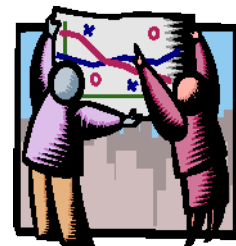


HEAD START 101: HISTORY, VALUES, AND REGULATIONS



Introductory
Materials



HEAD START
MOVING AHEAD
COMPETENCY-BASED TRAINING PROGRAM



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REFERENCE






This activity develops knowledge about the Head Start program, including the Head Start Act and the Head Start regulations in 45 CFR, Chapter 13. Its purpose is to provide participants with specific knowledge that will enhance and advance job performance.

The material and exercises contained in this activity will familiarize learners with Head Start's core values, the Head Start Act, and Head Start regulations and will assist them in applying the regulations in Chapter 13 to Head Start issues.

Sources. *The Manual for Head Start Administrators.* 1994. Washington, DC: U.S. Department of Health and Human Services. 1994. *Head Start Program Performance Standards and Other Regulations.* 1998. Washington, DC: U.S. Department of Health and Human Services. *The Head Start Fact Sheet.* 1998. Washington, DC: U.S. Department of Health and Human Services. Lang, C. *Head Start: New Challenges, New Chances.* 1992. Newton, MA: Education Development Center. I-99+ Reviewer Training Handouts. 1999. Washington, DC: U.S. Department of Health and Human Services.

Head Start 101: History, Values, and Regulations

Outcomes. As a result of conducting this activity, learners will

-  be able to identify ways in which Head Start core values are reflected in program services
-  understand how the program has evolved over time
-  understand how the Head Start program is administered and funded
-  know how the Head Start Act shapes program operations
-  practice finding answers to program-related questions in sections of the Head Start regulations

Materials. *Head Start Performance Regulations and Other Regulations, 45 CFR, Parts 1301, 1302, 1304, and Guidance, 1303, 1305, 1306, and 1308*; copies of the videos *Head Start: The Nation's Pride*¹, and *Nurturing the Promise*²; copy of the Head Start Act; newsprint and markers; VCR and monitor.

Components

This activity can be done by one person, an informal group, or a formal workshop. We have provided suggested times, but participants and facilitators may wish to adjust these to their own timetables.

Step 1. Background Reading: Welcome to <i>Moving Ahead</i>	5 min.
Step 2. Worksheet: Head Start's Core Values in Action	50 min.
Step 3. Background Reading: Introduction to Head Start's Legislative Authority and Regulations	10 min.
Step 4. Worksheet: Deciphering the Head Start Act	45 min.
Step 5. Background Reading: Navigating Through Chapter 13	15 min.
Step 6. Worksheet: Using Head Start Regulations to Guide Decisions	40 min.
Step 7. Summary	15 min.
Suggested total time	3 hrs.

A list of Head Start and other resources follows the Step 6 Worksheet.

This activity contains 32 pages.

¹ *Head Start: The Nation's Pride*. 1990. Alexandria, VA: National Head Start Association. 1990.

² *Nurturing the Promise*. 1997. Washington DC: U.S. Department of Health and Human Services, Administration for Children and Families, Head Start Bureau. 1997.

STEP 1. BACKGROUND READING: WELCOME TO *MOVING AHEAD*

Suggested time: 5 min.

Feel free to highlight sections or make notes in the margins.

Community: a group of people who reside in a specific locality, share government, and often have a common cultural and historical heritage.³

WELCOME!

The *Moving Ahead* Training Program was developed for leaders in the Head Start community. Our community encompasses the hundreds of thousands of people currently involved with the program as children, parents, community partners, and local or federal staff and the many others that Head Start has touched since its birth as an eight-week summer program in 1965. As a community, we share a history, common beliefs and values, a language, and a set of rules that govern our interactions. Most important, we share a purpose: to improve the lives of the children and families in Head Start.

Like all other communities, we have our experienced individuals, our new members, and many who fall in between. Each person has a unique and important role to play: those with experience remind us where we've come from and what we must do to maintain our identity. The new members bring a fresh perspective and remind us what we must do to prepare for the future. All roles are essential for Head Start to continue to move ahead and flourish.

This initial activity of the *Moving Ahead* program invites community leaders to explore the history, values, and regulations that define us. For some participants, the material provides an important foundation on which to build personal development; for others it provides an opportunity to revisit their roots for refreshment (or inspiration) and re-energizing. As you engage in this activity and others in the training program, we hope that you will support one another in the learning process by generously sharing your knowledge, experience, and perspective.

³ *Webster's College Dictionary*. 1996. New York: Random House.

STEP 3. BACKGROUND READING: INTRODUCTION TO HEAD START'S LEGISLATIVE AUTHORITY AND REGULATIONS

Suggested time: 10 min.

Feel free to highlight sections or take notes in the margins.

Head Start began as an eight-week summer program in 1965. In church basements and the unused rooms of public schools, it grew into a year-round, comprehensive, multigenerational development program for children and families. Since its inception, Head Start has served close to 18 million⁴ children and their families. Along the way it has become the largest early childhood and family education program in the country, the leading health referral system for children, and the most extensive system for integrating young children with disabilities.⁵ To respond to a growing need for services for younger children, in 1994 Congress established a new Early Head Start program for low-income families with infants and toddlers. In fiscal 1999, Head Start serves over 32,000 children under the age of three and pregnant women in all 50 states and the District of Columbia and Puerto Rico.⁶

ADMINISTRATION AND FUNDING

The Head Start Bureau is responsible for overseeing overall operation of the program in accordance with the Head Start Act. It establishes program standards and other regulations that govern the program, and through a competitive process selects and funds grantees to provide Head Start services in their local communities. The Head Start Bureau is housed within the Administration on Children, Youth, and Families within the U.S. Department of Health and Human Services' Administration for Children and Families. The Head Start Act, which is passed by Congress and signed by the president, authorizes the continued operation of the Head Start program for a specific number of years and sets ceilings for budget appropriations during that period. Each year of the authorization period, Congress and the president agree on the annual Head Start budget through an appropriation bill. Unlike most other federally funded programs, Head Start community programs are funded directly from the federal government rather than through the states.

⁴ Head Start Fact Sheet. 1999. Washington, DC: U.S. Department of Health and Human Services.

⁵ Adapted from C. Lang, *Head Start: New Challenges, New Chances*. 1992. Newton, MA: Education Development Center.

⁶ Head Start Fact Sheet. 1999.

In addition to the Head Start Bureau staff in Washington, DC (see the attached chart), federal Head Start staff are located in 10 regions around the country. Staff in these regional offices work closely with the bureau staff and serve as a direct link to local grantee programs. Regional staff monitor the operation of local programs and provide funding to local grantees according to funding formulas established by Congress in the Head Start Act and the budget limits set by the annual Head Start appropriation. In addition to the 10 geographic regions, funding and support is provided to American Indian and Migrant Programs by federal staff housed within the Head Start Bureau in Washington, DC.

Local grantees include a wide range of community agencies: community action agencies, other nonprofit groups, local governments, tribal governments, and school districts, among others. The Head Start Reauthorization of 1998 also allows for-profit organizations to serve as grantees for both Head Start and Early Head Start programs. Each local grantee applies for funding to serve a specified number of children according to the Head Start regulations in 45 CFR Chapter 13, and other applicable federal and local regulations.



Head Start Bureau

Head Start Mailing Address:
DHHS/ACF/ACYF/Head Start Bureau
330 C Street S.W. Room 2212
Washington, D.C. 20447

Phone: (202) 205-8572

Email: first initial, last name@acf.dhhs.gov

Example: fgibson@acf.dhhs.gov

HEAD START REGIONAL OFFICES

<p>Region I</p> <p><i>Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island, Vermont</i></p> <p>JFK Federal Building Room 2000 Boston, MA 02203 Tel. (617) 565-1020 Fax (617) 565-2493</p>	<p>Region V</p> <p><i>Illinois, Indiana, Michigan, Minnesota, Ohio, Wisconsin</i></p> <p>233 No. Michigan Ave. Suite 400 Chicago, IL 60601 Tel. (312) 353-4237 Fax (312) 353-2629</p>	<p>Region IX</p> <p><i>Arizona, California, Hawaii, Nevada, Pacific Territories</i></p> <p>50 United Nations Plaza Room 450 San Francisco, CA 94104 Tel. (415) 437-8400 Fax (415) 437-8444</p>
<p>Region II</p> <p><i>New Jersey, New York, Puerto Rico, Virgin Islands</i></p> <p>26 Federal Plaza Room 4114 New York, NY 10278 Tel. (212) 264-2890 Fax (212) 264-4881</p>	<p>Region VI</p> <p><i>Arkansas, Louisiana, New Mexico, Oklahoma, Texas</i></p> <p>1301 Young Street Room 937 Dallas, TX 75202 Tel. (214) 767-9648 Fax (214) 767-3743</p>	<p>Region X</p> <p><i>Alaska, Idaho, Oregon, Washington</i></p> <p>Blanchard Plaza 2201 Sixth Avenue Suite 600 Seattle, WA 98121 Tel. (206) 615-2557 Fax (206) 615-2575</p>
<p>Region III</p> <p><i>Delaware, Maryland, Pennsylvania, Virginia, Washington, DC, West Virginia</i></p> <p>150 South Independence Mall West Suite 864 Philadelphia, PA 19101 Tel. (215) 861-4000 Fax (215) 861-4070</p>	<p>Region VII</p> <p><i>Iowa, Kansas, Missouri, Nebraska</i></p> <p>Federal Office Building Room 276 601 East 12th Street Kansas City, MO 64106 Tel. (816) 426-3981 Fax (816) 426-2888</p>	<p>American Indian/ Alaska Native Program Branch (AIANPB)</p> <p>Head Start Bureau 330 C Street SW Washington, DC 20447 Tel. (202) 205-8437 Fax (202) 205-8436</p>
<p>Region IV</p> <p><i>Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina, Tennessee</i></p> <p>Atlanta Federal Center 61 Forsyth Street SW Suite 4M60 Atlanta, GA 30303 Tel. (404) 562-2800/2900 Fax (404) 562-2983</p>	<p>Region VIII</p> <p><i>Colorado, Montana, North Dakota, South Dakota, Utah, Wyoming</i></p> <p>Federal Office Building 1961 Stout Street Room 926 Denver, CO 80294 Tel. (303) 844-3100 Fax (303) 844-2624</p>	<p>Migrant and Seasonal Programs Branch (MPB)</p> <p>Head Start Bureau 330 C Street SW Washington, DC 20447 Tel. (202) 205-8455 Fax (202) 401-5916</p>

STATUTES AND REGULATIONS⁷

Head Start leaders must be fully knowledgeable about all applicable federal requirements and must be skilled in applying these requirements to the operation or oversight of programs, whether they are starting a new program or striving to maintain a quality program. Many of the requirements for operating a Head Start program can be found in the manual *Head Start Program Performance Standards and Other Regulations*.

Head Start Act

As with all programs of the federal government, Head Start owes its existence to a public law passed by the Congress and signed by the president. The Head Start Act, as it is commonly referred to, authorizes the appropriation of funds at specific levels and prescribes the methodologies for allotment of funds to the various functions of the program and the methods for the distribution of the funds nationally and locally to Head Start agencies. The act spells out the intent of the Congress in terms of the purpose of the program, the types of services to be provided, the population to be served, reporting and evaluation requirements, and a variety of administrative requirements. It is important for administrators to be familiar with those sections that have relevance to day-to-day operations. For example, the 20 percent matching requirement for nonfederal share, the 15 percent limitation on administrative costs, and the 10 percent of enrollment slots to be reserved for services to children with disabilities are specifically delineated in the act. Throughout, the act directs the secretary of health and human services to develop regulations to guide the implementation of the program. Once developed, these regulations become a part of the *Code of Federal Regulations*. Since regulations have their basis in public law, they have the force of law for programs funded by the issuing agency.

Regulatory Process

The regulatory development process is designed to enable those whose work or lives will be affected by the regulation to help shape it. First, a Notice of Proposed Rulemaking (NPRM) is prepared by the agency that administers the program. After clearing internal and departmental review, the NPRM is submitted to the Office of Management and Budget (OMB) for review. As the review arm of the Executive Branch, the OMB must ensure that the proposed regulation complies with the intent of the public law under which it was prepared and that its implementation will not

⁷ Adapted from the introduction to the *Manual for Head Start Administrators*. 1994. Washington, DC: U.S. Department of Health and Human Services.

unfairly burden the public. Once agreement is reached between the issuing agency and OMB, the NPRM is published in the *Federal Register*, which is the official publication of the federal government for notifying the public of proposed and final regulations. Following publication of the NPRM, interested parties may submit written comments during a “comment period,” which typically is 90 days, on the merits of the regulation. After consideration of the public comments, the NPRM is modified or changed as deemed necessary by the agency and returned to OMB as the Final Rule. Once approved by OMB, the Final Rule is published in the *Federal Register* and is incorporated as part of the body of regulations contained in the *Code of Federal Regulations* for the issuing agency.

Code of Federal Regulations. The *Code of Federal Regulations* (CFR) is a systematic collection of the rules published in the *Federal Register* by the executive departments and agencies of the federal government. The code is divided into 50 titles that represent broad areas of federal regulation. A portion of these are devoted to common regulations that apply across several different departments of the government, such as **Title 5, Administrative Personnel**, and **Title 41, Public Contracts and Property Management**. Other titles contain only the regulations of a single department, such as **Title 7, Agriculture; Title 29, Labor; and Title 49, Transportation**.

Some of the regulations pertaining to the Department of Health and Human Services (DHHS) are **Title 21, Food and Drug Administration; Title 42, Public Health Service;** and for Human Services, **Title 45, Public Welfare**. Title 45 is further divided between Subtitle A, “General Administration,” and Subtitle B, “Regulations Relating to Public Welfare.” Title 45 contains the regulations governing the Head Start program.

Title 45, Subtitle A. Parts 1 to 199 under Subtitle A contain the departmentwide regulations that apply to *all* grants and contracts funded by DHHS. Most important among these in terms of the day-to-day operation of a Head Start program are Part 74, “Administration of Grants,” and Part 92, “Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments.”

Parts 74 and 92 contain the procedures governing the administration of grants and cooperative agreements issued by DHHS. The subparts cover such topics as cash management, financial reports, allowable and unallowable costs, and property and procurement. The agency type (Part 74 for private nonprofit agencies and Part 92 for public agencies) is the determining factor as to which regulation applies. It is important for every Head Start administrator to be familiar with the appropriate regulation and its relationship to the Head Start–specific regulations.

STEP 4. WORKSHEET: DECIPHERING THE HEAD START ACT

Suggested time: 45 min.

Purpose: To introduce participants to the Head Start Act and its implications for program operation.

Part I (5 min.) As a group, review the table of contents of the Head Start Act. Invite each member of the group to select a different section of the act to scan and report on from the following list:

Section 640: Allotment of Funds (pages 5 to 7 only)

Section 642: Powers and Functions of Head Start Agencies

Section 644: Administrative Requirements and Standards

Section 645A: Early Head Start Programs for Families with Infants and Toddlers

Section 648A: Staff Qualifications and Development

Part II (20 min.) On your own, review your assigned section of the Head Start Act. As you scan, identify

- key statements that have implications for local program operation
- key statements that have implications for federal Head Start staff
- statements that are new or surprising to you

Part III (20 min.) As a group, discuss ways in which Head Start leaders can use knowledge of the Head Start Act to inform their ongoing work. Begin the discussion by sharing what you have discovered in reading your assigned section. Limit your report to less than 2 minutes.

STEP 5. BACKGROUND READING: NAVIGATING THROUGH CHAPTER 13

Suggested time: 15 min.

Feel free to highlight sections or make notes in the margins.

HEAD START REGULATIONS

In addition to the agencywide regulations that guide Head Start, 45 CFR contains regulations that apply only to Head Start programs. These regulations are contained in 45 CFR, Chapter 13. Although the Head Start Performance Standards, contained in Part 1304, are the most commonly known of these regulations, the remaining parts (1301, 1302, 1303, 1305, 1306, 1308, 1309, and 1311) also contain significant implications for the operation of Head Start programs.

When studying or researching the parts of Chapter 13, note that they all follow a similar format:

- Most begin with an introductory section titled Subpart A - General (Part 1305 does not).
- The introductory section begins with a paragraph that explains the purpose and scope of the regulations.
- The introductory section also provides a list of definitions of terms that are contained in the document.

Parts 1304, the Head Start Performance Standards, and 1308, Program Performance Standards on Services for Children with Disabilities, are accompanied by *guidance* material. “The guidance provides examples or illustrations of *how* the standards could be implemented...Rather than being mandatory, as the standards are, the guidance represents *illustrations* of ways agencies may operationalize the standards. These illustrations are not the only way to implement the standards, but are meant to stimulate the thinking of staff and parents about how the standards might be operationalized in their own program.”⁸

In the paragraphs that follow, we provide the purpose and scope of Parts 1301, 1302, 1303, 1304, 1305, 1306, 1308, 1309 and 1311. These statements will help you in completing the Step 6 Worksheet.

⁸ *Head Start Program Performance Standards and Other Regulations*. 1999. Washington, DC: U.S. Department of Health and Human Services, p. 3.

Part 1301⁹

This part establishes regulations applicable to program administration and grants management for all grants under the Act, including grants for technical assistance and training and for research, demonstration, and pilot projects. In addition to listing the applicable general requirements, this part contains grants administration requirements regarding insurance, bonding, and audits, and regulations pertaining to the identification and reporting of child abuse and neglect.

Part 1302¹⁰

The purpose of this part is to set forth policies and procedures for the selection, initial funding, and refunding of Head Start grantees and for the selection of replacement grantees in the event of the voluntary or involuntary termination, or denial of refunding, of Head Start programs. As far as Head Start grantees are concerned, these regulations are for informative purposes and have no applicability to day-to-day operations. They are published here rather than in the departmentwide regulations because, as required in the Act, they were developed specifically for the Head Start program.¹¹

Part 1303¹²

Part 1303 contains the appeals procedures for grantees and delegate agencies in cases of intended or actual termination or suspension of funding. In the event of an adverse action by the Administration on Children, Youth, and Families (ACYF) against a grantee, or by a grantee against a delegate agency, these rules are designed to protect the rights of both parties and have applicability only to such situations.

Part 1304

Part 1304 contains the Head Start Performance Standards. These revised standards, which became effective on January 1, 1998, apply to the operation of all Early Head Start and Head Start services. In addition to the introductory sub-part that contains the purpose, scope, and definitions, they contain three other major subparts and a small subpart on Implementation and Enforcement. See the expanded discussion of the Head Start Performance Standards in the section that follows.

⁹ Ibid., p. 5.

¹⁰ Ibid., p. 15.

¹¹ Adapted from the introduction to the *Manual for Head Start Administrators*.

¹² *Head Start Program Performance Standards and Other Regulations*.

Part 1305¹³

This part prescribes requirements for determining community needs and recruitment areas. It contains requirements and procedures for the eligibility determination, recruitment, selection, enrollment, and attendance of children in Head Start programs and explains the policy concerning the charging of fees by Head Start programs.

Part 1306¹⁴

This part sets forth requirements for Early Head Start and Head Start program staffing and program options that all Early Head Start and Head Start grantee and delegate agencies must meet. These requirements, including those pertaining to staffing patterns, the choice of program options to be implemented, and the acceptable ranges of implementation of these options, have been developed to help maintain and improve the quality of Early Head Start and Head Start and to promote lasting benefits to the children and families being served.

Part 1308¹⁵

This rule sets forth the requirements for providing special services for three- through five-year-old children with disabilities enrolled in Head Start programs. The purpose of this part is to ensure that children with disabilities enrolled in Head Start programs receive all the services to which they are entitled under the Head Start Program Performance Standards at 45 CFR, Part 1304, as amended. (Please note: requirements for providing disability services for infants and toddlers are contained in 1304.20(f)(2)(I).)

Part 1309¹⁶

This part describes the procedures for applying for Head Start grant funds to purchase facilities in which to operate Head Start programs, and conditions under which grant funds may be awarded to purchase facilities. It also specifies measures which must be taken to protect the federal interest in facilities purchased with Head Start grant funds.

¹³ *Head Start Program Performance Standards and Other Regulations*, p. 241.

¹⁴ *Ibid.*, p. 247.

¹⁵ *Ibid.*, p. 255.

¹⁶ *Ibid.*, p. 317.

Part 1310

This part sets forth the regulations governing the safety features and safe operation of vehicles used by Head Start agencies in transporting Head Start children

Part 1311¹⁷

This part establishes regulations applicable to the administration of the Head Start Fellows Program. The program was designed to enhance the ability of Head Start fellows to make significant contributions to Head Start and other child development and family services programs. It includes information on the selection, placement, duration and status of the Head Start Fellows.

FOCUS ON PART 1304: THE HEAD START PROGRAM PERFORMANCE STANDARDS¹⁸

The Head Start Program Performance Standards have played a central role in defining quality services for low-income children and their families for almost 30 years. The Performance Standards were created to advance the primary goal of Head Start to increase social competence of children. Head Start defines *social competence* as promoting each child's everyday effectiveness in dealing with his or her present environment and later responsibilities when beginning school.

The Principles behind the Performance Standards

The founders of the Head Start program recognized from the beginning that to truly foster social competence of low-income children, it would be essential to acknowledge the integrated nature of cognitive, social, emotional, and physical domains of child development with proper health care, nutrition, and mental health. They also understood that children develop in the context of their families; that parents are the child's first teachers; and that families exist in the context of neighborhoods and communities. Another early goal of Head Start was to reduce the risk of childhood disability and since 1972, the program has had a legislative mandate to make at least 10% of its enrollment available to children with disabilities and their families.

¹⁷ Ibid., p. 327.

¹⁸ Adapted from I-99+ Training Handouts, 1999. Washington, DC: U.S. Department of Health and Human Services.

These visionary beliefs provided the solid, lasting foundation for the creation and subsequent revisions of the Head Start Program Performance Standards:

- Comprehensive individualized child development services
- Parent involvement and a family-centered approach
- Community-based partnerships and community-based services
- Strong, effective management systems and procedures

The Head Start Bureau revised the Performance Standards in 1998 with the purpose of updating information and establishing regulations for new initiatives such as Early Head Start. In an effort to promote a more integrated service delivery approach, the Standards were reorganized into three major content-area sections and one smaller section related to the federal monitoring process:

- Subpart B—Early Childhood Development and Health Services
- Subpart C—Family and Community Partnerships
- Subpart D—Program Design and Management.
- Subpart E—Deficiencies and Quality Improvement Plans

The Standards for Disabilities Services are integrated throughout these three areas as well as in part 1308, described above. The revised Standards also incorporate the expectations for parent involvement in each of the major content areas.

Subpart B—Early Childhood Development and Health Services. This subpart defines the expectations for services to children participating in Head Start and Early Head Start. The regulations provide direction to programs in the areas of health, education, safety, nutrition and mental health. Special considerations for pregnant women enrolled in Early Head Start are also described in this subpart.

Subpart C—Family and Community Partnerships. In this subpart, the Head Start Bureau outlines its expectations for a program’s relationships with families and the communities it serves.

Subpart D—Program Design and Management. When the Performance Standards were originally written in the 1970s, the founders did not articulate standards for management. However, as Head Start grew in size and complexity, it became clear how critical management systems were to successful program operations. In this new section of the Standards, the Bureau spells out its requirements around program governance; cohesive management systems; human resource management; and facilities, materials, and equipment.

Subpart E—Deficiencies and Quality Improvement Plans. In this very short subpart, the Bureau describes the requirements for programs that

have been identified as having deficiencies in their services as the result of an onsite program review.

The Relationship between the Performance Standards and the Federal Monitoring Process

Each Head Start grantee is held accountable for ensuring that the Standards are fully implemented in its program. A monitoring team, led by federal Head Start staff, conducts a thorough review of each grantee every three years to determine its compliance with the Performance Standards and other regulations. Currently federal reviewers use an instrument called the Program Review Instrument for Systems Monitoring (PRISM) to guide the review. The PRISM process uses 17 core questions designed to examine programs' implementation of the standards across service areas and management systems. The attached PRISM Framework displays the nine service areas and eight management systems that are examined on every PRISM review.

PRISM FRAMEWORK

EFFECTIVENESS OF MANAGEMENT SYSTEMS	IMPLEMENTATION OF SERVICES								
	Child Development and Health Services				Family and Community Partnerships			Program Design	
	Preven- tion & Early Interven- tion	Individual- ization	Disabil- ities Services	Curric- ulum	Family Partnership Building	Parent Involvement	Community Partnerships	Eligibility, Recruitment, Selection, Enrollment, & Attendance	Facilities, Materials, & Equipment
Program Governance									
Planning									
Communication									
Record-Keeping & Reporting									
Ongoing Monitoring									
Self-Assessment									
Human Resources									
Fiscal Management									

HEAD START POLICIES¹⁹

The Act and the regulations represent the first two levels of rule making. The third level of rule making is referred to as policy. As regulations are developed to define a requirement in the Act, policies are likewise developed to guide the implementation of a regulation.

Generally, the Head Start Bureau develops new policies and existing policies in response to changes in the body of knowledge concerning best practice, or because of consistent misinterpretation of the meaning of a regulatory requirement. Policy issuances have the force of regulations, since compliance with the regulation cannot be achieved without adherence to the policy.

Policies are often issued in the form of an Information Memorandum or a Program Instruction (PI) that is sent to every Head Start program. Wise program leaders maintain a file of all IMs and PIs that they and their staff can refer to as needed. Programs can obtain copies of information memoranda that are still in force by contacting the Head Start Publications Management Center (see Resources after the Step 6 Worksheet for contact information).

¹⁹ Adapted from the introduction to the *Manual for Head Start Administrators*.

STEP 6. WORKSHEET: USING HEAD START REGULATIONS TO GUIDE DECISIONS

Suggested time: 30 min.

Purpose: To provide participants with an opportunity to exercise their knowledge of regulations to address common Head Start situations.

Part I (15 min.) On your own or in a small group, select three of the thirteen vignettes that follow. Using the Step 5 Background Reading, the PRISM table of systems and services, and the table of contents that begins each major section of the Head Start Performance Standards, locate the Head Start regulation that addresses each of the situations described below.

Be prepared to cite the regulation or standard number and advise program staff on the basis of what the standard tells you. Also, consider the following questions:

1. Which of the four Head Start principles is reflected in the vignette?
2. Which Head Start management systems are involved?
3. What are the service areas involved?

1. You are a new Head Start director. Because of rapid expansion, your program has been having difficulty meeting its required nonfederal share. Your Policy Council suggests that you reduce your nonfederal share to 15 percent.

Regulation or Standard #: _____
Your advice: _____

Which principle is reflected?

Which management systems are involved?

What are the service areas involved?

2. You are a Head Start director. Until recently, all of your center-based classrooms were housed in one building. Your health services manager, who is a registered nurse, was the designated staff member responsible for handling and administering medications. You recently opened two satellite sites that are several miles from your center. Because it is not practical for the nurse to administer medication to children in those centers, your nurse suggests that you develop a medication policy for the new centers that requires that parents administer any necessary medication to children. This policy would require that parents administer medication before children arrive at the program or that parents come to the program to administer medication when necessary.

Regulation or Standard #: _____
Your advice: _____

Which principle is reflected?

Which management systems are involved?

What are the service areas involved?

3. You are a child-development services manager. You and your teaching staff always work hard to complete all required education home visits. At a recent state child-development services managers' meeting, you learned that in addition to conducting two home visits and holding two parent-teacher conferences with parents during the year, your teachers must also hold meetings with parents near the end of the program year to discuss transition services. Your teachers are busy enough already; you are not sure how they will find the time for another parent-teacher conference.

Regulation or Standard #: _____
Your advice: _____

Which principle is reflected?

Which management systems are involved?

What are the service areas involved?

4. You are a Policy Council member in your third one-year term. Being on the Policy Council has been a wonderful experience for you. You plan to volunteer to be a community representative on the council next year.

Regulation or Standard #: _____
Your advice: _____

Which principle is reflected?

Which management systems are involved?

What are the service areas involved?

5. You are a family services manager. On April 1, several teachers in the program requested that no new children be added to fill vacancies in their classrooms, because the teachers will not have enough time before the program closes on June 15 to provide a meaningful education experience.

Regulation or Standard #: _____
Your advice: _____

Which principle is reflected?

Which management systems are involved?

What are the service areas involved?

6. You are a Head Start director. Under the guidance of your new disabilities services manager, your program has made extensive efforts to actively recruit children with a disability. Because of these efforts, so many families of children with disabilities have applied that you will far exceed the minimum 10 percent requirement. At a staff meeting, the disabilities services manager tells the other managers that the disabilities performance standards require that the program give preference to all children with disabilities even after the 10 percent quota has been reached.

Regulation or Standard #: _____
Your advice: _____

Which principle is reflected?

Which management systems are involved?

What are the service areas involved?

7. Your agency is in the process of revising its personnel policies. You want to be sure that the revised policies will meet Head Start regulations.

Regulation or Standard #: _____

Your advice: _____

Which principle is reflected?

Which management systems are involved?

What are the service areas involved?

8. You are a federal program specialist. In a recent conversation, the director of a program assigned to you told you that the Policy Council adopted a new program policy that requires that home-based families be dropped from the program if they have three unexcused absences from socialization

Regulation or Standard #: _____

Your advice: _____

Which principle is reflected?

Which management systems are involved?

What are the service areas involved?

9. You are a new family services manager. According to your staff, the program has always included copies of documents that verify a family's financial eligibility in the family file. You suggest that staff replace the photocopy with a statement that they have viewed the required documents. Staff advises you that this is an illegal practice. You are not sure.

Regulation or Standard #: _____

Your advice: _____

Which principle is reflected?

Which management systems are involved?

What are the service areas involved?

10. You are a home-based manager. Your home visitors have had to cancel many home visits this year because of unusually bad weather in your community. In addition to conducting the official home visits, staff frequently accompany parents to appointments with social services agencies or drive them to medical visits. To meet the minimum number of required home visits, home visitors suggest that they count these "extra" services as home visits.

Regulation or Standard #: _____

Your advice: _____

Which principle is reflected?

Which management systems are involved?

What are the service areas involved?

11. You are a federal program specialist. In reviewing records during a federal program review, you notice that the files of several children indicate that IEP meetings were not held to plan services for children with diagnosed disabilities. In conversations with the disabilities services manager, she says that the IEP meetings were never scheduled because parents were not able or willing to attend.

Regulation or Standard #: _____

Your advice: _____

Which principle is reflected?

Which management systems are involved?

What are the service areas involved?

12. You are a Head Start director. Your program has always operated a health services advisory committee. Your assistant director just advised you that the revised performance standards require that your program form services advisory committees for all of the other service areas in the program.

Regulation or Standard #: _____

Your advice: _____

Which principle is reflected?

Which management systems are involved?

What are the service areas involved?

13. You are a parent involvement manager. Mrs. Dominquez, a parent in the program, volunteered to work in the office one day a week to build her computer skills. She asks if she will need to have any special medical tests to work in the program.

Regulation or Standard #: _____

Your advice: _____

Which principle is reflected?

Which management systems are involved?

What are the service areas involved?

Part II (10 min.) Compare your answers with those of others in the group. If you disagree on a regulation, consult the answer key.

Stop!

Do not turn the page until you have completed Part III!

ANSWER KEY

1. 1301.20 (a)
2. 1304.22 (c) (2)
3. 1304.40 (h) (2); 1304.40 (e) (5); 1304.21 (a) (2) (iii)
4. 1304.50 (b) (5)
5. 1305.7 (b)
6. 1308.5 (c) (4)
7. 1301. 31; 1304.52 (a) – (k)
8. 1304.40 (d) (2)
9. 1305.4 (d)
10. 1306.33 (a)(3)
11. 1308.19 (k) and 1308.19 (j) 4
12. 1304.41 (b)
13. 1304.52 (j) (2)

RESOURCES

The following is a list of Head Start and other resources that can provide new learners with additional information. The list is divided into three sections that correspond to the subparts of the Head Start Performance Standards. Head Start resources can be obtained free of charge from

The Head Start Publications Management Center
1025 Vermont Avenue, NW, Suite 1025
Washington, DC 20005
Fax: (703) 683-5769
E-mail: puborder@hskids-tmsc.org

You can also visit the HSPMC Website and order materials for the online catalog: <http://www.hskids-tmsc.org>

EARLY CHILDHOOD DEVELOPMENT AND HEALTH SERVICES

Publications:

Training Guides for the Head Start Learning Community. The Head Start Bureau has published training guides for health, education, and disability services. Please see the Head Start Materials Catalog for a listing of the guides in each area.

Developmentally Appropriate Practice in Early Childhood Programs, Revised Edition. S. Bredekamp and C. Copple. Washington, DC: National Association for the Education of Young Children, 1997.

Caring for Infants and Toddlers, Vols. I and II. D. Trister Dodge, A. Dombro, and D. Koralek. Washington, DC: Teaching Strategies, Inc., 1991.

Caring for Preschool Children, Vols. I and II. D. Trister Dodge, D. Koralek, and P. Pizzolongo. Washington, DC: Teaching Strategies, Inc., 1996.

Caring for Infants and Toddlers in Groups: Developmentally Appropriate Practice. R. Lally, A. Griffen, E. Fenichel, M. Segal, E. Szanton, and B. Weissbourd, Washington, DC: Zero to Three, 1995.

The What, Why, and How of High Quality Early Childhood Education: A Guide for On-Site Supervision. D. Koralek, L. Colker, and D. Trister

Dodge. Washington, DC: National Association for the Education of Young Children, 1995.

Setting Up for Infant/Toddler Care: Guidelines for Centers and Family Child Care Homes. San Fernando Valley Child Care Consortium. Washington, DC: National Association for the Education of Young Children, 1996.

Giving Children the Earliest Head Start. Washington, DC: Early Head Start National Resource Center @ Zero to Three, 2000.

Lessons from the Field: Head Start Mental Health Strategies to Meet Changing Needs. J. Knitzer and H. Yoshikawa. New York, New York: Columbia of Public Health, National Center for Children in Poverty, 1997.

A Guide for Education Leaders. Washington, DC: U.S. Department of Health and Human Services, 2000.

EPSDT: A Guide for Head Start Programs. Washington, DC: U.S. Department of Health and Human Services.

Head Start Program Performance Standards on Services for Children with Disabilities (45-CFR, Part 1308). Washington, DC: U.S. Department of Health and Human Services.

Video Training Programs:

The following videos are available from the Head Start Bureau for a nominal charge. Separate training materials are available for use with each of them.

Curriculum in Head Start
Individualizing in Head Start
Head Start at Home
A Partnership with Parents
Mental Health in Head Start

FAMILY AND COMMUNITY PARTNERSHIPS

Publications:

Training Guides for the Head Start Learning Community: The Head Start Bureau has published training guides for social services, parent involvement, and transition services. Please see the Head Start Materials Catalog for a listing of the guides in each area.

A Head Start Handbook of Parent Involvement: Vision and Strategies.
Washington, DC: U.S. Department of Health and Human Services.

Eligibility, Recruitment, Selection, Enrollment, and Attendance in Head Start (45-CFR, Part 1305). Washington, DC: U.S. Department of Health and Human Services.

Together We Can: A Guide for Crafting a Profamily System of Education and Human Services. Washington, D.C.: U.S. Department of Health and Human Services and U.S. Department of Education, 1993.

Know Your Community: A Step-by-Step Guide to Community Needs and Resources Assessment. B. Samuels, N. Ahsan, and J. Garcia.
Chicago, IL: Family Resource Coalition, 1998.

Video Training Programs:

The following videos are available from the Head Start Bureau for a nominal charge. Separate training materials are available for use with each of them.

A Design for Family Support
Our Stories Keep Us Connected
Head Start at Home
A Partnership with Parents

PROGRAM DESIGN AND MANAGEMENT

Publications:

Training Guides for the Head Start Learning Community: The Head Start Bureau has published training guides for management and parent involvement services. Please see the Head Start Materials Catalog for a listing of the guides in each area.

Creating a 21st Century Head Start: Final Report of the Advisory Committee on Head Start Quality and Expansion. Washington, DC: U.S. Department of Health and Human Services.

Developing a Head Start Training Plan. Washington, DC: U.S. Department of Health and Human Services.

A Manager's Guide to Evaluation. Washington, DC: U.S. Department of Health and Human Services, 1997.

Statement of the Advisory Committee on Services for Infants and Toddlers. Washington, DC: U.S. Department of Health and Human Services.

Head Start Facilities Manual. Washington, DC: U.S. Department of Health and Human Services.

Head Start Staffing Requirements and Program Options (45-CFR, Part 1306). Washington, DC: U.S. Department of Health and Human Services.

Project Head Start: A Legacy of the War on Poverty, Second Edition. E. Zigler. Alexandria, VA: National Head Start Association, 1997.

Video Training Programs:

The Linking Our Voices Video Training Program is available from the Head Start Bureau. This is a valuable tool for helping staff, boards, and parents understand the role of the Policy Council in Head Start.

STEP 7. SUMMARY

Suggested time: 15 min.

Personal Review

KEY POINTS

- Ways in which Head Start core values are reflected in program services
- How the Head Start program is administered and funded
- How the Head Start Act shapes program operation
- How to find answers to program-related questions in sections of the Head Start regulations

What did you learn from this activity?

1. _____

2. _____

3. _____

How will you use your new knowledge and skills in your work?

1. _____

2. _____

3. _____

What else do you think you might need to learn in order to master this information?

1. _____

2. _____

3. _____

