Head Start A to Z

Program Governance

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Key Message

Relationship building is at the heart of effective leadership.
Nifty Notes
Session Outcomes

• Understand the origins of Head Start Program Governance

• Understand the composition of the governance structure and the roles and responsibilities as outlined in the 2007 Head Start Act

• Understand how the governance and management entities work collaboratively

• Gain knowledge of Program Governance tools
Head Start:
A Historical Perspective

Systems Are Linked

- Planning
- Program Governance
- Self-Assessment
- Record-keeping & Reporting
- Ongoing Monitoring
Systems Are Linked

- Planning
- Program Governance
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- Ongoing Monitoring
Head Start ProgramAuspices

- Private/Public Non-Profit: 1,150
- Community Action Agency (CAA): 870
- School System: 433
- Tribal Government or Consortium: 195
- Governance Agency (Non-CAA): 189
- Private/Public For-Profit: 11
- Charter School: 1
- No Data Available: 1

2,850 Programs in total from Head Start PIR Summary Report 2014
Program Governance Monitoring Citations

2013-2014

- Conduct of Responsibilities: 52%
- GB/PC Responsibilities: 19%
- GB/PC Composition: 19%
- T/TA: 6%
- GB/PC Conflict of Interest: 4%

n= 126

Source: Head Start Enterprise System, Triennial Reviews, 1/8/2015
Is Your Program Experiencing Challenges in these Areas?

• Management sharing all necessary information to the Policy Council and governing body

• Ensuring that Policy Council and governing body understand and execute all of their responsibilities

• Policy Council and governing body composition reflects the expectations in the Head Start Act

• The program has a comprehensive and ongoing TTA plan to support the work of members of the governance system
Current Realities
Head Start/Early Head Start Program Governance

• The Head Start Act of 2007 describes the **composition and roles and responsibilities** of Head Start/Early Head Start agency governing bodies and Policy Councils with regard to **program design, planning, monitoring, and oversight**.

• The Act, in conjunction with the Head Start Program Performance Standards, describes performance expectations regarding program management.

• This is Head Start **governance**.
Head Start Governance and Management Composition

Governing Body/Tribal Council

The governing body shall be composed as follows:
- Not less than 1 member shall have a background and expertise in fiscal management or accounting.
- Not less than 1 member shall have a background and expertise in early childhood education and development.
- Not less than 1 member shall be a licensed attorney familiar with issues that come before the governing body.

Additional members shall—
- reflect the community to be served and include parents of children who are currently, or were formerly, enrolled in Head Start programs;
- are selected for their expertise in education, business administration, or community affairs.

Policy Council

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

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

Management Staff

May include:
- Executive director
- Chief financial officer
- Head Start director
- Key HS management staff
Mission Possible Instructions

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

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

Adopt practices to ensure active, independent and informed governance:
• Governing body bylaws
• Procedures for accessing and collecting information
• Written standards of conduct, including conflicts of interest and complaints
• Procedures for selecting Policy Council members
• Advisory committees

Take Action:
• Hire/terminate Head Start Director and other lead staff
• Establish impasse procedures

Policy Council
Assumes Responsibility for Head Start Program Direction

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Provide Legal Oversight:
• Ensure compliance with federal laws and state, tribal, and local laws

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

*Reports that are generated and used by management, then shared with and used by Policy Council and governing body:
• HHS secretary communication
• Financial statements
• Program information summaries
• Enrollment
• USDA
• Financial audit
• Self-Assessment
• Community assessment
• PIR

April 22, 2014
Head Start Governance and Management Responsibilities

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- Procedures for selecting Policy Council members
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Select:
- Delegate agencies and the service areas for such agencies

Establish:
- Procedures and criteria for recruitment, selection, and enrollment

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

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

Receive and Use:
- Annual, monthly, and periodic reports*

Policy Council
Assumes Responsibility for Head Start Program Direction

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

Receive and Use:
- Annual, monthly, and periodic reports*

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

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

Provide Legal Oversight:
- Ensure compliance with federal laws and state, tribal, and local laws

Provide Leadership and Strategic Direction:
- Focus on Self-Assessment
- Develop, plan, and evaluate the Head Start program

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

April 22, 2014
Mission Possible Debrief

• Step back and look at your work; do you have any reflections about the different roles and responsibilities of the governing body, Policy Council, and management staff?

• How did your team do with this assignment?

• What was the hardest part about this activity?
Governing Body Reminders

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

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

• The Policy Council is a unique aspect of Head Start program governance; it supports active parent engagement in the design of the Head Start program.

• The governance structure and processes ensure that the Policy Council is involved in decision-making in a meaningful way.

• Policy Council members provide leadership and help shape the future of the Head Start program.
Communicating Head Start Impacts

- Sec 644(a)(2)(a-h)—Each Head Start agency shall make available to the public a report disclosing specific program and financial information
### Governance Readiness Tool
- Online fillable PDF on ECLKC
- Describes 15 indicators of high-functioning governing bodies
- HS/EHS governing bodies and executive directors complete together
- Helps organizations' governing bodies and leaders assess their capacity to effectively oversee a Head Start/Early Head Start program.
- Information used to focus future TTA efforts

### Governance Leadership, Oversight Capacity Screener (OHS Product)
- Online fillable PDF on ECLKC
- To be completed by all newly funded HS/EHS grantees, within 60 days of receiving notification of five-year award
- For veteran programs, reflects the Head Start requirements for program governance to help organizations identify where they need to make changes for quality improvement.
- For newly-funded programs, identifies where programs need to focus their start-up efforts to put a HS program governance system in place

### Governance Training Module (under development)
- User determines their progress on their HS leadership journey; this assessment points them to specific skill-building activities
- Five e-learning training activities for both Policy Council and governing body members:
  1. Fulfill Your Role
  2. Ask the Right Questions
  3. Make Meaningful Decisions
  4. Envision a Better Future
  5. Be an Ambassador
- Each activity outlines key concepts on particular governance-related topics important to governing bodies and Policy Council members

### Head Start Governing Body and Tribal Council Certification
- Five self-paced sections that total about 100 minutes
- Supports new governing body and Tribal Council members, as well as Head Start directors and executive directors in:
  - Learning about the history and mission of Head Start
  - Understanding Head Start governance regulations, systems and procedures
  - Embracing their legal and fiscal responsibilities
Governance Readiness Tool

Helps organizations' governing bodies and leaders assess their capacity to effectively oversee a Head Start/Early Head Start program.
Governance, Leadership and Oversight Capacity Screener

Reflects the Head Start requirements for program governance to help organizations identify where they need to make changes for quality improvement.
Supports new governing body and Tribal Council members, as well as Head Start directors and executive directors in:

• Learning about the history and mission of Head Start

• Understanding Head Start governance regulations, systems and procedures

• Embracing their legal and fiscal responsibilities
Final Thoughts

• Relationship of the three entities
• Responsibilities of the three entities
• Current and upcoming governance tools
Final Questions

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

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