



THE NATIONAL CENTER ON  
**Program Management  
and Fiscal Operations**

# Head Start A to Z *Program Governance*



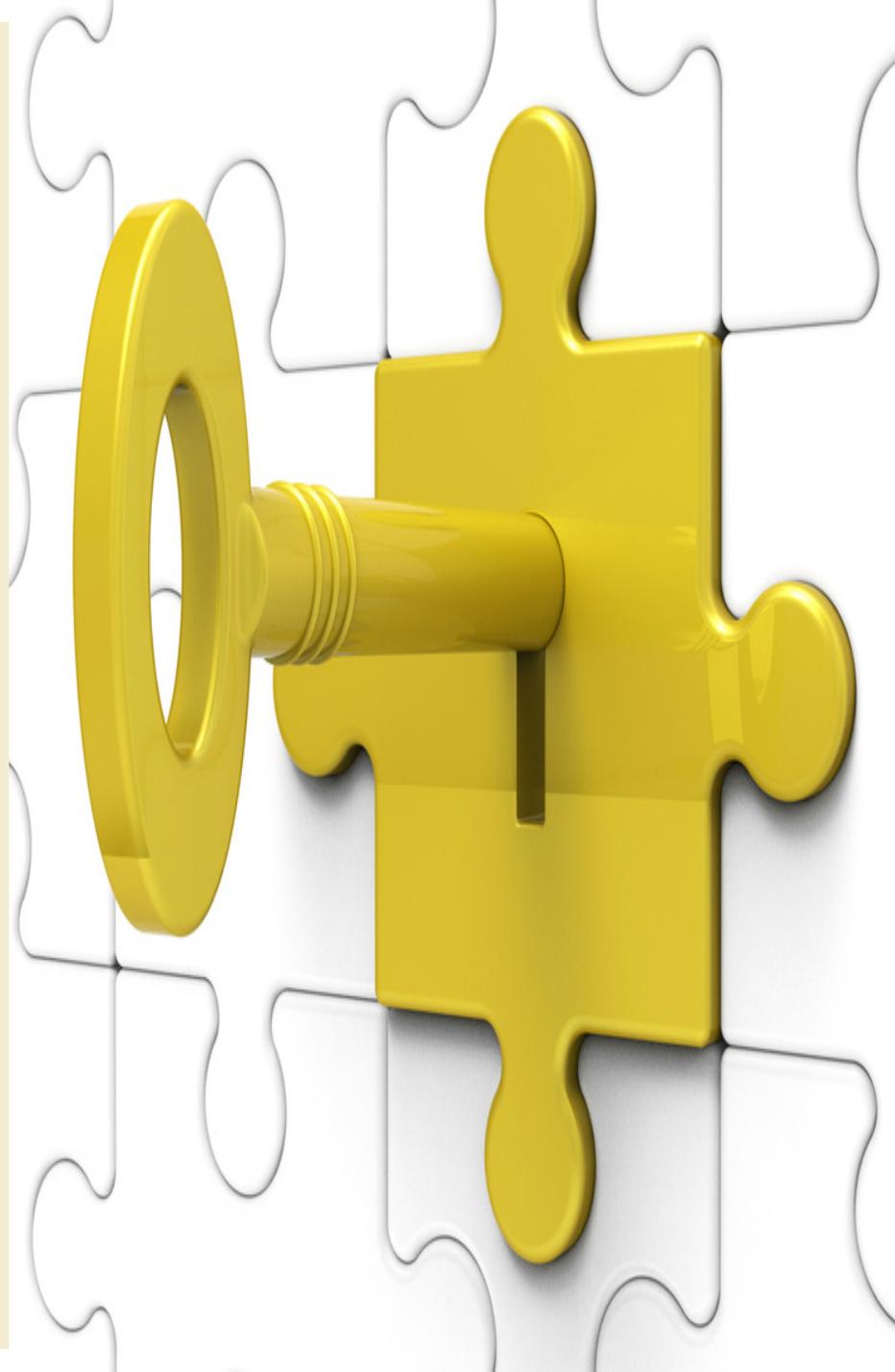
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Revised February 2015



## Key Message

Relationship building is at the heart of effective leadership.





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# *Nifty Notes*



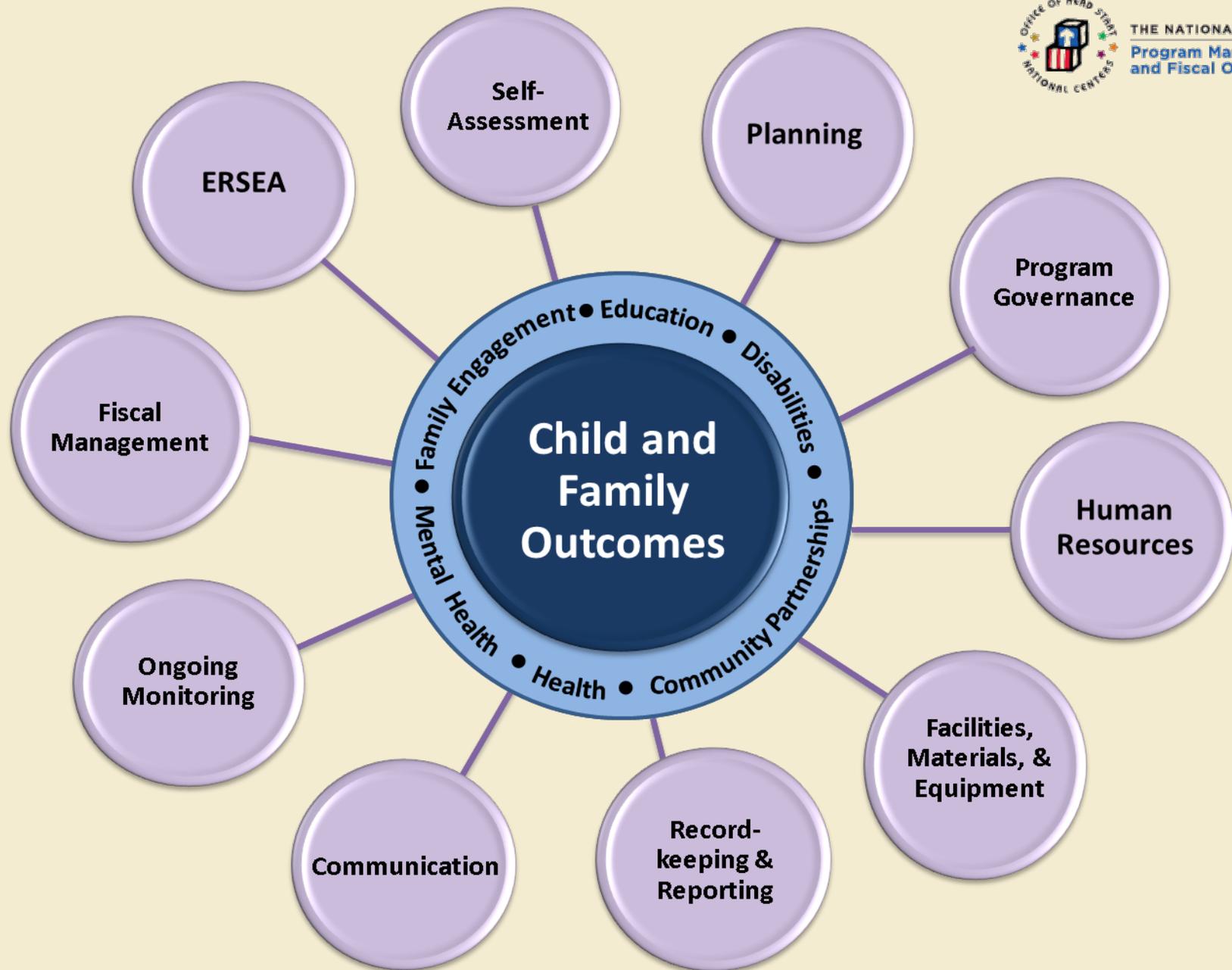
# Session Outcomes

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



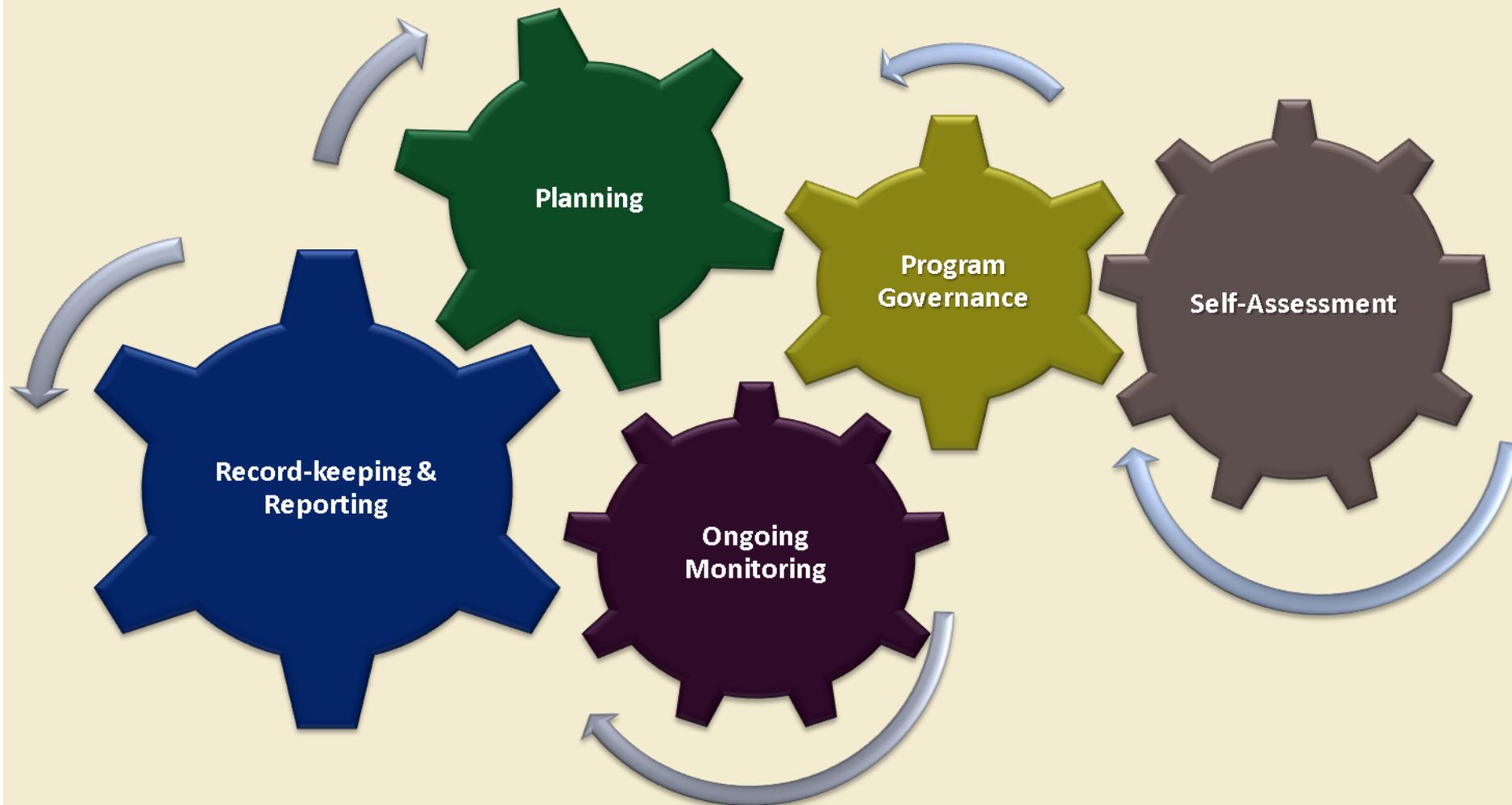
# Head Start: A Historical Perspective







# Systems Are Linked



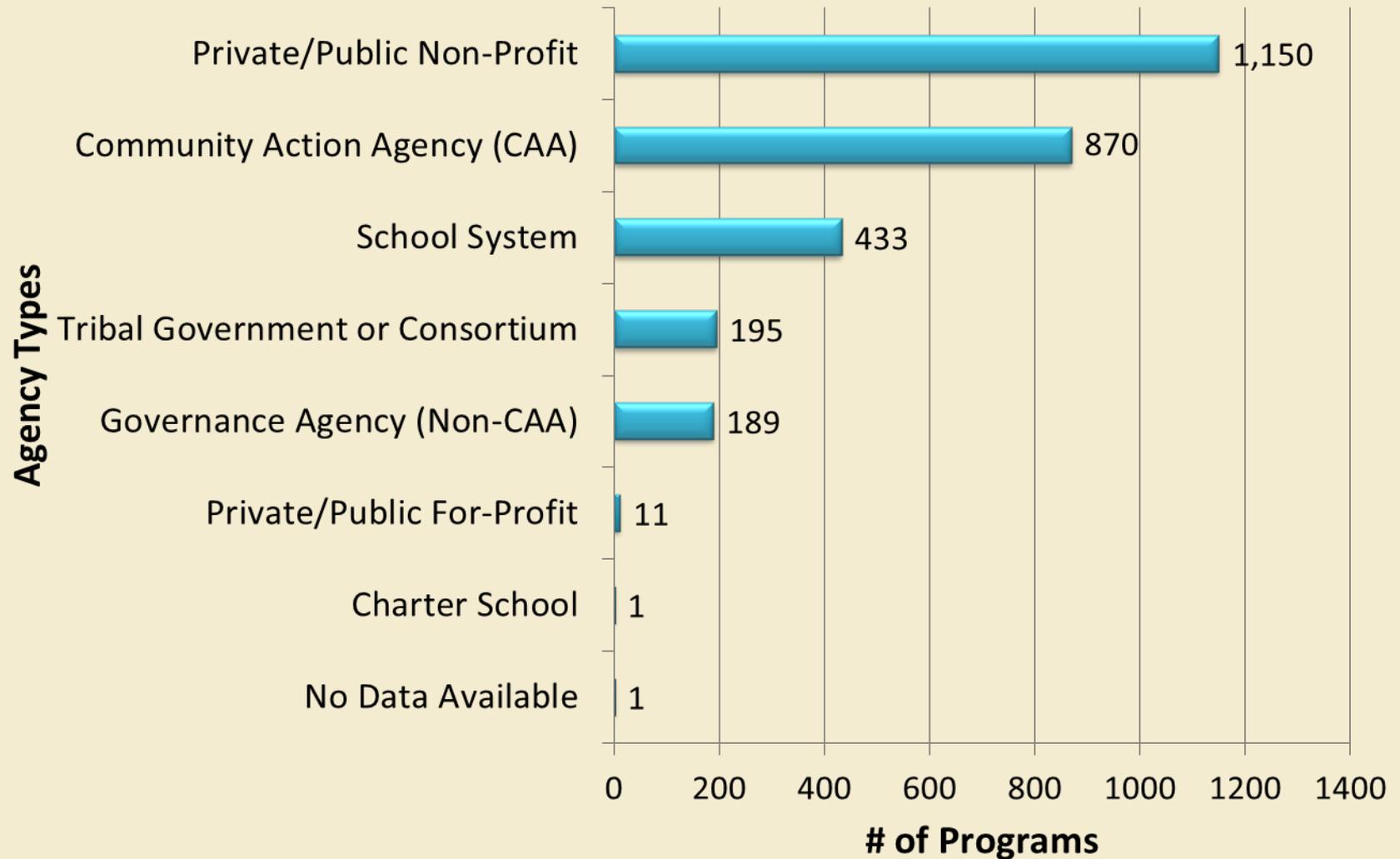


# Systems Are Linked





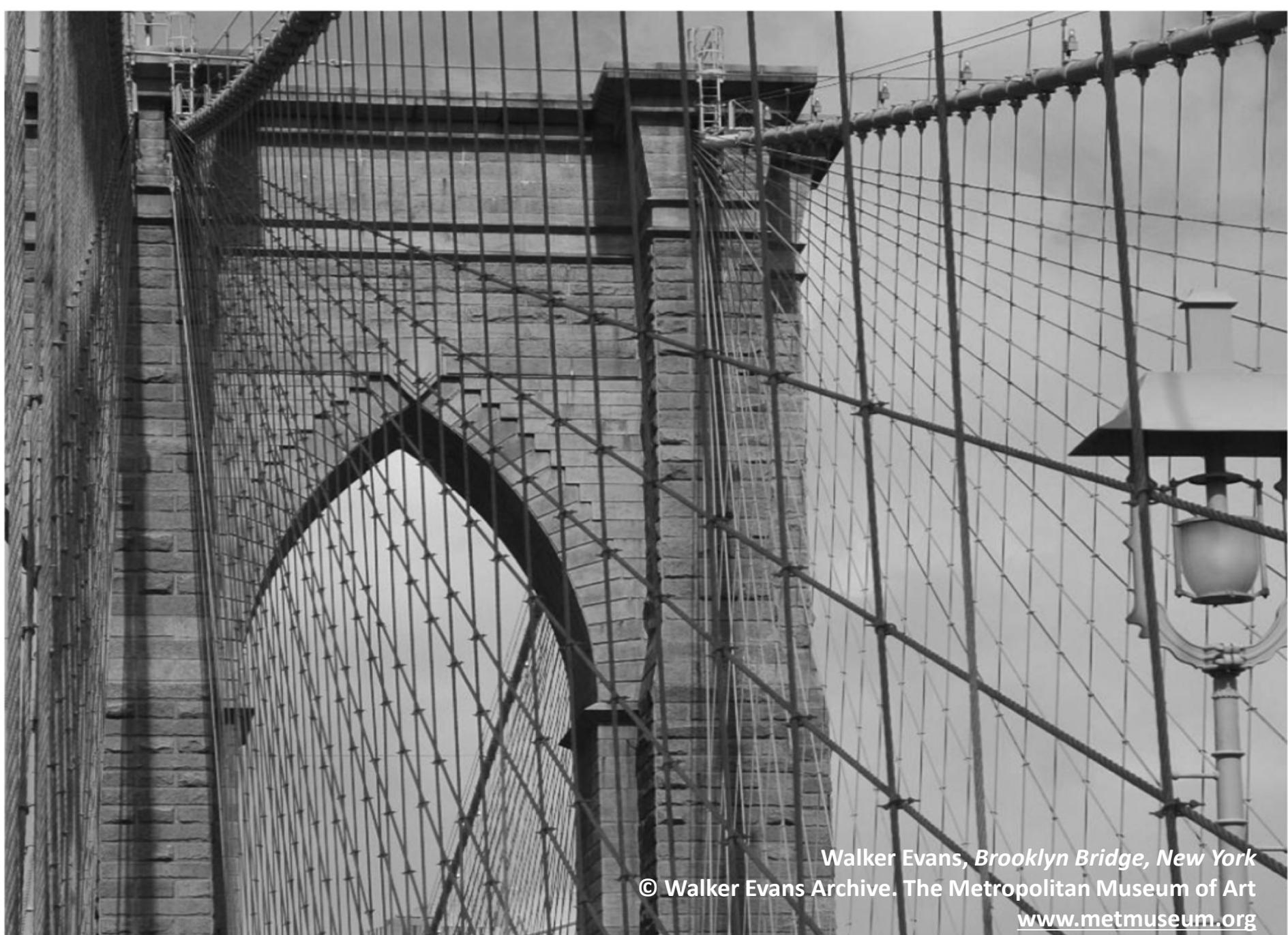
# Head Start Program Auspices



2,850 Programs in total from Head Start PIR Summary Report 2014



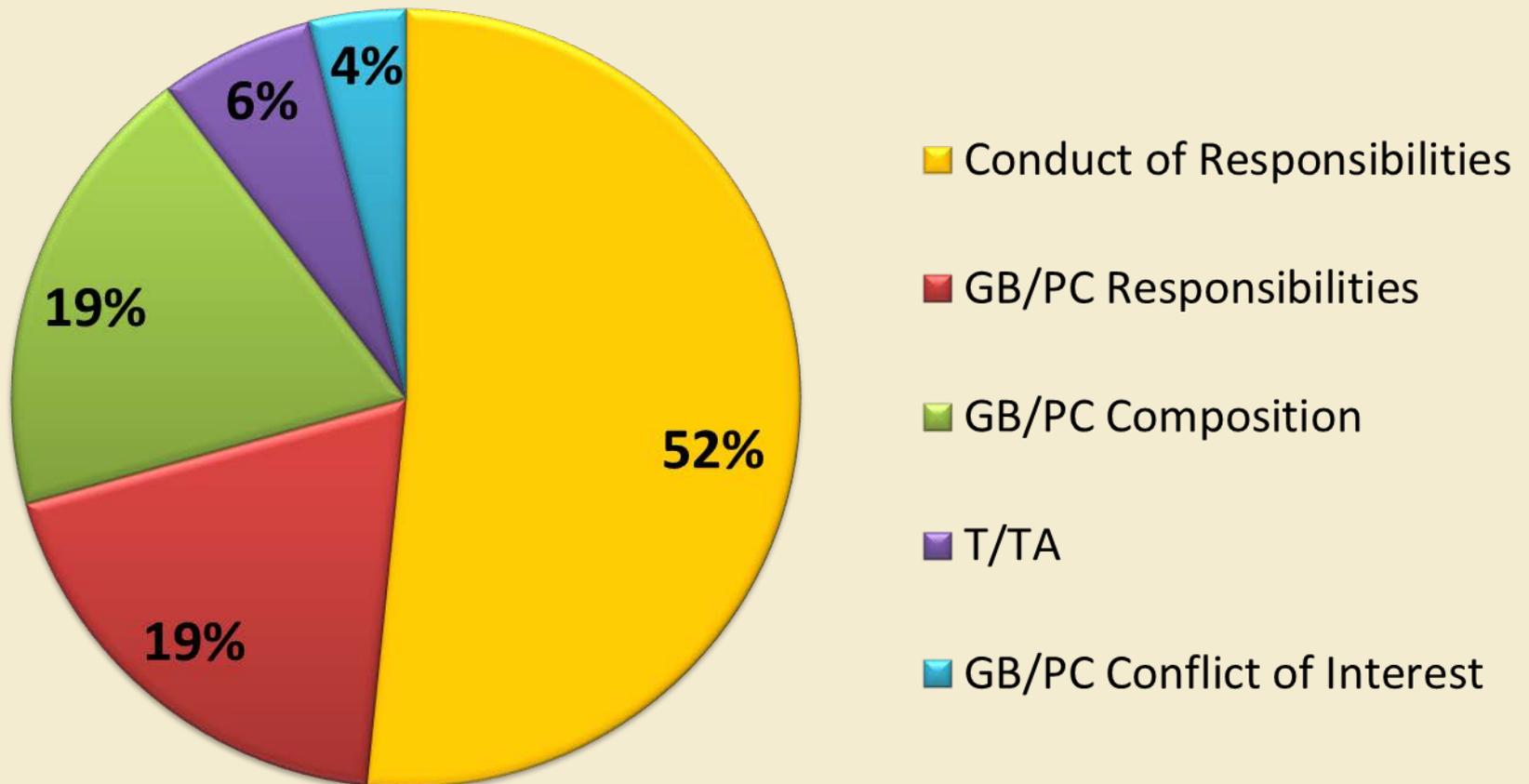
Joseph Stella, *Brooklyn Bridge*  
Yale University Art Gallery, <http://artgallery.yale.edu>



Walker Evans, *Brooklyn Bridge, New York*  
© Walker Evans Archive. The Metropolitan Museum of Art  
[www.metmuseum.org](http://www.metmuseum.org)

# Program Governance Monitoring Citations

2013-2014



n= 126

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

## Is Your Program Experiencing Challenges in these Areas?

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



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# Current Realities

# Head Start/Early Head Start Program Governance

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

# Head Start Governance and Management Composition



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## Governing Body/Tribal Council

*The governing body shall be composed as follows:*

- Not less than 1 member shall have a background and expertise in fiscal management or accounting.
  - Not less than 1 member shall have a background and expertise in early childhood education and development.
  - Not less than 1 member shall be a licensed attorney familiar with issues that come before the governing body.
- Additional members shall—
- reflect the community to be served and include parents of children who are currently, or were formerly, enrolled in Head Start programs;
  - are selected for their expertise in education, business administration, or community affairs.

## Policy Council

The policy council shall be elected by the parents of children who are currently enrolled in the Head Start program of the Head Start agency.

*The policy council shall be composed of—*

- parents of children who are currently enrolled in the Head Start program of the Head Start agency (including any delegate agency), who shall constitute a majority of the members of the policy council; and
- members at large of the community served by the Head Start agency (including any delegate agency), who may include parents of children who were formerly enrolled in the Head Start program of the agency.
- In addition, parents of children currently enrolled in all program options must be proportionately represented on established policy groups.

## Management Staff

*May include:*

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

# Mission Possible Instructions

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

# Head Start Governance and Management Responsibilities



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## Governing Body/Tribal Council

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

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

- Governing body bylaws
- Procedures for accessing and collecting information
- Written standards of conduct, including conflicts of interest and complaints
- Procedures for selecting Policy Council members
- Advisory committees

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

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

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

**Take Action:**

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

**Provide Legal Oversight:**

- Ensure compliance with federal laws and state, tribal, and local laws

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

# Head Start Governance and Management Responsibilities



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

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

- Governing body bylaws
- Procedures for accessing and collecting information
- Written standards of conduct, including conflicts of interest and complaints
- Procedures for selecting Policy Council members
- Advisory committees

### Select:

- Delegate agencies and the service areas for such agencies

### Establish:

- Procedures and criteria for recruitment, selection, and enrollment

### Review:

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

### Review and Approve:

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

### Receive and Use:

- Annual, monthly, and periodic reports\*

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

- HHS secretary communication
- Financial statements
- Program information summaries
- Enrollment
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- Financial audit
- Self-Assessment
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## Policy Council Assumes Responsibility for Head Start Program Direction

### Take Action:

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

### Approve and submit to the governing body decisions regarding:

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

### Receive and Use:

- Annual, monthly, and periodic reports\*

### Provide Legal Oversight:

- Ensure compliance with federal laws and state, tribal, and local laws

### Provide Leadership and Strategic Direction:

- Focus on Self-Assessment
- Develop, plan, and evaluate the Head Start program

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

### Take action:

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

# Mission Possible Debrief

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

# Governing Body Reminders

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

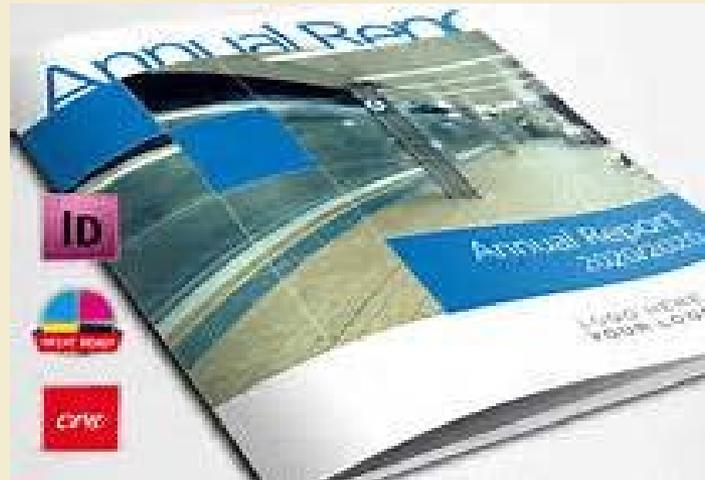
- *Legal* responsibility for ensuring that grant activities respond to regulations, terms and conditions of the grant
- *Fiscal* responsibility for ensuring that funds are used prudently and according to regulations
- Responsibility to be engaged and knowledgeable about the program's five-year goals,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

# Policy Council Reminders

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

# Communicating Head Start Impacts

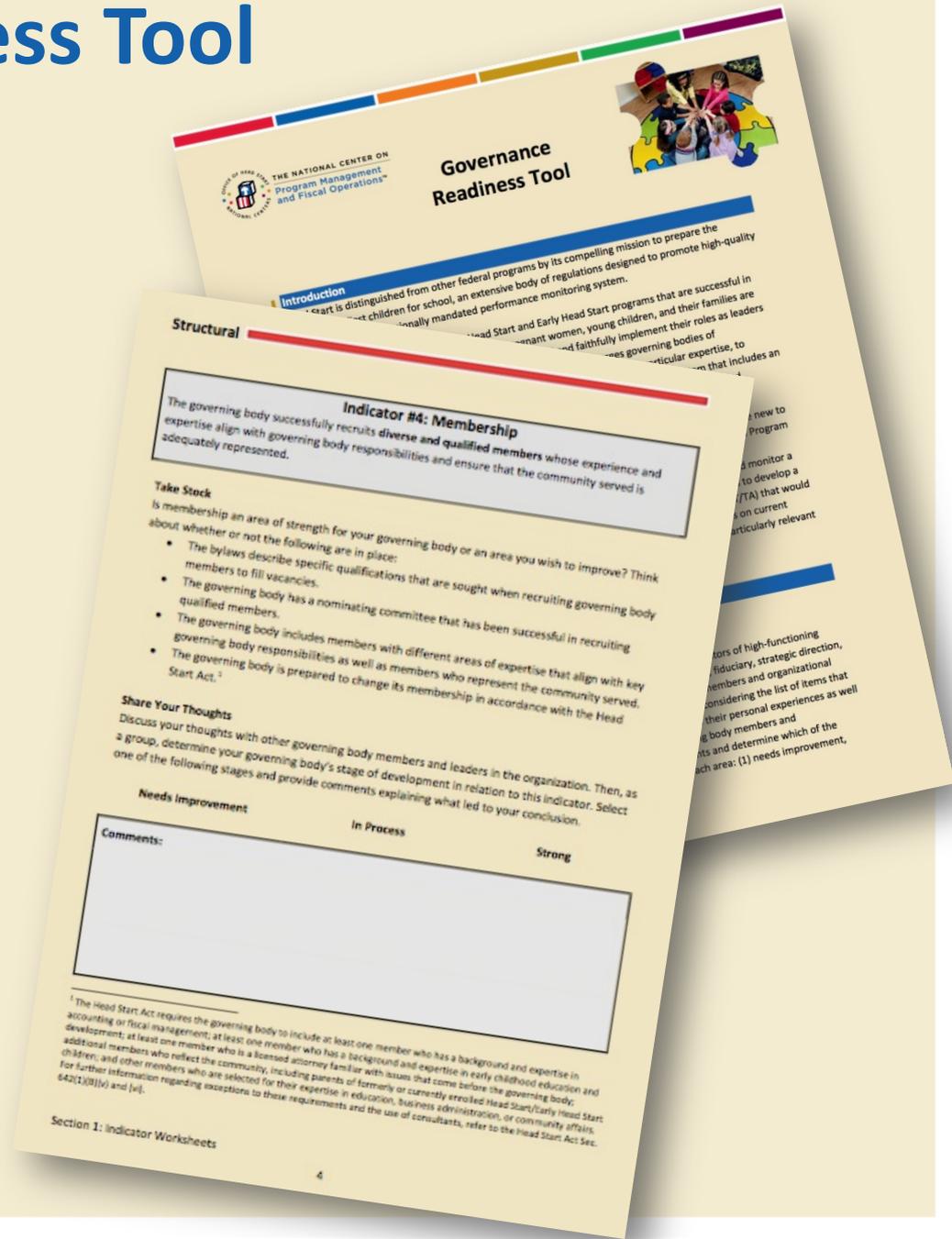
- Sec 644(a)(2)(a-h)—Each Head Start agency shall make available to the public **a report** disclosing specific program and financial information



<b>Governance Readiness Tool</b>	<b>Governance Leadership, Oversight Capacity Screener (OHS Product)</b>	<b>Governance Training Module (under development)</b>	<b>Head Start Governing Body and Tribal Council Certification</b>
<ul style="list-style-type: none"> <li>• Online fillable PDF on ECLKC</li> <li>• Describes 15 indicators of high-functioning governing bodies</li> <li>• HS/EHS governing bodies and executive directors complete together</li> <li>• Helps organizations' governing bodies and leaders assess their capacity to effectively oversee a Head Start/Early Head Start program.</li> <li>• Information used to focus future TTA efforts</li> </ul>	<ul style="list-style-type: none"> <li>• Online fillable PDF on ECLKC</li> <li>• To be completed by all newly funded HS/EHS grantees, within 60 days of receiving notification of five-year award</li> <li>• For veteran programs, reflects the Head Start requirements for program governance to help organizations identify where they need to make changes for quality improvement.</li> <li>• For newly-funded programs, identifies where programs need to focus their start-up efforts to put a HS program governance system in place</li> </ul>	<ul style="list-style-type: none"> <li>• User determines their progress on their HS leadership journey; this assessment points them to specific skill-building activities</li> <li>• Five e-learning training activities for both Policy Council and governing body members: <ol style="list-style-type: none"> <li>1. Fulfill Your Role</li> <li>2. Ask the Right Questions</li> <li>3. Make Meaningful Decisions</li> <li>4. Envision a Better Future</li> <li>5. Be an Ambassador</li> </ol> </li> <li>• Each activity outlines key concepts on particular governance-related topics important to governing bodies and Policy Council members</li> </ul>	<ul style="list-style-type: none"> <li>• Five self-paced sections that total about 100 minutes</li> <li>• Supports new governing body and Tribal Council members, as well as Head Start directors and executive directors in: <ul style="list-style-type: none"> <li>• Learning about the history and mission of Head Start</li> <li>• Understanding Head Start governance regulations, systems and procedures</li> <li>• Embracing their legal and fiscal responsibilities</li> </ul> </li> </ul>

# Governance Readiness Tool

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



# Governance, Leadership and Oversight Capacity Screeners

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

U.S. Department of Health & Human Services Administration for Children & Families  
**OFFICE OF HEAD START**

## Governance, Leadership, and Oversight Capacity Screener

**Introduction**  
 Organizations that accept federal funds to operate a Head Start and/or Early Head Start program must have strong governance systems in place to safeguard federal dollars and provide oversight and direction to the Head Start program. This screener organizes the Head Start requirements to help organizations to identify where they need to make changes and build capacity to fulfill their Head Start governance responsibilities.

**Suggestions for Use**

1. Print a copy of this screener.
2. Have your organization's governing body or Tribal Council work together to review the table below.
  - Required Head Start Governance Practices

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

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Supports new governing body and Tribal Council members, as well as Head Start directors and executive directors in:

- Learning about the history and mission of Head Start
- Understanding Head Start governance regulations, systems and procedures
- Embracing their legal and fiscal responsibilities

# Head Start Governing Body and Tribal Council Certification



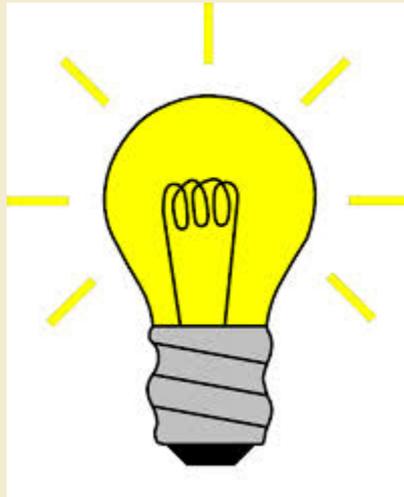
# Final Thoughts

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



# Final Questions

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





# Thank You!!

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