

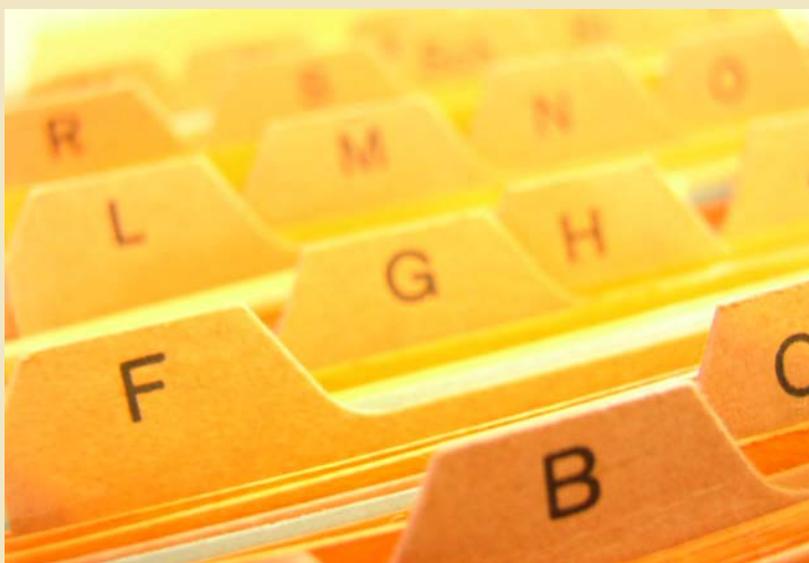
Is R&R Your Thing?





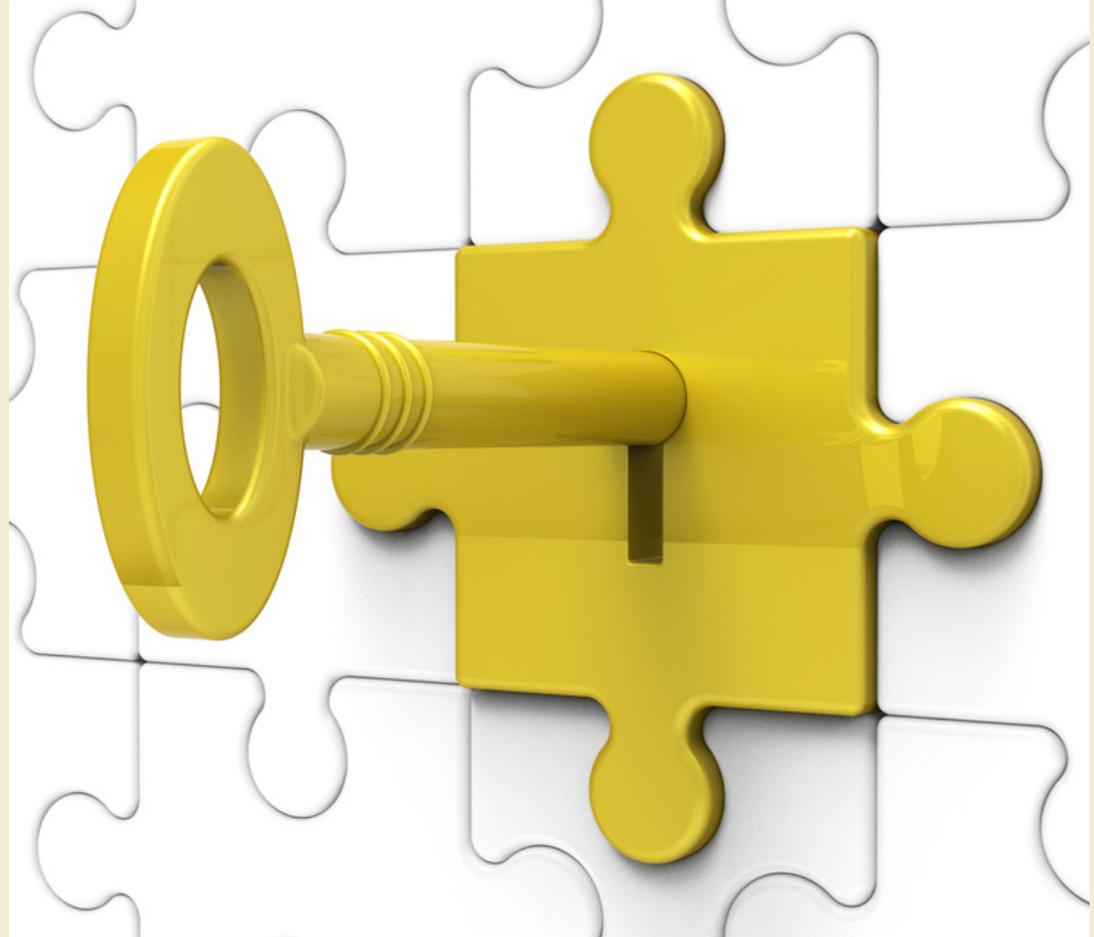
THE NATIONAL CENTER ON
Program Management
and Fiscal Operations

Head Start A to Z Recordkeeping & Reporting



Key Messages

In order to be useful, data must be presented to decision-makers in such a way that they can relate to the data and act upon the information.

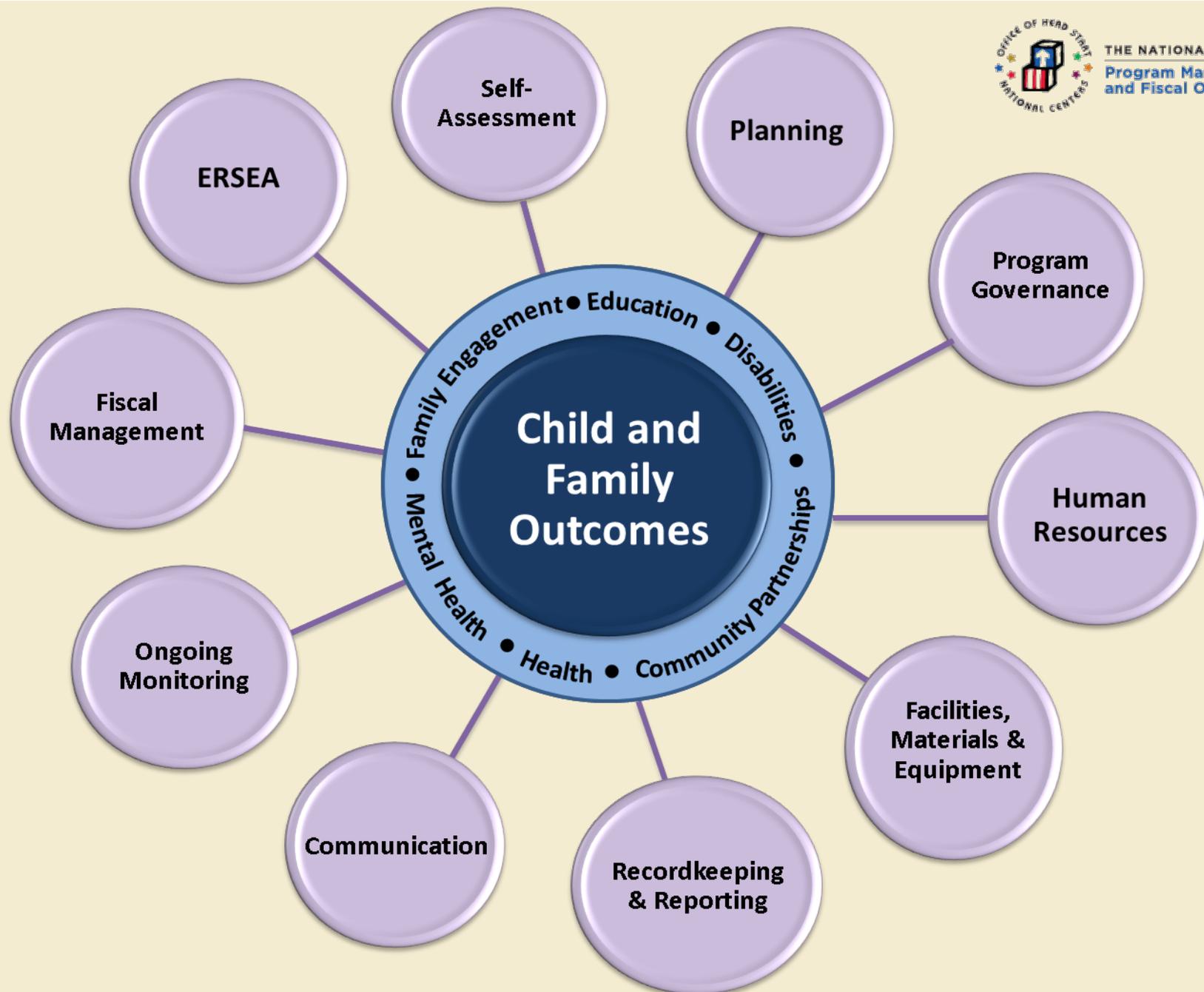


Session Outcomes



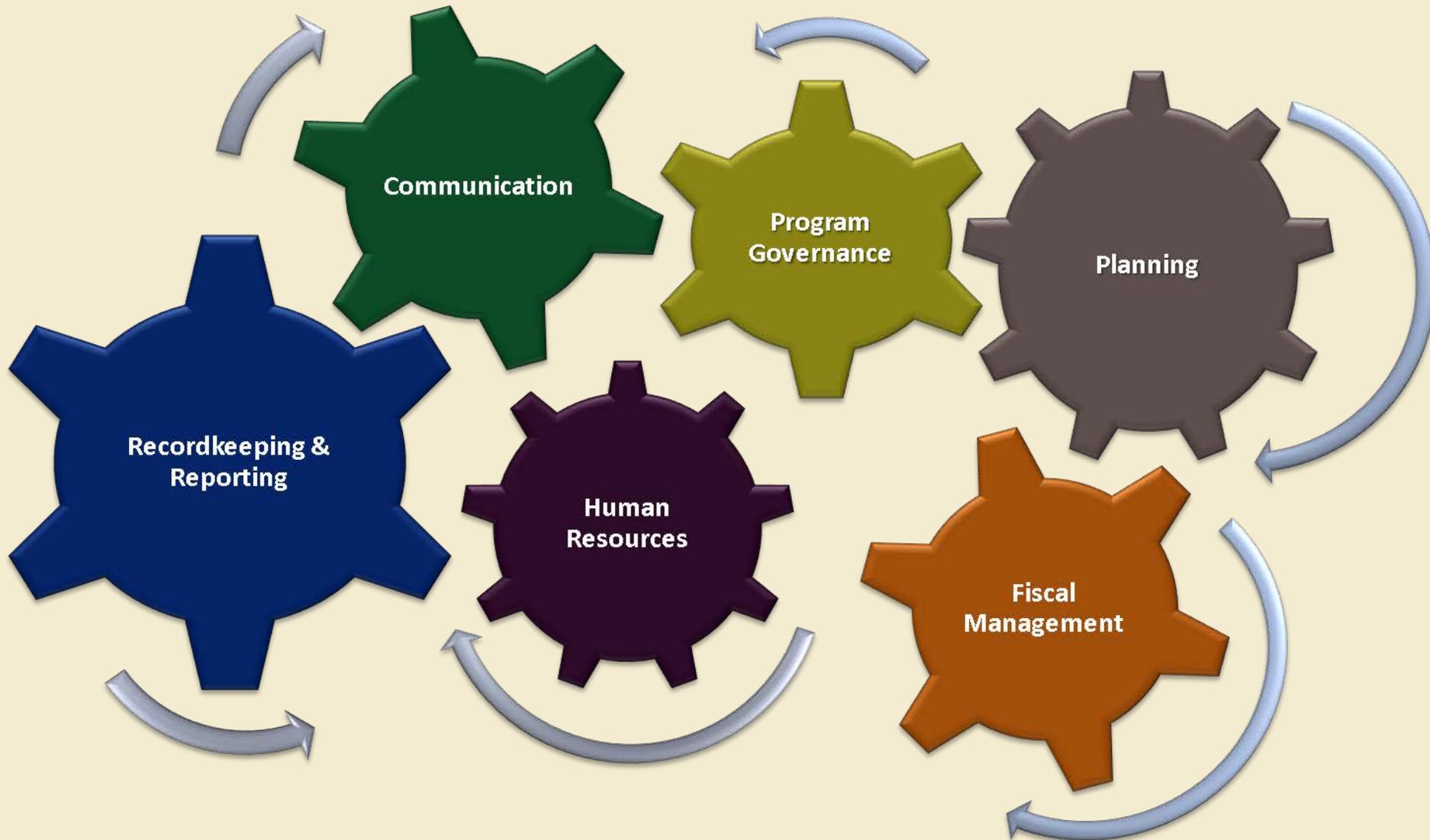
- **Participants will:**

- Discuss the requirements for recordkeeping and reporting in Head Start and other pertinent federal, state and local requirements
- Examine the relationship between recordkeeping and reporting
- Explore the importance of effective recordkeeping and reporting systems
- Understand their role in overseeing and using these two systems





Systems Are Linked



Systems Are Linked



Family Records



Rudy, A. (Producer). (2011, Sept 27). new_shoebox [Web Photo]. Retrieved from <http://blog.1000memories.com/95-1000memories-introducing-shoebox-memories-family-tree-memory-pages>



Chewy734. (2012). *Box 296* [Photograph]. Retrieved from <http://www.flickr.com/photos/13589981@N02/83561/>



ASE_file_cabinet [Photograph] Retrieved from URL (http://upload.wikimedia.org/wikipedia/commons/thumb/c/c5/ASE_file_cabinet.JPG/200px-ASE_file_cabinet.JPG)

What Is a Report?



- **(Noun)** – A document containing information organized in a narrative, graphic, or tabular form, prepared on ad hoc, periodic, recurring, regular, or “as required” basis. Reports may refer to specific periods, events, occurrences, or subjects, and may be communicated or presented in oral or written form.
- **(Verb)** – To provide information.

Report. (n.d.). In *BusinessDictionary.com*, Retrieved October 14, 2014 from <http://www.businessdictionary.com/definition/report.html#ixzz3D0xepD4y>



What Is a Periodic Report?

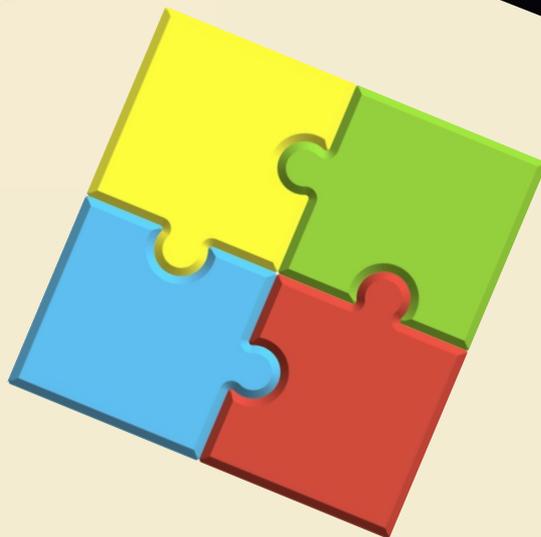
- **(Noun)** – Summary of events that presents essentially the same type of information updated at regular intervals, such as every day, week, month, etc. Also called “recurring report.”

Periodic Report. (n.d.). In *BusinessDictionary.com*, Retrieved October 14, 2014 from <http://www.businessdictionary.com/definition/periodic-report.html#ixzz3D0wdy0Iy>

Why is R&R Important?

- The data systems
- Documentation of work completed
- Heart of ongoing monitoring and Self-Assessment
- Knowledge transmission
- Institutional memory
- Internal and external controls
- Legal issues
- The leadership connection

Recordkeeping and Reporting



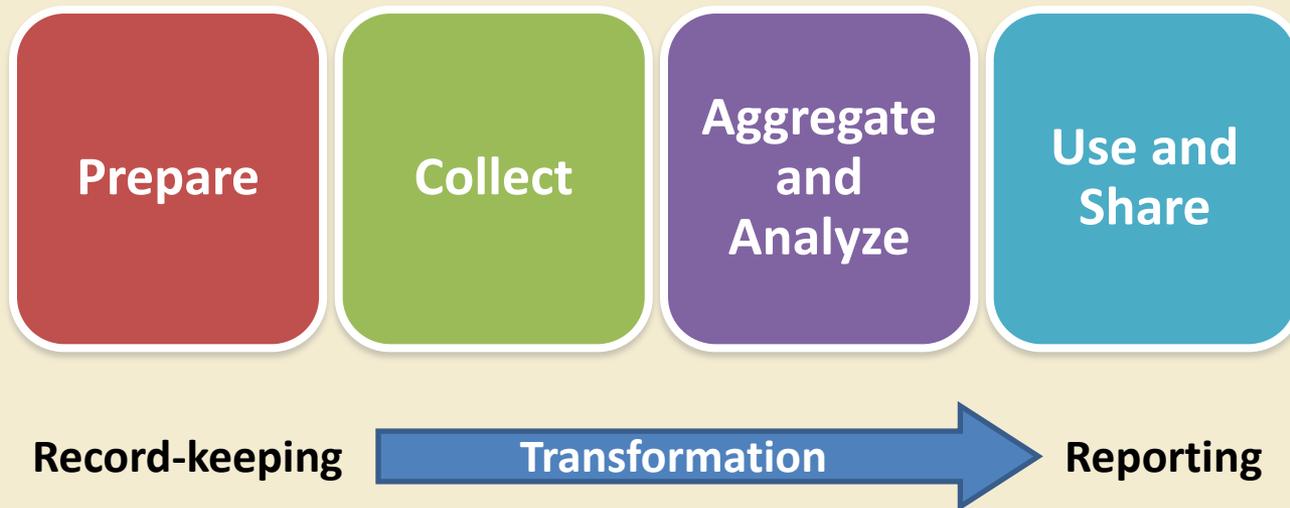
Relationship Between Recordkeeping and Reporting

- Records are the basis of reports.
- Good recordkeeping supports effective reporting of program progress.
- **Bottom line:** an effective R&R system reflects effective data management





The Four Data Activities



Regulations and Requirements

- Head Start Act and Head Start Program Performance Standards
 - Monthly enrollment reporting
 - Fiscal records
 - Program governance documents and reports
- Additional federal requirements
 - Records access and retention
- State/Local requirements e.g., (child care licensing, health and safety records)





ERSEA

(Hot off the press)



- New required records:
 - Eligibility determination records
 - Staff training records for ERSEA and management staff who oversee ERSEA.

- Eligibility determination records must include:
 - Copies of documents used for verification
 - Statements that program staff have made reasonable efforts to verify (by...)

Generally Accepted Recordkeeping Principles



- Accountability
- Integrity
- Protection
- Compliance
- Availability
- Retention
- Disposition
- Transparency

Citation:

ARMA International (www.arma.org) is a not-for-profit professional association and the authority on information governance. Formed in 1955, ARMA International is the oldest and largest association for the information management profession, with a current international membership of more than 10,000. It provides education, publications, and information on the efficient maintenance, retrieval, and preservation of vital information created in public and private organizations in all sectors of the economy. It also publishes *Information Management* magazine and the Generally Accepted Recordkeeping Principles. More information about the Principles can be found at www.arma.org/principles.

Confidentiality

- Everyone is responsible for confidentiality in recordkeeping and reporting.
- Make sure confidentiality is included in your policies and procedures and in your code of conduct.
- Consider who has access to records and reports.
- Work to avoid carelessness, whether when handling paper reports or working in electronic files.

Tips for Clear Documentation



- Be objective.
- Be thorough. Include important details.
- Write as if anyone might read it.
- Write so someone else could use it.
- **Bottom line:** Good documentation enables everyone to know what your program has accomplished.

Retention and Disposal of Records



<http://pixabay.com/en/certificate-certification-credential-31872/>

ASE_file_cabinet [Photograph] Retrieved from URL
(http://upload.wikimedia.org/wikipedia/commons/thumb/c/c5/ASE_file_cabinet.JPG/200px-ASE_file_cabinet.JPG)

Your Record Collection

- Child records
- Family records
- Health/nutrition records
- Human resources
- ERSEA
- Fiscal records
- Facilities and equipment (including transportation)

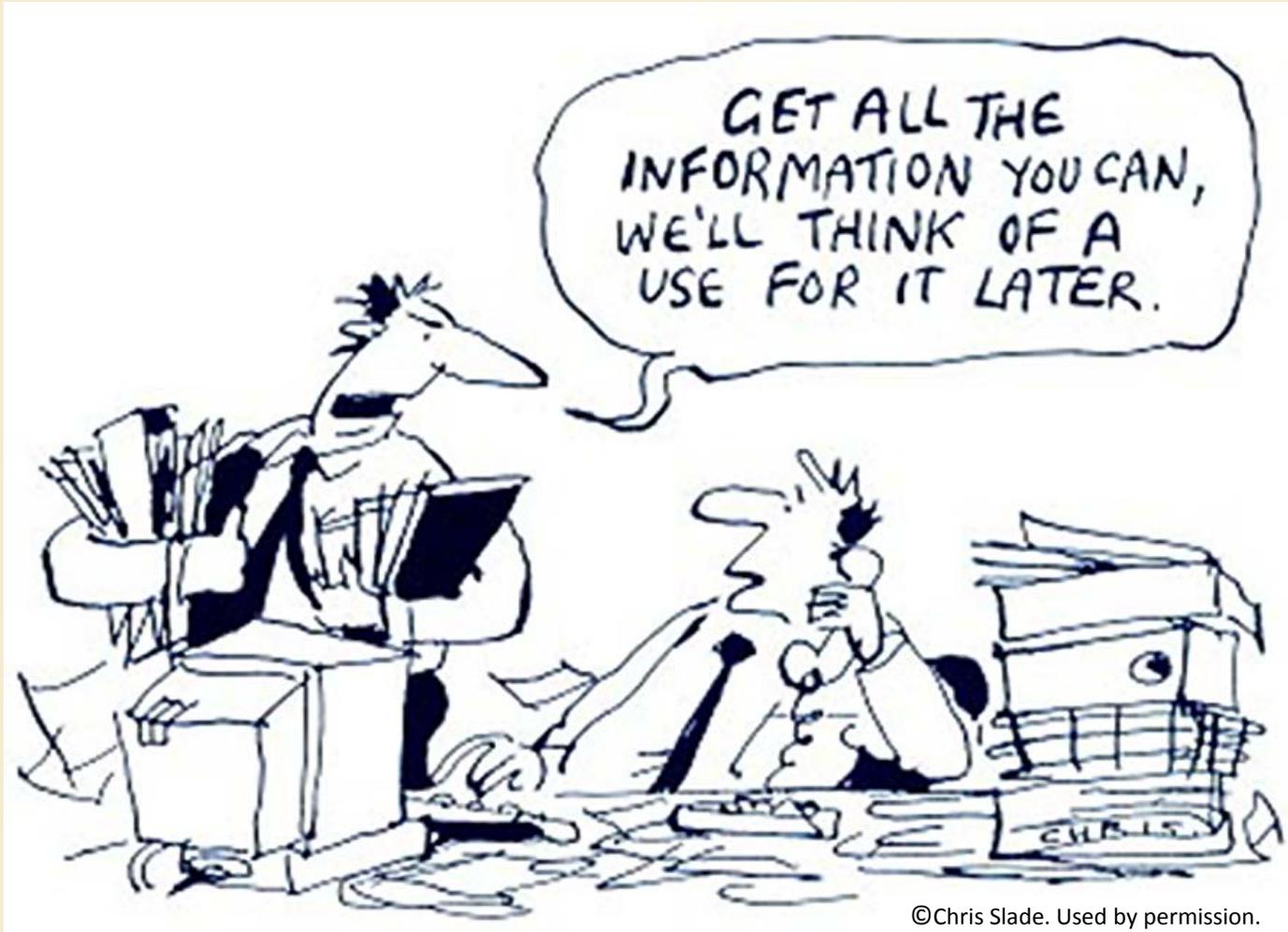


Types of Records



- Take a marker.
- There are 7 charts on the wall.
- Walk around to the charts.
- Write examples of records that you collect related to the types of records on the chart.
- (Read what's on the chart already before your write. Write something different.)

Sound Familiar?

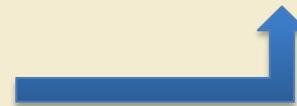


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Reviewing Your Record Collection

Record	Who enters the data in this record?	Who reviews it? How frequently?	Who uses it?	How is it used?	How do you share it? (What's your audience and format)

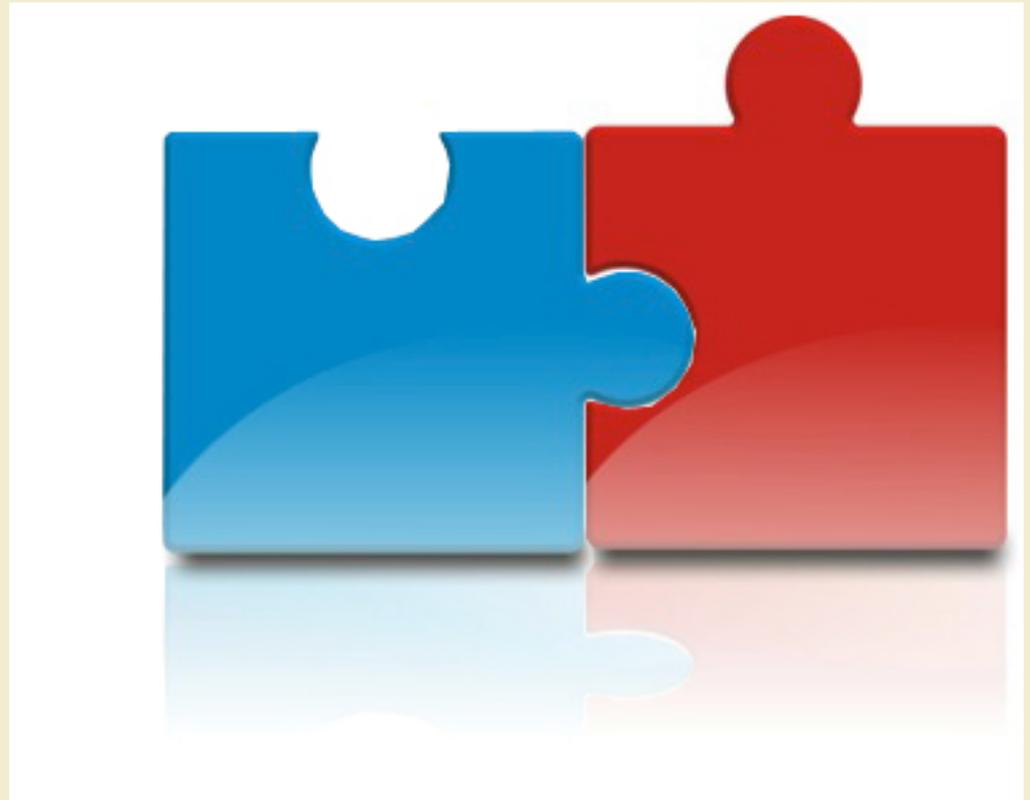
Making the Most of Technology



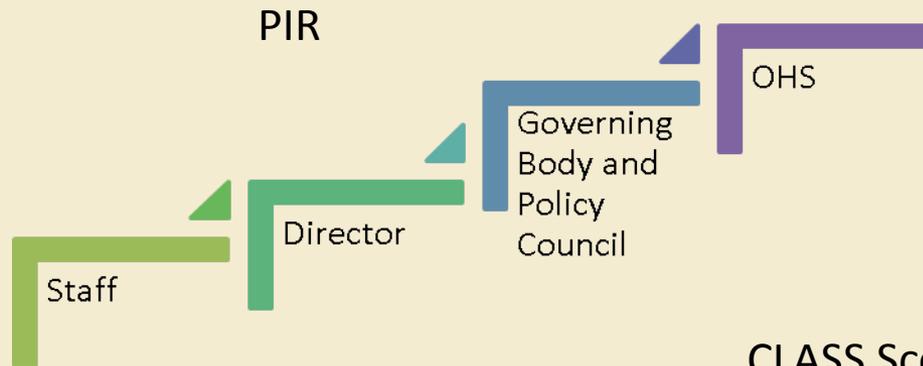
ASE_file_cabinet [Photograph] Retrieved from URL
(http://upload.wikimedia.org/wikipedia/commons/thumb/c/c5/ASE_file_cabinet.JPG/200px-ASE_file_cabinet.JPG)

Reporting—The Other Half of a Dynamic Duo

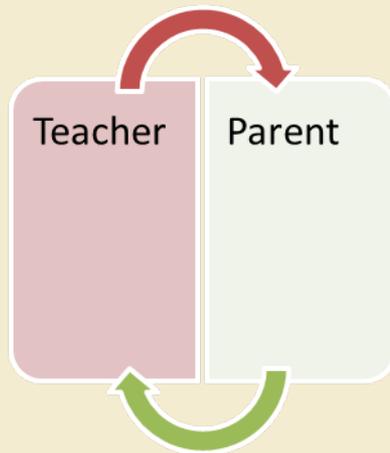
Recordkeeping
and
Reporting



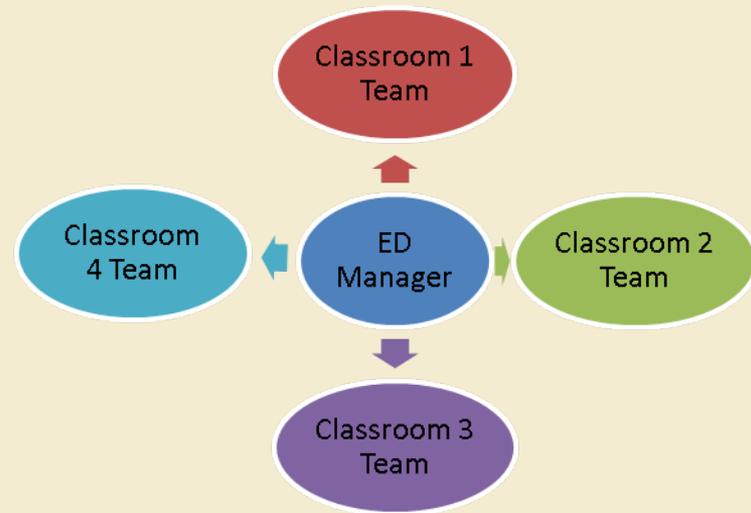
Flow of Reports



Parent Teacher Conference



CLASS Scores for Each Classroom

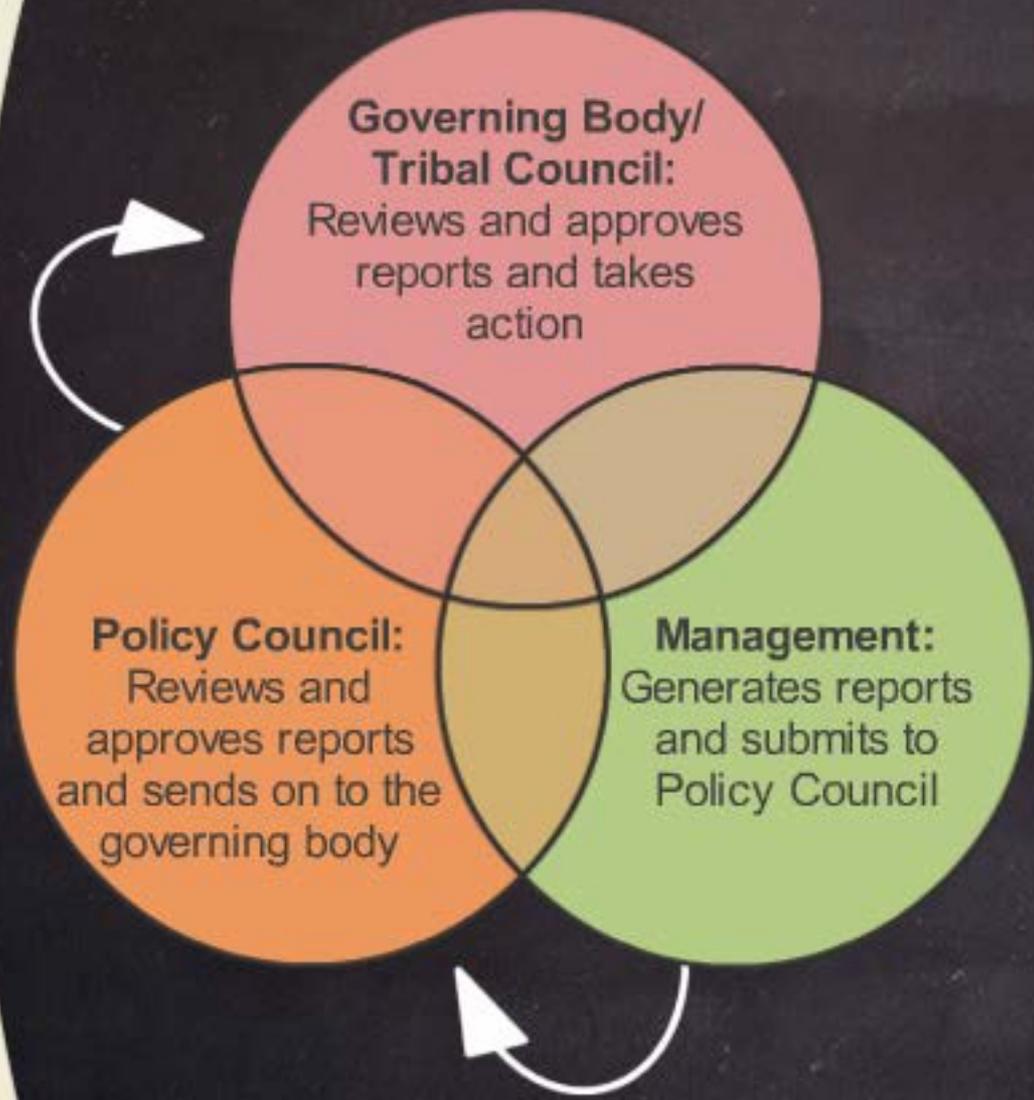


Flow of Reports

Head Start reports should be shared and reviewed in a particular sequence.

Management generates the reports, which go to the Policy Council for review and recommendations and then to the governing body or Tribal Council for review and approval. This ensures that governing body members hear the perspective of Policy Council members before making their decisions and taking action.

Here you see the flow of reports from one group to the next.



[Back](#)

[Next](#)

Reports Are Not a Dead-end Street or a One-time Event!

- Talk about them.
- Share them broadly.
- Tie back to everyone who helped create them.
- Use them for continuous program improvement.



Reporting Can Be a Two-way Street



Examples of reports that programs receive and have to act on:

- Audit
- Monitoring events
- Licensing
- CACFP reviews
- Reports from outside funders

Activity: Key Reports



- Annual and periodic reports to the governing body and PC
- Financial reports
- Reports to Regional Office and OHS
- Reports to staff
- Other

The PIR



- Provides comprehensive background on Head Start/Early Head Start Programs
- Used by OHS to report to Congress and the public and to inform decisions
- Informs leadership about program status
- This video clip on the ECLKC walks through how to use the PIR

<http://eclkc.ohs.acf.hhs.gov/hslc/data/pir/UsingHSESforPI.htm>

The PIR



- Submitted annually by the end of August through the Head Start Enterprise System (HSES)
- Core Elements include:
 - Program Information
 - Program Staff and Qualifications
 - Child and Family Services
 - Appendix

PIR Tips

- Enter child and family data in your tracking systems throughout the year and enter frequently into the PIR
- Use PIR data to make sure you're hitting required benchmarks (OGM)
- Compare this year's PIR data with national and state data and your own previous PIR reports to see trends, patterns, and progress

The Annual Report

Key elements that
Inform the community
about your program

Head Start Act
Section 644(a)(2)



European Youth Forum. (Producer). (2008, May 13). Annual Report 2009 [Web Photo]. Retrieved from <http://www.flickr.com/photos/europeanyouthforum/4643788317/in/photostream/>

Self-Assessment Report

- Introduction
- Methodology
- Key insights
- Recommendations



Program Governance

Nine required reports

Head Start Act

Section 642(c)(2)



Effective Reports...

Follow the Four A's

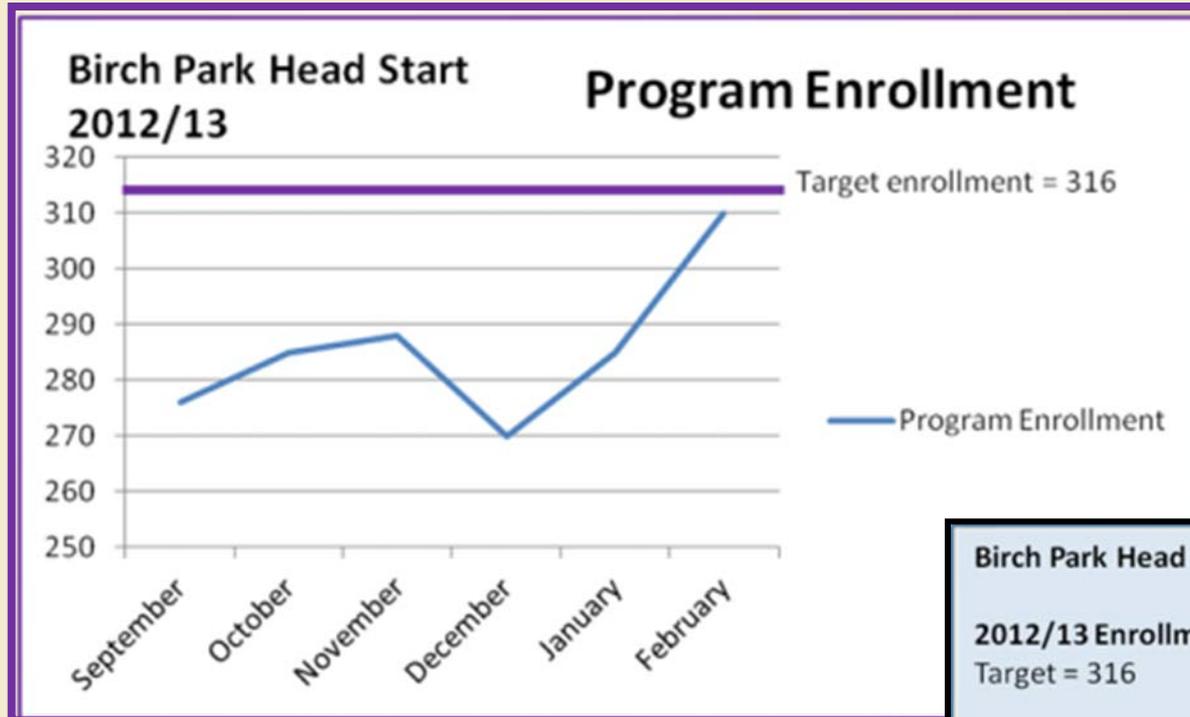
- **A**ccurate
- **A**udience-specific
- **A**ppealing
- **A**ccessible



Which Would You Choose?



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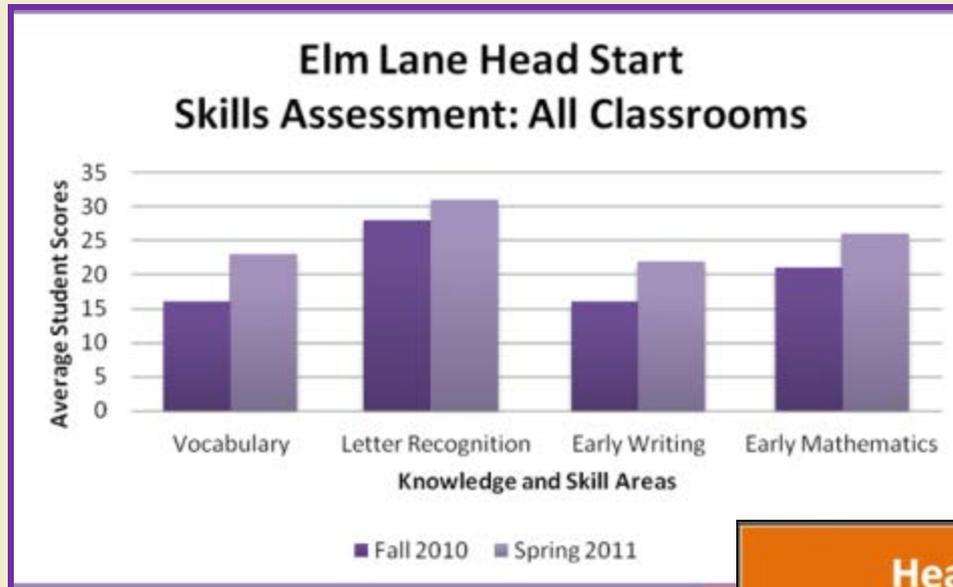
Birch Park Head Start

2012/13 Enrollment Data

Target = 316

- On September 30, enrollment was 276
- The next month, 285 kids attended
- Following month, 288 enrolled
- Then, we had 270 kids
- In January, it went back up to 285
- In February, we did some outreach to the community and had 310 kids enrolled

Which Would You Choose?



Which Would You Choose?



To: **Policy Council**
Subject: **CLASS Results**

FULL REPORT

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To: **Policy Council**
Subject: **CLASS Results**

EXECUTIVE SUMMARY

Page 1 of 8

To Create Graphs and Charts

- From the PIR Report select the data to share
- On the following web site select the type of graph

<http://nces.ed.gov/nceskids/createagraph/default.aspx>

Share and Share Alike



Scenario (CLASS data, Parent Meeting Attendance data or Community Assessment data)

Audience

What They Might Want to See

What They Might Want to Do with It

What Is Your Role in R&R?



- You oversee the process of recordkeeping and reporting.
 - Ensure quality (timely, complete, and accurate)
 - Promote transparency and safeguard confidentiality
 - Confirm that your program meets requirements
 - Facilitate effective use of R & R
 - **Bottom line:** You create a culture of embracing data



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Recordkeeping and Reporting Systems Check

Is R&R Your Thing?





Thank You!!

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

PMFOinfo@edc.org