

HEAD START AND EARLY HEAD START PROGRAM GOVERNANCE

PUTTING IT ALL TOGETHER TO GET THE RIGHT THINGS DONE RIGHT FOR CHILDREN AND FAMILIES



Tell me and I'll forget. Show me, and I may not remember. Involve me, and I'll understand.

— Native American Proverb

Presented by:

**In support of
American Indian/Alaska Native Region XI**

Organization of Presentation

Module I: Head Start/Early Head Start Grant Basics
Module II: Governance – The Foundation



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Module I: Head Start/Early Head Start Grant Basics



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Structure and Organization of National Head Start/Early Head Start Program

- The Head Start and Early Head Start Programs are administered by the Office of Head Start (OHS), Administration for Children and Families (ACF), Department of Health and Human Services (DHHS).
- Grants are awarded by the ACF Regional Offices including OHS' two newest Regions: Region XI serving American Indian/Alaska Native populations and Region XII serving Migrant and Seasonal Farmworker populations.
- Grants are awarded directly to local public agencies, private organizations, federally recognized American Indian and Alaska Native Tribes and school systems for the purpose of operating Head Start and Early Head Start programs at the community level.



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A Little Bit of History . . .

- Project Head Start, launched as an eight-week summer program by the Office of Economic Opportunity in 1965. It was designed to help break the cycle of poverty by providing preschool children of low-income families with a comprehensive program to meet their emotional, social, health, nutritional, and cognitive development needs.
- In 1969, Head Start was transferred from the Office of Economic Opportunity to the Office of Child Development in the U.S. Department of Health, Education and Welfare, and has now become a program within ACF in DHHS. A well-established, though still an innovative program, Head Start has had a strong impact on communities and early childhood programs across the country.
- In 2008, Head Start has grown to over 1600 grantees, with more than 49,000 classrooms serving over 900,000 children. Fact sheets with the most recent funding and demographic information are available on the ACF website under "Head Start Program fact Sheets." Since its inception in 1965, the Head Start program has enrolled more than 23 million children.



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Head Start Act and Regulations

The Head Start Act (the Act) authorizes the appropriation of Federal funds at specific levels nationally for distribution to local programs.

- The Act spells out the purposes of the Head Start and Early Head Start programs, the types of services to be provided, populations intended to be served, reporting and evaluation requirements, and necessary administrative requirements.

Head Start Regulations have been promulgated in order to implement requirements of the Act.

- The Head Start regulations can be found at 45 CFR Parts 1301-1311.
- Supplementing these regulations are government-wide grants regulations. Those that apply to Tribal governments can be found at 45 CFR Part 92.



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- Head Start and Early Head Start agencies (grantees) must operate Head Start and Early Head Start programs in accord with the requirements of the Act, the Head Start regulations, and applicable government-wide grant regulations.
- It is important for governing bodies, policy councils, and program management staff to be familiar with and to follow these requirements.



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Additional fiscal requirements

- **OMB Circulars:** The Office of Management and Budget (OMB) publishes instructions and information on the management of Federal grants in the form of OMB Circulars. OMB Circular A-102 applies to Tribal grantees.
- **Cost Principles:** 2 CFR 225 (formerly Circular A-87)-- Establishes principles and standards to provide a uniform approach for determining costs and to promote effective program delivery, efficiency, and better relationships between governmental units and the Federal government. The principles are for determining allowable costs only. They are not intended to identify the circumstances or to dictate the extent of Federal and governmental unit participation in the financing of a particular Federal award.
- **Audit Requirements:** (OMB Circular A-133)-- Sets forth standards for obtaining consistency and uniformity among Federal agencies for the audit of states, local governments, and non-profit organizations expending Federal awards.



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The Head Start Act, regulations, OMB Circulars, Cost Principles, and Audit requirements each have the force and effect of law and are mandatory.



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Guidance and Policy

- OHS issues policy interpretations to help Head Start programs achieve compliance with various Head Start legal requirements. These recommendations are called **Program Instructions (PIs)**
- OHS disseminates information relevant to all Head Start programs around the country using **Information Memoranda (IMs)**. IMs serve as guidance and are informational. They provide grantees with recommendations, tools, models, and techniques which may be used for program improvement and development.



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Please Note . . .

The current Head Start Act was enacted in 2007 and the last substantial revisions of the Head Start regulations were promulgated in 1998. Therefore, the requirements of the Act take precedence over what is stated in the regulations.



Basics of Grants Management

A grantee operating a Head Start/Early Head Start program in a given community will continue to receive funding to operate such program for five years grant periods unless:

- It is determined such grantee must submit to competition to be designated for an additional 5-year period, (regulations forthcoming); or
- The Head Start/Early Head Start grant is ended involuntarily (termination) or ended voluntarily (relinquishment).

^a Section 641 (c)(7)(B) of the Act describes special procedures for application of this requirement to American Indian/Alaska Native grantees



Basics of Grants Management

The Financial Assistance Award (FAA) is the official award document that notifies grantee agencies and others of the award. This document also incorporates the terms and conditions of the award and supports the obligation of funds in the accounting system. The Grants Officer is responsible for preparing, signing and issuing the FAA.



Basics of Grants Management

The Grant Application Budget Instrument (GABI) mirrors the paper application and allows grantee agencies to submit their applications on line. The application can be uploaded directly to OHS. GABI must be used, and electronically submitted for all funding applications.



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Basics of Grants Management

- Upon receipt of the FAA document, grantees should verify that the approved budget categories match the submitted budget document for possible changes or adjustments. Changes by the funding agency will generally be noted in the "Comments" section.
- Except for changes requiring prior approval, grantees may transfer funds between and among the line item categories of the grantee/delegate agency approved budget(s), provided the funds are used for allowable program costs. In other words, where there is no specific prior approval requirement, a grantee has the flexibility to shift funds among budget categories (as long as such shifts do not result in under funding of critical program activities or changes to the scope of proposed operations). No transfers may be made that would cause the funds to be used for purposes other than those intended even though the cost is allowed by the Circulars.

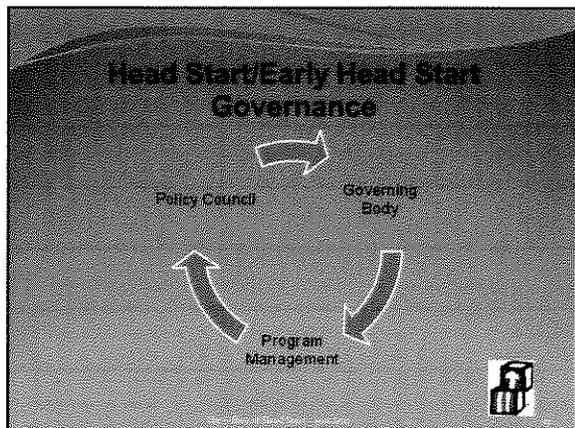


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Module II: Governance – The Foundation



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♦ Governance requirements describe what has to be in place structurally in order to accomplish results for children and families, including school readiness. All parts of the governance structure must *be engaged with the Head Start/Early Head Start program.*



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♦ The Head Start Act describes the roles and responsibilities of Head Start/Early Head Start agency governing bodies and policy councils with regard to program design, planning, monitoring, and oversight and the Act, in conjunction with the Head Start program performance standards, describes performance expectations regarding program management. This is Head Start *governance*.



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Head Start agency governing bodies AND policy councils must:

1. **Understand** Head Start/Early Head Start program and fiscal information.
2. **Effectively participate** in Head Start/Early Head Start programs.
3. **Effectively oversee** Head Start/Early Head Start programs.



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Governing Body Composition Requirements
Sec. 642 (c)(1)(B)

(B) COMPOSITION- The governing body shall be composed as follows:

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



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Governing Body Composition Requirements
Exceptions

The general governing body composition requirements do not apply when:

- Governing body members oversee a public entity.

OR

- Governing body members are selected to their positions with the public entity by public election or political appointment.



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**Governing Body Composition Requirements
Mandatory**

In all cases where governing body membership does not include:

- an individual with a background and expertise in financial management or accounting OR
- an individual with a background and expertise in early childhood education and development OR
- a licensed attorney, THEN

The governing body must use a consultant, or another individual with the relevant expertise who must be available to work directly with the governing body.



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**Policy Council Composition and Selection Requirements
Sec. 642 (c)(2)(B)**

(B) COMPOSITION AND SELECTION-

(i) 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.

(ii) The policy council shall be composed of—

(I) 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

(II) 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.



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**Governing Body Responsibilities
Sec. 642 (c)(1)(E)**

The Head Start Act describes the primary role of governing bodies as having legal and fiscal responsibility for the Head Start agency and Head Start programs (sec. 642 (c)(1)(A) and 642 (c)(1)(E)(i)) as well as for three other areas:

- (1) Practices that assure active, independent, and informed governance. (Sec. 642 (c)(1)(E)(ii))
- (2) Compliance with Federal requirements and applicable State, Tribal, and local law. (Sec. 642 (c)(1)(E)(iii))
- (3) Responsibilities in eleven specific enumerated areas related to program administration and oversight. (Sec. 642 (c)(1)(E)(iv))



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Legal and fiscal responsibility for Head Start/Early Head Start programs.
(Sec. 642 (c)(1)(E)(i))

Governing bodies have "legal and fiscal responsibility for administering and overseeing programs . . . including the safeguarding of Federal funds."



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Practices that assure active, independent, and informed governance.
Sec. 642 (c)(1)(E)(ii)

Governing bodies must "adopt practices that assure active, independent, and informed governance . . . and fully participate in the development, planning, and evaluation of the Head Start programs involved."



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Compliance with Federal requirements and applicable State, Tribal, and local law
Sec. 642 (c)(1)(E)(iii)

Governing bodies must "be responsible for ensuring compliance with Federal laws (including regulations) and applicable State, Tribal, and local laws (including regulations)."



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Policy Council Responsibilities
 Sec. 642 (c)(2)(D) cont.

- Bylaws for the operation of the policy council.
- Program personnel policies and decisions regarding the employment of program staff, consistent with governing body responsibilities, including standards of conduct for program staff, contractors, and volunteers and criteria for the employment and dismissal of program staff.
- Developing procedures for how members of the policy council of the Head Start agency will be elected.
- Recommendations on the selection of delegate agencies and the service areas for such agencies.



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Joint governing body and policy council responsibilities

Section 642 (d)(2) requires each Head Start/Early Head Start agency to ensure governing bodies and policy councils receive and share "accurate and regular information . . . about program planning, policies, and Head Start agency operations."



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Information that must be shared and used by governing bodies and policy councils:

- Monthly financial statements, including credit card expenditures
- Monthly program information summaries
- Program enrollment reports, including attendance reports for children whose care is partially subsidized by another public agency
- Monthly reports of meals and snacks provided through programs of the Department of Agriculture
- The financial audit
- The annual self-assessment, including any findings related to such assessment
- The communitywide strategic planning and needs assessment of the Head Start agency, including any applicable updates
- Communication and guidance from the Secretary
- Program information reports



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What staff members are included in the term 'Head Start program management'?

Head Start/Early Head Start program management includes all those program staff with responsibilities for service area oversight and management including:

- Head Start/Early Head Start Program Director
- Education Manager/Coordinator
- Disabilities Manager/Coordinator
- Family Services Manager/Coordinator
- Health Services Manager/Coordinator
- Mental Health Services Manager/Coordinator



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Head Start program management must ensure—

- Supervision and oversight of staff and volunteers.
- Completion of program and fiscal reports for the use of governing bodies and policy councils.
- Implementation of agency-established school readiness goals and objectives.
- Implementation of any agency-established improvement plan required to strengthen areas identified in the program self-assessment as weaknesses or areas needing improvement.
- Establishment and implementation of management systems to support full implementation of applicable Head Start statutory and regulatory requirements.



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