February 28, 2013

Diane Porter, Board Chairperson
JEFFERSON COUNTY BOARD OF EDUCATION
2501 Rockford Lane, Early Childhood Office
Louisville, KY 40216

Re: Grant No. 04CH0280

Dear Ms. Porter:

An application for continued refunding of your organization's Head Start and/or Early Head Start grant for the budget period 8/1/2013 – 7/31/2014 is due 5/1/2013, ninety days prior to the start of the budget period. This letter provides guidance on the requirements for submission of the continuation application.

For planning purposes, the application should reflect the enrollment and funding levels in the table below.

Common Accounting Number (CAN)	Projected Funding	Funded Enrollment
G044122 – Head Start Program Operations	$12,101,981	1,741
G044120 – Head Start Training and Technical Assistance	$137,826	
G044125 – Early Head Start Program Operations	$2,450,627	172
G044121* – Early Head Start Training and Technical Assistance	$61,266	
TOTAL	$14,751,700	1,913

* CAN G044121 replaces CAN G041126 formerly used for Early Head Start Training and Technical Assistance.

Funding is contingent upon the availability of federal funds and satisfactory performance by your organization under the terms and conditions of the Head Start grant in the current budget period.

The application for continued refunding must be prepared in accordance with the instructions in Information Memorandum ACYF-IM-HS-00-12, dated April 25, 2000. This information is available electronically at the following link: http://eclkc.ohs.acf.hhs.gov/hslc. As noted in the Information Memorandum, Head Start and Early Head Start grantees are required to submit a full application once every three years. In the other two years, grantees need only submit budget information, describe the progress they are making toward their community needs and objectives, and explain proposed significant changes to their

programs. You are considered to be in year one of the application cycle and are required to complete a full application. Please review ACYF-IM-HS-00-12, the attached instructions and this guidance carefully prior to preparing your application.

The application must be submitted using the Standard Form 424 (SF-424), Application for Federal Assistance. Grantees are expected to use the web-based Grant Application Budget Instrument (GABI) to complete their applications. GABI is available in the Head Start Enterprise System (HSES) at https://hses.ohs.acf.hhs.gov/hsprograms. Training materials can be found in the "Instructions" section of HSES. For further assistance, please contact HSESHelp@acf.hhs.gov or 1-866-771-4737.

The application must contain the proposed budget, budget justification and program narrative. Breakouts must be provided on the SF-424A, Budget Information – Non-Construction Programs, for the distribution of funds by object class categories. The proposed budget must support all program costs, both direct and, if appropriate, indirect costs. In Section B of the SF-424A, use a separate column to reflect the amounts by object class categories for operations and training and technical assistance (T/TA) funds for Head Start and/or Early Head Start. Section 4, Forecasted Cash Needs, of the SF-424A, should accurately reflect the funds needed for each quarter of the year based on the expected outlays and timing of operational expenditures. A separate SF-424A must be submitted for each delegate agency. **Incomplete applications will not be processed.**

Long Range Goals and Objectives

The full and abbreviated applications must provide, as part of the goals and objectives of the program, a description of program goals for improving the school readiness of children. School readiness goals, as defined in 45 C.F.R. §1307.2, effective December 9, 2011, articulate the expectations of children's status and progress across domains of language and literacy development, cognition and general knowledge, approaches to learning, physical well-being and motor development, and social and emotional development that will improve their readiness for kindergarten.

The application should contain a description of the following:

- The program's goals and your progress in aligning the goals with the Head Start Child Development and Early Learning Framework, State early learning guidelines, and the requirements and expectations of the schools, to the extent they apply to the ages of children, birth to five, participating in the program.

- The child assessment system which will be used by your program to collect information about children's development in combination with parents and families and how the program uses or plans to use that information to individualize instruction and learning.

- The key findings from aggregating the child assessment data, how that information helped you identify patterns of progress and areas where improvement is required, and how progress toward meeting your school readiness goals is shared with parents and the community.

The application must also contain a summary of findings from the community assessment for a full application and updates for abbreviated applications. Further, the application must identify any proposed program improvements or changes to the program design based on the aggregation and analysis of individual child-level assessment data, the community assessment and the results of the self-assessment. Additionally, a breakout of the proposed enrollment levels for each county within the approved service area as well as the results of the annual self-assessment and the improvement plan must also be submitted with the application.

Development of the Training and Technical Assistance (T/TA) Budget

The T/TA plan must assure sufficient resources are devoted to address all T/TA needs, support school readiness goals, ensure staff are qualified, and provide quality and comprehensive services to all enrolled children and families. The application must include the T/TA plan and an accompanying narrative on the T/TA needs. The T/TA plan should address the results of the self-assessment and identify resources to implement the improvement plan.

Grantees with identified areas of noncompliance and/or deficiencies should invest appropriate resources to assure correction is achieved. If the direct funding for T/TA is not sufficient to meet all of the identified needs in your annual T/TA plan, operational funds available in the annual grant award may be used.

Risk Management

The risk management process implemented by the Office of Head Start is a prevention/early intervention strategy that integrates the funding, monitoring and technical assistance processes. Through this process, potential risks and areas for improvement are identified along with strengths, areas of pride and innovative practices.

Your agency may have recently participated in a risk management meeting and received a copy of an action plan subsequent to the meeting. The refunding application should address any action steps specifically identified for inclusion in either the T/TA plan or the grant application itself.

Cap on Employee Compensation

Section 653 of the Head Start Act places limitations on the compensation of Head Start staff. Specifically, the Act prohibits the use of **any** Federal funds, including Head Start grant funds, to pay any part 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, currently $179,700. Program Instruction ACF-PI-HS-08-03, issued May 12, 2008, provides guidance on this requirement and defines compensation. No funds may be charged to the Head Start grant or to any other Federal program either as a direct cost or any proration as an indirect cost for an employee whose compensation exceeds $179,700. Please ensure the refunding application demonstrates the compensation policies of the agency and those of any delegate agencies, if applicable, comply with the compensation cap guidelines.

Approvals

Governing body approval is required on the application for continuation funding. The Standard Form SF-424 must be submitted under the signature of the Board Chairperson, as required in Program Instruction ACF-PI-HS-06-01, dated September 19, 2006. In addition, Policy Council approval is required. A signed statement by the Policy Council Chair and accompanying minutes demonstrating participation in the development and approval of the application must be submitted with the application. If the Policy Council has not approved the application, a letter from the Policy Council indicating its reasons for withholding approval is required.

Submission Information

Grantees are strongly encouraged to submit refunding applications online via the HSES. If the application is submitted via HSES, the original signature pages for the Standard Form (SF) 424, Application for Federal Assistance, and SF-424B, Assurances – Non-Construction Programs, must be submitted to:

>   Juan Gordon
>   Regional Grants Management Officer
>   Office of Grants Management
>   Administration for Children and Families
>   61 Forsyth Street, Suite 4M60
>   Atlanta, GA30303

If a grantee does not choose to submit the refunding application via HSES, the original application, required forms and certifications, and two copies must be submitted to the address listed above.

A checklist is enclosed to assist in ensuring the application contains all of the required information. If you have any questions or require assistance, please contact David Hurlbert, your Head Start Program Specialist, at (404) 562-2886 or david.hurlbert@acf.hhs.gov or Ellen Higgins, your Grants Management Specialist, at (404) 562-2944 or ellen.higgins@acf.hhs.gov. Thank you for your cooperation and timely submission of your grant application.

>   Sincerely,

>   *Jeff Fredel*

>   Jeffrey Fredericks
>   Regional Program Manager
>   Office of Head Start

Enclosure

cc: Donna Hargens, Executive Director
        Kevin Nix, Head Start Director

Head Start Grant Application Checklist

> **Please be sure to include the following items in your application package prior to uploading files to HSES and sending signature pages to the Regional Office.**

If the grant application includes a request for a reduction in enrollment due to conversion from Head Start to Early Head Start services (with the exception of American Indian and Alaskan Native grantees), conversion from part-day to full-working day services or for any other reason, please include a cover letter along with your rationale for requesting consideration for such approval.

For completion of the continuation application, refer to **Information Memorandum ACYF-IM-HS-00-12**, dated April 25, 2000. The Information Memorandum and Program Instruction are available on the Early Childhood Learning and Knowledge Center (ECLKC) at http://eclkc.ohs.acf.hhs.gov.

Documents may be uploaded into the Head Start Enterprise System (HSES) under the Grant Application Budget Instrument (GABI) tab with the exception of the original signature pages for the Standard Form (SF) 424, Application for Federal Assistance, and SF-424B, Assurances – Non-Construction Programs. Original signature pages must be submitted to the appropriate Grants Office.

1. **Application** including:
    - SF-424 - **Board Chair's signature required** ☐
    - SF-424A ☐
        - A breakout of amounts by object class categories for Head Start and Early Head Start operations and training/technical assistance; and ☐
        - The forecast of cash needs by quarter based on anticipated outlays. ☐
    - SF-424B, Assurances – Non-Construction Programs - **Board Chair's signature required** ☐

2. **Submission requirements for 3-year cycle:**
    - 1st year, a comprehensive application is required. ☐
    - 2nd and 3rd years, an abbreviated application is required. ☐

3. **Electronic GABI Report** (via the web at https://hses.ohs.acf.hhs.gov/hsprograms) ☐
    If you operate both Head Start and Early Head Start, a separate GABI is required for each. Also, a separate GABI must be submitted for each delegate agency.

4. **Long Range Goals and Objectives**, describing the following:
    - The program's long range goals and shorter term program objectives; ☐
    - The program's school readiness goals and progress in aligning the goals with the Head Start Child Development and Early Learning Framework, State early learning guidelines, and the requirements and expectations of the schools; ☐
    - The child assessment system used to collect information about children's development in combination with parents and families and how the program uses or plans to use that information to individualize instruction and learning; ☐
    - The key findings from aggregating the child assessment data, how that information helped identify patterns of progress and areas where improvement is required, and how progress toward meeting school readiness goals is shared with parents and the community; and ☐
    - Any proposed program improvements or changes to the program design based on the aggregation and analysis of individual child-level assessment data, the community assessment and the results of the self-assessment. ☐

5. **Program and Budget Narratives**, describing the planned uses of the funds and demonstrating the following for *each grantee and delegate*:
    - The amount and intended use of the funds by object class category for program operations and training/technical assistance; ☐

- A projection of the amounts and sources of the non-federal share match requirement (Cash and/or in-kind); and ☐
- Copy of approved Indirect Cost Rate Agreement, if applicable. ☐

6. **Risk Management,** *if applicable*
   Address any action steps specifically identified for inclusion in either the training/technical assistance plan or the grant application. ☐

7. **Employee Compensation Cap**
   Assurance the grantee and delegate agencies, if applicable, comply with the requirement for employee compensation. Refer to Program Instruction ACF-PI-HS-08-03, dated May 12, 2008. ☐

8. **Training and Technical Assistance Plan** ☐

9. **Results of Self-Assessment and Improvement Plan** ☐

10. **Signed Policy Council Approval Statement and Meeting Minutes** ☐
    A letter from the Policy Council indicating its reasons if approval withheld.