

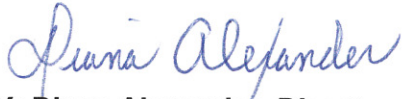


COUNTY OF SAN BERNARDINO
PRESCHOOL SERVICES DEPARTMENT
POLICY

PROGRAM DESIGN/MANAGEMENT

EFFECTIVE: 06-25-13
 Updated 01-28-16

SUBJECT:
ON-GOING MONITORING POLICY AND PROCEDURE

APPROVED: 06-25-13

BY: Diana Alexander, Director

PURPOSE

To ensure compliance and best practice with Federal Standards and Administrative requirements in the Head Start/Early Head Start programs. Preschool Services Department (PSD) recognizes its responsibility to provide ongoing monitoring of its Contract Agencies, Delegate Agency and grantee operations. It is the policy of PSD that all programmatic, management and fiscal areas of the program be regularly monitored and that appropriate and timely follow-up is provided to ensure correction of non-compliance findings.

POLICY

On-going monitoring by Preschool Services Department, enables the grantee to assess compliance and quality of directly operated sites as well as their contract agencies and Delegate Agency for the purpose of ensuring that these operations effectively implement State, Federal, and County of San Bernardino regulations, policies/procedures and best practices.

REFERENCE

Head Start Performance Standards, 45 CFR 1304.51(h) (1) and (i) (2) of Management Systems and procedures; and Section 641A (a) of the Head Start Act and subpart D, Program Design and Management 1304.51(l) (2).

PROCEDURE

Using the Systems Monitoring Road Map site operations of the Grantee, contract agencies and Delegate Agency will be monitored through announced and unannounced site visits. The purpose of the visits are documented on the yearly monitoring calendar and Monitoring Road Map and culminate in identifying and correcting non-compliance findings as well as highlighting best practice. Site visits are both announced and unannounced. Non-compliance findings that pose no immediate health or safety risk are expected to be corrected within fifteen (15) business days.

ANNOUNCED SITE VISITS AND UNANNOUNCED SITES VISITS

Ongoing monitoring will be conducted through announced and unannounced visits to each program site.

Announced Site Visits will be made in response to previous findings identified and documented in site visit reports. Any site scheduled for an announced site visit will receive one week notice. The Quality Assurance team will input all monitoring reports into the electronic record keeping system internal monitoring module and at the conclusion of each

site monitoring visit a de-briefing between the Site Monitor and the Site Supervisor or Child Care Supervisor will occur. Any site requiring corrective action will have fifteen (15) business days to correct the finding, except in the case of health and/or safety where correction will be immediate.

Unannounced Site Visits are made at the discretion of the program and may be prompted by the need for routine health and safety checks, incident reports, follow up to a licensing visit or concern and issues or concerns raised by staff or parents. Protocol for an unannounced site visit is to provide initial on-site notification to the Site Supervisor. Similar with an announced site visit, a monitoring report will be entered into the electronic record keeping system internal monitoring module and at the conclusion of each monitoring visit a de-briefing between the Site Monitor and the Site Supervisor or Child Care Supervisor will occur. Any site requiring corrective action will have fifteen (15) business days to correct the finding, except in the case of health and/or safety where correction will be immediate.

Announced and unannounced site visits will review the following program and management areas:

- Eligibility, Recruitment, Selection, Enrollment, Attendance (ERSEA);
- Licensing Requirements;
- Record Keeping and Reporting;
- Health Services;
- Transition;
- Parent Involvement; and
- Classroom Environment and Teacher/Child interaction referred to as Classroom Assessment Scoring System (CLASS).

CONTENT AREA MONITORING – INTERNAL

Each Program Supervisor, Content Area Specialist and Site Supervisor is responsible for the monitoring of their assigned service area. During the start of each program option, initial site monitoring will focus on Eligibility, Health and Nutrition.

ELIGIBILITY

Eligibility is the initial focus of monitoring with the start of each program option. Site Supervisors, Program Supervisors, and Quality Assurance members ensure that children's files contain complete applications, verification of eligibility and are signed and dated by parents and staff. Verification of classroom counts and electronic record keeping system reports are documented to ensure recordkeeping is consistent and complete. Copies of component checklists are left with the Site Supervisor. Monthly summaries of monitoring reports are discussed at management meetings. Delegate Agency and contract agencies will be monitored by Quality Assurance.

Monitoring Tools

Electronic Record Keeping System Enrollment Reports
Child's File checklist

HEALTH, NUTRITION, DISABILITIES

Phases of monitoring in Health, Nutrition and Disabilities are implemented with the start of each Program Option. Children's files are monitored within thirty (30) days of the start of each program option to ensure compliance with state licensing requirements as well as Head Start performance standards. Electronic Record Keeping System reports are reviewed monthly or as needed to track follow up of identified non-compliance findings. Health, Nutrition and Disabilities Content Specialists schedule individual site visits at a minimum of once a month to review files and/or observe classroom operation. Component checklists are used to document any non-compliance issues and a copy is left with the Site Supervisor. Each content area is responsible for providing a copy of the site visit report to the Quality Assurance team. All Health and Safety findings/concerns identified during a site visit must be reported immediately. Delegate Agency and contract agencies will be monitored by Quality Assurance and Content Area Specialists.

Monitoring Tools

Electronic Record Keeping System Health Reports
Electronic Record Keeping System Referral Reports
Child's File checklist
ASQ3/ASQ-SE
Minutes from Interdisciplinary Team Meetings

EDUCATION/CHILD DEVELOPMENT

Education is staffed with three Program Managers The managers schedule individual site visits at a minimum of once a month, or more often as needed. All Health and Safety findings/concerns identified during a site visit must be reported immediately.

The education managers monitor the following to ensure that site supervisors are following up with teaching and support staff continually and consistently:

Agency Safe-Environment Checklist;
On-Going Observation of Children;
CLASS Observations;
DRDP Assessment;
Parent Meetings – Sign In and Agenda;
Staff Meetings – Sign In and Agenda;
Implementation of the Curriculum throughout the Classroom Environment (ECERS);
Lesson Plans;
Children's Files;
Electronic Record Keeping System Reports;
Socializations;
ASQ3 and ASQ/SE.

In addition to the specific content monitoring, the education unit also participates in the overall agency monitoring and assessment of the program through the Self-Assessment, Parent Surveys and Screening Checklists. The managers work in collaboration with the Quality Assurance team to follow-up with any non-compliance items identified during their site visit as well as during management meetings. Delegate Agency and contract agencies will be monitored by Quality Assurance and Content Area Specialists.

Monitoring Tools

Electronic Record Keeping System reports
Safe Environments Checklist
Child File Checklist

FAMILY/COMMUNITY PARTNERSHIPS

Program Supervisors will monitor the implementation of Family Partnership Agreements with the start of each program option. The focus of monitoring will be to ensure that each family enrolled has the opportunity for engagement and to identify family strengths and that resources provided to families are documented in the child's file as well as in the Electronic Record Keeping System. Electronic Record Keeping System reports will be monitored monthly and followed up with site visits to review files. Site Visit reports are used to document compliance findings and a copy is left with the Site Supervisor. The ERSEA Program Manager is responsible for ensuring that each Program Supervisor monitors their assigned territory and overall compliance with the content area. All Health and Safety concerns/findings identified during a site visit are reported immediately. Delegate Agency and contract agencies will be monitored by Quality Assurance and Program Managers.

Monitoring Tools

Electronic Record Keeping System reports
Child's File

SAFE ENVIRONMENTS – HEALTH AND SAFETY

Safe Environments – Health and Safety monitoring focuses on four performance areas. The four performance areas are safe and clean environments, safe and sanitary practices, staffing and supervision, and safe transportation. Program staff will visit each grantee site every other month and each contract agency and delegate agency at least twice in a program year to complete the Health and Safety checklist to ensure that each site is free of potential hazards to children. These reports will be reviewed by Program Managers and Quality Assurance. Quality Assurance will include findings/concerns in their subsequent site visit to ensure action is taken. All findings/concerns will be discussed at Level I Management Meetings. At each grantee operated site a daily health and safety checklist is performed by the Site Supervisor. Within one week of the monitoring, the electronic record keeping system will be updated and appropriate work orders will be submitted to the Hallmark Building where maintenance/facilities are located. Site Supervisors are responsible for initiating a work order and forwarding it to the Hallmark Building for every repair needed at the site. Additionally, there is a monthly checklist performed for the overall site kept in binder at site. **(Refer to the Safe Environments Policy & Procedure for additional information)**. All Health and Safety findings/concerns identified will be reported as identified in the Safe Environment Procedure.

Monitoring Tools

Outdoor/Indoor Daily Site Checklist
Outdoor/Indoor Monthly Site Checklist
Work Order Log

HUMAN RESOURCES

Employee files will be randomly reviewed monthly to ensure compliance with hiring practices, current qualifications, finger print/criminal clearance, work performance evaluations and individualized professional development plans. All managers share in this responsibility.

Monitoring Tools

Electronic Record Keeping System Reports
File Access Sheets
Human Resource Checklist
Staff Personnel Files at Site Level

FISCAL

Fiscal records such as attendance, meal counts, non-federal share contributions and monthly expenditures will be reviewed monthly by PSD managers and Quality Assurance. Delegate Agency submits monthly fiscal report reviewed by PSD Fiscal.

Monitoring Tools

Electronic Record Keeping System Reports
Fiscal Checklist
Fiscal Reports submitted to Level I Management

ADMINISTRATION AND HALLMARK BUILDING

The Quality Assurance staff submits a copy of the Human Resources Credentialing Sheet to PSD Human Resources for completion. The Deputy Directors and Quality Assurance Manager will schedule appointments in April and May with Fiscal, Program Governance/Planning, Education Managers, T/TA and Family Community Partnerships to review the information on the Monitoring Protocol as part of the Self-Assessment process. Quality Assurance staff checks the Hallmark Building for health and safety concerns.

TRANSPORTATION MONITORING

The Quality Assurance staff will conduct quarterly monitoring of all of its buses to ensure that the grantee transportation contractor is adhering to the Head Start Performance Standards. The quarterly monitoring will include a Quality Assurance staff person conducting a bus ride on the Head Start bus routes, reviewing the drop off and pick up procedures at the grantee sites that have transportation, and conducting bus inspections on the buses utilized by the grantee transportation contractor (**See Transportation policy for more information related to child safety**). Any finding/concern identified on the report will require immediate correction. Follow up will be completed by Quality Assurance.

In addition, the grantee transportation contractor will conduct an annual performance evaluation of their staff to ensure that the staff follows the State Transportation Regulations, Head Start Performance Standards, Contract Agreement, California Bus Driver's Training Course, California Highway Patrol Passenger Safety Handbook – HPH82.7, and other policies mandated by the Transportation Department. The bus driver conducts daily roll call at pick-up and drop-off points. Colton Unified School District is the only contract partner that provides bus transportation for Head Start Children.

MONITORING TOOLS:

The electronic record keeping system reports will be generated by Quality Assurance staff and analyzed for patterns of compliance. These reports will be used in conjunction with site visit reports to foster consistency and reliability and used to identify trends and ensure best practices are followed. The electronic record keeping system provides reports that include but are not limited to:

- Enrollment;
- Eligibility;
- Over-Income;
- Health;
- Referrals;
- Education Assessments; and
- Transition.

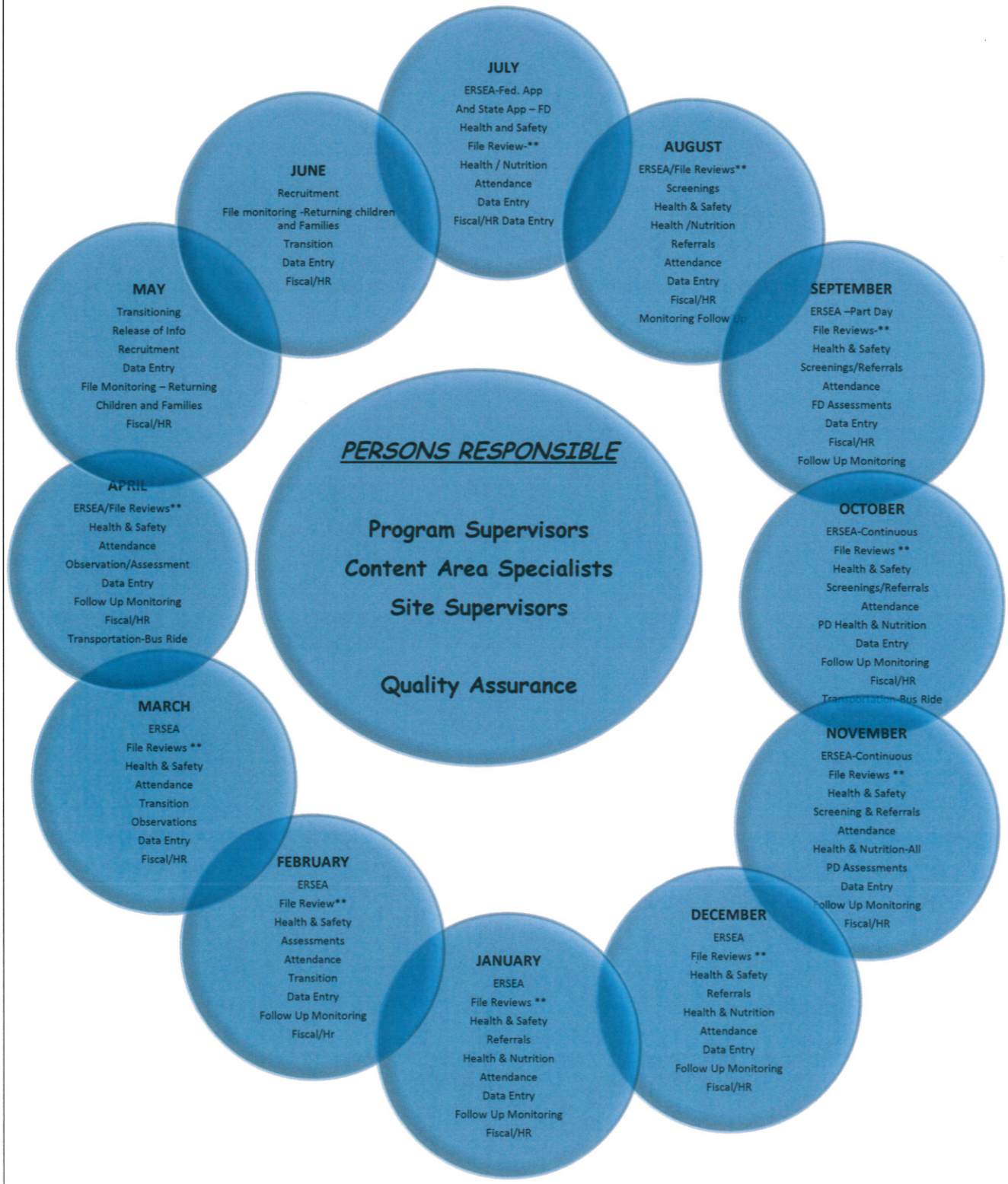
DETERMINATION OF NON-COMPLIANCE

Monitoring reports will be discussed at Level I Management meetings to ensure consistency, accuracy and identification of systemic issues. Monitoring checklists will be summarized and will be used to identify strategies for correction and potential training needs. A summary of monitoring reports will be shared with the Director, Policy Council and Shared Governance Board.

The agency uses file checklists located in the electronic record keeping system to verify and record file content requirements as well as electronic record keeping system reports to track progress of services on a monthly basis. At the end of the site visits, a copy of the component checklist is given to the site supervisor or the person debriefed with at the site. Summaries of the checklists are reviewed by the Quality Assurance manager to ensure follow up to identified non-compliance items. Quality Assurance staff enters their monitoring summary reports into the electronic record keeping system and notifies the Quality Assurance Manager upon completion of this process. The results of these reports are used in program planning, program improvement and training and technical assistance for staff through Pre-Service and cluster workshops.

Monitoring Worksheets/Checklist and Reports are available at the Administration Office and are housed with the Quality Assurance Manager and in the electronic record keeping system.

ANNUAL - SYSTEM MONITORING ROAD MAP



** Class room files to be monitored during classroom visits