



FY 2010 Office of Head Start Monitoring Protocol Guides

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Introduction to the FY2010 Office of Head Start Monitoring Guides

The Office of Head Start (OHS) presents the FY2010 Office of Head Start Monitoring Guides that accompanies the FY2010 Monitoring Protocol. The **Guides** are composed of questions within the Monitoring Protocol and are organized by the type of reviewer collecting the information (e.g., ISR1 reviewer, PDM reviewer) and the type of method used to collect the information (e.g., Interview, Classroom Observation).

The Protocol organizes elements of Head Start Performance Standards and other program regulations into 11 sections against which compliance will be monitored:

- Health Services
- Nutritional Services
- Safe Environments
- Transportation Services
- Disabilities Services
- Mental Health Services
- Family and Community Services (FCS)
- Education and Early Childhood Development Services (ECD)
- Fiscal Management
- Program Design and Management (PDM)
- Eligibility, Recruitment, Selection, Enrollment and Attendance (ERSEA)

Compliance Questions form the basis of the Protocol, with each question focusing on one or more performance standard against which compliance will be monitored. Review teams must respond to Compliance Questions using the *Targeted Questions*, which outline the minimum “evidence gathering” requirements in addressing questions effectively. The *Targeted Questions* indicate the people to interview, questions to ask, information to retrieve from documents, observations to conduct, and management systems to analyze in developing an understanding of grantee compliance with each question. All of the evidence gathering questions must be completed in order to answer the associated compliance question.

A series of tools, or **Guides**, have been developed to organize the evidence gathering process. These tools, which organize the Targeted Questions by method of data collection and source, include:

- Pre-site Document Review Guides (for PDM and Fiscal Reviewers)
- Interview Guides
- Observation Guides
- Document Review Guides
- Checklists (e.g., Safe Environments Checklist)
- Child and Staff File Review Guides
- Management Summary Analysis Guides

The evidence collected through each Guide is linked to Compliance Questions and will be used to assist review teams in making compliance determinations.



Organization and Use of the Guides

Types of Guides

Guides are organized by reviewer and protocol sections. Each reviewer has a set of tasks they are asked to perform during the review of a grantee. For example, the Education and Early Childhood Development (ECD) reviewer conducts the following tasks while on a review: 1) Interviews the ECD Coordinator, 2) Reviews program documentation pertaining to ECD, such as the Curriculum, 3) Visits classrooms, family child care settings and home-visits to make direct observations about the delivery of services to children, 4) Interviews teachers, family child care providers, and home-visitors, 5) Reviews Child Files for each classrooms/settings visited 6) Reviews the Staff Files for the ECD Coordinator and/or Content Area Expert, and 7) Completes Management Systems Analyses. For each of these tasks, OHS has created tools to guide the collection of information that will be used to assess the grantee's compliance with specific Compliance Questions. The following is a list of Guides currently used by reviewers while conducting an on-site review.

Reviewer	Guide
Integrated Service Reviewer 1 (ISR1): Disabilities, Mental Health & Family and Community Services	<ul style="list-style-type: none"> ✓ Interview Guides: Disabilities Coordinator, Mental Health Coordinator, FCS Coordinator, FCS Staff, Parent ✓ Child File Review Guides: A sample of 30 children's files, at a minimum ✓ Staff File Review Guides: Files for the Disabilities, Mental Health, and FCS Coordinators and/or Content Area Experts ✓ Document Review Guides (e.g., Disabilities Service Plan, Transition Plans) ✓ Management Systems Analyses
Integrated Service Reviewer 2 (ISR2): Health, Nutrition, Safe Environments, Transportation	<ul style="list-style-type: none"> ✓ Interview Guides: Nutrition Coordinator, Kitchen Staff, Health Coordinator, Facilities Coordinator, Transportation Coordinator, Bus driver, and Bus monitor ✓ Child File Review Guides: 3-4 child files per center visited, 20 files minimum ✓ Staff File Review Guides: Files for the Health, Nutrition, Facilities, and Transportation Coordinators and/or Content Area Experts ✓ Document Review Guides (e.g., Prenatal Education Materials, Facility License) ✓ Observation Guides: Health and Safety Center-based and Family Child Care Observations ✓ Checklists: Safe Environments Center-based and Family Child Care Checklists ✓ Bus Inspection ✓ Management Systems Analyses
Education and Early Childhood Development Reviewer	<ul style="list-style-type: none"> ✓ Interview Guides: ECD Coordinator, Teaching Staff, Home Visitors, Family Child Care Providers ✓ Child File Review Guides: 3-4 child files per center visited, 20 files minimum ✓ Staff File Review Guides: File for the ECD Coordinator and/or Content Area Expert ✓ Document Review Guide: Curriculum ✓ Observation Guides: Center-based, Family Child Care, and Home-based settings ✓ Management Systems Analyses



Reviewer	Guide
Program Design and Management (PDM) Reviewer: PDM and ERSEA	<ul style="list-style-type: none"> ✓ <u>Pre-site Document Review Guides</u> (e.g., Community Service Plans/Program Plans) ✓ <u>Interview Guides</u>: Head Start/Early Head Start Director, Governing Body Members, Policy Council and Committee Members, ERSEA Coordinator ✓ <u>Staff File Review Guides</u>: Files for Head Start/Early Head Start Director, Teaching staff for all classrooms visited, FCC Providers, Home-visitors, and Bus Drivers, ERSEA Coordinator ✓ <u>Document Review Guides</u> (e.g., Code of Conduct, Enrollment Reports) ✓ <u>Management Systems Analyses</u>
Fiscal Management Reviewer	<ul style="list-style-type: none"> ✓ <u>Pre-site Document Review Guides</u> (e.g., SF-424, Financial Assistance Award (FAA)) ✓ <u>Document Review Guide</u> (e.g. Salaries & Payroll, Leases & Rent Documents) ✓ <u>Interview Guide</u>: Fiscal Officer ✓ <u>Transaction Sampling and Analysis Guides</u> (e.g., Payroll, Non-Federal Share) ✓ <u>Staff File Review Guides</u>: File of the Fiscal Officer ✓ <u>Observations</u> (e.g., Fiscal Controls) ✓ <u>Management Systems Analyses</u>

Tailoring the Guides to the Grantee

All guides are customized to reflect the type of program being reviewed (e.g., center-based, family child care, home-based, migrant), and the types of children or populations being served by the program (e.g., infants and toddlers, preschool-age children, pregnant women and new mothers).

Information on how each guide is tailored can be found by looking at both the name of the Guide (e.g., ECD Classroom Observation) and the “**APPLIES TO**” text on the guide questions. If a question does not have an “**APPLIES TO**” label, then it applies to all program types and all types of populations being served. Below is a list of how the “**APPLIES TO**” fields are used in the various guides.

How the Question is Tailored	Meaning
APPLIES TO: Center-based programs	The question is only asked if the grantee being reviewed operates a center-based program as one of its program options or the reviewer is observing the center-based option during a classroom visit.
APPLIES TO: Family child care programs	The question is only asked if the grantee being reviewed operates a family child care program as one of its program options or the reviewer is observing a family child care option during a visit.
APPLIES TO: Home-based programs	The question is only asked if the grantee being reviewed operates a home-based program as one of its program options or the reviewer is observing a Home-based option during a visit.
APPLIES TO: Migrant and Seasonal grantees	This question is only asked if the grantee being reviewed is a migrant and seasonal grantee.



How the Question is Tailored	Meaning
APPLIES TO: Non-migrant and Seasonal grantees	This question is only asked if the grantee being reviewed is NOT a migrant or seasonal grantee.
APPLIES TO: Programs serving infants and toddlers	The question is only asked if either the program being reviewed serves infant and toddler or the reviewer is observing an infant and toddler classroom.
APPLIES TO: Programs serving preschool-age children	The question is only asked if either the program being reviewed serves preschool-age children or the reviewer is observing a preschool classroom.
APPLIES TO: Programs serving pregnant woman and new mothers	The question is only asked if the program being reviewed serves pregnant women and new mothers
APPLIES TO: Programs providing transportation services	The question is only asked if the program being reviewed provides transportation services.
APPLIES TO: American Indian or Native Alaskan grantees	This question is only asked if the grantee being reviewed is an American Indian/Alaskan Native (AIAN) grantee.
APPLIES TO: Non-American Indian or Native Alaskan grantees	This question is only asked if the grantee being reviewed is NOT an American Indian/Alaskan Native (AIAN) grantee.
APPLIES TO: Nonprofit organizations	This question is only asked if the program being reviewed is a nonprofit agency
APPLIES TO: Governmental organizations	This question is only asked if the program being reviewed is a governmental agency
APPLIES TO: Grantees with delegates	This question is only asked if the grantee being reviewed has delegate agencies.

Linking the Guide Questions to Compliance Questions

After each question on the Guides, one or more Compliance Question numbers are listed (e.g., NUT 4A), indicating that the evidence collected with the question will be linked to the associated Compliance Question. This information will be used to evaluate the grantees overall compliance with the associated Head Start Performance Standards.



Integrated Services Reviewer 1 Guides (Review of Disabilities, Mental Health, Family and Community Services)

The following Guides are used by ISR 1 reviewers to collect information on program performance with respect to disabilities, mental health, and family and community services:

Disabilities Services

- Disabilities Document Review
- Disabilities Coordinator Interview
- Child Files—Disabilities
- Staff Files—Disabilities Coordinator/Content Area Expert
- Disabilities Management Systems Analyses

Mental Health Services

- Mental Health Document Review
- Mental Health Coordinator Interview
- Staff Files—Mental Health Coordinator/Content Area Expert
- Mental Health Management Systems Analyses

Family and Community Services (FCS)

- FCS Document Review
- FCS Coordinator Interview
- FCS Staff Interview
- Parent Interview
- Child Files--- FCS
- Staff Files
 - FCS Coordinator/Content Area Expert
 - FCS Staff
- FCS Management Systems Analyses



Disabilities Document Review

Disabilities Service Plan

- Review the disabilities service plan.
 - Has a disabilities service plan been developed and updated annually?
 - Indicate the date it was last updated.DIS5D
- Describe the specific strategies outlined in the disabilities service plan for meeting the special needs of children with disabilities and their parents.
DIS5D

Interagency Agreement

- Review interagency agreements to determine whether:
 - Current agreements exist with LEAs and other agencies in the service area, and
 - Current agreements exist with agencies serving infants and toddlers.DIS5C
- Do the agreements specify the appropriate mix of services that enable children and their families to participate in the program effectively?
DIS5C

Documentation of Disabilities Services

- Summarize the documented process education and disabilities staff use to apply information from ongoing assessments for planning program and individual activities related to children with disabilities.
DIS2A
- Summarize the documented process that disabilities, health and teaching staff use to ensure children with disabilities who have health needs receive health services and follow-up. Verify this process by reviewing files of children with disabilities with health needs.
DIS2B
- Summarize the documented process that disabilities and mental health staff use to ensure children with disabilities who have mental health needs receive services and follow-up. Verify this process by reviewing files of children with disabilities with mental health needs.
DIS2C

Recruitment Materials

- Describe information contained in the recruitment materials about serving children with disabilities, including children with severe disabilities.
DIS3A



Transition Plans

- Using examples from children's transition plans, document the date that transition planning began for children leaving Head Start for public school, or other placement, and describe the program's transition processes for special needs children.

DIS5B

Applies to: Programs serving preschool-age children



Disabilities Coordinator Interview

Staff Qualifications and Expertise

- Describe your training or experience related to securing and individualizing needed services for children with disabilities. If you are not the content area expert, describe the training or experience of the person who provides this expertise for the program.
DIS1A
- Describe how you provide the program with regularly scheduled, ongoing expertise and oversight in the area of disabilities services. If you are not the content area expert, does someone support you in this area and how?
DIS1A

Ongoing Monitoring and Oversight

- How do you monitor delivery of the program's disabilities services and the program's compliance with all Federal regulations?
DIS6A
- Show me the documents, systems and reports used in the implementation of the ongoing monitoring of disabilities services.
DIS6A
- What do you do if you detect problems or weaknesses with the program's disabilities services?
DIS6A

Program Planning

- How do you update the disabilities service plan annually to reflect the changing needs for disabilities services in your community?
DIS5D
- How does the program use a disabilities service plan in shaping program services for children with disabilities?
(Note to reviewer: Listen for whether and how the plan includes transportation, coordination with a LEA and Part C providers, and working with parents to ensure their involvement).
DIS5D
- Describe how information from the annual self assessment is incorporated into your program planning and implementation.
DIS6A
- Describe how information from the Community Assessment (and its updates) is incorporated into your program planning and implementation.
DIS6A

Staff Coordination

- How are changes and updates to program plans regarding the provision of disabilities services communicated between coordinators and other necessary staff members?
DIS2A
- How do you verify that individual plans are working for children with disabilities? How do you support teachers with implementing plans or addressing the need to change plans?
DIS2A



- How do you coordinate with the education staff using information from developmental assessments for planning program and individualization of educational activities and experiences for children with disabilities?
DIS2A
- How do you coordinate services with health staff to ensure that health needs of children with disabilities are communicated and met, and that follow-up occurs?
DIS2B
- How do you coordinate with the mental health staff/consultants to help teachers identify children with mental health-related disabilities?
DIS2C
- Has coordination with mental health services helped teachers identify mental health problems, such as depression, withdrawal, anxiety, or abuse, for a child with disabilities? If so, what were the circumstances? May I see your notes, meeting minutes or other documentation of your coordination with mental health services?
MH2C
Applies to: Programs serving preschool-age children

Transitions

- What type of transition planning does the program conduct for children on an IFSP?
DIS5A
Applies to: Programs serving infants and toddlers
- When do transitions begin for children on an IFSP?
DIS5A
Applies to: Programs serving infants and toddlers
- How do you assist parents transitioning children from Head Start to public school or other placement, beginning early in the program year?
DIS5B
Applies to: Programs serving preschool-age children
- How do you coordinate with parents to ensure that the records of Early Head Start or Head Start children, including IEPs and IFSPs, are transferred to the appropriate programs?
DIS5B
Applies to: Programs serving preschool-age children
- How does the program build parent confidence, advocacy abilities, skills, and knowledge in accessing resources to meet their child's needs?
DIS5B
Applies to: Programs serving preschool-age children
- How does the program inform parents of their rights under the Individuals with Disabilities Education Act (IDEA)?
DIS5B
Applies to: Programs serving preschool-age children
- What are the program's transition practices for toddlers entering Head Start? How does the program support parents of children with disabilities entering from infant and toddler programs?
DIS5B
Applies to: Programs serving preschool-age children



Enrollment and Recruitment

- Describe specific outreach efforts your program makes to agencies serving children with already identified disabilities, including severe disabilities, as part of your ongoing recruitment efforts.
DIS3A
- Has outreach resulted in referrals and acceptance of children with disabilities?
DIS3A
- Were any children with disabilities denied enrollment or removed from the program because your program was unable to provide an appropriate placement? If so, describe how you determined that a placement in your Head Start program would not, even with collaborative efforts with the LEA or Part C agency, be appropriate?
DIS3A

Community Partnerships

- Do current interagency agreements exist with all LEAs in the service area?
DIS5C
Applies to: Programs serving preschool-age children
- Do interagency agreements exist with agencies serving infants and toddlers?
DIS5C
Applies to: Programs serving infants and toddlers

Child Assessments

- What is the process and timeline for referral to Part C providers and services when an infant or toddler is suspected of having a disability?
DIS4A
Applies to: Programs serving infants and toddlers
- What is the process and timeline for referral to the LEA when a child is suspected of having a disability? How timely is the LEA in responding to your referrals?
DIS4B
Applies to: Programs serving preschool-age children
- How are parents supported to participate in the decisions regarding evaluations and individual program planning?
DIS4A
Applies to: Programs serving infants and toddlers
- How and when do you obtain parental consent for evaluations? How is consent received from families who do not speak English?
DIS4C
Applies to: Programs serving preschool-age children
- What is the process for following up with the LEA to ensure that children are evaluated formally?
DIS4B
Applies to: Programs serving preschool-age children
- Can you describe how children receive services defined in the Individualized Family Service Plan (IFSP), both from the Head Start program and programs of other agencies?
DIS4A, DIS4E
Applies to: Programs serving infants and toddlers



-
- Can you describe how children receive services defined in the Individualized Education Program IEP, both from the Head Start program and programs of other agencies?

DIS4E

Applies to: Programs serving preschool-age children

Adaptation for Children with Disabilities

- What steps are taken to ensure that all equipment, toys, materials, and furniture are age appropriate, safe, and supportive of children with disabilities?

SAF1I

Applies to: Center-based or family child care programs

Performance Reviews

- When did you receive your last annual performance review?

PDM7C

- How are the results of the annual performance review used? Do they help you identify your training and professional development needs? How does your manager help you improve skills and professional competencies?

PDM7C

Training

- Describe the opportunities for ongoing training that the program provides you to help you acquire and maintain the skills and knowledge necessary to fulfill your job responsibilities and to implement Head Start Program Performance Standards in the service area.

PDM7I

- When did you receive training on identifying and reporting child abuse and neglect? What steps would you take if you suspected child abuse or neglect?

PDM7J



Child File Review--Disabilities

Child Files

- Review documentation of this child's referral to the Part C provider or agency.
 - Describe the program's referral process and timeline.
 - Document the date the child's disability was identified.
 - Document the date the child was referred to the Part C provider.

DIS4A
Applies to: Programs serving infants and toddlers
- Review referrals and follow-up logs for children with disabilities to LEAs for formal evaluation, if available.
 - Document the date the child's disability was identified.
 - Document the date of referral for evaluation.

DIS4B
Applies to: Programs serving preschool-age children
- Review parental consent forms. If it is not found in the child file, ask staff where this can be found. It might be in the file at the LEA, in which case the program would have to get consent from the school.
 - Document the date of evaluation by the LEA.
 - Document the date parental consent was obtained.

DIS4C
Applies to: Programs serving preschool-age children
- Does the file contain an Individualized Education Plan (IEP)?

DIS4D
Applies to: Programs serving preschool-age children
- Review the child's Individualized Education Plan (IEP).
 - Is the IEP current?
 - Document the date the IEP was created.
 - Document the date the IEP was last updated.
 - Was the IEP created before special education and related services were provided?

DIS4D
Applies to: Programs serving preschool-age children
- Review transition plans.
 - Was transition planning undertaken at least 6 months before the child's third birthday?
 - Document the date transition planning began.

DIS5A
Applies to: Programs serving infants and toddlers



Disabilities Coordinator & Content Area Expert--Staff File Review

Staff Qualifications and Expertise

- List the disabilities content area expert's training, experience, and qualifications in securing and individualizing needed services for children with disabilities.
DIS1A

Staff Hiring Procedures

- Was a criminal background check conducted?
 - If no, does this staff member provide direct services to children? If they do not provide direct services to children, indicate whether the staff member has an office in a center serving children or in an administrative building where there are no children present.
 - If yes, indicate the date the criminal background check was conducted.
PDM7E
- Review staff files for documentation of initial health examination (including screening for tuberculosis) and reexamination (if required by health care provider or as mandated by State, local or Tribal laws). Has an initial health exam, including screenings, been completed?
 - Document the date of the most recent health exam and screening.
 - Document whether a reexamination is required.
(Note to reviewer: If the health care provider or State, local or Tribal law requires re-examination, describe the requirement, including required timeframes for reexamination if applicable, and indicate whether the program has complied with the requirement for the staff you are reviewing.)
 - Document the date of the reexamination, if required.
 - Document the date the tuberculosis screening was completed.
PDM7F

Staff Training and Development

- Indicate the date of the most recent performance review.
PDM7C
- Review staff files for evidence of training opportunities for staff and volunteers. Briefly summarize the types of training offered.
PDM7I
- Has the staff member received training in identifying and reporting child abuse and neglect?
 - Indicate the date the staff member received this training.
PDM7J



Disabilities Management Summary Analysis--Overall Summary and Strengths

Overall Service Summary

- Summarize your general impressions of the program's delivery of disabilities services. The summary should describe what the program does well, which areas need improvement, and your overall level of confidence in the program's provision of disabilities services. Your summary should not directly reiterate the strengths and findings you identified through implementation of the protocol but, rather, should reflect your overall analysis and impressions of the program's effectiveness in providing disabilities services.

DIS6A

Service Specific Strengths

- Summarize program strengths noted in disabilities services. Describe any practices that were found to be new or innovative and had a positive impact, that helped the grantee overcome challenges and provided greater/improved service quality or surpassed established performance indicators. Some examples of broad categories of program strengths include (but are not limited to):

- Collaborations with local/community-based services
- Exemplary fiscal practices to ensure the safeguarding of Federal dollars
- Highly successful efforts to address and improve school readiness
- Expansion of the program and increased accessibility
- Extraordinary accommodations for children/families (e.g., children with disabilities)
- Innovative program design and management

Do not include strengths that will contradict any PANCs identified on this review.

DIS6A



Disabilities Management Summary Analysis--Parent and Staff Communication

Communication among Staff

- Summarize whether the program has effective two-way communication between Disabilities staff and staff in other service areas. Your summary should provide examples of why you consider the communication between the program's staff to be effective or ineffective. Your summary might reflect a potential program strength, a concern, or general compliance.
DIS6A

Communication with Parents

- Summarize whether the program has effective two-way communication between Disabilities staff and parents. Your summary should provide examples of why you consider the communication between the program's staff and parents to be effective or ineffective. Your summary might reflect a potential program strength, a concern, or general compliance.
DIS6A



Disabilities Management Summary Analysis--Planning

Planning

- Review the Disabilities Services area's written plans so you understand the goals the program intends to achieve and the strategies the program plans to use to accomplish its goals. Summarize the program's progress in implementing its plans and achieving its defined goals. Your summary might reflect a potential program strength, a concern, or general compliance.

DIS6A



Disabilities Management Summary Analysis--Record-Keeping

Record-Keeping

- Summarize whether the program is effective in keeping up to date and accurate Disabilities records. Your summary should provide examples of why you consider the program's record-keeping system to be effective or ineffective. Your summary might reflect a potential program strength, a concern, or general compliance.

DIS6A



Disabilities Management Summary Analysis--Ongoing Monitoring

Ongoing Monitoring

- Summarize the program's process for ongoing monitoring of Disabilities services. A comprehensive explanation of this system should include a description of each of the following:
 - Monitoring measures, tools or instruments, materials and procedures
 - Staff responsibilities for ongoing monitoring of their respective service areas
 - How the program analyzes and documents progress toward achieving program goals and complying with performance requirements
 - How follow up occurs for findings or problems identified through data collection, and how these findings are corrected and documented.

This summary should help all team members understand the effectiveness or ineffectiveness of Disabilities services. Your summary might reflect a potential program strength, a concern, or general compliance.

DIS6A



Mental Health Document Review

Contract or Memorandum of Agreement with Mental Health Consultant

- Review the contract or Memorandum of Agreement (MOA) with the mental health consultant to determine the schedule and services expected.
MH2C

Community Assessment Summary

- Review the Community Assessment Summary completed by the Program Design and Management Reviewer. Based on your review, consider the types of services parents are requesting and the population demographics (i.e., types of services people in the community typically use). Given that information and your understanding of the program, has the program established the appropriate frequency of visits to assess mental health concerns?
MH2C, MH3A



Mental Health Coordinator Interview

Staff Qualifications and Expertise

- Are you a licensed or certified mental health professional? If not, does the program have a contract with a licensed or certified mental health professional who supports the provision of mental health services?
MH1A
- Describe your training or experience related to serving young children and their families. If you are not the content area expert, describe the training or experience of the person who provides this expertise for the program.
MH1A
- Describe how you provide the program with regularly scheduled, ongoing expertise and oversight in the area of mental health services. If you are not the content area expert, does someone support you in this area and how?
MH1A

Ongoing Monitoring and Oversight

- How do you monitor delivery of the program's mental health services and the program's compliance with all Federal regulations?
MH3A
- Show me the documents, systems and reports used in the implementation of the ongoing monitoring of mental health services.
MH3A
- What do you do if you detect problems or weaknesses with the program's mental health services?
MH3A

Program Planning

- Describe how information from the annual self assessment is incorporated into your program planning and implementation.
MH3A
- Describe how information from the Community Assessment (and its updates) is incorporated into your program planning and implementation.
MH3A

Implementing Mental Health Services

- How often do you visit each setting? How is the schedule implemented across all program options? How do you define "regular schedule"?
MH2C

Identifying Mental Health Concerns

- What role do you play in the program's efforts to conduct screening to identify children who might require formal evaluation of behavioral and social-emotional concerns?
MH2C



- Describe your process for identifying staff or family mental health concerns about a child? How do you coordinate with teachers, family child care providers and home visitors? Can you share an example of a referral made this year and its resolution?
MH2C
- How do you learn about a teacher's concerns about children's behavior and mental health? What do you do to help teachers through this process?
MH2B

Addressing Mental Health Concerns

- When a concern about a child is identified, what is your process for addressing that concern? How do you know when it is time to intervene?
MH2C
- Have you helped design practices responsive to behavioral and mental health concerns you have about a child or group of children?
MH2B
- Can you share examples of working with staff and parents to implement program practices that respond to behavioral and mental health concerns about an individual child or group of children? Review available documents to verify.
MH2B

Children with Disabilities

- How do you coordinate services with the Disabilities Coordinator to ensure that mental health needs of children with disabilities are communicated, and that follow-up occurs?
DIS2C

Parent Involvement

- How do you share staff observations with parents and help parents understand child development and their child's behavior?
MH2A
- How do you help parents understand how to strengthen home environments to support and nurture child development?
MH2A
- How do you solicit parents' information, observations, and concerns about their children's mental health?
MH2A
- How do you educate parents about appropriate behaviors and varying individual temperaments? How do you educate parents and staff on appropriate responses to child behaviors?
MH2A

Performance Reviews

- When did you receive your last annual performance review?
PDM7C
- How are the results of the annual performance review used? Do they help you identify your training and professional development needs? How does your manager help you improve skills and professional competencies?
PDM7C



Training

- Describe the opportunities for ongoing training that the program provides you to help you acquire and maintain the skills and knowledge necessary to fulfill your job responsibilities and to implement Head Start Program Performance Standards in the service area.
PDM7I

- When did you receive training on identifying and reporting child abuse and neglect? What steps would you take if you suspected child abuse or neglect?
PDM7J



Mental Health Coordinator & Content Area Expert--Staff File Review

Staff Qualifications and Expertise

- List the mental health content area expert's training, experience, and qualifications. Document the accrediting body for the license or certification.
MH1A

Staff Hiring Procedures

- Was a criminal background check conducted?
 - If no, does this staff member provide direct services to children? If they do not provide direct services to children, indicate whether the staff member has an office in a center serving children or in an administrative building where there are no children present.
 - If yes, indicate the date the criminal background check was conducted.
PDM7E
- Review staff files for documentation of initial health examination (including screening for tuberculosis) and reexamination (if required by health care provider or as mandated by State, local or Tribal laws). Has an initial health exam, including screenings, been completed?
 - Document the date of the most recent health exam and screening.
 - Document whether a reexamination is required.
(Note to reviewer: If the health care provider or State, local or Tribal law requires re-examination, describe the requirement, including required timeframes for reexamination if applicable, and indicate whether the program has complied with the requirement for the staff you are reviewing.)
 - Document the date of the reexamination, if required.
 - Document the date the tuberculosis screening was completed.
PDM7F

Staff Training and Development

- Indicate the date of the most recent performance review.
PDM7C
- Review staff files for evidence of training opportunities for staff and volunteers. Briefly summarize the types of training offered.
PDM7I
- Has the staff member received training in identifying and reporting child abuse and neglect?
 - Indicate the date the staff member received this training.
PDM7J



Mental Health Management Summary Analysis--Overall Summary and Strengths

Overall Service Summary

- Summarize your general impressions of the program's delivery of mental health services. The summary should describe what the program does well, which areas need improvement, and your overall level of confidence in the program's provision of mental health services. Your summary should not directly reiterate the strengths and findings you identified through implementation of the protocol but, rather, should reflect your overall analysis and impressions of the program's effectiveness in providing mental health services.

MH3A

Service Specific Strengths

- Summarize program strengths noted in mental health services. Describe any practices that were found to be new or innovative and had a positive impact, that helped the grantee overcome challenges and provided greater/improved service quality or surpassed established performance indicators. Some examples of broad categories of program strengths include (but are not limited to):
 - Collaborations with local/community-based services
 - Exemplary fiscal practices to ensure the safeguarding of Federal dollars
 - Highly successful efforts to address and improve school readiness
 - Expansion of the program and increased accessibility
 - Extraordinary accommodations for children/families (e.g., children with disabilities)
 - Innovative program design and management

Do not include strengths that will contradict any PANCS identified on this review.

MH3A



Mental Health Management Summary Analysis--Parent and Staff Communication

Communication among Staff

- Summarize whether the program has effective two-way communication between Mental Health staff and staff in other service areas. Your summary should provide examples of why you consider the communication between the program's staff to be effective or ineffective. Your summary might reflect a potential program strength, a concern, or general compliance.
MH3A

Communication with Parents

- Summarize whether the program has effective two-way communication between Mental Health staff and parents. Your summary should provide examples of why you consider the communication between the program's staff and parents to be effective or ineffective. Your summary might reflect a potential program strength, a concern, or general compliance.
MH3A



Mental Health Management Summary Analysis--Planning

Planning

- Review the Mental Health Services area's written plans so you understand the goals the program intends to achieve and the strategies the program plans to use to accomplish its goals. Summarize the program's progress in implementing its plans and achieving its defined goals. Your summary might reflect a potential program strength, a concern, or general compliance.

MH3A



Mental Health Management Summary Analysis--Record-Keeping

Record-Keeping

- Summarize whether the program is effective in keeping up to date and accurate Mental Health records. Your summary should provide examples of why you consider the program's record-keeping system to be effective or ineffective. Your summary might reflect a potential program strength, a concern, or general compliance.

MH3A



Mental Health Management Summary Analysis--Ongoing Monitoring

Ongoing Monitoring

- Summarize the program's process for ongoing monitoring of Mental Health services. A comprehensive explanation of this system should include a description of each of the following:
- Monitoring measures, tools or instruments, materials and procedures
 - Staff responsibilities for ongoing monitoring of their respective service areas
 - How the program analyzes and documents progress toward achieving program goals and complying with performance requirements
 - How follow up occurs for findings or problems identified through data collection, and how these findings are corrected and documented.

This summary should help all team members understand the effectiveness or ineffectiveness of Mental Health services. Your summary might reflect a potential program strength, a concern, or general compliance.

MH3A



Family and Community Services Document Review

Newsletters, Calendars, etc.

- Review newsletters, calendars, event flyers, etc. for documentation that events are planned and that opportunities exist for interaction between staff and families throughout the year. Describe examples of the events documented.
FCS2A
- Review newsletters, calendars, event flyers, etc. for information provided to families on available resources that meet their needs and interests.
FCS3D

Materials for Families

- Review materials available for both English and non-English speaking families. Into what additional languages have materials been translated? Do these languages reflect languages spoken by the program's families?
FCS2B

HSAC Roster and Meeting Minutes

- Review the HSAC roster and meeting minutes to determine the frequency of meetings, relevancy of topics, and member attendance. If no roster or meeting minutes exist, ask a staff member where this information is located.
FCS5B

Recruitment Materials

- Are the specific types of transportation assistance being offered made clear to all prospective families in the program's recruitment announcements?
TRANS4B
- If the agency has decided not to provide transportation services for either all or a portion of the children, describe how the agency provides reasonable assistance to the families of such children to arrange transportation to and from its activities. In your description, indicate whether program recruitment announcements are in the languages of the children and families served by the program.
TRANS4B



Family and Community Services Coordinator Interview

Staff Qualifications and Expertise

- Describe your training or experience related to social services, human services, or family services. If you are not the content area expert, describe the training or experience of the person who provides this expertise for the program.
FCS1A
- Describe how you provide the program with regularly scheduled, ongoing expertise and oversight in the area of family and community services. If you are not the content area expert, does someone support you in this area and how?
FCS1A

Ongoing Monitoring and Oversight

- How do you monitor delivery of the program's family and community services and the program's compliance with all Federal regulations?
FCS6A
- Show me the documents, systems and reports used in the implementation of the ongoing monitoring of family and community services.
FCS6A
- What do you do if you detect problems or weaknesses with the program's family and community services?
FCS6A

Program Planning

- Describe how information from the annual self assessment is incorporated into your program planning and implementation.
FCS6A
- Describe how information from the Community Assessment (and its updates) is incorporated into your program planning and implementation.
FCS6A

Staff Coordination

- How do you learn about policy or operational changes in the program?
PDM5A

Community Partnerships

- Has the program established ongoing collaborative relationships with health and mental health services providers, such as local health departments, community health centers, managed care organizations, medical or dental schools, and professional associations? Can you describe these partnerships and specify the agencies with which partnerships have been formed.
FCS5A
- How do the community partnerships the program has established support families' needs (e.g., improve, share, and augment services for children and families)? What documents and materials does the program have, if available, to support demonstration of its community partnership collaborations?
(Note to reviewer: In your notes, indicate the type or types of documentation (e.g., written agreements, informal agreements, correspondence, in-kind, meeting minutes)).
FCS5A



Support Services for Families

- How do you determine that the services provided through a partner community organization respond to the families' needs? Has the program sought Health Services Advisory Committee (HSAC) input on health providers and resources in the community?
FCS3B
- Can you share examples of educational resources and tell me how it was determined that these resources best fit the families you serve?
FCS3B
- How does the agency help as many families as possible obtain transportation who need transportation for their children to attend the program?
TRANS4A
- Has the community experienced community-wide emergencies or crises that affected many Head Start (HS) families? If so, what kind of help, if any, did the program provide in response, either directly or through referral?
FCS3B

Family Literacy

- What is your program's approach to providing family literacy services?
FCS3C
- Describe how your program provides services that address the four major activities defining family literacy in Head Start:
 - Parent and child interactive literacy activities;
 - Training for parents as the primary teachers of their children;
 - Parent training that leads to economic self-sufficiency and financial literacy; and
 - Age-appropriate education for children that prepares them for success in school and life.FCS3C

Communication with Families

- What strategies are used to ensure communication with families in their own language?
FCS2B
- What steps are taken when staff is unable to communicate directly with parents?
FCS2B

Performance Reviews

- When did you receive your last annual performance review?
PDM7C
- How are the results of the annual performance review used? Do they help you identify your training and professional development needs? How does your manager help you improve skills and professional competencies?
PDM7C



Training

- Describe the opportunities for ongoing training that the program provides you to help you acquire and maintain the skills and knowledge necessary to fulfill your job responsibilities and to implement Head Start Program Performance Standards in the service area.
PDM7I

- When did you receive training on identifying and reporting child abuse and neglect? What steps would you take if you suspected child abuse or neglect?
PDM7J



Family and Community Services Staff Interview

Staff Qualifications and Expertise

- Explain your experience in organizing or facilitating parent education, advocacy, or support groups.
FCS1B
- What training, experience, and skills do you have in helping parents advocate and make decisions for their young children and families? What experience do you have in making referrals (e.g., health, mental health, and disabilities) for families?
FCS1B

Staff Coordination

- How do you learn about policy or operational changes in the program?
PDM5A

Community Partnerships

- How do the community partnerships the program has established support families' needs (e.g., improve, share, and augment services for children and families)? What documents and materials does the program have, if available, to support demonstration of its community partnership collaborations?
(Note to reviewer: In your notes, indicate the type or types of documentation (e.g., written agreements, informal agreements, correspondence, in-kind, meeting minutes)).
FCS5A

Support Services for Families

- How do you know whether a resource or referral is meeting the families' needs?
FCS3B
- How are opportunities to participate in education or appropriate interventions provided to families in the following areas:
 - Counseling programs,
 - Substance abuse programs,
 - Child abuse and neglect education,
 - Domestic violence services,
 - Prevention programs for at-risk families, and
 - Mental health education?FCS3B
- Can you share examples of how you have helped families access emergency services or resources, such as food, housing, clothing, or transportation?
FCS3B

Family Literacy

- How are parents, as adult learners, helped to identify and address their own literacy goals?
FCS3C



Parent Involvement

- Are activities planned at varying times during the day and week (e.g., at breakfast, end of the day, weekends) to encourage as many parents as possible to participate?
FCS2A
- Are alternative work schedules provided to allow staff to interact with working families during weekend events (e.g., picnics, religious and Tribal ceremonies, or other cultural events), if necessary?
FCS2A
- How are the needs of family members with special needs considered when planning meetings and activities?
FCS2A
- How are meetings and interactions respectful of families' diversity and cultural and ethnic backgrounds, including families who might be unable to read or speak English? Can you share materials or plans that show how the program implements this requirement?
FCS2A
- Describe the process for developing trusting relationships with families and encouraging them to participate in individualized family partnerships. When does this process begin?
FCS3A
- Describe the process for determining the needs and interests that form the basis for jointly developing goals with parents?
FCS3A
- How do you approach situations in which families are not ready, or elect not to participate in, the family partnership process?
FCS3A
- How do you track families' progress in meeting their goals? How do you know when families have met their goals?
FCS3A
- How does the HSAC help the program stay abreast of current community health needs and recommend necessary interventions for children and families?
FCS5B

Communication with Families

- What strategies are used to ensure communication with families in their own language?
FCS2B
- What is the process for reaching out to families whose child has been absent for 4 or more consecutive days? When absences result from temporary family situations, what kind of family support procedures does the program initiate?
FCS2C
- How do you reach out to parents if families have no phone or are otherwise hard to reach? What do you do if you cannot reach the family?
(Note to reviewer: Listen for staff efforts to reach out to families beyond phone and notes sent home.)
FCS2C

Performance Reviews

- When did you receive your last annual performance review?
PDM7C



- How are the results of the annual performance review used? Do they help you identify your training and professional development needs? How does your manager help you improve skills and professional competencies?
PDM7C

Training

- Describe the opportunities for ongoing training that the program provides you to help you acquire and maintain the skills and knowledge necessary to fulfill your job responsibilities and to implement Head Start Program Performance Standards in the service area.
PDM7I
- When did you receive training on identifying and reporting child abuse and neglect? What steps would you take if you suspected child abuse or neglect?
PDM7J



Parent Interview

Parent Involvement

- Are activities planned at varying times during the day and week (e.g., at breakfast, end of the day, weekends) to encourage you to participate?
FCS2A
- Are meetings and interactions respectful of your family's cultural and ethnic background?
FCS2A
- Do program staff interact with you during weekend events (e.g., picnics, religious and Tribal ceremonies, or other cultural events)?
FCS2A
- How often does the teacher visit you at home?
FCS4A
- Are parent visits held at times convenient for you?
FCS4A
- Have you been asked to make suggestions for classroom activities?
FCS4B
- Have you been given opportunities to observe your child's skills and talk to program staff about how you think your child is progressing?
FCS4B
- What types of information about your child's progress is shared with you? How often do you receive these reports?
FCS4B
- How does the program educate you about your child's appropriate behavior? Does the program offer feedback on how to respond to your child's behavior?
MH2A
- What have you learned from the program about the importance of developing your child's physical development and safety precautions to use when playing actively with your child?
ECD5C
Applies to: Home-based programs

Child Assessments

- How do program staff learn about your observations and concerns about your child's mental health?
MH2A
- Ask parents of children with disabilities: Do you participate in the decisions regarding your child's evaluations and individual program planning? How does the program support you in these efforts?
DIS4A
Applies to: Programs serving infants and toddlers

Support Services for Families

- Do you find that you have a relationship or partnership with staff that is trusting and helps you to focus on your family's needs?
FCS3A



- When does the program start working with you to create goals that support and strengthen your entire family?
FCS3A
- If you feel comfortable, describe some of the goals that you have made for your family, and tell me where you are in your plan for achieving those goals.
FCS3A
- What kinds of resources or referrals has the program helped you access? Tell me how the resources or referrals you received meet your needs?
FCS3B, FCS3C
- Does the program provide diapers, wipes and formula for your child?
SAF1B
Applies to: Programs serving infants and toddlers
- If you speak another language, how have you been encouraged by the program to create and share stories in your native language?
FCS4B

Health Services

- How are you informed when health problems are suspected or identified for your child?
HEA2F
- Does the program talk with you about the importance of health procedures and developmental screening (e.g., hearing, vision). Do program staff obtain advance authorization for such procedures or testing?
HEA2F
- How does the program support you to ensure that your child has access to health care (e.g., your child has a primary care physician and dentist)?
HEA2A
- Has the program helped you keep your child up to date on primary and preventive health care? For example, has the program helped you make and keep appointments and understand the importance of staying up to date?
HEA2B, HEA2D
- Has the program helped you obtain or arrange further testing, examination, and treatment for your child when necessary?
HEA2B, HEA2D

Nutrition

- When and how often do program staff discuss your children's nutritional needs and health with you?
NUT2F, HEA3C
- How does the program communicate with you about your child's daily experiences with food?
NUT2D
Applies to: Programs serving infants and toddlers
- Does your child receive breakfast every morning, even if he or she arrives late?
NUT2C
Applies to: Center-based or family child care programs
- Can you describe how you have been involved in planning snacks and meals for group socializations?
NUT3A
Applies to: Home-based programs



Pre/Post Natal Care Services

- Ask mothers who have given birth within the program year: Did the program help you receive early and regular comprehensive prenatal and postnatal care that included early, continuing risk assessment, health promotion and treatment, and mental health interventions and follow-up?
HEA4A
Applies to: Programs serving pregnant women or new mothers
- Ask mothers of newborns: Did you receive a visit within 2 weeks of your child's birth? If so, what did this visit cover?
HEA4B
Applies to: Programs serving pregnant women or new mothers
- Ask pregnant women or new mothers: What prenatal education did the program provide you?
HEA4C
Applies to: Programs serving pregnant women or new mothers

Transitions

- Ask parents who have experienced a transition into Head Start recently or parents who are in the process of a transition from Head Start: How did the program assist your child with the transition process?
DIS5B, FCS5C
Applies to: Programs serving preschool-age children

Fees

- Have you ever been required to pay Head Start in exchange for your child's participation in the program? For example, are you required to pay late fees, registration fees, or provide money for your child to attend field trips? If yes, describe the payment you have been asked to make.
ERSEA2B

Notifications

- How are you notified in the event of an emergency involving your child?
HEA2F
- How are you notified of unplanned interruptions in service (e.g., program closing)? How does the program handle these situations (e.g., help locate an alternate provider or substitute)?
HEA2F
Applies to: Family child care programs



Child File Review--Family and Community Services

Child Files

- Did staff communicate with the family regarding any absence greater than 4 consecutive days?
FCS2C
- Review family contact notes or Family Partnership Agreements, if written. Are timetables and strategies for achieving family goals documented?
FCS3A



FCS Coordinator & Content Area Expert--Staff File Review

Staff Qualifications and Expertise

- List the family and community services content area expert's training, experience, and qualifications.
FCS1A

Staff Hiring Procedures

- Was a criminal background check conducted?
 - If no, does this staff member provide direct services to children? If they do not provide direct services to children, indicate whether the staff member has an office in a center serving children or in an administrative building where there are no children present.
 - If yes, indicate the date the criminal background check was conducted.
PDM7E
- Review staff files for documentation of initial health examination (including screening for tuberculosis) and reexamination (if required by health care provider or as mandated by State, local or Tribal laws). Has an initial health exam, including screenings, been completed?
 - Document the date of the most recent health exam and screening.
 - Document whether a reexamination is required.
(Note to reviewer: If the health care provider or State, local or Tribal law requires re-examination, describe the requirement, including required timeframes for reexamination if applicable, and indicate whether the program has complied with the requirement for the staff you are reviewing.)
 - Document the date of the reexamination, if required.
 - Document the date the tuberculosis screening was completed.
PDM7F

Staff Training and Development

- Indicate the date of the most recent performance review.
PDM7C
- Review staff files for evidence of training opportunities for staff and volunteers. Briefly summarize the types of training offered.
PDM7I
- Has the staff member received training in identifying and reporting child abuse and neglect?
 - Indicate the date the staff member received this training.
PDM7J



FCS Staff--Staff File Review

Staff Hiring Procedures

- Was a criminal background check conducted?
 - If no, does this staff member provide direct services to children? If they do not provide direct services to children, indicate whether the staff member has an office in a center serving children or in an administrative building where there are no children present.
 - If yes, indicate the date the criminal background check was conducted.
PDM7E
- Review staff files for documentation of initial health examination (including screening for tuberculosis) and reexamination (if required by health care provider or as mandated by State, local or Tribal laws). Has an initial health exam, including screenings, been completed?
 - Document the date of the most recent health exam and screening.
 - Document whether a reexamination is required.

(Note to reviewer: If the health care provider or State, local or Tribal law requires re-examination, describe the requirement, including required timeframes for reexamination if applicable, and indicate whether the program has complied with the requirement for the staff you are reviewing.)

 - Document the date of the reexamination, if required.
 - Document the date the tuberculosis screening was completed.
PDM7F

Staff Training and Development

- Indicate the date of the most recent performance review.
PDM7C
- Review staff files for evidence of training opportunities for staff and volunteers. Briefly summarize the types of training offered.
PDM7I
- Has the staff member received training in identifying and reporting child abuse and neglect?
 - Indicate the date the staff member received this training.
PDM7J



Family and Community Services Management Summary Analysis--Overall Summary and Strengths

Overall Service Summary

- Summarize your general impressions of the program's delivery of family and community services. The summary should describe what the program does well, which areas need improvement, and your overall level of confidence in the program's provision of family and community services. Your summary should not directly reiterate the strengths and findings you identified through implementation of the protocol but, rather, should reflect your overall analysis and impressions of the program's effectiveness in providing family and community services.

FCS6A

Service Specific Strengths

- Summarize program strengths noted in family and community services. Describe any practices that were found to be new or innovative and had a positive impact, that helped the grantee overcome challenges and provided greater/improved service quality or surpassed established performance indicators. Some examples of broad categories of program strengths include (but are not limited to):
 - Collaborations with local/community-based services
 - Exemplary fiscal practices to ensure the safeguarding of Federal dollars
 - Highly successful efforts to address and improve school readiness
 - Expansion of the program and increased accessibility
 - Extraordinary accommodations for children/families (e.g., children with disabilities)
 - Innovative program design and management

Do not include strengths that will contradict any PANCs identified on this review.

FCS6A



Family and Community Services Management Summary Analysis--Parent and Staff Communication

Communication among Staff

- Summarize whether the program has effective two-way communication between FCS staff and staff in other service areas. Your summary should provide examples of why you consider the communication between the program's staff to be effective or ineffective. Your summary might reflect a potential program strength, a concern, or general compliance.
FCS6A

Communication with Parents

- Summarize whether the program has effective two-way communication between FCS staff and parents. Your summary should provide examples of why you consider the communication between the program's staff and parents to be effective or ineffective. Your summary might reflect a potential program strength, a concern, or general compliance.
FCS6A



Family and Community Services Management Summary Analysis--Planning

Planning

- Review the FCS Services area's written plans so you understand the goals the program intends to achieve and the strategies the program plans to use to accomplish its goals. Summarize the program's progress in implementing its plans and achieving its defined goals. Your summary might reflect a potential program strength, a concern, or general compliance.

FCS6A



Family and Community Services Management Summary Analysis--Record-Keeping

Record-Keeping

- Summarize whether the program is effective in keeping up to date and accurate FCS records. Your summary should provide examples of why you consider the program's record-keeping system to be effective or ineffective. Your summary might reflect a potential program strength, a concern, or general compliance.

FCS6A



Family and Community Services Management Summary Analysis--Ongoing Monitoring

Ongoing Monitoring

- Summarize the program's process for ongoing monitoring of FCS services. A comprehensive explanation of this system should include a description of each of the following:
 - Monitoring measures, tools or instruments, materials and procedures
 - Staff responsibilities for ongoing monitoring of their respective service areas
 - How the program analyzes and documents progress toward achieving program goals and complying with performance requirements
 - How follow up occurs for findings or problems identified through data collection, and how these findings are corrected and documented.

This summary should help all team members understand the effectiveness or ineffectiveness of FCS services. Your summary might reflect a potential program strength, a concern, or general compliance.

FCS6A



Integrated Services Reviewer 2 Guides (Review of Nutrition, Health, Safe Environments, Transportation)

The following Guides are used by ISR 2 reviewers to collect information on program performance with respect to nutrition, health, safe environments, and transportation services:

Health Services

- Health Document Review
- Health Coordinator Interview
- Child Files Review – Health
- Staff Files—Health Coordinator/Content Area Expert
- Health Management Systems Analyses

Nutrition Services

- Nutrition Document Review
- Nutrition Coordinator Interview
- Kitchen Staff Interview
- Child Files Review –Nutrition
- Staff Files—Nutrition Coordinator/Content Area Expert
- Nutrition Management Systems Analyses

Safe Environments

- Health and Safety Center-based Observation
- Safe Environments Center-based Checklist
- Health and Safety Family Child Care Observation
- Safe Environments Family Child Care Checklist
- Safe Environments Document Review
- Facilities Coordinator Interview
- Staff Files—Facilities Coordinator
- Safe Environments Management Systems Analyses

Transportation Services

- Transportation Document Review
- Transportation Coordinator Interview
- Bus Inspection
- Bus Driver Interview
- Bus Monitor Interview
- Staff Files—Transportation Coordinator
- Transportation Management Systems Analyses



Health Document Review

Policies and Procedures

- Describe the program's procedure for determining whether children have an ongoing source of health care.
HEA2A
- What are the program policies and procedures for handling short-term injuries (that cannot be readily accommodated) or short-term contagious illnesses?
HEA3A
- Review the written policies and procedures related to administering medications. Verify information obtained in your interview with the Health Coordinator. Are policies established and maintained to ensure proper administration, handling, and storage of all medications for children, staff and volunteers?
HEA3D

Health Tracking System

- Are there any children listed on the health tracking report that are not up-to-date on a schedule of primary and preventive health care? If so, list how many children are not up-to-date and how many children the grantee serves. Describe how children listed on the report are not up-to-date?
HEA2B
- Are there any children listed on the health tracking report that have not had the required screenings within 45 days of entry (30 days for Migrant and Seasonal Programs)? If so, list how many children have not had the required screenings, what types of screenings they are missing. Include in your notes the total number of children the program services.
HEA2C
- Compare information contained on the health tracking system to a sample of child files. Is the list accurate? If not, please describe any discrepancies. Be sure to include in your notes the number of files reviewed, the number of files with discrepancies, which files had discrepancies, and the type of discrepancies identified.
HEA2H

Medication Records

- Describe how individual records are maintained for all medications dispensed. Are these records reviewed regularly with parents?
HEA3D

Pregnant Women Files

- Review files of pregnant women (and health tracking system, if available) to check their enrollment dates and determine whether services (or referrals) were provided immediately. In your notes, document the enrollment date and the date services or referrals were provided, and indicate how and when after their enrollment the program began helping pregnant women access:
 - Early, continuing risk assessment;
 - Health promotion and treatment;
 - Mental health interventions and follow-up; and
 - Nutritional assessment, counseling and food assistance, if needed.HEA4A
Applies to: Programs serving pregnant women or new mothers



- Review the health tracking system or records of women who have delivered a baby within the last year for information on visits to newborns. Indicate:
 - Whether visits are occurring,
 - Who conducts the visits,
 - Number of visits that occurred within 2 weeks of birth,
 - Number of visits that occurred beyond 2 weeks, and
 - How far beyond 2 weeks those visits occurred.

HEA4B
Applies to: Programs serving pregnant women or new mothers

Prenatal Education Materials

- Review prenatal education materials to determine whether they include information about breastfeeding benefits.

HEA4C
Applies to: Programs serving pregnant women or new mothers
- Review prenatal education materials to determine whether they include information about:
 - Fetal development, labor and delivery, and postpartum recovery;
 - Risks from smoking and alcohol; and
 - Maternal depression.

HEA4C
Applies to: Programs serving pregnant women or new mothers



Health Coordinator Interview

Staff Qualifications and Expertise

- Describe your training or experience in public health, nursing, health education, maternal and child health, or health administration. If you are not the content area expert, describe the training or experience of the person who provides this expertise for the program.
HEA1A
- Describe how you provide the program with regularly scheduled, ongoing expertise and oversight in the area of health services. If you are not the content area expert, does someone support you in this area and how?
HEA1A
- Does the program administer health procedures that must be performed only by licensed and certified professionals? If so, are procedures performed by licensed and certified professionals?
HEA1A
- How is the program made aware of those health procedures that must be performed only by licensed and certified professionals?
HEA1A

Ongoing Monitoring and Oversight

- How do you monitor delivery of the program's health services and the program's compliance with all Federal regulations?
HEA5A
- Show me the documents, systems and reports used in implementing the ongoing monitoring of health services.
HEA5A
- What do you do if you detect problems or weaknesses with the program's health services?
HEA5A

Program Planning

- Describe how information from the annual Self Assessment is incorporated into your program planning and implementation.
HEA5A
- Describe how information from the Community Assessment (and its updates) is incorporated into your program planning and implementation.
HEA5A

Identifying Health Concerns

- What is your ongoing procedure for identifying new or recurring medical, dental, or developmental concerns? (Note to reviewer: In your notes, describe the program's procedures for identifying these concerns, indicating whether the procedure allows for the ongoing identification of such concerns.)
HEA2E
- How do you record physical changes in a child's appearance or signs of illness or injury when noted or observed by staff or parents?
HEA2E



- How often do you make referrals based on these observations?
HEA2E

Health Services

- How do you determine whether enrolled children have an ongoing source of continuous, accessible health care within 30 days of entry?
HEA2A
Applies to: Migrant and Seasonal grantees
- How do you determine whether enrolled children have an ongoing source of continuous, accessible health care within 90 days of entry?
HEA2A
Applies to: Non-migrant and Seasonal grantees
- What do you do to support parents in accessing a source of ongoing health care for their children? How do you document the support you provide parents?
HEA2A
- How do you obtain a determination of each child's health status from a health care professional and ensure that each child is up to date with the EPSDT requirements of your State, within 90 days of his or her entry into the program (30 days for Migrant and Seasonal programs)?
HEA2B
- How do you ensure that children who are up to date with primary and preventive health care stay up to date?
HEA2B
- If a child is not up to date on his or her schedule of primary and preventive health care, how do you help the parents bring their child up to date?
HEA2B
- What happens when a parent or guardian refuses health services?
HEA2G
- Have any parents or legally responsible adults of children currently enrolled refused to authorize health services? (Note to reviewer: If the answer is yes, ask to see signed statements of refusal.)
HEA2G
- What do you do if parents are having difficulty making appointments or keeping their children up to date in primary and preventive health care?
HEA2B

Screenings

- How and when do you ensure each child receives the following screenings: developmental, sensory (hearing and vision), behavioral, motor (gross and fine), language, social, cognitive, perceptual, and emotional skills? How do you ensure that the screenings are sensitive to the child's cultural background?
HEA2C
- Do you obtain guidance from the mental health or child development specialist on how to use screening findings? How do you receive information? How do you use this information?
HEA2C, MH2C
- What other sources of information do you use to help you understand screening findings (e.g., parent, teacher, and other staff feedback)? How do you use this information to make referrals?
HEA2C



Follow-Up Care

- What is the process for obtaining further testing, examination, or treatment for children with known or suspected health or developmental problems? How long does it take to receive care after problems are identified?
HEA2D
- How do you communicate with parents to ensure follow-up on medical and dental concerns?
HEA2D
- How do you ensure that children receive preventive measures and further dental treatment recommended by dental professionals?
HEA2D

Tracking Health Services

- What is your system for tracking children's health care? Can you show me your program's health tracking system?
HEA2H
- What is the process for updating children's health status in the tracking system?
HEA2H
- How do you keep the health tracking system accurate?
HEA2H
- How do you use the tracking system to communicate child health needs with parents and staff?
HEA2H
- Based on a review of child files, apparently some children in your program are not receiving the required health services (e.g., screenings, schedule of primary preventive health care). Are you aware of the issue(s)? What steps are being taken to correct the issue(s) identified?
(Note to reviewer: Describe the concern(s) identified.)
HEA2H

Children with Special Health Needs

- Are children ever denied admission to (or terminated from) the program for health reasons that could not be accommodated? If so, what was the basis for denying admission?
HEA3B
- Describe the procedure for requesting information from parents about their children's health or safety needs.
HEA3C
- What is the policy for ensuring that information collected from parents about their children's health or safety needs is kept confidential?
HEA3C
- How do you ensure that staff members who work directly with children are informed of needed accommodations?
HEA3C

Children with Disabilities

- How do you coordinate services with the Disabilities Coordinator to ensure that health needs of children with disabilities are communicated and met, and that follow-up occurs?
DIS2B



Medication

- When a child is on medication, describe the steps taken to ensure that changes in the child's behavior are identified and documented and that parents are encouraged to communicate those issues with their physician.
HEA3D
- Who is designated and trained to administer, handle, and store child medications? How do you ensure that you are adhering to all applicable policies and procedures regarding the handling, administration, and storage of medication?
HEA3D
- What training did you receive for administering, handling, and storing medication, including use of equipment necessary to administer medication?
HEA3D

First Aid Kits

- When are first aid kits restocked? When is the inventory of first aid kits conducted?
SAF2E

Short-Term Injury or Illness

- How does the program determine whether a child with a short-term injury or illness can be accommodated or should be temporarily excluded from the program?
HEA3A
- How are parents informed of the policies or procedures related to short-term injury or illness?
HEA3A

Nutritional Needs

- When and how often do you discuss children's nutritional needs with families? Can you provide documentation of activities such as meetings and gatherings, communications, interactions, agendas with sign-in sheets, or similar documentation that demonstrates how communication with families occurs?
NUT2F

Prenatal and Postnatal Care Services

- Describe the referral agencies and partners you have identified to provide early and regular comprehensive prenatal and postnatal care.
HEA4A
Applies to: Programs serving pregnant women or new mothers
- Do you provide mental health interventions and follow-up for enrolled pregnant women, when needed? Do these services include substance abuse prevention and treatment?
HEA4A
Applies to: Programs serving pregnant women or new mothers
- How and when do you obtain the schedule of appropriate medical and dental examinations for enrolled pregnant women from their attending health care providers?
HEA4A
Applies to: Programs serving pregnant women or new mothers
- How do you ensure that visits are made to new mothers? How soon after birth are visits made? Can you show me information or your health tracking system on some of the visits that have been made?
HEA4B
Applies to: Programs serving pregnant women or new mothers



-
- Can you describe the prenatal and postnatal education you provide pregnant women, new mothers, and their families?
HEA4C
Applies to: Programs serving pregnant women or new mothers

Parent Involvement

- Does the program familiarize parents with the use of and rationale behind health and developmental procedures administered through the program or by contract and obtain advance authorization for such procedures?
HEA2F

Performance Reviews

- When did you receive your last annual performance review?
PDM7C
- How are the results of the annual performance review used? Do they help you identify your training and professional development needs? How does your manager help you improve skills and professional competencies?
PDM7C

Training

- Describe the opportunities for ongoing training that the program provides you to help you acquire and maintain the skills and knowledge necessary to fulfill your job responsibilities and to implement Head Start Program Performance Standards in the service area.
PDM7I
- When did you receive training on identifying and reporting child abuse and neglect? What steps would you take if you suspected child abuse or neglect?
PDM7J



Child File Review--Health

Child Files

- Review child files to determine whether children's ongoing source of health care is addressed during enrollment activities, before they enter the program, or within 90 days of entry into the program (30 days for Migrant and Seasonal programs).
 - Is the source of ongoing health care documented in the child's record?
 - Was the ongoing source of health care obtained within 90 days of the child's entering into the program (or 30 days for Migrant and Seasonal programs)?
 - If a child has no source of ongoing health care, does the child's file reflect the program's efforts to assist the parents in accessing a source of care?
 - If yes, document how the program helped parents.
HEA2A
- Review child files for up to date determinations that incorporate the requirements of the Early Periodic Screening, Diagnosis, and Treatment (EPSDT) schedule for each child and check dates of determinations to ensure the 90-day requirement (30 days for Migrant and Seasonal grantees) is met.
 - Does the child's file include documentation of the health care professional's determination of whether the child is up to date on a schedule of primary and preventive health care?
 - What is the date that this determination was made, as documented in the child's file?
 - Was the determination made within 90 days of the child's entry into the program (30 days for Migrant and Seasonal grantees)?
 - Does documentation include a breakout of blood lead and hemoglobin/hematocrit?
HEA2B
- Review child files for documentation (e.g., case notes, family contact logs) of the program's attempts to help parents bring their child up to date. Does the program work with parents to bring their child up to date on a schedule of primary preventive health care?
HEA2B
- Review child files for completion of all screenings within 45 days (30 days for Migrant and Seasonal programs) from the child's entry into the program. If concerns were documented at follow up, indicate if appropriate referrals were made.
 - Date developmental screenings were completed.
 - Date sensory (visual and auditory) screenings were completed.
 - Date behavioral screenings were completed.
 - Date motor skills screenings were completed.
 - Date language skills screenings were completed.
 - Date social skills screenings were completed.
 - Date cognitive skills screenings were completed.
 - Date perceptual skills screenings were completed.
 - Date emotional skills screenings were completed.
 - Were concerns that require follow-up identified during screenings? If yes, describe the concerns identified.
 - If yes, were appropriate referrals made?
HEA2C



- Check the files of the children with known or suspected health or developmental problems (that you identified at the review's start) to determine whether further testing, examination, or treatment was obtained and whether a follow-up plan is in place and implemented, if appropriate.
 - Briefly describe the child's known or suspected health or developmental problem?
 - Was further testing, examination or treatment obtained?
 - Was a follow-up plan in place?
 - Was the follow-up plan implemented?HEA2D

- Review specific records of children on medication to determine whether all required conditions have been met.
 - Do records include physicians' instructions?
 - Do records include parent or guardian authorizations?HEA3D



Health Coordinator & Content Area Expert--Staff File Review

Staff Qualifications and Expertise

- List the health content area expert's training, experience, and qualifications.
HEA1A

Staff Hiring Procedures

- Was a criminal background check conducted?
 - If no, does this staff member provide direct services to children? If they do not provide direct services to children, indicate whether the staff member has an office in a center serving children or in an administrative building where there are no children present.
 - If yes, indicate the date the criminal background check was conducted.
PDM7E

- Review staff files for documentation of initial health examination (including screening for tuberculosis) and reexamination (if required by health care provider or as mandated by State, local or Tribal laws). Has an initial health exam, including screenings, been completed?
 - Document the date of the most recent health exam and screening.
 - Document whether a reexamination is required.
(Note to reviewer: If the health care provider or State, local or Tribal law requires re-examination, describe the requirement, including required timeframes for reexamination if applicable, and indicate whether the program has complied with the requirement for the staff you are reviewing.)
 - Document the date of the reexamination, if required.
 - Document the date the tuberculosis screening was completed.
PDM7F

Staff Training and Development

- Indicate the date of the most recent performance review.
PDM7C

- Review staff files for evidence of training opportunities for staff and volunteers. Briefly summarize the types of training offered.
PDM7I

- Has the staff member received training in identifying and reporting child abuse and neglect?
 - Indicate the date the staff member received this training.
PDM7J



Health Management Summary Analysis--Overall Summary and Strengths

Overall Service Summary

- Summarize your general impressions of the program's delivery of health services. The summary should describe what the program does well, which areas need improvement, and your overall level of confidence in the program's provision of health services. Your summary should not directly reiterate the strengths and findings you identified through implementation of the protocol but, rather, should reflect your overall analysis and impressions of the program's effectiveness in providing health services.

HEA5A

Service Specific Strengths

- Summarize program strengths noted in health services. Describe any practices that were found to be new or innovative and had a positive impact, that helped the grantee overcome challenges and provided greater/improved service quality or surpassed established performance indicators. Some examples of broad categories of program strengths include (but are not limited to):

- Collaborations with local/community-based services
- Exemplary fiscal practices to ensure the safeguarding of Federal dollars
- Highly successful efforts to address and improve school readiness
- Expansion of the program and increased accessibility
- Extraordinary accommodations for children/families (e.g., children with disabilities)
- Innovative program design and management

Do not include strengths that will contradict any PANCs identified on this review.

HEA5A



Health Management Summary Analysis--Parent and Staff Communication

Communication among Staff

- Summarize whether the program has effective two-way communication between Health staff and staff in other service areas. Your summary should provide examples of why you consider the communication between the program's staff to be effective or ineffective. Your summary might reflect a potential program strength, a concern, or general compliance.
HEA5A

Communication with Parents

- Summarize whether the program has effective two-way communication between Health staff and parents. Your summary should provide examples of why you consider the communication between the program's staff and parents to be effective or ineffective. Your summary might reflect a potential program strength, a concern, or general compliance.
HEA5A



Health Management Summary Analysis--Planning

Planning

- Review the Health Services area's written plans so you understand the goals the program intends to achieve and the strategies the program plans to use to accomplish its goals. Summarize the program's progress in implementing its plans and achieving its defined goals. Your summary might reflect a potential program strength, a concern, or general compliance.

HEA5A



Health Management Summary Analysis--Record-Keeping

Record-Keeping

- Summarize whether the program is effective in keeping up to date and accurate health records. Your summary should provide examples of why you consider the program's record-keeping system to be effective or ineffective. Your summary might reflect a potential program strength, a concern, or general compliance.

HEA5A



Health Management Summary Analysis--Ongoing Monitoring

Ongoing Monitoring

- Summarize the program's process for ongoing monitoring of Health services. A comprehensive explanation of this system should include a description of each of the following:
 - Monitoring measures, tools or instruments, materials and procedures
 - Staff responsibilities for ongoing monitoring of their respective service areas
 - How the program analyzes and documents progress toward achieving program goals and complying with performance requirements
 - How follow up occurs for findings or problems identified through data collection, and how these findings are corrected and documented.

This summary should help all team members understand the effectiveness or ineffectiveness of Health services. Your summary might reflect a potential program strength, a concern, or general compliance.

HEASA



Nutrition Document Review

Menus

- Review menus and describe in your notes whether menu planning complies with USDA requirements. Your notes should describe how the menus comply or do not comply with USDA requirements, noting how you know the nutritional content of the foods offered. If foods are high in fat, sugar, or salt, describe how you know their nutritional content.

NUT2B

Applies to: Center-based or family child care programs serving preschool-age children

- Review menus, diet intake records, or feeding records to confirm that foods posing health or choking risks are not included. Your notes should describe how the menus comply or do not comply with USDA requirements.

NUT2E

Applies to: Center-based or family child care programs serving infants and toddlers



Nutrition Coordinator Interview

Staff Qualifications and Expertise

- Describe your training or experience related to diet and nutrition. If you are not the content area expert, describe the training or experience of the person who provides this expertise for the program.
NUT1A
- Describe how you provide the program with regularly scheduled, ongoing expertise and oversight in the area of nutrition services. If you are not the content area expert, does someone support you in this area and how?
NUT1A

Ongoing Monitoring and Oversight

- How do you monitor delivery of the program's nutrition services and the program's compliance with all Federal regulations?
NUT5A
- Show me the documents, systems, and reports used in implementing the ongoing monitoring of nutrition services.
NUT5A
- What do you do if you detect problems or weaknesses with the program's nutrition services?
NUT5A

Program Planning

- Describe how information from the annual self assessment is incorporated into your program planning and implementation.
NUT5A
- Describe how information from the Community Assessment (and its updates) is incorporated into your program planning and implementation.
NUT5A

Food Safety

- How do you ensure that food service vendors observe Federal, State, local, or Tribal safety and sanitation regulations related to food handling?
SAF3A

Appropriate Foods

- How do you ensure that foods posing health risks are not offered to children younger than 1 year old?
NUT2E
Applies to: Center-based or family child care programs serving infants and toddlers
- How do you ensure that foods posing a high risk of choking for infants and toddlers (e.g., hot dogs, whole grapes, hard raw vegetables, popcorn, whole nuts) are not given to them?
NUT2E
Applies to: Center-based or family child care programs serving infants and toddlers
- How do you ensure that appropriate snacks and meals (e.g., formula, baby food) are provided to infants and toddlers during socialization?
NUT3A
Applies to: Home-based programs serving infants and toddlers



- For part-day programs, how do you ensure that each child receives meals and snacks that provide at least one-third of the child's daily nutritional needs?
NUT2B
Applies to: Center-based or family child care programs serving preschool-age children
- For full-day programs, how do you ensure that each child receives meals that provide one-half to two-thirds (depending on the length of the program day) of the child's daily nutritional needs?
NUT2B
Applies to Center-based or family child care programs serving preschool-age children

Special Dietary and Nutritional Needs

- Do you discuss with families their cultural, religious, ethnic, or personal food preferences for their children? Do you discuss nutrition-related health problems that require special dietary considerations, such as obesity, iron deficiency, failure-to-thrive, food allergies and intolerances, milk allergies, and lactose intolerance?
NUT2F
- How do you inform teaching and cooking staff that a child has a disability, food allergy, medically based dietary need, or other special dietary need that requires accommodation?
NUT2A
- How do you know when you need to modify a menu for a child with disabilities, food allergies, or other medically based or special dietary needs? How do you take nutritional assessment data into consideration? How do you accommodate special medical or dietary needs?
NUT2A

Performance Reviews

- When did you receive your last annual performance review?
PDM7C
- How are the results of the annual performance review used? Do they help you identify your training and professional development needs? How does your manager help you improve skills and professional competencies?
PDM7C

Training

- Describe the opportunities for ongoing training that the program provides you to help you acquire and maintain the skills and knowledge necessary to fulfill your job responsibilities and to implement Head Start Program Performance Standards in the service area.
PDM7I
- When did you receive training on identifying and reporting child abuse and neglect? What steps would you take if you suspected child abuse or neglect?
PDM7J



Kitchen Staff Interview

Special Dietary and Nutritional Needs

- How do you know when you need to modify a menu for a child with disabilities, food allergies, or other medically based or special dietary needs? How do you take nutritional assessment data into consideration? How do you accommodate special medical or dietary needs?
NUT2A



Child Files Review--Nutrition

Child Files

- Does the child have special dietary needs?
NUT2A
Has the program made the required accommodations to meet these needs?
- Review parent contact logs or daily child notes, if available. Is there documentation that staff communicate regularly with parents about their child's nutritional needs?
NUT2D
Applies to: Programs serving infants and toddlers



Nutrition Coordinator & Content Area Expert--Staff File Review

Staff Qualifications and Expertise

- List the nutrition content area expert's training, experience, and qualifications.
NUT1A

Staff Hiring Procedures

- Was a criminal background check conducted?
 - If no, does this staff member provide direct services to children? If they do not provide direct services to children, indicate whether the staff member has an office in a center serving children or in an administrative building where there are no children present.
 - If yes, indicate the date the criminal background check was conducted.
PDM7E
- Review staff files for documentation of initial health examination (including screening for tuberculosis) and reexamination (if required by health care provider or as mandated by State, local or Tribal laws). Has an initial health exam, including screenings, been completed?
 - Document the date of the most recent health exam and screening.
 - Document whether a reexamination is required.
(Note to reviewer: If the health care provider or State, local or Tribal law requires re-examination, describe the requirement, including required timeframes for reexamination if applicable, and indicate whether the program has complied with the requirement for the staff you are reviewing.)
 - Document the date of the reexamination, if required.
 - Document the date the tuberculosis screening was completed.
PDM7F

Staff Training and Development

- Indicate the date of the most recent performance review.
PDM7C
- Review staff files for evidence of training opportunities for staff and volunteers. Briefly summarize the types of training offered.
PDM7I
- Has the staff member received training in identifying and reporting child abuse and neglect?
 - Indicate the date the staff member received this training.
PDM7J



Nutrition Management Summary Analysis--Overall Summary and Strengths

Overall Service Summary

- Summarize your general impressions of the program's delivery of nutrition services. The summary should describe what the program does well, which areas need improvement, and your overall level of confidence in the program's provision of nutrition services. Your summary should not directly reiterate the strengths and findings you identified through implementation of the protocol but, rather, should reflect your overall analysis and impressions of the program's effectiveness in providing nutrition services.

NUT5A

Service Specific Strengths

- Summarize program strengths noted in nutrition services. Describe any practices that were found to be new or innovative and had a positive impact, that helped the grantee overcome challenges and provided greater/improved service quality or surpassed established performance indicators. Some examples of broad categories of program strengths include (but are not limited to):
 - Collaborations with local/community-based services
 - Exemplary fiscal practices to ensure the safeguarding of Federal dollars
 - Highly successful efforts to address and improve school readiness
 - Expansion of the program and increased accessibility
 - Extraordinary accommodations for children/families (e.g., children with disabilities)
 - Innovative program design and management

Do not include strengths that will contradict any PANCS identified on this review.

NUT5A



Nutrition Management Summary Analysis--Parent and Staff Communication

Communication among Staff

- Summarize whether the program has effective two-way communication between Nutrition staff and staff in other service areas. Your summary should provide examples of why you consider the communication between the program's staff to be effective or ineffective. Your summary might reflect a potential program strength, a concern, or general compliance.
NUT5A

Communication with Parents

- Summarize whether the program has effective two-way communication between Nutrition staff and parents. Your summary should provide examples of why you consider the communication between the program's staff and parents to be effective or ineffective. Your summary might reflect a potential program strength, a concern, or general compliance.
NUT5A



Nutrition Management Summary Analysis--Planning

Planning

- Review the Nutrition Services area's written plans so you understand the goals the program intends to achieve and the strategies the program plans to use to accomplish its goals. Summarize the program's progress in implementing its plans and achieving its defined goals. Your summary might reflect a potential program strength, a concern, or general compliance.

NUT5A



Nutrition Management Summary Analysis--Record-Keeping

Record-Keeping

- Summarize whether the program is effective in keeping up to date and accurate Nutrition records. Your summary should provide examples of why you consider the program's record-keeping system to be effective or ineffective. Your summary might reflect a potential program strength, a concern, or general compliance.
NUT5A



Nutrition Management Summary Analysis--Ongoing Monitoring

Ongoing Monitoring

- Summarize the program's process for ongoing monitoring of Nutrition services. A comprehensive explanation of this system should include a description of each of the following:
 - Monitoring measures, tools or instruments, materials and procedures
 - Staff responsibilities for ongoing monitoring of their respective service areas
 - How the program analyzes and documents progress toward achieving program goals and complying with performance requirements
 - How follow up occurs for findings or problems identified through data collection, and how these findings are corrected and documented.

This summary should help all team members understand the effectiveness or ineffectiveness of Nutrition services. Your summary might reflect a potential program strength, a concern, or general compliance.

NUT5A



Health and Safety Center-based Observations

Facilities and Materials Safety

- Observe the facilities and equipment, and describe anything that is unsafe or needs repair, if applicable.
SAF1H
- Observe indoor and outdoor spaces, and describe how provisions are made for children with disabilities to ensure their safety, comfort, and participation.
SAF1I

Outdoor Play Area

- Observe outdoor play areas when children are present. Are children supervised on the playground at all times? How do staff work around any "blind spot" to ensure they can see all of the children?
SAF1F

Meals

- Describe how staff implement family-style meals. For example:
 - Is conversation shared during the meal?
 - If the program serves prepackaged food, are teachers still sitting with the children during meals and snacks?
 - Do other designated staff or volunteers eat and converse with the children during meals if teachers are unable to have their meals at the same time as children?
 - Do teachers use mealtime as an opportunity to model language, conversation, and social interaction and to introduce nutritious foods?
NUT4C
- How are children encouraged to try new foods? Do children have to eat all of the foods offered? Are there times when children are not allowed to have something that is offered or are given something extra because of behavior? Note that standards of conduct indicate that food should not be used as reward or punishment for children.
NUT4B, PDM7H
- During meal service do children have adequate time to eat? Are slower eaters given enough time to finish their food?
NUT4B

Dental Hygiene

- Describe toothbrushing and gum-wiping activities and when they occur.
NUT4A

Toileting Practices

- Describe practices related to potty use, including where and on how many occasions you observed them and who was involved. Also note the presence of a utility sink and whether the utility sink was used.
SAF2D

Diapering

- Describe diapering practices in detail, where the practices occurred, how many occasions you observed them, and who was involved.
SAF2C



Cleanup of Bodily Fluids

- If you observe the cleanup of bodily fluids, describe how it was handled.
SAF2B

- If you observe a situation requiring use of nonporous gloves (e.g., cleanup of blood), describe whether nonporous gloves are available to staff, where the gloves are kept, and when staff determine they would use them.
SAF2B



Safe Environments Center-based Checklist

Classroom Size and Staffing

- How many paid staff are in the classroom?
SAF4D
Applies to: Programs serving preschool-age children
- How many children are in infant and toddler rooms? How many children are assigned to each teacher?
SAF4C
Applies to: Programs serving infants and toddlers
- How many children are present in the classroom? How many providers are hired for the group size?
SAF4B
Applies to: Programs serving preschool-age children
- Are there volunteers in each classroom?
(Note to reviewer: The grantee is not considered out of compliance, if there are no volunteers.)
SAF4D
Applies to: Programs serving preschool-age children

Health and Safety of Infants and Toddlers

- Are infants held during bottle feeding? If not, describe.
ECD3H, NUT4D
Applies to: Programs serving infants and toddlers
- Are mattresses used for infants firm?
SAF1C
Applies to: Programs serving infants and toddlers
- Is the sleeping area free of soft bedding such as comforters, pillows, fluffy blankets, or stuffed toys?
SAF1C
Applies to: Programs serving infants and toddlers
- When and how often are toys sanitized? Review toy sanitizing schedule, if available.
SAF1D
Applies to: Programs serving infants and toddlers

Hand Washing

- Do staff, volunteers, and children wash their hands with soap and running water:
 - After diapering or toilet use,
 - Before food preparation, handling, consumption, or any other food-related activity,
 - Whenever hands are contaminated with blood or other bodily fluids, and
 - After handling pets or other animals?SAF2A



- Do staff and volunteers wash their hands with soap and running water:
 - Before and after giving medications,
 - Before and after treating or bandaging a wound (nonporous gloves should be worn if there is contact with blood or blood-containing body fluids), and
 - After assisting a child with toilet use?SAF2A

First Aid Kits

- Look at the first aid kits and indicate whether:
 - Kits are well supplied and appropriate for ages served and program size,
 - Items in kits are within the expiration date, if applicable,
 - All staff working with children know where the kits are located,
 - Kits are kept out of children's reach, and
 - Program has a portable first aid kit for use on trips to offsite locations or on the playground.SAF2E

Usable Indoor and Outdoor Space

- Are there at least 35 square feet of usable indoor space--excluding bathrooms, halls, kitchen, staff rooms, and storage space--and 75 square feet of usable outdoor space per child?
SAF1E
- Calculate square footage per child using the number of children enrolled in that classroom. Indicate the number of children currently enrolled in the classroom and the measurement of the current classroom space.
SAF1E

Safe Environments Center-based Checklist

- Are approved fire extinguishers readily available to staff?
SAF1B
- Are classrooms well lit? Is emergency lighting available in case of a power failure?
SAF1B
- Are electrical outlets accessible to children covered or maintained to prevent shock?
SAF1B
- Are areas used for diapering and toileting separate from areas used for cooking, eating, and children's activities?
SAF1B
- Are emergency evacuation routes posted and safety procedures for emergencies (e.g., fire or weather-related) practiced regularly?
SAF1B
- Are exits clearly visible and evacuation routes clearly marked and posted so the path to safety outside is unmistakable? (Note to reviewer: Head Start Program Performance Standard 1304.53(a)(10)(vii) does not indicate exit signs must be posted and lit.)
SAF1B
- Are garbage and trash stored and disposed of in a safe, sanitary manner?
SAF1B



- Are heating and cooling systems insulated to protect children and staff from injury such as burns?
SAF1B
Applies to: Programs in climates that require heating or cooling systems or both
- Are smoke detectors installed and tested regularly?
SAF1B
- Are windows and glass doors constructed, adapted, or adjusted to prevent injury to children? Look for a seal on the safety glass.
SAF1B
- Are all child medications labeled and stored, under lock and key, and refrigerated, if necessary? Is emergency medication (e.g., EpiPen) stored out of children's reach yet accessible quickly?
HEA3D, SAF1B
- Does the program ensure that indoor and outdoor premises are cleaned daily and kept free of undesirable and hazardous materials and conditions?
If the answer is "no," describe exactly what was unclean and not kept free of undesirable and hazardous materials and conditions, including in how many classrooms and sites this incident occurred out of the total number of classrooms and sites observed.
SAF1B
- Are playground equipment and surfaces maintained to minimize injury to children?
SAF1B
- Are indoor and outdoor spaces at center-based programs in use by mobile infants and toddlers separated from general walkways and from areas in use by preschoolers? If not, describe the space observed.
SAF1G, ECD5A
Applies to: Programs serving infants and toddlers
- Does the program maintain a smoke-free environment on center grounds?
SAF1J



Health and Safety Family Child Care Observations

Facilities and Materials Safety

- Observe the facilities and equipment, and describe anything that is unsafe or needs repair, if applicable.
SAF1H
- Observe indoor and outdoor spaces, and describe how provisions are made for children with disabilities to ensure their safety, comfort, and participation.
SAF1I

Outdoor Play Area

- Observe outdoor play areas when children are present. Are children supervised on the playground at all times? How do staff work around any "blind spot" to ensure they can see all of the children?
SAF1F

Meals

- Describe how staff implement family-style meals. For example:
 - Is conversation shared during the meal?
 - If the program serves prepackaged food, are teachers still sitting with the children during meals and snacks?
 - Do other designated staff or volunteers eat and converse with the children during meals if teachers are unable to have their meals at the same time as children?
 - Do teachers use mealtime as an opportunity to model language, conversation, and social interaction and to introduce nutritious foods?
NUT4C
- How are children encouraged to try new foods? Do children have to eat all of the foods offered? Are there times when children are not allowed to have something that is offered or are given something extra because of behavior? Note that standards of conduct indicate that food should not be used as reward or punishment for children.
NUT4B, PDM7H
- During meal service do children have adequate time to eat? Are slower eaters given enough time to finish their food?
NUT4B

Dental Hygiene

- Describe toothbrushing and gum-wiping activities and when they occur.
NUT4A

Toileting Practices

- Describe practices related to potty use, including where and on how many occasions you observed them and who was involved. Also note the presence of a utility sink and whether the utility sink was used.
SAF2D

Diapering

- Describe diapering practices in detail, where the practices occurred, how many occasions you observed them, and who was involved.
SAF2C



Cleanup of Bodily Fluids

- If you observe the cleanup of bodily fluids, describe how it was handled.
SAF2B

- If you observe a situation requiring use of nonporous gloves (e.g., cleanup of blood), describe whether nonporous gloves are available to staff, where the gloves are kept, and when staff determine they would use them.
SAF2B



Safe Environments Family Child Care Checklist

Classroom Size and Staffing

- How many paid staff are in the classroom?
SAF4D
Applies to: Programs serving preschool-age children
- How many children are present in the family child care home? How many providers are hired for the group size? How many children are under age 2 years?
SAF4A
- How many infants and toddlers are present in the early child care family home? How many children in the group are under age 18 months? How many providers are assigned to the group?
SAF4A
Applies to: Programs serving infants and toddlers
- Are there volunteers in each classroom?
(Note to reviewer: The grantee is not considered out of compliance, if there are no volunteers.)
SAF4D
Applies to: Programs serving preschool-age children

Health and Safety of Infants and Toddlers

- Are infants held during bottle feeding? If not, describe.
ECD3H, NUT4D
Applies to: Programs serving infants and toddlers
- Are mattresses used for infants firm?
SAF1C
Applies to: Programs serving infants and toddlers
- Is the sleeping area free of soft bedding such as comforters, pillows, fluffy blankets, or stuffed toys?
SAF1C
Applies to: Programs serving infants and toddlers
- When and how often are toys sanitized? Review toy sanitizing schedule, if available.
SAF1D
Applies to: Programs serving infants and toddlers

Hand Washing

- Do staff, volunteers, and children wash their hands with soap and running water:
 - After diapering or toilet use,
 - Before food preparation, handling, consumption, or any other food-related activity,
 - Whenever hands are contaminated with blood or other bodily fluids, and
 - After handling pets or other animals?SAF2A



- Do staff and volunteers wash their hands with soap and running water:
 - Before and after giving medications,
 - Before and after treating or bandaging a wound (nonporous gloves should be worn if there is contact with blood or blood-containing body fluids), and
 - After assisting a child with toilet use?SAF2A

Safe Environments Family Child Care Checklist

- Are children enrolled in the family child care program protected from potential hazards posed by appliances? Are premises free from pests? Are chemicals for controlling pests used only while children are not on the premises? If the answer is "no," describe exactly what was unclean and not kept free of undesirable and hazardous materials and conditions, including what might pose a potential hazard.
SAF1B
- Are radon detectors installed in family child care homes with a basement, where recommended by local health officials?
SAF1B
- Are smoke and carbon monoxide detectors installed and located properly?
SAF1B
- Do providers ensure that alcohol and drugs are not consumed while children are present? Do providers ensure that alcohol and drugs are inaccessible to children at all times?
SAF1B
- Do providers ensure that no firearms or other weapons are kept in areas occupied by children? Do providers ensure that firearms or other weapons are inaccessible to children at all times?
SAF1B
- Do providers ensure the safety of children when a body of water, a road, or other potential hazard is present or when children are being transported?
SAF1B
- Is there a fence to prevent children's unsupervised access to all water hazards, such as pools or other bodies of water? (Note to reviewer: Small child-size pools need not be fenced but must be supervised at all times.)
SAF1B
- Do providers have a system of supervision in place that assures safety of children not within view for any period (e.g., the provider needs to use the bathroom or an infant is napping in one room while toddlers play in another)?
SAF1B
- Do providers secure health certificates for pets to document up to date immunizations and freedom from conditions that pose a threat to children's health? Do providers ensure that pets are managed appropriately to ensure children's safety at all times?
SAF1B
- Are all child medications labeled and stored, under lock and key, and refrigerated, if necessary? Is emergency medication (e.g., EpiPen) stored out of children's reach yet accessible quickly?
HEA3D, SAF1B



- Are indoor and outdoor spaces at family child care programs in use by mobile infants and toddlers separated from general walkways and from areas in use by preschoolers? If not, describe the space observed.

SAF1G, ECD5A

Applies to: Programs serving infants and toddlers

- Does the family child care program maintain a smoke-free environment?

SAF1J

First Aid Kits

- Look at the first aid kits and indicate whether:
 - Kits are well supplied and appropriate for ages served and program size,
 - Items in kits are within the expiration date, if applicable,
 - All staff working with children know where the kits are located,
 - Kits are kept out of children's reach, and
 - Program has a portable first aid kit for use on trips to offsite locations or on the playground.

SAF2E

Usable Indoor and Outdoor Space

- Does each family child care home have sufficient indoor and outdoor space usable and available to children? (Note to reviewer: This space must be adequate to allow children to be supervised and to participate safely in developmentally appropriate activities and routines that foster their cognitive, socio-emotional, and physical development, including both gross and fine motor.)

SAF1E

Applies to: Programs serving infants and toddlers



Safe Environments Document Review

Class Roster

- Review class rosters or other supporting documents for preschool classrooms to determine the number of children enrolled in the class. How many children are enrolled? What is the predominate age of the children?
SAF4B
Applies to: Center-based programs serving preschool-age children
- Review class rosters or other supporting documents for infant and toddler classrooms to determine the number of children enrolled in the class. How many children are enrolled? What is the predominate age of the children?
SAF4C
Applies to: Center-based programs serving infants and toddlers
- Review class rosters or other supporting documents for Family Child Care programs to determine the number of children enrolled in the class. How many children are enrolled? What is the predominate age of the children?
SAF4A
Applies to: Family child care programs

Policies and Procedures

- Record the date of the last smoke detector check.
SAF1B
- Review the program's policies for spilled bodily fluids. Do policies comply with Occupational Safety and Health Administration guidelines?
SAF2B

Facility Cleaning Log

- Describe how the program logs its daily cleaning of the indoor and outdoor premises.
SAF1B

Licensing or Inspection Report

- If available, review recent licensing reports or environmental inspection reports. What, if any, concerns were noted in the reports? Are issues in the process of being corrected?
SAF1J
Applies to: Center-based programs

Facility License

- Does the family child care program have a license, if required by State, local, or Tribal regulations?
(Note to reviewer: The license need not be posted for family child care programs.)
SAF1A
Applies to: Family child care programs
- Is the facility license current? Where licensing standards are less stringent than Head Start Program Performance Standards, or where no State or local licensing standards exist, determine whether the grantee or delegate complies with all standards under 1304.53(a).
(Note to reviewer: For home-based programs this question relates to the facilities where socializations are held.)
SAF1A
Applies to: Center-based or home-based programs



- Indicate whether the grantee and delegate have available all licenses and certificates that permit them to handle and serve food and whether such licenses and certifications are posted.

SAF3A



Facilities Coordinator Interview

Ongoing Monitoring and Oversight

- How do you monitor the program's facilities, materials, and equipment and the program's compliance with all Federal regulations?
SAF5A
- Show me the documents, systems and reports used in the implementation of the ongoing monitoring of facilities, materials and equipment.
SAF5A
- What do you do if you detect problems or weaknesses with the program's facilities, materials, and equipment?
SAF5A
- Does the program review maintenance requests or reports of accidents and injuries to identify trends and make needed improvements?
SAF5A

Program Planning

- Describe how information from the annual self assessment is incorporated into your program planning and implementation.
SAF5A
- Describe how information from the Community Assessment (and its updates) is incorporated into your program planning and implementation.
SAF5A

Facilities and Equipment Safety

- What is the budget allocation for ensuring that Head Start facilities and equipment are maintained, repaired, safe and secure?
SAF1H
- An unsafe condition was observed at one or more centers. Describe the unsafe condition observed to the Facilities Coordinator and ask: What is the system for addressing facilities and equipment that are unsafe or need repair? Did your process fail, or can you describe what happened in this circumstance?
SAF1H

Environmental Safety

- Describe the system in place to monitor daily cleaning of the indoor and outdoor premises.
SAF1B
- When was the last time the program's environment was sprayed with herbicides or pesticides? When did children return to the area after spraying?
SAF1J
Applies to: Center-based or family child care programs
- Has the center been tested for lead (e.g., paint, soil)? If so, were lead levels considered safe?
If lead levels are high, what steps have been taken to eliminate children's exposure to lead while in the center?
SAF1J
Applies to: Center-based or family child care programs



- Is the water supply adequate and approved by the State or local health authority? Can you show me documentation of licensing inspection? Record the date of the most recent inspection.
SAF3A

Safety

- Whom do you tell when facilities and equipment are unsafe or need repair?
SAF1H
- How and when do you sanitize toys? What products do you use to sanitize toys? Can you show me the product?
(Note to reviewer: Check the product label to confirm that it is nontoxic.)
SAF1D
Applies to: Programs serving infants and toddlers

Performance Reviews

- When did you receive your last annual performance review?
PDM7C
- How are the results of the annual performance review used? Do they help you identify your training and professional development needs? How does your manager help you improve skills and professional competencies?
PDM7C

Training

- Describe the opportunities for ongoing training that the program provides you to help you acquire and maintain the skills and knowledge necessary to fulfill your job responsibilities and to implement Head Start Program Performance Standards in the service area.
PDM7I
- When did you receive training on identifying and reporting child abuse and neglect? What steps would you take if you suspected child abuse or neglect?
PDM7J



Facilities Coordinator--Staff File Review

Staff Hiring Procedures

- Was a criminal background check conducted?
 - If no, does this staff member provide direct services to children? If they do not provide direct services to children, indicate whether the staff member has an office in a center serving children or in an administrative building where there are no children present.
 - If yes, indicate the date the criminal background check was conducted.
PDM7E
- Review staff files for documentation of initial health examination (including screening for tuberculosis) and reexamination (if required by health care provider or as mandated by State, local or Tribal laws). Has an initial health exam, including screenings, been completed?
 - Document the date of the most recent health exam and screening.
 - Document whether a reexamination is required.
(Note to reviewer: If the health care provider or State, local or Tribal law requires re-examination, describe the requirement, including required timeframes for reexamination if applicable, and indicate whether the program has complied with the requirement for the staff you are reviewing.)
 - Document the date of the reexamination, if required.
 - Document the date the tuberculosis screening was completed.
PDM7F

Staff Training and Development

- Indicate the date of the most recent performance review.
PDM7C
- Review staff files for evidence of training opportunities for staff and volunteers. Briefly summarize the types of training offered.
PDM7I
- Has the staff member received training in identifying and reporting child abuse and neglect?
 - Indicate the date the staff member received this training.
PDM7J



Safe Environments Management Summary Analysis--Overall Summary and Strengths

Overall Service Summary

- Summarize your general impressions of the program's functioning in the area of safe environments. The summary should describe what the program does well, which areas need improvement, and your overall level of confidence in the program's safe environments. Your summary should not directly reiterate the strengths and findings you identified through implementation of the protocol but, rather, should reflect your overall analysis and impressions of the program's effectiveness in providing a safe environment.

SAF5A

Service Specific Strengths

- Summarize program strengths noted in safe environments. Describe any practices that were found to be new or innovative and had a positive impact, that helped the grantee overcome challenges and provided greater/improved service quality or surpassed established performance indicators. Some examples of broad categories of program strengths include (but are not limited to):

- Collaborations with local/community-based services
- Exemplary fiscal practices to ensure the safeguarding of Federal dollars
- Highly successful efforts to address and improve school readiness
- Expansion of the program and increased accessibility
- Extraordinary accommodations for children/families (e.g., children with disabilities)
- Innovative program design and management

Do not include strengths that will contradict any PANCs identified on this review.

SAF5A



Safe Environments Management Summary Analysis--Ongoing Monitoring

Ongoing Monitoring

- Summarize the program's process for ongoing monitoring of Facilities. A comprehensive explanation of this system should include a description of each of the following:
 - Monitoring measures, tools or instruments, materials and procedures
 - Staff responsibilities for ongoing monitoring of their respective service areas
 - How the program analyzes and documents progress toward achieving program goals and complying with performance requirements
 - How follow up occurs for findings or problems identified through data collection, and how these findings are corrected and documented.

This summary should help all team members understand the effectiveness or ineffectiveness of keeping the facilities safe. Your summary might reflect a potential program strength, a concern, or general compliance.

SAF5A



Transportation Document Review

State Vehicle Inspections

- Review the annual State inspection certificate of each vehicle provided by the State licensing agency, if applicable.
TRANS1A
Applies to: Programs that provide transportation services

Driver Incident Reports

- Are accidents reported in accordance with applicable State requirements?
TRANS2F
Applies to: Programs that provide transportation services

Training Plans and Policies

- Does the program have training procedures for bus monitors?
TRANS3C
Applies to: Programs that provide transportation services
- Describe the behind-the-wheel and classroom training procedures for bus drivers, noting how often bus drivers are required to participate in such training.
TRANS3A
Applies to: Programs that provide transportation services



Transportation Coordinator Interview

Ongoing Monitoring and Oversight

- How do you monitor delivery of the program's transportation services and the program's compliance with all Federal regulations?
TRANS5A
Applies to: Programs that provide transportation services
- Show me the documents, systems, and reports used in implementing the ongoing monitoring of transportation services.
TRANS5A
Applies to: Programs that provide transportation services
- What do you do if you detect problems or weaknesses with the program's transportation services?
TRANS5A
Applies to: Programs that provide transportation services

Program Planning

- Describe how information from the annual self assessment is incorporated into your program planning and implementation.
TRANS5A
Applies to: Programs that provide transportation services
- Describe how information from the Community Assessment (and its updates) is incorporated into your program planning and implementation.
TRANS5A
Applies to: Programs that provide transportation services

Transportation Procedures

- How does the bus driver receive up to date information on children, especially when a contractor provides transportation services?
TRANS2E
Applies to: Programs that provide transportation services
- How are families notified if a child is onboard a bus when an accident occurs?
TRANS2F
Applies to: Programs that provide transportation services
- How are substitute monitors provided when the regular bus monitor is absent?
TRANS2D
Applies to: Programs that provide transportation services
- Does the program have a waiver for the bus monitor requirement (1310.15(c)(1))?
TRANS2D
Applies to: Programs that provide transportation services
- What is the program's process for background checks on their contracted bus drivers?
TRANS1B
Applies to: Programs that provide transportation services



Transportation for Children with Disabilities

- Are any special education or related services provided off site?
TRANS4C
Applies to: Programs that provide transportation services
- Do you arrange for or provide transportation for children with disabilities to and from services?
TRANS4C
Applies to: Programs that provide transportation services
- Does the transportation comply with the Americans with Disabilities Act of 1990?
TRANS4C
Applies to: Programs that provide transportation services
- How do you ensure that the transportation is adapted to meet a child's special needs?
TRANS4C
Applies to: Programs that provide transportation services

Performance Reviews

- When did you receive your last annual performance review?
PDM7C
- How are the results of the annual performance review used? Do they help you identify your training and professional development needs? How does your manager help you improve skills and professional competencies?
PDM7C

Training

- Describe the opportunities for ongoing training that the program provides you to help you acquire and maintain the skills and knowledge necessary to fulfill your job responsibilities and to implement Head Start Program Performance Standards in the service area.
PDM7I
- When did you receive training on identifying and reporting child abuse and neglect? What steps would you take if you suspected child abuse or neglect?
PDM7J



Bus Inspection

Vehicle Maintenance and Inspections

- Describe the bus driver's pre-trip inspection. If the bus driver completes a pre-trip inspection form, review a copy of the form.
TRANS1A
Applies to: Programs that provide transportation services

Vehicle Equipment

- Are vehicles equipped with reverse beepers?
TRANS2A
Applies to: Programs that provide transportation services
- Are vehicles equipped with height- and weight-appropriate restraint systems?
(Note to reviewer: Lap belts only are not acceptable for child restraints.)
TRANS2A
Applies to: Programs that provide transportation services
- Does the vehicle providing transportation services have a seat belt cutter?
TRANS2A
Applies to: Programs that provide transportation services
- Does the vehicle providing transportation services have a well-stocked first aid kit?
SAF2E, TRANS2A
Applies to: Programs that provide transportation services
- Is the vehicle equipped with a two-way communication system to call for assistance? Is there a back-up plan if the two-way communication system is not working (e.g., in drop zones)?
TRANS2A
Applies to: Programs that provide transportation services
- Is there a fire extinguisher on the bus and is it fully charged (check the gauge)?
TRANS2A
Applies to: Programs that provide transportation services

Bus Safety

- Are baggage or other items transported in the passenger compartment properly stored?
TRANS2B
Applies to: Programs that provide transportation services



Bus Driver Interview

Vehicle Maintenance and Inspection

- Can you describe the preventive maintenance done for each vehicle?
TRANS1A
Applies to: Programs that provide transportation services
- How often do you conduct a pre-trip inspection of the vehicle? What happens if something does not pass the pre-trip inspection? Describe how the inspection ensures that the vehicle is in safe operating condition.
TRANS1A
Applies to: Programs that provide transportation services

Transportation Safety

- How many bus monitors do you typically travel with onboard? How often do you travel without having a bus monitor onboard?
(Note to reviewer: The correct answer should be "never".)
TRANS2D
Applies to: Programs that provide transportation services
- How do you receive up to date information on children?
TRANS2E
Applies to: Programs that provide transportation services
- How do you know the people to whom each child can be released when he or she exits the bus?
TRANS2E
Applies to: Programs that provide transportation services
- What process do you follow if no parent is at a stop to meet a child exiting the bus?
TRANS2E
Applies to: Programs that provide transportation services
- Does the bus monitor or another adult escort children when they have to cross the street?
TRANS2C
Applies to: Programs that provide transportation services
- How do you ensure that no child is left on the vehicle at the end of the route?
TRANS2E
Applies to: Programs that provide transportation services
- What is the average time each child is on the bus, each way? Which child has the longest trip on the bus? How long is it?
(Note to reviewer: If any child's trip is over 1 hour long, ask the bus driver whether an alternate route is available to reduce the child's transit time to under 1 hour.)
TRANS2C
Applies to: Programs that provide transportation services
- Have you ever been involved in an accident? If so, how was it reported?
TRANS2F
Applies to: Programs that provide transportation services
- Describe procedures for using alternate routes in case of hazardous conditions.
TRANS2C
Applies to: Programs that provide transportation services



Performance Reviews

- Do you receive an annual evaluation that includes an onboard observation? When was your last evaluation?
PDM7C, TRANS3B
Applies to: Programs that provide transportation services

Background Checks

- Was a background check conducted when you were hired?
TRANS1B
Applies to: Programs that provide transportation services

Training

- What type of classroom and behind-the-wheel training have you received?
TRANS3A
Applies to: Programs that provide transportation services
- Do you receive refresher behind-the-wheel and classroom training courses annually?
TRANS3A
Applies to: Programs that provide transportation services
- When did you receive training on identifying and reporting child abuse and neglect? What steps would you take if you suspected child abuse or neglect?
PDM7J



Bus Monitor Interview

Transportation Safety

- How do you know the people to whom each child can be released when he or she exits the bus?
TRANS2E
Applies to: Programs that provide transportation services

Training

- What training did you receive on child boarding and exiting procedures, use of child restraint systems, required paperwork, emergency and evacuation procedures, use of special equipment, child pickup and release procedures, and pre- and post-trip vehicle checks?
TRANS3C
Applies to: Programs that provide transportation services
- When did you receive training on identifying and reporting child abuse and neglect? What steps would you take if you suspected child abuse or neglect?
PDM7J



Transportation Coordinator--Staff File Review

Staff Hiring Procedures

➤ Was a criminal background check conducted?

- If no, does this staff member provide direct services to children? If they do not provide direct services to children, indicate whether the staff member has an office in a center serving children or in an administrative building where there are no children present.

- If yes, indicate the date the criminal background check was conducted.
- Were background checks for the bus driver or the Transportation Coordinator completed?
- Indicate the date the background check was conducted.

(Note to reviewer: Review information from the program's tracking system. Select staff files to verify the staff background check information provided in the tracking system. If a tracking system is unavailable, review staff files to determine whether appropriate criminal record checks are conducted before hire date.)

PDM7E

➤ Review staff files for documentation of initial health examination (including screening for tuberculosis) and reexamination (if required by health care provider or as mandated by State, local or Tribal laws). Has an initial health exam, including screenings, been completed?

- Document the date of the most recent health exam and screening.
- Document whether a reexamination is required.

(Note to reviewer: If the health care provider or State, local or Tribal law requires re-examination, describe the requirement, including required timeframes for reexamination if applicable, and indicate whether the program has complied with the requirement for the staff you are reviewing.)

- Document the date of the reexamination, if required.
- Document the date the tuberculosis screening was completed.

PDM7F

Staff Training and Development

➤ Indicate the date of the most recent performance review.

PDM7C

➤ Review staff files for evidence of training opportunities for staff and volunteers. Briefly summarize the types of training offered.

PDM7I

➤ Has the staff member received training in identifying and reporting child abuse and neglect?

- Indicate the date the staff member received this training.

PDM7J



Transportation Management Summary Analysis--Overall Summary and Strengths

Overall Service Summary

- Summarize your general impressions of the program's delivery of transportation services. The summary should describe what the program does well, which areas need improvement, and your overall level of confidence in the program's provision of transportation services. Your summary should not directly reiterate the strengths and findings you identified through implementation of the protocol but, rather, should reflect your overall analysis and impressions of the program's effectiveness in providing transportation services.

TRANS5A

Service Specific Strengths

- Summarize program strengths noted in transportation services. Describe any practices that were found to be new or innovative and had a positive impact, that helped the grantee overcome challenges and provided greater/improved service quality or surpassed established performance indicators. Some examples of broad categories of program strengths include (but are not limited to):
 - Collaborations with local/community-based services
 - Exemplary fiscal practices to ensure the safeguarding of Federal dollars
 - Highly successful efforts to address and improve school readiness
 - Expansion of the program and increased accessibility
 - Extraordinary accommodations for children/families (e.g., children with disabilities)
 - Innovative program design and management

Do not include strengths that will contradict any PANCs identified on this review.

TRANS5A



Transportation Management Summary Analysis--Ongoing Monitoring

Ongoing Monitoring

- Summarize the program's process for ongoing monitoring of Transportation services. A comprehensive explanation of this system should include a description of each of the following:
 - Monitoring measures, tools or instruments, materials and procedures
 - Staff responsibilities for ongoing monitoring of their respective service areas
 - How the program analyzes and documents progress toward achieving program goals and complying with performance requirements
 - How follow up occurs for findings or problems identified through data collection, and how these findings are corrected and documented.

This summary should help all team members understand the effectiveness or ineffectiveness of Transportation services. Your summary might reflect a potential program strength, a concern, or general compliance.

TRANS5A



Education and Early Childhood Development Reviewer Guides

The following Guides are used by ECD reviewers to collect information on program performance with respect to Education and Early Childhood Development:

- ECD Preschool Classroom Observations
- ECD Infant and Toddler Classroom Observations
- Teacher Interview
- Child Files Review – ECD (Center-based)
- Family Child Care Setting Observations
- Family Child Care Provider Interview
- Child Files Review – ECD (Family Child Care Setting)
- Home-Based Visit Observations
- Home Visitor Interview
- Child Files Review – ECD (Home-based Program)
- ECD Document Review
- ECD Coordinator Interview
- Staff File ---ECD Coordinator/Content Area Expert
- ECD Management Systems Analyses



ECD Preschool Classroom Observations

Curriculum

- Observe the experiences offered to children. Describe individual experiences and small group experiences. Describe both indoor and outdoor experiences (delineate between the two).
ECD3J
- Look for evidence of the integration of services into the curriculum. Describe the types of integrations seen during the observation. Note specifically the following items (but write a full observation of integrations):
 - Developmentally appropriate food-related activities are integrated into the curriculum
 - Safety awareness integrated into children's activitiesECD2B

Culture and Diversity

- Describe the communication between adults and children. Note specifically whether at least one adult is able to communicate with the child in his or her home language.
ECD3E
- Describe the materials, equipment, and activities that reflect the diversity of the children in the setting.
ECD3E

Art, Music, and Movement

- Provide descriptions of art, music, and movement activities. Include a description of the materials available for these activities.
ECD4B

Early Math Development

- Describe how numbers are integrated into daily routines and how teachers use a variety of experiences and different settings to teach math concepts and build mathematical vocabulary.
ECD4D

Early Literacy Development

- Describe how and when developmentally appropriate reading and writing materials are available throughout the day, and how children interact with books and the strategies used to promote literacy development.
ECD4D

Child and Teacher Directed Activities

- Describe the opportunities for children to engage in child-initiated and adult-directed activities (e.g., free choice-time, asking teacher to read a book, teacher engaging in child-initiated conversation, teacher following child's lead, teacher leading activities for children's development).
ECD4E

Gross Motor Skills

- Describe how the indoor and outdoor space and equipment supports active physical play and development for preschool children.
ECD5A



Fine Motor Skills

- Describe the variety of fine motor activities for preschool-age children available throughout the day (e.g., art activities, sand and water play, blocks building, shape sorting, feeding, solving puzzles, exploring textures, stringing beads).
ECD5B

Children with Disabilities

- How are children with disabilities integrated into the group? Do they participate in activities, as appropriate?
DIS4E
- Visit classrooms to observe the services provided to children with disabilities. Summarize the services, including information about the coordination of services among all service areas (Education, Health, Mental Health). How does the Disabilities Coordinator support teachers who work with children with disabilities?
DIS2A



ECD Infant and Toddler Classroom Observations

Building Trust

- Describe the interactions with children. Are they pleasant and comforting? Do adults show interest in children's activities?
ECD3A
- Look for evidence of a warm and supportive classroom. Describe how teachers and children interact with each other. Focus specifically on the relationships that are supportive and caring.
ECD3A

Fostering Independence

- Describe how adults foster independence in children's daily routines. In your description include:
 - Classroom setup and whether the environment allows children to use and put away materials and supplies independently,
 - The time provided to complete tasks, and
 - The location of materials in the classroom and whether they are arranged for independent use.
ECD3B

Encouraging Self-Control

- Look for evidence of teachers encouraging self-control. Describe how teachers set clear limits with realistic expectations based on the children's ages and ability. Record examples of teachers helping children express their emotions and of effective classroom management that prevents escalation of uncontrolled conflict.
ECD3C

Encouraging Respect

- Look for evidence of teachers encouraging respect for others' feelings and rights. Describe how teachers engage children in problem-solving strategies and support positive guidance (e.g., acknowledge feelings, verbalize feelings, listen to all sides, anticipate and redirect challenging behavior when needed).
ECD3D

Culture and Diversity

- Describe the communication between adults and children. Note specifically whether at least one adult is able to communicate with the child in his or her home language.
ECD3E
- Describe the materials, equipment, and activities that reflect the diversity of the children in the setting.
ECD3E

Self-Awareness

- Describe evidence of adults encouraging self-awareness in infants and toddlers. Note specifically how quickly program staff respond to individual children, the exchange of information with parents during arrival and departure, and how the environment supports self-awareness (such as mirrors or materials from home).
ECD3G



Daily Routines and Transitions

- Describe the routines and transitions observed. Note specifically whether children are kept involved in activities throughout the observation, whether teachers are fully prepared for activities and lessons, whether materials are ready, and whether the routine is flexible and individualized.

ECD3H

Cognitive Development

- Provide descriptions of age-appropriate science activities, opportunities for children to play and explore, exploration of blocks, sand and water play or other ways that adults provide for the development of cognitive and language skills through experimentation, observation, play and exploration.

ECD4A

Art, Music, and Movement

- Provide descriptions of art, music, and movement activities. Include a description of the materials available for these activities.

ECD4B

Language Development

- Describe the opportunities for children to use and hear language. Focus specifically on how adults listen actively to children, ask relevant questions, allow time for children to respond, and encourage language and interaction in small groups.

ECD4C

Early Math Development

- Describe how numbers are integrated into daily routines and how teachers use a variety of experiences and different settings to teach math concepts and build mathematical vocabulary.

ECD4D

Early Literacy Development

- Describe how and when developmentally appropriate reading and writing materials are available throughout the day, and how children interact with books and the strategies used to promote literacy development.

ECD4D

Child and Teacher Directed Activities

- Describe how the daily routine offers opportunities for infants and toddlers to engage in playful interactive activities that are child and teacher directed (e.g., teacher reads to child or group of children, teacher leads children in group activity).

ECD4E

Gross Motor Skills

- Describe the gross motor development strategies for infants and toddlers. Look for available materials and equipment that encourage grasping, pulling, pushing, crawling, walking and climbing.

ECD5A



Fine Motor Skills

- List the daily activities that encourage infants and toddlers to develop control and coordination of small, specialized motions of eyes, mouth, hands, and feet (e.g., art activities, sand and water play, blocks building, feeding, and washing hands).
ECD5B

Children with Disabilities

- How are children with disabilities integrated into the group? Do they participate in activities, as appropriate?
DIS4E
- Visit classrooms to observe the services provided to children with disabilities. Summarize the services, including information about the coordination of services among all service areas (Education, Health, Mental Health). How does the Disabilities Coordinator support teachers who work with children with disabilities?
DIS2A



Teacher Interview

Curriculum Development and Implementation

- How do you integrate health, nutrition, and mental health into the curriculum?
ECD2B
Applies to: Programs serving preschool-age children

Curriculum and Individualization

- How do you manage individualization for children with the implementation of the program curriculum?
ECD2C
- How do you measure the success of individualization and the strategies used to implement the curriculum for each child?
ECD2C
- Describe the process for using multiple sources of information (such as screenings, ongoing observations, and insights from parents) to individualize for children.
ECD2C

IFSPs and IEPs

- Are you familiar with the requirements of IFSPs and IEPs for children with disabilities?
DIS4E
- Can you describe implementation of IFSP or IEP requirements?
DIS4E

Social and Emotional Development

- What type of training have you received on planning and maintaining positive environments for children? Describe the training you have received on engaging in positive interactions with children.
PDM7I
- What are some of the strategies you use to develop competence, self-esteem, and positive attitudes toward learning?
ECD3I
Applies to: Programs serving preschool-age children
- Describe the types of individual and small group experiences you provide for children both indoors and outdoors.
ECD3J
Applies to: Programs serving preschool-age children
- Describe the process for moving children to new groups.
ECD3A
- Are children oriented gradually to new groups or teachers with a familiar adult present?
ECD3A
- What are some of the strategies you use to foster independence?
ECD3B
- How do you encourage independent use of toilet facilities?
ECD3B



Education and Early Childhood Development Reviewer Guides

Teacher Interview

- Please provide examples of how you set consistent limits for children and your developmental expectations for adhering to those limits.
ECD3C
- What do you do to encourage children to respect the rights and feelings of others?
ECD3D
- How do you maintain secure and consistent relationships with infants and toddlers?
ECD3F
Applies to: Programs serving infants and toddlers

Cognitive and Language Development

- What strategies are used to encourage experimentation, inquiry, observation, play and exploration?
ECD4A
- How do you engage children in art, music, and movement activities?
ECD4B
- What strategies do you use to promote language development in both English and home languages for dual language learners?
ECD4C
- What types of materials and strategies do you use to support literacy and math development?
ECD4D

Physical Development

- How do you promote physical development both indoors and outdoors?
ECD5A
- How do you promote developmentally appropriate fine motor skills?
ECD5B

Staff Coordination

- How do you convey your need for support in ensuring that children's health, mental health, and special needs are met? How are your needs for such support met?
MH2B
- How do coordinators verify with you that individual plans are working for children with disabilities? How are you supported with implementing plans or addressing the need to change plans?
DIS2A
- How are you made aware of new health services needs for children with disabilities?
DIS2B

Parent Involvement

- How do staff encourage parents to participate in staff-parent conferences?
FCS4A
- Are teachers required to make no fewer than two home visits per program year?
FCS4A
- How do you explain the advantages of home visits to parents?
FCS4A



- How are parents involved in the selection and or development of the program's curriculum?
FCS4B
- When are parents allowed to visit the program and observe their children?
FCS4B
- How are parents provided with opportunities to increase their child observation skills and to share their assessments with staff?
FCS4B
- Are developmental assessments shared with parents throughout the program year?
FCS4B
- Are parents included in educational decisions related to their children? Can you describe the decision-making process?
FCS4B
- How do you solicit parents' information, observations, and concerns about their children's mental health?
MH2A
- How do consultations with parents occur when health problems are suspected or identified for children?
HEA2F
- Does the program familiarize parents with the use of and rationale behind health and developmental procedures administered through the program or by contract and obtain advance authorization for such procedures?
HEA2F

Safety

- How do you ensure that children are supervised at all times?
(Note to reviewer: Listen for how the program provides supervision in play areas).
SAF1F
- How do you prevent children from getting into unsafe areas?
SAF1F
- Are children exposed to vehicular traffic when en route to play? If so, how do you keep children safe?
SAF1F
- Whom do you tell when facilities and equipment are unsafe or need repair?
SAF1H
- What would you do if a spill of bodily fluids occurred?
SAF2B
- Do staff and volunteers wear nonporous gloves when in contact with blood or other visibly bloody bodily fluids?
SAF2B
- How and when do you sanitize toys? What products do you use to sanitize toys? Can you show me the product?
(Note to reviewer: Check the product label to confirm that it is nontoxic.)
SAF1D
Applies to: Programs serving infants and toddlers
- What precautions are taken to ensure each child receives his or her own mother's breast milk or the correct formula? How do staff and parents communicate to ensure containers of breast milk or formula are dated, labeled clearly with the child's name, and used only for the intended child?
SAF3B
Applies to: Programs serving infants and toddlers



Diapering

- What is the practice for changing children's diapers?
SAF2C

Dental Hygiene

- How often and when do children over age 1 year brush their teeth in school?
(Note to reviewer: Once daily, after a meal, Head Start staff or volunteers should help children age 1 year or older brush their teeth using fluoride toothpaste.)
NUT4A
- How often and when do staff wipe the gums of infants' under age 1 year during the program day?
(Note to reviewer: At least once during the program day, Head Start staff or volunteers must wash their hands then cover a finger with a gauze pad or soft cloth and gently wipe infants' gums.)
NUT4A
Applies to: Programs serving infants and toddlers

Meals and Nutrition

- Do children receive breakfast every morning? What happens when children arrive after breakfast is served?
NUT2C
- How often do you communicate with parents about:
 - Frequency and manner of feeding;
 - Introduction of solid foods and other new foods;
 - Daily elimination patterns of each child;
 - Food intolerances and preferences of each child; and
 - Quantity and consumption of foods at home and school?NUT2D
Applies to: Programs serving infants and toddlers
- What steps do you take to ensure that children have adequate time to eat, and that slower eaters are given enough time to finish their food?
NUT4B
- How do you encourage children to try new foods? Do children have to eat all of the foods offered? Are there times when children are not allowed to have something that is offered or are given something extra based on how they behave? Note that standards of conduct indicate that food should not be used as reward or punishment for children.
NUT4B, PDM7H

Performance Reviews

- When did you receive your last annual performance review?
PDM7C
- How are the results of the annual performance review used? Do they help you identify your training and professional development needs? How does your manager help you improve skills and professional competencies?
PDM7C



Training

- When did you receive training on identifying and reporting child abuse and neglect? What steps would you take if you suspected child abuse or neglect?
PDM7J

Professional Development Plans

- Did you participate in the development of your professional development plan?
PDM7D



Child File Review--ECD (Center-based)

Child Files

- Are ongoing observations conducted and recorded to better understand each child?
ECD2C
- Review the assessment data in child files. Does the assessment process collect information about children's functioning in the following areas:
 - Gross and fine motor skills,
 - Perceptual discrimination,
 - Cognition,
 - Attention skills,
 - Self-help,
 - Social and receptive skills, and
 - Expressive language?
ECD2C



Family Child Care Setting Observation

Curriculum

- Observe the experiences offered to children. Describe individual experiences and small group experiences. Describe both indoor and outdoor experiences (delineate between the two).
ECD3J
- Look for evidence of the integration of services into the curriculum. Describe the types of integrations seen during the observation. Note specifically the following items (but write a full observation of integrations):
 - Developmentally appropriate food-related activities are integrated into the curriculum
 - Safety awareness integrated into children's activitiesECD2B

Building Trust

- Describe the interactions with children. Are they pleasant and comforting? Do adults show interest in children's activities?
ECD3A
- Look for evidence of a warm and supportive classroom. Describe how teachers and children interact with each other. Focus specifically on the relationships that are supportive and caring.
ECD3A

Fostering Independence

- Describe how adults foster independence in children's daily routines. In your description include:
 - Classroom setup and whether the environment allows children to use and put away materials and supplies independently,
 - The time provided to complete tasks, and
 - The location of materials in the classroom and whether they are arranged for independent use.ECD3B

Encouraging Self-Control

- Look for evidence of teachers encouraging self-control. Describe how teachers set clear limits with realistic expectations based on the children's ages and ability. Record examples of teachers helping children express their emotions and of effective classroom management that prevents escalation of uncontrolled conflict.
ECD3C

Encouraging Respect

- Look for evidence of teachers encouraging respect for others' feelings and rights. Describe how teachers engage children in problem-solving strategies and support positive guidance (e.g., acknowledge feelings, verbalize feelings, listen to all sides, anticipate and redirect challenging behavior when needed).
ECD3D

Culture and Diversity

- Describe the communication between adults and children. Note specifically whether at least one adult is able to communicate with the child in his or her home language.
ECD3E



- Describe the materials, equipment, and activities that reflect the diversity of the children in the setting.
ECD3E

Self-Awareness

- Describe evidence of adults encouraging self-awareness in infants and toddlers. Note specifically how quickly program staff respond to individual children, the exchange of information with parents during arrival and departure, and how the environment supports self-awareness (such as mirrors or materials from home).
ECD3G

Daily Routines and Transitions

- Describe the routines and transitions observed. Note specifically whether children are kept involved in activities throughout the observation, whether teachers are fully prepared for activities and lessons, whether materials are ready, and whether the routine is flexible and individualized.
ECD3H

Self-Esteem

- Look for evidence of program staff encouraging children to develop feelings of competence, self-esteem, and positive attitudes toward learning throughout the observation. Describe how teachers listen to children, compliment their accomplishments and efforts, or encourage children to talk about what they are doing.
ECD3I

Cognitive Development

- Provide descriptions of age-appropriate science activities, opportunities for children to play and explore, exploration of blocks, sand and water play or other ways that adults provide for the development of cognitive and language skills through experimentation, observation, play and exploration.
ECD4A

Art, Music, and Movement

- Provide descriptions of art, music, and movement activities. Include a description of the materials available for these activities.
ECD4B

Language Development

- Describe the opportunities for children to use and hear language. Focus specifically on how adults listen actively to children, ask relevant questions, allow time for children to respond, and encourage language and interaction in small groups.
ECD4C

Early Math Development

- Describe how numbers are integrated into daily routines and how teachers use a variety of experiences and different settings to teach math concepts and build mathematical vocabulary.
ECD4D



Early Literacy Development

- Describe how and when developmentally appropriate reading and writing materials are available throughout the day, and how children interact with books and the strategies used to promote literacy development.
ECD4D

Child and Teacher Directed Activities

- Describe the opportunities for children to engage in child-initiated and adult-directed activities (e.g., free choice-time, asking teacher to read a book, teacher engaging in child-initiated conversation, teacher following child's lead, teacher leading activities for children's development).
ECD4E
- Describe how the daily routine offers opportunities for infants and toddlers to engage in playful interactive activities that are child and teacher directed (e.g., teacher reads to child or group of children, teacher leads children in group activity).
ECD4E

Gross Motor Skills

- Describe the gross motor development strategies for infants and toddlers. Look for available materials and equipment that encourage grasping, pulling, pushing, crawling, walking and climbing.
ECD5A
- Describe how the indoor and outdoor space and equipment supports active physical play and development for preschool children.
ECD5A

Fine Motor Skills

- List the daily activities that encourage infants and toddlers to develop control and coordination of small, specialized motions of eyes, mouth, hands, and feet (e.g., art activities, sand and water play, blocks building, feeding, and washing hands).
ECD5B
- Describe the variety of fine motor activities for preschool-age children available throughout the day (e.g., art activities, sand and water play, blocks building, shape sorting, feeding, solving puzzles, exploring textures, stringing beads).
ECD5B

Children with Disabilities

- How are children with disabilities integrated into the group? Do they participate in activities, as appropriate?
DIS4E
- Visit classrooms to observe the services provided to children with disabilities. Summarize the services, including information about the coordination of services among all service areas (Education, Health, Mental Health). How does the Disabilities Coordinator support teachers who work with children with disabilities?
DIS2A



Family Child Care Provider Interview

Curriculum Development and Implementation

- How do you integrate health, nutrition, and mental health into the curriculum?
ECD2B
Applies to: Programs serving preschool-age children

Curriculum and Individualization

- How do you manage individualization for children with the implementation of the program curriculum?
ECD2C
- How do you measure the success of individualization and the strategies used to implement the curriculum for each child?
ECD2C
- Describe the process for using multiple sources of information (such as screenings, ongoing observations, and insights from parents) to individualize for children.
ECD2C

IFSPs and IEPs

- Are you familiar with the requirements of IFSPs and IEPs for children with disabilities?
DIS4E
- Can you describe implementation of IFSP or IEP requirements?
DIS4E

Social and Emotional Development

- What are some of the strategies you use to develop competence, self-esteem, and positive attitudes toward learning?
ECD3I
Applies to: Programs serving preschool-age children
- Describe the types of individual and small group experiences you provide for children both indoors and outdoors.
ECD3J
Applies to: Programs serving preschool-age children
- Describe the process for moving children to new groups.
ECD3A
- Are children oriented gradually to new groups or teachers with a familiar adult present?
ECD3A
- What are some of the strategies you use to foster independence?
ECD3B
- How do you encourage independent use of toilet facilities?
ECD3B
- Please provide examples of how you set consistent limits for children and your developmental expectations for adhering to those limits.
ECD3C



- What do you do to encourage children to respect the rights and feelings of others?
ECD3D
- How do you maintain secure and consistent relationships with infants and toddlers?
ECD3F
Applies to: Programs serving infants and toddlers

Cognitive and Language Development

- What strategies are used to encourage experimentation, inquiry, observation, play and exploration?
ECD4A
- How do you engage children in art, music, and movement activities?
ECD4B
- What strategies do you use to promote language development in both English and home languages for dual language learners?
ECD4C
- What types of materials and strategies do you use to support literacy and math development?
ECD4D

Physical Development

- How do you promote physical development both indoors and outdoors?
ECD5A
- How do you promote developmentally appropriate fine motor skills?
ECD5B

Staff Coordination

- How do you convey your need for support in ensuring that children's health, mental health, and special needs are met? How are your needs for such support met?
MH2B
- How do coordinators verify with you that individual plans are working for children with disabilities? How are you supported with implementing plans or addressing the need to change plans?
DIS2A
- How are you made aware of new health services needs for children with disabilities?
DIS2B

Parent Involvement

- How do staff encourage parents to participate in staff-parent conferences?
FCS4A
- Are teachers required to make no fewer than two home visits per program year?
FCS4A
- How do you explain the advantages of home visits to parents?
FCS4A
- How are parents involved in the selection and or development of the program's curriculum?
FCS4B



- When are parents allowed to visit the program and observe their children?
FCS4B
- How are parents provided with opportunities to increase their child observation skills and to share their assessments with staff?
FCS4B
- Are developmental assessments shared with parents throughout the program year?
FCS4B
- Are parents included in educational decisions related to their children? Can you describe the decision-making process?
FCS4B
- How do you solicit parents' information, observations, and concerns about their children's mental health?
MH2A
- How do consultations with parents occur when health problems are suspected or identified for children?
HEA2F
- Does the program familiarize parents with the use of and rationale behind health and developmental procedures administered through the program or by contract and obtain advance authorization for such procedures?
HEA2F
- What is the system for notifying parents of emergencies or unplanned interruptions in service? Describe the contingency plans you have developed with parents for these emergencies (e.g., alternative providers or substitutes)? How do you inform parents of an emergency or the need to pick up a child who has become ill?
HEA2F

Safety

- How do you ensure that children are supervised at all times?
(Note to reviewer: Listen for how the program provides supervision in play areas).
SAF1F
- How do you prevent children from getting into unsafe areas?
SAF1F
- Are children exposed to vehicular traffic when en route to play? If so, how do you keep children safe?
SAF1F
- Whom do you tell when facilities and equipment are unsafe or need repair?
SAF1H
- What would you do if a spill of bodily fluids occurred?
SAF2B
- Do staff and volunteers wear nonporous gloves when in contact with blood or other visibly bloody bodily fluids?
SAF2B
- How and when do you sanitize toys? What products do you use to sanitize toys? Can you show me the product?
(Note to reviewer: Check the product label to confirm that it is nontoxic.)
SAF1D
Applies to: Programs serving infants and toddlers



-
- What precautions are taken to ensure each child receives his or her own mother's breast milk or the correct formula? How do staff and parents communicate to ensure containers of breast milk or formula are dated, labeled clearly with the child's name, and used only for the intended child?

SAF3B

Applies to: Programs serving infants and toddlers

Diapering

- What is the practice for changing children's diapers?

SAF2C

Dental Hygiene

- How often and when do children over age 1 year brush their teeth in school?
(Note to reviewer: Once daily, after a meal, Head Start staff or volunteers should help children age 1 year or older brush their teeth using fluoride toothpaste.)

NUT4A

- How often and when do staff wipe the gums of infants' under age 1 year during the program day?
(Note to reviewer: At least once during the program day, Head Start staff or volunteers must wash their hands then cover a finger with a gauze pad or soft cloth and gently wipe infants' gums.)

NUT4A

Applies to: Programs serving infants and toddlers

Meals and Nutrition

- Do children receive breakfast every morning? What happens when children arrive after breakfast is served?

NUT2C

- How often do you communicate with parents about:
 - Frequency and manner of feeding;
 - Introduction of solid foods and other new foods;
 - Daily elimination patterns of each child;
 - Food intolerances and preferences of each child; and
 - Quantity and consumption of foods at home and school?

NUT2D

Applies to: Programs serving infants and toddlers

- What steps do you take to ensure that children have adequate time to eat, and that slower eaters are given enough time to finish their food?

NUT4B

- How do you encourage children to try new foods? Do children have to eat all of the foods offered? Are there times when children are not allowed to have something that is offered or are given something extra based on how they behave? Note that standards of conduct indicate that food should not be used as reward or punishment for children.

NUT4B, PDM7H

Performance Reviews

- When did you receive your last annual performance review?

PDM7C



- How are the results of the annual performance review used? Do they help you identify your training and professional development needs? How does your manager help you improve skills and professional competencies?
PDM7C

Training

- Describe the opportunities for ongoing training that the program provides you to help you acquire and maintain the skills and knowledge necessary to fulfill your job responsibilities and to implement Head Start Program Performance Standards in the service area.
PDM7I
- When did you receive training on identifying and reporting child abuse and neglect? What steps would you take if you suspected child abuse or neglect?
PDM7J

Professional Development Plans

- Did you participate in the development of your professional development plan?
PDM7D



Child File Review--ECD (Family Child Care Setting)

Child Files

- Are ongoing observations conducted and recorded to better understand each child?
ECD2C
- Review the assessment data in child files. Does the assessment process collect information about children's functioning in the following areas:
 - Gross and fine motor skills,
 - Perceptual discrimination,
 - Cognition,
 - Attention skills,
 - Self-help,
 - Social and receptive skills, and
 - Expressive language?
ECD2C



Home-based Visit Observations

Curriculum

- Observe the experiences offered to children. Describe individual experiences and small group experiences. Describe both indoor and outdoor experiences (delineate between the two).
ECD3J
- Look for evidence of the integration of services into the curriculum. Describe the types of integrations seen during the observation. Note specifically the following items (but write a full observation of integrations):
 - Developmentally appropriate food-related activities are integrated into the curriculum
 - Safety awareness integrated into children's activitiesECD2B

Building Trust

- Describe the interactions with children. Are they pleasant and comforting? Do adults show interest in children's activities?
ECD3A
- Look for evidence of a warm and supportive classroom. Describe how teachers and children interact with each other. Focus specifically on the relationships that are supportive and caring.
ECD3A

Fostering Independence

- Describe how adults foster independence in children's daily routines. In your description include:
 - Classroom setup and whether the environment allows children to use and put away materials and supplies independently,
 - The time provided to complete tasks, and
 - The location of materials in the classroom and whether they are arranged for independent use.ECD3B

Encouraging Self-Control

- Look for evidence of teachers encouraging self-control. Describe how teachers set clear limits with realistic expectations based on the children's ages and ability. Record examples of teachers helping children express their emotions and of effective classroom management that prevents escalation of uncontrolled conflict.
ECD3C

Encouraging Respect

- Look for evidence of teachers encouraging respect for others' feelings and rights. Describe how teachers engage children in problem-solving strategies and support positive guidance (e.g., acknowledge feelings, verbalize feelings, listen to all sides, anticipate and redirect challenging behavior when needed).
ECD3D

Culture and Diversity

- Describe the communication between adults and children. Note specifically whether at least one adult is able to communicate with the child in his or her home language.
ECD3E



- Describe the materials, equipment, and activities that reflect the diversity of the children in the setting.
ECD3E

Self-Awareness

- Describe evidence of adults encouraging self-awareness in infants and toddlers. Note specifically how quickly program staff respond to individual children, the exchange of information with parents during arrival and departure, and how the environment supports self-awareness (such as mirrors or materials from home).
ECD3G

Daily Routines and Transitions

- Describe the routines and transitions observed. Note specifically whether children are kept involved in activities throughout the observation, whether teachers are fully prepared for activities and lessons, whether materials are ready, and whether the routine is flexible and individualized.
ECD3H

Self-Esteem

- Look for evidence of program staff encouraging children to develop feelings of competence, self-esteem, and positive attitudes toward learning throughout the observation. Describe how teachers listen to children, compliment their accomplishments and efforts, or encourage children to talk about what they are doing.
ECD3I

Cognitive Development

- Provide descriptions of age-appropriate science activities, opportunities for children to play and explore, exploration of blocks, sand and water play or other ways that adults provide for the development of cognitive and language skills through experimentation, observation, play and exploration.
ECD4A

Art, Music, and Movement

- Provide descriptions of art, music, and movement activities. Include a description of the materials available for these activities.
ECD4B

Language Development

- Describe the opportunities for children to use and hear language. Focus specifically on how adults listen actively to children, ask relevant questions, allow time for children to respond, and encourage language and interaction in small groups.
ECD4C

Early Math Development

- Describe how numbers are integrated into daily routines and how teachers use a variety of experiences and different settings to teach math concepts and build mathematical vocabulary.
ECD4D



Early Literacy Development

- Describe how and when developmentally appropriate reading and writing materials are available throughout the day, and how children interact with books and the strategies used to promote literacy development.
ECD4D

Child and Teacher Directed Activities

- Describe the opportunities for children to engage in child-initiated and adult-directed activities (e.g., free choice-time, asking teacher to read a book, teacher engaging in child-initiated conversation, teacher following child's lead, teacher leading activities for children's development).
ECD4E
- Describe how the daily routine offers opportunities for infants and toddlers to engage in playful interactive activities that are child and teacher directed (e.g., teacher reads to child or group of children, teacher leads children in group activity).
ECD4E

Children with Disabilities

- Visit classrooms to observe the services provided to children with disabilities. Summarize the services, including information about the coordination of services among all service areas (Education, Health, Mental Health). How does the Disabilities Coordinator support teachers who work with children with disabilities?
DIS2A



Home Visitor Interview

Curriculum Development and Implementation

- How do you integrate health, nutrition, and mental health into the curriculum?
ECD2B
Applies to: Programs serving preschool-age children

Curriculum and Individualization

- How do you manage individualization for children with the implementation of the program curriculum?
ECD2C
- How do you measure the success of individualization and the strategies used to implement the curriculum for each child?
ECD2C
- Describe the process for using multiple sources of information (such as screenings, ongoing observations, and insights from parents) to individualize for children.
ECD2C

IFSPs and IEPs

- Are you familiar with the requirements of IFSPs and IEPs for children with disabilities?
DIS4E
- Can you describe implementation of IFSP or IEP requirements?
DIS4E

Social and Emotional Development

- What are some of the strategies you use to develop competence, self-esteem, and positive attitudes toward learning?
ECD3I
Applies to: Programs serving preschool-age children
- Describe the types of individual and small group experiences you provide for children both indoors and outdoors.
ECD3J
Applies to: Programs serving preschool-age children
- Describe the process for moving children to new groups.
ECD3A
- Are children oriented gradually to new groups or teachers with a familiar adult present?
ECD3A
- What are some of the strategies you use to foster independence?
ECD3B
- How do you encourage independent use of toilet facilities?
ECD3B
- Please provide examples of how you set consistent limits for children and your developmental expectations for adhering to those limits.
ECD3C



- What do you do to encourage children to respect the rights and feelings of others?
ECD3D
- How do you maintain secure and consistent relationships with infants and toddlers?
ECD3F
Applies to: Programs serving infants and toddlers

Cognitive and Language Development

- What strategies are used to encourage experimentation, inquiry, observation, play and exploration?
ECD4A
- How do you engage children in art, music, and movement activities?
ECD4B
- What strategies do you use to promote language development in both English and home languages for dual language learners?
ECD4C
- What types of materials and strategies do you use to support literacy and math development?
ECD4D

Physical Development

- How do you educate families about the importance of physical development and encourage families to play actively with their children both indoors and outdoors (e.g., tumble with child on the carpet indoors or on a blanket outdoors, sit with child on a swing, ride or walk with child on bike, wagon, or other wheeled toy)?
ECD5C

Nutrition

- How do you learn about a child's nutritional needs that require accommodation, including a disability, food allergy, medically based need, or other special dietary need?
NUT3A
- How do you work with parents to plan and implement nutrition activities for group socializations?
NUT3A

Staff Coordination

- How do you convey your need for support in ensuring that children's health, mental health, and special needs are met? How are your needs for such support met?
MH2B

Parent Involvement

- How do staff encourage parents to participate in staff-parent conferences?
FCS4A
- How do you explain the advantages of home visits to parents?
FCS4A
- How are parents involved in the selection and or development of the program's curriculum?
FCS4B



- How are parents provided with opportunities to increase their child observation skills and to share their assessments with staff?
FCS4B
- Are developmental assessments shared with parents throughout the program year?
FCS4B
- Are parents included in educational decisions related to their children? Can you describe the decision-making process?
FCS4B
- How do you solicit parents' information, observations, and concerns about their children's mental health?
MH2A
- How do consultations with parents occur when health problems are suspected or identified for children?
HEA2F
- Does the program familiarize parents with the use of and rationale behind health and developmental procedures administered through the program or by contract and obtain advance authorization for such procedures?
HEA2F

Performance Reviews

- When did you receive your last annual performance review?
PDM7C
- How are the results of the annual performance review used? Do they help you identify your training and professional development needs? How does your manager help you improve skills and professional competencies?
PDM7C

Training

- Describe the opportunities for ongoing training that the program provides you to help you acquire and maintain the skills and knowledge necessary to fulfill your job responsibilities and to implement Head Start Program Performance Standards in the service area.
PDM7I
- When did you receive training on identifying and reporting child abuse and neglect? What steps would you take if you suspected child abuse or neglect?
PDM7J



Child File Review--ECD (Home-based Program)

Child Files

- Are ongoing observations conducted and recorded to better understand each child?
ECD2C
- Review the assessment data in child files. Does the assessment process collect information about children's functioning in the following areas:
 - Gross and fine motor skills,
 - Perceptual discrimination,
 - Cognition,
 - Attention skills,
 - Self-help,
 - Social and receptive skills, and
 - Expressive language?
ECD2C



ECD Document Review

Curriculum

- Write down the name of the curriculum used, the type of assessment tools used with the curriculum, and additional supplements used with the curriculum.

ECD2A

- Describe how the curriculum used is consistent with the following criteria:
 - Includes goals for children's development and learning,
 - Includes experiences through which they will achieve those goals,
 - Addresses what staff and parents do to help children achieve those goals,
 - Includes materials needed to support implementation,
 - Is consistent with the Head Start Program Performance Standards,
 - Is based on sound child development principles, and
 - Is research based.

ECD2A



ECD Coordinator Interview

Staff Qualifications and Expertise

- Describe your training or experience related to child growth and development, early childhood education, and family support. If you are not the content area expert, describe the training or experience of the person who provides this expertise for the program.
ECD1A
- Describe how you provide the program with regularly scheduled, ongoing expertise and oversight in the area of early childhood education. If you are not the content area expert, does someone support you in this area and how?
ECD1A
- Are teachers or FCC providers required to communicate in the languages spoken by the families served by the program?
ECD1B
Applies to: Center-based or family child care programs
- Is the home visitor required to communicate in the languages spoken by the families that the program serves?
ECD1C
Applies to: Home-based programs

Ongoing Monitoring and Oversight

- How do you monitor delivery of the program's education and early childhood development services and the program's compliance with all Federal regulations?
ECD6A
- Show me the documents, systems and reports used in the implementation of the ongoing monitoring of education and early childhood development services.
ECD6A
- What do you do if you detect problems or weaknesses with the program's education and early childhood development services?
ECD6A

Program Planning

- Describe how information from the annual self assessment is incorporated into your program planning and implementation.
ECD6A
- Describe how information from the Community Assessment (and its updates) is incorporated into your program planning and implementation.
ECD6A

Staffing

- Have staff changes occurred? How many changes have occurred during this program year?
ECD3F
Applies to: Programs serving infants and toddlers
- How long has each infant and toddler teacher been with the same group of children?
ECD3F
Applies to: Programs serving infants and toddlers



- What is the procedure for assigning substitutes?
ECD3F
Applies to: Programs serving infants and toddlers

Staff Coordination

- How are changes and updates to program plans regarding the provision of disabilities services communicated between coordinators and other necessary staff members?
DIS2A
- How do you verify that individual plans are working for children with disabilities? How do you support teachers with implementing plans or addressing the need to change plans?
DIS2A
- How do teachers receive support from other service area staff to ensure children's needs are met in the classroom? How do you know that your teachers have received the support they need?
PDM5A
- How do you coordinate with the Disabilities Coordinator using information from developmental assessments for planning program and individualization of educational activities and experiences for children with disabilities?
DIS2A

Adaptation for Children with Disabilities

- What steps are taken to ensure that all equipment, toys, materials, and furniture are age appropriate, safe, and supportive of children with disabilities?
SAF1I
Applies to: Center-based or family child care programs

Curriculum Development and Implementation

- How do you coordinate with other service area staff to ensure they have an opportunity to provide guidance for integration of health, nutrition, and mental health into curriculum implementation?
ECD2B
Applies to: Programs serving preschool-age children

Curriculum and Individualization

- How is the curriculum implemented to ensure children's individual patterns of learning and development are supported?
ECD2C
- How are screenings, ongoing observations, evaluations and insight from parents used to respond to each child's individual strengths and needs?
ECD2C

Culture and Diversity

- What are the procedures for ensuring that adults can communicate with children in their home language?
ECD3E
- You have observed that in at least one setting no adult was able to communicate with a child in his or her home language. Conduct a follow-up interview with the ECD Coordinator to understand how adults communicate with children and their families in this setting.
ECD3E



- How are staff familiarized with the families' ethnic backgrounds?
FCS2B

Parent Involvement

- How do staff encourage parents to participate in staff-parent conferences?
FCS4A
- Are teachers required to make no fewer than two home visits per program year?
FCS4A
- How do you explain the advantages of home visits to parents?
FCS4A
- How are parents involved in the selection and or development of the program's curriculum?
FCS4B
- When are parents allowed to visit the program and observe their children?
FCS4B
- How are parents provided with opportunities to increase their child observation skills and to share their assessments with staff?
FCS4B
- How do you share staff observations with parents and help parents understand child development and their child's behavior?
MH2A
- How do you help parents understand how to strengthen home environments to support and nurture child development?
MH2A
- How do you educate parents about appropriate behaviors and varying individual temperaments? How do you educate parents and staff on appropriate responses to child behaviors?
MH2A

Transitions

- How are developmentally appropriate expectations for children's learning and development shared with the school or other programs as the child transitions?
FCS5C
- How do you encourage parents and elementary school teachers to discuss the educational, developmental, and other needs of each child?
FCS5C
Applies to: Programs serving preschool-age children
- How do you help families understand how parent involvement relates to their child's academic success and teach them strategies for maintaining parent involvement as their child moves from Early Head Start to Head Start or elementary school?
FCS5C
- How do you work with parents who speak a language other than English to achieve effective transitions?
FCS5C



- How does the program organize and participate in joint, transition-related training for school and Head Start staff?
FCS5C
Applies to: Programs serving preschool-age children
- What are the procedures for transferring, with parental consent, Head Start program records for each participating child to the school or program where the child will enroll?
FCS5C

Performance Reviews

- When did you receive your last annual performance review?
PDM7C
- How are the results of the annual performance review used? Do they help you identify your training and professional development needs? How does your manager help you improve skills and professional competencies?
PDM7C

Training

- Describe the opportunities for ongoing training that the program provides you to help you acquire and maintain the skills and knowledge necessary to fulfill your job responsibilities and to implement Head Start Program Performance Standards in the service area.
PDM7I
- When did you receive training on identifying and reporting child abuse and neglect? What steps would you take if you suspected child abuse or neglect?
PDM7J
- What training opportunities have been available over the past year? How do you determine what kind of training individual teachers need?
PDM7I
Applies to: Center-based programs
- How does the program offer family child care providers opportunities for training in the following areas:
 - Infant, toddler, and preschool development;
 - Curriculum implementation;
 - Skills for working with children with disabilities;
 - Effective communication with children and their families;
 - Safety, sanitation, hygiene, health practices, and certification in infant and child CPR;
 - USDA and Child and Adult Care Food Program regulations; and
 - Other skills necessary to increase their knowledge of children and family services?
PDM7I
Applies to: Family child care programs
- How does the program ensure that each Head Start teacher attends at least 15 hours of classroom-focused professional development each year?
PDM7I





ECD Coordinator & Content Area Expert--Staff File Review

Staff Qualifications and Expertise

- Review the degree, training, experience, and qualifications documented for the education and early childhood development content area expert, including documentation of training and experience related to child growth and development, early childhood education, and family support. Indicate which of the following credentials the content area expert possesses (Select all that apply).
 - Child development associate (CDA) credential that is appropriate to the age of children being served
 - State-awarded certificate for preschool teachers that meets or exceeds the requirements for a CDA credential
 - Associate's degree in early childhood education
 - Associate's degree in a related field and coursework equivalent to a major relating to early childhood education, with experience teaching preschool-age children
 - Bachelor's degree and admission into the Teach For America program; successful completion of a rigorous early childhood content exam, such as the Praxis II; participation in a Teach For America summer training institute that includes teaching preschool children; and ongoing professional development and support from Teach For America's professional staff
 - Bachelor's or advanced degree in any field and coursework equivalent to a major relating to early childhood education with experience teaching preschool-age children
 - The content area expert does not possess any of the above degrees, training, experience, and qualifications(Note to reviewer: Document the qualifications that are listed in the file.)
ECD1A

Staff Hiring Procedures

- Was a criminal background check conducted?
 - If no, does this staff member provide direct services to children? If they do not provide direct services to children, indicate whether the staff member has an office in a center serving children or in an administrative building where there are no children present.
 - If yes, indicate the date the criminal background check was conducted.
PDM7E
- Review staff files for documentation of initial health examination (including screening for tuberculosis) and reexamination (if required by health care provider or as mandated by State, local or Tribal laws). Has an initial health exam, including screenings, been completed?
 - Document the date of the most recent health exam and screening.
 - Document whether a reexamination is required.(Note to reviewer: If the health care provider or State, local or Tribal law requires re-examination, describe the requirement, including required timeframes for reexamination if applicable, and indicate whether the program has complied with the requirement for the staff you are reviewing.)
 - Document the date of the reexamination, if required.
 - Document the date the tuberculosis screening was completed.
PDM7F

Staff Training and Development

- Indicate the date of the most recent performance review.
PDM7C



- Indicate the date of the most recent staff professional development plan.
PDM7D
- Review staff files for evidence of training opportunities for staff and volunteers. Briefly summarize the types of training offered.
PDM7I
- Has the staff member received training in identifying and reporting child abuse and neglect?
 - Indicate the date the staff member received this training.
PDM7J



ECD Management Summary Analysis--Overall Summary and Strengths

Overall Service Summary

- Summarize your general impressions of the program's delivery of early childhood education. The summary should describe what the program does well, which areas need improvement, and your overall level of confidence in the program's provision of early childhood education. Your summary should not directly reiterate the strengths and findings you identified through implementation of the protocol but, rather, should reflect your overall analysis and impressions of the program's effectiveness in providing early childhood education.

ECD6A

Service Specific Strengths

- Summarize program strengths noted in ECD. Describe any practices that were found to be new or innovative and had a positive impact, that helped the grantee overcome challenges and provided greater/improved service quality or surpassed established performance indicators. Some examples of broad categories of program strengths include (but are not limited to):
 - Collaborations with local/community-based services
 - Exemplary fiscal practices to ensure the safeguarding of Federal dollars
 - Highly successful efforts to address and improve school readiness
 - Expansion of the program and increased accessibility
 - Extraordinary accommodations for children/families (e.g., children with disabilities)
 - Innovative program design and management

Do not include strengths that will contradict any PANCS identified on this review.

ECD6A



ECD Management Summary Analysis--Parent and Staff Communication

Communication among Staff

- Summarize whether the program has effective two-way communication between ECD staff and staff in other service areas. Your summary should provide examples of why you consider the communication between the program's staff to be effective or ineffective. Your summary might reflect a potential program strength, a concern, or general compliance.
ECD6A

Communication with Parents

- Summarize whether the program has effective two-way communication between ECD staff and parents. Your summary should provide examples of why you consider the communication between the program's staff and parents to be effective or ineffective. Your summary might reflect a potential program strength, a concern, or general compliance.
ECD6A



ECD Management Summary Analysis--Planning

Planning

- Review the ECD Services area's written plans so you understand the goals the program intends to achieve and the strategies the program plans to use to accomplish its goals. Summarize the program's progress in implementing its plans and achieving its defined goals. Your summary might reflect a potential program strength, a concern, or general compliance.

ECD6A



ECD Management Summary Analysis--Record-Keeping

Record-Keeping

- Summarize whether the program is effective in keeping up to date and accurate ECD records. Your summary should provide examples of why you consider the program's record-keeping system to be effective or ineffective. Your summary might reflect a potential program strength, a concern, or general compliance.

ECD6A



ECD Management Summary Analysis--Ongoing Monitoring

Ongoing Monitoring

- Summarize the program's process for ongoing monitoring of ECD services. A comprehensive explanation of this system should include a description of each of the following:
 - Monitoring measures, tools or instruments, materials and procedures;
 - Staff responsibilities for ongoing monitoring of their respective service areas;
 - How the program analyzes and documents progress toward achieving program goals and complying with performance requirements;
 - How follow up occurs for findings or problems identified through data collection, and how these findings are corrected and documented.

This summary should help all team members understand the effectiveness or ineffectiveness of the ongoing monitoring system in ECD services. Your summary might reflect a potential program strength, a concern, or general compliance.

ECD6A



Program Design and Management Reviewer Guides (Review of Program Design and Management (PDM) and Eligibility, Recruitment, Selection, Enrollment, and Attendance (ERSEA))

The following Guides are used by PDM reviewers to collect information on program operations, governance, and human resources as well as Eligibility, Recruitment, Selection, Enrollment, and Attendance (ERSEA):

Program Design and Management

- PDM Pre-site Document Review
- PDM Document Review
- Governing Body Members Interview
- Policy Council or Policy Committee Member Interview
- Head Start/Early Head Start Director Interview
- Staff Files
 - Head Start/Early Head Start Director
 - Preschool Teacher
 - Infant and Toddler Teacher
 - Family Child Care Provider
 - Home Visitor
 - Bus Driver
- PDM Management Systems Analyses

Eligibility, Recruitment, Selection, Enrollment, and Attendance (ERSEA):

- ERSEA Document Review
- ERSEA Coordinator Interview
- Staff Files—ERSEA Coordinator
- ERSEA Management Systems Analyses



PDM Pre-site Document Review Guide

Community Assessment

- Summarize the general make-up of the Head Start community the program serves. List important demographic information that later will help you determine whether the grantee has used the Community Assessment to formulate long- and short-term goals, such as location of centers, types of services offered to parents, and with which community partners to collaborate.
PDM3B
- List the date of the most recent Community Assessment.
PDM3B

Service Plans and Program Plans

- If the program operates a combination option, does it provide an acceptable combination of minimum number of class sessions and home visits over a period of 8 months to 12 months?
ERSEA3A
- If the program operates a home-based option, does it provide 1 home visit per week per family (a minimum of 32 home visits per year), lasting a minimum of 1½ hours each, as well as provide 2 group socialization activities per month for each child (a minimum of 16 group socialization activities per year)?
ERSEA3A
Applies to: Home-based programs
- If the program operates a home-based option for Early Head Start, does it provide the required minimum weekly home visits and monthly group socializations for the number of weeks of operation as approved in the grant?
ERSEA3A
Applies to: Home-based program serving infants and toddlers
- If the program operates a center-based program, does it ensure that it provides the required number of hours or days of operation?
(Note to reviewer: If not, describe information you used to come to this conclusion.)
ERSEA3A
Applies to: Center-based program
- If the program operates an alternate program variation, can it demonstrate ACF approval?
ERSEA3A
- If the program operates a family child care option, does it operate a sufficient number of hours to meet the child care needs of the families?
ERSEA3A
Applies to: Family child care programs
- Summarize the goals the program intends to achieve and the strategies the program plans to use to accomplish each of its goals. Describe both short- and long-term goals for each service area, as applicable.
(Note to reviewer: Service area reviewers will review this summary to understand the program's goals and strategies to achieve these goals. They use this information to prepare a summary describing the program's progress in implementing its plans, which the PDM Reviewer uses to address the overall planning system summary analysis.)
PDM3C



Self Assessment and Program Planning

- List the dates of the last two Self Assessments.
(Note to reviewer: The Self Assessment should be conducted at least once each program year.)
PDM3A
- Was the Self Assessment conducted with the consultation and participation of Policy Councils, Policy Committees (as applicable), and other community members (as appropriate)?
PDM3A
- Has the agency developed and submitted an improvement plan to the Office of Head Start, approved by the agency's governing body, designed to strengthen weaknesses identified through its Self Assessment?
PDM3A
- Has the program used its Self Assessment to determine how effective the program is in meeting its goals?
PDM3A
- Summarize the areas out of compliance and strengths the grantee identified in its annual Self Assessment. In your summary:
 - Describe the Self Assessment's findings, including both areas out of compliance and strengths; and
 - Describe whether the program has made corrections to address areas out of compliance that it identified in its Self Assessment.PDM3A



PDM Document Review

Annual Report to the Public

- Does the annual report to the public include the following elements:
 - Total amount of public and private funds received and the amount from each source;
 - Explanation of budgetary expenditures and proposed budget for the fiscal year;
 - Total number of children and families served, average monthly enrollment (as a percentage of funded enrollment), and percentage of eligible children served;
 - Results of the Secretary's most recent review and the financial audit;
 - Percentage of enrolled children who received medical and dental exams;
 - Information about parent involvement activities;
 - Agency's efforts to prepare children for kindergarten; and
 - Other information the Secretary requires?

PDM6C

Governing Body Meeting Minutes

- Review the governing body meeting minutes. Indicate whether and when each of the following documents, policies or procedures was approved.
 - Annual Self Assessment and financial audit,
 - Program's progress in carrying out the grant application provisions, including implementation of corrective actions,
 - Personnel policies regarding hiring, evaluation, termination, and compensation,
 - Policies and procedures regarding hiring, evaluation, compensation, and termination of the Executive Director, Head Start Director, Director of Human Resources, Chief Financial Officer, or other person in an equivalent position, and
 - Results from monitoring, including appropriate follow-up activities?

PDM1E

- Review the governing body meeting minutes. Indicate whether each of the following documents, policies or procedures were approved as well as when they were approved.
 - Grantee's major financial expenditures;
 - Grantee's annual operating budget;
 - Selection (except when a financial auditor is assigned by the State under State law or is assigned under local law) of independent financial auditors who report all critical accounting policies and practices to the governing body; and
 - Monitoring of the agency's actions to correct audit findings and monitoring of other action necessary to comply with applicable laws (including regulations) governing financial statement and accounting practices?

PDM1F

- Review the governing body meeting minutes. Has the governing body:
 - Selected delegate agencies,
 - Established procedures and criteria for recruiting, selecting and enrolling children,
 - Developed procedures for selecting Policy Council members, and
 - Reviewed applications for funding and amendments to applications for funding?

PDM1D



- Do minutes provide evidence the governing body:
 - Received and reviewed audit reports;
 - Was informed of instances of noncompliance detected through audits or other compliance reviews; and
 - Directed correction of known instances of noncompliance?
PDM1D
- Does evidence exist in the governing body meeting minutes of financial transactions between the grantee or delegate and a related party, or of financial transactions that appear to be under the control of a related party? (Note to reviewer: A related party could be a subsidiary controlled by the grantee, delegate or both or an entity in which staff of the grantee, delegate or both have an ownership interest.)
FIS3F
- Are any of the leases with related parties identified in the review of the governing body meeting minutes?
FIS3F

Governing Body Membership Roster

- What is the total number of governing body members serving on the board?
PDM1A
- Review the Governing Body Membership Roster and identify which members have the required background and expertise.
 - What is the name and title of the governing body member with a background and expertise in fiscal management or accounting? What qualifications does he or she have?
 - What is the name and title of the governing body member with a background and expertise in early childhood education and development? What qualifications does he or she have?
 - What is the name and title of the governing body member who is a licensed attorney familiar with the types of issues that come before the governing body? What qualifications does he or she have?
(Note to reviewer: If no member meets one of the above criteria, indicate whether the required expertise met through a consultant agreement.)
PDM1A
- If the board has additional members:
 - How are the additional members of the board reflective of the community?
 - Is at least one member of the board a parent of a child currently or formerly enrolled in the Head Start program? List the name(s) of any parent member(s).
PDM1A

Governing Body By-Laws

- Do by-laws provide evidence the governing body has delegated fiscal or governance responsibilities to another entity?
FIS1C

Policy Council Meeting Minutes

- Review Policy Council Meeting Minutes. Did the Policy Council/Committee approve and submit to the governing body decisions about each of the following activities:
 - Program recruitment, selection, and enrollment priorities;
 - By-laws for Policy Council operation;
 - Applications for funding and amendments to applications for funding for programs before application submission;



- Budget planning for program expenditures, including policies for reimbursement and participation in Policy Council activities;
- Program personnel policies and decisions regarding employment of all program staff, including standards of conduct for program staff, contractors, and volunteers and criteria for employment and dismissal of program staff;
- Developing procedures for electing Policy Council member; and
- Recommendations for selecting program agencies and service areas for such agencies.

PDM2F

- Have parents been elected to the Policy Council or Policy Committee annually?

PDM2A

Policy Council Roster

- Review the Policy Council or Policy Committee membership roster to determine whether at least 51 percent of membership comprises parents of children currently enrolled in the program and whether all other members are drawn from the community served by the Head Start agency, including any delegate agency. (Note to reviewer: Membership may include parents of formerly enrolled children.)

PDM2A

Organizational Chart

- Does the organizational chart include the required management functions?

- Program management (Head Start Director or Early Head Start Director)
- Child development and education
- Child medical and dental
- Child mental health
- Child nutrition
- Services for children with disabilities
- Management of family and community partnerships, including parent activities?

PDM7A

- Document which staff people are formally assigned to and have adopted the required functions.

PDM7A

- Does the organizational structure provide for a separation of executive responsibilities from fiscal management? Do fiscal staff have potentially conflicting roles in managing operations outside the fiscal area? Does the organizational chart for the fiscal area reveal potential weaknesses in segregation of duties? (Note to reviewer: In order to answer this question, you may need to review the Fiscal Department Organization Chart, which is provided by grantees pre-site through HSES.)

PDM7A

Code of Conduct

- Does the program have a code of conduct to ensure that all staff abide by established standards?

PDM7H

- Do the standards of conduct include all elements specified in 1304.52(i)(1)(i); 1304.52(i)(1)(ii); 1304.52(i)(1)(iii); and 1304.52(i)(1)(iv)?

PDM7H



- Does the code of conduct address violations of these standards?
PDM7H
- Have written standards of conduct been established and adopted for disclosing, addressing, and resolving complaints, including investigations? How often are these standards updated?
PDM1D

Governing Body Reports

- Before conducting your interviews, review a sample of reports provided to the governing body. Does the governing body receive the following information and reports:
 - Monthly financial statements, including credit card expenditures;
 - Monthly program information summaries;
 - Program enrollment reports, including attendance reports for children whose care is partially subsidized by another public agency;
 - Monthly reports of meals and snacks provided through Department of Agriculture programs;
 - Financial audit;
 - Annual Self Assessment, including findings related to such assessment;
 - Community-wide strategic planning and needs assessment (i.e., Community Assessment) of the Head Start agency, including applicable updates;
 - Communication and guidance from the Secretary; and
 - Program information reports?PDM1C

Policy Council Reports

- Before your interview, review a sample of reports provided to the Policy Council or Policy Committee. Does the Policy Council or Policy Committee receive the following required reports?
 - Monthly financial statements, including credit card expenditures;
 - Monthly program information summaries;
 - Program enrollment reports, including attendance reports for children whose care is partially subsidized by another public agency;
 - Monthly reports of meals and snacks provided through Department of Agriculture programs;
 - Financial audit;
 - Annual Self Assessment, including findings related to such assessment;
 - Community-wide strategic planning and needs assessment (i.e., Community Assessment) of the Head Start agency, including any applicable updates;
 - Communication and guidance from the Secretary; and
 - Program information reports?PDM2E
- Do reports contain sufficient information to be useful during Policy Council meetings?
PDM2E



Training Plans and Policies

- Review training files and materials for evidence of training opportunities for staff and volunteers to build knowledge and skills necessary to fulfill their job responsibilities and to implement the Head Start Program Performance Standards in their service area. Briefly summarize the types of training offered.
PDM7I
- Describe training plans and materials (e.g., agendas, guidance documentation), and determine whether Policy Council or Policy Committee members receive orientation and ongoing training.
PDM2D
- Describe training plans and materials (e.g., agendas, guidance documentation), and determine whether governing body members received training.
PDM1B
- Review the programs policies and procedures, including training plans and policies.
Does the program's approach to staff training and development on identifying and reporting child abuse and neglect take a helpful, rather than punitive, attitude toward abusing or neglectful parents and other caretakers, as appropriate?
PDM7J
- Does the program address applicable State, local, or Tribal laws for identifying and reporting child abuse and neglect in its training plans and policies?
PDM7J

Initial Health Exams

- Obtain a list from the grantee that indicates the date each hired staff member received their initial health examination, and subsequent exams, if applicable. From the list, draw a sample staff records for teacher aides, kitchen staff, facilities staff and bus monitors. Compare the dates on the grantees list to information found in each staff file.
Were the health examination dates listed on the grantee's list accurate? If any subsequent health examinations were required of staff, were the dates listed accurate? If you find discrepancies, document your findings and follow up with the grantee to determine the reason for these discrepancies. If necessary, review additional files.
PDM7F

Background Checks

- Obtain a list from the grantee that indicates the date a criminal record check was performed for each hired staff member. From the list, draw a sample of staff records for teacher aides, kitchen staff, facilities staff and bus monitors. Compare the dates on the grantees list to information found in each staff file.
Were the criminal record check dates listed on the grantee's list accurate? If you find discrepancies, document your findings and follow up with the grantee to determine the reason discrepancies exist. If necessary, review additional files.
PDM7E



Governing Body Member Interview

Self Assessment and Program Planning

- In conducting the Self Assessment, what actions are taken when instances of noncompliance with Federal requirements are discovered?
PDM3A

Reporting

- What financial and programmatic reports do you receive? When do you receive them?
FIS5C, PDM1C
- What information do the reports you receive include? Are they clear and comprehensive?
PDM1C, FIS5C
- How do the reports help you keep track of the program's progress?
PDM1C, FIS5C
- If you have questions about reports, who answers your questions?
PDM1C

Composition

- The review of the governing body membership roster identified no member who has the requisite expertise in early childhood development. Ask governing body members whether a member (or consultant) possesses expertise in early childhood development and education and experience with children from birth to age 5 years? If no member meets this criterion, is the required expertise met through a consultant agreement? (Note to reviewer: A wide range of experiences might apply.)
PDM1A
- The review of the governing body membership roster identified no member who is a licensed attorney. Ask governing body members whether a member (or consultant) is a licensed attorney? If no member meets this criterion, is the required expertise met through a consultant agreement?
PDM1A
- Is there a member (or consultant) who has expertise in fiscal management or accounting? Does this member have the ability to understand audit reports, balance sheets, ledgers, and Federal fiscal grant requirements?
(Note to reviewer: If no member meets this criterion, is the required expertise met through a consultant agreement?)
PDM1A, FIS1B
- If a person with fiscal expertise is unavailable to serve as a member of the governing body, does the governing body use a consultant or another individual with relevant expertise who works directly with the governing body?
(Note to reviewer: If a consultant is used, ask the governing body members how they document the lack of a member with fiscal expertise and whether they can provide documentation?)
FIS1B



- Does the Board oversee a public entity, or are members selected to their positions by public election or political appointment?
(Note to reviewer: If the answer to this question is “yes,” an exception to the requirements of 642(c)(1)B(i) might apply; however, if a Head Start agency is unable to include members with a background or expertise in fiscal management or accounting, the governing body must obtain the services of a consultant or other individual with the required background and expertise to work with the governing body instead).
FIS1B
- The review of the governing body membership roster identified that the additional members of the governing body do not consist of parents of children currently or formerly enrolled in the program. Ask the governing body whether a member is a parent of a child currently or formerly enrolled in the program.
PDM1A

Governing Body Responsibilities

- How does the governing body review applications for funding and amendments to applications for funding?
PDM1D
- Can you describe the process of reviewing and approving the program's progress in carrying out the grant application provisions.
PDM1E
- What procedures has the governing body developed for selecting Policy Council members?
PDM1D
- How does the governing body select delegate agencies?
PDM1D
- How do you review and approve personnel policies regarding hiring, evaluation, compensation, and termination of employees? Additionally, how are such policies reviewed and approved for the Executive Director, Head Start Director, Director of Human Resources, and Chief Financial Officer or any other person in an equivalent position with the agency?
PDM1E
- Has the governing body established procedures and criteria for recruiting, selecting, and enrolling children?
PDM1D
- How are you given the opportunity to review the results from monitoring, including appropriate follow-up activities?
PDM1E
- What is the process for approving the operating budget?
PDM1F
- What is the process for approving financial expenditures?
PDM1F
- How do you select independent financial auditors? What do they report to the governing body?
PDM1F
- Describe the process for reviewing and approving the annual Self Assessment and financial audit?
PDM1E
- How do you monitor the program's actions for correcting audit findings and other actions necessary to comply with applicable laws governing financial statement and accounting practices?
PDM1F



Delegated Responsibilities

- Are Head Start funds used to compensate delegate agencies for fiscal or governance functions?
FIS1C

Conflict of Interest

- Do members receive compensation (other than reimbursement of out-of-pocket costs) for serving on the governing body or for providing goods and services to the organization?
FIS1A
- Are you, or is any member of your immediate family, an employee of the grantee or delegate or related to employees of the grantee or delegate?
FIS1A
- Are you aware of any vendor of goods or services in which a governing body member has a financial interest?
(Note to reviewer: Exceptions will be made if an individual holds a position as a result of public election or political appointment and such position carries with it a concurrent appointment to serve as a member of a Head Start (HS) agency governing body. In such cases, the individual with a conflict of interest as described above will not be prohibited from serving on such body. The HS agency will report the conflict to the Secretary, and, if the position held as a result of public election or political appointment provides compensation, the individual will not be prohibited from receiving such compensation.)
FIS1A
- Does the grantee have a policy with respect to its officers and key employees prohibiting direct or indirect ownership or profit participation in outside business enterprises with which the agency does business?
FIS1A

Training

- Describe the training that you received and whether you feel it was appropriate to allow you to be effective in your role as a governing body member?
PDM1B



Policy Council or Policy Committee Member Interview

Self Assessment and Program Planning

- How is the Self Assessment conducted?
PDM3A
- How are you involved in the program's annual Self Assessment?
PDM3A
- In conducting the Self Assessment, what actions are taken when instances of noncompliance with Federal requirements are discovered?
PDM3A

Reporting

- What financial and programmatic reports do you receive and when do you receive them?
FIS5C, PDM2E
- What information do the reports you receive include? Are they clear and comprehensive?
PDM2E, FIS5C
- How do the reports help you keep track of the program's progress?
FIS5C, PDM2E
- If you have questions about reports, who answers your questions?
PDM2E

Composition

- Have all centers or other program options, including local level programs, established parent committees?
PDM2A
- What is the composition of the Policy Council or Policy Committee? Are at least 51 percent of the members parents of children currently enrolled in the Head Start program? Are all other members drawn from the community served by the Head Start agency? (Note to reviewer: Membership may include parents of formerly enrolled children.)
PDM2A
- Is the Policy Council or Policy Committee elected by the parents of children currently enrolled in the Head Start program? How often and when do elections occur?
PDM2A



Policy Council and Policy Committee Member Responsibilities

- How has the Policy Council/Committee approved and submitted to the governing body decisions about each of the following activities:
 - Program recruitment, selection, and enrollment priorities;
 - By-laws for the operation of the policy council;
 - Applications for funding and amendments to applications for funding for programs prior to submission of applications;
 - Budget planning for program expenditures, including policies for reimbursement and participation in policy council activities;
 - Program personnel policies and decisions regarding the employment of all program staff, including standards of conduct for program staff, contractors, and volunteers and criteria for the employment and dismissal of program staff;
 - Developing procedures for how members of the policy council will be elected; and
 - Recommendations on the selection of program agencies and the service areas for such agencies?
PDM2F
- Does the program help you use the Community Assessment and the Self Assessment in making decisions about the program?
PDM2B
- How do you help the Head Start program decide what it is going to do to help children and families?
PDM2B

Conflict of Interest

- Are you, or any member of your immediate family, an employee of the grantee or delegate or related to an employee of the grantee or delegate?
PDM2C
- Do you receive compensation for serving on the Policy Council or Policy Committee or for providing services to the Head Start agency? (Note to reviewer: Reimbursement is permitted for serving as an occasional classroom substitute.)
PDM2C
- Do parents receive reimbursement for reasonable expenses to participate fully as a Policy Council member? (Note to reviewers: Reimbursement for travel and other related expenses is permissible.)
PDM2G

Training

- Have you received training? When did you receive it? Can you describe the training? What topics were covered? How did it help you in your role?
PDM2D



Head Start/Early Head Start Director Interview

Program Strengths

- Describe your programs' strengths, such as a new or innovative practice that has a positive impact; a practice that overcomes challenges and provides greater or improved quality of service; or a practice that surpasses established performance indicators.
PDM8A

Ongoing Monitoring and Oversight

- How do you monitor delivery of the program's services and the program's compliance with all Federal regulations?
PDM4A
- Show me the documents, systems, and reports used in implementing the ongoing monitoring of the program.
PDM4A
- What do you do if you detect problems or weaknesses with the program's services?
PDM4A
- How do you ensure that staff monitor the delivery of services effectively within their areas?
PDM4A
- How often do you receive ongoing status reports that capture the program's progress in meeting its goals and compliance? How do you use the information from these reports to improve program quality and make necessary corrections?
PDM4A
- How do you follow up on findings or problems identified through your data collection?
PDM4A
- Does the program review maintenance requests or reports of accidents and injuries to identify trends and make needed improvements?
SAF5A

Ongoing Monitoring-Delegates

- Does the grantee inform delegate governing bodies promptly of deficiencies identified?
PDM4B
Applies to: Grantees with delegates
- Does the grantee work with delegates to set priorities and establish schedules for addressing areas of deficiency in delegate operations? Can you describe this process?
PDM4B
Applies to: Grantees with delegates

Program Planning

- When were the last two Community Assessments conducted?
(Note to reviewer: The Community Assessment should be conducted every three years.)
PDM3B
- Describe how the program develops its goals to respond to community needs, and then revises those goals as appropriate to respond to changes in the community.
PDM3B



Self Assessment and Program Planning

- How is the Self Assessment conducted?
PDM3A
- How are you involved in the program's annual Self Assessment?
PDM3A
- In conducting the Self Assessment, what actions are taken when instances of noncompliance with Federal requirements are discovered?
PDM3A
- Describe how the program reviews and revises its goals to address the outcomes of the annual Self Assessment. Can you share an example of changes to program goals based on the Self Assessment?
PDM3A
- What are the agency-determined program goals for improving children's school readiness?
PDM3A
- How are the school readiness goals aligned with the Head Start Child Outcomes Framework, state early learning standards, as appropriate, and requirements and expectations of schools the children will be attending?
PDM3A

Organizational Structure

- How does the program's staffing and structure affect the program's ability to meet its objectives? Are there vacancies that affect your program's ability to meet its objectives?
PDM7A
- Has the grantee or delegate been without the services of a fiscal officer during the last 2 years? If so, for how long?
(Note to reviewer: Document in your notes how long the vacancy existed, and, if the vacancy was for 30 days or longer, how the program maintained fiscal activities during that period. This information may also be provided by the grantee in a pre-site document.)
FIS1D

Staff Coordination

- How do staff share information across service areas to ensure that the program effectively meets children's needs?
PDM5A
- How do you communicate policy or operational changes to the Board, Policy Council and staff?
PDM5A

Standards of Conduct

- Has the program established standards of conduct and addressed violations of these standards?
PDM7H

Record-Keeping

- How are security and confidentiality of child, family, and staff files maintained?
PDM6A
- What do you do to ensure that your program's records are timely, up to date, and accurate?
PDM6A



Reporting

- When do you publish an annual report available to the public? How is the report made available to the public (your community)?
PDM6C
- What financial and programmatic reports do you receive and when do you receive them?
PDM6B, FIS5C
- What information do the reports you receive include? Are they clear and comprehensive?
FIS5C, PDM6B
- How do the reports help you keep track of the program's progress?
FIS5C, PDM6B

Parent Involvement

- How are parents involved in the selection and or development of the program's curriculum?
FCS4B
- When are parents allowed to visit the program and observe their children?
FCS4B
- How are parents provided with opportunities to increase their child observation skills and to share their assessments with staff?
FCS4B

Performance Reviews

- When did you receive your last annual performance review?
PDM7C
- How are the results of the annual performance review used? Do they help you identify your training and professional development needs? How does your manager help you improve skills and professional competencies?
PDM7C
- Describe the annual performance review process and elements of performance evaluated.
PDM7C

Initial Health Exams

- How do you ensure that each staff member has an initial health examination, including screening for tuberculosis, and periodic reexaminations?
PDM7F

Background Checks

- How do you ensure the specific background checks are conducted for contracted drivers?
TRANS1B
Applies to: Programs providing transportation services
- What is the process for obtaining the appropriate criminal record checks before hiring an employee?
PDM7E



- During the review of staff files, the following staff were identified as not having a criminal background check (CRC). (Note to reviewer: Tell the Director which staff members did not have a CRC on file.)
Can you explain why these staff do not have a CRC? What is the state requirement regarding CRCs? How do you know if staff are not required to have a CRC?
PDM7E

Training

- Describe the opportunities for ongoing training that the program provides you to help you acquire and maintain the skills and knowledge necessary to fulfill your job responsibilities and to implement Head Start Program Performance Standards in the service area.
PDM7I
- When did you receive training on identifying and reporting child abuse and neglect? What steps would you take if you suspected child abuse or neglect?
PDM7J
- Describe the program's approach and plans for providing ongoing training and development opportunities for all staff.
PDM7I
- When was training last provided for the governing body members? Who received the training? What topics were covered? Are training plans or materials available?
PDM1B
- Does the program's approach to staff training and development on identifying and reporting child abuse and neglect take a helpful, rather than punitive, attitude toward abusive or neglectful parents and other caretakers, as appropriate?
PDM7J
- When did Policy Council or Policy Committee members last receive training? Who received the training? Are training plans or materials available?
PDM2D

Professional Development Plans

- Can you describe the process for designing and implementing professional development plans for all fulltime staff who provide direct services to children?
PDM7D
- How often are the plans evaluated to assess their impact on teacher effectiveness? Provide examples of the impact that the professional development plan has had on some of the teachers or staff members.
PDM7D



Head Start/Early Head Start Director--Staff File Review

Staff Qualifications and Expertise

- List the Head Start Director or Early Head Start Director's training, experience, and qualifications.
PDM7G
- A concern was identified during the review of the Head Start/Early Head Start Director's file. Ask the Director: In reviewing your staff file we found no description of your qualifications. Will you describe your qualifications, training, and experience that qualify you to direct this program?
PDM7G

Staff Hiring Procedures

- Was a criminal background check conducted?
 - If no, does this staff member provide direct services to children? If they do not provide direct services to children, indicate whether the staff member has an office in a center serving children or in an administrative building where there are no children present.
 - If yes, indicate the date the criminal background check was conducted.
PDM7E
- Review staff files for documentation of initial health examination (including screening for tuberculosis) and reexamination (if required by health care provider or as mandated by State, local or Tribal laws). Has an initial health exam, including screenings, been completed?
 - Document the date of the most recent health exam and screening.
 - Document whether a reexamination is required.

(Note to reviewer: If the health care provider or State, local or Tribal law requires re-examination, describe the requirement, including required timeframes for reexamination if applicable, and indicate whether the program has complied with the requirement for the staff you are reviewing.)

 - Document the date of the reexamination, if required.
 - Document the date the tuberculosis screening was completed.
PDM7F

Staff Training and Development

- Indicate the date of the most recent performance review.
PDM7C
- Review staff files for evidence of training opportunities for staff and volunteers. Briefly summarize the types of training offered.
PDM7I
- Has the staff member received training in identifying and reporting child abuse and neglect?
 - Indicate the date the staff member received this training.
PDM7J



Preschool Teacher-- Staff File Review

Staff Qualifications and Expertise

- Review the degree, training, experience, and qualifications documented for the center-based preschool teacher. Indicate which of the following credentials the teacher possesses.
 - Child development associate credential (CDA) appropriate to the age of children being served
 - State-awarded certificate for preschool teachers that meets or exceeds the requirements for a CDA credential
 - Associate's degree in early childhood education
 - Associate's degree in a related field and coursework equivalent to a major relating to early childhood education, with experience teaching preschool-age children
 - Bachelor's degree; admission to the Teach For America program, passed a rigorous early childhood content exam, such as the Praxis II, participated in a Teach For America summer training institute that includes teaching preschool-age children, and is receiving ongoing professional development and support from Teach For America's professional staff
 - Bachelor's or advanced degree in any field and coursework equivalent to a major relating to early childhood education with experience teaching preschool-age children
 - This teacher does not possess any of the qualifications listed above

(Note to reviewer: Document the qualifications that are listed in the file. At least one teacher in every preschool classroom must possess one of the above qualifications. If this teacher does not possess the required qualifications, review the file of another teacher in the classroom. If no teacher in this classroom possesses the required qualifications, document this finding in your notes.)

ECD1B

Staff Hiring Procedures

- Was a criminal background check conducted?
 - If no, does this staff member provide direct services to children? If they do not provide direct services to children, indicate whether the staff member has an office in a center serving children or in an administrative building where there are no children present.
 - If yes, indicate the date the criminal background check was conducted.
- PDM7E
- Review staff files for documentation of initial health examination (including screening for tuberculosis) and reexamination (if required by health care provider or as mandated by State, local or Tribal laws). Has an initial health exam, including screenings, been completed?
 - Document the date of the most recent health exam and screening.
 - Document whether a reexamination is required.
- (Note to reviewer: If the health care provider or State, local or Tribal law requires re-examination, describe the requirement, including required timeframes for reexamination if applicable, and indicate whether the program has complied with the requirement for the staff you are reviewing.)
- Document the date of the reexamination, if required.
 - Document the date the tuberculosis screening was completed.

PDM7F

Staff Training and Development

- Indicate the date of the most recent performance review.

PDM7C



- Indicate the date of the most recent staff professional development plan.
PDM7D
- Review staff files for evidence of training opportunities for staff and volunteers. Briefly summarize the types of training offered.
PDM7I
- Does the training provided for teachers include 15 hours of classroom-focused professional development each year?
PDM7I
- Has the staff member received training in identifying and reporting child abuse and neglect?
 - Indicate the date the staff member received this training.
PDM7J



Infant and Toddler Teacher--Staff File Review

Staff Qualifications and Expertise

- Review the degree, training, experience, and qualifications documented for the center-based infant and toddler teaching staff. Indicate whether the teacher has the following required qualifications:
 - Training on effective communication with infants and toddlers and their parents and other staff,
 - Training on safety issues (e.g., reducing the risk of Sudden Infant Death Syndrome), and
 - CDA for infant and toddler caregivers or equivalent credential within 1 year of hire.
- (Note to reviewer: If the teacher does not possess the required qualifications, document the qualifications that are listed in the file and review the file of another teacher. At least two teachers in every infant and toddler classroom must possess the required qualifications. If you are unable to identify two teachers in this classroom that possess the required qualifications, document this finding in your notes.)

ECD1B

Staff Hiring Procedures

- Was a criminal background check conducted?
 - If no, does this staff member provide direct services to children? If they do not provide direct services to children, indicate whether the staff member has an office in a center serving children or in an administrative building where there are no children present.
 - If yes, indicate the date the criminal background check was conducted.
 - Review staff files for documentation of initial health examination (including screening for tuberculosis) and reexamination (if required by health care provider or as mandated by State, local or Tribal laws). Has an initial health exam, including screenings, been completed?
 - Document the date of the most recent health exam and screening.
 - Document whether a reexamination is required.
- (Note to reviewer: If the health care provider or State, local or Tribal law requires re-examination, describe the requirement, including required timeframes for reexamination if applicable, and indicate whether the program has complied with the requirement for the staff you are reviewing.)
- Document the date of the reexamination, if required.
 - Document the date the tuberculosis screening was completed.

PDM7E

PDM7F

Staff Training and Development

- Indicate the date of the most recent performance review.
PDM7C
- Indicate the date of the most recent staff professional development plan.
PDM7D
- Review staff files for evidence of training opportunities for staff and volunteers. Briefly summarize the types of training offered.
PDM7I
- Does the training provided for teachers include 15 hours of classroom-focused professional development each year?
PDM7I



- Has the staff member received training in identifying and reporting child abuse and neglect?
 - Indicate the date the staff member received this training.
PDM7J



Family Child Care Provider--Staff File Review

Staff Qualifications and Expertise

- Review the degree, training, experience, and qualifications documented for the family child care provider. Indicate whether the provider has the following required qualifications:
 - Previous early childcare experience, and
 - Enrollment in a CDA credential or associate's or bachelor's program in child development or early childhood education within 6 months of beginning service provision.

(Note to reviewer: For previously contracted providers, within six months of January 8, 2008, all family child care providers must have enrolled in a credentialing program. Family child care providers must acquire the CDA credential or Associate's or Bachelor's degree within 2 years of February 7, 2008, or, thereafter, within 2 years of beginning service provision.)

ECD1B

Staff Hiring Procedures

- Was a criminal background check conducted?
 - If no, does this staff member provide direct services to children? If they do not provide direct services to children, indicate whether the staff member has an office in a center serving children or in an administrative building where there are no children present.
 - If yes, indicate the date the criminal background check was conducted.

PDM7E
- Review staff files for documentation of initial health examination (including screening for tuberculosis) and reexamination (if required by health care provider or as mandated by State, local or Tribal laws). Has an initial health exam, including screenings, been completed?
 - Document the date of the most recent health exam and screening.
 - Document whether a reexamination is required.

(Note to reviewer: If the health care provider or State, local or Tribal law requires re-examination, describe the requirement, including required timeframes for reexamination if applicable, and indicate whether the program has complied with the requirement for the staff you are reviewing.)

 - Document the date of the reexamination, if required.
 - Document the date the tuberculosis screening was completed.

PDM7F

Staff Training and Development

- Indicate the date of the most recent performance review.

PDM7C
- Indicate the date of the most recent staff professional development plan.

PDM7D
- Review staff files for evidence of training opportunities for staff and volunteers. Briefly summarize the types of training offered.

PDM7I
- Does the training provided for teachers include 15 hours of classroom-focused professional development each year?

PDM7I



- Has the staff member received training in identifying and reporting child abuse and neglect?
 - Indicate the date the staff member received this training.
PDM7J



Home Visitor--Staff File Review

Staff Qualifications and Expertise

- Review personnel files, contracts, or resumes of home visitor staff, and list the degrees, training, experience and qualifications documented. Does each home visitor serving families have training and experience in:
 - Child development and early childhood education,
 - Principles of child health, safety, and nutrition,
 - Adult learning principles,
 - Family dynamics,
 - Communicating and motivating adults,
 - Community resources, and
 - Linking families with appropriate resources.
- ECD1C

Staff Hiring Procedures

- Was a criminal background check conducted?
 - If no, does this staff member provide direct services to children? If they do not provide direct services to children, indicate whether the staff member has an office in a center serving children or in an administrative building where there are no children present.
 - If yes, indicate the date the criminal background check was conducted.
- PDM7E
- Review staff files for documentation of initial health examination (including screening for tuberculosis) and reexamination (if required by health care provider or as mandated by State, local or Tribal laws). Has an initial health exam, including screenings, been completed?
 - Document the date of the most recent health exam and screening.
 - Document whether a reexamination is required.

(Note to reviewer: If the health care provider or State, local or Tribal law requires re-examination, describe the requirement, including required timeframes for reexamination if applicable, and indicate whether the program has complied with the requirement for the staff you are reviewing.)

 - Document the date of the reexamination, if required.
 - Document the date the tuberculosis screening was completed.
- PDM7F

Staff Training and Development

- Indicate the date of the most recent performance review.
- PDM7C
- Indicate the date of the most recent staff professional development plan.
- PDM7D
- Review staff files for evidence of training opportunities for staff and volunteers. Briefly summarize the types of training offered.
- PDM7I



- Has the staff member received training in identifying and reporting child abuse and neglect?
 - Indicate the date the staff member received this training.
PDM7J



Bus Driver--Staff File Review

Staff Hiring Procedures

- Was a criminal background check conducted?
 - If no, does this staff member provide direct services to children? If they do not provide direct services to children, indicate whether the staff member has an office in a center serving children or in an administrative building where there are no children present.
 - If yes, indicate the date the criminal background check was conducted.
PDM7E
- Review information in the file on background checks.
 - Were background checks for the bus driver or the Transportation Coordinator completed?
 - Indicate the date the background check was conducted.

(Note to reviewer: Review information from the program's tracking system. Select staff files to verify the staff background check information provided in the tracking system. If a tracking system is unavailable, review staff files to determine whether appropriate criminal record checks are conducted before hire date.)

TRANS1B
- Is there documentation of medical examination establishing that the bus driver possesses the physical ability to perform job-related functions with any necessary accommodations?
 - Document the date of the most recent medical examination.
 - Did the physician establish that the individual could perform the requirements of the job, with any necessary accommodations?
PDM7F
- Does each bus driver have a valid commercial driver's license (CDL)?
 - Document the State where the CDL was issued.
 - Document the CDL expiration date to verify validity.
TRANS1C

Staff Training and Development

- Has the staff member received training in identifying and reporting child abuse and neglect?
 - Indicate the date the staff member received this training.
PDM7J
- Has the bus driver had an annual performance evaluation?
 - Indicate the date of the bus driver's last performance evaluation.
 - Did the annual review include an onboard observation?
 - If the onboard observation was conducted separately from the annual review, indicate the date of the onboard observation.
PDM7C, TRANS3B



- Did the bus driver receive the following classroom and behind-the-wheel training on how to:
- Operate the vehicle safely and efficiently;
 - Run a fixed route safely, including loading and unloading children, stopping at railroad crossings, and performing other specialized driving maneuvers;
 - Administer basic first aid in case of injury;
 - Handle emergency situations, including vehicle evacuations;
 - Operate special equipment, such as wheelchair lifts, assistance devices or special occupant restraints;
 - Conduct routine maintenance and safety checks on the vehicle; and
 - Maintain accurate records; and
 - Determine what records are necessary?

TRANS3A



Program Design and Management Summary Analysis--Staff Qualifications

Staff Qualifications and Expertise

- Based on your review of the evidence collected from service area reviewers, has the program hired staff or consultants who meet the required qualifications to provide regularly scheduled, ongoing content area expertise and oversight?
PDM7B



Program Design and Management Summary Analysis--Staff Communication

Communication among Staff

- Summarize whether the program has established effective two-way communications between program staff in different service areas.

Review the following information, which will automatically populate under this compliance question:

- Staff communication summaries provided by reviewers for each service area; and
- Responses to interview questions regarding staff communication from various service areas.

Also review the:

- The Onsite Analysis Matrix which provides an overview of the program's staff-to-staff communication system; and
- Additional information you find relevant to addressing this compliance question.

Your summary might reflect a potential program strength, a concern, or general compliance.

PDM5A



Program Design and Management Summary Analysis--Parent Communication

Communication with Parents

- Summarize whether the program has established effective two-way communications between program staff in and parents.

Review the following information, which will automatically populate under this compliance question:

- Parent communication summaries provided by reviewers for each service area; and
- Responses to interview questions regarding staff-to-parent communication from various service areas.

Also review the:

- The Onsite Analysis Matrix which provides an overview of the program's staff-to-parent communication system; and
- Additional information you find relevant to addressing this compliance question.

Your summary might reflect a potential program strength, a concern, or general compliance.

PDM5B



Program Design and Management Summary Analysis--Planning

Community Assessment and Program Planning

➤ Summarize whether the program uses its Community Assessment for program planning, including updating program goals and objectives to respond to changes in community needs. Review the following information, as well as additional information you find relevant to addressing this compliance question:

- Responses to interviews conducted by service area reviewers that focus on how program staff incorporate information from the Community Assessment into program planning and implementation
- Responses to interviews with Head Start Director
- Your own analysis of the extent to which the program uses its Community Assessment for program planning, including updating the plans based on changing community needs.

Your summary might reflect a potential program strength, a concern, or general compliance.

PDM3B

Self Assessment and Program Planning

➤ Summarize whether the program uses its Self Assessment for program planning, including updating program goals and objectives to address findings from the Self Assessment.

Review the following information, as well as additional information you find relevant to addressing this compliance question:

- Responses to interviews conducted by service area reviewers that focus on how program staff incorporate information from the Self-Assessment into program planning and implementation
- Responses to interviews with Head Start Director and Policy Council or Committee
- Your own analysis of the extent to which the program uses its Self-Assessment for program planning, including updating the plans based on findings from the Self-Assessment.

Your summary might reflect a potential program strength, a concern, or general compliance.

PDM3A

Planning

➤ Summarize whether the program's service implementation suggests that it has a systematic, ongoing program planning process.

Review the following information, which will automatically populate under this compliance question:

- Planning summaries provided by reviewers for each service area;
- Your responses to the previous program planning compliance questions in this protocol section; and
- Information from compliance questions related to the program's planning.

Also review the:

- The Onsite Analysis Matrix which provides an overview of the program's planning system; and
- Additional information you find relevant to addressing this compliance question.

Your summary might reflect a potential program strength, a concern, or general compliance.

PDM3C



Program Design and Management Summary Analysis--Record-Keeping

Record-Keeping

- Summarize whether the program's services implementation suggests that it is maintaining up to date and accurate information on children, families and staff.

Review the following information, which will automatically populate under this compliance question:

- Record-keeping System summaries provided by reviewers for each service area; and
- Information gleaned through your interview with the Head Start Director.

Also review the:

- The Onsite Analysis Matrix which provides an overview of the program's staff-to-parent communication system; and
- Additional information you find relevant to addressing this compliance question.

Your summary might reflect a potential program strength, a concern, or general compliance.

PDM6A



Program Design and Management Summary Analysis--Reporting

Reporting

- Summarize whether the program has an effective system for reporting on its financial status and program operations.
Review the:
 - Information from compliance questions related to reporting
 - The Onsite Analysis Matrix which provides an overview of the program's reporting system; and
 - Any additional information you find relevant to addressing this compliance question.

Your summary might reflect a potential program strength, a concern, or general compliance.

PDM6B



Program Design and Management Summary Analysis--Program Governance

Program Governance

➤ Summarize the governing body's ability to fulfill its major responsibilities. In preparing this summary, consider your analysis of the governing body's effectiveness with respect to each of the following:

- Training and technical assistance;
- Reporting;
- Activities to support program administration and implementation;
- Approval of all major policies; and
- Approval of financial management, accounting, and reporting policies.

Refer to your findings in other compliance questions in PDM Section I. Your summary might reflect a potential program strength, weakness, area that needs improvement, or general compliance.

PDM1G



Program Design and Management Summary Analysis--Ongoing Monitoring

Ongoing Monitoring

- Summarize how the program has established and implemented procedures for ongoing monitoring. Review the following information, as well as additional information you find relevant to addressing this compliance question:
- Ongoing monitoring summary analyses provided by reviewers for each service area. You also can examine reviewer responses to each service area's interview review questions for ongoing monitoring. This information contributed to each service area summary analysis; however, reviewing the detailed responses might be useful to you.;
 - Information gleaned through your interview with the Head Start/Early Head Start Director; and
 - Your review of the Onsite Analysis Matrix to analyze whether strengths or concerns identified within a single service area or across service areas reflect a strength or weakness in the program's ongoing monitoring process.
- (Note to reviewer: A program's being unaware of the existence, magnitude or consistency of problems within or across service areas, or a lack of responsiveness to identified problems indicates a problem with the program's ongoing monitoring system.)

Your summary might reflect a potential program strength, a concern, or general compliance.

PDM4A



Program Design and Management Summary Analysis--Strengths

Program Strengths

➤ Describe one or more program strengths. Review the following information, as well as additional information you find relevant to addressing this compliance question:

- All summary analyses completed throughout the review
- Any strengths identified by the Head Start/Early Head Start Director
- During the Wednesday team meeting, collaborate with all reviewers to identify grantee strengths
- Note that the Onsite Analysis Matrix may be useful as an overview of potential strengths identified during the review

Describe any practices that were found that were new or innovative and had a positive impact; that helped the grantee overcome challenges and provided greater or improved service quality; or surpasses established performance indicators.

Do not include strengths that will contradict any PANCs identified on this review. All strengths will be evaluated by the Office of Head Start.

PDM8A



ERSEA Document Review

Age/Income Eligibility Review Form

- Refer to the results summarized from the Age/Income Eligibility Review. The summary will include the number of files reviewed and the number and percentage of children the Head Start program serves who are not at least 3 years old by the date used to determine eligibility for public school in the community where the program is located or who were not 3 year old by their date of entry into the program.
ERSEA1A
Applies to: Programs serving preschool-age children
- Refer to the results summarized from the Age/Income Eligibility Review. The summary will include the number and percentage of files reviewed that do not have signed statements identifying the child's eligibility category and documents examined to determine eligibility.
ERSEA1B
- Refer to the results summarized from the Age/Income Eligibility Review. The summary will include information on the number and percentage of children the program has determined to be in the categories of "income or categorically eligible" and "income or categorically ineligible." If fewer than 55 percent of the children enrolled are income or categorically eligible, the program might be out of compliance. In addition, if more than 10 percent of the children are income or categorically ineligible, the program might be out of compliance.
ERSEA1C
Applies to: Non-American Indian or Native Alaskan grantees
- Review documents to confirm that the total enrollment of income-eligible children is at least 51 percent if the tribe meets the conditions in 1305.4(b)(3)(i) and 1305.4(b)(3)(ii)?
ERSEA1E
Applies to: American Indian or Native Alaskan grantees

ERSEA Policies and Procedures

- Review available documentation of outreach and enrollment policies and procedures to determine whether outreach is occurring before enrolling children between 100 percent and 130 percent of poverty.
ERSEA1D
Applies to: Non-American Indian or Native Alaskan grantees
- Based on information collected during a Parent Interview, parents are required to pay fees. Verify that these fees are required with the fiscal reviewer. Work with the Fiscal Reviewer to collect documentation of the required payments and include them as part of your evidence.
ERSEA2B

Enrollment Reports

- Does the actual enrollment figure include 10 percent children with disabilities? In your notes, include the programs total enrollment and the number of children enrolled who have a disability or who are receiving intervention services. If the actual enrollment figure reflects fewer than 10 percent, does the grantee have a waiver?
ERSEA1F
- Review enrollment reports. Are the monthly enrollment data consistent with what has been submitted to the Regional Office? Do the reports demonstrate that the grantee has maintained funded enrollment? Describe how actual enrollment data align with the data submitted in monthly enrollment reports.
ERSEA1G



Attendance Records

- Review daily attendance records to determine whether causes of absenteeism are documented.

ERSEA2A

Applies to: Center-based programs



ERSEA Coordinator Interview

Ongoing Monitoring and Oversight

- How do you monitor the program's Eligibility, Recruitment, Selection, Enrollment, and Attendance (ERSEA) practices and the program's compliance with all Federal regulations?
ERSEA4A
- Show me the documents, systems, and reports used in implementing the ongoing monitoring of eligibility, recruitment, selection, enrollment, and attendance practices.
ERSEA4A
- What do you do if you detect problems or weaknesses with the program's eligibility, recruitment, selection, enrollment, and attendance practices?
ERSEA4A

Program Planning

- Describe how the program determined the types of program options to offer and what information guided these decisions?
ERSEA3A
- Describe how information from the annual self assessment is incorporated into your program planning and implementation.
ERSEA3A
- Describe how information from the Community Assessment (and its updates) is incorporated into your program planning and implementation.
ERSEA3A

Enrollment and Recruitment

- Describe the steps you take to ensure the program is meeting the needs of children below the poverty line, children between 100 percent and 130 percent of poverty, children eligible for public assistance, foster children, or homeless children before enrolling other children.
ERSEA1D
Applies to: Non-American Indian or Native Alaskan grantees
- Can you walk me through the process you follow for enrolling over-income Native children?
ERSEA1E
Applies to: American Indian or Native Alaskan grantees
- Are you currently serving children with disabilities or severe disabilities?
DIS3A
- What percentage of the actual enrollment in the program are children with disabilities or children who are receiving intervention services before an eligibility determination?
ERSEA1F
- Describe specific outreach efforts your program makes to agencies serving children with already identified disabilities, including severe disabilities, as part of your ongoing recruitment efforts.
DIS3A
- Has outreach resulted in referrals and acceptance of children with disabilities?
DIS3A



- Were any children with disabilities denied enrollment or removed from the program because your program was unable to provide an appropriate placement? If so, describe how you determined that a placement in your Head Start program would not, even with collaborative efforts with the LEA or Part C agency, be appropriate?
DIS3A
- How do you enroll waitlisted children?
ERSEA1D
Applies to: Non-American Indian or Native Alaskan grantees

Attendance

- How do you document absenteeism? What do you do with the information? How is it used to resolve absenteeism problems (if they exist)?
ERSEA2A
Applies to: Center-based programs

Performance Reviews

- When did you receive your last annual performance review?
PDM7C
- How are the results of the annual performance review used? Do they help you identify your training and professional development needs? How does your manager help you improve skills and professional competencies?
PDM7C

Training

- Describe the opportunities for ongoing training that the program provides you to help you acquire and maintain the skills and knowledge necessary to fulfill your job responsibilities and to implement Head Start Program Performance Standards in the service area.
PDM7I
- When did you receive training on identifying and reporting child abuse and neglect? What steps would you take if you suspected child abuse or neglect?
PDM7J



ERSEA Coordinator--Staff File Review

Staff Hiring Procedures

- Was a criminal background check conducted?
 - If no, does this staff member provide direct services to children? If they do not provide direct services to children, indicate whether the staff member has an office in a center serving children or in an administrative building where there are no children present.
 - If yes, indicate the date the criminal background check was conducted.
PDM7E
- Review staff files for documentation of initial health examination (including screening for tuberculosis) and reexamination (if required by health care provider or as mandated by State, local or Tribal laws). Has an initial health exam, including screenings, been completed?
 - Document the date of the most recent health exam and screening.
 - Document whether a reexamination is required.

(Note to reviewer: If the health care provider or State, local or Tribal law requires re-examination, describe the requirement, including required timeframes for reexamination if applicable, and indicate whether the program has complied with the requirement for the staff you are reviewing.)

 - Document the date of the reexamination, if required.
 - Document the date the tuberculosis screening was completed.
PDM7F

Staff Training and Development

- Indicate the date of the most recent performance review.
PDM7C
- Review staff files for evidence of training opportunities for staff and volunteers. Briefly summarize the types of training offered.
PDM7I
- Has the staff member received training in identifying and reporting child abuse and neglect?
 - Indicate the date the staff member received this training.
PDM7J



ERSEA Management Summary Analysis--Overall Summary and Strengths

Overall Service Summary

- Summarize your general impressions of the program's management of ERSEA. The summary should describe what the program does well, which areas need improvement, and your overall level of confidence in the program's provision of ERSEA. Your summary should not directly reiterate the strengths and findings you identified through implementation of the protocol but, rather, should reflect your overall analysis and impressions of the program's effectiveness in ERSEA.
ERSEA4A

Service Specific Strengths

- Summarize program strengths noted in ERSEA services. Describe any practices that were found to be new or innovative and had a positive impact, that helped the grantee overcome challenges and provided greater/improved service quality or surpassed established performance indicators. Some examples of broad categories of program strengths include (but are not limited to):
 - Collaborations with local/community-based services
 - Exemplary fiscal practices to ensure the safeguarding of Federal dollars
 - Highly successful efforts to address and improve school readiness
 - Expansion of the program and increased accessibility
 - Extraordinary accommodations for children/families (e.g., children with disabilities)
 - Innovative program design and managementDo not include strengths that will contradict any PANCs identified on this review.
ERSEA4A



ERSEA Management Summary Analysis--Planning

Planning

- Review the ERSEA Services area's written plans so you understand the goals the program intends to achieve and the strategies the program plans to use to accomplish its goals. Summarize the program's progress in implementing its plans and achieving its defined goals. Your summary might reflect a potential program strength, a concern, or general compliance.

ERSEA4A



ERSEA Management Summary Analysis--Record-Keeping and Reporting

Reporting

➤ Summarize whether the program maintains and implements efficient and effective reporting systems. Indicate how well the program is generating reports related to ERSEA for Federal, State, and local authorities, as required by applicable law. Indicate whether the ERSEA reporting system helps to:

- Control program quality,
- Maintain program accountability, and
- Advise governing bodies, policy groups, and staff of program progress.

Your summary might reflect a potential program strength, a concern, or general compliance.

ERSEA4A

Record-Keeping

➤ Summarize whether the program is effective in keeping up to date and accurate ERSEA records. Your summary should provide examples of why you consider the program's record-keeping system to be effective or ineffective. Your summary might reflect a potential program strength, a concern, or general compliance.

ERSEA4A



ERSEA Management Summary Analysis--Ongoing Monitoring

Ongoing Monitoring

- Summarize the program's process for ongoing monitoring of ERSEA practices. A comprehensive explanation of this system should include a description of each of the following:
 - Monitoring measures, tools or instruments, materials and procedures
 - Staff responsibilities for ongoing monitoring of their respective service areas
 - How the program analyzes and documents progress toward achieving program goals and complying with performance requirements
 - How follow up occurs for findings or problems identified through data collection, and how these findings are corrected and documented.

This summary should help all team members understand the effectiveness or ineffectiveness of ERSEA practices. Your summary might reflect a potential program strength, a concern, or general compliance.

ERSEA4A



Fiscal Management Reviewer Guides

The following Guides are used by Fiscal reviewers to collect information on program performance with respect to the program's fiscal management:

- Fiscal Pre-site Document Review
- Fiscal Document Review
- Fiscal Officer Interview
- Fiscal Observations
- Transaction Guide – Journal Entries
- Transaction Guide – Payroll
- Transaction Guide – Non-personnel Costs
- Transaction Guide – Non-Federal Share
- Staff Files—Fiscal Officer
- Fiscal Management Systems Analyses



Fiscal Pre-site Document Review

Financial Assistance Award (FAA)

- Was the grantee awarded funds for purchasing a building?
FIS3A
- Does evidence exist that the grantee was awarded Head Start funds for building construction, renovation, or repair?
FIS3B
- Was the grantee awarded funds for major renovation (as defined in 1309.3(k)) of a building?
FIS3A
- Were supplemental or one-time funds (e.g., program improvement) awarded by ACF for specific purposes?
FIS2L
- Were supplemental or one-time funds used for other purposes without ACF's prior written approval?
FIS2L

SF-424

- Review the grant application for the current award period. Are the current Executive Director, Finance Director, and Head Start Director different than those reflected on the grant application? If so, was Administration for Children and Families (ACF) approval obtained before new individuals were hired in these key positions?
FIS2L
- Is the SF-424 grant application signed by an official of another entity?
(Note to reviewer: Once on-site, consider looking into the role played by the official who has signed the SF-424.)
FIS1C

PSC-272

- Review PSC-272 reports for the most recent 2 years. Was the grantee timely in filing these reports?
FIS5B
- From a recent PSC-272 report, select a sample of drawdowns and verify that the grantee has appropriate documentation to support the requested amount. Based on the sample, does the grantee disburse Federal cash immediately?
FIS2D
- Do the PSC-272 reports reflect significant Federal cash balance?
FIS2D
- Your review of PSC-272 reports indicated significant Federal cash balance. Ask the fiscal officer: Can you explain the significant cash balance?
(Note to reviewer: Listen for examples of valid reasons, which might include pending disbursements that can be shown to have occurred in the first days of the next quarter or a pending adjustment requiring coordination with the Regional Office, the Payment Service Center, or both.)
FIS2D



Procurement Policies and Procedures

- For nonprofit grantees: Do the organization's written procedures address the items required specifically by 74.44(a)(1-3)?
For governmental grantees: Do the organization's written procedures address the items required specifically by 92.36(c)(3)?
FIS2J
Applies to: Nonprofit or Governmental Organizations

Code of Conduct

- Does the organization maintain a code of conduct for employees involved in contract award and administration, meeting the requirements of either 74.42 or 92.36(b)(3)?
(Note to reviewer: The code of conduct might exist as a separate document or within the personnel policies of an employee handbook.)
FIS1E

Audits

- Review the SF-SAC Harvester online database at <http://harvester.census.gov/sac/>. Were audits filed with the Single Audit Clearinghouse within 9 months of the end of each of the last 3 fiscal years?
FIS1G
- Review the last 3 years' audits and audit management letters. Do audits include the compliance reporting required by A-133?
FIS1G
- Are there audit findings or management letter comments related to the Head Start (HS) program?
FIS1G
- Are findings or comments related to Head Start inconsistent with appropriate internal controls?
FIS1G
- Does the most recent audit report include repeat findings?
(Note to reviewer: A repeat audit finding implies the grantee did not implement appropriate corrective action for the original audit finding.)
FIS1G
- Since the release of the most recent audit report, did the grantee take effective action to correct all audit findings and address management letter comments?
FIS1G
- Is there an audit footnote disclosure of delegation of fiscal or governance responsibilities to another entity? Describe such audit footnote disclosure of delegation.
FIS1G, FIS1C
- Does the audit report show notes or mortgages payable?
FIS1G
- Did the audit opinion reflect qualifications?
FIS1G
- Are the qualifications related to internal controls, the accuracy of the financial statements, or the organization's ability to continue as a going concern?
FIS1G



- Do audit reports reflect findings related to the administrative cost limitation?
FIS2F

SF-269 Financial Reports

- Review the SF-269 reports for the most recent 3 years. Was the grantee timely in filing these reports?
FIS5B
- Is the SF-269 signed by an official of another entity?
(Note to reviewer: Once on-site, consider looking into the role played by the official who has signed the SF-269.)
FIS1C
- Did a review of the supporting schedule for administrative costs establish that the grantee identified all indirect costs as administrative?
FIS2F
- Review the SF-269 report for the most recently completed award period. Compute the non-Federal share percentage: non-Federal share divided by the total of the Federal share plus the non-Federal share.
Did the grantee's reported non-Federal share percentage meet or exceed the percentage specified in the FAA?
FIS2G
- Review the supporting schedule for non-Federal share reported on the SF-269 for the most recently completed award period. Is the total amount on the grantee's supporting schedule at least as much as the amount reported on the SF-269?
FIS2G
Were the grantee's administrative costs in excess of 15 percent of total approved costs?
(Note to reviewer: Approved costs equal total Federal share plus non-Federal share up to the amount approved in the Financial Assistance Award [FAA].)

IRS Forms

- Review the IRS Form 990. Was it filed by the 15th day of the 5th month after the organization's fiscal year end?
FIS5B
Applies to: Nonprofit Organizations
- Does the IRS Form 990 contain evidence of a related party under the organization's control (or a related party controlling the organization)?
FIS3F
Applies to: Nonprofit Organizations
- Does review of the IRS Form 990 reveal any Board member with compensation under either the schedule of Current Officers, Directors, Trustees and Key Employees or the schedule of the Highest Paid Employees?
FIS1A
Applies to: Nonprofit Organizations
- Does the IRS 990 for the prior period show any employee with compensation exceeding the Level II rate?
FIS4B
Applies to: Nonprofit Organizations
- Are any of the leases with the related party entities identified in the review of the IRS Form 990?
FIS3F
Applies to: Nonprofit Organizations



Notice of Federal Interest

- For modulars situated on land not owned by the organization, has the owner posted a Notice of Federal Interest as described in 1309.31(b)? Does the Notice of Federal Interest comply with requirements in 45 CFR 1309.21?
FIS3A

Wage Comparability Study

- When was the wage comparability study completed? Are the positions identified in the wage comparability study reasonably comparable to the organization's Head Start positions? Are comparisons based on the labor markets in which the organization competes?
(Note to reviewer: Although no regulation requires conducting a wage comparability study within a certain timeframe, within 3 years is good practice.)
FIS4D



Fiscal Document Review

Loan Agreements

- Review loan agreements to determine whether loans are secured by assets and property owned by the organization. Are the agreements secured by either all assets of the organization or by assets acquired or improved with Head Start funds?
FIS3E

Regional Office Correspondence

- A concern was identified related to one-time funds expended for purposes other than those listed in the FAA. Did the grantee obtain prior written approval to use the funds for other purposes?
(Note to reviewer: In developing a PANC (preliminary area of noncompliance), include the exact restrictive language found in the comments section of the FAA.)
FIS2L
- Service reviewer observations of program options were inconsistent with the program options described in the approved refunding application. Did the grantee obtain prior written approval from the Regional Office for the observed program options?
FIS2L

Grant Application Budget Instrument (GABI)

- Are the program options described in the approved refunding application consistent with options observed by the service area reviewers?
(Note to reviewer: During your team meeting discuss with service area reviewers the program options they observed in operation.)
FIS2L
- Does the budget allocate funds for purchase and upkeep of equipment, toys, materials, and furniture that are age appropriate, safe, and supportive of children with disabilities?
SAF1I
Applies to: Center-based and family child care programs

Accounting Policies and Procedures

- Does the grantee have written procedures for minimizing the time elapsing between the drawdown of funds from the Payment Management System and disbursement of those funds? Describe the procedures.
FIS2D
- Does the organization have procedures for determining the allowability, allocability, and reasonableness of costs in accordance with the applicable cost principles?
(Note to reviewer: Procedures must be written for nonprofit organizations.)
FIS2A

Allocation

- Does the cost allocation plan identify staff who have shared duties in both the Head Start program and a program other than Head Start?
(Note to reviewer: Document names of persons with shared duties.)
FIS2B



Bank Reconciliations & General Ledger

- A concern was identified related to the use of one-time funds. Review the general ledger to determine whether the financial records establish that supplemental or one-time funds were expended for purposes listed in the FAA.
FIS2L
- Review accounts receivable for the Head Start program(s). Are funds due from other funding sources?
FIS2E
- Scan the general ledger, payroll journal, and adjusting journal entries. Is there an indication the award has been charged for costs unrelated to Head Start?
FIS2E

Contracts, Payments, and Reimbursements

- Do contracts show the grantee governing body has delegated fiscal or governance responsibilities to another entity?
FIS1C
- Did the organization file USDA reports within the required timeframe?
FIS5B
- For the most recently completed award period, compare budgeted USDA reimbursement to the actual amount received. If significant variances exist, can program staff provide reasonable explanations for the variances?
FIS5B

Financial Reports

- Do recent Head Start expenditure reports show indirect costs charged to the award?
FIS2C
- Are financial reports presented in logical groupings and with sufficient detail to allow the reader to understand the financial operations of the organization and the Head Start award?
FIS5C
- Do financial reports provide for a budget-to-actual comparison?
FIS5C
- Are financial reports generated to support the management of organizational components for which they are responsible?
FIS5C
- Review reports provided to the governing body. How much time elapsed between the end of the reporting period and the date on which reports were presented to the governing body? Did the organization present timely financial reports to the governing body?
FIS5C
- Does the grantee have a current indirect rate agreement?
FIS2C

Insurance Policies

- Are officials and employees of non-profit organizations authorized to disburse program funds bonded?
FIS3C
Applies to: Nonprofit Organizations



- Do the payables files show the organization is current on its premium payments?
FIS3C
Applies to: Nonprofit Organizations
- Does insurance cover liability for accidents on premises owned by the organization?
FIS3C
Applies to: Nonprofit Organizations
- Does the organization have transportation liability insurance?
FIS3C
Applies to: Nonprofit Organizations
- Does the organization insure vehicles purchased using Head Start funds?
FIS3C
Applies to: Nonprofit Organizations
- If student accident insurance is not a separate policy and not identifiable in the declaration page of a master policy, is there confirmation from the insurer of accident coverage for Head Start students?
FIS3C
Applies to: Nonprofit Organizations
- A concern was identified regarding authorization of officials and employees to disburse program funds. Ask the fiscal officer: Are officials and employees authorized to disburse program funds bonded? Can you show me documentation?
FIS3C
Applies to: Nonprofit Organizations

Leases & Rent Documents

- Does review of the transaction detail show charges for use of grantee-owned space?
FIS2N
- A concern was identified related to cost of space. Review the related party's financial records. Is the cost of space furnished by the related party limited to cost of ownership, defined as costs such as depreciation or use allowance, maintenance, taxes, and insurance?
FIS3F
- On any leases, did grantee or delegate staff sign as both lessor and lessee?
FIS3F

Salaries & Payroll

- For employees identified as having compensation exceeding the Executive Level II rate, is any portion of their compensation paid from Head Start funds or claimed as non-Federal share?
(Note to reviewer: Review detailed payroll documents and documents supporting the SF-269.)
FIS4B
- For all employees identified as having compensation exceeding the Executive Level II rate and who are charged to Head Start or are claimed as non-Federal share, list their names, job titles and total compensation amounts. Provide details on which documents were used to identify this information.
(Note to reviewer: Compensation includes salary, bonuses, periodic payments, severance pay, value of vacation time or paid leave benefit, and any other benefit except health, medical, life insurance, disability, or retirement.)
FIS4B



- Ask the fiscal officer to confirm the list employees you have identified as receiving compensation exceeding Executive Level II and who are charged to Head Start or claimed as non-Federal share.
FIS4B

SF-269 Financial Reports

- Are the indirect costs charged to Head Start included in the grantee's development and administrative cost for the period?
FIS2C
- Is the total indirect cost on the most recent Final SF-269 computed per the approved rate agreement?
FIS2C
- Review the final SF-269 report for the award period completed most recently. Verify that the grantee has included indirect cost (if applicable) and the administrative portion of non-Federal share in its accounting of administrative costs.
FIS2F

IRS Forms

- Review of the IRS Form 990 indicated that it was not filed by the 15th day of the 5th month after the organization's fiscal year end. Was an extension obtained? If so, obtain documentation of the extension.
FIS5B
Applies to: Nonprofit Organizations
- Did a review of IRS correspondence identify unresolved compliance issues?
FIS5B
- On a sample basis, trace tax deposits reflected on the IRS Form 941 to evidence of payment (i.e., check or electronic transfer) on the bank statement. Was the organization current in its payroll taxes?
(Note to reviewer: This question is applicable whether the taxes are handled by the organization or by a service.)
FIS5B
- Were IRS Form 941 reports filed on time?
FIS5B
- Is any Board member (or employer) listed on the Schedule of the Highest Paid Independent Contractors?
FIS1A

Non-Federal Share

- Are claims for donated medical services supported by records identifying number of children served and the service provided?
FIS2H
- Are donated services documented by the same methods (to the extent feasible) used to support time worked by grantee or delegate employees?
FIS2H
- Do volunteer records describe the provision of services benefiting the Head Start program and the service date or dates?
FIS2I



- Is documentation maintained to establish the value claimed is reasonable for the type of service and the community in which the service is provided?
FIS2I

Inventory and Equipment Records

- You have identified that the grantee charges for use of grantee-owned space. Review inventory and equipment records and record the value of the property and the fee charged to Head Start. Does this charge represent only the depreciation (based on a reasonable asset life) or a 2 percent (or less) use allowance?
FIS2N
- A concern has been identified related to the charges for use of grantee-owned space. Ask the fiscal officer: How does the financial system ensure that claims for the use of grantee- or delegate-owned space are based on depreciation or use allowance derived from the building cost reflected in the organization's records and excluding acquisition or renovation costs paid by the Federal Government?
FIS2N
- Review property records to identify property purchased using Head Start funds. Do the insurance policies reflect appropriate coverage for these assets?
FIS3C
Applies to: Nonprofit Organizations
- Review the equipment records. Do records exist for all equipment (including vehicles)? Do the records include all required elements:
- Equipment description;
 - Serial number;
 - Equipment source, including award number;
 - Whether title vests in the recipient or the Federal Government;
 - Acquisition date;
 - Information from which the percentage of Department of Health and Human Services' (HHS) share in the equipment cost can be calculated;
 - Equipment location and condition and date the information was reported;
 - Unit acquisition cost; and
 - Ultimate disposition data, including disposal date and sales price?
- FIS3D
- A concern was identified related to equipment records. Ask the fiscal officer: How does the financial system ensure that records are maintained for all equipment with a unit cost of \$5,000 or greater?
FIS3D
- Has a physical inventory of equipment been conducted within the last 2 years? Is the inventory document signed by the person or persons who observed the inventory? On a test basis, do amounts and quantities reflected in the inventory agree with the equipment records?
FIS3D
- If debts are secured by property, consult the property records to determine the percentage of Federal ownership. (Alternately, review grant applications and Federal Assistance Awards to identify Federal funds awarded for buildings.)
FIS3E



Fiscal Officer Interview

Program Planning

- How is information from the annual Self Assessment incorporated into your program planning and implementation?
FIS6A
- Describe how information from the Community Assessment (and its updates) is incorporated into your program planning and implementation.
FIS6A

Allocation

- Does the organization have programs other than Head Start, Early Head Start, and USDA Child and Adult Care Food Program (CACFP)?
FIS2B

Financial Reports

- How does your system identify separately the cash received and expended for each Early Head Start and Head Start award?
FIS5A
- How often are reports of non-Federal share and administrative costs updated?
FIS5A
- How often are balance sheet accounts reconciled to subsidiary ledgers or external statements to substantiate that account balances are correct? Which accounts are reconciled?
FIS5A

Control Activities

- What are the procedures for using automated check signers and signature plates?
(Note to reviewer: Listen for evidence that the operator of the check-signing equipment is uninvolved in the recording of transactions or the distribution of checks.)
FIS1F
- Does the program perform periodic cost projections to ensure that funds will be adequate to carry out the Head Start program, as described in the approved funding application?
FIS1F
- If you have a small number of fiscal staff, how do you compensate for the program's inability to segregate duties?
(Note to reviewer: Listen for: Management review of reports on detailed transactions, including selection of transactions to review supporting documents; and independent reconciliations or review of reconciliations of account balances.)
FIS1F
- Were end-of-year "bonuses" paid that were unscheduled or did not conform to established grantee and delegate policies?
(Note to reviewer: When citing, make sure to select the appropriate standard, depending on the type of grantee.)
FIS1F
- Are provisions in place for reconstructing data files in case of catastrophe?
FIS1F



Inter-fund Borrowing

- Does the organization have one or more of the following: programs operating at a deficit, loss of programs, or delayed reimbursement in other programs?
FIS2E

Mortgage of Property Acquired

- Did the grantee and delegate obtain HHS written approval in connection with the encumbrance or mortgage of property acquired or improved with Head Start funds?
FIS3E

Purchasing Facilities

- The grantee was awarded funds for purchasing a building. Ask the fiscal officer about the following items and request documentation for your review:
 - Approval to purchase the facility (including paying the cost of amortizing the principal and interest on loans) from the Regional Office,
 - Each Notice of Federal Interest required to have been filed, and
 - Submission of the Notice of Federal Interest to the Regional Office.FIS3A

Accounting System

- How do you ensure that written approval is obtained before using Head Start funds to purchase equipment costing more than \$25,000 not provided in the approved budget?
FIS2L

Procurement

- How does the organization ensure that procurement transactions in excess of the simplified acquisition threshold (\$100,000) conform to applicable requirements?
FIS2K
- A concern was identified related to procurement procedures. Ask the fiscal officer: Has the organization adopted the required procurement procedures (as found in 74.44(a)(1-3) or 92.36(c)(3), depending on the organization type)?
FIS2J

Contracts, Payments, and Reimbursements

- A concern was identified related to procurement procedures. Ask the fiscal officer: Are you aware of ongoing arrangements for which there has not been recent evaluation of the procurement?
FIS2K

COLA

- Can the grantee and delegate show that the entire COLA amount was expended for the purposes specified in the award document?
FIS4C
- Does the COLA increase become a permanent part of the employees' ongoing wage as well as increasing the organization's wage scales?
FIS4C



Wage Comparability Study

- How does the financial system ensure that wages are consistent with wages paid for similar work in the grantee and delegate's other activities or to wages paid for similar work in the labor markets in which the organization competes?
FIS4D

Audits

- During your pre-site review of audit findings and management letter comments you identified that the grantee has audit findings. Ask the fiscal officer to describe the specific actions taken to correct the findings in the most recent audit report.
FIS1G

Insurance Policies

- How does the financial system ensure that insurance rebates and credits allocable to Head Start are applied as a cost reduction or cash refund?
FIS3C
Applies to: Nonprofit Organizations

Rent

- How does the financial system ensure the cost of space provided a party controlled by the organization (or a party that controls the organization) does not exceed the cost of ownership, defined costs, such as depreciation or use allowance, maintenance, taxes, and insurance?
FIS3F

SF-269 Financial Reports

- According to the pre-site review of the SF-269, all indirect costs did not appear to be administrative. Describe your concern to the fiscal officer and ask: Do you consider all indirect costs to be administrative? Can you explain the categorization of indirect costs as programmatic costs?
FIS2F

Non-Federal Share

- A concern related to non-Federal share was identified in the pre-site review of the SF-269. Ask the fiscal officer whether the grantee requested a waiver of non-Federal share?
(Note to reviewer: Collect available documents to establish who was asked, the request date, and the response.)
FIS2G

Performance Reviews

- When did you receive your last annual performance review?
PDM7C
- How are the results of the annual performance review used? Do they help you identify your training and professional development needs? How does your manager help you improve skills and professional competencies?
PDM7C



Training

- Describe the opportunities for ongoing training that the program provides you to help you acquire and maintain the skills and knowledge necessary to fulfill your job responsibilities and to implement Head Start Program Performance Standards in the service area.

PDM7I



Fiscal Observations

Inventory and Equipment Records

- Test the existence of physical assets in two ways:
 - Existence of items on property records: Select a few items from the property records. Physically observe the asset.
 - Completeness of property records: Observe a few items. Trace back to property records.
- FIS3D

Fiscal Staff Expertise

- During the onsite review, did matters arise to suggest the fiscal officer did not have expertise in fiscal matters or the ability to:
 - Develop, monitor, evaluate, and report on financial control programs and procedures, including compensation and benefits, to policy groups and staff;
 - Develop and maintain accurate charts of accounts, including allocating program income and outlays and in-kind contributions;
 - Initiate and direct, in coordination with other staff and parents, cost studies and comparative analyses of alternative operating strategies; and
 - Help resolve audit exceptions, implement, make recommendations, and report all findings to management staff and governing bodies?

(Note to reviewer: To be answered on Wednesday evening.)

FIS1D

Physical Controls

- In conducting the onsite portion of the review, were problems noted in physical control, such as open access to check stock or purchase orders, cash not under lock and key, or open access to mechanical check signers or signature stamps?

(Note to reviewer: To be answered on Wednesday evening.)

FIS1F



Transaction Guide--Journal Entries

Regional Office Correspondence

- Identify all equipment purchases made with Head Start funds with a unit cost in excess of \$25,000. Does evidence exist of Regional Office approval on the FAA or through written Regional Office correspondence?
FIS2L

Bank Reconciliations & General Ledger

- Review two consecutive bank statements.
 - Are bank statements reconciled to the general ledger?
 - Are reconciling items (including outstanding checks) resolved within a reasonable time frame?
 - Do checks clear the bank within a reasonable amount of time after the issue date?
 - Are the signatures on cancelled checks those of individuals who the Board has authorized as signers?
FIS1F
- Were journal entries supported by appropriate documentation and approved by a person other than the preparer?
FIS1F
- Was the cost posted to the appropriate award period?
FIS2A
- Based on a scan of the general ledger, do amounts appear to be posted to the proper accounts?
FIS5A
- Do the costs and in-kind contributions appear to be necessary and reasonable for operation of the Head Start program?
FIS2A
- Were the costs allowable under the cost principles?
FIS2A
- Was the invoice adequately descriptive to support the allowability of the cost?
FIS2A
- Was the cost allocated to Head Start in proportion to the benefit received (as documented by the organization's cost allocation plan or other means)?
FIS2A
- Does the grantee maintain supporting documentation with adequate description to support the allowability and allocability of credit card transactions? Are credit card transactions approved by a person other than the orderer? Is credit card use consistent with the organization's written policy?
FIS2A
- Did documentation of receipt or acceptance by the program exist before the invoice was processed for payment?
FIS2A
- Does the balance sheet show notes or mortgages payable?
FIS3E



SF-269 Financial Reports

- For the most recently closed and audited Head Start award period is the final SF-269 report reconciled to the audited financial statements and to the general ledger? Are reasonable explanations furnished for reconciling items?
FIS5B



Transaction Guide--Payroll

Allocation

- Do the methods shown in the allocation procedures or plan ensure each program is paying only its share of the cost of resources used in common?
FIS2B

Bank Reconciliations & General Ledger

- Based on a scan of the general ledger, do amounts appear to be posted to the proper accounts?
FIS5A
- Does the review of a sample of recent procurements support the conclusion that:
 - Documentation is maintained to establish the organization obtained price quotations or bids as required by their own policies?
FIS2K

Salaries & Payroll

- Does evidence exist of payroll approval by a responsible organization official?
FIS4A
- Does the payroll sampling support a conclusion that all employees (including exempt employees) complete timesheets? Do timesheets for nonprofessional employees report actual time worked during the pay period?
FIS4A
- Does the payroll sampling support a conclusion that total hours for the employee agree with the timesheet?
FIS4A
- Does the payroll sampling in the Payroll Guide support a conclusion that allocation of time is based on the employee's personnel activity report?
FIS4A
- Was the work performed in the award period in which the related payroll cost was charged?
FIS2A

Job Descriptions

- Examine job descriptions of staff with shared duties. Do job descriptions describe duties and responsibilities that appear to be of benefit to the Head Start program?
FIS2A, FIS2B

Wage Comparability Study

- Does the review of payroll items in the Sampling Guide support the conclusion that Head Start employee pay rates (including rates for shared staff allocated in part to Head Start) are supported by the wage comparability study (or are comparable to similar positions within the grantee or delegate organization)?

(Note to reviewer: In developing a PANC, review the organization's audit report to determine whether the organization is predominantly engaged in federally funded activities.)
FIS4D



Transaction Guide--Non-Personnel Costs

Allocation

- Do the methods shown in the allocation procedures or plan ensure each program is paying only its share of the cost of resources used in common?
FIS2B

Bank Reconciliations & General Ledger

- Based on a scan of the general ledger, do amounts appear to be posted to the proper accounts?
FIS5A
- Was the cost supported by a contract, if appropriate?
FIS2A
- Is the cost allowable under the Cost Principles?
FIS2A
- Does the review of a sample of recent procurements support the conclusion that:
 - Documentation is maintained to establish the organization obtained price quotations or bids as required by their own policies?
 - Procurement is consistent with the organization's written policies and procedures?
 - Justification for sole source procurements is documented?
FIS2K
- Are approvals on the supporting documents consistent with the approval process described in the organization's accounting policies and procedures? Is the approver other than the orderer? Was a purchase order completed (if required by the organization's policies and procedures)?
FIS2A
- A concern related to ensuring allowability, allocability, and reasonableness of costs was identified in the transaction guide. Ask the fiscal officer to describe the process for reviewing and approving charges before obligation or payment. (Note to reviewer: Listen for confirmation that a member of management is required to review and approve charges before obligation or payment.)
FIS2A

Contracts, Payments, and Reimbursements

- Based on sampling of detailed transactions supported by a contract or lease, did the grantee ensure it maintained current, signed, and dated contracts with a description of services to be provided, an estimate of the time required, rate of compensation, and provision for termination?
FIS2M
- Does the program have Head Start-funded contracts exceeding \$2000 for constructing, renovating or repairing buildings?
FIS3B



- Review building construction, renovation, and repair contracts, purchase orders, and payment files.
For Head Start-funded contracts exceeding \$2,000 for constructing, renovating or repairing buildings:
 - Did the grantee or delegate obtain payroll certifications from the contractor?
 - Did the grantee or delegate compare the hourly rates reflected in the payroll certifications to the appropriate Department of Labor wage determination?
FIS3B

- A concern was identified related to Head Start-funded contracts for construction, renovation or building repairs. Ask the fiscal officer: How does the financial system assure that laborers and mechanics are paid prevailing wage on Head Start-funded construction, renovation or repair contacts exceeding \$2,000?
FIS3B



Transaction Guide--Non-Federal Costs

Bank Reconciliations & General Ledger

- Was non-Federal share posted into the appropriate award period?
FIS2A, FIS2H
- Do the costs and in-kind appear to be necessary and reasonable for operation of the Head Start program?
FIS2A
- Was the cost allocated to Head Start in proportion to the benefit received (as documented by the organization's cost allocation plan or other means)?
FIS2A

Non-Federal Share

- Is the amount claimed as non-Federal share on the most recent Final SF-269 supported by adequate documentation?
FIS2H
- Based on the sample of non-Federal share transactions, is the value of donated space supported by a current independent appraisal of fair market value?
FIS2H, FIS2I
- Are amounts claimed for donated supplies reasonable?
FIS2I, FIS2H
- Do records show how donated supplies were used to achieve Head Start program objectives?
FIS2I
- For volunteer services, are the dates, hours, description of service, and signature of the Head Start staff person supervising the volunteer included in the documentation?
FIS2H
- For services donated by employees of other organizations, is time valued at the volunteer's actual pay rate?
FIS2I
- Are rates used for volunteer services based on an internal scale established by the grantee or delegate agency or prevailing wages in the labor market in which the grantee or delegate competes?
FIS2I
- Using the description of non-Federal share, select a sample of non-Federal share items and trace entries to the source records for use of grantee or delegate-owned buildings. Are claims for use of grantee- or delegate-owned space based on depreciation or use allowance -- derived from the building cost reflected in the organization's records and excluding acquisition or renovation costs paid by the Federal Government?
FIS2N
- Has the organization identified and excluded costs paid by other Federal awards?
FIS2I



Fiscal Officer--Staff File Review

Staff Qualifications and Expertise

- What training and experience does the fiscal officer have related to accounting and fiscal matters?
FIS1D
- What experience does the fiscal officer have in managing public or private organizations?
FIS1D
- Review the personnel file, contract, or resume of the person designated as the fiscal officer for documentation of training and experience in accounting and fiscal matters. Does the fiscal officer meet the qualifications identified by the grantee as required for that position?
FIS1D

Staff Hiring Procedures

- Was a criminal background check conducted?
 - If no, does this staff member provide direct services to children? If they do not provide direct services to children, indicate whether the staff member has an office in a center serving children or in an administrative building where there are no children present.
 - If yes, indicate the date the criminal background check was conducted.
PDM7E
- Review staff files for documentation of initial health examination (including screening for tuberculosis) and reexamination (if required by health care provider or as mandated by State, local or Tribal laws). Has an initial health exam, including screenings, been completed?
 - Document the date of the most recent health exam and screening.
 - Document whether a reexamination is required.

(Note to reviewer: If the health care provider or State, local or Tribal law requires re-examination, describe the requirement, including required timeframes for reexamination if applicable, and indicate whether the program has complied with the requirement for the staff you are reviewing.)

 - Document the date of the reexamination, if required.
 - Document the date the tuberculosis screening was completed.
PDM7F

Staff Training and Development

- Indicate the date of the most recent performance review.
PDM7C
- Review staff files for evidence of training opportunities for staff and volunteers. Briefly summarize the types of training offered.
PDM7I
- Has the staff member received training in identifying and reporting child abuse and neglect?
 - Indicate the date the staff member received this training.
PDM7J



Fiscal Management Summary Analysis--Overall Summary and Strengths

Overall Service Summary

- Summarize your general impressions of the program's fiscal management. The summary should describe what the program does well, which areas need improvement, and your overall level of confidence in the program's fiscal management. Your summary should not directly reiterate the strengths and findings you identified through implementation of the protocol but, rather, should reflect your overall analysis and impressions of the program's effectiveness in fiscal management.

FIS6A

Service Specific Strengths

- Summarize program strengths noted in fiscal management. Describe any practices that were found to be new or innovative and had a positive impact, that helped the grantee overcome challenges and provided greater/improved service quality or surpassed established performance indicators. Some examples of broad categories of program strengths include (but are not limited to):
 - Collaborations with local/community-based services
 - Exemplary fiscal practices to ensure the safeguarding of Federal dollars
 - Highly successful efforts to address and improve school readiness
 - Expansion of the program and increased accessibility
 - Extraordinary accommodations for children/families (e.g., children with disabilities)
 - Innovative program design and management

Do not include strengths that will contradict any PANCs identified on this review.

FIS6A



Fiscal Management Summary Analysis-- Reporting

Reporting

- Based on your notes from FIS5A, FIS5B, FIS5C, prepare a summary that describes whether the program maintains and implements efficient, effective reporting systems that:
 - Are current and accurate,
 - Contain appropriate information, and
 - Are made available to the appropriate groups to ensure program quality and accountability.

Your summary might reflect a potential program strength, a concern, or general compliance.

FIS6A



Fiscal Management Summary Analysis--Internal Controls

Internal Control

- Based on your review of the completed fiscal management protocol, has the program's governing body established and implemented strong, appropriate internal controls to safeguard Federal funds?

In responding, consider the following issues:

- Is an independent governing body with appropriate expertise engaged in fiscal oversight?
- Has the organization ensured the fiscal function is competently staffed?
- Are accounting controls in place to ensure the organization uses Head Start resources for authorized purposes?
- Do adequate controls over cash and other assets exist?
- Has the organization demonstrated a capacity to take effective, timely corrective action to address the findings of auditors and its funding sources?

FIS6A