HEAD START
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On the Road to Effective GOVERNANCE

For Head Start Leaders

Presenters:
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Angella Malave, Grantee Specialist
Ferlisa Shaw-Amos, Regional Early Childhood Manager

Region IV Training and Technical Assistance

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Session Outcomes

- Gain a deeper understanding of core elements of strong leadership and effective governance
- Explore the roles and responsibilities of the Early Head Start and Head Start decision-makers and leaders
- Acquire information on Head Start planning system as it relates to leaders' role in program operation, management, and service delivery.
- Learn of available resources and tools

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> ***"By working together, pooling our resources and building on our strengths, we can accomplish great things."***
>
> **Ronald Reagan, Fortieth President of the United States**

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History of Head Start

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Video: Nation's Pride

https://eclkc.ohs.acf.hhs.gov/video/head-start-nations-pride

WU1

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What is Head Start?

A program that provides **Comprehensive Early Childhood Services** that is responsive to each child and family's ethnic, cultural, and linguistic heritage

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Purpose of Head Start

…to promote the school readiness of low-income children by enhancing their cognitive, social, and emotional development—

(1) in a learning environment that supports children's growth in language, literacy, mathematics, science, social and emotional functioning, creative arts, physical skills, and approaches to learning; and

Head Start Act (Sec 636)

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Purpose of Head Start

(2) through the provision to low-income children and their families of health, educational, nutritional, social, and other services that are determined, **based on family needs assessments, to be necessary**.

Head Start Act (Sec 636)

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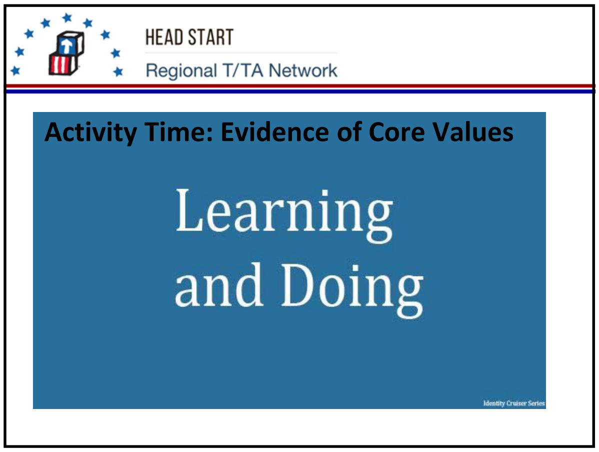
Head Start Core Values

1. Supportive Learning Environment
2. Many Cultures
3. Empowerment of Families
4. Comprehensive Vision of Health
5. Individual's Development
6. Treated as an Individual
7. Relationships with Larger Community
8. Continuum of Care



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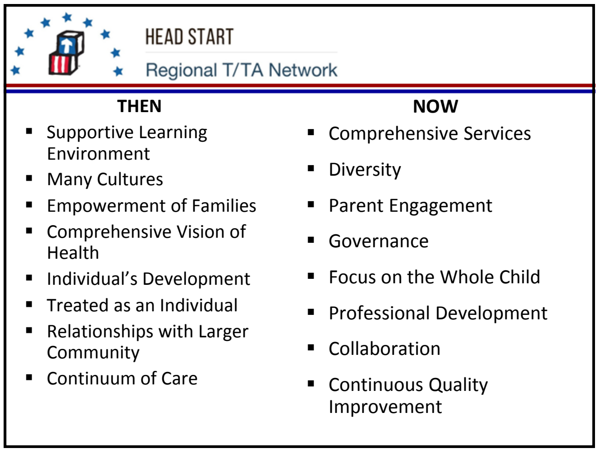
Activity Time: Evidence of Core Values

Learning
and Doing

Identity Cruiser Series



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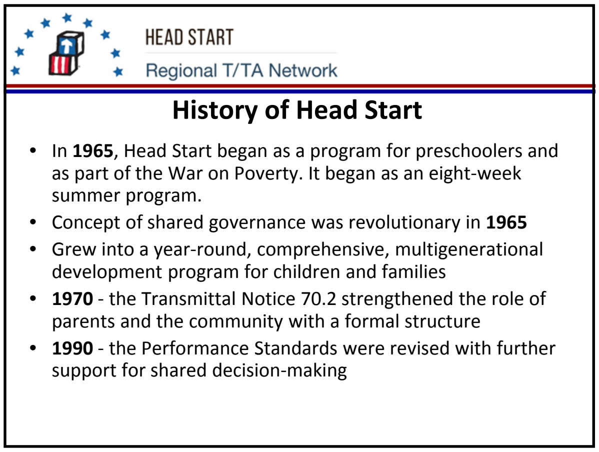
THEN

- Supportive Learning Environment
- Many Cultures
- Empowerment of Families
- Comprehensive Vision of Health
- Individual’s Development
- Treated as an Individual
- Relationships with Larger Community
- Continuum of Care

NOW

- Comprehensive Services
- Diversity
- Parent Engagement
- Governance
- Focus on the Whole Child
- Professional Development
- Collaboration
- Continuous Quality Improvement



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History of Head Start

- In **1965**, Head Start began as a program for preschoolers and as part of the War on Poverty. It began as an eight-week summer program.
- Concept of shared governance was revolutionary in **1965**
- Grew into a year-round, comprehensive, multigenerational development program for children and families
- **1970** - the Transmittal Notice 70.2 strengthened the role of parents and the community with a formal structure
- **1990** - the Performance Standards were revised with further support for shared decision-making

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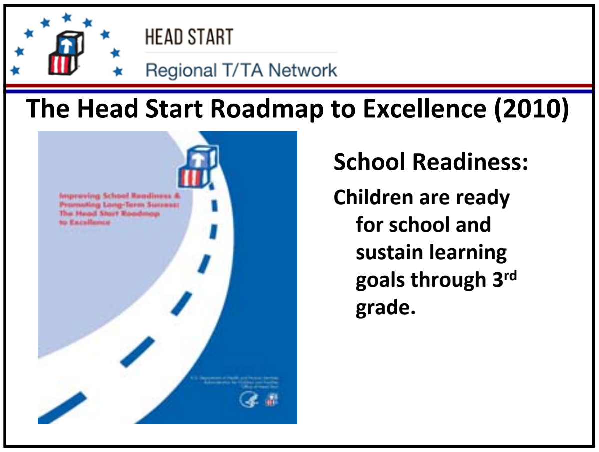
History of Head Start

- **1994 - Congress established the Early Head Start program for low-income families with infants and toddlers**
- **2007** - Head Start was reauthorized by Congress and the law became known as “The Improving Head Start for School Readiness Act of 2007”. This law expanded information on the role of the decision-makers and provided greater focus on the fiscal and oversight responsibilities of the governing body. Also, **Congress** instructed the Office of Head Start to update its performance standards and regulations and to:

“ensure that any revisions in the standards do not result in the elimination of or any reduction in quality, scope, or types of health, educational, parental involvement, nutritional, social or other services.”


Improving School Readiness & Promoting Long-Term Success: The Head Start Roadmap to Excellence

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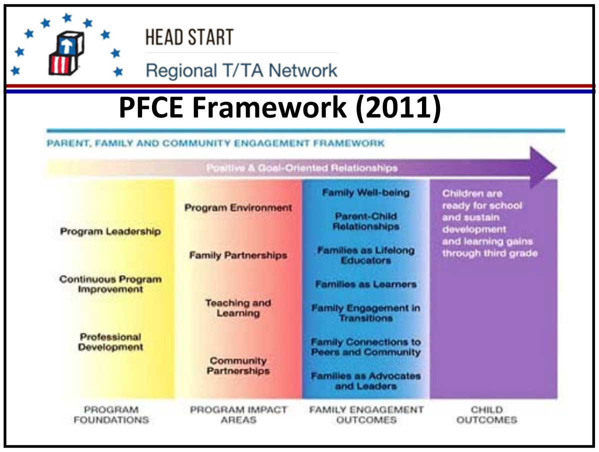
The Head Start Roadmap to Excellence (2010)

School Readiness:

Children are ready for school and sustain learning goals through 3rd grade.


PARENT, FAMILY AND COMMUNITY ENGAGEMENT FRAMEWORK
Positive & Goal-Oriented Relationships
Program Leadership
Continuous Program Improvement
Professional Development
Program Environment
Family Partnerships
Teaching and Learning
Community Partnerships
Family Well-being
Parent-Child Relationships
Families as Lifelong Educators
Families as Learners
Family Engagement in Transitions
Family Connections to Peers and Community
Families as Advocates and Leaders
Children are ready for school and sustain development and learning gains through third grade
PROGRAM FOUNDATIONS
PROGRAM IMPACT AREAS
FAMILY ENGAGEMENT OUTCOMES
CHILD OUTCOMES

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PFCE Framework (2011)

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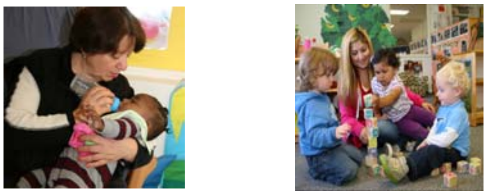
Head Start Early Learning Outcomes Framework



HSELOF
Birth to Five Approach
2015

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History of Head Start

- **2011** - 45 CFR 1307 Policies and Procedures for Designation Renewal for Head Start and Early Head Start Grantees
- ACF IM-HS-13-02 Revised: Five Year Head Start Project Periods
- ACF-IM-HS-14-02 Federal Oversight of Five Year Head Start Grants
- **June 8, 2015** Proposed Regulations were received for publication by Office of Federal Registry
- ACF-PI-HS- 16-04 Head Start Program Performance Standards (HSPPS) Final Rule
- **November 7, 2016 New Head Start Performance Standards** are effective. However, the final rule allows programs additional time to comply with specific provisions (found in Supplementary Information)

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BREAKING NEWS
Just Released:
2016 Head Start Program
Performance Standards
#HeadStart

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New Head Start Performance Standards

- **First comprehensive revision of the Head Start** Program Performance Standards since the original release in 1975
- Builds upon 50 years of leadership in comprehensive early childhood services and will further raise the quality of Head Start programs
- Streamlined, simplified, and reorganized to improve clarity and transparency to support high-quality program delivery and minimize administrative burden
- Reinforces Head Start's position as a leader in the field of comprehensive early education, reflects best practices for teaching and learning, allows local flexibility, and **reduces the number of federal requirements by approximately one-third**

Effective November 7, 2016

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The Act and the HSPPS

HEAD START ACT
(AS AMENDED DECEMBER 12, 2007)

Head Start Program Performance Standards

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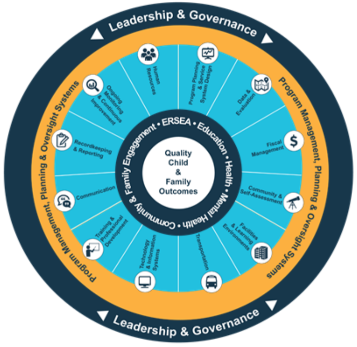
Leadership and Governance is the overarching theme of the management systems

Core ingredient for any successful Head Start program

Impacts strategic direction for five-year project period


Leadership & Governance
Program Management, Planning & Oversight Systems
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ERSEA • Education • Health • Mental Health • Community & Family Engagement
Quality Child & Family Outcomes
Program Management, Planning & Oversight Systems
Leadership & Governance

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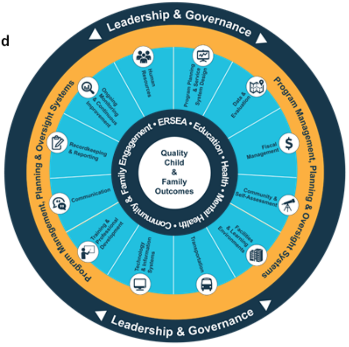
12 Management Systems work together to inform and influence the programs' service delivery.

Comprehensive Services:

- **ERSEA**
- **Education**
- **Health & Mental Health**
- **Community &Family Engagement**

Target Area

- **Quality Child &**
- **Family Outcomes**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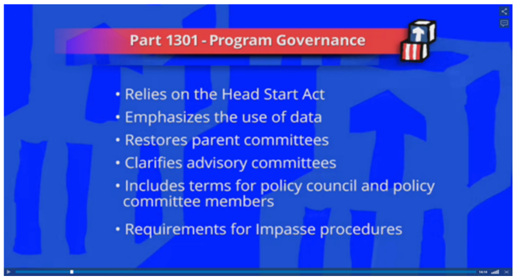
Head Start Program Performance Standards (HSPPS)



Part 1301 - Program Governance

- Relies on the Head Start Act
- Emphasizes the use of data
- Restores parent committees
- Clarifies advisory committees
- Includes terms for policy council and policy committee members
- Requirements for Impasse procedures

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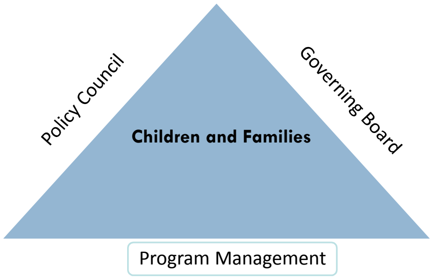
Shared Governance

ALl PARTS OF GOVERNANCE STRUCTURE MUST BE ENGAGED WITH PROGRAM


Policy Council
Governing Board
Children and Families
Program Management

Shared Governance

- Present since the inception of Project Head Start in 1965
- Parent involvement in program governance reflects the fundamental belief, **that parents must be involved in decision–making about the nature and operation of the program for Head Start to be successful in bringing about substantial change**.

Federal Register, 40 FR 27562 June 30, 1975

Head Start Act Sec 642 (c)

The Head Start agency **shall establish and maintain a formal structure for program governance**, for the **oversight of quality services** for Head Start children and families and for **making decisions related to program design and implementation.**

Part 1301 Program Governance

1301.1 Purpose
1301.2 Governing body
1301.3 Policy council and policy committee
1301.4 Parent committees
1301.5 Training
1301.6 Impasse procedures

Head Start Program Performance Standards (HSPPS)
Align with the Head Start Act

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1301.1 Program Governance Purpose

An agency must establish and maintain a **formal structure** for program governance that includes a **governing body, a policy council at the agency level and policy committee at the delegate level, and a parent committee.**

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1301.1 Program Governance

Governing bodies have a legal and fiscal responsibility to administer and oversee the agency's Head Start and Early Head Start programs

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Governing Body Composition

Governing body/ Tribal Council

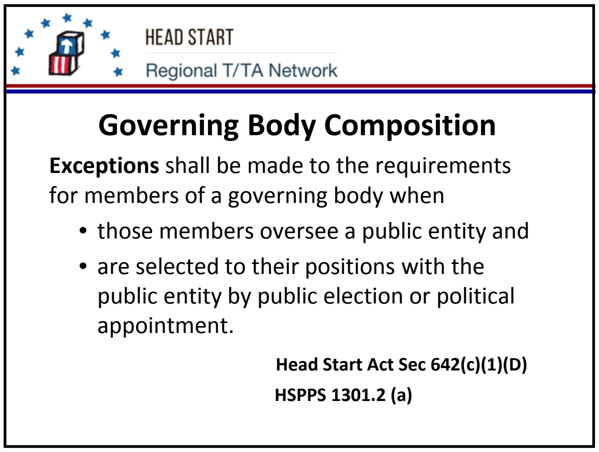
Composition – The governing body shall be **composed as follows:**

- Not less than 1 member shall have a background and expertise in **fiscal management or accounting**
- Not less than 1 member shall have a background and **expertise in early childhood education and development**
- Not less than 1 member shall **be a licensed attorney familiar with issues that come before the governing body**

Additional members shall –

- **Reflect the community to be served and include parents of children who are currently, or formerly enrolled in Head Start programs; and**
- **Are selected for their expertise in education, business administration, or community affairs**

Head Start Act 642(c)(1)(B) **HSPPS 1301.2(a)**



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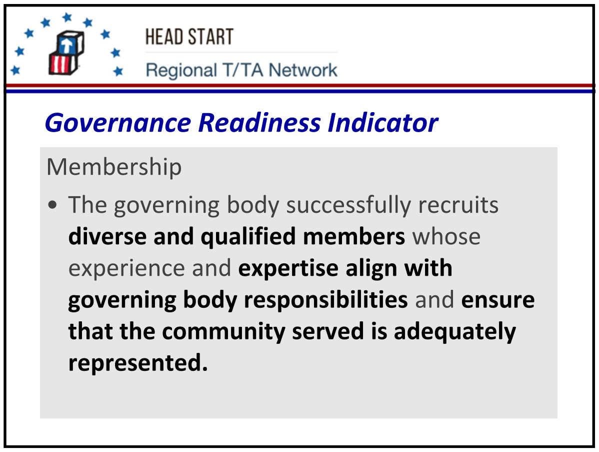
Governing Body Composition

Exceptions shall be made to the requirements for members of a governing body when

- those members oversee a public entity and
- are selected to their positions with the public entity by public election or political appointment.

Head Start Act Sec 642(c)(1)(D)
HSPPS 1301.2 (a)



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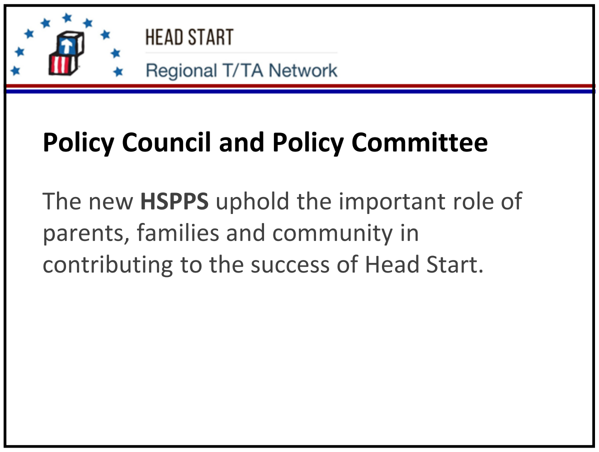
Governance Readiness Indicator

Membership

- The governing body successfully recruits **diverse and qualified members** whose experience and **expertise align with governing body responsibilities** and **ensure that the community served is adequately represented.**



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Policy Council and Policy Committee

The new **HSPPS** uphold the important role of parents, families and community in contributing to the success of Head Start.

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1301.3 Policy Council and Policy Committee

Each agency must **establish and maintain a policy council responsible for the direction of the Head Start program** at the agency level, and policy committee at the delegate level.

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Policy Council and Policy Committee Composition

Policy Council

Composition and Selection –

- The Policy Council **shall be elected by the parents of children who are currently enrolled in the Head Start program** of the Head Start agency **as early in program year as possible.**
- The Policy Council **shall be composed of** –
  - **Parents of children who are currently enrolled** in the Head Start program of the Head Start agency (including any delegate agency), **who shall constitute a majority of the members of the Policy Council;** and
  - Members at large of the community served who may include parents of children who were formerly enrolled in the Head Start program of the agency

Parents of children currently enrolled in a program option must be proportionately represented on Policy Council

Head Start Act642(c)(2)(B) 642(c)(3)
HSPPS 1301.3(b)(1)

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Governing Body Roles and Responsibilities
1301.2(b)(1) Duties and Responsibilities

The Head Start Act describes the **primary role** of governing bodies as having **legal and fiscal responsibility** for the Head Start agency and Head Start programs (sec. 642(c)(1)(A) and 642(c)(1)(E)(i)) as well as for three other areas:

(1) Practices that assure active, independent, and informed governance. (Sec. 642(c)(1)(E)(ii))

(2) Compliance with Federal requirements and applicable State, Tribal, and local law. (Sec. 642(c)(1)(E)(iii))

(3) Responsibilities in eleven specific enumerated areas related to program administration and oversight. (Sec. 642(c)(1)(E)(iv))

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Governing Body Responsibilities

Governing bodies shall be responsible for other activities, including-

I. selecting delegate agencies and the service areas for such agencies;
II. establishing procedures and criteria for recruitment, selection, and enrollment of children;
III. reviewing all applications for funding and amendments to applications for funding for programs under this subchapter;
IV. establishing procedures and guidelines for accessing and collecting information described in subsection (d)(2).

Head Start Act Sec 642(c)(1)(E)
HSPPS 1301.2(b)(1)

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Governing Body Responsibilities

V. **reviewing and approving all major policies** of the agency, including—
  - the annual self-assessment and financial audit;
  - progress in carrying out the programmatic and fiscal provisions in such agency's grant application, including implementation of corrective actions;
  - personnel policies of such agencies regarding the hiring, evaluation, termination, and compensation of agency employees;

Head Start Act Sec 642(c)(1)(E)
HSPPS 1301.2(b)(1)

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Governing Body Responsibilities

VI. developing procedures for how members of the policy council are selected, consistent with paragraph (2)(B);

VII. approving financial management, accounting, and reporting policies, and compliance with laws and regulations related to financial statements, including the—
  - approval of all major financial expenditures of the agency;
  - annual approval of the operating budget of the agency;
  - selection (except when a financial auditor is assigned by the State under State law or is assigned under local law) of independent financial auditors
  - monitoring of the agency's actions to correct any audit findings

Head Start Act Sec 642(c)(1)(E)
HSPPS 1301.2(b)(1)

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Governing Body Responsibilities

VIII. reviewing results from monitoring conducted under section 641A(c), including appropriate follow up activities;

IX. approving personnel policies and procedures, including policies and procedures regarding the hiring, evaluation, compensation, and termination of the Executive Director, Head Start Director, Director of Human Resources, Chief Fiscal Officer, and any other person in an equivalent position with the agency;

Head Start Act Sec 642(c)(1)(E)
HSPPS 1301.2(b)(1)

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Governing Body Responsibilities

X. establishing, adopting, and periodically updating written standards of conduct that establish standards and formal procedures for disclosing, addressing, and resolving—
  - any conflict of interest, and any appearance of a conflict of interest, by members of the governing body, officers and employees of the Head Start agency, and consultants and agents who provide services or furnish goods to the Head Start agency;
  - complaints, including investigations, when appropriate;

XI. to the extent practical and appropriate at the discretions of the governing body, establishing advisory committees to oversee key responsibilities related to program governance and improvement of the Head Start program involved.

Head Start Act Sec 642(c)(1)(E)
HSPPS 1301.2(b)(1)

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Effective Governance Indicator

Bylaws

The governing body adheres to a set of **bylaws** that members regularly review and update. The bylaws:

- outline the qualifications of members,
- clearly delineate the roles and responsibilities of members,
- establish a functional committee structure,
- include policies that define expectations for attendance and membership on committees, and
- include an annual calendar of activity.

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Effective Governance Indicator

Major Policies

The governing body has established **major policies** that include but are not limited to:

- a conflict of interest policy,
- personnel policies, and
- a formal process for employees and consumers to report complaints without retaliation.

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Governing Body Additional Responsibility

1301.2(b)(2)

The governing body must use ongoing monitoring information described in monitoring results, data on school readiness goals, other information described in 1302.102, and information described at 642(d)(2) of the Act to conduct its responsibilities.

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Effective Governance Indicators

Oversee Organizational Performance

- Program staff regularly share progress reports with the governing body.
- Progress reports contain information regarding core services and are tied to program goals and objectives.
- Meeting minutes confirm that the governing body regularly reviews reports that provide information on the status of program services.

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Effective Governance Indicators

- Governing body members utilize progress reports to determine the progress the organization is making in meeting organizational and program-specific objectives.
- Governing body members spend time observing program services in action in order to obtain their own perspective on program operations.

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Policy Council Additional Responsibilities
1301.3(c)(2)

Policy council, and policy committee at the delegate level, **must use ongoing monitoring results, data on school readiness goals, other information described in 1302.102**, and information described in Section 642(d)(2) of the Act to conduct its responsibilities.

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1302.102 Achieving program goals
Program Management Cross Reference to Governance

(a) Establishing program goals. A program, in collaboration with the governing body and policy council, must establish goals and measurable objectives that include:

(1) Strategic long-term goals

(2) Goals for the provision of educational, health, nutritional, and family and community engagement services

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Governing Body & Policy Council

(3) School readiness goals that are aligned with the Head Start Early Learning Outcomes Framework: Ages Birth to Five

(4) Effective health and safety practices to ensure children are **safe at all times** as per 1302.47, 1302.90(b), 1302.92(c)(1), 1302.90(c)(1)(v), 1302.90(2), 1302.94, and 1303 subpart F

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Let's take a *look* at your roles in helping to ensure our children are Actively Supervised!

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1302.90 – Personnel Policies

(a) 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.

HSPPS 1302.90(c)(1)(v) – Personnel Policies

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

Quick Question!
Have you reviewed your grantee's personnel policies regarding safety & supervision of children?

Active Supervision

- is a **set of strategies** for ***supervising*** **infants**, **toddlers**, and **preschool children** in the following areas: grantee, delegate, and partner **classrooms**; field trips and socializations; **family child care homes**; and on **playgrounds** and **school buses**.

Active Supervision is Everyone's Business!

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6 Steps to Implementing Active Supervision

1. Set Up the Environment
2. Position Staff
3. Scan and Count
4. Listen
5. Anticipate Children’s Behavior
6. Engage and Redirect

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Describing the Problem
~ One child’s story ~

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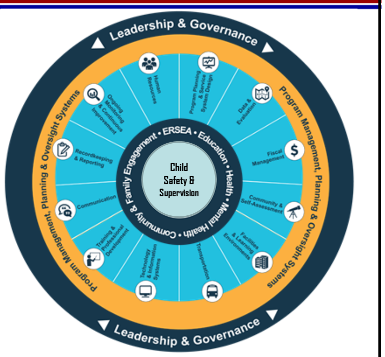
Let’s look at the Management Systems again with the center focus begin **Child Safety & Supervision!**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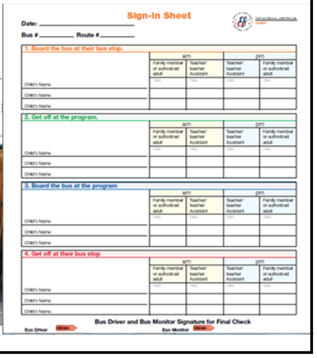
National Center Resources

Child Supervision on Transportation: Attention Management and Active Supervision on Head Start Buses


Sign-In Sheet

Date: ____________

Bus # ________ Route # ________

1. Board the bus at their bus stop.	am		pm	
	Family member or authorized adult	Teacher/ teacher Assistant	Teacher/ teacher Assistant	Family member or authorized adult
Child's Name	Time	Time	Time	Time
Child's Name				
Child's Name				

2. Get off at the program.	am		pm	
	Family member or authorized adult	Teacher/ teacher Assistant	Teacher/ teacher Assistant	Family member or authorized adult
Child's Name	Time	Time	Time	Time
Child's Name				
Child's Name				

3. Board the bus at the program	am		pm	
	Family member or authorized adult	Teacher/ teacher Assistant	Teacher/ teacher Assistant	Family member or authorized adult
Child's Name	Time	Time	Time	Time
Child's Name				
Child's Name				

4. Get off at their bus stop	am		pm	
	Family member or authorized adult	Teacher/ teacher Assistant	Teacher/ teacher Assistant	Family member or authorized adult
Child's Name	Time	Time	Time	Time
Child's Name				
Child's Name				

Bus Driver and Bus Monitor Signature for Final Check

Bus Driver

Bus Monitor

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GUIDING QUESTIONS

- Do the governing body, Policy Council and management team ***set a priority for program wide safety*** and communicate it to all stakeholders?
- As part of orientation and training, have our governing body and Policy Council learned about the ***importance of active supervision*** and ***their role in a program wide approach to promoting safe environments***?
- Does our director and management team promote informed and inclusive decision-making by ***providing timely reports related to safety***?

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1302.102 Achieving program goals

Program Management cross reference to Governance

(b) **Monitoring** program performance

(iii) Work with the governing body and policy council to **address issues** during the ongoing oversight and correction process and during the federal oversight

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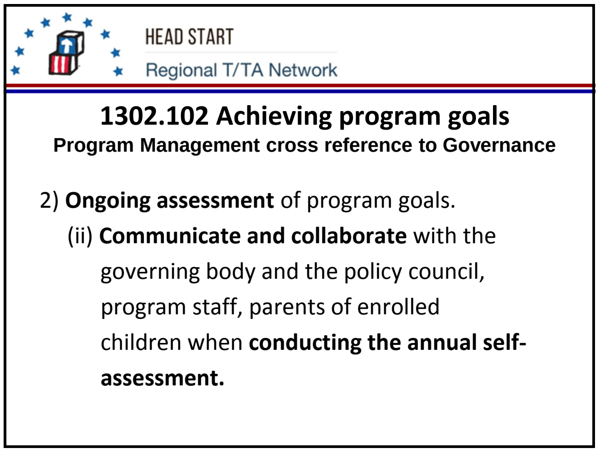
Governing Body & Policy Council Roles in Achieving

Program Goals



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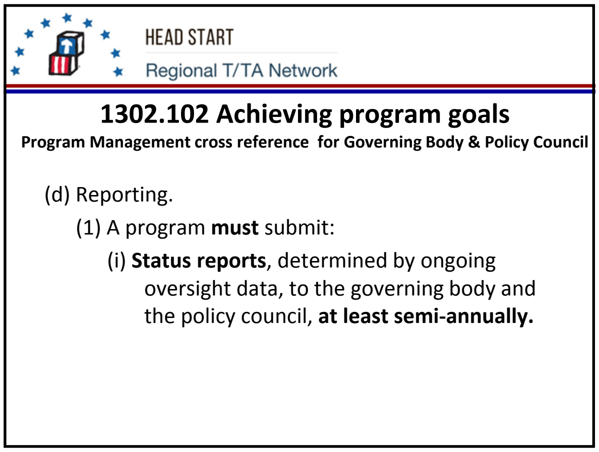
1302.102 Achieving program goals

Program Management cross reference to Governance

2) **Ongoing assessment** of program goals.

(ii) **Communicate and collaborate** with the governing body and the policy council, program staff, parents of enrolled children when **conducting the annual self-assessment.**



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1302.102 Achieving program goals

Program Management cross reference for Governing Body & Policy Council

(d) Reporting.

(1) A program **must** submit:

(i) **Status reports**, determined by ongoing oversight data, to the governing body and the policy council, **at least semi-annually.**

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Effective Governance Indicators

Communication Strategies

The governing body shares accomplishments with the community through the **annual report** and other communication strategies.

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1302.101 Management system

Program Management cross Reference for Governance

(b) **Coordinated approaches.**

(4) A program must **establish procedures on data management, and have them approved by the governing body and policy council,** in areas such as quality of data and effective use and sharing of data, **while protecting the privacy of child records** in accordance with subpart C of part 1303.

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1302.2(c) Governing Body Advisory Committees

(c) **Advisory committees**.

(1) A governing body **may establish advisory committees** as it deems necessary for effective governance and improvement of the program.

(2) If a governing body establishes an advisory committee **to oversee key responsibilities related to program governance**, it must:

1302.2(c) Governing Body Advisory Committees

(i) Establish the structure, communication, and oversight in such a way that the **governing body continues to maintain its legal and fiscal responsibility for the Head Start agency;** and

(ii) **Notify the responsible HHS official of its intent to establish such an advisory committee.**

Policy Council

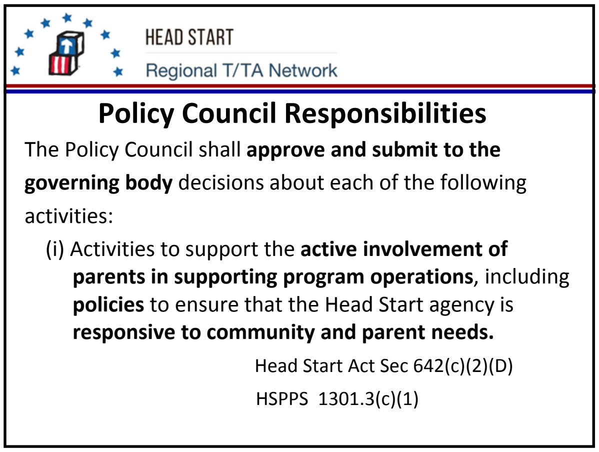
The Governance and Parent Engagement components of the new standards ***continue to recognize the foundational role of parents in Head Start****; and ensure that programs and parents are working together to help each child succeed*

Policy Council Roles and Responsibilities

Role -The Policy Council is responsible for the **direction** of the Head Start program, including **program design and operation**, and **long- and short-term planning goals and objectives.**

Responsibilities: The Policy Council **must approve and submit to the governing body** decisions related to **eight specific activities.**

Head Start Act 642(c)(2)(D)
HSPPS 1301.3(c)(1)



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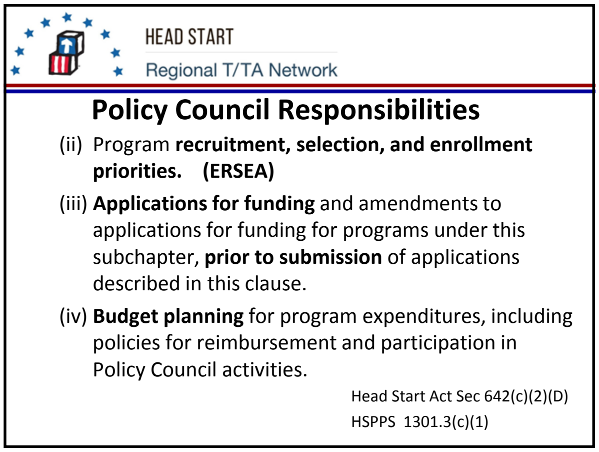
Policy Council Responsibilities

The Policy Council shall **approve and submit to the governing body** decisions about each of the following activities:

(i) Activities to support the **active involvement of parents in supporting program operations**, including **policies** to ensure that the Head Start agency is **responsive to community and parent needs.**

Head Start Act Sec 642(c)(2)(D)
HSPPS 1301.3(c)(1)



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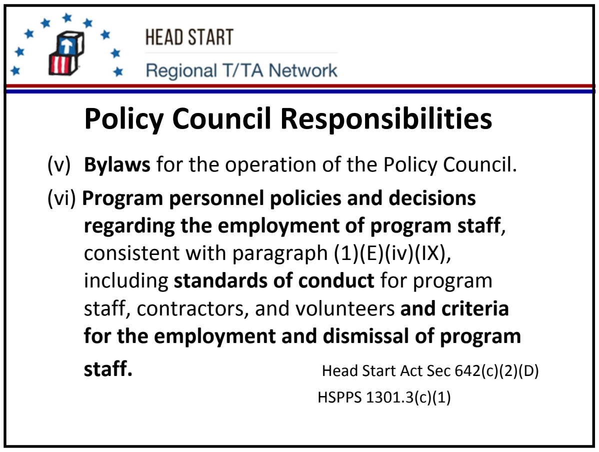
Policy Council Responsibilities

(ii) Program **recruitment, selection, and enrollment priorities. (ERSEA)**

(iii) **Applications for funding** and amendments to applications for funding for programs under this subchapter, **prior to submission** of applications described in this clause.

(iv) **Budget planning** for program expenditures, including policies for reimbursement and participation in Policy Council activities.

Head Start Act Sec 642(c)(2)(D)
HSPPS 1301.3(c)(1)



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Policy Council Responsibilities

(v) **Bylaws** for the operation of the Policy Council.

(vi) **Program personnel policies and decisions regarding the employment of program staff**, consistent with paragraph (1)(E)(iv)(IX), including **standards of conduct** for program staff, contractors, and volunteers **and criteria for the employment and dismissal of program staff.**

Head Start Act Sec 642(c)(2)(D)
HSPPS 1301.3(c)(1)

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Policy Council Responsibilities

(vii) Developing **procedures for how members of the Policy Council** of the Head Start agency **will be elected.**

(viii) **Recommendations on the selection of delegate agencies and the service areas** for such agencies.

Head Start Act Sec 642(c)(2)(D)
HSPPS 1301.3(c)(1)

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1301.3(d) Policy Council and Policy Committee

Term:

1. **A member will serve for one year.**
2. If a member intends **to serve for another year, she/he must stand for election.**
3. **The policy council**, and policy committee at the delegate level, **must include in its bylaws how many one year terms, not to exceed five terms, a person may serve.**
4. **A program must seat a successor policy council**, policy committee at the delegate level, **before an existing policy council**, or policy committee at the delegate level, **may be dissolved.**

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1301.3(e) Policy Council and Policy Committee Reimbursement

Reimbursement.

A program must enable low-income members to participate fully in their policy council or policy committee responsibilities **by providing, if necessary, reimbursements for reasonable expenses** incurred by the low-income members.

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1301.4 Parent Committees

(a) Establishing parent committees. **A program must establish a parent committee comprised exclusively of parents of currently enrolled children as early in the program year as possible**. This committee must be established at the center level for center-based programs and at the local program level for other program options. When a program operates more than one option, parents may choose to have a separate committee for each option or combine membership. **A program must ensure that parents of currently enrolled children understand the process for elections to the policy council or policy committee and other leadership opportunities.**

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1301.4 Parent Committees

(b) Requirements of parent committee. Within the parent committee structure, **a program may determine the best methods to engage families using strategies that are most effective in their community,** as long as the program ensures the parent committee carries out the following **minimum responsibilities**:

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1301.4 Parent Committees Responsibilities

Parent committees carries out the following minimum responsibilities:

(1) **Advise staff in developing and implementing local program policies, activities, and services to ensure they meet the needs of the children and parents.**

(2) **Have a process for communication with the policy council** and policy committee.

(3) **Within the guidelines established** by the governing body, policy council, policy committee, **participate in the recruitment and screening of Early Head Start and Head Start employees.**

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Core Element of Strong Governance

Processes

Joint Governing Body and Policy Council Responsibilities

Section 642(d)(2) requires each Head Start and Early Head Start agency to **ensure governing bodies and policy councils receive and share "accurate and regular information . . . about program planning, policies, and Head Start agency operations."**

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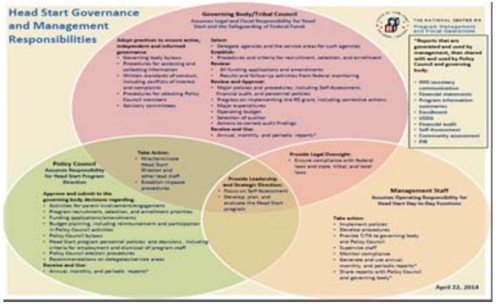
Shared Governance Responsibilities


Head Start Governance and Management Responsibilities
Governing Body/Tribal Council
Policy Council
Management Staff
April 22, 2014

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Program Governance Administration

Information that **must** be shared and used by Governing Bodies and Policy Councils:

(A) **Monthly financial statements**, including credit card expenditures;
(B) Monthly **program information summaries**;
(C) Program **enrollment reports, including attendance** reported for children whose care is partially subsidized by another public agency;
(D) Monthly **reports of meals and snacks** provided through program of the **Department of Agriculture;**

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Program Governance Administration

(E) The **financial audit**;
(F) The **annual self assessment**, including and findings related to such assessment
(G) The **communitywide strategic planning and needs assessment** of the Head Start Agency, including and **applicable updates;**
(H) **Communication and guidance from the secretary**; and
(I) The **program information reports**.

Head Start Act 642(d)(2)

A program must submit: status reports, determined by ongoing oversight to the governing body and policy council, at least semi-annually.

HSPPS 1302.102(d)(1)(i)

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Aligning Fiscal Systems to Program Goals

- Strong program-fiscal-governance relationships
- Effective communication, financial planning, and budgeting
- Data-informed decisions that reflect resources needed to accomplish program goals and objectives

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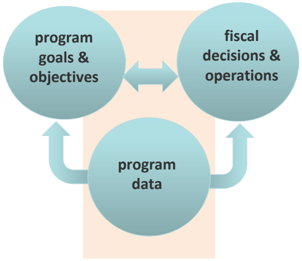
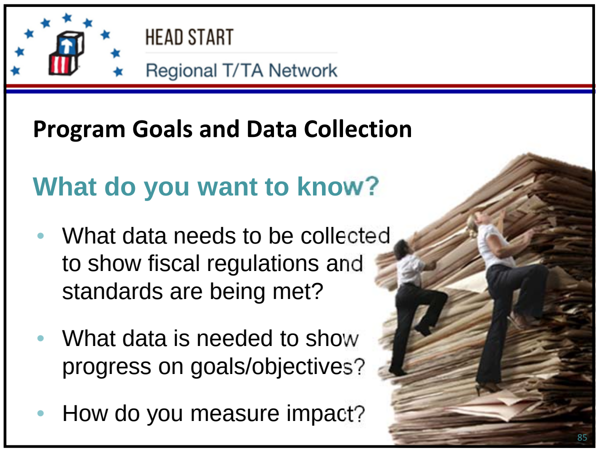
Fiscal Management Systems and Five-Year Performance Goals



Grantees should demonstrate that their fiscal decisions and operations are aligned with program goals and objectives and informed by program data.



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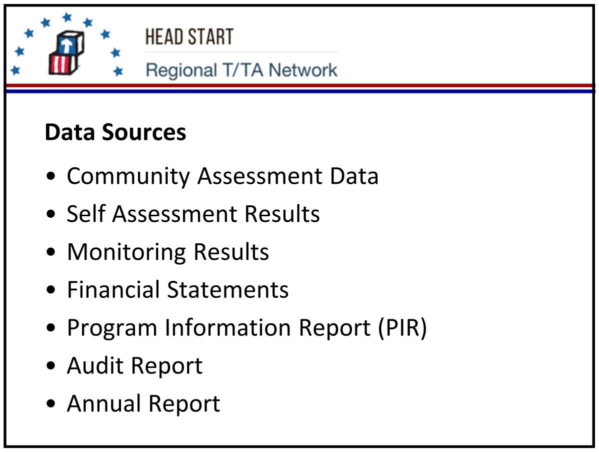
Program Goals and Data Collection

What do you want to know?

- What data needs to be collected to show fiscal regulations and standards are being met?
- What data is needed to show progress on goals/objectives?
- How do you measure impact?



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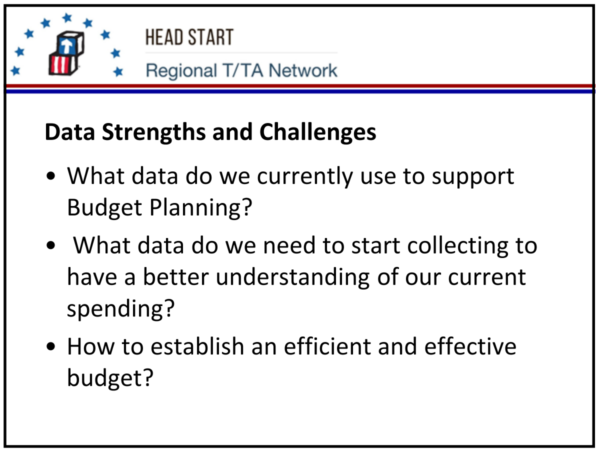
Data Sources

- Community Assessment Data
- Self Assessment Results
- Monitoring Results
- Financial Statements
- Program Information Report (PIR)
- Audit Report
- Annual Report



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Data Strengths and Challenges

- What data do we currently use to support Budget Planning?
- What data do we need to start collecting to have a better understanding of our current spending?
- How to establish an efficient and effective budget?

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Proposed Budget

- *A proposed **budget** is the numerical expression of an organization's dreams that serves as a guide or measure of acceptable financial performance. " (Financial Planning for Non-Profit Organizations)*

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Budget and Budget Justification

Budget development must reflect the vision, goals, and objectives of the Head Start/Early Head Start program and provide sufficient resources to support short- and long-term program operations.

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DEVELOPMENT & ADMINISTRATIVE COST

Allowable costs for developing and administering a Head Start program may not exceed 15 percent of the TOTAL approved costs of the program, unless the responsible HHS official grants a waiver approving a higher percentage for a specific period of time not to exceed 12 months (45 CFR 1303.5).

PROGRAM COST

Program Cost mean costs incurred in accordance with an approved Head Start budget which directly relate to the provision of program component services, including services to children with disabilities, as set forth and described in the Head Start Program Performance Standards (45 CFR part 1305.2).

INDIRECT COST

Indirect costs are the shared costs incurred by an organization that may not be readily identifiable with a particular project or program but are necessary to the overall operation of the organization and the performance of its program (45 CFR 75.414).

NON-FEDERAL SHARE MATCH

In accordance with section 640(b) of the Act, federal financial assistance to a grantee will not exceed 80 percent of the approved total program costs. A grantee must contribute 20 percent as non-federal match each budget period. The responsible HHS official may approve a waiver of all or a portion of the non-federal match requirement on the basis of the grantee's written application submitted for the budget period and any supporting evidence the responsible HHS official requires (Head Start Act 640(b) and HSPPS 1303.4).

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NON-FEDERAL SHARE MATCH

Governing Body:

- Participate in Non-Federal Share efforts;
- Identify resources for program improvements including cash donations;
- Ask pertinent questions when unsure of information contained in the financial documents

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QUESTIONS TO CONSIDER

- Do we have enough resources federal and non-federal to remain financially viable?
- Are the main expenses in line with projections?
- Are our expenditures appropriate?
- Are there any trends in the sources of funds that may impact future funding?

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QUESTIONS TO CONSIDER CONTINUED

- Are there significant variances in the budget line items?
- Are thresholds established for procurement transactions to be viewed by the governing body?
- Are their potential risk, their likelihood and the potential impact on the agency (financial, operational and external)?

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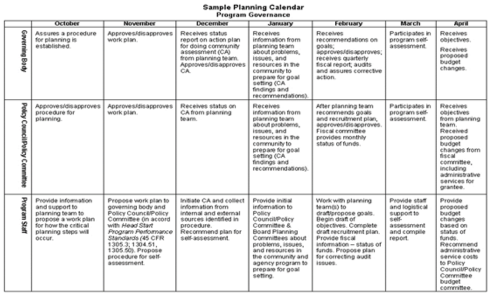
Planning for Effective Governance



Sample Planning Calendar
Program Governance

	October	November	December	January	February	March	April
Governing Body	Assures a procedure for planning is established.	Approves/disapproves work plan.	Receives status report on action plan for doing community assessment (CA) from planning team. Approves/disapproves CA.	Receives information from planning team about problems, issues, and resources in the community to prepare for goal setting (CA findings and recommendations).	Receives recommendations on goals; approves/disapproves; receives quarterly fiscal report; audits and assures corrective action.	Participates in program self-assessment.	Receives objectives. Receives proposed budget changes.
Policy Council/Policy Committee	Approves/disapproves procedure for planning.	Approves/disapproves work plan.	Receives status on CA from planning team.	Receives information from planning team about problems, issues, and resources in the community to prepare for goal setting (CA findings and recommendations).	After planning team recommends goals and recruitment plan, approves/disapproves. Fiscal committee provides monthly status of funds.	Participates in program self-assessment.	Receives objectives from planning team. Received proposed budget changes from fiscal committee, including administrative services for grantee.
Program Staff	Provide information and support to planning team to propose a work plan for how the critical planning steps will occur.	Propose work plan to governing body and Policy Council/Policy Committee (in accord with *Head Start Program Performance Standards* (45 CFR 1305.3; 1304.51, 1305.50). Propose procedure for self-assessment.	Initiate CA and collect information from internal and external sources identified in procedure. Recommend plan for self-assessment.	Provide initial information to Policy Council/Policy Committee & Board Planning Committees about problems, issues, and resources in the community and agency program to prepare for goal setting.	Work with planning team(s) to draft/propose goals. Begin draft of objectives. Complete draft recruitment plan. Provide fiscal information – status of funds. Propose plan for correcting audit issues.	Provide staff and logistical support to self-assessment and compile report.	Provide proposed budget changes based on status of funds. Recommend administrative service costs to Policy Council/Policy Committee budget committee.

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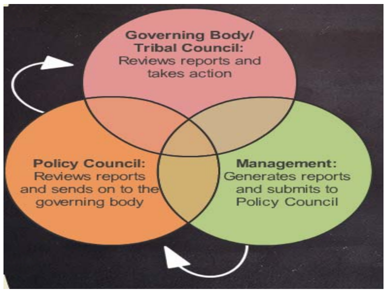
Flow of Reports



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Conflict of Interest

Members of the governing body shall—

(i) **not have a financial conflict of interest** with the Head Start agency (including any delegate agency);

(ii) **not receive compensation for serving** on the governing body or for providing services to the Head Start agency;

(iii) **not be employed, nor shall members of their immediate family be employed, by the Head Start agency** (including any delegate agency); and

(iv) **operate as an entity independent of staff** employed by the Head Start agency.

Head Start Act Sec. 642(c)(1)(C)

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Conflict of Interest

Members of the Policy Council shall-

(i) not have a conflict of interest with the Head Start agency (including any delegate agency)

And

(ii) **not receive compensation for serving on the Policy Council or for providing services to the Head Start agency.**

Head Start Act Sec. 642(c)(2)(C)

Staff may not serve on the policy council or policy committee at the delegate level, except parents who occasionally substitute as staff. 1301.3(b)(2)

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Program Governance Administration

(1) IMPASSE POLICIES - The Secretary shall develop policies, procedures, and guidance for Head Start agencies concerning –

(A) the resolution of internal disputes, including any impasse in the governance of Head Start programs; and

(B) the facilitation of meaningful consultation and collaboration about decisions of the Governing Body and Policy Council.

Head Start Act 642(D)

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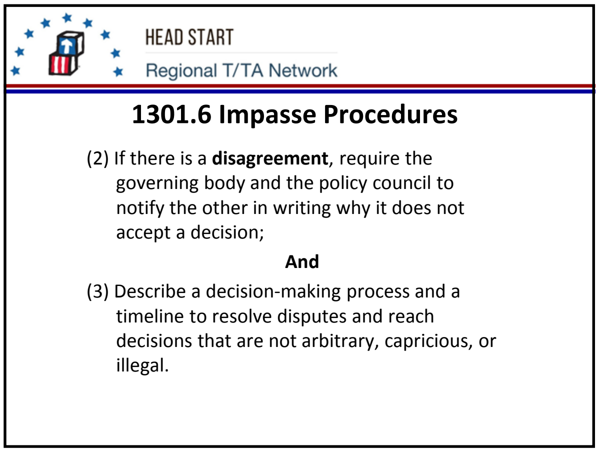
1301.6 Impasse Procedures

(a) To facilitate consultation and collaboration about decisions of the governing body and the policy council, **each agency's governing body and policy council must establish written procedures for resolving internal disputes between the governing board and the policy council in a timely manner that includes impasse procedures.** These procedures must:

(1) Demonstrate that the governing body considers decisions from the policy council and that the policy council considers proposed decisions from the governing body;



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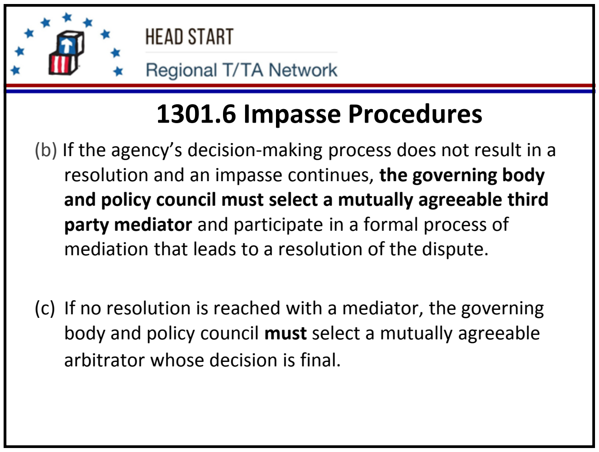
1301.6 Impasse Procedures

(2) If there is a **disagreement**, require the governing body and the policy council to notify the other in writing why it does not accept a decision;

And

(3) Describe a decision-making process and a timeline to resolve disputes and reach decisions that are not arbitrary, capricious, or illegal.



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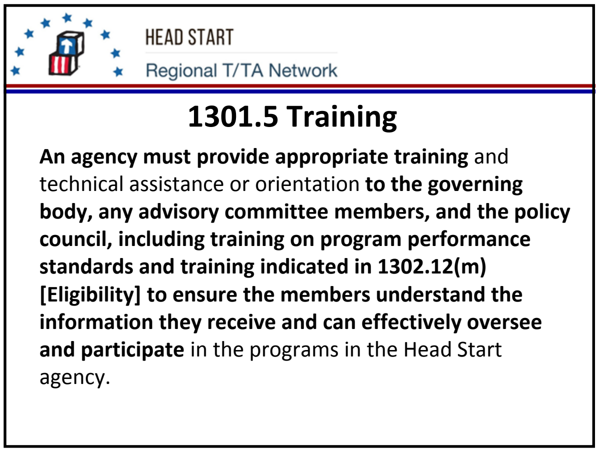
1301.6 Impasse Procedures

(b) If the agency's decision-making process does not result in a resolution and an impasse continues, **the governing body and policy council must select a mutually agreeable third party mediator** and participate in a formal process of mediation that leads to a resolution of the dispute.

(c) If no resolution is reached with a mediator, the governing body and policy council **must** select a mutually agreeable arbitrator whose decision is final.



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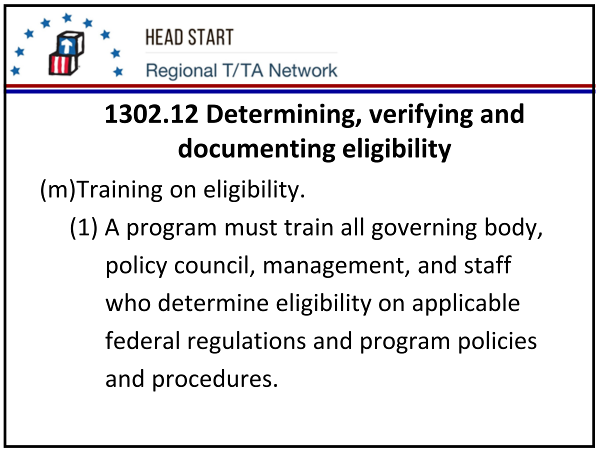
1301.5 Training

An agency must provide appropriate training and technical assistance or orientation **to the governing body, any advisory committee members, and the policy council, including training on program performance standards and training indicated in 1302.12(m) [Eligibility] to ensure the members understand the information they receive and can effectively oversee and participate** in the programs in the Head Start agency.



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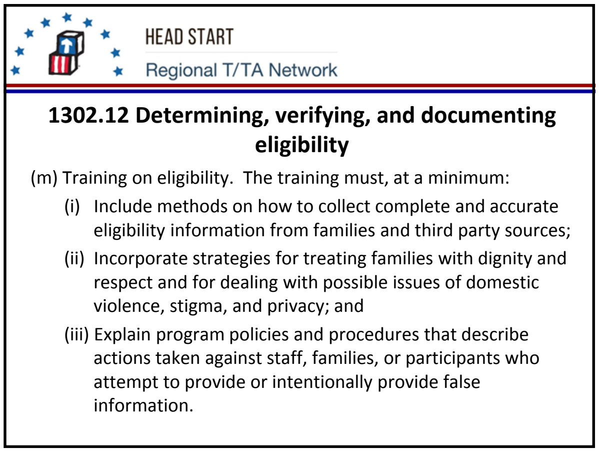
1302.12 Determining, verifying and documenting eligibility

(m)Training on eligibility.

(1) A program must train all governing body, policy council, management, and staff who determine eligibility on applicable federal regulations and program policies and procedures.



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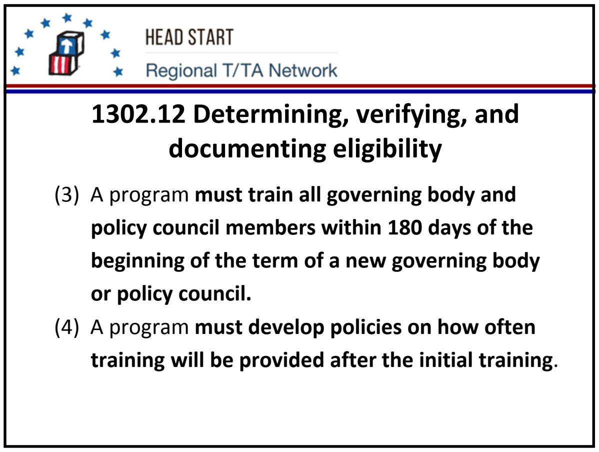
1302.12 Determining, verifying, and documenting eligibility

(m) Training on eligibility. The training must, at a minimum:

- (i) Include methods on how to collect complete and accurate eligibility information from families and third party sources;
- (ii) Incorporate strategies for treating families with dignity and respect and for dealing with possible issues of domestic violence, stigma, and privacy; and
- (iii) Explain program policies and procedures that describe actions taken against staff, families, or participants who attempt to provide or intentionally provide false information.



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1302.12 Determining, verifying, and documenting eligibility

(3) A program **must train all governing body and policy council members within 180 days of the beginning of the term of a new governing body or policy council.**

(4) A program **must develop policies on how often training will be provided after the initial training**.

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Questions to consider

- How do you know that Governing Body/Tribal Council and Policy Council members are knowledgeable about their roles and responsibilities as Head Start program leaders?
- How is the required expertise (e.g. financial, legal, and early education) represented on the governing body/Tribal Council? If exceptions have been made, how are these documented?
- What is the makeup of the Policy Council? How are program options represented on the Policy Council?
- How does communication take place between Parent Committee and Policy Council?
- How does communication between governing body/Tribal Council, Policy Council and key management staff take place in support of decision-making?
- If applicable, how are governing body/Tribal Council members involved in strategic planning activities?

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What's working in your program?	What do you need to strengthen?	How will you strengthen Governance?

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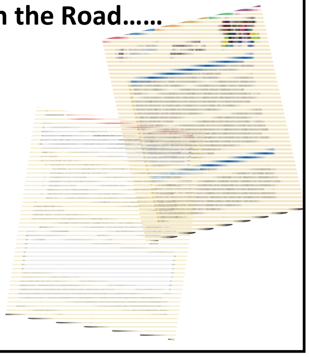
Next Steps on the Road……



Governance Readiness Tool

Helps organizations' governing bodies and leaders assess their capacity to effectively oversee a Head Start/Early Head Start program

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Next Steps on the Road……

Governance, Leadership and Oversight Capacity Screener (OHS)

Reflects the Head Start requirements for program governance to help organizations identify where they need to make changes for quality improvement.

The screener must be completed within 60 days of the start of the five-year project period.

The training plan must be completed within 75 days of the start of the five-year project period.

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Next Steps on the Road……

Supports new governing body and Tribal Council members, as well as Head Start directors and executive directors in:

- Learning about the history and mission of Head Start
- Understanding Head Start governance regulations, systems and procedures
- Embracing their legal and fiscal responsibilities

Head Start Governing Body and Tribal Council Certification

Head Start Governing Body
and Tribal Council
Certification
Overview
Section 1
Section 2
Section 3
Section 4
Section 5

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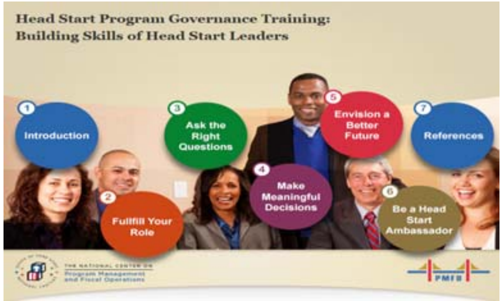
Next Steps on the Road……



Head Start Program Governance Training:
Building Skills of Head Start Leaders

1 Introduction
2 Fulfill Your Role
3 Ask the Right Questions
4 Make Meaningful Decisions
5 Envision a Better Future
6 Be a Head Start Ambassador
7 References
THE NATIONAL CENTER ON Program Management and Fiscal Operations
PMFO

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http://eclkc.ohs.acf.hhs.gov/hslc

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DISCOVER
BELIEVE
IMAGINE
CREATE
ASPIRE
INSPIRE
pause
Newest Resources
For Parents
Head Start Locator
Address
City
State
Select a state

Head Start and Early Head Start Relationship-Based Competencies

Download the NEW resource for staff and supervisors who work with families

June 06, 2012

Head Start and Early Head Start Relationship-Based Competencies for Staff and Supervisors who Work With Families (ACF-IM-HS-12-05)

Competencias, basadas en las relaciones, para el personal y los supervisores que trabajan con las familias de Head Start y Early Head Start (ACF-IM-HS-12-05)

May 09, 2012

Head Start, Child Care, and Public Libraries: Partnerships to Support Young Children and Their Families (ACF-IM-HS-12-04)

Head Start, Cuidado infantil y bibliotecas públicas: Asociaciones para apoyar a los niños pequeños y a sus familias (ACF-IM-HS-12-04)

School Readiness Goals for Infants and Toddlers

Use this resource to learn more about the unique characteristics of infants and toddlers

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Resources

- **The Head Start Act of 2007** **https://eclkc.ohs.acf.hhs.gov/policy/head-start-act**
- **HSPPS** **https://eclkc.ohs.acf.hhs.gov/policy/45-cfr-chap-xiii**
- **ECLKC** **http://eclkc.ohs.acf.hhs.gov**
- **Head Start 101: History, Values, and Regulations (Http://eclkc.ohs.acf.hhs.gov)**

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Change the First Five Years and You Change Everything

https://www.youtube.com/watch?v=GbSp88PBe9E

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> *“Far and away the best prize that life offers is the chance to work hard at work worth doing.”*
>
> **Theodore Roosevelt, Twenty-sixth President of the United States**

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THANKS