



**COUNTY OF SAN BERNARDINO
PRESCHOOL SERVICES DEPARTMENT
POLICY AND PROCEDURE**

NO. 01 ISSUE 2
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EFFECTIVE: 09-13-10
Revised

SUBJECT:
Recordkeeping and Reporting Policy and Procedure

APPROVED: 12-15-10

BY: Ron Griffin, Director

PURPOSE

The Preschool Services Department (PSD) Record Keeping and Reporting System ensures an effective and efficient approach to documenting accurate, confidential and timely information about the quality of services provided to children and families.

The Record-keeping and Reporting System ensures the dissemination of timely management reports that are used by staff, parents, Policy Council and the Shared Governance Board to review progress in the following areas:

POLICY

PSD will maintain a record-keeping and reporting system that will document the status of all program activities and direct staff action in accordance with Performance Standards, County and departmental regulations policies. This reporting system will be sufficient to generate official reports for federal, state, and local authorities, as required by applicable law.

PSD will maintain permanent personnel records and fiscal records in the Administrative Office to ensure that regular, periodic reports are generated in order to ensure fiscal accountability, control program quality, maintain program accountability, and inform governing bodies and program staff of program status and progress.

Information will be documented and accessed in a manner that will provide appropriate program staff with accurate and timely information to facilitate and ensure the provision of quality services and to demonstrate program accountability to state and federal regulatory agencies. All information will be kept in confidence.

Responsibility and accountability for the maintenance of specific records is assigned to program staff based on job description and content-area expertise.

REFERENCE

Head Start Performance Standards 1304.40, 1304.51(h), 1304.51(g); California State Preschool Programs (CSPP) Funding Terms and Conditions; County of San Bernardino Human Services Retention Schedule and HS Grants Policy 1/11/07

PROCEDURE

PSD's Record Keeping and Reporting System incorporates the management of data and subsequent reports in order to:

- Document agency programmatic and fiscal progress toward goals and objectives
- Provide information on child and family progress in required domains, elements, and

indicators when they enter the program throughout the program year at regular intervals.

- Control program quality and maintain program accountability with all applicable standards.
- Document statistical data for ongoing agency planning and informing various audiences including: management, governing body, policy council, advisory groups, the State and Federal Government and other funding agencies

Use of Standard Forms

PSD uses standardized forms in every service area and within each division to ensure consistent and purposeful collection, maintenance and storage of all program information. Access to information is controlled (via password protection) and all personnel are mandated to observe the rules of confidentiality with regard to both program and child/family information. Most forms and handouts are available on the **PSD Shared File System** and in the **Online Forms and Procedures** areas of the PSD website.

Recording and Storage of Useful Information

The PSD shared file system ensures that PSD staff has access to information related to all divisions. This information is available to all PSD administrative and management staff. PSD staff. This information is reviewed periodically to ensure its usefulness and to avoid unnecessary duplication.

Confidentiality of Information

Personally identifiable information about enrolled children and families will be limited to data that is essential to the assessment, planning, service provision and evaluation of progress made by children and families toward achievement of identified goals.

All PSD staff are the custodians of child, family and employee records and are responsible for ensuring maximum security and confidentiality of all files and information at all times. Only designated staff is permitted access to the child/family information files. Volunteers in the classroom are not allowed access to child/family files or confidential information.

Family and personnel files are established, maintained, and kept confidential at all program levels. Staff is responsible to keep all paper files in a locked cabinet when not in use and electronic files are kept on a secure computer, with staff logging out when not in use.

PSD will not disclose any personally identifiable information without the parent's prior signed and dated written consent. Children's files may only be released to the receiving school when written permission has been given by the parent. Non-County agencies may be granted access to child/family information only upon presentation of a court order.

Use of Computer Technology

PSD utilizes Child Outcome Planning and Administration (COPA) software. COPA is an on-line Internet based application that allows authorized users access to agency data and statistics. Staff at every site has access to the County's network system and/or the Internet allowing staff to view and enter detailed information about program activities from any location.

COPA includes a number of pre-configured graphical reports. Additionally, the query tools

allow data to be displayed in a variety of formats. All outputs from these queries can be printed locally.

Data collection begins at the first contact with the parent and continues throughout the family's involvement in the program. Relevant information is entered into the database to ensure timely management reports are generated.

Transition of Records

Children Transitioning To Kindergarten:

A signed Authorization Release Form from the parent or guardian is required for any records to be transferred to the receiving school district.

1. All signed release forms will be given to the Program Generalist by the teaching staff of children transitioning to kindergarten.
2. Program Generalists will add all eligibility records to the child's file.
3. Teaching staff will place the emergency cards in the child's file after the last day of school and document this on the Services Activity Sheet (SAD) sheet.
4. Teaching staff will remove the child self portraits (first and last) and the Child Development Progress Form(s) from child's file and give to the parent/guardian. The Authorization Release Form (stating which school the child's records will be sent to) will be placed inside the file on top.
5. Teaching staff will place all forms into a manila folder labeled with the child's name (last name first) and sent to the receiving school.

Repeat Students:

Teaching staff maintains children's files in locked file cabinets during the school year. At the end of the school year:

- Teachers will not remove any of the documents from children's files.
- Children's files are accessed by the Generalist to prepare the files for the next school year.
- The Generalist will make a copy of enrollment application and the Document Intake Form (DIF- from the Family Data File on site). The original enrollment application and DIF will remain with the Family Data File and copies will be placed in the closed file.
- The following forms must be updated and re-signed/dated within 120 days of enrollment by the parent or guardian:
 1. Family Services Assessment (FSA)
 2. Nutrition Assessment
 3. Medical History Profile (MHP)

NEW FORMS FOR REPEAT STUDENTS

1. Ages and Stages Questionnaire (ASQ)
2. CACFP form will be obtained from parent/guardian (signed and dated) on the first day of school for CSPP only.

File Closeout:

1. All children's portfolios will be sent home with the child.
2. The child's file will then be placed into a box in alphabetical order by site.
3. A copy of all class lists will be enclosed in the front of box number 1 (The box with children's last names starting with the letter "A").
4. Program Supervisors will collect from each Generalist a "hard copy" and an "electronic" copy (EXCEL format) of every class list for every class at each site in his or her geographical area.
5. All class lists (hard copy and electronic) from each Program Supervisor will be forwarded to the finance team for storage (to support future audits) by July 15th.
6. All boxes containing children's files will be labeled on front, back, and sides.
7. A work order requesting boxes be picked up will be faxed to the Butler Building no later than July 15 and stored in a locked file storage area at the PSD facility maintenance building.

Department Procedures (Note: This procedure applies to Administrative Staff as well):

1. Site Supervisor (or assigned staff) will request boxes, packing tape and labels (see sample of label attached) via work order from Butler Building staff no later than June 30th.

Pickup:

1. The Butler Building Administrative Supervisor will notify Program the Supervisors and Administrative Staff if prior year files are not received by July 15 of each program year.

Storage:

Butler staff will take the boxes to the Butler Building and place the boxes on shelves organized by program year in a secured location.

At the close of each program year the Butler Building Store Specialist will arrange for all files (boxes) which exceed the required retention period of 7 years to be shredded.

The Butler Building Center Clerk will track rotation cycles to ensure all files have been received, properly stored and/or destroyed as applicable.

Records Requests from the Butler Building:

- Record Requestors must make an appointment with the Butler Building Stores Specialist in order to review files at the Butler Building.
- The Butler Building Stores Specialist will provide assistance in locating the necessary records.
- The Record Requestor must complete and place a sign in/out card placeholder in the box in order to remove record(s)/file(s) from the sealed boxes.
- A second sign-out is required if the Requestor is removing files from the Butler Building.
- The Record's Requestor will be responsible for making copies of the necessary documentation, returning files/records and for properly re-sealing the boxes.
- The Butler Building Clerk will ensure a placeholder (box) is maintained for files or boxes of records that have been checked out from the Butler Building.

Please Note: A copy of a signed release from the parent or legal guardian of the child must accompany any request for copies that are removed from the child's file with following exceptions: Authorized auditors and legally authorized subpoenas.

Reporting Systems

Clear guidelines for reporting responsibility and schedule for submission of reports and documentation will be provided to program staff at the beginning of the year, in the annual Program Planning Calendar, Teacher, Generalist and Home Visitor Timelines. Monthly Report forms will specify documentation and information to be sent to managers.

- Center staff will complete Monthly Reports and submit them to the appropriate manager at least monthly.
- Management and administrative staff will gather information from automated data collection, tracking and record keeping systems to be reviewed and analyzed in management team meetings.
- Managers will analyze data from reports and submitted documents, and provide feedback to direct service staff as to the status and/or quality of required activities to ensure timely completion of services for children and families. Managers will forward summarized data in the form of tracking to the Director for review.
- The Director will review data from managers and will provide feedback to managers, utilize data to guide planning efforts, and inform the Grantee Board, Policy Council, and funding sources of program progress.

Regular reporting to funding sources will include financial reports, the annual report and the federal Program Information Report. Information collected in the PIR will be used to inform the public about these programs and to make periodic reports to appropriate parties about the status of children in Head Start programs.