PAJARO VALLEY UNIFIED SCHOOL DISTRICT
MISSION STATEMENT

The Mission of the Pajaro Valley Unified School District is to educate and to support learners in reaching their highest potential. We prepare students to pursue successful futures and to make positive contributions to the community and global society.

March 21, 2012
BOARD STUDY SESSION
MIGRANT AND SEASONAL HEAD START PROGRAM
6:00 PM – 8:00 PM

DISTRICT OFFICE
BOARDROOM
292 Green Valley Road, Watsonville, CA 95076

1.0   OPENING CEREMONY – MEETING OF THE BOARD IN PUBLIC - 6:00 P.M.
1.1   Pledge of Allegiance

1.2   Welcome by Board President
Trustees Kim De Serpa, Doug Keegan, Sandra Nichols, Karen Osmundson, Jeff Ursino, Willie Yahiro, and President Leslie De Rose.

2.0   APPROVAL OF THE AGENDA

3.0   STUDY SESSION: MIGRANT AND SEASONAL HEAD START PROGRAM

4.0   ADJOURNMENT

PAJARO VALLEY UNIFIED SCHOOL DISTRICT
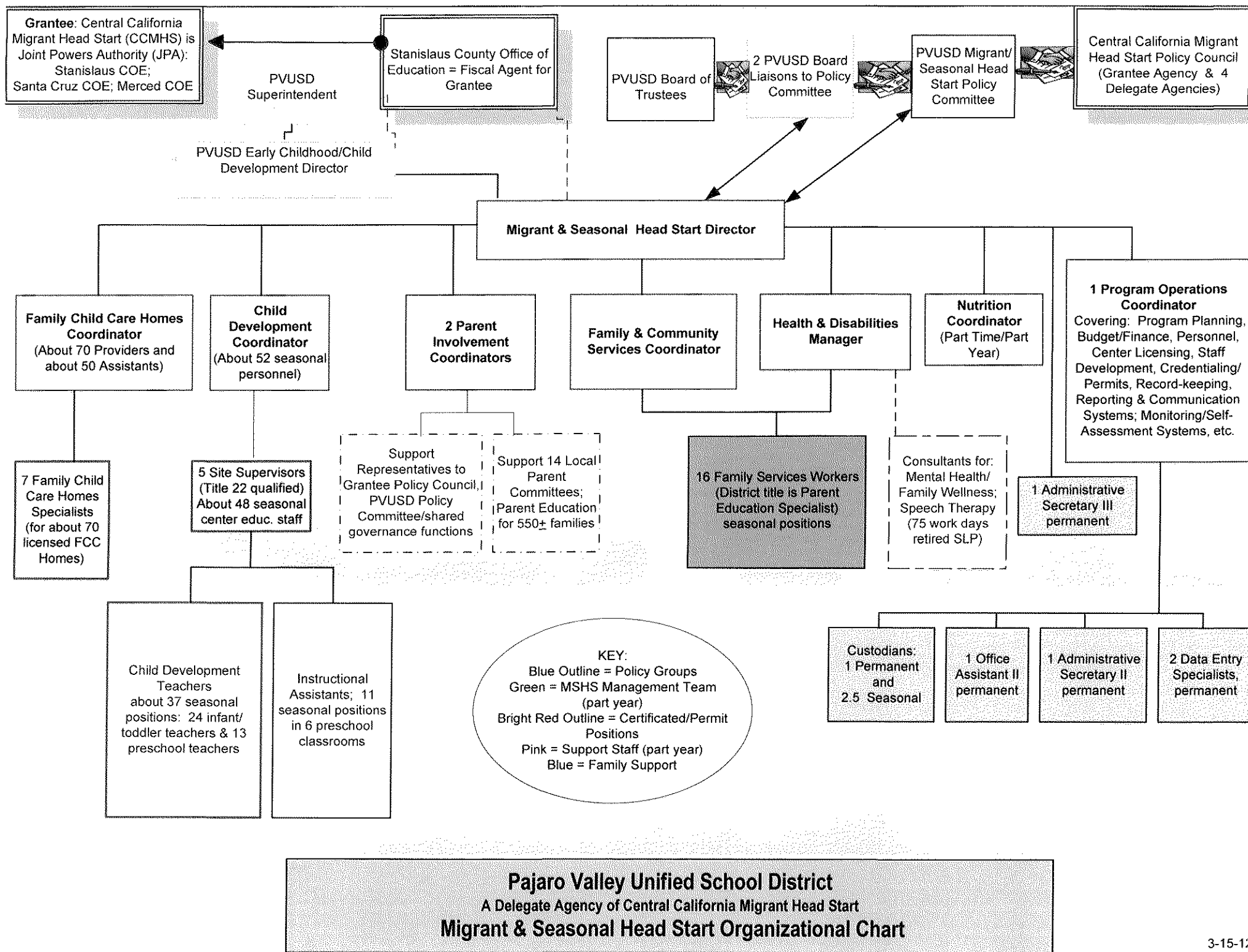
Board Agenda Backup

Item No: **3.0**

Date:	March 21, 2012
Item:	**Board Study Session – Migrant & Seasonal Head Start Program**
Overview:	Study session materials will be reviewed as they relate to shared governance and various aspects of program operations. This is in accord with the amended Head Start Act of December 12, 2007 (Public Law110-134) [Section 642 Powers & Functions of Head Start Agencies 42 U.S.C. 9837] which states, "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." A federal review team is scheduled to monitor the Program during the 2012 season. Study session materials will also address the anticipated 2012 federal review team monitoring visit.

Funding Source: U.S. Department of Health and Human Services via Grantee (Central California Migrant Head Start/Stanislaus County Office of Education)

Prepared By: Carole L. Clarke, Director, Migrant & Seasonal Head Start Program

Superintendent's Signature:

Grantee: Central California Migrant Head Start (CCMHS) is Joint Powers Authority (JPA): Stanislaus COE; Santa Cruz COE; Merced COE

PVUSD Superintendent

Stanislaus County Office of Education = Fiscal Agent for Grantee

PVUSD Board of Trustees

2 PVUSD Board Liaisons to Policy Committee

PVUSD Migrant/ Seasonal Head Start Policy Committee

Central California Migrant Head Start Policy Council (Grantee Agency & 4 Delegate Agencies)

PVUSD Early Childhood/Child Development Director

Migrant & Seasonal Head Start Director

Family Child Care Homes Coordinator (About 70 Providers and about 50 Assistants)

Child Development Coordinator (About 52 seasonal personnel)

2 Parent Involvement Coordinators

Family & Community Services Coordinator

Health & Disabilities Manager

Nutrition Coordinator (Part Time/Part Year)

1 Program Operations Coordinator Covering: Program Planning, Budget/Finance, Personnel, Center Licensing, Staff Development, Credentialing/ Permits, Record-keeping, Reporting & Communication Systems; Monitoring/Self-Assessment Systems, etc.

7 Family Child Care Homes Specialists (for about 70 licensed FCC Homes)

5 Site Supervisors (Title 22 qualified) About 48 seasonal center educ. staff

Support Representatives to Grantee Policy Council, PVUSD Policy Committee/shared governance functions

Support 14 Local Parent Committees; Parent Education for 550+ families

16 Family Services Workers (District title is Parent Education Specialist) seasonal positions

Consultants for: Mental Health/ Family Wellness; Speech Therapy (75 work days retired SLP)

1 Administrative Secretary III permanent

Child Development Teachers about 37 seasonal positions: 24 infant/ toddler teachers & 13 preschool teachers

Instructional Assistants; 11 seasonal positions in 6 preschool classrooms

KEY:
Blue Outline = Policy Groups
Green = MSHS Management Team (part year)
Bright Red Outline = Certificated/Permit Positions
Pink = Support Staff (part year)
Blue = Family Support

Custodians: 1 Permanent and 2.5 Seasonal

1 Office Assistant II permanent

1 Administrative Secretary II permanent

2 Data Entry Specialists, permanent

Pajaro Valley Unified School District
A Delegate Agency of Central California Migrant Head Start
Migrant & Seasonal Head Start Organizational Chart

3-15-12

Distribution of Family Child Care Homes (FCCH's) within School District

The charts in the following pages show that all Providers are within the District's boundaries. There are a total of 99 FCCH slots in Monterey County and 403 in Santa Cruz County. Family Child Care Homes with a total of 502 MSHS child development slots are situated in the catchment area for twelve (12) of the 16 elementary schools in the District.

District "Schools of Residence"/Catchment Areas Corresponding to Geographic Location of 2011 MSHS FCCH Providers & MSHS Child Care Slots				
District's County for Schools of Residence	Provider's City of Residence	MSHS Contracted Slots	Provider's Licensed Capacity	Corresponding PVUSD Elementary School of Residence
Monterey County 9 Providers 63 MSHS slots	Las Lomas-Watsonville	8	14	Hall District school
	Las Lomas-Watsonville	9	14	
	Las Lomas Watsonville	5	14	
	Las Lomas-Watsonville	6	14	
	Las Lomas-Watsonville	10	14	
	Las Lomas-Watsonville	10	14	
	Las Lomas-Watsonville	4	14	
	Las Lomas-Watsonville	5	14	
	Las Lomas-Watsonville	6	14	
		63		
Monterey County 5 Providers 35 MSHS slots	Pajaro-Watsonville	8	14	Ohlone school
	Pajaro-Watsonville	6	14	
	Pajaro-Watsonville	10	14	
	Pajaro-Watsonville	5	14	
	Pajaro-Watsonville	6	14	
		35		
98 Total Slots in Monterey County Family Child Care Homes				

District's County for Schools of Residence	Provider's City of Residence	MSHS Contracted Slots	Provider's Licensed Capacity	Corresponding PVUSD Elementary School of Residence/Catchment Area
				District "Schools of Residence"/Catchment Areas Corresponding to Geographic Location of 2011 MSHS FCCH Providers & MSHS Child Care Slots
Santa Cruz County 10 Providers 75 MSHS slots	Watsonville	5	14	Amesti school
	Watsonville	9	14	
	Watsonville	6	14	
	Watsonville	10	14	
	Watsonville	9	14	
	Watsonville	4	14	
	Watsonville	6	8	
	Watsonville	9	14	
	Watsonville	10	14	
	Watsonville	7	14	
		75		
Santa Cruz County 7 Providers 59 MSHS slots	Watsonville	10	14	Ann Soldo school
	Watsonville	9	14	
	Watsonville	10	14	
	Watsonville	9	14	
	Watsonville	6	14	
	Watsonville	7	14	
	Watsonville	8	14	
		59		
Santa Cruz County 3 Providers 26 MSHS slots	Freedom	9	14	Calabasas school
	Freedom	7	14	
	Freedom	10	14	
		26		
Santa Cruz County 9 Providers 64 MSHS slots	Watsonville	5	8	Freedom school
	Watsonville	7	8	
	Watsonville	9	14	
	Watsonville	3	8	
	Watsonville	4	14	
	Watsonville	7	14	
	Watsonville	11	14	
	Watsonville	3	14	
	Watsonville	9	14	
	Freedom	6	14	
		64		

District's County for Schools of Residence	Provider's City of Residence	MSHS Contracted Slots	Provider's Licensed Capacity	Corresponding PVUSD Elementary School of Residence/Catchment Area
Santa Cruz County 6 Providers 45 MSHS slots	Watsonville	3	8	H.A. Hyde school
	Watsonville	6	8	
	Watsonville	8	14	
	Watsonville	9	14	
	Watsonville	10	14	
	Watsonville	9	14	
		45		
Santa Cruz County 7 Providers 54 MSHS slots	Watsonville	10	14	Landmark school
	Watsonville	8	14	
	Watsonville	5	14	
	Watsonville	9	14	
		9	14	
	Watsonville	8	14	
	Watsonville	5	8	
		54		
Santa Cruz County 7 Providers 55 MSHS slots	Watsonville	5	14	MacQuiddy school
	Watsonville	11	14	
	Watsonville	6	14	
	Watsonville	9	14	
	Watsonville	10	14	
	Watsonville	10	14	
	Watsonville	4	8	
		55		
Santa Cruz County 2 Providers 15 MSHS slots	Watsonville	6	14	Mintie White school
	Watsonville	9	14	
		16		
Santa Cruz County 1 Provider 6 MSHS slots	Watsonville	6	14	Radcliff school
		6		
Santa Cruz County 1 Provider 5 MSHS slots	Watsonville	5	14	Starlight school
		5		
404 Total Slots in Santa Cruz County				
502 Total Slots in Family Child Care Homes				

Some Benefits of Having a Migrant & Seasonal Head Start Program

Benefits for Children   MSHS Program:
- Provides nurturing and caring environment for 700+ infants, toddlers and preschoolers each year
- Promotes social, emotional, physical & cognitive development of children
- Promotes early identification, intervention and support for children with disabilities (10% of enrollment) and children with special health conditions (pulmonary/asthma, seizures, etc.)

Reliable studies have found that Head Start children experience increased achievement test scores and that HS children experience favorable long-term effects on grade repetition, special education, and graduation rates.*

- Supports children in families with problems such as domestic violence, substance abuse, family separation, grief
- Targets the poorest and most vulnerable children
- Promotes school readiness – data driven preschool assessment process
- Supports kindergarten transition
- Support for dual language acquisition, literacy
- Provides culturally-appropriate learning activities and environment
- Children are provided health, dental treatment and preventive oral health care, nutrition/food, mental health services

Studies demonstrate that Head Start and Early Head Start improve the health of the children and families they serve. Recent research reports that the mortality rates for 5- to 9-year-old children who had attended Head Start are 33 to 50 percent lower than the rates for comparable children who were not enrolled in Head Start. In fact, Head Start reduced the rates to the national average of mortality rates for all 5- to 9-year-old children. The Head Start Impact Study demonstrated that a much higher proportion of Head Start children received dental care than those children who did not receive HS services. A higher proportion of parents with 3-year-old children in Head Start reported that their child was either in excellent or very good health as compared with those parents who did not have children enrolled in Head Start.*

Benefits for Parents/Families   MSHS Program:
- Protects children from unsafe environments for 60 hours per week (6 a.m. – 6 p.m.) while parents work in fields & other agricultural jobs
- Connects families to other free or low-cost resources (W.I.C., health clinics, dental clinics, food, clothing, shelters, legal services, etc.)
- Provides support & advocacy to parents with children with special needs
- Parent education activities @ local committee meetings and special meetings
- Collaboration with other District/community events to benefit families
- Serves substantial percentage of families who speak Mexican indigenous languages
- Develops parent leadership skills so parents can serve as program decision-makers

- Support the transition of parent leaders into other District parent leadership roles in K-12
- Promotes enrollment of parents into Adult Education/ESL classes to encourage English language skills
- Supports parents with kindergarten transition process and/or transition to other programs (locally and out of area)
- Supports parent literacy & parent/child literacy through variety of lending library and other training materials; emphasis on bi-literate resources
- Emphasizes the role of parents as the primary educators of their children – strong parent involvement is key to children's success in educational career
- Parents who actively participate Head Start have a greater quality of life satisfaction; increased confidence in coping skills; and decreased feelings of anxiety, depression and sickness

Benefits for Community   MSHS Program:

- Has a multiplier effect for dollars expended: for every Migrant & Seasonal Head Start $1 spent there is a ripple effect of $8-$10 (MSHS budget is about $6 million). Large portion of funds expended locally.
- 70 +/- Family Child Care Home (FCCH)Providers represent small businesses within PVUSD
- Family Child Care Homes support employment of Provider's Assistants
- Family Child Care Homes help to provide positive role models of intact families, with many male/father role models
- Supports the local agricultural industry by providing a safe place for young children so parents can work and promotes a more reliable work force

Economic Benefits

Research shows that Head Start is a wise investment for society. The preliminary results of a randomly selected longitudinal study of more than 600 Head Start graduates in San Bernardino County, California, showed that society receives nearly $9 in benefits for every $1 invested in these Head Start children. [Other studies have demonstrated at least a 7 to 1 cost benefit ratio.] These benefits include increased earnings, employment, and family stability, and decreased welfare dependency, crime costs, grade repetition, and special education. Along with improving the health of its children and families, Head Start benefits its children and society-at-large by reducing crime and its costs to crime victims. Head Start children are significantly less likely to have been charged with a crime than their siblings who did not participate in Head Start.*
*NHSA has source citations for various studies.

E   . from Head Start Act, as amended December 2007
Yellow highlighting = Required   Blue highlighting = exceptions that
                                   apply to PVUSD

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.

(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 an other individual with relevant expertise, with the qualifications described in that clause, who shall work directly with the governing body.

(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.

(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.

(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);

(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 of the agency;

>(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 action necessary to comply with applicable laws (including

regulations) governing financial statement and accounting practices;

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

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

(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 a conflict of interest, by members of the governing body, officers and employees of the Head Start agency, and consultants and agents who provide services or furnish goods to the Head Start agency; and

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

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

(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-

Migrant & Seasonal Head Start Program Governance & Shared Decision-Making

Presentation adapted from CCMHS presentation
by Judy J. Brummel, Mgt. & ECE Consultant

Federal Regulations based upon Head Start Performance Standards

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Formal Structure of Program Governance

- A formal structure of Program Governance provides parents and other community representatives with the authority and opportunity to participate in shared decision-making concerning program design and implementation.

- Although the formal structure of governance will vary across local agencies, policy groups and parent committees are required for all. Each agency or organization has one policy group.

Policy Groups

- The Policy Council at the grantee level (Central California MHS)

- The Policy Committee at the delegate agency level (PVUSD) have policy- making authority and, therefore, are governed through locally established by-laws that ensure clarity and consistency in function and purpose.
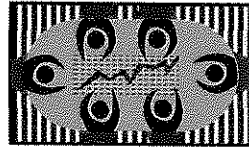
Local Parent Committees

- Provides each parent of an enrolled child with the opportunity to assist in the development of activities that address their interests and needs that support the education and healthy development of their children.

Policy Committee

- Must be established as early in the program year as possible
- Because shared decision-making is a critical element of ongoing planning, it is important to maintain an effective Policy Group from one year to the next.

TERM COMMITMENT

- Although outgoing parents from the Policy Committee may not have children enrolled at the beginning of the next season, it is important that parents complete their term and continue in a policy-making role until new parents are elected and seated. PVUSD/MSHS uses an Executive Committee model to carry out this continuity.

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3 Critical Roles to Make Things Happen in all Head Start Programs by Governing Bodies (Boards) and/or Policy Groups

- Provide direction and oversight because of legal and fiscal responsibility
- Participate in the development of certain key policies/procedures and planning functions; otherwise, review and approve or disapprove
- Do (implement)

In Head Start terms, Also Known As (aka):

- ➢ General Responsibility – typically Board function
- ➢ Must approve or disapprove – often Board & Policy Group
- ➢ Operating Responsibility – typically staff function, some exceptions
- ➢ Determine Locally (may depend upon local organizational/agency structure)

Policy Council/Policy Committee's Major Role is Approval or Disapproval Process

- **Not a Rubber Stamp**
- Must work in partnership with the Board and key management staff to develop, review and approve or disapprove key program policies and procedures.
- **Need to have all key relevant information to make good decisions.**

Voice & Vote:

Policy Councils/Policy Committees (PC's) Have a Voice in Developing.......

- The Performance Standards give PC's the authority to be involved in the important responsibility of helping to govern the MSHS program by developing, reviewing, and approving or disapproving decisions.........

Planning
Approval or Disapproval

- Procedures for program planning.
- The program's philosophy and long-and-short-range goals and objectives; Community Assessment.
- Criteria for defining recruitment, selection and enrollment policies.
- The grantee (Central California MHS) and its CCMHS Policy Council determine the selection of delegate agencies (such as PVUSD) & their service areas.

Planning
Approval or Disapproval

- All federal funding applications and amendments to them.
- Policy Council, Policy Committee, Parent Committee reimbursement.
- Procedures for the annual self-assessment of the grantee's programmatic & fiscal progress...

General Procedures

Approve or Disapprove by PVUSD Board of Trustees

- The composition of the MSHS Policy Committee and the procedures for choosing members.
- Procedures for implementing shared decision-making.
- Internal dispute resolution.

Operating Responsibilities

- Establish and maintain procedures for hearing and working to resolve community complaints about the program with Policy Committee.

Human Resources

Approval or Disapproval

- Program personnel policies and any changes to them...
- Decisions related to the hiring or termination of the MHS/EHS director and any person who works primarily for the Migrant & Seasonal Head Start Program.

Other Responsibilities of the Policy Committee

- Serve as a link to the Parent Committees, grantee and delegate agencies governing bodies, public and private organizations, and the communities they serve.
- Assist Parent Committees in communicating with parents enrolled in all program options to ensure that they understand their rights, responsibilities, and opportunities in the program and to encourage their participation in the program.

Fostering Program Governance & Shared Decision Making in Migrant & Seasonal Head Start Programs
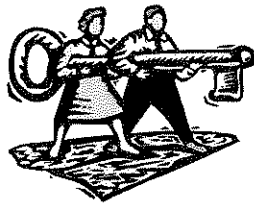
Understanding the Role of the Governing Body

- Governing bodies provide support and direction to guide organization administrators, executives, and managers.

- Governing bodies are expected to be visionaries, policymakers, organizational gatekeepers; and ensure that the mission, vision, and values lead to achieving program and agency goals and objectives.

Effective Migrant & Seasonal Head Start Governing Bodies (Boards) need to:

- Understand the concept of governance and how the roles associated with governance are distinguished from the roles associated with administration.

- Clarify their roles and responsibilities and how these roles and responsibilities relate to policy groups and agency and program managers.

Effective Migrant & Seasonal Head Start Governing Bodies (Boards) need to:
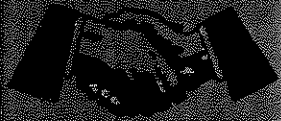
- Recognize the basic procedures and systems that must exist to have a well-functioning Head Start program.

- Demonstrate effective shared decision-making with appropriate policy group.

Effective Migrant & Seasonal Head Start Governing Bodies (Boards) Need to:

- Review and approve or disapprove key policies and procedures in partnership with the policy group.

- Design written policies that define the roles and responsibilities of the governing body members and inform them of the management procedures and functions necessary to implement a high-quality program.

Effective Migrant & Seasonal Head Start Governing Bodies (Boards) Need to:

- Ensure that appropriate internal controls are in place to safeguard federal funds in accordance with Head Start and other regulations.

- Work with policy group to establish written procedures for shared decision-making and for joint internal disputes, including impasse procedures between the governing body (Board) and the policy group (Policy Committee).

The Constituency

The governing body of an organization operating a Head Start program is responsible for the stewardship – the legal and fiduciary oversight- of the organization

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The Constituency

- The empowered governing body exists on behalf of persons not seated at the governance table.
- The governing body represents children and families that will receive Migrant & Seasonal Head Start services, the community and other stakeholders.

The Constituency

- Often governing body members are selected* because they provide specific experience or the perspective of a particular group or segment of the organization's constituency. [*For PVUSD, Board members are elected by geographic area]. The entire governing body <u>must</u> be attune to the issues and concerns of Migrant & Seasonal Head Start-eligible families in order to plan and oversee the delivery of quality services.

The Constituency

- The governing body represents the people receiving the services, rather than the staff managing the organization.

- The people receiving the services and the larger community need access to the governing body as a means of holding the program and the agency accountable.

The Constituency

- Procedures for hearing and resolving community complaints must be established and implemented.

Major Board Responsibilities

The governing body is responsible for ensuring that the Migrant & Seasonal Head Start program operates effectively and responds to issues and concerns in the community.

Functions of Governance from the Head Start Perspective:

- Create a process that leads to defining goals.
- Establish boundaries & limits that describe management's authority & responsibilities for implementing the Migrant & Seasonal Head Start program.
- Link with staff & assess staff and/or organizational performance to ensure management & staff are moving toward program goals.
- Design governance procedures to ensure that Migrant & Seasonal Head Start-eligible families are receiving quality services & that policies are being followed.

*10 Responsibilities of Governing Bodies**

- Determine the purpose of the organization.
- Select the Executive Director {District Superintendent @ PVUSD}, support & review performance
- Ensure that effective organizational planning occurs and that resources are available to implement planning goals and objectives.
- Settle grievances from staff (when disputes cannot be resolved at lower levels of the organization).

10 Responsibilities of Governing Bodies*

- Resolve complaints from the community when they cannot be resolved at lower levels of the organization.
- Assess the performance of the governing body.
- Determine new or changes in services and monitor ongoing program and services.
- Act as a liaison between the organization and the community.
- Safeguard the organization's assets.
- Provide accountability to members.

*Adapted from materials produced by the National Center for Non-Profit Boards, Washington DC, and Doing Good Better! How to be an Effective Board Member, Edgar Stoesz and Chester Raber, Good Books, PA 1997

SHARED DECISION-MAKING

Using the tools of Governance
4 Key Concepts

Key Concept #1

- Strong governing bodies are aware that they are only part of the integrated whole. They understand that to implement a high-quality Migrant & Seasonal Head Start program, they must work in partnership with the policy group and program leaders

Key Concept #2

- In order to share governance responsibilities with the policy group, the governing body must have procedures and responsibilities for a formal structure of governance.
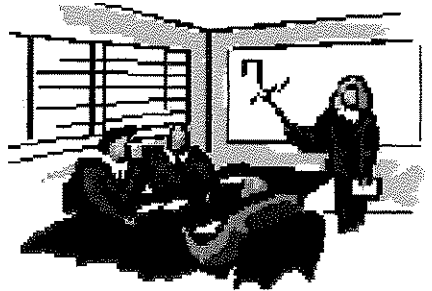
Key Concept #3

- It is important that the governing body and the Migrant & Seasonal Head Start policy group describe how they will share the decision-making process described in the Standards.
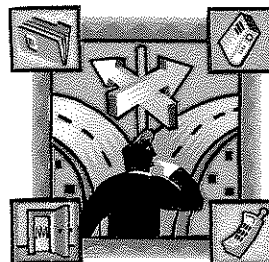
Key Concept #4

- The governing body's relationship to the policy group has many facets: mentor, coach, peer, and partner.
- All are key to achieving goals & objectives.
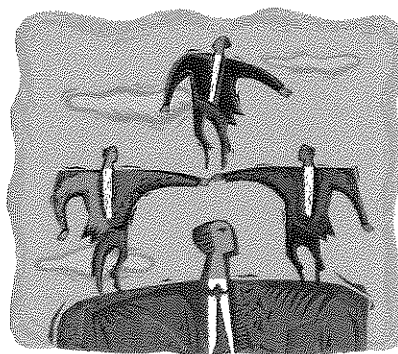
Example of Shared Decision-Making

Between Board & Policy Committee
• Planning
• Monitoring and Assessing Performance
• Addressing Human Resource Requirements
• Setting Staff Boundaries & Limits
• Designing Governance Process
• Establishing communication system
   between Policy Committee & Board

Planning

• The planning section of the Governance &
   Management Responsibilities Chart
   (Appendix A, Head Start Performance
   Standards) specifies that the governing body
   and the policy group must jointly approve
   the majority of the products that result from
   agency and/or program planning. (Example:
   Goals & Objectives)

Critical First Step....

- The governing body & the policy group must understand and agree on the planning activities that they need to perform and the time frames for conducting activities.
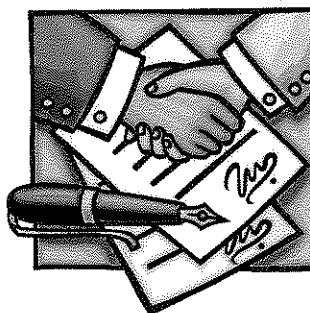
Establish the "How" & "When"

- Staff cannot commit either body to carry out planning activities, the two groups must agree on the procedure before it is implemented.
- Both groups must be consulted about any item that requires their approval during the developmental process and before approval is sought.

IMPERATIVE!

- The planning process *must* describe not only when approval will occur but also when prior consultation and involvement in each planning activity will occur.

Monitoring Performance – Grantee (CCMHS) & PVUSD

- The results of ongoing monitoring for both program & fiscal activities provide information for the governing body & policy group to keep them apprised of program progress.

Assessing Performance – Grantee (CCMHS) & PVUSD

- The annual self-assessment results describe accomplishments of program goals & objectives and outcomes for children as well as establish proposal to correct any identified problems.
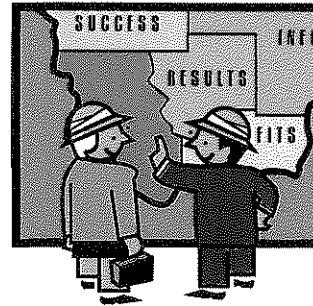
Federal Review (Assessment/Evaluation Team) & Re-competition – Every three years, but can be more often!
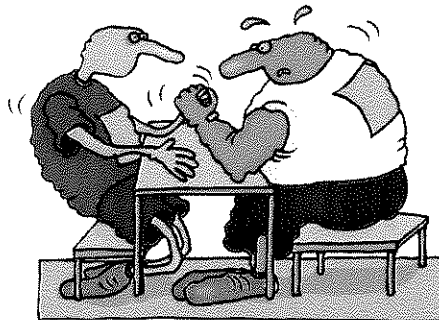
Human Resource Management

- The governing body & policy group must approve personnel policies and decisions to hire or terminate the Migrant & Seasonal Head Start [or Early Head Start director] and staff primarily working for MSHS program.

- The governing body may be far more involved in determining personnel policies to assure that risk to the agency is minimized to meet federal requirements.

Staff Boundaries & Limits

- For all the items that require shared decision approval by the policy group and the board, it is imperative that the role of staff in each item be clearly described and agreed to.
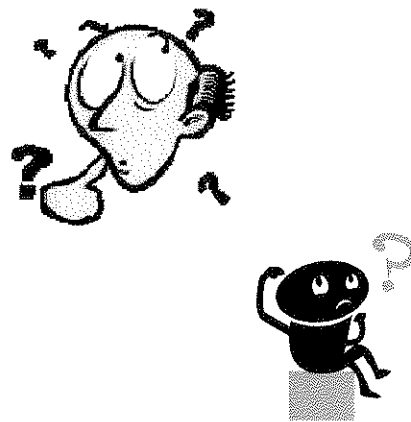
3 Aspects of Designing
Shared Governance Processes

1. Ensure that there are clearly written procedures for each item that requires shared decision-making.

2. The need for a procedure to resolve disputes between the board and the policy group.

3. Assure that a procedure for hearing and resolving community complaints about the program exist.


Governing Body & Policy Group are always operating with a common purpose........

- To improve the lives of children and families
- Both are contributors to Migrant & Seasonal Head Start in their community.
- Both interested in making the best decisions they can for the benefit of the program and the families served.

❖ They are both parts of the systems that integrate many facets to deliver high quality services to eligible children and families!
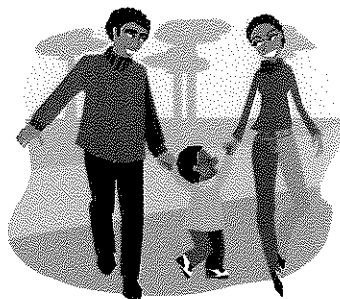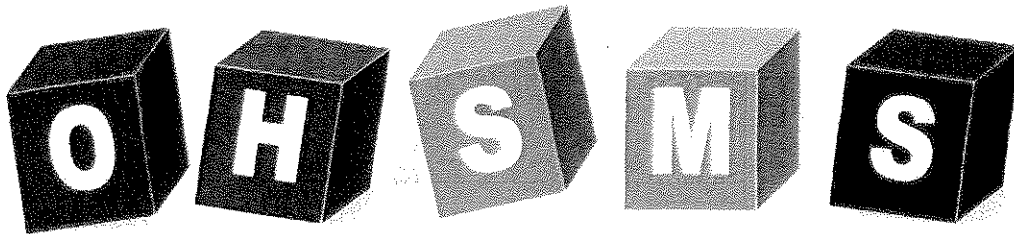
Office of Head Start
On-Site Review Protocol
FY 2012

October 11, 2011

Table of Contents

Overview

The Office of Head Start (OHS) presents the FY 2012 Monitoring Protocol, which is the tool that guides the onsite monitoring review. The Protocol identifies the key requirements (Performance Standards and Head Start Act citations) against which to monitor Grantee performance. Grantee data gathered through the monitoring process provides OHS with information on performance, thereby informing determinations regarding program quality and compliance.

The Protocol has been revised for FY 2012 to place a greater emphasis on the systems programs have in place to enhance the quality of the delivery and management of program services. The focus of the Protocol is on making connections between program systems and collecting data on critical indicators of success in promoting school readiness. The Protocol organizes elements of program performance standards, the Head Start Act, and other regulations into 7 sections against which compliance will be monitored:

1. Program Governance (GOV)
2. Management Systems (SYS)
3. Fiscal Integrity (FIS)
4. ERSEA
5. Child Health and Safety (CHS)
6. Family and Community Engagement (FCE)
7. Child Development and Education (CDE)

Organization of the Protocol

The FY 2012 Monitoring Protocol is organized using the same design as in FY 2011—by Compliance Frameworks for all sections of the Protocol. This design prompts review teams to better synthesize information about discrete program requirements into a richer understanding of Grantee performance. The Compliance Framework headings draw attention to the "big picture," and highlight the key focus that programs should achieve in their service delivery and management system design and implementation.

Each Compliance Framework contains a series of Compliance Indicators (CI) that serve as the markers to assess whether the Grantee is meeting the indicators critical to the delivery of quality services and the development of strong management systems. Compliance Indicators are the specific statements that collectively serve as makers to measure Grantee performance and facilitate integration of information to gain a deeper understanding of Grantee performance and focus on one or more Performance Standards and/or citations of the Head Start Act. New for FY 2012 is the integration of service/content areas. For example, Disabilities is no longer a separate section of the protocol and has been integrated into both Child Health and Safety and Child Development and Education.

Targeted Questions (TQ) are intended to facilitate evidence gathering by Reviewers in order to provide information necessary for the assessment of Grantee performance. New for FY 2012 is the design of the Targeted Questions.

Targeted Questions are required to be answered by Reviewers and are designed to "guide" them through the evidence gathering process and serve as a starting point. The TQs indicate the people to interview, questions to ask, information to retrieve from documents, observations to conduct, and management systems to analyze in order to develop an understanding of Grantee compliance with each Compliance Indicator.

The Protocol is designed to be customized to reflect the type of program being reviewed (e.g., center-based, family child care, home-based, migrant), and the types of children or populations being served by the program (e.g., infants and toddlers, preschool-age children, pregnant women and new mothers). When specific questions only apply to a specific program option or population, a "Notes" marker will be located below the question (e.g., Note: Applies to Center-based programs).

The FY 2012 protocol can accessed in hard-copy on the Early Childhood Learning & Knowledge Center (ECLKC) website http://eclkc.ohs.acf.hhs.gov/hslc

OHSMS
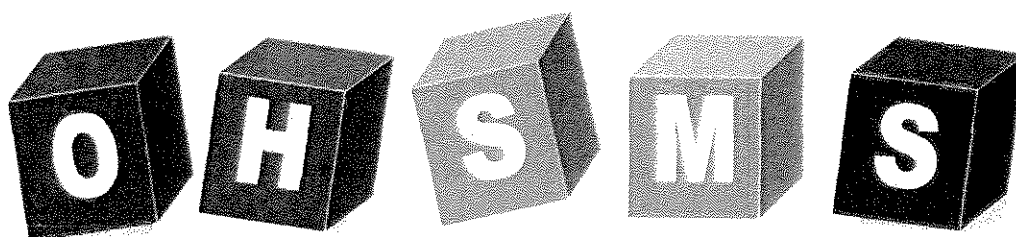
Program Governance

I. Program Governance (GOV)

Program Governance Compliance Framework #1 – Structure		
1.1	The program has a governing body composed of: • At least 1 member with background and expertise in accounting or fiscal management; • At least 1 member with background and expertise in Early Childhood Education and Development • At least 1 member who is a licensed attorney, familiar with the issues that come before the governing body • Additional members who reflect the community, including parents of formerly or currently enrolled Head Start/Early Head Start children • Other members selected for their expertise in education, business administration or community affairs If individuals do not meet the qualifications of Fiscal Management/Accounting, Early Childhood Education and Development, or a licensed attorney, the program shall use a consultant or other individual with relevant expertise and qualifications.	642(c)(1)(B)(i) 642(c)(1)(B)(ii) 642(c)(1)(B)(iii) 642(c)(1)(B)(iv) 642(c)(1)(B)(vi)
1.2	The program has established a Policy Council as early in the year as possible in accordance with Head Start requirements with a majority of members being parents of children who are currently enrolled and members at large from the community served by the Head Start program, and who are elected by the parents of currently enrolled children. The Policy Council is responsible for the Head Start program's direction, program design, operation, and goal planning. *Note: Applies to Grantees only*	642(c)(2)(B)(ii)(I) 642(c)(2)(B)(ii)(II) 642(c)(2)(B)(i) 642(c)(2)(A)

Targeted Questions

Governing Body - Interview

➤ Interview the governing body to ensure that it has the correct composition to provide effective oversight of the Head Start program.

During your interview, talk with the governing body about its membership, how it recruits new members, and how it uses the skills of the required members to provide oversight to various parts of the program (such as Fiscal, ECD, FCE, legal, and parent input).

GOV 1.1

➤ Interview the Tribal Council to ensure that it has the correct composition or that it is in consultation with others who have the required background and expertise.

Ask questions about how the Tribal Council uses the skills and expertise of its members or consultants to provide oversight and guidance to the Head Start program. The Tribal Council is the local government for AIAN Head Start programs, and you should familiarize yourself with the culture of the Council prior to conducting the interview.

GOV 1.1

Governing Body - Document

> Based on the information gathered during your governing body interview, check the appropriate documents to gather evidence as needed. Ask the program to provide you with documentation to ensure that the required members exist and are an active part of the program's oversight. Use documentation to ensure that the governing body has the required membership or uses consultants to fill each of the required roles.

GOV 1.1

Policy Council - Interview

> Interview the Policy Council to determine whether it has the correct composition to provide effective oversight of the Head Start program.

During your interview, determine whether the Policy Council has the correct composition, whether there is an appropriate election process, and whether the Policy Council is effectively engaged in the design of the Head Start program and its objectives.

Determine whether the Policy Council uses its membership to effectively exercise responsibility over both program design and operation and planning goals and objectives.

Note: Applies to Grantees only

GOV 1.2

Policy Council- Document

> Based on the information gathered during your Policy Council interview, ask the program to provide the documents that you need to determine whether the Policy Council has the appropriate composition, whether members are elected, and whether the PC has a role in program design.

When possible ask for electronic documents or scanned copies of the documents and upload those into the Evidence Binder.

Note: Applies to Grantees only

GOV 1.2

Program Governance Compliance Framework #2 – Conflict of Interest

2.1	Policy Council and Policy Committee members are supported by the program in fulfilling their governance responsibilities, including receiving reasonable reimbursement of their expenses for participation.	1304.50(f)
2.2	The program has policies and procedures in place to ensure that members of the governing body and the Policy Council are free from financial or other conflicts of interest with the Head Start/Early Head Start program, do not receive compensation for serving, and are not employed by the Head Start agency.	642(c)(2)(C)(i) 642(c)(2)(C)(ii) 642(c)(3)(B) 1304.50(b)(6) 642(c)(1)(C)(i) 642(c)(1)(C)(ii) 642(c)(1)(C)(iii) 642(c)(1)(C)(iv) 642(c)(1)(E)(iv)(X)(aa)
	Note: In determining whether governing body members and members of their immediate families are free of financial or other conflict of interest, consider that they: *(1) Are not employees of the program, related to employees, or vendors to the Grantee or delegate;* *(2) Have no financial conflict of interest with the Grantee (including delegate agencies);* *(3) Receive no compensation for serving on the governing body or for providing services to the program; and* *(4) Operate as an entity independent of staff employed by the program (i.e., are not influenced by the staff of the program.)* *When determining whether Policy Council conflict of interest exists, note the following:* *(1) Parents may occasionally substitute for regular Early Head Start or Head Start staff (1304.50(b)(6));* *(2) Policy Council, Policy Committee, and Parent Committee members may receive reimbursements for reasonable expenses incurred (1304.50(f)); and* *(3) Head Start Act citation 642(c)(3)(B) applies only to delegate agencies and should always be cited in conjunction with 642(c)(2)(C) citations when a related compliance concern is raised for a delegate agency.*	→ school district have different rules

Targeted Questions

Governing Body - Interview

➤ Interview the governing body to ensure that all members are free from financial or other conflicts of interest. Describe how the governing body ensures that there are no conflicts of interest. Did any members receive any type of compensation? Were family of members employed by the agency?

GOV 2.2

Policy Council - Interview

➤ Interview the Policy Council members about receiving reasonable reimbursement for their expenses for participation. Describe how members are informed about reimbursements for reasonable expenses incurred in connection with their participation in group responsibilities and whether there were members who were unable to participate because they were not offered reimbursement.

GOV 2.1

➢ Interview the Policy Council to determine whether all members are free from financial or other conflicts of interest. Describe how the Policy Council ensures that there are no conflicts of interest. Did any members receive any type of compensation? Were family of members employed by the agency?

GOV 2.2

Policy Council - Document

➢ Ask the program to provide you with documentation that describes the policy for PC reimbursement. Describe the reimbursement process and how Policy Council members are informed of that process.

When possible, ask for electronic documents or scanned copies of the documents and upload into the Evidence Binder.

GOV 2.1

Review Team Meeting - Interview

➢ Consult with the Fiscal Reviewer to see whether he or she noted any conflicts of interest.
Are any members of the governing body or the Policy Council paid? Are any of their family members paid by the program?

GOV 2.2

Program Governance Compliance Framework #3 – Roles, Responsibilities, and Training

3.1	Members of the governing body and the Policy Council receive appropriate training and technical assistance to ensure that members understand information they receive and can provide effective oversight of, make appropriate decisions for, and participate in programs of the Head Start agency. *Note: Applies to Grantees only*	642(d)(3)
3.2	The governing body performs required activities and makes decisions pertaining to program administration and operations that include: selecting delegates and service areas, establishing procedures and criteria for ERSEA, reviewing all applications for funding, and establishing procedures for selecting Policy Council members.	642(c)(1)(E)(iv)(I) 642(c)(1)(E)(iv)(II) 642(c)(1)(E)(iv)(III) 642(c)(1)(E)(iv)(VI)
3.3	The governing body approves financial management, accounting, and reporting policies and ensures compliance with laws and regulations related to financial statements.	642(c)(1)(E)(iv)(VII)(aa) 642(c)(1)(E)(iv)(VII)(bb) 642(c)(1)(E)(iv)(VII)(cc) 642(c)(1)(E)(iv)(VII)(dd)
3.4	The governing body reviews and approves all of the program's major policies, including: Self-Assessment, financial audits, fiscal operations, grant applications, personnel policies, and the results of monitoring and follow-up activities.	642(c)(1)(E)(iv)(V)(aa) 642(c)(1)(E)(iv)(V)(bb) 642(c)(1)(E)(iv)(V)(cc) 642(c)(1)(E)(iv)(VIII) 642(c)(1)(E)(iv)(IX)
3.5	The Policy Council approves and submits decisions about identified program activities to the governing body. *Note: Applies to Grantees only*	642(c)(2)(D)(i) 642(c)(2)(D)(ii) 642(c)(2)(D)(iii) 642(c)(2)(D)(iv) 642(c)(2)(D)(v) 642(c)(2)(D)(vi) 642(c)(2)(D)(vii) 642(c)(2)(D)(viii)

Targeted Questions

Governing Body - Interview

➤ Interview the governing body regarding the training and technical assistance (T/TA) it has received.

Determine whether the members receive training that is specific to their roles as governing body members and whether they can articulate how that training has helped them make decisions about the Head Start program.

Focus on how the governing body uses the training. Your goal is to find out whether the governing body has received enough training to perform its role.

Familiarize yourself with the governing body Roles and Responsibilities prior to conducting the review. This part of the interview connects to additional information that you will learn about how the governing body performs its role in this framework.
Note: Applies to Grantees only

GOV 3.1

➢ Determine whether the governing body exercised responsibility with respect to each of the following:
  - Selecting delegate agencies, as appropriate
  - Establishing procedures and criteria for recruiting, selecting, and enrolling children
  - Developing procedures for selecting Policy Council members
  - Reviewing applications for funding and amendments to applications for funding

SCOE / Central California Migrant Head Start

Have members provide examples of how these responsibilities have been exercised.

GOV 3.2

➢ Interview the governing body members on their roles and responsibilities. Your goal is to obtain examples of how and when they engage in legal and financial decisions, learn how they oversee the fiduciary health and well-being of the program, and determine whether they are effective in ensuring the fiscal integrity of the agency.

Note examples of how and when governing body members engage in legal and financial decisions, how they oversee the fiduciary health and well-being of the program, and whether they are effective in ensuring the fiscal integrity of the agency.
During you interview, determine how the governing body assumes responsibility for all required items.

GOV 3.3

➢ Interview the governing body to determine how actively the members are engaged in the oversight of program operations. Collect evidence of how they use information from reports such as the annual Self-Assessments and program audits to approve decisions about the program's structure, changes or improvements needed and program operations.

Focus your interview on how the governing body uses the information it reviews. For example, how are members engaged in processes such as hiring or development of corrective action plans, and how does the approval process work? Determine how engaged the governing body is in each of the required processes.

Use the information you have learned from your RPA (preplanning) document to prepare for this interview. This document will contain information for past review reports, PIR data, audits, and information from the Grantee's Self-Assessment.

GOV 3.4

Governing Body - Document

➢ Ask the program to provide you with documentation of governing body training.

Ask for meeting minutes that describe the training as well as sign-in sheets to determine who attended.

Determine whether your document review confirms what you heard during the interview. If you have additional questions, have the Director identify the appropriate staff person to interview to clear up any discrepancies, and add the additional interview to your evidence.

Note: Applies to Grantees only

GOV 3.1

➢ If you were not able to assess the governing body's role in the responsibilities listed through the governing body interview, ask the program to provide you with the governing body meeting minutes or other documents as needed.
  - Selecting delegate agencies, as appropriate
  - Establishing procedures and criteria for recruiting, selecting, and enrolling children
  - Developing procedures for selecting Policy Council members
  - Reviewing applications for funding and amendments to applications for funding

GOV 3.2

> If the governing body interview uncovers concerns about the review-and-approval process, review the governing body documents as needed.

Determine whether all of the following were reviewed and approved by the body:
- 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
- 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

GOV 3.3

> Ask the program to provide documentation indicating it supports the governing body's active participation in reviewing and approving the following:
- The annual Self-Assessment
- 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
- 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
- Personnel policies and procedures, including policies and procedures regarding the hiring, evaluation, compensation, and termination of the Executive Director, Head Start Director, Director of Human Resources, Chief Fiscal Officer, and any other person in an equivalent position with the agency

This documentation may include governing body meeting minutes or other documents that show how the Grantee uses the information in the documents it reviews how it is engaged in processes, and the process for approving information that informs program decisions.

GOV 3.4

Policy Council - Interview

> Interview the Policy Council (PC) regarding the training and technical assistance (T/TA) it has received.

Determine whether they receive training that is specific to their roles as Policy Council members and whether they can articulate how that training has helped them make decisions about the Head Start program. In your interview, ensure that your focus is more about how the Policy Council uses the training and not on the dates of specific trainings. Your goal is to find out whether the Policy Council has received enough training to perform its role.

Familiarize yourself with the Policy Council Roles and Responsibilities prior to conducting the review. This part of the interview connects to additional information that you will learn about how the Policy Council performs its role in this framework.

Note: Applies to Grantees only

GOV 3.1

➤ Interview the Policy Council to determine how actively it is engaged in the oversight of program operations. Collect evidence of how members review information from reports such as the annual Self-Assessments and program audits to approve decisions about program structure, changes or improvements needed, and program operations.

Focus your interview on how the Policy Council is engaged in the approval and submission of each of the required processes. For example, determine how are members are engaged in processes such as hiring and development of corrective action plans, and how does the approval process works?

Determine how engaged the Policy Council is in each of its required processes. Use the information that you have learned from your RPA (preplanning) document to prepare for this interview. This document will contain information from past review reports, PIR data, audits, and information from the program's Self-Assessment.

Note: Applies to Grantees only

GOV 3.5

Policy Council- Document

➤ Ask the program to provide you with documentation of Policy Council training.

Ask for Policy Council meeting minutes that describe the training as well as sign-in sheets to determine who attended.

Determine whether your document review confirms what you heard during the interview. If you have additional questions, have the Director identify the appropriate staff person to interview to clear up any discrepancies.

Note: Applies to Grantees only

GOV 3.1

➤ If the Policy Council interview uncovers concerns, ask the program to provide documentation that supports the Policy Council's active participation in the following items (as appropriate):
   - Activities to support the active involvement of parents in supporting program operations, including policies to ensure that the Head Start program is responsive to community and parent needs
   - Program recruitment, selection, and enrollment priorities
   - Applications for funding and amendments to applications for funding for programs under this subchapter prior to submission of applications described in this clause
   - Budget planning for program expenditures, including policies for reimbursement for and participation in Policy Council activities
   - By-laws for the operation of the Policy Council
   - 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
   - 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

Note: Applies to Grantees only

GOV 3.5

Review Team Meeting - Interview

➤ Consult with the ERSEA Reviewer to determine whether the governing body members were involved in the development of the criteria for recruiting, selecting, and enrolling children.

GOV 3.2

➤ Consult with the Fiscal Reviewer to determine whether expenditures and reporting align with budget projections and funding applications.

GOV 3.2

➤ Discuss with the Fiscal Reviewer his or her review of the program's audit. Does he or she have any concerns about the result or the process?

Compare this discussion with the information collected from the governing body interview. Is the governing body making sound and informed decisions about the selection of the program's financial auditors?

GOV 3.3

➤ Consult with the Fiscal Reviewer to determine whether the program is using financial information such as audits for planning. In addition, check with the Fiscal Reviewer to determine whether there are any issues with compensation of executive level staff.

GOV 3.4

➤ Consult with the Fiscal Reviewer to determine how the activities of the Policy Council influence decisions about the budget.

GOV 3.5

➤ Consult with the FCE Reviewer to determine how the activity of the Policy Council ensures that the needs of the community and enrolled families are met.

GOV 3.5

➤ Consult with the ERSEA Reviewer to determine how the activities of the Policy Council influence decisions around recruitment and selection.

GOV 3.5

Program Governance Compliance Framework #4—Reporting to Governing Body and Policy Council

4.1	Governing body and Policy Council members regularly receive and use information or reports about program planning, policies, and program operations, including: • Monthly financial statements, including credit card expenditures • Monthly program information summaries • Program enrollment reports, including attendance reports for children whose care is partially subsidized by another public agency • Monthly reports of meals and snacks provided through USDA programs • Financial audit • Annual Self-Assessment, including findings related to such assessment • Community-wide strategic planning and needs assessment (i.e., Community Assessment) of the Head Start agency, including applicable updates • Communication and guidance from the Secretary • Program Information Reports *Note: Applies to Grantees only* *Note: Single or multiple reports may be used to capture the information listed above*	642(d)(2)(A) 642(d)(2)(B) 642(d)(2)(C) 642(d)(2)(D) 642(d)(2)(E) 642(d)(2)(F) 642(d)(2)(G) 642(d)(2)(H) 642(d)(2)(I)

Targeted Questions

Governing Body - Interview

➢ You have determined how the program uses most reports. Use this part of your interview to determine the timeliness of reports.

Determine how often the following reports are received by the governing bodies and discuss with them the quality and usefulness of any reports you have not discussed earlier. (Check the timeframes within which they should be received).
- Program enrollment reports, including attendance reports for children whose care is partially subsidized by another public agency
- The financial audit
- The annual Self-Assessment, including any findings related to such assessment
- The community-wide strategic planning and needs assessment (Community Assessment) of the Head Start agency, including any applicable updates
- Communication and guidance from the Secretary
- Program Information Reports (PIRs)
- Financial statements
- Program information summaries
- Reports of meals and snacks provided through programs of the U.S. Department of Agriculture (USDA)

If the reports are of poor quality and cannot be used by the governing bodies, capture that in your notes.

Note: Applies to Grantees only

GOV 4.1

Policy Council - Interview

➢ You have determined how the Grantee uses most reports. Use this part of your interview to determine the timeliness of reports.

Determine how often the following reports are received by the governing bodies and discuss with them the quality and usefulness of any reports you have not discussed earlier. (Check the timeframes within which they should be received).
- Program enrollment reports, including attendance reports for children whose care is partially subsidized by another public agency
- The financial audit
- The annual Self-Assessment, including any findings related to such assessment
- The community-wide strategic planning and needs assessment (Community Assessment) of the Head Start agency, including any applicable updates
- Communication and guidance from the Secretary
- Program Information Reports (PIRs)
- Financial statements
- Program information summaries
- Reports of meals and snacks provided through programs of the Department of Agriculture

If the reports are of poor quality and cannot be used by the governing bodies, capture that in your notes.

Note: Applies to Grantees only

GOV 4.1

Governing Body - Document

➢ Validate your concerns regarding timeliness or quality of reports with the program. Ask for documentation that will help you determine whether reports were provided within the required timeframes and how the governing body was able to use those reports to inform program design, oversight, or improvement.

Note: Applies to Grantees only

GOV 4.1

Policy Council - Document

➢ Validate your concerns regarding timeliness or quality of reports with the program. Ask for documentation that will help you determine whether reports were provided within the required timeframes and how the Policy Council was able to use those reports to inform program design, oversight, or improvement.

Note: Applies to Grantees only

GOV 4.1

OHSMS
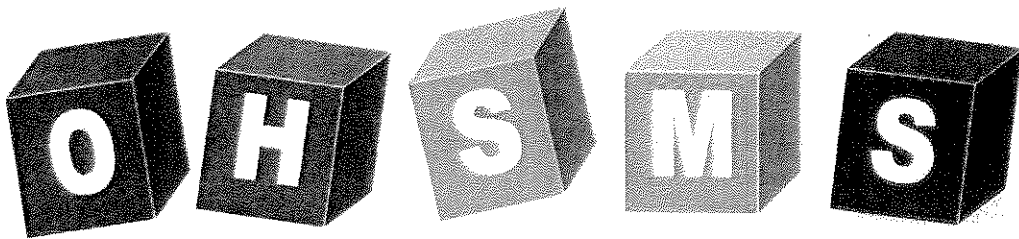
Management Systems

II. Management Systems (SYS)

Management Systems Compliance Framework #1 - Program Planning		
1.1	The program, in consultation with staff, governing bodies, policy groups, and other community organizations, routinely engages in a process of systematic planning that utilizes the results of the Community Assessment, Self-Assessment, and other information to develop long- and short-term goals for improvement and written plans for service implementation.	1304.51(a)(1) 1304.51(a)(1)(i) 1304.51(a)(1)(ii) 1304.51(a)(1)(iii) 1304.51(a)(2) 1305.3(d)(1) 1305.3(d)(2) 1305.3(d)(3) 1305.3(d)(4) 1305.3(d)(5) 1305.3(d)(6)
1.2	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, and results in improvement plans that are approved by the governing body and submitted to the OHS.	641A(g)(1) 1304.51(i)(1) 641A(g)(2)(B)

Targeted Questions

Head Start/Early Head Start Director - Interview/Debrief

➤ Ask about the program's planning process. Ascertain what information is used; how it is used; who is involved; and how goals are developed? Determine the current stage of the planning process, whether the long- and short-term goals are being met as expected, and if not, what adjustments are being made in the planning process to do so.

Use this information to round out what you have heard from the team or provide the members with more information.

SYS 1.1

➤ With the Director, review the program's Self-Assessment. Discuss how the program uses the Self-Assessment as a part of its planning process.

Ask how frequently the Self-Assessment is conducted and what is included. Use the debriefing to inform or confirm what you learned or want to learn from the governing body and the Policy Council. Determine whether those bodies truly have a role in designing the program or developing and evaluating the long- and short-term goals of the Grantee. Find out what the program does when it finds it needs to make improvements and who is involved in those decisions.

Use this information to strengthen what you know about planning: who is involved, how goals and objectives are identified and evaluated, how the quality of service areas is assessed, and how improvement plans are developed. Assess the comprehensiveness of the Self-Assessment process.

Ask for a copy of the program's Self-Assessment to use as a basis for a discussion with the Review Team.

SYS 1.2

Review Team Meeting - Interview

➤ Ask the Reviewers what they have learned about the planning process that the program has in place. How does the program use that process to develop plans for each service area? Specifically, for areas like Education and Fiscal, are there long-term goals and short-term objectives that the program would like to meet, and how is it planning to meet them? Is the process ongoing or a one-time event?

Examine whether what you learned from your interview with the governing body members is consistent with the information gathered by the team. In your interview with the governing body members, how did they describe the Self-Assessment and Community Assessment processes and the use of these processes to inform program planning?

SYS 1.1

➤ Using the program's Self-Assessment as a guide, discuss the program's implementation of processes and services. Together determine whether and how the program uses information from the Self-Assessment to guide its program operations. Check with Reviewers to determine whether the Self-Assessment is an accurate reflection of the program operations they are seeing during their review.

SYS 1.2

Management Systems Compliance Framework #2 - Ongoing Monitoring, Record Keeping, and Reporting		
2.1	The program established and regularly implements a process of ongoing monitoring of its operations and services, including delegate agencies, in order to ensure compliance with Federal regulations, adherence to its own program procedures, and progress towards the goals developed through its Self-Assessment process.	1304.51(i)(2) 641A(g)(3)
2.2	The program established and maintains a record-keeping system that provides accurate and timely information regarding children, families, and staff and ensures appropriate confidentiality of this information.	1304.51(g)
2.3	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, in addition to an explanation of the agency's efforts to prepare children for kindergarten.	644(a)(2)(B) 644(a)(2)(G)

Targeted Questions

Head Start/Early Head Start Director - Interview/Debrief

> In your debriefing sessions with the Director, ask about the ongoing monitoring process. Find out how ongoing monitoring supports program operations and is used to meet program goals and objectives, as well as what mechanisms the program uses to ensure the monitoring process is effective, timely, and informative.
>
> SYS 2.1

> If there are any concerns with record-keeping and reporting, address the issues with the Director. Ask questions about the record-keeping and reporting system to help you pinpoint the causes of the issues. Ask questions about the frequency of reporting or the verification of accuracy and completeness of reports by Grantee staff.
>
> SYS 2.2

> Ask about the program's Annual Report to the Public. Ask the Director to share with you the most current annual report. Determine whether the report contains the required explanation of budgetary expenditures, proposed budget for the fiscal year, and information on school readiness and how the Grantee attempts to prepare children for kindergarten. Discuss with the Director how the annual report is made public.
>
> SYS 2.3

Review Team Meeting - Interview

> Ask the Reviewers to think about ongoing monitoring and the role it plays in the area they are reviewing. How does the program use ongoing monitoring to evaluate progress on goals/objectives and compliance with Federal performance standards? Are there indications that the ongoing monitoring process occurs frequently enough to identify issues in a timely manner and develop plans to address concerns?
>
> Reflect back on your interview with the governing body. Did you have additional questions or need information about ongoing monitoring based on that interview?
>
> SYS 2.1

➤ Ask the Reviewers whether there are indications that the current record-keeping system is reliable, with routine mechanisms for capturing and analyzing data. Are records up to date? Is the information accurate? Are integrity checks completed? Are information and data shared with all appropriate parties?

Reflect back on your governing body and Policy Council interviews. How did you feel about the reporting systems that were in place? Was there a strong system? Did the governing body and the Policy Council seem well informed and up to date?

SYS 2.2

Management Systems Compliance Framework #3 - Human Resources

3.1	The program has established an organizational structure that provides for adequate supervision and supports the required program management functions to ensure the accomplishment of program goals and objectives. The program ensures that the program management functions for providing services to children and families are formally assigned to and adopted by staff within the program.	1304.52(a)(1) 1304.52(a)(2) 1304.52(a)(2)(ii) 1304.52(a)(2)(iii)
3.2	The program develops and implements written standards of conduct that are available to all staff and contain provisions for appropriate penalties when violations occur.	1304.52(i)(1) 1304.52(i)(1)(i) 1304.52(i)(1)(ii) 1304.52(i)(1)(iii) 1304.52(i)(1)(iv) 1304.52(i)(3)
3.3	The program ensures that each staff member completes an initial health examination (including screening for tuberculosis) and periodic re-examinations (as recommended by his or her health care provider or as mandated by State, local, or Tribal laws).	1310.16(b)(3) 1304.52(k)(1)
3.4	Prior to employing an individual, the program obtains a: • Federal, State, or Tribal criminal record check covering all jurisdictions where the program provides Head Start services to children • Federal, State, or Tribal criminal record check as required by the law of the jurisdiction where the program provides Head Start services • Criminal record check as otherwise required by Federal law	648A(g)(3)(A) 648A(g)(3)(B) 648A(g)(3)(C)

Targeted Questions

Head Start/Early Head Start - Interview/Debrief

➢ Refer to the program's organizational chart. Talk with the Director about how the program decided on its organizational structure. Ask about the organizational design and how that structure supports the program in accomplishing its goals and objectives. If issues that are found during the Review, talk with the Director to determine how structural weaknesses--such as vacancies--could be impacting services. Ask about processes in place to correct issues with organizational structure. For example, what is the program doing to ensure services are provided until a vacancy is filled?

SYS 3.1

➢ If there were any violations of the program's standards of conduct, talk to the Director about such violations and determine how appropriate penalties are or were enforced.

SYS 3.2

➢ If any staff members did not receive health examinations, talk to the Director about what policies are in place, why examinations were not completed, and what, if any, further steps will be taken to correct this issue.

SYS 3.3

➢ If any staff members did not complete criminal record checks before hire, talk to the Director about what policies are in place, why checks were not completed, and what, if any, further steps will be taken to correct this issue.

SYS 3.4

Criminal Record Checks - Document

➢ Ask the Director or Human Resources Manager for a copy of the criminal record check-tracking data. Use this tracking sheet during your discussions with Reviewers to compare the accuracy of what they saw in the files with what is in the tracking system. Reviewers will complete file checks on teachers and bus drivers.

SYS 3.4

Staff File

➢ Has the initial health examination, including tuberculosis screening, been completed? Has the re-examination been completed, if necessary?

SYS 3.3

➢ Is there documentation of a medical examination prior to beginning work, establishing that the bus driver possess the physical ability to perform job related functions with any necessary accommodations?

SYS 3.3

➢ Did the program obtain one of the following for each staff member?
- A State, Tribal, or Federal criminal record check covering all jurisdictions in which the Grantee provides Head Start services to children
- A State, Tribal, or Federal criminal record check as required by the law of the jurisdiction in which the Grantee provides Head Start services
- A criminal record check as otherwise required by Federal law

SYS 3.4

➢ Was the criminal record check conducted prior to employment?

SYS 3.4

Review Team Meeting - Interview

➢ Help the Reviewers make the connection between the program's organizational structure and any problems or strengths related to the provision of services. Prompt the Reviewers to make links between the quality of services and the oversight of services by program staff. In addition, find out how supervision affects services and determine whether vacancies are linked to poor or incomplete service offerings. How does the program's organizational structure contribute to the strengths or concerns identified by the Review Team?

SYS 3.1

➢ Ask the Reviewers whether they observed any violations of the program's standards of conduct and whether appropriate penalties were enforced. Do you have any concerns that any of the following are not addressed through the standards of conduct?
- Respecting and promoting the unique identity of each child and family and refraining from stereotyping on the basis of gender, race, ethnicity, culture, religion, or disability
- Following program confidentiality policies concerning information about children, families, and other staff members
- Ensuring that no child is left alone or unsupervised while under the Grantee's care
- Using positive methods of child guidance and not engaging in corporal punishment, emotional or physical abuse, or humiliation. In addition, not employing methods of discipline that involve isolation, use of food as punishment or reward, or denial of basic needs.

SYS 3.2

Management Systems Compliance Framework #4 - Communication

4.1	The program has mechanisms for regular communication among all program staff and between staff and families to facilitate high-quality outcomes for children and families.	1304.51(e) 1304.51(c)(1)

Targeted Questions

Head Start/Early Head Start Director - Interview/Debrief

➤ Ask about the program's systems of communication. Get a feel for how the Director communicates with staff, how staff communicate with each other, and how parents are brought into the communication loop. Ask what systems are in place to ensure effective communication and actions taken to improve communication when weaknesses are identified.

SYS 4.1

Review Team Meeting - Interview

➤ Ask the Reviewers about the program's communication system. Find out whether information is free-flowing (top-down and bottom-up) and timely. Do people talk with each other and share important information that enhances and supports services to children and families and the awareness of the governing bodies? Are there systems that make communication an integral part of the management system, or is it overlooked?
Here are some examples:
  - Do the teachers have the information they need to implement the curriculum?
  - Are home visitors working together with families to plan experiences each week? _N/A_
  - Does the management team communicate policies and procedures in a manner that enables staff to have an opportunity to meet expectations?

SYS 4.1

Management Systems Compliance Framework #5 - Strengths and Summary Analyses

5.1	Describe one or more program strength(s).	Strength
5.2	Summarize your general impressions of the program's performance in the areas of Fiscal Integrity, Child Health and Safety, Family and Community Engagement, and Child Development and Education. *Note: Separate summaries will be written by the appropriate Reviewer for each of the service areas listed above.*	Summary Analysis
5.3	Summarize your general impressions of the program's performance in the areas of Management Systems and Program Governance.	Systems Analysis
	Note: Prior to Sunday night, RTLs will review any potential strengths identified by the Regional Office (RO) Program Specialists. This information can be found in HSES (NF-RTLs will find any available information about strengths in the Review Team Leader Report.) *If potential strengths have been identified by the RO, the RTL will direct the team to attempt to verify the strength(s) through the collection of evidence. The RTL will forward available information from the RO to the Review Team to address in their interview with the Head Start Director.* *When writing a strength narrative, the topic sentence should briefly state the strength. The overall write-up should be no more than one or two paragraphs and should answer the questions of "who," "when," and "where." Also, be sure to fully describe the impact of the strength on the program, the community, and/ or the families and children served.*	

Targeted Questions

Program Strengths

➢ Discuss with the Review Team members the results of their service area and fiscal reviews. Discuss the program strengths. What has the program designed and/or implemented that has resulted in quality services to children and families? What systems are in place to sustain these services? How has the program demonstrated integrity and accountability in Program Governance and Fiscal?

The Systems Reviewer is responsible for capturing information about potential strengths from the program, Regional Office and Review Team by creating a finding under SYS 5.1. All reports should have a potential area of strength identified. Please note that verification of a strength does not require two modes of inquiry or evidence, and the strength should not be in conflict with any potential areas of non-compliance or deficiencies.

SYS 5.1

Fiscal Integrity Summary

➢ Describe your overall impressions of the Grantee's performance in regard to Fiscal Integrity. Determine whether the program has effective fiscal systems in place to support the delivery of quality services to children and families, and is in compliance with Head Start Program Performance Standards and regulations. Describe any patterns you found, areas of strength, and areas in need of improvement you found. Remember to consult with other reviewers (e.g., SYS reviewer) about their findings, as appropriate.

SYS 5.2

Child Health and Safety Summary

> Describe your overall impressions of the Grantee's performance regarding Child Health and Safety services. Determine whether the program has effective systems in place to support the delivery of quality services to children and families, and is in compliance with the Head Start Program Performance Standards and regulations. Describe any patterns, areas of strength, and areas in need of improvement you found. Remember to consult with other reviewers (e.g., FCE and CDE reviewers) about their findings, as appropriate.

SYS 5.2

Family and Community Engagement Summary

> Describe your overall impressions of the Grantee's performance regarding Family and Community Engagement services. Determine whether the program has effective systems in place to actively engage families and community members meaningful ways so they both contribute to and actively participate in program activities, as is required by the Head Start Program Performance Standards and regulations. Provide support for your determination. Describe any patterns, areas of strength, and areas in need of improvement you found. Remember to consult with other reviewers (e.g., CHS and CDE reviewers) about their findings, as appropriate.

SYS 5.2

Child Development and Education Summary

> Describe your overall impressions of the Grantee's performance regarding Child Development and Education services. Determine whether the program has effective systems in place to support the delivery of quality services to children and families, and is in compliance with the Head Start Program Performance Standards and regulations. If the program provides preschool services, include a summary of its approach to school readiness. Describe any patterns, areas of strength, and areas in need of improvement you found. Remember to consult with other reviewers (e.g., CHS and FCE reviewers) about their findings, as appropriate.

SYS 5.2

Management Systems and Program Governance Summary

> Describe your overall impressions of the Program's Governance and Management Systems. Determine whether the program has effective systems in place to provide quality services to children and families, and is in compliance with the Head Start Program Performance Standards and regulations. Describe any patterns, areas of strength, and areas in need of improvement you found. Remember to consult with other reviewers (e.g., CHS and FCE reviewers) about their findings, as appropriate.

SYS 5.3

An Office of the Administration for Children and Families
Early Childhood Learning & Knowledge Center (ECLKC)

(a.k.a. "Re-competition" of grant funds)

Part 1307 – Policies and Procedures for Designation Renewal of Head Start and Early Head Start Grantees

A new regulation, Part 1307 of the Head Start Program Performance Standards, was released November 9, 2011 in the Federal Register. A PDF version of the final rules with comments [PDF, 224KB] is available, and the full official text of the regulations follows.

PART 1307—POLICIES AND PROCEDURES FOR DESIGNATION RENEWAL OF HEAD START AND EARLY HEAD START GRANTEES

1307.1 Purpose and scope.

1307.2 Definitions.

1307.3 Basis for determining whether a Head Start agency will be subject to an open competition.

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1307.6 Tribal government consultation under the Designation Renewal System for when an Indian Head Start grant is being considered for competition.

1307.7 Designation request, review and notification process.

1307.8 Use of CLASS: Pre-K Instrument in the Designation Renewal System.

Authority: 42 U.S.C. 9801 et seq.

§ 1307.1 Purpose and scope.

The purpose of this Part is to set forth policies and procedures for the designation renewal of Head Start and Early Head Start programs. It is intended that these programs be administered effectively and responsibly; that applicants to administer programs receive fair and equitable consideration; and that the legal rights of current Head Start and Early Head Start grantees be fully protected. The Designation Renewal System is established in this Part to determine whether Head Start and Early Head Start agencies deliver high-quality services to meet the educational, health, nutritional, and social needs of the children and families they serve; meet the program and financial requirements and standards described in section 641A(a)(1) of the Head Start Act; and qualify to be designated for funding for five years without competing for such funding as required under section 641(c) of the Head Start Act with respect to Head Start agencies and pursuant to

section 645A(b)(12) and (d) with respect to Early Head Start agencies. A competition to select a new Head Start or Early Head Start agency to replace a Head Start or Early Head Start agency that has been terminated voluntarily or involuntarily is not part of the Designation Renewal System established in this Part, and is subject instead to the requirements of part 1302.

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§ 1307.2 Definitions.

As used in this Part—

ACF means the Administration for Children and Families in the Department of Health and Human Services.

Act means the Head Start Act, 45 U.S.C. 9831 *et seq.*

Agency means a public or private non-profit or for-profit entity designated by ACF to operate a Head Start or Early Head Start program.

Aggregate child-level assessment data means the data collected by an agency on the status and progress of the children it serves that have been combined to provide summary information about groups of children enrolled in specific classrooms, centers, home-based or other options, groups or settings, or other groups of children such as dual language learners, or to provide summary information by specific domains of development.

Child-level assessment data means the data collected by an agency on an individual child from one or more valid and reliable assessments of a child's status and progress, including but not limited to direct assessment, structured observations, checklists, staff or parent report measures, and portfolio records or work samples.

Early Head Start agency means a public or private non-profit or for-profit entity designated by ACF to operate an Early Head Start program to serve pregnant women and children from birth to age three, pursuant to section 645A(e) of the Head Start Act.

Going concern means an organization that operates *without* the threat of liquidation for the foreseeable future, a period of at least 12 months.

Head Start agency means a local public or private non-profit or for-profit entity designated by ACF to operate a Head Start program to serve children age three to compulsory school age, pursuant to section 641(b) and (d) of the Head Start Act.

School readiness goals mean the expectations of children's status and progress across domains of language and literacy development, cognition and general knowledge, approaches to learning, physical well-being and motor development, and social and emotional development that will improve their readiness for kindergarten.

Transition period means the three-year time period after December 9, 2011, on the Designation Renewal System during which ACF will convert all of the current continuous Head Start and Early Head Start grants into five-year grants after reviewing each grantee to determine if it meets any of the conditions under section 1307.3 that require recompetition or if the grantee will receive its first five-year grant non-competitively.

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§ 1307.3 Basis for determining whether a Head Start agency will be subject to an open competition.

A Head Start or Early Head Start agency shall be required to compete for its next five years of funding whenever the responsible HHS official determines that one or more of the following seven conditions existed during the relevant time period covered by the responsible HHS official's review under § 1307.7 of this part:

(a) An agency has been determined by the responsible HHS official to have one or more deficiencies on a single review conducted under section 641A(c)(1)(A), (C), or (D) of the Act in the relevant time period covered by the responsible HHS official's review under section 1307.7.

(b) An agency has been determined by the responsible HHS official based on a review conducted under section 641A(c)(1)(A), (C), or (D) of the Act during the relevant time period covered by the responsible HHS official's review under § 1307.7 not to have:

(1) After December 9, 2011, established program goals for improving the school readiness of children participating in its program in accordance with the requirements of section 641A(g)(2) of the Act and demonstrated that such goals:

(i) Appropriately reflect the ages of children, birth to five, participating in the program;

(ii) Align with the Head Start Child Development and Early Learning Framework, State early learning guidelines, and the requirements and expectations of the schools, to the extent that they apply to the ages of children, birth to five, participating in the program and at a minimum address the domains of language and literacy development, cognition and general knowledge, approaches toward learning, physical well-being and motor development, and social and emotional development;

(iii) Were established in consultation with the parents of children participating in the program.

(2) After December 9, 2011, taken steps to achieve the school readiness goals described under paragraph (b)(1) of this section demonstrated by:

(i) Aggregating and analyzing aggregate child-level assessment data at least three times per year (except for programs operating less than 90 days, which will be required to do so at least twice within their operating program period) and using that data in combination with other program data to determine grantees' progress toward meeting its goals, to inform parents and the community of results, and to direct continuous improvement related to curriculum, instruction, professional development, program design and other program decisions; and

(ii) Analyzing individual ongoing, child-level assessment data for all children birth to age five participating in the program and using that data in combination with input from parents and families to determine each child's status and progress with regard to, at a minimum, language and literacy development, cognition and general knowledge, approaches toward learning, physical well-being and motor development, and social and emotional development and to individualize the experiences, instructional strategies, and services to best support each child.

(c) An agency has been determined during the relevant time period covered by the responsible HHS official's review under § 1307.7:

(1) After December 9, 2011, to have an average score across all classrooms observed below the following minimum thresholds on any of the three CLASS: Pre-K domains from the most recent CLASS: Pre-K observation:

(i) For the Emotional Support domain the minimum threshold is 4;

(ii) For the Classroom Organization domain, the minimum threshold is 3;

(iii) For the Instructional Support domain, the minimum threshold is 2;

(2) After December 9, 2011, to have an average score across all classrooms observed that is in the lowest 10 percent on any of the three CLASS: Pre-K domains from the most recent CLASS: Pre-K observation among those currently being reviewed unless the average score across all classrooms observed for that CLASS: Pre-K domain is equal to or above the standard of excellence that demonstrates that the classroom interactions are above an exceptional level of quality. For all three domains, the "standard of excellence" is a 6.

(d) An agency has had a revocation of its license to operate a Head Start or Early Head Start center or program by a State or local licensing agency during the relevant time period covered by the responsible HHS official's review under § 1307.7 of this part, and the revocation has not been overturned or withdrawn before a competition for funding for the next five-year period is announced. A pending challenge to the license revocation or restoration of the license after correction of the violation shall not affect application of this requirement after the competition for funding for the next five-year period has been announced.

(e) An agency has been suspended from the Head Start or Early Head Start program by ACF during the relevant time period covered by the responsible HHS official's review under § 1307.7 of this part and the suspension has not been overturned or withdrawn. If there is a pending appeal and the agency did not have an opportunity to show cause as to why the suspension should not have been imposed or why the suspension should have been lifted if it had already been imposed under 45 CFR part 1303, the agency will not be required to compete based on this condition. If an agency has received an opportunity to show cause, the condition will be implemented regardless of appeal status.

(f) An agency has been debarred from receiving Federal or State funds from any Federal or State department or agency or has been disqualified from the Child and Adult Care Food Program (CACFP) any time during the relevant time period covered by the responsible HHS official's review under § 1307.7 of this part but has not yet been terminated or denied refunding by ACF. (A debarred agency will only be eligible to compete for Head Start funding if it receives a waiver described in 2 CFR 180.135.)

(g) An agency has been determined within the twelve months preceding the responsible HHS official's review under § 1307.7 of this part to be at risk of failing to continue functioning as a going concern. The final determination is made by the responsible HHS official based on a review of the findings and opinions of an audit conducted in accordance with section 647 of the Act; an audit, review or investigation by a State agency; a review by the National External Audit Review (NEAR) Center; or an audit, investigation or inspection by the Department of Health and Human Services Office of Inspector General:

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§ 1307.4 Grantee reporting requirements concerning certain conditions.

(a) Head Start agencies must report in writing to the responsible HHS official within 30 working days of December 9, 2011, if the agency has had a revocation of a license to operate a center by a State of local licensing entity during the period between June 12, 2009, and December 9, 2011.

(b) Head Start agencies must report in writing to the responsible HHS official within 10 working days of occurrence any of the following events following December 9, 2011:

(1) The agency has had a revocation of a license to operate a center by a State or local licensing entity.

(2) The agency has filed for bankruptcy or agreed to a reorganization plan as part of a bankruptcy settlement.

(3) The agency has been debarred from receiving Federal or State funds from any Federal or State department or agency or has been disqualified from the Child and Adult Care Food Program (CACFP).

(4) The agency has received an audit, audit review, investigation or inspection report from the agency's auditor, a State agency, or the cognizant Federal audit agency containing a determination that the agency is at risk for ceasing to be a going concern.

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§ 1307.5 Requirements to be considered for designation for a five-year period when the existing grantee in a community is not determined to be delivering a high-quality and comprehensive Head Start program and is not automatically renewed.

In order to compete for the opportunity to be awarded a five-year grant, an agency must submit an application to the responsible HHS official that demonstrates that it is the most qualified entity to deliver a high-quality and comprehensive Head Start or Early Head Start program. The application must address the criteria for selection listed at section 641(d)(2) of the Act for Head Start. Any agency that has had its Head Start or Early Head Start grant terminated for cause in the preceding five years is excluded from competing in such competition for the next five years. A Head Start or Early Head Start agency that has had a denial of refunding, as defined in 45 CFR 1303.2, in the preceding five years is also excluded from competing.

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§ 1307.6 Tribal government consultation under the Designation Renewal System for when an Indian Head Start grant is being considered for competition.

(a) In the case of an Indian Head Start or Early Head Start agency determined not to be delivering a high-quality and comprehensive Head Start or Early Head Start program, the responsible HHS official will engage in government-to-government consultation with the appropriate Tribal government or governments for the purpose of establishing a plan to improve the quality of the Head Start program or Early Head Start program operated by the Indian Head Start or Indian Early Head Start agency.

(1) The plan will be established and implemented within six months after the responsible HHS official's determination.

(2) Not more than six months after the implementation of that plan, the responsible HHS official will reevaluate the performance of the Indian Head Start or Early Head Start agency.

(3) If the Indian Head Start or Early Head Start agency is still not delivering a high quality and comprehensive Head Start or Early Head Start program, the responsible HHS official will conduct an open competition to select a grantee to provide services for the community currently being served by the Indian Head Start or Early Head Start agency.

(b) A non-Indian Head Start or Early Head Start agency will not be eligible to receive a grant to carry out an Indian Head Start program, unless there is no Indian Head Start or Early Head Start agency available for designation to carry out an Indian Head Start or Indian Early Head Start program.

(c) A non-Indian Head Start or Early Head Start agency may receive a grant to carry out an Indian Head Start program only until such time as an Indian Head Start or Indian Early Head Start agency in such community becomes available and is designated pursuant to this Part.

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§ 1307.7 Designation request, review and notification process.

(a) Grantees must apply to be considered for Designation Renewal

(1) For the transition period, each Head Start or Early Head Start agency wishing to be considered to have their designation as a Head Start or Early Head Start agency renewed for a five year period without competition shall request that status from ACF within six months of December 9, 2011.

(2) After the transition period, each Head Start or Early Head Start agency wishing to be considered to have their designation as a Head Start or Early Head Start agency renewed for another five year period without competition shall request that status from ACF at least 12 months before the end of their five year grant period or by such time as required by the Secretary.

(b) ACF will review the relevant data to determine if one or more of the conditions under § 1307.3 of this part were met by the Head Start and Early Head Start agency's program:

(1) During the first year of the transition period, ACF shall review the data on each Head Start and Early Head Start agency to determine if any of the conditions under § 1307.3(a) or (d) through (g) of this part were met by the agency's program since June 12, 2009.

(2) During the remainder of the transition period, ACF shall review the data on each Head Start and Early Head Start agency still under grants with indefinite project periods and for whom ACF has relevant data on all of the conditions in § 1307.3(a) through (g) of this part to determine if any of the conditions under § 1307.3(a) or (d) through (g) were met by the agency's program since June 12, 2009, or if the conditions under § 1307.3(b) or (c) existed in the agency's program since December 9, 2011.

(3) Following the transition period, ACF shall review the data on each Head Start and Early Head Start agency in the fourth year of the grant to determine if any of the conditions under § 1307.3 of this partexisted in the agency's program during the period of that grant.

(c) ACF will give notice to grantees on Designation Renewal System status, except as provided in § 1307.6 of this part:

(1) During the first year of the transition period, ACF shall give written notice to all grantees meeting any of the conditions under § 1307.3(a) or (d) through (g) of this part since June 12, 2009, by certified mail return receipt requested or other system that establishes the date of receipt of the notice by the addressee, stating that the Head Start or Early Head Start agency will be required to compete for funding for an additional five-year period, identifying the conditions ACF found, and summarizing the basis for the finding. All grantees that do not meet any of the conditions under § 1307.3(a) or (d) thorugh (g) will remain under indefinite project periods until the time period described under § 1307.7(b)(2).

(2) During the remainder of the transition period, ACF shall give written notice to all grantees still under grants with indefinite project periods and on the conditions in § 1307.3(a) through (g) by certified mail return receipt requested or other system that establishes the date of receipt of the notice by the addressee stating either:

(i) The Head Start or Early Head Start agency will be required to compete for funding for an additional five-year period because ACF finds that one or more conditions under § 1307.3(a) through (g) has been met during the relevant time period described in paragraph (b) of this section, identifying the conditions ACF found, and summarizing the basis for the finding; or

(ii) That such agency has been determined on a preliminary basis to be eligible for renewed funding for five years without competition because ACF finds that none of the conditions under § 1307.3 of this part have been met during the relevant time period described in paragraph (b) of this section. If prior to the award of that grant, ACF determines that the grantee has met one of the conditions under § 1307.3 during the relevant time period described in paragraph (b) of this section, this determination will change and the grantee will receive notice under paragraph (c)(2)(i) of this section that it will be required to compete for funding for an additional five-year period.

(3) Following the transition period, ACF shall give written notice to all grantees at least 12 months before the expiration date of a Head Start or Early Head Start agency's then current grant by certified mail return receipt requested or other system that establishes the date of receipt of the notice by the addressee, stating:

(i) The Head Start or Early Head Start agency will be required to compete for funding for an additional five-year period because ACF finds that one or more conditions under § 1307.3 of this part were met by the agency's program during the relevant time period described in paragraph (b) of this section, identifying the conditions ACF found, and summarizing the basis for the finding; or

(ii) That such agency has been determined on a preliminary basis to be eligible for renewed funding for five years without competition because ACF finds that none of the conditions under § 1307.3 have been met during the relevant time period described in paragraph (b) of this section. If prior to the award of that grant, ACF determines that the grantee has met one of the conditions under § 1307.3 during the relevant time period described in paragraph (b) of this section, this determination will change and the grantee will receive notice under paragraph (c)(3)(i) of this section that it will be required to compete for funding for an additional five-year period.

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§ 1307.8 Use of CLASS: Pre-K Instrument in the Designation Renewal System.

Except when all children are served in a single classroom, ACF will conduct observations of multiple classes operated by the grantee based on a random sample of all classes and rate the conduct of the classes observed using the CLASS: Pre-K instrument. When the grantee serves children in its program in a single class, that class will be observed and rated using the CLASS: Pre-K instrument. The domain scores for that class will be the domain scores for the grantee for that observation. After the observations are completed, ACF will report to the grantee the scores of the classes observed during the CLASS: Pre-K observations in each of the domains covered by the CLASS: Pre-K instrument. ACF will average CLASS: Pre-K instrument scores in each domain for the classes operated by the agency that ACF observed to determine the agency's score in each domain.

Top⬆

Part 1307. Policies and Procedures for Designation Renewal of Head Start and Early Head Start Grantees. HHS/ACF/OHS. 2011. English.

Head Start Program Performance Standards
Appendix A - Governance and Management Responsibilities

[A=General responsibility; B=Operating responsibility; C=Must approve or disapprove; D=Determined locally]

FUNCTION	GRANTEE AGENCY CCMHS SCOE		DELEGATE AGENCY PVUSD		GRANTEE OR DELEGATE MANAGEMENT STAFF	
	Governing Body	Policy Council	Governing Body	Policy Committee	Head Start Director	Agency Director
I. PLANNING						
(a) 1304.50(d)(1)(iii) Procedures for program planning in accordance with this Part and the requirements of 45 CFR 1305.3	A & C	C	C	C	B	D
(b) 1304.50(d)(1)(iv) The program's philosophy and long- and short-range program goals and objectives (see 45 CFR 1304.51(a) and 45 CFR 1305.3 for additional requirements regarding program planning).	A & C	C	C	C	B	D
(c) 1304.50(d)(1)(v) The selection of delegate agencies and their service areas (this regulation is binding on Policy Councils exclusively) (see 45 CFR 1301.33 and 45 CFR 1305.3(a) for additional requirements about delegate agency and service area selection, respectively).	A & C	C	--	--	B (Grantee Only)	D (Grantee Only)
(d) 1304.50(d)(1)(vii) Criteria for defining recruitment, selection, and enrollment priorities, in accordance with the requirements of 45 CFR Part 1305.	A	C	A	C	B	D
(e) 1304.50(d)(1)(i) All funding applications and amendments to funding applications for Early Head Start and Head Start, including administrative services, prior to the submission of such applications to the grantee (in the case of Policy Committees) or to HHS (in the case of Policy Councils).	A & C	C	A & C	C	B	D
(f) 1304.50(f) Policy Council, Policy Committee, and Parent Committee reimbursement. Grantee and delegate agencies must enable low-income members to participate fully in their group responsibilities by providing, if necessary, reimbursements for reasonable expenses incurred by the members.	A	C	A	C	B	D
(g) 1304.50(d)(1)(viii) The annual self-assessment of the grantee or delegate agency's progress in carrying out the programmatic and fiscal intent of its grant application, including planning or other actions that may result from the review of the annual audit and findings from the Federal monitoring review (see 45 CFR 1304.51(i)(1) for additional requirements about the annual self-assessment).	A	C	A	C	B	D

FUNCTION	GRANTEE AGENCY CCMHS SCOE		DELEGATE AGENCY PVUSD		GRANTEE OR DELEGATE MANAGEMENT STAFF	
	Governing Body	Policy Council	Governing Body	Policy Committee	Head Start Director	Agency Director
II. GENERAL PROCEDURES [A=General responsibility; B=Operating responsibility; C=Must approve or disapprove; D=Determined locally]						
(a) 1304.50(d)(1)(vi) The composition of the Policy Council or the Policy Committee and the procedures by which policy group members are chosen.	A & C	C	A & C	C	B	D
(b) 1304.50(g)(1) Grantee and delegate agencies must have written policies that define the roles and responsibilities of the governing body members and that inform them of the management procedures and functions necessary to implement a high quality program.	A & C	--	A & C	--	--	D
(c) 1304.50(d)(1)(ii) Procedures describing how the governing body and the appropriate policy group will implement shared decision-making.	A & C	C	A & C	C	D	D
(d) 1304.50(h) Internal dispute resolution. Each grantee and delegate agency and Policy Council or Policy Committee jointly must establish written procedures for resolving internal disputes, including impasse procedures, between the governing body and policy group.	A & C	C	A & C	C	D	D
(e) 1304.50(d)(2)(v) Establish and maintain procedures for hearing and working with the grantee or delegate agency to resolve community complaints about the program.	B	B	B	B	D	D
(f) 1304.50(g)(2) Grantee and delegate agencies must ensure that appropriate internal controls are established and implemented to safeguard Federal funds in accordance with 45 CFR 1301.13.	A	--	A	--	D	D
(g) The annual independent audit that must be conducted in accordance with 45 CFR 1301.12.	A	--	A	--	D	D

FUNCTION	GRANTEE AGENCY CCMHS SCOE		DELEGATE AGENCY PVUSD		GRANTEE OR DELEGATE MANAGEMENT STAFF	
	Governing Body	Policy Council	Governing Body	Policy Committee	Head Start Director	Agency Director
III. HUMAN RESOURCES MANAGEMENT PROCEDURES [A=General responsibility; B=Operating responsibility; C=Must approve or disapprove; D=Determined locally]						
(a) 1304.50(d)(1)(ix) Program personnel policies and subsequent changes to those policies, in accordance with 45 CFR 1301.31, including standards of conduct for program staff, consultants, and volunteers.	A &C	C	A &C	C	D	D
(b) 1304.50(d)(1)(x) Decisions to hire or terminate the Early Head Start or Head Start director of the grantee agency.	A &C	C	--	--	--	D
(c) 1304.50(d)(1)(xi) Decisions to hire or terminate any person who works primarily for the Early Head Start or Head Start program of the grantee agency.	A	C	--	--	B (Grantee Only)	D
(d) 1304.50(d)(1)(x) Decisions to hire or terminate the Early Head Start or Head Start director of the delegate agency.	---	--	A & C	C	--	D
(e) 1304.50(d)(1)(xi) Decisions to hire or terminate any person who works primarily for the Early Head Start or Head Start program of the delegate agency.	---	--	A	C	B (Delegate Only)	D

KEY AND DEFINITIONS AS USED IN CHART
 * When a grantee or delegate agency operates an Early Head Start program only and not an Early Head Start and a Head Start program, these responsibilities apply to the Early Head Start Director.
A. **General Responsibility.** The group with legal and fiscal responsibility that guides and oversees the carrying out of the functions described through the individual or group given operating responsibility.
B. **Operating Responsibility.** The individual or group that is directly responsible for carrying out or performing the functions consistent with the general guidance and oversight from the group holding general responsibility.
C. **Must Approve or Disapprove.** The group that must be involved in the decision-making process prior to the point of seeking approval. If it does not approve, a proposal cannot be adopted, or the proposed action taken, until agreement is reached between the disagreeing groups.
D. **Determined locally.** Management staff functions as determined by the local governing body and in accordance with all Head Start regulations.

AGENCY: Pajaro Valley Unified School District   ☐ **New**   ☒ **Carried Over**
                                                                          ☐

GOAL #7   Develop written policies that define the roles and responsibilities of the governing body members and that inform them of the management procedures and functions necessary to implement a high quality program.

OBJECTIVE #1   Develop written shared governance policies and procedures that cover functions listed under Program Governance in the Head Start Performance Standards (Please reference Appendix A, CFR 1304.50).

SPECIFIC STRATEGIES/ACTIVITIES	RESPONSIBLE PARTICIPANTS	TARGETED COMPLETION DATE	COMPLETED Y	N	COMMENTS
1. Obtain outside technical assistance.	MSHS Director	3/30/11			
2. Design plan for developing shared governance process, involving key groups (staff, Policy Committee, Board). Link to development of written program planning procedure. (Please see Goal 8, Objective 1).	Child Development Director; MSHS Director; outside technical assistance	2/28/12			8/19/09 training for Board Members on Shared Governance was led by TAC-12 Fiscal Specialist with Local Grantee Specialist assistance and with MSHS Program Consultant in attendance. Superintendent, 2 Ass't. Superintendents, ECE Director & designated MSHS mgt. staff in attendance. Board advised annual training of full Board will occur. This training in a Special Study Session format satisfies corrective plan of action for 2009-10 Board training (Head Start Performance Standard 1304.50 g/Appendix A). Draft recommendations for the Board of Trustees to determine if they wish to form a standing Board MSHS Advisory Committee have been completed.
3. Review, draft and amend written procedure(s) and other documents until key groups are satisfied and approvals from each governing body are obtained.	Child Development Director; MSHS Director; outside technical assistance	2/28/13			May result in phased development and implementation of work products.

PROGRAM GOALS AND OBJECTIVES

Program Year: **2011-2014**

AGENCY: Pajaro Valley Unified School District   ☐ **New**   ☒ **Carried Over**
                                                                                                                     ☐

GOAL #8 Develop a systematic, ongoing process of program planning that includes consultation with the Policy Committee, Board of Trustees and program staff. Program planning must include the Community Assessment, annual self-assessment findings and program area plans. Program planning must also include the development of short-term and multi-year (long-term) program and financial objectives.

OBJECTIVE #1 Develop written planning procedure that addresses the key elements required for systematic, ongoing process for program planning, including cyclical timelines and linkages to shared governance & management functions and procedures.

SPECIFIC STRATEGIES/ACTIVITIES	RESPONSIBLE PARTICIPANTS	TARGETED COMPLETION DATE	COMPLETED Y	N	COMMENTS
1. Obtain outside technical assistance.	MSHS Director	3/30/11			
2. Design plan for developing planning process, involving key groups (staff, Policy Committee, Board)	Child Development Director; MSHS Director; outside technical assistance	3/30/11			Portions of draft recommendations for Personnel Policies and Procedures specific to MSHS have been generated.
3. Review, draft and amend planning documents until key groups are satisfied and approvals are obtained.	Child Development Director; MSHS Director; outside technical assistance	2/28/12			May result in phased development and implementation of work products.

Pajaro Valley Unified School District
Migrant and Seasonal Head Start Program
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Policy Council, Policy Committee, and Local Parent Committee Structure
2012

Policy Council
(Cental California Migrant Head Start – CCMHS)
Grantee
26 Representatives from the Delegate Agencies + 2 Community Representative(s)

6 Representatives from the PVUSD Policy Committee

Policy Committee
(Pajaro Valley Unified School District - PVUSD)
Delegate Agency
23 Representatives from the Local Committees + Community Representative(s)

1 Representative from each center

2 Representatives from each group of Family Child Care Homes

14 Local Parent Committees
*5 Center Committees *9 Home Committees
1 Executive Committee (composed of 5 officials) from each Parent Committee

Calabasas Center	Freedom Center	Hall District Center
H.A. Hyde Center	Ohlone Center	

Center Committees

Calabasas A Homes	Calabasas B Homes	Hall District Homes
H.A. Hyde A Homes	H.A. Hyde B Homes	H.A. Hyde C Homes
Freedom A Homes	Freedom B Homes	Ohlone Homes

Homes Committees