



FY 2010 Office of Head Start Monitoring Protocol Guides

September 10, 2009

**Program Design & Management
Reviewer's Guide**



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.
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



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