

FY24 Focus Area One Monitoring Protocol



Purpose

Focus Area One (FA1) provides an opportunity for individual grant recipients to share the processes and systems that support their implementation of high-quality services for children and families served over the course of their grant cycle, including the:

- quality of education services;
- intentionality of family and community engagement;
- monitoring of fiscal operations;
- effectiveness of health and safety practices;
- focus on eligibility, recruitment, selection, enrollment, and attendance; and
- oversight of program structures.

The FA1 will determine if grant recipients are meeting the requirements of the Head Start Program Performance Standards (HSPPS), the Uniform Guidance, and the Head Start Act.

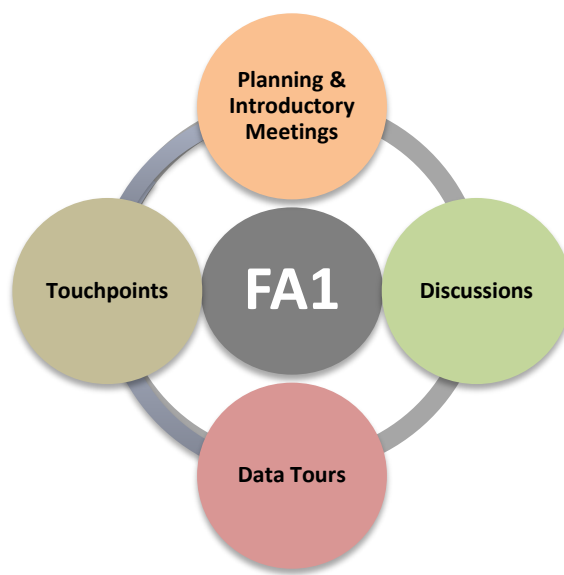
This information collectively supports the Office of Head Start’s (OHS) understanding of the effectiveness of each grant recipient’s performance, as well as the performance of grant recipients nationally, regionally, and within communities.



Methodology

Grant recipients will have multiple opportunities to showcase program strengths through the activities that make up the FA1 Monitoring Review. As Exhibit 1 demonstrates, these activities include (1) planning and introductory meetings with program leadership, (2) discussions with leadership, the governing body, and the policy council, (3) data tours with directors, managers, and staff, and (4) touchpoints with the director on each day of the review.

Exhibit 1: FA1 Review Activities



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The following provides a brief overview of each of the activities comprising the FA1 review event:

Planning and Introductory Meetings

- Notification of the FA1 will be given to the grant recipient through the 45-day letter
- The assigned Review Lead will reach out to grant recipients following notification for the **planning call**. This call will include general questions, requests for basic program data prior to the review event, and confirmation of the three-day review schedule
- The **Program Management Meeting** will occur the morning of the first day of the review. The virtual meeting will introduce the Review Lead and Management Team members, and allow managers to give initial context and insights about their respective content areas

Discussions

- Conducted virtually during the review week
- Focus on gathering perspectives and experiences from the governing body and the policy council

Data Tours

- Conducted virtually throughout the review week with program managers and staff for each service area
- Real-time walk-through of data and reports to help Review Lead understand how managers and staff conduct daily activities
- Data checks for staff qualifications and criminal record checks

Touchpoints

- Occur daily between the grant recipient director(s) and the Review Lead
- Provide an opportunity to discuss the status of the review activities' completion, work through any coordination or scheduling challenges that may arise, and collect any additional information as needed from the grant recipient

Post-Review

Following the FA1 Review, grant recipients will receive a final report that will share information on the grant recipient's performance.



Approach

The FA1 is a three-consecutive day review event that will consist of virtual data collection. All review events will be conducted by a Review Lead.



Road Map to the FA1 Protocol

This protocol and the accompanying *FA1 Monitoring at a Glance* resource document are designed to guide the grant recipient in their preparation for the FA1. It includes the topic areas for discussion, specific performance areas for assessment, the federal regulations associated with each area of performance, and describes the monitoring approaches used during the FA1 monitoring event.

The protocol is divided into the following six sections:

- Program Design, Management, and Improvement (PDMI)
- Education and Child Development Services (ECD)
- Health Services (HEA)
- Family and Community Engagement Services (FCE)

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- Fiscal Infrastructure (FIS)
- Eligibility, Recruitment, Selection, Enrollment, and Attendance (ERSEA)

The grant recipient will find the following headings in each content area:

Monitoring Approach

The protocol outlines the specific review activities referenced in the Methodology section above that are included in each service area to understand the grant recipient's performance. Each service area's review activities could include discussions and/or data tours. Grant recipients can navigate to each individual service area section of the FA1 Monitoring Protocol to learn more about the activities comprising the respective service areas.

Federal Regulations

Each section of the protocol includes a list of federal regulations grounding the review activities. This list promotes transparency regarding the regulations used to assess program performance. Grant recipients should note that they remain accountable for all HSPPS as well as other federal, state, and local regulations guiding program operations, management, and oversight.

Performance Areas and Performance Measures

The content of each section is organized into a set of Performance Areas, with each Performance Area containing a set of discrete Performance Measures. Performance Areas identify specific areas of performance associated with HSPPS, whereas Performance Measures provide more focused measurement areas for the review event.

Collectively, the Performance Areas, Performance Measures, and review activities will support the OHS in understanding the strategies, practices, and systems programs have implemented, and how programs are providing quality services to children and families and progressing toward program goals.

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Program Design, Management, and Improvement

Overview

The grant recipient must design a program that meets the community's needs and ensures program, fiscal, and human resources structure and systems that provide effective management and oversight of all program areas. The grant recipient must be intentional in its program design and its ability to address the characteristics, strengths, and needs of children and families they serve.

The Review Lead will monitor three areas in **Program Design, Management, and Improvement (PDMI)**: (1) program design and strategic planning; (2) program governance; and (3) staffing and staff supports.

Monitoring Approach

PDMI will be monitored through:

Planning and Introductory Meetings with managers will start the review event and allow the reviewers to get to know the Review Lead and the grant recipient's program options

Discussion with leadership, the governing body, and the policy council will allow the Review Lead to understand supervision and oversight

Data Tour to review how managers track and use data relating to human resources, program design, and ongoing monitoring and oversight across content areas

The grant recipient will be asked to share real-time data and documentation in areas including but not limited to:

- Community assessment
- Data for ongoing monitoring and continuous improvement
- Organizational chart
- Data or reports used to understand trends
- Standards of conduct
- Data and reports shared with governing body and policy council

Federal Regulations in PDMI

- ✓ 642(c)(1)(B)
- ✓ 642(c)(1)(E)(iv)(VII)(bb)
- ✓ 642(c)(2)(B)(ii)(I)
- ✓ 642(c)(2)(D)
- ✓ 642(d)(2)
- ✓ 1301.3(c)
- ✓ 1302.11(b)(2)
- ✓ 1302.20(a)
- ✓ 1302.90(c)
- ✓ 1302.91(a)
- ✓ 1302.101(a)
- ✓ 1302.102(a, c)

Performance Area 1: Program Design and Strategic Planning

This area will focus on how the grant recipient uses data to inform program design, planning, and improvement. Community assessment, self-assessment, and ongoing program data collection and monitoring should routinely guide data-driven decisions to best meet the needs of the program's children, families, and staff and the broader community served.

Performance Measure 1.1: The grant recipient's program structure and systems are designed to be responsive to community needs and informed by community strengths and resources. 1302.11(b)(2) and 1302.20(a)

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Elements of this measure include but are not limited to how the grant recipient:

- Conducts a community assessment to understand shifts in community needs, strengths, and available resources
- Aligns program design and services based on community needs

Performance Measure 1.2: The grant recipient has an established process for using data to monitor performance and progress toward goals and inform continuous improvement. 1302.101(a)(4) and 1302.102(c)(1)

Elements of this measure include but are not limited to how the grant recipient:

- Accurately maintains, collects, and uses program data to monitor service areas
- Analyzes various data across service areas to inform continuous program improvement

Performance Area 2: Program Governance

This area will capture how the governing body and policy council use their expertise and experience to provide data-informed oversight to ensure the program provides quality services for children and families and progresses toward program goals.

Performance Measure 2.1: The grant recipient establishes program governance with sufficient expertise and representation that supports effective program oversight and engagement with families and the community. 642(c)(1)(B); 642(c)(2)(B)(ii)(I); and 1301.3(c)

Elements of this measure include but are not limited to how the grant recipient:

- Supports the governing body and policy council to provide effective engagement and oversight
- Maintains a governing body that supports the program with its expertise

Performance Measure 2.2: The grant recipient has strategies to support collaboration across program staff, the governing body, and the policy council to facilitate effective program governance. 642(c)(1)(E)(iv)(VII)(bb); 642(c)(2)(D); 642(d)(2); and 1302.102(a)(1)

Elements of this measure include but are not limited to how the grant recipient:

- Provides the governing body with data that are necessary to effectively conduct their responsibilities
- Collaborates with the governing body and the policy council to set and update program goals

Performance Area 3: Staffing and Staff Supports

This area will focus on the grant recipient's established systems to provide effective oversight of all staff, maintain effective staffing structures through focus on staff retention and recruitment, and offering intentional professional development.

Performance Measure 3.1: The grant recipient's leadership and management team have clearly defined roles and responsibilities and the appropriate experience to execute Head Start program operations. 1302.91(a) and 1302.101(a)(1)

Elements of this measure include but are not limited to how the grant recipient:

- Offers effective management and oversight of each program area through supportive program management structures

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- Maintains qualified and competent staff in leadership and management positions

Performance Measure 3.2: The grant recipient has a defined approach for ongoing supervision and support of staff. 1302.90(c); 1302.101(a)(2); and 1302.101(a)(3)

Elements of this measure include but are not limited to how the grant recipient:

- Provides regular and ongoing supervision for individual development and delivery of quality services across content areas
- Provides a culture of safety across all program options through proactive Human Resources policies and procedures
- Trains staff on established policies and procedures including standards of conduct
- Allocates sufficient staff to service areas to promote continuity of care

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Education and Child Development Services

Overview

The grant recipient's services should lay a strong foundation for children's lifelong learning through high-quality early education and child development services that promote the cognitive, social, and emotional growth of children, including those with disabilities. The grant recipient should use data to assess progress toward meeting the program's school readiness goals, to understand and address children's individual needs, and to inform continuous improvement related to curriculum selection, instruction, and professional development.

The Review Lead will monitor four areas in **Education and Child Development Services (ECD)**: (1) *curricula, screening, and assessment tools*; (2) *teaching strategies and learning environments*; (3) *qualifications, professional development, and coaching*; and (4) *transitions*.

The Review Lead will also explore approaches to supervising and supporting staff to help them provide quality services; monitoring and adjusting staffing to ensure staff have the capacity to do their work; and using data to track services, monitor for quality, and assess progress and outcomes. These activities will contribute to assessment of the grant recipient's program oversight, ongoing monitoring, and continuous improvement capacity and efforts.

Monitoring Approach

ECD will be monitored through:

Data Tour with education management and staff to better understand how program oversight and ongoing monitoring ensure high-quality education services and how staff training and practices support individualized learning for children

The grant recipient will be asked to share real-time data and documentation in areas including but not limited to:

- Child assessment data
- Instruction individualization for children
- Developmental screenings
- Referrals and follow-up services
- Staff qualifications
- Coaching strengths and needs data

Federal Regulations in ECD

- ✓ 1302.31(a-b)
- ✓ 1302.32(a)
- ✓ 1302.33(a-b)
- ✓ 1302.35(b-e)
- ✓ 1302.61(a)
- ✓ 1302.91(e)(1-2)
- ✓ 1302.91(e)(6)
- ✓ 1302.92(b-c)

Performance Area 1: Curricula, Screening, and Assessment Tools

This area will focus on how the grant recipient implements its curriculum, screening, and assessment tools and uses data to support the ongoing needs and progress of children.

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Performance Measure 1.1: The grant recipient uses research-based and culturally appropriate curricula to support child outcomes. 1302.32(a)(1)(i); 1302.32(a)(1)(ii); 1302.32(a)(2); and 1302.35(d)(1)(i)

Elements of this measure include but are not limited to how the grant recipient:

- Uses a research-based curriculum appropriate for all provided program options, and trains staff to support their understanding of the curricula
- Establishes a process for monitoring curriculum implementation

Performance Measure 1.2: The grant recipient uses appropriate screening tools to refer children as indicated for evaluation. 1302.33(a)(1); 1302.33(a)(2); and 1302.33(a)(3)

Elements of this measure include but are not limited to how the grant recipient:

- Performs developmental screenings for all children within the prescribed timeframes using research-based tools
- Uses a tracking and monitoring system to ensure that any developmental concerns identified through the screening are promptly addressed through referral or follow-up

Performance Measure 1.3: The grant recipient uses appropriate ongoing child assessment tools to understand and support children’s abilities and progress and to individualize for every child. 1302.33(b)(1)

Elements of this measure include but are not limited to how the grant recipient:

- Conducts ongoing child assessments of children’s progress aligned with the Head Start Early Learning Outcomes Framework: Ages Birth to Five

Performance Area 2: Teaching Strategies and Learning Environments

This area will focus on how the grant recipient uses data to provide high-quality instruction, teaching practices, and classroom environments that are inclusive and address the individual needs of children, as well as on the grant recipient’s approach to home-based services to promote the caregiver role.

Performance Measure 2.1: The grant recipient staff identifies effective teaching strategies that are responsive to children’s needs. 1302.31(b)(2); 1302.33(b)(2); 1302.35(c)(4); and 1302.61(a)

Elements of this measure include but are not limited to how the grant recipient:

- Supports staff to use teaching and home visiting practices that are responsive, communicative, language rich, and promote critical thinking and persistence
- Individualizes classroom practices to meet the needs of enrolled children, including dual language learners and children with disabilities
- Uses data from standardized observation tools to improve teaching and home visiting strategies
- Individualizes lesson plans and teaching strategies using child assessment data

Performance Measure 2.2: The grant recipient develops engaging learning environments that promote healthy development for enrolled children. 1302.31(a)

Elements of this measure include but are not limited to how the grant recipient:

- Individualizes classroom environments to meet the needs of enrolled children
- Uses data from standardized observation tools to improve the quality of learning environments

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Performance Measure 2.3: The grant recipient uses home visits and group socializations to promote parent engagement and extend children’s learning. 1302.35(b)(1) and 1302.35(e)

Elements of this measure include but are not limited to how the grant recipient:

- Promotes parent’s role as the child’s teacher through intentional and focused home visit plans for home-based programs
- Provides families with opportunities for meaningful shared experiences during group socializations for home-based programs
- Offers parents and families the opportunity to help plan the group socialization

Performance Area 3: Qualifications, Professional Development, and Coaching

This area will focus on the grant recipient’s established system to maintain qualified, competent staff, and provide professional development opportunities that promote high-quality teaching practices.

Performance Measure 3.1: The grant recipient establishes a system of professional development to support delivery of quality education and child development services. 1302.92(b)(5)

Elements of this measure include but are not limited to how the grant recipient:

- Establishes a comprehensive approach to professional development

Performance Measure 3.2: The grant recipient uses a research-based coaching strategy for education staff to support staff to use effective teaching practices. 1302.92(c)(1) and 1302.92(c)(2)

Elements of this measure include but are not limited to how the grant recipient:

- Identifies strengths and needs for all education staff, and selects participants for coaching
- Uses a research-based coaching strategy for identified staff

Performance Measure 3.3: The grant recipient has qualified education staff. 1302.91(e)(1); 1302.91(e)(2); and 1302.91(e)(6)

Elements of this measure include but are not limited to how the grant recipient:

- Monitors and maintains appropriate qualifications for staff

Performance Area 4: Transitions

This area will focus on how the grant recipient supports Head Start and Early Head Start children’s transition out of the program.

Performance Measure 4.1: The grant recipient establishes intentional transition strategies for Head Start and Early Head Start children.

Elements of this measure include but are not limited to how the grant recipient:

- Collaborates with receiving schools to support smooth transitions for children and families
- Incorporates strategies to support successful transitions to new learning environments

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Health Services

Overview

The grant recipient must provide high-quality health, oral health, mental health, and, if applicable, expectant family services that are supportive of each child’s growth and school readiness. The grant recipient must have an approach for maintaining a system of health and safety practices.

The Review Lead will monitor four areas in **Health Services (HEA)**: (1) *child health and oral health status and care*; (2) *mental health and social and emotional well-being*; (3) *safe and sanitary environments*; and, if applicable, (4) *expectant families*.

The Review Lead will also explore approaches to supervising and supporting staff to help them provide quality services; monitoring and adjusting staffing to ensure staff have the capacity to do their work; and using data to track services, monitor for quality, and assess progress and outcomes. These activities will contribute to assessment of the grant recipient’s program oversight, ongoing monitoring, and continuous improvement capacity and efforts.

Monitoring Approach

HEA will be monitored through:

Data Tour with health management and staff to better understand how the program tracks data and routinely monitors services relating to child health, oral health, mental health and social-emotional well-being, and safe and sanitary environments

The grant recipient will be asked to share real-time data and documentation in areas including but not limited to:

- Maintenance plans and records
- Oral and medical health determinations tracking
- Criminal background checks
- Referrals and follow-up services
- Ongoing sources of health care and health insurance
- Policies and procedures related to child discipline
- Vision and hearing screening tracking

Additionally, grant recipients that serve expectant families will be asked to share additional data and documentation including but not limited to:

- Expectant families’ access to health care and insurance
- Tracking system for newborn visits
- Expectant families’ referrals and follow-up

Federal Regulations in HEA

- ✓ 1302.17(a–b)
- ✓ 1302.40(b)
- ✓ 1302.42(a–d)
- ✓ 1302.45
- ✓ 1302.47(b)(1–2, 4)
- ✓ 1302.80(c–d)
- ✓ 1302.81
- ✓ 1302.90(b)
- ✓ 1302.102(d)

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Performance Area 1: Child Health and Oral Health Status and Care

This area will focus on the grant recipient's established systems to assist children and families to connect to necessary health and oral care including referrals. The grant recipient also uses the expertise of the Health Services Advisory Committee to address program and community needs.

Performance Measure 1.1: The grant recipient has a process to ensure children become and remain up-to-date on medical and oral health care, including needs for referrals and follow-up care. 1302.40(b); 1302.42(a)(1); 1302.42(b)(1)(i); 1302.42(b)(2); 1302.42(c); and 1302.42(d)(2)

Elements of this measure include but are not limited to how the grant recipient:

- Determines that all children have ongoing sources of health care and health insurance coverage within 30 days
- Confirms that a health care provider has made initial determinations of medical and oral care for all children within 90 days
- Monitors vision and hearing screenings for all children within 45 days
- Supports child and families to become up-to-date on preventative medical and oral health care
- Tracks referrals and follow-up services for children who were identified through the screening process

Performance Area 2: Mental Health and Social and Emotional Well-Being

This area will focus on how the grant recipient provides mental health services to children, families, and staff to address needs, connect to services, and promote continued social-emotional development.

Performance Measure 2.1: The grant recipient develops a positive program environment, in partnership with a qualified mental health consultant, that promotes the mental health and social-emotional well-being of children. 1302.45(a)(2); 1302.45(b)(2); and 1302.45(b)(3)

Elements of this measure include but are not limited to how the grant recipient:

- Maintains an active arrangement with a mental health consultant
- Uses the mental health consultant to provide consultation and observation to support program staff to meet the mental health and social-emotional needs of children
- Uses various methods and approaches to build skills and capacity of all staff who regularly interact with children

Performance Measure 2.2: The grant recipient develops positive discipline practices and policies that prohibit the use of expulsion and suspension. 1302.17(a) and 1302.17(b)

Elements of this measure include but are not limited to how the grant recipient:

- Prohibits the use of expulsion in response to children's behaviors
- Prohibits and/or severely limits the use of suspension in response to children's behaviors
- Develops and implements developmentally appropriate behavior guidance and positive discipline policies and practices

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Performance Area 3: Safe and Sanitary Environments

This area will focus on how the grant recipient maintains safety in staffing, facilities, materials, and equipment through establishing and implementing effective monitoring, policies, and procedures.

Performance Measure 3.1: The grant recipient develops appropriate administrative safety practices and policies. 1302.47(b)(4) and 1302.102(d)(1)(ii)

Elements of this measure include but are not limited to how the grant recipient:

- Provides training on health and safety practices and expectations to staff
- Follows a process to ensure that all violations of supervision, unauthorized release, and/or inappropriate discipline are reported to the Regional Office in a timely manner

Performance Measure 3.2: The grant recipient has an approach to maintain safe environments through staff training and ongoing oversight of facility, equipment, and material safety. 1302.47(b)(1)(iii); 1302.47(b)(1)(ix); and 1302.47(b)(2)(v)

Elements of this measure include but are not limited to how the grant recipient:

- Establishes systems to identify potential safety risks daily and ongoing, including exposure to lead in paint and water
- Conducts preventative maintenance and corrects identified safety issues

Performance Measure 3.3: The grant recipient completes background checks prior to hire for all staff. 1302.90(b)

Elements of this measure include but are not limited to how the grant recipient:

- Monitors and completes all necessary background checks

Performance Area 4: Expectant Families

This area will only be monitored if the grant recipients provide services to expectant families. This Performance Area will focus on how the grant recipient provides high-quality services to enrolled expectant families and supports the transition of the newborn.

Performance Measure 4.1: The grant recipient has a process to facilitate connections services for each expectant family and support newborn services following the birth of the infant. 1302.80(c); 1302.80(d); and 1302.81

Elements of this measure include but are not limited to how the grant recipient:

- Provides education and support across various topics relevant for expectant families, including pregnant women and their partners
- Facilitates connections and referrals for expectant families to access comprehensive services that meet families' needs
- Schedules a newborn visit with each expectant family and baby within two weeks of the baby's birth

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Family and Community Engagement Services

Overview

The grant recipient must integrate parent and family engagement strategies into all systems and program services to support family well-being and promote children’s learning and development. Programs are encouraged to develop innovative two-generation approaches that address prevalent needs of families across their program and leverage community partnerships or other funding sources.

The Review Lead will monitor four areas in **Family and Community Engagement Services (FCE)**: (1) *program foundations to support family well-being and family engagement*; (2) *family partnerships*; (3) *promoting strong parenting, parent-child relationships, and engagement in children’s learning*; and (4) *community partnerships*.

The Review Lead will also explore approaches to supervising and supporting staff to help them provide quality services; monitoring and adjusting staffing to ensure staff have the capacity to do their work; and using data to track services, monitor for quality, and assess progress and outcomes. These activities will contribute to assessment of the grant recipient’s program oversight, ongoing monitoring, and continuous improvement capacity and efforts.

Monitoring Approach

FCE will be monitored through:

Data Tour with family services management and staff to better understand how the program tracks and monitors for accurate and timely family engagement data and services, provides staff oversight, and supports staff to use effective engagement practices to support families

The grant recipient will be asked to share real-time data and documentation in areas including but not limited to:

- Sample of communication with families
- Tracking system for family partnership goals
- Examples of father or male engagement
- Intake and assessment procedures
- Examples of family strengths, needs, and partnership goals
- Family services staff qualifications

Federal Regulations in FCE

- ✓ 1302.50(b)
- ✓ 1302.51(a–b)
- ✓ 1302.52(b–c)
- ✓ 1302.53(a)
- ✓ 1302.91(e)

Performance Area 1: Program Foundations to Support Family Well-Being and Family Engagement

This area will focus on how the grant recipient integrates the family into the program through communication and maintaining competent staffing to provide high-quality services to families.

Performance Measure 1.1: The grant recipient has strategies to engage all families through open and effective communication. 1302.50(b)(2) and 1302.50(b)(5)

Elements of this measure include but are not limited to how the grant recipient:

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- Uses methods of two-way communication with families
- Communicates in languages spoken by families

Performance Measure 1.2: Staff are qualified to support the needs of enrolled families. 1302.91(e)(7)

Elements of this measure include but are not limited to how the grant recipient:

- Monitors and maintains appropriate qualifications for staff

Performance Area 2: Family Partnerships

This area will focus on the grant recipient's established systems for completing, monitoring, and supporting family partnerships for enrolled families.

Performance Measure 2.1: The grant recipient develops a family partnership process that is anchored in family strengths, interests, and needs. 1302.50(b)(3); 1302.52(b); and 1302.52(c)(3)

Elements of this measure include but are not limited to how the grant recipient:

- Aligns intake and assessment procedures with the Parent, Family, and Community Engagement Framework
- Collaborates with families to create goals based on family interests and needs
- Conducts ongoing review on the progress in supporting family goals

Performance Area 3: Promoting Strong Parenting, Parent-Child Relationships, and Engagement in Children's Learning

This area will focus on the grant recipient's selection and implementation of a parenting curriculum. The grant recipient's approach should encourage family engagement in program offerings and support the parent as the child's primary educator.

Performance Measure 3.1: The grant recipient builds on parents' knowledge and offers parents the opportunity to practice parenting skills. 1302.50(b)(1); 1302.51(a); and 1302.51(b)

Elements of this measure include but are not limited to how the grant recipient:

- Provides families opportunities to improve parenting knowledge and skills
- Engages fathers and other male caregivers

Performance Area 4: Community Partnerships

This area will focus on how community partnerships are developed and used to support the ongoing needs of the program, families, and children who are served.

Performance Measure 4.1: The grant recipient develops community partnerships that meet the needs and interests of families. 1302.53(a)(1)

Elements of this measure include but are not limited to how the grant recipient:

- Develops community partnerships that facilitate access to resources that align with families' needs or family partnership goals

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Fiscal Infrastructure

Overview

The Fiscal Infrastructure section of the review will focus on how the program shares information with the director, managers, the governing body, and the policy council; and how the program uses data to make sound fiscal decisions and ensure fiscal and legal accountability. The review event also monitors for the integrity of fiscal operations, with a focus on mitigating the risk or occurrence of fraud, waste, and abuse.

The Review Lead will monitor two areas in **Fiscal Infrastructure (FIS)**: (1) *budget development, implementation, and oversight*; and (2) *comprehensive financial management structure and system*.

The Review Lead will also explore approaches to supervising and supporting fiscal staff to ensure integrity and consistency in fiscal operations. These activities will contribute to assessment of the grant recipient's program oversight, ongoing monitoring, and continuous improvement capacity and efforts.

Monitoring Approach

FIS will be monitored through:

Data Tour with fiscal management and staff to better understand how the program tracks and monitors for accurate and timely financial data and ensures effective fiscal oversight

The grant recipient will be asked to share real-time data and documentation in areas including but not limited to:

- Budget to actual report
- Financial management system
- Fiscal policies and procedures
- Cost allocation plan
- Monthly financial reports

Federal Regulations in FIS

- ✓ 75.327(c)
- ✓ 75.302(b)
- ✓ 1302.101(a)
- ✓ 75.403(a)
- ✓ 1302.91(c)
- ✓ 1303.5

Performance Area 1: Budget Development, Implementation, and Oversight

This area will focus on the process the grant recipient follows to develop a budget that is reflective of program goals, and how the budget is monitored and adjusted to be responsive to ongoing needs.

Performance Measure 1.1: The grant recipient establishes a transparent, data-informed process to develop and maintain a budget that aligns with program goals and circumstances. 75.302(b)(5)

Elements of this measure include but are not limited to how the grant recipient:

- Engages stakeholders in the budget development process
- Uses the financial management system to capture actual-to-budgeted costs monthly
- Regularly examines and addresses financial impact of emerging program needs and changes

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Performance Area 2: Comprehensive Financial Management Structure and System

This area will focus on the grant recipient's establishment and implementation of financial policies and procedures to manage financial records and safeguard federal funds in accordance with all governing regulations.

Performance Measure 2.1: The grant recipient develops a system to ensure effective control over and accountability for all funds, property, and assets. 75.327(c)(1) and 1302.91(c)

Elements of this measure include but are not limited to how the grant recipient:

- Develops and maintains written fiscal policies and procedures
- Maintains qualified fiscal staffing
- Promotes separation of financial responsibilities

Performance Measure 2.2: The grant recipient develops a system for maintaining financial records and generating information needed to manage federal funds. 1302.101(a)(4)

Elements of this measure include but are not limited to how the grant recipient:

- Maintains an automated accounting system for financial information and personnel costs

Performance Measure 2.3: The grant recipient develops a system to ensure that only allowable costs are charged to the Head Start award in accordance with federal statutes, regulations, and the terms and conditions of the federal award. 75.403(a) and 1303.5

Elements of this measure include but are not limited to how the grant recipient:

- Determines and documents costs for goods and services that are necessary and reasonable to the program's Head Start award
- Ensures costs are allocated appropriately
- Tracks administrative costs and non-federal match

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Eligibility, Recruitment, Selection, Enrollment, Attendance

Overview

Grant recipients must ensure compliance with Eligibility, Recruitment, Selection, Enrollment, and Attendance (ERSEA) program requirements, including mitigation of enrollment fraud. The grant recipient will share information about ERSEA practices and how data are used to ensure the program recruits, selects, and enrolls children based on eligibility criteria.

The Review Lead will monitor four areas in **ERSEA**: (1) recruitment; (2) selection; (2) eligibility; and (3) enrollment.

The Review Lead will also explore approaches to supervising and supporting staff to help them provide quality services; monitoring and adjusting staffing to ensure staff have the capacity to do their work; and using data to track services, monitor for quality, and assess progress and outcomes. These activities will contribute to assessment of the grant recipient's program oversight, ongoing monitoring, and continuous improvement capacity and efforts.

Monitoring Approach

ERSEA will be monitored through:

Data Tour with ERSEA management and staff to better understand how the program tracks and monitors for accurate and timely ERSEA data and uses data to inform ERSEA practices

The grant recipient will be asked to share real-time data and documentation in areas including but not limited to:

- Eligibility tracking system
- Enrollment tracking system
- Eligibility training records
- Reports showing percentages of enrollment by eligibility category
- Selection criteria
- ERSEA policies and procedures

Federal Regulations in ERSEA

- ✓ 1302.12(h-i)
- ✓ 1302.12(k-m)
- ✓ 1302.13
- ✓ 1302.14(a-b)
- ✓ 1302.15(a)

Performance Area 1: Recruitment

This area will focus on how the grant recipient designs and implements recruitment strategies to reach children and families who may be eligible for program services, particularly focusing recruitment to the most vulnerable populations within the community.

Performance Measure 1.1: The grant recipient uses knowledge about the community it serves to develop its recruitment strategy to locate the families with the greatest need. 1302.13

Elements of this measure include but are not limited to how the grant recipient:

- Identifies children and families with the greatest need

FY24 Focus Area One Monitoring Protocol

Performance Area 2: Selection

This area will focus on how the grant recipient designs and implements a selection process that is responsive to community needs and prioritizes children and families with the greatest need.

Performance Measure 2.1: The grant recipient uses knowledge about the community it serves to develop its selection criteria. 1302.14(a)(1)

Elements of this measure include but are not limited to how the grant recipient:

- Develops and maintains selection criteria based on data from the community needs assessment

Performance Area 3: Eligibility

This area will focus on the grant recipient's established systems to determine eligibility for children and families. This Performance Area will also cover how the grant recipient deters fraud and maintains eligibility requirements as outlined by Head Start regulations.

Performance Measure 3.1: The grant recipient has an established process for enrolling eligible families and supporting compliance with eligibility requirements. 1302.12(h); 1302.12(i); 1302.12(k)(2)(i); 1302.12(m)(1); and 1302.12(m)(2)

Elements of this measure include but are not limited to how the grant recipient:

- Monitors and tracks eligibility of each participant in alignment with regulations, including age
- Retains eligibility documentation in alignment with regulations
- Trains and monitors staff on the eligibility determination process

Performance Area 4: Enrollment

This area will focus on the grant recipient's approaches to ensure full enrollment across program options, including the enrollment of children with disabilities.

Performance Measure 4.1: The grant recipient develops a process to maintain full enrollment and track current enrollment, including the percentage of enrolled children eligible for services under IDEA.

1302.14(b)(1) and 1302.15(a)

Elements of this measure include but are not limited to how the grant recipient:

- Identifies, tracks, and fills program vacancies
- Maintains at least 10% of funded enrollment with children eligible for services under the Individuals with Disabilities Education Act (IDEA)