



# Office of Head Start Monitoring System

## FY10 Onsite Monitoring Review Documents and Materials

The Office of Head Start requires Grantees to make the following materials available to the monitoring review team while onsite:

Documents/Materials
Home Visitors Qualifications
Lesson plans
Written materials that guide teacher promotion of accepting and respectful environments
Materials that guide or assist in teacher support of social-emotional development
Curriculum (commercial, enhanced or locally developed)
Child files: Include one or more files of children with IEPs, and children identified with behavioral and mental concerns
Assessment tools or documents teachers use to gather/record assessment information
On-going assessments
Evidence of a process to determine on-going source of continuous accessible health care
Evidence of a tracking system for children who are up to date according to EPSDT
Children's health records or other sources that demonstrate how they track provision of health services to children, including preventive and treatment services
Proof of written documentation of parent's refusal for health services
Procedures for responding to medical and dental emergencies
Posted directions to staff about administering first aid
Emergency contact information – posted
Copies of policies and procedures that include methods of notifying parents in the event of an emergency with their child and/or short-term injury or contagious illness which resulted in short term exclusion from the program. If this type of exclusion has occurred within the program year, include at least one child's file where event is documented.
Documentation of parent reporting of health and safety needs
Documentation of how health and safety needs are handled with regard to confidentiality policy
Written policies regarding designation of staff to administer medication; ensuring proper administration, labeling, handling and storage of medication
Files of children on medication
Written policies regarding obtaining physicians instructions and written parent/guardian authorization for all medication administered by staff
Written policies regarding ensuring individual records are maintained for all dispensed medication
Written policies ensuring that changes in child's behavior that may have implications for dosage or drug type are recorded



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## Documents/Materials

If EHS program, provide examples of mental health and/or substance abuse intervention and follow up
Nutrition related assessment data
Menus covering a full four week period of time
Policy and procedure to guide regular communication with parents regarding diet and nutrition
Materials that promote effective dental hygiene
Documentation of up-to-date family contact information and consent for emergency care
Copy of posted licenses and certificates that permit food handling and service
Copy of food service vendors' licenses and certificates
Documentation of recruitment activities targeting pre-school age children with disabilities
Procedures for referring a child suspected of having a disability for evaluation to the LEA
Documentation of parental consent before evaluations are conducted
Documentation to demonstrate how parents' participation is supported in developing and implementing the IEP
Documentation to demonstrate transportation is provided to children with disabilities to and from the program, special clinics, or other service providers
Documentation to demonstrate the program informs parents of their rights under the Individuals with Disabilities Education Act (IDEA)
Documentation of specific efforts to establish interagency agreements w/LEA
Procedures for ensuring that the written disabilities service plan is updated annually
Schedules of certified or licensed mental health professionals
Documentation of cases where parents were referred to community mental health resources and received services to support needs
Evidence of a process to assist parents in their understanding of their child's behavior and mental health
Procedures followed when staff feel they need supervisory or management support to address the needs of families. Include Community Resource book, if available.
Written announcements, newsletters, addressed to parents
Documentation of absenteeism and procedure to follow up when required
Correspondence that demonstrates that staff are providing opportunities for all parents to engage in a family partnership process
Examples of families in crisis who were helped and what kind of help was provided (directly or through referral)
Examples that demonstrate parents are offered education or counseling programs and receive information about issues that place families at risk (i.e. mental health, child abuse, substance abuse)
Examples of continuing education, employment training, or other employment services (directly or through referral)
Examples of materials, services, and activities related to family literacy
Materials developed to encourage parent participation and to help parents feel welcome
Documentation used to solicit parent suggestions for curriculum development
Materials or resources developed to help parents enroll and participate in a system of ongoing family health care



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## Documents/Materials

Documentation of efforts to build partnerships
Minutes from Health Services Advisory Committee for the current program year
Written materials to support the agency practices for transitions from EHS to HS, and HS to Kindergarten
Written plans that demonstrate procedures to assist parents to become advocates during their child's transition periods
Procedures for safeguarding federal funds
Written procedures for cost determination in accord with 2 CFR Part 230, 7421(b)(6) and 2 CFR 21521(b)(6); 2 CFR Part 225, 9220 (b)(5); 2 CFR Part 220, 7421 (b)(6) and 2 CFR Part 21521(b)(6)
Written Procurement Procedures
Cost allocation plan
Evidence that federal funds are not co-mingled
Written procedures for minimizing the time elapsing between the draw down of funds from the Payment Management System and disbursement of those funds
Backup documentation to establish the specific disbursements supporting cash requests
Documentation of actual development and administrative percentage calculation
Records verifying claimed cost sharing or matching contribution amounts claimed as Non-Federal share. Include policy and procedures for valuation of claimed non-federal share/match.
Latest Indirect Cost Rate agreement (if applicable)
Documentation of appraisals
Organization's balance sheet
Written code or standards of conduct governing the performance of employees engaged in the award and administration of contracts
Documentation of procurement transactions
Copy of Approved budget and Regional Office approval letter
General Ledger
Listing of all purchased vehicles
Real property and equipment records
Listing of all facilities purchased, renovated, or leased with grant funds including address and physical description
Debt Agreements
Written approval of HHS in connection with any encumbrance or mortgage of property acquired or improved with Head Start funds
Timesheets
If approved for COLA/Quality in the prior award period, documentation related to the disbursement of those funds
Documentation of how the grantee determines wages paid are comparable to wages paid for similar work in the grantee organization or in the labor market in which the grantee competes for employees
Documentation of staff salaries and fringe benefits
Financial reports and accounting records to include interim reports provided to the Board and Policy Council/Committee



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## Documents/Materials

941 and 5500 returns within the last 12 months
Written policies defining the roles and responsibilities of the Governing Body members
Training materials/orientation materials related to carrying out responsibilities for Governing Body
Governing Board By-laws
Criteria for defining recruitment, selection, and enrollment priorities
Parent reimbursement policy, procedures and sample of completed paperwork or forms
Current program year Parent Committee records (meeting minutes or notes)
Procedures describing how the Policy Council works with the grantee or delegate governing body to resolve community complaints about the program
Documentation of ongoing monitoring activities, completed checklists, reports, etc.
Eligibility determination files
Enrollment records
Evidence of communication with delegates (if applicable)
Evidence of communication with staff; trainings, meetings, memos, letters, notices, bulletins, etc.
Financial and program operations reports
Documentation of staff health examinations (w/TBs) for new staff hired in the past 12 months
Written codes of conduct for its staff which include all elements specified in 1304.52(h)(1)(i)-(iv)
Documentation of the grantee staff training on identifying and reporting child abuse and neglect
Documentation of vehicle inspections
Procedures to ensure that the bus or alternative allowable vehicle is maintained in safe operating condition
Documentation of valid CDLs
Procedures for use of alternate routes in the case of hazardous conditions
Lists of the persons authorized to pick up children and up-to-date child rosters
Documentation of annual evaluations of bus drivers

Questions or comments should be sent to [HS2010Reviewdocs@danya.com](mailto:HS2010Reviewdocs@danya.com).