



Monitoring and Quality Assurance Self-Assessment Checklist

VISIT DATE(S)
REVIEWER(S)

I. SITE INFORMATION

SITE NAME	SITE SUPERVISOR	FSW, if applicable
CLASSROOM	AGE RANGE	TEACHING STAFF OBSERVED

II. HOURS OF OPERATION

DAYS OF OPERATION	HOURS OF OPERATION	CLASSROOM HOURS
M = Met	am through pm P = Partial	am through pm NM = Not Met
N/A = Not Applicable		

CONTENT AREA 5 – PROGRAM DESIGN AND MANAGEMENT

5.1 - GOVERNANCE

5.1.A Governing Board

		M	P	NM	N/A	Notes:
1.	The grantee has a governing board composed of: <ul style="list-style-type: none"> At least 1 member with background and expertise in accounting or fiscal management. At least 1 member with background and expertise in early childhood education and development. At least 1 member who is a licensed attorney. Additional members who reflect the community and include parents of formerly or currently enrolled Head Start/EHS children, and Other members selected for their expertise in education, business administration or community affairs. Note: If a Head Start agency is unable to include members for any of the first three categories above, the Governing Board must obtain the services of a consultant or other individual with relevant expertise and qualifications. <i>(Applies to WCIC only) (N/A permitted)</i>					
2.	Conflict of Interest - The program has policies and procedures in place to ensure that members of the Governing Board are free from financial or other conflicts of interest with the Head Start/Early Head Start program, do not receive compensation for serving if not an elected official, and are not employed by the Head Start agency.					

3.	Members of the Governing Board receive appropriate training and technical assistance to assure members understand information they receive and can provide effective oversight and make appropriate decisions which must include: officer training, orientation, and ethics training.					
4.	The Governing Board performs required activities and makes decisions pertaining to program administration and operations that include: selecting delegates and service areas, establishing procedures and criteria for ERSEA (Grantee only), reviewing all applications for funding, and establishing procedures for selecting Policy Council, Policy Committee members.					
5.	The Governing Board approves financial management, accounting and reporting policies and ensures compliance with laws and regulations related to financial statements.					
6.	The Governing Board reviews and approves the following within the appropriate timelines: Self-Assessment, financial audits, fiscal operations, grant applications, personnel policies, and the results of monitoring and follow-up activities, program approach changes and budget modifications.					
7.	Governing Board members regularly receive and use the following information or reports about program planning, policies and agency operations: <input type="checkbox"/> Monthly financial statements, including credit card expenditures <input type="checkbox"/> Monthly program information summaries <input type="checkbox"/> Monthly program enrollment reports, including attendance reports for children whose care is partially subsidized by another public agency <input type="checkbox"/> Monthly reports of meals and snacks provided through USDA programs <input type="checkbox"/> Annual financial audit <input type="checkbox"/> Annual Self- Assessment, including findings related to such assessment <input type="checkbox"/> Annual community-wide strategic planning and needs assessment (i.e., Community Assessment) of the Head Start agency, including applicable updates <input type="checkbox"/> Communication and guidance from the Secretary of the Administration for Children and Families (ACF), as applicable <input type="checkbox"/> Annual Program Information Reports					
5.1.B Policy Council, Policy Committee, Parent Advisory Committee (PAC)		M	P	NM	N/A	Notes:
1.	The program has established a Policy Council, Policy Committee (delegate agency), and Parent Advisory Committee (PAC) as early in the year as possible.					
2.	The Policy Council, Policy Committee (delegate agency), and Parent Advisory Committee (PAC) is comprised of community representatives and a parent majority (at least 51%) and is responsible for the Head Start program's direction, program design, operation and goal planning.					
3.	<u>Conflict of Interest</u> - The program has policies and procedures in place to ensure that members of the Policy Council, Policy Committee, and Parent Advisory Committee (PAC) are free from financial or other conflicts of interest with the Head Start/Early Head Start program, do not receive compensation for serving if not an elected official, and are not employed by the Head Start agency.					
4.	Members of the Policy Council, Policy Committee, and Parent Advisory Committee (PAC) receive appropriate training and technical assistance to assure members					

	understand information they receive and can provide effective oversight and make appropriate decisions which must include: officer training, orientation, and ethics training.															
5.	Policy Council, Policy Committee, and Parent Advisory Committee (PAC) parent members are supported by the program in fulfilling their governance responsibilities by receiving reasonable reimbursement of their expenses for participation.															
6.	Policy Council, Policy Committee, and Parent Advisory Committee (PAC) review and approve the following within the appropriate timelines: Self-Assessment, financial audits, fiscal operations, grant applications, personnel policies, and the results of monitoring and follow-up activities, program approach changes and budget modifications.															
7.	Policy Council, Policy Committee, and Parent Advisory Committee (PAC) participate in developing policies and identified program activities to be submitted to the governing body.															
8.	<p>Policy Council, Policy Committee, and Parent Advisory Committee (PAC) members regularly receive and use the following information or reports about program planning, policies and agency operations:</p> <table border="0"> <tr> <td><input type="checkbox"/> Monthly financial statements, including credit card expenditures</td> <td><input type="checkbox"/> Annual Self-Assessment, including findings related to such assessment</td> </tr> <tr> <td><input type="checkbox"/> Monthly program information summaries</td> <td><input type="checkbox"/> Annual community-wide strategic planning and needs assessment (i.e., Community Assessment) of the Head Start agency, including applicable updates</td> </tr> <tr> <td><input type="checkbox"/> Monthly program enrollment reports, including attendance reports for children whose care is partially subsidized by another public agency</td> <td><input type="checkbox"/> Communication and guidance from the Secretary of the US Department of Health and Human Services, as applicable</td> </tr> <tr> <td><input type="checkbox"/> Monthly reports of meals and snacks provided through USDA programs</td> <td><input type="checkbox"/> Annual Program Information Reports</td> </tr> <tr> <td><input type="checkbox"/> Annual financial audit</td> <td></td> </tr> </table>	<input type="checkbox"/> Monthly financial statements, including credit card expenditures	<input type="checkbox"/> Annual Self-Assessment, including findings related to such assessment	<input type="checkbox"/> Monthly program information summaries	<input type="checkbox"/> Annual community-wide strategic planning and needs assessment (i.e., Community Assessment) of the Head Start agency, including applicable updates	<input type="checkbox"/> Monthly program enrollment reports, including attendance reports for children whose care is partially subsidized by another public agency	<input type="checkbox"/> Communication and guidance from the Secretary of the US Department of Health and Human Services, as applicable	<input type="checkbox"/> Monthly reports of meals and snacks provided through USDA programs	<input type="checkbox"/> Annual Program Information Reports	<input type="checkbox"/> Annual financial audit						
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9.	There is an established Policy Council, Policy Committee and Parent Advisory Committee (PAC) recordkeeping system that provides evidence of compliance with appropriate conduct of Policy Council, Policy Committee and PAC meetings and other program governance reporting procedures required by the Grantee.															
5.1.C Parent Involvement		M	P	NM	N/A	Notes:										
1.	An overview of the Head Start/Early Head Start Programs is found in a Parent Handbook or similar resource.															
2.	Information regarding Head Start program governance is made available to parents to encourage involvement and recruitment (i.e., posting in parent area, addressed at parent meetings, or in parent handbook, etc.).															

5.2 – HUMAN RESOURCES						
5.2.A Organizational Structure and Staffing		M	P	NM	N/A	Notes:
1.	The program has established an organizational structure that provides for adequate supervision and supports the required program management functions to ensure the accomplishment of program goals and objectives.					
2.	The program ensures that the program management functions for providing services to children and families are formally assigned to and adopted by staff within the program.					
3.	Program hires staff or consultants who meet the required qualifications, knowledge, skills, and experience needed to perform their assigned functions, fulfill their job responsibilities, and implement Head Start Performance Standards.					
4.	Head Start Director and/or Early Head Start Director is qualified for the position through demonstrated skills and abilities relevant to human services program management.					
5.	Policy Council or Policy Committee gives prior approval for hiring/terminating of full time Head Start and Early Head Start Employees.* (N/A permitted)					
6.	Education Staff Qualifications - Teaching staff have the required education, training and experience in accordance with the HS Act 2007. <ul style="list-style-type: none"> • Center-based Head Start • Home-based Head Start • Center-based Early Head Start • Home-based Early Head Start 					
5.2.B Developing/Implementing Personnel Policies		M	P	NM	N/A	Notes:
1.	The program develops and implements written personnel policies for staff including Standards of Conduct that contain provisions for appropriate penalties when violations occur. Policies and procedures are approved by the Governing Board and Policy Council, and available to all staff.					
2.	The program ensures that each staff member completes an initial health examination (including screening for Tuberculosis) and periodic re-examinations (as recommended by his or her health care provider or as mandated by State, local, or Tribal laws).					
3.	Prior to employing an individual, the program obtains a: <ul style="list-style-type: none"> • Criminal record check covering all jurisdictions where the program provides Head Start services to children • Criminal record check as required by the law of the jurisdiction where the program provides Head Start services including fingerprint clearance • Criminal record check as otherwise required by Federal law 					
4.	Licensing records of all teaching staff are complete and on file for each employee (records are kept for 3 years) and must be available for review at the child care center where teaching staff is assigned: <ul style="list-style-type: none"> • Personnel Records (LIC. 501) • Child Abuse Index Check (LIC. 198) • Health Screening Report – Facility Personnel (LIC. 503) 					

	<ul style="list-style-type: none"> • Notice of Employment Rights (LIC. 9052) • Criminal Record Statement (LIC. 508) • Medical Placement Category (County) – Physical (not required if temp. employee) • Statement Acknowledging Requirement to Report Suspected Child Abuse (LIC. 9108) • TB Clearance • Fingerprint Clearance • CPR/FA • Transcripts • Teaching Credential 					
5.	<u>Ongoing Training</u> - Program provides opportunities for orientation, ongoing training and development for all staff that increase competency needed to fulfill their job responsibilities and give staff the knowledge and skills to implement the content of the Head Start Performance Standards and the Head Start Act 2007. At a minimum, teaching staff have 15 hours of professional development annually.					
6.	<u>Annual Performance Review</u> - Program conducts annual performance reviews of all staff and results are used to plan for training and staff development.					
7.	<u>Professional Development Plan</u> - Program ensures that all full-time Head Start employees who provide direct services to children have a professional development plan that is evaluated regularly to assess its impact on teacher and staff effectiveness.					
8.	<u>Annual Child Abuse and Neglect Training</u> - Program establishes staff training that includes processes and procedures that comply with applicable state and local laws for identifying and reporting child abuse and neglect.					
5.3 – PLANNING/ON-GOING MONITORING/COMMUNICATION/CONTRACTS						
5.3.A Planning		M	P	NM	N/A	Notes:
1.	The program has a written planning procedure that has been approved by the governing body.					
2.	The program has developed a written plan or plans for implementing services in early childhood development and health/mental health, family and community partnerships, and program design and management.					
3.	The grantee and delegate Written Service Plans (i.e. Program Area Plan or Content Area Plans) are reviewed and updated annually.					
4.	The grantee and delegate Written Service Plans (i.e., Program Area Plan or Content Area Plans) are reviewed and approved annually by the Policy Council or Policy Committee.					
5.	The grantee and delegate’s planning process uses and incorporates information from the Community Assessment.					
5.3.B On-going Monitoring		M	P	NM	N/A	Notes:
1.	The program has established and implemented procedures for ongoing monitoring of program operations, and eventual follow-up for program improvement to ensure effective implementation of Federal regulations.					

2.	Program conducts an annual self-assessment.					
3.	The Grantee informs delegate governing bodies of any deficiencies in delegate operations identified in the monitoring review and there is a plan to assist in addressing identified problems.					
5.3.C Communication		M	P	NM	N/A	Notes:
1.	Grantee and delegate ensure that communication with parents is carried out in the parents' primary or preferred language or through an interpreter to the extent feasible.					
2.	The grantee and delegate have established and implemented systems to ensure that timely and accurate information is provided to parents, governing bodies, policy groups, staff and the general community.					
3.	There is an annual public report published by the grantee containing all the required elements from the Head Start Act 2007.					
5.3.D Delegate Agency Contractual Agreements		M	P	NM	N/A	Notes:
1.	Contract with SETA is signed and submitted within 30 days of start of funding year.					
2.	Average CLASS scores are at the minimum thresholds for the following domains: <ul style="list-style-type: none"> • Emotional Support – 4 • Classroom Organization – 3 • Instructional Support – 2 					
3.	Any site license revocation has been reported to SETA within 5 business days of the revocation.					
4.	Disbarment from receiving Federal or State funds from any Federal or State department or agency or disqualification from participating in CACFP has been reported to SETA within 5 business days of the event.					
5.	Required program and fiscal reports are submitted to SETA in an accurate and timely manner. These include the following: <ul style="list-style-type: none"> • Monthly program reports • Disabilities monthly report • Monthly fiscal report • Monthly In-kind forms • Program Information Report (PIR) • Final closeout report • Delegate monitoring response form • Monthly enrollment, attendance, and waiting list reports 					

Performance Rating – Program Design and Management

5.1 - GOVERNANCE

5.1.A Governing Board				
	M	P	NM	N/A
1				
2				
3				
4				
5				
6				
7				
Total				

5.1.B Policy Council, Policy Committee, Parent Advisory Committee				
	M	P	NM	N/A
1				
2				
3				
4				
5				
6				
7				
8				
9				
Total				

5.1.C Parent Involvement				
	M	P	NM	N/A
1				
2				
Total				

5.2 - HUMAN SERVICES

5.2.A Organizational Structure and Staffing				
	M	P	NM	N/A
1				
2				
3				
4				
5				
6				
Total				

5.2.B Developing and Implementing Personnel Policies				
	M	P	NM	N/A
1				
2				
3				
4				
5				
6				
7				
8				
Total				

5.3 - PLANNING/ON-GOING MONITORING/ COMMUNICATION/CONTRACTS

5.3.A Planning				
	M	P	NM	N/A
1				
2				
3				
4				
5				
Total				

5.3.C Communication				
	M	P	NM	N/A
1				
2				
3				
Total				

5.3.B On-going Monitoring				
	M	P	NM	N/A
1				
2				
3				
Total				

5.3.D Delegate Agency Contractual Agreements				
	M	P	NM	N/A
1				
2				
3				
4				
5				
Total				

M = Met P = Partial NM = Not Met N/A = Not Applicable