



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



FY 2017 Early Head Start – Child Care Partnership Monitoring Protocol





Early Head Start–Child Care Partnership Review

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Early Head Start–Child Care Partnership Review

Early Head Start–Child Care Partnership (EHS-CCP) Monitoring Overview

There are four goals for the EHS-CCP Reviews:

1. Conducting site visits to determine how the Grantee and its Partners are working together to plan and provide high-quality services
2. Evaluating the benefits of partnership funding
3. Determining whether there is a need for additional technical assistance or a more in-depth review
4. Determining the fiscal oversight and integrity of partnership funds

Reviews of EHS-CCPs will assess program performance in the areas of Fiscal Management, Health and Safety, Education and Child Development, Family and Community Engagement, and Program Management.

Grantees and Partners will participate in 2-day on-site visits supported by initial off-site fiscal reviews. During the visit and the off-site portion of the review, Grantees and Partners should be prepared to provide Reviewers with the information they need to get a complete picture of the successes and challenges of the partnership. The review will include interviews with Grantee and partnership staff, observations of learning environments, and reviews of documents.

The Grantee and Partner will:

- Participate in pre-site telephone discussion with the Review Team to solidify logistics, discuss required documentation (such as the written agreement), and determine the necessary course of action for the review.
- Collaborate with the Review Team to identify the best sources of the required information.
- Share program goals, measures, data, and outcomes with the Review Team.
- Allow Reviewers the opportunity to visit as many partnership sites as possible while on site for 2 days.
- Work with the Review Team to ensure that they are able to efficiently collect information and comprehensively understand how the partnership is supporting the children and families it serves.

Please note: The term “teachers” referenced in this protocol includes family child care providers. “Learning environments” includes both child care and family child care settings.



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Fiscal Management

The Grantee and its Partner must develop a written agreement that describes the programmatic and fiscal roles and responsibilities of both the Grantee and the Partner. The written agreement, regardless of how titled (e.g., Partnership Agreement, contract, Memorandum of Understanding, etc.) must designate who is responsible for providing what program services and indicate the fiscal responsibilities associated with carrying out the goals of the grant. EHS programs partnering with childcare programs must understand the childcare subsidy system, including eligibility and reimbursement. The Grantee and Partner should routinely review the written agreement and adapt it to make needed changes that include the basis and process for termination of the agreement by the Grantee or Partner.

Implementation of the Partnership Agreement

(Note that the Reviewer will answer the following italicized questions from information collected; the Reviewer does not pose these questions to the Grantee and partner.) Is there evidence of layered funding? Are internal control procedures in place to ensure appropriate spending and use of funds? Is there a process in place to ensure that Partners develop and budget effectively?

Questions for the Grantee and Partner

1. Describe your recruitment and enrollment practices for ensuring eligibility and maintaining full enrollment.

Possible Follow-Up:

- How are your slots allocated by partner?
- Are you fully enrolled? If not, what steps are you taking?
- What is your vacancy rate? What is attributed to this rate?
- Are you considering slot reallocation? If already done, did you complete a budget revision?

2. Review the written agreement. Does the written agreement clearly define fiscal obligations and responsibilities?

Possible Follow-Up:

- Is there a clear definition of Partner responsibilities, payment obligations, and required documentation?
- Is there language in the written agreement, a supporting agreement, or Fiscal Policies and Procedures that describes how payment to the Partner is calculated and when payment is due?

3. What type of challenges and successes have you experienced in implementing the fiscal and programmatic requirements of your written agreement?

Possible Follow-Up:

- Is funding distributed equitably and timely in a manner consistent with the responsibilities?
- Are payments distributed fairly based on what the parties agreed to do?
- What fiscal reports are required between the Partner and the Grantee?
- What type of fiscal training have you had, and to what extent has fiscal training occurred?
- How have you adapted as the program evolved?



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4. Does the Partner agreement(s) meet everyone's needs? If not, explain why.

Possible Follow-Up:

- How were the agreements tailored to each partnership?
- How often are the agreements reviewed?
- How are the changes linked to the budget?

Reviewer: Provide an overall summary of the EHS-CCP's implementation of the written agreement

Staffing and Compensation

5. Have you established a budget and, if so, how do you use it?

Possible Follow-Up:

- Do you compare budgeted to actual expenses monthly?
- How do you monitor Partner services to ensure all contracted services are completed at a reasonable cost, adequately documented, and paid timely?

6. How has staffing and compensation been impacted by your partnership?

Possible Follow-Up:

- Has staff compensation and/or retention been affected as a result of the partnership?
- Have additional, non-teaching positions been retained?
- Does the staff person who facilitates the Family Partnership Agreement have other responsibilities related to comprehensive services?

Reviewer: Provide an overall summary of the EHS-CCP's impact on staffing and compensation.

Governing Body and Policy Council

7. What type of financial information is prepared, and how frequently is it provided to the governing body and the Policy Council?

Possible Follow-Up:

- Is it shared with the partners? If so, how is the information organized, presented, and discussed with the partners?
- How is the information organized, presented, and discussed with the governing body and the Policy Council?
- Is the information meaningful, and does it help inform change or improvements?

Reviewer: Provide an overall summary of the EHS-CCP's report of information to the governing body and the Policy Council.

Implementation of Reimbursements

8. Is payment to the Partner for services made timely, in advance, or on a reimbursement basis?



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Possible Follow-Up:

- If no, please explain.
- If in advance, what is the reconciliation process?
- Have any payments been delayed for any reason? If so, explain.

9. Have the funding sources available for the childcare program been successfully maintained?

Possible Follow-Up:

- What is the process for submitting reimbursements and coordinating paperwork for Child Care Development Fund (CCDF) subsidies?
- How do you ensure the Grantee is able to assist the Partners in obtaining all available subsidies?
- Is funding sufficient for the Partner to provide services for all enrolled children, even if the subsidy is lost during eligibility? Are subsidies being received for 25 percent of children?
- How many children in the program have lost their subsidies?
- Are parents being charged any costs associated with their children’s EHS enrollment other than State-required parent contributions (commonly referred to as co-pays)?

Reviewer: Provide an overall summary of the EHS-CCP’s implementation of reimbursement.

Approval and Record-Keeping Processes

10. How have your approval processes and record-keeping for partnership expenses changed?

Possible Follow-Up:

- Are you able to differentiate costs by the different types—Level or layers?
- How has the partnership changed any cost allocation plans for either the Grantee or the Partner?
- Does the Partner have the ability to replace CCDF funding no longer available to the Partner, and if so, how?
- Are you able to identify administrative costs?

Reviewer: Provide an overall summary of the EHS-CCP’s approval and record keeping processes.

Attainment of Non-Federal Shares

11. Describe your (Partner) responsibilities in generating non-Federal match for the partnership award.
12. Describe the procedures used (Grantee) to determine the allowability of non-Federal match provided by Partners.

Reviewer: Provide an overall summary of the EHS-CCP’s attainment of non-Federal shares.



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1302.40 Health and Safety

How have the Grantee and Partner worked together to provide high-quality Health, Oral Health, Mental Health, and Nutrition services? Are the services developmentally, culturally, and linguistically appropriate? Do the services support each child’s growth and school readiness?

Reviewer Note: Throughout your visit, take notes of examples of the Grantee and Partner working together to provide high-quality Health services. Record examples of successes or challenges in the following areas:

- Collaboration and communication with parents (1302.41)
- Child health status and care (1302.42)
- Oral health practices (1302.43)
- Child nutrition (1302.44)
- Child mental health and social and emotional well-being (1302.45) (1302.17)(b)
- Family support services for health, nutrition, and mental health (1302.46)
- Safety practices (1302.47)

Include examples of healthy practices (such as diapering, handwashing, safe sleeping, maintaining ratios, proper sanitation) or evidence that Partners and Grantees use appropriate practices if not observed.

- How do the Grantees and Partners ensure background checks are completed prior to hiring staff (648A(g)(3)(A-C))?
- Describe the Partner’s efforts to ensure appropriate supervision of children at all times and the appropriate release of children.
- Write detailed descriptions of partnership learning environments (including playgrounds and overall facilities), quality of the environment, and any safety concerns present.

Health and Safety Summary

- Provide a detailed description of the services provided and the funds used to change, improve, or enhance the Partners’ ability to provide high-quality Health services.
- Use your notes and highlights to indicate how well the Grantee and Partner(s) are providing services and where they need to make improvements.

Reviewer: Provide an overall summary of the quality of the EHS-CCP’s Health services.



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1302.30 Education and Child Development Services

How have the Grantee and Partner worked together to provide high-quality Early Education and Child Development services (including services for children with disabilities) that promote children’s cognitive, social, and emotional growth for later success in school?

Reviewer Note: Throughout your visit, take notes to highlight examples of the Grantee and Partner working together to provide high-quality Education and Child Development services. Record examples of successes or challenges in the following areas:

- Teaching and learning environments (1302.31)
- Progress toward school readiness goals (1302.32)
- Use of child outcomes data (1302.102(c))
- Child screenings (1302.33) (No examples are required for assessments at this time.)
- Parent and family engagement in Education and Child Development services (1302.34)
- Additional services for children with disabilities (1302.61)
- Transitions from Early Head Start (1302.70)
- Providing effective and nurturing adult-child interactions (1302.92(b)(5))
- Staff qualifications and competency (1302.91)
- Training and professional development (1302.92)
- Services to pregnant women (if applicable)(1302.80)

Include examples of Child Development practices (such as consistency of care, improved experiences for infants and toddlers, joint training opportunities, and other supports for teacher development).

Education and Child Development Services Summary

- Ask Partners and Grantees to provide detailed descriptions of the services provided and how funds were used to change, improve, or enhance the partners’ ability to provide high-quality Education and Child Development services.
- Have Partners increased the number of CDAs or other credentials in their program as a result of the partnership?
- As a result of the partnership, how many non-EHS children have received developmental screenings without additional cost to the program?

Reviewer Note: Use your notes and highlights to determine how well the Grantee and partner(s) are providing services and where they need to make improvements.

Reviewer: Provide an overall summary of the quality of the EHS-CCP’s Education and Child Development services.



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1302.50 Family and Community Engagement

How have the Grantee and Partner worked together to integrate parent and family engagement strategies into all systems and program services to support family well-being and promote children’s learning and development?

Reviewer Note: Throughout your visit, take notes to highlight examples of the Grantee and Partner working together to provide high-quality Family and Community Engagement services. Record examples of successes or challenges in the following areas:

- Family engagement approach (1302.50)
- Parent activities to promote child learning and development (1302.51)
- Family partnership services (1302.52)
- Community partnerships (1302.53)
- How do the Grantee and Partners address prevalent needs of families across their program that may leverage community partnerships or other funding sources?
- How do the Grantee and Partners ensure that program staff deliver quality family engagement experiences? How does the program collect data related to this work?

Family and Community Engagement Summary

- Ask Partners and Grantees to provide detailed descriptions of the services provided and how the funds were used to change, improve, or enhance the partners’ ability to provide high-quality family and community engagement services.

Reviewer Note: Use your notes and highlights to determine how well the Grantee and Partner(s) are providing services and where they need to make improvements.

Reviewer: Provide a summary of the quality of the EHS-CCP’s Family and Community Engagement services.



Early Head Start–Child Care Partnership Review

1302.100 Program Management and Quality Improvement

How has the Grantee provided management and worked with the Partner to implement a process of ongoing monitoring and continuous improvement for achieving program goals that ensure child safety and the delivery of effective, high-quality services?

Reviewer Note: Throughout your visit, take notes to highlight examples of the Grantee working to provide effective oversight and support of the partnerships. Record examples of successes or challenges in the following areas:

- Management system (1302.101)
- Achieving program goals (1302.102)
- Understanding the Head Start Program Performance Standards

Include examples of management practices such as Ongoing Monitoring Procedures, regular site visits, key stakeholder involvement in planning, the results from annual Self-Assessments and Community Assessments, and progress towards program goals.

Program Management and Quality Improvement Summary

- Ask Partners and Grantees to provide detailed descriptions of the program’s management and quality improvement systems and state how the funds were used to change, improve, or enhance the Partners’ ability to manage their programs and implement a process of ongoing monitoring and continuous improvement for achieving program goals.

Reviewer: Provide a summary of the quality of the EHS-CCP’s management and process of ongoing monitoring and continuous improvement for achieving program goals.

Comprehensive Summary

- Evaluate the benefit of the partnership funds in each area.
 - Were funds used to directly or indirectly improve services, systems, or environments?
 - What was the overall benefit for children and families?
 - Has the partnership been able to sustain improvements and improve outcomes for children and families?
- How has the Grantee assisted Partners in building program capacity? How do Partners use partnership resources to build their capacity to comply with the Head Start Program Performance Standards?

Reviewer: Ask the Grantees and Partners what overall changes the Partner needed to make in order to fit into the structure of the EHS-CCP. How did the Grantee influence and support those changes?