



**Office of Head Start
Monitoring Protocol
Review Team Meeting Guide
FY 2012**

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Interview

Review Team Meeting—Interview

Program Governance Compliance Framework #2—Policies and Training

- ▶ Consult with the Fiscal Reviewer to see whether he or she noted any conflicts of interest.

Are any members of the governing body or Policy Council paid? Are any of their family members paid by the program?

GOV 2.2

Program Governance Compliance Framework #3—Roles and Responsibilities

- ▶ Consult with the ERSEA Reviewer to determine whether the governing body members were involved in the development of the criteria for recruiting, selecting, and enrolling children.

GOV 3.2

- ▶ Consult with the Fiscal Reviewer to determine if expenditures and reporting align with budget projections and funding applications.

GOV 3.2

- ▶ Discuss with the Fiscal Reviewer his or her review of the program's audit. Does he or she have any concerns about the result or the process?

Compare this discussion with the information collected from the governing body interview. Is the governing body making sound and informed decisions about the selection of the program's financial auditors?

GOV 3.3

- ▶ Consult with the Fiscal Reviewer to determine whether the program is using financial information such as audits for planning. In addition, check with the Fiscal Reviewer to determine whether there are any issues with compensation of executive level staff.

GOV 3.4



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GOV 3.4

- ▶ Consult with the Fiscal Reviewer to determine how the activity of the Policy Council influences decisions about the budget

GOV 3.5

- ▶ Consult with the FCE Reviewer to determine how the activity of the Policy Council ensures that the needs of the community and enrolled families are met.

GOV 3.5

- ▶ Consult with the ERSEA Reviewer to determine how the activity of the Policy Council influences decisions around recruitment and selection.

GOV 3.5

Management Systems Compliance Framework #1—Program Planning

- ▶ Ask the Reviewers what they have learned about the planning process that the program has in place. How does the program use that process to develop plans for each service area? Specifically, for areas like Education and Fiscal, are there long-term goals and short-term objectives that the program would like to meet, and how are they planning to meet them? Is the process ongoing or a one-time event?

Examine whether what you learned from your interview with the governing body members is consistent with the information gathered by the team. In your interview with the governing body members, how did they describe the Self-Assessment and Community Assessment processes and the use of these processes to inform program planning?

SYS 1.1

- ▶ Using the program's Self-Assessment as a guide, have a discussion about the program's implementation of processes and services. Together determine if and how the program is utilizing information from the Self-Assessment to guide their program operations. Check



with Reviewers to ensure that the Self-Assessment is an accurate reflection of the program operations they are seeing during their review.

SYS 1.2

Management Systems Compliance Framework # 2—Ongoing Monitoring, Record-Keeping, and Reporting

- ▶ Ask the Reviewers to think about ongoing monitoring and the role it plays in the area they are reviewing. How does the program use ongoing monitoring to evaluate progress on goals/objectives and compliance with Federal performance standards? Are there indications that the ongoing monitoring process occurs frequently enough to identify issues in a timely manner and develop plans to address concerns?

Reflect back on your interview with the governing body. Did you have additional questions or information about ongoing monitoring based on that interview?

SYS 2.1

- ▶ Ask the Reviewers whether there are indications that the current record-keeping system is reliable, with routine mechanisms for capturing and analyzing data. Are records up to date? Is the information accurate? Are integrity checks completed? Are information and data shared with all appropriate parties?

Reflect back on your governing body and Policy Council interviews. How did you feel about the reporting systems that were in place? Was there a strong system? Did the governing body and the Policy Council seem well informed and up to date?

SYS 2.2

Management Systems Compliance Framework #3—Human Resources

- ▶ Help the Reviewers make the connection between the program's organizational structure and any problems or strengths related to the provision of services. Prompt the Reviewers to make links between the quality of services and the oversight of services by program staff. In addition, find out how supervision affects services and determine whether vacancies are linked to poor or incomplete service offerings. How does the program's organizational structure contribute to the strengths or concerns identified by the Review Team?

SYS 3.1



- ▶ Ask the Reviewers if there were any violations of the program’s standards of conduct and whether appropriate penalties were enforced. Do you have any concerns that any of the following are not addressed through the standards of conduct?
 - ▶ Respecting and promoting the unique identity of each child and family and refraining from stereotyping on the basis of gender, race, ethnicity, culture, religion, or disability
 - ▶ Following program confidentiality policies concerning information about children, families, and other staff members
 - ▶ Ensuring that no child is left alone or unsupervised while under the grantee’s care
 - ▶ Using positive methods of child guidance and not engaging in corporal punishment, emotional or physical abuse, or humiliation. In addition, not employing methods of discipline that involve isolation, use of food as punishment or reward, or denial of basic needs.

SYS 3.2

- ▶ Ask the Reviewers about the program’s communication. Find out whether information is free-flowing (top-down and bottom-up) and timely. Do people talk with each other and share important information that enhances and supports services to children and families and the awareness of the governing bodies? Are there systems that make communication an integral part of the management system, or is it overlooked?

Here are some examples:

- ▶ Do the teachers have the information necessary to implement the curriculum?
- ▶ Are home visitors working together with families to plan experiences each week?
- ▶ Does the management team communicate policies and procedures in a manner that enables staff to have an opportunity to meet expectations?

SYS 4.1

Family & Community Engagement Compliance Framework #3—Supporting Parents as Their Child's First and Most Important Educator

- ▶ Have the FCE Reviewer talk with the CDE Reviewer about his or her observations of home visits. Does the CDE review confirm what you heard during your interview with parents? Did the CDE Reviewer see parents and children engaged in active play, encouragement of physical development, and conversations about the safe use of equipment and materials? Were play experiences developmentally appropriate?

FCE 3.3