, Inc.	Toddler	1
Learning Unlimited, Inc.	Pre-School	4
Learning Unlimited, Inc.	School-Age	2
Mont Marie Child Care Center	Pre-School	5
Pittsfield YMCA	School-Age	9
Springfield Girls Club	Pre-School	1
Springfield Partners for Children	Pre-School	6
Williamstown Community Day Care	Pre-School	6
YMCA of Greater Springfield, Inc.	School-Age	10
Edward Street Day Care Center	Pre-School	15
Happy Day Child Care Center	Pre-School	12
Cambodian MAA	Pre-School	6
Cambridge Economic Opportunity	Pre-School	8
Cambridge Economic Opportunity	School-Age	27
Metrowest Latin American Center	Pre-School	8
Preschool Center	School-Age	5
Prospect Terrace Day Care	Pre-School	6
Bridge Fund, Inc.	School-Age	8
Children's Services of Roxbury	Infant/Toddler	35
Children's Services of Roxbury	Pre-School	14
Hattie B. Cooper Community Center	Infant/Toddler	14
Infant and Other People, Inc.	Infant/Toddler	2
Infant and Other People, Inc.	Pre-School	<u>2</u>
Total		<u>209</u>

Appendix IX (Continued)
Service Providers With Slot Reductions
Fiscal Year 2002

Childcare Providers	Childcare Program	Slot Reduction
Becket-Chimney Corners YMCA	Pre-School	4
Becket-Chimney Corners YMCA	School-Age	5
Child Care of the Berkshires	Infant/Toddler	4
Child Care of the Berkshires	Pre-School	9
Child Care of the Berkshires	School-Age	4
Northern Educational Services	Pre-School	8
Friendly House, Inc.	School-Age	7
Worcester Comprehensive Child Care	Pre-School	6
Greater Boston YMCA	Infant/Toddler	10
Greater Boston YMCA	Pre-School	8
Greater Boston YMCA	School-Age	40
Jolly Farms Day Care	Infant/Toddler	9
Jolly Farms Day Care	School-Age	9
Oakland Park Children's Center	Pre-School	7
Plowshares Child Care Program	Pre-School	6
Prospect Terrace Day Care	Pre-School	5
United Front Child Development Prog.	Infant/Toddler	3
United Front Child Development Prog.	Pre-School	20
United Front Child Development Prog.	School-Aged	20
City of Boston Community Centers	Pre-School	4
City of Boston Community Centers	School-Aged	5
City of Boston Community Centers	Toddler	7
Franklin Community Action Corp.	Family Child Care < 2	<u>9</u>
Total		<u>209</u>