

CONTENT AREA 5 – PROGRAM DESIGN AND MANAGEMENT

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****Fiscal: See Fiscal Monitoring Reports****

TOOLS

- Appendix A+ - Approvals Required by Head Start Boards and Policy Councils
- Organizational Chart
- Program Design and Management Program Area Plan (individual delegate/SOP)
- Program Design and Management Policies and Procedures (individual delegate/SOP)
- Sample Copy of Statement of Economic Interest (CA Form 700)
- Staff and Parent Interview Questions
- Copy of Countywide Community Assessment

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5.1 – Governance			
5.1.A Governing Board			
Compliance Requirement		Compliance	
1.	<p>The grantee has a governing board composed of:</p> <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. <p>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.</p> <p style="text-align: right;"><i>(Applies to WCIC only) (N/A permitted)</i></p>	<p>Met</p> <input type="checkbox"/>	<p>Partial</p> <input type="checkbox"/>
		<p>Not Met</p> <input type="checkbox"/>	<p>N/A</p> <input type="checkbox"/>
<p>If Partial or Not Met, List Finding(s):</p> <p><input type="checkbox"/> a. Governing Board composition does not meet criteria.</p> <p><input type="checkbox"/> b. _____</p>		<p style="text-align: center;">Regulations</p> <p>45 CFR 1304.50(a) & (b)(1-7)</p> <p>42 USC 9837(c)(1)(B)(i-vi)</p>	<p style="text-align: center;">Guidance</p> <p>If the Governing Board is composed of publicly-elected officials (in the case of SETA and school boards such as SCUSD, SJUSD, TRUSD, EGUSD) this regulation does not apply.</p> <p>*In Sacramento County Head Start, this regulation only applies to WCIC Head Start, a community-based program.</p> <p>Review Governing Board By-laws and membership roster including member resumes.</p>
<p>Concerns:</p> <p style="text-align: right;"><input type="checkbox"/> Response Required</p>		<p>Recommendations:</p> <p style="text-align: right;"><input type="checkbox"/> Response Required</p>	
<p>Strengths:</p>			

			Met	Partial	Not Met	N/A	
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.			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<p>If Partial or Not Met, List Finding(s):</p> <p><input type="checkbox"/> a. Program has no policies and procedures in place regarding Conflict of Interest for Governing Board.</p> <p><input type="checkbox"/> b. Governing Board members do not have signed Conflict of Interest document.</p> <p><input type="checkbox"/> c. Governing Board with members who are not publicly elected receive compensation for services on the board.</p> <p><input type="checkbox"/> d. _____</p>	<p>Regulations</p> <p>45 CFR 1304.50 (d)(1)(ix); 1304.50(b)(6), 1301.31</p> <p>42 USC 9837(c)(1)(E)(iv), (x)(aa), (c)(2)(C)(i-ii), (c)(3)(B)</p>	<p>Guidance</p> <p>Review appropriate board by-laws and program policies and procedures regarding Conflict of Interest for board members.</p> <p>Statement of Economic Interest (CA Form 700) is used countywide to meet this requirement.</p> <p>Members should have signed Conflict of Interest upon assuming and leaving office.</p> <p>Only WCIC Governing Board members cannot receive compensation because they are not publicly elected officials.</p>				
	<p>Concerns:</p> <p><input type="checkbox"/> Response Required</p>	<p>Recommendations:</p> <p><input type="checkbox"/> Response Required</p>	<p>Strengths:</p>				
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.			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<p>If Partial or Not Met, List Finding(s):</p> <p><input type="checkbox"/> a. There is no evidence of members receiving training or technical assistance.</p> <p><input type="checkbox"/> b. _____</p>	<p>Regulations</p> <p>45 CFR 1304.52(k)(2-4), 1306.23(a)</p> <p>42 USC 9837(d)(3)</p>	<p>Guidance</p> <p>Review meeting minutes, agenda and other related documents for evidence of training related to board responsibilities.</p>				
	<p>Concerns:</p> <p><input type="checkbox"/> Response Required</p>	<p>Recommendations:</p> <p><input type="checkbox"/> Response Required</p>	<p>Strengths:</p>				

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.		Met <input type="checkbox"/>	Partial <input type="checkbox"/>	Not Met <input type="checkbox"/>	N/A <input type="checkbox"/>
If Partial or Not Met, List Finding(s): <input type="checkbox"/> a. No evidence of program participation by Governing Board. <input type="checkbox"/> b. _____		Regulations 45 CFR 1304.50 (d)(1)(i), (iii), (iv), (v), (vii); 1304.50(f) 42 USC 9837(c)(1)(B)(i – iv) & (vi)		Guidance Review meeting agenda and minutes for evidence of board participation in decision making in program administration and operation. Review by-laws.	
Concerns: <input type="checkbox"/> Response Required		Recommendations: <input type="checkbox"/> Response Required		Strengths:	
5. The Governing Board approves financial management, accounting and reporting policies and ensures compliance with laws and regulations related to financial statements.		Met <input type="checkbox"/>	Partial <input type="checkbox"/>	Not Met <input type="checkbox"/>	N/A <input type="checkbox"/>
If Partial or Not Met, List Finding(s): <input type="checkbox"/> a. No evidence of Governing Board approval in fiscal policies and compliance with regulations. <input type="checkbox"/> b. _____		Regulations 45 CFR 1304.50(d)(1)(i)		Guidance Review meeting agenda or minutes for evidence of board approval of fiscal policies and compliance.	
Concerns: <input type="checkbox"/> Response Required		Recommendations: <input type="checkbox"/> Response Required		Strengths:	
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.		Met <input type="checkbox"/>	Partial <input type="checkbox"/>	Not Met <input type="checkbox"/>	N/A <input type="checkbox"/>
If Partial or Not Met, List Finding(s): <input type="checkbox"/> a. No evidence of board approval. <input type="checkbox"/> b. Board approval was not within the appropriate timelines (based upon		Regulations 45 CFR 1304.50(d)(1)(viii)		Guidance Use Appendix A+ document for guidance on board approvals. List missing items from Appendix A+ in “Comments.”	

5.1.A Governing Board

	Appendix A+) <input type="checkbox"/> c. _____		Review Minutes (only go back 12 months).								
	Concerns: <input type="checkbox"/> Response Required	Recommendations: <input type="checkbox"/> Response Required	Strengths:								
7.	Governing Board members regularly receive and use the following information or reports about program planning, policies and agency operations: <ul style="list-style-type: none"> • Monthly financial statements, including credit card expenditures • Monthly program information summaries • Monthly 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 USDA programs • Annual financial audit • Annual Self- Assessment, including findings related to such assessment • Annual 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 of the Administration for Children and Families (ACF), as applicable • Annual Program Information Reports 		<table border="0"> <tr> <td style="text-align: center;">Met</td> <td style="text-align: center;">Partial</td> <td style="text-align: center;">Not Met</td> <td style="text-align: center;">N/A</td> </tr> <tr> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> </tr> </table>	Met	Partial	Not Met	N/A	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Met	Partial	Not Met	N/A								
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>								
	If Partial or Not Met, List Finding(s): <input type="checkbox"/> a. Governing Board is not receiving appropriate reports on a regular basis. <input type="checkbox"/> b. Reports are not provided in a timely manner for members to review. <input type="checkbox"/> c. _____	Regulations 45 CFR 1304.51(d), 1304.52(k)(2-4), 1306.23(a) 42 USC 9837(d)(2)(A-I)	Guidance Review meeting agenda and minutes to determine that reports are provided and received by members.								
	Concerns: <input type="checkbox"/> Response Required	Recommendations: <input type="checkbox"/> Response Required	Strengths:								

(End of Section 5.1.A Governing Board)

5.1.B Policy Council, Policy Committee, Parent Advisory Committee

5.1 – Governance			
5.1.B Policy Council, Policy Committee, Parent Advisory Committee (PAC)			
Compliance Requirement		Compliance	
1.	The program has established a Policy Council, Policy Committee (delegate agency), and Parent Advisory Committee (PAC) as early in the year as possible.	Met <input type="checkbox"/>	Partial <input type="checkbox"/>
<p>If Partial or Not Met, List Finding(s):</p> <p><input type="checkbox"/> a. The program has not established a Policy Council or Policy Committee (delegate agency) in a timely manner.</p> <p><input type="checkbox"/> b. _____</p>		<p>Regulations</p> <p>45 CFR 1304.50(a)(3)</p>	<p>Guidance</p> <p>Review minutes of Policy Council/Policy Committee/PAC meetings.</p>
<p>Concerns:</p> <p><input type="checkbox"/> Response Required</p>		<p>Recommendations:</p> <p><input type="checkbox"/> Response Required</p>	<p>Strengths:</p>
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.	Met <input type="checkbox"/>	Partial <input type="checkbox"/>
<p>If Partial or Not Met, List Finding(s):</p> <p><input type="checkbox"/> a. There is no parent majority (at least 51%) in the Policy Council, Policy Committee, or Parent Advisory Committee (PAC).</p> <p><input type="checkbox"/> b. Parent majority is not comprised of parents of currently enrolled children.</p> <p><input type="checkbox"/> c. _____</p>		<p>Regulations</p> <p>45 CFR 1304.50(b)(1), (2), (7) 42 USC 9837(c)(1)(B)(i-vi)</p>	<p>Guidance</p> <p>Review current roster of Policy Council/Policy Committee/PAC.</p> <p>Parents who comprise the majority should be parents or guardians of children who are currently enrolled in the program.</p>
<p>Concerns:</p> <p><input type="checkbox"/> Response Required</p>		<p>Recommendations:</p> <p><input type="checkbox"/> Response Required</p>	<p>Strengths:</p>

5.1.B Policy Council, Policy Committee, Parent Advisory Committee

3.		Conflict of Interest - 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.		Met <input type="checkbox"/>	Partial <input type="checkbox"/>	Not Met <input type="checkbox"/>	N/A <input type="checkbox"/>
If Partial or Not Met , List Finding(s): <input type="checkbox"/> a. Program has no policies and procedures in place regarding Conflict of Interest for the Policy Council, Policy Committee, or PAC. <input type="checkbox"/> b. Policy Council, Policy Committee, or PAC members do not have signed Conflict of Interest document. <input type="checkbox"/> c. _____		Regulations 45 CFR 1304.50 (d)(1)(ix); 1304.50(b)(6), 1301.31 42 USC 9837(c)(1)(E)(iv), (x)(aa), (c)(2)(C)(i-ii), (c)(3)(B)		Guidance Review appropriate board by-laws and program policies and procedures regarding Conflict of Interest for board members. Statement of Economic Interest (CA Form 700) is used countywide to meet this requirement. Members should have signed Conflict of Interest upon assuming and leaving office.			
Concerns: <input type="checkbox"/> Response Required		Recommendations: <input type="checkbox"/> Response Required		Strengths:			
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.		Met <input type="checkbox"/>	Partial <input type="checkbox"/>	Not Met <input type="checkbox"/>	N/A <input type="checkbox"/>
If Partial or Not Met , List Finding(s): <input type="checkbox"/> a. There is no evidence of members receiving training or technical assistance. <input type="checkbox"/> b. _____		Regulations 45 CFR 1304.52(k)(2-4), 1306.23(a) 42 USC 9837(d)(3)		Guidance Review meeting minutes, agenda and other related documents for evidence of training related to board responsibilities.			
Concerns: <input type="checkbox"/> Response Required		Recommendations: <input type="checkbox"/> Response Required		Strengths:			

5.1.B Policy Council, Policy Committee, Parent Advisory Committee

		Met	Partial	Not Met	N/A
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.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<p>If Partial or Not Met, List Finding(s):</p> <p><input type="checkbox"/> a. There is no documentation of proper reimbursement procedures.</p> <p><input type="checkbox"/> b. _____</p>		<p>Regulations</p> <p>45 CFR 1304.50(f), (g)(2)</p>		<p>Guidance</p> <p>Review reimbursement documents.</p>	
<p>Concerns:</p> <p><input type="checkbox"/> Response Required</p>		<p>Recommendations:</p> <p><input type="checkbox"/> Response Required</p>		<p>Strengths:</p>	
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.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<p>If Partial or Not Met, List Finding(s):</p> <p><input type="checkbox"/> a. No evidence of Policy Council, Policy Committee, or PAC approval.</p> <p><input type="checkbox"/> b. Policy Council, Policy Committee, or PAC approval was not within the appropriate timelines (based upon Appendix A+)</p> <p><input type="checkbox"/> c. _____</p>		<p>Regulations</p> <p>45 CFR 1304.50(d)(1)(viii)</p>		<p>Guidance</p> <p>Use Appendix A+ document for guidance on Policy Council, Policy Committee and PAC approvals. List missing items from Appendix A+ in "Comments."</p> <p>Review Minutes (only go back 12 months).</p>	
<p>Concerns:</p> <p><input type="checkbox"/> Response Required</p>		<p>Recommendations:</p> <p><input type="checkbox"/> Response Required</p>		<p>Strengths:</p>	
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.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<p>If Partial or Not Met, List Finding(s):</p> <p><input type="checkbox"/> a. There is no evidence that parents participate in program committees such as budget and planning, education program area, etc.</p>		<p>Regulations</p> <p>45 CFR 1304.50(d)(1)(i-xi)</p>		<p>Guidance</p> <p>Use Appendix A+ document for guidance on board approvals.</p>	

5.1.B Policy Council, Policy Committee, Parent Advisory Committee

	<input type="checkbox"/> b. There are no functioning parent committees that allow for parent participation. <input type="checkbox"/> c. _____										
	Concerns: <input type="checkbox"/> Response Required	Recommendations: <input type="checkbox"/> Response Required	Strengths:								
<p>8.</p>	<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> <ul style="list-style-type: none"> • Monthly financial statements, including credit card expenditures • Monthly program information summaries • Monthly 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 USDA programs • Annual financial audit • Annual Self-Assessment, including findings related to such assessment • Annual 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 of the US Department of Health and Human Services, as applicable • Annual Program Information Reports 		<table border="0"> <tr> <td style="text-align: center;">Met</td> <td style="text-align: center;">Partial</td> <td style="text-align: center;">Not Met</td> <td style="text-align: center;">N/A</td> </tr> <tr> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> </tr> </table>	Met	Partial	Not Met	N/A	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Met	Partial	Not Met	N/A								
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>								
	<p>If Partial or Not Met, List Finding(s):</p> <input type="checkbox"/> a. Policy Council, Policy Committee, and PAC members are not receiving appropriate reports on a regular basis. <input type="checkbox"/> b. Reports are not provided in a timely manner for members to review. <input type="checkbox"/> c. _____	<p style="text-align: center;">Regulations</p> <p>45 CFR 1304.51(d), 1304.52(k)(2-4), 1306.23(a) 42 USC 9837(d)(2)(A-I)</p>	<p style="text-align: center;">Guidance</p> <p>Review meeting agenda and minutes to determine that reports are provided and received by members.</p>								
	Concerns: <input type="checkbox"/> Response Required	Recommendations: <input type="checkbox"/> Response Required	Strengths:								

5.1.B Policy Council, Policy Committee, Parent Advisory Committee

		Met	Partial	Not Met	N/A
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.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<p>If Partial or Not Met, List Finding(s):</p> <p><input type="checkbox"/> a. There is no established 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.</p> <p><input type="checkbox"/> b. _____</p>		<p>Regulations</p> <p>45 CFR 1350.51(d), (f-h)</p>		<p>Guidance</p> <p>Use PDM Governance Recordkeeping Checklist.</p> <p>Review copies of Policy Committee meeting agenda, minutes, sign-in sheets, roster of members and other relevant documents such as meeting minutes of Governing Board.</p> <p>Observe a Policy Council Meeting.</p>	
<p>Concerns:</p> <p><input type="checkbox"/> Response Required</p>		<p>Recommendations:</p> <p><input type="checkbox"/> Response Required</p>		<p>Strengths:</p>	

(End of Section 5.1.B Policy Council, Policy Committee, Parent Advisory Committee))

5.1 – Governance			
5.1.C Parent Involvement			
Compliance Requirement			Compliance
1.	An overview of the Head Start/Early Head Start Programs is found in a Parent Handbook or similar resource.		Met <input type="checkbox"/> Partial <input type="checkbox"/> Not Met <input type="checkbox"/> N/A <input type="checkbox"/>
	If Partial or Not Met, List Finding(s): <input type="checkbox"/> a. The parent handbook or similar resource is outdated or does not contain an overview of the Head Start/Early Head Start Program. <input type="checkbox"/> b. The parent handbook or similar resource is not available to parents. <input type="checkbox"/> c. _____	Regulations 45 CFR 1304.50	Guidance Review available program information at the centers.
	Concerns: <input type="checkbox"/> Response Required	Recommendations: <input type="checkbox"/> Response Required	Strengths:
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.).		Met <input type="checkbox"/> Partial <input type="checkbox"/> Not Met <input type="checkbox"/> N/A <input type="checkbox"/>
	If Partial or Not Met, List Finding(s): <input type="checkbox"/> a. It is not established that parents at center level are informed through meetings or information about parent involvement in decision making. <input type="checkbox"/> b. There is no evidence for parent recruitment for Policy Council/Policy Committee and Parent Advisory Committee (PAC). <input type="checkbox"/> c. _____	Regulations 45 CFR 1304.50(a)(1), (d), (e)	Guidance Also referenced in 2.2.A.7 Interview parents at center about their involvement in the program.
	Concerns: <input type="checkbox"/> Response Required	Recommendations: <input type="checkbox"/> Response Required	Strengths:

(End of Section 5.1.C Parent Involvement)

5.2.A Organizational Structure and Staffing

5.2 – Human Resources			
5.2.A Organizational Structure and Staffing			
Compliance Requirement		Compliance	
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.	Met <input type="checkbox"/>	Partial <input type="checkbox"/>
<p>If Partial or Not Met, List Finding(s):</p> <p><input type="checkbox"/> a. Organizational structure does not adequately and effectively support program functions and accomplishment of program goals and objectives.</p> <p><input type="checkbox"/> b. There are many extended vacancies and no alternative plan to support program functions and accomplishment of program goals and objectives.</p> <p><input type="checkbox"/> c. _____</p>		<p>Regulations</p> <p>45 CFR 1304.52(b)(1) & (2)</p>	<p>Guidance</p> <p>Review organizational chart and interview Director and administration staff on program oversight and supervision.</p>
<p>Concerns:</p> <p><input type="checkbox"/> Response Required</p>		<p>Recommendations:</p> <p><input type="checkbox"/> Response Required</p>	<p>Strengths:</p>
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.	Met <input type="checkbox"/>	Partial <input type="checkbox"/>
<p>If Partial or Not Met, List Finding(s):</p> <p><input type="checkbox"/> a. There is no established structure with identified responsible staff for the provision of services to children and families in the area of Education and Child Development Services.</p> <p><input type="checkbox"/> b. There is no established structure with identified responsible staff for the provision of services to children and families in the area of Family, Parent and Community Engagement.</p> <p><input type="checkbox"/> c. There is no established structure with identified responsible staff for the provision of services to children and families in the area of Program Design and Management.</p> <p><input type="checkbox"/> d. _____</p>		<p>Regulations</p> <p>45 CFR 1304.52(a)(2)(i-iii)</p>	<p>Guidance</p> <p>Review organizational chart and interview Director and administration/management staff on program oversight and supervision.</p>

5.2.A Organizational Structure and Staffing

Concerns: <input type="checkbox"/> Response Required		Recommendations: <input type="checkbox"/> Response Required		Strengths:	
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.		Met <input type="checkbox"/>	Partial <input type="checkbox"/>	Not Met <input type="checkbox"/>	N/A <input type="checkbox"/>
If Partial or Not Met, List Finding(s): <input type="checkbox"/> a. Not all staff meet the required qualifications, knowledge, skills, and experience indicated by Head Start Performance Standards. <input type="checkbox"/> b. Not all consultants meet the required qualifications, knowledge, skills, and experience indicated by Head Start Performance Standards. <input type="checkbox"/> c. _____		Regulations 45 CFR 1304.52 (a)(1), (b)(1-2) 22 CCR 101215.1, 101216.1, 101216.2, 101415, 101415.1, 101416.2		Guidance Review job specifications and certifications and refer to Head Start Performance Standards to verify that specific requirements are met. Some delegate agencies may require additional requirements for hiring of staff and consultants but must not be in conflict with federal and local regulations.	
Concerns: <input type="checkbox"/> Response Required		Recommendations: <input type="checkbox"/> Response Required		Strengths:	
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.		Met <input type="checkbox"/>	Partial <input type="checkbox"/>	Not Met <input type="checkbox"/>	N/A <input type="checkbox"/>
If Partial or Not Met, List Finding(s): <input type="checkbox"/> a. Head Start/Early Head Start Director is not qualified for the position. <input type="checkbox"/> b. _____		Regulations 45 CFR 1304.52(c) 22 CCR 101215.1, 101415		Guidance Review job specifications, transcripts, credentials and biography of Head Start/Early Head Start Director. Interview Head Start/Early Head Start Director to determine qualifications.	
Concerns: <input type="checkbox"/> Response Required		Recommendations: <input type="checkbox"/> Response Required		Strengths:	

5.2.A Organizational Structure and Staffing

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)	Met <input type="checkbox"/>	Partial <input type="checkbox"/>	Not Met <input type="checkbox"/>	N/A <input type="checkbox"/>
<p>If Partial or Not Met, List Finding(s):</p> <p><input type="checkbox"/> a. No evidence of Policy Council or Policy Committee approval prior to hiring of staff.</p> <p><input type="checkbox"/> b. No evidence of Policy Council or Policy Committee approval prior to terminating staff.</p> <p><input type="checkbox"/> c. _____</p>		<p style="text-align: center;">Regulations</p> <p>45 CFR 1304.50(d)(1)(x); 1304.50(d)(i)(xi)</p>		<p style="text-align: center;">Guidance</p> <p>Review relevant documents (e.g. Policy Council or Policy Committee meeting agenda and minutes) to determine appropriate approvals.</p> <p>Some agencies may have additional hiring procedures but must not be in conflict with this regulation.</p> <p>*N/A permitted for people hired/terminated prior to this requirement.</p>	
Concerns:		Recommendations:		Strengths:	
<input type="checkbox"/> Response Required		<input type="checkbox"/> Response Required			
6.	Education Staff Qualifications - Teaching staff have the required education, training and experience in accordance with the HS Act 2007.	Met <input type="checkbox"/>	Partial <input type="checkbox"/>	Not Met <input type="checkbox"/>	N/A <input type="checkbox"/>
<ul style="list-style-type: none"> • Center-based Head Start • Home-based Head Start • Center-based Early Head Start • Home-based Early Head Start 		<p style="text-align: center;">Regulations</p> <p>45 CFR 1304.52(d)(1) 42 USC 9842a (a)(1-3)</p>		<p style="text-align: center;">Guidance</p> <p>Review licensing files of Education staff assigned in various program options (Center-based and Home-based options).</p>	
Concerns:		Recommendations:		Strengths:	
<input type="checkbox"/> Response Required		<input type="checkbox"/> Response Required			

(End of Section 5.2.A Organizational Structure and Staffing)

5.2.B Developing/Implementing Personnel Policies

5.2 – Human Resources					
5.2.B Developing/Implementing Personnel Policies					
Compliance Requirement		Compliance			
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.	Met <input type="checkbox"/>	Partial <input type="checkbox"/>	Not Met <input type="checkbox"/>	N/A <input type="checkbox"/>
If Partial or Not Met, List Finding(s): <input type="checkbox"/> a. There are no written personnel policies for staff including Standards of Conduct that contain provisions for appropriate penalties when violations occur. <input type="checkbox"/> b. Written personnel policies and procedures are not followed and/or implemented. <input type="checkbox"/> c. There is no evidence of Governing Board approval of personnel policies and procedures. <input type="checkbox"/> d. There is no evidence of Policy Committee approval of personnel policies and procedures. <input type="checkbox"/> e. _____		Regulations 45 CFR 1301.31, 1304.50 (d)(1)(ix)	Guidance Review agency personnel policies and procedures if they contain information on Standards of Conduct (or Code of Conduct) for employees. Interview personnel staff, supervisors and staff regarding any training related to personnel policies and procedures and some examples of cases on how personnel issues involving violations are addressed in the agency. Review relevant documents such as written policies and procedures.		
Concerns:		Recommendations:		Strengths:	
<input type="checkbox"/> Response Required		<input type="checkbox"/> Response Required			
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).	Met <input type="checkbox"/>	Partial <input type="checkbox"/>	Not Met <input type="checkbox"/>	N/A <input type="checkbox"/>
If Partial or Not Met, List Finding(s): <input type="checkbox"/> a. Initial health examination requirements for employees are not met. <input type="checkbox"/> b. Periodic or regular health examinations including Tuberculosis screenings based on schedule issued by state or local regulations are not met. <input type="checkbox"/> c. _____		Regulations 45 CFR1304.52(j)(1)	Guidance Prior to delegate visit, notify delegate ahead of time to obtain employee documents needed. Review a sample of employee licensing files and check if health requirements are met.		

5.2.B Developing/Implementing Personnel Policies

Concerns: <input type="checkbox"/> Response Required		Recommendations: <input type="checkbox"/> Response Required		Strengths:			
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 				Met <input type="checkbox"/>	Partial <input type="checkbox"/>	Not Met <input type="checkbox"/>	N/A <input type="checkbox"/>
If Partial or Not Met, List Finding(s): <input type="checkbox"/> a. Signed Declaration of Criminal Record by employee is not on file. <input type="checkbox"/> b. Fingerprint clearance date of employee is AFTER not prior to hiring date. <input type="checkbox"/> c. _____		Regulations 45 CFR 1301.31(b)(1)(iii) 22 CCR 101170, 101170.2		Guidance Review a sample of employee licensing files and check if criminal record reporting requirements are met, including fingerprint clearance prior to hiring date. The grantee and delegate must demonstrate that a state or national criminal record check is conducted for all employees and that an employee is not considered permanent until the check has been completed.			
Concerns: <input type="checkbox"/> Response Required		Recommendations: <input type="checkbox"/> Response Required		Strengths:			
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) • 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 				Met <input type="checkbox"/>	Partial <input type="checkbox"/>	Not Met <input type="checkbox"/>	N/A <input type="checkbox"/>

5.2.B Developing/Implementing Personnel Policies

<ul style="list-style-type: none"> • Transcripts • Teaching Credential 				
<p>If Partial or Not Met, List Finding(s):</p> <p><input type="checkbox"/> a. Not all teaching staff child care licensing files are complete.</p> <p><input type="checkbox"/> b. Not all teaching staff child care licensing files are available at the center where staff is assigned.</p> <p><input type="checkbox"/> c. Some staff licensing files contain inappropriate documents (i.e., employee evaluations, medical documents other than LIC 503, Medical Placement and TB Clearance, etc.)</p> <p><input type="checkbox"/> d. _____</p>	<p>Regulations</p> <p>45 CFR 1304.52(g)(1)</p> <p>22 CCR 101217</p>	<p>Guidance</p> <p>Review teaching staff licensing files and check if all requirements are current and complete.</p> <p>Note: “must be available” means the documents must be kept at the child care center or able to be sent to the child care center for review if kept at a central administrative office.</p>		
<p>Concerns:</p> <p><input type="checkbox"/> Response Required</p>	<p>Recommendations:</p> <p><input type="checkbox"/> Response Required</p>	<p>Strengths:</p>		
<p>5. Ongoing Training - 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.</p>	<p>Met</p> <p><input type="checkbox"/></p>	<p>Partial</p> <p><input type="checkbox"/></p>	<p>Not Met</p> <p><input type="checkbox"/></p>	<p>N/A</p> <p><input type="checkbox"/></p>
<p>If Partial or Not Met, List Finding(s):</p> <p><input type="checkbox"/> a. There is no evidence of staff orientation related to Head Start/Early Head Start job responsibilities.</p> <p><input type="checkbox"/> b. There is no evidence of ongoing training and development related to relevant job duties and responsibilities to increase competencies.</p> <p><input type="checkbox"/> c. Teaching staff do not meet the minimum of 15 hours of professional development within the year.</p> <p><input type="checkbox"/> d. _____</p>	<p>Regulations</p> <p>45 CFR 1304.52(k)(1-3)</p> <p>42 USC 9843a (a) (5)</p>	<p>Guidance</p> <p>Review a sample of licensing file or relevant documents (e.g. training plan, sign-in sheets and training minutes, etc.) to determine if staff received orientation related to their job duties.</p> <p>Review training documents to review types of training provided to staff and their relevance to job duties performed.</p>		
<p>Concerns:</p> <p><input type="checkbox"/> Response Required</p>	<p>Recommendations:</p> <p><input type="checkbox"/> Response Required</p>	<p>Strengths:</p>		

5.2.B Developing/Implementing Personnel Policies

		Met	Partial	Not Met	N/A
6.	Annual Performance Review - Program conducts annual performance reviews of all staff and results are used to plan for training and staff development.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<p>If Partial or Not Met, List Finding(s):</p> <p><input type="checkbox"/> a. Annual performance review (formal personnel evaluation or informal evaluation for purposes of professional development) of all staff is not completed.</p> <p><input type="checkbox"/> b. _____</p>	<p>Regulations</p> <p>45 CFR 1304.52(i) 42 USC 9843a (a)(5)</p>		<p>Guidance</p> <p>Review a sample of employee licensing files to check for current performance review.</p> <p>Delegates: any system that insures the program plans for T/TA and staff development such as: CLASS, ECERS, ITERS, IDP, etc. (may not be annual).</p> <p>Note: Full-time staff= those that are funded 51% or more.</p>	
	<p>Concerns:</p> <p><input type="checkbox"/> Response Required</p>	<p>Recommendations:</p> <p><input type="checkbox"/> Response Required</p>		<p>Strengths:</p>	
7.	Professional Development Plan - 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.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<p>If Partial or Not Met, List Finding(s):</p> <p><input type="checkbox"/> a. Not all staff have a current professional development plan.</p> <p><input type="checkbox"/> b. _____</p>	<p>Regulations</p> <p>45 CFR 1304.52(i) 42 USC 9843a (a)(5)</p>		<p>Guidance</p> <p>Review a sample of employee files and check if each employee has a professional development plan. For SETA, document is called Individual Staff Development Plan (ISDP).</p> <p>Note: Full-time staff= those that are funded 51% or more.</p>	
	<p>Concerns:</p> <p><input type="checkbox"/> Response Required</p>	<p>Recommendations:</p> <p><input type="checkbox"/> Response Required</p>		<p>Strengths:</p>	

5.2.B Developing/Implementing Personnel Policies

		Met	Partial	Not Met	N/A
8.	Annual Child Abuse and Neglect Training - 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.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<p>If Partial or Not Met, List Finding(s):</p> <p><input type="checkbox"/> a. Not all staff receive Child Abuse and Neglect Training for mandated reporters.</p> <p><input type="checkbox"/> b. Child Abuse and Neglect Training is not annual.</p> <p><input type="checkbox"/> c. _____</p>	<p>Regulations</p> <p>45 CFR 1304.52(k)(3)(i) & (ii)</p>		<p>Guidance</p> <p>Review evidence of training (sign-in sheets, agenda and minutes) related to Child Abuse and Neglect Reporting.</p>	
	<p>Concerns:</p> <p><input type="checkbox"/> Response Required</p>	<p>Recommendations:</p> <p><input type="checkbox"/> Response Required</p>		<p>Strengths:</p>	

(End of Section 5.2.B Developing/Implementing Personnel Policies)

5.3 – Planning/On-Going Monitoring/Communication/Contracts			
5.3.A Planning			
Compliance Requirement		Compliance	
1.	The program has a written planning procedure that has been approved by the governing body.	Met <input type="checkbox"/>	Partial <input type="checkbox"/>
	<p>If Partial or Not Met, List Finding(s):</p> <p><input type="checkbox"/> a. There is no written planning procedure describing how program goals and objectives are developed.</p> <p><input type="checkbox"/> b. No evidence that planning procedure has governing board approval.</p> <p><input type="checkbox"/> c. Approval date by governing board does not follow HSPS guidelines.</p> <p><input type="checkbox"/> d. _____</p>	<p>Regulations</p> <p>45 CFR 1304.51(i)(2)</p>	<p>Guidance</p> <p>See Appendix A+ document on guidelines regarding board approval guidelines.</p> <p>Sacramento County has a planning process to develop 3-year Program Goals. Objectives under each program goal are developed by and specific to individual programs (SOP and Delegates).</p> <p>Interview staff who participate in the planning process to describe procedures used by program or agency.</p> <p>Program planning process should include information from Program Information Report (PIR), Self-Assessment, Community Assessment, ongoing monitoring results and parent input.</p>
	<p>Concerns:</p> <p><input type="checkbox"/> Response Required</p>	<p>Recommendations:</p> <p><input type="checkbox"/> Response Required</p>	<p>Strengths:</p>
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.	Met <input type="checkbox"/>	Partial <input type="checkbox"/>
	<p>If Partial or Not Met, List Finding(s):</p> <p><input type="checkbox"/> a. There are no written plans (i.e., Program Area Plan or Content Area Plans) describing how above services are administered and implemented.</p> <p><input type="checkbox"/> b. Written plans do not describe all areas of early childhood development</p>	<p>Regulations</p> <p>45 CFR 1304.50(d)(1)(iv); 1304.50(g)(1); 1304.51(a)(1)(i-iii)</p>	<p>Guidance</p> <p>Obtain copies of organizational chart and written services plan prior to onsite monitoring review.</p> <p>Interview various staff responsible for</p>

5.3.A Planning

	and health/mental health, family and community partnerships, and program design and management. <input type="checkbox"/> c. _____		administration and implementation of services.		
	Concerns: <input type="checkbox"/> Response Required	Recommendations: <input type="checkbox"/> Response Required	Strengths:		
3.	The grantee and delegate Written Service Plans (i.e. Program Area Plan or Content Area Plans) are reviewed and updated annually.	Met <input type="checkbox"/>	Partial <input type="checkbox"/>	Not Met <input type="checkbox"/>	N/A <input type="checkbox"/>
	If Partial or Not Met, List Finding(s): <input type="checkbox"/> a. Written Service Plans are not current within the year. <input type="checkbox"/> b. _____	Regulations 45 CFR 1304.51(a)(2)	Guidance Refer to Appendix A+ document on guidelines regarding review and approval process schedule. Review evidence (e.g. meeting minutes, etc.) that program reviewed plans within the year.		
	Concerns: <input type="checkbox"/> Response Required	Recommendations: <input type="checkbox"/> Response Required	Strengths:		
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.	Met <input type="checkbox"/>	Partial <input type="checkbox"/>	Not Met <input type="checkbox"/>	N/A <input type="checkbox"/>
	If Partial or Not Met, List Finding(s): <input type="checkbox"/> a. There is no evidence that Written Service Plans (i.e., Program Area Plan or Content Area Plans) are reviewed and approved within the current year by the Policy Council (grantee) or Policy Committee (delegate). <input type="checkbox"/> b. _____	Regulations 45 CFR 1304.51(a)(2)	Guidance Refer to Appendix A+ document on guidelines regarding review and approval process schedule.		

5.3.A Planning

Concerns: <input type="checkbox"/> Response Required		Recommendations: <input type="checkbox"/> Response Required		Strengths:	
5. The grantee and delegate's planning process uses and incorporates information from the Community Assessment.				Met <input type="checkbox"/>	Partial <input type="checkbox"/>
If Partial or Not Met, List Finding(s): <input type="checkbox"/> a. There is no completed current Community Assessment. <input type="checkbox"/> b. Information from Community Assessment is not used in the development of program goals and objectives. <input type="checkbox"/> c. _____				Regulations 45 CFR 1304.51(a)	
				Guidance Sacramento County Head Start (SOP and Delegates) employs a countywide Community Assessment. Review Community Assessment, 3-Year Goals and Objectives and Program Area Plans to assess and evaluate how programs incorporate community information in program planning. Interview: ask for grant narrative.	
Concerns: <input type="checkbox"/> Response Required		Recommendations: <input type="checkbox"/> Response Required		Strengths:	

(End of Section 5.3.A Planning)

5.3.B On-going Monitoring

5.3 – Planning/On-Going Monitoring/Communication/Contracts					
5.3.B On-going Monitoring					
Compliance Requirement		Compliance			
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.	Met <input type="checkbox"/>	Partial <input type="checkbox"/>	Not Met <input type="checkbox"/>	N/A <input type="checkbox"/>
<p>If Partial or Not Met, List Finding(s):</p> <p><input type="checkbox"/> a. Program has no written procedures for ongoing monitoring of program operations and follow-up for corrective action and continuing program improvement.</p> <p><input type="checkbox"/> b. Program procedures for ongoing monitoring system is not followed and implemented.</p> <p><input type="checkbox"/> c. There is no follow-up or corrective action implemented to address deficiencies.</p> <p><input type="checkbox"/> d. _____</p>		<p>Regulations</p> <p>45 CFR 1304.51(i)(2)</p>		<p>Guidance</p> <p>Review relevant documents (e.g. Program Area Plan or Content Area Plan; File Monitoring Reports; Child Plus, Enrollment Reports) to assess if ongoing monitoring and corrective action procedures are implemented.</p> <p>Interview staff to validate information on documents reviewed.</p>	
<p>Concerns:</p> <p><input type="checkbox"/> Response Required</p>		<p>Recommendations:</p> <p><input type="checkbox"/> Response Required</p>		<p>Strengths:</p>	
2.	Program conducts an annual self-assessment.	Met <input type="checkbox"/>	Partial <input type="checkbox"/>	Not Met <input type="checkbox"/>	N/A <input type="checkbox"/>
<p>If Partial or Not Met, List Finding(s):</p> <p><input type="checkbox"/> a. There is no annual self-assessment completed.</p> <p><input type="checkbox"/> b. _____</p>		<p>Regulations</p> <p>45 CFR 1304.51(i)(1)</p>		<p>Guidance</p> <p>Review copy of program self-assessment.</p>	
<p>Concerns:</p> <p><input type="checkbox"/> Response Required</p>		<p>Recommendations:</p> <p><input type="checkbox"/> Response Required</p>		<p>Strengths:</p>	

5.3.B On-going Monitoring

		Met	Partial	Not Met	N/A
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.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<p>If Partial or Not Met, List Finding(s):</p> <p><input type="checkbox"/> a. There is no evidence that delegate governing board and policy committee are informed of ongoing monitoring results including deficiencies.</p> <p><input type="checkbox"/> b. There is no evidence of a plan to assist in addressing problems identified in the monitoring review.</p> <p><input type="checkbox"/> c. _____</p>		<p>Regulations</p> <p>45 CFR 1304.51(i)(2)</p>		<p>Guidance</p> <p>Review meeting minutes of Governing Board and Policy Committee.</p>	
<p>Concerns:</p> <p><input type="checkbox"/> Response Required</p>		<p>Recommendations:</p> <p><input type="checkbox"/> Response Required</p>		<p>Strengths:</p>	

(End of Section 5.3.B On-Going Monitoring)

5.3.C Communication

5.3 – Planning/On-Going Monitoring/Communication/Contracts					
5.3.C Communication					
Compliance Requirement		Compliance			
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.	Met <input type="checkbox"/>	Partial <input type="checkbox"/>	Not Met <input type="checkbox"/>	N/A <input type="checkbox"/>
If Partial or Not Met, List Finding(s): <input type="checkbox"/> a. There is no established process for regular communication with parents. <input type="checkbox"/> b. Culturally and linguistically-appropriate communication methods (e.g. use of translated materials or interpreter, individual or group presentations, etc.) are not utilized by the program. <input type="checkbox"/> c. _____		Regulations 45 CFR 1304.51(c)(1) & (2)	Guidance Review documents (policies and procedures, letters, parent handbook, etc.) for evidence of effective communication system with parents.		
Concerns: <input type="checkbox"/> Response Required		Recommendations: <input type="checkbox"/> Response Required	Strengths:		
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.	Met <input type="checkbox"/>	Partial <input type="checkbox"/>	Not Met <input type="checkbox"/>	N/A <input type="checkbox"/>
If Partial or Not Met, List Finding(s): <input type="checkbox"/> a. There is no established communication procedure on how a program reports to parents, governing board and parent policy boards (Policy Council, Parent Committees, and Center Committees) and the general public in a timely manner. <input type="checkbox"/> b. There is no evidence that timely and accurate information was provided to parents, governing bodies, policy groups, staff and the general community. <input type="checkbox"/> c. _____		Regulations 45 CFR 1304.51(b) & (f)	Guidance Review relevant documents (e.g. By-Laws, Program Area Plans, Policies and Procedures) to assess communication system with parents, governing bodies and various policy groups. Interview representatives from various groups on how they are informed of program operations and changes.		
Concerns: <input type="checkbox"/> Response Required		Recommendations: <input type="checkbox"/> Response Required	Strengths:		

5.3.C Communication

		Met	Partial	Not Met	N/A
3.	There is an annual public report published by the grantee containing all the required elements from the Head Start Act 2007.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<p>If Partial or Not Met, List Finding(s):</p> <p><input type="checkbox"/> a. There is no annual public report.</p> <p><input type="checkbox"/> b. Not all required elements from the Head Start Act are in the annual public report.</p> <p><input type="checkbox"/> c. _____</p>		<p>Regulations</p> <p>42 USC 9839(a)(2)(A-H)</p>		<p>Guidance</p> <p>Review Grantee's annual public report.</p> <p>Required elements:</p> <ul style="list-style-type: none"> • Total amount of public and private funds received and the amount of each source. • An explanation of budgetary expenditures and proposed budget for the fiscal year. • The total number of children and families serviced. • The average monthly enrollment (as a percentage of funded enrollment). • The percentage of eligible children served. • The results of the most recent review by the Secretary and the financial audit. • The percentage of enrolled children that received medical and dental exams. • Information about parent involvement activities. • The agency's efforts to prepare children for kindergarten. • Any other information required by the Secretary. 	
<p>Concerns:</p> <p><input type="checkbox"/> Response Required</p>		<p>Recommendations:</p> <p><input type="checkbox"/> Response Required</p>		<p>Strengths:</p>	

(End of Section 5.3.C Communication)

5.3.D Delegate Agency Contractual Agreements

5.3 – Planning/On-Going Monitoring/Communication/Contracts			
5.3.D Delegate Agency Contractual Agreements			
Compliance Requirement		Compliance	
1.	Contract with SETA is signed and submitted within 30 days of start of funding year.	Met <input type="checkbox"/>	Partial <input type="checkbox"/>
	<p>If Partial or Not Met, List Finding(s):</p> <p><input type="checkbox"/> a. Contract was not signed within required time period.</p> <p><input type="checkbox"/> b. _____</p>	<p>Regulations</p> <p>Condition of the Federal Notice of Award (Attachment 1).</p>	<p>Guidance</p> <p>Check with SETA program officer/ administration for copies of Delegate and Partner contracts and signature dates. Check with SETA program officer, administration, and/or contracts. Only needs to be done yearly – by August 31st of each year.</p>
	<p>Concerns:</p> <p><input type="checkbox"/> Response Required</p>	<p>Recommendations:</p> <p><input type="checkbox"/> Response Required</p>	<p>Strengths:</p>
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 	Met <input type="checkbox"/>	Partial <input type="checkbox"/>
	<p>If Partial or Not Met, List Finding(s):</p> <p><input type="checkbox"/> a. CLASS scores in one or more domains do not meet minimum threshold.</p> <p><input type="checkbox"/> b. _____</p>	<p>Regulations</p> <p>45 CFR 1307.3(c)(1)</p>	<p>Guidance</p> <p>Review most recent CLASS scores.</p>
	<p>Concerns:</p> <p><input type="checkbox"/> Response Required</p>	<p>Recommendations:</p> <p><input type="checkbox"/> Response Required</p>	<p>Strengths:</p>

5.3.D Delegate Agency Contractual Agreements

		Met	Partial	Not Met	N/A
3.	Any site license revocation has been reported to SETA within 5 business days of the revocation.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<p>If Partial or Not Met, List Finding(s):</p> <p><input type="checkbox"/> a. SETA was not notified of license revocation.</p> <p><input type="checkbox"/> b. SETA was not notified of license revocation within the required time period.</p> <p><input type="checkbox"/> c. _____</p>		<p>Regulations</p> <p>45 CFR 1307.4(b)(1)</p>		<p>Guidance</p> <p>Interview Delegate Director. Review licensing files at the Delegate level for any licensing revocation in past year. Review Contract with SETA, Exhibit G.</p>	
<p>Concerns:</p> <p><input type="checkbox"/> Response Required</p>		<p>Recommendations:</p> <p><input type="checkbox"/> Response Required</p>		<p>Strengths:</p>	
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.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<p>If Partial or Not Met, List Finding(s):</p> <p><input type="checkbox"/> a. SETA was not notified of disbarment from receiving Federal or State funds or disqualification from CACFP.</p> <p><input type="checkbox"/> b. SETA was not notified of disbarment from receiving Federal or State funds or disqualification from CACFP within required time period.</p> <p><input type="checkbox"/> c. _____</p>		<p>Regulations</p> <p>45 CFR 1307.4(b)(3)</p>		<p>Guidance</p> <p>Interview Delegate Director.</p>	
<p>Concerns:</p> <p><input type="checkbox"/> Response Required</p>		<p>Recommendations:</p> <p><input type="checkbox"/> Response Required</p>		<p>Strengths:</p>	

5.3.D Delegate Agency Contractual Agreements

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 	Met	Partial	Not Met	N/A
		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
If Partial or Not Met , List Finding(s): <ul style="list-style-type: none"> <input type="checkbox"/> a. Reports are not accurate. <input type="checkbox"/> b. Reports are not submitted within the designated time period. <input type="checkbox"/> c. _____ 		Regulations		Guidance	
		Contract with SETA, Exhibit G		Check with SETA’s Disability Coordinator, Program Officers – Delegate Support, ERSEA, and Administration to see if reports are accurate and submitted on time.	
Concerns:		Recommendations:		Strengths:	
<input type="checkbox"/> Response Required		<input type="checkbox"/> Response Required			

(End of Section 5.3.D Delegate Agency Contractual Agreements)

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

5.3.C Communication				
	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

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