

Compliance at Scale

June 24, 2026 | 1:00pm | Diane Shirley



OUR MISSION

Reaching the Whole Child

A thick, horizontal teal brushstroke underline is positioned below the title.

**Every young person in a COMPASS program deserves to
feel safe, supported, and able to grow.**

**This convening is for the leaders responsible for
building organizations that make that possible.**

OUR GOALS

Reaching the Whole Child

- Build genuine understanding of the three priority areas in the new COMPASS RFP
- Create space for EDs and PDs to **assess where their organizations stand** across all three areas: what they know, what they have in place, and what they need to build
- Solicit **candid feedback from the field** that will directly inform how TA providers design ongoing capacity-building support
- Understand and catalog the **distinct needs** of new providers launching COMPASS for the first time, organizations scaling to additional sites, and established providers navigating new requirements
- **Open the door to the peer learning and TA relationships** that will carry leaders through implementation

Reaching the Whole Child

By the end of the week, we hope to support you by...

- ☐ Improving your understanding across the key areas
- ☐ Improving your understanding of the requirements for your specific organization
- ☐ Providing clarification on at least one concrete next step for your organization
- ☐ Helping you feel less alone in the work by hearing from peers and TA Providers
- ☐ Introducing our plan for ongoing capacity building support being designed for the year
- ☐ Hearing your feedback to best support you beyond this week's convening

Community Norms

- Be present and engaged
- Use the chat and tools intentionally, and remain on mute if not speaking
- Step up, step back
- Assume positive intent
- Respect confidentiality – what is said here, stays here, what is learned here, leaves here
- Honor time together





The Partnership for After School Education (PASE) is a child-focused organization that promotes and supports quality afterschool programs, particularly those serving young people from underserved communities.



178
professional
development
events



7500+
attendees

Introductions

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Introductions

In the Chat

- Share your name
- Role/Organization
- Number of years working with school aged children



Diane Shirley
School Age Child Care Professional Specialist/ Coach
OCFS Compliance Consultant

Goals



- Provide COMPASS program leaders with a **clear understanding of OCFS compliance process**
- Support Multi-site organizations to **identify, prioritize, and address compliance risks across locations** in meeting OCFS requirement



Objectives

- Review key components of OCFS SACC Compliance
- Assess current compliance consistency across program sites
- Develop a multi-site compliance Priorities List
- Troubleshoot common compliance risks



Agenda

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- Introduction
- Who's in the room
- Review OCFS Compliance
- Compliance Assessment
- Document gaps in systems
- Build Multi-Site Compliance Priorities List
- Q & A
- Exit Ticket



Introduction

“Each school age child care program must operate in compliance with the regulations of the Office and all other applicable laws and regulations”



Which best describes your current experience with OCFS compliance for SACC programs?

Scan the QR
code or click the
link in the chat

Who's in the Room



REVIEW OCFS COMPLIANCE



OCFS Compliance Triangle



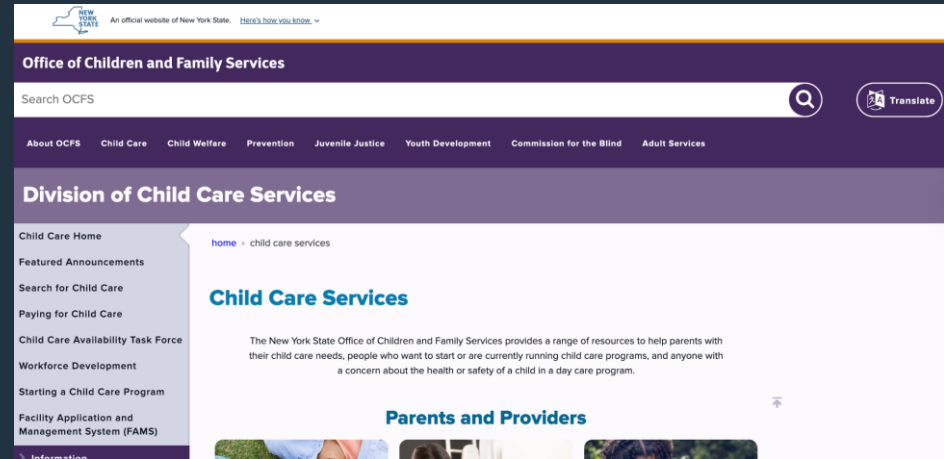
Strong documents and qualified staff support everyday health and safety.

Bookmark OCFS' Website for Child Care

<https://ocfs.ny.gov/programs/childcare/>

- Regulations
- Trainings
- Policies
- Forms

OCFS Resources





OCFS Compliance Resources

[OCFS – Division of Child Care Services](#)

Regulations

[Part 414](#)

Definitions

[Part 413](#)

[Policies](#)

Trainings

Resources and Publications

- **Forms**
- [Letters to Providers](#)



New York State Child Day Care Regulations

Effective September 7, 2022

Disclaimer: This is an unofficial compilation of NYCRR

Part 413

Child Day Care Definitions, Enforcement and Hearings

413.1 Scope

413.2 Definitions

413.3 Enforcement of Regulations

413.4 Criminal History Review

413.5 Hearings

413.6 Waivers

413.7 Criminal History Disqualification Review Process

New York State Child Day Care Regulations

Effective October 13, 2021

Disclaimer: This is an unofficial compilation of NYCRR

Part 414

School-Age Child Care

414.1 Definitions, Enforcement and Hearings

414.2 Procedures for Applying for and Renewing a Registration

414.3 Building and Equipment

414.4 Fire Protection

414.5 Safety

414.6 Transportation

414.7 Program Requirements

414.8 Supervision of Children

414.9 Behavior Management

414.10 Child Abuse and Maltreatment

414.11 Health and Infection Control

414.12 Nutrition

414.13 Staff Qualifications

414.14 Training

414.15 Management and Administration

Assessment

**Violations impact the
entire organization.**

The focus is on where are we now?

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Take 15 minutes to complete the Self-Assessment Tool

For each item, rate each site:

3- Strong: Fully in place and documented

2- Developing: In place but inconsistent across sites or not well documented

1- Needs Work: Not reliably in place/unknown



**Scan the QR Code or
click on the link in the
chat for Self-
Assessment**



Reflection & Discussion

What do you notice?

Where do you see consistent 2s+3s?

Where do you see variance?



Document

Document 3–5 vulnerability hotspots



Group discussion

- Which OCFS 414 requirements would be **hardest for you to prove** if an inspector walked in tomorrow and asked for evidence?
- If we suddenly lost one key site director or coordinator, **which regulations would be most at risk** of slipping out of compliance within 30 days?

Document Gaps

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Poll

- Green – If this is strong at most of your sites
- Yellow – If uneven/depended on particular people
- Red – Often missed or not sure

Common Violation

- 1> Safety
- 2> Supervision
- 3> Health
- 4> Training
- 5> Management





Breakout rooms

Small group discussion



Multi-site Compliance Priority List

OCFS 414 Cite	Requirement	Risk Level	Needed System or Protocol	Supervisory Practice to implement	Point person	Timeline
414.5(b)	Two shelter-in-place drills are held annually, parents notified in advance, and drills are documented	High	System - create a calendar with host school. Review shelter in place at staff meeting. Create a sample parent notification email	Review shelter-in place expectation in one-on-one supervision meeting	Program Director	August

Questions?

**Ask them out loud or
add to the chat!**



Best Practice

- Clarify and stabilize core compliance practices
- Standardize how information and records are kept across sites
- Monitor compliance issues across sites
- Increase access to key documents and information
- Reduce dependency on single individuals
- Build supervision routines around compliance

Resources



Resources



OCFS – Division of Child Care Services

Starting a SACC Program

What Constitutes a School Age Child Care Program

FAMS

Regulations

Part 414

Definitions

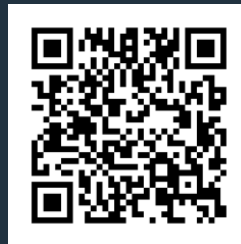
Part 413

Additional Support

From Contract to Program Ready: Strategies for a Strong Start

June 26, 2026 – 10:00am-12:00pm

In this **online** session, learn from your peers and a skilled facilitator on practical strategies for securing licenses and key documentation, staffing up efficiently, building working relationships with key school staff and others who hold institutional knowledge, and leveraging your agency's existing strengths to set your new site up for success.



Exit Ticket

What is one tangible next step you will take on your multi-site compliance journey?



Contact information

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