



# **FY 2015 Office of Head Start Environmental Health & Safety Protocol**

**September 10, 2014**



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## FY 2015 OHS Environmental Health & Safety Protocol: Overview

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### *Overview*

The Office of Head Start (OHS) presents the **FY 2015 Environmental Health & Safety (EnvHS) Protocol**. This instrument is used to gather information to assess grantee performance in ensuring safe and healthy environment for children, families, and staff. The EnvHS Protocol is used to assess Head Start and Early Head Start centers, classrooms and family child care setting homes used to provide services, and includes centers that are used to provide socialization experiences to children receiving services through home-based programs. The OHS uses the information gathered about grantee performance during monitoring reviews to evaluate multiple levels of performance, including determining program strengths, concerns, areas of noncompliance, and deficiencies.

The EnvHS Protocol is designed to ensure that all Head Start programs are providing children and families with health and developmental services, implementing and promoting healthy practices and providing safe and supportive environments in which children can learn and grow. The EnvHS Protocol is used to review the safety of physical environments and transportation services provided by the program. Additionally, the EnvHS Protocol is used to assess the extent to which the grantee implements healthy practices and routines for children. By monitoring environmental health and safety, the OHS strives to ensure that Head Start programs are supporting children's health and development by providing safe learning environments.

### *Organization of the Protocol*

#### *Key Indicators (KIs)*

The EnvHS Protocol focuses on four (4) areas of performance, referred to as Key Indicators (KIs). The OHS assesses performance across specific measures within each of these key indicators. The Key Indicators provide the organizational framework to assess grantee performance in each of the following areas:

- 1) **Safe & Clean Facilities:** The program ensures physical environments are safe for children, parents, and staff.
- 2) **Healthy Learning Environments:** The program establishes and maintains healthy practices and routines.
- 3) **Safe Learning Environments & Supervision Practices:** The program ensures children's safety through thorough background checks and effective supervision practices.
- 4) **Safe Transportation:** The program ensures children's safety through effective and safe transportation.

#### *Compliance Measures (CMs)*

Each Key Indicator contains a series of Compliance Measures (CMs). The Compliance Measures are the specific statements that collectively assess the level of program performance for each KI. Each Compliance Measure focuses on one or more Federal regulations critical to the delivery of quality services and the development of strong systems to deliver quality services to children and families.



### *Targeted Questions (TQs)*

Targeted Questions for each compliance measure are designed to provide guidance to on-site reviewers and to ensure a standardize method for evidence collection. The Targeted Questions indicate the people to interview, questions to ask, information to retrieve from documents, and observations to conduct.

Reviewers are required to answer all Targeted Questions for each Compliance Measure.



## Environmental Health & Safety

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### Environmental Health & Safety Key Indicator #1 - Safe and Clean Facilities

	<b><i>Compliance Measure</i></b>	<b><i>Federal Regulation</i></b>
1.1	The program ensures all facilities are healthy and safe for children, families, and staff.	1304.53(a)(7) 1304.53(a)(8) 1304.53(a)(10) 1304.53(a)(10)(i) 1304.53(a)(10)(ii) 1304.53(a)(10)(iv) 1304.53(a)(10)(v) 1304.53(a)(10)(vi) 1304.53(a)(10)(xiv) 1304.53(a)(10)(xvi) 1306.35(b)(2)(i) 1306.35(b)(2)(ii) 1306.35(b)(2)(vii) 1306.35(b)(2)(viii) 1306.35(b)(2)(ix)
1.2	Evacuation routes are clearly marked and emergency procedures are posted for all facilities.	1304.22(a)(1) 1304.22(a)(3) 1304.53(a)(10)(vii) 1306.35(b)(1)
1.3	All facilities comply with State and local licensing requirements including, but not limited to, child care licensing and the following inspections that include life-safety codes: building, fire, and occupancy.	1306.30(c) 1306.35(d)

#### Targeted Questions

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#### Environmental Scan

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#### EnvHS 1.1

- Please use this space to document notes based on your first impressions of the setting you are observing.



## Classroom Observations

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### Healthy and Safe Facilities

#### *Air Quality and Overall Sanitation - EnvHS 1.1*

- ▶ Is fresh air available in rooms occupied by children?
- ▶ Is the environment free of air pollutants, including mold, smoke, lead, pesticides, asbestos and herbicides, as well as soil and water pollutants?
- ▶ Are chemicals for controlling pests used while children are present?
- ▶ Are toileting and diapering areas separated from areas used for cooking, eating, and children's activities?

#### *Emergency Alert Systems and Fire Safety - EnvHS 1.1*

- ▶ Is there a smoke detector system?
- ▶ Was the smoke detector system tested within the last 12 months?
- ▶ Are all draperies, curtains, and other, similar furnishings and decorations flame resistant?

#### *General Safety and Wellness - EnvHS 1.1*

- ▶ Is the heating-and-cooling system designed to prevent injury to children and adults?
- ▶ Are electrical outlets accessible to children designed to prevent shock through the use of covers, installation of child-protection outlets (e.g., tamper-resistant outlets), or use of safety plugs?
- ▶ Are windows and glass doors constructed, secured, and adjusted to prevent children's injury and escape?
- ▶ Are facilities, materials, and equipment free of any hazards that may cause harm to children, families, or staff?
- ▶ Is lighting bright enough so children and adults can clearly see activities, materials, and pathways?
- ▶ Are any unvented fuel-fired heaters present?
- ▶ Do artwork and teaching materials cover more than 20% of the classroom walls?

#### *Evacuation Routes and Emergency Procedures - EnvHS 1.2*

- ▶ Are exits clearly visible?
- ▶ Are exit signs illuminated?
- ▶ Are evacuation routes clearly marked for both children and adults?
- ▶ Are emergency procedures posted in this setting?



## Classroom Observations (continued)

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### *Life Safety Code Requirements - EnvHS 1.3*

- ▶ Are all classroom doors within 100 feet of the nearest exit?
- ▶ Are all classroom doors within 50 feet of any point in the classroom?
- ▶ Does the classroom have an exit that leads directly to the outside?
- ▶ Does the classroom have at least one outside window for emergency rescue or ventilation?

## FCC Observations

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### **Healthy and Safe Facilities**

#### *Inspections - EnvHS 1.1*

- ▶ Does the grantee conduct safety inspections of all facilities, including all indoor and outdoor learning environments?
- ▶ Review the results of the most current safety inspection for the setting you are observing. Are there any issues that have yet to be addressed?
- ▶ How do staff address issues identified during safety inspections?
- ▶ How often does the grantee perform safety inspections?
  - Monthly
  - Semi-annually
  - Annually
  - Less frequent than annually

#### *Air Quality and Overall Sanitation - EnvHS 1.1*

- ▶ Is fresh air available in rooms occupied by children?
- ▶ Is the environment free of air pollutants, including mold, smoke, lead, pesticides, asbestos and herbicides, as well as soil and water pollutants?
- ▶ Are facilities, materials, and equipment free of any hazards that may cause harm to children, families, or staff?
- ▶ Is all sewage and liquid waste disposed of so as not to expose children and adults?
- ▶ Are garbage and trash stored in a safe and sanitary manner that does not allow easy access by children?



## FCC Observations (continued)

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### *Air Quality and Overall Sanitation - EnvHS 1.1 (continued)*

- ▶ Are toileting and diapering areas separated from areas used for cooking, eating, and children's activities?
- ▶ Are toilets and hand-washing facilities clean, adequate in number, in good repair, and easily accessible to children?

### *Emergency Alert Systems and Fire Safety - EnvHS 1.1*

- ▶ Is a fire extinguisher available?
- ▶ Is the extinguisher easily accessible?
- ▶ Is there a service date on the fire extinguisher showing it has been updated at least annually?
- ▶ Is there a fire-alarm system that includes all of the following:
  - Manual means of initiation (e.g., pull boxes)
  - Connection to the smoke detector system
  - Use of both audio and visual signals when activated
- ▶ Was the fire-alarm system tested within the last 12 months?
- ▶ Is there a smoke detector system?
- ▶ Are smoke detectors located in all of the following areas:
  - Each story, in front of doors to the stairway
  - Corridors on all floors
  - Lounges and recreation areas
  - Sleeping rooms
- ▶ Was the smoke detector system tested within the last 12 months?
- ▶ Are carbon monoxide detectors properly installed and currently functioning?
- ▶ If the Family Child Care home has a basement and local health officials recommend radon detectors, are radon detectors installed?
- ▶ Are all draperies, curtains, and other, similar furnishings and decorations flame resistant?

### *General Safety and Wellness - EnvHS 1.1*

- ▶ Are any unvented fuel-fired heaters present?





## FCC Observations (continued)

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### *General Safety and Wellness - EnvHS 1.1 (continued)*

- ▶ Are electrical outlets accessible to children designed to prevent shock through the use of covers, installation of child-protection outlets (e.g., tamper-resistant outlets), or use of safety plugs?
- ▶ Are windows and glass doors constructed, secured, and adjusted to prevent children's injury and escape?
- ▶ Are children safe from the potential hazards posed by appliances (stove, refrigerator, microwave, etc.), such as appliances with frayed wires, hot stoves, and refrigerator coils?
- ▶ Are firearms and other weapons secured in areas not occupied by children?
- ▶ Does the provider ensure that alcohol and drugs are not consumed or available while children are present?
- ▶ Does the provider ensure that alcohol and drugs are inaccessible to children at all times?
- ▶ Are current health certificates available for pets documenting up-to-date immunizations, and are pets free from conditions that may pose a health threat?
- ▶ Does the provider ensure the safety of children at all times when pets are present?
- ▶ Is lighting bright enough so children and adults can clearly see activities, materials, and pathways?
- ▶ Do artwork and teaching materials cover more than 20% of the classroom walls?
- ▶ Is the heating-and-cooling system designed to prevent injury to children and adults?

### *Evacuation Routes and Emergency Procedures – EnvHS 1.2*

- ▶ Are exits clearly visible?
- ▶ Are exit signs illuminated?
- ▶ Are evacuation routes clearly marked for both children and adults?
- ▶ Are emergency procedures posted in this setting?



## Center Observations

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### Healthy and Safe Facilities

#### *Inspections - EnvHS 1.1*

- ▶ Does the grantee conduct safety inspections of all facilities, including all indoor and outdoor learning environments?
- ▶ Review the results of the most current safety inspection for the setting you are observing. Are there any issues that have yet to be addressed?
- ▶ How do staff address issues identified during safety inspections?
- ▶ How often does the grantee perform safety inspections?
  - Monthly
  - Semi-annually
  - Annually
  - Less frequent than annually

#### *Air Quality and Overall Sanitation - EnvHS 1.1*

- ▶ Is the environment free of air pollutants, including mold, smoke, lead, pesticides, asbestos and herbicides, as well as soil and water pollutants?
- ▶ Does the program maintain a smoke-free environment on center grounds?
- ▶ Are facilities, materials, and equipment free of any hazards that may cause harm to children, families, or staff?
- ▶ Does the program have a pest-management program?
- ▶ Is all sewage and liquid waste disposed of so as not to expose children and adults?
- ▶ Are garbage and trash stored in a safe and sanitary manner that does not allow easy access by children?
- ▶ Are toilets and hand-washing facilities clean, adequate in number, in good repair, and easily accessible to children?

#### *Emergency Alert Systems and Fire Safety – EnvHS 1.1*

- ▶ Is a fire extinguisher available?
- ▶ Is the extinguisher easily accessible?
- ▶ Is there a service date on the fire extinguisher showing it has been updated at least annually?



## Center Observations (continued)

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### *Emergency Alert Systems and Fire Safety – EnvHS 1.1 (continued)*

- ▶ Is there a fire-alarm system that includes all of the following:
  - Manual means of initiation (e.g. pull boxes)
  - Connection to the smoke detector system
  - Use of both audio and visual signals when activated
- ▶ Was the fire-alarm system tested within the last 12 months?
- ▶ Is there a smoke detector system?
- ▶ Are smoke detectors located in all of the following areas:
  - Each story, in front of doors to the stairway
  - Corridors on all floors
  - Lounges and recreation areas
  - Sleeping rooms
- ▶ Is emergency lighting available that allows children and adults to clearly see pathways in case of power failure?

### *Life Safety Code & Occupancy Requirements - EnvHS 1.3*

- ▶ Does the building have an occupancy permit?
- ▶ Does the grantee ensure that occupancy loads are calculated and posted for assembly spaces?
- ▶ Does the center have an occupancy load of more than 50 persons?
- ▶ Does the center have an occupancy load of more than 100 persons?
- ▶ Does the building have an automatic fire-sprinkler system?
- ▶ Do children or staff occupy the basement level of the building?
- ▶ Are ceilings a minimum of 7ft. 6 inches, with no projections protruding so as to allow less than 6ft. 8 inches?
- ▶ Are all doors used for entry and exit between 32 and 48 inches wide?
- ▶ Are all corridors that lead to an exit a minimum of 36 inches wide?
- ▶ Is every exit door equipped with panic hardware?
- ▶ Do any exit doors have more than one locking or latching device?
- ▶ Does each floor of the center have a minimum of two exits that lead to the outside?



## Center Observations (continued)

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### *Life Safety Code & Occupancy Requirements - EnvHS 1.3 (continued)*

- ▶ Does the center have any dead-end corridors that exceed 20 feet in length?
- ▶ Does the center have any dead-end corridors that exceed 50 feet in length?
- ▶ Are all stairways a minimum of 44 inches wide? *Applies only to buildings with more than 50 occupants*
- ▶ Are all stairways a minimum of 36 inches wide? *Applies only to buildings with less than 50 occupants*

## Pre-Site Document Review

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### *Licensing - EnvHS 1.3*

- ▶ Does the program have a current child care license for this center or FCC?

### *Inspections - EnvHS 1.3*

- ▶ How often are fire-prevention inspections conducted?
  - Annually
  - Semi-annually
  - Monthly
  - Fire-prevention inspections are not conducted
- ▶ Did the program have a building inspection in the last 12 months?
- ▶ Review the results of the most recent building inspection. Which of the following best describes the results of the inspection?
  - Pass
  - Pass with concerns
  - Fail



## Environmental Health & Safety

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### Environmental Health & Safety Key Indicator #2 - Healthy Learning Environments

	<b><i>Compliance Measure</i></b>	<b><i>Federal Regulation</i></b>
2.1	The program provides safe, clean, and appropriate indoor and outdoor learning environments.	1304.53(a)(5) 1304.53(a)(7) 1304.53(a)(8) 1304.53(a)(10)(viii) 1304.53(a)(10)(x) 1304.53(a)(10)(xvii) 1304.53(b)(1)(iii) 1304.53(b)(3) 1306.35(b)(2)(v) 1306.35(b)(2)(vi)
2.2	Staff, volunteers, and children wash their hands properly and when needed to ensure the health of children and adults.	1304.22(e)(1)(i) 1304.22(e)(1)(ii) 1304.22(e)(1)(iii) 1304.22(e)(1)(iv)
2.3	Spilled bodily fluids are cleaned up and disinfected immediately according to established professional guidelines.	1304.22(e)(3) 1304.22(e)(4)
2.4	The program adopts sanitation and hygiene practices for diapering that adequately protect the health and safety of children and staff.	1304.22(e)(5)
2.5	The program's Nutrition program is designed and implemented to: <ul style="list-style-type: none"><li>• Comply with USDA nutrition requirements</li><li>• Ensure food safety, including all meals are void of choking hazards</li><li>• Ensure that breast milk and formula are handled appropriately (when applicable)</li><li>• Meet the individual nutritional needs and feeding requirements of each child (including children with special dietary, medical, or disability needs)</li></ul>	1304.23(b)(1) 1304.23(b)(1)(vii) 1304.23(e)(2)
2.6	The program ensures that medication is not accessible to children and is properly administered, stored, and labeled.	1304.22(c)(1) 1304.22(c)(2) 1304.22(c)(3) 1304.22(c)(4)



## Targeted Questions

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### Classroom Observations

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#### *Safety and Cleanliness of Indoor and Outdoor Space - EnvHS 2.1*

- ▶ Are toxic substances stored in a safe and secure manner in a locked room or cabinet fitted with a child-resistant lock and inaccessible to children?
- ▶ Are the following areas clean and free of dirt and debris:
  - Carpets
  - Floors
  - Furniture
  - Toys
  - Materials
  - Counters and shelves
- ▶ Is there evidence of pests?
- ▶ Were provisions made to ensure the safety, comfort, and participation of children with disabilities?
- ▶ Does the classroom provide at least 35 square feet of usable indoor space per child (excluding bathrooms, halls, kitchens, staff rooms, and storage space)?
- ▶ Are there any tip-over or tripping hazards in the room?
- ▶ Are toys, materials, and furniture age-appropriate?
- ▶ Are furnishings in the room sturdy and in good repair?
- ▶ Does the program ensure that sleeping arrangements for infants (e.g., cribs, playpens, bassinets) are free of soft bedding materials (e.g., soft mattress, pillows, stuffed animals, fluffy blankets, comforters)? *Applies only to programs serving infants and toddlers*

#### *Hand-washing – EnvHS 2.2*

- ▶ Did you observe a situation that required hand-washing? Check all situations you observed where hand-washing should have occurred:
  - After diapering or toilet use
  - Before food preparation
  - Whenever hands were contaminated with blood or other bodily fluids
  - After handling pets or other animals
  - After handling garbage



## Classroom Observations (continued)

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### *Hand-washing – EnvHS 2.2 (continued)*

- ▶ Did hand-washing occur at the appropriate times and include the following:
  - Staff assist children as needed
  - Staff and/or children wash hands with soap and water

### *Spilled Bodily Fluids – EnvHS 2.3*

- ▶ If bodily fluids were spilled during your observation, did clean up include all of the following:
  - Nonporous gloves worn
  - Spills/fluids cleaned up immediately
  - Cleaned and sanitized all areas
  - Contaminated materials placed in a plastic bag and secured

### *Diapering – EnvHS 2.4*

- ▶ If diapering was observed, did staff do all of the following when changing the diapers?
  - Before bringing the child to the diaper changing area, wash hands and bring supplies to the diaper changing area
  - Hand always kept on the child
  - Clean the child's diaper area
  - If wearing gloves, changed gloves prior to putting on clean diaper
  - Wash the child's hands and return child to a supervised area
  - Clean and disinfect the diaper-changing surface
  - Wash hands

### *Proper Handling of Breast Milk – EnvHS 2.5 Applies only to program serving infants and toddlers*

- ▶ Are any children currently on breast milk or formula?
- ▶ Is breast milk properly refrigerated and all containers labeled with the child's full name and the date breast milk was collected?
- ▶ Is frozen breast milk defrosted in the refrigerator?
- ▶ Is formula stored in the original container and labeled with child's full name and date opened?

### *Medication Management - EnvHS 2.6*

- ▶ Are there any children currently receiving medications?



## Classroom Observations (continued)

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### *Medication Management - EnvHS 2.6 (continued)*

- ▶ Are over-the-counter medications in original containers, and does the program have written orders from a physician that includes dosage and length of time to administer the medication?
- ▶ Are non-emergency medications stored under lock and key?
- ▶ If children are currently receiving medication, compare labeling with information noted on the Medication Administration Log. Are all medications given as prescribed?
- ▶ Are prescribed medications in original containers with original prescription labels?
- ▶ Are all medications within the dates of expiration?

## FCC Observations

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### *Safety and Cleanliness of Indoor and Outdoor Space - EnvHS 2.1*

- ▶ Does the design of the playground and equipment promote the safety of children, including:
  - Appropriate height and accessibility
  - No openings that could entrap a child's head or limbs
  - Equipment on shock-absorbing surface
  - Absence of sharp edges, rust, choking and/or strangulation hazards, garbage, and hazardous material (e.g., glass, needles, animal feces)
  - Equipment is stable and/or secured to the ground
- ▶ Are toxic substances stored in a safe and secure manner in a locked room or cabinet fitted with a child-resistant lock and inaccessible to children?
- ▶ Are the following areas clean and free of dirt and debris:
  - Carpets
  - Floors
  - Furniture
  - Toys
  - Materials
  - Counters and shelves
- ▶ Were provisions made to ensure the safety, comfort, and participation of children with disabilities?
- ▶ Are there any tip-over or tripping hazards in the room?
- ▶ Are toys, materials, and furniture age-appropriate?





## FCC Observations (continued)

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### *Safety and Cleanliness of Indoor and Outdoor Space - EnvHS 2.1 (continued)*

- ▶ Are furnishings in the room sturdy and in good repair?
- ▶ Does the program ensure that sleeping arrangements for infants (e.g., cribs, playpens, bassinets) are free of soft bedding materials (e.g., soft mattress, pillows, stuffed animals, fluffy blankets, comforters)? *Applies only to programs serving infants and toddlers*
- ▶ Does the Family Child Care home have sufficient indoor and outdoor space that is usable by and available to children?
- ▶ Does the provider ensure all children are supervised and within sight and reach when a body of water, road, or other potential hazard is present or when children are being transported?
- ▶ Is there a fence to prevent children's unsupervised access to all water hazards, such as swimming pools or other bodies of water?

### *Hand-washing – EnvHS 2.2*

- ▶ Did you observe a situation that required hand-washing? Check all situations you observed where hand-washing should have occurred:
  - After diapering or toilet use
  - Before food preparation
  - Whenever hands were contaminated with blood or other bodily fluids
  - After handling pets or other animals
  - After handling garbage
- ▶ Did hand-washing occur at the appropriate times and include the following:
  - Staff assist children as needed
  - Staff and/or children wash hands with soap and water

### *Spilled Bodily Fluids - EnvHS 2.3*

- ▶ If bodily fluids were spilled during your observation, did clean up include all of the following:
  - Nonporous gloves worn
  - Spills/fluids cleaned up immediately
  - Cleaned and sanitized all areas
  - Contaminated materials placed in a plastic bag and secured



## FCC Observations (continued)

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### *Diapering - EnvHS 2.4*

- ▶ If diapering was observed, did staff do all of the following when changing the diapers?
  - Before bringing the child to the diaper changing area, wash hands and bring supplies to the diaper changing area
  - Hand always kept on the child
  - Clean the child's diaper area
  - If wearing gloves, changed gloves prior to putting on clean diaper
  - Wash the child's hands and return child to a supervised area
  - Clean and disinfect the diaper-changing surface
  - Wash hands

### *Proper Handling of Breast Milk - EnvHS 2.5 Applies only to programs serving infants and toddlers*

- ▶ Are any children currently on breast milk or formula?
- ▶ Is breast milk properly refrigerated and all containers labeled with the child's full name and the date breast milk was collected?
- ▶ Is frozen breast milk defrosted in the refrigerator?
- ▶ Is formula stored in the original container and labeled with child's full name and date opened?

### *Medication Management - EnvHS 2.6*

- ▶ Are there any children currently receiving medications?
- ▶ Are over-the-counter medications in original containers, and does the program have written orders from a physician that includes dosage and length of time to administer the medication?
- ▶ Are non-emergency medications stored under lock and key?
- ▶ If children are currently receiving medication, compare labeling with information noted on the Medication Administration Log. Are all medications given as prescribed?
- ▶ Are prescribed medications in original containers with original prescription labels?
- ▶ Are all medications within the dates of expiration?



## Center Observations

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### *Safety and Cleanliness of Indoor and Outdoor Space - EnvHS 2.1*

- ▶ Does the design of the playground and equipment promote the safety of children, including:
  - Appropriate height and accessibility
  - No openings that could entrap a child's head or limbs
  - Equipment on shock-absorbing surface
  - Absence of sharp edges, rust, choking and/or strangulation hazards, garbage, and hazardous material (e.g., glass, needles, animal feces)
  - Equipment is stable and/or secured to the ground
- ▶ Are toxic substances stored in a safe and secure manner in a locked room or cabinet fitted with a child-resistant lock and inaccessible to children?

### Interview: Nutrition Coordinator

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### *Proper Handling of Breast Milk - EnvHS 2.5*

- ▶ Describe how the program:
  - Meets the individual nutritional needs and feeding requirements of all children
  - Complies with USDA nutrition requirements
  - Addresses special dietary needs of children
  - Accommodates the feeding and nutritional needs of children with disabilities
  - Ensures that foods posing a high risk of choking for infants and toddlers (e.g., hot dogs, whole grapes, hard raw vegetables, popcorn, whole nuts) are not given to them

### Pre-Site Document Review

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### *USDA Inspections – EnvHS 2.5*

- ▶ Did the program have a USDA inspection in the last 12 months?
- ▶ Review the results of the most recent USDA inspection. Which of the following best describes the results of the inspection?
  - Pass
  - Pass with concerns
  - Fail



## Environmental Health & Safety

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### Environmental Health & Safety Key Indicator #3 - Safe Learning Environments and Supervision

	<b>Compliance Measure</b>	<b>Federal Regulation</b>
3.1	Prior to employing an individual, the program obtains a: <ul style="list-style-type: none"><li>• Federal, State, or Tribal criminal record check (CRC) covering all jurisdictions in which it provides Head Start services to children</li><li>• Federal, State, or Tribal CRC as required by the law of the jurisdiction in which the program provides Head Start services</li><li>• CRC as otherwise required by Federal law</li></ul>	648A(g)(3)(A) 648A(g)(3)(B) 648A(g)(3)(C)
3.2	The program ensures the maintenance of appropriate class and group sizes based on the predominant age of the children.	1306.20(g)(1) 1306.20(g)(2) 1306.32(a)(1) 1306.32(a)(2) 1306.32(a)(3) 1306.32(a)(4) 1306.32(a)(5) 1306.32(a)(6)
3.3	The program ensures that no more than eight children are placed in an infant and toddler space, and no more than four children are assigned to each teacher. <i>Note: Applies only to programs serving infants and toddlers.</i>	1304.52(g)(4)
3.4	The program arranges all outdoor play areas to prevent children from getting into unsafe and/or unsupervised areas. The program also ensures that children en route to play areas are not exposed to vehicular traffic without supervision.	1304.53(a)(9)
3.5	The program ensures children are released only to a parent, legal guardian, or other individuals as designated in writing by the parent or legal guardian.	1310.10(g)
3.6	Staff actively supervise children at all times and use positive child guidance when responding to undesired behavior.	1304.52(i)(1)(iii) 1304.52(i)(1)(iv)



## Targeted Questions

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### Document Review: Criminal Record Check Tracking System

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#### *Criminal Record Checks - EnvHS 3.1*

Review the Criminal Record Check (CRC) tracking document to ensure that all staff have CRCs and that the CRCs were completed prior to the staff person being hired.

- ▶ Are there any staff that do not have a CRC?
- ▶ Are there any staff, hired within the last 12 months, that did not have a CRC prior to being hired?

Please select up to 10 staff from the CRC tracking document that were hired within the last 12 months. Enter the staff name, date of hire, and date of CRC completion from the tracking document for each of the 10 selected staff members. Share the list of staff with the grantee so that the CRC documentation can be available for the reviewer for on-site validation.

### Interview: Head Start Director Interview

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#### *Appropriate Release - EnvHS 3.5*

- ▶ With the Head Start Director, review the program's documented policies and procedures regarding the release of children and the emergency contact list of authorized parents and guardians to whom children can be released.
  - How do teaching staff know which adults are authorized to pick up children?
  - How do bus staff know which adults are authorized to pick up children when they get off the bus and where each child is supposed to be dropped off?
  - What process is in place to release children from the center or family child care setting?
  - How is information to support the process kept up-to-date? Is the information easily accessible?
- ▶ In the past 12 months, has a child been released to an unauthorized adult or dropped off at the wrong location?
- ▶ When did the incident occur?
- ▶ Was the incident reported to your Regional Office?
- ▶ What was the result of the report to your Regional Office?

#### *Supervision and Positive Guidance - EnvHS 3.6*

- ▶ In the past 12 months, has a child been left unsupervised?
- ▶ When did the incident occur?



## Interview: Head Start Director Interview (continued)

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### *Supervision and Positive Guidance - EnvHS 3.6 (continued)*

- ▶ Was the incident reported to your Regional Office?
- ▶ What was the result of the report to your Regional Office?
- ▶ In the past 12 months, has a staff member used corporal punishment, emotional or physical abuse, humiliation, unnecessary restraint, isolation, denial of food, water, or bathroom privileges?
- ▶ When did the incident occur?
- ▶ Was the incident reported to your Regional Office?
- ▶ What was the result of the report to your Regional Office?

## Interview: Transportation Coordinator

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### *Appropriate Release - EnvHS 3.5*

- ▶ With the Transportation Coordinator, discuss how the program ensures children are released to authorized adults at the correct locations.
  - How do bus staff know which adults are authorized to pick up children when they get off the bus and where each child is supposed to be dropped off?
  - What process is in place to appropriately release children as they get off the bus?

## Classroom Observation

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### *Preschool-Age Group Ratio – EnvHS 3.2*

- ▶ What is the predominant age of children in the class, as determined at the start of the program year?
- ▶ How many staff members are assigned to this classroom or group?
- ▶ How many children are enrolled in the classroom according to the program's documentation?
- ▶ How many children are currently present in the classroom?

### *Infant/Toddler Group Ratio – EnvHS 3.3 Applies only to programs serving infants and toddlers*

- ▶ How many infants/toddlers are currently present in the group?
- ▶ How many staff members are currently present with the group?



## Classroom Observation (continued)

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### *Safe Outdoor Play Areas – EnvHS 3.4*

- ▶ Are outdoor play areas arranged so adults can see children and effectively supervise to prevent children from leaving and getting into unsafe areas?

### *Supervision – EnvHS 3.6*

- ▶ Are staff within arm's reach of children who are sitting on a high chair or changing table, and holding any children who are bottle feeding?
- ▶ Are all on-duty staff supervising and engaging with children in a way that ensures the children's safety?
- ▶ Did you observe an instance where a child or children were unsupervised?
- ▶ Are there clear systems in place to account for the whereabouts of each child (e.g. attendance logs and sign-in/out sheets, routine head counts)?

### *Positive Guidance – EnvHS 3.6*

- ▶ Did staff use positive child guidance when responding to undesired child behavior rather than corporal punishment, emotional or physical abuse, unnecessary restraint, humiliation, isolation or denial of food, water, or bathroom privileges?

## Center Observation

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### *Safe Outdoor Play Areas – EnvHS 3.4*

- ▶ Are outdoor play areas arranged so adults can see children and effectively supervise to prevent children from leaving and getting into unsafe areas?

## FCC Observation

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### *FCC Group Ratio – EnvHS 3.2*

- ▶ What age group does the FCC Provider serve?
- ▶ How many children are currently present in the group?
- ▶ Is there an assistant present?
- ▶ How many children under two years of age are present in the group?
- ▶ How many children under 18 months are currently present in the group?



## FCC Observation (continued)

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### *Safe Outdoor Play Areas – EnvHS 3.4*

- ▶ Are outdoor play areas arranged so adults can see children and effectively supervise to prevent children from leaving and getting into unsafe areas?

### *Supervision – EnvHS 3.6*

- ▶ Are staff within arm's reach of children who are sitting on a high chair or changing table, and holding any children who are bottle feeding?
- ▶ Are all on-duty staff supervising and engaging with children in a way that ensures the children's safety?
- ▶ Did you observe an instance where a child or children were unsupervised?
- ▶ Are there clear systems in place to account for the whereabouts of each child (e.g. attendance logs and sign-in/out sheets, routine head counts)?
- ▶ Is there a system in place to assure the safety of any child not within view of the provider for any period (e.g. the provider needs to use the bathroom or an infant is napping in one room while toddlers play in another room)?

### *Positive Guidance – EnvHS 3.6*

- ▶ Did staff use positive child guidance when responding to undesired child behavior rather than corporal punishment, emotional or physical abuse, unnecessary restraint, humiliation, isolation or denial of food, water or bathroom privileges?

## Risk Assessment Guide

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### *Inappropriate Release – EnvHS 3.5*

#### *Incident Details*

- ▶ How was the child released? Select all that apply
  - Child was dropped off at the wrong location
  - Child was released to the wrong adult
  - Child was left unattended
- ▶ Where was the child released inappropriately?
  - Bus stop
  - Home or alternative facility
  - Center or FCC
- ▶ How old was the child involved when the incident occurred?





## Risk Assessment Guide (continued)

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### *Inappropriate Release – EnvHS 3.5 (continued)*

#### *Cause*

- ▶ Please describe what happened and why a child was released inappropriately.
- ▶ Typically, what should have happened? Please email the RFL a copy of your program's release procedures.
- ▶ How do staff know their role in ensuring children are released safely and to the correct person?
- ▶ How, and how often, do you follow up with staff to ensure they follow the program's release procedures?
- ▶ Based on the above information, select the option that best explains why a child was released inappropriately:
  - There was no system in place to ensure that children are released to an authorized adult
  - A system existed and was followed correctly, but a child was released inappropriately
  - A system existed but staff did not follow the system

#### *Time*

- ▶ Ask the program for specific documentation or evidence regarding the length of time that the child was alone or with an unauthorized adult. Please describe the evidence submitted.
- ▶ Based on the evidence submitted by the program, how long was the child left alone, or with an unauthorized adult?
  - 1-5 minutes
  - 6-15 minutes
  - 16-29 minutes
  - 30 or more minutes
  - Time was unknown or evidence was not provided by the program



## Risk Assessment Guide (continued)

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### *Inappropriate Release – EnvHS 3.5 (continued)*

#### *Effect*

- ▶ Please indicate which of the following occurred. Select all that apply.
  - The child was seriously injured
  - The child was exposed to harsh conditions (e.g., extreme weather conditions)
  - The child was found by someone other than Head Start staff
  - The child was left alone

#### *Reporting*

- ▶ When did the program report this incident to its regional office?
  - The day the incident occurred
  - One to 3 days after the incident occurred
  - More than 3 days after the incident occurred
  - The program did not report to the regional office
- ▶ Did the program report this incident to the child's legal guardian?
- ▶ Did the program report this incident to the licensing agency?
- ▶ Is the program required to report to the licensing agency?

### *Supervision – EnvHS 3.6*

#### *Incident Details*

- ▶ Where was the child left unsupervised?

● Classroom	● Playground	● Left behind or wandered off from a field trip
● Bathroom	● Left center grounds (i.e. was inside, went outside; was outside, left the premises)	● Other
● Lunchroom		
● Hallway		
- ▶ How old was the child involved when the incident occurred?



## Risk Assessment Guide (continued)

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### *Supervision – EnvHS 3.6 (continued)*

#### *Cause*

- ▶ Please describe what happened and why a child was left alone.
- ▶ Typically, what should have happened?
- ▶ Please email the RFL a copy of your program's supervision procedures.
- ▶ How do staff know their role in ensuring children are always supervised?
- ▶ How, and how often, do you follow up with staff to ensure they follow the program's supervision procedures?
- ▶ Based on the information above, select the option that best why a child was left alone:
  - There was no system in place to ensure that children are supervised at all times
  - A system existed and was followed correctly, but a child was left alone
  - A system existed but staff did not follow the system
  - There were not at least 2 adults supervising the group of children prior to the child being unsupervised
  - The teacher sent the child to another location such as bathroom, errand, etc. (i.e. the teacher knew where children were but they were unsupervised)

#### *Time*

- ▶ Ask the program for specific documentation or evidence regarding the length of time that the child was alone. Please describe the evidence submitted by the program.
- ▶ Based on the evidence submitted by the program, how long was the child left unsupervised?
  - 1-5 minutes
  - 6-15 minutes
  - 16-29 minutes
  - 30 or more minutes
  - Time unknown or evidence not submitted by program



## Risk Assessment Guide (continued)

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### *Supervision – EnvHS 3.6 (continued)*

#### *Effect*

- ▶ Please indicate which of the following occurred. Select all that apply.
  - The child was seriously injured
  - The child walked off the premises or away from a field trip
  - The child was exposed to harsh conditions (e.g., extreme weather conditions)
  - The program did not know the child was alone
  - The child was found by someone other than Head Start staff
  - The program knew the child was alone
  - The program's system detected the missing child (e.g. program had a backup redundant system and it worked)

#### *Reporting*

- ▶ When did the program report this incident to its regional office?
  - The day the incident occurred
  - One to 3 days after the incident occurred
  - More than 3 days after the incident occurred
  - The program did not report to the regional office
- ▶ Did the program report this incident to the child's legal guardian?
- ▶ Did the program report this incident to the licensing agency?
- ▶ Is the program required to report the licensing agency?

### *Inappropriate Punishment – EnvHS 3.6*

#### *Cause*

- ▶ Please describe what happened and why the incident occurred.
- ▶ Typically, what should have happened?
- ▶ Has the staff member had other issues prior to this incident?
- ▶ Prior to this incident, were any supports provided to the staff member (e.g., mental health consultation, additional staff in the room, coaching, etc.)?
- ▶ What was the effect of these supports?



## Risk Assessment Guide (continued)

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### *Inappropriate Punishment – EnvHS 3.6 (continued)*

#### *Effect*

- ▶ What was the outcome of this incident for the child and for the staff involved?

#### *Reporting*

- ▶ When did the program report this incident to its regional office?
  - The day the incident occurred
  - One to 3 days after the incident occurred
  - More than 3 days after the incident occurred
  - The program did not report to the regional office
- ▶ Did the program report this incident to the child's legal guardian?
- ▶ Did the program report this incident to the licensing agency?
- ▶ Is the program required to report the licensing agency?



## Environmental Health & Safety

### Environmental Health & Safety Key Indicator #4 - Safe Transportation

	<b>Compliance Measure</b>	<b>Federal Regulation</b>
4.1	The program's vehicles are properly equipped. <i>Note: Applies only to programs providing Transportation services</i>	1310.10(d)(1) 1310.10(d)(2) 1310.10(d)(3) 1310.10(d)(4) 1310.12(a) 1310.12(b)(2)
4.2	At least one bus monitor is aboard the vehicle at all times. <i>Note: An approval letter from ACF is required for an exception to this regulation Note: Applies only to programs providing Transportation services</i>	1310.15(c)
4.3	Each bus monitor, before duty, has been trained on: <ul style="list-style-type: none"> <li>• Child boarding-and-exiting procedures</li> <li>• Use of child restraint systems</li> <li>• Required paperwork</li> <li>• Emergency response and evacuation procedures</li> <li>• Use of special equipment</li> <li>• Child pick-up and release procedures</li> <li>• Pre- and post-trip vehicle checks</li> </ul> <i>Note: This requirement does not apply to programs with a waiver of this requirement approved by the Administration for Children and Families (ACF). An approval letter from ACF is required for exception to this regulation.</i> <i>Note: Applies only to programs providing Transportation services</i>	1310.17(f)(2)
4.4	The program ensures that persons employed to drive vehicles receive the required behind-the-wheel and classroom training before transporting children. <i>Note: This compliance measure applies to both directly employed and contracted bus drivers</i> <i>Note: Applies only to programs providing Transportation services</i>	1310.17(b)(1) 1310.17(b)(2) 1310.17(b)(3) 1310.17(b)(4) 1310.17(b)(5) 1310.17(b)(6) 1310.17(b)(7)



## Targeted Questions

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### Bus Inspection

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#### *Safety Equipment – EnvHS 4.1 Applies only to programs providing transportation services*

- ▶ Is the bus equipped with a reverse beeper?
- ▶ Is the bus equipped with a two-way communication system?
- ▶ Is the bus equipped with safety equipment for use in an emergency, including a charged fire extinguisher that is properly mounted near the driver's seat with a sign indicating its location?
- ▶ Is the bus equipped with a first aid kit and a sign indicating its location?
- ▶ Is the bus equipped with a seatbelt cutter for use in an emergency evacuation and a sign indicating its location?
- ▶ Is the bus equipped for use of height- and weight-appropriate child restraint systems?

### Interview: Transportation Services Coordinator

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#### *Bus Monitor - EnvHS 4.2 Applies only to programs providing transportation services*

- ▶ Ask the Coordinator to describe the process for assigning bus monitors.
  - How many bus monitors are assigned to each route? What information is considered when making assignments?
  - How do bus monitors support the safe transportation of children with special needs? Are there times when more than one bus monitor is required? If yes, describe under what circumstances this might occur.

#### *Bus Monitor Training - EnvHS 4.3 Applies only to programs providing transportation services*

- ▶ Review the program's documentation of training for bus monitors—including topics and date(s) training was received—with the Transportation Coordinator. Training topics should include:
  - Child boarding-and-exiting procedures
  - Use of child restraint systems (Note: lap belts are not appropriate.)
  - Required paperwork
  - Emergency and evacuation procedures
  - Use of special equipment
  - Child pick-up and release procedures



## Interview: Transportation Services Coordinator (continued)

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### *Bus Monitor Training - EnvHS 4.3 (continued) Applies only to programs providing transportation services*

Confirm that bus monitors are not scheduled for duty until required training is completed. If this is not the case, ask the Transportation Coordinator to describe why this occurred and document the date(s) of the training and the date(s) bus monitors were scheduled.

### *Bus Driver Training - EnvHS 4.4 Applies only to programs providing transportation services*

- Ask the Transportation Coordinator to describe the training plan for staff employed to drive vehicles. Does the training include a combination of classroom and behind-the-wheel instruction sufficient to enable each driver to do all of the following?

- Operate the vehicle in a safe and efficient manner
- Safely run a fixed route, including loading and unloading children, stopping at railroad crossings, and performing other specialized driving maneuvers
- Administer basic first aid in case of injury
- Handle emergency situations, including vehicle-evacuation procedures
- Operate any special equipment, such as wheelchair lifts, assistive devices, and special occupant restraints
- Conduct routine maintenance and safety checks of the vehicle
- Maintain accurate records as necessary

Ask the Transportation Coordinator when staff are scheduled to transport children relative to their training date(s).