

Compliance from the Ground Up

June 24, 2026 | 9:15 am | Diane Shirley



OUR MISSION

Reaching the Whole Child

A thick, horizontal teal brushstroke underline is positioned directly beneath the "Reaching the Whole Child" 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



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

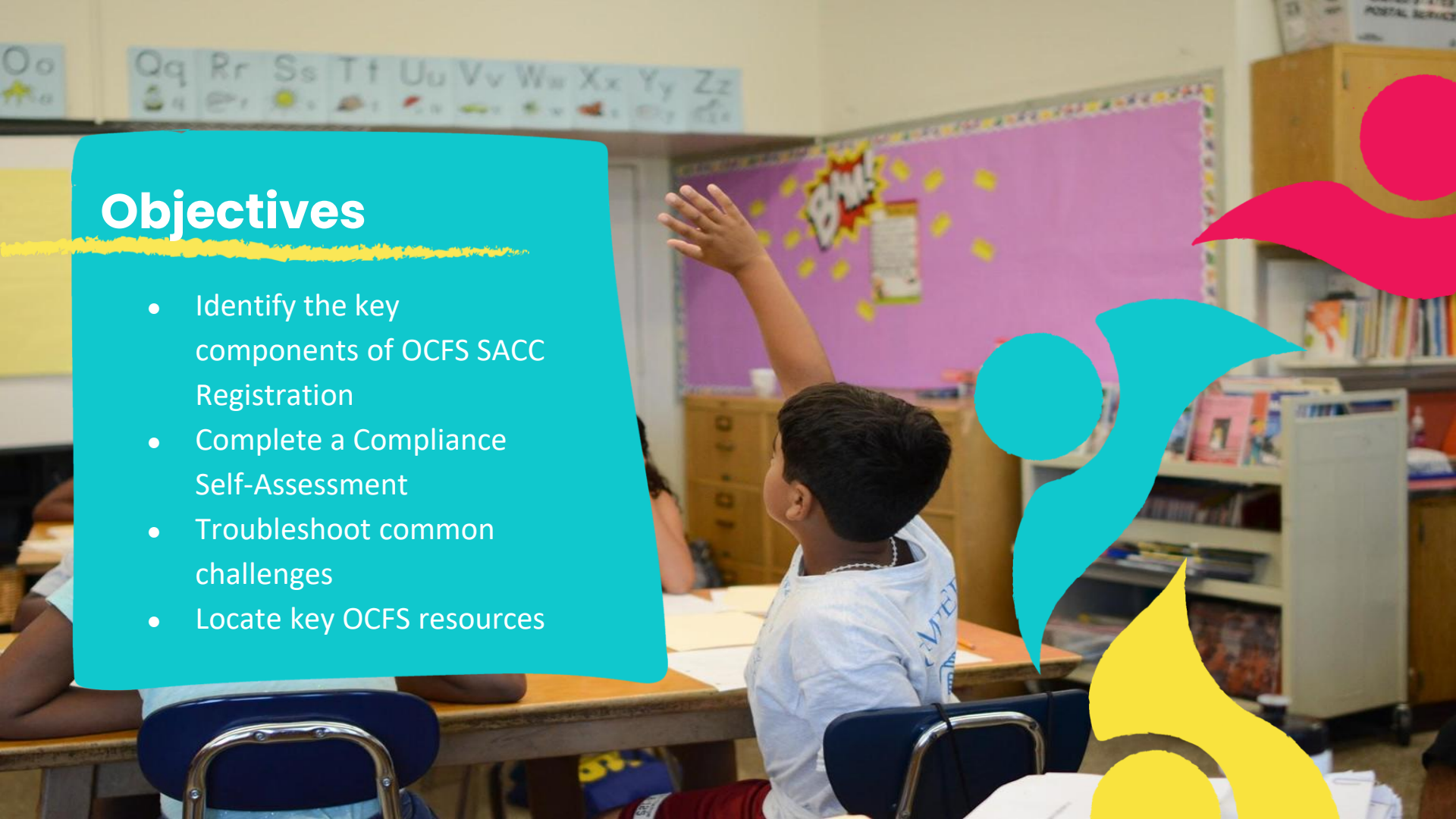
A thick, textured teal brushstroke line that tapers at both ends, positioned horizontally below the title.

- Provide COMPASS program leaders with a clear understanding of OCFS compliance process
- Support organizations to assess their current progress in meeting OCFS requirements
- Identify actionable steps needed to achieve compliance before program launch



Objectives

- Identify the key components of OCFS SACC Registration
- Complete a Compliance Self-Assessment
- Troubleshoot common challenges
- Locate key OCFS resources



Agenda

A thick, horizontal blue brushstroke underline that starts under the 'A' and ends under the 'a'.

- Introduction
- Who's in the room
- Understanding OCFS Compliance
 - Program Start Up
 - Staff Clearance and Documentation
 - Best Practice
- Self- Assessment
- Resources and Troubleshooting
- Exit Ticket



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

**Where is your organization in
the SACC registration journey?**

Scan the QR
code or click the
link in the chat

Who's in the Room



Understanding OCFS Compliance



OCFS Compliance Triangle



Strong documents and qualified staff support everyday health and safety.

Apply for
SACC
license

Submit
docs to
FAMS

Complete
6000 packet
for Director

Once SACC
approved,
access to
SCR

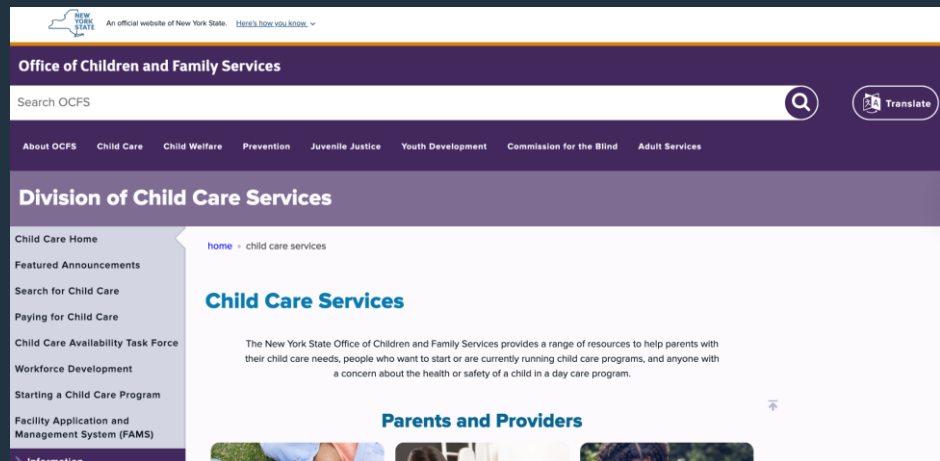
Submit
documents
for
clearance
for all staff



Bookmark OCFS' Website for Child Care

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

Program Start Up



Accessing Application

New Providers

- Attend a virtual [Child Day Care Orientation](#)
- Upon completion, you can request an application for a child care program license

Returning Providers

Contact your OCFS Borough Supervisor to receive FAMs link

Accessing Resources

- Check out OCFS website for [resources](#) on the following content:
- Information for Applicants
- Provider Training
- Program Development
- Nutrition
- Health and Safety
- Emergency Planning
- Child Care Assistance Program

Remember

- Timeline to complete
- Paperwork to collect
- Information required from site/school/principal/facilities
- Scheduling inspection
- Require SACC application to be submitted before initiating background checks for staff
- **All center based sites are required to obtain their SACC license by 180 days of their award letter**
- **All providers require a SACC license to operate**

Tips

- Directors can be listed for **up to 4 sites** on SACC applications. Identify sites in close proximity to each other. Director must be in the **same role at all sites.**
- If Director does not meet qualifications, they can **register for the SACC Credential Course & provide a enrollment letter with a waiver** to expedite the process.

Questions?

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



Staff Clearance

Considerations

- SACC application **must be submitted first** but begin thinking about your staffing plan, especially for Directors and Site Supervisors
- **Familiarize yourself with the requirements** for each position by reading RFP and OCFS requirements
- Directors, Site Supervisors, Employees and Volunteers **all** require a Comprehensive Background Check (CBC).

Staff who have never worked in child care

FIRST submit fingerprints

THEN enter the 6000 packet information online

Considerations:

- Make sure the **information matches up with the ID they bring** (name, birthday, etc...)

Staff who have been fingerprinted before

FIRST Log into FAMS and [request a waiver](#).

THEN complete a Statewide Central Register Database Check **and** the Medical Statement for the individual.

Considerations

For Directors and Site Supervisors, in addition to CBC, you require a
Medical Statement, Qualifications, and References

Questions?

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



Best Practice

Considerations

- Application is the first step. **Compliance is a practice.**
- There are mandatory training requirements and **ongoing training requirements**
- OCFS shares regulations, policies, trainings, forms, and letters to providers. **All are important to read and understand.**

Training

Required Training Hours

15 Hours

30 Hours

A minimum of 5 hours of
Office-approved training

When Is Training Required?

Within the first 6 months of
employment

Every 2 years in the 10
required training topic areas

Each Year

TRAINING REQUIREMENTS

Organization is the Key

Assessment

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



Take 10 minutes to complete the Self-Assessment Tool

For each item, rate each site:

3- Green: Fully in place and documented

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

1- Red: Not reliably in place/unknown



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



Reflection & Discussion

What did we learn?

What will we do?

What type of support will you need?



Questions?

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



Resources





Resources

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

Regulations

[Part 414](#)

Definitions

[Part 413](#)

[Facility Application and Management System - FAMS](#)

[6000 Packet](#)

[Sample requirement](#)

Resources

Request for Fingerprinting Services

DYCD Compliance support:

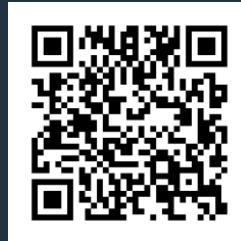
- **Allison Keith** - Senior Director of Compliance and Program Initiatives AlKeith@dycd.nyc.gov
- **Emil Murzametov** – Deputy Director of Compliance emurzametov@dycd.nyc.gov

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.



Questions?

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



Exit Ticket

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

Contact information

Connect with Diane Shirley
dshealthsafetytraining@gmail.com
347-470-9524