



FY 2010 Office of Head Start Monitoring Protocol Guides

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Table of Contents, Introduction,
and Organization and Use of the Guides



Table of Contents

Introduction to the FY2010 Office of Head Start Monitoring Guides	3
Organization and Use of the Guides.....	4
Integrated Services Reviewer 1 Guides	7
Integrated Services Reviewer 2 Guides	49
Education and Early Childhood Development Reviewer Guides	103
Program Design and Management Reviewer Guides.....	144
Fiscal Management Reviewer Guides.....	190



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.