



FY 2010 Office of Head Start Monitoring Protocol

September 10, 2009

Transportation Services Protocol



Transportation Services

This section of the Protocol contains a list of **Compliance Questions** that identify Head Start (HS) program requirements against which each question is designed to monitor compliance. Reviewers assigned to this section must answer all of the Compliance Questions, but only after collecting and analyzing sufficient information to make well-informed decisions. Responses to each Compliance Questions must be substantiated with details from extensive interviews, document reviews, and/or observations.

Targeted Questions following the Compliance Questions will help lead reviewers to the right people, documents, and observations from which to gather information. These questions reflect the minimum evidence gathering requirements to address the Compliance Questions. Responses to Compliance Questions are not limited to the interviews, document reviews, and observations outlined in the Protocol's Targeted Questions, so long as additional sources are necessary to answer the Compliance Question. The onsite review should cover all program options provided by the grantee and delegate as well as childcare partnerships and family child care homes.

For each Compliance Question, reviewers must document and describe detailed evidence collected through the Guides and Checklists. Guides are organized by type of interviewee, type of document to be reviewed, or type of observation to be conducted. For example, when interviewing a parent, all Targeted Questions for parents, regardless of where they reside in the protocol, will be listed on the Parent Interview Guide, organized by key topic area (e.g., Communication with Families). The Guides are the area where reviewers will document all of their Notes, which form the foundation for understanding grantee compliance, and, when appropriate, become the basis for preliminary areas of noncompliance. For all evidence collected, reviewers should provide sufficient context to support the conclusions drawn, including the number of documents reviewed, people interviewed, and observations made. In the Monitoring Software, all Notes collected through the Guides are attached to the standards listed with each Targeted or Compliance Question.

The Transportation Services section of the Protocol is divided into five subsections:

- Transportation Services Management
- Providing Transportation Services
- Bus Driver Credentials, Qualifications, and Training
- Arranging for Transportation Services
- Management Systems Analysis



Transportation Services Question 1A

Does the program ensure that vehicles used to provide transportation services are maintained in safe operating condition at all times?

1310.13(a), 1310.13(b),
1310.13(c)

Targeted Question for Transportation Services Question 1A

Document Review: State Vehicle Inspections

- Review the annual State inspection certificate of each vehicle provided by the State licensing agency, if applicable.
1310.13(a)

Interview: Bus Driver (Vehicle Maintenance and Inspection)

- Can you describe the preventive maintenance done for each vehicle?
1310.13(b)
- 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.
1310.13(c)

Observation: 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.



Transportation Services Question 1B

Do programs providing transportation services, either directly or through a contract, have an applicant review process that advises applicants for driving positions of the specific background checks required?

PDM7E, 1310.16(b)

Targeted Question for Transportation Services Question 1B

Staff Files: Bus Driver and Transportation Coordinator (Staff Hiring Procedures)

- 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.)

Interview: Transportation Coordinator (Transportation Procedures)

- What is the program's process for background checks on their contracted bus drivers?

Interview: Head Start/Early Head Start Director (Background Checks)

- How do you ensure the specific background checks are conducted for contracted drivers?
Applies to: Programs providing transportation services
Asked by: PDM

Interview: Bus Driver (Background Checks)

- Was a background check conducted when you were hired?



Transportation Services Question 1C Does each bus driver have a valid commercial driver's license (CDL)?	
<i>Note: This requirement only applies to bus drivers in States that grant CDLs.</i>	1310.16(a)(1)

Targeted Question for Transportation Services Question 1C

Staff Files: Bus Driver (Staff Hiring Procedures)

- 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.



Transportation Services Question 2A	
Does the program ensure that each vehicle is properly equipped?	
	1310.10(d)(1), 1310.10(d)(2), 1310.10(d)(3), 1310.10(d)(4), 1310.12(b)(2), 1310.12(b)(1)

Targeted Question for Transportation Services Question 2A

Observation: Bus Inspection (Vehicle Equipment)

- Are vehicles equipped with reverse beepers?
1310.12(b)(2)
- Are vehicles equipped with height- and weight-appropriate restraint systems?
(Note to reviewer: Lap belts only are not acceptable for child restraints.)
1310.12(b)(1)
- Does the vehicle providing transportation services have a seat belt cutter?
1310.10(d)(4)
- Does the vehicle providing transportation services have a well-stocked first aid kit?
SAF2E, 1310.10(d)(3)
- 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)?
1310.10(d)(1)
- Is there a fire extinguisher on the bus and is it fully charged (check the gauge)?
1310.10(d)(2)



Transportation Services Question 2B

Are baggage and other items transported in the passenger compartment properly stored and secured, aisles cleared, and doors and emergency exits unobstructed at all times?

1310.15(b)

Targeted Question for Transportation Services Question 2B

Observation: Bus Inspection (Bus Safety)

- Are baggage or other items transported in the passenger compartment properly stored?



Transportation Services Question 2C	
Does the program adhere to the basic principles of trip routing?	
	1310.20(b), 1310.20(b)(1), 1310.20(b)(6), 1310.20(b)(7)

Targeted Question for Transportation Services Question 2C

Interview: Bus Driver (Transportation Safety)

- Does the bus monitor, or another adult, escort children when they have to cross the street?
1310.20(b)(6)
- 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.)
- Describe procedures for using alternate routes in case of hazardous conditions.
1310.20(b)(7)



Transportation Services Question 2D	
DOES NOT APPLY TO: Programs with a waiver approved by ACF for this requirement	
Is at least one bus monitor onboard at all times?	
<i>Note: An approval letter from ACF is required for an exception from this regulation.</i>	1310.15(c)(1)

Targeted Question for Transportation Services Question 2D

Interview: Transportation Coordinator (Transportation Procedures)

- How are substitute monitors provided when the regular bus monitor is absent?
- Does the program have a waiver for the bus monitor requirement (1310.15(c)(1))?

Interview: Bus Driver (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".)



Transportation Services Question 2E

Are children released only to a parent, legal guardian, or other individual as designated in writing by the parent or legal guardian? Does the agency maintain lists of the persons, including alternates in case of emergency, and up-to-date child rosters at all times to ensure that no child is left behind, either at the classroom or on the vehicle at the end of the route?

1310.10(g)

Targeted Question for Transportation Services Question 2E

Interview: Transportation Coordinator (Transportation Procedures)

- How does the bus driver receive up to date information on children, especially when a contractor provides transportation services?

Interview: Bus Driver (Transportation Safety)

- How do you receive up to date information on children?
- What process do you follow if no parent is at a stop to meet a child exiting the bus?
- How do you ensure that no child is left on the vehicle at the end of the route?

Interview: Bus Driver and Bus Monitor (Transportation Safety)

- How do you know the people to whom each child can be released when he or she exits the bus?



Transportation Services Question 2F

Does the program providing transportation services ensure that all accidents involving vehicles that transport children are reported in accordance with applicable State requirements?

1310.10(f)

Targeted Question for Transportation Services Question 2F

Document Review: Driver Incident Reports

- Are accidents reported in accordance with applicable State requirements?

Interview: Transportation Coordinator (Transportation Procedures)

- How are families notified if a child is onboard a bus when an accident occurs?

Interview: Bus Driver (Transportation Safety)

- Have you ever been involved in an accident? If so, how was it reported?



Transportation Services Question 3A

Does the program ensure that persons employed to drive vehicles receive the required behind-the-wheel and classroom training before transporting children and annually thereafter?

Note: This compliance question applies to both hired and contracted bus drivers.

PDM7I, 1310.17(b)(1),
1310.17(b)(2),
1310.17(b)(3),
1310.17(b)(4),
1310.17(b)(5),
1310.17(b)(6), 1310.17(b)(7)

Targeted Question for Transportation Services Question 3A

Staff Files: Bus Driver (Staff Training and Development)

- 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?

1310.17(b)

Interview: Bus Driver (Training)

- What type of classroom and behind-the-wheel training have you received?
1310.17(b)
- Do you receive refresher behind-the-wheel and classroom training courses annually?
1310.17(d)

Document Review: Training Plans and Policies

- Describe the behind-the-wheel and classroom training procedures for bus drivers, noting how often bus drivers are required to participate in such training.



Transportation Services Question 3B

Do bus drivers receive annual evaluations, which must include an onboard observation of road performance?

Note: This compliance question applies to both hired and contracted bus drivers.

PDM7C, 1310.17(f)(1)

Targeted Question for Transportation Services Question 3B

Staff Files: Bus Driver (Staff Training and Development)

- 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

Interview: Bus Driver (Performance Reviews)

- Do you receive an annual evaluation that includes an onboard observation? When was your last evaluation?
- PDM7C



Transportation Services Question 3C

Has each bus monitor, before duty, been trained on child boarding and exiting procedures, use of child restraint systems, required paperwork, emergency response and evacuation procedures, use of special equipment, child pickup and release procedures, and pre- and post-trip vehicle check?

Note: This requirement does not apply to programs with a waiver approved by the Administration for Children and Families (ACF) for this requirement. An approval letter from ACF is required for exception from this regulation.

PDM7I, 1310.17(f)(2)

Targeted Question for Transportation Services Question 3C

Interview: Bus Monitor (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?

Document Review: Training

- Does the program have training procedures for bus monitors?



Transportation Services Question 4A Does the agency help as many families as possible obtain transportation who need transportation for their children to attend the program?	
	1310.10(a)

Targeted Question for Transportation Services Question 4A

Interview: FCS Coordinator (Support Services for Families)

- How does the agency help as many families as possible obtain transportation who need transportation for their children to attend the program?
Asked by: ISR I



Transportation Services Question 4B

If the agency has decided not to provide transportation services for either all or a portion of the children, does the agency provide reasonable assistance to the families of such children to arrange transportation to and from its activities? Are the specific types of transportation assistance being offered made clear to all prospective families in the program's recruitment announcements?

1310.10(b)

Targeted Question for Transportation Services Question 4B

Document Review: Recruitment Materials

- Are the specific types of transportation assistance being offered made clear to all prospective families in the program's recruitment announcements?
Reviewed by: ISR I

- 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.
Reviewed by: ISR I



Transportation Services Question 4C

When special education and related services cannot be provided on site, has the program arranged for or provided transportation for children with disabilities to and from the program, special clinics, or other service providers?

Note: Transportation includes adapted buses equipped to accommodate wheelchairs or other such devices, if required.

1308.4(h)(6), 1310.22(a),
1310.22(b)

Targeted Question for Transportation Services Question 4C

Interview: Transportation Coordinator (Transportation for Children with Disabilities)

- Are any special education or related services provided off site?
- Do you arrange for or provide transportation for children with disabilities to and from services?
1308.4(h)(6)
- Does the transportation comply with the Americans with Disabilities Act of 1990?
1310.22(b)
- How do you ensure that the transportation is adapted to meet a child's special needs?
1310.22(a)



Transportation Services Question 5A

This section lists a series of targeted questions not linked to a performance standard at the service area level. These questions are designed to contribute to a comprehensive analysis of the program’s management systems. Accordingly, these questions appear in each protocol section and are completed for each service area to provide insight into how key management systems function with relationship to each service area.

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Targeted Question for Transportation Services Question 5A

Interview: Transportation Coordinator (Ongoing Monitoring and Oversight)

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

Interview: Transportation Coordinator (Program Planning)

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

Summary Analysis: 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.



Summary Analysis: 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.

Summary Analysis: 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.