Head Start Governance

Head Start Governance Training

Presented by: Bernadine Martinez

Program Governance Training

- 12 Management Systems
- Head Start Act, Sec.642 (c)(1)(B)
  - Composition of Governing Body
- Head Start A-Z
  - Ongoing Training
  - Legal and Fiscal Responsibility
  - Criteria for Recruitment
  - Annual Self-Assessment
  - Annual Approval of Budget
- Reports
- Collaboration with Policy Council

Management Systems

12 Management Systems

- Program Planning & Service System Design
- Data & Evaluation
- Fiscal Management
- Community & Self-Assessment
- Facilities & Learning Environments
- Transportation
- Technology & Information Systems
- Training & Professional Development
- Communication
- Recordkeeping & Reporting
- Ongoing Monitoring & Continuous Improvement
- Human Resources

Head Start A-Z

- Head Start Act, Sec.642 (c)(1)(B)
  - Composition of Governing Body
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  - Ongoing Training
  - Legal and Fiscal Responsibility
  - Criteria for Recruitment
  - Annual Self-Assessment
  - Annual Approval of Budget

Program Governance Reference Book

Contents

- Governing Body
- Policy Council
- Policy Committees
- Program Governance Administration
- Policy Group

Governance, Leadership, and Oversight Capacity Screener

Assess knowledge

Guides future ongoing training and assessments

Self-Assessment

Yearly

Guides compliance

TABLE OF CONTENTS

Program Governance Background 1

Program Governance 2

Key Messages 3

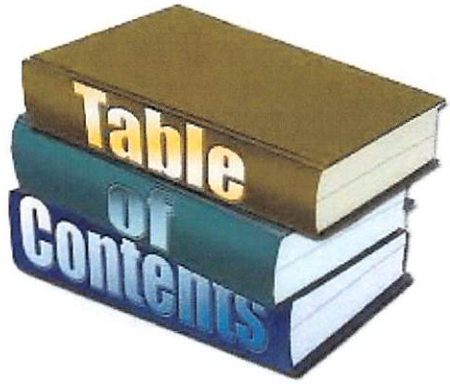
Reference Book 4

Capacity Screener 5

Side-By-Side 6

Reports 7

Self-Paced Training 8



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Program Governance Background

Head Start A to Z

Program Governance

BACKGROUND

Head Start Program Governance is one of the 10 management systems within Head Start programs. Each of the 10 systems plays a critical role in supporting quality Head Start services that lead to positive outcomes for children and families.

New directors and leaders will want to become familiar with the unique characteristics of Head Start Program Governance so they can actively ensure that their program's overall governance system is in place. Grantee organizations that build a strong governance system, define governance processes, and work to establish positive relationships among all three of the Head Start governing entities are better equipped to respond to problems in their program and deliver high-quality Head Start services to their children and families. A strong governance system fosters an environment that supports innovation and continuous program improvement.

The first step to establishing a strong Head Start governance system is to understand the requirements of the Head Start Act of 2007 and the Head Start Program Performance Standards related to the governing body and the Policy Council: their composition, their roles and responsibilities, and the appropriate ways for both entities to carry out their responsibilities. Head Start directors and leaders should take stock of their program's governance system and determine if changes or improvements need to be made so their system reflects the intent of Head Start law and regulations.

Head Start Program Governance is both unique and complex and includes three separate entities: (1) the governing body/Tribal Council, (2) the Policy Council, and (3) the management staff. New Head Start directors and leaders will learn to appreciate the notable history of Head Start and the role that families and community representatives have always played in establishing the direction of their program. This coordinated effort is accomplished through the Policy Council, whose elected members include parents of currently enrolled children and other community members.

Head Start leaders also must ensure that the governing body/Tribal Council and Policy Council each has a membership that complies with the Head Start Act, Sec.642 (c)(1)(B). They must also ensure that the governing body/Tribal Council and Policy Council obtain ongoing training and

technical assistance so that the members can fully understand and fulfill their roles and responsibilities.

In addition, Head Start leaders need to ensure that they have processes in place to provide timely information to the Policy Council and governing body to allow for informed decision-making. In particular, the decision-making process should involve the executive director, governing body, Policy Council, parent committees, and Head Start managers. Grantees that have a strong program governance system ensure that they have the right structure, the right people, and the right practices. Historically, Head Start has designed the right structure and included the right people. Directors and Head Start leaders are charged with ensuring that their programs use the right practices.

PROGRAM GOVERNANCE SYSTEM COMPONENTS

Program Governance represents one of the 10 Head Start management systems directly related to successful outcomes for children, families, programs, and communities. The Head Start Program Governance system is the foundation of the organization and arguably one of its most critical entities.

The Program Governance system in essence entails

1. composing a governing body/Tribal Council according to Head Start mandate,
2. establishing a clear understanding of the roles and responsibilities of the three entities within the system (governing body, Policy Council and management staff), and
3. continuously strengthening the Program Governance system in order to achieve desired outcomes for children and families in the communities served.

Head Start leaders need to ensure that their programs meet the requirements of the Head Start Act 2007 with regards to their governing body and their Policy Council: the composition, roles and responsibilities, and the conduct of responsibilities of both of these important entities.

GOVERNING BODY COMPOSITION REQUIREMENTS: SEC. 642 (C)(1)(B)

(B) **COMPOSITION**. The governing body **shall** be composed as follows:

(i) Not less than 1 member **shall** have a background and expertise in fiscal management or accounting.

(ii) Not less than 1 member **shall** have a background and expertise in early childhood education and development.

(iii) Not less than 1 member **shall** be a licensed attorney familiar with issues that come before the governing body.

(iv) Additional members **shall**

(I) reflect the community to be served and include parents of children who are currently, or were formerly, enrolled in Head Start programs; and

(II) are selected for their expertise in education, business administration, or community affairs.

(B) **COMPOSITION**. The governing body **shall** be composed as follows:

(v) 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.

(vi) If a person described in clause (i), (ii), or (iii) is not available to serve as a member of the governing body, the governing body shall use a consultant, or another individual with relevant expertise, with the qualifications described in that clause, who **shall** work directly with the governing body.

(E) **RESPONSIBILITIES**. The governing body **shall**

(i) have legal and fiscal responsibility for administering and overseeing programs under this subchapter, including the safeguarding of federal funds;

(ii) adopt practices that assure active, independent, and informed governance of the Head Start agency, including practices consistent with subsection (d)(1), and fully participate in the development, planning and evaluation of the Head Start programs involved;

(iii) be responsible for ensuring compliance with Federal laws (including regulations) and applicable state, tribal and local laws (including regulations); and

(iv) 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 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);

(V) reviewing and approving all major policies of the agency, including

(aa) the annual self-assessment and financial audit;

(bb) such agency's progress in carrying out the programmatic and fiscal provisions in such agency's grant application, including implementation of corrective actions; and

(cc) personnel policies of such agencies regarding the hiring, evaluation, termination, and compensation of agency employees;

(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

(aa) approval of all major financial expenditures of the agency;

(bb) annual approval of the operating budget;

(cc) 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

(dd) monitoring of the agency's actions to correct any audit findings and of other actions necessary to comply with applicable laws (including regulations) governing financial statements and accounting practices;

(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 and 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 ;

(X) establishing, adopting, and periodically updating written standards of conduct that establish standards and formal procedures for disclosing, addressing, and resolving

(aa) any conflict of interest, and any appearance of 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

(bb) complaints, including investigations, when appropriate; and

(XI) to the extent practicable 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.

POLICY COUNCIL COMPOSITION AND SELECTION REQUIREMENTS: SEC. 642 (c)(2)(B)

(B) **COMPOSITION AND SELECTION**

(i) 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.

(ii) The policy council shall be composed of

(I) 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

(II) Members at large of the community served by the Head Start agency (including any delegate agency), who may include parents of children who were formerly enrolled in the Head Start program of the agency.

From Head Start Program Performance Standards – 1304.50(b)(7) – Parents of children currently enrolled in all program options must be proportionately represented on established policy groups.

POLICY COUNCIL ROLE: SEC. 642 (c)(2)(A)

(A) **IN GENERAL**

(A) . . . each Head Start agency shall have a policy council responsible for the direction of the Head Start program, including program design and operation, and long- and short-

term planning goals and objectives, taking into account annual communitywide strategic planning and needs assessment and self-assessment.

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

(D) **RESPONSIBILITIES.** The policy council **shall** approve and submit to the governing body decisions about each of the following activities:

(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.

(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.

GOVERNING BODY AND POLICY COUNCIL CONDUCT OF RESPONSIBILITIES: SEC. 642 (D)(2)(A-I)

(2) CONDUCT OF RESPONSIBILITIES. Each Head Start agency shall ensure the sharing of accurate and regular information for use by the governing body and policy council, about program planning, policies, and Head Start agency operations, including—

(A) Monthly financial statements, including credit card expenditures;

(B) Monthly program information summaries;

(C) Program enrollment reports, including attendance reports for children whose care is partially subsidized by another public agency;

(D) Monthly reports of meals and snacks provided through programs of the Department of Agriculture;

(2) CONDUCT OF RESPONSIBILITIES. Each Head Start agency shall ensure the sharing of accurate and regular information for use by the governing body and policy council, about program planning, policies, and Head Start agency operations, including:

(E) the financial audit;

(F) the annual self-assessment, including any findings related to such assessment;

(G) the communitywide strategic planning and needs assessment of the Head Start agency, including any applicable updates;

(H) communication and guidance from the Secretary; and

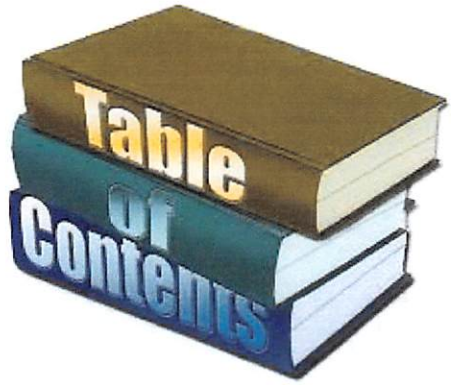
(I) the program information reports.

OVERARCHING THEME

Head Start leaders are charged with the task of ensuring effective Head Start Program Governance. Head Start Program Governance, a unique and complex system, is designed to be inclusive of the local community, of which parents are an integral part. The key to effective program governance is the right structure, the right people, and the right practices. The Head Start/Early Head Start leader's role is to ensure that the governance and management entities are working collaboratively to achieve positive outcomes for children, families, and their respective communities. *Head Start A to Z: Program Governance* provides a general overview to Head Start/Early Head Start leaders of what they need to know, do, and ensure happens related to Head Start Program Governance.

OUTCOMES

- Understand the origins of Head Start Program Governance
- Understand the composition of the governance structure and the roles and responsibilities as outlined in the 2007 Head Start Act
- Understand how the governance and management entities work collaboratively
- Gain knowledge of Program Governance tools



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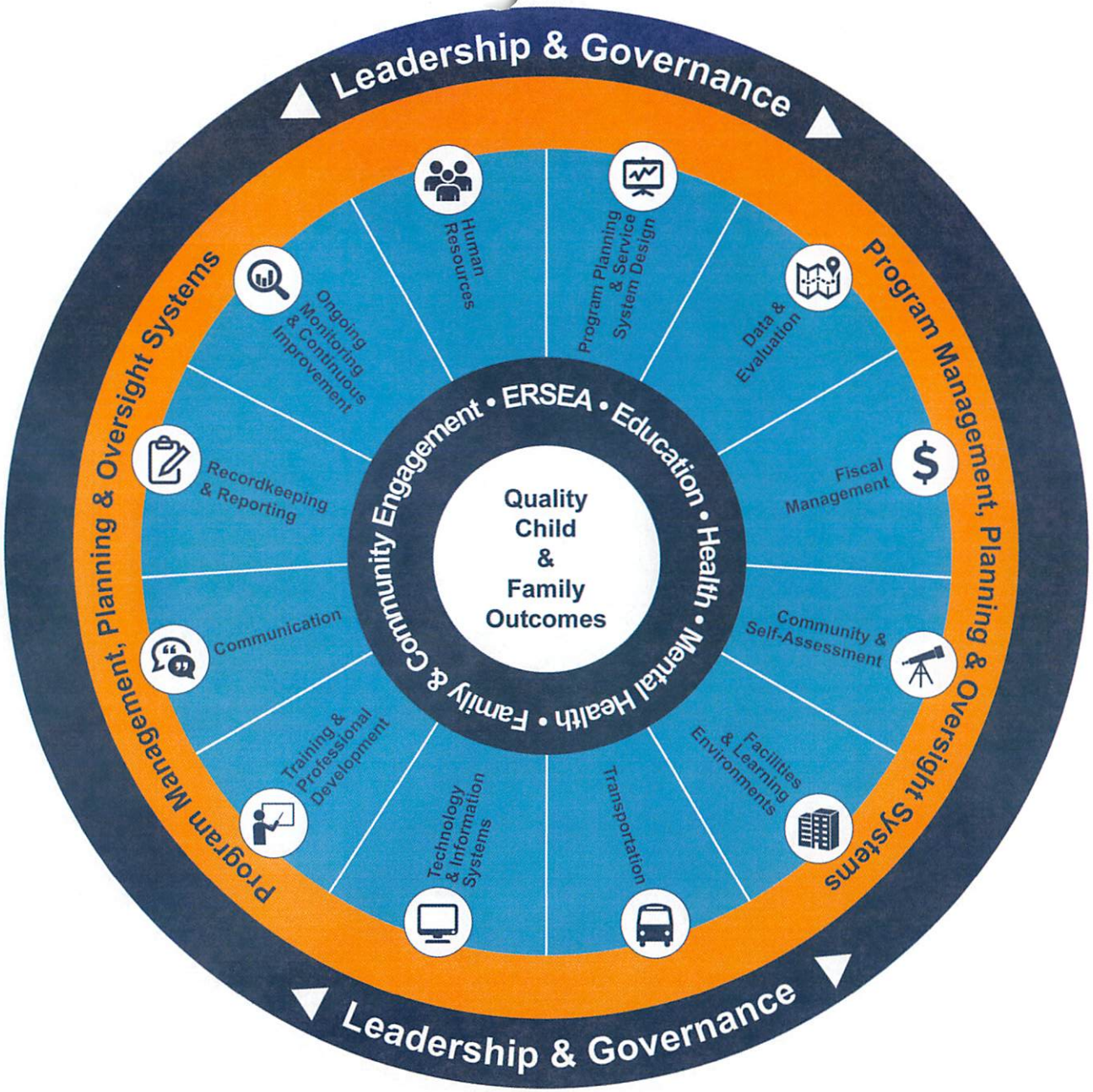
Program Governance



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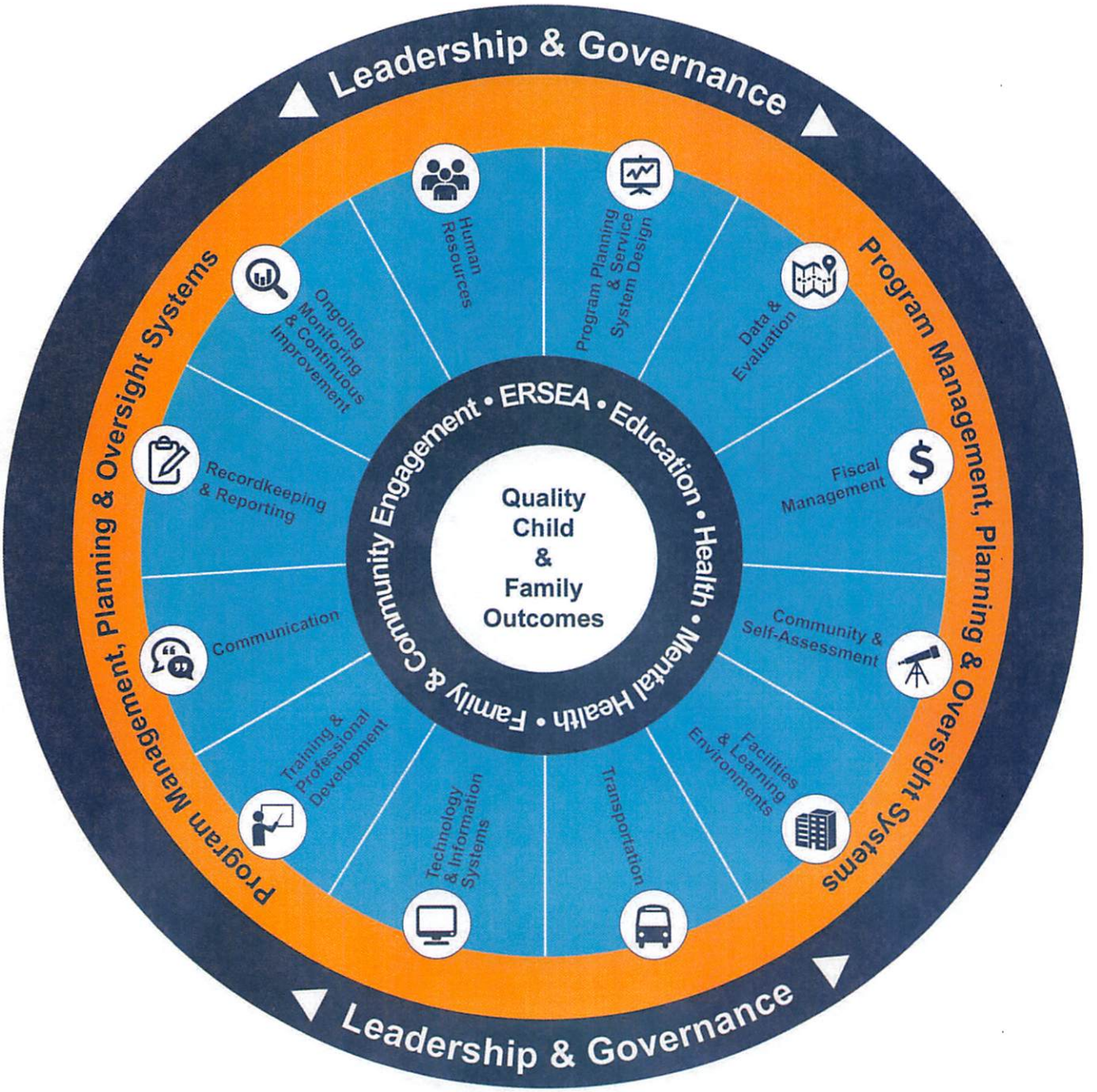
Head Start Management Systems Wheel



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Head Start Management Systems: Guiding Questions

Introduction

The Head Start management systems wheel is a visual representation of the twelve program management, planning, and oversight systems that are critical to sound program infrastructure and high-quality service delivery. Leadership and governance, the bedrocks of effective management, are depicted as surrounding all twelve systems. Head Start program leadership consists of three key entities: governing body/Tribal Council, Policy Council, and management staff. The governing body/ Tribal Council assumes legal and fiscal responsibility for the program, the Policy Council sets direction, and the management staff oversee day-to-day operations. Together they are a powerful force that provides leadership and strategic direction. These management systems are crucial to the effective operation of the services in the inner blue circle which in turn result in quality child and family outcomes. The following questions can be used to evaluate both existing strengths as well as areas for growth in Head Start program operations.

Core Ingredient	Questions to Consider
Leadership & Governance	• 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 between governing body/ Tribal Council, Policy Council, and key management staff take place in support of program decision-making? • If applicable, how are governing body/Tribal Council members involved in strategic planning activities? • *Do our leadership and communication practices enable us to make the strategic decisions that will move our programs forward?*

Management Systems	Questions to Consider
Program Planning & Service System Design	• What is the timeline for our annual program planning process? This should include: – Community assessment review and update – Goal and objective development/review – Coordinated approaches – Action planning – Ongoing monitoring – Self-assessment • How are the following stakeholders engaged in our program planning process? – Program staff – Governing body/Tribal Council members – Policy Council members – Community members • *Do our planning efforts strengthen our outcomes for children, families and communities?*
Data & Evaluation	• How do we collect and use data to inform ongoing monitoring and continuous improvement? • How are staff utilized in our data management process? • What well-chosen and well-implemented methods for data collection and analysis are used to determine impact? • How does our approach to data management support the availability, usability, integrity, and security of data? • *Does our data help us tell the story about how we are making a difference for our children, families, and community?*

Management Systems	Questions to Consider
Fiscal Management	• What is the timeline for our fiscal management activities? This should include, but not be limited to: – Budget development and review – Monitoring actual expenditures against budget projections – Making major expenditures – Audit activities • How are our staff, governing body/Tribal Council and Policy Council members engaged in fiscal management activities? • How do our policies and procedures inform our fiscal management efforts? • How does our budgeting process relate to our program planning activities? • How does our budgeting process inform resource development efforts? • If applicable, how are we using advisory committees to support fiscal management activities? • *Do we have clean audits and have resources been maximized?*
Community & Self-Assessment	• How does our community assessment align with the service needs of children and families? Does our community assessment include school and child care data? How does the community assessment inform our program planning process? • What is the timeline of our self-assessment process? How is it informed by our program planning process? Who is engaged in the process? • How are the results of our self-assessment shared with staff and program leadership? • *Do our data collection and analysis activities inform the way our programs deliver services?*

Management Systems	Questions to Consider
Facilities & Learning Environments	• How does our system for managing and monitoring facilities and learning environments ensure that we meet health and safety requirements? • How do our indoor and outdoor learning environments support the needs of children, families, and staff? • How is facilities management addressed from the perspectives of program planning and fiscal management? • *Do our facilities and learning environments provide safe and challenging places that support our children and families?*
Transportation	• How is our transportation system aligned with the needs of our families? • How do we monitor compliance of our transportation system with state and federal regulations? • What backup systems are in place to ensure all children are accounted for after each trip? • What are the budget implications of our maintenance and repair efforts? • *Does our transportation system move children safely and efficiently from one point to another?*
Technology & Information Systems	• How does our technology (hardware or software) align with our program operations and planning activities? • How are technological issues addressed in fiscal management? • *Do we have the right technology in place to support our Head Start program?*

Management Systems	Questions to Consider
Training & Professional Development	• How do our training and professional development plans address the knowledge and skills needed to meet our program's goals and objectives? • In addition to training and technical assistance resources (both regional T/TA and the national centers), how are our training and technical assistance funds being used to access additional professional development resources? • *Do our training and professional development activities enable our staff and volunteers to move our Head Start programs from compliance to excellence?*
Communication	• How does our communication system address both internal and external communication among and between program leadership, staff, families, and the community? • How do our communications policies and procedures address key issues such as social media management and confidentiality? • What communication approaches are used to meet the needs of culturally and linguistically specific populations? • *Does our program communicate effectively with internal and external stakeholders?*
Recordkeeping & Reporting	• How does our recordkeeping and reporting system use technology to manage information? • How do our recordkeeping and reporting policies and procedures address key issues such as confidentiality? • How does our reporting system provide program leadership (governing body/Tribal Council, Policy Council) with key information to make decisions in a timely and thorough manner? • How does our recordkeeping and reporting system generate real-time reports that improve program services? • *Does our recordkeeping and reporting system help our program build and maintain its institutional memory?*

Management Systems	Questions to Consider
Ongoing Monitoring & Continuous Improvement	• How does ongoing monitoring inform our program operations, planning process, and continuous quality improvement? • What is the timeline for ongoing monitoring activities? • How are staff trained and engaged in ongoing monitoring efforts? • How are the results of our ongoing monitoring shared with staff and program leadership? • *Does our ongoing monitoring system support our planning efforts?*
Human Resources	• How does our organizational structure support our staff to provide high quality services to children and families? • What is our process for hiring and onboarding staff? • Does our process for hiring and on-boarding include culturally responsive practices? • How do we ensure that staff members have the appropriate credentials and have acquired the needed competencies to fulfill their job responsibilities? • How does our program promote retention? • How do our human resource activities inform our budgeting efforts? • *Does our program effectively meet the professional development needs of our staff?*

This product was prepared under Grant # 90HC0011 for the U.S. Department of Health and Human Services, Administration for Children and Families, Office of Head Start, by the National Center on Program Management and Fiscal Operations.

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Head Start A to Z

Program Governance

This product was prepared under Grant #90HC0006 for the U.S. Department of Health and Human Services, Administration for Children and Families, Office of Head Start, by the National Center on Program Management and Fiscal Operations

Revised February 2015

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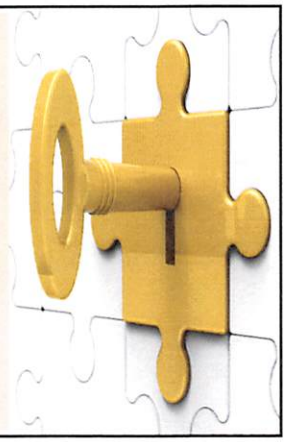
Key Message

Relationship building is at the heart of effective leadership.



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Nifty Notes

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Session Outcomes

- Understand the origins of Head Start Program Governance
- Understand the composition of the governance structure and the roles and responsibilities as outlined in the 2007 Head Start Act
- Understand how the governance and management entities work collaboratively
- Gain knowledge of Program Governance tools

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Head Start: A Historical Perspective

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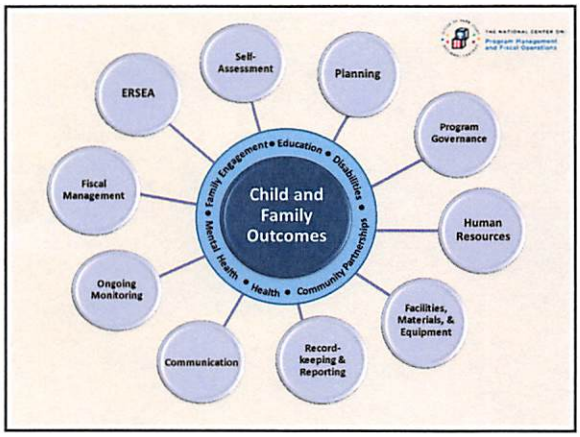
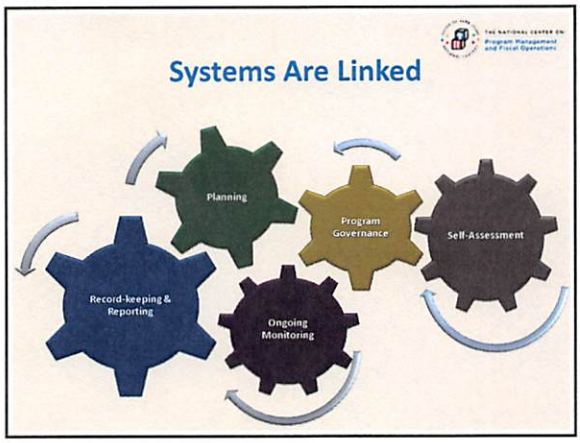
Image retrieved from: http://www.drewboswell.com/what-can-sesame-street-and-mr-rogers-teach-us




Systems Are Linked
Planning
Program Governance
Self-Assessment
Record-keeping & Reporting
Ongoing Monitoring

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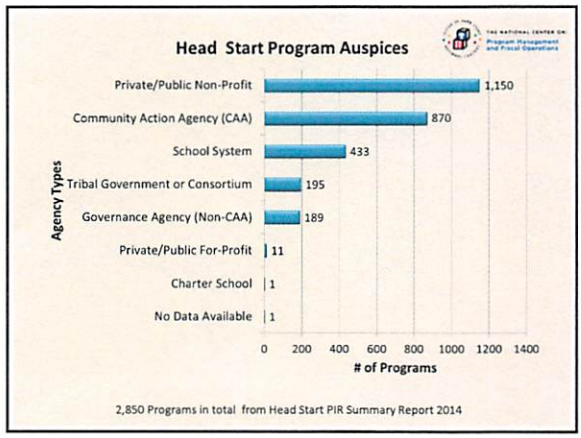
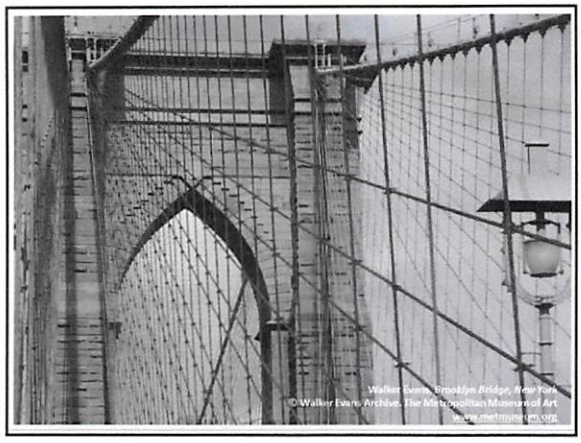

Head Start Program Auspices
Private/Public Non-Profit
1,150
Community Action Agency (CAA)
870
School System
433
Tribal Government or Consortium
195
Governance Agency (Non-CAA)
189
Private/Public For-Profit
11
Charter School
1
No Data Available
1
Agency Types
0
200
400
600
800
1000
1200
1400
# of Programs
2,850 Programs in total from Head Start PIR Summary Report 2014

Joseph Stella, *Brooklyn Bridge*
Yale University Art Gallery, http://artgallery.yale.edu


Walker Evans, *Brooklyn Bridge, New York*
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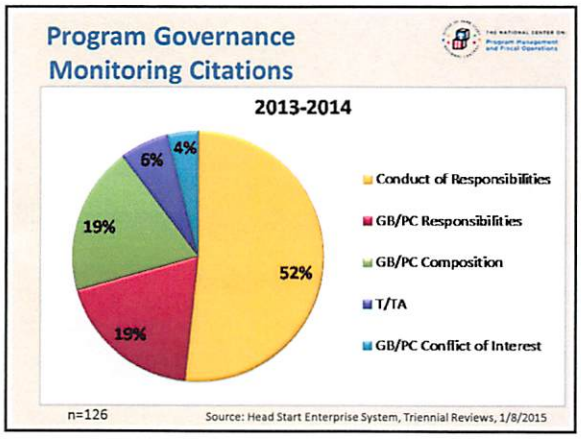
Program Governance
Monitoring Citations
2013-2014
52%
19%
19%
6%
4%
Conduct of Responsibilities
GB/PC Responsibilities
GB/PC Composition
T/TA
GB/PC Conflict of Interest
n=126
Source: Head Start Enterprise System, Triennial Reviews, 1/8/2015

Program Governance Monitoring Citations

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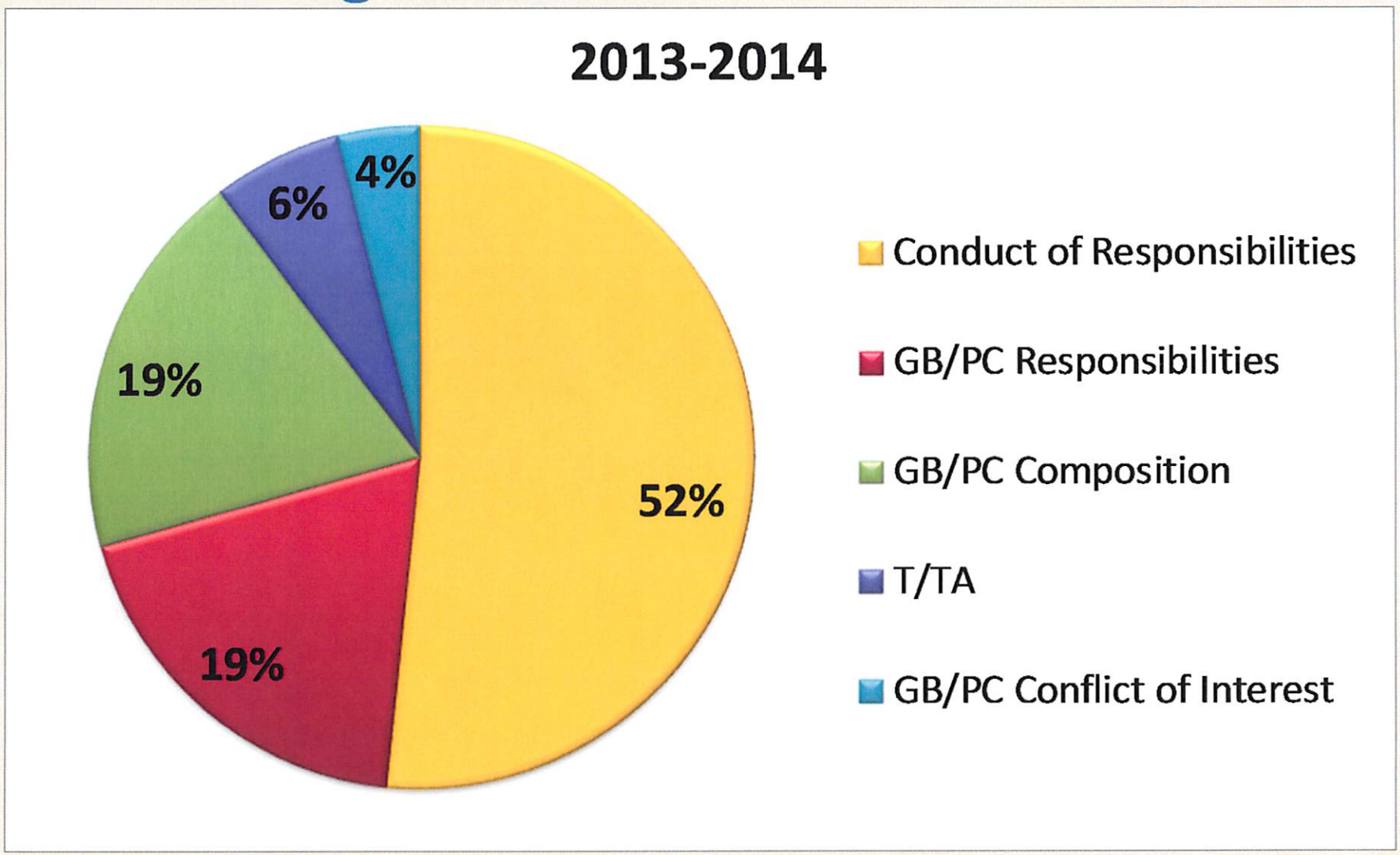

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Source: Head Start Enterprise System, Triennial Reviews, 1/8/2015

Is Your Program Experiencing Challenges in these Areas?

- Management sharing all necessary information to the Policy Council and governing body
- Ensuring that Policy Council and governing body understand and execute all of their responsibilities
- Policy Council and governing body composition reflects the expectations in the Head Start Act
- The program has a comprehensive and ongoing TTA plan to support the work of members of the governance system

Current Realities

Head Start/Early Head Start Program Governance

- The Head Start Act of 2007 describes the **composition and roles and responsibilities** of Head Start/Early Head Start agency governing bodies and Policy Councils with regard to **program design, planning, monitoring, and oversight.**
- The Act, in conjunction with the Head Start Program Performance Standards, describes performance expectations regarding program governance.
- This is Head Start ***governance.***

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Is Your Program Experiencing Challenges in these Areas?

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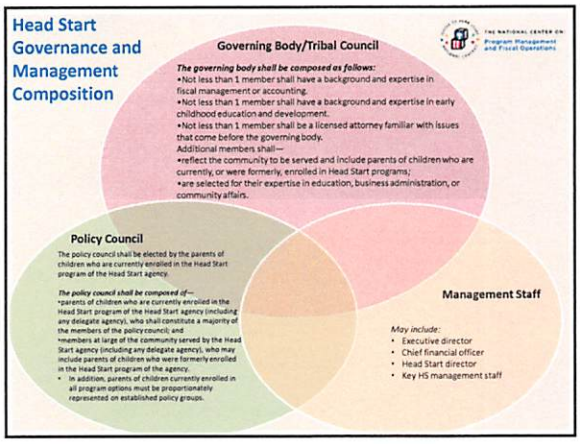
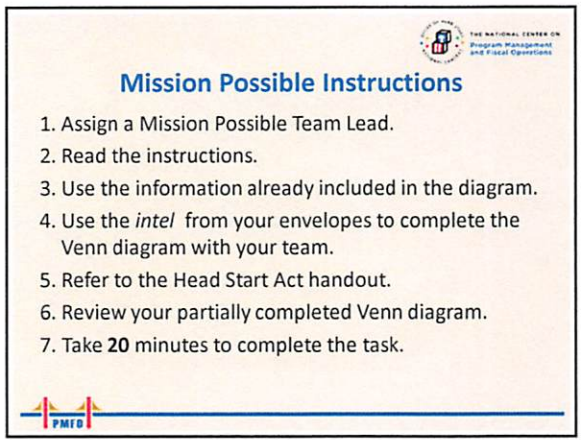
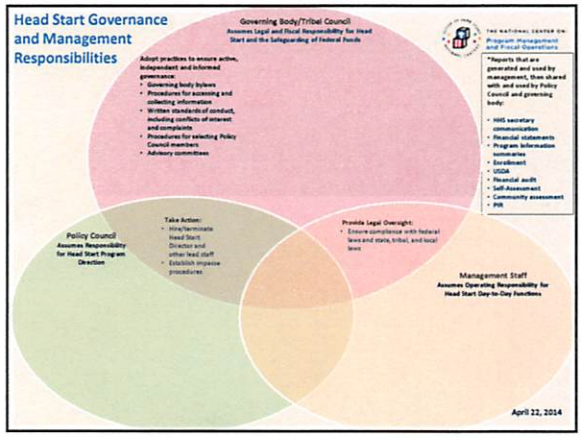

Head Start Governance and Management Composition
Governing Body/Tribal Council
The governing body shall be composed as follows:
•Not less than 1 member shall have a background and expertise in fiscal management or accounting.
•Not less than 1 member shall have a background and expertise in early childhood 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 were formerly, enrolled in Head Start programs;
•are selected for their expertise in education, business administration, or community affairs.
Policy Council
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.
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 by the Head Start agency (including any delegate agency), who may include parents of children who were formerly enrolled in the Head Start program of the agency.
• In addition, parents of children currently enrolled in all program options must be proportionately represented on established policy groups.
Management Staff
May include:
• Executive director
• Chief financial officer
• Head Start director
• Key HS management staff


Mission Possible Instructions
1. Assign a Mission Possible Team Lead.
2. Read the instructions.
3. Use the information already included in the diagram.
4. Use the *intel* from your envelopes to complete the Venn diagram with your team.
5. Refer to the Head Start Act handout.
6. Review your partially completed Venn diagram.
7. Take **20** minutes to complete the task.
PMFD


Head Start Governance and Management Responsibilities
Governing Body/Tribal Council
Assumes Legal and Fiscal Responsibility for Head Start and the Safeguarding of Federal Funds
Adopt practices to ensure active, independent and informed governance:
• Governing body bylaws
• Procedures for accessing and collecting information
• Written standards of conduct, including conflicts of interest and complaints
• Procedures for selecting Policy Council members
• Advisory committees
*Reports that are generated and used by management, then shared with and used by Policy Council and governing body:
• HHS secretary communication
• Financial statements
• Program information summaries
• Enrollment
• USDA
• Financial audit
• Self-Assessment
• Community assessment
• PIR
Policy Council
Assumes Responsibility for Head Start Program Direction
Take Action:
• Hire/terminate Head Start Director and other lead staff
• Establish impasse procedures
Provide Legal Oversight:
• Ensure compliance with federal laws and state, tribal, and local laws
Management Staff
Assumes Operating Responsibility for Head Start Day-to-Day Functions
April 22, 2014

Head Start Governance and Management Composition

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Governing Body/Tribal Council

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 were formerly, enrolled in Head Start programs;
- are selected for their expertise in education, business administration, or community affairs.

Policy Council

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.

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 by the Head Start agency (including any delegate agency), who may include parents of children who were formerly enrolled in the Head Start program of the agency.
  - In addition, parents of children currently enrolled in all program options must be proportionately represented on established policy groups.

Management Staff

May include:

- Executive director
- Chief financial officer
- Head Start director
- Key HS management staff

Mission Possible Activity Instructions

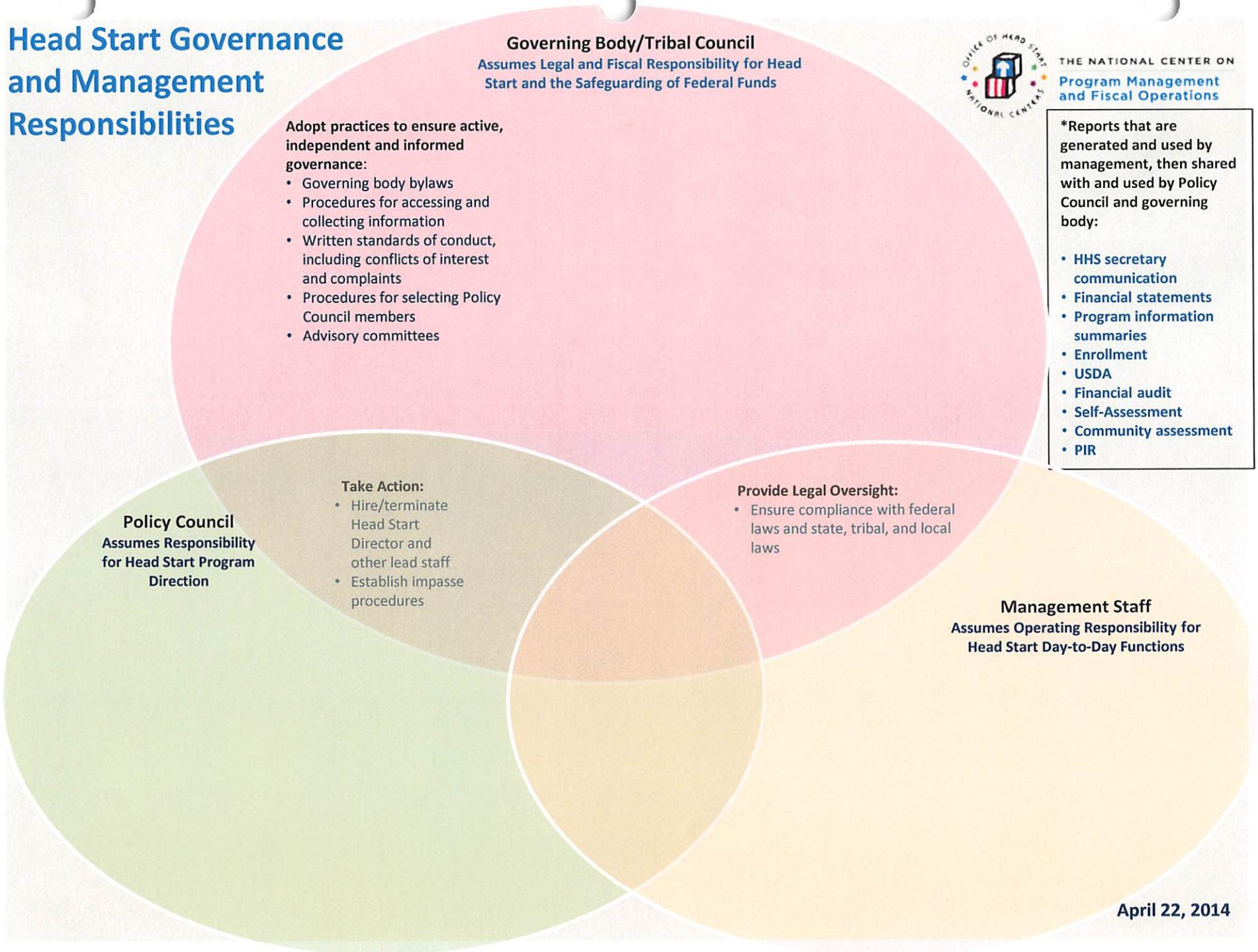
Instructions:

- Your mission, if you choose to accept it, is to work with your Mission Possible Team to create a Venn diagram that illustrates the roles and responsibilities of the governing body, management staff, and Policy Council.
- Each team has a partially completed Venn diagram, with three overlapping circles representing the
  - Head Start governing body/Tribal Council,
  - Policy Council, and
  - management staff.
- You have some information already in the diagram, but you will need to add the "intel" from your envelopes to complete the diagram with your team.
- You and your team members should refer to the *Head Start Program Governance Reference Book* when deciding where each role and responsibility belongs.
- You have **20** minutes to complete the task.

Clues:

- There are 11 tasks for the governing body/Tribal Council (GB/TC).
- There are nine tasks for the Policy Council (PC).
- There are seven tasks for the management staff (Mgmt.).
- Some of the roles and responsibilities are common to more than one group:
  - There are two tasks that intersect all three groups (GB/TC, PC, Mgmt.).
  - There are two tasks that interconnect with GB/TC and PC.
  - There is one task that interconnects with GB/TC and Mgmt.

Head Start Governance and Management Responsibilities



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*Reports that are generated and used by management, then shared with and used by Policy Council and governing body:

- HHS secretary communication
- Financial statements
- Program information summaries
- Enrollment
- USDA
- Financial audit
- Self-Assessment
- Community assessment
- PIR

April 22, 2014

Mission Possible Debrief

- Step back and look at your work; do you have any reflections about the different roles and responsibilities of the governing body, Policy Council, and management staff?
- How did your team do with this assignment?
- What was the hardest part about this activity?

Governing Body Reminders

Because governing bodies need to demonstrate their ability to oversee the Head Start program, they much embrace their:

- *Legal* responsibility for ensuring that grant activities respond to regulations, terms and conditions of the grant
- *Fiscal* responsibility for ensuring that funds are used prudently and according to regulations
- Responsibility to be engaged and knowledgeable about the program's five-year goals, progress towards achieving those goals, and outcomes for children, families and the community

Head Start Governance and Management Responsibilities

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Governing Body/Tribal Council

Assumes Legal and Fiscal Responsibility for Head Start and the Safeguarding of Federal Funds

Adopt practices to ensure active, independent and informed governance:
- Governing body bylaws
- Procedures for accessing and collecting information
- Written standards of conduct, including conflicts of interest and complaints
- Procedures for selecting Policy Council members
- Advisory committees

Select:
- Delegate agencies and the service areas for such agencies

Establish:
- Procedures and criteria for recruitment, selection, and enrollment

Review:
- All funding applications and amendments
- Results and follow-up activities from federal monitoring

Review and Approve:
- Major policies and procedures, including Self-Assessment, financial audit, and personnel policies
- Progress on implementing the HS grant, including corrective actions
- Major expenditures
- Operating budget
- Selection of auditor
- Actions to correct audit findings

Receive and Use:
- Annual, monthly, and periodic reports*

***Reports that are generated and used by management, then shared with and used by Policy Council and governing body:**
- HHS secretary communication
- Financial statements
- Program information summaries
- Enrollment
- USDA
- Financial audit
- Self-Assessment
- Community assessment
- PIR

Policy Council

Assumes Responsibility for Head Start Program Direction

Take Action:
- Hire/terminate Head Start Director and other lead staff
- Establish impasse procedures

Approve and submit to the governing body decisions regarding:
- Activities for parent involvement/engagement
- Program recruitment, selection, and enrollment priorities
- Funding applications/amendments
- Budget planning, including reimbursement and participation in Policy Council activities
- Policy Council bylaws
- Head Start program personnel policies and decisions , including criteria for employment and dismissal of program staff
- Policy Council election procedures
- Recommendations on delegates/service areas

Receive and Use:
- Annual, monthly, and periodic reports*

Provide Legal Oversight:
- Ensure compliance with federal laws and state, tribal, and local laws

Provide Leadership and Strategic Direction:
- Focus on Self-Assessment
- Develop, plan, and evaluate the Head Start program

Management Staff

Assumes Operating Responsibility for Head Start Day-to-Day Functions

Take action:
- Implement policies
- Develop procedures
- Provide T/TA to governing body and Policy Council
- Supervise staff
- Monitor compliance
- Generate and use annual, monthly, and periodic reports*
- Share reports with Policy Council and governing body*

April 22, 2014

Policy Council Reminders

- The Policy Council is a unique aspect of Head Start program governance; it supports active parent engagement in the design of the Head Start program.
- The governance structure and processes ensure that the Policy Council is involved in decision-making in a meaningful way.
- Policy Council members provide leadership and help shape the future of the Head Start program

Communicating Head Start Impacts

- Sec 644(a)(2)(a-h)—Each Head Start agency shall make available to the public **a report** disclosing specific program and financial information

Governance Readiness Tool	Governance Leadership, Oversight Capacity Screener (OHS Product)	Governance Training Module (under development)	Head Start Governing Body and Tribal Council Certification
• Online fillable PDF on ECLKC • Describes 15 indicators of high-functioning governing bodies • HS/EHS governing bodies and executive directors complete together • Helps organizations' governing bodies and leaders assess their capacity to effectively oversee a Head Start/Early Head Start program. • Information used to focus future T/TA efforts	• Online fillable PDF on ECLKC • To be completed by all newly funded HS/EHS grantees, within 60 days of receiving notification of five-year award • For veteran programs, reflects the Head Start requirements for program governance to help organizations identify where they need to make changes for quality improvement. • For newly-funded programs, identifies where programs need to focus their start-up efforts to put a HS program governance system in place	• User determines their progress on their HS leadership journey; this assessment points them to specific skill-building activities • Five e-learning training activities for both Policy Council and governing body members: 1. Fulfill Your Role 2. Ask the Right Questions 3. Make Meaningful Decisions 4. Envision a Better Future 5. Be an Ambassador • Each activity outlines key concepts on particular governance-related topics important to governing bodies and Policy Council members	• Five self-paced sections that total about 100 minutes • 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

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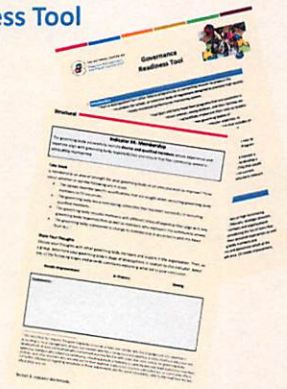
Governance Readiness Tool	Governance Leadership, Oversight Capacity Screener (OHS Product)	Governance Training Module (under development)	Head Start Governing Body and Tribal Council Certification	TA Planning Papers
• Online fillable PDF on ECLKC • Describes 15 indicators of high-functioning governing bodies • HS/EHS governing bodies and executive directors complete together • Helps organizations' governing bodies and leaders assess their capacity to effectively oversee a Head Start/Early Head Start program. • Information used to focus future TTA efforts	• Online fillable PDF on ECLKC • To be completed by all newly funded HS/EHS grantees, within 60 days of receiving notification of five-year award • For veteran programs, reflects the Head Start requirements for program governance to help organizations identify where they need to make changes for quality improvement. • For newly-funded programs, identifies where programs need to focus their start-up efforts to put a HS program governance system in place	• User determines their progress on their HS leadership journey; this assessment points them to specific skill-building activities • Five e-learning training activities for both Policy Council and governing body members: 1. Fulfill Your Role 2. Ask the Right Questions 3. Make Meaningful Decisions 4. Envision a Better Future 5. Be an Ambassador • Each activity outlines key concepts on particular governance-related topics important to governing bodies and Policy Council members	• Five self-paced sections that total about 100 minutes • 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	#1: Understanding Goals, Objectives, Outcomes, Progress, and Action Plans #2: Plans in Head Start #3: Program Goals and School Readiness Goals—Understanding the Relationship #4: Goals, Objectives, Outcomes, Progress, and Action Plans—Program Examples #5: Program Planning and Parent, Family, and Community Engagement

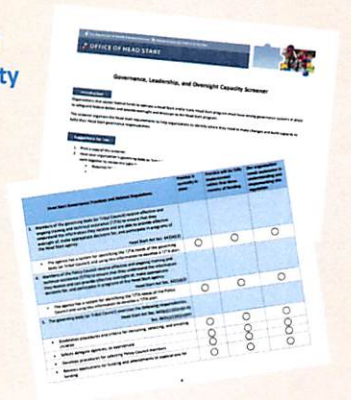
Governance Readiness Tool

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



Governance, Leadership and Oversight Capacity Screener

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



Head Start Governing Body and Tribal Council Certification

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

Final Thoughts

- Relationship of the three entities
- Responsibilities of the three entities
- Current and upcoming governance tools

Final Questions

- How will your newly acquired knowledge impact your daily practices?
- What were your "A-ha" moments?
- Any questions?

Thank You!!

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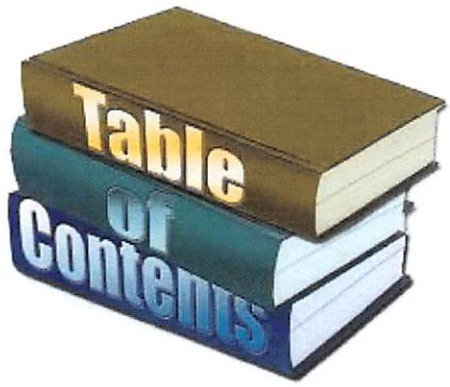
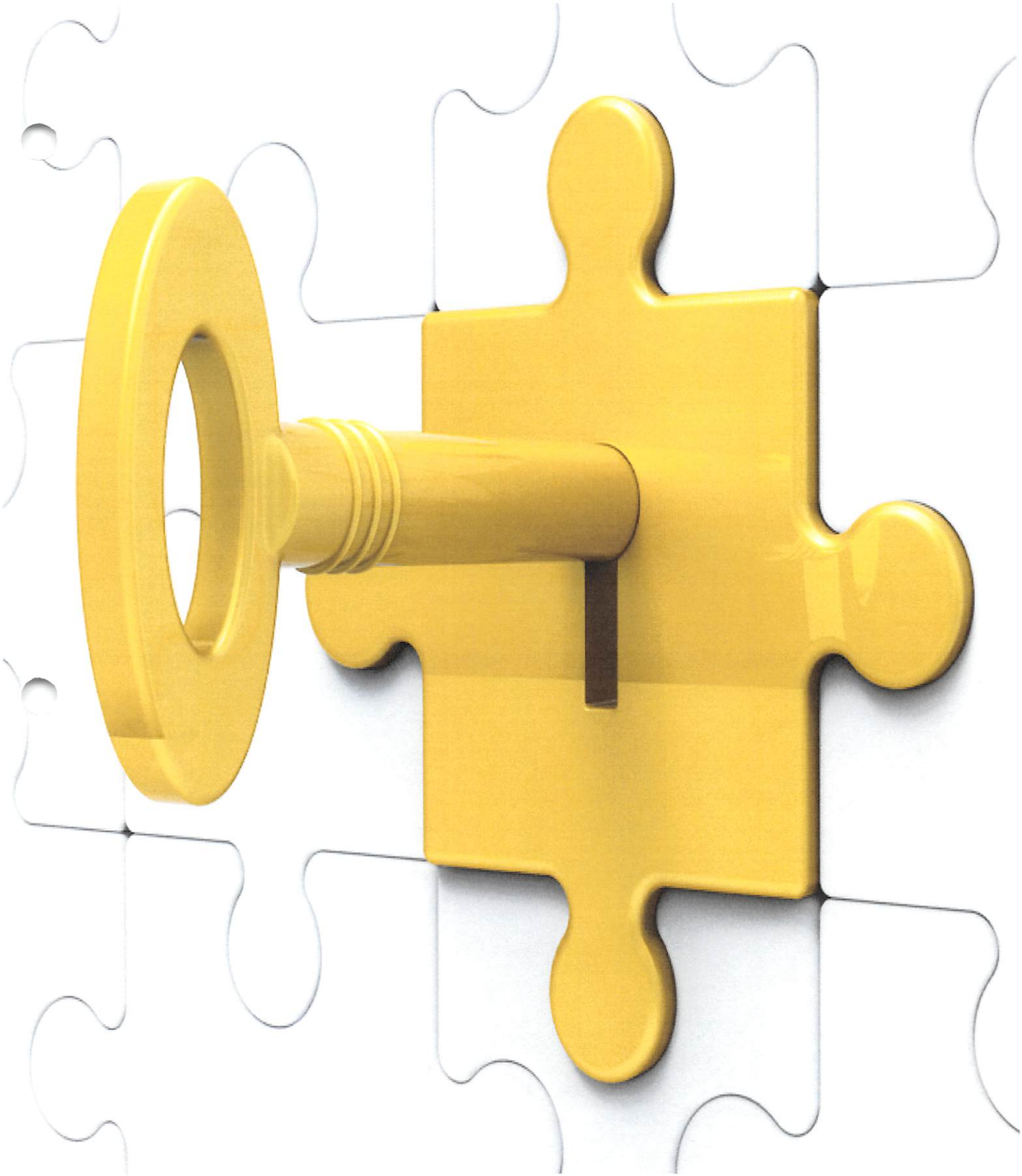


3

Key Messages



Key Messages

Key Messages

As new Head Start/Early Head Start (HS/EHS) directors and managers, you come to your new roles though various pathways and with a wide range of experiences, knowledge, and needs. Whether you've been promoted from within your organization, hired from a neighboring child care or HS/EHS program, or selected because of your experience in management, you require extensive support to help transition to and be successful in your new role as a Head Start leader.

The National Center on Program Management and Fiscal Operations (PMFO) offers a set of key messages that can anchor your learning and understanding. In addition, you will continually revisit these key messages when you attend any of the *Head Start A to Z* sessions.

1. **Successful programs are learning organizations.** Regardless of your level of training and experience, you and other staff continue to face new situations and challenges from which you can learn and grow. Learning organizations emphasize the need for directors and managers to support all staff in becoming life-long learners who embrace challenges and setbacks as opportunities for collective problem solving and innovation. Effective leadership development encourages cognitive diversity as the bedrock of learning organizations, and effective leaders are encouraged to promote their programs to be learning organizations.

2. **Head Start is a complex and evolving organization, with extensive regulations, policies, values, and traditions.** It is impossible for you to learn everything within the first year or even the first full grant cycle of your program. Rather than trying to front-load everything that new leaders need to know in one training event or consultation, effective leadership development emphasizes the importance of continuous learning and helps directors and managers identify and connect with people and resources that can help them to find the right answers at the right time.

3. **Mentors and coaches provide a safe environment for new leaders to learn and grow.**
   Coaching is one proven strategy for supporting leadership development. New directors and managers are encouraged to find a coach or mentor who can answer questions and provide support over time. If the region or organization does not have a formal system in place to link new directors and managers with more

experienced colleagues, as a new leader you will want to seek support by participating in state or regional Head Start networking activities.

4. **Leadership is a journey.** Just as you bring unique experiences to your work, you also bring your own leadership style. Leadership is a skill with competencies that develop over time. The leadership journey for directors and managers is ongoing. You should seek out opportunities to hone your leadership skills. Effective leadership development encourages a new director or a new manager to reflect on his or her own leadership style, to build upon personal strengths, and to explore leadership tools and resources that complement your personal style.

5. **Leaders in the Head Start and early childhood community hold school readiness success as a primary goal.** The most important role for new leaders is to work in partnership with program and community leaders to develop a program-wide vision for school readiness. You must also work to achieve program goals and school readiness goals that result in positive impacts for children, families, and the community. Effective leadership development encourages new leaders to stay abreast of educational developments in HS/EHS and the greater early childhood field; discuss the implications of the developments with their program's leadership team; and actively collaborate on the program's school readiness goals and related programming with parents, staff, governing bodies, local education agencies, and community partners.

6. **Systems thinking provides a fresh perspective and a "big-picture lens" that taps into a higher level of analyzing, problem solving, and strategizing.** As a HS/EHS leader, you are asked to be a systems thinker. You must design and implement strong management systems and continuously work to improve these systems. To do this successfully, you are obliged to understand systems thinking, view your program through a systems lens, and recognize the relationship between systems, services, and child and family outcomes. Effective leadership development efforts stress how important it is for new leaders to gain knowledge and understanding of how the Head Start management systems are integral to successful HS/EHS programming.

7. **In order to be useful, data must be presented to decision-makers in such a way that they can relate to the data and act upon the information.** Effective leaders create a culture that supports staff at all levels to use data in their day-to-day work. Examining data is a key step in planning, assessing, and communicating

information about your program. It is critical for you to gain skills in collecting, analyzing, and using data at the program level. Similarly, teachers, home visitors, family and health services workers, and other staff need to build and use the same skills in their work with individual children and families.

8. **Relationship building is at the heart of effective leadership.** The workplace of today is about relationships. A relationship-driven leader empowers others and considers empathy essential to creating strong, productive teams. Relationship building permeates all aspects of HS/EHS, from parent, family and community engagement to working with the governing bodies, Tribal Councils and Policy Councils. Effective leadership development efforts encourage directors and managers to view decision-making through a relationship-focused lens (with a hue of strong positive communication) and to refrain from walking the path of unilateral decision-making.

9. **Change requires positive action and buy-in from all levels of the organization.** To achieve continuous improvement, you must understand the dynamics of change. Continuous improvement is successful when all stakeholders are involved in creating the vision for the organizations and are regarded as critical to the change process. You must see yourself as a change agent and support others who respond to change in different ways.

10. **Head Start is a vibrant and linguistically diverse organization that requires intentional and specific approaches.** Successfully serving children and families from various linguistic and cultural backgrounds requires the development of a program-wide, comprehensive plan. Effective leadership development encourages new leaders, directors and managers to be aware of the community they serve and articulate in program plans how diverse needs will be met.

This product was prepared under Grant #90HC0006 for the U.S. Department of Health and Human Services, Administration for Children and Families, Office of Head Start, by the National Center on Program Management and Fiscal Operations.

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Nifty Notes

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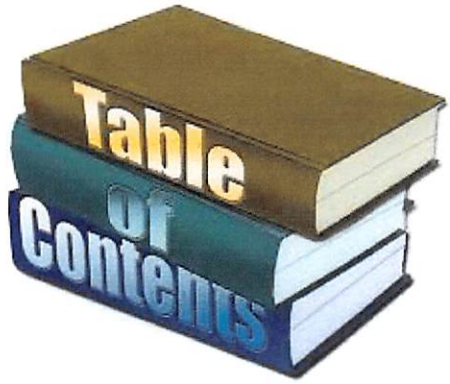

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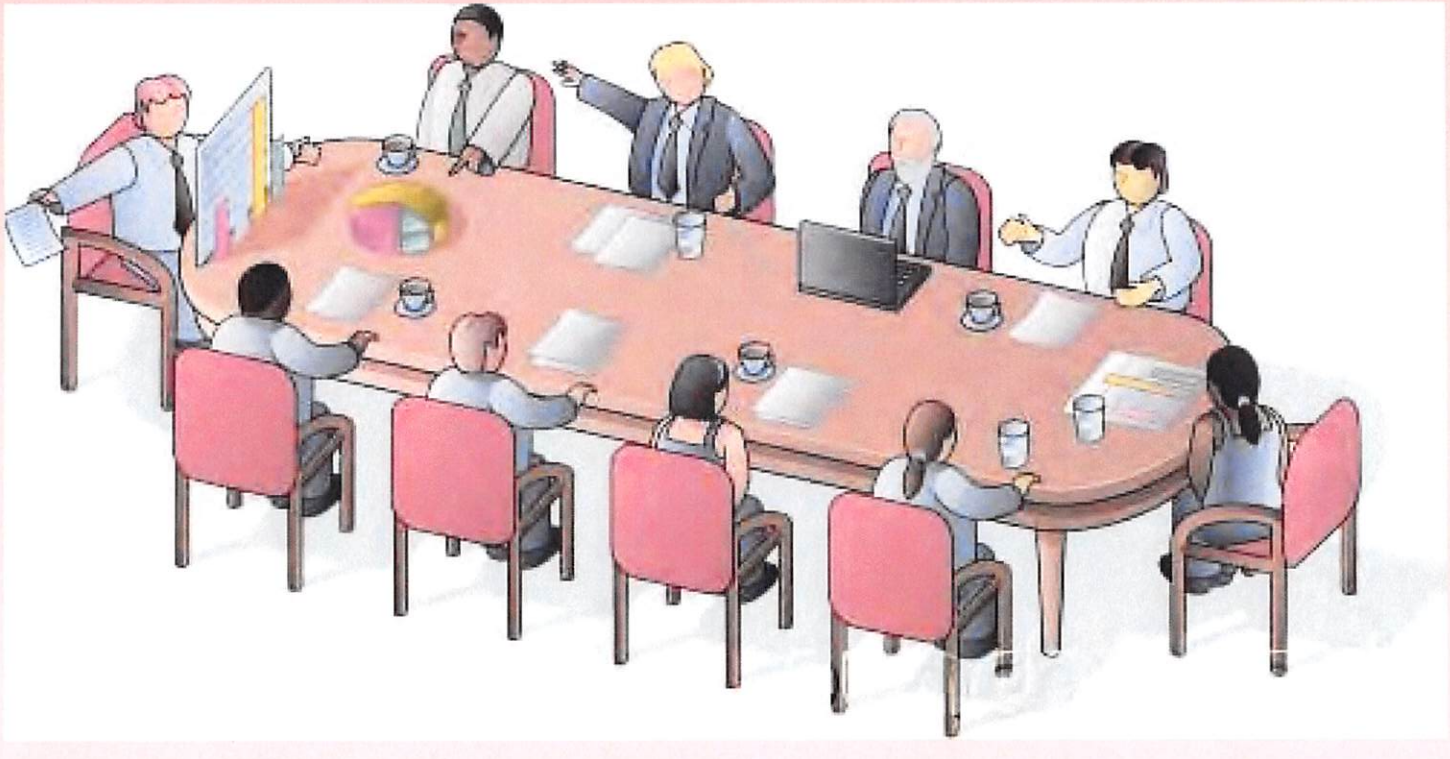
Reference Book

Head Start Program Governance Reference Book



March 2015

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TABLE OF CONTENTS

GOVERNING BODY PG. 1-8

HS ACT 2007 SECTION 642(C)(1)

A. IN GENERAL 1
B. COMPOSITION 1-2
C. CONFLICT OF INTEREST 3
D. EXCEPTION 4
E. RESPONSIBILITIES 5-8

POLICY COUNCIL PG. 9-12

HS ACT 2007 SECTION 642(C)(2)

A. IN GENERAL 9
B. COMPOSITION & SELECTION 10
C. CONFLICT OF INTEREST 11
D. RESPONSIBILITIES 11-12

POLICY COMMITTEES PG. 13

HS ACT 2007 SECTION 642(C)(3)

PROGRAM GOVERNANCE ADMINISTRATION PG. 14-17

HS ACT 2007 SECTION 642(D)(1)

1. IMPASSE POLICY 14
2. CONDUCT OF RESPONSIBILITY 15-16
3. TRAINING & TECHNICAL RESPONSIBILITY 17

POLICY GROUP PG. 18

HSPPS 1304.50(B)

B. COMPOSITION & FORMATION 18

Head Start Act of 2007
Governing Body
In General and Composition
Sec. 642 (c)

THE NATIONAL CENTER ON
Program Management
and Fiscal Operations

(c) Program Governance- Upon receiving designation as a Head Start agency, the 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. Such structure shall include the following:

(1) GOVERNING BODY-

(A) **IN GENERAL**- The governing body shall have legal and fiscal responsibility for the Head Start agency.

(B) **COMPOSITION**—The governing body **shall** be composed as follows:

(i) Not less than 1 member **shall** have a background and expertise in fiscal management or accounting.

(ii) Not less than 1 member **shall** have a background and expertise in early childhood education and development.

Head Start Act of 2007
Governing Body
Composition *(continued)*
Sec. 642 (c)(1)(B)

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(iii) Not less than 1 member **shall** be a licensed attorney familiar with issues that come before the governing body.

(iv) Additional members **shall**—

(I) reflect the community to be served and include parents of children who are currently, or were formerly, enrolled in Head Start programs; and

(II) are selected for their expertise in education, business administration, or community affairs.

(v) 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.

(vi) If a person described in clause (i), (ii), or (iii) is not available to serve as a member of the governing body, the governing body shall use a consultant, or another individual with relevant expertise, with the qualifications described in that clause, who **shall** work directly with the governing body.

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Program Management
and Fiscal Operations

Head Start Act of 2007
Governing Body
Conflict of Interest
Sec. 642 (c)(1)(C)

(C) **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.

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Program Management
and Fiscal Operations

Head Start Act of 2007
Governing Body
Exceptions
Sec. 642 (c)(1)(D)

(D) **EXCEPTION**—If an individual holds a position as a result of public election or political appointment, and such position carries with it a concurrent appointment to serve as a member of a Head Start agency governing body, and such individual has any conflict of interest described in clause (ii) or (iii) of subparagraph (C)--

(i) such individual shall not be prohibited from serving on such body and the Head Start agency shall report such conflict to the Secretary; and

(ii) if the position held as a result of public election or political appointment provides compensation, such individual shall not be prohibited from receiving such compensation.

Head Start Act of 2007
Governing Body
Responsibilities
Sec. 642 (c)(1)(E)(i)-(iv)(II)

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Program Management
and Fiscal Operations

(E) **RESPONSIBILITIES**—The governing body **shall**—

(i) have legal and fiscal responsibility for administering and overseeing programs under this subchapter, including the safeguarding of federal funds;

(ii) adopt practices that assure active, independent, and informed governance of the Head Start agency, including practices consistent with subsection (d)(1), and fully participate in the development, planning and evaluation of the Head Start programs involved;

(iii) be responsible for ensuring compliance with Federal laws (including regulations) and applicable state, tribal and local laws (including regulations); and

(iv) 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;

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Program Management and Fiscal Operations

Head Start Act of 2007
Governing Body
Responsibilities *(continued)*
Sec. 642 (c)(1)(E)(iv)(III-VI)

(III) reviewing 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);

(V) reviewing and approving all major policies of the agency, including—

(aa) the annual self assessment and financial audit;

(bb) such agency's progress in carrying out the programmatic and fiscal provisions in such agency's grant application, including implementation of corrective actions; and

(cc) personnel policies of such agencies regarding the hiring, evaluation, termination, and compensation of agency employees;

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

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Head Start Act of 2007
Governing Body
Responsibilities *(continued)*
Sec. 642 (c)(1)(E)(iv)(VII – VIII)

(VII) approving financial management, accounting, and reporting policies, and compliance with laws and regulations related to financial statements, including the—

(aa) approval of all major financial expenditures of the agency;

(bb) annual approval of the operating budget;

(cc) 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

(dd) monitoring of the agency's actions to correct any audit findings and of other actions necessary to comply with applicable laws (including regulations) governing financial statements and accounting practices;

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

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Head Start Act of 2007
Governing Body
Responsibilities *(continued)*
Sec. 642 (c)(1)(E)(iv)(IX – XI)

(IX) approving personnel policies and procedures, including policies and procedures regarding the hiring, evaluation and 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 ;

(X) establishing, adopting, and periodically updating written standards of conduct that establish standards and formal procedures for disclosing, addressing, and resolving—

(aa) any conflict of interest, and any appearance of 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

(bb) complaints, including investigations, when appropriate; and

(XI) to the extent practicable 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.

THE NATIONAL CENTER ON
Program Management
and Fiscal Operations

Head Start Act of 2007
Policy Council
In General
Sec. 642 (c)(2)

(2) POLICY COUNCIL-

(A) **IN GENERAL**- Consistent with paragraph (1)(E), each Head Start agency shall have a policy council responsible for the direction of the Head Start program, including program design and operation, and long- and short-term planning goals and objectives, taking into account the annual communitywide strategic planning and needs assessment and self-assessment.

THE NATIONAL CENTER ON
Program Management and Fiscal Operations

Head Start Act of 2007
Policy Council
Composition and Selection
Sec. 642 (c)(2)(B)

(B) **COMPOSITION AND SELECTION—**

(i) 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.

(ii) The policy council shall be composed of—

(I) 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

(II) members at large of the community served by the Head Start agency (including any delegate agency), who may include parents of children who were formerly enrolled in the Head Start program of the agency.

THE NATIONAL CENTER ON
Program Management
and Fiscal Operations

Head Start Act of 2007
Policy Council
Conflict of Interest and Responsibilities
Sec. 642 (c)(2)(C)(D)(i-ii)

(C) **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..

(D) **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.

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

Head Start Act of 2007

THE NATIONAL CENTER ON Program Management and Fiscal Operations

Policy Council
Responsibilities *(continued)*
Sec. 642 (c)(2)(D)(iii-viii)

(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.

(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.

(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 of 2007
Policy Committees
Sec. 642 (c)(3)

THE NATIONAL CENTER ON
Program Management
and Fiscal Operations

(3) POLICY COMMITTEES- Each delegate agency shall create a policy committee, which shall--

(A) be elected and composed of members, consistent with paragraph (2)(B) (with respect to delegate agencies);

(B) follow procedures to prohibit conflict of interest, consistent with clauses (i) and (ii) of paragraph (2)(C) (with respect to delegate agencies); and

(C) be responsible for approval and submission of decisions about activities as they relate to the delegate agency, consistent with paragraph (2)(D) (with respect to delegate agencies).

Head Start Act of 2007
Program Governance Administration
Impasse Policies
Sec. 642 (d)(1)

THE NATIONAL CENTER ON
Program Management and Fiscal Operations

(d) 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.

THE NATIONAL CENTER ON
Program Management and Fiscal Operations

Head Start Act of 2007

Program Governance Administration
Conduct of Responsibilities
Sec. 642 (d)(2)(A-D)

(2) CONDUCT OF RESPONSIBILITIES—Each Head Start agency shall ensure the sharing of accurate and regular information for use by the governing body and policy council, about program planning, policies, and Head Start agency operations, including:

(A) Monthly financial statements, including credit card expenditures;

(B) Monthly program information summaries;

(C) Program enrollment reports, including attendance reports for children whose care is partially subsidized by another public agency;

(D) Monthly reports of meals and snacks provided through programs of the Department of Agriculture;

Head Start Act of 2007

THE NATIONAL CENTER ON Program Management and Fiscal Operations

Program Governance Administration
Conduct of Responsibilities *(continued)*
Sec. 642 (d)(2)(E-I)

(2) CONDUCT OF RESPONSIBILITIES—Each Head Start agency shall ensure the sharing of accurate and regular information for use by the governing body and policy council, about program planning, policies, and Head Start agency operations, including:

(E) the financial audit;

(F) the annual self-assessment, including any findings related to such assessment;

(G) the communitywide strategic planning and needs assessment of the Head Start agency, including any applicable updates;

(H) communication and guidance from the Secretary; and

(I) the program information reports.

THE NATIONAL CENTER ON
Program Management
and Fiscal Operations

Head Start Act of 2007
Program Governance Administration
Training and Technical Assistance
Sec. 642 (c)(3)

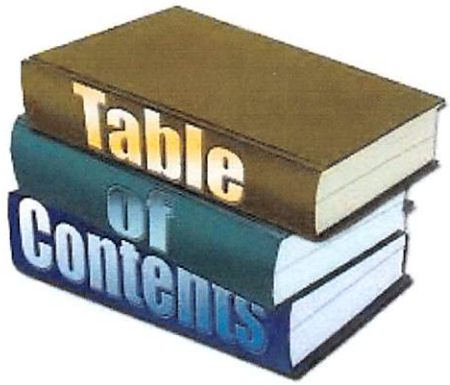
(3) TRAINING AND TECHNICAL ASSISTANCE- Appropriate training and technical assistance shall be provided to the members of the governing body and the policy council to ensure that the members understand the information the members receive and can effectively oversee and participate in the programs of the Head Start agency.

THE NATIONAL CENTER ON
Program Management and Fiscal Operations

Head Start Program Performance Standards
1304.50 – Program Governance

(b) Policy group composition and formation

(7) Parents of children currently enrolled in all program options must be proportionately represented on established policy groups.



5

Capacity Screener

U.S. Department of Health & Human Services & Administration for Children & Families

OFFICE OF HEAD START

Governance, Leadership, and Oversight Capacity Screener

Introduction

Organizations that accept federal funds to operate a Head Start and/or Early Head Start program must have strong governance systems in place to safeguard federal dollars and provide oversight and direction to the Head Start program.

This screener organizes the Head Start requirements to help organizations to identify where they need to make changes and build capacity to fulfill their Head Start governance responsibilities.

Suggestions for Use

1. Print a copy of this screener.
2. Have your organization's governing body or Tribal Council chair, Policy Council chair, executive director, and Head Start program director work together to review the table beginning on page 3 and to identify (with a check mark or "X") the following items:
    - Required Head Start governance practices that your organization currently has in place
    - Required Head Start governance practices that your organization will implement within the first three months of funding
    - Required Head Start governance practices that your organization needs help understanding and implementing
3. At the top of page 10, list the governance practices and regulations that your organization needs assistance in understanding and implementing.
4. Enter any questions or concerns you have in the Comments Section on page 10.
5. Share this screener and your findings with your full governing body or Tribal Council, Policy Council, and Head Start program leadership. Assign people to begin implementation of the governance practices you have identified as not currently in place.

6. You can explore the governance page of the Program Management and Fiscal Operations (PMFO) section on Early Childhood Learning and Knowledge Center (ECLKC) to access other resources that can assist you as you move your governance system and practices forward.
7. At your next meeting with Regional Office staff, discuss those governance practices and regulations where your organization may benefit from technical assistance.

Head Start Governance, Leadership, and Oversight Capacity Screener

Head Start Governance Practices and Related Regulations	Practice is currently in place	Practice will be fully implemented within first three months of funding	Our organization needs assistance in understanding and implementing this regulation
1. The governing body (or Tribal Council) has the required composition.[1] Head Start Act Sec. 642(c)(1)(B) (i-iv)			
• At least one member has fiscal/accounting background and expertise.	○	○	○
• At least one member has early childhood education and development background and expertise.	○	○	○
• At least one member is a licensed attorney.	○	○	○
• Members reflect the community served and include parents of children who are currently, or were formerly, enrolled in Head Start programs.	○	○	○
2. The Policy Council has the required composition. Head Start Act Sec. 642(c)(2)(B)(i) Sec. 642(c)(2)(B)(ii)(I-II)			
• At least 51 percent of Policy Council members are parents of children who are currently enrolled in the Head Start program (including delegate agencies).	○	○	○
• The Policy Council includes at least one member of the at-large community served by the program or any delegate agency.	○	○	○
• Members are elected by parents of children currently enrolled in the program.	○	○	○

[1] If the composition of the governing body does not include individuals with the required qualifications, the governing body must uses consultants or other individuals with relevant expertise and qualifications to meet the composition requirements [Head Start Act Sec. 642(c)(1)(B)(vi)].

Head Start Governance Practices and Related Regulations	Practice is currently in place	Practice will be fully implemented within first three months of funding	Our organization needs assistance in understanding and implementing this regulation
3. Members of the governing body (or Tribal Council) receive effective and ongoing training and technical assistance (T/TA) to ensure that they understand the information they receive and are able to provide effective oversight of, make appropriate decisions for, and participate in programs of the Head Start agency. Head Start Act Sec. 642(d)(3)			
• The agency has a system for identifying the T/TA needs of the governing body (or Tribal Council) and using this information to develop a T/TA plan.	○	○	○
4. Members of the Policy Council receive effective and ongoing training and technical assistance (T/TA) to ensure that they understand the information they receive and can provide effective oversight of, make appropriate decisions for, and participate in programs of the Head Start agency. Head Start Act Sec. 642(d)(3)			
• The agency has a system for identifying the T/TA needs of the Policy Council and using this information to develop a T/TA plan.	○	○	○
5. The governing body (or Tribal Council) exercises the following responsibilities: Head Start Act Sec. 642(c)(1)(E)(iv)(I-III) Sec. 642(c)(1)(E)(iv)(VI)			
• Establishes procedures and criteria for recruiting, selecting, and enrolling children	○	○	○
• Selects delegate agencies, as appropriate	○	○	○
• Develops procedures for selecting Policy Council members	○	○	○
• Reviews applications for funding and amendments to applications for funding	○	○	○

Head Start Governance Practices and Related Regulations	Practice is currently in place	Practice will be fully implemented within first three months of funding	Our organization needs assistance in understanding and implementing this regulation
6. The governing body (or Tribal Council) assumes responsibility for the following: Head Start Act Sec. 642(c)(1)(E)(iv)(VII)(aa)-(dd)			
• All major financial expenditures of the agency	○	○	○
• The operating budget of the agency	○	○	○
• The selection (except when a financial auditor is assigned by the state under state law or is assigned under local law) of independent financial auditors to report all critical accounting policies and practices to the governing body (or Tribal Council)	○	○	○
• The financial audit	○	○	○
• The agency's progress in carrying out the programmatic and fiscal provisions in the agency's grant application, including implementation of corrective actions	○	○	○
• Monitoring of the agency's actions to correct any audit findings and other actions necessary to comply with applicable laws (including regulations) governing financial statement and accounting practices	○	○	○
7. The governing body (or Tribal Council) is engaged in reviewing and approving each of the following: Head Start Act Sec. 642(c)(1)(E)(iv)(V)(aa-cc) Sec. 642(c)(1)(E)(iv)(IX)			
• The Self-Assessment	○	○	○
• Personnel policies of the agency regarding the hiring, evaluation, termination, and compensation of agency employees	○	○	○
• Results from monitoring conducted under section 641A(c), including appropriate follow-up activities	○	○	○

Head Start Governance Practices and Related Regulations	Practice is currently in place	Practice will be fully implemented within first three months of funding	Our organization needs assistance in understanding and implementing this regulation
• Personnel policies and procedures, including those 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	○	○	○
8. The Policy Council engages in the oversight of program operations in each of the following decision-making areas: Head Start Act Sec. 642(c)(2)(D)(i-viii) Sec. 642(c)(2)(A)			
• Activities to support the active engagement of families in the program	○	○	○
• Program recruitment, selection, and enrollment priorities	○	○	○
• Applications for funding and amendments to applications for funding	○	○	○
• Budget planning for program expenditures, including policies for reimbursement related to participation in Policy Council activities	○	○	○
• Bylaws for the operation of the Policy Council	○	○	○
• Program personnel policies and decisions regarding the employment of program staff, consistent with 642(c)(1)(E)(iv)(IX), including standards of conduct for program staff, contractors, and volunteers and criteria for the employment and dismissal of program staff	○	○	○
• Developing procedures for how members of the Policy Council of the Head Start program are elected	○	○	○
• Recommendations on the selection of delegate agencies and the service areas for such agencies	○	○	○
• Program design and operation	○	○	○
• Planning program goals and objectives	○	○	○

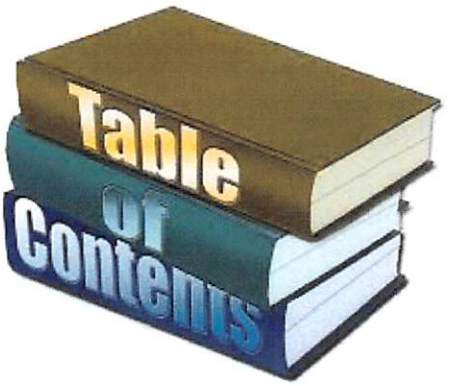
Head Start Governance Practices and Related Regulations	Practice is currently in place	Practice will be fully implemented within first three months of funding	Our organization needs assistance in understanding and implementing this regulation
9. The following reports are received by the Policy Council and members find them useful: Head Start Act Sec. 642(d)(2)(A-I)			
Annual reports:			
• The financial audit	○	○	○
• The Self-Assessment, including any findings related to such assessment	○	○	○
• Program Information Reports (PIRs)	○	○	○
Monthly reports:			
• Financial statements, including credit card expenditures (if the program uses credit cards)	○	○	○
• Program information summaries	○	○	○
• Program enrollment reports, including attendance reports for children whose care is partially subsidized by another public agency	○	○	○
• Reports of meals and snacks provided through programs of the U.S. Department of Agriculture (USDA)	○	○	○
Additional reports:			
• Community Assessment, completed every three years with annual updates	○	○	○
• The strategic plan, including program goals, school readiness goals, and short-term programmatic and financial objectives	○	○	○
• Applicable and current updates from the Secretary (e.g., Program Instructions, Information Memorandums, etc.)	○	○	○

Head Start Governance Practices and Related Regulations	Practice is currently in place	Practice will be fully implemented within first three months of funding	Our organization needs assistance in understanding and implementing this regulation
10. The following reports are received by the governing body (or Tribal Council) and members find them useful: Head Start Act Sec. 642(d)(2)(A-I)			
Annual reports:			
• The financial audit	○	○	○
• The Self-Assessment, including any findings related to such assessment	○	○	○
• Program Information Reports (PIRs)	○	○	○
Monthly reports:			
• Financial statements, including credit card expenditures (if the program uses credit cards)	○	○	○
• Program information summaries	○	○	○
• Program enrollment reports, including attendance reports for children whose care is partially subsidized by another public agency	○	○	○
• Reports of meals and snacks provided through programs of the U.S. Department of Agriculture (USDA)	○	○	○
Additional reports:			
• Community Assessment, completed every three years with annual updates	○	○	○
• The strategic plan, including program goals, school readiness goals, and short term programmatic and financial objectives	○	○	○
• Applicable and current updates from the Secretary (e.g., Program Instructions, Information Memorandums, etc.)	○	○	○

Head Start Governance Practices and Related Regulations	Practice is currently in place	Practice will be fully implemented within first three months of funding	Our organization needs assistance in understanding and implementing this regulation
1. The Head Start agency works with the governing body (or Tribal Council) and Policy Council to make available to the public a report published at least once each year that discloses the following information from the most recently concluded fiscal year: Head Start Act Sec. 644 (a)(2)(A-H)			
• The total amount of public and private funds received and the amount from each source	○	○	○
• An explanation of budgetary expenditures and proposed budget for the fiscal year	○	○	○
• The total number of children and families served, the average monthly enrollment (as a percentage of funded enrollment), and the percentage of eligible children served	○	○	○
• The results of the most recent review by the Secretary and the financial audit	○	○	○
• The percentage of enrolled children that received medical and dental exams	○	○	○
• Information about family engagement activities	○	○	○
• The agency's efforts to prepare children for kindergarten	○	○	○
• Any other information required by the Secretary	○	○	○

Our Organization Needs Assistance in Understanding and Implementing the Following Governance Regulations:

Additional Comments, Questions, or Concerns:



6

Side-By-Side

Head Start Program Governance

Improving Head Start for School Readiness Act of 2007
Signed into law December 12, 2007

	Governing Board	Policy Council
Composition	Composed of: 1 member background and expertise in fiscal management or accounting (Or consultant working with the board) 1 member background and expertise in early childhood education and development (Or consultant working with the board) 1 member a licensed attorney familiar with issues that come before the governing body (Or consultant working with the board) Additional members reflect community and include parents of children currently, or formerly, enrolled Head Start programs and selected for their expertise in education, business administration, or community affairs ***Exceptions to the requirements for members of a governing body when those members oversee a public entity and are selected to positions with the public entity by public election or political appointment.***	Composed of: Parents of children currently enrolled in the Head Start program (including any delegate agency), who shall constitute a majority of the members of the policy council; and Members at large of the community served by Head Start agency (including any delegate agency), who may include parents of children who were formerly enrolled in the Head Start program Elected by the parents of children currently enrolled in the Head Start program
Conflict of Interest	Members of the governing body shall: 1. Not have a financial conflict of interest with the Head Start agency (including any delegate agency) 2. Not receive compensation for serving on the governing body or for providing services to the Head Start agency* 3. Not be employed, nor shall members of their immediate family be employed, by the Head Start agency (including any delegate agency) * 4. Operate as an entity independent of staff employed by the Head Start agency. ***Exception for public agencies***	Members of the Policy Council shall: 1. Not have a conflict of interest with the Head Start agency (including any delegate agency) 2. Not receive compensation for serving on the Policy Council or for providing services to the Head Start agency.

Information Sharing	Each Head Start agency shall ensure the sharing of accurate and regular information for use by the governing body, including: 1. Monthly financial statements, including credit card expenditures 2. Monthly program information summaries 3. Program enrollment reports, including attendance reports for children partially subsidized by another public agency 4. Monthly reports of meals and snacks provided through programs of the Department of Agriculture 5. Financial audit 6. Annual self-assessment, including any findings related to such assessment 7. Communitywide strategic planning and needs assessment of the Head Start agency, including any applicable updates 8. Communication and guidance from the Department of Health and Human Services 9. The program information reports	Each Head Start agency shall ensure the sharing of accurate and regular information for use by the Policy Council, including: 1. Monthly financial statements, including credit card expenditures 2. Monthly program information summaries 3. Program enrollment reports, including attendance reports for children partially subsidized by another public agency 4. Monthly reports of meals and snacks provided through programs of the Department of Agriculture 5. Financial audit 6. Annual self-assessment, including any findings related to such assessment 7. Communitywide strategic planning and needs assessment of the Head Start agency, including any applicable updates 8. Communication and guidance from the Department of Health and Human Services 9. The program information reports
Training for Board and PC	Appropriate training and technical assistance shall be provided to members of the governing body to ensure that the members: • Understand the information the members receive, and • Can effectively oversee and participate in the programs of the Head Start agency.	Appropriate training and technical assistance shall be provided to members of the Policy Council to ensure that the members: • Understand the information the members receive, and • Can effectively oversee and participate in the programs of the Head Start agency.

Head Start Program Governance

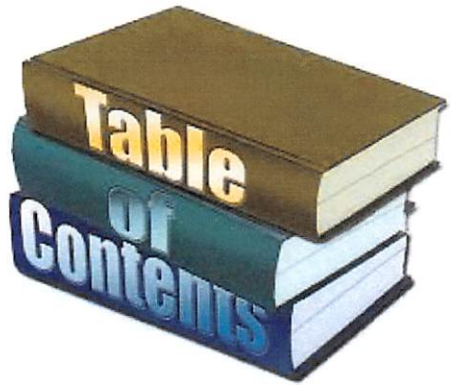
Improving Head Start for School Readiness Act of 2007
Signed into law December 12, 2007

Functions

	Governing Board	Policy Council
General	Legal and fiscal responsibility for administering and overseeing programs, including the safeguarding of Federal funds	Responsible for the direction of the Head Start program
Operations	Adopt practices that assure active, independent, and informed governance (consistent with impasse policies)	
PC Bylaws		Approve and submit to the governing body bylaws for the operation of the Policy Council
Activities		Approve and submit to governing body activities to support active involvement of parents in supporting program operations, including policies to ensure Head Start agency is responsive to community and parent needs
Planning	Fully participate in the development, planning and evaluation	Responsible for: 1. Program design and operation 2. Long and short-term planning goals and objectives (annual communitywide strategic planning and needs assessment and self-assessment)
Compliance	Ensuring compliance with Federal laws (and regulations) and applicable State, tribal, and local laws (and regulations)	
Delegates	Selecting delegate agencies and the service areas for such agencies	Approve and submit to the governing body recommendations on the selection of delegate agencies and service areas for such agencies
ERSEA	Establishing procedures and criteria for recruitment, selection and enrollment of children	Approve and submit to the governing body program recruitment, selection, and enrollment priorities
Funding Applications	Reviewing all applications for funding and amendments to applications for funding	Approve and submit to the governing body applications for funding and amendments
Financial		Approve and submit to the governing body budget planning for program expenditures, including policies for reimbursement and participation in Policy Council activities

Information	Establish procedures and guidelines for accessing and collecting information	
Major Policies	Reviewing and approving all major policies of the agency, including: 1. Annual self-assessment and financial audit 2. Progress in carrying out programmatic and fiscal provisions including implementation of corrective actions 3. Personnel policies regarding the hiring, evaluation, termination, and compensation of agency employees	(see personnel below)
PC Election	Developing procedures for how members of the Policy Council are selected, consistent with Policy Council	Approve and submit to the governing body procedures for how members of the Policy Council will be elected
Financial	Approving financial management, accounting, and reporting policies, including: 1. Approval of all major financial expenditures of the agency 2. Annual approval of the operating budget of the agency 3. Selection of independent financial auditors 4. Monitoring correction of any audit findings	
Monitoring	Review results from triennial monitoring, including appropriate follow-up activities	
Personnel	Approving personnel policies and procedures, including hiring, evaluation, compensation, and termination of: • Executive Director • Head Start Director • Director of Human Resources • Chief Fiscal Officer (or other person in equivalent position)	Approve and submit to the governing body program personnel policies and decisions regarding the employment of program staff, including standards of conduct for program staff, contractors, and volunteers and criteria for the employment and dismissal of program staff
Standards of Conduct	Establishing, adopting, and 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 governing body, officers and employees of Head Start agency, and consultants and agents providing services or goods	(see personnel above)

Committees	Establishing advisory committees to oversee key responsibilities related to program governance and improvement (at the discretion of the governing body)	
Impasse	(Under Head Start Act of 2007, impasse policies shall be developed by Department of Health and Human Services)	



7

Reports

South San Antonio Independent School District (SSAISD)

Head Start Program (HS)

Self-Assessment Activities

Based on Observations from January 2016

Prepared by Zajonc Corporation

Kyle Barrington, Ph.D., Dana Chen M.B.A., and Joel Whitt M.A.

Published

January 2017

SHS Self-Assessment Activities

From January 9th through 11th, 2017, Zajonc Corp assisted South San Antonio ISD Head Start in its ongoing self-assessment process by reviewing key components of operations and services provided to area students and families under Head Start Grant #06CH706901. During the January review, the FY2016 Office of Head Start – Head Start Key Indicator – Compliant (HSKI-C) Monitoring Protocol and associated Head Start Performance Standards and regulations were utilized to guide the assessment process within specific component areas except for Eligibility, Recruitment, Selection, Enrollment, and Attendance Protocol (ERSEA). For the self-assessment specifically related to ERSEA the newly released 2017 Self-Monitoring ERSEA Protocols were utilized. During this Assessment each of the sites were visited. At each site the following areas were reviewed: Student files, Play Ground Areas, Class Room Areas, Medication Storage and Administration Documentation, Parent Boards, and documentation related to parent contact, inclusion, and participation. At each of the ten sites a minimum of 10 student files were reviewed to ensure documentation was up-to-date and included in each child file. The component areas and key indicators selected for review in December 2017 as selected by SSAISD Head Start, included:

- Management Systems 6, 10, 11,
- Fiscal Integrity (FI): Indicators 12 and 13;
- Comprehensive Services and School Readiness (CSSR): Indicators 17, 19, 25, 28;
- Environmental Health and Safety Protocol (EHS): Indicators 1-4; and
- Eligibility, Recruitment, Selection, Enrollment, and Attendance Protocol (ERSEA): Indicators 1-3.

Of the 16 indicators that were at least partially assessed, **13** were noted as being in "compliance," **1** was noted as "areas of concern," and **2** were noted as "non-compliance." Additionally, information within each indicator as follows notes the level of assessment activity

being conducted with "High" level of assessment indicative of a thorough examination of statements, conditions, and documentation pertaining to compliance within said indicator; "Medium" level of assessment indicative of a partial examination of statements, conditions and documentation pertaining to compliance within said indicator; and "Low" level of assessment pertaining to a limited examination of documentation pertaining compliance within said indicator (i.e., "Low" assessment level is likely more statement and observational based) Indicators identified with a "Low" level of assessment should be considered for follow-up review during the next scheduled self-assessment event.

All SHS personnel involved in the self-assessment process are to be commended for their cooperation and willingness to supply data as requested by the self-assessment team. It is recommended that the SHS Director share this information will all relevant staff and stakeholders, including Head Start technical assistance resources so that improvements plans and actions can immediately move forward. Further details are included within the tables that follow.

Head Start Key Indicator-Compliant (HSKI-C) Monitoring Protocol

Component	Indicator	Definition	Compliance Level	Description
Management Systems	*#6*	***At least annually, the program conducts a Self-Assessment of program effectiveness that:*** ***• Assesses progress in meeting local program goals and objectives*** ***• Evaluates program compliance with Federal requirements*** ***• Results in improvement plans***	**Compliance**	Intensity of Self-Assessment: Low • During the current year the Program has complete the majority of its own self-assessment utilizing staff. This process has included CLASS and a review of program goals and objectives. • Interviews indicate on-going efforts to evaluate compliance. The Program has utilized outside consultants to complete a portion of their self-assessment and to monitor compliance. • Documentation and evidence of change over the past 24 months indicate improvement plans have been created and implemented.
	#10	***The program establishes and maintains a***	**Compliance**	Intensity of Self-Assessment: High

		record-keeping system that supports the delivery of services to children and families. The program: ***• Consistently collects and records data in an accurate and timely manner for children, families, and staff*** ***• Generates reports to inform planning, communication, and ongoing monitoring*** ***• Makes information accessible to appropriate parties*** ***• Maintains confidentiality***		• In review of ChildPlus, Eligibility Files, and Student files it was noted that all files reviewed were consistent in the data collection. Signed applications, verification of residency, income, and medical history were present for all students reviewed. Student health records were current with documentation of medical, vision, and hearing screenings, referrals for additional services, and physical and dental examinations. The program noted that several students had completed their physical exams in November at Christus. These records had not been received and were not in the system or files on January 11th. The Program indicated that these records are in progress. All other records were in the system and available. The Program should work with Christus to ensure that the records are received and are entered into the system and filed. • The ChildPlus system allows for reports to be generated at the program, site, classroom, and student level. Review of these systems indicated they were in use and regularly updated. Staff interviews indicated that these data are utilized in planning, communication, and ongoing monitoring.
	#11	***The program publishes and makes available to the public an Annual Report that contains:*** ***• An explanation of the budgetary expenditures and proposed budget for the fiscal year*** ***• An explanation of the agency's efforts to prepare children for kindergarten***	**Noncompliance**	Intensity of Self-Assessment: Low • 2015 Report Posted on the Website does not include budgetary expenditures and proposed budget.
Fiscal Integrity	***#12***	***The grantee's financial management systems provide for effective control over and accountability for grant and sub-grant funds, property, and other assets and ensure they are used solely for authorized purposes.***	**Compliance**	Intensity of Self-Assessment: Low • Interview with Fiscal Manager utilizing the 2016 Head Key Indicators coupled with past reviews indicated compliance towards this indicator.
	#15	***The grantee can demonstrate that all***	**Compliant**	Intensity of Self-Assessment: Medium

		contributions of non-Federal share (NFS), including cash and third-party in-kind (such as donated services, goods or supplies), are necessary and reasonable for accomplishing program objectives, allowable under applicable cost principles, and allocable if also benefiting another award. Financial records are also sufficient and support the verification of adherence to applicable cost principles.		• Non-Federal share is currently being tracked and accounted by SSAISD fiscal staff. • Value(s) of donated time, goods and services are verified and accounted by SSAISD fiscal staff. • Cost principals for the Non-Federal share related to donations and volunteer time are based on cost and time verification that meets compliance. Rate for volunteer time is well within range as it falls below that of a classroom assistant. • Documentation of donated services and goods or services verified.
Comprehensive Services & School Readiness	***#17***	***The program has established procedures for tracking the provision of Health services.***	**Compliance**	Intensity of Self-Assessment: High • For each tested child file there is a checklist and records that are regularly updated to ensure that all required services are provided. • Referrals and follow-up services are documented and monitored.
	#19	***The program provides educational opportunities for parents to enhance their parenting skills that include: (1) understanding the educational and developmental needs of their children; and (2) sharing the concerns and observations about their children with program staff.***	**Compliance**	Intensity of Self-Assessment: Low • Site documentation of parent meetings, Family Assessments, Family Goals, parent meetings and home visits indicated opportunities for parent education related to development and educational needs of the child. • Sit documentation indicated opportunities through parent meetings and visits for parents to share concerns with program staff. Head Start staff were viewed interacting with parents at the end of the school day and providing additional contact opportunities.
	#25	***The program uses information from ongoing observations and evaluations, as well as insight from parents, to determine how best to respond to each child's individual characteristics, strengths, and needs.***	**Compliance**	Intensity of Self-Assessment: Low • File review and documentation of Family Assessment and Goals, home visits and meetings indicate compliance.

	#26	***The program has secured the services of a mental health professional, including on-site consultation for program staff and families that provides for timely identification and interventions to address children's mental health concerns.***	**Area of Concern**	Intensity of Self-Assessment: Low • A mental health consultant has been secured by the program for timely referral of students in need of mental health services. • Staff indicate barriers in receiving special education services and assessments that would increase mental health services and percentage of students with disability status.

Environmental Health & Safety Protocol

Component	Indicator	Definition		Description
Health	*#1*	***1.1The program provides safe, healthy, and clean environments by ensuring:*** ***• Safety inspections are conducted regularly*** ***• Children are not exposed to environmental toxins or pollutants*** ***• Environments are clean and sanitary*** ***• Materials, equipment, and facilities are age-appropriate and accessible to children*** ***• Facilities are well maintained and in good repair*** ***• Environments are free from hazards and are designed to prevent injury or harm to children*** ***1.2 The program ensures facilities are prepared for and equipped to prevent emergencies.*** ***1.3 All facilities comply with State and local licensing requirements including, but not limited to, child care licensing, fire and building inspections, and occupancy permits.***	**Compliance**	Intensity of Self-Assessment: Medium 1.1 Compliance 1.2 Area of Concern 1.3 Compliance • Centers had smoke and carbon monoxide detectors present. • Minor issues noted with covering of electrical power strips located on floor and on table tops. • Clear procedures posted for all observed facilities. • Documentation of most recent building and fire prevention inspections were not viewed. • Emergency evacuation routes were present in the majority of classrooms. • Fire extinguishers were accessible for each classroom.

	#2	***2.1 The program implements sanitation and hygiene practices to ensure the health and safety of all staff, volunteers, and children. This includes:*** ***• Handwashing*** ***• Cleaning of spilled bodily fluids*** ***• Diapering Environments*** ***2.2 The program's Nutrition program is designed and implemented to:*** ***• Comply with U.S. Department of Agriculture (USDA) nutrition requirements*** ***• Ensure food safety, with all meals void of choking hazards*** ***• Ensure breast milk and formula are handled appropriately (when applicable)*** ***• Meet the individual nutritional needs and feeding requirements of each child (including children with special dietary, medical, or disability needs)*** ***2.3 The program ensures the effective management of medication according to physician instructions, including proper labeling, storage, and administration.***	**Compliance**	Intensity of Self-Assessment: Medium 2.1 Not Reviewed 2.2 Compliance 2.3 Compliance 2.4 Compliance 2.5 Not reviewed 2.6 Compliance • Adults and children were observed properly washing their hands. • No spilled bodily fluids were observed. Posters were present regarding steps to handle bodily fluids. • No diapering observed. Posters regarding steps for sanitation and hygiene for diapering were present and displayed. • At observed sites, medication is safely stored and is not accessible to children.
Health	*#3*	***3.1 Prior to employing an individual, the program obtains a:*** ***• Federal, State, or Tribal criminal record check (CRC) covering all jurisdictions in which it provides Head Start services to children*** ***• Federal, State, or Tribal CRC***	Compliance	Intensity of Self-Assessment: Medium to Low 3.1 Compliance 3.2 Compliance 3.3 Compliance 3.4 Area of Concern 3.5 Compliance 3.6 Compliance

		as required by the law of the jurisdiction in which the program provides Head Start services ***• CRC as otherwise required by Federal law.*** ***3.2 The program ensures the maintenance of appropriate class and group sizes based on the predominant age of the children.*** ***3.3 The program arranges all outdoor play areas to prevent children from getting into unsafe and/or unsupervised areas. The program also ensures that children in route to play areas are not exposed to vehicular traffic without supervision.*** ***3.4 The program ensures children are released only to a parent, legal guardian, or other individual designated in writing by the parent or legal guardian.*** ***3.5 Staff actively supervise children at all times.*** ***3.6 Staff use positive child guidance when responding to undesirable behavior.***		• CRCs are obtained by SSAISD and followed-up by the Head Start Director. • Class and group sizes based on age are monitored by program staff. • Children at two sites have to access outdoor play areas by transiting across vehicular area; however staff indicated that during school hours these areas are not open for traffic. • Documentation present regarding authorized individuals to accept the release of all students. • No incidents of inappropriate punishment reported.
	#4	***4.1 The program's vehicles are properly equipped.***	Compliance	Intensity of Self-Assessment: Not Reviewed

		4.2 At least one bus monitor is aboard the vehicle at all times. ***4.3 Each bus monitor, before duty, has been trained on:*** ***• Child boarding-and-exiting procedures*** ***• Use of child restraint systems*** ***• Required paperwork*** ***• Emergency response and evacuation procedures*** ***• Use of special equipment*** ***• Child pick-up and release procedures*** ***• Pre- and post-trip vehicle checks*** ***4.4 The program ensures persons employed to drive vehicles receive required behind-the-wheel and classroom training before transporting children.***		• Not Applicable.

ERSEA Protocol

Component		Indicator	Compliance Level	Description
ERSEA	*#1*	***Monthly average daily attendance in center-based programs falls below 85 percent, the causes of absenteeism are analyzed, and the program initiates appropriate family support as needed.***	**Compliance**	Intensity of Self-Assessment: High 1.1 Compliance • When monthly average daily attendance in center-based programs falls below 85 percent, the causes of absenteeism are analyzed, and the program initiates appropriate family support as needed. • Current school year status has not fallen below 85 percent in monthly average daily attendance. • Documentation of notification provided to parents regarding attendance. • Documentation of Attendance Contracts developed with parents to ensure students with 10 or more absences attend regularly.
	#2	***Program staff verified each child's eligibility and included in each file an eligibility determination record that includes:*** ***• A statement identifying the***	**Compliance**	Intensity of Self-Assessment: High 2.1 Compliance 2.2 Compliance 2.3 Not Applicable

		child's eligibility category and the documents examined to determine eligibility. ***• Documentation that an in-person or telephone-interview took place.*** ***• Documents or statements program staff used to verify eligibility, including documentation of zero income, self-declaration of income, or verification through third parties.*** ***The program enrolls children who are categorically eligible (who fall within defined income-eligibility requirements).*** ***Defined Eligibility Requirements include:*** ***• Family income below the poverty line.*** ***• Family or child receiving public assistance (SSI and TANF).*** ***• Homelessness*** ***• Child's status as a foster child*** ***Additional income-eligibility includes:*** ***• Ten percent of children enrolled in the program may be over the income threshold*** ***• An additional 35 percent of children who are not categorically eligible may be from families whose income is between 100 and 130 percent of poverty.***		• Documentation is present in each child's file that personnel inspect source records and verification of eligibility was obtained and recorded. • Sampling of child files demonstrated compliance with accepting children according to income eligibility guidelines. • Documentation verified that an in-person or telephone-interview took place. • • Evidence of greater than 5% of students are in Foster Care. • Documentation of % of students over income, amount did not surpass 10% based on the sample of files reviewed.

	#3	***Actual program enrollment is composed at least 10 percent of children with disabilities. The program enrolls 100 percent of its funded enrollment and ensures an active and ranked waiting list is maintained at all times.***	**Non-Compliance**	Intensity of Self-Assessment: Medium 3.1 Area of Concern 3.2 Compliance • Current enrollment contains less than the 10% minimum for students with disabilities; however action planning and work with Special Education are on-going. • The program enrolls 100 percent of its funded enrollment and ensures an active and ranked waiting list is maintained at all times. Sampling and interviews verified that the waiting list is active and reviewed when openings in the program are available.

Campus: Athens Elem

Fund HS (205) — As of 2/2017

Campus	Sum of Budget	Sum of Expenses	Encumb	
Payroll	43,417.00	42,494.64	-	922.36
Contracted Services	5,090.00	4,827.78	229.78	32.44
Supplies & Materals	17,069.00	17,066.65	-	2.35
Other Operating Costs	4,975.00	4,923.36	58.00	(6.36)
Equipment	17,954.00	-	17,935.28	18.72
Remaining Balance:	**88,505.00**	**69,312.43**	**18,223.06**	**$ 969.51**

Campus: Hutchins Elem

Fund HS (205) — As of 2/2017

Campus	Sum of Budget	Sum of Expenses	Encumb	
Payroll	60,070.00	64,690.29	-	(4,620.29)
Contracted Services	4,351.00	4,259.52	153.92	(62.44)
Supplies & Materals	7,588.00	7,586.33	-	1.67
Other Operating Costs	2,633.00	2,581.25	169.81	(118.06)
Equipment	17,954.00	-	17,935.28	18.72
Remaining Balance:	**92,596.00**	**79,117.39**	**18,259.01**	**$ (4,780.40)**

Campus: Kindred Elem

Fund HS (205) — As of 2/2017

Campus	Sum of Budget	Sum of Expenses	Encumb	
Payroll	81,049.00	84,010.43	-	(2,961.43)
Contracted Services	4,792.00	4,418.59	572.73	(199.32)
Supplies & Materals	6,697.00	6,695.04	-	1.96
Other Operating Costs	3,837.00	3,784.17	357.00	(304.17)
Equipment	-	-		-
Remaining Balance:	**96,375.00**	**98,908.23**	**929.73**	**$ (3,462.96)**

Campus: Palo Alto Elem

Fund HS (205) — As of 2/2017

Campus	Sum of Budget	Sum of Expenses	Encumb	
Payroll	47,153.00	47,309.90		(156.90)
Contracted Services	5,558.00	5,303.29	252.73	1.98
Supplies & Materals	9,986.00	9,984.34	-	1.66
Other Operating Costs	4,406.00	4,354.84	51.00	0.16
Equipment	17,954.00	-	17,935.28	18.72
Remaining Balance:	**85,057.00**	**66,952.37**	**18,239.01**	**$ (134.38)**

Campus: Price Elem

Fund HS (205) — As of 2/2017

Campus	Sum of Budget	Sum of Expenses	Encumb	
Payroll	84,761.00	84,320.82	-	440.18
Contracted Services	5,061.00	4,698.27	537.72	(174.99)
Supplies & Materals	5,884.00	5,882.02	(57.93)	59.91
Other Operating Costs	3,408.00	3,356.85	51.00	0.15
Equipment	17,954.00	-	17,935.28	18.72
Remaining Balance:	**117,068.00**	**98,257.96**	**18,466.07**	**$ 343.97**

Campus: Madla Elem

Fund HS (205) — As of 2/2017

Campus	Sum of Budget	Sum of Expenses	Encumb	
Payroll	69,302.00	84,304.03		(15,002.03)
Contracted Services	4,205.00	3,949.71	1,000.73	(745.44)
Supplies & Materals	14,551.00	14,549.29	-	1.71
Other Operating Costs	4,116.00	6,464.35	(748.00)	(1,600.35)
Equipment	17,954.00		17,935.28	18.72
Remaining Balance:	**110,128.00**	**109,267.38**	**18,188.01**	**$ (17,327.39)**

Campus: Five Palms Elem

Fund HS (205) — As of 2/2017

Campus	Sum of Budget	Sum of Expenses	Encumb	
Payroll	57,745.00	59,647.95		(1,902.95)
Contracted Services	4,480.00	4,183.69	520.00	(223.69)
Supplies & Materals	12,905.00	12,806.99	-	98.01
Other Operating Costs	4,900.00	2,939.65	51.00	1,909.35
Equipment	17,954.00	-	17,935.28	18.72
Remaining Balance:	**97,984.00**	**79,578.28**	**18,506.28**	**$ (100.56)**

Campus: Armstrong Elem

Fund HS (205) — As of 2/2017

Campus	Sum of Budget	Sum of Expenses	Encumb	
Payroll	41,772.00	38,788.43		2,983.57
Contracted Services	4,298.00	3,808.85	303.06	186.09
Supplies & Materals	7,698.00	7,695.29		2.71
Other Operating Costs	1,988.00	1,756.70	342.25	(110.95)
Equipment	17,954.00	-	17,935.28	18.72
Remaining Balance:	**73,710.00**	**52,049.27**	**18,580.59**	**$ 3,080.14**

Campus: Carrillo Elem

Fund HS (205) — As of 2/2017

Campus	Sum of Budget	Sum of Expenses	Encumb	
Payroll	82,959.00	83,106.21		(147.21)
Contracted Services	4,379.00	4,072.73	15,176.87	(14,870.60)
Supplies & Materals	10,407.00	10,404.74	-	2.26
Other Operating Costs	4,435.00	4,317.16	159.50	(41.66)
Equipment	17,954.00	-	17,935.28	18.72
Remaining Balance:	**120,134.00**	**101,900.84**	**33,271.65**	**$ (15,038.49)**

Campus: Benavidez Elem

Fund HS (205) — As of 2/2017

Campus	Sum of Budget	Sum of Expenses	Encumb	
Payroll	75,073.00	75,057.07		15.93
Contracted Services	4,699.00	4,528.00	280.45	(109.45)
Supplies & Materals	12,337.00	15,601.06	-	(3,264.06)
Other Operating Costs	3,967.00	3,915.80	51.00	0.20
Equipment	73,368.00	-	73,348.18	19.82
Remaining Balance:	**169,444.00**	**99,101.93**	**73,679.63**	**$ (3,337.56)**

Campus: Head Start Department

Fund HS (205)

As of 2/2017

Campus	Sum of Budget	Sum of Expenses	Encumb	
Payroll	988,166.00	963,739.98	-	24,426.02
Contracted Services	85,590.00	89,160.74	2,578.42	(6,149.16)
Supplies & Materals	56,262.00	50,262.33	(702.27)	6,701.94
Other Operating Costs	27,353.00	27,351.42		1.58
Equipment	-	-	-	-
Remaining Balance:	**1,157,371.00**	**1,130,514.47**	**1,876.15**	**$ 24,980.38**
Totals:	**$ 2,208,372.00**	**$ 1,984,960.55**	**$ 238,219.19**	**$ (14,807.74)**

Footnote: Volunteer InKind Ttl as of 2/28/2017 $19,400.57

(14,807.74)

Budget Grant Year FY18

Campus: Athens Elem

Fund HS (205) — As of 2/2017

Campus	Sum of Budget	Sum of Expenses	Encumb	
Payroll	45,765.00	3,531.94		42,233.06
Contracted Services	352.00			352.00
Supplies & Materals	1,273.00			1,273.00
Other Operating Costs	2,062.00			2,062.00
Equipment	3,750.00			3,750.00
Remaining Balance:	**53,202.00**	**3,531.94**	-	**$ 49,670.06**

Campus: Hutchins Elem

Fund HS (205) — As of 2/2017

Campus	Sum of Budget	Sum of Expenses	Encumb	
Payroll	48,932.00	3,924.57		45,007.43
Contracted Services	352.00			352.00
Supplies & Materals	1,274.00			1,274.00
Other Operating Costs	2,062.00			2,062.00
Equipment				-
Remaining Balance:	**52,620.00**	**3,924.57**	-	**$ 48,695.43**

Campus: Kindred Elem

Fund HS (205) — As of 2/2017

Campus	Sum of Budget	Sum of Expenses	Encumb	
Payroll	44,489.00	3,554.35		40,934.65
Contracted Services	352.00			352.00
Supplies & Materals	1,274.00			1,274.00
Other Operating Costs	2,061.00			2,061.00
Equipment				-
Remaining Balance:	**48,176.00**	**3,554.35**	-	**$ 44,621.65**

Campus: Palo Alto Elem

Fund HS (205) — As of 2/2017

Campus	Sum of Budget	Sum of Expenses	Encumb	
Payroll	43,745.00	3,488.23		40,256.77
Contracted Services	352.00			352.00
Supplies & Materals	1,274.00			1,274.00
Other Operating Costs	2,061.00			2,061.00
Equipment				-
Remaining Balance:	**47,432.00**	**3,488.23**	-	**$ 43,943.77**

Campus: Price Elem

Fund HS (205)

As of 2/2017

Campus	Sum of Budget	Sum of Expenses	Encumb	
Payroll	45,422.00	3,594.56		41,827.44
Contracted Services	352.00			352.00
Supplies & Materals	1,274.00			1,274.00
Other Operating Costs	2,061.00			2,061.00
Equipment				-
Remaining Balance:	**49,109.00**	**3,594.56**	-	**$ 45,514.44**

Campus: Madia Elem

Fund HS (205)

As of 2/2017

Campus	Sum of Budget	Sum of Expenses	Encumb	
Payroll	84,410.00	7,508.68		76,901.32
Contracted Services	352.00			352.00
Supplies & Materals	1,274.00			1,274.00
Other Operating Costs	2,061.00			2,061.00
Equipment				-
Remaining Balance:	**88,097.00**	**7,508.68**	-	**$ 80,588.32**

Campus: Five Palms Elem

Fund HS (205)

As of 2/2017

Campus	Sum of Budget	Sum of Expenses	Encumb	
Payroll	46,044.00	3,297.15		42,746.85
Contracted Services	352.00			352.00
Supplies & Materals	1,274.00			1,274.00
Other Operating Costs	2,061.00			2,061.00
Equipment				-
Remaining Balance:	**49,731.00**	**3,297.15**	-	**$ 46,433.85**

Campus: Armstrong Elem

Fund HS (205)

As of 2/2017

Campus	Sum of Budget	Sum of Expenses	Encumb	
Payroll	32,613.00	1,618.48		30,994.52
Contracted Services	352.00			352.00
Supplies & Materals	1,274.00			1,274.00
Other Operating Costs	2,061.00			2,061.00
Equipment				-
Remaining Balance:	**36,300.00**	**1,618.48**	-	**$ 34,681.52**

Campus: Carrillo Elem

Fund HS (205)

As of 2/2017

Campus	Sum of Budget	Sum of Expenses	Encumb	
Payroll	43,764.00	3,450.16		40,313.84
Contracted Services	352.00			352.00
Supplies & Materals	1,273.00			1,273.00
Other Operating Costs	2,061.00			2,061.00
Equipment				-
Remaining Balance:	**47,450.00**	**3,450.16**	**-**	**$ 43,999.84**

Campus: Benavidez Elem

Fund HS (205)

As of 2/2017

Campus	Sum of Budget	Sum of Expenses	Encumb	
Payroll	43,895.00	3,453.92		40,441.08
Contracted Services	352.00			352.00
Supplies & Materals	1,273.00			1,273.00
Other Operating Costs	2,062.00			2,062.00
Equipment				-
Remaining Balance:	**47,582.00**	**3,453.92**	**-**	**$ 44,128.08**

Campus: Undistributed

As of 2/2017

Campus	Sum of Budget	Sum of Expenses	Encumbrance	
Payroll	-	-		-
Contracted Services	23,000.00	-		23,000.00
Supplies & Materals	250.00	-		250.00
Other Operating Costs	-	-		-
Equipment	-	-		-
Remaining Balance:	**23,250.00**	**-**	**-**	$ 23,250.00

Campus: Head Start Department

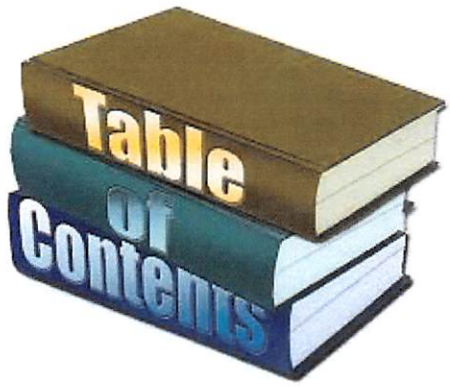
Fund HS (205)

As of 2/2017

Campus	Sum of Budget	Sum of Expenses	Encumb	
Payroll	508,993.00	1,622.87		507,370.13
Contracted Services	28,786.00			28,786.00
Supplies & Materals	8,995.00	84.50		8,910.50
Other Operating Costs	14,463.00	1,168.88		13,294.12
Equipment				-
Remaining Balance:	**561,237.00**	**2,876.25**	**-**	**$ 558,360.75**

Totals:	$ 1,104,186.00	$ 40,298.29	$ -	$ 1,063,887.71

Footnote: Volunteer InKind Ttl as of 2/28/2017 $0



8

Self-Paced Training

Head Start Program Governance Training

Self-Paced Training Modules

Title	Date Complete
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	_____

Training Completed:

_____ _____

Printed Name Signature

_____

Date

https://eclkc.ohs.acf.hhs.gov/hslc/tta-system/operations/govtraining