

# Triennial Monitoring Review 101:

## A Reviewer's Perspective

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# ACKNOWLEDGEMENTS

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# PARTICIPANT EXPECTATIONS

- What do you want to get out of the workshop?
- Do you have specific questions about the triennial monitoring review process?
- Do you, your staff, parents, and/or board members have any concerns about the process?
- How do you plan to use the information presented in this workshop?

# GOAL

Through an increased understanding of the triennial monitoring review process, workshop participants will develop strategies for ensuring compliance and for improving the quality of their Head Start program services, systems, and outcomes.

# OBJECTIVES

- **UNDERSTAND** review purposes, priorities, and recent review result trends
- **LEARN** about reviewer roles and responsibilities
- **KNOW** the basic triennial review process stages
- **DISCUSS** strategies to improve your program and prepare for a triennial review
- **USE** a custom database to improve your program's self assessment and review readiness processes

# REVIEW PURPOSES & PRIORITIES

- Head Start monitoring protocol
- OHS Monitoring System design
- Compliance frameworks
- Strengths



## The Head Start Monitoring Protocol Purpose

- ◆ Designed to create a Database of information about grantees for OHS
- ◆ Information collected in the protocol helps OHS make determinations about Head Start program Quality and Compliance
- ◆ Improve the quality of information collection
- ◆ Stimulate more comprehensive program analysis
- ◆ Maintain transparency in the monitoring system

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## OHS Monitoring Design

- Focuses specifically on areas that have a greater impact on grantee performance – the “big” picture
- Provides feedback to grantees to support grantee growth and development
- Provides a report on grantee performance that includes compliance and a summary of systems and services.

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## Compliance Frameworks

- Focus attention on the “big picture” of how grantees are providing services
- Shift focus from “exception based” to a broader perspective on grantee performance
- Highlight key objectives of promoting school readiness
- Group together specific compliance indicators to facilitate integration of information and a deeper understanding of grantee performance

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## Program Strengths

- Are important to Head Start grantees
- Describe what grantees are doing well
- Do not always exceed requirements



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# REVIEWER ROLES & RESPONSIBILITIES

- Review Team Leader
- Family and Community Engagement (FCE)
- Child Development and Education (CDE)
- CLASS<sup>®</sup>
- Management Systems Analyst (MSA)
- Fiscal Integrity (FI)

# FCE (CDE)

- Family and Community Engagement
- Mental Health
- ERSEA
- Disabilities (CDE)



## FCE Reviewer: Roles and Responsibilities



Reviewer	Mode of Data Collection	Guides
<b>FCE/CDE</b> (Disabilities, Mental Health, and FCP)	Interviews	<ul style="list-style-type: none"> <li>➤ Disabilities Coordinator and Content Area Expert Interview</li> <li>➤ Mental Health Coordinator and Content Area Expert Interview</li> <li>➤ FCP Coordinator, Parent Involvement coordinator and Content Area Experts Interview</li> <li>➤ FCP Staff Interview (FCP workers)</li> <li>➤ Parent Interview</li> </ul>
	Document Review	<ul style="list-style-type: none"> <li>➤ Transition Plans (FCP and DIS)</li> <li>➤ Disabilities Services Plan</li> <li>➤ Interagency Agreements</li> <li>➤ Contract or Memorandum of Agreement with Mental Health Consultant</li> <li>➤ Materials for Families</li> <li>➤ HSAC Roster and Meeting Minutes</li> <li>➤ Recruitment Materials (Related to DIS and FCP)</li> </ul>
	Child Files	Child file review for Disabilities and FCP

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# CHILD HEALTH AND SAFETY (CHS)

- Health
- Nutrition
- Safe Environments
- Transportation



# CHS Reviewer: Roles and Responsibilities



Reviewer	Mode of Data Collection	Guides	
<b>CHS</b> (Health, Nutrition, Safe Environments, and Transportation)	Interviews	<ul style="list-style-type: none"> <li>➤ Health Coordinator and Content Area Expert Interview</li> <li>➤ Nutrition Coordinator and Content Area Expert Interview &amp; Food Preparation Staff Interview</li> <li>➤ Facilities Coordinator Interview</li> <li>➤ Transportation Coordinator Interview</li> <li>➤ Bus Driver/Bus Monitor Interview</li> </ul>	
	Document Review	<ul style="list-style-type: none"> <li>➤ Class Roster</li> <li>➤ Health Policies and Procedures</li> <li>➤ Nutrition Policies and Procedures</li> <li>➤ Safe Environments Policies and Procedures</li> <li>➤ EPSDT Schedule</li> <li>➤ Health Tracking System</li> </ul>	<ul style="list-style-type: none"> <li>➤ State Vehicle Inspections</li> <li>➤ Driver Incident Reports</li> <li>➤ Facility Cleaning Log</li> <li>➤ Licensing or Inspection Report</li> <li>➤ Facility License</li> <li>➤ Menus</li> <li>➤ Pregnant Women Files</li> <li>➤ Training Plans and Policies</li> </ul>
	Observations	<ul style="list-style-type: none"> <li>➤ Health and Safety Center-based Observations</li> <li>➤ Health and Safety Center-based Checklist</li> <li>➤ Health and Safety FCC Observations</li> <li>➤ Health and Safety FCC Checklist</li> <li>➤ Bus Inspection</li> </ul>	
	Child Files	Child file review for Health and Nutrition	

# CDE and CLASS<sup>®</sup>

- Child Development and Education
- Disabilities
- *Classroom Assessment Scoring System<sup>®</sup>*





## CDE Reviewer and CLASS Reviewer: Roles and Responsibilities



Reviewer	Mode of Data Collection	Guides
CDE	Interviews	<ul style="list-style-type: none"> <li>➤ ECD Coordinator and Content Area Expert Interview</li> <li>➤ Teacher Interview</li> <li>➤ Family Child Care Interview</li> <li>➤ Home Visitor Interview</li> </ul>
	Document Review	<ul style="list-style-type: none"> <li>➤ Curriculum</li> <li>➤ Child Outcomes/Documentation of School Readiness Goals</li> </ul>
	Observations	<ul style="list-style-type: none"> <li>➤ CLASS</li> <li>➤ ECD Preschool Classroom Observations</li> <li>➤ ECD Infant and Toddler Classroom Observations</li> <li>➤ Family Child Care Setting Observations</li> <li>➤ Home Visit or Socialization Observations</li> </ul>
	Child Files	Child file review for Education
CLASS	Observations	<ul style="list-style-type: none"> <li>➤ CLASS Instrument</li> </ul>

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# CLASS<sup>®</sup> MONITORING INFORMATION

With regard to 2012, 388 grantees received CLASS observations in a total of 7,117 classrooms. The Office of Head Start selects classrooms for CLASS observations according to the following schedule. For grantees with fewer than 11 classrooms, all classrooms that meet the criteria are observed. For all other grantees a representative sample of classrooms is randomly selected. For large programs this can be as many as 74 classrooms.

# MANAGEMENT SYSTEMS ANALYST

- MSA *Pre-Site*
- MSA *Onsite*
- ERSEA



## MSA Reviewer: Roles and Responsibilities: PRE-SITE



Reviewer	Mode of Data Collection	Guides
<b>MSA</b>	<b>Pre-site Document Review</b>	Monitoring Plan Self Assessment Community Assessment Service Plan, Program Plans, and Additional Planning Documents Describing Goals & Objectives Governing Body Meeting Minutes Governing Body Membership Roster Policy Council Meeting Minutes Policy Council Membership Roster Organizational Chart

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# MSA Reviewer: Roles and Responsibilities: ONSITE



Reviewer	Mode of Data Collection	Guides	
MSA	Interviews	<ul style="list-style-type: none"> <li>▶ Head Start/Early Head Start Director</li> <li>▶ Governing Body Member</li> <li>▶ Policy Council/Policy Committee Member</li> </ul>	
	Document Review Onsite	<ul style="list-style-type: none"> <li>▶ Reports to Head Start Director</li> <li>▶ Annual Report to the Public</li> <li>▶ Governing Body By-Laws or Procedures</li> <li>▶ Standards of Conduct</li> </ul>	<ul style="list-style-type: none"> <li>▶ Governing Body and Policy Council Reports</li> <li>▶ Performance Appraisal Policy</li> <li>▶ Training Plans and Policy</li> <li>▶ Background Checks</li> </ul>
	Staff Files	▶ Files reviews for all staff listed interviewed throughout the review	
	Management Summary Analyses	<ul style="list-style-type: none"> <li>▶ Staff Qualifications and Expertise</li> <li>▶ Human Resources</li> <li>▶ Communication</li> <li>▶ Planning</li> </ul>	<ul style="list-style-type: none"> <li>▶ Record Keeping</li> <li>▶ Reporting</li> <li>▶ Program Governance</li> <li>▶ Ongoing Monitoring Strengths</li> </ul>
MSA ERSEA	Interview	▶ ERSEA Coordinator	
	Document Review	<ul style="list-style-type: none"> <li>▶ Enrollment and Recruitment Materials/Reports</li> <li>▶ Age/Income Eligibility Review</li> <li>▶ Enrollment Reports</li> <li>▶ Attendance Records</li> </ul>	

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# FISCAL

- Fiscal Pre-Site
- Fiscal Onsite



## Fiscal Reviewer: Roles and Responsibilities



Reviewer	Mode of Data Collection	Guides	
<b>PDM</b>	Pre-Site Document Review	<ul style="list-style-type: none"> <li>▶ Procurement Policies and Procedures</li> <li>▶ SF-425s</li> <li>▶ IRS Forms/Documents</li> <li>▶ SF-269s</li> </ul>	
	Interview	▶ Fiscal Officer	
	Document Review Onsite	<ul style="list-style-type: none"> <li>▶ IRS Forms</li> <li>▶ Construction, Renovation, and Repair Contracts</li> <li>▶ Non-Federal Share</li> <li>▶ Insurance Policies</li> <li>▶ Loan Agreements</li> <li>▶ Lease and Rent Docs</li> <li>▶ Salaries</li> <li>▶ Payroll and Other Compensation</li> <li>▶ Financial Reports</li> <li>▶ Accounting Systems</li> </ul>	<ul style="list-style-type: none"> <li>▶ Banks Recons &amp; General Ledger</li> <li>▶ GABI</li> <li>▶ Cost Allocation Plan</li> <li>▶ SF-269s</li> <li>▶ Delegate Agency Agreements</li> <li>▶ Fixed Asset Listings</li> <li>▶ FAA</li> <li>▶ USDA-CACFP Docs</li> <li>▶ RO Correspondence</li> <li>▶ Aged Payables</li> </ul>
	Transactional Sampling	<ul style="list-style-type: none"> <li>▶ Journal Entries</li> <li>▶ Payroll</li> <li>▶ Non-Personnel Cost</li> </ul>	<ul style="list-style-type: none"> <li>▶ Non-Federal Share</li> <li>▶ Facilities</li> </ul>
	Staff Files	▶ Fiscal Officer	
	Observations	<ul style="list-style-type: none"> <li>▶ Notice of Federal Interests</li> <li>▶ Inventory/Equipment Recs</li> </ul>	▶ Physical Controls
	Service Area Summary Analysis		

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# REVIEWER ACCOUNTABILITY

- Ethics
- Cultural Sensitivity





## Ethics

- Confidentiality
- Respect for team and program staff
- Cooperation and collaboration
- Thorough completion of assessments and tasks
- Honest portrayal of the grantee's performance
- Self reflection



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## Cultural Sensitivity

- Respectful of and responsive to the ethnic, cultural, and linguistic diversity of:
  - Children and families
  - Program staff
  - Review Team



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# BASIC REVIEW PROCESS STAGES

- Evidence Collection
- Evidence Analysis and Determination of Compliance
- Analysis of Service Area Management Systems
- Analysis of Grantee Management Systems
- Development of Service Area Summaries



# Process Stage



## Stage 1 Evidence Collection

### REVIEWER TASKS

- Reviewer gathers info and enters evidence into Guides in OHSMS.
  - Interviews
  - Files reviews
  - Document Reviews
  - Observations
- Identifies concerns via checkbox

### INFO SHARING VIA SOFTWARE

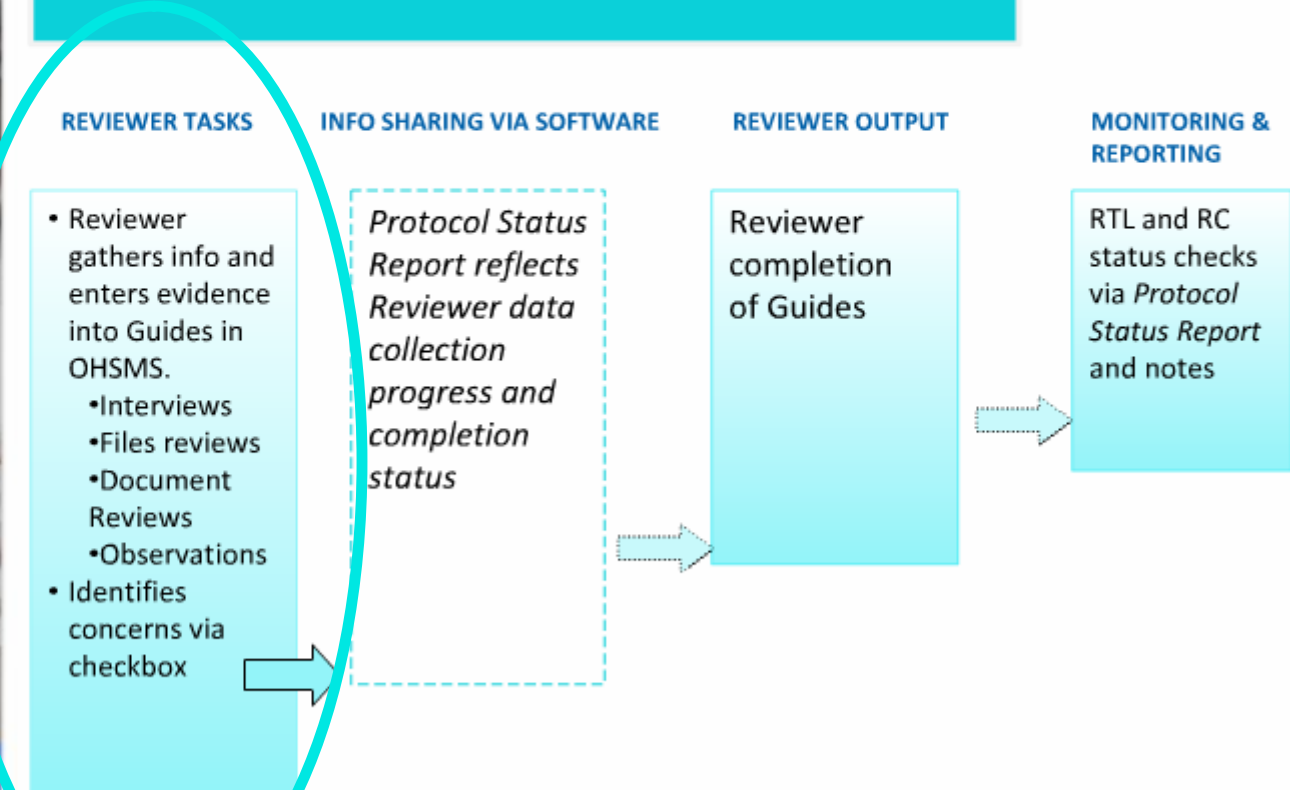
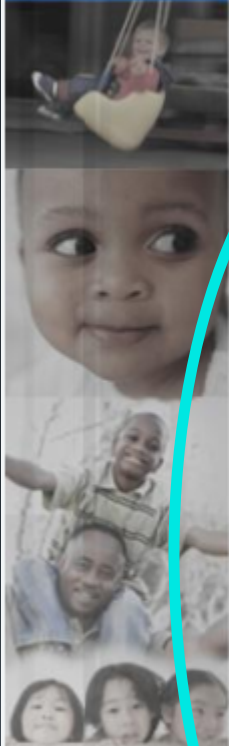
*Protocol Status Report reflects Reviewer data collection progress and completion status*

### REVIEWER OUTPUT

Reviewer completion of Guides

### MONITORING & REPORTING

RTL and RC status checks via *Protocol Status Report* and notes





## Process Stage



### Stage 2 Evidence Analysis and Determination of Compliance

#### REVIEWER TASKS

- Reviewer analyzes evidence under each Compliance Framework and evaluates compliance of all indicators.

*(Note: not all concerns will become findings)*

#### INFO SHARING VIA SOFTWARE

- Reviewer evidence from Guides is displayed on each Compliance Indicator.
- Reviewer compliance findings visible on RTL/RC (*Findings Status Report*)

#### REVIEWER OUTPUT

Reviewer determination and description of preliminary findings (PANCs)

#### MONITORING & REPORTING

RTL and RC status checks via *Findings Status Report*



## Process Stage



### Stage 3

### Analysis of Service Area Management Systems

#### REVIEWER TASKS

- Reviewer considers all framework data and analyzes for trends or patterns in evidence that indicate weakness or strength of **service area** management systems.
- For each framework, Reviewer selects linkage to each related system where weakness is indicated.

#### INFO SHARING VIA SOFTWARE

*On Site Analysis Matrix* in software captures systems concerns [Visual of grantee system issues by service area] and shares with entire review team

#### REVIEWER OUTPUT

Reviewer development of **Service Area** Management System Analysis Summaries and flag to PDM Reviewer to indicate summary completion

#### MONITORING & REPORTING

Review Team checks status of management concerns via *On Site Analysis Matrix*



## Process Stage



### Stage 4

## Analysis of Grantee Management Systems

#### REVIEWER TASKS

- PDM Reviewer examines all Reviewer *Management Systems Analysis Summaries* and *On-Site Analysis Matrix*
- PDM Reviewer incorporates Reviewer analysis information with own PDM collected data

#### INFO SHARING VIA SOFTWARE

Completed Reviewer Service Area *Management Systems Analysis Summaries* visible to PDM Reviewer for review / analysis and edits

#### REVIEWER OUTPUT

- PDM Reviewer development of **Grantee Level Management Systems findings and Summaries** (including Governance)

#### MONITORING & REPORTING

- RTL and RC review of *Management Systems Analysis Summaries* across all service areas and looks for patterns and inconsistencies
- Included in reports to Regions





## Process Stage



### Stage 5 Development of Service Area Summaries

#### REVIEWER TASKS

- Reviewer incorporates information from Service Area Management Systems Summaries and other pertinent information to write an *Overall Service Area Summary* to address:
  - Assessment of grantee performance in each service area reviewed
  - Factors contributing to overall performance and program quality

#### INFO SHARING VIA SOFTWARE

Completion of Reviewer *Overall Service Area Summaries* visible to RTL indicates summaries are ready for review and refinement by RTL

#### REVIEWER OUTPUT

Reviewer development of *Overall Service Area Summary* for each Service Area reviewed and completion indicated to RTL

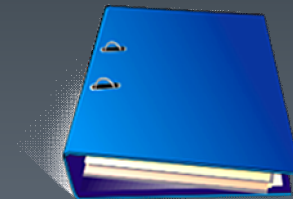
#### MONITORING & REPORTING

- RTL reviews and edits *Overall Service Area Summaries*
- Included in OHS and Region reports



# OHSMS Review Guides

- Child Development and Education
- Child Health and Safety
- Child Files
- Family and Community Engagement / ERSEA
- Fiscal Integrity
- Management Systems / Program Governance
- Staff Files
- Review Team Meeting



# MONITORING TRENDS FY 2012 / 2013

- Top Cited Noncompliances
- Top Cited Deficiencies
- Monitoring review information presented in the following slides was provided by the Office of Head Start.
- Special thanks to Adia Brown  
*Monitoring Lead* - Quality Assurance Division

# TOP CITED NONCOMPLIANCES 2012

FY2012 Top Cited Noncompliances			
Grouping	Protocol Section	Number in FY2012 YTD	Standards
Criminal Record Checks	SYS	97	1301.31(b)(1)(iii), 1301.31(b)(3), 648A(g)(3)(A), 648A(g)(3)(B), 648A(g)(3)(C)
Reporting to the Governing Body and Policy Council	GOV	51	1304.51(d)(1), 1304.51(d)(2), 1304.51(d)(3), 1304.51(d)(4), 642(d)(2)(A), 642(d)(2)(B), 642(d)(2)(C), 642(d)(2)(D), 642(d)(2)(E), 642(d)(2)(F), 642(d)(2)(G)
Maintenance, Repair, Safety, and Security of all Facilities, Materials and Equipment	CHS	50	1304.53(a)(7), 1304.53(a)(8), 1304.53(a)(9)
Screening for Developmental, Health, Sensory, and Behavioral Concerns	CHS	50	1304.20(b)(1), 1304.20(c)(2), 1308.6(b)(1), 1308.6(e)(1), 1308.6(e)(2), 1308.6(e)(3)
Ongoing Monitoring of Grantee Operations and Delegates	SYS	45	1304.51(i)(2), 641A(g)(3)
Determining Child Health Status	CHS	40	1304.20(a)(1)(i), 1304.20(a)(1)(ii), 1304.20(a)(1)(ii)(A), 1304.20(a)(1)(ii)(C), 1304.20(a)(1)(iii), 1304.20(a)(1)(iv), 1304.20(f)(1)

# TOP CITED NONCOMPLIANCES 2012

FY2012 Top Cited Noncompliances			
Grouping	Protocol Section	Number in FY2012 YTD	Standards
Annual Report to the Public	SYS	34	644(a)(2), 644(a)(2)(A), 644(a)(2)(B), 644(a)(2)(C), 644(a)(2)(D), 644(a)(2)(E), 644(a)(2)(F), 644(a)(2)(G), 644(a)(2)(H)
Physical Arrangements Consistent with the Health, Safety and Developmental Needs of Children	CHS	30	1304.53(a)(1), 1304.53(a)(10), 1304.53(a)(10)(i), 1304.53(a)(10)(iii), 1304.53(a)(10)(iv), 1304.53(a)(10)(v), 1304.53(a)(10)(vi), 1304.53(a)(10)(vii), 1304.53(a)(10)(viii), 1304.53(a)(10)(x), 1304.53(a)(10)(xi), 1304.53(a)(10)(xii), 1304.53(a)(10)(xiv), 1304.53(a)(10)(xvi), 1304.53(a)(10)(xvii), 1304.53(a)(5), 1306.35(a)(3), 1306.35(b)(2)(i)
Financial Management Systems	FIS	27	74.21(b)(1), 74.21(b)(2), 74.21(b)(3), 74.21(b)(4), 74.21(b)(5), 74.21(b)(6), 74.21(b)(7), 92.20(b)(1), 92.20(b)(3), 92.20(b)(7)
Non-Federal Share	FIS	25	74.23(c), 74.23(d), 74.23(h)(1), 74.23(h)(3), 74.23(i)(1), 74.23(i)(2), 92.24(a)(1), 92.24(b)(6), 92.24(b)(7)(i), 92.24(c)(1), 92.24(e)(2)(ii), 92.24(g)

# TOP CITED NONCOMPLIANCES 2012

FY2012 Top Cited Noncompliances			
Grouping	Protocol Section	Number in FY2012 YTD	Standards
Initial Health Examinations for Staff	SYS	23	1304.52(k)(1)
Governing Body Responsibilities	GOV	21	642(c)(1)(E)(ii), 642(c)(1)(E)(iii), 642(c)(1)(E)(iv), 642(c)(1)(E)(iv)(II), 642(c)(1)(E)(iv)(III), 642(c)(1)(E)(iv)(IX), 642(c)(1)(E)(iv)(V)(aa), 642(c)(1)(E)(iv)(V)(bb), 642(c)(1)(E)(iv)(V)(cc), 642(c)(1)(E)(iv)(VI), 642(c)(1)(E)(iv)(VII)(aa), 642(c)(1)(E)(iv)(VII)(cc), 642(c)(1)(E)(iv)(X)(aa), 642(d)(2)(H), 642(d)(2)(I)
Staff Qualifications	SYS	20	1304.52(b)(1), 1304.52(d)(1), 1304.52(d)(2), 1304.52(d)(3), 1304.52(d)(4), 1304.52(d)(5), 1304.52(d)(7), 1304.52(e), 648A(a)(3)(B)(i), 648A(a)(3)(B)(ii), 648A(a)(3)(B)(iii)
Record-Keeping Systems	SYS	20	1304.51(g)
Eligibility	ERSEA	19	1305.4(c), 1305.4(d), 1305.4(e), 645(a)(1)(B)(iii)(II)(bb)
Allowable Non-Federal Share Costs	FIS	18	74.23(a)(1), 74.23(a)(3), 74.23(a)(4), 74.23(a)(5)

# TOP CITED NONCOMPLIANCES 2012

FY2012 Top Cited Noncompliances			
Grouping	Protocol Section	Number in FY2012 YTD	Standards
Equipment Records	FIS	18	74.34(f)(1)(i), 74.34(f)(1)(ii), 74.34(f)(1)(iii), 74.34(f)(1)(iv), 74.34(f)(1)(ix), 74.34(f)(1)(v), 74.34(f)(1)(vi), 74.34(f)(1)(vii), 74.34(f)(1)(viii), 74.34(f)(3), 92.32(d)(1), 92.32(d)(2)
Teacher Qualifications	CHS	17	1304.52(f), 645A(h)(1), 648A(a)(3)(A)(i), 648A(a)(3)(A)(ii), 648A(a)(3)(A)(iii), 648A(a)(3)(A)(iv), 648A(a)(3)(A)(v)
Governing Body and Policy Council Training and Technical Assistance	GOV	15	642(d)(3)
Developmentally Appropriate and Safe Equipment, Toys, Materials, and Furniture	CHS	15	1304.53(b)(1), 1304.53(b)(1)(i), 1304.53(b)(1)(iii), 1304.53(b)(1)(vii), 1304.53(b)(2), 1304.53(b)(3)
Policy Council/Committee Structure and Composition	GOV	12	1304.50(a)(1)(i), 1304.50(a)(1)(iii), 1304.50(b)(2), 1304.50(b)(5), 1304.50(b)(6), 1304.50(b)(7), 1304.50(f), 642(c)(2)(B)(i), 642(c)(2)(B)(ii)(I), 642(c)(2)(B)(ii)(II), 642(c)(2)(C)(ii)

# TOP CITED NONCOMPLIANCES 2012

FY2012 Top Cited Noncompliances			
Grouping	Protocol Section	Number in FY2012 YTD	Standards
Self Assessment	SYS	12	1304.51(i)(1), 641A(g)(1), 641A(g)(2)(A), 641A(g)(2)(B)
Classroom Size and Staffing	CDE	12	1304.52(g)(2), 1304.52(g)(4), 1306.20(c), 1306.20(g)(1), 1306.32(a)(1), 1306.32(a)(3), 1306.32(a)(4), 1306.32(a)(5), 1306.32(a)(6), 1306.34(b)(2)
Procurement Procedures	FIS	11	74.42, 74.43, 74.44(a), 74.44(a)(1), 74.44(a)(2), 74.44(a)(3)(i), 74.44(a)(3)(ii), 74.44(a)(3)(iii), 74.44(a)(3)(iv), 74.44(a)(3)(v), 74.44(a)(3)(vi), 92.32(e)(2), 92.36(b)(3)(i), 92.36(b)(3)(ii), 92.36(b)(3)(iii), 92.36(b)(3)(iv), 92.36(b)(9), 92.36(c)(3)(i), 92.36(c)(3)(ii), 92.36(i)(2)
Recruitment and Enrollment of Children with Disabilities	ERSEA	11	640(d)(1)

# TOP CITED NONCOMPLIANCES 2012

FY2012 Top Cited Noncompliances			
Grouping	Protocol Section	Number in FY2012 YTD	Standards
Documentation of Costs	FIS	11	225, App A(C)(1)(j), 230, App A(A)(2)(g)
Allocability of Costs	FIS	10	225, App A(C)(3)(a), 230, App A(A)(4)(a)(2)
Payroll Records and Procedures	FIS	10	220, App(J)(10)(a), 225, App B(8)(h)(1), 225, App B(8)(h)(3), 225, App B(8)(h)(4), 225, App B(8)(h)(4)(a), 225, App B(8)(h)(4)(b), 225, App B(8)(h)(5)(a), 225, App B(8)(h)(5)(b), 225, App B(8)(h)(5)(c), 225, App B(8)(h)(5)(d), 225, App B(8)(h)(5)(e), 230, App B(8)(m)(1), 230, App B(8)(m)(2), 230, App B(8)(m)(2)(a), 230, App B(8)(m)(2)(b), 230, App B(8)(m)(2)(c), 230, App B(8)(m)(2)(d)
Recording of Federal Interest and Other Protection of Federal Interest.	FIS	10	1309.21(b), 1309.21(d), 1309.21(d)(1), 1309.21(d)(2), 1309.22(a), 1309.31(b)



# TOP CITED DEFICIENCIES 2012

FY2012 Top Cited Deficiencies (Includes Immediate Deficiencies)			
Grouping	Protocol Section	Number in FY2012 YTD	Standards
Code of Conduct	SYS	35	1304.52(i)(1), 1304.52(i)(1)(i), 1304.52(i)(1)(ii), 1304.52(i)(1)(iii), 1304.52(i)(1)(iv), 1304.52(i)(3)
Criminal Record Checks	SYS	6	1301.31(b)(1)(iii), 1301.31(b)(3), 648A(g)(3)(A), 648A(g)(3)(B), 648A(g)(3)(C)
Ongoing Monitoring of Grantee Operations and Delegates	SYS	4	1304.51(i)(2), 641A(g)(3)
Children are Only Released to a Parent or Legal Guardian	CHS	3	1310.10(g)
Physical Arrangements Consistent with the Health, Safety and Developmental Needs of Children	CHS	2	1304.53(a)(1), 1304.53(a)(10), 1304.53(a)(10)(i), 1304.53(a)(10)(iii), 1304.53(a)(10)(iv), 1304.53(a)(10)(v), 1304.53(a)(10)(vi), 1304.53(a)(10)(vii), 1304.53(a)(10)(viii), 1304.53(a)(10)(x), 1304.53(a)(10)(xi), 1304.53(a)(10)(xii), 1304.53(a)(10)(xiv), 1304.53(a)(10)(xvi), 1304.53(a)(10)(xvii), 1304.53(a)(5), 1306.35(a)(3), 1306.35(b)(2)(i)

# TOP CITED DEFICIENCIES 2012

FY2012 Top Cited Deficiencies (Includes Immediate Deficiencies)			
Grouping	Protocol Section	Number in FY2012 YTD	Standards
Initial Health Examinations for Staff	SYS	2	1304.52(k)(1)
Maintenance, Repair, Safety, and Security of all Facilities, Materials and Equipment	CHS	1	1304.53(a)(7), 1304.53(a)(8), 1304.53(a)(9)
Medication Administration	CHS	1	1304.22(c)(1), 1304.22(c)(2), 1304.22(c)(3), 1304.22(c)(4), 1304.22(c)(6)
Eligibility	ERSEA	1	1305.4(c), 1305.4(d), 1305.4(e), 645(a)(1)(B)(iii)(II)(bb)
Health Emergency Procedures	CHS	1	1304.22(a)(1), 1304.22(a)(3)
Policy Council Responsibilities	GOV	1	1304.50(d)(1)(ix), 1304.50(d)(1)(vii), 1304.50(d)(1)(xi), 642(c)(2)(A), 642(c)(2)(C)(i), 642(c)(2)(D)(i), 642(c)(2)(D)(ii), 642(c)(2)(D)(iii), 642(c)(2)(D)(iv), 642(c)(2)(D)(v), 642(c)(2)(D)(vi), 642(c)(2)(D)(vii)

# FINDINGS BY PROTOCOL SECTION 2013

Findings by Protocol Section		
Protocol Section	Noncompliances	Deficiencies
CDE	16	0
CHS	86	9
ERSEA	10	0
FCE	7	0
FIS	54	0
GOV	36	0
SYS	76	20

# NONCOMPLIANCES / DEFICIENCIES

FY2013 Top Cited Noncompliant and Deficient Findings				
Grouping	Protocol Section	FY2013	FY2012	Standards Cited
Reporting to the Governing Body and Policy Council	GOV	24	76	642(d)(2)(A), 642(d)(2)(B), 642(d)(2)(C), 642(d)(2)(D), 642(d)(2)(E), 642(d)(2)(F)
Initial Health Examinations for Staff	SYS	21	43	1304.52(k)(1)
Physical Arrangements Consistent with the Health, Safety and Developmental Needs of Children	CHS	20	48	1304.53(a)(10)(i), 1304.53(a)(10)(iii), 1304.53(a)(10)(iv), 1304.53(a)(10)(v), 1304.53(a)(10)(vi), 1304.53(a)(10)(vii), 1304.53(a)(10)(viii), 1304.53(a)(10)(x), 1304.53(a)(10)(xi), 1304.53(a)(10)(xiv), 1306.35(b)(2)(ix)
Code of Conduct	SYS	19	48	1304.52(i)(1)(iii), 1304.52(i)(1)(iv)
Maintenance, Repair, Safety, and Security of all Facilities, Materials and Equipment	CHS	17	65	1304.53(a)(7)

# NONCOMPLIANCES / DEFICIENCIES

FY2013 Top Cited Noncompliant and Deficient Findings

Grouping	Protocol Section	FY2013	FY2012	Standards Cited
Criminal Record Checks	SYS	15	147	648A(g)(3)(A), 648A(g)(3)(B), 648A(g)(3)(C)
Screening for Developmental, Health, Sensory, and Behavioral Concerns	CHS	12	71	1304.20(b)(1)
Annual Report to the Public	SYS	11	54	644(a)(2), 644(a)(2)(B), 644(a)(2)(G)
Determining Child Health Status	CHS	10	68	1304.20(a)(1)(ii), 1304.20(a)(1)(ii)(A), 1304.20(a)(1)(ii)(C), 1304.20(a)(1)(iii), 1304.20(f)(1)
Ongoing Monitoring of Grantee Operations and Delegates	SYS	10	65	641A(g)(3)

# TOP CITED CONCERNS 2013

FY2013 Top Cited Concerns				
Grouping	Protocol Section	FY2013	FY2012	Standards Cited
Screening for Developmental, Health, Sensory, and Behavioral Concerns	CHS	38	53	1304.20(b)(1)
Determining Child Health Status	CHS	25	124	1304.20(a)(1)(ii), 1304.20(a)(1)(ii)(A), 1304.20(a)(1)(ii)(C), 1304.20(a)(1)(iii), 1304.20(f)(1)
Physical Arrangements Consistent with the Health, Safety and Developmental Needs of Children	CHS	25	76	1304.53(a)(10)(i), 1304.53(a)(10)(iii), 1304.53(a)(10)(iv), 1304.53(a)(10)(v), 1304.53(a)(10)(vi), 1304.53(a)(10)(vii), 1304.53(a)(10)(viii), 1304.53(a)(10)(x), 1304.53(a)(10)(xi), 1304.53(a)(10)(xiv), 1306.35(b)(2)(ix)
Providing Transportation Services	CHS	11	12	1310.10(b)

# TOP CITED CONCERNS 2013

FY2013 Top Cited Concerns				
Grouping	Protocol Section	FY2013	FY2012	Standards Cited
Initial Health Examinations for Staff	SYS	8	49	1304.52(k)(1)
Staff Qualifications	SYS	8	25	1304.52(e), 648A(a)(3)(B)(i), 648A(a)(3)(B)(ii), 648A(a)(3)(B)(iii)
Vehicular Safety	CHS	7	11	1310.10(d)(2), 1310.10(d)(4), 1310.12(b)(2)
Maintenance, Repair, Safety, and Security of all Facilities, Materials and Equipment	CHS	4	11	1304.53(a)(7)
Monthly Enrollment Reporting	ERSEA	4	5	641A(h)(2)(A), 641A(h)(2)(B)
Classroom Size and Staffing	CDE	2	10	1304.52(g)(4), 1306.20(c), 1306.32(a)(5)

# TOP CITED NONCOMPLIANCES 2013

FY2013 Top Cited Noncompliances				
Grouping	Protocol Section	FY2013	FY2012	Standards Cited
Reporting to the Governing Body and Policy Council	GOV	24	75	642(d)(2)(A), 642(d)(2)(B), 642(d)(2)(C), 642(d)(2)(D), 642(d)(2)(E), 642(d)(2)(F)
Initial Health Examinations for Staff	SYS	21	41	1304.52(k)(1)
Physical Arrangements Consistent with the Health, Safety and Developmental Needs of Children	CHS	19	46	1304.53(a)(10)(i), 1304.53(a)(10)(iii), 1304.53(a)(10)(iv), 1304.53(a)(10)(v), 1304.53(a)(10)(vi), 1304.53(a)(10)(vii), 1304.53(a)(10)(viii), 1304.53(a)(10)(x), 1304.53(a)(10)(xi), 1304.53(a)(10)(xiv), 1306.35(b)(2)(ix)
Maintenance, Repair, Safety, and Security of all Facilities, Materials and Equipment	CHS	16	63	1304.53(a)(7)



# TOP CITED NONCOMPLIANCES 2013

FY2013 Top Cited Noncompliances				
Grouping	Protocol Section	FY2013	FY2012	Standards Cited
Criminal Record Checks	SYS	14	134	648A(g)(3)(A), 648A(g)(3)(B), 648A(g)(3)(C)
Screening for Developmental, Health, Sensory, and Behavioral Concerns	CHS	12	71	1304.20(b)(1)
Annual Report to the Public	SYS	11	54	644(a)(2), 644(a)(2)(B), 644(a)(2)(G)
Determining Child Health Status	CHS	10	68	1304.20(a)(1)(ii), 1304.20(a)(1)(ii)(A), 1304.20(a)(1)(ii)(C), 1304.20(a)(1)(iii), 1304.20(f)(1)
Ongoing Monitoring of Grantee Operations and Delegates	SYS	9	60	641A(g)(3)
Teacher Qualifications	CHS	8	24	1304.52(f), 645A(h)(1)

# TOP CITED DEFICIENCIES 2013

FY2013 Top Cited Deficiencies (Includes Immediate Deficiencies)

Grouping	Protocol Section	FY2013	FY2012	Standards Cited
Code of Conduct	SYS	18	41	1304.52(i)(1)(iii), 1304.52(i)(1)(iv)
Children are Only Released to a Parent or Legal Guardian	CHS	2	4	1310.10(g)
Licensing Requirements	CHS	2	0	1306.30(c)
Criminal Record Checks	SYS	1	13	648A(g)(3)(A), 648A(g)(3)(B), 648A(g)(3)(C)
Health Emergency Procedures	CHS	1	1	1304.22(a)(5)
Maintenance, Repair, Safety, and Security of all Facilities, Materials and Equipment	CHS	1	2	1304.53(a)(7)

# TOP CITED DEFICIENCIES 2013

FY2013 Top Cited Deficiencies (Includes Immediate Deficiencies)				
Grouping	Protocol Section	FY2013	FY2012	Standards Cited
Medication Administration	CHS	1	0	1304.22(c)(1)
Ongoing Monitoring of Grantee Operations and Delegates	SYS	1	5	641A(g)(3)
Physical Arrangements Consistent with the Health, Safety and Developmental Needs of Children	CHS	1	2	1304.53(a)(10)(i), 1304.53(a)(10)(iii), 1304.53(a)(10)(iv), 1304.53(a)(10)(v), 1304.53(a)(10)(vi), 1304.53(a)(10)(vii), 1304.53(a)(10)(viii), 1304.53(a)(10)(x), 1304.53(a)(10)(xi), 1304.53(a)(10)(xiv), 1306.35(b)(2)(ix)

# CLASS<sup>®</sup> MONITORING RESULTS 2012

OHS CLASS Descriptive Statistics, 2012 National Grantee-Level Scores by Dimension					
Domain	Dimension	Mean	Standard Deviation	Minimum	Maximum
Emotional Support	Positive Climate	5.91	0.44	4.06	6.96
	Negative Climate	1.08	0.12	1.00	2.00
	Teacher Sensitivity	5.53	0.48	3.25	6.86
	Regard for Student Perspectives	5.22	0.57	3.00	6.83
Classroom Organization	Behavior Management	5.68	0.49	3.92	7.00
	Productivity	5.71	0.55	3.11	6.90
	Instructional Learning Formats	4.96	0.60	2.04	6.32
Instructional Support	Concept Development	2.75	0.73	1.18	5.83
	Quality of Feedback	3.02	0.77	1.11	5.75
	Language Modeling	3.18	0.76	1.07	5.63

# CLASS<sup>®</sup> MONITORING RESULTS 2012

**OHS CLASS Descriptive Statistics, 2012**  
**National Distribution of Grantee-Level Domain Scores**

<b>Domain</b>	<b>Lowest 10%</b>	<b>Median (50%)</b>	<b>Highest 10%</b>
Emotional Support	5.4926	5.91	6.33
Classroom Organization	4.8571	5.48	6.07
Instructional Support	2.1923	2.95	3.83

# CLASS<sup>®</sup> MONITORING RESULTS 2012

# Self Assessment Reporting System



- **Demo Version**
  - Ready for data entry (contains no sample data)
  - May be customized by staff familiar with MS Access application
- **Sample Version**
  - Includes sample data to demonstrate functionality
- **Both Versions**
  - Provided in MS Access (File Format 2003)
- **Basic Instructions**
  - Provided as a PDF

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