

**Contra Costa County/Community Services Bureau**  
**HEAD START & EARLY HEAD START PROGRAM**  
**2019-20 PROGRAM SELF-ASSESSMENT REPORT**

December 10 – 13, 2019

*LIST OF NON-COMPLIANCES AND CORRESPONDING CORRECTIVE ACTION PLANS*

Service Area	Performance Measure (PM) and Determination: ✓ Performance Measure Fully Met ✓ Performance Measure Met with Concern(s) ✓ Performance Measure Not Met	Non-Compliances	Person Responsible	Corrective Actions/Timeline
<b>Program Management &amp; Quality Improvement</b>	PM: The grantee uses data to identify program strengths, needs, and areas needing improvement; to evaluate progress toward achieving program goals and compliance with program performance standards, and to assess the effectiveness of professional development.  Performance Measure Fully Met	<b>(1) Non-Compliance</b> A review of 100 enrollment files found that 16 files (16%) had a variety of record keeping issues such as inaccuracies in eligibility status, missing signature, or income entered incorrectly. No one type of inaccuracy exceeded 10% and no family's eligibility was affected by the (three) income inaccuracies. Closer attention to record keeping/data entry is recommended.	Tracy Lewis, ERSEA Content Area Expert	By 1/9/2020 and ongoing, ERSEA Analyst will include an ERSEA training at CEU team meetings to address common record keeping errors.  By 1/17/2020, CEU will conduct a 100% file review to ensure record keeping errors in CLOUDS are addressed.  By 2/1/2020, CEU Analysts will conduct a second review of 25% eligibility files pulled from the pre-selected FA2 file sample.
<b>Monitoring &amp; Implementing Quality Health Services</b>	PM: <b>Safe Environments</b>  The grantee has implemented a process for monitoring and maintaining healthy and safe environments. This includes ensuring all staff has complete background checks.  Performance Measure Met with Concern(s)	<b>(2) Non-Compliance</b> The following non-compliances were identified concerning Safe Environments' requirements:  Of the 10 classrooms reviewed, 4 classrooms (40%) did not have the seal on the disaster/earthquake barrel intact and or had expired supply.  Of the 16 classrooms reviewed, 11 classrooms (69%) had indoor and outdoor areas that were not clean or kept free of undesirable and hazardous materials.  Of the 10 classrooms reviewed, 3 classrooms (30%) did not have Emergency	Carlos Ribeiro and Jay Rivera, Safe Environments Content Area Experts	All items identified were addressed and most corrected on the spot. Facilities team is working with other departments on additional follow ups for items that could not be corrected on the spot.  For directly operated sites, on January 08, 2020, all items identified during the Self-Assessment were discussed during the Quarterly Health and Safety Officer's meeting. In addition, a refresher training on Health and Safety Environments was conducted for the Health and Safety Officers.  By January 31, 2020, eight (8) partner centers will receive a Healthy and Safety monitoring conducted by CSB during the month of January.

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		<p>response phone numbers posted by each phone.</p> <p>Of the 10 classrooms reviewed, tall furniture over 4 feet in 3 classrooms (30%) were not secured to the floor or wall.</p> <p>Of the 10 classrooms reviewed, cleaning agents in 2 classrooms (20%) were not stored away from children’s reach and in a locked cabinet.</p> <p>Of the 10 classrooms reviewed, unused electrical outlets in 2 classrooms (20%) were within children’s reach and uncovered.</p> <p>Of the 10 classrooms reviewed, cots for preschoolers in 2 classrooms (20%) were less than 18 inches apart.</p> <p>Of the 10 classrooms reviewed, 1 classroom (10%) did not have “illuminated” exit sign at classroom’s main entry door.</p> <p>Of the 10 classrooms reviewed, 1 classroom (10%) did not have the required policies and plans of actions for health emergencies in the designated emergency backpack.</p> <p>Of the 10 classrooms reviewed, 1 classroom (10%) did not have the Emergency procedures for fire, earthquake and disaster posted in the classroom.</p> <p>Of the 10 classrooms reviewed, 1</p>		<p>Facilities team will provide guidance to the partner unit and partner center on how to correct the items once identified.</p> <p>By March 31, 2020, a refresher training on Health and Safety Environments will be provided to partner centers.</p>

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		classroom (10%) had dirty stovetop and ants were found on kitchen's countertop.		
Monitoring & Implementing Fiscal Infrastructure	PM: The grantee's financial management system provides for effective control over and accountability for all funds, property, and other assets.  Performance Measure Met with Concern(s)	(3) Non-Compliance A review of 9 of 28 contracts for services showed neither the contractor nor the Board of Supervisors signed and dated the contract prior to the delivery of services. These contracts ranged from several thousand dollars to several million dollars. Contracts must be approved and signed by both parties prior to delivery of services.  It should be noted that EHSD was aware of this non-compliance. After a meeting during the self-assessment, the "draft" revised policies and procedures was provided and it now identifies that EHSD will begin the development, approval and execution of all contracts, MOUs and other legal documents requiring Board approval will commence the contracting process a minimum of 180 days before delivery of services. A meeting with the County Administrator's Office (CAO), County Counsel, EHSD Contracts Unit, and other involved parties will be meeting in January 2020 (a previously scheduled meeting in early December was canceled) to discuss the process for contract development and approvals. Strongly recommend that this process move forward as quickly as possible and that the new policy and approval be submitted to the Board of Supervisors for their earliest review and approval.	Vickie Kaplan Wetzel, Fiscal Content Area Expert	Several steps have been taken to address this matter. An internal contract procedure process has been created for submission of contract requests. This contract procedure has been added to CSB's Policies and Procedures handbook. In addition a meeting has been scheduled with EHSD's contract unit on the 16 <sup>th</sup> of January 2020 to discuss the process for contract development and approvals and ways to make it streamlined and more efficient.

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Monitoring ERSEA	PM: The grantee maintains and tracks enrollment for all participants, including pregnant women.  Performance Measure Met with Concern(s)	(4) Non-Compliance The First Baptist delegate agency was only 91.8% enrolled as of December 12, 2019.	Tracy Lewis, ERSEA Content Area Expert	By January 2020, First Baptist will meet at least 97% enrollment for Head Start. Enrollment was pending Community Care Licensing approval.