



On-Going Monitoring

Standard Operating Procedures

*Aligned with the 2016 Head Start
Program Performance Standards
(Standards 1302.100 – 1302.103)*

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Website Addresses for Regulations

45 Code of Federal Regulations Part 74

45 Code of Federal Regulations Part 75

2 Code of Federal Regulations Part 200

(Program specific)

<http://www.gpoaccess.gov/cfr/>

Head Start Program Performance Standards

<http://www.eclkc.ohs.acf.hhs.gov>

State Licensing Minimum Standards

[http:// www.dfps.state.tx.us](http://www.dfps.state.tx.us) › ... › [Child Care Standards And Regulations](#)

INTRODUCTION

The following plan and procedures are intended to provide an overview of the monitoring activities of CSNT Head Start. The primary purpose of the plan and procedures is to document that CSNT Head Start is performing monitoring in compliance with the requirements of the Head Start Performance Standards and the OMB Circulars.

The plan and procedures have been approved by the CSNT Head Start Governing Board and the CSNT Head Start Policy Council. All CSNT Head Start staff are to comply with the plan and use the procedures when monitoring appropriate areas.

MONITORING PLAN

With the implementation of the new Head Start Program Performance Standards, it is now required that programs have efficient and effective monitoring systems. A recent study by the United States General Accounting Office (GAO) indicated that when effective, comprehensive monitoring procedures were lacking there were significant deficiencies in contract oversight and performance.

It is the intent of CSNT Head Start to develop and implement a comprehensive integrated monitoring process to meet or exceed the requirements set forth by local, state, and federal requirements. We also intend to work closely with the funding agency and provide support necessary to ensure that the CSNT Head Start Program meets or exceeds financial and programmatic expectations.

Regulatory Requirements

It is the intention of CSNT Head Start to perform monitoring in compliance with the new Head Start Performance Standards and any other local, state, or federal regulations that apply. The specific regulations consist of all of the Code of Federal Regulations that applies to Head Start, the new Head Start Performance Standards, and Texas Child Care Minimum Standards. Our monitoring procedures will address these regulations and tests will be performed, as appropriate, based upon our preliminary risk assessment.

Monitoring Responsibilities and Timing

Monitoring will be performed by the Head Start staff. This staff will consist of the Head Start Director, Assistant Head Start Director, Program Monitor, Administrative Staff, Finance Department, and program staff. Staff will work closely together to design appropriate monitoring procedures for each Head Start management/content area. Monitoring will be done that provides maximum cooperation and involvement of the program staff. Results will include suggestions for training or technical support and positive comments as well as findings and recommendations.

Self-Assessment

During each school year, a self-assessment will be completed in the Head Start Program. The extent of the on-site assessing, the number of site visits, and the amount of on-going contact with staff/parents in each area will

be based on the risks associated with the program Campuses and Administrative Office. The risk classifications and descriptions are as follows:

Low Risk – No audit findings, experienced staff providing services, small campus, well-trained staff, positive relationships with staff, and excellent history of performance and financial stability.

Medium Risk – Audits performed, some audit findings in the past, large campus, change in staff, new or relatively new service providers, and somewhat less than excellent history of performance and financial stability.

High Risk – No audit or audit with material findings, pass-through entity concerns, large campus, new service providers, major staff turnover, and less than excellent history of performance and financial stability.

As the risks are evaluated for each area, it is understood that all of the conditions in each category need not be present, and that the assignment of risk is subjective. This information will guide the site choices and the extent of the assessment.

Self-Assessment monitoring will be performed according to the following schedule:

TASKS

Self-Assessment

RESPONSIBILITY

Self-Assessment Team Members
(Including staff, parents, Board Members, and Community Partners)

TIMING

Annually (follow-ups as needed)

DOCUMENTS/ENVIRONMENTS

Children's Records
Personnel Records
Financial Records
Classroom Environment
Campus Environment
Playground Environment
Transportation/Bus Ride Management Records
Interview Staff
Interview Parents

MONITORING TOOL FOR THIS AREA (OHS MONITORING PROTOCOLS OR TOOL APPROVED BY SELF-ASSESSMENT COMMITTEE)

Grant Requirements

The Head Start Grant will be reviewed during Finance Meetings prior to funding request to ensure that all of the requirements included in the various regulations are being addressed. A data analysis will be prepared indicating that the review was performed, any special conditions or considerations as a part of the monitoring, and any CSNT Head Start grant changes that may affect the monitoring process will be addressed.

Desk Reviews

Monthly Progress Reports including financial and programmatic performance information will be designed to allow for ease of preparation and ease of review and analysis by the CSNT Head Start staff. The Program Monitor will be responsible for tracking compliance in all programmatic areas and the Head Start Director/Executive Director will be responsible for all areas including finance. This will require the finance department to report appropriate cost and revenue categories so that CSNT Head Start reporting matches the general ledger reporting categories. Management staff will also be responsible for monitoring their areas for compliance on a monthly basis.

Reports from campuses/management staff will be reviewed monthly. The monitoring data will be analyzed and prepared discussing issues of timeliness, trends, performance to date, spending rates in line items and budget to actual expenditures. All variances/trends will be addressed immediately by the Finance Director, Executive Director, Head Start Director and appropriate program staff, as necessary.

TASKS

Desk Reviews
(Monthly Program Progress Reports
And Monitoring Reports)

TIMING

Monthly (follow-ups as
needed)

RESPONSIBILITY

Program Monitor
Management Staff
Financial Staff
Campus Staff

DOCUMENTS/ENVIRONMENTS

Children's Records
Personnel Records
Financial Records
Classroom Environment
Campus Environment
Playground Environment
Transportation/Bus Ride
Management Records
Interview Staff
Interview Parents

MONITORING TOOL FOR THIS AREA (CSNT MONITORING FORMS, MONTHLY PROGRESS REPORTS INCLUDING MIP REPORTS)

On-Site Reviews

On-site reviews will be performed at least monthly. The level of monitoring done will be based on the risk assessment and desk review findings. A report will be prepared indicating the monitoring performed during the site visit.

All program areas will be monitored on at least a monthly basis. The nature and timing of the visit can vary according to the risk assessment, as will items needed, and any special concerns. Training and technical support issues will be discussed and positive comments prepared along with any findings and recommendations.

The results of on-site reviews will be discussed and a document presented for discussion purposes. All follow-up visits will be conducted in a timely manner. The resolution of any findings will be considered a joint effort between the staff and management. All findings should be corrected within 45 days of the on-site visit unless otherwise documented.

TASKS

On-Site Reviews

TIMING

Monthly (follow-ups as needed)

RESPONSIBILITY

Program Monitor
Management Staff
Financial Staff
Campus Staff

DOCUMENTS/ENVIRONMENTS

Children's Records
Personnel Records
Financial Records
Classroom Environment
Campus Environment
Playground Environment
Transportation/Bus Ride
Management Records
Interview Staff
Interview Parents

MONITORING TOOL FOR THIS AREA (CSNT MONITORING FORMS, MONTHLY PROGRESS REPORTS INCLUDING MIP REPORTS and Self-Assessment Forms)

Closeout Reviews

Upon receipt of the final report, the Head Start Director or his or her designee will review the report, the status of all findings, and any other issues relevant to the program. The Head Start Director will discuss the report with the Program Monitor (Executive Director) or other relevant staff, regarding any items in question. As soon as all findings are cleared, a closeout document will be issued to the Head Start Director.

MONITORING RESPONSIBILITIES

The following is a list of the monitoring responsibilities:

Head Start Director – (Administrative Team – AHS Director & Program Manager)

Bi-monthly – Finance Meetings (Finance Director/Executive Director), Administrative Staff Meetings/Budget Meetings (All HS Administrative Staff/Executive Director).

Monthly – ERSEA (Attendance Reports), Monitoring for Compliance Reports - all programmatic areas, CSNT Monthly Progress Reports, PIR Data – all areas, Finance/Budget Reports, Campus Director Meetings

Quarterly – Personnel records, Classroom Assessment Scoring System Reports, Teacher Training Hours – Report, Strategic Plan Goals, School Readiness Goals, and Family and Community Partnership Goals

Annually – Self-Assessment Report(s), Program Information Report, Community Assessment Data

Education Team

Monthly – Program Progress Reports, Monitoring for Compliance Education (Classroom site visit and Documentation review) at least one Campus per month, Teacher Coaching/Mentoring Site Visits (every teacher at least once per month), Monthly Compliance Report for Education (PIR Data), Budget Reports

Bi-annually – Classroom Assessment Scoring System (on-site observation), School Readiness Committee Meetings

Quarterly – Campus School Readiness Meetings (Discuss/Analyze Data)

Annually – Self-Assessment Team Leader/Member

Family Service Specialist

Monthly – Program Progress Reports, Monitoring for Compliance ERSEA/Family & Community Engagement (Site Visits/File Checks/Parent Interviews) at least one Campus per month, ERSEA (Attendance) Reports, Monthly Compliance Report for Family Service (PIR Data), Family Service Meeting, Budget Reports

**Bi-annually - ERSEA Committee Meeting, Family
Annually – Self-Assessment Team Leader/Member**

Health Implementation Team

Monthly – Program Progress Reports, Monitoring for Compliance Health/safe Environments (children’s files/site visits), Monthly Compliance Report for Health (PIR Data), Budget Reports, Health Implementation Team Meeting

**Bi-annually – Health Advisory Committee Meeting
Annually – Self-Assessment Team Leader/Member**

Disability/Mental Health Specialist

Monthly – Program Progress Reports, Monitoring for Compliance Report Disability/Mental Health (children’s files/site visits) at least one Campus per month, Monthly Compliance Report for Disability Mental Health (PIR Data), ERSEA/Attendance Report, Budget Reports, Health Implementation Team Meeting

**Bi-annually – Health Advisory Committee Meeting
Annually – Self-Assessment Team Leader/Member**

Transportation

Monthly – Program Progress Reports, Monitoring for Compliance Transportation (children’s files/site visits/Bus Rides) at least one Campus per month, Monthly Compliance Report for Transportation (PIR Data), Budget Reports

Annually – Self-Assessment Team Leader/Member

Nutrition

Monthly – Program Progress Reports, Monitoring for Compliance (children’s files/site visits during meals) at least two Campuses per month to view each meal service at least once per year though one announced and two unannounced monitoring visits (Monthly Compliance Report completed by Nutrition Manager with CACFP data), budget Reports, and PIR Data, Health Implementation Meeting

Annually – Self-Assessment Team Leader/Member, CACFP announced and unannounced monitoring visits (Schedule is according to CACFP regulations/requirements)

Program Monitor

Monthly – Program Progress Reports, Monitoring for Compliance (at least one programmatic area per month) (children’s files/site visits/bus rides) at least one Campus per month, Monthly Compliance Report for Program Monitoring (PIR Data), In-Kind Report, Track Monitoring Compliance

Bi-Annually – Monitoring for Compliance Safe Environments (Each Campus)

Annually – Self-Assessment Team Leader/Member, Program Management Monitoring for Compliance

Finance Department Monitoring

Monthly – Budget Reports (See Financial Policies and Procedures for more detailed information)

Annually – Self-Assessment (Finance is Monitored by Board Treasurer) (On-Site Review of Documents/Interview Finance Director)

Program Management Monitoring for Compliance (by Program Monitor) (On-site Review of Documents/Interview Finance Director), Annual Audit by outside Auditors

Campus Directors

Monthly – Campus Director Monitoring Form (On Site/Document Review)

Campus Director Meetings

Quarterly – School Readiness Team Meetings (Discuss/Analyze Data)

CSNT Head Start monitors all areas of the program on a regular basis according to the regulations and standards. This list is not inclusive of all of the monitoring that is done on a daily basis and as needed by risk assessment. Management staff has the ability to monitor on an as needed basis according to information and data that they receive.

Each staff person is responsible for monitoring their work on a daily basis. Supervisors are responsible for monitoring the staff that they supervise to make sure that quality services are provided to children and families.

Listed below are some of the tools that are available for them to use in the monitoring process:

Child Plus Inc. – Database System for tracking program information pertaining to children, families and personnel

CIRCLE Child Assessment (CLI Engage) – Database System for tracking children’s developmental progress in each of the Head Start Framework Domains

CLASS – Classroom Assessment Scoring System

ESI – Early Screening Inventory is a child screener used to track the development of children entering the Head Start Program.

MIP – Financial database tracking system

PayChecks – Database System for Payroll and Personnel Data Tracking

mCLASS – Database System for assessing children’s development levels in Mathematics and Language/Literacy (Part of the Texas School Ready System)

Monthly Progress Reports – CSNT Head Start spreadsheet used to track monthly progress in each content area and for the program.