

**Education Service Center, Region 20  
Head Start Program**

**Governing Body Roles & Responsibilities**

In order to ensure the implementation of a high quality Head Start program, the governing body, ESC-20 Board of Directors, will perform their roles and responsibilities as outlined in the ESC-20 Board Policies and the Head Start Performance Standards. (45 CFR Part(s): 1304.50(g)(1), 1304.52(k)(4), 1304.50 Appendix A – Governance & Management Responsibilities as well as SEC. 642. POWERS AND FUNCTIONS OF HEAD START AGENCIES. [42 U.S.C. 9837] of the Head Start Act)

**Procedure:**

1. Head Start is one of many programs for which the ESC-20 Board of Directors has oversight. The Board members' roles and responsibilities for all programs are outlined in the ESC-20 Board Policies and Head Start Performance Standards.
2. **Responsibilities** - The governing body shall—
  - have legal and fiscal responsibility for administering and overseeing programs under this subchapter, including the safeguarding of Federal funds;
  - adopt practices that assure active, independent, and informed governance of the Head Start agency and fully participate in the development, planning, and evaluation of the Head Start programs involved;
  - be responsible for ensuring compliance with Federal laws (including regulations) and applicable State, tribal, and local laws (including regulations); and
  - be responsible for other activities, including--
    - establishing procedures and criteria for recruitment, selection, and enrollment of children;
    - reviewing all applications for funding and amendments to applications for funding for programs under this subchapter;
    - establishing procedures and guidelines for accessing and collecting information described in subsection (d)(2);
  - reviewing and approving all major policies of the agency, including--
    - the annual self-assessment and financial audit;
  - such agency's progress in carrying out the programmatic and fiscal provisions in such agency's grant application, including implementation of corrective actions; and

- personnel policies of such agencies regarding the hiring, evaluation, termination, and compensation of agency employees;
- developing procedures for how members of the policy council are selected,
- 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 who shall report all critical accounting policies and practices to the governing body; and
  - monitoring of the agency's actions to correct any audit findings and of other action necessary to comply with applicable laws (including regulations) governing financial statement and accounting practices;
- reviewing results from monitoring conducted under section 641A(c), including appropriate follow-up activities;
- 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;
- 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; and
- complaints, including investigations, when appropriate; and
- to the extent practicable and appropriate, at the discretion of the governing body, establishing advisory committees to oversee key responsibilities related to program governance and improvement of the Head Start program involved.

**3. 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.

4. **Composition** - The governing body meets Head Start Act requirements through the Exception statement:

- Exceptions shall be made to the requirements of clauses (i) through (iv) 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.

5. The Board must approve or disapprove the following functions as stated in Appendix A—Governance and Management Responsibilities:

- Procedures for program planning
- Program's philosophy and long- and short-range program goals and objectives
- All funding applications and amendments to funding applications for Head Start, including administrative services, prior to the submission of such applications to the grantee or to HHS
- Composition of the Policy Council and the procedures by which policy group members are chosen
- Written policies that define the roles and responsibilities of the governing body members and that inform them of the management procedures and functions necessary to implement a high quality program
- Procedures describing how the governing body and the Policy Council will implement shared decision-making
- Internal dispute resolution procedures for resolving internal disputes, including impasse procedures, between the governing body and Policy Council
- Program personnel policies and subsequent changes to those policies...including standards of conduct for program staff, consultants and volunteers
- Decisions to hire or terminate the Head Start director of the grantee agency

6. The following items will be presented annually to the ESC-20 Board along with a regular Head Start report at each Board meeting:

- Board training of Governing Body Roles & Responsibilities
- Revised program plans and procedures to include: procedures for program planning, internal dispute resolution, shared decision-making
- The composition of Policy Council members
- Self-Assessment Strategic Improvement Plan, Mid-Year Child Outcomes summary results
- Continuation grant application
- Program philosophy and long- and short-range program goals and objectives

7. At each ESC-20 Board meeting the Board members receive information about the Head Start program as well as requests for any action that needs to be taken. The Board is given the opportunity to respond and make comments or suggestions on all Board agenda items related to Head Start. Some items that come to the Board's attention as needed are:

- Procedures designated for approval by the Board

- Approval of new professional positions
  - Information on personnel decisions
  - Program reports such as Head Start Financial Reports
  - Any items required for approval as stated in Appendix A—Governance and Management Responsibilities as well as items outlined in the Head Start Act
8. In order to facilitate shared decision-making and keep communication open between the ESC-20 Board and the Policy Council the following actions will be taken:
- The ESC-20 Board is invited to each Policy Council meeting and receives a copy of the Policy Council meeting agenda.
  - Mr. Charles Carlson serves as the liaison between the ESC-20 Board and the Policy Council and attends meetings for both entities and reports a summary of the Policy Council meeting back to the ESC-20 Board.
  - A Policy Council representative attends ESC-20 Board meetings and presents a report to the Policy Council concerning action of the ESC-20 Board as related to Head Start.

*Revised October 2011/CM*

ESC-20 Board Approved: October 26, 2011

Policy Council Approved: October 20, 2011