



THE NATIONAL CENTER ON  
Program Management  
and Fiscal Operations

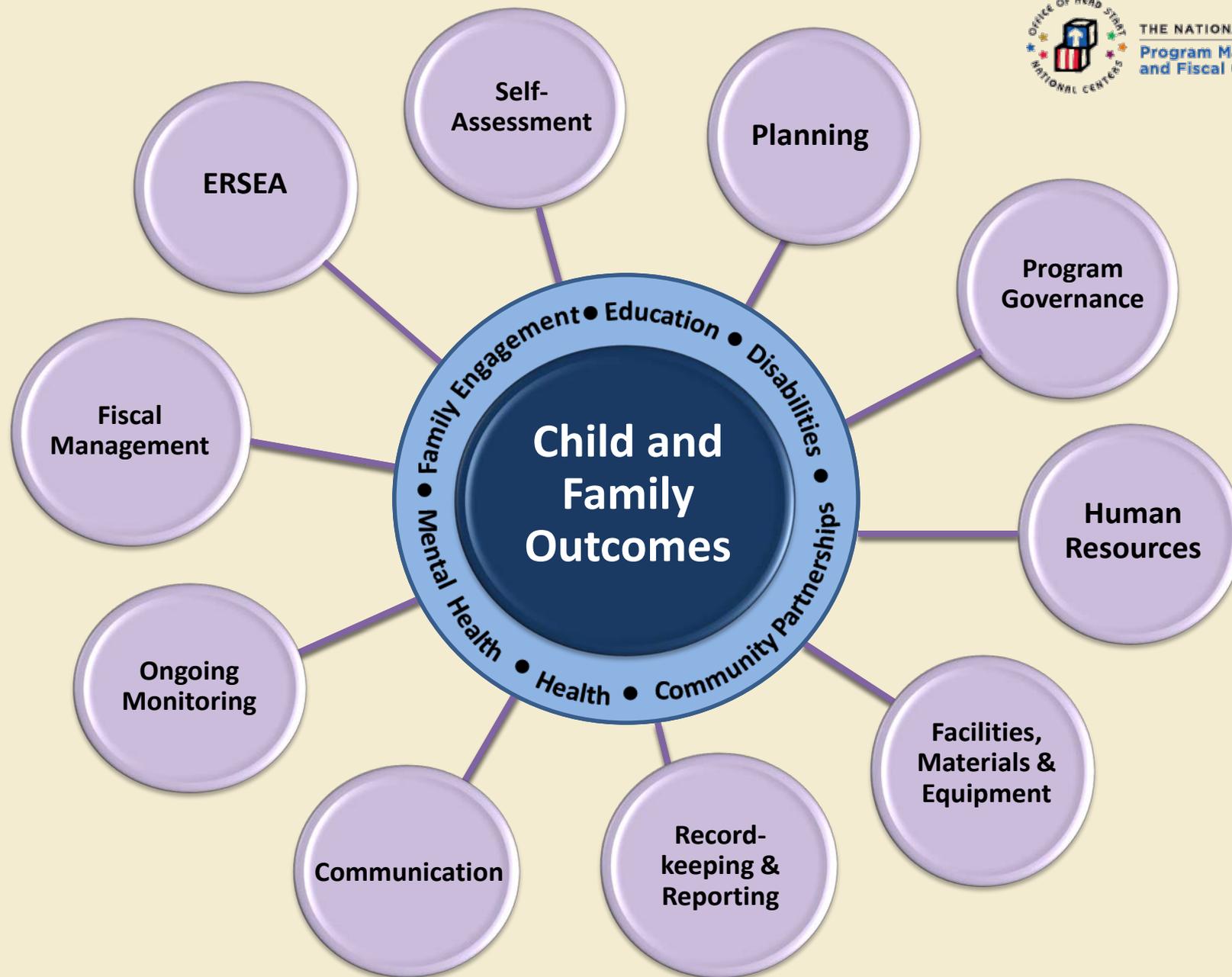
# Why Good Governance Matters



# Objectives

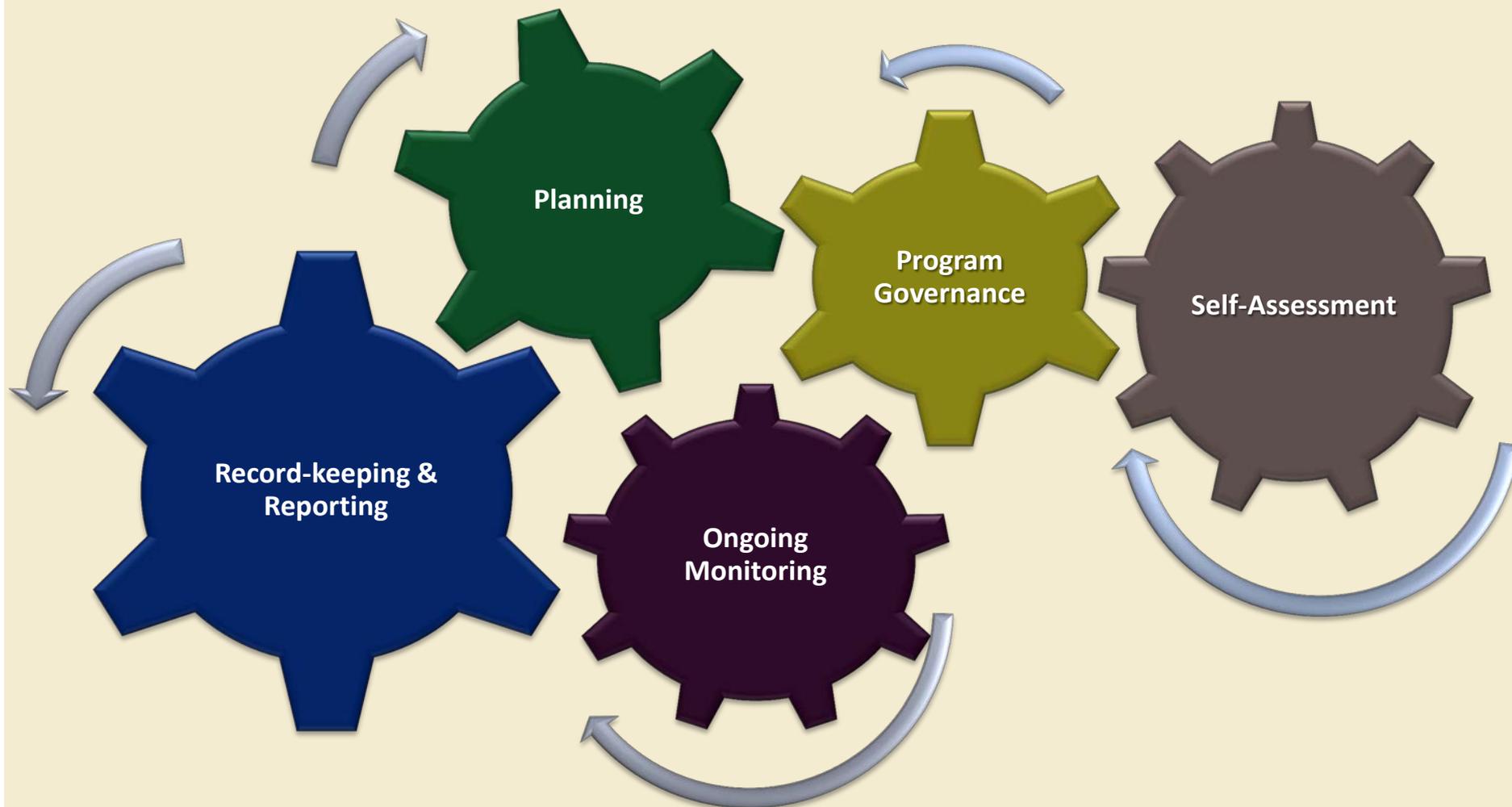
- Explore why good governance matters
- Examine current needs of Head Start programs in the area of program governance
- Identify tools and strategies for strengthening Head Start governance systems







# Systems Are Linked



# 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 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 management



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# Structure





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# Traditional Non-Profit Governance

**Governing body/  
Tribal Council**  
Legal and fiscal responsibilities

**Management Staff**  
Oversees day-to-day operations

# Head Start Governance

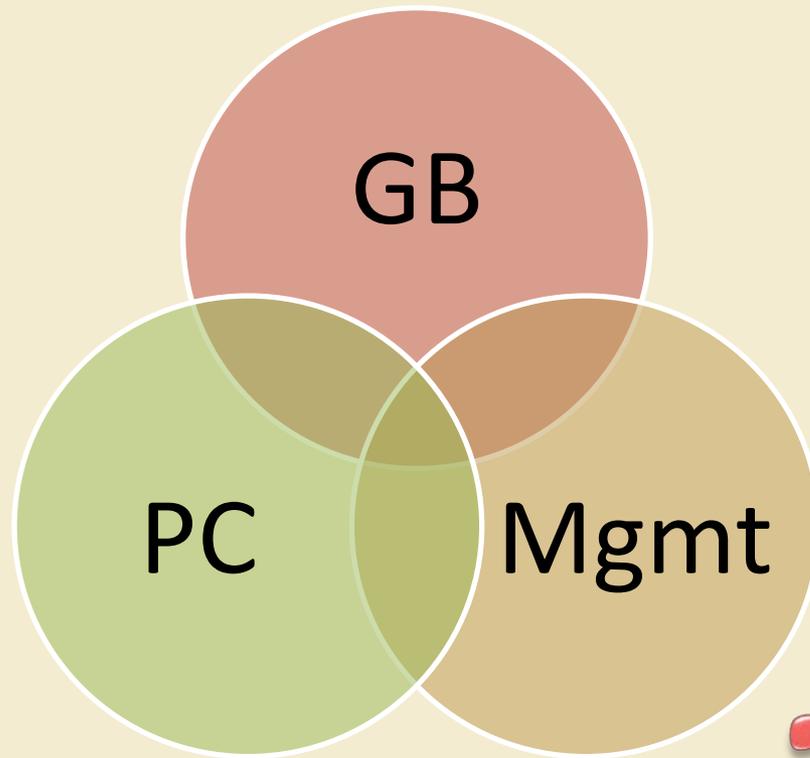


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**Governing body/  
Tribal Council**  
Legal and fiscal responsibilities

**Policy Council**  
Sets the program direction

**Management Staff**  
Oversees day-to-day operations



# Mission Possible





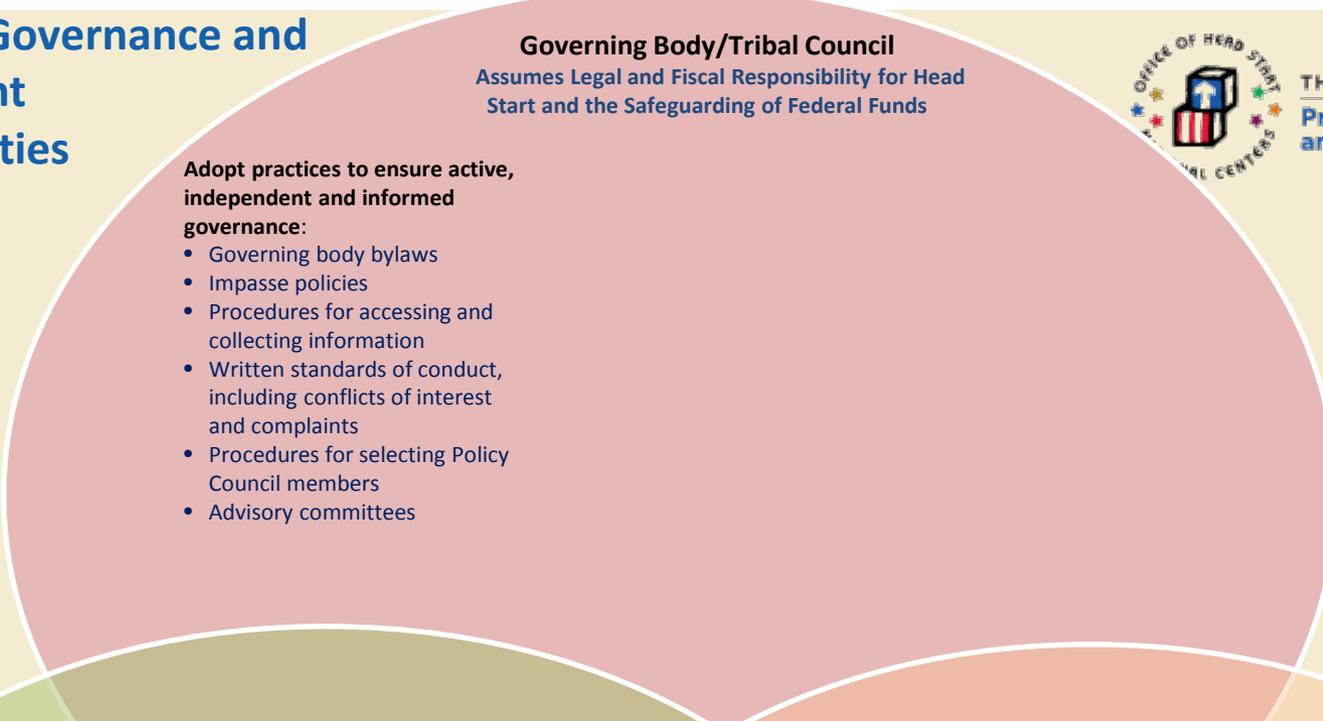
# Mission Possible Instructions

1. Assign a Mission Possible Team Lead
2. Read the instructions
3. Review your partially completed Venn diagram
4. Use the *intel* from your envelopes to complete the Venn diagram with your team
5. Refer to the Head Start Act Reference Book
7. Take 20 minutes to complete the task

# 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
- Impasse policies
- 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

**Management Staff**  
Assumes Operating Responsibility for Head Start Day-to-Day Functions



# Head Start Governance and Management Responsibilities

## Governing Body/Tribal Council Assumes Legal and Fiscal Responsibility for Head Start and the Safeguarding of Federal Funds



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### Adopt practices to ensure active, independent and informed governance:

- Governing body bylaws
- Impasse policies
- 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

### Take Action:

- Hire/terminate Head Start Director and other lead staff

### 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\*

### Policy Council Assumes Responsibility for Head Start Program Direction

### 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\*

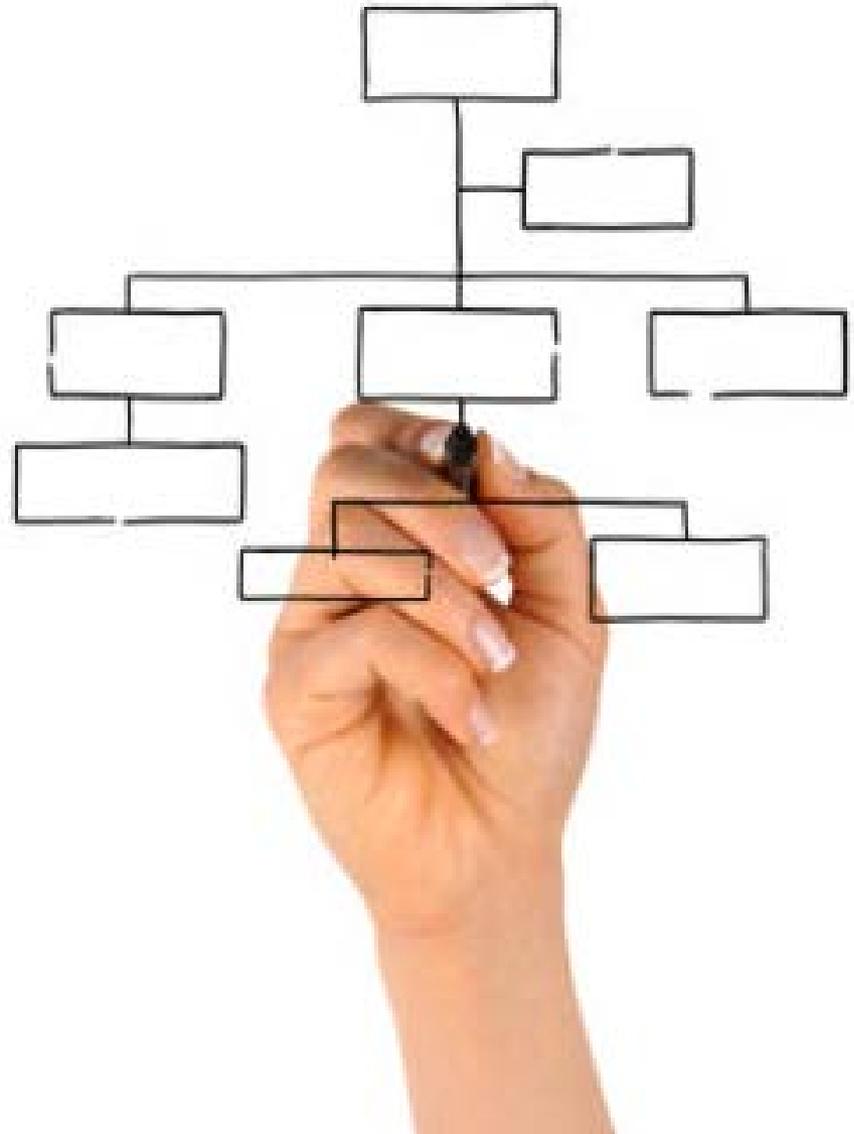




# Mission Possible Debrief

- 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?
- How might you use this activity in your program?

# Processes

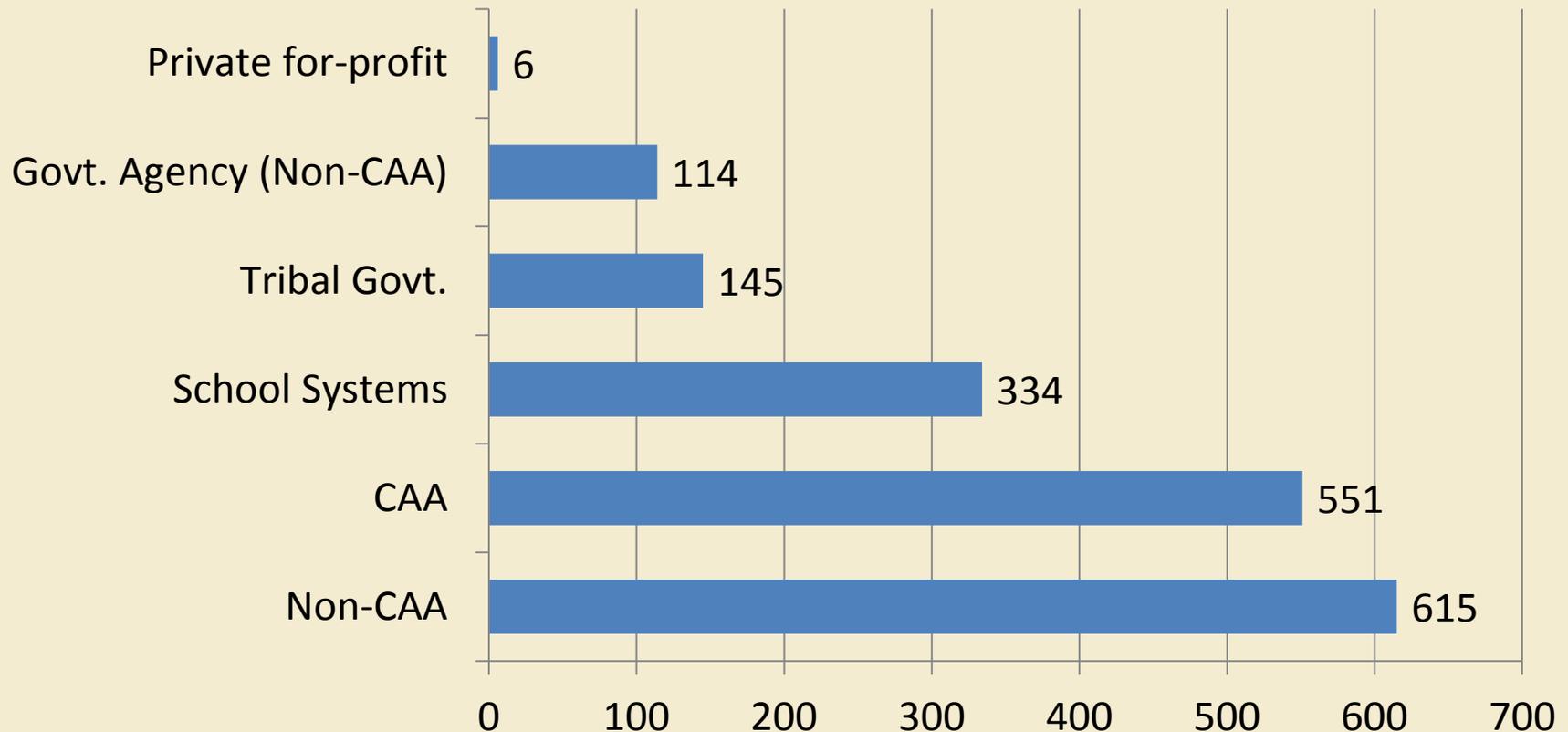


# Relationships



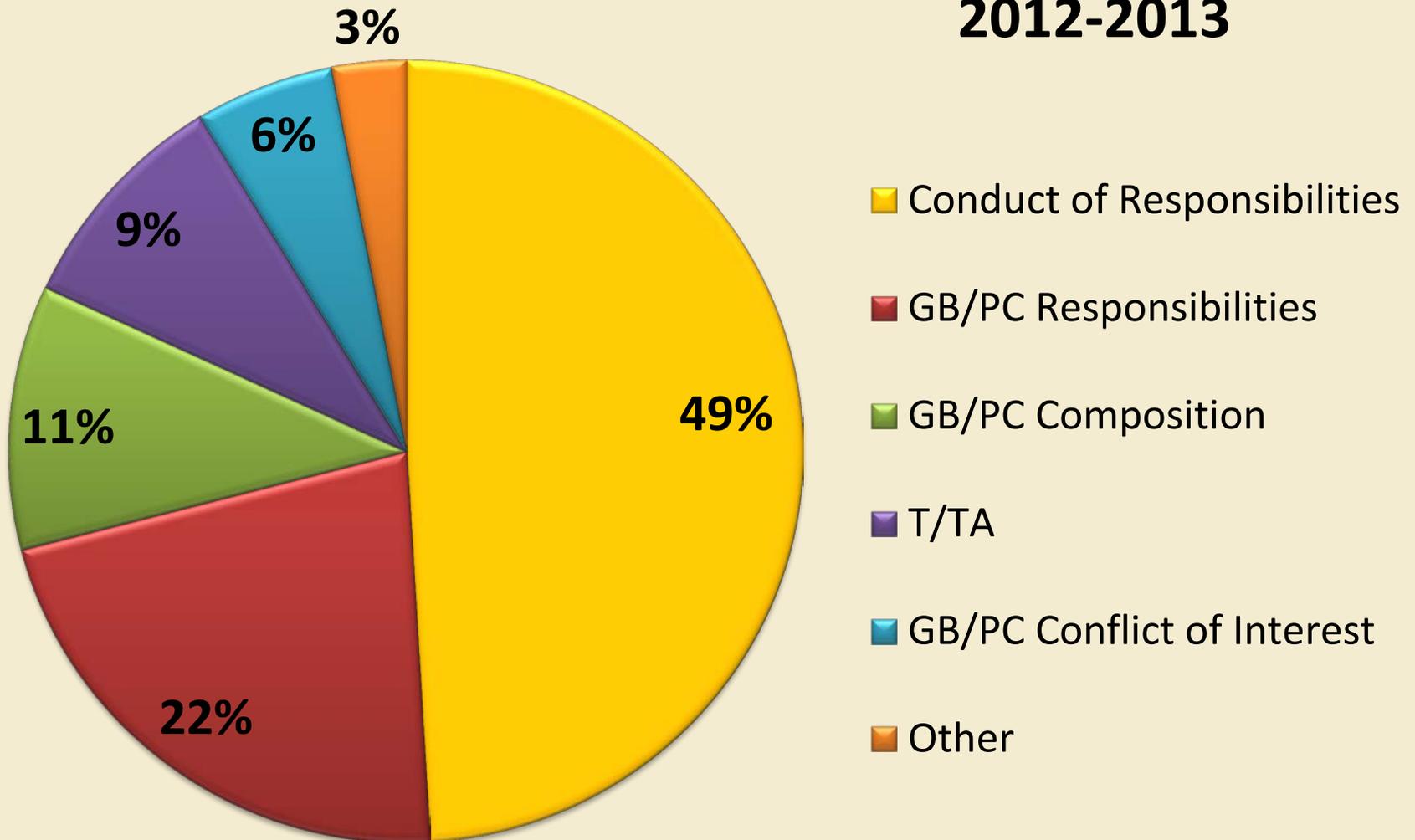
# Head Start Program Auspices

## # of Programs



# Program Governance Monitoring

2012-2013



n= 265

Source: Head Start Enterprise System, Triennial Reviews, 2/26/2014

# 2014 Federal Monitoring Protocol

Asks GB and PC members to give examples of how the T/TA in governance has made a difference in their decision-making.

# **A Guided Tour of the PMFO Governance Toolbox**



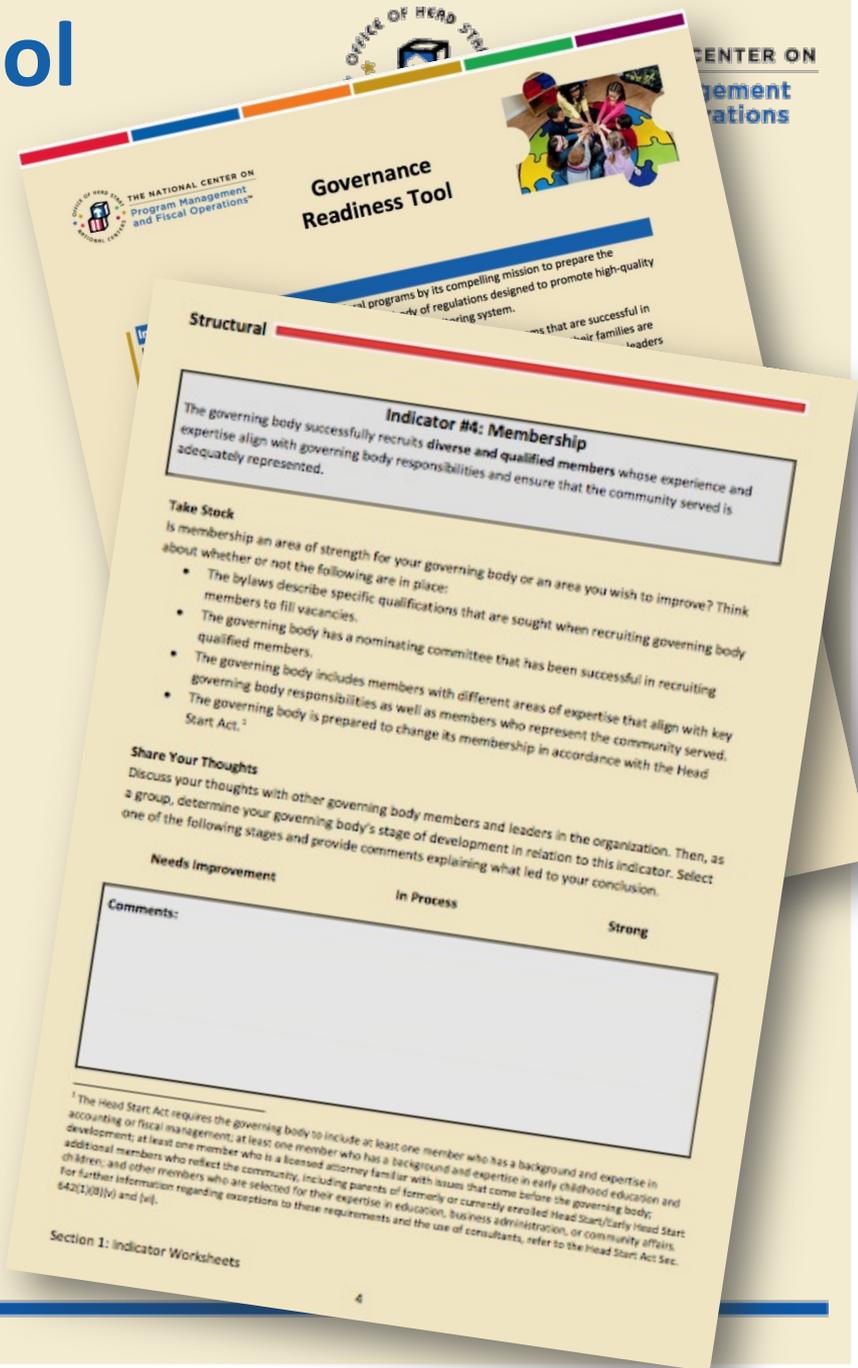
<b>Governance Readiness Tool</b>	<b>Governance Leadership, Oversight Capacity Screener (OHS Product)</b>	<b>Governance Training Module</b>	<b>Head Start Governing Body and Tribal Council Certification</b>
<b>Published – April 2013</b>	<b>Published by OHS – June 2013</b>	<b><i>To be posted on ECLKC</i></b>	<b><i>To be posted on ECLKC</i></b>
<ul style="list-style-type: none"> <li>• Online fillable PDF on ECLKC</li> <li>• Describes 15 indicators of high-functioning governing bodies</li> <li>• HS/EHS governing bodies and executive directors complete together</li> <li>• Complete tool to identify strengths and readiness to oversee a Head Start program and governance areas where they need improvement or TTA</li> <li>• Information used to focus future TTA efforts</li> </ul> <p><b>Notes:</b></p> 	<ul style="list-style-type: none"> <li>• Online fillable PDF on ECLKC</li> <li>• To be completed by all newly funded HS/EHS grantees, within 60 days of receiving notification of award</li> <li>• Assists HS/EHS in building capacity to fulfill Head Start governance responsibilities.</li> <li>• Describes HS/EHS governance expectations related to HS Act and regulations</li> <li>• Identifies where programs need to focus their start-up efforts to put a HS program governance system in place</li> </ul> <p><b>Notes:</b></p>	<ul style="list-style-type: none"> <li>• User determines their progress on their HS leadership journey; this assessment points them to specific skill-building activities</li> <li>• Five e-learning training activities for both Policy Council and governing body members: <ul style="list-style-type: none"> <li>• Fulfill Your Role</li> <li>• Ask the Right Questions</li> <li>• Make Meaningful Decisions</li> <li>• Envision a Better Future</li> <li>• Be an Ambassador</li> </ul> </li> <li>• Each activity outlines key concepts on particular governance-related topics important to governing bodies and Policy Council members</li> </ul> <p><b>Notes:</b></p>	<ul style="list-style-type: none"> <li>• Online e-learning tool for governing body members, executive directors, and HS directors</li> <li>• Five self-paced sections that total about 100 minutes</li> <li>• Participants receive Certificate of Completion</li> <li>• Five sections <ol style="list-style-type: none"> <li>1. Embracing HS</li> <li>2. What Is HS Governance?</li> <li>3. Legal Responsibilities</li> <li>4. Fiscal Responsibilities</li> <li>5. Resources</li> </ol> </li> <li>• Users are referred to the other governance resources to learn more and build their skills in certain areas</li> </ul> <p><b>Notes:</b></p>

# Governance Readiness Tool

Results can be used to gain insights into TTA needs of newly funded grantees

Link:

<http://eclkc.ohs.acf.hhs.gov/hslc/tta-system/operations/mgmt-admin/governance/hs-governance/GovernanceReadin.htm>



# Governance Leadership & Oversight Capacity Screener



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Results can be used to gain insights into TTA needs of newly funded grantees

Link:

<http://eclkc.ohs.acf.hhs.gov/hslc/ta-system/operations/mgmt-admin/governance/hs-governance/GovernanceLeade.htm>

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...

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)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
<ul style="list-style-type: none"> <li>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.</li> </ul>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
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)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
<ul style="list-style-type: none"> <li>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.</li> </ul>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
5. The governing body (or Tribal Council) exercises the following responsibilities: Head Start Act Sec. 642(c)(1)(E)(i)-(iii) and Sec. 642(c)(1)(E)(iv)(VI)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
<ul style="list-style-type: none"> <li>Establishes procedures and criteria for recruiting, selecting, and enrolling children</li> <li>Selects delegate agencies, as appropriate</li> <li>Develops procedures for selecting Policy Council members</li> <li>Reviews applications for funding and amendments to applications for funding</li> </ul>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

4





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<http://extranet.illumina-interactive.com/edc/headstart/Governance/Final/story.html>



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# Head Start Governing Body and Tribal Council Certification



Course  
Overview

Module 1

Embracing Head  
Start

Module 2

What is Head  
Start  
Governance?



Module 3

Legal  
Responsibilities

Module 4

Fiscal  
Responsibilities

Module 5

Resources



# Governance Online Training Module

## Your Leadership Path



## Fulfill Your Role



## Ask the Right Questions



## Making Meaningful Decisions



## Envision a Better Future



## Be a Head Start Ambassador





# Thank You!!

1-855-PMFOOHS  
(1-855-763-6647)

[PMFOinfo@edc.org](mailto:PMFOinfo@edc.org)



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# **HEAD START PROGRAM GOVERNANCE: BUILDING SYSTEMS AND STRENGTHENING SKILLS**

**National Head Start Association Conference**

**May 2, 2013**



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# I. The Governing Body – Your Foundation for Great Governance

## Governance Readiness Tool Indicators

Indicators	What aspects of our organization’s governing body are working well?	What aspects of our governing body may need to be strengthened?
<b>Structural</b>		
1. <b>Bylaws:</b> The governing body adheres to a set of bylaws that members regularly review and update.		
2. <b>Major Policies:</b> The governing body has established major policies that include, but are not limited to, a conflict of interest policy, personnel policies, and whistleblower policies.		
3. <b>Governing Body Performance:</b> The governing body has a system for measuring its own performance and evaluating the engagement of individual members, and it uses the results to strengthen the governance system.		
4. <b>Membership:</b> The governing body successfully recruits diverse and qualified members whose experience and expertise align with governing body responsibilities and ensure that the community served is adequately represented.		
5. <b>Orientation &amp; Training:</b> The governing body provides orientation to all new members and ongoing training, as needed, so that members fully understand their responsibilities and are knowledgeable about the organization’s systems, services, and financial health.		
<b>Fiduciary</b>		
6. <b>Fiscal Oversight:</b> The governing body has strong systems in place for exercising fiduciary responsibilities. It approves the annual budget, regularly reviews financial reports, and ensures that appropriate internal controls are in place.		

Indicators	What aspects of our organization's governing body are working well?	What aspects of our governing body may need to be strengthened?
7. <b>External Audit:</b> The governing body enlists an independent auditor to conduct an annual external audit and works with the executive director to take corrective actions, as warranted, to strengthen the organization's financial management operations.		
8. <b>Managing Federal Funds:</b> The governing body has a history of successfully managing federal funds.		
<b>Strategic Direction</b>		
9. <b>Strategic Planning:</b> The governing body has an ongoing process for examining internal and community data in order to analyze trends and develop a strategic plan that includes an organizational vision, short-term and long-term goals, and operational and fiscal objectives.		
<b>Leadership</b>		
10. <b>Monitor Organizational Performance:</b> The governing body oversees organizational performance by monitoring and evaluating metrics of major programs, services, and initiatives.		
11. <b>Relationship with the Executive Director:</b> The governing body hires the executive director, works collaboratively with him or her in leading the organization, holds him or her accountable, and regularly evaluates his or her performance.		
<b>Community Relations</b>		
12. <b>Partners and Stakeholders:</b> Governing body members speak on behalf of the organization with community partners and stakeholders and create connections with resource providers who can benefit the organization and its programs.		
13. <b>Communication Strategies:</b> The governing body shares accomplishments with the community through its annual report and other communication strategies.		

Indicators	What aspects of our organization's governing body are working well?	What aspects of our governing body may need to be strengthened?
<b>Decision-Making</b>		
14. <b>Constituent Voice:</b> The governing body carefully considers the opinions and recommendations of the Policy Council when making decisions pertaining to the Head Start program.		
15. <b>Informed and Inclusive Process:</b> The governing body holds meetings that are well attended and characterized by full and meaningful participation. The chairperson encourages diversity of opinion, and decisions reflect an informed and inclusive process.		

## Leadership

In accepting funding for Head Start and Early Head Start, governing bodies agree to provide leadership to the program as a whole as well as to Head Start staff and parent leaders. Governing bodies also recognize the important relationship between the governing body and the Policy Council and their shared leadership responsibilities. To determine your governing body's readiness to embrace this area of responsibility, take stock of current practices and assess your progress in meeting the indicators described below.

### Indicator #10: Oversee Organizational Performance

The governing body oversees **organizational performance** by monitoring and evaluating metrics of major programs, services, and initiatives.

#### Take Stock

Is organizational performance review an area of strength for your governing body or an area you wish to improve? Think about whether or not the following are in place:

- Organizational staff regularly share progress reports with the governing body.
- Progress reports contain information regarding core services and are tied to program goals and objectives.
- Meeting minutes confirm that the governing body regularly reviews reports that provide information on the status of program services.
- Governing body members utilize progress reports to determine the progress the organization is making in meeting organizational and program-specific objectives.
- Governing body members can recall instances when they have used progress reports to identify trends and emerging issues with organizational performance and have worked with the executive director to address these issues and support the organization in meeting objectives.
- Governing body members spend time observing program services in action in order to obtain their own perspective on program operations.

#### Share Your Thoughts

Discuss your thoughts with other governing body members and leaders in the organization. Then, as a group, determine your governing body's stage of development in relation to this indicator. Select one of the following stages and provide comments explaining what led to your conclusion.

**Needs Improvement**

**In Process**

**Strong**

**Comments:**

## **Discussion: How is your Governing body doing?**

1. What practices are in place?
2. What roadblocks stand in the way?
3. What are the next 3 steps? And, who is responsible?

## **A-Ha Moments**

As you reflect on the conversation so far, write down at least 3 “A-Ha’s” that are relevant for your Head Start program. An “A-Ha” might be a best practice, an idea that excites you, a deeper understanding of something you already knew, or an introduction to a new concept.

1.

2.

3.

## **II. Understanding How Head Start Program Governance Works: Mission Possible**

Name the most important things you learned from the Mission Possible activity about the relationship between the 3 entities.

Name the most important things you learned from the Mission Possible activity about the responsibilities of the 3 entities.

How will your newly acquired knowledge impact your daily practices?

What information regarding governance roles and responsibilities do you want to share with others in your program?



<b>Membership</b>  <i>These responsibilities build on Indicator #4 of the Governance Readiness Tool.</i>	<b>Phase 1</b>  <b>Meeting Core Requirements</b>	<b>Phase 2</b>  <b>Progressing</b>	<b>Phase 3</b>  <b>Innovating</b>	<b>Head Start Law or Regulation</b>	<b>Ideas to Consider</b>	<b>Person Responsible</b>  <i>Assign one person from the Governance System Building Team to oversee this responsibility.</i>	<b>Target Date</b>
	community affairs						
Establish Interim policy group (for programs new to Head Start)	Follow procedures established by the governing body to form an interim policy group			HS Act Sec. 642 (c)(1)(E)(iv)(VI)			
Establish Policy Council (for newly funded programs)	Once children are enrolled for Year One of Head Start, follow procedures established by the governing body to elect a Policy Council composed of a majority of parents of children currently enrolled in the program as well as members of the community served by the Head Start program			HS Act Sec. 642 (c) (2) (B) (i-ii)			
Policy Council Composition	Ensure representation of parents from all program options			HSPPS 1304.50(b)(7)			
Replace governing body members as needed		Rotate/replace governing body members; rationale can include but not be limited to: <ul style="list-style-type: none"> <li>a. Established term limits from bylaws</li> <li>b. Existing members leave</li> </ul>		HS Act Sec. 642 (c) (1) (B) (i-iv) (vi)			







**Think about the following:**

- Given the information presented above, where do you feel your program resides?
  - Starting/meeting core requirements      Progressing/Implementing      Innovating
- What items influenced your rating?
- What are some Ideas to Consider (Column 6) that can strengthen your governance system?

## **IV. What Governing Body and Policy Council Members Need to Know**

Drawing from the discussion with your colleagues about these important issues, what are your ideas for ways you can share this information with your governing body and Policy Council so they become more knowledgeable in these areas?

1) School Readiness

2) Sequestration

3) Advisory Committee Report

4) Other Important Topics

## **V. What Governing Body and Policy Council Members Need to be Able to Do**

Drawing from the discussion with your colleagues about these critical skills for governing body and Policy Council, what are your ideas for ways you can support the governing body and Policy Council to develop these skills and apply them to their work?

1) Using the Head Start Act and Regulations to Guide Decision-Making

2) Viewing Issues Through a Management Systems Lens

3) Reviewing Reports

## Using the Head Start Act and Regulations to Guide Decision-making

### Scenario #1:

You are a member of the governing board for a newly funded Head Start program. The new Head Start director requests that the governing board provide her guidance on putting together a new Policy Council. As a governing board member you want to know if there is any information in the HS Act or regulations that would help to clarify your role and responsibility in this area. Once you have this information, you will be in a better position to respond to the Head Start director.

Task 1: Identify and review any citations from the Head Start Act and/or Head Start regulations that apply to this scenario.

Task 2: Based on your findings, how should the governing board respond to this director?

Head Start Act, 642 ( c ) ( 1 ) ( E )

(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 all applications for funding and amendments to applications for funding for programs under this subchapter;
  - (IV) establishing procedures and guidelines for accessing and collecting information described in subsection (d)(2);
  - (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);

## 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.

### (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;

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.

(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.

## Scenario #2:

You are the chairperson of the Policy Council and following your monthly meeting, a new Policy Council member comes up to you and shares a couple of observations. He noted that there was no discussion or questions following the presentation of the Head Start monthly reports by the Head Start director and wondered if there was a way that he and other members of the Policy Council could receive some training on this. Before answering, the Policy Council chair thought it best that she check to see if there are any regulations related to this issue. She promised to get back to the new Policy Council member following her research.

Task 1: Identify and review any citations from the Head Start Act and/or Head Start regulations that apply to this situation.

Task 2: Pretend you are the Policy Council chairperson. Based on your findings, what would you do next?

### **Head Start Act, 642 ( c) (1) (E)**

**(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 all applications for funding and amendments to applications for funding for programs under this subchapter;
  - (IV) establishing procedures and guidelines for accessing and collecting information described in subsection (d)(2);
  - (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);

## **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.

### **(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;

**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.

(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.

## Viewing Head Start Issues through a Management Systems Lens



1. Work with your group to identify a program issue that has recently come to the attention of the governing body or Policy Council.
2. Record that issue in the center circle.
3. Use the diagram to help you determine if there are systems issues that could be at the root of the problem.
4. Then determine how this issue might be resolved by strengthening one or more of the Head Start systems.

## Sample Fiscal Report

<b>Gotham City Child Development Mid-Year (6 month) Report</b>				
<b>Income</b>				
	<i><b>Budgeted</b></i>	<i><b>Budgeted at 6 months</b></i>	<i><b>Actual</b></i>	<i><b>% of Actual vs. Budgeted</b></i>
Head Start	11,780,382	5,890,191	4,005,330	0.34
State Funding	1,375,986	687,993	467,835	0.34
Other: In-kind	2,701,360	1,350,680	594,299	0.22
<b>Total</b>	<b>15,857,728</b>	<b>7,928,864</b>	<b>5,067,464</b>	<b>0.32</b>
<b>Expenses</b>				
	<i><b>Budgeted</b></i>	<i><b>Budgeted at 6 months</b></i>	<i><b>Actual</b></i>	<i><b>% Expended</b></i>
<b>Personnel</b>	8,588,586	4,294,293	2,205,375	0.23
Fringe	2,938,408	1,469,204	905,834	0.23
<b>Total Personnel</b>	<b>11,526,994</b>	<b>5,763,497</b>	<b>3,111,209</b>	<b>0.23</b>
<b>Other Expenses</b>				
Equipment & Supplies	634,765	317,383	336,425	0.53
Travel	62,338	31,169	20,572	0.33
Facilities	351,563	175,782	175,782	0.50
Contractual	1,521,230	760,615	988,800	0.65
Other	762,093	381,047	342,942	0.45
Indirect Costs	998,745	499,373	449,435	0.45
<b>Subtotal Other</b>	<b>4,330,734</b>	<b>2,165,367</b>	<b>2,313,955</b>	<b>0.53</b>
<b>Total</b>	<b>15,857,728</b>	<b>7,928,864</b>	<b>5,425,164</b>	<b>0.34</b>

### Key questions:

- What thoughts do you have as you review the interim financial report?
  - What is encouraging?
  - What are possible “red flags”?
  - Based on what you have noted, what questions would you ask?

## VI. Developing Your Training and Technical Assistance (T/TA) Plan for Your Governing Body and Policy Council

Knowledge What <u>governing body</u> members need to know	Skills and Competencies What <u>governing body</u> members need to be able to do
<p>The governance system, bylaws, the respective roles of the governing body and Policy Council, and procedures for selecting Policy Council members</p> <p>The Head Start program, including:</p> <ul style="list-style-type: none"> <li>• The Head Start grant application, including budget and program goals and objectives, and school readiness goals</li> <li>• The organizational structure of the Head Start program</li> <li>• Delegates and service areas</li> <li>• Familiarity with Head Start centers and classrooms</li> <li>• Results of Self-Assessment, federal monitoring, annual audit, and status of corrective action</li> </ul> <p>Head Start finances, including:</p> <ul style="list-style-type: none"> <li>• Fiscal essentials</li> <li>• Federal regulations for managing and administering federal funds (45 CFR Part 92 and Part 74)</li> <li>• Reporting and disclosure requirements (e.g., audit, IRS Form 990)</li> <li>• Sequestration</li> </ul> <p>Head Start Self-Assessment and Planning Systems:</p> <ul style="list-style-type: none"> <li>• HS program’s Self-Assessment system</li> <li>• The Head Start program planning cycle, and the agency and HS program’s system for planning</li> </ul> <p>Major policies, including standards of conduct, impasse policies, and personnel policies and procedures</p> <p>Head Start Recruitment, Selection, and Enrollment System</p> <p>How to access ECLKC for governance resources and information on the HS Act and regulations</p> <p>Head Start Advisory Committee report</p>	<p>Listen and communicate well , considering all points of view</p> <p>Ask the right questions</p> <p>Use the HS Act and regulations in decision-making</p> <p>Evaluate the executive director</p> <p>Share Head Start program information with stakeholders and community partners</p> <p>Engage in data-based decision-making</p> <p>Interpret budget and fiscal reports</p> <p>Review annual, monthly, and periodic reports to gauge program performance strengths and warning signs</p> <p>View Head Start issues in a holistic context through a management systems lens</p> <p>Support leadership development of others, including members of the Policy Council</p>

<p style="text-align: center;"><b>Knowledge</b>  <b>What <u>Policy Council</u> members need to know</b></p>	<p style="text-align: center;"><b>Skills and Competencies</b>  <b>What <u>Policy Council</u> members need to be able to do</b></p>
<p>The governance system, Policy Council bylaws, the respective roles of the governing body and Policy Council, and procedures for selecting Policy Council members</p> <p>The Head Start program, including:</p> <ul style="list-style-type: none"> <li>• The Head Start grant application, including budget and program goals and objectives, and school readiness goals</li> <li>• The organizational structure of the Head Start program</li> <li>• Delegates and service areas</li> <li>• Familiarity with Head Start centers and classrooms</li> <li>• Parent involvement and family engagement</li> </ul> <p>Fiscal basics</p> <p>Head Start Self-Assessment and Planning Systems:</p> <ul style="list-style-type: none"> <li>• HS program’s Self-Assessment system</li> <li>• The Head Start program planning cycle, and the agency and HS program’s system for planning</li> </ul> <p>Head Start personnel policies and procedures</p> <p>Head Start Recruitment, Selection, and Enrollment System</p> <p>How to access ECLKC for governance resources and information on the HS Act and regulations</p> <p>Head Start Advisory Committee report</p>	<p>Listen and communicate well , considering all points of view</p> <p>Ask the right questions</p> <p>Use the HS Act and regulations in decision-making</p> <p>Engage in data-based decision-making</p> <p>Interpret budget and fiscal reports</p> <p>Review annual, monthly, and periodic reports to gauge program performance strengths and warning signs</p> <p>View Head Start issues in a holistic context through a management systems lens</p>

## Questions for Consideration:

Based on your assessment of the current knowledge and skills of the governing body, where should your program focus future T/TA efforts? Record key topics below:

Based on your assessment of the current knowledge and skills of the Policy Council, where should your program focus future T/TA efforts? Record key topics below:

Are there topics of interest to both governing body and Policy Council members that could be addressed in joint trainings? If so, list those topics below:

Use the chart on page 20 to begin to develop a comprehensive TTA plan for your program's governing body and Policy Council.

## T/TA Plan for Governing Body and Policy Council

Topic	Participants	T/TA Provider	Date(s)	Notes