

**THE SCHOOL BOARD OF BROWARD COUNTY, FL**  
**HEAD START/EARLY HEAD START PROGRAM**

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**2014 SELF-ASSESSMENT PROTOCOLS**

**THE SCHOOL BOARD OF BROWARD COUNTY, FLORIDA**  
**Academics**  
**Early Childhood Education Department**

## Head Start (HS) Self-Assessment: Education

School: \_\_\_\_\_ Teacher: \_\_\_\_\_ Date: \_\_\_\_\_

Classroom Assessment Scoring System (CLASS) Scores    Total: \_\_\_\_\_ ES: \_\_\_\_\_ CO: \_\_\_\_\_ IS: \_\_\_\_\_

### Physical Environment

Yes	No	Overall Physical Environment	Performance Standards
		Classroom divided into well-defined interest areas	1304.21(a)(i)(ii)
		Furniture is positioned to eliminate long and wide open spaces that encourage running	1304.53(a)(1)
		Classroom furniture is arranged so that all children can be supervised/observed from any place in the classroom (including corner areas and cubbies)	1304.53(b)(1)(iv)
		Interest areas are located near necessary and needed resources	1304.53(a)(3)
		Interest areas are arranged so that they do not interfere with other activities	1304.21(a)(1)(iii)
		Areas with common materials are located near each other	1304.21(a)(1)(ii)
		Non-stereotypic materials and displays that reflect a range of roles, special needs, and social/cultural contexts of the families in the classroom and community are used	1304.53(b)(i)(iv)
		Materials are stored on low shelves where children have access to them independently	1304.21(a)(1)(ii)
		Materials are in good condition and well-maintained	1304.21(a)(3)(i)
		Labeling of materials as well as where they belong is evident throughout the entire classroom	
		Children's artwork and writing is current and displayed at their eye level on walls/dividers	
		Children's photographs with their families are displayed	
		Commercial displays are limited to the topic of relevance or activity area	
		Each child has a labeled cubby (name and symbol/photograph) or safe place to store work	
		Classroom has evidence of good lighting, softness, textures, homelike touches, and quiet/cozy place	
		Classroom has a designated "safe place" for children to go when upset, angry, or frustrated to calm and compose themselves prior to returning to the group or activity	
		Writing materials, books, and other texts are available in at least 5 interest areas.	
		Facility has made adequate provisions for children with disabilities to ensure their safety, comfort, and participation	1304.53(a)(10)(xvii)

### Interest Area Materials

Yes	No	Block Area	1304.21(a)(4)(i)
		Available daily as a choice activity	
		Enclosed on three sides	
		Ample space so children can build without getting in each other's way	
		Has low pile carpeting	
		Has an adequate set of unit blocks	
		Begins year with 3-4 different shapes of unit blocks	
		Organize blocks by size and shape with outlines to show where each shape goes	
		Has at least one other type of block (e.g., hollow, cardboard, foam, and large Lego)	
		Displays at least 4-6 props from a variety of categories (e.g., small vehicles, ocean/farm/zoo/wild animals, people, furniture, train set, and traffic signs)	
Yes	No	Dramatic Play	1304.21(a)(3)(i)(D)
		Available daily as a choice activity	1304.21(a)(4)(i)
		Ample space for 4-6 children to play at a time	1304.21(a)(4)(ii)
		The environment is changed to allow for other dramatic play settings (e.g., grocery store, clinic, and fire station)	1304.21(a)(4)(iii)
		_____ Stove _____ Refrigerator _____ Sink _____ Dishes _____ Utensils	
		Plastic food and real empty food boxes and containers that reflect the cultures of the students	
		_____ Table and chairs _____ Mirror	
		Telephone/cell phone	
		Comfortable seating (e.g., rocking chair and bean bag chair)	
		_____ Dolls of various ethnicities _____ Doll clothes _____ Doll bed	

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**Head Start (HS) Self-Assessment: Education (continued)**

**Interest Area Materials (continued)**

<b>Yes</b>	<b>No</b>	<b>Dramatic Play</b>	
		Male and female dress-up clothing that reflect a variety of occupations and cultures (especially those of the children's families)	
		Accessories (e.g., shoes, purses, small suitcases, hats, and jewelry)	
		Area is attractive and inviting (e.g., tablecloth, plant, framed pictures that children made, and photos)	
<b>Yes</b>	<b>No</b>	<b>Manipulatives Area</b>	1304.21(a)(5)(ii) 1304.21(a)(4)(i)
		Available daily as a choice activity	
		Organize toys and games by labeling the shelf and container	
		Include materials ranging from simple to complex to meet varying ability levels (e.g., puzzles of various complexities and different size pegs or beads)	
		Ample space for 4-6 children to play at a time	
		Provide a variety of self-correcting toys (e.g., puzzles, nesting boxes, and shape sorters)	
		Provide a variety of open-ended toys (e.g., Legos, interlocking links, pegboards, pegs, felt boards, and lacing beads)	
		Provide a variety of materials for collecting, sorting, and counting	
		Provide a variety of literacy-related materials (e.g., magnetic letters and Magna Doodle)	
		Provide a variety of materials ranging in complexity to meet various ability levels (e.g., 3 piece, 5 piece, 7 piece, 11 piece puzzles, small and large pegs, and beads)	
<b>Yes</b>	<b>No</b>	<b>Art Area</b>	1304.21(a)(5)(ii) 1304.21(a)(4)(ii)
		Available daily as a choice activity	
		Easel and painting materials (e.g., 4 or more colors of paint, brushes, and paper) are available so that children can use them independently on a daily basis.	
		Area is protected from traffic	
		Table is available for 4-6 children to work on a horizontal surface	
		Materials are organized so that children can manage their work independently	
		Paint smocks available so that children can use them independently	
		Child-size cleaning materials are accessible	
		Materials to draw and paint on (e.g., paper, cardstock, newspaper, butcher paper, chalkboard, whiteboards, cardboard, and newsprint)	
		Materials to draw and paint with (e.g., crayons, markers, colored pencils, chalk, gel pens, tempera paint, finger paint, watercolors, brushes, and sponges)	
		Materials to cut and paste (e.g., scissors, glue, and collage materials)	
		Materials and tools to mold (e.g., play dough, modeling clay, rolling pins, and craft sticks)	
		3-D materials (e.g., pipe cleaners, wire, brads, dowels, and clothespins)	
<b>Yes</b>	<b>No</b>	<b>Literacy Area(s)</b>	1304.21(a)(4)(iv)
		Available daily as a choice activity	
		Bookshelf to display books is facing out	
		At least 15-20 books related to the theme are available	
		Variety of materials/furnishing to make space comfortable and attractive (e.g., carpeted floor, bean bag chair, and child-size rocker)	
		Books include storybooks, nursery rhymes, informational-text, predictable text, alphabet, languages spoken in the classroom, and number/counting	
		Props for retelling stories (e.g., puppets, flannel board and story characters, magnetic board, and story apron)	
		Materials for writing, including alphabet charts, a variety of paper, and various writing tools	
<b>Yes</b>	<b>No</b>	<b>Discovery</b>	1304.21(a)(4)(i)
		Available daily as a choice activity	
		Table or place where children can work	

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**Interest Area Materials (continued)**

Yes	No	Discovery	
		Place to store materials, collections, and displays	
		A variety of types of basic tools are available (e.g., magnifying glasses, balance scales, sieves, funnels, magnets, thermometers, containers, and tongs)	
		A variety materials to explore and investigate properties of objects are available (e.g., plants, seeds, rocks, soil, sensory tubs, take-a-parts, pulleys, gears, wheels, mirrors, and flashlights)	
		Materials are displayed and organized so that children can use them independently	
Yes	No	<b>Sand and Water</b>	1304.21(a)(4)(iv) 1304.21(b)(1)(iii)
		Available daily as a choice activity	
		Sand is 3-4 inches deep	
		Sand materials are easily accessible (e.g., scoops, measuring cups/spoons, sieves, buckets, shovels, and sand molds)	
		Water is clean and fresh	
		Water props are easily accessible (e.g., buckets, cups, funnels, squirt bottles, water wheel, whisks, and floating toys)	
		Smocks are available so that children can use them independently	
Yes	No	<b>Music And Movement</b>	1304.21(a)(4)(ii) 1304.52(b)(1)
		Make available a variety of musical instruments and dance props (e.g., streamers and scarves)	
		Provide a variety of CDs representing diverse cultures and musical styles	
		Provide books that have words to songs and rhymes	
Yes	No	<b>Cooking</b>	1304.23(c)(7) 1304.21(a)(1)(iv)
		Cooking experiences related to the thematic units are made available	
		Provide items for cooking that children can use safely and independently	
		Provide recipe cards/charts with pictures and words	
Yes	No	<b>Computers</b>	1304.21(a)(4)(iv)
		Available daily as a choice activity	
		Area has child-size table and at least two chairs	
		Monitor angled so children do not have to look up	
		Keyboard and mouse are at a child's elbow level	
		Software programs are developmentally appropriate	
Yes	No	<b>Outdoors</b>	1304.21(a)(4)(i) 1304.22(d)(1)(d)(2) 1304.21(a)(5)(i) 1304.53(a)(1) 1304.21(a)(5)(ii)
		Children go out on a daily basis, weather permitting	
		Sufficient and safe play space is available outside	
		Outdoor space is varied (e.g., soft materials, sunny and shady areas, paved or hard surfaces, place to be alone with 1-2 friends, and open space)	
		Variety of equipment to develop gross motor skills is available (e.g., bikes, balls, hoops, etc.)	
		Movement/gross motor activities for indoors are available when children are not able to go outdoors	

**Content-Related Materials**

Yes	No	Literacy	1304.21(a)(4)(iv)
		Alphabet on the wall is displayed at children's eye level	
		High-quality literature is chosen from a variety of genres appropriate for children's interest and conceptual level	
		Children have access to books being read aloud so that they can retell the stories in their own words	
		Print in the classroom includes: labeling objects, providing information (e.g., schedule and recipes), shared writing, and identifying classroom practices (e.g., waiting lists and charts)	
		Evidence/Use of Opening the World of Learning curriculum	
		Evidence/Use of Little Treasures curricular components	
		Evidence/Use of Preschool Literacy Notebook	

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**Head Start (HS) Self-Assessment: Education (continued)**

**Content-Related Materials (continued)**

Yes	No	Math	1304.21(a)(4)(iv)
		A variety of materials are available for exploring number concepts	
		A variety of materials are available for exploring geometric shapes and spatial relationships	
		A variety of materials are available for exploring measurement (e.g., scales, measuring tapes, rulers, unifix cubes, liquid measures, etc.)	
		A variety of materials are available for collecting, organizing, and representing data	
		Evidence/use of Houghton Mifflin Pre-K Math curriculum	
Yes	No	Science	1304.21(a)(4)(i)
		A variety of materials are available for actively investigating the life sciences (e.g., plants, learning about health, nutrition, and bodies)	
		A variety of materials are available for investigating the physical sciences (e.g., magnets, magnifying glasses, balance scales, mirrors, ramps, and balls)	
		A variety of materials are available for exploring the earth and the environment (e.g., sand, clay, water, thermometers, rocks, fossils, and recyclables)	
		Evidence/use of Macmillan/McGraw-Hill Pre-K Science curriculum	
Yes	No	Social Studies	1304.21(a)(4)(i)
		A variety of materials are available to help children learn about people and how they live (e.g., career-related props, books about different cultures/families, disabilities, class rules, jobs, play money, cash registers, and family pictures)	
		A variety of materials are offered to help children learn about spaces and geography (e.g., road signs, maps, and musical selections/games that children use independently to explore directionality)	

**Structure**

Yes	No	Daily Schedule, Routines, and Groups	1304.21(a)(5)(ii) 1304.21(a)(3)(i)(c) 1304.21(a)(4)(i) 1304.21(a)(1)(iv) 1304.21(c)(1)(i) 1304.21(a)(3)(ii) 1304.21(a)(3)(i)(A) 1304.21(a)(3)(i)(B)
		Daily schedule is displayed in words and pictures at the children's eye level	
		Daily schedule includes a balance of activities (e.g., quiet/active times, large/small group, indoor/outdoor play times, and child-initiated/teacher-directed)	
		Daily schedule allows for flexibility	
		Maximum of one (1) hour is allocated for Rest Time, which includes set up of mats and putting mat away. The duration of Rest Time decreases as the year progresses so that by the last month of school, Rest Time is offered but does not exceed 30 minutes.	
		Children are supervised during Rest Time.	
		Quiet activities are provided to children who do not sleep 15 minutes after Rest Time begins	
		Children go outdoors daily (30 minutes total)	
		Routines and procedures are consistent to follow (e.g., brushing teeth, putting away belongings, and checking in)	
		Strategies are in place to teach children how to care for the classroom	
		Teacher guides children on where to put materials when they are finished	
		Flexible, large group activities are planned daily	
		Accommodations are made for children who choose not to participate in large group activities	
		Interactive experiences are planned and children are engaged in them during small and large group	
		Language development and comprehension is enhanced through shared reading opportunities to make predictions, interact with the text utilizing various strategies (e.g., pointers, framing tools, and highlighting tape) and respond to text through discussion writing, music, art, and/or drama	
		Children are engaged in daily shared reading experiences that focus on making predictions, rhyming, chiming in during subsequent readings, and participation in discussion	
		Flexible, small group (2-6 children) activities are planned each day	
		Needs and interests of children are addressed during small group activities	
		Classroom activities are adapted to include children with disabilities	
			1308.4(c)

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**Head Start (HS) Self-Assessment: Education (continued)**

**Structure (continued)**

Yes	No	Lesson Plans	1304.21(a)(1)(v) 1304.21(a)(1)(iv) 1304.21(c)(1)(i)
		Lesson Plans follow the HS Program Plan Book/Lesson Plan Guidelines	
		Weekly lesson plans are easily accessible and activities are carried out	
		Weekly Lesson Plans include: _____ Changes to the environment _____ Activities related to the topic _____ Reflect small and large group activities _____ Special activities _____ Evidence of language development skills: Phonemic Awareness, Vocabulary, Concepts of Print, and Letter Names/Sounds	
		Short, concise, five-day shared reading lessons (Shared Big Book/Poetry) are conducted daily	
		Shared Poetry is sent home for each child	
		The approach to child development and lesson planning is inclusive of children with disabilities consistent with their Individualized Education Plan (IEP)	1304.21(a)(1)(ii)
Yes	No	Center Time	1304.21(a)(4)(i-iv)
		Children choose interest areas, activities, materials, and playmates during choice time	
		Center time is scheduled for 60-75 minutes daily	
		Children are allowed to move to different interest areas during choice time	
		Teacher will plan small group differentiated instruction, based upon the children's needs and interests, to be conducted during center time	
		Teacher and Teacher Assistant circulate and interact with children	
Yes	No	Transitions	1304.21(a)(3)(ii)
		Transitions between activities are facilitated and smooth (individual, small, and large groups)	
		Children are able to use the bathroom as needed	
		Transitions are used to teach concepts and skills	

**Assessment**

Yes	No	Assessment Observations/ Documentations	1304.20(b)(1)
		A system of collecting observational data and work samples is in place	
		Objective, factual observations are taken on each child weekly	
		Samples of children's work and supporting notes are collected to document progress	
		Observations and notes are dated	
		Documented observations are entered into Teaching Strategies GOLD (TSG) weekly	
		Checkpoints in TSG are finalized for Fall, Winter, and Spring	
Yes	No	Analyzing and Evaluating Children's Progress	1304.21(a)(1) 1304.21(c)(2) 1304.21(a)(1)(ii)
		Documentation, observations, and children's assessment results are analyzed	
		Class Profile, Individual Child, Letter Knowledge, and Sound Knowledge Reports are generated	
		Class Profile Report and observations are used to individualize and plan large/small group instruction	
		Individualization is documented in the lesson plan weekly with goals for all students	
		Individualization includes goals for students with an IEP	
		Confidentiality policies are maintained concerning information about children and families. ESE records are kept locked or otherwise secured.	1308.6(e)

**Family Involvement**

Yes	No	Family Involvement	1304.20(e)(1) 1304.20(e)(2) 1304.20(e)(3) 1304.21(a)(2)(i-iii) 1304.40(d)(2) 1304.40(d)(3) 1304.52(k)(1-3) 1304.40(e)(5) 1304.40(i) 1304.24(a)(1)(ii)
		Weekly communication between home and school is evident	
		Contact with the family is made as needed	
		Classroom has a parent board to orient families to the program and curricular activities (e.g., newsletters, open house agendas, parent meeting flyers, field trip announcements, and HS Requirements)	
		Parent board is up-to-date	
		Parent conferences and home visits are conducted to share information, discuss information, and plan what will occur to support the child's learning	

*Based on the HS Preschool Handbook, the HS Performance Standards, and the Creative Curriculum for Preschool Implementation Checklist.*

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**Head Start/Early Head Start Self-Assessment:  
Disabilities**

1. Is there evidence that the disabilities services plan has been updated annually?  
☐ Yes      ☐ No \_\_\_\_\_
2. Is there an interagency agreement between the program and the Local Education Agency that provides services to enable the effective participation of children with disabilities?  
☐ Yes      ☐ No \_\_\_\_\_
3. Do files demonstrate a timely process for assessing children with suspected disabilities, engaging parents, and arranging for services, as needed? (IEP meeting must occur within 30 calendar days of determination of a special need.)  
☐ Yes      ☐ No \_\_\_\_\_
4. Is there a formal partnership with Early Head Start and the local Part C Agency (provider of early intervention services)?  
☐ Yes      ☐ No \_\_\_\_\_
5. Is there an agreement that describes the process for coordinating services for infants and toddlers?  
☐ Yes      ☐ No \_\_\_\_\_
6. Is there evidence of the family's involvement in the development of Individual Education Plans (IEP) or Individual Family Service Plan (IFSP)?  
☐ Yes      ☐ No \_\_\_\_\_
7. Do IEPs and IFSPs identify persons responsible for planning, delivering, and supervising services and projected dates for services to begin?  
☐ Yes      ☐ No \_\_\_\_\_
8. Are transition plans developed for children that provide continuity of care as children with disabilities move from one program to the next?  
☐ Yes      ☐ No \_\_\_\_\_
9. What type of modifications has the program made to meet the specific needs of children with disabilities this past year?  
\_\_\_\_\_  
\_\_\_\_\_
10. How does the program provide parents with information and assistance in understanding and advocating for services and supports needed to address their child's needs?  
\_\_\_\_\_  
\_\_\_\_\_

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**Early Head Start (EHS) Self-Assessment: Education**

School: \_\_\_\_\_ Teacher: \_\_\_\_\_ Date: \_\_\_\_\_

**RESPONSIVE ENVIRONMENT**

Yes	No	A. Overall Indoor Physical Environment	Performance Standards
		<b>For All Age-Groups</b>	1304.53(a)(1)
		Are there spaces for greetings, diapering and toileting, sleeping, food preparation, and eating?	1304.53(a)(2)
		Is there space for children to play actively and quietly, and to play individually and in small groups?	1304.53(a)(3)
		Is the environment set up so teachers can supervise all children by sight or sound at all times?	1304.53(a)(4)
		Do routine care and experiences take place near needed resources? (e.g. diaper changing near sink, art activities near sink)	1304.53(a)(10)(xvii)
		Does the environment include soft, cozy elements and homelike touches? (e.g., low lofts with ramps, mattresses on floor, a tent, comfortable chairs where adults and children can sit together, mirrors reflecting natural light, curtains, hanging baskets of flowers or plants, photos)	1304.53 (b)(3)
		Is the room arranged to accommodate mixed-age groups of children? (e.g., protected areas are provided where young infants can watch action, the heights of tables and chairs are varied, materials for infants are stored on low shelves, and materials for toddlers and twos are on higher shelves)	1304.40(c)(3)
		Does the environment accommodate the particular needs of children with disabilities (if enrolled) and make it possible for children to be included in most activities? (e.g., ramps for strollers or wheelchairs; visual, tactile, or audible cues for routines and experiences; wide entrances to give a child in a wheelchair or walker access to play areas; adaptive seating)	1304.21(c)(1)(vii)
		Is indoor space separated from areas used by preschoolers?	
		<b>For Young and Mobile Infants</b>	
		Are there comfortable places where children can be held while being bottle-or breast-fed?	
		Is there a private space and comfortable chair for a mother to breast-feed? (Does not have to be located in the room, but must be located within the facility)	
		Do cribs have firm mattresses and are free of soft bedding, cushions and toys?	
		<b>For Toddlers and Twos</b>	
		Are noisy, active areas separated from quieter areas?	
		Are four or more areas set up for daily experiences?	
Yes	No	<b>B. Selecting, Displaying, and Storing Indoor Materials</b>	
		<b>For All Age-Groups</b>	1304.53(a)(1)
		Are the furniture and equipment the appropriate size for infants, toddlers, and twos?	1304.53(b)(1)
		Is there a variety of materials, ranging from simple to more complex, to meet the varying ability levels of children, including those with disabilities? (e.g., puzzles with large and small knobs; three-, four-, five- piece shape sorters; crayons and painting tools of a variety of sizes, designs, and functions)	1304.53(b)(1)(i)
		Are the materials well maintained? Are toys sanitized regularly? (all toys and equipment are in safe, clean, working condition, e.g., no missing pieces, cloth toys clean and not torn; books not torn, worn out, missing pages or written in; dolls clothed and intact; toys are safe to mouth)	1304.53(b)(1)(ii)
			1304.53(b)(1)(iii)
			1304.53(b)(1)(iv)
			1304.53(b)(1)(v)
			1304.53(b)(1)(vi)
			1304.53(b)(1)(vii)
			1304.53(b)(2)
			1304.21(a)(1)(i)
			1304.21(a)(1)(iii)
			1304.21(a)(1)(v)
Yes	No	<b>B. Selecting, Displaying, and Storing Indoor Materials (continued)</b>	1304.21(a)(4)(iv)
		Are toys and related materials stored and organized where they are used most often? (e.g., in bins and on low, open shelves)	1304.21(a)(5)(iii)
		Are there enough materials so children can use them well and sustain their play? (e.g., children do not run out of materials when they extend their play; complementary materials support social play)	1304.21(b)(3)(ii)
		Are there duplicates of materials and equipment?	1304.21(c)(1)(v)
		Do materials and displays reflect diversity? (e.g., books, dolls, block props, puzzles, music, photos, posters)	



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		Does the environment exclude equipment that restrains or limits a child's movement? (e.g., infant swings, walkers, bouncy chairs, kidney-shaped tables with bucket seats)	
		Does every child have a cubby or another place to store diapers, clothing, and personal items?	
		Are cubbies labeled with the child's name and photograph?	
		Are children's original artwork and pictures of familiar people and things displayed at a child's eye level? (original artwork for mobile infants, toddlers, and twos)	
		Does the environment accommodate adult needs? (e.g., comfortable, adult-size chairs, steps for children to climb to the diapering table; locking storage for personal and staff belongings that is not accessible to children)	
		Are there materials for children to explore with their senses (e.g. tasting and smelling)	
		<b>For Young and Mobile Infants</b> ( <i>Check indicates in evidence</i> )	
		Are there materials for children to choose and use that stimulate all senses? ___ grasping and mouthing toys ___ soft items to cuddle and squeeze ___ items that can be set in motion ___ items that make sounds (e.g., balls with bells inside, rattles) ___ soft or board books ___ art materials (e.g., fabric scraps, nontoxic papers) ___ push-and-pull toys ___ transportation toys ___ blocks ___ puzzles ___ balls ___ simple sand and water props ___ manipulatives (e.g., toys to pump and fill, and to stack and knock down)	
		Is there equipment that encourages children to practice gross motor skills? (e.g., climbing equipment; low, carpeted risers; secure railings for pulling and cruising)	
		<b>For Toddlers and Twos</b>	
		Is there a variety of materials and equipment that promote self-care skills and independence? (e.g., sturdy steps to changing table, low tables and chairs, small pitchers for toddlers to pour their own beverages, child-size eating utensils, paper towels for spills and drying hands, small brooms and dust pans, coat hooks or cubbies that children can reach)	
		Are there child-size toilets and sinks or adequate provisions for children to use adult-size toilets and sinks? (e.g., sturdy steps with handrails)	
<b>Yes</b>	<b>No</b>	<b>B. Selecting, Displaying, and Storing Indoor Materials (continued)</b>	
		Are most containers and shelves labeled with words and pictures, photos, or traced outlines?	
		Is a picture schedule displayed at the children's eye level?	
		Are there materials for children to choose and use to support their playing with toys? ( <i>Check indicates in evidence</i> ) ___ push-and-pull toys ___ blocks ___ gross motor toys ___ transportation toys ___ animal figurines and other simple props ___ puzzles and matching games ___ manipulatives	
		Are there materials for children to choose and use for imitating and pretending? ( <i>Check indicates in evidence</i> ) ___ dress-up clothes ___ baby dolls and accessories ___ child-size household items	

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		(e.g., dishes, pots, pans) — simple house-corner furniture (e.g., table and chairs, and toy stove, sink, fridge)	
		Are there materials for children to choose and use to support their enjoying stories and books? ( <i>Check indicates in evidence</i> ) — sturdy books with pages children can turn easily (e.g., board books) — homemade books — storytelling props (e.g., puppets, felt board pieces) — at least two books per child	
		Are there materials for children to choose and use to support their creating with art? ( <i>Check indicates in evidence</i> ) — a variety of materials for painting (e.g., paintbrushes, rollers, finger paints, paper) — molding materials — drawing materials — printing and collage materials (for twos only)	
		Are there materials for children to choose and use to support their exploring sand and water? ( <i>Check indicates in evidence</i> ) — a variety of simple sand toys (e.g., digging tools, containers for filling and dumping, other props such as sieves, slotted spoons, cookie cutters, animal and people figurines) — a variety of simple water toys (e.g., watering cans, water wheels, squeeze bottles, boats, animal and people figurines)	
<b>Yes</b>	<b>No</b>	<b>C. Overall Outdoor Physical Environment</b>	
		<b>For All Age-Groups</b>	1304.53(a)(4) 1304.53(b)(1)(i) 1304.21(a)(5)(i) 1304.21(b)(3)(i) 1304.21(c)(1)(vii)
		Are outdoor space and general walkways separated from areas in use by preschoolers?	
		Does the outdoor play area include these elements? ( <i>Check indicates in evidence</i> ) — soft materials (e.g., grass, blankets, hay, sand) — sun as well as shade — paved or other hard surfaces — open space for gross motor activities — places where adults and children can sit together comfortably (e.g., blankets, benches, tent)	
		Is there a variety of developmentally appropriate outdoor structures and equipment? (e.g., garden, swings, slide, platform and climber, sandbox, water tub, tires, playhouse, rocking boat, tunnel, cardboard cartons)	
<b>Yes</b>	<b>No</b>	<b>D. Selecting and Displaying Outdoor Equipment and Materials</b>	
		<b>For All Age-Groups</b>	1304.21(a)(5)(i)
		Is there a variety of equipment and materials for gross motor activities? (e.g., blankets to crawl on, low rail for cruising, low climber with wide steps, wheeled toys to push and ride)	
		Is there a variety of materials for sensory and motor exploration? (e.g., wind chimes; sand; water; items to push and pull; things to roll on; items to put in motion, such as balls and wheeled toys)	
		Is there a variety of materials to supplement permanent equipment outdoors? (e.g., bubbles, balls, props for imitating and pretending, quilts to lie or sit on, basket of books, paintbrushes and water buckets, sidewalk chalk)	
		Are materials and equipment well maintained? (e.g., no sharp edges, free of splinters, sandboxes filled with sand and covered when not in use)	

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**Academics**

**Early Childhood Education Department**

**CARING AND TEACHING**

Yes	No	<b>A. Creating a Structure for Each Day</b> (Do teachers use the following strategies?)	
		<b>For All Age-Groups</b>	1304.21(a)(3)(i)(B)
		Structure the day so that the schedule is predictable and flexible enough to meet individual children's needs?	1304.21(a)(3)(ii)
		Provide opportunities during the day when children may play with others, be alone, play with an adult, and choose their own activities or those offered by an adult?	1304.21(b)(2)(ii)
		Take children outside at least twice a day in a full-day program?	1304.21(c)(1)(i)
		Acknowledge and support infants' and toddlers' efforts and accomplishments	1308.4 (c)
		<b>For Young and Mobile Infants</b>	
		Allow infants to follow their own biological patterns of eating, sleeping, diapering, and playing?	
		<b>For Toddlers and Twos</b>	
		Keep group times short, allowing children to join and leave the group as the children decide?	
		Conduct transitions by using appropriate strategies? (e.g., giving a warning and clear directions, minimizing waiting, guiding individual or small-group transitions rather than whole-group transitions)	
		Encourage toddlers and twos to help clean up after playing?	
		Classroom activities are adapted to include children with disabilities (as needed).	
Yes	No	<b>B. Building Relationships</b> (Do teachers use the following strategies?)	
		<b>For All Age-Groups</b>	1304.21(a)(3)(i)(A)
		Hold, cuddle, and sing to infants and toddlers	1304.21(a)(4)(ii)
		Respond promptly, in a caring manner, to a child's cries, gestures, or speech	1304.21(b)(1)(ii)
		Sit with children at their level (e.g., on the floor, in low chairs)	1304.21(b)(2)(i)
		Laugh and smile, and use caring language	1304.21(c)(1)(iv)
		Demonstrate affection and caring (e.g., use gentle touches, hold and cuddle children, make frequent eye contact)	
		Interact with children frequently, both verbally and nonverbally, speaking calmly and pleasantly during verbal interactions	
		Use each child's name throughout daily interaction	
		Spend time with children individually, in addition to routine interactions	
		Acknowledge children's positive interactions (e.g., help children comfort one another, help children with disabilities engage in play with other children, comment on gentle touches)	
		Support English-language learners in a variety of ways. (e.g., use gestures and body language, provide other visual cues to help children understand verbal messages, allow children to respond nonverbally, let children respond in their home languages, provide books in the children's home language, include music in the children's home languages, use the children's home languages whenever possible)	
Yes	No	<b>C. Promoting Children's Self-Regulation</b> (Do teachers use the following strategies?)	
		<b>For All Age-Groups</b>	1304.21(a)(3)(i)(C)
		Use positive guidance strategies (e.g., redirect children's behavior, offer two acceptable choices; change the environment; give children specific language to use; make a reflective statement that begins with "I see."; appeal to children's senses of humor)	1304.21(b)(1)(ii)
		Use their faces, voices, touches, and motions to help children regulate their behavior (e.g., make eye contact, touch children gently, talk quietly, sit next to children)	1304.21(b)(2)(i)
		<b>For Mobile Infants, Toddlers, and Twos</b>	
		Use clear language to communicate which behaviors are acceptable, limiting the use of the word no	
		Encourage children's participation in routines	
		Allow children to make choices	
		Acknowledge children's appropriate actions and self-control	
		<b>For Toddlers and Twos</b>	
		Give children the chance to solve conflicts themselves if no one will be hurt	
		Give specific language to help children express their feelings verbally. (e.g., "Tell him, "I'm mad. I want my truck, please." Now you say it.")	

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Yes	No	<b>D. Responding to Challenging Behaviors</b> (Do teachers use the following strategies?)	
		<b>For All Age-Groups</b>	1304.21(b)(2)(i)
		Prevent challenging behaviors when possible (e.g., anticipate children's physical needs, alert children before changes, minimize waiting)	
		<b>For Toddlers and Twos</b>	
		Respond to challenging behaviors promptly and appropriately (e.g., state that the behavior is not all right, comfort hurt child, stop behavior, involve child in comforting hurt child)	
Yes	No	<b>E. Guiding Children's Learning</b> (Do teachers use the following strategies?)	
		<b>For All Age-Groups</b>	1304.21 (a)(1)(ii) 1304.21(a)(4)(i) 1304.21(a)(4)(iii) 1304.21(a)(4)(iv) 1304.21(b)(3)(ii) 1304.21(c)(1)(ii) 1304.21(c)(1)(vi)
		The approach to child development and lesson planning is inclusive of children with disabilities consistent with their Individual Family Service Plan (IFSP)/ Individual Education Plan (IEP).	
		Describe what a child sees, hears, and does	
		Use open-ended prompts to extend children's thinking and help them understand cause-and-effect relationships, solve problems, and make predictions	
		Imitate and exchange sounds, gestures, and language with children	
		Name things (e.g., objects, people, animals, actions, body parts, clothing)	
		Sing and/or recite nursery rhymes or fingerplays	
		Use verbal language to help children discover mathematical relationships (e.g., number names, and comparative and positional words)	
		Provide opportunities for children to explore the physical world (e.g. bubbles, collections of objects, plastic containers, balls, a basket with colorful fabric scraps)	
		Provide opportunities for children to explore the natural world (e.g., take children outdoors each day to experience plants, animals, and the weather; plant a small garden; have a covered fish tank; have a class pet or nontoxic plants for toddlers and twos)	

**ROUTINES**

Yes	No	<b>For All Age-Groups</b> (Do teachers use the following strategies?)	
		Include the following routines in a child's day: hellos and good-byes, eating and mealtimes, diapering and toileting, dressing, and sleeping and nap time	1304.21(a)(3)(i)(B) 1304.21(a)(4)(iii)
		Follow health and safety practices for routines	
		Allow sufficient time during routines to meet individual needs without rushing	
		During routines, describe what is happening to the child and allow the child to make choices about how the routine is carried out (e.g., ask, "Do you want to crawl up the stairs or be lifted to the diaper table?" or, "Do you want to wear the red shirt or the blue shirt?")	
		Promote the development of self-care skills and children's increasing independence during routines (e.g., when ready, feed themselves finger foods; sit in low chairs at table; put on clothing; dry hands after toileting; eat family-style-meals)	
		Greet and exchange information with families when they arrive	
		Calmly offer reassurance and comfort to a child who finds separation from family members distressing	
		Say good-bye to each child and exchange information with families at the end of the day	
		Create relaxed and social mealtimes (e.g., feed infants and toddlers individually or in small groups, do not rush, hold infants while bottle-feeding)	
		Follow a nap time routine for each child to help him or her fall asleep. Remove children from cribs when they wake up	

**EXPERIENCES**

Yes	No	<b>For All Age-Groups</b> (Do teachers use the following strategies?)	
		Initiate activities and invite, but do not require, children to participate	1304.21(a)(4)(i) 1304.21(a)(5)(i) 1304.21(b)(1)(iii) 1304.21(b)(2)(i)
		Allow children to move freely in and out of play experiences and to be active throughout the day (e.g., playing with toys, imitating and pretending, connecting with music and movement, enjoying stories and books, creating with art, tasting and preparing food, enjoying sand and water)	

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		Provide opportunities for children to enjoy stories and books (e.g., hold infants on your lap as you show them and read books with simple pictures, put books in different areas of the room, display books so that children can see and reach them, talk about and ask questions about the pictures in books, read predictable books with repetitive language patterns)	
		Avoid art experiences that focus on a finished product rather than on the creative process (e.g., coloring books; patterns or models for children to copy; activities where teachers do most of the work; telling a child what to draw, paint, or make; expecting a child to produce something recognizable; finishing a child's work to make it "better")	
		Provide a variety of daily outdoor experiences for children, weather permitting (e.g., encourage children to watch and listen; offer water play, riding toys, construction materials, and books; take children on walks)	

**DOCUMENTS**

Yes	No	For All Age-Groups	
		An <i>Individual Care Plan – Family Information Form</i> is completed for each child	1304.20(e)(1)
		Lesson Plans are accessible and activities are carried out	1304.20(e)(2)
		Individualized plans are in evidence, and completed weekly	1304.20(e)(3)
		Individualization includes goals for students with an IFSP/IEP	1304.20(f)(2)(i)
		Dated, objective observation notes are in evidence for each child	1304.20(f)(2)(ii)
		Education Portfolios are current for each child	1304.21(a)(2)(i)
		Family Conferences/Home Visits are completed and documented	1304.21(a)(2)(iii)
		There is evidence of communication between home and school	1304.21(b)(1)(i)
		Parent conferences and home visits are conducted to share and discuss information and plan what will occur to support the child's learning	1304.21(c)(1)
		Confidentiality policies are maintained concerning information about children and families.	1304.21(c)(2)
		Exceptional Student Education (ESE) records are kept locked, or otherwise secured.	1304.21(c)(2)
		There is copy of the <i>Transition Planning Report</i> for each child age 2 1/2 and older	1304.41(c)(2)
			1308.6(e)

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**Head Start/Early Head Start Program Self-Assessment:  
Mental Health**

	YES	NO	COMMENTS
Upon completion of screening reviews, is there documentation that indicates teachers provide feedback to parents about social emotional screening results?			
Is there written evidence that teaching staff help families access mental health services?			
Can you find ongoing documentation in the student's files that indicates that families are provided information about depression, anxiety, abuse and neglect or any other mental health concern?			
Do student's files indicate that the program provides opportunities for parents to share their mental health and/or behavioral concerns about their child?			
Is there written documentation indicating teacher's involvement in the planning of mental health service with parents?			
Are the screening reviews (hard copy DECA) and other mental health documentation inside locked cabinets?			
Is there evidence that parents are encouraged to share information regarding the student's functioning in the home environment?			
Does teaching staff, encourage the development of trust, self- esteem, and identity through respectful and responsive communication? Give an example during your observation.			
Does teaching staff demonstrate an understanding of age appropriate social behaviors, varying temperaments, realistic behavioral expectations for young children, setting appropriate limits and opportunities to encourage self-discipline? Provide one example:			
Is there evidence of daily use of social-emotional strategies that promote competence, trust, self-esteem, and positive interaction with others? Please give examples.			
Is conversation encouraged during meals and snack times? Please provide examples of observation.			
Is the length of time for each activity period appropriate to the child's developmental age?			
Is there advance notice of transitions, and an explanation of what happens next? Please give examples of transitions.			
For students with behavioral plans, is there documentation indicating that parents are working collaboratively with the teaching staff? If not, describe the reason(s).			

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**What is the main challenge Head Start /Early Head Start Teachers face when dealing with students with mental health concerns?**

**Areas where the classroom needs improvement:**

**Please review a behavior plan. Are you able to identify the student's incentive? Is it being implemented effectively? Is there a clear identification of the target behaviors? How often was the plan reviewed to make any needed modifications? If it was discontinued, for how long the plan was implemented?**

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**Head Start (HS)/Early Head Start (EHS) Self-Assessment:  
Family Engagement**

**Family Partnerships**

Yes	No	Family Goal Setting: For each family reviewed...	Performance Standards
		Is there evidence of a Family Assessment (FA) for each family reviewed?	1304.40 (a)
		Was the FA completed and goal established within 90 days of the child's entering the program?	1304.40 (1)
		Is there evidence of a Goal? a Timetable? Steps? And Person Responsible?	1304.40(2)
		Is there documentation of the family's progress towards achieving their goal?	1304.40(2)
		Is there documentation of a pre-existing plan for family?	1304.40(3)
		Is there evidence of ongoing interaction with families? (Look for evidence in database of Parent Participation in Parent Engagement Activities, Parent/Teacher Home Visits and Conferences)	1304.40(4)
		Does staff ensure that services are responsive to each family's interest and needs? (Review Contacts with family in database)	1304.40(b)
		Is information available to families in their primary language? (Look up forms on CAB in Spanish, Creole, Portuguese)	1304.40(5)
		Is there a Parent Interest Survey in the child's Family Folder or Electronic Family Folder? (Review FA for evidence of materials shared with families, review Parent Activity Events for the names of families who participated)	1304.40(b)
		Is there evidence of follow-up and interventions to assist families?(Review Contacts for students in database)	1304.40(b)(ii)
		Is there documentation of continuing education and employment training opportunities being made available to the families?(See Referrals, Flyers...)	1304.40(b)(iii)
		Is there evidence that further follow-up was done when a referral provided was not helpful for the family?	1304.40(2)

**Parental Involvement**

Yes	No	For each family reviewed...	Performance Standards
		Is there a Parent Interest Survey in the child's Family Folder or Electronic Family Folder? (Review FA for evidence of materials shared with families, review Parent Activity Events for the names of families who participated)	1304.40(d)(1)
		Are parents informed that the program is open to them during program hours? (Review parent orientation materials, Parent Handbook)	1304.40(d)(2)
		Is there documentation to support that parent program activity participation is voluntary, not required?(See Preschool Medical Record, Denial of Consent for Dental Treatment, Parent Certification, Parent Handbook)	1304.40(2)
		Is there evidence that parents are informed of volunteer opportunities?( See: Parent Handbook, FPA Notes on FA, Parents as Partners Form)	1304.40(3)
		Is there documentation supporting the parent's involvement in child development and education activities? (Look for Preschool Conference form completed on Teacher Home Visits, Parent Activity Agendas, provision and explanation of Promoting Resilience, Now and Forever during FA, Policy Council Minutes)	1304.40(e)(1)(2)
		Is there evidence that families were given referrals to community agencies to participate in family literacy services? (Review FA – Goals, Referrals)	1304.40(4)(i)(ii)
		Is there documentation that family participated in parent engagement activities that promote interactive literacy activities, financial literacy, training to continue as child's primary teacher?	1304.40(A)(B)(C)(D)
		Is there evidence of 2 Teacher Home Visits and 2 Parent Conferences?	1304.40(5)
		Is there documentation that the Program offered training for parents on: medical, dental, nutrition, and/or mental health? (Review flyers, sign ins, agendas, etc for parent activities held at the school that is being reviewed)	1304.40(5) (f)(1)



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		Is there evidence that parents were assisted in understanding how to enroll and participate in a system of ongoing family health care? (Review FA Health Care Coverage in database, review family contacts – follow-ups).	1304.40(2)(8)
		Does the program provide opportunities for parents to learn about Emergency First Aid, Home Safety Practices, Preventive medical/dental health, nutrition and mental health? (Review Parent Interest Survey, Parent Activities, Parent Orientation Packets, Notification of Parents on classroom Parent Board)	1304.40 (iii),
		Is there evidence that staff has shared information with the parent about the nutritional status of their child, mental health concerns? (Check for Nutrition Referrals, Mental Health Referrals, SW/MH Contacts with referrals on children reviewed)	1304.40 (4) (i)(ii)(iii)
		Is there evidence that families have been provided with comprehensive information about community resources? (See Orientation Packet for info on 211, Pinwheels for Prevention)	1304.40 (g)(1)(ii)
		Are parents provided with regular opportunities to work together in activities in which they have expressed an interest? (Review Parent Activities, information on Women's group, grandparents group, and/or fatherhood groups)	1304.40 (2)
		Is there evidence that parents have been involved in transition activities and encouraged to become advocates for their children? (Review parent activities on Transition/Orientation)	1304.40(3) (i)(ii)
		Are efforts made to explain the need for home visits? (See Parent Certification and Involvement Agreement, evidence that HS/EHS Parent Handbook was provided to Parent)	1304.40 (i)(1)

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**Head Start/Early Head Start Self-Assessment:  
Health And Safety Checklist**

Place a check in the box when you observe evidence of each of the items listed. Describe any problems or concerns you witness in the comment section. Note: Duplicate this page if your team is assessing more than four classrooms.

**Classrooms**

**For Early Head Start Infant/Toddler classrooms only:**

1. Sanitation and hygiene procedures for diapering have been adopted that adequately protect health and safety of children served by the program and staff. [1304.22(e)(5)]				
2. The diaper-changing area is located away from areas used for cooking, eating, or children's activities. [1304.53(a)(10)(xiv)]				
3. Diapers are disposed of in a safe and sanitary manner. [1304.53(a)(10)(xvi)]				
4. Infant sleeping arrangements use firm mattresses and avoid soft bedding materials such as comforters, pillows, fluffy blankets or stuffed toys. [1304.53(b)(3)]				
5. Cribs are at least three feet apart from each other. [1304.22(e)(7)]				
6. Infant toys are made of non-toxic materials and are sanitized regularly. [1304.53(b)(2)]				
7. Toilet training equipment is available for children being toilet trained. [1304.53(a)(10)(xv)]				
8. Facilities are available for the proper storage and handling of breast milk and formula. [1304.23](e)(2)				
9. Accommodations for nursing mothers who visit classrooms/participate in activities. [1304.40](c)(3)				

Comments:

**All Classrooms**

**Classrooms**

1. Nonporous gloves are available for use when dealing with bloody bodily fluids. [1304.22(e)(3)]				
2. Staff promote effective dental hygiene among children in conjunction with meals. [1304.23(b)(3)]				
3. Toys are stored in a "safe and orderly fashion" (e.g., in their assigned places, not out where people can trip over them). [1304.53(b)(vii)]				
4. The indoor and outdoor space for infants and toddlers is separated from general walkways and areas used by preschoolers. [1304.53(a)(4)]				
5. Toys, materials and furniture are safe, durable, and kept in good condition (e.g. materials free of sharp edges and loose pieces, balloons and/or plastic bags not used; no choking hazards. [1304.53(b)(1)(vi)] [1304.22(e)(7)]				
6. Center space is organized into functional areas that can be recognized by children and that allow for individual activities and social interactions. [1304.53(a)(3)]				
7. Staffing patterns support regulations regarding class size and number of adults per class. [1306.20]				
8. Staff, volunteers and children wash their hands with soap and running water after diapering or toilet use, before food-related activities, whenever hands are contaminated with blood or other bodily fluids, after handling pets or other animals. Staff and volunteers wash their hands with soap and running water before and after giving medications, before and after treating or bandaging a wound and after assisting a child with toilet use. [1304.22(e)(1)-(2)]				

Comments:

**THE SCHOOL BOARD OF BROWARD COUNTY, FLORIDA****Academics****Early Childhood Education Department****Indoor Facilities****Classrooms**

1. Bathroom facilities are clean, in good repair and easily reached by children. [1304.53(a)(10)(xiv)]				
2. Bathroom facilities are separated from areas used for cooking, eating or children's activities. [1304.53(a)(10)(xiv)]				
3. Indoor and outdoor premises are cleaned daily and kept free of undesirable and hazardous materials and conditions. [1304.53(a)(10)(viii)]				
4. Garbage and trash are stored and disposed of in a safe, sanitary manner. [1304.53(a)(10)(xvi)]				
5. A separate utility sink is specifically used to clean potties. [1304.22(e)(6)]				

Comments:

**Safety****Classrooms**

1. The facility has approved, working fire extinguishers and an appropriate number of smoke detectors that are tested regularly. [1304.53(a)(10)(v), 1304.53(a)(10)(vi)]				
2. Windows and glass doors are constructed, adapted, or adjusted to prevent injury to children. [1304.53(a)(10)(xii)]				
3. Electrical plugs accessible to children are covered. [1304.53(a)(10)(xi)]				
4. The heating/cooling system is insulated to protect children and staff from potential burns. (Note: Look at pipes and/or radiators.) [1304.53(a)(10)(i)]				
5. There is an absence of highly flammable furnishings, decorations, or materials that emit toxic fumes. [1304.53(a)(10)(ii)]				
6. Flammable and other dangerous materials/poisons are stored in locked cabinets or facilities separate from medications and food and accessible only to authorized persons. [1304.53(a)(10)(iii)]				
7. Appropriate licenses (water/sewage, food/sanitation, fire codes, and vendor/contractor licenses) are seen. [1304.53(a)(6) and (10)(xiii), 1304.23(e)(1), 1306.30(c)]				

Comments:

**Facility Layout and Environment****Classrooms**

1. If necessary, there is a safe and effective heating and cooling system. [1304.53(a)(10)(i)]				
2. There is at least 35 sq. ft. of usable indoor space per child (not including bathrooms, halls, kitchen, staff rooms, and storage places). [1304.53(a)(5)]				
3. Facilities enable the safe and effective participation of children with disabilities. [1308.4(o)(4)]				
4. Rooms are well lit. [1304.53(a)(10)(iv)]				
5. Garbage and trash are stored and disposed of in a safe, sanitary manner. [1304.53(a)(10)(xvi)]				

Comments:

**THE SCHOOL BOARD OF BROWARD COUNTY, FLORIDA**  
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**Provision for Emergencies**

Classrooms

1. Exits and/or evacuation routes are clearly marked. [1304.22(a)(3), 1304.53(a)(10)(vii)]				
2. Emergency lighting is available. [1304.53(a)(10)(iv)]				
3. Emergency telephone numbers (e.g., EMS, Fire, Police, Poison Control) are clearly posted. [1304.22(a)(2)]				
4. Policies and plans of action for emergencies that require rapid response on the part of staff (e.g., a child choking) or immediate medical or dental attention are clearly posted. [1304.22(a)(1)]				
5. A well-supplied first-aid kit is available, accessible to staff, and out of reach of children. [1304.22(f)(1)]				
6. Up to date family contact information is available in case of an emergency. [1304.22(a)(2)]				

Comments:

**Medication Administration**

Classrooms

1. All medications are properly labeled (i.e., name of child/staff, name of medication, dosage, name/number of pharmacy/physician). [1304.22(c)(1)]				
2. Medications are under lock and key and out of reach of children. [1304.53(a)(10)(iii), 1304.22(c)(1)]				
3. Medications in need of refrigeration are refrigerated. [1304.22(c)(1)]				
4. There are trained staff member(s) or school nurse to administer, handle and store child medications. [1304.22(c)(2)]				

Comments:

**Outdoors**

Classrooms

1. There is at least 75 sq. ft. of usable outdoor space per child. [1304.53(a)(5)]				
2. The playground equipment is in good repair and safe condition (e.g., adequately secured to the ground, free of sharp edges and/or splinters, soft falling surface). [1304.53(a)(7), 1304.53(a)(10)(viii), 1304.53(a)(10)(x)]				
3. The outdoor play area is arranged such that no child can leave the premises or get into unsafe or unsupervised areas. [1304.53(a)(9)]				

Comments:

**THE SCHOOL BOARD OF BROWARD COUNTY, FLORIDA**  
**Academics**  
**Early Childhood Education Department**

## Head Start/Early Head Start Self-Assessment: Health Checklist

Indicate ✓ if evident NA if not applicable

[illegible]

**THE SCHOOL BOARD OF BROWARD COUNTY, FLORIDA**

**Academics**

**Early Childhood Education Department**

**Head Start/Early Head Start Self-Assessment:  
Nutrition Services Checklist**

School \_\_\_\_\_ Date: \_\_\_\_\_

**Place a check in the box when you observe evidence of each of the items listed. Describe any problems or concerns you witness in the comment section. Note: duplicate this page if your team is assessing more than three classrooms.**

	<b>Classroom # 1</b>	<b>Classroom # 2</b>	<b>Classroom # 3</b>
A nutritious breakfast is offered to all children when they arrive. [1304.23 (b)(1)(iii)]			
Meals are appropriately scheduled and sufficient time is allowed. [1304.23(b)(1)(vii), 1304.23(c)(3)]			
Variety of foods, are served which broaden each child's food experience. Menus reflect ethnic and cultural preferences. [1304.23(a)(2), 1304.23(c)(1)]			
Preschool Staff and volunteers interact with children during mealtimes to contribute to the development of socialization and good food habits. [1304.23(c), 1304.23(c)(4)]			
Sufficient time is allowed for children to eat. [1304.23(c)(3)]			
During snack time children participate in setting up table, serving and clean up. [1304.23(c), 1304.23(c)(4)]			
Food is not used as punishment or reward, children are encouraged but not forced to eat or taste food. [1304.23(c)(2)]			
Opportunities are provided for children in food related activities. [1304.23(c)(7)]			
A nutritional program is implemented that meets the nutritional needs and feeding requirements of each child, including those children with disabilities, children with special dietary needs, and children requiring medically based diets. [1304.23(b)(1)]			
Staff, promote effective dental hygiene among children in conjunction with meals. [1304.23](b)(3)]			
There is evidence of compliance with all food safety and sanitation laws posted in the cafeteria. [1304.23 (e)(1)]			

**THE SCHOOL BOARD OF BROWARD COUNTY, FLORIDA**  
**Academics**  
**Early Childhood Education Department**

**Early Head Start Program Self-Assessment:  
Home-Based Program Option**

School Site \_\_\_\_\_ Parent Educator \_\_\_\_\_

**Please indicate if you observe evidence of each item listed. Describe any problems or concerns in the comment section.**

**1306.33(a)**

**Yes/No**

**Comments**

(1) The family received a weekly home visit. <i>(Home-based Service Report)</i>		
(2) The family had the opportunity to participate in two group socializations activities per month. <i>(Socialization Schedule)</i>		
(3) The family had the opportunity to make up home visits or group socializations that were cancelled by staff. <i>(Ask Parent Educator)</i>		
(5) The parent educators maintain a caseload of 10 to 12 each. <i>(Home-based Service Report)</i>		

**1306.33(b)**

**Yes/No**

**Comments**

The home visits were conducted with the participation of the parent(s). <i>(Personal Visit Records)</i>		
(1) The parent educator worked with the parent(s) to help them provide learning opportunities that enhance their child's growth and development? <i>(Personal Visit Records)</i>		

**1306.33(c)**

**Yes/No**

**Comments**

Group socialization activities emphasized peer group interaction through age appropriate activities. <i>(Observe group socialization activities)</i>		
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**Additional Comments:**

Reviewer \_\_\_\_\_ Date \_\_\_\_\_

**THE SCHOOL BOARD OF BROWARD COUNTY, FLORIDA**

**Academics**

**Early Childhood Education Department**

**Early Head Start Self-Assessment:  
Nutrition Services**

School Site \_\_\_\_\_ Teacher Assistants \_\_\_\_\_

**Please indicate if you observe evidence of each item listed. Describe any problems or concerns in the comment section.**

**For Early Head Start Infant/Toddlers only:**

**Yes/No/NA**

**Comments**

Feeding requirements of the infant/toddler were obtained from the parents. 1304.23(a)(2) ( <i>Individual Care Plan</i> )		
The following information is shared and updated with parents regularly: feeding schedule, amounts and types of food provided, meal patterns, new foods introduced, food intolerances and preferences, voiding patterns, observation related to developmental changes in feeding and nutrition. (1304.23(a)(3) ( <i>What I Did Today</i> ))		
Infants and toddlers in center-based receive food appropriate to his/her nutritional needs, developmental readiness, and feeding skills. (1304.23(b)(1)(iv) ( <i>Observe if infants are fed in accordance with "Meal Pattern for Infants"</i> ))		
Infants and young toddlers who need it are fed "on demand" or at appropriate intervals. 1304.23(b)(1)(vii) ( <i>Individual Care Plan, What I Did Today</i> )		
Infants are held while being fed and are not laid down to sleep with a bottle. 1304.23(c)(5) ( <i>Observe infant feeding</i> )		
Snacks and meals are provided to each child during group socialization activities. 1304.23(b)(2) ( <i>Observe or interview Social Worker</i> )		
Facilities are available for the proper storage and handling of breast milk and formula. 1304.23(e)(2) ( <i>Verify that Procedures for Handling and Storage of Breast Milk are being implemented</i> )		

**Additional Comments:**

Reviewer \_\_\_\_\_ Date \_\_\_\_\_



**THE SCHOOL BOARD OF BROWARD COUNTY, FLORIDA**  
**Academics**  
**Early Childhood Education Department**

**Early Head Start Self-Assessment:  
Services To Pregnant Women**

**School Site** \_\_\_\_\_

**Record Reviewed** \_\_\_\_\_

**Please indicate if you observe evidence of each item listed. Describe any problems or concerns in the comment section.**

<b>1304.40(c)(1)</b>	<b>Yes/No/NA</b>	<b>Comments</b>
(1) The pregnant woman received assistance in accessing comprehensive prenatal and post-partum care immediately after enrollment in the program.		
(i) An early and continuing risk assessment was done of the nutritional status, as well as nutritional counseling and food assistance, if necessary.		
(ii) The pregnant woman had medical and dental examinations on an appropriate schedule as early in the pregnancy as possible.		
(iii) Assistance was provided to obtain mental health interventions and follow-up, including substance abuse prevention and treatment services, as needed.		
(2) The pregnant woman received prenatal education on fetal development (including risks from smoking and alcohol), labor delivery and postpartum recovery, including maternal depression		
(3) The pregnant woman received information on the benefits of breast-feeding. For those who chose to breast feed in the center-based program, arrangements were provided as necessary.		

<b>1304.40(i)(6)</b>	<b>Yes/No/NA</b>	<b>Comments</b>
A health staff visited the newborn within two weeks after the infant's birth to ensure the well-being of both the mother and the child.		

**Additional Comments:**

**Reviewer** \_\_\_\_\_ **Date** \_\_\_\_\_

**THE SCHOOL BOARD OF BROWARD COUNTY, FLORIDA**

**Academics**

**Early Childhood Education Department**

**Early Head Start Self-Assessment:  
Disabilities**

**School Site** \_\_\_\_\_ **Teacher Assistants** \_\_\_\_\_

**Please indicate if you observe evidence of each item listed. Describe any problems or concerns in the comment section.**

	<b>Yes/No/NA</b>	<b>Comments</b>
Services for infants and toddlers with disabilities supported the attainments of the expected outcomes in the IFSP. 1304.20(f)(2)(i) ( <i>Evidence of individualization in TA or PE lesson planning</i> )		
Parents of infants and toddlers suspected of having a disability were promptly referred to Early Steps to coordinate any needed evaluations. 1304.20(f)(ii) ( <i>Screening review results, Disabilities Monitoring Report, Social Worker documentation</i> )		
Staff participated in and supported efforts for a smooth and effective transition for a child who at age three will need to be considered for services for preschool age children with disabilities. 1304.20(f)(iii) ( <i>Social Worker documentation</i> )		
Staff participated in the development and implementation of the IEP for preschool age children with disabilities. 1304.20(f)(iv) ( <i>Social Worker Documentation</i> )		

**Additional Comments:**

**Reviewer** \_\_\_\_\_ **Date** \_\_\_\_\_

**THE SCHOOL BOARD OF BROWARD COUNTY, FLORIDA**

**Academics**

**Early Childhood Education Department**

**Head Start (HS)/Early Head Start (EHS) Self-Assessment:  
Community Partnerships**

**School:** \_\_\_\_\_ **Staff:** \_\_\_\_\_ **Date:** \_\_\_\_\_

*Interview Questions for HS/EHS Staff*

**Part 1:**

**1304.41 Community Partnerships**

<b>Does the program have collaborative partnerships with the following community agencies?</b>	<b>YES</b>	<b>NO</b>
1. Health care providers, such as clinics, physicians, dentist, and other health professionals		
2. Nutritional service providers		
3. Mental Health providers		
4. Family support services and/or providers		
5. Educational institutions and/or providers		
6. Disability service providers		
7. Cultural institutions such as libraries and museums, for both children and families		
8. Child care service providers		
9. Child protective service providers		
10. Organizations that provide job readiness and employment services		
11. Any other organizations or businesses that may provide support and resources to families		

What documentation exists to establish and document community partnership efforts and where would you find that documentation?

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**Part 2:**

1. Does Broward County's HS/EHS Program have a partnership to assist in the assessment and screenings with concerns?  
       \_\_\_\_\_yes       \_\_\_\_\_no

If yes, list partners:

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2. Does the Head Start and Early Head Start program have any partners to assist in the completion of sensory screenings (Hearing and Vision)? \_\_\_\_\_yes       \_\_\_\_\_no

If yes, list partners:

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3. How are community volunteers sought?

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4. Are LEA agreements in place to address students with disabilities?       \_\_\_\_\_yes       \_\_\_\_\_no

5. Is a Health Service Advisory Committee established and functioning?       \_\_\_\_\_yes       \_\_\_\_\_no

What topics were addressed in the past year? \_\_\_\_\_

**THE SCHOOL BOARD OF BROWARD COUNTY, FLORIDA**

**Academics**

**Early Childhood Education Department**

6. Are processes/plans in place to ensure transition to students from:

- EHS to HS3      ☐ yes      ☐ no      Does plan address transition thresholds?      ☐ yes      ☐ no
- HS3 to HS4      ☐ yes      ☐ no      Where are plans located?
- HS4 to Kindergarten      ☐ yes      ☐ no      Where are plans located?

How are plans shared with staff and elementary schools? \_\_\_\_\_

7. What outreach attempts have been made to encourage communication between Early Head Start or Head Start staff and principals, teachers, social workers and health staff to facilitate continuity of programming in Kindergarten? When does this occur?

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8. How does the program coordinate joint training with early childhood programs in the community?

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9. **EHS:** How does the program promote the access of children, families, and expectant parents to community services that are responsive to their needs?

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**THE SCHOOL BOARD OF BROWARD COUNTY, FLORIDA**

**Academics**

**Early Childhood Education Department**

**Head Start (HS)/Early Head Start (EHS) Self-Assessment:  
Community Partnerships**

**Agency:** \_\_\_\_\_ **Contact Person:** \_\_\_\_\_

*Interview Questions for HS/EHS Community Partners*

1. Describe your agency and its goals relating to the community and the services it provides?

\_\_\_\_\_

2. Describe how your agency partners with the HS/EHS program?

\_\_\_\_\_

3. Why did your agency develop a partnership with the HS/EHS program?

\_\_\_\_\_

4. What initiatives are in place as a result of this partnership?

\_\_\_\_\_

5. Describe the impact this partnership has made on the community?

\_\_\_\_\_

6. Are you satisfied with the major effects of this partnership? How could you improve this ongoing partnership in the future?

\_\_\_\_\_

**THE SCHOOL BOARD OF BROWARD COUNTY, FLORIDA**

**Academics**

**Early Childhood Education Department**

**Head Start (HS)/Early Head Start (EHS) Self-Assessment:  
Eligibility, Recruitment, Selection, Enrollment, and Attendance (ERSEA)**

**1305.4 Age of children and family income eligibility**

Yes	No		Performance Standards
		Is there documentation of how a child's age is established for eligibility in the Program? (See Applications of families reviewed for Proof of Age)	1305.4 (a)
		Is there evidence that family's income is at or below 100% of the Federal low- income poverty guidelines? (Check income documentation and Eligibility Verification in application database)	1305.4 (b)(1)
		Is there evidence that the family's income has been verified? (Review Eligibility Verification Form in family's application for signature of HS Staff member and list of documents utilized to verify)	1305.4(c)(d)(e)

**1305.5 Recruitment of Children**

Yes	No		Performance Standards
		Is there evidence that supports Program efforts to implement a recruitment process that actively informs and encourages all HS/EHS families with children living in the recruitment area to apply for the program? (See Recruitment flyers in English, Spanish, Haitian-creole, Portuguese, press releases)	1305.5(a)
		Does the Program obtain more applications than needed to fill the seats available? (Review wait list in database for your school site.)	1305.5(c)
		Does the program conduct outreach and recruitment activities to actively locate and recruit pre-school age children with disabilities?	
		Does the program reach out to other agencies serving children with disabilities?	

**Head Start Act Sec 640(m) Assistance to Homeless Families**

Yes	No		Head Start Act
		Is there a process in place for identifying, recruiting and prioritizing homeless children for enrollment? Please describe.	HSA Sec 640(m)(1)
		Can staff describe the process for determining eligibility of homeless children who cannot provide the usual HS/EHS required documentation? (Refer to Homeless Verification Form used at applications)	HAS Sec 640(m)(2)

**1305.6 Selection process**

Yes	No		Performance Standards
		Can you describe the process for establishing selection criteria and prioritizing children for enrollment? (income, age, disabilities, etc)?	1305.6(a)(b)
		Can you describe how children on the wait list fill vacancies that occur throughout the program year?	1305.6(d)

**1305.7 Enrollment and re-enrollment**

Yes	No		Performance Standards
		Does the program have a process by which children may remain in the program until they reach kindergarten age? (Describe the "transition" process)	1305.7(a)
		Does the program maintain its funded enrollment level by filling vacancies within 30 days of their creation? (Describe the process, refer to DOV's, teacher contacts, etc)	1305.7(b)
		Can you describe the process in place for children's income to be re-verified when a child moves from EHS to HS?	1305.7(c)

**THE SCHOOL BOARD OF BROWARD COUNTY, FLORIDA**  
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**Early Childhood Education Department**

**1305.8 Attendance**

Yes	No		Performance Standards
		Can you describe the procedure in place to analyze the reason for a child's absence as well as the number of absences when the attendance falls below 85%?	1305.8 (a)
		Is there evidence of follow-up with the family of a child whose attendance has fallen beneath 85% in a given month? (Review Contacts for attendance in the database)	1305.8(b)
		Has the monthly attendance rate for the class (school) being reviewed fallen beneath 85% during this calendar year? If so, what type of follow-up action was taken?	1305.8(b)
		Is there a process for considering a seat vacant due to a child's chronic absenteeism? (Review attendance guidelines, review contact for attendance in database, Preschool Conference forms, DOVs)	1305.8(c)

**1308.5 Recruitment and enrollment of children with disabilities**

Yes	No		Performance Standards
		Are you aware that we do NOT discriminate for recruitment, and enrollment based on a child's disability? (Review Application flyer, application training materials, see ECE HS/EHS Web site)	1308.5 (b)
		Can you describe the recruitment process for children with disabilities?	1308.5(a)
		Are children with disabilities prioritized on the wait list in the same way as non-disabled children?	1305.8
		Must children with disabilities meet the same criteria for age and income as non-disabled children to be eligible for the Program?	1308.5 (e)

THE SCHOOL BOARD OF BROWARD COUNTY, FLORIDA

Academics

Early Childhood Education Department

**Head Start (HS)/Early Head Start (EHS) Self-Assessment:  
Transportation Services Checklist**

(Adapted from *PRISM '05*)

Reviewer \_\_\_\_\_ Date/Time \_\_\_\_\_

Other Sources of Information Used \_\_\_\_\_

**Instructions for Completing the Transportation Services Checklist**

The information gathered will be based on bus ride(s), interviews, observations, and document reviews.

The checklist has been numbered for easy reference and separated into four categories:

- Facilities, Materials, Equipment and Transportation (Questions 1-13)
- Early Childhood Development and Health Services (Questions 14-22)
- Family and Community Partnerships (Questions 23-27)
- Program Design and Management (Questions 28-40)

The questions marked with ♦ apply to all Head Start grantees and their delegates, whether they provide transportation services or not. These items appear in questions 13-15, 17, and 26-30.

The questions marked with ☐ may be observed on bus ride(s).

**Facilities, Materials, Equipment, and Transportation**

Yes No

- \_\_\_\_\_ 1. Each vehicle used in providing transportation services has:
- ☐ a communication system to call for assistance;
  - ☐ emergency safety equipment, including a charged fire extinguisher properly mounted near the driver's seat and a sign indicating its location;
  - ☐ a first aid kit and a sign indicating its location; and
  - ☐ a seat belt cutter and a sign indicating its location. [1310.10(d)(1-4)]
- \_\_\_\_\_ 2. Any auxiliary seating used in vehicles providing transportation services has been built into the vehicle by the manufacturer as part of its standard design, maintained in proper working order, and inspected annually. [1310.10(e)]
- \_\_\_\_\_ 3. ☐ Baggage and other items transported in the passenger compartment are properly stored and secured, aisles remain clear, and doors and emergency exits are unobstructed at all times. [1310.15(b)]
- \_\_\_\_\_ 4. There are procedures in place to ensure that the bus or alternative allowable vehicle is maintained in safe operating condition. The organization operating the vehicle has established and implemented procedures for:
- an annual safety inspection through an inspection program licensed or operated by the State;
  - systematic preventive maintenance; and
  - ☐ a daily pre-trip inspection by the driver. [1304.53(a)(7), 1310.13]
- \_\_\_\_\_ 5. ☐ Each vehicle is not required to back up or make "U" turns, except if necessary for safety reasons or because of physical barriers. [1310.20(b)(3)]
- \_\_\_\_\_ 6. ☐ Trip stops minimize traffic disruptions and afford the driver a good field of view in front and behind the vehicle. [1310.20(b)(4)]
- \_\_\_\_\_ 7. There are specific procedures for use of alternate routes in the case of hazardous conditions that could affect the safety of the children who are being transported. [1310.20(b)(7)]



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**Academics**

**Early Childhood Education Department**

**Facilities, Materials, Equipment, and Transportation (cont.)**

**Yes No**

- \_\_\_\_\_ 8. ☒ Transit times for children going to and from the program do not exceed one hour each way unless there is no shorter route available or any alternative shorter route is either unsafe or impractical. [1310.20(b)(1)]
- \_\_\_\_\_ 9. ☒ When possible, stops do not require children to cross the street or highway when boarding or exiting the vehicle. [1310.20(b)(5)]
- \_\_\_\_\_ 10. ☒ If children must cross the street before boarding or after leaving the vehicle, the children are escorted across the street by the bus monitor or another adult. [1310.20(b)(6)]
- \_\_\_\_\_ 11. ☒ The number of occupants in the vehicle does not exceed maximum passenger capacity at any time. [1310.20(b)(2)]
- \_\_\_\_\_ 12. ☒ All vehicle occupants (except for the bus monitors who are assisting children) are seated in height and weight appropriate restraint systems while the vehicle is in motion. [1310.15(a), 1310.15(d)]  
**Exception:** Approval letter from the Head Start Bureau is required for an extension of the effective date of the portion of the Head Start regulation relating to child safety restraint systems up to January 20, 2006.
- \_\_\_\_\_ 13. ♦ Children are only released to a parent, legal guardian, or other individual as designated in writing by the parent or legal guardian. The agency maintains lists of the persons, including alternates in case of emergency, and up-to-date child rosters are maintained at all times to ensure that no child is left behind, either at the classroom or on the vehicle at the end of the route. [1310.10(g)]

**Comments:**

**Early Childhood Development and Health Services**

**Yes No**

- \_\_\_\_\_ 14. ♦ Children receive developmentally appropriate safety training within 30 days of the start of the program year on:  
• safe riding practices;  
• safety procedures for boarding and leaving the vehicle;  
• safety procedures in crossing the streets to and from the vehicle at stops;  
• recognition of danger zones around the vehicle; and  
• emergency evacuation procedures, including participation in an emergency evacuation drill conducted on the vehicle the child will be riding. [1310.21(a), 1310.21(b)(1)-(5)]
- \_\_\_\_\_ 15. ♦ Children's safety training reminder activities have been developed and are developmentally appropriate, individualized, and an integral part of program activities. [1310.21(e)]
- \_\_\_\_\_ 16. At least two bus evacuation drills in addition to the one required to be provided within the first thirty days of service have been conducted during each program year. [1310.21(b)(5), 1310.21(d)]
- \_\_\_\_\_ 17. ♦ Grantee and delegate agencies have arranged for or provide transportation for children with disabilities to and from the program and to special clinics or other service providers when the special education and related services cannot be provided on-site. [1308.4(h)(6), 1310.22(b)]
- \_\_\_\_\_ 18. ☒ Up-to-date family contact information and authorization for emergency care for each child is readily available. [1304.22(a)(2), 1304.51(g)]
- \_\_\_\_\_ 19. Appropriate staff is informed of any health or safety accommodations or adaptations needed for children in accordance with the program's confidentiality policy. [1304.22(b)(3)]
- \_\_\_\_\_ 20. The agency must establish, maintain, and implement written procedures regarding the administration, handling, and storage of medication for every child. [1304.22(c)]

**THE SCHOOL BOARD OF BROWARD COUNTY, FLORIDA**

**Academics**

**Early Childhood Education Department**

**Early Childhood Development and Health Services (cont.)**

**Yes No**

- \_\_\_\_\_ 21. ☐ Bus drivers and monitors encourage self-control by using positive methods of child guidance by setting clear, consistent limits. [1304.21(a)(3)(i)(C), 1304.52(h)(1)(iv)]
- \_\_\_\_\_ 22. ☐ Routines and transitions occur in a timely, predictable, and unrushed manner according to each child's needs. [1304.21(a)(3)(ii)]

*Comments:*

**Family and Community Partnerships**

**Yes No**

- \_\_\_\_\_ 23. ☐ Effective two-way communication between staff and parents is facilitated on a regular basis throughout the program year. [1304.51(c)(1)]
- \_\_\_\_\_ 24. ☐ Interactions with families are respectful. [1304.40(a)(5)]
- \_\_\_\_\_ 25. ☐ Communication with parents is conducted in the parents' primary or preferred language or through an interpreter, to the extent feasible. [1304.40(a)(5)]
- \_\_\_\_\_ 26. ♦ Parents receive safety training within 30 days of the start of the program year that:
- emphasizes the importance of escorting their children to the vehicle stop and reinforcing the vehicle safety training.
  - complements the training provided to their children so that safety practices can be reinforced both in the program and at home by the parent. [1310.21(a), 1310.21(c)]
- \_\_\_\_\_ 27. ♦ Reasonable efforts are made to coordinate transportation resources with other human services agencies in the community. [1310.23(a)]

*Comments:*

**Program Design and Management**

**Yes No**

- \_\_\_\_\_ 28. ♦ The agency assists as many families as possible who need transportation in order for their children to attend the program in obtaining that transportation. [1310.10(a)]
- \_\_\_\_\_ 29. ♦ The specific types of transportation assistance being offered are made clear to all prospective families in the program's recruitment announcements. [1310.10(b)]
- \_\_\_\_\_ 30. ♦ If the agency has decided not to provide transportation services, either for all or a portion of the children, the agency provides reasonable assistance to the families of such children to arrange transportation to and from its activities. [1310.10(b)]
- \_\_\_\_\_ 31. If the agency provides transportation through an arrangement with another organization or individual, the agency has ensured compliance of the transportation provider with the Head Start regulations. [1310.10(c)]
- \_\_\_\_\_ 32. Each vehicle purchased after February 20, 2001 is a school bus or an allowable alternate vehicle equipped for use of height and weight appropriate child safety restraint systems and with a reverse beeper. [1310.10(c)]

**THE SCHOOL BOARD OF BROWARD COUNTY, FLORIDA**

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**Early Childhood Education Department**

**Program Design and Management (cont.)**

**Yes No**

- \_\_\_ 33. All accidents involving transportation services are reported in accordance with applicable State requirements. [1310.10(f)]
- \_\_\_ 34. Where available in the State or jurisdiction, each driver has a valid Commercial Driver's License (CDL) for vehicles in the same class as the vehicle the driver operates. [1310.16(a)(1)]
- \_\_\_ 35. In accordance with the applicant review procedures, bus drivers' driving records have been checked through the appropriate State agency, including the National Driver Register, if available in the State. [1310.16(b)(2)]
- \_\_\_ 36. Each bus driver has received a combination of classroom and behind-the-wheel training prior to transporting any child enrolled in the agency's program, and refresher training annually, on how to:
- operate the vehicle safely and efficiently;
  - safely run a fixed route, including loading and unloading children, stopping at railroad crossings and performing other specialized driving maneuvers;
  - administer basic first aid;
  - handle emergency situations, including vehicle evacuation procedures;
  - operate any special equipment, such as wheelchair lifts, assistance devices or special occupant restraints;
  - conduct routine vehicle maintenance and safety checks; and
  - maintain accurate records as necessary. [1310.17(a), 1310.17(b)(1)-(7)]
- \_\_\_ 37. Bus drivers receive annual evaluations, which must include an on-board observation of road performance. [1310.17(f)(1)]
- \_\_\_ 38. ☐ At least one bus monitor is on board at all times. [1310.15(c)]  
**Exception:** Approval letter from the Head Start Bureau is required for an extension of the effective date of the portion of the Head Start regulation relating to bus monitors up to January 20, 2006.
- \_\_\_ 39. Each bus monitor has been trained prior to duty on:
- child boarding and exiting procedures;
  - use of child restraint systems;
  - any required paperwork;
  - responses to emergencies;
  - emergency evacuation procedures;
  - use of special equipment;
  - child pick-up and release procedures;
  - pre- and post-trip vehicle check. [1310.17(f)(2)]
- Exception:** Approval letter from the Head Start Bureau is required for an extension of the effective date of the portion of the Head Start regulation relating to bus monitors up to January 20, 2006.
- \_\_\_ 40. Each agency has identified the true cost of providing transportation in order to knowledgeably compare the costs of providing transportation directly versus contracting for the service. [1310.23(b)(1)]

**Comments:**

# THE SCHOOL BOARD OF BROWARD COUNTY, FLORIDA

## Academics Early Childhood Education Department

### HS/EHS Self-Assessment: Fiscal Operations

(Adapted from T/TA @WKU Self-Assessment CATscan: Comprehensive Approach and Tool)

#### 1301.11 Insurance and bonding.

Regulation	Interview Questions & Sources	Flag
(a) Private nonprofit Head Start agencies and their delegate agencies shall carry reasonable amounts of student accident insurance, liability insurance for accidents on their premises, and transportation liability insurance.	Does the organization have the required insurance? <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	
	How does the organization determine amounts? <i>Interview Fiscal Staff for this answer.</i>	
b) Private nonprofit Head Start and delegate agencies shall make arrangements for bonding officials and employees authorized to disburse program funds.	Are staff who handle funds bonded? <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A This policy must be seen or interview confirmed.	

#### 1301.11 Annual audit of Head Start programs.

Regulation	Interview Questions & Sources	Flag
(a) An audit of the Head Start program covering the prior budget period of each Head Start agency and its delegate agencies, if any, shall be made by an independent auditor to determine:	Has audit been conducted? <input type="checkbox"/> Yes <input type="checkbox"/> No	
(1) Whether the agency's financial statements are accurate;	<input type="checkbox"/> Yes <input type="checkbox"/> No	
(2) Whether the agency is complying with the terms and conditions of the grant; and	<input type="checkbox"/> Yes <input type="checkbox"/> No	
(3) Whether appropriate financial and administrative procedures and controls have been installed and are operating effectively. Head Start agencies shall either include delegate agency audits as a part of their own audits or provide for separate independent audits of their delegate agencies.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
(c) ... the report of the audit shall be submitted to the responsible HHS official, in the manner and form prescribed by him or her, within 4 months after the end of the prior budget period.	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	

#### 1301.13 Accounting system certification.

Regulation	Interview Questions & Sources	Flag
(a) ... Each Head Start agency or its delegate agency shall submit an accounting system certification, prepared by an independent auditor, stating that the accounting system or systems established by the Head Start agency, or its delegate, has appropriate internal controls for safeguarding assets, checking the accuracy and reliability of accounting data, and promoting operating efficiency.	<input type="checkbox"/> Have certification <input type="checkbox"/> Certification missing	
(b) A Head Start agency shall not delegate any of its Head Start program responsibilities to a delegate agency prior to receiving a certification that the delegate agency's accounting system meets the requirements specified in paragraph (a) of this section	<input type="checkbox"/> Have Certification <input type="checkbox"/> Certification Missing <input type="checkbox"/> Not Applicable	

**THE SCHOOL BOARD OF BROWARD COUNTY, FLORIDA**  
**Academics**  
**Early Childhood Education Department**

**1301.20 Matching requirements.**

<b>Regulation</b>	<b>Interview Questions &amp; Sources</b>	<b>Flag</b>
(a) Federal financial assistance granted under the act for a Head Start program shall not exceed 80 percent of the total costs of the program, unless:	Is a waiver in place? <input type="checkbox"/> Yes <input type="checkbox"/> No Is it current? <input type="checkbox"/> Yes <input type="checkbox"/> No Interview or document provided if waiver claimed?	
(1) An amount in excess of that percentage is approved under section 1301.21		
(b) The non-Federal share will not be required to exceed 20 percent of the total costs of the program.	Has match been met? <input type="checkbox"/> Yes <input type="checkbox"/> No Documentation: End of Fiscal Year Fiscal Report	
(c) Federal financial assistance awarded to Head Start grantees for training and technical assistance activities shall be included in the Federal share in determining the total approved costs of the program. Such financial assistance is, therefore, subject to the 20 percent non-Federal matching requirement of this subpart.	Match has been met? <input type="checkbox"/> Yes <input type="checkbox"/> No Interview or document provided?	

**1301.21 Criteria for increase in Federal financial assistance.**

<b>Regulation</b>	<b>Interview Questions &amp; Sources</b>	<b>Flag</b>
(b) That has been involved in a major disaster.	Has the area been recently subject to a natural disaster? <input type="checkbox"/> Yes <input type="checkbox"/> No	

**1301.32 Limitations on costs of development and administration of a Head Start program.**

<b>Regulation</b>	<b>Interview Questions &amp; Sources</b>	<b>Flag</b>
(a)(1) Allowable costs for developing and administering a Head Start program may not exceed 15 percent of the total approved costs of the program, unless the responsible HHS official grants a waiver approving a higher percentage for a specific period of time not to exceed twelve months.	Are administrative costs below 15%? <input type="checkbox"/> Yes <input type="checkbox"/> No How was this confirmed? How often are administrative costs checked?	

**1309.1 Purpose and definition.**

<b>Regulation</b>	<b>Interview Questions &amp; Sources</b>	<b>Flag</b>
This prescribes the procedures for applying for Head Start grant funds to purchase, construct, or make major renovations to facilities in which to operate Head Start programs. It also details the measures which must be taken to protect the Federal interest in such facilities purchased, constructed or renovated with Head Start grant funds.	Much of the fiscal aspect will be examined under the fiscal section.	

**1309.2 Approval of previously purchased facilities.**

<b>Regulation</b>	<b>Interview Questions &amp; Sources</b>	<b>Flag</b>
Head Start grantees (including Early Head Start grantees) which purchased facilities after December 31, 1986, and which are continuing to pay costs of	If the program got funds for facilities did they spend the funds for facilities? <input type="checkbox"/> Yes <input type="checkbox"/> No	

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purchasing those facilities, may apply to receive Head Start funds to meet those costs by submitting applications which conform to the requirements of this part and the Act. A grantee may only use grant funds to pay facility purchase costs incurred after the responsible HHS official approves its application.

**1309.3 Definition.**

<b>Regulation</b>	<b>Interview Questions &amp; Sources</b>	<b>Flag</b>
<i>Major renovation</i> means a structural change to the foundation, roof, floor, or exterior or load-bearing walls of a facility, or extension of an existing facility to increase its floor area. Major renovation also means extensive alteration of an existing facility, such as to significantly change its function and purpose, even if such renovation does not include any structural change to the facility. Major renovation also includes a renovation of any kind which has a cost exceeding the lesser of \$200,000, adjusted annually to reflect the percentage change in the Consumer Price Index for All Urban Consumers.	Please note definition of major renovation.	

**1309.21 Recording of Federal interest and other protection of Federal interest.**

<b>Regulation</b>	<b>Interview Questions &amp; Sources</b>	<b>Flag</b>
(a) The Federal government has an interest in all real property and equipment acquired or upon which major renovations have been undertaken with grant funds for use as a Head Start facility.	How has interest been recorded?  Documentation:	
(b) Facilities acquired with grant funds may not be mortgaged or used as collateral, or sold or otherwise transferred to another party, without the written permission of the responsible HHS official.	Is there a policy on this? <input type="checkbox"/> Yes <input type="checkbox"/> No  Documentation:	
(c) Use of the facility for other than the purpose for which the facility was funded, without the express written approval of the responsible HHS official, is prohibited.	Does policy exist? <input type="checkbox"/> Yes <input type="checkbox"/> No  Documentation:	
(d) A grantee receiving funds to acquire or make major renovations to a facility that is or will be sited on land not owned by the grantee must have a lease or other arrangement which protects the Federal interest in the facility and ensures the grantee's undisturbed use and possession of the facility. ...	Note definition of renovation.  Is lease in place? <input type="checkbox"/> Yes <input type="checkbox"/> No  Documentation:	

(2) Except as required under Sec. 1309.31 for certain modular units, the grantee must record the Notice of Federal Interest in the appropriate official records for the jurisdiction where a facility is or will be located immediately upon: purchasing a facility or land on which a facility is to be constructed; receiving permission to use funds to continue purchase of a facility; commencing major renovation of a facility or construction of a facility. In the case of a leased facility undergoing major renovations, the Notice of Federal Interest shall be a copy of the executed lease and all amendments. In the case of a facility now sited or to be constructed on land not	Has Notice of Federal Interest has been filed? <input type="checkbox"/> Yes <input type="checkbox"/> No  Documentation:	
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owned by the grantee, the Notice of Federal Interest shall be the land lease or other document protecting the Federal interest. ...		
(3) The Notice of Federal Interest for property sited on land not owned by the grantee shall include the following information: (i) The date of the award of grant funds for the acquisition or major renovation of the property to be used as a Head Start facility, and the address and legal description of the property to be acquired or renovated. (ii) That the grant incorporated conditions which included restrictions on the use of the property and provide for a Federal interest in the property; (iii) That the property may not be used for any purpose inconsistent with that authorized by the Head Start Act and applicable regulations; (iv) That the property may not be mortgaged or used as collateral, sold or otherwise transferred to another party, without the written permission of the responsible HHS official; (v) That these grant conditions and requirements cannot be altered or nullified through a transfer of ownership; and (vi) The name (including signature) and title of the person who completed the Notice for the grantee agency, and the date of the Notice.	Does Notice contain all required elements at left? <input type="checkbox"/> Yes <input type="checkbox"/> No	
(4) A lease, serving as a Notice of Federal Interest, an affidavit filed in the land records as a substitute for the lease, or other document protecting the Federal interest in a facility acquired with grant funds and sited on land not owned by the grantee, shall include the following information: (i) The address and legal description of the property; (ii) That the grant incorporated conditions which include restrictions on the use of the property and provide for a Federal interest in the property for the term of the lease or other arrangement; and (iii) That the property may not be used for any purpose during the lease or other arrangement that is inconsistent with that authorized by the Head Start Act and applicable regulations. ...		

**1309.23 Insurance, bonding and maintenance.**

<b>Regulation</b>	<b>Interview Questions &amp; Sources</b>	<b>Flag</b>
(a) At the time of acquiring or undertaking a major renovation of a facility or receiving approval for the use of Head Start funds to continue purchase the grantee shall obtain insurance coverage for the facility which is not lower in value than coverage it has obtained for other real property it owns, and which at least meets the requirements of the coverage specified in paragraphs (a)(1) and (2) of this section. For facilities, which have been constructed or renovated, insurance coverage must begin at the commencement of the expenditure of costs in fulfillment of construction or renovation work. (1) A title insurance policy which insures the fee interest in the facility for an	Is insurance in place? <input type="checkbox"/> Yes <input type="checkbox"/> No	

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amount not less than the full appraised value as approved by ACF, or the amount of the purchase price, whichever is greater, and which contains an endorsement identifying ACF as a loss payee to be reimbursed if the title fails. If no endorsement naming ACF as loss payee is made, the grantee is required to pay ACF the title insurance proceeds it receives in the event of title failure; and	
(2) A physical destruction insurance policy, including flood insurance where appropriate, which insures the full replacement value of the facility from risk of partial and total physical destruction. The insurance policy is to be maintained for the period of time the facility is owned by the grantee.	

### 1309.41 Record retention.

Regulation	Interview Questions & Sources	Flag
All records pertinent to the acquisition or major renovation of a facility must be retained by the grantee for a period equal to the period of the grantee's ownership (or occupancy, in the case of leased facilities) of the facility plus three years.	Are records kept for the required period? <input type="checkbox"/> Yes <input type="checkbox"/> No  Does the program/agency have a records retention and destruction policy? <input type="checkbox"/> Yes <input type="checkbox"/> No  Destruction policy is not required, but useful.	

### 1309.52 Procurement procedures.

Regulation	Interview Questions & Sources	Flag
(a) All facility construction and major renovation transactions must comply with the procurement procedure in 45 CFR parts 74 or 92, and must be conducted in a manner to provide, to the maximum extent practical, open and free competition.	Facilities procurement procedures have the required elements listed? <input type="checkbox"/> Yes <input type="checkbox"/> No  These elements may be in agency's overall procurement procedures.	
(b) All contracts for construction or major renovation of a facility to be paid for in whole or in part with Head Start funds require the prior, written approval of the responsible HHS official and shall be on a lump sum fixed-price basis.		
(c) Prior written approval of the responsible HHS official is required for unsolicited modifications that would change the scope or objective of the project or would materially alter the costs of the project by increasing the amount of grant funds needed to complete the project.		
(d) All construction and major renovation contracts for facilities acquired with grant funds shall contain a clause stating that the responsible HHS official or his or her designee shall have access at all reasonable times to the work being performed pursuant to the contract, at any stage of preparation or progress, and require that the contractor shall facilitate such access and inspection.		

### 1309.54 Davis-Bacon Act.

Regulation	Interview Questions & Sources	Flag
Construction and renovation projects and subcontracts financed with funds awarded	How does program ensure compliance with Davis-Bacon, if applicable?	



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under the Head Start program are subject to the Davis-Bacon Act (40 U.S.C. 276a et seq.) and the Regulations of the Department of Labor, 29 CFR part 5. The grantee must provide an assurance that all laborers and mechanics employed by contractors or subcontractors in the construction or renovation of affected Head Start facilities shall be paid wages at not less than those prevailing on similar construction in the locality, as determined by the Secretary of Labor.	Documentation:
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**1310.14 Inspection of new vehicles at the time of delivery.**

<b>Regulation</b>	<b>Interview Questions &amp; Sources</b>	<b>Flag</b>
Each agency providing transportation services must ensure that bid announcements for school buses and allowable alternate vehicles for use in transporting children in its program include the correct specifications and a clear statement of the vehicle's intended use. Such agencies must ensure that there is a prescribed procedure for examining such vehicles at the time of delivery to ensure that they are equipped in accordance with the bid specifications and that the manufacturer's certification of compliance with the applicable FMVSS is included with the vehicle.	How are vehicles examined at time of delivery and by whom?  Is there a procedure for this?  If so, where is it found?	

This section is designed to rely upon the audit to identify major fiscal issues. What follows are questions to operationalize the Federal requirements that do not require an accounting background. If programs have greater access to fiscally-oriented review team members they may always feel free to utilize the current fiscal review section(s) from OHS Monitoring protocol.

<b>Regulation</b>	<b>Explanation, Questions &amp; Sources</b>	<b>Flag</b>
74.42 92.36(b)(3)	Does a code of conduct exist? <input type="checkbox"/> Yes <input type="checkbox"/> No Does it cover the appearance of conflict? <input type="checkbox"/> Yes <input type="checkbox"/> No	
1304.52(d)(8)	Does the fiscal officer position require a Certified Public Accountant (CPA), a bachelor's or master's degree in accounting, and/or demonstrated expertise in fiscal matters, such as the ability to: <ul style="list-style-type: none"> <li>• Develop, monitor, evaluate, and report on financial control programs and procedures, including compensation and benefits, to policy groups and staff;</li> <li>• Develop and maintain accurate charts of accounts, including allocating program income and outlays and in-kind contributions;</li> <li>• Initiate and direct, in coordination with other staff and parents, cost studies and comparative analyses of alternative operating strategies; and</li> <li>• Help resolve audit exceptions, implement, make recommendations, and report all findings to management staff and governing bodies?</li> </ul> <input type="checkbox"/> Yes <input type="checkbox"/> No	
74.21(b)(3-4) 92.20(b)(3-4)	Financial management systems provide for effective control over and accountability for grant funds, property, and other assets and ensure they are used solely for authorized purposes.  Control activities are the policies, procedures, techniques, and mechanisms that enforce management's directives, such as the process of adhering to requirements for budget development and execution. They help ensure that actions are taken to address risks. Control activities are an integral part of an entity's planning, implementing, reviewing, and accountability for stewardship of government resources and achieving effective results.	

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A-133(200)(a) A-133(400)(d)(4)	<p>Do the fiscal policies address control activities? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Are provisions in place for reconstructing data files in case of catastrophe? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Are spending limits established? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Is documentation required for credit card use? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Is annual audit conducted in accordance with OMB Circular A-133? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>What findings exist?</p> <p>Is there a plan to address findings?</p> <p>Is the Board made aware of progress made to meet the corrective action plan?</p> <p>Is this documented?</p> <p>Documentation:</p>	
220, App A(C)(2) 225, App A(C)(1)(a) 225, App A(C)(1)(d) 230, App A(A)(2)(a)	<p>Program funds are not to be used to cover costs normally paid by other funding streams (i.e., inter-fund borrowing).          Is this taking place? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Interviewee:</p> <p>Procurement transactions must be conducted in a manner that provides for open and free competition.          Do procedures describe how this is to take place? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Documentation:</p>	
74.48 74.93 92.36(c)	<p>Documentation:</p>	
1309.54	<p>1309.54 The Davis-Bacon Act requires that any contractor hired to construct, renovate, or repair a Head Start facility (if the contract exceeds \$2,000) must pay all laborers and mechanics engaged in the construction, renovation, or repair "prevailing rate" wages. Under the provisions of the Act, contractors or their subcontractors are to pay workers employed directly upon the site of the work no less than the locally prevailing wages and fringe benefits paid on projects of a similar character.</p> <p>For Head Start-funded contracts exceeding \$2,000 for constructing, renovating or repairing buildings:</p> <ul style="list-style-type: none"> <li>• Did the grantee or delegate obtain payroll certifications from the contractor? <input type="checkbox"/> Yes <input type="checkbox"/> No</li> <li>• Did the grantee or delegate compare the hourly rates reflected in the payroll certifications to the appropriate Department of Labor wage determination? <input type="checkbox"/> Yes <input type="checkbox"/> No</li> </ul>	
74.21(b)(3) 74.31 1301.11(a-b) 1309.23(a)(2)	<p>Are officials and employees of non-profit organizations authorized to disburse program funds bonded? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Do sites listed on the grant application also appear as insured locations on the insurance policy? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Do the payables files show the organization is current on its premium payments? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Does insurance cover liability for accidents on premises owned by the organization? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Does the organization have transportation liability insurance? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Does the organization insure vehicles purchased using Head Start funds? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>If student accident insurance is not a separate policy and not identifiable in the declaration page of a master policy, is there confirmation from the insurer of accident coverage for Head Start students? <input type="checkbox"/> Yes <input type="checkbox"/> No</p>	

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	<p>Documentation:</p>	
<p>225, App B(8)(b) 230, App B(8)(c)</p>	<p>Program staff wages charged to the grant must be reasonable and supported by appropriate wage comparability data.          Is there a wage scale? <input type="checkbox"/> Yes <input type="checkbox"/> No          How was it based upon a comparability study? <input type="checkbox"/> Yes <input type="checkbox"/> No            What was the date of the study? ____ / ____ / ____</p>	
<p>74.21(b)(3-4) 92.20(b)(3-4) 1301.32</p>	<p>Documentation:</p> <p>The program's financial management systems provide for effective control over and accountability for grant funds, property, and other assets and ensure they are used solely for authorized purposes.</p> <p>Does the program perform periodic cost projections to ensure funds will be adequate to carry out the Head Start/Early Head Start program? <input type="checkbox"/> Yes <input type="checkbox"/> No          When are these scheduled?</p> <p>Documentation or interviewee:</p> <p>What method does the program use to ensure that funds are available for payment of any vested accrued leave owed to employees of the Grantee? <input type="checkbox"/> Yes <input type="checkbox"/> No          Is this in fiscal procedures manual? <input type="checkbox"/> Yes <input type="checkbox"/> No</p>	
<p>74.25 92.30</p>	<p>Documentation or interviewee:</p> <p>The program sought and received prior approval in writing for budget changes where prior approval is required and received approval for hiring of designated key personnel.</p> <p>Review the grant application for the current award period, the organizational chart, and relevant Regional Office correspondence. For key personnel (defined as the Head Start Director and, where salaries are covered principally—i.e. greater than 50 percent—by the Head Start grant, the Executive Director and the Chief Financial Officer), did the Regional Office approve the hiring? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Are any key personnel different from those reflected in the grant application? <input type="checkbox"/> Yes <input type="checkbox"/> No          If so, was Regional Office approval obtained for individuals hired in the designated positions?</p>	
<p>74.22(b)(2) 92.20(b)(7)</p>	<p>Documentation:</p> <p>The program minimized the time elapsing between the advancement of funds from the Payment Management System and disbursement of such funds. The program also avoided drawing down Head Start funds in excess of documented cash requirements.</p> <p>Is the procedure for PMS draws documented? <input type="checkbox"/> Yes <input type="checkbox"/> No          Does the procedure explain who does what, when and how time is minimized?</p>	

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<p>220, App A(C)(2)  225, App A(C)(1)(a)  225, App A(C)(1)(d)  230, App A(A)(2)(a)</p>	<p><b>Documentation:</b></p> <p>The program used Head Start funds to pay the cost of expenses which should have been paid using another funding source (directly or by allocation) or allowed another program to use Head Start funds in the nature of a temporary loan to cover another program's costs or expenses.</p> <p>Does the organization have one or more of the following: programs operating at a deficit, loss of programs or delayed reimbursement in other programs? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>If yes, ask the Fiscal Officer to describe and explain the circumstances of the programs operating at a deficit, loss of programs or delayed reimbursement in other programs.</p> <p><b>Documentation or interviewee:</b></p>
<p>1301.11(a-b)  1309.23(a)(2)</p>	<p>The program has obtained and maintained required insurance coverage for risks and liabilities.</p> <p>How does the program determine what amount of insurance is reasonable to cover liability for accidents (including student accidents) on premises and for transportation activities engaged in by the program?</p> <p>Does the agency use vehicles or reimburse vehicle owners for the cost of using vehicles which are not owned by the agency? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>If yes, does the agency maintain or verify the existence of additional transportation coverage, including collision coverage, for the agency's liability related to its use of those vehicles?</p> <p><b>Documentation:</b></p> <p><b>Interviewee:</b></p>
<p>74.21(b)(1-2)  92.20(b)(1-2)  1304.23(b)(1)(i)  1304.51(h)</p>	<p>Financial reports and accounting records are current, accurate, complete and contain information pertaining to grant or sub-grant awards and authorizations, obligations, unobligated balances, assets, liabilities, outlays or expenditures, and income.</p> <p><b>Reports include:</b></p> <ul style="list-style-type: none"> <li>• Internal Revenue Service (IRS) 941 (Employer's Quarterly Federal Tax Return);</li> <li>• IRS 990 (Return of Organization Exempt from Income Tax);</li> <li>• IRS 5500 (Annual Return/Report of Employee Benefit Plan, if offered);</li> <li>• SF-425 (Federal Financial Report ); SF-269 (Financial Status Report);</li> <li>• SF-272 (Federal Cash Transactions Report); and</li> <li>• USDA / Child and Adult Care Food Program (CACFP) reports.</li> </ul> <p>Do the Board and Policy Council receive fiscal reports monthly? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Does the report contain elements listed above? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Months Reviewed:</p> <p>What is the organization's process for reviewing of annual OMB A-133 audits of delegate agencies and for addressing any issues of concern identified in such audits?</p>

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	<p>Did the organization file USDA/CACFP reports within the required timeframe?          What is procurement within the organization?</p> <p>Does your review of procurement records indicate that the organization followed its written procurement procedures?  <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Do the delegate agency agreements contain terms, conditions and specifications that ensure contractor performance of requirements contained in the agreements? <input type="checkbox"/> Yes <input type="checkbox"/> No</p>	
642(c)(1)(E)(i) 642(c)(1)(E)(iv)(V)(bb) 642(d)(2)(A)	<p>Monthly financial statements, including credit card expenditures, are provided to program governing bodies and policy groups to advise them about program planning, policies and operations, and to control program quality and maintain program accountability.</p> <p>How are credit card (charge cards, lines of credit and store credit) expenditures reported?          Is there a procedure for this? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>How often are balance-sheet accounts reconciled to subsidiary ledgers or external statements to substantiate that account balances are correct?</p> <p>Which accounts are reconciled?</p> <p>Interviewee:</p>	
220, App A(J)(10)(a) 220, App A(J)(10)(b) 220, App A(J)(10)(d) 225, App B(8)(h)(1) 225, App B(8)(h)(4) 230, App B(8)(m)(1) 230, App B(8)(m)(2)	<p>Original time records are prepared and properly signed by the individual employee and approved by a responsible supervisory official. The program maintains personnel activity reports reflecting the distribution of activity for each employee whose compensation is charged, in whole or in part, directly to Head Start or Early Head Start grant awards. Where employees work on multiple grant awards, distribution of salaries and wages is adequately reflected in the personnel activity report.</p> <p>Do the fiscal policies or personnel policies indicate how time records are kept? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>If staff work across more than one source of funds, does the grantee have a cost allocation plan? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Is the allocation base data (e.g. number of children served, number of transactions processed) current? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Documentation:</p>	
220, App A(C)(1)(b) 220, App A(C)(2)(a)(2) 220, App A(C)(3) 220, App A(J)(10)(a) 225, App B(8)(a-g) 230, App B(8)(a-1)	<p>Total compensation for personal services, including program employee wages and incentive compensation payments, charged to the grant are allowable, and reasonable.</p> <p>How does the grantee ensure compensation is reasonable and allowable?</p> <p>Has the organization made any incentive compensation payments or paid bonuses to any of its employees—with or without an agreement for payment? <input type="checkbox"/> Yes <input type="checkbox"/> No</p>	

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<p>220, App A(C)(2-4)  225, App A(C)(1-3)  230, App A(A)(2-3)</p>	<p>Documentation:  The Grantee has implemented procedures to determine allowability, allocability, and reasonableness of costs charged against its Head Start and Early Head Start grant awards as required by the applicable cost principles.</p> <p>Do fiscal policies explain this procedure? <input type="checkbox"/> Yes <input type="checkbox"/> No  Can fiscal staff explain this procedure? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Documentation:  Interviewee:</p>
<p>220, App A(G)(11)(g)  225, App A(C)(3)  230, App A(E)(2)(c-g)  1301.32</p>	<p>Indirect cost charges are supported by a negotiated and approved indirect cost rate.  Note: Applies only to programs with an approved negotiated indirect cost rate.</p> <p>Does the program have an Indirect Cost rate? <input type="checkbox"/> Yes <input type="checkbox"/> No  Is it current? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>If provisional, is supporting documentation filed on time?</p>
<p>220, App A(C)(4)(a)  225, App A(C)(3)(a)  230, App A(A)(4)(a)(2)</p>	<p>If the Grantee is required to allocate costs between funding sources (including Head Start and Early Head Start awards), the program utilizes a method for allocating costs that reflects the relative degree of benefit for each program receiving the benefit of the allocated cost.</p> <p>How do benefits meet costs?</p> <p>Interviewee:</p>
<p>74.23(a)(1)  74.23(d)  74.23(b)(1-3)  74.23(i)(1-2)  92.24(b)(6)  92.24(c)(1)  92.24(d)  92.24(g)</p>	<p>The financial records of the Grantee are sufficient to allow verification that non-Federal participation (non-Federal share, match, in-kind) claimed by the Grantee and any delegate agency is necessary, reasonable, allowable and allocable, if also benefiting another award, under applicable cost principles.</p> <p>Are non-Federal share procedures well documented? <input type="checkbox"/> Yes <input type="checkbox"/> No  Do they include how to determine necessity, reasonableness and allowability? <input type="checkbox"/> Yes <input type="checkbox"/> No  Does the procedure explain the process from receiving the NFS to documenting to recording to reporting? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Documentation:</p>
<p>74.28  92.23(a)</p>	<p><i>A good idea from the 2012 monitoring protocol is to identify a sample of Grantee-claimed items of non-Federal share. Focus on those categories that make up most of the Grantee's non-Federal share, such as parent-related donated time/services, other volunteers, donated goods or equipment, donated or discounted space or facilities and cash. Choose at least three items in at least three categories and review the source documentation to support the identified items, including receipts, volunteer time sheets and other documentation of the nature and value of claimed non-Federal share.</i></p> <p>Grantee charged to the award only costs resulting from obligations incurred during the funding period.</p>

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	<p>How does the grantee make sure that charges for specific fiscal years are only paid out of that year's funds?</p> <p>Is there a written policy/procedure for this? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Documentation:</p>	
<p>1309.10 1309.11 1309.21(d) 1309.23 1309.31(b) 1309.40</p>	<p>For Grantees that own facilities purchased or constructed using Head Start grant funds or make major renovations to facilities with Head Start grant funds, documentation is available to show that the facilities transactions were approved by the Regional Grants Management Officer and comply with Federal regulations.</p> <p>Did you buy or build a facility? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Is there documentation to show federal requirements were met? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Documentation:</p>	
<p>74.32 74.34 92.31 92.32(e) 74.34(f)</p>	<p>The Grantee meets property management standards for equipment purchased using Head Start funds, including conducting a physical inventory every 2 years and maintaining vehicle titles.</p> <p>Do procedures exist explaining how property standards are met? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Documentation:</p>	
<p>74.37 92.31(b) 92.32(f) 1309.21(b) 1309.22</p>	<p>Grantees that entered into a mortgage or other loan agreement using collateral property which was acquired (in whole or in part) with Head Start funds, or was the subject of a major renovation, complied with appropriate Federal regulations, including obtaining advance Regional Office permission. Required language was also included in the mortgage or other loan agreement.</p> <p>Has the property been pledged as collateral? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>If the property has been pledged as collateral to any bank or lender for the purpose of securing a loan, review the loan agreement to determine whether permission of the Regional Office was received in advance of encumbering the property and Federal interest in the property was subordinated to the interest of the lender with the written consent of the funding agency.</p>	
<p>220, App A(J)(14) 225, App B(11) 230, App B(11) 230, App B(43)</p>	<p>The amount which the Grantee may claim a cost or non-Federal share contribution claimed on account of program occupancy or use of donated space in a facility owned by the Grantee, a delegate agency or other related party (which were not purchased with Federal funds) is limited to depreciation or a use allowance of 2% or less, including maintenance, taxes and insurance.</p> <p>Has donated space been claimed? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>If so, was a valuation method other than acquisition cost or fair market value at the time of donation used to establish the basis for depreciating the space?</p> <p>Are claims for use of Grantee- or delegate-owned space based on depreciation or use allowance derived from the building cost reflected in the organization's records and excluding acquisition or renovation costs paid by the Federal Government?</p>	