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Why Good Governance Matters



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National Center on Program Management and Fiscal Operations
June 12, 2014

Part 1

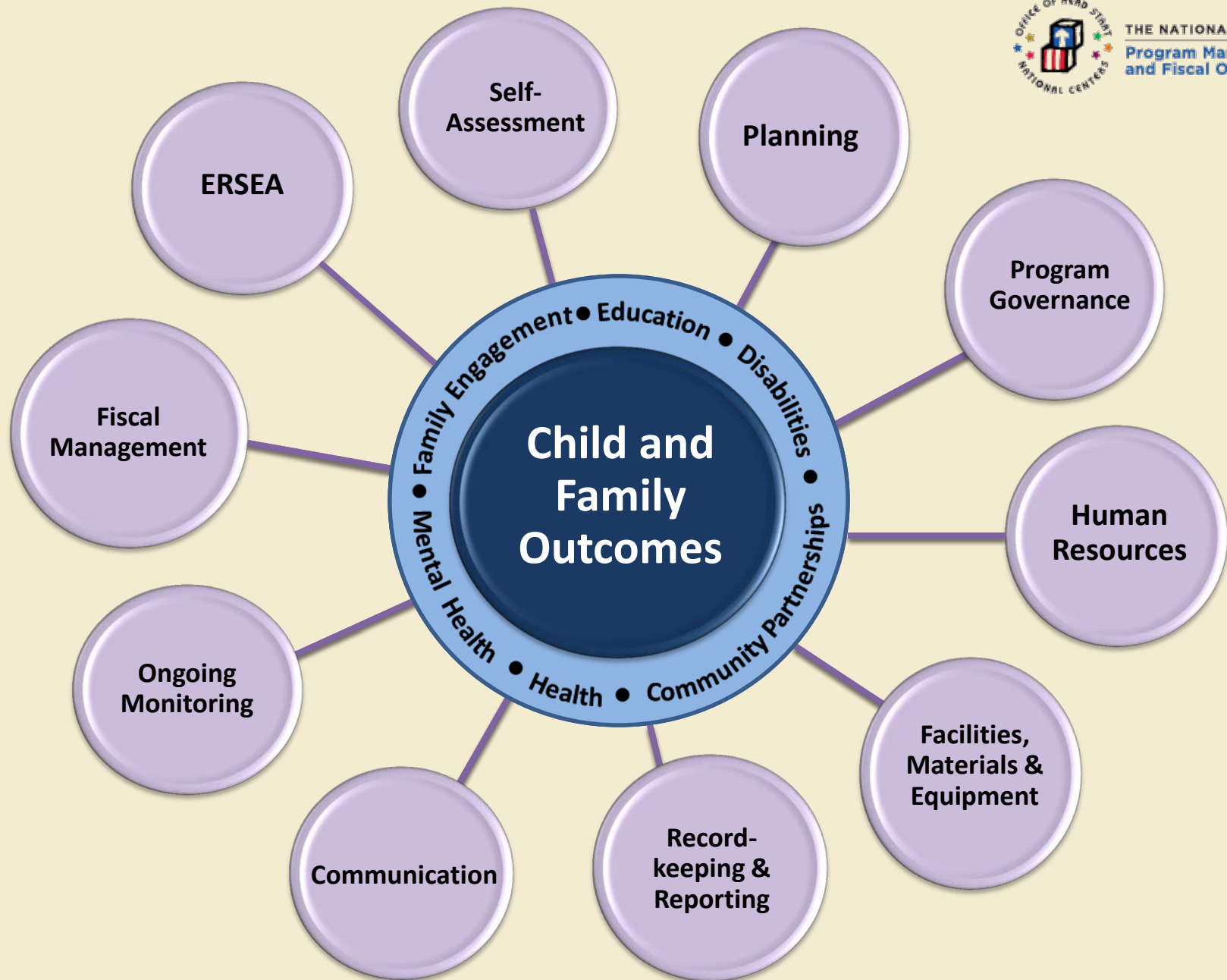
- Explore the core elements of good governance
- Examine current needs of AIAN programs in the area of program governance



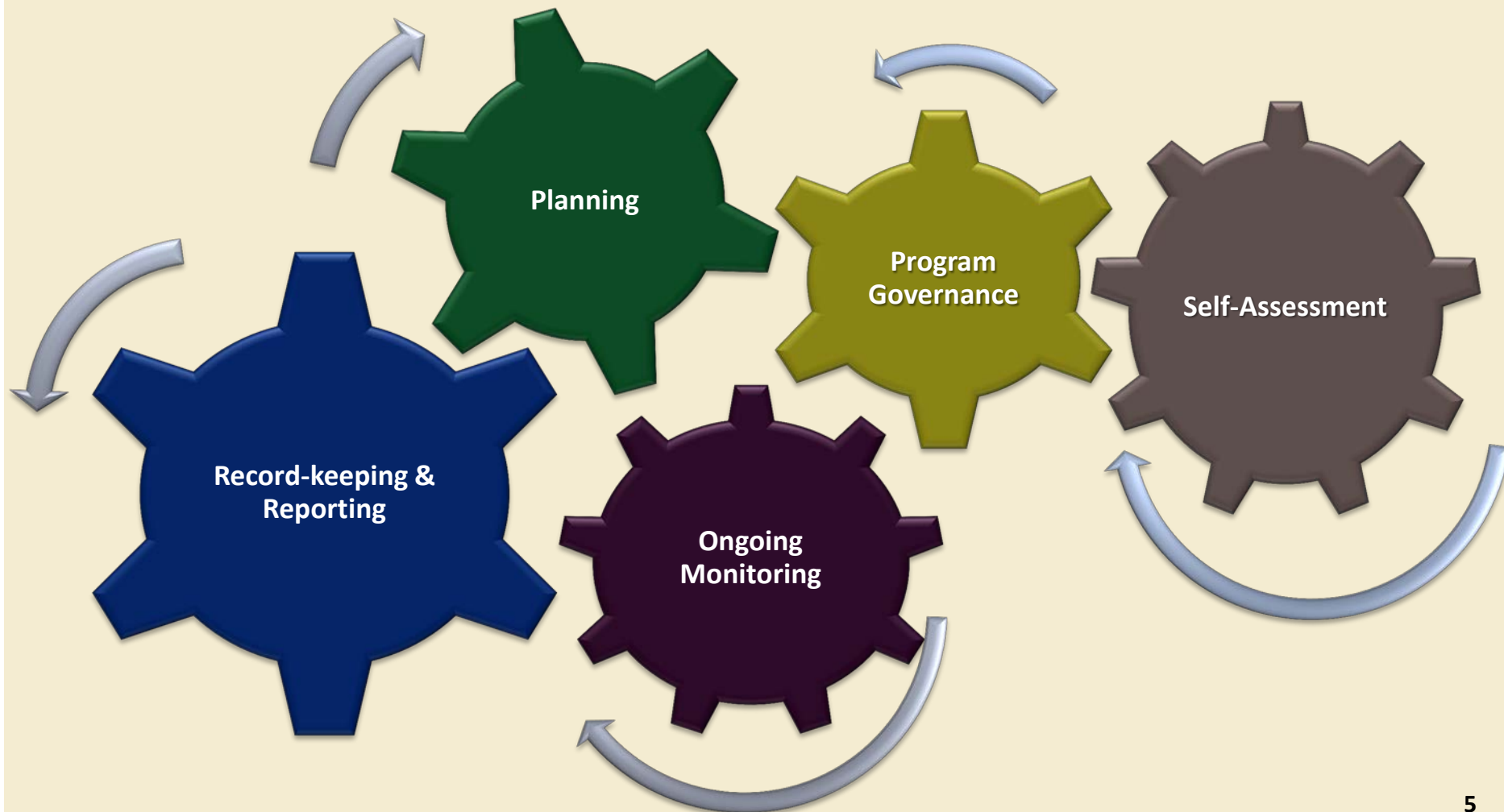
Part 2

- Learn about resources for strengthening Head Start governance systems
- Develop a T/TA plan for your Tribal Council and Policy Council





Systems Are Linked



Growing Expectations of Governing Bodies and Tribal Councils



Key Elements of Five Year Program Periods

1. Five year grant applications
- 2. Effective governance and leadership**
3. Program goals, activities, progress, and impacts, including school readiness and family engagement
4. Program data and continuous quality improvement
5. Program communication
6. Training and technical assistance

Effective Governance

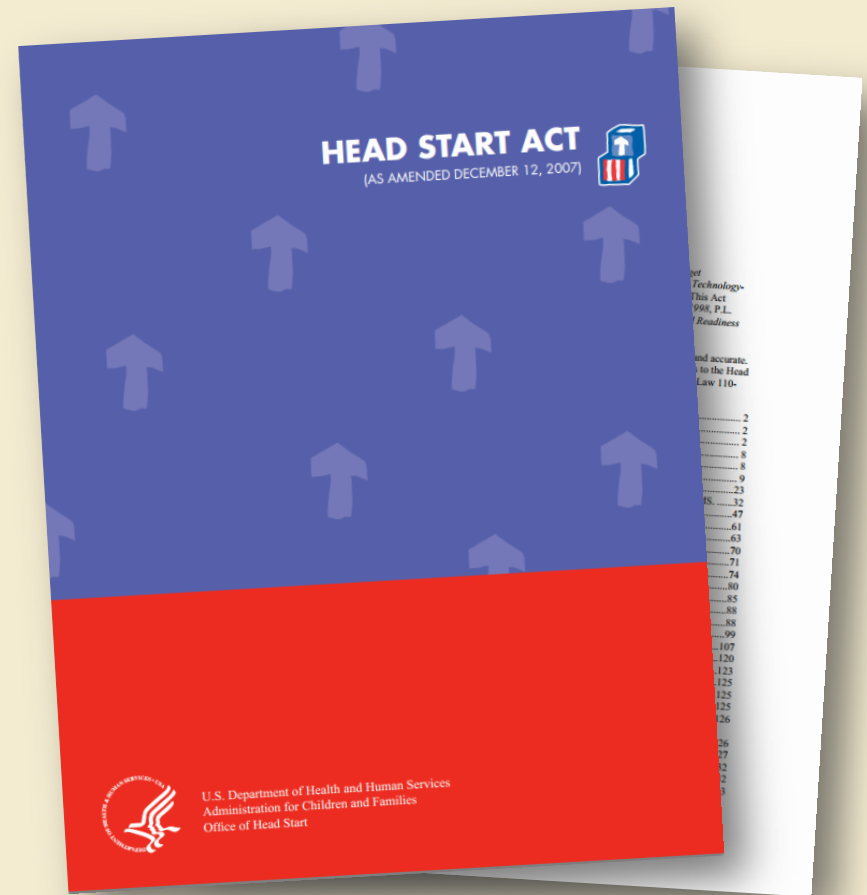
- Key indicator of program quality and risk mitigation
- Ensure Tribal Councils are engaged and knowledgeable about the program



Head Start Program Performance Standards and Head Start Act



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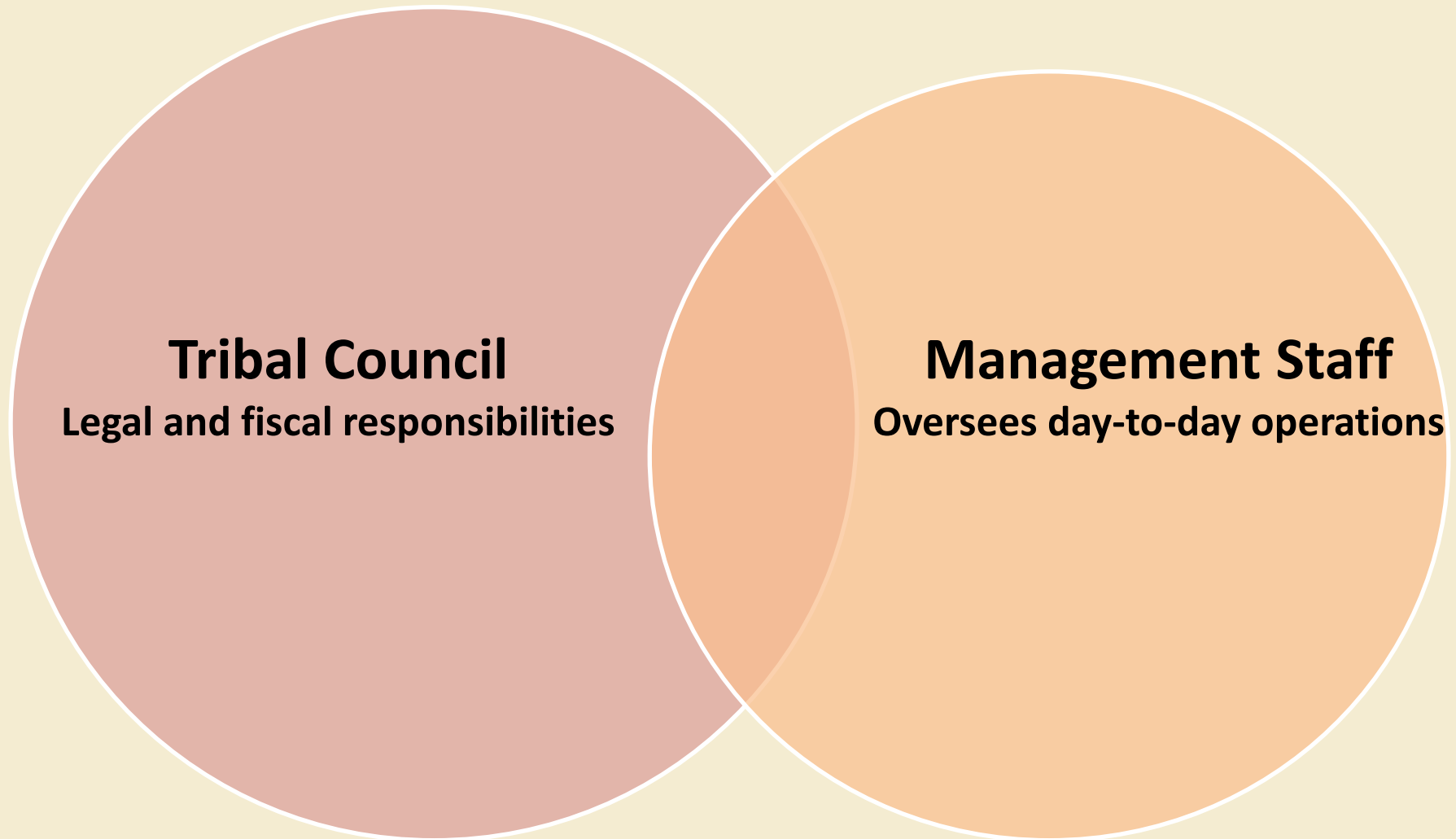
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Structure





Traditional Governance Structure



Head Start Governance

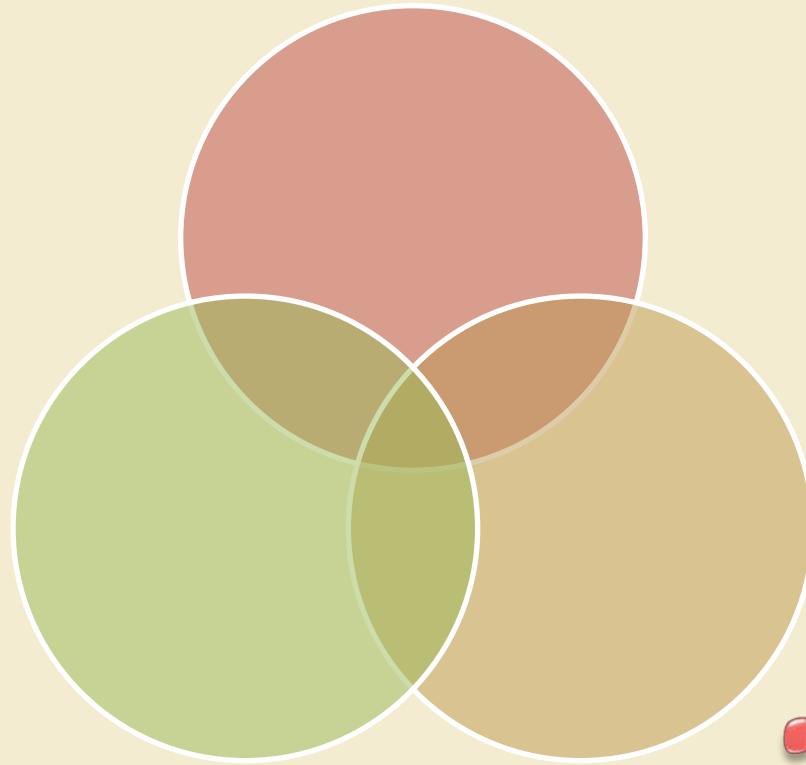


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Tribal Council
Legal and fiscal responsibilities

Policy Council
Sets the program direction

Management Staff
Oversees day-to-day operations



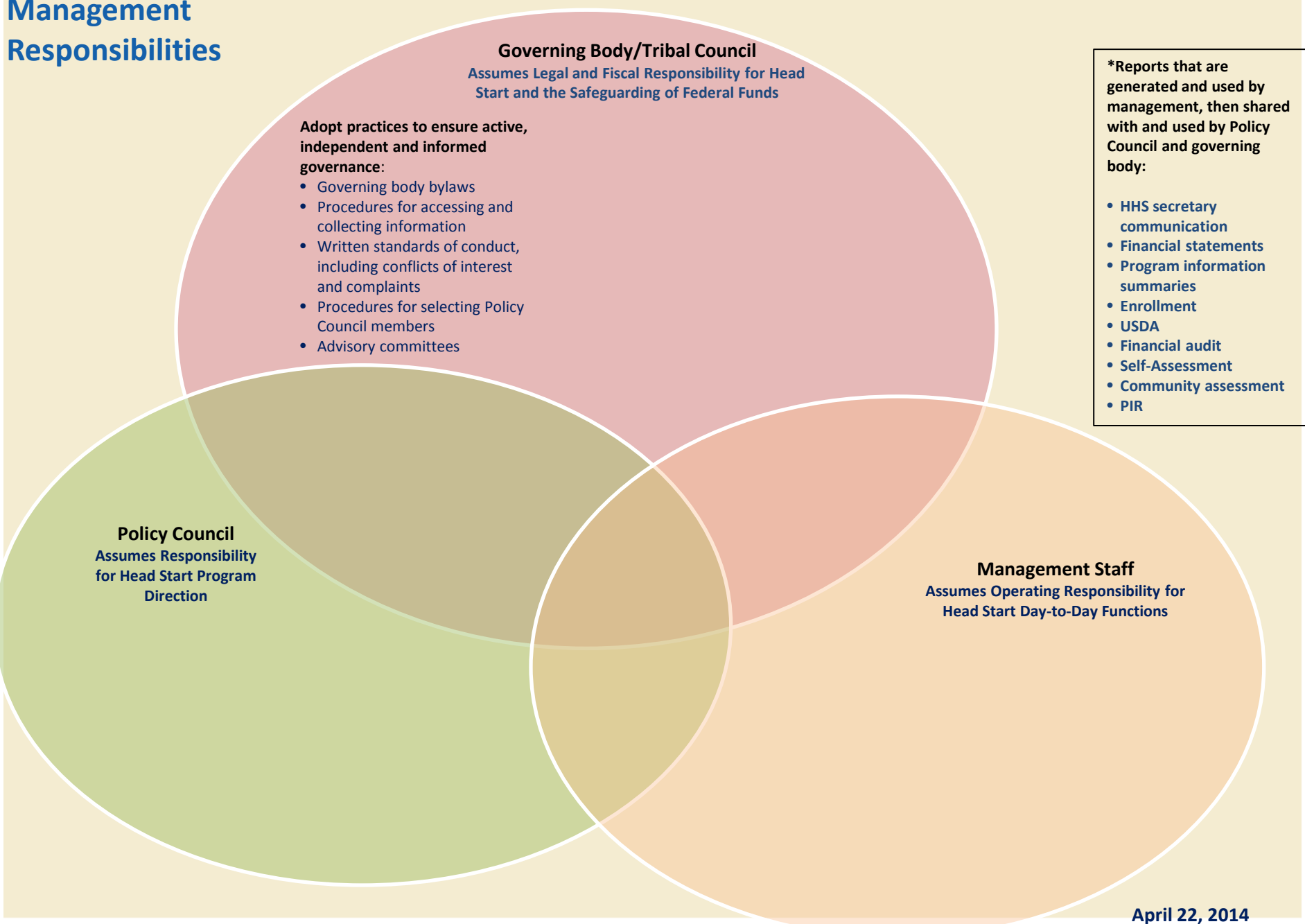
Mission Possible



Mission Possible Instructions

1. Assign a Mission Possible Team Lead
2. Read the instructions
3. Review your partially completed Venn diagram
4. Use the *intel* from your envelopes to complete the Venn diagram with your team
5. Refer to the Head Start Act Reference Book
7. Take 20 minutes to complete the task

Head Start Governance and Management Responsibilities



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

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*

***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

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

Provide Leadership and Strategic Direction:

- Focus on Self-Assessment
- Develop, plan, and evaluate the Head Start program

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

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*

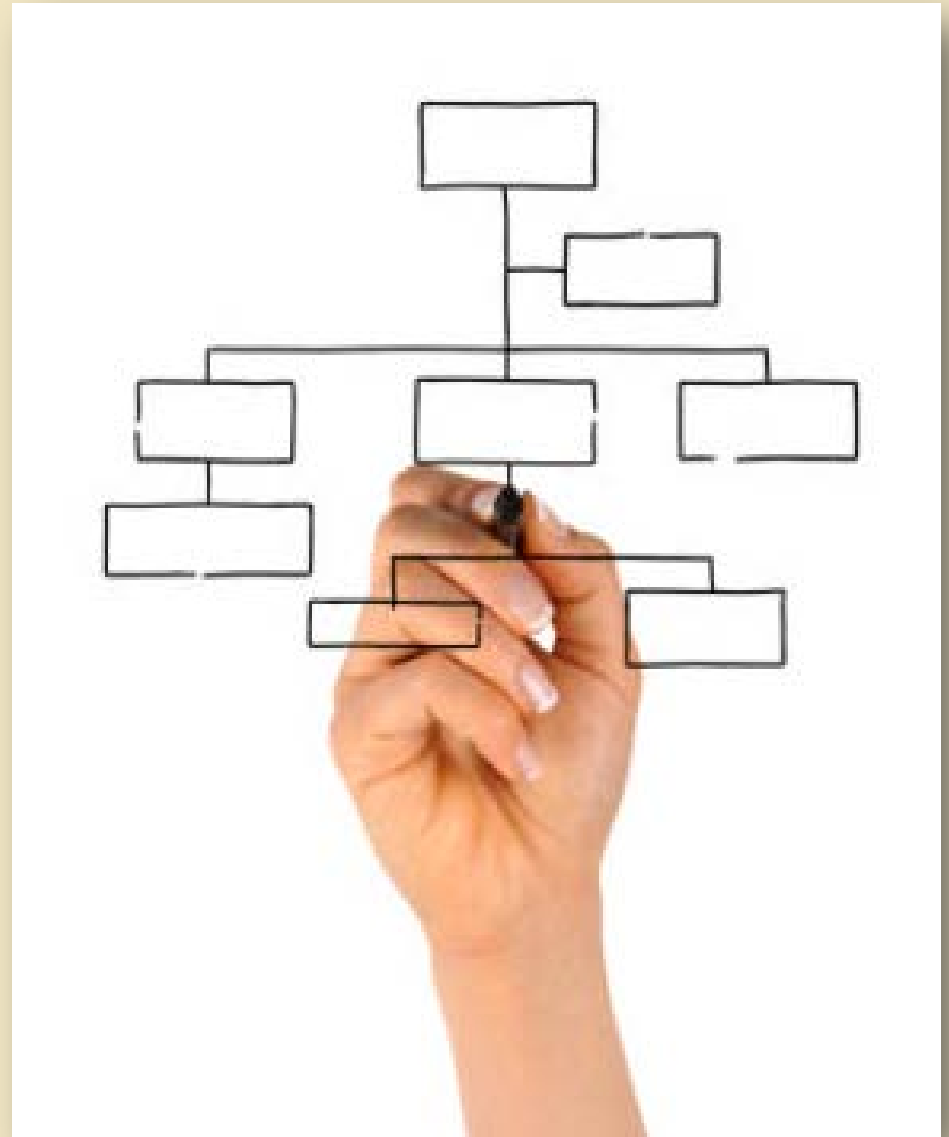
Mission Possible Debrief

- Step back and look at your work
- Do you have any reflections about the different roles and responsibilities of the Tribal Council, policy council, and management staff?
- How did your team do with this assignment?
- How might you use this activity in your program?



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Processes

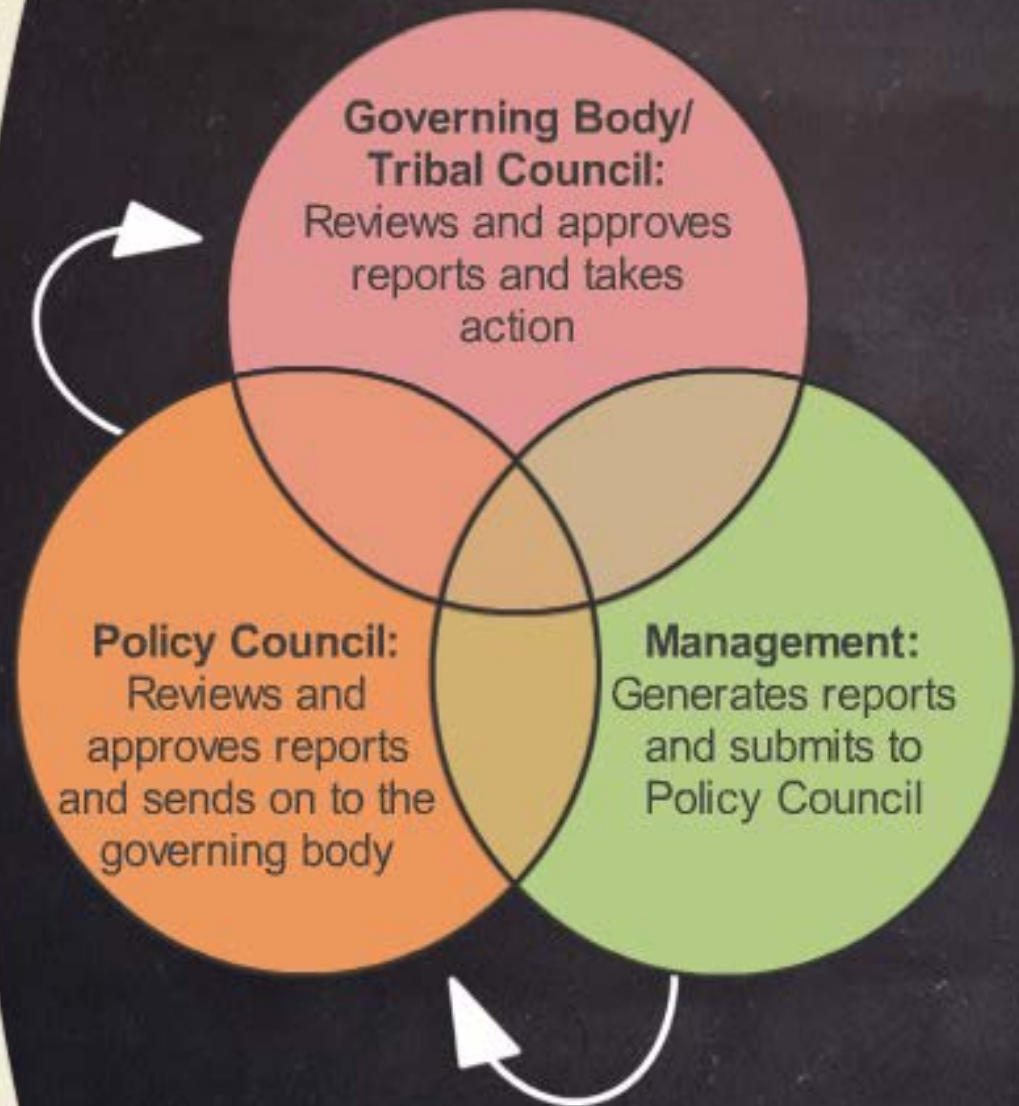


Flow of Reports

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

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

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



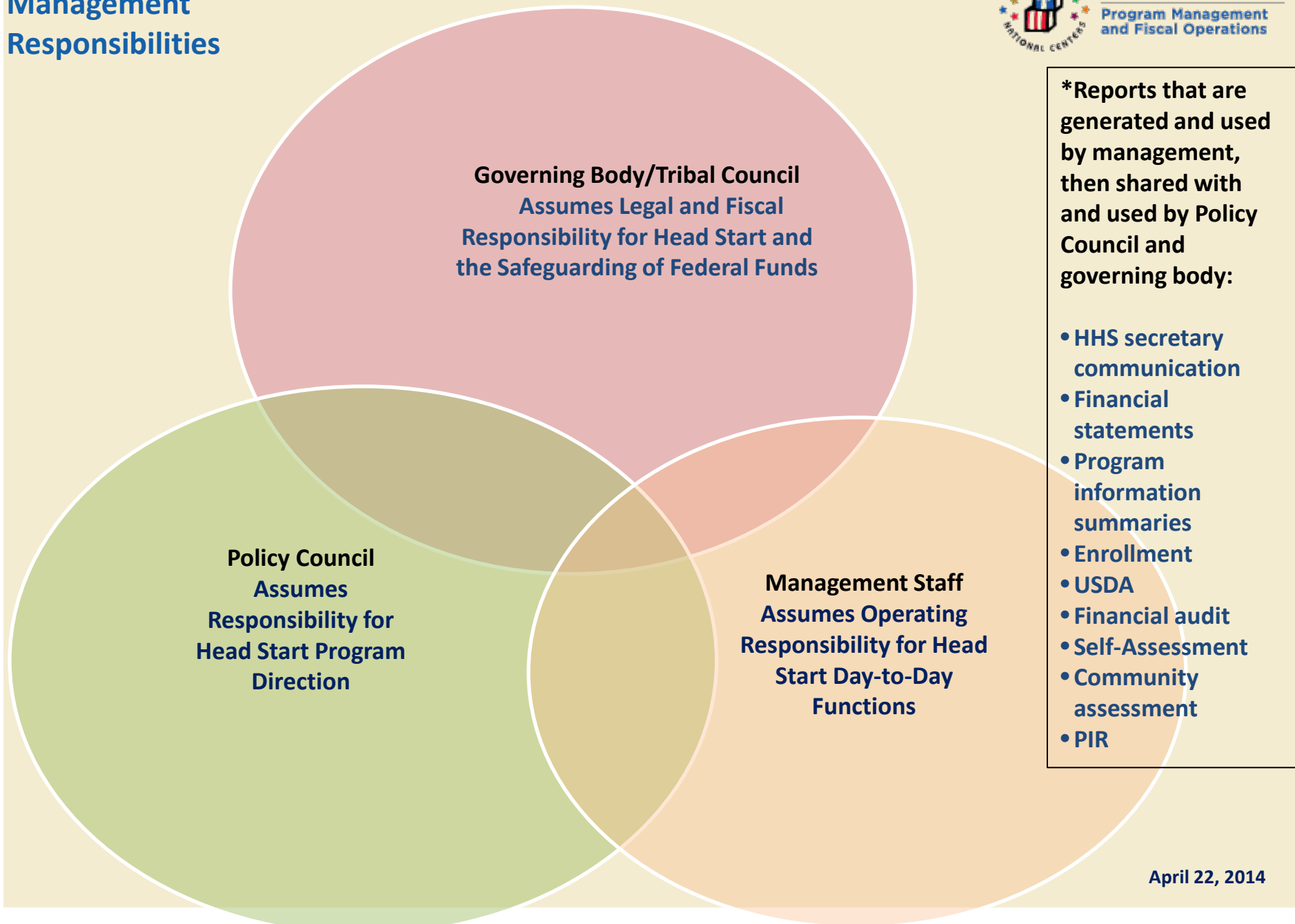
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Head Start Governance and Management Responsibilities



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April 22, 2014



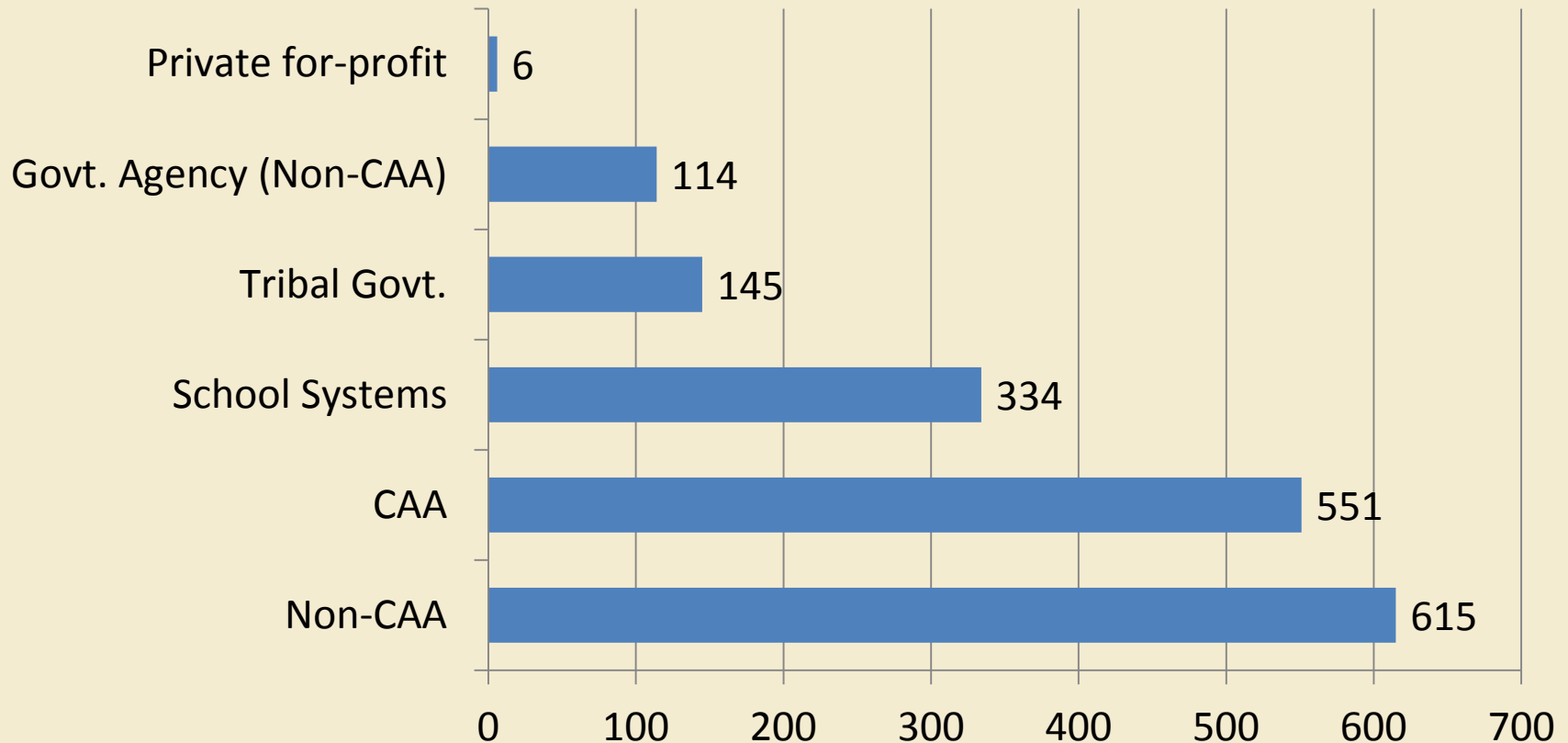
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Relationships



Head Start Program Auspices

of Programs

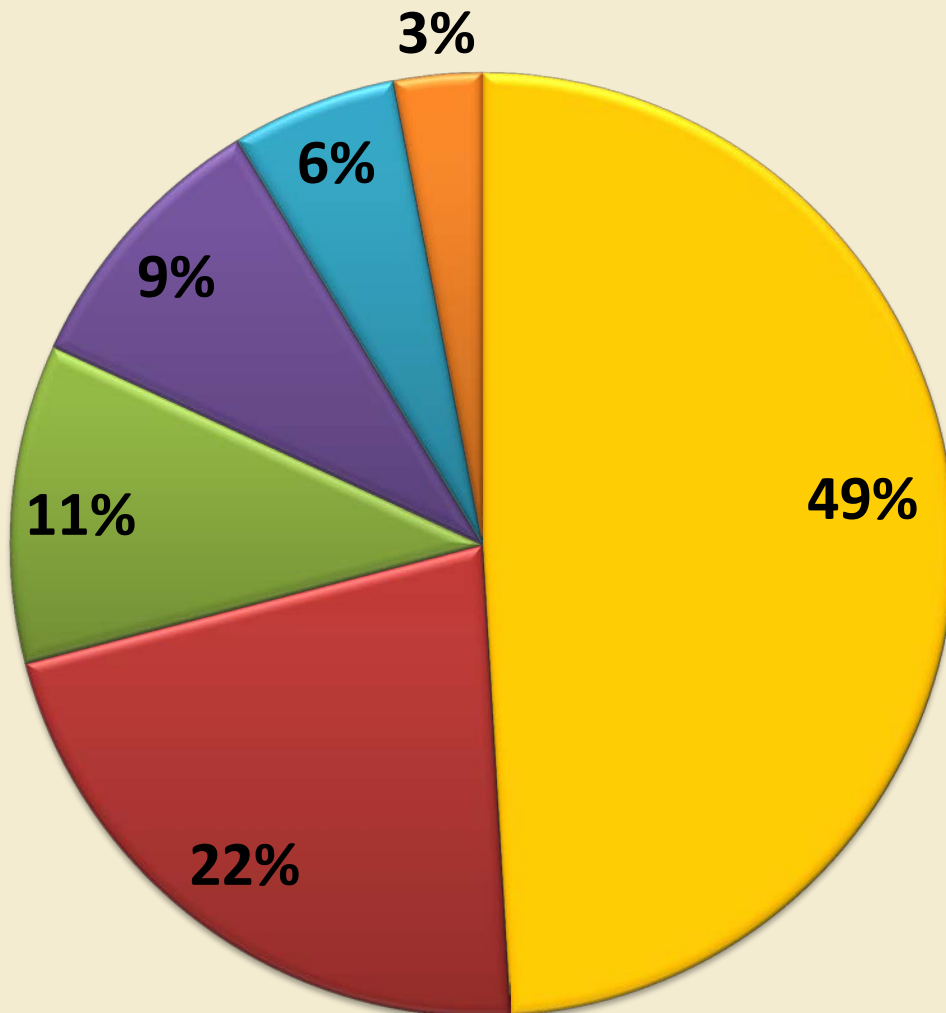


Program Governance Monitoring



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2012-2013



- Conduct of Responsibilities
- GB/PC Responsibilities
- GB/PC Composition
- T/TA
- GB/PC Conflict of Interest
- Other

n= 265

Source: Head Start Enterprise System, Triennial Reviews, 2/26/2014

Part 2

- Learn about resources for strengthening Head Start governance systems
- Develop a T/TA plan for your Tribal Council and Policy Council



Federal Monitoring Protocol

Asks the Tribal Council and Policy Council members to give examples of how training and technical assistance in governance has made a difference in their decision-making.

A Guided Tour of the PMFO Governance Toolbox



Governance Resources

Governance Readiness Tool	Governance Leadership, Oversight Capacity Screener (OHS Product)	Head Start Governing Body and Tribal Council Certification	Governance Training Module
Available on ECLKC	Available on ECLKC	Coming to ECLKC soon	Coming to ECLKC Soon
<ul style="list-style-type: none"> Online fillable PDF on ECLKC Describes 15 indicators of high-functioning governing bodies and tribal Councils HS/EHS governing bodies, Tribal Councils and executive directors complete together Governing bodies, Tribal Councils and Executive Directors complete tool to identify their strengths and readiness to oversee a Head Start program and governance areas where they need improvement or TTA Information used to focus future TTA efforts 	<ul style="list-style-type: none"> Online fillable PDF on ECLKC To be completed by all newly funded HS/EHS grantees, within 60 days of receiving notification of award Assists HS/EHS in building capacity to fulfill Head Start governance responsibilities Describes HS/EHS governance expectations related to HS Act and regulations Identifies where programs need to focus their start-up efforts to put a HS program governance system in place 	<ul style="list-style-type: none"> Online e-learning tool for newly funded Tribal Council members, executive directors, and HS directors Four self-paced sections that total about 100 minutes Tribal Council members, executive directors, directors of HS/EHS grantees receive certificate of completion Five sections <ol style="list-style-type: none"> Embracing HS What Is HS Governance? Legal Responsibilities Fiscal Responsibilities Resources 	<ul style="list-style-type: none"> In the introductory activity, Leadership Development Path, users are pointed to specific skill-building activities that match their needs Five e-learning training activities for both Policy Council, governing body, and Tribal Council members: <ul style="list-style-type: none"> Fulfill Your Role Ask the Right Questions Make Meaningful Decisions Envision a Better Future Be an Ambassador Each activity outlines key concepts on particular governance-related topics important to governing bodies, Tribal Councils, and Policy Council members

Governance Readiness Tool

Results can be used to gain insights into TTA needs of newly funded grantees

Link:

<http://eclkc.ohs.acf.hhs.gov/hslc/tta-system/operations/mgmt-admin/governance/hs-governance/GovernanceReadin.htm>

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Governance Readiness Tool

Structural

Indicator #4: Membership

The governing body successfully recruits **diverse and qualified members** whose experience and expertise align with governing body responsibilities and ensure that the community served is adequately represented.

Take Stock

Is membership an area of strength for your governing body or an area you wish to improve? Think about whether or not the following are in place:

- The bylaws describe specific qualifications that are sought when recruiting governing body members to fill vacancies.
- The governing body has a nominating committee that has been successful in recruiting qualified members.
- The governing body includes members with different areas of expertise that align with key governing body responsibilities as well as members who represent the community served.
- The governing body is prepared to change its membership in accordance with the Head Start Act.¹

Share Your Thoughts

Discuss your thoughts with other governing body members and leaders in the organization. Then, as a group, determine your governing body's stage of development in relation to this indicator. Select one of the following stages and provide comments explaining what led to your conclusion.

Needs Improvement	In Process	Strong
Comments:		

¹ The Head Start Act requires the governing body to include at least one member who has a background and expertise in accounting or fiscal management; at least one member who has a background and expertise in early childhood education and development; at least one member who is a licensed attorney familiar with issues that come before the governing body; additional members who reflect the community, including parents of formerly or currently enrolled Head Start/Early Head Start children; and other members who are selected for their expertise in education, business administration, or community affairs. For further information regarding exceptions to these requirements and the use of consultants, refer to the Head Start Act Sec. 642(1)(B)(iv) and (vi).

Section 1: Indicator Worksheets

4

Governance Leadership & Oversight Capacity Screener

Results can be used to gain insights into TTA needs of newly funded grantees

Link:

<http://eclkc.ohs.acf.hhs.gov/hslc/tta-system/operations/mgmt-admin/governance/hs-governance/GovernanceLeadership>

U.S. Department of Health & Human Services Administration for Children & Families
OFFICE OF HEAD START

Governance, Leadership, and Oversight Capacity Screener

Introduction
Organizations that accept federal funds to operate a Head Start and/or Early Head Start program must have strong governance systems in place to safeguard federal dollars and provide oversight and direction to the Head Start program. This screener organizes the Head Start requirements to help organizations to identify where they need to make changes and build capacity to fulfill their Head Start governance responsibilities.

Suggestions for Use
1. Print a copy of this screener.
2. Have your organization's Head Start program director or a designated staff member complete the screener.

Head Start Governance Practices and Related Regulations	Practice is currently in place	Practice will be fully implemented within first three months of funding	Our organization needs assistance in understanding and implementing this regulation
3. Members of the governing body (or Tribal Council) receive effective and ongoing training and technical assistance (T/TA) to ensure that they understand the information they receive and are able to provide effective oversight of, make appropriate decisions for, and participate in programs of the Head Start agency. Head Start Act Sec. 642(d)(3)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
• The agency has a system for identifying the T/TA needs of the governing body (or Tribal Council) and using this information to develop a T/TA plan.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
4. Members of the Policy Council receive effective and ongoing training and technical assistance (T/TA) to ensure that they understand the information they receive and can provide effective oversight of, make appropriate decisions for, and participate in programs of the Head Start agency. Head Start Act Sec. 642(d)(3)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
• The agency has a system for identifying the T/TA needs of the Policy Council and using this information to develop a T/TA plan.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
5. The governing body (or Tribal Council) exercises the following responsibilities: Head Start Act Sec. 642(c)(1)(E)(iv)(I-III) Sec. 642(c)(1)(E)(iv)(VI)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
• Establishes procedures and criteria for recruiting, selecting, and enrolling children	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
• Selects delegate agencies, as appropriate	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
• Develops procedures for selecting Policy Council members	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
• Reviews applications for funding and amendments to applications for funding	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

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<http://extranet.illumina-interactive.com/edc/headstart/Governance/Final/story.html>

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Head Start Governing Body and Tribal Council Certification

 **Course Overview**

Module 1
Embracing Head Start

Module 2
What is Head Start Governance?



 **Module 3**
Legal Responsibilities

Module 4
Fiscal Responsibilities

Module 5
Resources



PMFO

Governance Online Training Module

Program Governance



- 1 Introduction
- 2 Fullfill Your Role
- 3 Ask the Right Questions
- 4 Make Meaningful Decisions
- 5 Envision a Better Future
- 6 Be a Head Start Ambassador
- 7 References

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Developing a Training and Technical Assistance (T/TA) Plan for the Tribal Council and Policy Council

June 12, 2014

Knowledge What <u>Tribal Council</u> members need to know	Skills and Competencies What <u>Tribal Council</u> members need to be able to do
<p>The governance system, bylaws, the respective roles of the Tribal Council and Policy Council, and procedures for selecting Policy Council members</p> <p>The Head Start program, including:</p> <ul style="list-style-type: none"> • The Head Start grant application, including budget and program goals and objectives, and school readiness goals • The organizational structure of the Head Start program • Delegates and service areas • Familiarity with Head Start centers and classrooms • Results of Self-Assessment, federal monitoring, annual audit, and status of corrective action <p>Head Start finances, including:</p> <ul style="list-style-type: none"> • Fiscal essentials • Federal regulations for managing and administering federal funds (45 CFR Part 92 and Part 74) • Reporting and disclosure requirements (e.g., audit, IRS Form 990) • Sequestration <p>Head Start Self-Assessment and Planning Systems:</p> <ul style="list-style-type: none"> • HS program’s Self-Assessment system • The Head Start program planning cycle, and the agency and HS program’s system for planning <p>Major policies, including standards of conduct, impasse policies, and personnel policies and procedures</p> <p>Head Start Recruitment, Selection, and Enrollment System</p> <p>How to access ECLKC for governance resources and information on the HS Act and regulations</p> <p>Head Start Advisory Committee report</p>	<p>Listen and communicate well , considering all points of view</p> <p>Ask the right questions</p> <p>Use the HS Act and regulations in decision-making</p> <p>Evaluate the executive director</p> <p>Share Head Start program information with stakeholders and community partners</p> <p>Engage in data-based decision-making</p> <p>Interpret budget and fiscal reports</p> <p>Review annual, monthly, and periodic reports to gauge program performance strengths and warning signs</p> <p>View Head Start issues in a holistic context through a management systems lens</p> <p>Support leadership development of others, including members of the Policy Council</p>

Knowledge What <u>Policy Council</u> members need to know	Skills and Competencies What <u>Policy Council</u> members need to be able to do
<p>The governance system, Policy Council bylaws, the respective roles of the Tribal Council and Policy Council, and procedures for selecting Policy Council members</p> <p>The Head Start program, including:</p> <ul style="list-style-type: none"> • The Head Start grant application, including budget and program goals and objectives, and school readiness goals • The organizational structure of the Head Start program • Delegates and service areas • Familiarity with Head Start centers and classrooms • Parent involvement and family engagement <p>Fiscal basics</p> <p>Head Start Self-Assessment and Planning Systems:</p> <ul style="list-style-type: none"> • HS program's Self-Assessment system • The Head Start program planning cycle, and the agency and HS program's system for planning <p>Head Start personnel policies and procedures</p> <p>Head Start Recruitment, Selection, and Enrollment System</p> <p>How to access ECLKC for governance resources and information on the HS Act and regulations</p> <p>Head Start Advisory Committee report</p>	<p>Listen and communicate well , considering all points of view</p> <p>Ask the right questions</p> <p>Use the HS Act and regulations in decision-making</p> <p>Engage in data-based decision-making</p> <p>Interpret budget and fiscal reports</p> <p>Review annual, monthly, and periodic reports to gauge program performance strengths and warning signs</p> <p>View Head Start issues in a holistic context through a management systems lens</p>

Questions for Consideration:

Based on your assessment of the current knowledge and skills of the Tribal Council, where should your program focus future T/TA efforts? Record key topics below:

Based on your assessment of the current knowledge and skills of the Policy Council, where should your program focus future T/TA efforts? Record key topics below:

Are there topics of interest to both Tribal Council and Policy Council members that could be addressed in joint trainings? If so, list those topics below:

Which of the PMFO governance resources will you use in your T/TA plan for the Tribal Council and Policy Council?

Governance Resources

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T/TA Plan for Tribal Council and Policy Council

Topic	Participants	Resource	T/TA Provider	Dates(s)