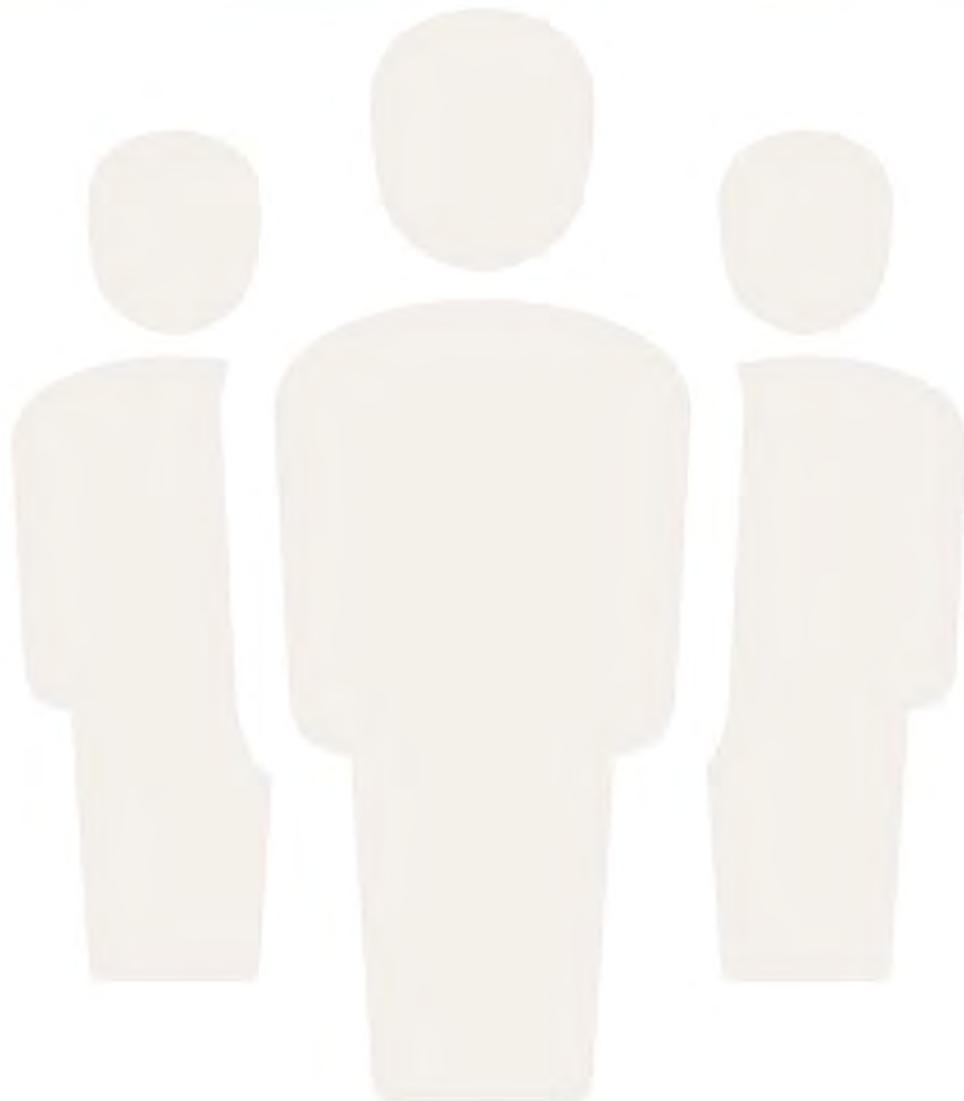




Administration for Children and Families
U.S. Department of Health and Human Services



FY2016 Office of Head Start Leadership, Governance, Management Systems Monitoring Protocol



Leadership, Governance and Management Systems

The Leadership, Governance and Management Systems (LGMS) Protocol

is organized to comprehensively assess how Head Start programs:

- (1) Develop plans to achieve their goals and ensure the delivery of high-quality comprehensive services to children and families in healthy and safe environments

- (2) Coordinate and develop program resources

- (3) Implement program practices and deliver quality services

- (4) Identify areas for ongoing program improvement.

These make up the four Key Performance Areas (KPA) for the LGMS Protocol.

Each of these KPAs encompasses one or more management systems. The intentional engagement of organizational leadership—the governing body, the Policy Council, and

Director—is pivotal to program effectiveness. The organization’s leadership is responsible for overall program management and governance. The following section briefly describes key indicators of performance, the management systems incorporated within them, and the critical role that the program’s leadership plays in each Key Performance Area.

Definition of Key Terms

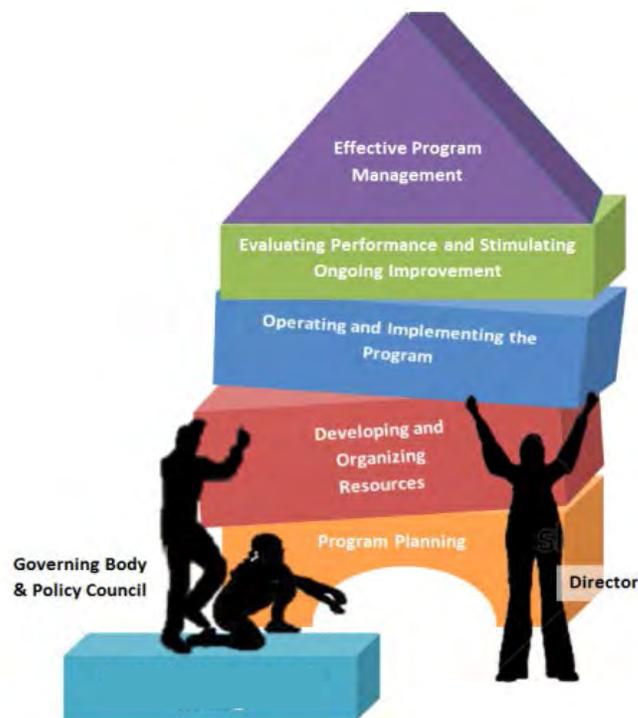
The following terms are referred to throughout the Protocol. The following definitions are intended to ensure readers have a shared understanding of the meaning of each term within the context of Head Start monitoring.

Leadership

The Office of Head Start (the OHS) recognizes that leadership comes from many different people within programs: Directors, management staff, teachers, families, and even children themselves. However, this Protocol seeks to understand how programs are managed. *Leadership* in this context refers to the Head Start Director and/or Executive Director, the governing body, and the Policy Council. Leadership roles may fluctuate among these groups, but it is important that each leadership role is taken on, and there are clear expectations and shared understanding of how these groups work together to provide leadership for a program.

Agency

Head Start programs are operated by many types of organizations (e.g., school districts, Community Action Agencies, hospitals, etc.). The term *agency* is used to refer to the organization that includes a



Head Start program. In an organization that provides *only* Head Start services, the Head Start program would itself be considered the agency.

Leadership, Governance and Management System Key Performance Areas

1. Program Planning



Program planning describes how a program will meet its goals and objectives, how it intends to provide high-quality comprehensive services to children and families, and how it will ensure that children and families receive services in a healthy and safe environment.¹

As part of the planning process, each Head Start grantee establishes a set of goals (e.g., school readiness, Family Engagement, etc.) for delivery of service to children and families; these goals are incorporated into the grant application. The National Center for Program Management and Fiscal Operations (PMFO) and the assigned Regional Office Program Specialist support the goal development and strategic planning processes. Head Start grantees develop plans for achieving goals, as well as ensuring: (1) the delivery of high-quality comprehensive services to children and families and (2) the health and safety of children and families served in Head Start facilities and in Family Child Care (FCC) settings.

Leadership's Role: Effective planning begins when leadership sets goals for the program and determines how the program intends to deliver quality comprehensive services to and ensure the health and safety of children and families. Leadership communicates the program's overarching mission into the goals, objectives, and plans that guide program operations and service delivery.

2. Developing and Organizing Resources



Based on the planning process, Head Start agencies develop and organize their resources in preparation for implementing their plans and achieving their goals. Grantees will use their goals and plans to define and mobilize the resources needed to support the Head Start community, including staff recruitment, hiring and training staff based on an organizational structure that supports the program in providing high-quality services, maintaining operations that are fiscally sound, and leveraging the knowledge of the Policy Council and the governing body.

Leadership's Role: Program leadership develops the policies and procedures that support program planning, operations, and implementation and continuous improvement. The governing body provides fiscal oversight to ensure the appropriate allocation of resources, while the Policy Council brings the parental and community perspective to customizing services that meet the needs of children and families. The Director implements policies and procedures to recruit, hire, and train staff and also communicates the policies and procedures to staff responsible for hiring and supporting staff.

¹ Definition from "Planning in Head Start" by The National Center for Planning, Management and Fiscal Operations

3. Operating and Implementing the Program



Operating and Implementing focuses on the daily operation of a Head Start program. This includes the supervision and support of staff, internal and external communication systems, and service delivery. In addition, fundamental to this KPA is the program's collection, recording, and reporting of data, which guides the program in understanding how its services impact children and families and informs the program's ongoing improvements, which is the focus of the next KPA.

Leadership's Role. The Head Start Director is accountable for the day-to-day effectiveness of the Head Start program's oversight, management, and delivery of services to children and families.

4. Evaluating Performance and Stimulating Ongoing Improvement:



High-quality programs routinely use their data to monitor their progress towards achieving program goals and their effectiveness in providing comprehensive high-quality services and ensuring the health and safety of Head Start children and families. Based on the program's analysis of its Self-Assessment and ongoing monitoring data, the program then refines its plans and processes, as needed, to ensure continued alignment with the community's needs and ensure continuous improvement. Program evaluation data must be shared with organizational leadership, as well as with families, staff, and the community.

Leadership's Role. Leadership must ensure that the program has methods to evaluate its performance and multiple channels for communicating about performance and refinement of program goals and plans.

Approach to Assessing Grantee Performance

Through the LGMS Protocol, the OHS works to understand how a grantee's governance and management systems support its provision of high-quality services and safe and healthy learning environments for children and families.² The Protocol is designed to provide programs with an opportunity to describe how their organizational leadership, managers, and staff engage in each KPA to ensure effective governance, management, and performance.

The LGMS Review consist of interviews with governing body members, Policy Council members, the Director, service area coordinators, and direct-service staff to learn about their roles and contributions in planning (KPA1), developing and organizing resources (KPA2), program operations and implementation (KPA3), and program evaluation and continuous improvement (KPA4). Analysis of each KPA will enable the OHS to understand how each stakeholder contributes to the achievement of program goals, delivery of high-quality services, and the health and safety of children and families served by the program.

Leadership, Governance and Management System Protocol's Structure

The Protocol is composed of KPAs, Compliance Measures (CMs), and Targeted Questions (TQs).

Key Performance Areas. The four Key Performance Areas reflect the OHS's priorities in understanding leadership, governance, and management systems as described above. The KPAs are the essential components in effectively managing:

- Program Planning
- Developing and Organizing Resources
- Operating and Implementing the Program
- Evaluating Performance and Stimulating Ongoing Improvement

Compliance Measures. Each KPA is composed of one or more CMs. Each CM is a specific statement that focuses on one or more Federal regulations critical to effective leadership, governance, and management systems. The OHS uses the CMs collectively to assess the level of program performance.

Targeted Questions. TQs are designed to provide guidance to ensure there is a standardized method for evidence collection. TQs are grouped by the person or persons to whom they are asked. In addition, above each set of TQs is a purpose that provides context as to why the TQs will be asked and how they align with the OHS's priorities in understanding leadership, governance, and management systems. Note that additional TQs beyond those listed in the LGMS Protocol may be asked to better understand the program's leadership, governance, and management systems.

Aligning Previous Monitoring Events with the LGMS Review. The OHS seeks to understand the relationship between information learned through other review events and the program's leadership, governance, and management systems. Accordingly, individuals will review all issues identified through any review events that precede the LGMS review. The analysis will include exploring the issues identified to understand the extent to which the root cause of the issues reflects challenges in leadership, governance, and management systems. This analysis will occur in advance of the LGMS review event. Additional questions not listed in the LGMS Protocol may be incorporated into the LGMS review event based on this analysis to better understand the program's leadership, governance, and management systems.

Overview

Effective program management begins when the Head Start program determines how the program intends to deliver quality comprehensive services to children and families. This strategic planning process includes:

- Adhering to an agency-wide mission that aligns with the priorities of Head Start and the needs of the community
- Encouraging community and organizational participation in the mission-based planning process
- Setting Head Start program goals that are beyond compliance, responsive to community needs, organization-wide, aspirational, and dynamic (BROAD) to describe what the program intends to accomplish
- Developing objectives that are specific, measurable, attainable, realistic, and timely (SMART) and align with the program's goals
- Creating and communicating plans that outline the steps the program will take to achieve its goals and ensure the provision of high-quality and comprehensive services as well as the health and safety of Head Start facilities and learning environments.

Compliance Measure 1.1

The program's planning process:

- Is based on a mission (philosophy) that aligns with the priorities of the OHS and the community's needs
- Includes development of long-term goals and short-term objectives based on program data
- Involves stakeholders (governing bodies, policy groups, parents, and staff)
- Includes plans to guide the program in achieving its goals and delivering high-quality services and ensuring the health and safety of Head Start facilities and learning environments

Federal Regulations: 1304.51(a)(1); 1304.51(a)(1)(i); 1304.51(a)(1)(ii); 1304.51(a)(1)(iii)

Purpose

The OHS wants to understand the governing body's ongoing engagement in establishing or pursuing the agency's mission, the Head Start program's goals, and the program's plans. The governing body is responsible for ensuring the program adheres to an agency-wide mission that aligns with the priorities of Head Start and the needs of the community.

Planning – CM 1.1

- ▶ Review the agency's mission with the governing body.

TQ: How does the agency's mission address what the community needs? How does the mission align with Head Start priorities?

The governing body should explain:

- *How the mission reflects the needs of the community*
- *How the mission addresses the priorities of Head Start*

- ▶ Review the grantee's current program goals with the governing body.

TQ: What is your role in revisiting the goals to ensure they are relevant to the current needs of the community served? How often do you revisit the goals to ensure their continued relevance?

The governing body should explain:

- *Its role in revisiting the program goals based on the Community Assessment, Self-Assessment, or other changes that occur in the program or community at large*

TQ: What is your plan for assessing your program's ability to provide high-quality comprehensive services? How will you determine whether the services delivered meet the community's needs?

The governing body should describe:

- *How it determines that the program is providing high-quality services to the Head Start community*

TQ: How do you ensure community members, the Policy Council, Head Start grantee staff, and other stakeholders are involved in the planning process?

The governing body should describe:

- *The role stakeholders play in the Self-Assessment and Community Assessment*
- *How it ensures grantee staff, community members, and the Policy Council are aware of and work towards the agency's mission and program goals*

Purpose

The Office of Head Start wants to understand the Policy Council's active role in:

- Supporting the agency's mission
- Developing the program's goals
- Contributing to the program's plans for delivering high-quality comprehensive services
- Ensuring the health and safety of Head Start children and families

The Policy Council provides a forum to give parents a voice in program planning and decision-making for the Head Start program. The program relies on the parents and community members on the Policy Council to use their experience and expertise to assist in developing and reviewing program goals and plans. The Policy Council approves and submits to the governing board decisions about program planning and supports the program in implementing its plans.

Planning – CM 1.1

- ▶ Think about your participation in planning and decision-making to ensure the program provides high-quality comprehensive services to children and families.

TQ: How do the plans for providing services align with the community's needs (e.g., are services provided in the necessary languages; are they culturally sensitive)?

The Policy Council should describe:

- *Its familiarity with the program's plans*
- *How the program's plans meet community needs*
- *How it created, reviewed, or provided feedback on the program's plans*

- ▶ Think about how you participate in planning and decision-making to ensure the program ensures the health and safety of children at the program.

TQ: How do the plans ensure that children are healthy and safe?

The Policy Council should describe:

- *Its familiarity with the program's plans and how they meet the health and safety needs of children*
- *How it created, reviewed, or provided feedback on the program's plans*

Purpose

Head Start staff are responsible for delivering quality services to children and families and ensuring their health and safety, as outlined in the program's action plan. The program's plan is focused on the program's mission and goals and is designed to ensure the delivery of high-quality comprehensive services to children and families in safe and healthy learning environments. Through this interview, the OHS wants to understand the critical role of staff in achieving the program's goals and ensuring high-quality comprehensive service delivery and healthy and safe learning environments.

Planning –CM 1.1

- ▶ Think about how the program has planned for delivering services to children and families to meet the needs of the community and to ensure that the program ensures children's and families' safety.

TQ: What are your roles and responsibilities in helping the program with its planning?

Staff should describe:

- *Their familiarity with the program goals and how it aligns with their day-to-day work
What they do throughout the year to support the program goals; their description should align with the action plan described by the Director*

Purpose

The involvement of all necessary stakeholders in setting goals and understanding the program’s action plans is critical to creating a comprehensive planning process. This involvement ensures that the program considers all points of view when determining how to meet the needs of the community. The Head Start Director has a significant role in the planning process, which includes developing long- and short-range goals for the program. These goals build the foundation for how each service area will operate to meet the needs of the children and families. The Director’s participation in formulating the action plans for the program is also vital to the success of the program. The Director provides leadership to program staff and key decision-making authority.

Planning –CM 1.1

- ▶ Review the program goals with the Director.

TQ: How do you set and, as needed, re-set program goals to align with community needs and shifts in the program?

The Director should explain:

- *How data are used to develop and/or re-align program goals*
- *The involvement of key stakeholders, such as the Policy Council, governing body, parents, staff and community members*

TQ: Explain how the program plans to design and deliver services and ensure safe and healthy environments for children and families.

The Director should describe:

- *The program’s plan for delivering quality services and ensuring the safety of children*
- *How the program’s plans detail what staff will complete which tasks and when*
- *How the program plans to assess progress in these areas*

TQ: How and how often is the plan or refinements to the plan discussed with staff?

Overview

Based on the planning process, Head Start agencies develop and organize their resources in preparation for implementing their plans and achieving their goals. Developing and organizing resources includes:

- Recruiting and hiring staff to create an organizational structure that supports achieving the program's goals
- Training and supporting staff in the delivery of high-quality comprehensive services
- Training and supporting staff in establishing and maintaining practices to create a healthy and safe environment for Head Start children and families
- Securing finances, infrastructure, equipment and facilities, materials, and community partnerships to support the delivery of services and achievement of the program's goals (*assessed through other monitoring events*)
- Establishing and using a governing body and Policy Council to provide direction and guidance to the program in developing and achieving its goals
- Developing policies and procedures that outline the processes used to support the delivery of services and achievement of goals (*assessed through other monitoring events*)

Compliance Measure 2.1—Developing Staff

The program recruits, hires, and trains qualified staff to maintain an organizational structure that supports it in providing high-quality services to children and families and ensuring their health and safety.

Federal Regulations: 1304.52(a)(2)(i-iii); 1304.52(a)(1); 642(c)(1)(E)(iv)(V)(cc); 642(c)(1)(E)(iv)(IX); 645A(h)(1-2); 648A(a)(3)(B)(i-iii); 648A(f); 1304.52(h)(1); 1304.52(e); 1304.52(g)(2)

Compliance Measure 2.2—Developing Financial Resources

The governing body exercises fiscal oversight to ensure the program has the resources it needs to deliver services, ensure healthy and safe environments, and accomplish its goals.

Federal Regulations: 642(c)(1)(E)(iv)(VII)(aa-bb)

Compliance Measure 2.3—Engaging the Governing Body and Policy Council

The grantee engages its governing body and establishes and uses a Policy Council to provide direction and support for the program in accomplishing its goals and providing high-quality comprehensive services.

Federal Regulations: 642(c)(1)(B)(i,ii,iii,iv); 642(c)(1)(E)(iv)(VI); 642(c)(2)(A); 642(c)(2)(D)(i,ii,iv,vi);

Purpose

The OHS wants to understand how the governing body ensures that its members are able to support the program based on their expertise and that the program has the appropriate staff and resources to provide quality services to children and families. The governing body is responsible for holding the program administration accountable for the achievement of the program’s goals. The OHS also recognizes that the financial well-being of the program is essential to meeting the needs of the Head Start community. Accordingly, the OHS seeks to understand how the governing body ensures the program has the needed operating budget and approves all financial expenditures to ensure that the program has the resources necessary for effective operation.

Developing Staff—CM 2.1

TQ: How do you ensure that the program has the staff it needs to deliver quality services to children and families and ensure the health and safety of children?

The governing body members should describe:

- *Their understanding of the staff needed to achieve program goals, provide high-quality comprehensive services, and ensure safe and healthy learning environments (e.g., specific skills or expertise that staff need, linguistic needs, numbers of staff needed, etc.)*

Developing Financial Resources—CM 2.2

TQ: How do you ensure that you understand the financial resources needed to deliver high-quality comprehensive services to children?

The governing body members should explain:

- *How they ensure the program has the resources needed to provide comprehensive services (i.e., Health, Mental Health, Nutrition, Disabilities, Family Engagement, and Education) to children and families*

TQ: How do you ensure that sufficient budget resources are allocated to ensure that facilities are sufficient in number and remain safe and in good repair?

The governing body members should describe:

- *Their understanding of the number and type of facilities needed to support service delivery*
- *How the budget is developed and financial resources are allocated for ensuring there are sufficient facilities/space for children and families and that the facilities are well maintained*

TQ: How do you ensure the program’s administrators are held accountable for delivering quality services and ensuring the continuous improvement of the program?

The governing body members should describe their role in:

- *Using their understanding of the Head Start community in making hiring decisions for program administration (Head Start Director/Executive Director)*
- *Developing the operating budget*
- *Approving major financial expenditures of the grantee*
- *Monitoring program expenditures*
- *Evaluating and providing feedback to the Head Start Director based on monitoring progress towards achieving the goals*

Engaging the Governing Body and Policy Council—CM 2.3

TQ: Describe how the program engages the governing body and the Policy Council to support the program in meeting program goals, providing high-quality comprehensive services to the community, and ensuring that program facilities and practices ensure the health and safety of children.

The governing body should describe:

- *The role its members and the Policy Council members play in supporting the program*

▶ Ask the Fiscal member of the governing body:

TQ: How do you use your fiscal expertise to support the program in providing quality services and ensuring that facilities are safe?

The Fiscal member of the governing body should describe:

- *Examples of contributions he or she has made to ensure the financial resources of the program are managed in accordance with the program's goals and plans*

▶ Ask the Early Childhood Education (ECE) member of the governing body:

TQ: How do you support the program in providing quality services and keeping children safe using your early childhood expertise?

The ECE member of the governing body should describe:

- *Examples of contributions he or she has made to ensure the program develops and delivers quality ECE services*

▶ Ask the attorney on the governing body:

TQ: How do you support the program in providing quality services and keeping children safe based on your legal expertise?

The attorney should describe:

- *Examples of contributions he or she has made to ensure the program effectively manages the administrative and legal aspects of the program*

▶ Ask the community members and parents on the governing body:

TQ: How do you support the program in providing quality services and keeping children safe on your experience within the community?

The parents and community members should describe:

- *Examples of contributions they have made to ensure the program meets the needs of the community*

TQ: What training have you received, and how has it helped you make decisions and provide leadership for the Head Start program?

The governing body members should describe:

- *The types of training they have received*
- *How they use the information provided in training*
- *What skills or information provided in training support them in fulfilling their leadership role*

Review training documentation to confirm the training as described by the governing body (e.g., governing body meeting agendas and minutes).

Purpose

The Policy Council is the representation of parents and community members that serves as a valuable resource to inform relevant services based on community needs. Parent and community representatives provide expertise that supports the program in fulfilling its mission and achieving its goals. The OHS wants to understand how the Policy Council:

- Participates in recruiting and hiring staff
- Advises the program in creating relevant parental involvement activities
- Ensures that program services are culturally relevant
- Confirms the program meets the needs of children and families

In addition, the OHS seeks to understand how the Policy Council is involved in the budget-planning process.

Engaging the Governing Body and Policy Council– CM 2.3

TQ: How are new Policy Council members selected?

Policy Council members should explain:

- *How Policy Council members are elected by parents of children currently in the program*

TQ: What training have you received? How has it helped you make decisions and provide leadership for the Head Start program?

Policy Council members should describe:

- *The types of training they have received*
- *How they use the information provided in training*
- *What skills or information provided in training support them in fulfilling their leadership role*

- ▶ Review training documentation to confirm the training described by the Policy Council (e.g., meeting agendas and minutes).

TQ: How do you help the program address the needs of families and the community? How does the program use your skills, resources, and connections?

Policy Council members should describe their involvement in:

- *Parental involvement activities (e.g., parenting class topics, parent participation in the classroom, Fatherhood initiatives)*
- *Ensuring program services respond to family and community needs and are culturally relevant (e.g., providing English classes)*
- *Recruiting Head Start-eligible families (e.g., suggesting recruitment locations)*
- *Decisions regarding program staff (e.g., participating in discussions regarding hiring/termination of grantee staff)*

Engaging the Governing Body and Policy Council—CM 2.3 (continued)

TQ: How are you involved in the budget-planning process?

TQ: How often do you review the program’s budget?

TQ: How do you use the information about the budget that is shared with you?

Policy Council members should explain:

- *Their active involvement in the budget-planning process, including reviewing proposed program expenditures*
- *How they submit the budget to the governing body for approval*
- *How they ensure the program’s money is used appropriately*
- *How, when an issue arose in the budget-planning process, it was addressed*

TQ: How might the program better utilize your skills, resources, and connections?

Purpose

The Director is responsible for identifying the resources needed to successfully accomplish the program's goals, deliver quality services to children and families, and ensure that services are provided in healthy and safe learning environments. The Director develops program staff through recruiting, hiring, and training. The OHS wants to understand how the Director:

- Hires and supports staff
- Collaborates with the Policy Council as a resource to provide input in identifying community resources to support the program in achieving its goals, providing quality services, and creating safe and healthy learning environments

Developing Staff—CM 2.1

TQ: What is your staff recruitment and hiring strategy? How do you know you have sufficient numbers of staff with the right skill sets in place to provide the services the community needs?

The Director should describe:

- *The recruiting and hiring plan and strategies to ensure qualified staff in place to provide quality services*

TQ: What types of training do you provide to staff to ensure they are positioned to provide needed services to children and families?

The Director should describe:

- *The training (both required and optional) available to staff that focuses on enhancing their skill sets*

Developing Financial Resources—CM 2.2

TQ: What resources do you need to ensure you are able to deliver quality services and ensure the health and safety of children? How are these resources obtained?

The Director should describe:

- *The resources needed (e.g., staff, facilities, financing) to be able to deliver quality services and ensure the health and safety of children*
- *How he or she ensures the resources are available*

TQ: What has the governing body done to ensure these resources are made available to you?

The Director should describe:

- *The governing body's involvement in budgeting and approving expenditures*
- *Resources the governing body has helped the program obtain*
- *Any resources that the governing body has been unable to obtain or is still working to obtain*

Engaging the Governing Body and the Policy Council—CM 2.3

TQ: How does the governing body support the program in delivering quality services and ensuring the health and safety of children?

The Director should describe:

- *Examples of how the governing body has helped the program work towards delivering quality services and ensuring child safety*

TQ: How does the Policy Council support the program in delivering quality services and ensuring the health and safety of children?

The Director should describe:

- *Examples of how the Policy Council has helped the program work towards delivering quality services and ensuring child safety*
- *Feedback the Policy Council has provided based on the experience of families and community members to inform the program's action plan for delivering quality services and ensuring child safety*

Developing Staff, Financial Resources, and a Policy Council—CMs 2.1, 2.2 and 2.3

TQ: What types of challenges have you experienced in terms of securing needed resources?

TQ: How did you resolve the issues?

The Director should describe:

- *Examples of the challenges he or she has encountered and how he or she knew there were problems*
- *His or her role and the governing body's and Policy Council's respective roles in resolving the issue*

Key Performance Area #3: Operating and Implementing the Program

Overview

Program operation and implementation are driven by the program's plan to achieve its goals, deliver high-quality comprehensive services, and provide safe and healthy learning environments for children and families. Operating and Implementing the program includes:

- Supervising and supporting staff
- Ongoing interactions and communication, both within the organization and with external stakeholders
- Collecting, recording, and reporting program data to track progress in providing services and achieving program goals
- Delivering high-quality comprehensive services to children and families (assessed through Comprehensive Services and School Readiness monitoring events)
- Ensuring healthy and safe environments for Head Start children and families (assessed through Environmental Health and Safety monitoring event)

Compliance Measures 3.1—Supervision and Support

The program ensures staff are supported and supervised in fulfilling their roles and responsibilities so as to deliver quality services, ensure safe environments and healthy program practices, and achieve program goals.

Federal Regulation: 1304.52(a)(1)

Compliance Measures 3.2—Ongoing Communication

The program has methods of communication in place that provide:

- Sharing of accurate and timely information with staff to support them in delivering services to children and families and ensuring the health and safety of the program's environments
- Sharing of accurate and timely information with parents, policy groups, and the general community to inform and engage stakeholders

Federal Regulation: 1304.51(b)

Compliance Measures 3.3—Data Management

The program collects, records, and reports data on its progress in delivering services to children and families, ensuring safe and healthy environments, and achieving program goals. The program:

- Routinely and accurately collects and records data for children, families, and staff timely
- Generates reports to inform planning, communication, and ongoing monitoring
- Makes information accessible to appropriate parties
- Maintains confidentiality

Federal Regulation: 1304.51(g)

<p>Key Performance Area #3: Operating and Implementing the Program</p>	<p>Targeted Questions: ECD Coordinator, FCE Coordinator, Health Coordinator, Teachers, Home Visitors, FCC Providers and FCE Staff Interview</p>	<p>Page 2/4</p>
<p>Purpose</p> <p>Program staff are responsible for daily direct-service delivery. Their work is central to ensuring the program can achieve its goals and deliver quality comprehensive services to children and families. Staff also play key roles in ensuring children remain safe in indoor and outdoor Head Start areas and that they and children maintain procedures to ensure children’s health and safety. The OHS wants to understand how program staff are supervised and supported by program administration in fulfilling their responsibilities.</p>		
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<p>Supervision and Support—CM 3.1</p> <p>TQ: How are you supported and supervised in ensuring the health and safety of children?</p> <p><i>Staff should describe examples of:</i></p> <ul style="list-style-type: none"> • <i>Support provided by program administration and/or supervisors in helping them maintain children’s health and safety</i> • <i>Training and resources available to help them understand safe practices and maintain children’s health and safety</i> <p>TQ: How are you supported and supervised in delivering high-quality comprehensive services to children and families?</p> <p>TQ: What does the program do to keep you motivated and excited about working to achieve its goals?</p> <p>Ongoing Communication—CM 3.2</p> <p>TQ: How do you collaborate with other staff to share information that helps you in your work?</p>		

Purpose

The Director is responsible for overseeing the operation and implementation of the program. The OHS wants to understand how the Director:

- Ensures staff are supervised and supported in fulfilling their roles
- Communicates with program staff as well as with parents and the community
- Collects, records, and reports information

Effective staff supervision and support, communication, and record-keeping and reporting are essential to achieving program goals and delivering quality services to children and families and ensuring their health and safety in the Head Start program.

Supervision and Support—CM 3.1

TQ: How are staff supported and supervised in fulfilling their roles in providing high-quality comprehensive services to children and families?

The Director should explain how the following occurs within the context of the delivery of quality comprehensive services to children and families:

- *How supervisors monitor staff performance in providing services to Head Start children and families*
- *How often staff receive feedback on their performance*
- *How often staff report on their progress in the delivery of services*
- *If progress is not being made, how course correction is implemented*
- *The resources and support available to staff*

TQ: How are staff supported and supervised in fulfilling their roles in helping ensure the maintenance of safe facilities and healthy and safe program practices?

The Director should explain how the following occurs within the context of child safety:

- *How staff supervisors monitor performance progress in keeping children safe*
- *How often staff receive feedback on their progress towards keeping children safe.*
- *How often staff report on progress towards ensuring child safety*
- *If progress is not being made, how course correction is implemented*
- *The resources and support available to staff to enable them to achieve safe environments for children*

Ongoing Communication—CM 3.2

TQ: How does the program communicate with parents?

The Director should describe and provide examples of:

- *The mechanisms the program uses to communicate with parents (e.g., Parent Handbook, parent welcome packet, parent newsletter, family open house, family orientation, parent-teacher conferences)*

Ongoing Communication—CM 3.2 (continued)

TQ: Describe how staff exchange information. How do staff communicate with other staff? How often?

The Director should describe and provide examples of:

- *Internal communication mechanisms (e.g., staff meetings, manager meetings, one-on-one meetings, internal memos)*
- *The frequency of communication*
- *How the program adjusts communications when necessary (e.g., based on circumstances of the program, children, or families)*
- *Providing information that all staff can understand (language and methods of communication)*

TQ: How does the program communicate with Policy Councils, governing boards and Policy Committees (if applicable)?

The Director should explain and provide examples of:

- *The mechanisms the program uses to communicate with policy groups (e.g., memos from the Director, emails, attendance at policy group meetings)*
- *How feedback from policy groups is received by the governing body or grantee staff to support the achievement of the program goals (Applies only to programs with delegate agencies)*

TQ: How does the program collaborate with the general community and community partners to support the delivery of quality comprehensive services to children and families?

The Director should describe:

- *How the program works to engage with the community (e.g., recruiting events, community events, program website, social networking pages, newsletters to community partners, etc.)*
- *How the program leverages the resources (e.g., meeting space, services, funding, etc.) available through community partners*

Data Management—CM 3.3

TQ: How does the program collect, record, and track data to monitor and report on its progress in delivering quality comprehensive services and ensuring the safety of children?

The Director should describe:

- *The data system the program uses*
- *How the program ensures the data are accurate and up to date*
- *How the program uses the data to track progress*
- *If and how records are regularly updated (e.g., recent parent communication, daily attendance, current health check-ups)*
- *How the program ensures data are kept confidential*

Overview

To inform planning, assess progress, and stimulate ongoing improvement, leadership must ensure that there are methods to evaluate program performance. Evaluating performance and stimulating ongoing improvement includes:

- Aggregating and assessing program data
- Reassessing and modifying the action plan and/or objectives based on assessment of data to promote accountability and continuous improvement
- Communicating progress to governing bodies, families, staff, and the community

Compliance Measure 4.1- Ongoing Monitoring

The program has established and implements procedures for the ongoing monitoring of its operations and services to ensure compliance, the provision of high-quality comprehensive services, and safe and healthy environments for children and their families. The program:

- Uses effective tools and procedures to ensure it is in compliance, meets its goals, provides comprehensive services that meet community needs, and maintains safe environments
- Conducts frequent, ongoing monitoring activities
- Collects and uses data for planning activities
- Ensures ongoing monitoring takes place in delegate agencies

Federal Regulation: 641A(g)(3)

Compliance Measure 4.2—Analyze Data Through a Self-Assessment

Through the Self-Assessment, the program aggregates and analyzes program data on progress in meeting program goals and objectives.

Federal Regulation: 641A(g)(1)

Compliance Measure 4.3—Data-Based Modifications

The program develops an improvement plan that modifies the action plan and/or objectives based on an analysis of program data.

Federal Regulation: 641A(g)(2)(B)

Compliance Measure 4.4—Policy Council and Governing Body Oversight of Program Evaluation

Governing body and Policy Council members regularly receive reports and make decisions to support the ongoing monitoring and evaluation of the program.

Federal Regulations: 642(d)(2)(A-I); 642(c)(1)(E)(iv)(V)(aa-bb); 642(c)(1)(E)(iv)(VII)(cc-dd); 642(c)(1)(E)(iv)(VIII)

Compliance Measure 4.5—Annual Report to the Public

The program communicates updates and progress to the public in an Annual Report that contains:

- An explanation of the budgetary expenditures and proposed budget for the fiscal year
- An explanation of the program's efforts to prepare children for kindergarten

Federal Regulations: 644(a)(2); 644(a)(2)(B); 644(a)(2)(G)

Purpose

The Director is responsible for ensuring the program has processes in place to collect, aggregate, and analyze information to evaluate the program's performance and support continuous improvement in program services. The OHS wants to understand what system the program has in place to monitor the delivery of program services, report to various stakeholders on progress in achieving goals and on overall performance, and develop and implement improvement plans when it identifies areas in need of improvement.

Ongoing Monitoring—CM 4.1

TQ: How does the program monitor progress towards continuous improvement of program services on an ongoing basis?

The Director should describe:

- *The tools and procedures used to track progress*
- *Frequent, ongoing monitoring activities*
- *Collecting and using data to inform changes to the program's plans*
- *Ongoing monitoring of delegate agencies, when applicable*
- *How he or she continually informs the governing body, the Policy Council, and program staff on the progress achieved*

Analyze Data through Self-Assessment—CM 4.2

- ▶ With the Director, review the program's Self-Assessment.

TQ: How does the program conduct its Self-Assessment and use the data for program improvement?

The Director should explain:

- *How frequently it is conducted*
- *Who is involved in the process and how their input helps support the process*
- *How they aggregate data on and assess progress toward achieving goals, maintaining compliance, and providing quality services and safe environments*
- *What the program has learned from the Self-Assessment*

Data-Based Modifications—CM 4.3

- ▶ With the Director, review the program's improvement plan.

TQ: How do you develop a program improvement plan using the data the program has collected? Please provide an example of changes the program has made based on data from the Self-Assessment and why the changes were made.

The Director should describe:

- *How and when the improvement plan is revised*
- *Examples of changes the program has made based on data collected*

Policy Council and Governing Body Oversight of Program Evaluation—CM 4.4

TQ: How do you share data and reports with the governing body and Policy Council members? How do you explain the data and reports to them?

The Director should describe:

How her or she describes to the governing body and Policy Council members, respectively, the information presented in reports and their understanding of how the data have informed a recent decision.

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Purpose

Program staff are responsible for ensuring that program services are delivered effectively. To consistently deliver high-quality services, staff must collect and use data from the Self-Assessment and ongoing monitoring activities to inform program improvement. The OHS wants to understand how staff use various tools and procedures to collect and use data that provide an assessment of the program’s compliance with regulations, progress in meeting its goals, and overall performance.

Ongoing Monitoring—CM 4.1

- ▶ With grantee staff, review tracking documents related to the program’s ongoing monitoring activities. Of particular interest is how the program tracks the quality and comprehensiveness of its services and health and safety of its environments.

TQ: How do you know that the program is providing quality, comprehensive services, maintaining safe and healthy practices, and ensuring safe facilities?

Staff should describe:

- *The tools and procedures used to monitor*
- *Frequent, ongoing monitoring activities*
- *The data that are collected to inform revisions to the program goals and plans*

TQ: How do you use the data collected, either directly or through direction from managers or the Director, to improve service delivery and maintain health and safety in the program?

Purpose

The Policy Council should receive regular reports to enable it to understand the program's performance and its progress in achieving its goals. In addition to confirming that the Policy Council receives all required reports and that they are timely and accurate, the OHS wants to understand how the Policy Council uses these reports. The Policy Council should understand what each report means and use the information to support their evaluation of the program's performance and the decisions they make to ensure continuous improvement in the program.

Policy Council and Governing Body Oversight of Program Evaluation—CM 4.4

TQ: How do you know that the program is providing quality comprehensive services?

TQ: What types of information do you receive to help you understand whether the program is delivering quality services and meeting the needs of the community? How do you use the information you receive?

The Policy Council should describe the following reports and explain how they use their information :

Annual Reports

- *The Self-Assessment, including any related findings*
- *The Program Information Report (PIR)*

Monthly Reports

- *Program information summaries*
- *Program enrollment reports, including attendance reports for children whose care is partially subsidized by another public agency*
- *Reports of meals and snacks provided through programs of the U.S. Department of Agriculture (USDA)*

Additional Reports

- *Every 3 years, the Community Assessment*
- *Applicable current updates from the Secretary (e.g., Program Instructions, Information Memoranda)*

TQ: How do you know that the program is using money received from the OHS for its intended purpose?

The Policy Council should describe the following reports and explain how it uses their information :

- *The annual financial audit*
- *Monthly financial statements, including credit card expenditures (if the program uses credit cards)*

TQ: How do you feel the program is doing at providing services to meet the community's needs? Are you satisfied with the progress?

Purpose

The governing body should receive regular reports about the program’s performance. In addition to confirming that the governing body receives the required reports and that they are timely and accurate, the OHS wants to understand how the governing body uses the reports. The governing body should understand what each report means and use the information in the reports to support its evaluation of the program’s performance and its decisions to ensure continuous improvement in the program.

Policy Council and Governing Body Oversight of Program Evaluation—CM 4.4

TQ: How do you evaluate the program’s performance? How do you know whether it is achieving program goals, providing quality comprehensive services, and maintaining healthy and safe learning environments?

The governing body should describe:

- *Receiving the annual Self-Assessment*
- *How it ensures the program meets all requirements based on the grant application and all Federal, State, and local laws*
- *Following-up on all internal corrective actions and monitoring results*

TQ: What do you do to ensure the financial health and well-being of the program and the fiscal integrity of the agency? Please provide an example of how you used data to inform a governing body decision.

The governing body should describe:

- *Selecting independent financial auditors (except when a financial auditor is assigned by the State under State law or is assigned under local law)*
- *Reviewing the financial audit and financial statements (including credit card expenditures, if applicable)*
- *Monitoring the program's actions to correct any audit findings and other actions necessary to comply with applicable laws and regulations governing financial statements and accounting practices*

TQ: If the governing body receives credit card expenditure reports, ask how it uses the reports to ensure the program is spending in accordance with program priorities.

If the governing body does not receive credit card expenditure reports, ask how it ensures the program exercises fiscal responsibility.

TQ: How do you feel the program is doing in achieving its goals and meeting community needs? Are you satisfied with the progress?

The governing body members should describe:

- *Their understanding of the program’s progress in achieving program goals*
- *Their satisfaction with that progress*

Policy Council and Governing Body Oversight of Program Evaluation—CM 4.4

TQ: What information or reports do you use to provide oversight for programmatic operations? How do you use the information?

The governing body should describe the following reports and explain how it uses the information:

Annual reports

- *PIR*

Monthly reports

- *Program information summaries*
- *Program enrollment reports, including attendance reports for children whose care is partially subsidized by another public agency*
- *Reports of meals and snacks provided through programs of the USDA*

Additional reports

- *Every 3 years, the community-wide strategic planning and needs assessment (Community Assessment) of the Head Start program*
- *Applicable and current updates from the Secretary (i.e., Program Instructions, Information Memoranda, etc.)*

TQ: How do you learn about the program’s strengths and areas in need of improvement?

The governing body should describe:

- *What information or reports it uses to identify program strengths*
- *What information or reports it uses to identify areas in need of improvement*
- *Examples of current identified strengths or areas in need of improvement*

TQ: How do you respond when you identify a risk or a potential risk?

The governing body should describe:

- *Its process or procedure for communicating the risk to the program*
- *How feedback and support are provided to mitigate the risk*
- *How the issue is addressed and follow-up is monitored*
- *Examples of identified risks and the processes used*

Annual Report to the Public—CM 4.5

TQ: Does the Annual Report include the following:

- *An explanation of budgetary expenditures and proposed budget for the fiscal year?*
- *Information on school readiness and how the grantee works to prepare children for kindergarten?*

If the report does not include these explanations, during your interview with the Director, ask why. Determine when the report will be updated with the information required.

TQ: Is the Annual Report available to the public? If not, ask the Director to provide an explanation.

Governing Body and Policy Council Composition	Governing Body Document Review	Page 1/2
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Purpose

In order to ensure the governing body is able to provide effective leadership for the program, the OHS needs to confirm that the governing body meets the composition requirements. Furthermore, the OHS wants to understand how each member of the governing body uses his or her expertise to ensure the program provides quality services to children and families. Lastly, the OHS seeks to understand how the training governing body members receive ensures they are able to effectively fulfill their roles and responsibilities.

Governing Body Composition—CM 5.1

▶ While scheduling the governing body interview, confirm the roles and required expertise of the governing body.

TQ: Does the governing body meet all of the following requirements? Does it include:

- *At least one member with a background and expertise in accounting or fiscal management?*
- *At least one member with a background and expertise in early childhood education and development?*
- *At least one member who is a licensed attorney?*
- *Members who reflect the community served, including parents of children who are currently or were formerly enrolled in Head Start programs?*

▶ If the governing body does not include individuals with the required qualifications:

TQ: Describe the relevant expertise and qualifications of any consultants or other individuals who work directly with the governing body.

Purpose

The Policy Council provides the program with the expertise of parents and the community on important program decisions. The OHS needs to verify that the Policy Council has the required composition of parents and community representatives and that each member is elected. In addition, the OHS wants to understand how each member uses his or her understanding of the needs of the community and families the program serves to make decisions on behalf of the program. In order to effectively make decisions and fulfill their roles and responsibilities, it is critical that Policy Council members receive comprehensive training.

Policy Council Composition– CM 5.1

- ▶ While scheduling the Policy Council interview, determine whether the Policy Council meets the composition requirements.
- TQ: Does the Policy Council membership meet the following requirements?**
- *At least 51 percent of the members are parents of children currently enrolled in the Head Start program (including delegate agencies).*
 - *At least one member is from the at-large community served by the program or any delegate agency.*
 - *Members are elected by parents of children currently enrolled in the program.*