



## 2005 Head Start and Early Head Start Directors' Institute

*Responsive Leadership That Builds Quality*

*Head Start Programs*

## THE DIRECTORS' IMPLEMENTATION AND PROFESSIONAL DEVELOPMENT PLANNER

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## Aspens and Other Interconnections

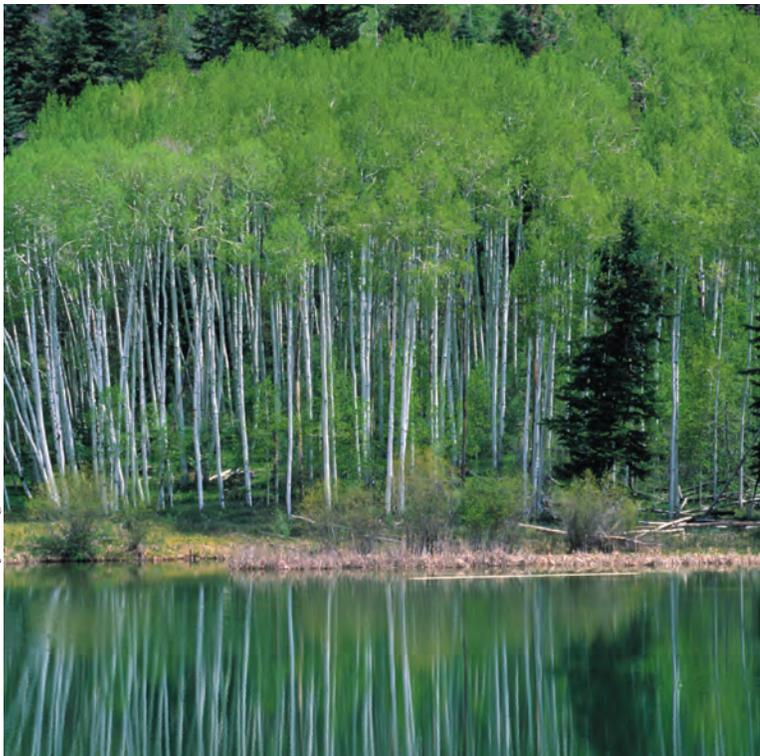
by JoAn Knight Herren

On a trip to Wyoming some years ago, I learned something about aspen trees that made me appreciate them for more than their great beauty. It seems that aspens, while they look like separate trees, are actually linked by a common root system. Water and nutrients drawn in through the roots are shared among members of the group. This shared commitment to the well-being of the group remains even in the face of hardship — in times of drought, trees nearer to the source of water will draw up only as much as they need to survive. This allows more water to be passed along through the roots to trees further up the hillside.

We share similar kinds of connections in Head Start. We're all part of the Head Start community, which has spread throughout the nation. We are at the national and the regional level, the State and local level through each Head Start program, their children and families, and the local community partnerships connected by a common root system of values and commitment.

Like the aspens, we in Head Start have a strong commitment to the well-being of our community and its members. Each of us, individually and as a group, is working to create a better, stronger Head Start—to improve quality and enhance the services we provide to children and families, and to help those children and families realize their fullest potential.

At the T/TA Network meeting in June 1998, I shared the story of the aspens and my vision of our interconnectedness in Head Start. By the end of the meeting, I had received the following poem from Dawn Thomas, who at that time was Coordinator of the QIC for Disabilities Services in Region V. May you draw support and affirmation from this poem, and from your friends and colleagues through the Head Start community.



Amanda Clement/Getty Images

### Like The Aspen

Like the Aspen tree that grows  
With roots entwined and digging deep  
When streams of living water flows  
Ensuring life; fulfills, completes  
The picture in our vision's eyes  
And melodies within our ears  
With nurturance against demise  
The Aspen strains throughout the years  
So, like the Aspen we belong  
In communities and families  
And like the root, sure and strong  
We bind ourselves to find the keys  
To nourish and to pass along  
Sustaining brooks that feed the soul  
And learn from those who simply long  
To share the parts, and form the whole

—Dawn Thomas

Coordinator, Region Va & b QIC-DS

June 23, 1998



## TABLE OF CONTENTS

### INTRODUCTION

Purpose of the Planner . . . . .	1
How to Use the Planner . . . . .	1
Beyond the Institute . . . . .	3

### LEADERSHIP

Vision of Responsive Leadership . . . . .	5
Ten Commitments of Leadership . . . . .	7
The Leader's Role in Managing Quality Head Start Programs. . . . .	8
Director's Checklist . . . . .	10
Developing Vision and Action Plans to Enhance Program Quality . . . . .	12
Leadership—Reflection . . . . .	13

### FINANCIAL MANAGEMENT

Background . . . . .	15
Financial Management Workshop—Key Points . . . . .	19
Where We Stand . . . . .	20
Planning for Change . . . . .	21
Director's Professional Development . . . . .	22
Financial Management Checklist . . . . .	23
Professional Development—Reflection . . . . .	25

### PROGRAM GOVERNANCE

Background . . . . .	27
Program Governance Workshop—Key Points . . . . .	29
Where We Stand . . . . .	30
Planning for Change . . . . .	31
Director's Professional Development . . . . .	32
Program Governance Checklist . . . . .	33
Professional Development—Reflection . . . . .	36

### MANAGEMENT SYSTEMS

Background . . . . .	37
Management Systems Workshop—Key Points . . . . .	43
Where We Stand . . . . .	44
Planning for Change . . . . .	45
Director's Professional Development . . . . .	46
Management Systems Checklist . . . . .	47
Professional Development—Reflection . . . . .	50
PRISM Framework . . . . .	51

### BEYOND THE INSTITUTE AND RESOURCES

Directors' Professional Development Worksheet . . . . .	54
2005 Directors' Institute Bibliography . . . . .	55
Early Head Start Technical Assistance Papers . . . . .	57
The 2005 Directors' Institute Professional Library . . . . .	59





## INTRODUCTION

### Purpose of the Planner

The *Implementation and Professional Development Planner* is organized as a framework to enhance and focus your learning during the Institute and to guide decision-making that will result in program improvement and ongoing professional development. You will reflect on information about your own program and compare it to the key messages presented in plenary and workshop settings. You'll share with colleagues in synthesis groups and exchange perspectives during group discussions with other leaders who have roles and interests similar to your own.

The *Planner* is linked to the Head Start Program Performance Standards, as well as to your management responsibilities and leadership roles. It helps you focus your attention on ways to improve your agency's current management systems to support effective program services. The systems outlined in the Head Start Program Performance Standards and PRISM core questions include governance, planning, communication, record keeping and reporting, ongoing monitoring, self-assessment, human resources, financial management and eligibility, recruitment, selection, enrollment and attendance (ERSEA). Our focus at the 2005 Directors' Institute is on financial management, program governance, and management systems. The PRISM Framework (see p. 51) illustrates the connections of all systems with child development and health services, family and community partnerships, and program design service areas.

### How to Use the Planner

The *Planner* is arranged to help you assess the current status of your program systems and services as you identify strengths and areas for improvement. As your action plans develop, the *Planner* will serve as a blueprint to examine the effectiveness of your agency's management systems to support and ensure the provision of high quality services and positive child outcomes.

Photos: (left to right) Photo by J. Brought-Schlamp. Higher Horizons HS/EHS; photo courtesy of NRC Archives; photo by Rod Walker. Oregon Child Development Coalition. Wilsonville, Oregon.



The *Planner* reflects the content and structure of the Institute. It begins with an overview of Leadership and what it means to be a responsive leader in Head Start. Included are several tools to assist you in your efforts to be knowledgeable and proactive in your role as a leader and manager. The section ends with an opportunity for self-reflection.

Next are sections of the *Planner* devoted to each of the systems addressed during the 2005 Institute—Financial Management, Program Governance, and Management Systems. Within each of these sections, you will find:

- The goal and objectives for the training in this area
- Relevant requirements from the Head Start Program Performance Standards and other sources, as well as the applicable Core Questions from the new 2006 PRISM framework

Worksheets are also provided to:

- Note “Key Points” from your workshop
- Identify strengths and areas of improvement in your own program
- Highlight key points from the Synthesis Group discussions and your ideas for improving your program’s systems and services
- Identify your own professional development priorities
- Reflect on strategies for meeting your professional development goals

Through self-assessment exercises, you will be encouraged to discover skills, knowledge, and understanding that are critical in your role as manager and leader. Use the *Director’s Professional Development Worksheet*, located in the [Resources](#) section of the *Planner*, to record your ideas.

In addition to the *Director’s Professional Development Worksheet*, the [Beyond the Institute and Resources](#) section of the *Planner* includes these items:

- The 2005 Directors’ Institute Bibliography
- Early Head Start Technical Assistance Papers
- The 2005 Directors’ Institute Professional Library
- A CD with resources and the *Director’s Professional Development Worksheet*, so that you can continue your professional development plan and record your goals and accomplishments.

Throughout the Institute, you will be challenged to reflect on the current status of your program’s financial, governance, and management systems, as well as your own knowledge and skills. The *Planner* is intended to assist you in identifying goals and designing a professional development plan that will enrich and strengthen your own skills, and that ultimately will be reflected in your agency’s ongoing planning.

☛ Please note that, throughout the text, the term “Head Start” refers to both Head Start and Early Head Start.



## Beyond the Institute

When you return home, the initial work you began during the Institute will serve as a basis for sharing experiences with colleagues, parents, and your governing body. As your plans continue to evolve, the blended learning model of the 2005 Directors' Institute, which integrates Institute presentations and workshops with post-Institute activities, will support your engagement in the learning process.

The blended learning model will also help you to further develop important issues initiated at the Directors' Institute and offer support with technology tools and relevant resources. Your supplemental learning through Post-Institute online activities will allow you to share knowledge, experience, concerns, and/or issues with a larger group of your peers over an extended period of time.

*Lasting improvement does not take place  
by pronouncements or official programs.*

*Change takes place slowly inside each of us  
and by the choices we think through in  
quiet wakeful moments lying in bed just  
before dawn.*

—Peter Block  
*The Empowered Manager*





## LEADERSHIP

### Vision of Responsive Leadership

The theme of the 2005 Directors' Institute is *Responsive Leadership That Builds Quality Head Start Programs*. **What does responsive leadership mean in Head Start?** Responsive leadership means taking responsibility for quality outcomes and being responsive to the needs of children and families. A responsive leader understands the enormous challenge in providing quality services to all Head Start and Early Head Start children and families. The Head Start director is a leader and manager: as a *leader* the director inspires and defines the program vision and culture of quality and excellence; as a *manager* the director ensures that quality and excellence is delivered to children and families every program day.

**Leadership is a process** that includes a shared vision of hope and an objective understanding of reality. Other critical elements are trust in relationships, empowerment of people, inclusive and honest communications, and the ability to influence others to embrace the vision of hope and planned actions to realize the vision. The "Ten Commitments of Leadership" on page 7 provides a graphic overview of effective leadership practices.

**To ensure delivery of consistent quality outcomes and focused services, Head Start takes a systems approach.** Underlying this approach is the principle that service delivery quality, in large part, depends upon the quality and features of the organization's systems. The beauty of a fabric does not come from separate threads but from the linking and interweaving of all threads to make a pattern. Program quality does not come from individual parts of its systems and services—it comes from an integrated whole. Therefore, the leader needs to understand the interplay between and among systems and services. Effective and responsible leadership is critical for a quality Head Start program to survive and thrive.



Photos: (left to right) Photo by B. Blanken, Rosemount Center HS; Photo by T. Summers, Mooresville Family Resource Center HS.



Management systems and procedures are part of each program's ongoing approaches to organize and operate Head Start services. All management systems are connected and interrelated. Each system is affected by the others, and all are influencing and influenced by program services. The quality of program services in the Child Development and Health, Family Community Partnerships, and Program

*The servant leader understands that nothing positive can be accomplished by an organization without the support of those who are to do the hard work.*

—James A. Autry  
*The Servant Leader*

Development and Management service areas are directly linked to the quality of a program's management systems. The PRISM framework lists nine Head Start systems and three service and partnership areas. During the 2005 Directors' Institute, you will get in-depth workshops on three of these: Financial Management, Program Governance, and Management Systems.

## TEN COMMITMENTS OF LEADERSHIP

Leadership practices are essential to managing a quality Head Start and Early Head Start program. This “Ten Commitments of Leadership” identifies the practical aspects of leadership skills and the underlying commitments needed to support a strong, positive culture.

PRACTICES	COMMITMENTS
Challenging the Process	<ol style="list-style-type: none"> <li>1. <b>Search out</b> challenging opportunities to change, grow, innovate, and improve.</li> <li>2. <b>Experiment, take risks, and learn</b> from the accompanying mistakes.</li> </ol>
Inspiring a Shared Vision	<ol style="list-style-type: none"> <li>3. <b>Envision</b> an uplifting and ennobling future.</li> <li>4. <b>Enlist others</b> in a common vision by appealing to their values, interests, hopes, and dreams.</li> </ol>
Enabling Others to Act	<ol style="list-style-type: none"> <li>5. <b>Foster collaboration</b> by promoting cooperative goals and building trust.</li> <li>6. Strengthen people by giving power away, providing choice, developing competence, assigning critical tasks, and offering visible support.</li> </ol>
Modeling the Way	<ol style="list-style-type: none"> <li>7. <b>Set the example</b> by behaving in ways that are consistent with shared values.</li> <li>8. <b>Achieve small wins</b> that promote consistent progress and build commitment.</li> </ol>
Encouraging the Heart	<ol style="list-style-type: none"> <li>9. <b>Recognize individual contributions</b> to the success of every project.</li> </ol>
Leadership Challenge	<ol style="list-style-type: none"> <li>10. <b>Celebrate team accomplishments</b> regularly</li> </ol>

*The Leadership Challenge*. James M. Kouzes, Barry Z. Posner. Jossey-Bass Inc., Pubs. (3<sup>rd</sup> Edition) (Paperback). New York. 2003. ISBN – 0787968331



## The Leader's Role in Managing Quality Head Start Programs

*Management* encompasses the full range of functions that must be coordinated to create a quality Head Start program with well integrated systems. *Leadership* is required for effective management. Listed below are reflective questions that leadership teams, governing bodies, and parents in the community should be discussing and implementing.

### Planning

- How does our strategic planning system operate, and what processes are used to integrate strategic goals in our annual planning?
- How can our agency improve the planning process to ensure continuous program improvement and positive child outcomes?
- How do we involve the governing body, Policy Council, and management team in the planning process?
- How do we use internal and external data for program planning?

### Communication

- How effective are our current efforts to communicate on issues of program quality and desired outcomes with staff, parents, policy groups, and community partners?
- How can we improve our internal system of communication for smooth program operations, to ensure the consistent delivery of high quality services to children and their parents?
- How do parents and staff communicate their ideas, expectations, and concerns about the program goals, vision, and services to management team?

### Record-Keeping and Reporting

- How does our leadership team analyze internal information to make programmatic and service delivery-related decisions?
- What reports will be provided to the parent committee, Policy Councils, and governing bodies?
- How do we ensure the accuracy and timeliness of our record-keeping and reporting systems?
- How is our information technology system organized to ensure the safety of our confidential records?

### Ongoing Monitoring

- How does our program monitor the quality of program services in all service areas and in all program options?
- What is the frequency and scope of our ongoing monitoring efforts?
- What changes could improve our ongoing monitoring effort, and how does information from monitoring help to guide program improvement efforts?
- How does our monitoring system ensure appropriate internal controls, risk management, and accountability of all program systems and services?

### Self-Assessment

- What is our self-assessment process?
- How do we plan an outcome-based system of self-assessment?

- Have we included all appropriate people on the self-assessment team—staff, parents, policy group members, governing body members, and community partners?
- From what sources should we gather data to conduct a valid and accurate assessment of our systems and program performance?
- What is our process for program improvement based on the results of our self-assessment?

### Human Resources

- What skills and knowledge is required of our program staff? What does staff have currently, and what do we need to do to close any gaps?
- How do we attract and retain high quality staff? What is the rate of staff turn over in our agency?
- In what ways do we, as leaders, ensure effective staff development—training, mentoring, and supervision?

### Financial Management

- How are resources currently allocated to support quality services?
- How could resources be re-allocated to better support staff, curriculum, assessment, and child outcomes? What additional resources can be enlisted to support improved quality?
- What internal controls do we have to ensure fiscal accountability? How do we monitor consistent implementation of internal controls?
- What risks are inherent in our financial system?
- How do we assess risks in our decision-making process?

### Program Governance

- How does the shared decision making process work in our agency? How can we enhance the quality of the shared decision-making process?
- How will we involve parent committees, Policy Councils, and governing bodies in the decision-making process necessary to achieve positive outcomes for children?
- How is the governing body involved in carrying out its fiduciary responsibilities?
- What information does everyone need to fulfill their responsibilities effectively?

### Eligibility, Recruitment, Selection, Enrollment and Attendance (ERSEA)

- How does our program determine community needs and recruitment areas?
- What criteria do we use to select children for Head Start and Early Head Start services? How is the selection criteria developed? How do we involve the Policy Council in this process?
- When does recruitment and enrollment take place? Is it in the spring, summer or is it ongoing? What are our marketing practices for recruiting and enrolling Head Start and Early Head Start children?
- How does our program maintain its funded enrollment level? How do we ensure that a vacancy is filled within 30 days? Is there a waiting list?
- How does our program ensure accurate and timely information on all applications for program services? Does our program have a system to provide accurate reports on enrollment, attendance, and waiting list? How do we monitor accuracy of these reports?

## DIRECTOR'S CHECKLIST

Effective leadership begins with a comprehensive understanding of the requirements of Head Start and Early Head Start programs. As a director, you will encounter challenges that require insight into program goals, operations, policies and required documents. Use this checklist to help ensure that you have the key information you need to be effective in your leadership role. Remember that your executive director, TA provider, and the management team are all resources that you can tap to build a strong foundation.

### FUNDING

- Head Start funding application for the current three-year cycle and related correspondence, including the Financial Assistance Award (FAA)
- Refunding applications for the past three years, which include current year and related correspondence
- A copy of the current USDA food services contract
- Facilities lease or purchase contract
- Transportation services
- Contract for child care

### PROGRAM OPERATIONS

- Current governing body structure and membership roster for your program
- Current organization chart for your program
- Current strategic plan
- Current work plan
- Current annual calendar of activities
- Current Personnel Policies & Procedures
- Current Administrative Procedures and Service Area plans for:
  - Program Management & Design
  - Early Childhood Development & Health Services
  - Family & Community Partnerships
- Current Community Assessment and updates
- Copy of last completed annual program self-assessment and improvement plans
- By-Laws for Policy Groups
- Minutes from meetings held by:
  - Governing Body
  - Policy Council & Policy Committee (Delegates)
  - Parent Committee
  - Advisory Committees

## REPORTS

- Copy of the last PIR (Program Information Report)
- Monthly USDA Reports and Audit Report
- Copy of your agency's last financial audit
- Federal Financial Reports (SF-269 and PSC-272)
- Copies of monthly Head Start Financial Reports
- Program's insurance policies
- Monitoring Report
- Child Outcomes Reports
- Program Audit Report
- Most recent PRISM Report (QIP, if applicable)
- Monthly Enrollment and Attendance Report
- Monthly Program Service Report / Briefing from Service Area Managers

## TICKLER FILE

Have you established a tickler file or other device to remind you of deadlines? A tickler file can be in paper or electronic format. These items would typically be found in a tickler file:

- Program Year End (PYE) for Continuation Grant Applications (Head Start/Early Head Start and other)
- Annual calendar for all activities
- Reporting requirements of grants
- Reporting requirements for program activities, such as family assessments, health screening, self-assessment, accreditation
- Meetings – staff, Policy Council, governing body, and other partnerships / collaborations
- Data collection for the Program Information Report (PIR)

## CONTACTS

Do you have the names, phone numbers, and / or email addresses for these contacts:

- Regional Office Program Specialist and Grants Specialist
- Regional TA Network Coordinator
- USDA contact for your state or locality
- State Pupil Transportation Director
- Child Care licensing contact
- State Collaboration Office
- Head Start State Association Chair
- Other directors in the state and region (with programs similar to yours)

- Local TA Specialist
- Key community partners
- Other professional organizations
- Emergency Services:
  - Fire
  - Police
  - Hospital
  - Insurance agent
- Head Start Information and Publication Center (HSIPC) for Head Start resources

*Adapted from the Checklist for New Head Start/Early Head Start Directors*

## Developing Vision and Action Plans to Enhance Program Quality

*This Implementation and Professional Development Planner* provides a framework for focusing on what you know about your program. We ask you to reflect on information you have learned from a variety of sources, such as ongoing monitoring, outcome measurement data, program self-assessment, the results of your most recent Federal On-Site Monitoring (PRISM) review, parent feedback, and your own observations. Take this information and compare it to the key messages presented in plenary and workshop settings, as well as what you learn when exchanging perspectives in synthesis group discussions with other leaders with roles and interests similar to your own.

Based on this work, consider the following questions:

- What are the most important issues for my program?
- In what ways could our agency's services be improved in order to support higher quality services and positive outcomes for children? (These might include raising staff qualifications, enhancing intentionality of education staff, and/or improving family involvement.)
- How can our management systems support program improvements?
- What timeframes are reasonable for implementing these changes?
- How and when will this information be communicated to and discussed with the parent committees, the Policy Council, and the governing body?

*The Implementation and Professional Development Planner* will guide you in refining a vision to enhance program quality, drafting a preliminary plan to achieve your vision, and identifying strategies for implementation. When you return home, this initial work will serve as the basis for sharing experiences with colleagues, parents, partners, and governing boards. The plan will continue to evolve, reflecting the perspectives of others, and will change over time as you learn more about the needs of staff and the children and families in your local community. During the regional luncheon, you will learn about technical assistance services that are available to further support your work.

## Leadership—Reflection

Based on discussions with colleagues, I recognize that my position as leader and manager requires me to have the following skills, competencies, and knowledge:

After reviewing the goals and agenda of the Directors' Institute, I have identified a number of learning outcomes for myself. As a result of participation in the Institute, I hope to:





## FINANCIAL MANAGEMENT

### Background

**Goal:** Increase understanding of financial regulations and policies that ensure fiscal accountability, risk management, and internal controls.

### Objectives

#### Introductory

- Provide a comprehensive overview of financial regulations and policies applicable to Head Start agencies.
- Share examples of fiscal accountability, risk management, and internal control and their relationship to Head Start services.

#### Intermediate

- Illustrate the steps necessary to develop a cohesive and accountable financial management system.
- Discuss how to manage risk and establish internal controls in Head Start, including questions to ask and people to involve in this process.

#### Advanced

- Identify indicators of an accountable financial system.
- Demonstrate analytical and problem solving skills. Develop strategies that directors can use to ensure financial accountability, risk management, and internal control in resolving “red flag” financial issues.

Photos: (left to right) Photo by A. Kaahamui. Rosemount Center HS; photo by Bob Crooks. National Head Start Training and Technical Assistance Resource Center, Arlington, Virginia; photo by A. Kaahamui. Rosemount Center HS.





### The Head Start Act: Administrative Requirement and Standards Section 644 (42 U.S.C. 9839) (a)

Each Head Start agency shall observe standards of organization, management, and administration which will assure, so far as reasonably possible, that all program activities are conducted in a manner consistent with the purposes of this subchapter and the objective of providing assistance effectively, efficiently and free of any taint of partisan political bias or personal or family favoritism. Each such agency shall establish or adopt rules to carry out this section, which shall include rules to assure full staff accountability in matters governed by law, regulations, or agency policy. Each agency shall also provide for reasonable public access to information, including public hearings at the request of appropriate community groups and reasonable public access to books and records of the agency or other agencies engaged in program activities or operations involving the use of authority or funds for which it is responsible. Each such agency shall adopt for itself and other agencies using funds or exercising authority for which it is responsible, rules designed to: (1) establish specific standards governing salaries, salary increases, travel and per diem allowances, and other employee benefits; (2) assure that only persons capable of discharging their duties with competence and integrity are employed and that employees are promoted or advanced under impartial procedures calculated to improve agency performance and effectiveness; (3) guard against personal or financial conflicts of interest; (4) define employee duties in an appropriate manner which will in any case preclude employees from participating, in connection with the performance of their duties, in any form of picketing, protest, or other direct action which is in violation of law.

#### Core Question 8: Fiscal

How effective is the fiscal management system in supporting the implementation of quality services to children and families?

How does the system ensure that:

- the fiscal health of the organization is maintained?
- clear and appropriate internal control and monitoring procedures are in place to safeguard assets, check the accuracy and reliability to accounting data, and promote operating efficiency?
- the budget is revised to ensure fiscal program accountability and compliance with Federal laws and regulations?
- financial reports are consistent, timely and accurate reflecting the appropriate use of funds to support quality services?
- the governing body is providing sufficient oversight?

#### Related Standards:

1301.10-1301.12 (Subpart B); 1301.20-1301.21 (Subpart C); 1301.3201301.33; 1304.20(c)(5); 1304.23 (b)(1)(i); 1304.40 (d)(1)(i); 1304.50(f);1304.51 (h)(2); 1304.51(i)(2); 1304.52(d)(8); 1304.53(b)(1); 1305.9; 1306.30(d); 1308.4(m)-1308.4(o); 1310.23(b);



Part 74, Subpart C; Part 92, Subpart C; 2CFR Part 220, Appendix A(A)(2); 2CFR Part 220, Appendix A(C)(2); 2 CFR part 220, Appendix A (G)(11)(g); 2 CFR part 220, Appendix A (J)(a); 2 CFR Part 220, Appendix A (J)(b)(8); 2 CFR Part 225, Appendix A(C)(1)(a)- Appendix A(C)(1)(j); 2 CFR Part 225, Appendix A(C)(3)(a)- Appendix A(C)(3)(d); 2 CFR Part 225, Appendix A(H)(1)- Appendix A(H)(2); 2CFR Part 225, Appendix B(320(a)- Appendix B(32)(b); 2CFR Part 230, Appendix A(A)(2)(a)- Appendix A(A)(2)(g); 2 CFR Part 230, Appendix A(D)(1)(b); 2 CFR Part 230, Appendix A(E)(2)(c); 2 CFR Part 230, Appendix A(E)(2)(g); 2 CFR Part 230, Appendix B(8)(c)(1); 2 CFR Part 230, Appendix B(37)(b)(8); OMB Circular A-133, subpart B.220; OMB Circular A-133, Subpart C.315(a)- Subpart C.315(b)

## Fundamentals of Financial Management

(Excerpt from *Moving Ahead*, Module 2, Program Systems and Supporting Fiscal Management, section 2-c, page 4 and Government Accountability Office publication GAO-05-176)

The Federal government provides a substantial amount of financial assistance in the form of grants. A Federal grant may be defined as a form of assistance in which a Federal agency (the grantor) transfers funds to a party (the grantee) that is usually not part of the Federal government. The purpose of the transfer is to support a designated grantee program or activity without substantial Federal involvement (Federal Appropriations Law, USDA).

Grantees are expected to use the funds for the purpose stated in the grant award. Expenditures of costs that meet the stated purpose and cost principles are called “allowable costs.” An expenditure that does not further grant purposes that is contrary to the cost principles or conditions of the grant may not be charged to the grant, even if it would result in substantial savings or other benefits to the Federal government.

Guidance on cost principles is found in Office of Management and Budget (OMB) circulars. The primary purpose of cost principles is to ensure that Federal funds are spent correctly and that the Federal government bears its fair share of costs. Three OMB circulars govern Head Start and Early Head Start grantees: A-122, Cost Principles for Non-Profit Organizations; A-87, Cost Principles for State, Local and Indian Tribal Organizations; and A-21, Cost Principles for Educational Institutions. OMB has not issued any circulars for commercial organizations, but for-profit organizations are discussed in 45 CFR part 74.27 and are required to follow the principles outlined in the Federal Acquisition Regulation (FAR) in 48 CFR part 31.

As part of a broad streamlining initiative, Title 2 of the Code of Federal Regulations (CFR) has been established as the single location for OMB Circulars A-21, A-87, A-110, A-122 and OMB guidance on nonprocurement, debarment, and suspension.

These circulars are located in title 2 of the CFR as follows:

OMB guidance on nonprocurement, debarment and suspension:—2 CFR Part 180

OMB Circular A-110, Administrative requirements for grant:—2 CFR Part 215

OMB Circular A-21, Cost principles for educational institutions—2 CFR Part 220



OMB Circular A-87, Cost principles for state, local and tribal—2 CFR Part 225

OMB Circular A-122, Cost principles for non-profit organizations—2 CFR Part 230

**Cost principles are also the basis for a sound financial system.** A sound financial system ensures that Federal funds are used only for grant operations, protects the integrity of the funds, and assists the grantee in achieving efficient and effective use of funds. Additionally, sound financial systems provide accurate cost information so that management can control financial resources, prevent cost overruns, and manage programs. Accurate accounting of costs allows for better control of the various cost components, provides reliable data for future budgeting activities and allows generation of accurate reports.

### Internal Controls and Risk Assessment

Internal controls comprise the plans, methods, and procedures used to meet missions, goals, and objectives and, in doing so, support performance-based management. Internal controls also help managers safeguard assets and prevent and detect errors and fraud.

Internal controls provide reasonable assurance that an organization achieves its objectives of (1) effective and efficient operations, (2) reliable financial reporting, and (3) compliance with laws and regulations.

*A leader takes people where they want to go. A great leader takes people where they don't necessarily want to go but ought to be.*

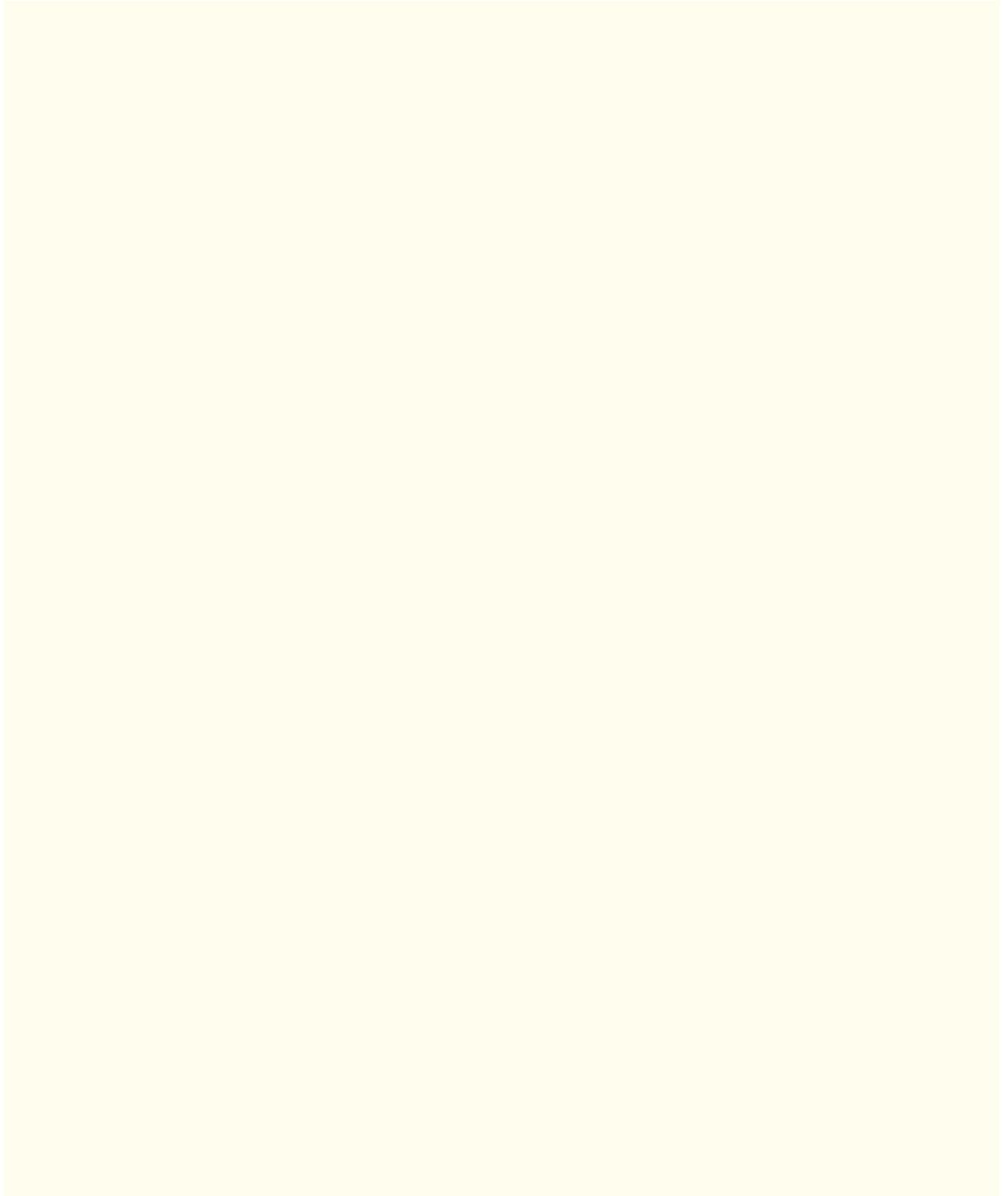
*—Rosalynn Carter*

The five components of internal controls are: control environment, risk assessment, control activities, information and communication, and monitoring. Risk assessment involves identifying and analyzing relevant problems that might prevent the program from achieving its objectives, then developing processes that can be used to form a basis for measuring actual or potential effects of these problems and manage risks.



## Financial Management Workshop

### Key Points





## Where We Stand

I have completed the following section based on what I know about our program from a variety of sources, including personal observations, ongoing monitoring, program self-assessment, and other sources of information.

### Our strengths include:

### Areas for improvement include:



## Planning for Change Synthesis Group Discussions

Based on discussions with colleagues, the information and strategies for implementation I particularly want to remember include:

## Ideas for Program Improvement

After comparing the current status of my program with information and ideas gained from the Institute, ideas for improving my program in this area include:

## Taking Action

As a leader and manager in my program, I commit to taking the following steps to lead the program in this change effort:



## Director's Professional Development

During the synthesis group meeting following your Financial Management workshop session, you will be instructed to complete the following self-assessment checklist. Read the statements and indicate whether you think you need no help, some help, or considerable help in the areas addressed by each statement.

*Leaders embrace major change—see more opportunity than threat in turbulence and behave with integrity.*

After completing the checklist, go back and circle two or three statements that represent the areas where you most want to focus your professional growth and development efforts in the near future. Then, spend a few minutes considering the Reflection questions on the following page.

—*Judith M. Bardwick*

As you progress through the Institute sessions and experiences, you will use information from each of these tools to begin to develop your individualized Professional Development Plan. Use the *Director's Professional Development Worksheet* on page 54 of the Resources section to record your ideas.



## FINANCIAL MANAGEMENT CHECKLIST

Use this list as a guide to help ensure that you have the knowledge, understanding, skills, and abilities necessary to direct quality Head Start and Early Head Start program services. Remember, your executive director, TA provider, and the management team are all available resources you can tap to build a strong foundation.

FINANCIAL MANAGEMENT	Need No Help in this area	Need Some Help in this area	Need Considerable Help in this area
1. Ensure that financial staff has knowledge and expertise to assure accountability for Federal assets, adherence to Federal regulations and appropriate internal controls.			
2. Ensure that budget allocations allow for full and successful implementation of all Head Start services and support the professional development and training needs of staff.			
3. Be responsible for working cooperatively with the agency's financial department to ensure the development and implementation of financial management systems that are built upon reliable data and result in accurate reports.			
4. Contribute to the development of program budgets to ensure that resource allocations are adequately distributed to support ongoing operations and achieve new goals and priorities.			
5. Actively track and manage program expenditures and the collection of non-Federal share using a system that provides a paper or electronic trail of all transactions.			
6. Be knowledgeable of existing tools such as GABI, grants.gov and Fiscal Assistant, which are designed to support sound financial management and encourage the full use of technology.			
7. Develop fiscal systems that support the blending of funding streams through the development of sound cost allocation methodologies.			



<b>FINANCIAL MANAGEMENT</b> <i>(CONTINUED)</i>	Need No Help in this area	Need Some Help in this area	Need Considerable Help in this area
8. Empower the disabilities manager and other content area specialists to contribute to the design of program budgets that support quality services as well as continuous improvement efforts.			
9. Work in partnership with policy groups to develop and approve an annual budget and participate in the ongoing monitoring of financial information.			
10. Support the skill development of parent leaders so that they can be active participants and informed decision-makers in the budget development process.			
11. Understand Federal regulations pertaining to fiscal management and the need for risk assessments, to identify areas of strengths and weakness leading to change and improvement as necessary.			
12. Develop long- and short-term financial objectives.			
13. Assist in the annually required A-133 audit by providing necessary programmatic information to support compliance findings.			
14. Use regular budget reports as an ongoing monitoring tool. 15. Review the required semi-annual, end-of-year, and final status reports to ensure appropriate use of funds and timely reporting.			



## Professional Development—Reflection

Review the statements you have circled that represent areas where you most want to pursue change and professional growth in the near future. What specific skills, knowledge, and competencies will be required of you?

**Example:** If you circled statement #11, *Understand Federal regulations pertaining to fiscal management and the need for risk assessments to identify areas of strengths and weakness leading to change and improvement, as necessary*, you will want to commit to reviewing and mastering the information and resources shared during your Financial Management workshop.

What are the resources that you will call upon to assist you in acquiring the skills, knowledge, and competencies you identified?

Blank yellow area for writing resources.

What will you do differently over the next few months to move yourself forward in this area? *(Write down two specific actions.)*

Blank yellow area for writing specific actions.





## PROGRAM GOVERNANCE

### Background

**Goal:** Increase understanding of program governance and the roles/responsibilities of governing body and Policy Council in Head Start program operations.

### Objectives

#### Introductory

- Provide an overview of program governance and shared governance that illustrates the organization and communications processes that work in different Head Start and Early Head Start programs.
- Define roles and responsibilities of the governing body, Policy Council, and program management. Provide examples of shared decision making processes in strategic planning and self assessment.

#### Intermediate

- Demonstrate how a shared decision making model is integrated into program governance as required by 1304.50 (including Appendix A).
- Identify strategies to promote best practices of shared program governance which ensure that the governing body fulfills its fiscal and legal responsibilities.

#### Advanced

- Construct a dynamic and sustainable system of shared program governance that supports and enhances proactive governance and truly addresses fiduciary and legal responsibilities.

Photos: (left to right) Photo by W. Siegel, Parents and Children Together EHS/HS; photo by B. Blanker, Rosemount Center HS.





### Introduction to 1304.50

The objective of 45 CFR 1304.50 is to ensure that each grantee and delegate agency has an established policy group and a well-functioning governing body that share responsibility for overseeing the delivery of high quality services to children and families in accordance with Head Start legislation, regulations, and policies. Through the Policy Council and Policy Committee—groups with policy-making authority at the grantee and delegate agency levels, respectively—and through the local Parent Committee, parents and other community representatives are empowered to actively participate in the shared decision-making process.

**Section 1304.50** describes the formal structure of shared governance, outlining the composition and responsibilities of policy groups, Parent Committees, and governing bodies. The standards also discuss policy group and Parent Committee reimbursements and the need for internal dispute mechanisms. Finally, the chart “Governance and Management Responsibilities” in Appendix A of this section of the Program Performance Standards restates the responsibilities and outlines the interactions of policy groups, governing bodies, and agency management staff.

### PRISM Core Question 1: Program Governance

How effective is the grantee’s system of shared governance in supporting the implementation of quality services to children and families?

How does the system ensure:

- a governing body that participates in key decision-making and oversight for the program, including the formation of the Policy Council structure and function?
- a formal structure of policy groups and Parent Committees with appropriate composition and process for formation?
- the assignment of appropriate governing body and policy group responsibilities, including the development, review, and approval/disapproval of program policies and procedures?
- written internal dispute resolution procedures for addressing conflicts between the governing body and policy group?
- inclusive and well-functioning Parent Committees?

### Related Standards

1304.50 (including Appendix A)

Governance and Management Responsibilities

1304.52 (k)



**Program Governance Workshop**  
Key Points

A large, empty yellow rectangular area intended for notes or key points from the workshop.



## Where We Stand

I have completed the following section based on what I know about our program, including personal observations, ongoing monitoring, program self-assessment, and other sources of information.

Our strengths include:

Areas for improvement include:



## Planning for Change

### Synthesis Group Discussions

Based on discussions with colleagues, the information and strategies for implementation I particularly want to remember include:

Empty yellow box for notes.

## Ideas for Program Improvement

After comparing the current status of my program with information and ideas gained from the Institute, ideas for improving my program in this area include:

Empty yellow box for notes.

## Taking Action

As a leader and manager in my program, I commit to taking the following steps to lead the program in this change effort:

Empty yellow box for notes.



## Director's Professional Development

During the synthesis group meeting following your Program Governance workshop session, you will be instructed to complete the following self-assessment checklist. Read the statements and indicate whether you think you need no help, some help, or considerable help in the areas addressed by each statement.

After completing the checklist, go back and circle two or three statements that represent the areas where you most want to focus your professional growth and development efforts in the near future. Then,

*Give to the world the best you have and the best will come back to you.*

—*Madeline Bridges*

spend a few minutes considering the Reflection questions on the following page.

As you progress through the Institute sessions and experiences, you will use information from each of these tools to

begin to develop your individualized Professional Development Plan. Use the *Director's Professional Development Worksheet* on page 54 of the **Resources** section to record your ideas.



### PROGRAM GOVERNANCE CHECKLIST

Use this list as a guide to help ensure you have the knowledge, understanding, skills, and abilities necessary to direct quality Head Start and Early Head Start program services. Remember, your executive director, TA provider, and the management team are all available resources you can tap to build a strong foundation.

<b>PROGRAM GOVERNANCE AND SHARED DECISION-MAKING</b>	Need No Help in this area	Need Some Help in this area	Need Considerable Help in this area
1. Promote partnership between all members of the leadership team in the decision-making process, including the executive director, governing body, Policy Council, parent committees, and Head Start managers.			
2. Ensure that the governing body and Policy Council understand their legal and fiduciary responsibilities for administering the Head Start or Early Head Start program.			
3. Support participatory decision-making with staff, families, and the community.			
4. Promote opportunities for open communication between governing body and Policy Council.			
5. Provide timely information to Policy Council, parent committee, and the governing body to allow for informed decision-making.			
6. Ensure that decision-makers at every level are familiar with and support the implementation of results-based management and systems of accountability.			
7. Establish written procedures for resolving internal disputes, such as impasse procedures, between the governing body, Policy Council, and parent committee.			



## Program Governance

<b>PROGRAM GOVERNANCE AND SHARED DECISION-MAKING</b> <i>(CONTINUED)</i>	Need No Help in this area	Need Some Help in this area	Need Considerable Help in this area
8. Include data on child outcomes in decision-making related to program design, options, and program improvement to help guide operating responsibilities.			
9. Articulate the program's process for engaging in shared-decision making.			
10. Seek input and approval from governing body and Policy Council on program planning, selection of service areas, and all funding applications and amendments for Head Start and Early Head Start.			
11. Involve the governing body and Policy Council in the annual self-assessment of the grantee or delegate agency's progress in carrying out the programmatic and fiscal intent of its grant application.			
12. Provide opportunities for the Head Start and Early Head Start director to build professional and trusting relationships with the governing body, Policy Council, and parent committee.			
13. Encourage a proactive and accountable governing body and Policy Council by providing new members with an orientation and having regular ongoing training for members of both groups.			
14. Guide the establishment and maintain procedures for hearing and working with the grantee or delegate agency to resolve community complaints about the program.			
15. Ensure the governing body and Policy Council's involvement in program personnel policies and subsequent changes to those .			



<b>PROGRAM GOVERNANCE AND SHARED DECISION-MAKING</b> <i>(CONTINUED)</i>	Need No Help in this area	Need Some Help in this area	Need Considerable Help in this area
16. Encourage the creation of strong parent committees and other opportunities for ongoing leadership development throughout the organization.			
17. Support the work of the Health Services Advisory Committee as well as the development of other advisory committees that can respond to emerging issues.			
18. Ability to connect outgoing parent leaders with other leadership opportunities within the agency and the community.			
19. Connect outgoing parent leaders with other leadership opportunities in the agency and the community.			
20. Encourage the development of a professional and ethical code of conduct for governing body, policy groups, managers, and all staff that ensures accountability.			
21. Support the governing body as it works to establish an ethical code of conduct and to hold top management responsible for its effective implementation.			



## Professional Development—Reflection

Review the statements you have circled representing areas where you most want to pursue change and professional growth in the near future. What specific skills, knowledge, and competencies will be required of you to lead the program in this area?

Example: If you circled statement #12, Provide opportunities for the Head Start and Early Head Start director to build professional and trusting relationships with the governing body, Policy Council, and parent committee.

What resources do you need to assist you in acquiring the skills, knowledge, and competencies you identified?

How do you plan to move forward over the next few months in this area? *(Name two specific actions.)*



## MANAGEMENT SYSTEMS

### Background

**Goal:** Increase understanding of the integration of Head Start management systems and program services.

### Objectives

#### Introductory

- Provide an overview of interrelationship among various Head Start systems, such as planning, self assessment, and the role of TA.
- Outline the management systems and why they are critical to program service delivery.

#### Intermediate

- Discuss the components of an effective management systems plan.
- Analyze the interrelationship between the systems of self-assessment, strategic planning, and training. Explore different ways these systems can be implemented in successful programs.

#### Advanced

- Outline criteria for evaluating and assessing systems quality, specifically self-assessment and planning.
- Develop a plan for improving the effectiveness and efficiency of program services through self-assessment and monitoring.



Photos: (left to right) Photo by D. Mentzer. Higher Horizons HS/EHS; photo by J. Brought-Schamp. Higher Horizons HS/EHS; photo by D. Mentzer. Higher Horizons HS/EHS; photo by D. Mentzer. Higher Horizons HS/EHS.



## Introduction to 1304.51

The objective of 45 CFR 1304.51 is to establish dynamic and cohesive management systems that support continuous improvement and foster commitment to providing the highest level of services to children and families, in accordance with legislation, regulations, and policies.

Head Start strives for excellence in program management that supports quality services for children and families. Policy groups, representative of Head Start, parents, the larger community and strong governing bodies all play a critical role. To realize the goal of achieving national excellence, local agencies are required to establish effective systems and procedures for program, financial, and human resources management.

Management systems and procedures are part of each program's ongoing approaches to organize and operate Head Start services. They are all connected and interrelated, each system affected by the others and all influencing and influenced by program services. Figure 1, below, is intended to illustrate this concept and highlight the dynamic nature of these integrated systems and processes. With all of these systems, the emphasis is as much on the process involved in their implementation as it is on the product that may come from implementation.

*Figure 1. Head Start Program Systems & Procedures*



The standards in section 1304.51 are written to allow grantees great flexibility in designing the approach that will work best in their program and community. Through designing and implementing effective systems for program planning, communication, record-keeping, and reporting, ongoing monitoring, program self-assessment, human resources, eligibility, recruitment, selection, enrollment, and attendance each Head Start program has a greater ability to integrate the various functions of Head Start and provide high quality services to children and families



## PRISM Core Question 2: Planning

How effective is the grantee's ongoing system of program planning in supporting the implementation of quality services to children and families?

How does the system ensure:

- a community assessment that is used for program planning, including selection of appropriate program options?
- consultation with the grantee's governing body, policy groups, staff, and other community organizations?
- long-range goals and short-term program and financial objectives that address the findings of the community assessment, are consistent with the philosophy of Head Start, and reflect the findings of ongoing monitoring and self-assessment?
- written plan(s) for implementing quality services for children and families, and supporting pregnant women as appropriate, that result in positive outcomes and that are reviewed, revised, and updated as needed?

### Related Standards:

1304.51(a); 1305.3; 1306.30(a); 1306.30(d); 1306.31 – 1306.36; 1308.4

## PRISM Core Question 3: Communication

How effective is the grantee's communication system in supporting the implementation of quality services to children and families?

How does the system ensure:

- effective communication between staff and parents, carried out on a regular basis throughout the program year and in the primary or preferred language of parents?
- that required information is shared among staff, the governing body, and policy group? (This information includes reports; HHS policies, guidelines, and communications; and program plans, policies, procedures, and grant applications.)
- that delegate agency governing bodies, Policy Committees (when applicable), and staff receive all regulations, policies, and other pertinent communication in a timely manner?
- strong communication, cooperation, and information-sharing among agencies and their community partners (e.g., LEA or Part C agency, child care providers, etc.)?
- regular communication among all staff?

### Related Standards:

1304.20(c)(1); 1304.222(a)(4); 1304.22(b)(3); 1304.41(a)(1); 1304.51(b) – 1304.51(f); 1308.4(l)



## PRISM Core Question 4: Record-Keeping and Reporting

How efficient and effective are the record-keeping and reporting systems in providing accurate, confidential, and timely information regarding children, families, and staff and in supporting quality services?

How are the record-keeping and reporting systems used to manage data and generate status reports that:

- identify and report program progress toward goals and objectives, and that result in revised plans for the implementation of services as necessary?
- provide information on preschool children's progress?
- control program quality and maintain program accountability?
- advise Federal staff, governing bodies, policy groups, and staff of progress made in implementing services?
- identify and report child abuse and neglect, in compliance with applicable State and local laws?

### Related Standards:

1301.30; 1304.20(e)(5); 1304.22(c)(3) – 1304.22(c)(5); 1304.51(g) – 1304.51(h); 1304.52(k)(3)(i); 1308.4(l); 1308.6(e)(4)

## PRISM Core Question 5: Ongoing Monitoring

How effective is the grantee's ongoing monitoring system in supporting the implementation of quality services to children and families?

How does the system ensure:

- the ongoing implementation of Federal regulations, including the analysis and use of data contained in written reports, tracking systems, and the on-site observation and supervision of staff?
- ongoing monitoring to ensure tracking of patterns of progress and accomplishments for groups of children in learning and development, as well as in health and disabilities services and family and community partnerships?
- effective oversight of the delegates' ongoing implementation of the Program Performance Standards and other Federal regulations, when applicable?

### Related Standards:

1304.51(i)(2) – 1304.51(i)(3); 1308.4(d); Part 74.51; Part 92.40

## PRISM Core Question 6: Self-Assessment

How effective is the grantee's approach to self-assessment in supporting the implementation of quality services to children and families?



How does the system ensure that:

- the self-assessment examines the effectiveness and progress in meeting the grantee's goals and objectives and the implementation of Federal regulations?
- the process involves policy groups, parents, and as appropriate, other community members?
- the grantee analyzes the results of the self-assessment and uses the information to address continuous improvement and to inform the planning process?

### Related Standards:

1304.51(i)(1) – 1304.51(i)(3)

## PRISM Core Question 7: Human Resources

How effective is the grantee's human resources management system in supporting the implementation of quality services to children and families?

How does the system ensure that:

- the organizational structure supports the accomplishment of the grantee's goals and objectives?
- all required functions (e.g., management, content area experts, etc.) are appropriately assigned?
- there are adequate provisions for staff supervision and support, including annual performance appraisals?
- all staff are qualified for their positions?
- services for children meet the staffing requirements set out in the Program Performance Standards?
- appropriate standards of conduct are delineated and followed?
- staff do not pose a significant risk to the health and safety of children and families?
- the training and development system provides a structured approach to assisting staff, governing body members, Policy Council members, and volunteers in acquiring or increasing the knowledge and skills needed to fulfill their job responsibilities, including the areas as child abuse and neglect, transportation, and transitions?

### Related Standards:

1301.31, including Appendix A – Identification and Reporting of Child Abuse and Neglect; 1304.24(a)(2) – 1304.24(a)(3); 1304.52; 1306.20 – 1306.23; 1308.4(e); 1308.4(k); 1310.16 – 1310.17

## PRISM Core Question 17: Eligibility, Recruitment, Selection, Enrollment, and Attendance

How does the grantee approach eligibility, recruitment, selection, enrollment, and attendance in an attempt to meet the needs of Head Start eligible families and in response to the community assessment?

How does the grantee:

- Define the recruitment area?
- Determine the eligibility of children, ensuring that no more than 10% come from families that exceed the low-income guidelines?



- Ensure that at least 10% enrollment opportunities are made available to children with disabilities?
- Recruit those most in need of Head Start services, including previously underserved populations?
- Select children and families based on enrollment criteria, and maintain a waiting list?
- Assign children to program options that meet the needs of their families?
- Meet the service requirements for each option?
- Maintain the funded enrollment level, fill vacancies as they occur, and analyze enrollment data to inform the planning process?
- Analyze the causes of absenteeism, when average daily attendance falls below 85%?

*What you always do before you make a decision is consult. The best public policy is made when you are listening to people who are going to be impacted. Then, once policy is determined, you call on them to help you sell it.*

*—Elizabeth Dole*

### Related Standards:

1305.3-1305.8; 1308.5



## Management Systems Workshop

### Key Points





## Where We Stand

I have completed the following section based on what I know about our program from a variety of sources, including personal observations, ongoing monitoring, program self-assessment, and other sources of information.

### Our strengths include:

[Empty yellow box for listing strengths]

### Areas for improvement include:

[Empty yellow box for listing areas for improvement]



## Planning for Change

### Synthesis Group Discussions

Based on discussions with colleagues, the information and strategies for implementation I particularly want to remember include:

### Ideas for Program Improvement

After comparing the current status of my program with information and ideas gained from the Institute, ideas for improving my program in this area include:

### Taking Action

As a leader and manager in my program, I commit to taking the following steps to lead the program in this change effort:



## Director's Professional Development

During the synthesis group meeting following your Management Systems workshop session, you will be instructed to complete the following self-assessment checklist. Read the statements and indicate whether you think you need no help, some help, or considerable help in the areas addressed by each statement.

*For leadership development to be sustained, program participants must be able to continue the learning process after returning to their turbulent, real-world environments.*

*—Gina Jernez-Broome*

After completing the checklist, go back and circle two or three statements that represent the areas where you most want to focus your professional growth and development efforts in the near future. Then, spend a few minutes considering the Reflection questions on the following page.

As you progress through the Institute sessions and experiences, you will use information from each of these tools to

begin to develop your individualized Professional Development Plan. Use the *Director's Professional Development Worksheet* on page 54 of the [Resources](#) section to record your ideas.



## MANAGEMENT SYSTEMS CHECKLIST

Use this list as a guide to help ensure you have the knowledge, understanding, skills, and abilities necessary to direct quality Head Start and Early Head Start program services. Remember, your executive director, TA provider, and the management team are all available resources you can tap to build a strong foundation.

MANAGEMENT SYSTEMS	Need No Help in this area	Need Some Help in this area	Need Considerable Help in this area
<p><b>Overall Systems</b></p> <ol style="list-style-type: none"> <li>1. Develop and implement management systems that support delivery of quality Head Start and Early Head Start services.</li> <li>2. Identify indicators of well functioning integrated management systems.</li> <li>3. Monitor systems implementation and conduct systems analysis to ensure appropriate support for service delivery.</li> <li>4. Analyze and identify effectiveness of different management systems through monitoring and self assessment data to determine need for improvement.</li> <li>5. Communicate systems thinking approach to management team.</li> </ol>			
<p><b>Planning System</b></p> <ol style="list-style-type: none"> <li>6. Develop and establish annual planning process that ensures timely delivery of quality services to children and families.</li> <li>7. Involve management team, staff, Policy Council, and governing body in program planning process.</li> <li>8. Review and analyze internal and external data for its use in planning process.</li> <li>9. Integrate and implement work plans for daily operation and service delivery to children and families.</li> </ol>			
<p><b>Communication System</b></p> <ol style="list-style-type: none"> <li>10. Establish a system for internal and external communication that is timely and responsive to organizational needs.</li> </ol>			



**MANAGEMENT SYSTEMS**

*(CONTINUED)*

- 11. Monitor quality and appropriateness of communication among management team, staff, and other stakeholders.
- 12. Ensure that communication system specific policies, procedures, and processes are established.
- 13. Identify and communicate symptoms and indicators of effective internal and external communication with management team.

**Record-keeping and Reporting System**

- 14. Establish a record keeping system that includes required information on children, staff, and program services.
- 15. Use technology to ensure efficient record-keeping and report generation.
- 16. Analyze programmatic information and use it for program planning/decision making and marketing/public relations.
- 17. Ensure quality control of record-keeping system through on-going monitoring.

**Ongoing Monitoring**

- 18. Communicate Head Start's requirements for ongoing monitoring system to management team, staff, Policy Council, and governing body.
- 19. Develop outcome-focused monitoring system that ensures proper internal controls, risk analysis and accountability of all program activities.
- 20. Ensure effective use of monitoring information for continuous program improvement and measuring program outcomes.

**Self-Assessment**

- 21. Plan, implement, and use annual self-assessment system for program planning.
- 22. Communicate self-assessment process to management team, staff, parents, Policy Council, governing body, and other community partners.
- 23. Analyze self-assessment data, develop self-assessment report and use the information for continuous program improvement.

Need No Help in this area	Need Some Help in this area	Need Considerable Help in this area



<p><b>MANAGEMENT SYSTEMS</b> <i>(CONTINUED)</i></p>	<p>Need No Help in this area</p>	<p>Need Some Help in this area</p>	<p>Need Considerable Help in this area</p>
<p><b>Human Resources</b></p> <p>24. Ensure organizational structure that supports the accomplishment of the grantee's goals and objectives.</p> <p>25. Promote an organizational culture that is supportive of staff participation, professional ethics, appreciative inquiry, and rewards continuous professional development.</p> <p>26. Encourage and promote reflective supervision that supports, challenges, and empowers program staff in realizing the agency's overall goals for quality Head Start and Early Head Start program services.</p> <p>27. Implement a structured approach to staff development that includes annual staff performance appraisals, mentoring, coaching, and individualized professional development plans.</p>			
<p><b>Eligibility, Recruitment, Selection, Enrollment, and Attendance (ERSEA)</b></p> <p>28. Understand and implement the recruitment process designed to actively inform all families with Head Start and Early Head Start eligible children within the recruitment area of the availability of services.</p> <p>29. Conduct community assessment, analyze the data, and integrate findings in program's strategic plan.</p> <p>30. Implement a system for accurate and timely tracking of daily attendance at the center-based program level; analyze the causes of absenteeism when they fall below 85% per month and routinely follow-up on a child's absence of four or more days.</p> <p>31. Ensure there is a formal process for establishing selection criteria and for selecting children and families that considers all eligible applicants.</p>			



## Professional Development—Reflection

Review the statements you have circled representing areas where you most want to pursue change and professional growth in the near future. What specific knowledge, skills, and competencies will be required of you?

**Example:** If you circled, statement #19, Develop outcome-focused monitoring system that ensures proper internal controls, risk analysis and accountability of all program activities, then you may want to learn more about the role of governing bodies or improve your skills and competencies in building partnerships with parent leaders.

What resources do you need to assist you in acquiring the knowledge, skills, and competencies you identified?

How do you plan to move forward over the next few months in this area? (Name two specific actions.)







## BEYOND THE INSTITUTE

We plan to provide support for you to continue your learning beyond the Institute, which may include video conferences on topics that were introduced at the 2005 Directors' Institute. Discussion forums, online learning with members of the TA Network on these and other topics, and teleconferences may also be part of the presentation options. You will receive more details as these events are scheduled. We would also welcome your feedback on topics and formats that would be most useful to you.

The post-Institute planned learning format will enable you to extend your learning activities throughout the year.

Learning support in an online environment may help to increase your knowledge and skills toward being a more effective Head Start or Early Head Start director.

During this process, we also hope that you will become more informed and aware of how technology tools can be used and incorporated into learning opportunities for the professional development of program staff and parents. It is important to learn how these tools give control to people in self-development, thereby enabling them to be responsible and accountable for their own professional development.

*The bottom line is that leadership shows up in the inspired action of others.*

*We traditionally have assessed leaders themselves. But maybe we should assess leadership by the degree to which people around leaders are inspired.*

*—Jack Weber*

## DIRECTORS' PROFESSIONAL DEVELOPMENT WORKSHEET

This worksheet can be used to record your ideas as you undertake the self-assessment exercises and begin to identify goals and strategies for your own professional development. An electronic copy of this worksheet is on the Resource CD-ROM so that following the Institute, you can expand on these goals and strategies, develop your personal professional development plan, and track your achievements.

Proposed Strategies/Action Steps	Timetable	Resources Needed to Succeed
<b>FINANCIAL MANAGEMENT GOAL</b>		
<b>PROGRAM GOVERNANCE GOAL</b>		
<b>MANAGEMENT SYSTEMS GOAL</b>		
<b>ADDITIONAL GOALS</b>		

## 2005 DIRECTORS' INSTITUTE BIBLIOGRAPHY

### Financial Management

*The Business of Child Care: Management and Financial Strategies.* Gail Jack. Delmar Thomson Learning (Paperback). 2004. ISBN – 1401851800 \$16.95

With the particular focus on managing enrollment, recruiting and retaining staff, budgeting, financial record keeping, and decision making, this book details the critical business elements needed to run a child care center as a financially stable enterprise. The accompanying CD-ROM offers easy to follow financial spreadsheets that can be implemented in any child care setting.

*Fiscal Management: Public Sector, Governance, and Accountability.* Anwar Shaw (editor). World Bank Publications (Paperback). 2005. ISBN – 0821361422 \$35.00

The key message of the New Institutional Economics is that incentives matter. In the public sphere, incentives for public servants and policymakers are derived from the countries accountability framework the rewards, sanctions, and measurement of performance that shape public sector performance. Fiscal Management and Accountable Public Governance applies this fundamental insight to fiscal/budgetary analysis and public service delivery, giving the reader tools and real world examples from around the globe of institutional arrangements to help citizens hold government accountable for their performance.

*Accountability Leadership: How To Strengthen Productivity through Sound Managerial Leadership.* Gerald Kraines. Career Press. 2001. ISBN – 1564145514 \$24.99.

Gerald Kraines presents a radical and revisionist point of view in support of hierarchy and accountability as tools to boost organizational productivity. Managers and their companies who have implemented this approach report such achievements as: cross-functional team aligned, flexible, and adaptive—but also focused, disciplined, and accountable; improved, free-flowing, and value-adding employee-manager communication; accurate development of each employee's full potential.

### Program Governance

*Boards That Make a Difference: A New Design for Leadership in Nonprofit and Public Organizations.* John Carver, Alan Shrader (editor). Jossey-Bass Inc., Pubs. 1990. ISBN – 1555422314 \$24.99

John Carver's groundbreaking Policy Governance model has influenced the way public and nonprofit boards operate around the world. Now, as widespread experience with the model accumulates, Carver enriches his definitive exposition with updated policy samples, a new chapter on the process of policy development, and additional resources for various types of boards.

*Governance as Leadership: Reframing the Work of Nonprofit Boards.* Richard P. Chait, William P. Ryan, Barbara Taylor. Wiley, John, & Sons, Inc. 2004. ISBN – 0471684201. \$39.00

Written by noted consultants and researchers attuned to the needs of practitioners, Governance as Leadership redefines nonprofit governance. It provides a powerful framework for a new covenant

between trustees and executives: more macro governance in exchange for less micromanagement.

*The Leadership Challenge*. James M. Kouzes, Barry Z. Posner. Jossey-Bass Inc., Pubs. (3rd Edition) (Paperback). 2003. ISBN – 0787968331 \$19.95

Drawing on interviews and a questionnaire survey of more than 3000 leaders, the authors identify five fundamental practices of exemplary leadership: challenge the status quo; inspire a shared vision; enable others to act; model the way forward by setting an example; tap individuals' inner drives by linking rewards and performance. This new edition has been substantially updated to reflect the challenges of shrinking work forces, rising cynicism and expanded telecommunications. An appendix includes the author's Leadership Practices Inventory, a tool for assessing leadership behavior.

## Management Systems

*The Visionary Directors: A Handbook for Dreaming, Organizing, & Improvising in Your Center*. Margie Carter, Deb Curtis. Redleaf Press (Paperback). ISBN – 1884834558 \$30.95

The Visionary Director will make an immediate impact on the quality of early childhood programs by helping directors generate and implement enduring, meaningful visions for their centers. The book is filled with real world examples, inspiring quotations, and a wealth of creative and practical ideas.

*The Essential Drucker: The Best of Sixty Years of Peter Drucker's Essential Writings on Management*. Peter Drucker. HarperCollins (Paperback). 2003. ISBN – 006093574X. \$17.95  
Between the thoughtful Management as Social and Liberal Art through the provocative From Analysis to Perception – The New Worldview, this book revisits some of modern management's most inspired writing and presents it in a way that should appeal to both newcomers and those needing a refresher course on Drucker's basic beliefs.

*Managing the Non-Profit Organization: Principles and Practices*. Peter Drucker. Harper Business (2nd Edition) (Paperback). 1992. ISBN – 0887306012 \$16.95

The book provides examples and explanations of mission, leadership, resources, marketing, goals, people development, and decision-making. It includes interviews of nine experts that address key issues in the non-profit sector.

*The Accountability Revolution: Achieve Breakthrough Results in Half the Time*. Mark Samuel. Facts on Demand Press (Paperback). 2001. ISBN – 1889150274 \$17.95

Samuel provides guidance to today's managers — including goal setting, giving honest feedback, and methods for recovering from unforeseen difficulties. As a result, workers find they can learn new skills and make whatever changes the company needs to keep up with new demands. The Accountability Revolution creates empowered workers who are confident and secure in the knowledge that their managers will guide and support them.

## Early Head Start Technical Assistance Papers

The following Technical Assistance papers and Program Strategies papers can be downloaded from the Early Head Start National Resource Center (EHS NRC) website [www.ehsnrc.org](http://www.ehsnrc.org) or they can be ordered from Head Start Information and Publication Center (HSIPC). Many of the papers are available in English and Spanish.

EHS NRC Technical Assistance Paper No. 2

*Early Head Start Home-based Program Option: Recruiting, Training, and Retaining High Quality Staff.*

Documento de Asistencia Técnica num. 2

*Opcion de Programa Early Head Start Basado en el Hogar (pdf)*

EHS NRC Technical Assistance Paper No. 3

*Giving Children the Earliest Head Start: Developing an Individualized Approach to High-Quality Services for Pregnant Women.*

Documento de Asistencia Técnica num. 3

*Early Head Start para Niños Desde la más Temprana Edad: Cómo Desarrollar una Estrategia Individualizada de Servicios de Alta Calidad para Mujeres Embarazadas (pdf)*

EHS NRC Technical Assistance Paper No. 4

*Developmental Screening, Assessment, and Evaluation: Key Elements for Individualizing Curricula in Early Head Start Programs*

Documento de Asistencia Técnica num. 4

*Examen Sistemático, Evaluación Funcional y Evaluación Final del Desarrollo: Elementos Clave para la Individualización de Currículos de Programas Early Head Start.*

EHS NRC Technical Assistance Paper No. 5

*Linguistic Diversity and Early Literacy: Serving Culturally Diverse Families in Early Head Start*

Documento de Asistencia Técnica num.5

*Diversidad Lingüística y Alfabetización a Temprana Edad: Asistencia a Familias con Diversidad Cultural en Early Head Start.*

EHS NRC Technical Assistance Paper No.6

*The Foundations for School Readiness: Fostering Developmental Competence in the Earliest Years*

EHS NRC Technical Assistance Paper No.7

*A Holistic Approach to Health and Safety*

EHS NRC Technical Assistance Paper No.8

*Early Head Start and Head Start Partnerships: Building a Birth to Five Head Start Program (not yet available via our website, but can be ordered through HSIPC).*

## Early Head Start Technical Assistance Papers

*The Family Partnership Agreement Process*

*Staff Development*

*Responding to the Mental Health Needs of Infants, Toddlers, and Families*

*Socializations for Infants and Toddlers in the Home-Based Program Option*

## THE 2005 DIRECTORS' INSTITUTE PROFESSIONAL LIBRARY

See the *Beyond the Institute* tab for a complete listing of all titles and resources.

All of the Head Start resources are available through Head Start Information and Publication Services (HSIPC). Visit them at [www.headstartinfo.org](http://www.headstartinfo.org) For National Highway Transportation Safety Administration resources, please visit [www.nhtsa.gov](http://www.nhtsa.gov)

### *Cultivating Successful Management Teams*

A training guide, created for directors and program managers, looks at internal systems in an effort to offer quality services.

### **EHS Home-Based Series**

- *Home-Based Supervisor's Manual*  
The information, materials, and strategies that support supervisors' work with home visitors.
- *Home-Visitor's Handbook for the Head Start Home-Based Program Option*  
The effectiveness of home visiting as a service delivery method; frequently asked questions of home visitors; relationship-building process with families; and how to get support are detailed.
- *Parent's Guide to the Home-Based Program Option*  
Designed to give parents a clear understanding of the home-based program.
- *Program Administrator's Checklist for the Head Start Home-Based Program Option*  
A tool to help Early Head Start Program Directors assess whether the Head Start home-based program option is appropriate for the community they serve.

### *Fiscal Assistant Brochure & Bookmark*

These pieces of promotional literature describe the web site that provides authoritative information on the administration and management of Head Start grants.

### *Fostering Program Governance*

Head Start Directors, managers, parents and volunteers are oriented to the duties and responsibilities of Policy Councils and boards through this technical training guide.

### The Head Start Act

The Act extends legislative authority for the appropriation of funds to promote school readiness through development of children's social and cognitive skills. The legislation provides educational, nutritional, social, and other services to low-income children and their families based on family need assessments.

### *Head Start 101 Toolkit*

Three key elements: a leadership training program that explores Head Start's core values, the Head Start Act and the regulations and Program Performance Standards that govern Head Start programs are grouped here.

*HSB Evaluation Handbook*

This companion handbook to the *Program Manager's Guide to Evaluation* answers program managers' questions about evaluation and how to make evaluation benefit programs, staff and families.

*Leading Head Start into the Future*

A technical training guide designed to build self-awareness using tools to assess organizational needs and identifying and modeling the characteristics of effective leaders.

*Moving Ahead Guide—Section on Program Systems and Supporting Fiscal Management*

The competency-based training experience is designed to support skill areas critical to Head Start program success.

*Nurturing the Promise*

These transparencies and video materials are designed to assist individuals conducting training on the implementation of the Head Start Program Performance Standards.

*Participating in the Management Process*

This foundation guide introduces Head Start staff and parents to the concepts that management is a team process; everyone plays a part in achieving a quality program; and change is an element that Head Start programs must continuously address.

*Planning and Reviewing for Success*

The importance of program evaluation is emphasized in this technical training guide.

*PRISM 2006*

The process and procedure used in onsite monitoring of Head Start programs.

*Program Manager's Guide to Evaluation*

A guide that provides information and instructions to help get the most out of evaluation efforts.

*2005 Head Start Statistical Fact Sheet*

This tri-fold fact sheet contains a compilation of statistics and data on Head Start programs gathered from the annual Program Information Report (PIR).

*The Building Blocks for Father Involvement*

These five booklets and companion videos outline the steps to develop a strong father involvement program. Head Start staff members will find these resources helpful in developing and/or enhancing the father involvement program in their center.

*Proper Use of Child Safety Restraint Systems on School Buses*

This brochure illustrates some of the common mistakes made when installing and using child safety restraint systems in school buses, and provides information on how to properly use child safety restraint systems in school buses. The brochure can be ordered at <http://www.nhtsa.dot.gov/people/outreach/media/catalog/Index.cfm> or by fax at 202-493-2062.

*Guideline for the Safe Transportation of Pre-school Age Children in School Buses*

This Guideline, released by NHTSA in February 1999, was developed to assist school and other transportation managers in developing and implementing policies and procedures for the transportation of pre-school age children in school buses. The document is available on NHTSA's website, <http://www.nhtsa.dot.gov/people/outreach/media/catalog/Index.cfm> or by fax at 202-493-2062

