Head Start A-Z
Program
Governance

Nifty Notes

Session Outcomes

• Participants will understand the origins of Head Start Program Governance

• Participants will understand the composition of the governance structure and the roles and responsibilities as outlined in the 2007 Head Start Act.

• Participants will understand how the three governance entities work collaboratively.

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


Child and Family Outcomes

Systems Are Linked
FY 2012 Program Governance Findings

- 29%: Governing Board/Policy Council (GB/PC) Composition
- 41%: Governing Board/Policy Council (GB/PC) Responsibilities
- 16%: Conduct of Responsibilities
- 9%: T/TA
- 5%: Other

Inquiring Minds Want to Know

- Failure to provide T/TA to governing body and policy council with regards to their roles and responsibilities.
- Failure to share information with the governing body about monthly credit card expenditures and the USDA monthly report.
- Failure to ensure governing body and policy council understand their roles and responsibilities.
- Failure to establish procedures and criteria for recruitment, selection, and enrollment of children.
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 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.

Governing Body/ Tribal Council
The governing body shall be composed as follows:

- A minimum of 1 member shall have a background and expertise in fiscal management or accounting.
- A minimum of 1 member shall have a background and expertise in early childhood education and development.
- A minimum of 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.
- Include individuals with expertise in education, business administration, or community affairs.

Management Staff

Policy Council
The policy council shall be composed of:

- Parents of children currently enrolled in all program options of the Head Start agency.
- Parents of children who were formerly enrolled in the Head Start agency.
- Members at large of the community served by the Head Start agency.

May include:
- Head Start Director
- Chief Fiscal Officer
- Senior 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
**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?

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**Governing Body Reminders**

Because governing bodies are responsible for compliance with Head Start program requirements, they should:

- Be active participants in decisions affecting Head Start/Early Head Start programs to ensure continual compliance
- Review all federal monitoring review reports and audit reports and be actively involved in full correction of any monitoring and audit findings
- Be actively involved in the annual self-assessment of Head Start/Early Head Start programs

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**Policy Council Reminders**

- The Policy Council is a unique aspect of Head Start program governance; it supports active parent engagement in the program design of the Head Start program
- Not unlike the governing body, the Policy Council should be actively involved in the annual Self-Assessment of Head Start/Early Head Start program
- It is also important for policy council members to have enough time to digest and make decisions on the information in reports
### Information that Must be Shared and Used by Governing Bodies and Policy Councils

Sec. 642 (d)(2)(A-I)

- 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

### Reporting Requirements in the 2007 Act

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

- Sec 642(c)(1)(E)(iv)(IV) - Governing body shall be responsible for other activities, including establishing procedures and guidelines for accessing and collecting information described in subsection (d)(2)

### Sequestration

- Policy Council
  - Assumes Responsibility for Head Start Program Direction
- Governing Body/Tribal Council
  - Assumes Fiscal and accountability for Head Start Program Funding of Federal Funds
- Management Staff
  - Assumes Operating Responsibility for Head Start Day to Day Functions
Extend Your Knowledge

• Governance Readiness Tool
• Governance, Leadership, and Oversight Capacity Screener
• Governance System Builder Tools (in development)
• Governance e-Learning Skill Building Modules (in development)
• Governance Certification Tool (in development)

Final Thoughts

• Relationship of the 3 entities
• Responsibilities of the 3 entities
• Current and upcoming governance tools
• How will your newly acquired knowledge impact your daily practices?
• What were your aha moments?
• Any questions?

Thank You!!

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2012 Program Governance Findings

Source: Head Start Enterprise System, 3/28/2013 time: 4:31 pm (EST)
Head Start Governance Responsibilities

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 incl. reimbursement and participation in Policy Council activities
  - Policy Council by-laws
  - Head Start program personnel policies including criteria for employment and dismissal of program staff
  - Policy Council election procedures
  - Recommendations on delegates/service areas
  - Annual, monthly, and periodic reports*

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

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

Take Action:

- **Hire/terminate**
  - Head Start director
  - and other lead staff

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**

Select:

- Delegate agencies and the service areas for such agencies

Establish:

- Procedures and criteria for recruitment, selection, and enrollment

Review and Approve:

- Major policies and procedures including Self-Assessment, financial audit, and personnel policies
- All funding applications and amendments
- Progress on implementing Head Start grant including corrective actions
- Major expenditures
- Operating budget
- Selection of auditor
- Actions to correct audit findings
- Monitoring findings and follow-up activities
- Annual, monthly, and periodic reports*

Governance 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 by-laws
  - Impasse policies
  - 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:
  - Generate and use annual, monthly, and periodic reports*

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

March 10, 2013
Inquiring Minds Want to Know

• Failure to provide T/TA to governing body and Policy Council with regards to their roles and responsibilities

• Failure to share information with the governing body about monthly credit card expenditures and the USDA monthly report

• Failure to ensure governing body and Policy Council understand their roles and responsibilities

• Failure to establish procedures and criteria for recruitment, selection, and enrollment of children
Mission Possible Activity Instruction Sheet

Instructions:

➢ Your mission, if you choose to accept it, is to work with your Mission Possible Team to create a Venn diagram that illustrates the roles and responsibilities of the governing body, management staff, and Policy Council.
➢ Each team has a partially completed Venn diagram, with three overlapping circles representing the
  o Head Start governing body/Tribal Council,
  o Policy Council, and
  o management staff.
➢ You have some information already in the diagram, but you will need to add the “intel” from your envelopes to complete the diagram with your team.
➢ You and your team members should refer to the Head Start Program Governance Reference Book when deciding where each role and responsibility belongs.
➢ You have 20 minutes to complete the task.

Clues:

➢ There are 11 tasks for the governing board/Tribal Council (GB/TC).
➢ There are 9 tasks for the Policy Council (PC).
➢ There are 7 tasks for the management staff (Mgmt.).
➢ Some of the roles and responsibilities are common to more than one group:
  o There are 3 tasks that intersect all three groups (GB/TC, PC, Mgmt.).
  o There is 1 task that interconnects with GB/TC and PC.
  o There is 1 task that interconnects with GB/TC and Mgmt.
## Intel for Mission Possible Activity

<table>
<thead>
<tr>
<th>Task Description</th>
<th>Result Description</th>
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<tbody>
<tr>
<td>Select delegate agencies and the service areas for such agencies.</td>
<td>Review and approve major expenditures.</td>
</tr>
<tr>
<td>Review and approve progress on implementing the Head Start grant, including</td>
<td>Establish procedures and criteria for recruitment, selection, and enrollment.</td>
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<td>corrective actions.</td>
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<tr>
<td>Approve and submit to the governing body decisions regarding budget planning,</td>
<td>Review and approve major policies and procedures, including Self-Assessment,</td>
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<td>including reimbursement and participation in Policy Council activities.</td>
<td>financial audit, and personnel policies.</td>
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<td>Take action to supervise staff.</td>
<td>Focus on Self-Assessment.</td>
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<tr>
<td>Approve and submit to the governing body decisions regarding activities for</td>
<td>Approve and submit to the governing body decisions regarding Policy Council bylaws.</td>
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<td>parent involvement/engagement.</td>
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<tr>
<td>Approve and submit to the governing body decisions regarding recommendations on</td>
<td>Take action to generate and use annual, monthly, and periodic reports.</td>
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<td>delegates/service areas.</td>
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<tr>
<td>Review and approve all funding applications and amendments.</td>
<td>Develop, plan, and evaluate the Head Start program.</td>
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<td>Provide legal oversight: ensure compliance with federal laws and state, tribal,</td>
<td>Review and approve monitoring findings and follow-up activities.</td>
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<td>and local laws.</td>
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<tr>
<td>Approve and submit to the governing body decisions regarding annual, monthly,</td>
<td>Take action to hire/terminate Head Start director and other lead staff.</td>
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<td>and periodic reports.</td>
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<td>Review and approve the operating budget.</td>
<td>Provide leadership and strategic direction.</td>
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<tr>
<td>Approve and submit to the governing body decisions regarding Head Start program</td>
<td>Approve and submit to the governing body decisions regarding program recruitment,</td>
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<tr>
<td>personnel policies, including criteria for employment and dismissal of program</td>
<td>selection, and enrollment priorities.</td>
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<td>staff.</td>
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<tr>
<td>Take action to provide T/TA to the governing body/Tribal Council and Policy</td>
<td>Take action to share reports with the Policy Council and the governing body/Tribal</td>
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<tr>
<td>Take action to implement policies.</td>
<td>Take action to monitor compliance.</td>
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<tr>
<td>Approve and submit to the governing body decisions regarding funding applications/amendments.</td>
<td>Approve and submit to the governing body decisions regarding Policy Council election procedures.</td>
</tr>
<tr>
<td>Review and approve annual, monthly, and periodic reports.</td>
<td>Review and approve actions to correct audit findings.</td>
</tr>
<tr>
<td>Take action to develop procedures.</td>
<td>Review and approve the selection of an auditor.</td>
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</table>
Head Start Governance 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 by-laws
- Impasse policies
- Procedures for accessing and collecting information
- Written standards of conduct including conflicts of interest and complaints
- Procedures for selecting Policy Council members
- Advisory committees

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

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

*Reports that are generated and used by management, then shared and used by Policy Council and governing body:
- HHS secretary communication
- Financial statements
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March 10, 2013
Head Start Program Governance

Background

Head Start Program Governance is one of the 10 management systems within Head Start programs. Each of the 10 systems plays a critical role in supporting quality Head Start services that lead to positive outcomes for children and families.

New directors and leaders will want to become familiar with the unique characteristics of Head Start Program Governance so they can actively ensure that their program’s overall governance system is effective and strong. Grantee organizations that build a strong governance system, define governance processes, and work to establish positive relationships among all three of the Head Start governing entities are better equipped to respond to problems in their program and deliver high-quality Head Start services to their children and families.

The first step to establishing a strong Head Start governance system is to understand the requirements of the Head Start Act of 2007 and the Head Start Program Performance Standards related to the governing body and the Policy Council: their composition, their roles and responsibilities, and the appropriate ways for both entities to carry out their responsibilities. Head Start directors and leaders should take stock of their program’s governance system and determine if changes or improvements need to be made so their system reflects the intent of Head Start law and regulations. A strong governance system also will foster an environment that supports innovation and continuous program improvement.

Head Start Program Governance is both unique and complex and includes three separate entities: (1) the governing body/Tribal Council, (2) the Policy Council, and (3) the management staff. New Head Start directors and leaders will learn to appreciate the strong history of Head Start and the role that families and community representatives have always played in establishing the direction of their program. This coordinated effort is accomplished through the Policy Council, whose elected members include parents of currently enrolled children and other community members.

Head Start leaders also must ensure that the governing body/Tribal Council and Policy Council each have a membership that complies with the Head Start Act, Sec.642 (c) (1) (B). They must also ensure that the governing body/Tribal Council and Policy Council obtain ongoing training and technical assistance so that the members can fully understand and fulfill their roles and responsibilities.
In addition, Head Start leaders need to ensure that they have processes in place to provide timely information to the Policy Council and governing body to allow for informed decision-making. In particular, the decision-making process should include the executive director, governing body, Policy Council, parent committees, and Head Start managers. Grantees that have a strong program governance system ensure that they have the right structure, the right people, and the right practices. Historically, Head Start has designed the right structure and included the right people.

**Program Governance System Components**

Program Governance represents one of the 10 Head Start management systems directly related to successful outcomes for children, families, programs, and communities. The Head Start Program Governance system is the foundation of the organization and arguably one of its most critical entities.

The Program Governance system in essence entails

1. composing a governing body/Tribal Council according to Head Start mandate,
2. establishing a clear understanding of the roles and responsibilities of the three governance entities, and
3. continuously strengthening the Program Governance system in order to achieve desired outcomes for children and families in the communities served.

Head Start leaders need to ensure that their programs meet the requirements of the Head Start Act 2007 with regards to their governing body and their Policy Council: the composition, roles and responsibilities, and the conduct of responsibilities of both of these important entities.

**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.

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

(v) Exceptions shall be made to the requirements of clauses (i) through (iv) for members of a governing body when those members oversee a public entity and are selected to their positions with the public entity by public election or political appointment.

(vi) If a person described in clause (i), (ii), or (iii) is not available to serve as a member of the governing body, the governing body shall use a consultant, or another individual with relevant expertise, with the qualifications described in that clause, who shall work directly with the governing body.

(E) RESPONSIBILITIES. The governing body shall

(i) have legal and fiscal responsibility for administering and overseeing programs under this subchapter, including the safeguarding of federal funds;

(ii) adopt practices that assure active, independent, and informed governance of the Head Start agency, including practices consistent with subsection (d)(1), and fully participate in the development, planning and evaluation of the Head Start programs involved;

(iii) be responsible for ensuring compliance with Federal laws (including regulations) and applicable state, tribal and local laws (including regulations); and

(iv) be responsible for other activities, including

(I) selecting delegate agencies and the service areas for such agencies;

(II) establishing procedures and criteria for recruitment, selection, and enrollment of children;

(III) reviewing applications for funding and amendments to applications for funding for programs under this subchapter;

(IV) establishing procedures and guidelines for accessing and collecting information described in subsection (d)(2);

(V) reviewing and approving all major policies of the agency, including
(aa) the annual self-assessment and financial audit;

(bb) such agency’s progress in carrying out the programmatic and fiscal provisions in such agency’s grant application, including implementation of corrective actions; and

(cc) personnel policies of such agencies regarding the hiring, evaluation, termination, and compensation of agency employees;

(VI) developing procedures for how members of the policy council are selected, consistent with paragraph(2)(B);

(VII) approving financial management, accounting, and reporting policies, and compliance with laws and regulations related to financial statements, including the

(aa) approval of all major financial expenditures of the agency;

(bb) annual approval of the operating budget;

(cc) selection (except when a financial auditor is assigned by the State under State law or is assigned under local law) of independent financial auditors who shall report all critical accounting policies and practices to the governing body; and

(dd) monitoring of the agency’s actions to correct any audit findings and of other actions necessary to comply with applicable laws (including regulations) governing financial statements and accounting practices;

(VIII) reviewing results from monitoring conducted under section 641A(c) including appropriate follow-up activities;

(IX) approving personnel policies and procedures, including policies and procedures regarding the hiring, evaluation and compensation, and termination of the Executive Director, Head Start Director, Director of Human Resources, Chief Fiscal Officer, and any other person in an equivalent position with the agency;

(X) establishing, adopting, and periodically updating written standards of conduct that establish standards and formal procedures for disclosing, addressing and resolving
(aa) any conflict of interest, and any appearance of conflict of interest, by members of the governing body, officers and employees of the Head Start agency, and consultants and agents who provide services or furnish goods to the Head Start agency; and

(bb) complaints, including investigations, when appropriate; and

(XI) to the extent practicable and appropriate at the discretions of the governing body, establishing advisory committees to oversee key responsibilities related to program governance and improvement of the Head Start program involved.

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.

Policy Council Role Sec. 642 (c)(2)(A)

(A) IN GENERAL

(A) . . . each Head Start agency shall have a policy council responsible for the direction of the Head Start program, including program design and operation, and long- and short-term planning goals and objectives, taking into account annual communitywide strategic planning and needs assessment and self-assessment.

(D) RESPONSIBILITIES. The policy council shall approve and submit to the governing body decisions about each of the following activities:

(i) Activities to support the active involvement of parents in supporting program operations, including policies to ensure that the Head Start agency is responsive to community and parent needs.
Program recruitment, selection, and enrollment priorities.

Applications for funding and amendments to applications for funding for programs under this subchapter, prior to submission of applications described in this clause.

Budget planning for program expenditures, including policies for reimbursement and participation in policy council activities.

(D) RESPONSIBILITIES. The policy council shall approve and submit to the governing body decisions about each of the following activities:

(v) Bylaws for the operation of the policy council.

(vi) Program personnel policies and decisions regarding the employment of program staff, consistent with paragraph (1)(E)(iv)(IX), including standards of conduct for program staff, contractors, and volunteers and criteria for the employment and dismissal of program staff.

(vii) Developing procedures for how members of the policy council of the Head Start agency will be elected.

(viii) Recommendations on the selection of delegate agencies and the service areas for such agencies.


(2) CONDUCT OF RESPONSIBILITIES. Each Head Start agency shall ensure the sharing of accurate and regular information for use by the governing body and policy council, about program planning, policies, and Head Start agency operations, including:

(A) Monthly financial statements, including credit card expenditures;

(B) Monthly program information summaries;

(C) Program enrollment reports, including attendance reports for children whose care is partially subsidized by another public agency;

(D) Monthly reports of meals and snacks provided through programs of the Department of Agriculture;

(2) CONDUCT OF RESPONSIBILITIES. Each Head Start agency shall ensure the sharing of accurate and regular information for use by the governing body and policy council, about program planning, policies, and Head Start agency operations, including:
(E) the financial audit;

(F) the annual self-assessment, including any findings related to such assessment;

(G) the communitywide strategic planning and needs assessment of the Head Start agency, including any applicable updates;

(H) communication and guidance from the Secretary; and

(I) the program information reports.