



Administration for Children and Families  
U.S. Department of Health and Human Services



# FY 2016 Office of Head Start Environmental Health & Safety Monitoring Protocol



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# FY 2016 OHS Environmental Health & Safety Protocol: Overview

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## *Overview*

The Office of Head Start (the OHS) presents the **FY 2016 Environmental Health & Safety (EnvHS) Protocol**. This instrument is used to gather information to assess grantee performance in ensuring safe and healthy environments for children, families, and staff. The EnvHS Protocol is used to assess Head Start and Early Head Start (EHS) centers and classrooms, as well as Family Child Care (FCC) homes used to provide services to children. The Protocol will also be used in centers that provide socialization experiences for children receiving services through home-based and locally designed programs. The OHS uses the information about grantee performance gathered during monitoring reviews to evaluate multiple levels of performance, including determining program strengths, concerns, areas of noncompliance, and deficiencies.

The EnvHS Protocol is designed to ensure that all Head Start programs are implementing and promoting healthy practices and routines, as well as providing safe and supportive environments in which children can learn and grow. The EnvHS Protocol is also used to review the safety of physical environments and Transportation services provided by the program. By monitoring environmental health and safety, the OHS strives to ensure that Head Start programs are supporting children's health and development by providing safe learning environments.

## *Organization of the Protocol*

### *Key Performance Areas (KPA's)*

The EnvHS Protocol focuses on four areas of performance, referred to as Key Performance Areas (KPA's). The OHS assesses performance across specific measures within each KPA. KPA's provide the organizational framework for assessing grantee performance in each of the following areas:

- 1) **Safe & Clean Environments.** The program ensures physical environments are safe and clean for children, parents, and staff.
- 2) **Safe & Sanitary Practices.** The program establishes and maintains healthy practices and routines.
- 3) **Staffing & Supervision.** The program implements hiring practices, learning environments, and supervision practices that ensure the safe supervision of all children at all times.
- 4) **Safe Transportation.** The program ensures children's safety by providing safe vehicles and effective training to supervisory staff.

### *Compliance Measures (CMs)*

Each KPA contains a series of Compliance Measures (CMs). CMs are specific statements that collectively assess the level of program performance for each KPA. Each CM focuses on one or more Federal regulations and the development of strong systems to deliver quality services to children and families.

### *Targeted Questions (TQs)*

Targeted Questions (TQs) for each CM are designed to provide guidance to on-site Reviewers and ensure a standardized method for evidence collection. TQs indicate the people to interview, questions to ask, information to retrieve from documents, and observations to conduct. Reviewers are required to answer all TQs for each CM.

## Environmental Health & Safety

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### Environmental Health & Safety Key Performance Area #1: Safe and Clean Environments

	<b>Compliance Measures</b>	<b>Federal Regulation</b>
1.1	<p>The program provides safe, healthy, and clean environments by ensuring:</p> <ul style="list-style-type: none"> <li>• Safety inspections are conducted regularly</li> <li>• Children are not exposed to environmental toxins or pollutants</li> <li>• Environments are clean and sanitary</li> <li>• Materials, equipment, and facilities are age-appropriate and accessible to children</li> <li>• Facilities are well maintained and in good repair</li> <li>• Environments are free from hazards and are designed to prevent injury or harm to children</li> </ul>	<p>1304.53(a)(5) 1304.53(a)(7) 1304.53(a)(8) 1304.53(a)(10) 1304.53(a)(10)(i) 1304.53(a)(10)(iii) 1304.53(a)(10)(vi) 1304.53(a)(10)(viii) 1304.53(a)(10)(x) 1304.53(a)(10)(xi) 1304.53(a)(10)(xii) 1304.53(a)(10)(xv) 1304.53(a)(10)(xvi) 1304.53(b)(1)(iii) 1304.53(b)(3) 1306.35(b)(2)(v) 1306.35(b)(2)(vii) 1306.35(b)(2)(viii) 1306.35(b)(2)(ix)</p>
1.2	<p>The program ensures facilities are prepared for and equipped to prevent emergencies.</p>	<p>1304.22(a)(1) 1304.22(a)(3) 1304.53(a)(10)(v) 1304.53(a)(10)(vi) 1304.53(a)(10)(vii) 1306.35(b)(1) 1306.35(b)(2)(ii) 1306.35(b)(2)(iii)</p>
1.3	<p>All facilities comply with State and local licensing requirements including, but not limited to, child care licensing, fire and building inspections, and occupancy permits.</p> <p><i>Targeted Questions related to Life Safety Codes are used to collect data to inform the Office of Head Start of the quality of safety in grantee facilities.</i></p>	<p>1306.30(c) 1306.35(d)</p>

## Targeted Questions

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### Environmental Scan

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#### *Environmental Scan—EnvHS 1.1*

- ▶ Please document notes based on your first impressions of the setting you are observing.

### Center Observations

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#### *Inspections—EnvHS 1.1*

- ▶ Does the grantee conduct safety inspections of all facilities, including all indoor and outdoor learning environments?
- ▶ Review the results of the most current safety inspection for the setting you are observing. Are there any issues that are yet to be addressed?
- ▶ How do staff address issues identified during safety inspections?
- ▶ How often does the grantee perform safety inspections?
  - Monthly
  - Semi-annually
  - Annually
  - Less frequently than annually

#### *Air Quality and Toxins - EnvHS 1.1*

- ▶ Is the environment free of air pollutants and toxins, including:
  - Mold
  - Lead
  - Pesticides
  - Asbestos
  - Herbicides
  - Other

#### *Cleanliness and Sanitation—EnvHS 1.1*

- ▶ Are toilets and handwashing facilities clean?

## Center Observations (continued)

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### *Age-Appropriateness and Accessibility—EnvHS 1.1*

- ▶ Are toilets and handwashing facilities adequate in number and easily accessible by children?
- ▶ Does the design of the playground and equipment promote the safety of children, including:
  - Appropriate height and accessibility?

### *Facility Maintenance and Repair - EnvHS 1.1*

- ▶ Do toilets and handwashing facilities need repair?
- ▶ Does the design of the playground and equipment promote the safety of children, including:
  - Equipment on shock-absorbing surface?
  - Equipment is stable and/or secured to the ground?

### *Safety Hazards- EnvHS 1.1*

- ▶ Are facilities, materials, and equipment free of hazards that may cause harm to children, families, or staff?
- ▶ Do children have access to heating elements that could cause burns?
- ▶ Does the design of the playground and equipment promote the safety of children, including:
  - No openings that could entrap a child's head or limbs?
  - Absence of sharp edges, rust, choking and/or strangulation hazards, garbage, and hazardous materials (e.g., glass, needles, animal feces)?
- ▶ Are toxic substances inaccessible to children?

### *Emergency Prevention and Preparedness—EnvHS 1.2*

- ▶ Is a fire extinguisher available?
- ▶ Is the extinguisher easily accessible?
- ▶ Is there a service date on the fire extinguisher showing it has been updated at least annually?
- ▶ Is there a smoke-detector system?
- ▶ Is emergency lighting available to allow children and adults to clearly see pathways in case of a power failure?

## Center Observations (continued)

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### *Licensing—EnvHS 1.3*

- ▶ Does the program have a current child care license for this center?

### *Life Safety Codes & Occupancy Requirements—EnvHS 1.3*

- ▶ Does the program have a current child care license for this center?
- ▶ Does the building have an occupancy permit?
- ▶ Does the grantee ensure that occupancy loads for assembly spaces are calculated and posted?
- ▶ Does the center have an occupancy load of more than 50 persons?
- ▶ Does the center have an occupancy load of more than 100 persons?
- ▶ Does the building have an automatic fire-sprinkler system?
- ▶ Do children or staff occupy the basement level of the building?
- ▶ Is there a fire-alarm system that includes all of the following?
  - Manual means of initiation (e.g., pull boxes)
  - Connection to the smoke-detector system
  - Use of both audio and visual signals when activated
- ▶ Was the fire-alarm system tested within the last 12 months?
- ▶ Are ceilings a minimum of 7 feet, 6 inches, with no projections protruding to provide less than 6 feet, 8 inches?
- ▶ Are all doors used for entry and exit between 32 and 48 inches wide?
- ▶ Are all corridors that lead to an exit a minimum of 36 inches wide?
- ▶ Is every exit door equipped with panic hardware?
- ▶ Do any exit doors have more than one locking or latching device?
- ▶ Does each floor of the center have a minimum of two exits that lead to the outside?
- ▶ Does the center have any dead-end corridors that exceed 20 feet in length?
- ▶ Does the center have any dead-end corridors that exceed 50 feet in length?
- ▶ Are all stairways a minimum of 44 inches wide? (Applies only to buildings with more than 50 occupants.)
- ▶ Are all stairways a minimum of 36 inches wide? (Applies only to buildings with fewer than 50 occupants.)

### *Air Quality and Toxins EnvHS 1.1*

- ▶ Is the environment free of air pollutants and toxins, including:
  - Mold
  - Lead
  - Pesticides
  - Asbestos
  - Herbicides
  - Other

### *Cleanliness and Sanitation EnvHS 1.1*

- ▶ Are the following areas clean and free of dirt and debris?
  - Carpets
  - Floors
  - Furniture
  - Toys
  - Materials
  - Counters and shelves
  - Sinks
  - Bathrooms

### *Cleanliness and Sanitation—EnvHS 1.1 (continued)*

- ▶ Are garbage and trash stored in a safe and sanitary manner that does not allow easy access by children?
- ▶ Is there evidence of pests?

### *Age-Appropriateness and Accessibility – EnvHS 1.1*

- ▶ Are toilets and handwashing facilities adequate in number and easily accessible by children?
- ▶ Were provisions made to ensure the safety, comfort, and participation of children with disabilities?
- ▶ Does the classroom provide at least 35 square feet of usable indoor space per child (excluding bathrooms, halls, kitchens, staff rooms, and storage space)?
- ▶ Are toys, materials, and furniture age-appropriate?
- ▶ Does the program ensure that sleeping arrangements for infants (e.g., cribs, playpens, bassinets) are free of soft bedding materials (e.g., soft mattresses, pillows, stuffed animals, fluffy blankets, comforters)? (Applies only to programs serving infants and toddlers.)

## Classroom Observations (continued)

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### *Facility Maintenance and Repair—EnvHS 1.1*

- ▶ Are windows and glass doors constructed, secured, and adjusted to prevent children's injury and escape?
- ▶ Do toilets and handwashing facilities need repair?
- ▶ Is there broken furniture that presents a risk of injury to children or adults?

### *Safety Hazards—EnvHS 1.1*

- ▶ Are facilities, materials, and equipment free of hazards that may cause harm to children, families, or staff?
- ▶ Do children have access to heating elements that could cause burns?
- ▶ Are electrical outlets accessible to children designed to prevent shock through the use of covers, installation of child-protection outlets (e.g., tamper-resistant outlets), or use of safety plugs?
- ▶ Are toxic substances accessible to children?

### *Emergency Prevention and Preparedness—EnvHS 1.2*

- ▶ Are exits clearly marked?
- ▶ Is an evacuation route posted?
- ▶ Are emergency procedures posted?
- ▶ Is there a smoke-detector system?
- ▶ Was the smoke-detector system tested within the last 12 months?

### *Life Safety Code Requirements—EnvHS 1.3*

- ▶ Are all classroom doors within 100 feet of the nearest exit?
- ▶ Are all classroom doors within 50 feet of any point in the classroom?
- ▶ Does the classroom have an exit that leads directly to the outside?
- ▶ Does the classroom have at least one outside window for emergency rescue or ventilation?
- ▶ Are Exit signs illuminated?

### *Inspections—EnvHS 1.1*

- ▶ Does the grantee conduct safety inspections of all facilities, including all indoor and outdoor learning environments?
- ▶ Review the results of the most current safety inspection for the setting you are observing. Are there any issues that are yet to be addressed?
- ▶ How do staff address issues identified during safety inspections?
- ▶ How often does the grantee perform safety inspections?
  - Monthly
  - Semi-annually
  - Annually
  - Less frequently than annually

### *Air Quality and Toxins—EnvHS 1.1*

- ▶ Is the environment free of air pollutants and toxins, including:
  - Mold
  - Lead
  - Pesticides
  - Asbestos
  - Herbicides
  - Other

### *Cleanliness and Sanitation—EnvHS 1.1*

- ▶ Are garbage and trash stored in a safe and sanitary manner that does not allow easy access by children?
- ▶ Are the following areas clean and free of dirt and debris?
  - Carpets
  - Floors
  - Furniture
  - Toys
  - Materials
  - Counters and shelves
  - Sinks
  - Bathrooms
- ▶ Is there evidence of pests?

*Age-Appropriateness and Accessibility—EnvHS 1.1*

- ▶ Are toilets and handwashing facilities adequate in number and easily accessible by children?
- ▶ Were provisions made to ensure the safety, comfort, and participation of children with disabilities?
- ▶ Does the Family Child Care home have sufficient indoor and outdoor space that is usable by and available to children?
- ▶ Are toys, materials, and furniture age-appropriate?
- ▶ Does the program ensure that sleeping arrangements for infants (e.g., cribs, playpens, bassinets) are free of soft bedding materials (e.g., soft mattresses, pillows, stuffed animals, fluffy blankets, comforters)? (*Applies only to programs serving infants and toddlers.*)
- ▶ Does the design of the playground and equipment promote the safety of children, including:
  - Appropriate height and accessibility?

*Facility Maintenance and Repair—EnvHS 1.1*

- ▶ Are windows and glass doors constructed, secured, and adjusted to prevent children's injury and escape?
- ▶ Do toilets and handwashing need repair?
- ▶ Is there broken furniture that presents a risk of injury to children or adults?
- ▶ Does the design of the playground and equipment promote the safety of children, including:
  - Equipment on shock-absorbing surfaces?
  - Equipment is stable and/or secured to the ground?

*Safety Hazards—EnvHS 1.1*

- ▶ Are facilities, materials, and equipment free of hazards that may cause harm to children, families, or staff?
- ▶ Do children have access to heating elements that could cause burns?
- ▶ Are electrical outlets accessible to children designed to prevent shock through the use of covers, installation of child-protection outlets (e.g., tamper-resistant outlets), or use of safety plugs?
- ▶ Are children safe from potential hazards posed by appliances (stove, refrigerator, microwave, etc.), such as appliances with frayed wires, hot stoves, and refrigerator coils?
- ▶ Are firearms and other weapons secured in areas not occupied by children?
- ▶ Does the provider ensure that alcohol and drugs are not consumed while children are present?
- ▶ Does the provider ensure that alcohol and drugs are inaccessible to children at all times?
- ▶ Are current health certificates available for pets documenting up-to-date immunizations, and are pets free from conditions that may pose a health threat?
- ▶ Does the provider ensure the safety of children at all times when pets are present?
- ▶ Does the design of the playground and equipment promote the safety of children, including:
  - No openings that could entrap a child's head or limbs?
  - Absence of sharp edges, rust, choking and/or strangulation hazards, garbage, and hazardous materials (e.g., glass, needles, animal feces)?
- ▶ Are toxic substances inaccessible to children?

*Emergency Prevention and Preparedness—EnvHS 1.2*

- ▶ Are exits clearly marked?
- ▶ Is an evacuation route posted?
- ▶ Are emergency procedures posted in this setting?
- ▶ Is there a smoke-detector system?
- ▶ Was the smoke-detector system tested within the last 12 months?
- ▶ Are carbon monoxide detectors properly installed and currently functioning?
- ▶ If the FCC home has a basement, and local health officials recommend radon detectors, are radon detectors installed?
- ▶ Is a fire extinguisher available?
- ▶ Is the fire extinguisher easily accessible?
- ▶ Is there a service date on the fire extinguisher showing it has been updated at least annually?

*Licensing—EnvHS 1.3*

- ▶ Does the program have a current child care license for this FCC home?

Pre-Site Conversation

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*Fire Inspections—EnvHS 1.3*

- ▶ How many of your buildings are required to have fire-prevention inspections conducted?
- ▶ How many of those buildings have had a fire-prevention inspection conducted?
- ▶ How many of those buildings failed their fire inspections?
- ▶ What were the issues that caused them to fail their fire inspections?

*Building Inspections—EnvHS 1.3*

- ▶ How many of your buildings are required to have building inspections conducted?
- ▶ How many of those buildings have had a building inspection conducted?
- ▶ How many of those buildings failed their building inspections?
- ▶ What were the issues that caused them to fail their building inspections?

## Environmental Health & Safety

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### Environmental Health & Safety Key Performance Area #2: Safe and Sanitary Practices

	<b><i>Compliance Measures</i></b>	<b><i>Federal Regulation</i></b>
2.1	The program implements sanitation and hygiene practices to ensure the health and safety of all staff, volunteers, and children. This includes: <ul style="list-style-type: none"><li>• Handwashing</li><li>• Cleaning of spilled bodily fluids</li><li>• Diapering</li></ul>	1304.22(e)(1)(i) 1304.22(e)(1)(ii) 1304.22(e)(1)(iii) 1304.22(e)(1)(iv) 1304.22(e)(3) 1304.22(e)(4) 1304.22(e)(5)
2.2	The program's Nutrition program is designed and implemented to: <ul style="list-style-type: none"><li>• Comply with U.S. Department of Agriculture (USDA) nutrition requirements</li><li>• Ensure food safety, with all meals void of choking hazards</li><li>• Ensure breast milk and formula are handled appropriately (when applicable)</li><li>• Meet the individual nutritional needs and feeding requirements of each child (including children with special dietary, medical, or disability needs)</li></ul>	1304.23(b)(1) 1304.23(b)(1)(vii) 1304.23(e)(2)
2.3	The program ensures the effective management of medication according to physician instructions, including proper labeling, storage, and administration.	1304.22(c)(1) 1304.22(c)(2) 1304.22(c)(3) 1304.22(c)(4)

### *Handwashing—EnvHS 2.1*

- ▶ Did you observe a situation that required handwashing? Check all situations you observed in which handwashing should have occurred:
  - After diapering or toilet use
  - Before food preparation
  - Whenever hands were contaminated with blood or other bodily fluids
  - After handling pets or other animals
  - After handling garbage
- ▶ Did handwashing occur at the appropriate times and include the following?
  - Staff assisting children as needed
  - Staff and/or children washing hands with soap and water

### *Spilled Bodily Fluids—EnvHS 2.1*

- ▶ If bodily fluids were spilled during your observation, did clean-up include all of the following?
  - Nonporous gloves worn
  - Spills/fluids cleaned up immediately
  - All areas cleaned and sanitized
  - Contaminated materials placed in a plastic bag and secured

### *Diapering—EnvHS 2.1*

- ▶ If diapering was observed, did staff do all of the following when changing diapers?
  - Before bringing the child to the diaper-changing area, washed hands and brought supplies to the diaper-changing area
  - Always kept a hand on the child
  - Cleaned the child's diaper area
  - If wearing gloves, changed gloves prior to putting on a clean diaper
  - Washed the child's hands and returned the child to a supervised area
  - Cleaned and disinfected the diaper-changing surface
  - Washed hands

*Proper Handling of Breast Milk—EnvHS 2.2*

*Applies only to program serving infants and toddlers*

- ▶ Are any children currently on breast milk or formula?
- ▶ Is breast milk properly refrigerated, and are all containers labeled with the child's full name and the date the breast milk was collected?
- ▶ Is frozen breast milk defrosted in the refrigerator?
- ▶ Is prepared formula labeled with the child's name and date of preparation?

*Medication Management—EnvHS 2.3*

- ▶ Are any children currently receiving medications?
- ▶ Are over-the-counter medications in original containers, and does the program have written orders from a physician that include dosage and length of time to administer the medication?
- ▶ Are non-emergency medications stored under lock and key?
- ▶ If children are currently receiving medication, compare labeling with information noted on the Medication Administration Log. Are all medications given as prescribed?
- ▶ Are prescribed medications in original containers with original prescription labels?
- ▶ Are all medications within their dates of expiration?

*Handwashing—EnvHS 2.1*

- ▶ Did you observe a situation that required handwashing? Check all situations you observed where handwashing should have occurred:
  - After diapering or toilet use
  - Before food preparation
  - Whenever hands were contaminated with blood or other bodily fluids
  - After handling pets or other animals
  - After handling garbage
- ▶ Did handwashing occur at the appropriate times and include the following?
  - Staff assisting children as needed
  - Staff and/or children washing hands with soap and water

*Spilled Bodily Fluids—EnvHS 2.1*

- ▶ If bodily fluids were spilled during your observation, did clean-up include all of the following?
  - Nonporous gloves worn
  - Spills/fluids cleaned up immediately
  - All areas cleaned and sanitized
  - Contaminated materials placed in a plastic bag and secured

*Diapering—EnvHS 2.1*

- ▶ If diapering was observed, did staff do all of the following when changing diapers?
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  - Always kept a hand on the child
  - Cleaned the child's diaper area
  - If wearing gloves, changed gloves prior to putting on a clean diaper
  - Washed the child's hands and returned the child to a supervised area
  - Cleaned and disinfected the diaper-changing surface
  - Washed hands

*Proper Handling of Breast Milk—EnvHS 2.2*

*Applies only to programs serving infants and toddlers*

- ▶ Are any children currently on breast milk or formula?
- ▶ Is breast milk properly refrigerated, and are all containers labeled with the child's full name and the date the breast milk was collected?
- ▶ Is frozen breast milk defrosted in the refrigerator?
- ▶ Is prepared formula labeled with the child's name and date of preparation?

*Medication Management—EnvHS 2.3*

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- ▶ Are over-the-counter medications in original containers, and does the program have written orders from a physician that include dosage and length of time to administer the medication?
- ▶ Are non-emergency medications stored under lock and key?
- ▶ If children are currently receiving medication, compare labeling with information noted on the Medication Administration Log. Are all medications given as prescribed?
- ▶ Are prescribed medications in original containers with original prescription labels?
- ▶ Are all medications within their dates of expiration?

*Proper Handling of Breast Milk—EnvHS 2.2*

- ▶ Describe how the program:
  - Meets the individual nutritional needs and feeding requirements of all children
  - Complies with USDA nutrition requirements
  - Addresses special dietary needs of children
  - Accommodates the feeding and nutritional needs of children with disabilities
  - Ensures that foods posing a high risk of choking for infants and toddlers (e.g., hot dogs, whole grapes, hard raw vegetables, popcorn, whole nuts) are not given to them.

Pre-Site Conversation

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*USDA Inspections—EnvHS 2.2*

- ▶ Has the program had a USDA inspection in the last 12 months?
- ▶ What was the date of the last USDA inspection?
- ▶ What was the outcome of the last inspection? (Passed, passed with concerns, or failed.)
- ▶ If the program passed with concerns or failed, what issues were cited?
- ▶ Have the issues been corrected?

## Environmental Health & Safety

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### Environmental Health & Safety Key Performance Area #3: Staffing and Supervision

	<b>Compliance Measures</b>	<b>Federal Regulation</b>
<b>Staffing</b> <i>The program implements hiring procedures to ensure that staff hired to supervise children are able to provide for the safety of children in their care.</i>		
3.1	Prior to employing an individual, the program obtains a: <ul style="list-style-type: none"> <li>• Federal, State, or Tribal criminal record check (CRC) covering all jurisdictions in which it provides Head Start services to children</li> <li>• Federal, State, or Tribal CRC as required by the law of the jurisdiction in which the program provides Head Start services</li> <li>• CRC as otherwise required by Federal law</li> </ul>	648A(g)(3)(A) 648A(g)(3)(B) 648A(g)(3)(C)
<b>Environments Conducive to Supervision</b> <i>The program provides learning environments that are conducive to supervising all children safely.</i>		
3.2	The program ensures the maintenance of appropriate class and group sizes based on the predominant age of the children.	1304.52(g)(4) 1306.20(g)(1) 1306.20(g)(2) 1306.32(a)(1-6)
3.3	The program arranges all outdoor play areas to prevent children from getting into unsafe and/or unsupervised areas. The program also ensures that children en route to play areas are not exposed to vehicular traffic without supervision.	1304.53(a)(9) 1306.35(b)(2)(vi)
<b>Supervision Practices</b> <i>The program ensures that all staff supervise children in ways that ensure the mental and physical safety of children at all times.</i>		
3.4	The program ensures children are released only to a parent, legal guardian, or other individual designated in writing by the parent or legal guardian.	1310.10(g)
3.5	Staff actively supervise children at all times.	1304.52(i)(1)(iii) 1306.35(b)(2)(iv)
3.6	Staff use positive child guidance when responding to undesirable behavior.	1304.52(i)(1)(iv)

## Targeted Questions

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### Document Review—Criminal Record Check Tracking System

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#### *Criminal Record Checks—EnvHS 3.1*

- ▶ Review the criminal record check (CRC) tracking document to ensure all staff have CRCs, and the CRCs were completed prior to the staff person being hired.
- ▶ Are there any staff who do not have a CRC?
- ▶ Are there any staff hired within the last 12 months who did not complete a CRC prior to hire?

Please select up to 10 staff who were hired within the last 12 months from the CRC tracking document. Enter the staff person's name, date of hire, and date of CRC completion from the tracking document for each selected staff member. Share the list of staff with the grantee so it can provide staff files for validation.

### Interview—Head Start Director

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#### *Appropriate Release—EnvHS 3.4*

- ▶ With the Head Start Director, review the program's documented policies and procedures regarding the release of children and the emergency contact list of authorized parents and guardians to whom children can be released.
  - How do teaching staff know which adults are authorized to pick up children?
  - How do bus staff know which adults are authorized to pick up children when they leave the bus and where each child is to be dropped off?
  - What process is in place to release children from center or FCC settings?
  - How is information to support the process kept up to date? Is the information easily accessible?
- ▶ In the past 12 months, has a child been released to an unauthorized adult or dropped off at the wrong location?
- ▶ When did the incident occur?
- ▶ Was the incident reported to the Regional Office?
- ▶ What was the result of the report to the Regional Office?

## Interview—Head Start Director (continued)

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### *Supervision —EnvHS 3.5*

- ▶ In the past 12 months, has a child been left unsupervised?
- ▶ When did the incident occur?
- ▶ Was the incident reported to the Regional Office?
- ▶ What was the result of the report to the Regional Office?

### *Positive Guidance – EnvHS3.6*

- ▶ In the past 12 months, has a staff member used corporal punishment, emotional or physical abuse, humiliation, unnecessary restraint, isolation, or denial of food, water, or bathroom privileges?
- ▶ When did the incident occur?
- ▶ Was the incident reported to the Regional Office?
- ▶ What was the result of the report to the Regional Office?

## Interview—Transportation Coordinator

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### *Appropriate Release—EnvHS 3.4*

- ▶ With the Transportation Coordinator, discuss how the program ensures children are released only to authorized adults at the correct locations.
  - How do bus staff know which adults are authorized to pick up children when they leave the bus and where each child is to be dropped off?
  - What process is in place to appropriately release children as they leave the bus?

## Classroom Observation

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### *Preschool-Age Group Ratio—EnvHS 3.2*

- ▶ What is the predominant age of children in the class as determined at the start of the program year?
- ▶ How many staff members are assigned to this classroom or group?
- ▶ How many children are enrolled in the classroom according to the program's documentation?
- ▶ How many children are currently present in the classroom?

## Classroom Observation (continued)

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### *Infant/Toddler Group Ratio—EnvHS 3.2*

*Applies only to programs serving infants and toddlers*

- ▶ How many infants/toddlers are currently present in the group?
- ▶ How many staff members are currently present with the group?

### *Supervision—EnvHS 3.5*

- ▶ Are staff within arm's reach of children sitting in high chairs or on changing tables, and are they holding any children who are bottle feeding?
- ▶ Are all on-duty staff supervising and engaging with children in a way that ensures the children's safety?
- ▶ Did you observe an instance in which a child or children were unsupervised?
- ▶ Are clear systems in place to account for the whereabouts of each child (e.g., attendance logs and sign-in/out sheets, routine head counts)?

### *Positive Guidance—EnvHS 3.6*

- ▶ Did staff use positive child guidance when responding to undesirable child behaviors rather than corporal punishment, emotional or physical abuse, unnecessary restraint, humiliation, isolation, or denial of food, water, or bathroom privileges?

## Center Observation

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### *Safe Outdoor Play Areas—EnvHS 3.3*

- ▶ Are outdoor play areas arranged so adults can see children and effectively supervise them to prevent them from leaving and/or getting into unsafe areas?

*FCC Group Ratio—EnvHS 3.2*

- ▶ What age group does the FCC Provider serve?
- ▶ How many children are currently present in the group?
- ▶ Is an assistant present?
- ▶ How many children under 2 years of age are present in the group?
- ▶ How many children under 18 months of age are currently present in the group?

*Safe Outdoor Play Areas—EnvHS 3.3*

- ▶ Are outdoor play areas arranged so adults can see children and effectively supervise them to prevent them from leaving and/or getting into unsafe areas?
- ▶ Is there a fence to prevent children's unsupervised access to water hazards, such as swimming pools and other bodies of water?

*Supervision—EnvHS 3.5*

- ▶ Are staff within arm's reach of children sitting in high chairs or on changing tables, and are they holding any children who are bottle feeding?
- ▶ Are all on-duty staff supervising and engaging with children in a way that ensures their safety?
- ▶ Did you observe an instance in which a child or children were unsupervised?
- ▶ Are clear systems in place to account for the whereabouts of each child (e.g., attendance logs and sign-in/out sheets, routine head counts)?
- ▶ Is a system in place to ensure the safety of any child not within view of the provider for any period (e.g., when the provider needs to use the bathroom, or an infant is napping in one room while toddlers play in another)?
- ▶ Does the provider ensure all children are supervised and within sight and reach when a body of water, road, or other potential hazard is present, or when children are being transported?

*Positive Guidance—EnvHS 3.6*

- ▶ Did staff use positive child guidance when responding to undesirable child behaviors rather than corporal punishment, emotional or physical abuse, unnecessary restraint, humiliation, isolation, or denial of food, water, or bathroom privileges?

*Inappropriate Release—EnvHS 3.4*

*Incident Details*

- ▶ How was the child released? Select all that apply.
  - Child was dropped off at the wrong location.
  - Child was released to the wrong adult.
  - Child was left unattended.
- ▶ Where was the child released inappropriately?
  - Bus stop
  - Home or alternate facility
  - Center or FCC
- ▶ How old was the child when the incident occurred?

*Cause*

- ▶ Please describe what happened and why a child was released inappropriately.
- ▶ Typically, what should have happened? Please email the Review Field Lead (RFL) a copy of the program's Release Procedures.
- ▶ How do staff know their roles in ensuring children are released safely and to the correct person?
- ▶ In what way, and how often, do you check in with staff to ensure they follow the program's Release Procedures?
- ▶ Based on the above information, select the option that best explains why a child was released inappropriately:
  - There was no system in place to ensure that children were released to an authorized adult.
  - A system existed and was followed correctly, but a child was released inappropriately.
  - A system existed, but staff did not follow the system.

### *Time*

- ▶ Ask the program for specific documentation or evidence regarding the length of time the child was alone or with an unauthorized adult. Please describe the evidence submitted.
- ▶ Based on the evidence submitted by the program, how long was the child left alone or with an unauthorized adult?
  - 1–5 minutes
  - 6–15 minutes
  - 16–29 minutes
  - 30 or more minutes
  - Time was unknown, or evidence was not provided by the program

### *Effect*

- ▶ Please indicate which of the following occurred. Select all that apply.
  - The child was seriously injured.
  - The child was exposed to harsh conditions (e.g., extreme weather conditions).
  - The child was found by someone other than Head Start staff.
  - The child was left alone.

### *Reporting*

- ▶ When did the program report this incident to the Regional Office?
  - The day the incident occurred
  - One to 3 business days after the incident occurred
  - More than 3 business days after the incident occurred
  - The program did not report to the Regional Office
- ▶ Did the program report this incident to the child’s legal guardian?
- ▶ Did the program report this incident to the licensing agency?
- ▶ Is the program required to report to the licensing agency?

*Supervision—EnvHS 3.5*

*Incident Details*

- ▶ Where was the child left unsupervised?
  - Classroom
  - Bathroom
  - Lunchroom
  - Hallway
  - Playground
  - Left center grounds (i.e., was inside and went outside; was outside and left the premises)
  - Left behind or wandered off from a field trip
  - Left on bus
  - Other
- ▶ How old was the child when the incident occurred?

*Cause*

- ▶ Please describe what happened and why a child was left alone.
- ▶ Typically, what should have happened?
- ▶ Please email the RFL a copy of your program’s Supervision Procedures.
- ▶ How do staff know their roles in ensuring children are always supervised?
- ▶ In what way, and how often, do you check in with staff to ensure they follow the program’s supervision procedures?
- ▶ Based on the information above, select the option that best describes why a child was left alone:
  - There was no system in place to ensure children were supervised at all times.
  - A system existed and was followed correctly, but a child was left alone.
  - A system existed, but staff did not follow the system.
  - There were not at least two adults supervising the group of children prior to the child being unsupervised.
  - The teacher sent the child to another location, such as the bathroom, or on an errand (i.e., the teacher knew where child was, but the child was unsupervised).

*Supervision—EnvHS 3.5 (continued)*

*Time*

- ▶ Ask the program for specific documentation or evidence regarding the length of time the child was alone. Please describe the evidence submitted by the program.
- ▶ Based on the evidence submitted by the program, how long was the child left unsupervised?
  - 1–5 minutes
  - 6–15 minutes
  - 16–29 minutes
  - 30 or more minutes
  - Time unknown, or evidence not submitted by program

*Effect*

- ▶ Please indicate which of the following occurred. Select all that apply.
  - The child was seriously injured.
  - The child walked off the premises or away from a field trip.
  - The child was exposed to harsh conditions (e.g., extreme weather conditions).
  - The program did not know the child was alone.
  - The child was found by someone other than Head Start staff.
  - The program knew the child was alone.
  - The program’s system detected the missing child (e.g., program had a back-up, redundant system, and it worked).

*Reporting*

- ▶ When did the program report this incident to the Regional Office?
  - The day the incident occurred
  - One to 3 business days after the incident occurred
  - More than 3 business days after the incident occurred
  - The program did not report to the Regional Office
- ▶ Did the program report this incident to the child’s legal guardian?
- ▶ Did the program report this incident to the licensing agency?
- ▶ Is the program required to report the licensing agency?

*Inappropriate Punishment—EnvHS 3.6*

*Cause*

- ▶ Please describe what happened and why the incident occurred.
- ▶ Typically, what should have happened?
- ▶ Has the staff member had other issues prior to this incident?
- ▶ Prior to this incident, were any supports provided to the staff member (e.g., mental health consultation, additional staff in the room, coaching, etc.)?
- ▶ What was the effect of these supports?

*Effect*

- ▶ What was the outcome of this incident for the child and staff involved?

*Reporting*

- ▶ When did the program report this incident to the Regional Office?
  - The day the incident occurred
  - One to 3 business days after the incident occurred
  - More than 3 business days after the incident occurred
  - The program did not report to the Regional Office
- ▶ Did the program report this incident to the child's legal guardian?
- ▶ Did the program report this incident to the licensing agency?
- ▶ Is the program required to report the licensing agency?

## Environmental Health & Safety

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### Environmental Health & Safety Key Performance Area #4: Safe Transportation

	<b>Compliance Measures</b>	<b>Federal Regulation</b>
4.1	<p>The program's vehicles are properly equipped.</p> <p><i>Note: Applies only to programs providing Transportation services</i></p>	<p>1310.10(d)(1) 1310.10(d)(2) 1310.10(d)(3) 1310.10(d)(4) 1310.12(a) 1310.12(b)(2)</p>
4.2	<p>At least one bus monitor is aboard the vehicle at all times.</p> <p><i>Note: An approval letter from the Administration for Children and Families (ACF) is required for an exception to this regulation</i></p> <p><i>Note: Applies only to programs providing Transportation services</i></p>	<p>1310.15(c)</p>
4.3	<p>Each bus monitor, before duty, has been trained on:</p> <ul style="list-style-type: none"> <li>• Child boarding-and-exiting procedures</li> <li>• Use of child restraint systems</li> <li>• Required paperwork</li> <li>• Emergency response and evacuation procedures</li> <li>• Use of special equipment</li> <li>• Child pick-up and release procedures</li> <li>• Pre- and post-trip vehicle checks</li> </ul> <p><i>Note: This requirement does not apply to programs with a waiver of this requirement approved by the ACF. An approval letter from the ACF is required for exception to this regulation.</i></p> <p><i>Note: Applies only to programs providing Transportation services</i></p>	<p>1310.17(f)(2)</p>
4.4	<p>The program ensures persons employed to drive vehicles receive required behind-the-wheel and classroom training before transporting children.</p> <p><i>Note: This CM applies to both directly employed and contracted bus drivers</i></p> <p><i>Note: Applies only to programs providing Transportation services</i></p>	<p>1310.17(b)(1) 1310.17(b)(2) 1310.17(b)(3) 1310.17(b)(4) 1310.17(b)(5) 1310.17(b)(6) 1310.17(b)(7)</p>

## Targeted Question

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### Bus Inspection

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#### *Safety Equipment—EnvHS 4.1 (Applies only to programs providing Transportation services)*

- ▶ Is the bus equipped with a reverse beeper?
- ▶ Is the bus equipped with a two-way communication system?
- ▶ Is the bus equipped with safety equipment for use in an emergency, including a charged fire extinguisher that is properly mounted near the driver’s seat with a sign indicating its location?
- ▶ Is the bus equipped with a first aid kit and a sign indicating its location?
- ▶ Is the bus equipped with a seatbelt cutter for use in an emergency evacuation and a sign indicating its location?
- ▶ Is the bus equipped for use of height- and weight-appropriate child restraint systems?

### Interview—Transportation Services Coordinator

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#### *Bus Monitor—EnvHS 4.2*

##### *Applies only to programs providing Transportation services*

- ▶ Ask the Transportation Coordinator to describe the process for assigning bus monitors.
  - How many bus monitors are assigned to each route? What information is considered when making assignments?
  - How do bus monitors support the safe transportation of children with special needs? Are there times when more than one bus monitor is required? If yes, describe under what circumstances this might occur.

#### *Bus Monitor Training—EnvHS 4.3*

##### *Applies only to programs providing Transportation services*

- ▶ Review the program’s documentation of training for bus monitors—including topics and date(s) training was received—with the Transportation Coordinator. Training topics should include:
  - Child boarding-and-exiting procedures
  - Use of child restraint systems (Note: lap belts are not appropriate.)
  - Required paperwork
  - Emergency and evacuation procedures
  - Use of special equipment
  - Child pick-up and release procedures

*Bus Monitor Training—EnvHS 4.3 (continued)*

- ▶ Confirm that bus monitors are not scheduled for duty until required training is completed. If this is not the case, ask the Transportation Coordinator to state why this occurred and document the date(s) and date(s) training for bus monitors were scheduled.

*Bus Driver Training—EnvHS 4.4*

*Applies only to programs providing Transportation services*

- ▶ Ask the Transportation Coordinator to describe the training plan for staff employed to drive vehicles. Does the training include a combination of classroom and behind-the-wheel instruction sufficient to enable each driver to do all of the following?
  - Operate the vehicle in a safe and efficient manner
  - Safely run a fixed route, including loading and unloading children, stopping at railroad crossings, and performing other specialized driving maneuvers
  - Administer basic first aid in case of injury
  - Handle emergency situations, including vehicle-evacuation procedures
  - Operate any special equipment, such as wheelchair lifts, assistive devices, and special occupant restraints
  - Conduct routine maintenance and safety checks of the vehicle
  - Maintain accurate records as necessary
- ▶ Ask the Transportation Coordinator when staff are scheduled to transport children relative to their training date(s).