Financial Reports to Policy Council and Board Members

January 23, 2017 – Policy Council Meeting
January 30, 2017 – Board Meeting

FYI - monthly financial reports and program reports are posted on the WKUCCC web site: http://www.wku.edu/ccc click on Reports. Please view new reports following 15th of each month, and let us know if you have any questions/comments on content or design.

Following is a list of the items presented for review and discussion:

FY 2015-16 HEAD START (WKU index 525150-151)

- Pages 1-2: Monthly financial report consolidated OCT-NOV-DEC expenditures complete
- Pages 3-15: Fourth Quarter (AUG-OCT) Interim report Summary of Expenditures, non-Federal; credit card and administrative costs details for WKU and for each delegate, Audubon Area and Murray Head Start - FINAL and Year End FFR 425 REPORTS due on January 31, 2017

FY 2016-17 HEAD START (WKU index 525152-153)

- Pages 16-19: Notice of Grant Award November 1, 2016 04CH4776-03 (third year of five) - Initial Award of 50% of total budget
- Pages 20-23: Monthly financial report NOV-DEC expenditures on track (NOTE: percentages are high because of the partial initial funding)

FY 2016-17 EARLY HEAD START (WKU index 544825-826)

- Pages 24-27: Monthly financial reports OCT-NOV expenditures on track
- Pages 28-29: First Quarter (SEP-NOV) FINAL report Summary of Expenditures, non-federal; credit card and administrative costs details for WKU (NOTE: personnel expenditure percentages are slightly high [27% salary; 28% fringe] as a result of changes in WKU policies on part time staff full fringe benefits, adjustments will have to be made to split some cost to day care funds, resulting in future increase of day care fees to cover costs, or reducing budgets for supplies/other funds to cover personnel for EHS budget)
- Pages 30-31: Monthly financial report DEC expenditures on track

OTHER

CACFP

- Page 32: Summary report of food expenditure and CACFP reimbursements

- ACF-PI-HS-16.05: Background Checks – Extension of compliance Date and Questions (1302.90 regulation included for reference (pages 1-6)
- ACF-PI-HS-17-01 Application of the Uniform Administrative Requirements, Cost Principles and Audit Requirements for HHS Awards (pages 1-2)
- ACF-IM-HS-16-01 Expulsion and Suspension Policy Statement (pages 1-5)

For your Information and Review the following releases have been issued by Administration for Children & Families: for links to these items go to: http://eclkc.ohs.acf.hhs.gov/hslc/resources/news_and_events/whats_new or WKUCCC website to view entire content of large announcements and to keep informed on Head Start happenings.

HEAD START FY 2015-2016

MONTHLY EXPENDITURE REPORT

OCT 1-31, 2016

NOV-DEC 31, 2016

HEAD START - FY: NOVEMBER 1, 2015 - OCTOBER 31, 2016

INDEX NUMBER 525150

YTD Average Percent *100%*

PERSONNEL	BUDGET ALLOCATION	EXPENSES Through 12/31/16	*CREDIT CARD*	% admin	ENCUMBRANCES	BALANCE AVAIL	% *SPENT*	ADMIN COSTS
Admin SAL 61111	$90,477.00	$93,772.00		100%				$93,772
Staff SAL 61111	$259,175.54	$255,880.54						
Staff OT 61130	$1,839.52	$1,839.52						
Part Time SAL 61123	$53,330.32	$53,330.32						
Graduate Asst 61140	$8,500.00	$8,500.00						
CELL PLAN 61180	$720.00	$720.00						
STUDENT 61501	$27,214.74	$27,214.74						
TOTAL PERSONNEL	$441,257.12	$441,257.12			$0.00	$0.00	*100%*	$93,772
FRINGE	$217,702.21	$217,702.21		16.80%		$0.00	*100%*	$36,578
TRAVEL	$3,461.04							
INSTATE 74101		$1,329.27	*$359.82*					
REGISTRATION 74110		$378.00	*$378.00*					
REGISTRATION 74210		$922.20	*$922.00*					
OUT STATE 74201		$831.57	*$358.57*					
TRAVEL 74000	$3,461.04	$3,461.04	*$2,018.39*	5%	$0.00	($0.00)		$173
SUPPLIES	$37,010.25							
Office 71102		$1,817.50	*$1,817.50*	5%				$91
Janitor/Maint. 71103		$4,210.03	*$4,210.03*					$0
Household 71106		$5,703.06	*$5,703.06*					$0
Classroom 71109		$13,624.57	*$13,624.57*					
Food 71120		$10,969.22	*$1,301.35*					
.Grounds 71122		$669.26	*$669.26*					$0
small tools 71117		$16.61	*$16.61*					
TOTAL SUPPLIES	$37,010.25	$37,010.25	*$27,342.38*		$0.00	$0.00	*100%*	$91
SUBCONTRACT 72311	$598,452.00	$598,452.00				$0.00	*100%*	
OTHER	$14,157.74							
Internet 71208		$895.00	*$895.00*					
Phone line serv 71203		$170.99	*$170.99*					
Postage 71310		$74.73	*$0.00*					
software 71501		$1,711.64						$0
Equip mainten<2000 71507		$167.25	*$167.25*					
Equip other<2000 71549		$1,514.01	*$1,514.01*					$0
Hous Auth utilities 71211		$1,676.00		0%				$0
Subscrip/Dues 71801-10		$2,917.75	*$2,383.75*	1%				$29
Subscrip/Dues Data 71811			*$0.00*	0%				$0
Maint. Copy Mach. 72101		$553.21	*$435.92*	1%				$6
Maint. Computer. 72102			*$0.00*	1%				$0
Maint. software 72105		$164.80	*$164.80*	1%				$2
Maint. BLDG 72106			*$0.00*	1%				$0
Maint. Equp 72108			*$0.00*	1%				$0
c.background ch. Stud. 73513		$350.00						
Misc. Accreditation 73514		$640.00	*$640.00*					
Misc. Licensing Fees 73515		$50.00						
Misc.background ch. 73523		$942.00	*$942.00*					
Misc. Other 73949		$138.00						
Fac Mgmt Labor 73901		$123.08						$0.00
Local Phone 73910		$1,206.00		1%				$12.06
LD Phone 73911		$117.08		1%				$1
Printing Serv. 73920		$746.20						$0
TOTAL OTHER	$14,157.74	$14,157.74	*$6,418.72*		$0.00	$0.00	*100%*	$50
CONSULTANTS								
Non Employee not class		$3,700.00						
TEMP SERV 72211		$11,728.64						
Consult 72204/09	17559.64	$2,131.00						
TOTAL CONSULT	$17,559.64	$17,559.64	*$0.00*		$0.00	$0.00	*100%*	
TOTALS	**$1,329,600**	**$1,329,600.00**	*$35,779.49*		**$0.00**	**$0.00**	*100%*	$130,663
INDIRECT	$58,492	$58,492.00		100%		$0.00	*100%*	$58,492
GRAND TOTAL	$1,388,092	$1,388,092.00	*$35,779.49*		$0.00	$0.00	*100%*	$189,155

MONTHLY EXPENDITURE REPORT
OCT 1-31, 2016

HEAD START - FY: NOVEMBER 1, 2015 - OCTOBER 31, 2016

TRAINING PA 20 - Index #525151

YTD Average Percent *100%*

PERSONNEL	BUDGET ALLOCATION	EXPENSES Through 12/31/16	*CREDIT CARD*	% admin	ENCUMBRANCES	BALANCE AVAIL	*% SPENT*	ADMIN COSTS
Staff SAL 61111	$2,663.32	$2,663.32				$0.00		
Staff SAL 61150						$0.00		$0.00
TOTAL PERSONNEL	$2,663.32	$2,663.32			$0.00	$0.00	*100%*	
FRINGE	$902.06	$902.06				$0.00	*100%*	$0.00
TRAVEL	$6,463.13							
INSTATE 74101		$123.20	*$0.00*					
registration instate 74110		$240.00	*$240.00*					
REGISTRATION 74210		$2,345.00	*$2,345.00*					
OUT STATE 74201		$3,754.93	*$3,400.64*					
TRAVEL 74000	$6,463.13	$6,463.13	*$5,985.64*	5%	$0.00	$0.00	*100%*	$323.16
SUPPLIES	$293.17							
Office 71102		$293.17	*$293.17*	5%				$14.66
Janitor/Maint. 71103			*$0.00*					$0.00
Household 71106			*$0.00*					
Classroom 71109			*$0.00*					
Food 71120								
TOTAL SUPPLIES	$293.17	$293.17	*$293.17*		$0.00	$0.00	*100%*	$14.66
SUBCONTRACT 72311	$8,995.00	$8,995.00				$0.00	*100%*	
OTHER	$1,165.32							
Postage 71310			*$0.00*					
Equip. <1,000 71501		$400.00	*$0.00*					
Subscrip/Dues 71801		$150.00	*$0.00*	1%				$1.50
Maint. Copy Mach. 72101		$480.32	*$480.32*	1%				$4.80
Maint. COMP Softw 72105		$135.00	*$135.00*	1%				$1.35
Maint. Equip 72108			*$0.00*	1%				$0.00
Misc. Accreditation 73515			*$0.00*					
Misc. backgrnd 73523			*$0.00*					
Misc. Other 73549								
Printing Serv. 73920				1%				$0.00
charges-Dept 73949								
TOTAL OTHER	$1,165.32	$1,165.32	*$615.32*		$0.00	$0.00	*100%*	$8
CONSULTANTS								
Consult WKU 61160								
72200	325	$325.00						
TOTAL CONSULT	$325.00	$325.00	*$0.00*		$0.00	$0.00		
TOTALS	**$20,807.00**	**$20,807.00**	*$6,894.13*		**$0.00**	**$0.00**		$345
INDIRECT	$0.00					$0.00		$0
GRAND TOTAL	$20,807.00	$20,807.00	*$6,894.13*		$0.00	$0.00	*100%*	$345

TOTAL ADMIN COSTS $189,501

QUARTERLY REPORT

4th QTR 04CH4776	HEAD START 525150, 525151				Reporting Period: 11/1/15 TO 10/31/16		
INTERIM LINE ITEMS	APPROVED BUDGET	YTD EXPENDED	Obligations	PER CENT SPENT	Unobligated	YTD Credit card	YTD Admin cost
Personnel	$441,257	$441,257		100.00%	$0		$ 93,772
Fringe Benefits	$217,702	$217,702		100.00%	$0		$ 36,578
Travel	$3,461	$3,461		100.00%	($0)	$ 2,018	$ 173
Equipment	$0						
Supplies	$37,010	$37,010		100.00%	$0	$ 27,342	$ 91
Contractual	$598,452	$598,452		100.00%	$0		
Other	$14,158	$14,158		100.00%	$0	$ 6,419	$ 50
Consultants	$17,560	$17,560		100.00%	$0		
TOTAL DIRECT	$1,329,600	$1,329,600	$0	100.00%	($0)	$35,779	$ 130,664
Indirect Costs	$58,492	$58,492		100.00%	$0		$ 58,492
TOTAL PA 22	$1,388,092	$1,388,092	$0	100.00%	($0)	$35,779	$189,156
Training							
PA 20 HEAD START					$0		
Personnel/FRG	$3,565	$3,565					
Supplies/Other	$1,458	$1,458				$ 908	$ 22
consultant	$325	$325					
Contractual	$8,995	$8,995					
Travel	$6,463	$6,463				$ 5,986	$ 323
TOTAL PA20	$20,807	$20,807	$0	100.00%	$0	$ 6,894	$ 345
TOTAL AWARD	**$1,408,899**	**$1,408,899**	**$0**		($0)	**$42,674**	**$189,501**
NON FEDERAL						Non Fed Space 5%	$7,886
	Grantee $196,873	$85,516				% Admin WKU	11.7%
	Audubon $54,716	$28,879				Unclaimed Indirect	7954
	Murray $94,500	$79,315				Audubon	$21,251
Total Non Federal	$346,089	$193,710	$0		$152,379	Murray	$31,889
						Total Admin Costs	**$258,481**
TOTAL OUTLAYS	**$1,754,988**	**$1,602,609**	**$0**			**TOTAL % Admin**	**14.7%**

QTRLY NOTES:	Category:
CONTRACTUAL:	all contractual expenditures are for Delegate Agencies (Audubon Area and Murray)
OTHER:	line items include: postage, maintenance, insurance, advertising, dues, fees, telephone and printing
EXPENDITURES:	COMPLETE

NON-FEDERAL TRACKING FORM HEAD START NOVEMBER 1, 2015- OCTOBER 31, 2016

04CH4776 525150-151

											DELEGATES	
										Non Fed Due	AUDUBON	MURRAY
	RATE*	1st QTR	2nd QTR	Mid Year	TOTAL	3rd QTR	4th QTR	Mid Year	TOTAL	**$200,363**	**$55,684**	**$96,178**
Foster Grandparent Hours	$4.06	756	975	1731	$7,027.86	689.5	900	1589.5	$6,453.37			
Parent Hours	$7.85	5.75	4	9.75	$76.54	38.5	17.75	56.25	$441.56			
Community Hours	$7.85	13.75	38.5	52.25	$410.16	10.75	23	33.75	$264.94			
Interns	$17.39			0	$0.00	192	0	192	$3,338.88			
Speech, OT, Graduate Students	$18.88	119.8	139.3	259	$4,889.92	44.5	40	84.5	$1,595.36			
Policy Council	$47.94		4	4	$191.76	4	4	8	$383.52			
Professional/Adv Councils/Comm	$54.68			0	$0.00	15.5	22	37.5	$2,050.50			
TOTAL VOLUNTEERS = $51,032					$12,596.24				$14,528.13	$27,124	$8,270	$4,977

OTHER:		1st Qtr	2nd Qtr			3rd Qtr	4th Qtr					
List Items:		Total	Total		TOTAL	Total	Total		TOTAL			
					$0.00				$0.00			
Indirect cost					$0.00		7954		$7,954.00			
Professional Services											$ 25,538	$ 91,201
Transportation											$ 7,493	
									$0.00			
					$0.00				$0.00			
TOTAL OTHER					$0.00				$7,954.00	$7,954		

SPACE:												
INDOOR/OUTDOOR SQ FT		1st QTR	2nd QTR		TOTAL	3rd QTR	4th QTR		TOTAL			
13,035	12.1	$36,460	$36,460		$72,920	$42,402	$42,402		$84,804			
TOTAL SPACE $157,724					$72,920				$84,804	$157,724	$21,944	
						ADMIN 5% =		$7,886				
										$192,802	**$63,245**	**$96,178**
										$7,561	-$7,561	$0
										BAL DUE		
										TOTAL NFS DUE		$0

Notes:

For Interns/Grad Stud, the value of services provided are for similar services/ed level performed by Teachers as outlined in the program plans.

For Other, verify that donated goods are items that are reasonable and necessary to meet program objectives and meet agency requirements for allowable purchases.

*rates updated 11/1/15

SUBMITTED: Becky Johnson 1/3/2017

P4

AudubonArea
COMMUNITY SERVICES, INC.

WKU Non-Federal Share/In-Kind

Fiscal Year to Date 10/31/16

Account	Account Description	Adopted Budget	Budget Amendments	Amended Budget	Current Month Transactions	YTD Encumbrances	YTD Transactions	Budget - YTD Transactions	% used/ Rec'd
Fund 428 - Western KY University									
REVENUE									
4600.24	Inkind - Total Non Federal Inkind	54,716.00	.00	54,716.00	4,583.18	.00	63,249.97	(8,533.97)	116
	REVENUE TOTALS	$54,716.00	$0.00	$54,716.00	$4,583.18	$0.00	$63,249.97	($8,533.97)	116%
EXPENSE									
4600.13	Inkind-Volunteer Wages	.00	.00	.00	.00	.00	5,327.40 ✓	(5,327.40)	+++
4600.14	Inkind-Services	34,083.00	.00	34,083.00	2,068.75	.00	25,538.23 ?	8,544.77	75
4600.15	Inkind-Indoor Space	16,217.00	.00	16,217.00	1,470.67	.00	17,641.37 ✓	(1,424.37)	109
4600.31	Inkind-Suppplies	.00	.00	.00	.00	.00	4.56	(4.56)	+++
4600.35	Inkind-Utilities	3,185.00	.00	3,185.00	331.42	.00	3,932.62 ✓	(747.62)	123
4600.41	Inkind-Outdoor Space	1,231.00	.00	1,231.00	31.17	.00	369.87 ✓	861.13	30
4600.42	Inkind-Transportation	.00	.00	.00	681.17	.00	7,492.87	(7,492.87)	+++
4600.43	InKind-Professional Volunteer Wages	.00	.00	.00	.00	.00	2,943.05 ✓	(2,943.05)	+++
	EXPENSE TOTALS	$54,716.00	$0.00	$54,716.00	$4,583.18	$0.00	$63,249.97	($8,533.97)	116%

Volunteer - 8270
Prof Services
ed/disabilities = 25,538.23
Space/Int = 21,944
Transp = 7493

P5

655BW

Murray Head Start
Non-Federal Share by Cost Category
2015-2016

Non-Federal	1st Quarter Report-WKU (655BW)							
	Required Match	Previous Balance	Nov-15	Dec-15	Jan-16	Year-to-Date	Remaining Match	
Volunteers	6,081.00	0.00	1,083.40	51.54	505.03	1,639.97	4,441.03	
Space Costs	0.00	0.00	0.00	0.00	0.00	0.00	0.00	
Other In-Kind	90,097.00	0.00	17,207.12	14,475.73	14,359.02	46,041.87	44,055.13	
Total	$96,178.00	0.00					$48,496.16	50.42%

Non-Federal	2nd Quarter/ Semi-Annual Report-WKU (655BW)							
	Required Match	Previous Balance	Feb-16	Mar-16	Apr-16	Year-to-Date	Remaining Match	
Volunteers	6,081.00	1,639.97	444.10	1,061.50	581.32	3,726.89	2,354.11	
Space Costs	0.00	0.00	0.00	0.00	0.00	0.00	0.00	
Other In-Kind	90,097.00	46,041.87	14,663.23	14,275.62	607.16	75,587.88	14,509.12	
Total	$96,178.00	47,681.84					$16,863.23	17.53%

Non-Federal	3rd Quarter Report-WKU (655BW)							
	Required Match	Previous Balance	May-16	Jun-16	Jul-16	Year-to-Date	Remaining Match	
Volunteers	6,081.00	3,726.89	408.40	0.00	0.00	4,135.29	1,945.71	
Space Costs	0.00	0.00	0.00	0.00	0.00	0.00	0.00	
Other In-Kind	90,097.00	75,587.88	14,776.83	0.00	0.00	90,364.71	-267.71	
Total	$96,178.00	79,314.77					$1,678.00	1.74%

Non-Federal	4th Quarter & Final Report-WKU (655BW)							
	Required Match	Previous Balance	Aug-16	Sep-16	Oct-16	Year-to-Date	Remaining Match	
Volunteers	6,081.00	4,135.29	0.00	0.00	841.34	4,976.63	1,104.37	
Space Costs	0.00	0.00	0.00	0.00	0.00	0.00	0.00	
Other In-Kind	90,097.00	90,364.71	0.00	24.54	812.12	91,201.37	-1,104.37	
Total	$96,178.00	94,500.00				96,178.00	$0.00	0.00%

525150-151

WKUCCC HEAD START GRANTEE ADMINISTRATIVE COST REPORT FY 2015-2016

04CH4776

Line Item Description	Actual Expenditure	% Administrative	Federal Administrative	Non-Federal Administrative	Total Administrative
personnel/fringe	$130,350	100%	$130,350		
travel	$9,924	5%	$496		
office supplies	$2,111	5%	$106		
maintenance	$1,333	1%	$13		
telephone	$1,323	1%	$13		
utilities/space		5%	$0	$7,886	
dues	$3,068	1%	$31		
indirect costs	$58,492	100%	$58,492	$7,954	
Total Grantee:			**$189,501**		
Delegates:					
Audubon	$21,251	100%	$21,251		
Murray	$31,889	100%	$31,889		
TOTAL ADMINISTRATIVE			**$242,641**	**$15,840**	**$258,481**

14.7%

		Maximum		
Total Budget	**$1,761,124**	**15%**	**Allowed**	**$264,169**

CACFP DEPOSITS HEAD START 2015 - 2016 = $59,171

AudubonArea
COMMUNITY SERVICES, INC.

Administrative Costs Detail Report

Fiscal Year to Date 10/31/16

Account	Account Description	Adopted Budget	Budget Amendments	Amended Budget	Current Month Transactions	YTD Encumbrances	YTD Transactions	Budget - YTD Transactions
Fund	428 - Western KY							
EXPENSE								
5100.00	Salaries	5,899.00	123.00	6,022.00	318.91	.00	5,609.82	412.18
5101.00	Vacation Salary	.00	.00	.00	5.47	.00	134.33	(134.33)
5120.00	FICA	451.00	9.00	460.00	22.70	.00	391.32	68.68
5121.00	Unemployment	149.00	2.00	151.00	.00	.00	27.07	123.93
5140.00	Dental/Vision	32.00	.00	32.00	1.32	.00	24.84	7.16
5142.00	Health Insurance	450.00	.00	450.00	20.92	.00	342.83	107.17
5143.00	Life Insurance	19.00	.00	19.00	1.01	.00	16.34	2.66
5144.00	Retirement	1,006.00	23.00	1,029.00	49.67	.00	911.07	117.93
5145.00	Workman's	62.00	3.00	65.00	1.47	.00	38.27	26.73
5200.00	Local Travel	.00	.00	.00	2.00	.00	2.35	(2.35)
5200.02	Business Travel	38.00	.00	38.00	38.59	.00	174.88	(136.88)
5220.00	Space Costs	.00	.00	.00	.00	.00	1.00	(1.00)
5260.00	Utilities	.00	.00	.00	141.87	.00	243.45	(243.45)
5280.00	Office Supplies	46.00	.00	46.00	7.16	.00	25.06	20.94
5290.00	Copy Costs	32.00	.00	32.00	19.01	.00	70.59	(38.59)
5291.00	Printing	.00	.00	.00	.00	.00	25.02	(25.02)
5405.12	Supplies, Other	.00	.00	.00	2.02	.00	9.16	(9.16)
5405.14	Supplies, Training	26.00	.00	26.00	15.18	.00	33.96	(7.96)
5424.08	Training, Other	52.00	.00	52.00	15.58	.00	192.11	(140.11)
5437.00	Employee Health &	.00	.00	.00	.00	.00	1.20	(1.20)
5520.04	Internet Services	.00	.00	.00	3.88	.00	3.88	(3.88)
5541.18	Contracts Other	.00	139.00	139.00	26.11	.00	26.11	112.89
5580.00	General Insurancec	965.00	.00	965.00	.00	.00	933.02	31.98
5580.02	Vehicle Insurance	.00	1,074.00	1,074.00	.00	.00	.00	1,074.00
5620.00	Maintenance & Repairs	.00	.00	.00	26.16	.00	196.27	(196.27)
5640.00	Vehicle Operating	.00	.00	.00	5.70	.00	40.70	(40.70)
5670.00	Janitorial & Clng Supp.	.00	.00	.00	.44	.00	59.17	(59.17)
5680.01	Publication/Subscriptio	20.00	80.00	100.00	.00	.00	3.40	96.60
5700.00	Phone Service	.00	.00	.00	3.20	.00	31.10	(31.10)
5720.00	Postage	29.00	.00	29.00	9.56	.00	138.95	(109.95)
5790.00	Indirect Costs	9,174.00	795.00	9,969.00	760.35	.00	9,968.57	.43
5900.00	Depreciation	.00	1,576.00	1,576.00	.00	.00	1,575.60	.40
	EXPENSE TOTALS	$19,415.00	$3,824.00	$22,274.00	$1,498.28	$0.00	$21,251.44	$1,022.56

7.65%

Final 2015-2016

ADMINISTRATIVE COST MONTHLY 655BW

2015-2016	Nov. 15	Dec. 15	Jan. 16	Feb.16	Mar. 16	Apr. 16	May 16	Jun. 16	July 16	Aug. 16	Sept. 16	Oct. 16	Nov. 16	Dec.16	Total	2015-2016
Personnel/Fringe	1,854.96	1,854.96	1,872.97	1,867.18	1,822.09	1,860.61	1,859.00	2,012.45	1,910.77	1,901.69	1,695.37	1,724.71	0.00	0.00	22,236.76	**Personnel/Fringe**
Travel	0.00	16.25	0.00	13.38	8.18	3.84	23.30	10.43	13.87	3.81	721.59	39.49	0.00	0.00	854.14	**Travel**
Supplies	46.81	15.34	6.15	18.92	183.31	115.51	219.85	35.50	410.61	120.92	7.85	21.91	1,181.76	145.74	2,530.18	**Supplies**
Contractual	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	575.35	0.00	0.00	0.00	575.35	**Contractual**
Other	12.27	56.66	29.71	33.50	60.78	38.71	33.60	25.33	40.97	293.58	1,846.92	218.56	156.79	0.00	2,847.38	**Other**
Training	181.39	168.68	11.30	121.19	372.32	307.15	19.91	0.00	104.28	68.81	0.00	250.00	0.00	0.00	1,605.03	**Training**
Non-Federal	127.55	75.85	88.85	64.17	55.59	72.88	282.69	0.00	1.93	119.30	153.30	197.92	0.00	0.00	1,240.03	**Non-Federal**
															Year-to-date	
TOTAL MONTHLY	2,222.98	2,187.74	2,008.98	2,118.34	2,502.27	2,398.70	2,438.35	2,083.71	2,482.43	2,508.11	5,000.38	2,452.59	1,338.55	145.74		**31,888.87**

From Delegate Contract

Federal	384,711.00
Non-Federal	96,178.00
Total Funding	480,889.00

ACTUAL %	6.63%

15% administrative of Total Funding cost would be:

72,133.35 ***Yearly***

6,011.11 ***Monthly***

The purpose of limiting administrative costs to 15%, of a Head Start program, is to ensure that funds expended by the grantee agency are used primarily for the delivery of services and not for excessive administrative costs.

FEDERAL FINANCIAL REPORT

(Follow form instructions)

1. Federal Agency and Organizational Element to Which Report is Submitted	2. Federal Grant or Other Identifying Number Assigned by Federal Agency (To report multiple grants, use FFR Attachment)	Page	of
Western Kentucky University WKUCCC 1790 Normal Drive Bowling Green, KY 42101-1031	04CH4776	1	1 pages

3. Recipient Organization (Name and complete address including Zip code)
Audubon Area Community Services, Inc (Audubon Area Head Start)
1700 WEST 5TH STREET
Owensboro, KY 42301

4a. DUNS Number	4b. EIN	5. Recipient Account Number or Identifying Number (To report multiple grants, use FFR Attachment)	6. Report Type	7. Basis of Accounting
092567346	23-7364935	428 WKU	☐ Quarterly ☐ Semi-Annual X Annual ☐ Final	☐ Cash X Accrual

8. Project/Grant Period From: (Month, Day, Year)	To: (Month, Day, Year)	9. Reporting Period End Date (Month, Day, Year)
11/1/2015	10/31/2016	10/31/2016

10. Transactions	Cumulative
(Use lines a-c for single or multiple grant reporting)	
Federal Cash (To report multiple grants, also use FFR Attachment):	
a. Cash Receipts	
b. Cash Disbursements	
c. Cash on Hand (line a minus b)	
(Use lines d-o for single grant reporting)	
Federal Expenditures and Unobligated Balance:	
d. Total Federal funds authorized	$222,736.00
e. Federal share of expenditures	$222,736.00
f. Federal share of unliquidated obligations	$0.00
g. Total Federal share (sum of lines e and f)	$222,736.00
h. Unobligated balance of Federal funds (line d minus g)	$0.00
Recipient Share:	
i. Total recipient share required	$54,716.00
j. Recipient share of expenditures	$63,249.97
k. Remaining recipient share to be provided (line i minus j)	$0.00
Program Income:	
l. Total Federal program income earned	
m. Program income expended in accordance with the deduction alternative	
n. Program income expended in accordance with the addition alternative	
o. Unexpended program income (line l minus line m or line n)	

11. Indirect Expense	a. Type	b. Rate	c. Period From	Period To	d. Base	e. Amount Charged	f. Federal Share
	PROV	16.00%	7/1/2015	6/30/2017	$61,176.28	$9,968.57	$9,968.57
					$61,176.28	$9,968.57	$9,968.57

12. *Remarks: Attach any explanations deemed necessary or information required by Federal sponsoring agency in compliance with governing legislation:*

13. **Certification: By signing this report, I certify that it is true, complete, and accurate to the best of my knowledge. I am aware that any false, fictitious, or fraudulent information may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001)**

a. Typed or Printed Name and Title of Authorized Certifying Official	c. Telephone (Area code, number and extension)
Rob Jones, Chief Executive Officer	(270) 686-1625
	d. Email address: rjones@audubon-area.com
b. Signature of Authorized Certifying Official	e. Date Report Submitted (Month, Day, Year): 12/9/2016
	14. Agency use only:
	Standard Form 425 OMB Approval Number: 0348-0061 Expiration Date: 10/31/2012

Paperwork Burden Statement
According to the Paperwork Reduction Act, as amended, no persons are required to respond to a collection of information unless it displays a valid OMB Control Number. The valid OMB control number for this information collection is 0348-0061. Public reporting burden for this collection of information is estimated to average 1.5 hours per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0061), Washington, DC 20503.

AudubonArea
COMMUNITY SERVICES, INC.

Summary of Expenditures

Fiscal Year to Date 10/31/2016

	Budget	Current Month	Encumbrances	YTD Transactions	Budget - YTD Transactions	% used/rec'd	Prior Year YTD
Fund **428 - Western KY University**							
Personnel Total	$61,137.00	$4,745.26	$0.00	$61,137.65	($0.65)	100%	$74,031.41
Fringe Benefits Total	$21,797.00	$1,638.06	$0.00	$21,797.25	($0.25)	100%	$27,261.03
Travel Total	1,402.00	672.48	.00	1,402.03	($0.03)	100%	1,483.18
Supplies Total	6,321.00	2,957.59	.00	4,821.53	$1,499.47	76%	23,790.58
Contracts Total	$94,763.00	$31,428.91	$0.00	$104,263.14	($9,500.14)	110%	$69,724.06
Other Total	27,347.00	5,453.50	.00	19,345.83	$8,001.17	71%	10,016.32
Indirect Totals	$9,969.00	$760.35	$0.00	$9,968.57	$0.43	100%	$12,557.42
Total for FY 2016	$222,736.00	$47,656.15	$0.00	$222,736.00	($0.00)	100%	$218,864.00

P11

AudubonArea
COMMUNITY SERVICES, INC.

Credit Card Transation Summary

G/L Date Range 11/01/15 - 10/31/2016

Account	Invoice Amount
Business Travel Total	**$352.28**
Utilities	$342.38
Office Supplies	$251.70
Copy Costs	$2.88
Supplies, Other Program	$96.56
Supplies, Training	$342.59
Classroom Supplies	$63.78
Computer Supplies	$14.08
Janitorial & Clng Supp.	$1.24
Supplies Total	**$1,115.21**
Contracts Total	**$5.69**
Local Travel	$6.92
Employee Health & Welfare	$7.80
Fed & State Regulations	$17.14
Maintenance & Repairs	$81.17
Vehicle Operating	$24.57
Publication/Subscriptions	$54.29
Postage	$80.70
Advertising	$7.11
Fuel	$367.86
Internet Services	$2.02
Parent Training/Literacy	$11.39
Phone Service	$2.00
Policy Council Expense	$5.42
Other Total	**$668.39**
Training, Other	$198.94
CDA Expense	$230.81
Consultants, Training	$2.00
Training Total	**$431.75**
Grand Total	**$2,573.32**

FEDERAL FINANCIAL REPORT

(Follow form instructions)

1. Federal Agency and Organizational Element to Which Report is Submitted	2. Federal Grant or Other Identifying Number Assigned by Federal Agency (To report multiple grants, use FFR Attachment)	Page	of
W.K.U.C.C.C.	04CH4776	1	1 pages

3. Recipient Organization (Name and complete address including Zip code)

Murray Board of Education, 208 S. 13th Street, Murray, KY 42071

4a. DUNS Number	4b. EIN	5. Recipient Account Number or Identifying Number (To report multiple grants, use FFR Attachment)	6. Report Type	7. Basis of Accounting
048039911	61-6001140		☐ Quarterly ☐ Semi-Annual ☐ Annual ■ Final	■ Cash ☐ Accrual

8. Project/Grant Period From: (Month, Day, Year)	To: (Month, Day, Year)	9. Reporting Period End Date (Month, Day, Year)
11/01/2015	10/31/2016	12/15/2016

10. Transactions	Cumulative
(Use lines a-c for single or multiple grant reporting)	
Federal Cash (To report multiple grants, also use FFR Attachment):	
a. Cash Receipts	384,711.00
b. Cash Disbursements	384,711.00
c. Cash on Hand (line a minus b)	0.00
(Use lines d-o for single grant reporting)	
Federal Expenditures and Unobligated Balance:	
d. Total Federal funds authorized	384,711.00
e. Federal share of expenditures	384,711.00
f. Federal share of unliquidated obligations	0.00
g. Total Federal share (sum of lines e and f)	384,711.00
h. Unobligated balance of Federal funds (line d minus g)	0.00
Recipient Share:	
i. Total recipient share required	96,178.00
j. Recipient share of expenditures	96,178.00
k. Remaining recipient share to be provided (line i minus j)	0.00
Program Income:	
l. Total Federal program income earned	
m. Program income expended in accordance with the deduction alternative	
n. Program income expended in accordance with the addition alternative	
o. Unexpended program income (line l minus line m or line n)	

	a. Type	b. Rate	c. Period From	Period To	d. Base	e. Amount Charged	f. Federal Share
11. Indirect Expense							
				g. Totals:			

12. *Remarks: Attach any explanations deemed necessary or information required by Federal sponsoring agency in compliance with governing legislation:*
Administrative Costs: 31,889 USDA Costs: (Partners are in charge of USDA)

13. Certification: By signing this report, I certify that it is true, complete, and accurate to the best of my knowledge. I am aware that any false, fictitious, or fraudulent information may subject me to criminal, civil, or administrative penalities. (U.S. Code, Title 18, Section 1001)

a. Typed or Printed Name and Title of Authorized Certifying Official	c. Telephone (Area code, number and extension)
Bob Rogers, Superintendent	(270) 753-4363
	d. Email address: bob.rogers@murray.kyschools.us
b. Signature of Authorized Certifying Official: Bob Rogers	e. Date Report Submitted (Month, Day, Year): 01/03/2017
	14. Agency use only:

Standard Form 425
OMB Approval Number: 0348-0061
Expiration Date: 10/31/2011

Paperwork Burden Statement
According to the Paperwork Reduction Act, as amended, no persons are required to respond to a collection of information unless it displays a valid OMB Control Number. The valid OMB control number for this information collection is 0348-0061. Public reporting burden for this collection of information is estimated to average 1.5 hours per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0060), Washington, DC 20503.

FEDERAL

% Unspent	OBJECT DESCRIPTION	Allocation	FUNDING	PREV. EXP.	MONTH	Y-T-D	BALANCE	
3.70%	PERSONNEL	$105,916						
	Personnel		105,916	101,998.06	0.00	101,998.06	3,917.94	
	Subtotal		$105,916.00	$101,998.06	$0.00	$101,998.06	$3,917.94	
4.32%	FRINGE	$49,034						
	Fringe		49,034	46,916.72	0.00	46,916.72	2,117.28	
	Subtotal		$49,034.00	$46,916.72	$0.00	$46,916.72	$2,117.28	
11.04%	TRAVEL	$550						
	Travel, Out-of-Area		$550.00	$489.28	$0.00	$489.28	$60.72	
0.00%	EQUIPMENT	$0						
	Equipment		$0.00	$0.00	$0.00	$0.00	$0.00	
-49.81%	SUPPLIES	$14,549						
	Environmental Health/Safety		200	0.00	0.00	0.00	200.00	
	Family Services		1,000	2,694.67	0.00	2,694.67	(1,694.67)	
	Technology							
	Administrative		1,500	1,442.41	0.00	1,442.41	57.59	
	Education		870	629.27	0.00	629.27	240.73	
	Family Services		2,200	2,526.89	0.00	2,526.89	(326.89)	
	Classroom							
	Teacher Accounts		4,000	3,676.23	0.00	3,676.23	323.77	
	Education Account		1,079	6,206.54	0.00	6,206.54	(5,127.54)	
	Disabilities		1,000	611.44	0.00	611.44	388.56	
	Office		1,300	2,726.62	0.00	2,726.62	(1,426.62)	
	Medical/Dental		1,400	1,281.16	0.00	1,281.16	118.84	
	Subtotal		$14,549.00	$21,795.23	$0.00	$21,795.23	-$7,246.23	
0.04%	CONTRACTUAL	$194,238						
	Audit		660	575.35	0.00	575.35	84.65	
	Other Contractual							
	Marshall County		58,073	65,561.81	0.00	65,561.81	(7,488.81)	
	Mayfield Independent		77,432	63,544.68	0.00	63,544.68	13,887.32	
	McCracken County		58,073	65,579.30	0.00	65,579.30	(7,506.30)	
	Subtotal		$194,238.00	$195,261.14	$0.00	$195,261.14	-$1,023.14	
14.28%	OTHER	$15,220						
	Children's Food		700	700.11	0.00	700.11	(0.11)	
	In-Area Travel		800	619.06	0.00	619.06	180.94	
	Vehicle Insurance		1,650	1,821.42	0.00	1,821.42	(171.42)	
	Vehicle Operating Expense		1,500	650.22	0.00	650.22	849.78	
	Occupancy		1,000	1,772.14	0.00	1,772.14	(772.14)	
	Child Liability Insurance		550	335.00	0.00	335.00	215.00	
	Publications/Adv./Printing		500	2,326.44	0.00	2,326.44	(1,826.44)	
	Medical/Dental		2,216	2,134.37	0.00	2,134.37	81.63	
	Mental Health		1,513	1,195.00	0.00	1,195.00	318.00	
	Miscellaneous		470	0.00	0.00	0.00	470.00	
	Parent Services		2,239	438.69	0.00	438.69	1,800.31	
	Special Projects		532	384.11	0.00	384.11	147.89	
	Parent Activity Fund		670	670.01	0.00	670.01	(0.01)	
	Payroll/Accounting		880	0.00	0.00	0.00	880.00	
	Subtotal		$15,220.00	$13,046.57	$0.00	$13,046.57	$2,173.43	
0.00%	PA22 TOTAL	$379,507	$379,507.00	$379,507.00	$0.00	$379,507.00	$0.00	PA22
	T&TA		5,204	5,204.00	0.00	5,204.00	0.00	
0.00%	PA20 TOTAL	$5,204	$5,204.00	$5,204.00	$0.00	$5,204.00	$0.00	PA20
0.00%	*655BW FINAL 2016*	$384,711	384,711	384,711.00	*$0.00*	384,711.00	0.00	

Gas Credit Card

SHEEL FLEET CREDIT CARD REPORT- (November 1, 2015 thru October 30, 2016)

Payment Date	Purchaser	Destination	Purpose	*Amount	Description	Check Number
11/17/15	Head Start Central Office Staff	Site Visits	In-Area-Travel	32.50	Fuel	47760
12/14/15	Head Start Central Office Staff	Site Visits	In-Area-Travel	54.08	Fuel	47736
01/15/16	Head Start Central Office Staff	Site Visits	In-Area-Travel	17.44	Fuel	47849
02/16/16	Head Start Central Office Staff	Site Visits	In-Area-Travel	26.26	Fuel	47945
03/14/16	Head Start Central Office Staff	Site Visits	In-Area-Travel	24.13	Fuel	48051
04/25/16	Head Start Central Office Staff	Site Visits	In-Area-Travel	57.03	Fuel	48217
05/25/16	Head Start Central Office Staff	Site Visits	In-Area-Travel	54.89	Fuel	48349
06/22/16	Head Start Central Office Staff	Site Visits	In-Area-Travel	56.75	Fuel	48469
07/26/16	Head Start Central Office Staff	Site Visits	In-Area-Travel	23.73	Fuel	48556
08/30/16	Head Start Central Office Staff	Site Visits	In-Area-Travel	33.13	Fuel	48720
09/23/16	Head Start Central Office Staff	Site Visits	In-Area-Travel	43.18	Fuel	48831
11/02/16	Head Start Central Office Staff	Site Visits	In-Area-Travel	63.14	Fuel	49024
			TOTAL	486.26		

**Cost-factored amount of charge ticket*

Travel/Training Credit Card

PLATINUM PLUS BUSINESS CREDIT CARD REPORT- (November 1, 2015 thru October 30, 2016)

Payment Date	Approved for	Destination	Purpose	*Amount	Check Number
12/04/15	C. GRAVES/D. MARTIN	ATLANTA, GA	REGION IV ANNUAL CONFERENCE, LODGING	37.34	47695
01/27/16	D. STEINER/K. STEWART	WASHINGTON, DC	NHSA WINTER LEADERSHIP CONFERENCE, SHUTTLE	5.50	47847
01/27/16	D. STEINER/K. STEWART	WASHINGTON, DC	NHSA WINTER LEADERSHIP CONFERENCE, AIRLINE TICKET	73.03	47846
02/03/16	C. GRAVES/D. MARTIN	ATLANTA, GA	REGION IV ANNUAL CONFERENCE, REGISTRATION	52.80	47886
02/18/16	C GRAVES	ATLANTA, GA	REGION IV CONFERENCE, HOTEL	40.97	47939
02/18/16	D. MARTIN	ATLANTA, GA	REGION IV CONFERENCE, HOTEL	37.34	47938
02/18/16	D. STEINER/K. STEWART	WASHINGTON, DC	NHSA LEADERSHIP TRAINING, PARKING IN NASHVILLE	4.95	47940
02/18/16	D. STEINER/K. STEWART	WASHINGTON, DC	NHSA LEADERSHIP TRAINING, HOTEL	207.82	47941
03/15/16	C. GRAVES/D. MARTIN	N/A	WEBINAR, GEARING UP FOR THE GRANT	4.40	48048
03/28/16	C. GRAVES	ATLANTA, GA	REGION IV LEADERSHIP CONFERENCE, HOTEL DEPOSIT	18.67	48089
04/13/16	C. GRAVES	NASHVILLE, TN	GRANT WRITING CLASS, LODGING	33.50	48146
04/28/16	C. GRAVES	MINNEAPOLIS, MN	2016 LEADERSHIP ACADEMY, AIRLINE SUPER SHUTTLE	3.08	48215
04/28/16	C. GRAVES	MINNEAPOLIS, MN	2016 LEADERSHIP ACADEMY, AIRLINE AIRLINE TICKETS	90.17	48214
04/28/16	C. GRAVES	MINNEAPOLIS, MN	2016 LEADERSHIP ACADEMY, REGISTRATION	27.50	48213
05/25/16	HEAD START STAFF	NASHVILLE, TN	NATIONAL HEAD START ANNUAL CONFERENCE, PARKING	35.29	48343
07/14/16	D. STEINER	N/A	CDA BOOKS	140.00	48511
07/14/16	C. GRAVES	MINNEAPOLIS, MN	NHSA LEADERSHIP ACADEMY, LODGING	104.28	48513
08/18/16	H. NEWSOME	NASHVILLE, TN	HUMAN RESOURCES ACADEMY, HOTEL	52.42	48652
09/14/16	ADMINSTRATIVE STAFF	WASHINGTON, DC	2016 FALL LEADERSHIP INSTITUTE, AIRLINE TICKETS	721.59	48776
10/13/16	T. PICKETT	ATLANTA, GA	CHILD PLUS USER GROUP, LODGING	30.67	48889
10/13/20136	D. MARTIN, C. WILLIAMS	LEXINGTON, KY	REGION IV ERSEA INSTITUTE, LODGING	43.34	48889
				1,764.66	Total

**Cost-factored amount of total*

FY 2016- 17 HEAD START

SAI NUMBER:

PMS DOCUMENT NUMBER:

DEPARTMENT OF HEALTH AND HUMAN SERVICES
ADMINISTRATION FOR CHILDREN AND FAMILIES
NOTICE OF AWARD

1. AWARDING OFFICE:	2. ASSISTANCE TYPE:	3. AWARD NO.:	4. AMEND. NO.
Office of Head Start	Discretionary Grant	04CH4776-03-00	0

5. TYPE OF AWARD:	6. TYPE OF ACTION:	7. AWARD AUTHORITY:
Service	Non-Competing Continuation	42 USC 9801 ET SEQ.

8. BUDGET PERIOD:	9. PROJECT PERIOD:	10. CAT NO.:
11/01/2016 THRU 10/31/2017	11/01/2014 THRU 10/31/2019	93.600

11. RECIPIENT ORGANIZATION:
WESTERN KENTUCKY UNIVERSITY
1906 College Heights Blvd
Bowling Green, KY 42101-1000
Grantee Authorizing Official: Laura Hagan1 , Chairman, WKURF Board

12. PROJECT / PROGRAM TITLE:
Head Start

13. COUNTY:	14. CONGR. DIST:	15. PRINCIPAL INVESTIGATOR OR PROGRAM DIRECTOR:
Warren	02	Thelma Jackson

16. APPROVED BUDGET:

Personnel	$	214,990.50
Fringe Benefits	$	128,156.50
Travel	$	3,250.00
Equipment	$	0.00
Supplies	$	13,800.00
Contractual	$	303,724.00
Facilities/Construction	$	0.00
Other	$	11,283.00
Direct Costs	$	675,204.00
Indirect Costs At % of $	$	29,246.00
In Kind Contributions	$	0.00
Total Approved Budget	$	704,450.00

17. AWARD COMPUTATION:

A. NON-FEDERAL SHARE	$	176,113.00	20%
B. FEDERAL SHARE	$	704,450.00	80%

18. FEDERAL SHARE COMPUTATION:

A. TOTAL FEDERAL SHARE	$	704,450.00
B. UNOBLIGATED BALANCE FEDERAL SHARE	$	0.00
C. FED. SHARE AWARDED THIS BUDGET PERIOD	$	0.00

19. AMOUNT AWARDED THIS ACTION:	$	704,450.00
20. FEDERAL $ AWARDED THIS PROJECT PERIOD:	$	3,497,704.00

21. AUTHORIZED TREATMENT OF PROGRAM INCOME:
Additional Costs

22. APPLICANT EIN:	23. PAYEE EIN:	24. OBJECT CLASS:
616055628	1616055628A1	41.51

25. FINANCIAL INFORMATION: DUNS 077876258

ORGN	DOCUMENT NO.	APPROPRIATION	CAN NO.	NEW AMT.	UNOBLIG.	NONFED %
	04CH477603	75-17-1536	7-G044122	$694,046.00		
	04CH477603	75-17-1536	7-G044120	$10,404.00		

26. REMARKS: (Continued on separate sheets)

27. SIGNATURE - ACF GRANTS OFFICER	DATE:	28. SIGNATURE(S) CERTIFYING FUND AVAILABILITY	
Ms. Cheryl Pressley	10/31/2016	Mr. Omar Barrett	10/27/2016

29. SIGNATURE AND TITLE - PROGRAM OFFICIAL(S)	DATE:
Captain Robert Bialas - Regional Program Manager	10/31/2016

DGCM-3-785 (Rev. 86)

DEPARTMENT OF HEALTH AND HUMAN SERVICES
ADMINISTRATION FOR CHILDREN AND FAMILIES
NOTICE OF AWARD

SAI NUMBER:

PMS DOCUMENT NUMBER:

1. AWARDING OFFICE:	2. ASSISTANCE TYPE:	3. AWARD NO.:	4. AMEND. NO.
Office of Head Start	Discretionary Grant	04CH4776-03-00	0

5. TYPE OF AWARD:	6. TYPE OF ACTION:	7. AWARD AUTHORITY:
Service	Non-Competing Continuation	42 USC 9801 ET SEQ.

8. BUDGET PERIOD:	9. PROJECT PERIOD:	10. CAT NO.:
11/01/2016 THRU 10/31/2017	11/01/2014 THRU 10/31/2019	93.600

11. RECIPIENT ORGANIZATION:

WESTERN KENTUCKY UNIVERSITY

STANDARD TERMS

1. Paid by DHHS Payment Management System (PMS), see attached for payment information.This award is subject to the requirements of the HHS Grants Policy Statement (HHS GPS) thatare applicable to you based on your recipient type and the purpose of this award.

   This includes requirements in Parts I and II (available at http://www.hhs.gov/grants/grants/policies-regulations/index.html of the HHS GPS. Although consistent with the HHS GPS, any applicable statutory or regulatory requirements, including 45 CFR Part 75, directly apply to this award apart from any coverage in the HHS GPS.This award is subject to requirements or limitations in any applicable Appropriations Act.This award is subject to the requirements of Section 106 (g) of the trafficking VictimsProtection Act of 2000, as amended (22 U.S.C. 7104).For the full text of the award term, go to http://www.acf.hhs.gov/discretionary-post-award-requirements.
   This award is subject to the Federal Financial Accountability and Transparency Act (FFATA or Transparency) of 2006 subaward and executive compensation reporting requirements.For the full text of the award term, go to http://www.acf.hhs.gov/discretionary-post-award-requirements.This award is subject to requirements as set forth in 2 CFR 25.110 Central Contractor Registration (CCR) and DATA Universal Number System (DUNS). For full text go to http://www.acf.hhs.gov/discretionary-post-award-requirements.

   Consistent with 45 CFR 75.113, applicants and recipients must disclose in a timely manner, in writing to the HHS awarding agency, with a copy to the HHS Office of Inspector General (OIG), all information related to violations of federal criminal law involving fraud, bribery, or gratuityviolations potentially affecting the federal award. Subrecipients must disclose, in a timelymanner, in writing to the prime recipient (pass through entity) and the HHS OIG, all information related to violations of federal criminal law involving fraud, bribery, or gratuity violationspotentially affecting the federal award. Disclosures must be sent in writing to the awarding agency and to the HHS OIG at the following addresses:
   The Administration for Children for Children and FamiliesU.S. Department of Health and Human ServicesOffice of Grants ManagementATTN: Grants Management Specialist330 C Street, SW., Switzer Building Corridor 3200 Washington, DC 20201 AND
   U.S. Department of Health and Human ServicesOffice of Inspector GeneralATTN: Mandatory Grant Disclosures, Intake Coordinator330 Independence Avenue, SW, Cohen BuildingRoom 5527Washington, DC 20201Fax: (202) 205-0604 (Include "Mandatory Grant Disclosures" in subject line) or Email: MandatoryGranteeDisclosures@oig.hhs.gov
   Failure to make required disclosures can result in any of the remedies described in 45 CFR75.371 Remedies for noncompliance, including suspension or debarment (See 2 CFR parts 180& 376 and 31 U.S.C. 3321).

   This award is subject to the requirements as set forth in 45 CFR Part 87. This award is subject to HHS regulations codified at 45 CFR Chapter XIII, Parts 1301, 1302, 1303, 1304 and 1305. Attached are terms and conditions, reporting requirements, and payment instructions. Initial expenditure of funds by the grantee constitutes acceptance of this award.

26. REMARKS (Continued from previous page)

This grant action awards partial funds for the 11/01/2016-10/31/2017 budget period. The projected annual funding level for Head Start operations in Fiscal Year (FY) 2017 is $1,388,092, and the projected training and technical assistance allocation is $20,807. The balance of the funds will be awarded when available, subject to the final appropriation for the Head Start program for FY 2017.

Federal Head Start population: 178 children.
State Head Start population: 0 children.
Designated Head Start service area: Graves County (Mayfield), Marshall County, and McCracken County; Daviess; Warren, Davies, Graves, McCracken, Marshall counties Kentucky.
Approved program options: Center-based.

This grant is subject to the requirements for contribution of the non-federal match and approval of key staff, the limitations on development and administrative costs and employee compensation, and prior written approval for the purchase of equipment and other capital expenditures and the purchase, construction and major renovation of facilities as specified in Attachment 1.

Attachment 1

Award Number: 04CH4776/03

Recipient Organization: WESTERN KENTUCKY UNIVERSITY

This grant is subject to Section 640(b) of the Head Start Act and 45 C.F.R. § 1303.4 requiring a non-federal match of 20 percent of the total cost of the program. This grant is also subject to the requirements in Section 644(b) of the Head Start Act and 45 C.F.R. § 1303.5 limiting development and administrative costs to a maximum of 15 percent of the total costs of the program, including the non-federal match contribution of such costs. The requirements for a non-federal match of 20 percent and the limitation of 15 percent for development and administrative costs apply to the 11/01/2016-10/31/2017 budget period unless a waiver is approved. Any request for a waiver of the non-federal match, or a portion thereof, that meets the conditions under Section 640(b)(1)-(5) of the Head Start Act and 45 C.F.R. § 1303.4 or a waiver of the limitation on development and administrative costs that meets the conditions under 45 C.F.R. § 1303.5 must be submitted in advance of the end of the budget period. Any waiver request submitted after the expiration of the project period will not be considered.

The HHS Uniform Administrative Requirements (see 45 C.F.R. § 75.308(c)(2)) provide the authority to ACF to approve key staff of Head Start grantees. For the purposes of this grant, key staff is defined as the Head Start Director or person carrying out the duties of the Head Start Director if not under that title and the Chief Executive Officer, Executive Director and/or Chief Fiscal Officer if any of those positions is funded, either directly or through indirect cost recovery, more than 50 percent with Head Start funds.

Section 653 of the Head Start Act prohibits the use of any federal funds, including Head Start grant funds, to pay any portion of the compensation of an individual employed by a Head Start agency if that individual's compensation exceeds the rate payable for Level II of the Executive Schedule.

Prior written approval must be obtained for the purchase of equipment and other capital expenditures as described in 45 C.F.R. § 75.439(a). Prior written approval must also be obtained under 45 C.F.R. § 75.439(b)(3) and 45 C.F.R. Part 1303 Subpart E – Facilities to use Head Start grant funds for the initial or ongoing purchase, construction and major renovation of facilities. No Head Start grant funds may be used toward the payment of one-time expenses, principal and interest for the acquisition, construction or major renovation of a facility without prior written approval of the Administration for Children and Families.

MONTHLY EXPENDITURE REPORT
NOV 1-30, 2016

HEAD START - FY: NOVEMBER 1, 2016 - OCTOBER 31, 2017

INDEX NUMBER 525152

YTD Average Percent 8%

PERSONNEL	BUDGET ALLOCATION	EXPENSES Through 11/30/16	*CREDIT CARD*	% admin	ENCUMBRANCES	BALANCE AVAIL	% *SPENT*	ADMIN COSTS
Admin SAL 61111	$33,666.00	$5,611.00		100%				$5,611
Staff SAL 61111	$149,255.00	$23,075.13						
Part Time SAL 61123	$24,583.00	$1,653.75						
Staff OT 61130	$998.00	$63.23						
Graduate Asst 61140	$2,500.00							
CELL PLAN 61180	$360.00	$60.00						
STUDENT 61501	$3,988.00	$471.25						
TOTAL PERSONNEL	$215,350.00	$30,934.36			$0.00	$184,415.64	*14%*	$5,611
FRINGE	$128,457.00	$17,855.12		24.06%		$110,601.88	*14%*	$4,296
TRAVEL	$750.00							
INSTATE 74101			*$0.00*					
REGISTRATION 74110			*$0.00*					
REGISTRATION 74210			*$0.00*					
OUT STATE 74201			*$0.00*					
TRAVEL 74000	$750.00	$0.00	*$0.00*	4%	$0.00	$750.00		$0
SUPPLIES	$11,200.00							
Office 71102			*$0.00*	5%				$0
Janitor/Maint. 71103			*$0.00*	1%				$0
Household 71106			*$0.00*	5%				$0
Classroom 71109			*$0.00*					
Food 71120			*$0.00*					
Grounds 71122			*$0.00*	5%				$0
small tools 71117			*$0.00*					
TOTAL SUPPLIES	$11,200.00	$0.00	*$0.00*		$0.00	$11,200.00	*0%*	$0
SUBCONTRACT 72311	$299,226.00					$299,226.00	*0%*	
OTHER	$6,617.00							
Internet 71208			*$0.00*					
Phone line serv 71203			*$0.00*					
Postage 71310			*$0.00*					
Insurance Non-emp 71401		$3,000.57		0%				$0
Equip mainten<2000 71507			*$0.00*					
Equip other<2000 71549			*$0.00*	1%				$0
Hous Auth utilities 71211				0%				$0
Subscrip/Dues 71801-10			*$0.00*					
Subscrip/Dues Data 71811			*$0.00*	0%				$0
Maint. Copy Mach. 72101			*$0.00*	1%				$0
Maint. Computer. 72102			*$0.00*	1%				$0
Maint. software 72105			*$0.00*	1%				$0
Maint. BLDG 72106			*$0.00*	1%				$0
Maint. Equp 72108			*$0.00*	1%				$0
c.background ch. Stud. 73513								
Misc. Accreditation 73514			*$0.00*					
Misc. Licensing Fees 73515								
Misc.background ch. 73523			*$0.00*					
Misc. Other 73949								
Fac Mgmt Labor 73901				1%				$0.00
Local Phone 73910				1%				$0.00
LD Phone 73911				1%				$0
Printing Serv. 73920								
Building Impr. 78304	2200			1%				$0
TOTAL OTHER	$8,817.00	$3,000.57	*$0.00*		$0.00	$5,816.43	*34%*	$0
CONSULTANTS								
Consult WKU 61160	500							
Consult 72204/09	500							
TOTAL CONSULT	$1,000.00	$0.00	*$0.00*		$0.00	$1,000.00	*0%*	
TOTALS	**$664,800**	**$51,790.05**	*$0.00*		**$0.00**	**$613,009.95**	*8%*	$9,907
INDIRECT	$29,246	$4,143.21		100%		$25,102.79	*14%*	$4,143
GRAND TOTAL	$694,046	$55,933.26	*$0.00*		$0.00	$638,112.74	*8%*	$14,050

MONTHLY EXPENDITURE REPORT
NOV 1-30, 2016

HEAD START - FY: NOVEMBER 1, 2016 - OCTOBER 31, 2017

TRAINING PA 20 - Index #525153

YTD Average Percent *8%*

PERSONNEL	BUDGET ALLOCATION	EXPENSES Through 11/30/16	*CREDIT CARD*	% admin	ENCUMBRANCES	BALANCE AVAIL	% *SPENT*	ADMIN COSTS
Staff SAL 61111	$1,848.00	$353.60				$1,494.40		
Staff SAL 61150						$0.00		$0.00
TOTAL PERSONNEL	$1,848.00	$353.60			$0.00	$1,494.40	*19%*	
FRINGE	$577.00	$116.16				$460.84	*20%*	$0.00
TRAVEL	$2,500.00							
INSTATE 74101			*$0.00*					
registration instate 74110			*$0.00*					
REGISTRATION 74210			*$0.00*					
OUT STATE 74201			*$0.00*					
TRAVEL 74000	$2,500.00	$0.00	*$0.00*	4%	$0.00	$2,500.00	*0%*	$0.00
SUPPLIES	$300.00							
Office 71102			*$0.00*	5%				$0.00
Janitor/Maint. 71103			*$0.00*	0%				$0.00
Household 71106			*$0.00*					
Classroom 71109			*$0.00*					
Food 71120								
TOTAL SUPPLIES	$300.00	$0.00	*$0.00*		$0.00	$300.00	*0%*	$0.00
SUBCONTRACT 72311	$4,498.00				$2,961.28	$1,536.72	*0%*	
OTHER	$681.00							
Postage 71310			*$0.00*					
Equip. <1,000 71501			*$0.00*					
Subscrip/Dues 71801			*$0.00*	1%				
Maint. Copy Mach. 72101			*$0.00*	1%				$0.00
Maint. COMP Softw 72105			*$0.00*	1%				$0.00
Maint. Equip 72108			*$0.00*	1%				$0.00
Misc. Accreditation 73515			*$0.00*					
Misc. backgrnd 73523			*$0.00*					
Misc. Other 73549								
Printing Serv. 73920				1%				$0.00
charges-Dept 73949								
TOTAL OTHER	$681.00	$0.00	*$0.00*		$0.00	$681.00	*0%*	$0
CONSULTANTS								
Consult WKU 61160								
72200		$0.00						
TOTAL CONSULT	$0.00	$0.00	*$0.00*		$0.00	$0.00		
TOTALS	**$10,404.00**	**$469.76**	*$0.00*		**$2,961.28**	**$6,972.96**		$0
INDIRECT	$0.00					$0.00		$0
GRAND TOTAL	$10,404.00	$469.76	*$0.00*		$2,961.28	$6,972.96	*33%*	$0

MONTHLY EXPENDITURE REPORT
DEC 1-31, 2016

HEAD START - FY: NOVEMBER 1, 2016 - OCTOBER 31, 2017

INDEX NUMBER 525152 *YTD Average Percent* *17%*

PERSONNEL	BUDGET ALLOCATION	EXPENSES Through 12/31/16	*CREDIT CARD*	% admin	ENCUMBRANCES	BALANCE AVAIL	% *SPENT*	ADMIN COSTS
Admin SAL 61111	$33,666.00	$11,222.00		100%				$11,222
Staff SAL 61111	$149,255.00	$47,582.11						
Part Time SAL 61123	$24,583.00	$5,328.75						
Staff OT 61130	$998.00	$182.66						
Graduate Asst 61140	$2,500.00	$2,500.00						
CELL PLAN 61180	$360.00	$120.00						
STUDENT 61501	$3,988.00	$1,522.50						
TOTAL PERSONNEL	$215,350.00	$68,458.02			$0.00	$146,891.98	*32%*	$11,222
FRINGE	$128,457.00	$39,916.77		24.06%		$88,540.23	*31%*	$9,604
TRAVEL	$750.00							
INSTATE 74101			*$0.00*					
REGISTRATION 74110			*$0.00*					
REGISTRATION 74210			*$0.00*					
OUT STATE 74201			*$0.00*					
TRAVEL 74000	$750.00	$0.00	*$0.00*	4%	$0.00	$750.00		$0
SUPPLIES	$11,200.00							
Office 71102			*$0.00*	5%				$0
Janitor/Maint. 71103		$353.66	*$353.66*	1%				$4
Household 71106		$14.00	*$14.00*	5%				$1
Classroom 71109		$36.30	*$36.30*					
Food 71120		$68.75	*$0.00*					
Grounds 71122		$256.37	*$256.37*	5%				$13
small tools 71117			*$0.00*					
TOTAL SUPPLIES	$11,200.00	$729.08	*$660.33*		$0.00	$10,470.92	*7%*	$17
SUBCONTRACT 72311	$299,226.00	$28,440.83			$270,785.17	$0.00	*10%*	
OTHER	$6,617.00							
Internet 71208		$80.00	*$80.00*					
Phone line serv 71203		$45.31	*$45.31*					
Postage 71310		$15.51	*$0.00*					
Insurance Non-emp 71401		$3,000.57		0%				$0
Equip mainten<2000 71507			*$0.00*					
Equip other<2000 71549			*$0.00*	1%				$0
Hous Auth utilities 71211				0%				$0
Subscrip/Dues 71801-10			*$0.00*					
Subscrip/Dues Data 71811			*$0.00*	0%				$0
Maint. Copy Mach. 72101			*$0.00*	1%				$0
Maint. Computer. 72102			*$0.00*	1%				$0
Maint. software 72105			*$0.00*	1%				$0
Maint. BLDG 72106			*$0.00*	1%				$0
Maint. Equp 72108			*$0.00*	1%				$0
c.background ch. Stud. 73513		$42.00	*$42.00*					
Misc. Accreditation 73514			*$0.00*					
Misc. Licensing Fees 73515								
Misc.background ch. 73523		$22.00	*$22.00*					
Misc. Other 73949								
Fac Mgmt Labor 73901				1%				$0.00
Local Phone 73910				1%				$0.00
LD Phone 73911				1%				$0
Printing Serv. 73920		$53.40						
Building Impr. 78304	2200			1%				$0
TOTAL OTHER	$8,817.00	$3,258.79	*$109.31*		$0.00	$5,558.21	*37%*	$0
CONSULTANTS								
Consult WKU 61160	500							
Consult 72204/09	500	$450.00						
TOTAL CONSULT	$1,000.00	$450.00	*$0.00*		$0.00	$550.00	*45%*	
TOTALS	**$664,800**	**$141,253.49**	***$769.64***		**$270,785.17**	**$252,761.34**	*62%*	**$20,843**
INDIRECT	$29,246	$9,025.01		100%		$20,220.99	*31%*	$9,025
GRAND TOTAL	$694,046	$150,278.50	*$769.64*		$270,785.17	$272,982.33	*61%*	$29,868

MONTHLY EXPENDITURE REPORT
DEC 1-31, 2016

HEAD START - FY: NOVEMBER 1, 2016 - OCTOBER 31, 2017

TRAINING PA 20 - Index #525153

YTD Average Percent *17%*

PERSONNEL	BUDGET ALLOCATION	EXPENSES Through 12/31/16	*CREDIT CARD*	% admin	ENCUMBRANCES	BALANCE AVAIL	% *SPENT*	ADMIN COSTS
Staff SAL 61111	$1,848.00	$707.20				$1,140.80		
Staff SAL 61150						$0.00		$0.00
TOTAL PERSONNEL	$1,848.00	$707.20			$0.00	$1,140.80	*38%*	
FRINGE	$577.00	$232.32				$344.68	*40%*	$0.00
TRAVEL	$2,500.00							
INSTATE 74101		$153.89	*$153.89*					
registration instate 74110			*$0.00*					
REGISTRATION 74210			*$0.00*					
OUT STATE 74201			*$0.00*					
TRAVEL 74000	$2,500.00	$153.89	*$153.89*	4%	$0.00	$2,346.11	*6%*	$6.16
SUPPLIES	$300.00							
Office 71102			*$0.00*	5%				$0.00
Janitor/Maint. 71103			*$0.00*	0%				$0.00
Household 71106			*$0.00*					
Classroom 71109			*$0.00*					
Food 71120								
TOTAL SUPPLIES	$300.00	$0.00	*$0.00*		$0.00	$300.00	*0%*	$0.00
SUBCONTRACT 72311	$4,498.00	$162.47			$4,335.53	$0.00	*4%*	
OTHER	$681.00							
Postage 71310			*$0.00*					
Equip. <1,000 71501			*$0.00*					
Subscrip/Dues 71801			*$0.00*	1%				
Maint. Copy Mach. 72101			*$0.00*	1%				$0.00
Maint. COMP Softw 72105			*$0.00*	1%				$0.00
Maint. Equip 72108			*$0.00*	1%				$0.00
Misc. Accreditation 73515			*$0.00*					
Misc. backgrnd 73523			*$0.00*					
Misc. Other 73549								
Printing Serv. 73920				1%				$0.00
charges-Dept 73949								
TOTAL OTHER	$681.00	$0.00	*$0.00*		$0.00	$681.00	*0%*	$0
CONSULTANTS								
Consult WKU 61160								
72200		$0.00						
TOTAL CONSULT	$0.00	$0.00	*$0.00*		$0.00	$0.00		
TOTALS	**$10,404.00**	**$1,255.88**	*$153.89*		**$4,335.53**	**$4,812.59**		$6
INDIRECT	$0.00					$0.00		$0
GRAND TOTAL	$10,404.00	$1,255.88	*$153.89*		$4,335.53	$4,812.59	*54%*	$6

FY2016- 17 EARLY HEAD START

MONTHLY EXPENDITURE REPORT
OCT 1-31, 2016

EARLY HEAD START - FY: SEPTEMBER 1, 2016 - AUGUST 31, 2017

GENERAL FUNDS PA 25 - Index #544825 *YTD Average Percent* *17%*

PERSONNEL	BUDGET ALLOCATION	EXPENSES Through 10/31/16	*CREDIT CARD*	% admin	ENCUMBRANCES	BALANCE AVAILABLE	*% SPENT*	ADMIN COSTS
SAL admin				100%				$0
Staff SAL 61111	$100,002.00	$16,722.00						
Part Time SAL 61123	$3,000.00	$1,188.00						
STUDENT 61501	$1,620.00							
TOTAL PERSONNEL	$104,622.00	$17,910.00			$0.00	$86,712.00	*17%*	$0
FRINGE	$80,348.00	$14,794.20				$65,553.80	*18%*	
TRAVEL	$0.00							
REGISTRATION 74210								
TRAVEL 74000	$0.00	$0.00		4%	$0.00	$0.00		$0
SUPPLIES	$5,220.00							
Office 71102			*$0.00*	5%				$0
Janitor/Maint. 71103			*$0.00*	1%				$0
Medical/Househ 71104/06			*$0.00*	0%				$0
Classroom 71109			*$0.00*					
Food 71120			*$0.00*					
Grounds 71122			*$0.00*	0%				$0
Misc 71149			*$0.00*					
TOTAL SUPPLIES	$5,220.00	$0.00	*$0.00*		$0.00	$5,220.00	*0%*	$0
OTHER	$418.00							
Postage 71310			*$0.00*	0%				$0
Subscription 71501				1%				$0
Dues 71811			*$0.00*	1%				$0
Maint Copy 72101			*$0.00*	1%				$0
Maint. Comp Softw 72105			*$0.00*	1%				$0
Maint. Equip 72108			*$0.00*	1%				$0
REPAIRS 72149			*$0.00*	1%				$0
.background ch. Stud. 73513/23			*$0.00*					
Misc. Accreditation 73514			*$0.00*					
Misc. Licensing Fees 73515			*$0.00*					
Misc. Other 73549			*$0.00*					
Local Phone 73910				1%				$0
LD Phone 73911				1%				$0
Printing Serv. 73920		$0.00		1%				$0
Visitor Permit 73926								
TOTAL OTHER	$418.00	$0.00	*$0.00*		$0.00	$418.00	*0%*	$0
CONSULTANTS								
Consult WKU 61160		$0.00						
Consult 72204/09	250							
TOTAL CONSULT	$250.00	$0.00			$0.00	$250.00		$0
TOTALS	**$190,858.00**	**$32,704.20**			**$0.00**	**$158,153.80**	*17%*	$0
INDIRECT	$15,269.00	$2,616.30		100%		$12,652.70	*17%*	$2,616
GRAND TOTAL	$206,127.00	$35,320.50	*$0.00*		$0.00	$170,806.50	*17%*	$2,616

MONTHLY EXPENDITURE REPORT
OCT 1-31, 2016

EARLY HEAD START - FY: SEPTEMBER 1, 2016 - AUGUST 31, 2017

TRAINING PA 26 - Index #544826 *YTD Average Percent* *17%*

PERSONNEL	BUDGET ALLOCATION	EXPENSES Through 10/31/16	*CREDIT CARD*	% admin	ENCUMBRANCES	BALANCE AVAILABLE	*% SPENT*	ADMIN COSTS
Staff SAL 61111	$975.00							
TOTAL PERSONNEL	$975.00	$0.00			$0.00	$975.00	*0%*	
FRINGE	$325.00					$325.00	*0%*	
TRAVEL	$2,250.00							
INSTATE 74101			*$0.00*					
REGISTRAT KY 74110			*$0.00*					
REGISTRATION 74210			*$0.00*					
OUT STATE 74201			*$0.00*					
TRAVEL 74000	$2,250.00	$0.00	*$0.00*	4%	$0.00	$2,250.00	*0%*	$0
SUPPLIES	$500.00							
Office 71102			*$0.00*	5%				$0
Janitor/Maint. 71103			*$0.00*	5%				$0.00
Household 71106			*$0.00*					
Classroom 71109			*$0.00*					
Grounds 71122		$0.00	*$0.00*					
TOTAL SUPPLIES	$500.00	$0.00	*$0.00*		$0.00	$500.00	*0%*	
OTHER	$747.00							
software 71501			*$0.00*					
Subscrip/Dues 71801				1%				$0
Maint copy mach 72101			*$0.00*	*1%*				$0.00
Maint software 72105			*$0.00*					
.background ch. Stud. 73513/23			*$0.00*					
Misc. Accreditation 73514			*$0.00*					
Misc. Licensing Fees 73515								
Printing Serv. 73920				1%				$0
TOTAL OTHER	$747.00	$0.00	*$0.00*		$0.00	$747.00	*0%*	$0.00
	200							
TOTAL CONSULT	$200.00	$0.00			$0.00	$200.00		
TOTALS	**$4,997.00**	**$0.00**			**$0.00**	**$4,997.00**	*0%*	$0
INDIRECT	$0.00	$0.00				$0.00		
GRAND TOTAL	$4,997.00	$0.00	*$0.00*		$0.00	$4,997.00	*0%*	$0

MONTHLY EXPENDITURE REPORT
NOV 1-30, 2016

EARLY HEAD START - FY: SEPTEMBER 1, 2016 - AUGUST 31, 2017

GENERAL FUNDS PA 25 - Index #544825 *YTD Average Percent* *25%*

PERSONNEL	BUDGET ALLOCATION	EXPENSES Through 11/30/16	*CREDIT CARD*	% admin	ENCUMBRANCES	BALANCE AVAILABLE	% *SPENT*	ADMIN COSTS
SAL admin				100%				$0
Staff SAL 61111	$100,002.00	$26,504.00						
Part Time SAL 61123	$3,000.00	$1,944.00						
STUDENT 61501	$1,620.00							
TOTAL PERSONNEL	$104,622.00	$28,448.00			$0.00	$76,174.00	*27%*	$0
FRINGE	$80,348.00	$23,057.48				$57,290.52	*29%*	
TRAVEL	$0.00							
REGISTRATION 74210								
TRAVEL 74000	$0.00	$0.00		4%	$0.00	$0.00		$0
SUPPLIES	$5,220.00							
Office 71102			*$0.00*	5%				$0
Janitor/Maint. 71103			*$0.00*	1%				$0
Medical/Househ 71104/06			*$0.00*	0%				$0
Classroom 71109		$42.51	*$42.51*					
Food 71120			*$0.00*					
Grounds 71122			*$0.00*	0%				$0
Misc 71149			*$0.00*					
TOTAL SUPPLIES	$5,220.00	$42.51	*$42.51*		$0.00	$5,177.49	*1%*	$0
OTHER	$418.00							
Postage 71310			*$0.00*	0%				$0
Subscription 71501				1%				$0
Dues 71811			*$0.00*	1%				$0
Maint Copy 72101			*$0.00*	1%				$0
Maint. Comp Softw 72105			*$0.00*	1%				$0
Maint. Equip 72108			*$0.00*	1%				$0
REPAIRS 72149			*$0.00*	1%				$0
.background ch. Stud. 73513/23			*$0.00*					
Misc. Accreditation 73514			*$0.00*					
Misc. Licensing Fees 73515			*$0.00*					
Misc. Other 73549			*$0.00*					
Local Phone 73910				1%				$0
LD Phone 73911				1%				$0
Printing Serv. 73920		$0.00		1%				$0
Visitor Permit 73926								
TOTAL OTHER	$418.00	$0.00	*$0.00*		$0.00	$418.00	*0%*	$0
CONSULTANTS								
Consult WKU 61160		$0.00						
Consult 72204/09	250							
TOTAL CONSULT	$250.00	$0.00			$0.00	$250.00		$0
TOTALS	**$190,858.00**	**$51,547.99**			**$0.00**	**$139,310.01**	*27%*	$0
INDIRECT	$15,269.00	$4,123.78		100%		$11,145.22	*27%*	$4,124
GRAND TOTAL	$206,127.00	$55,671.77	*$42.51*		$0.00	$150,455.23	*27%*	$4,124

MONTHLY EXPENDITURE REPORT
NOV 1-30, 2016

EARLY HEAD START - FY: SEPTEMBER 1, 2016 - AUGUST 31, 2017

TRAINING PA 26 - Index #544826 *YTD Average Percent* *25%*

PERSONNEL	BUDGET ALLOCATION	EXPENSES Through 11/30/16	*CREDIT CARD*	% admin	ENCUMBRANCES	BALANCE AVAILABLE	% *SPENT*	ADMIN COSTS
Staff SAL 61111	$975.00	$78.12						
TOTAL PERSONNEL	$975.00	$78.12			$0.00	$896.88	*8%*	
FRINGE	$325.00	$30.00				$295.00	*9%*	
TRAVEL	$2,250.00							
INSTATE 74101		$184.01	*$0.00*					
REGISTRAT KY 74110			*$0.00*					
REGISTRATION 74210			*$0.00*					
OUT STATE 74201			*$0.00*					
TRAVEL 74000	$2,250.00	$184.01	*$0.00*	4%	$0.00	$2,065.99	*8%*	$7
SUPPLIES	$500.00							
Office 71102			*$0.00*	5%				$0
Janitor/Maint. 71103			*$0.00*	5%				$0.00
Household 71106			*$0.00*					
Classroom 71109			*$0.00*					
Grounds 71122		$0.00	*$0.00*					
TOTAL SUPPLIES	$500.00	$0.00	*$0.00*		$0.00	$500.00	*0%*	
OTHER	$747.00							
software 71501			*$0.00*					
Subscrip/Dues 71801				1%				$0
Maint copy mach 72101			*$0.00*	*1%*				$0.00
Maint software 72105			*$0.00*					
.background ch. Stud. 73513/23			*$0.00*					
Misc. Accreditation 73514			*$0.00*					
Misc. Licensing Fees 73515								
Printing Serv. 73920				1%				$0
TOTAL OTHER	$747.00	$0.00	*$0.00*		$0.00	$747.00	*0%*	$0.00
	200							
TOTAL CONSULT	$200.00	$0.00			$0.00	$200.00		
TOTALS	**$4,997.00**	**$292.13**			**$0.00**	**$4,704.87**	*6%*	$7
INDIRECT	$0.00	$0.00				$0.00		
GRAND TOTAL	$4,997.00	$292.13	*$0.00*		$0.00	$4,704.87	*6%*	$7

QUARTERLY REPORT

1st QTR 04CH4761	EARLY HEAD START 544821-822				Reporting Period:		
	FY: Sep. 1, 2016 - Aug. 31, 2017				9/1/16 TO 11/30/16		
FINAL	APPROVED	YTD		PER CENT		YTD	YTD
LINE ITEMS	BUDGET	EXPENDED	Obligations	SPENT	Unobligated	Credit card	Admin cost
Personnel	$104,622	$28,448		27.19%	$76,174		$ -
Fringe Benefits	$80,348	$23,057		28.70%	$57,291		$ -
Travel	$0				$0		
Equipment							
Supplies	$5,220	$43		0.81%	$5,177		
Contractual	$0		$0		$0		
Other	$418			0.00%	$418		
Consultants	$250				$250		
TOTAL DIRECT	$190,858	$51,548	$0	27.01%		$0	$0
Indirect Costs	$15,269	$4,124		27.01%			$ 4,124
TOTAL PA 25	$206,127	$55,672	$0	27.01%	$0	$0	$4,124
PA 26 Training					$0		
Personnel/Frg	$1,300	$108					
Supplies/Other	$1,247						
Contractual	$0						
Travel	$2,250	$184					$ 7
TOTAL PA26	$4,997	$292	$0	5.85%	$4,705	$ -	$ 7
TOTAL AWARD**	**$211,124**	**$55,964**	**$0**	27%	$155,160	**$0**	**$4,131**
NON FEDERAL						Non Fed Space 5%	$731
	Space	$8,600				% Admin WKU	1.8%
	Volunteers	$6,012					
	Other	$130				**TOTAL ADMIN**	**$4,862**
Total Non Federal	$51,870	**$14,742**	**$0**	28.42%	$37,128		
TOTAL OUTLAYS	**$262,994**	**$70,706**	**$0**				
QTRLY NOTES:	Category:						
	OTHER:	line items include: postage, maintenance, insurance, advertising, dues,					
		fees, telephone and printing					
	Expenditures: On track						

NON-FEDERAL TRACKING FORM

EARLY HEAD START September 1, 2016- August 31, 2017
544825-826

	RATE *	1st QTR	2nd QTR	Mid Year	TOTAL	3rd QTR	4th QTR	Mid Year	TOTAL	Non Fed Due
										$52,781
Foster Grandparent Hours	$4.06	1152		1152	$4,677.12			0	$0.00	
Parent Hours	$7.85	7		7	$54.95			0	$0.00	
Community Hours	$7.85	7.75		7.75	$60.84			0	$0.00	
Interns	$17.39	0		0	$0.00			0	$0.00	
Speech, OT, Graduate Students	$18.88	3.75		3.75	$70.80			0	$0.00	
Policy Council	$47.94	2		2	$95.88			0	$0.00	
Professional/Adv. Council/comm	$54.68	19.25		19.25	$1,052.59			0	$0.00	
TOTAL BUDGET = $18,381					$6,012.18				$0.00	$6,012

OTHER:

List Items:		1st Qtr Total	2nd Qtr Total		TOTAL	3rd Qtr Total	4th Qtr Total		TOTAL	
					$0.00				$0.00	
					$0.00				$0.00	
					$0.00				$0.00	
TOTAL OTHER					$0.00				$0.00	$0

SPACE:

INDOOR/OUTDOOR SQ FT		1st QTR	2nd QTR		TOTAL	3rd QTR	4th QTR		TOTAL	
									$0	
2,843	12.1	$8,600			$8,600				$0	
TOTAL BUDGET = $34,400					$8,600				$0	$8,600
								Admin 5%	$731	$14,612

Notes:
For Interns/Grad Stud, the value of services provided are for similar services/ed level performed by Teachers as outlined in the program plans.
For Other, verify that donated goods are items that are reasonable and necessary to meet program objectives and meet agency requirements for allowable purchases.
* Rates updated 11/1/16

$38,169
BAL DUE

Becky Johnson 1/3/2017
Submitted Date

MONTHLY EXPENDITURE REPORT
DEC 1-31, 2016

EARLY HEAD START - FY: SEPTEMBER 1, 2016 - AUGUST 31, 2017

GENERAL FUNDS PA 25 - Index #544825 *YTD Average Percent 33%*

PERSONNEL	BUDGET ALLOCATION	EXPENSES Through 12/31/16	*CREDIT CARD*	% admin	ENCUMBRANCES	BALANCE AVAILABLE	% *SPENT*	ADMIN COSTS
SAL admin				100%				$0
Staff SAL 61111	$100,002.00	$36,286.00						
Part Time SAL 61123	$3,000.00	$2,700.00						
STUDENT 61501	$1,620.00							
TOTAL PERSONNEL	$104,622.00	$38,986.00			$0.00	$65,636.00	*37%*	$0
FRINGE	$80,348.00	$31,783.56				$48,564.44	*40%*	
TRAVEL	$0.00							
REGISTRATION 74210								
TRAVEL 74000	$0.00	$0.00		4%	$0.00	$0.00		$0
SUPPLIES	$5,220.00							
Office 71102			*$0.00*	5%				$0
Janitor/Maint. 71103			*$0.00*	1%				$0
Medical/Househ 71104/06			*$0.00*	0%				$0
Classroom 71109		$69.16	*$69.16*					
Food 71120		$160.81	*$0.00*					
Grounds 71122			*$0.00*	0%				$0
Misc 71149			*$0.00*					
TOTAL SUPPLIES	$5,220.00	$229.97	*$69.16*		$0.00	$4,990.03	*4%*	$0
OTHER	$418.00							
Postage 71310			*$0.00*	0%				$0
Subscription 71501				1%				$0
Dues 71811			*$0.00*	1%				$0
Maint Copy 72101			*$0.00*	1%				$0
Maint. Comp Softw 72105			*$0.00*	1%				$0
Maint. Equip 72108			*$0.00*	1%				$0
REPAIRS 72149			*$0.00*	1%				$0
.background ch. Stud. 73513/23			*$0.00*					
Misc. Accreditation 73514			*$0.00*					
Misc. Licensing Fees 73515			*$0.00*					
Misc. Other 73549			*$0.00*					
Local Phone 73910				1%				$0
LD Phone 73911				1%				$0
Printing Serv. 73920		$0.00		1%				$0
Visitor Permit 73926								
TOTAL OTHER	$418.00	$0.00	*$0.00*		$0.00	$418.00	*0%*	$0
CONSULTANTS								
Consult WKU 61160		$0.00						
Consult 72204/09	250							
TOTAL CONSULT	$250.00	$0.00			$0.00	$250.00		$0
TOTALS	**$190,858.00**	**$70,999.53**			**$0.00**	**$119,858.47**	*37%*	$0
INDIRECT	$15,269.00	$5,679.88		100%		$9,589.12	*37%*	$5,680
GRAND TOTAL	$206,127.00	$76,679.41	*$69.16*		$0.00	$129,447.59	*37%*	$5,680

MONTHLY EXPENDITURE REPORT
DEC 1-31, 2016

EARLY HEAD START - FY: SEPTEMBER 1, 2016 - AUGUST 31, 2017

TRAINING PA 26 - Index #544826 *YTD Average Percent* *33%*

PERSONNEL	BUDGET ALLOCATION	EXPENSES Through 12/31/16	*CREDIT CARD*	% admin	ENCUMBRANCES	BALANCE AVAILABLE	% *SPENT*	ADMIN COSTS
Staff SAL 61111	$975.00	$156.24						
TOTAL PERSONNEL	$975.00	$156.24			$0.00	$818.76	*16%*	
FRINGE	$325.00	$60.01				$264.99	*18%*	
TRAVEL	$2,250.00							
INSTATE 74101		$276.01	*$92.00*					
REGISTRAT KY 74110			*$0.00*					
REGISTRATION 74210			*$0.00*					
OUT STATE 74201			*$0.00*					
TRAVEL 74000	$2,250.00	$276.01	*$92.00*	4%	$0.00	$1,973.99	*12%*	$11
SUPPLIES	$500.00							
Office 71102			*$0.00*	5%				$0
Janitor/Maint. 71103			*$0.00*	5%				$0.00
Household 71106			*$0.00*					
Classroom 71109			*$0.00*					
Grounds 71122		$0.00	*$0.00*					
TOTAL SUPPLIES	$500.00	$0.00	*$0.00*		$0.00	$500.00	*0%*	
OTHER	$747.00							
software 71501			*$0.00*					
Subscrip/Dues 71801				1%				$0
Maint copy mach 72101			*$0.00*	*1%*				$0.00
Maint software 72105			*$0.00*					
.background ch. Stud. 73513/23			*$0.00*					
Misc. Accreditation 73514			*$0.00*					
Misc. Licensing Fees 73515								
Printing Serv. 73920				1%				$0
TOTAL OTHER	$747.00	$0.00	*$0.00*		$0.00	$747.00	*0%*	$0.00
	200							
TOTAL CONSULT	$200.00	$0.00			$0.00	$200.00		
TOTALS	**$4,997.00**	**$492.26**			**$0.00**	**$4,504.74**	*10%*	$11
INDIRECT	$0.00	$0.00				$0.00		
GRAND TOTAL	$4,997.00	$492.26	*$92.00*		$0.00	$4,504.74	*10%*	$11

OTHER/
HHS NEWS ALERTS

2016-17

	Canteen (Meal Cost)	CRS (snacks/supplies)	DC credit card (misc.)	TOTAL	CACFP DEPOSITS	not reimbursed
JUN	$5,340.82			$5,340.82	5149.38	-$191.44
JULY	$4,856.20	$1,261.20		$6,117.40	5087.84	-$1,029.56
AUG	$7,132.51	$656.01		$7,788.52	5965.28	-$1,823.24
SEPT	$9,385.02	$585.74		$9,970.76	8538.27	-$1,432.49
OCT	$9,417.42	$2,491.06		$11,908.48	8127.36	-$3,781.12
NOV	$7,917.96	$2,070.69		$9,988.65	7659.49	-$2,329.16
DEC	$4,009.68	$0.00		$4,009.68	3119.96	-$889.72
JAN 2017				$0.00		$0.00
FEB				$0.00		$0.00
MAR				$0.00		$0.00
APR*				$0.00		$0.00
MAY				$0.00		$0.00
JUN				$0.00		$0.00
TOTALS	$48,059.61	$7,064.70	$0.00	$55,124.31	$43,647.58	-$11,476.7

budget pd			
DC	$0.00	$7,064.70	$0.00
FOOD	$43,245.77		
HS/EHS	$4,813.84		
	$48,059.61	$7,064.70	$0.00
non-reimb	-$4,412.03	-$7,064.70	

-$11,476.73

1302.90 Personnel policies.

eclkc.ohs.acf.hhs.gov/policy/45-cfr-chap-xiii/1302-90-personnel-policies

(a) *Establishing personnel policies and procedures.* A program must establish written personnel policies and procedures that are approved by the governing body and policy council or policy committee and that are available to all staff.

(b) *Background checks and selection procedures.* (1) Before a person is hired, directly or through contract, including transportation staff and contractors, a program must conduct an interview, verify references, conduct a sex offender registry check and obtain one of the following:

(i) State or tribal criminal history records, including fingerprint checks; or,

(ii) Federal Bureau of Investigation criminal history records, including fingerprint checks.

(2) A program has 90 days after an employee is hired to complete the background check process by obtaining:

(i) Whichever check listed in paragraph (b)(1) of this section was not obtained prior to the date of hire; and,

(ii) Child abuse and neglect state registry check, if available.

(3) A program must review the information found in each employment application and complete background check to assess the relevancy of any issue uncovered by the complete background check including any arrest, pending criminal charge, or conviction and must use Child Care and Development Fund (CCDF) disqualification factors described in 42 U.S.C. 9858f(c)(1)(D) and 42 U.S.C. 9858f(h)(1) or tribal disqualifications factors to determine whether the prospective employee can be hired or the current employee must be terminated.

(4) A program must ensure a newly hired employee, consultant, or contractor does not have unsupervised access to children until the complete background check process described in paragraphs (b)(1) through (3) of this section is complete.

(5) A program must conduct the complete background check for each employee, consultant, or contractor at least once every five years which must include each of the four checks listed in paragraphs (b)(1) and (2) of this section, and review and make employment decisions based on the information as described in paragraph (b)(3) of this section, unless the program can demonstrate to the responsible HHS official that it has a more stringent system in place that will ensure child safety.

(6) A program must consider current and former program parents for employment vacancies for which such parents apply and are qualified.

(c) *Standards of conduct.* (1) A program must ensure all staff, consultants, contractors, and volunteers abide by the program's standards of conduct that:

(i) Ensure staff, consultants, contractors, and volunteers implement positive strategies to support children's well-being and prevent and address challenging behavior;

(ii) Ensure staff, consultants, contractors, and volunteers do not maltreat or endanger the health or safety of children, including, at a minimum, that staff must not:

(A) Use corporal punishment;

(B) Use isolation to discipline a child;

(C) Bind or tie a child to restrict movement or tape a child's mouth;

(D) Use or withhold food as a punishment or reward;

(E) Use toilet learning/training methods that punish, demean, or humiliate a child;

(F) Use any form of emotional abuse, including public or private humiliation, rejecting, terrorizing, extended ignoring, or corrupting a child;

(G) Physically abuse a child;

(H) Use any form of verbal abuse, including profane, sarcastic language, threats, or derogatory remarks about the child or child's family; or,

(I) Use physical activity or outdoor time as a punishment or reward;

(iii) Ensure staff, consultants, contractors, and volunteers respect and promote the unique identity of each child and family and do not stereotype on any basis, including gender, race, ethnicity, culture, religion, disability, sexual orientation, or family composition;

(iv) Require staff, consultants, contractors, and volunteers to comply with program confidentiality policies concerning personally identifiable information about children, families, and other staff members in accordance with subpart C of part 1303 of this chapter and applicable federal, state, local, and tribal laws; and,

(v) Ensure no child is left alone or unsupervised by staff, consultants, contractors, or volunteers while under their care.

(2) Personnel policies and procedures must include appropriate penalties for staff, consultants, and volunteers who violate the standards of conduct.

(d) *Communication with dual language learners and their families.* (1) A program must ensure staff and program consultants or contractors are familiar with the ethnic backgrounds and heritages of families in the program and are able to serve and effectively communicate, either directly or through interpretation and translation, with children who are dual language learners and to the extent feasible, with families with limited English proficiency.

(2) If a majority of children in a class or home-based program speak the same language, at least one class staff member or home visitor must speak such language.

ACF Administration for Children and Families	U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES	
	1. Log No. ACF-PI-HS-16-05	2. Issuance Date: 12/08/2016
	3. Originating Office: Office of Head Start	
	4. Key Words: Background Check; Head Start Program Performance Standards; HSPPS; Compliance table	

PROGRAM INSTRUCTION

TO: All Head Start and Early Head Start Grantees, including Delegate Agencies

SUBJECT: Background Checks – Extension of Compliance Date and Questions

INSTRUCTION: This Program Instruction (PI) notifies programs they have until September 30, 2017 to comply with all background checks requirements at **§1302.90(b)** in the Head Start Program Performance Standards final rule. This new effective date aligns with background check requirement deadlines for systems in the Child Care and Development Block Grant (CCDBG) Act of 2014, 20 U.S.C. § 1431 et seq., 20. It also will afford programs more time to implement systems in accordance with these requirements.

We received feedback from Head Start and child care communities, as well as from states, that programs could not comply with background check requirements in **§1302.90(b)(1)** by November 7, 2016. Head Start programs, like child care programs, primarily rely on states to conduct and to process the types of comprehensive background checks we require in **§1302.90(b)(1)**. Currently, states do not have procedures in place to accommodate these comprehensive background checks. However, by September 30, 2017, Congress requires states that receive CCDBG funding to implement the same set of comprehensive background checks for all child care teachers and staff. By then, we anticipate most states will have such systems in place, unless they are granted a one-year extension under the CCDBG Act. The Federal Register notice announcing this change with the full rationale can be found at **https://www.federalregister.gov/documents/2016/12/06/2016-29183/head-start-program**.

Until September 30, 2017, however, we require programs to continue to adhere to the criminal record check requirements in **Section 648A** of the Improving Head Start for School Readiness Act of 2007, Public Law 110-134. It requires a state, tribal, or federal criminal record check:

- That covers all jurisdictions where the grantee provides Head Start services to children;
- A state, tribal, or federal criminal record check as required by the law in the jurisdiction where the grantee provides Head Start services; or
- A criminal record check as otherwise required by federal law.

We have received many other questions about the background check provisions. Attached is a series of frequently asked questions and answers that programs can use as they design their systems to meet the new requirements by September 2017.

If you have questions regarding this PI, please contact your Regional Office.

Background Checks FAQs
Attachment to ACF-PI-HS-16-05

Why are four checks necessary?

Q: My State Department of Investigation includes fingerprint and clearance and a clearance through the Federal Bureau of Investigation (FBI) database. Do I still need to do a federal criminal record check with fingerprints?

> **A:** Yes. While state and federal criminal background checks significantly overlap, they are not the same check and do sometimes include differential information. See **1302.90 (b)**.

Q: If a state runs a child abuse and neglect check in their background check already, is our agency required to run an additional check through the state registry separate from the one already provided through the state and federal background?

> **A:** While criminal record checks and Child Abuse and Neglect (CAN) registries may have some overlap (particularly in instances where there is a conviction related to child abuse or neglect), CAN registries may also include information on substantiated complaints or civil court findings. Many states do include searches of their CAN registries as a component of a background check, particularly when the individual is working with children. If the state includes a check of their CAN registry as part of their background check, an agency does not need to rerun the CAN registry check.

Q: What is the difference between the sex offender registry and a background check? Why would someone be on the registry but not have a record on the FBI or state check? Would the FBI or state be sufficient or do we need to run it through the national registry as well?

> **A:** The difference between a sex offender registry and a criminal history records check is significant. A sex offender registry monitors and tracks sex offenders after their release into the community. A criminal history records check typically reveals whether or not a person has any arrests, convictions, outstanding warrants, and prison terms. However, a person may be ordered to register as a sex offender in cases that would not be included on a criminal history records check (e.g. as a condition for release into the community or as a part of a plea agreement). We require programs to conduct a sex offender registry check. We anticipate most programs will likely check their state's sex offender registry, but we do not prescribe which registry must be checked.

Do consultants, contractors, and school district employees need the checks?

Q: Do the new Standards require that anyone going into Head Start classrooms, including school district employees (e.g., special education paraprofessionals, substitutes, etc.), undergo a complete background check as described in 1302.90? The school district maintains personnel files on all employees, including substitutes, with fingerprint records for background checks and would like to keep these records confidential. Is this okay?

A: Agencies must conduct or obtain a compete background check for contractors, or individuals on a contract, whose activities involve contact with and/or direct services to children and families or anyone who could have unsupervised access to children and families. However, if a program works with a school district or other agency that conducts the background checks according to the requirements in 1302.90, a program could obtain confirmation that the personnel in question had the appropriate checks and were employable according to the state's disqualification factors, and the program would be meeting the requirements.

Q: The new standards specify that employees, consultants, and contractors must have the complete background check. Can you clarify how this applies to short-term program consultants or contractors who provide training and technical assistance? The majority of the consultants we are referring to are those that work with management and do not provide services to children and families. Do the criminal background checks apply to these type of consultants or contractors?

A. No, the criminal record check requirements only apply to contractors, or individuals on a contract, whose activities involve contact with and/or direct services to children and families or anyone who could have unsupervised access to children and families. However, the criminal record check requirements do apply to all employees, regardless of whether an employee has contact with and/or direct services to children and families.

What does it mean to check employees every five years?

Q: In the new standards, §1302.90(b)(5) states every five years current employees should be cleared. Do all current staff need to have two sets of fingerprints on file as of August 1, 2017, as well? Do we need to do a background check on employees who have been here longer than five years now, or should all employees be cleared every five years from now?

A: In §1302.90(b)(5), the Standards state that "a program must conduct the complete background check for each employee, consultant, or contractor at least once every five years..." This requirement on current employees is not effective until September 30, 2017, per the recently released notice in the Federal Register. Therefore, programs must ensure they conduct a complete background check on all current staff, every five years starting on September 30, 2017. This means currently employed staff would need a complete background check by September 30, 2022 and every five years after the date of each individual check. Programs may wish to stagger their approach to completing checks for current employees so that the financial obligation associated with such checks is dispersed more evenly from year to year.

Q: In the new standards, §1302.90(b)(5) states that "a program must conduct the complete background check for each employee, consultant, or contractor at least once every five years" based on the requirements in (b)(1) and (2). Does this include that the language in (b)(1) which states that "a program must conduct an interview, verify references, [and] conduct a sex offender registry check"? Specifically, are programs expected to re-interview and re-verify references of current employees when they reach the five-year mark?

A: §1302.90(b)(5) requires "a program must conduct the complete background check for each employee, consultant, or contractor at least once every five years, which must include each of the four checks listed in [1302.90 (b)(1) and (2)]." The key language here is the "four checks,"

which references the sex offender registry check, child abuse and neglect (CAN) state registry check, state or tribal criminal history check with fingerprints, and FBI criminal history check with fingerprints. There is no requirement to interview current employees and to verify references they provided before they were hired or to ask them for more references.

Q: §1302.90(b)(5) provides an exception to performing background checks for all employees every five years if "the program can demonstrate to the responsible HHS official that it has a more stringent system in place that will ensure child safety." What constitutes a "more stringent system" and how can it be demonstrated?

A: We require each program to adhere to 1302.90(b)(5), which requires background checks for all employees every five years, unless it can demonstrate to the responsible Department of Health and Human Services (HHS) official that it has a more stringent system in place that will ensure child safety. An example of a more stringent system may be one that automatically notifies a program when an employee is either arrested or convicted of an applicable offense. Initial background checks must be completed, regardless of the system that a program has in place.

How do I work within my state process for background checks to meet the new standards?

Q: My state won't provide background check results to our program because of confidentiality rules. Instead they give us a "green light" or "red light" for employing a person in an early childhood setting. Does this meet the state background check requirement in 1302.90(b)?

A: Yes. As of the new effective date of these requirements, states will be implementing the disqualification factors required under Child Care and Development Fund (CCDF). A state's "green light" or "red light" based on these disqualification factors meets the requirements in 1302.90(b).

Q: I reached out to my state bureau of investigation and they said they won't do background checks on our employees because we don't fall under the categories of institutions that can request a background check under state law. What do I do?

A: As of the new effective date of these requirements, states will be required to meet CCDF background check requirements, which include performing these checks for all child care agencies/entities that are licensed, regulated, or registered or that are eligible to receive CCDF subsidy funds. Head Start programs fall under that umbrella, and as such, Head Start programs should be able to access state background check systems at that time.

ACF Administration for Children and Families	U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES	
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	3. Originating Office: Office of Head Start	
	4. Key Word: Administrative Requirements; Cost Principles; Audit Requirements	

PROGRAM INSTRUCTION

TO: All Head Start and Early Head Start Grantees and Delegate Agencies

SUBJECT: Application of the *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for HHS Awards* to For-Profit Head Start Grantees

INFORMATION:

This Program Instruction notifies for-profit Head Start grantees of their obligation to comply with subparts A-E of the ***Uniform Administrative Requirements, Cost Principles, and Audit Requirements for HHS Awards***, commencing with fiscal years that begin on or after Jan. 1, 2017.

The *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for HHS Awards* at 45 CFR 75, commonly referred to as the Uniform Guidance, streamline grant management requirements. Pursuant to **45 CFR §75.101(c)** in the Uniform Guidance, Department of Health and Human Services' (HHS) awarding agencies may apply subparts A through E to federal agencies, for-profit entities, foreign public entities, or foreign organizations, except where the HHS awarding agency determines that to apply these subparts would be inconsistent with the international obligations of the United States or the statutes or regulations of a foreign government.

To maximize uniformity, the Office of Head Start will apply subparts A through E of the Uniform Guidance to for-profit grantees.

Subparts A through E are:

The following portions of the part:	**Are applicable to the following types of Federal awards and fixed-price contracts and subcontracts (except as noted in paragraphs (d) and (e) below):**	**Are NOT applicable to the following types of Federal awards and fixed-price contracts and subcontracts:**
This table must be read along with the other provisions in this section		
Subpart A—Acronyms and Definitions	—All	
Subpart B—General Provisions, except for §75.111, 75.112, and 75.113	—All	
Sections §75.111, 75.112, and 75.113	—Grant agreements and cooperative agreements	—Agreements for loans, loan guarantees, interest subsidies and insurance. —Procurement contracts awarded by Federal Agencies under the Federal Acquisition Regulations and

		subcontracts under these contracts.
Subparts C-D, except for §75.202, 75.303, 75.351-.353	—Grant agreements and cooperative agreements	—Agreements for loans, loan guarantees, interest subsidies and insurance. —Procurement contracts awarded under the Federal Acquisition Regulations and cost-reimbursement and subcontracts under these contracts.
§75.202	—Grant Agreements and cooperative agreements —Agreements for loans, loan guarantees, interest subsidies and insurance	—Procurement contracts awarded under the Federal Acquisition Regulations and cost-reimbursement and subcontracts under these contracts.
§75.303, 75.351-.353	—All	
Subpart E—Cost Principles	—Grant agreements and cooperative agreements, except those providing food commodities —All procurement contracts under the Federal Acquisition Regulations except those that are not negotiated	—Grant agreements and cooperative agreements providing food commodities. —Fixed amount awards. —Agreements for loans, loan guarantees, interest subsidies and insurance. —Federal awards to hospitals (See **Appendix IX**).

If you have questions about how these subparts apply to your program, please contact your Regional Office program specialist for assistance.

/ Ann Linehan /

Ann Linehan
Acting Director
Office of Head Start

ACF Administration for Children and Families	U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES	
	1. Log No: ACF-IM-HS-16-01	2. Issuance Date: 11/07/2016
	3. Originating Office: Office of Head Start (OHS); Office of the Deputy Assistant Secretary's Office on Early Childhood Development	
	4. Key Words: Head Start; Expulsion and Suspension; Social, Emotional, and Behavioral Development	

INFORMATION MEMORANDUM

To: Head Start and Early Head Start Grantees and Delegates, and Other Interested Parties

Subject: Expulsion and Suspension Policy Statement

References:

- Improving Head Start for School Readiness Act of 2007
- Head Start Program Performance Standards (2016)
- U.S. Departments of Health and Human Services and Education Policy Statement on Expulsion and Suspension in Early Childhood Settings (2014)[1]

Purpose:

This Information Memorandum highlights new requirements in the **Head Start Program Performance Standards** related to expulsion and suspension. It also encourages Head Start grantees and delegates to adopt practices set forth in the **Policy Statement on Expulsion and Suspension in Early Childhood Settings** issued by the U.S. Department of Health and Human Services (HHS) and the U.S. Department of Education (ED). Appendices 1 and 2 offer free resources grantees can use in their implementation efforts.

Background:

The Head Start Program Performance Standards (2016) prohibit programs from expelling or un-enrolling children from Head Start because of a child's behavior in **45 CFR §1302.17**. These Standards also require programs to prohibit or severely limit the use of suspension due to a child's behavior. Programs are required to partner with families, consult with specialists, help the child and family obtain additional services as appropriate, and take all possible steps to ensure the child's successful participation in the program.

Aligned with the Head Start Program Performance Standards, HHS and ED released a **joint policy statement** with state and local recommendations to address expulsion and suspension in early learning settings, including in Head Start programs. The policy statement affirms the Departments' efforts to prevent and eventually eliminate expulsion and suspension in all early childhood settings and support young children's social, emotional, and behavioral development. The policy statement also provides information about resources that are available at no cost to programs.

[1] U.S. Department of Health and Human Services and Education Policy Statement on Expulsion and Suspension Policies in Early Childhood Settings (2014). ODAS, ECD-ACF-PS-2016-01. https://www.acf.hhs.gov/sites/default/files/ecd/expulsion_ps_numbered.pdf

Neuroscientists agree that the first five years of a child's life are critical for building the foundation of learning, health, and wellness needed for success in school and later in life. While access to high-quality early learning can have important benefits on children's development and learning, expulsion and suspension from such programs can have detrimental effects, particularly on children's social and emotional development and learning outcomes. Expulsion and suspension are stressful and negative experiences for children, their families, and their teachers and can negatively affect child development and outcomes. Research indicates that expulsion and suspension early in a child's life predicts expulsion and suspension later in school. Children who are expelled or suspended from school are as much as 10 times more likely to drop out of high school, experience academic failure, hold negative school attitudes, and face incarceration than those who were never suspended or expelled.

Furthermore, data consistently show racial disparities in expulsion and suspension. For example, recent data from ED's Office of Civil Rights indicate that African-American boys make up 19 percent of preschool enrollment, but 45 percent of preschoolers suspended. African-American girls represent 20 percent of female preschool enrollment, but 54 percent of female preschoolers suspended.[2]

Though each case is different, suspensions and expulsions may be products of misguided or absent policies and/or insufficient training and support services for staff, especially in managing challenging behavior, recognizing trauma, and promoting social and emotional development. Research indicates that disparities in these practices may be influenced by implicit biases, uneven implementation of discipline policies, and under-resourced, inadequate education and training for teachers, especially in self-reflective strategies to identify and correct potential biases in perceptions and practice.

Guidance:

Aligned with the new requirements on expulsion and suspension found at **45 CFR §1302.17** of the Head Start Program Performance Standards, grantees are encouraged to implement the following recommendations included in the HHS and ED federal policy statement. A brief summary of program-level recommendations is below, but we urge grantees to **read the Policy Statement on Expulsion and Suspension in Early Childhood Settings** in its entirety.

1. **Develop and Clearly Communicate Preventive Guidance and Discipline Practices:** Programs should establish developmentally appropriate social, emotional, and behavioral health promotion practices, as well as discipline and intervention procedures. These practices and procedures should be clearly communicated to all staff, families, and community partners, and implemented consistently and without bias or discrimination. Preventive and discipline practices should be used as learning opportunities to guide children's appropriate behavioral development, and distinct attention should be paid to the developmental appropriateness of both behavioral expectations and consequences for challenging behavior.

2. **Develop and Clearly Communicate Expulsion and Suspension Policies:** Head Start grantees and delegates are required to implement expulsion and suspension policies consistent with the Head Start Program Performance Standards at **45 CFR §1302.17**, such that expulsions are prohibited and suspensions are prohibited or severely restricted.

3. **Access Technical Assistance and Workforce Development to Prevent Expulsion and Suspension:** All program staff should have a strong set of skills to support children's social, emotional, and behavioral development. Programs should also ensure that teachers have support from specialists or consultants, such as early childhood mental health consultants, behavioral coaches, school counselors, or special educators. Head Start programs should also promote teacher health and wellness and ensure that teachers work reasonable hours with breaks and have access to social services, health, and mental health supports, as needed.

4. **Set Goals for Improvement and Analyze Data to Assess Progress**: Programs should set goals to optimally support children's social, emotional, and behavioral development, monitor

[2]U.S. Department of Education Office for Civil Rights (2016). A First Look: Key data highlights on equity and opportunity gaps in our nation's public schools.

data to assess progress, and modify their practices and investment, as needed, to reach their goals.

5. **Access Free Resources to Develop and Scale Best Practices:** Programs should access free resources to assist in eliminating suspensions and expulsions in early childhood settings. The Administration for Children and Families' (ACF) new **Training and Technical Assistance System** provides resources and training on a variety of issues, including those related to suspension and expulsion; children's health and well-being; and development, teaching, and learning. Many of those resources can be found on the **Early Childhood Learning Knowledge Center (ECLKC)** website. Additional resources to support children's social and emotional development can also be found at the **Center on the Social and Emotional Foundation for Early Learning** and at the **Technical Assistance Center on Social Emotional Intervention** websites. The HHS-funded **Center of Excellence for Infant and Early Childhood Mental Health Consultation** website will offer a comprehensive toolkit on building early childhood mental health consultation systems in the fall of 2016. Appendices 1 and 2 provide several free resources that programs and families can access to address expulsion and suspension practices.

Please contact your Office of Head Start Regional Office for more information.

/ Blanca E. Enriquez /

Blanca E. Enriquez
Director
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ACF-IM-HS-16-01 Expulsion and Suspension Policy Statement

Appendix 1: Resources for Parents and Families

Preventing expulsion and suspension requires a strong partnership with families. Programs should treat families as the foremost experts on their children, and as such, exchange information relevant to the child's culture, social, emotional, and behavioral strengths and concerns, approaches to learning, and strategies that work at home. At a minimum, programs should ensure families have information on:

- Their child's health, behavior, and development, especially social and emotional development, during the hours they are in their early learning setting
- Developmental milestones, healthy development and behavior, and places to go for help
- Identifying a high-quality early learning program
- Communicating with program or school personnel and advocating for their child

Below are resources to share with families to facilitate this partnership and information-sharing:

- **Child learning and social, emotional, and behavioral development:**
  - **Parenting Your Child**
    https://eclkc.ohs.acf.hhs.gov/hslc/tta-system/family/for-families/parenting/parenting-child.html
  - **Fostering Children's Social and Emotional Foundations for Early Learning**
    http://csefel.vanderbilt.edu/resources/family.html
  - **Backpack Connection Series**
    http://challengingbehavior.fmhi.usf.edu/do/resources/backpack.html
  - **Essentials for Parenting Toddler and Preschoolers**
    http://www.cdc.gov/parents/essentials/

- **Developmental and behavioral milestones, monitoring, and screening:**
  - **Milestones Moments**
    http://www.cdc.gov/ncbddd/actearly/pdf/parents_pdfs/milestonemomentseng508.pdf
  - **Free Tools to Track Your Child's Development**
    http://www.cdc.gov/features/trackmilestones/
  - **Birth to 5: Watch Me Thrive – Families**
    http://www.acf.hhs.gov/programs/ecd/child-health-development/watch-me-thrive/families
  - **Birth to 5: Watch Me Thrive! Developmental and Behavioral Screening Passport**
    https://www.acf.hhs.gov/sites/default/files/ecd/screening_passport.pdf
  - **If You're Concerned:**
    http://www.cdc.gov/ncbddd/actearly/concerned.html
  - **Center for Parent Information and Resources**
    http://www.parentcenterhub.org/
  - **Parent Training and Information Centers for Parents of Children with Disabilities**
    http://www.parentcenterhub.org/find-your-center/

- **Identifying a high-quality early learning program:**
  - **Child Care Aware**
  - http://www.childcareaware.org/

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Appendix 2: Resources for Programs, Schools, and Staff

The following resources offer support for superintendents, program directors, principals, teachers, providers, and other staff to prevent and eliminate expulsions and suspensions in early childhood settings.

- **Social, emotional, and behavioral health:**
  - **Center on the Social and Emotional Foundations for Early Learning**
    http://csefel.vanderbilt.edu/
  - **Technical Assistance Center on Social Emotional Intervention**
    http://challengingbehavior.fmhi.usf.edu/
  - **Positive Behavioral Interventions and Supports**
    https://www.pbis.org/
  - **Center for Early Childhood Mental Health Consultation**
    http://www.ecmhc.org/
  - **National Center on Early Childhood Health and Wellness**
    http://eclkc.ohs.acf.hhs.gov/hslc/tta-system/health

- **Universal developmental and behavioral screenings:**
  - **Watch Me! Celebrating Milestones and Sharing Concerns - Training for Teachers**
    http://www.cdc.gov/ncbddd/watchmetraining/index.html
  - **Birth to 5: Watch Me Thrive!**
    http://www.acf.hhs.gov/programs/ecd/child-health-development/watch-me-thrive
  - **Learn the Signs. Act Early.**
    http://www.cdc.gov/ncbddd/actearly/index.html

- **Partnering with community service providers:**
  - **Birth to 5: Watch Me Thrive! A Community Guide for Developmental and Behavioral Screening**
    https://www.acf.hhs.gov/sites/default/files/ecd/communities_guide_march2014.pdf
  - **Legacy for Children™ Parenting Intervention**
    http://www.cdc.gov/ncbddd/childdevelopment/legacy.html
  - **Early Childhood Technical Assistance Center**
    http://ectacenter.org/
  - **Association of University Centers on Disabilities**
    http://www.aucd.org/directory/directory.cfm?program=UCEDD

- **Forming strong relationships with parents and families:**
  - **National Center on Parent, Family, and Community Engagement: Resources A-Z**
    http://eclkc.ohs.acf.hhs.gov/hslc/tta-system/family/resources.html
  - **Family and Provider/Teacher Relationship Quality Measures: Updated User's Manual**
    http://www.acf.hhs.gov/programs/opre/resource/family-and-provider-teacher-relationship-quality-measures-users-manual
  - **National Association for the Education of Young Children: Engaging Diverse Families**
    http://www.naeyc.org/familyengagement

- **Nondiscriminatory discipline:**
  - **U.S. Department of Education Office of Civil Rights Data Collection**
    http://www.ocrdata.ed.gov
  - **U.S. Departments of Education and Justice Notice of Language Assistance: Dear Colleague Letter on Nondiscriminatory Administration of School Discipline** [PDF, 5MB]
  - http://www.ed.gov/ocr/letters/colleague-201401-title-vi.pdf