



Overview

Office of Head Start Monitoring

System

June 17, 2010

Triennial Review

- Conducted every three years
- Federal Fiscal Year (October – September)
- May be unannounced on dates identified in the availability schedule completed by the grantee.
- Collecting data to determine program strengths and weaknesses
- Typical Review (1 week). Usually completed by Thursday.
- LACOE will not be a typical review.

Typical Review Team

- Consultants contracted by Danya International. Qualified, Trained and Certified to review specific areas.
- Typical 7 member team
 1. Team Leader (Federal or Non-Federal)
 2. Report Coordinator
 3. PDM Reviewer (Program Design and Management Systems and ERSEA)
 4. Fiscal Reviewer
 5. ISR-1 (Integrated Service Reviewer –Mental Health/Disabilities/Family and Community Services)
 6. ISR-2 (Integrated Service Reviewer – Health/Nutrition/Safe Environments/Transportation)
 7. ECD Reviewer (Early Childhood Education)
- Composition and process may vary depending on size of grantee

OHS Protocol Sections

1. Health Services
2. Nutritional Services
3. Safe Environments
4. Transportation Services
5. Disabilities Services
6. Mental Health Services
7. Family and Community Services (FCS)
8. Education and Early Childhood Development Services (ECD)
9. Fiscal Management
10. Program Design and Management (PDM)
11. Eligibility, Recruitment, Selection, Enrollment and Attendance (ERSEA)

Guides

- Tools to assist the reviewers with the data collection process.
- Organizes interviews and document reviews for review team.
- Automatically populates to the protocol questions.
- Can be used to assist agencies with preparing for the review.

OHS Monitoring Software

- Tool used to capture data during the review process.
- Checklists, notes, prompts, questions.
- Data entered and synchronized accessible by all reviewers assigned to the team and the Central OHS office in Washington DC.
- Tracking progress, quality, and completion of all reviews.

Head Start Enterprise System

- Head Start Enterprise System (HSES)
 - Pre-Site Documents (Program and Fiscal)
 - Financial Audits
 - Enrollment Data
 - Program Information Reports (PIR)
 - General Program Information
- Available to reviewers a week prior to the review
- PDM Reviewer and Fiscal Reviewer required to review some pre-site documents and provide summary to the review team at the Sunday night meeting.

PDM Pre-Site Document Review

- See Guides Page 145
 - Community Assessment
 - Service Plans and Program Plans
 - Program Options
 - Short and Long Term Goals for each service area
 - Self-Assessment
 - Dates
 - PC involvement
 - Improvement plans
 - Corrections made

PDM Document Review

- Annual Report to the Public (Grantee only)
 - Specific criteria required per Head Start Act
- Board Minutes (pg 147)
 - Software tool requires yes/no responses
 - Financial audit, selection of independent auditor, procedures for selecting Policy Council members, results from monitoring and appropriate follow-up.
- Governing Body Roster (pg 148)
 - Specific background (attorney, fiscal, ECD)

PDM Document Review

- Governing Body By-laws
- PC Meeting Minutes
- PC Roster
- Organizational Chart
 - Segregation of duties / fiscal
- Code of Conduct (pg. 149)
 - Reviewing for specific requirements as outlined in the performance standards **yes/no**

PDM Document Review

- Governing Body Reports/Policy Council Reports (Head Start Act)
 - Monthly reports on meals and snacks **yes/no**
 - Program information reports **yes/no**
 - Monthly financial statements including credit card expenditures **yes/no**

Training Plans and Policies

- PDM Reviewer will summarize
- Document Reviewed to determine if PC and Board training offered / when / what topics /
- Child abuse and neglect –
- Each staff interviewed will be asked about the training related to child abuse and neglect and other training opportunities.

Initial Health Exams/ Background Checks

- PDM Reviewer will request list of all staff
 - Hire date
 - Initial health exam (prior to employment)
 - Subsequent health exams per agency policy
 - Date of background clearance.
 - 12/2007
 - Select files will be reviewed
 - Additional files may be reviewed

PDM Interviews

- Governing Body Interviews p. 152
- Policy Council/Committee Interviews p 155
- Director Interview p. 157
- ERSEA Coordinator Interview p. 183
- Other interview questions may populate to PDM reviewer to make compliance determinations on management systems
 - Qualifications, Communication, Reporting, Ongoing Monitoring, Using self-assessment for planning, Using community assessment for program planning, etc.

Staff File Reviews

- All reviewers will review a select number of staff files and enter required data into the system
- Past due performance evaluations/ professional development plans / background clearance / health exams will be automatically flagged.
- Reviewers will look for specific training for staff in their personnel files. Review to determine 15 hours of classroom-focused professional development.
- Teachers' Qualifications (must have evidence)
- Family Child Care Providers files reviewed

Management Systems

- All reviewers (2010 Protocol) analyze the management systems. Their analysis populates to the PDM Reviewer.
 - Onsite Analysis Matrix
- PDM Reviewer makes an overall analysis
- Program Strengths –
 - Specific question to Program Director
 - PDM Reviewer writes strength based on information collected and input from other reviewers.

ERSEA


- Document Review
 - Software identifies how many files to review using a random method of selection.
 - Data entered will generate red flags for over-income and 100%-130% poverty. Red flags require non-compliance or explanation.
 - ERSEA procedures reviewed for specific requirements
 - Grantee enrollment reports will be matched to what was reported to Regional Office (HSES)
 - Daily Attendance Reviewed and evidence of documentation of absenteeism.
- During interview of ERSEA Coordinator, request for documentation on monitoring of eligibility, recruitment, selection, enrollment and attendance.
- Expect the protocol to change related to ERSEA based on recent GAO investigation.
- An erroneous payment reviewer may conduct their review during the same time as the triennial review.

Potential Areas of Non-Compliance

- PANCs
- Reviewers collecting data and identifying potential strengths and areas of non-compliance.
- Most PANCs require documented evidence to be uploaded into the system.
- PANCs are written to show standard violated (see, hear, read)
- OHS makes the final determination of non-compliance.
- Concerns noted during review, must be documented as to why they were not considered non-compliance.
- Concerns that are not identified as non-compliances may be used to provide T/TA to Grantee.

On-Site Immediate Deficiencies

- Detection of fraud, misuse, falsification of fiscal records.
- Pest or pest droppings in food prep area
- Mold in facilities
- Unsanitary conditions
- Food contamination / lead in water supply
- Significant medical issues without follow-up
- Lack of criminal backgrounds
- Imminent danger for a child (electrical devices, exposure to danger).
- Observations of corporal punishment or lack of adequate supervision.

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- **Planning and Preparation is key**
 - **The tools (guides) can be useful.**