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Why Good Governance Matters

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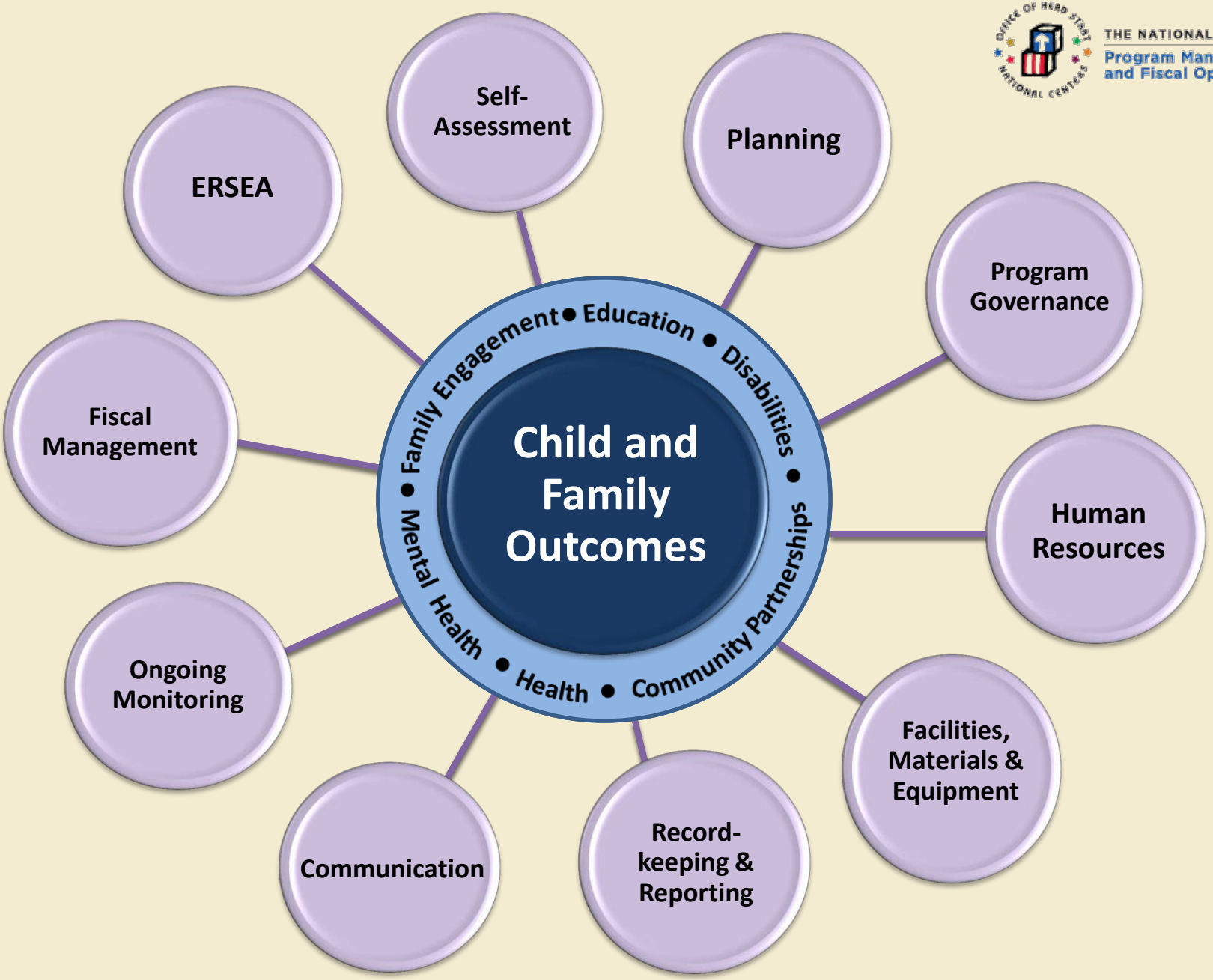
National Center on Program Management and Fiscal Operations
June 12, 2014

Part 1

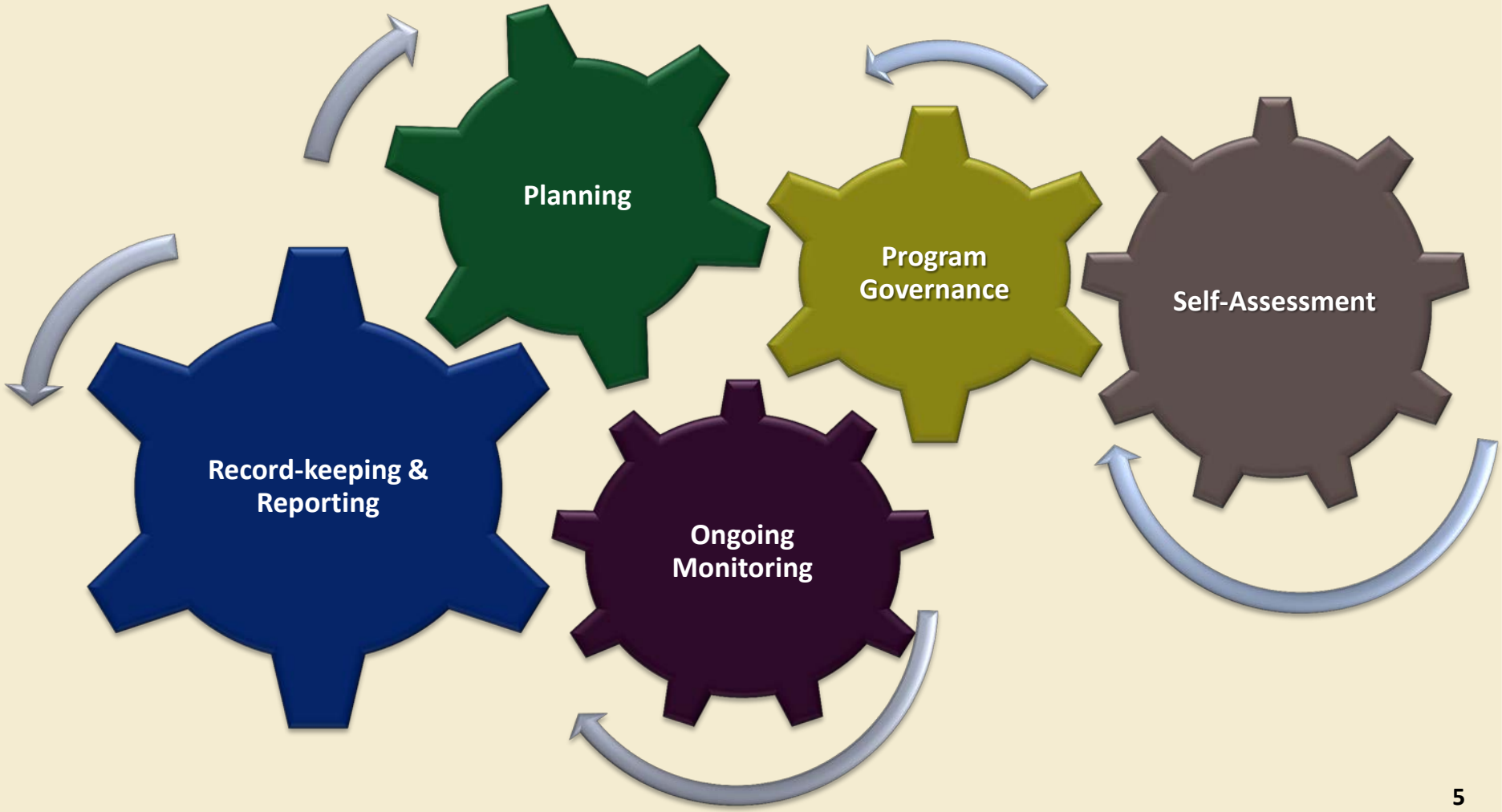
- Explore the core elements of good governance
- Examine current needs of AIAN programs in the area of program governance

Part 2

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


Self-Assessment
Planning
ERSEA
Program Governance
Fiscal Management
Human Resources
Ongoing Monitoring
Facilities, Materials & Equipment
Communication
Record-keeping & Reporting
Child and Family Outcomes
Family Engagement • Education • Disabilities • Community Partnerships • Health • Mental Health

Systems Are Linked



Growing Expectations of Governing Bodies and Tribal Councils

Key Elements of Five Year Program Periods

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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

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

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Head Start Program Performance Standards and Head Start Act

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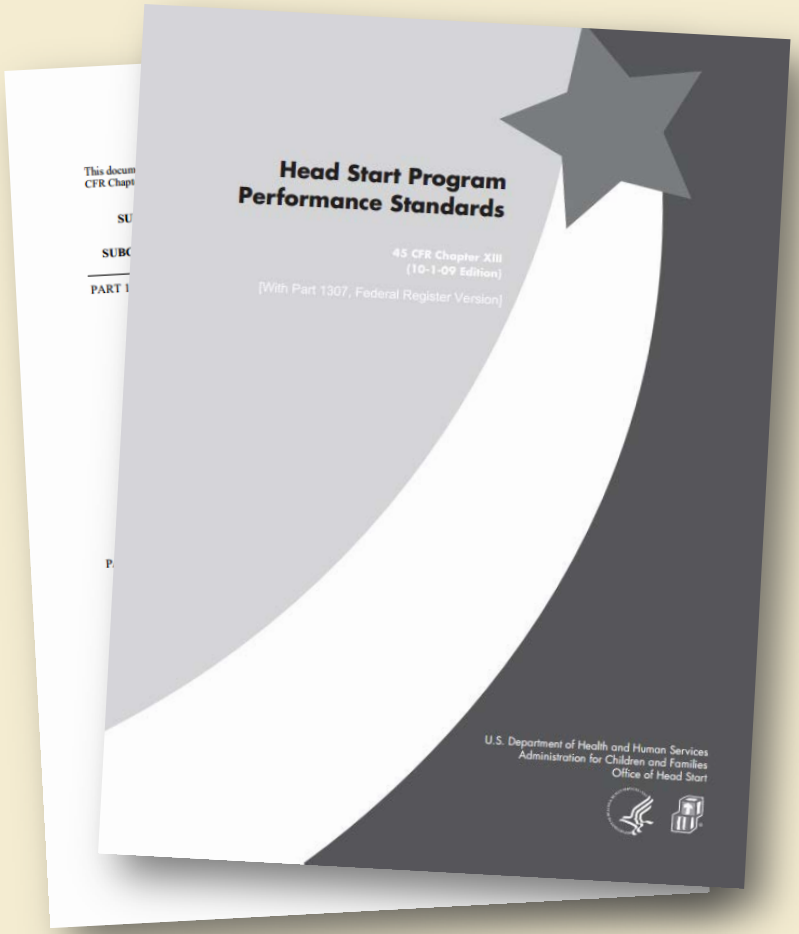

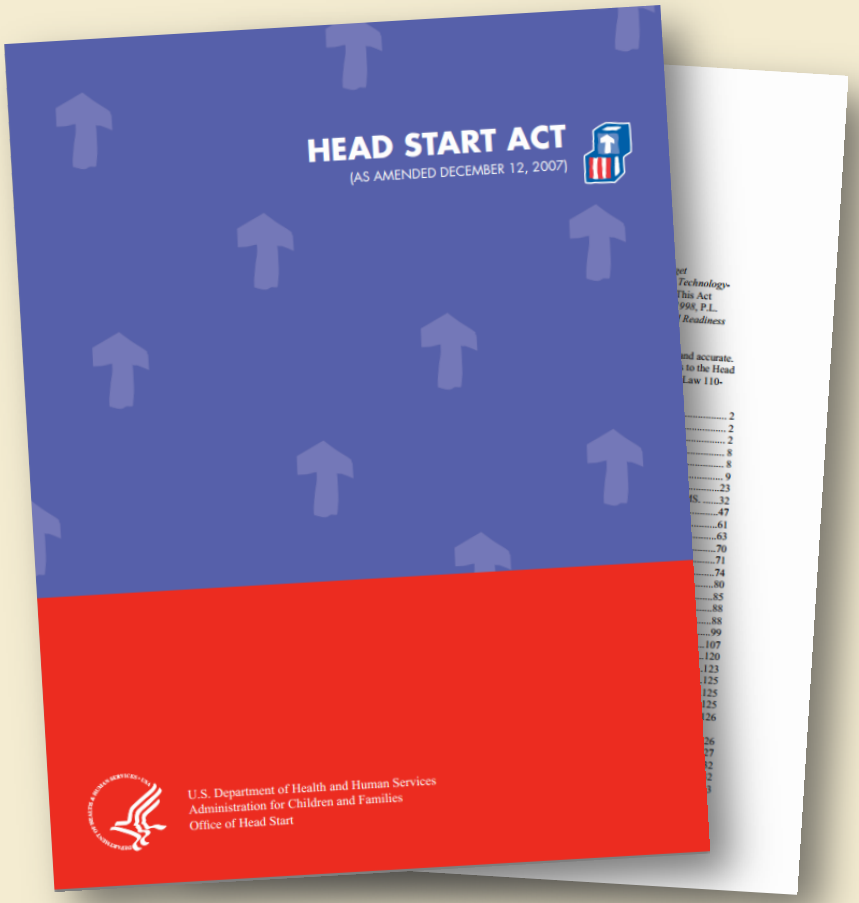

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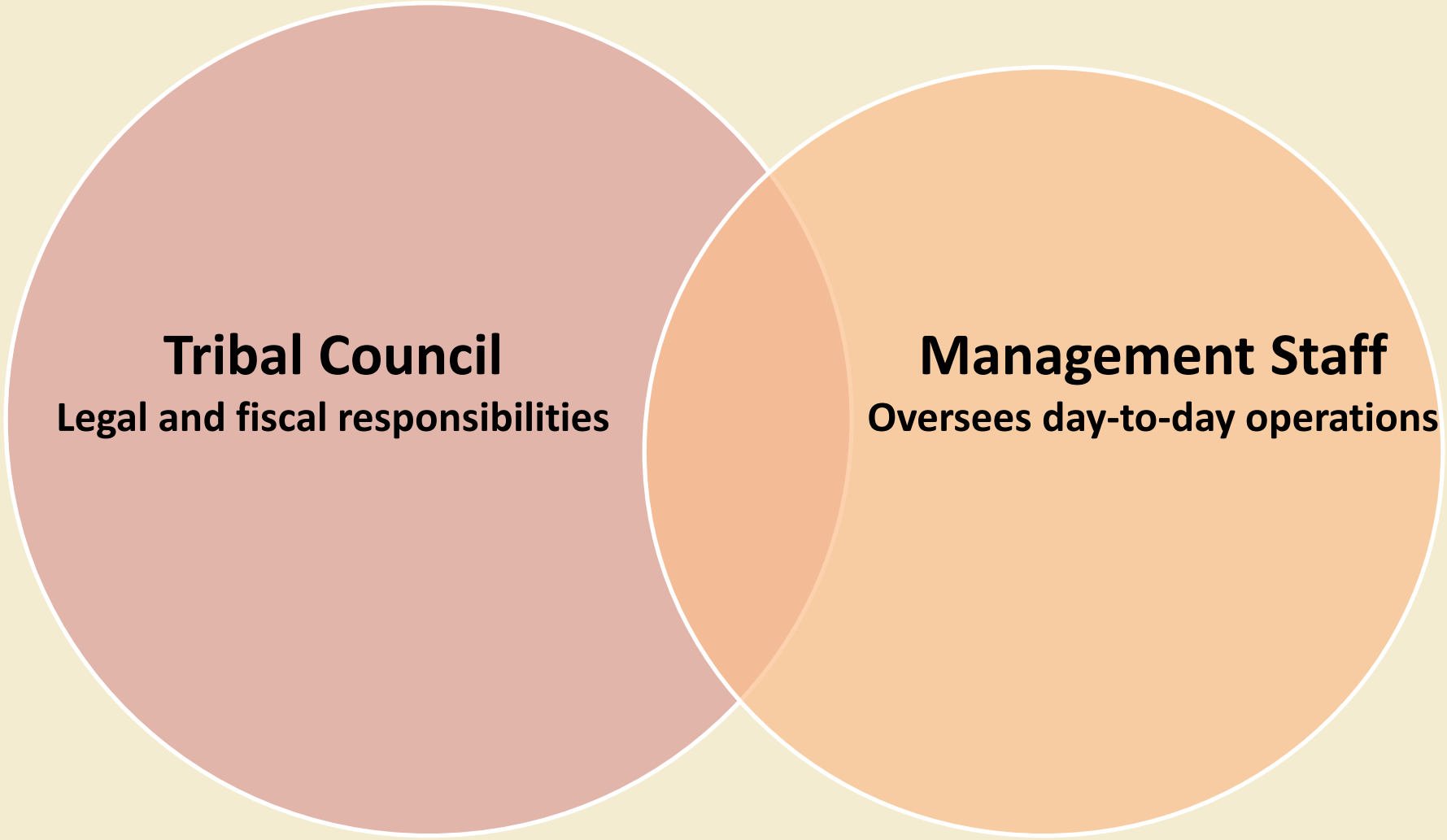
Structure

Traditional Governance Structure



Head Start Governance

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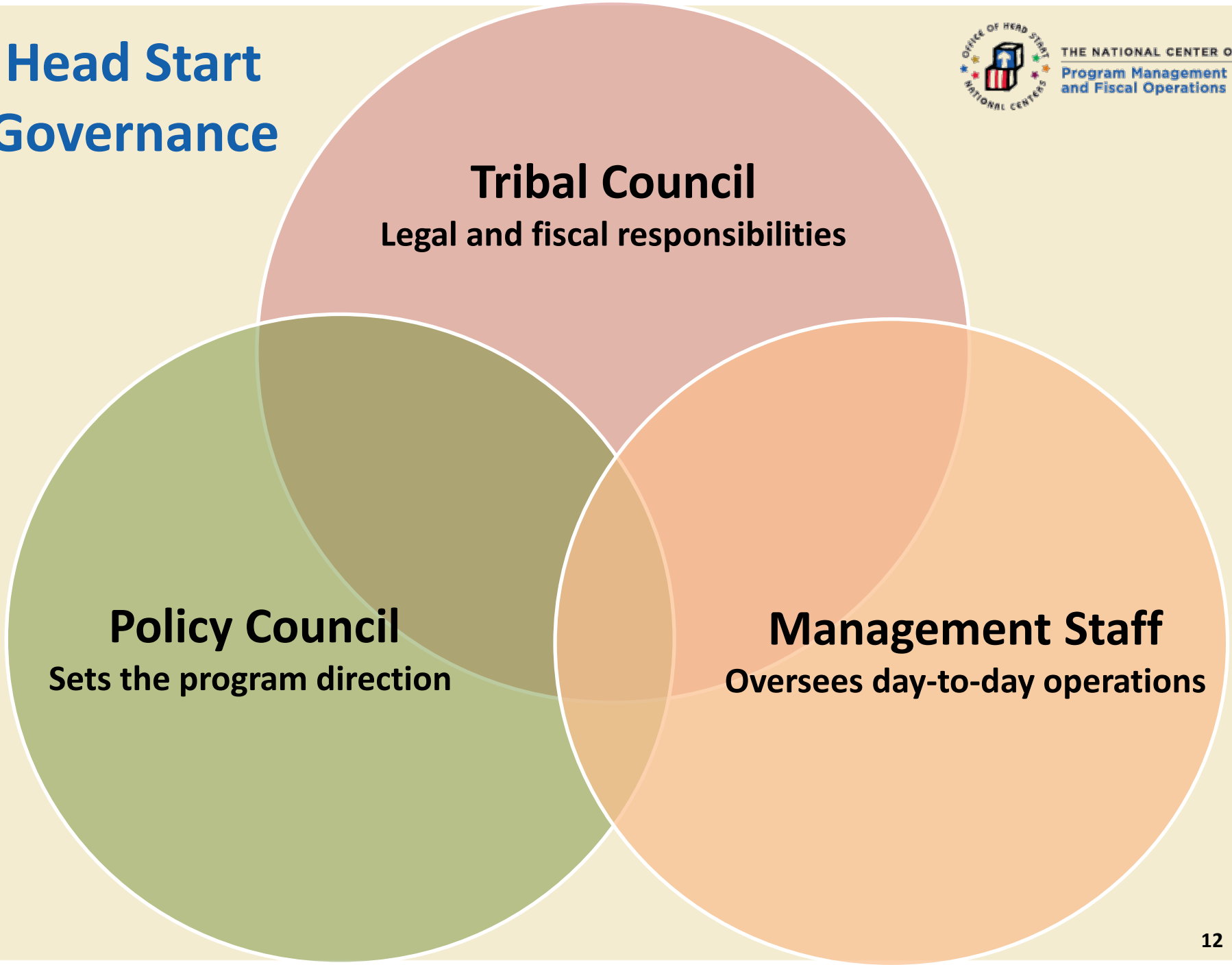
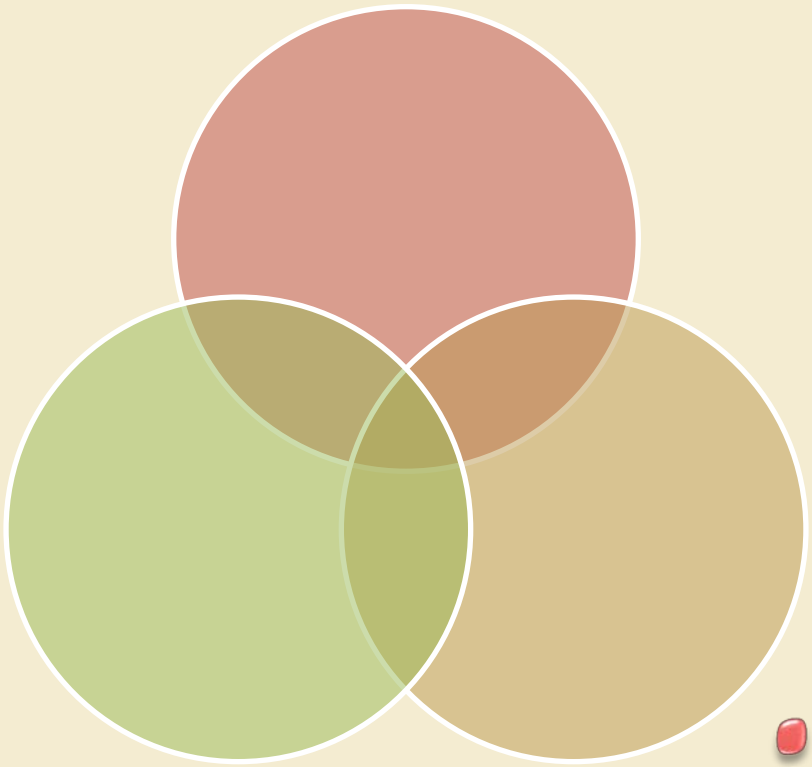


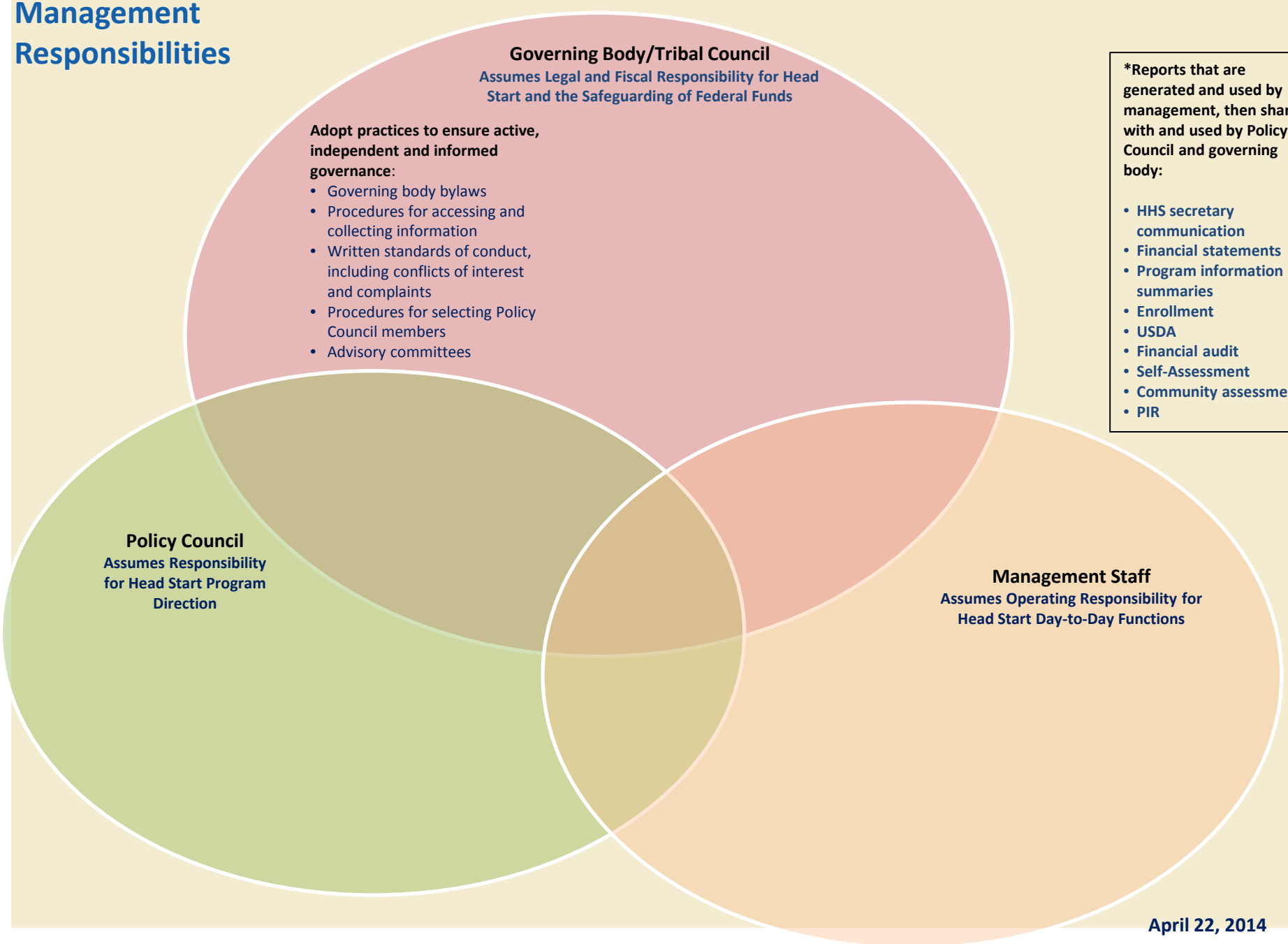


Mission Possible

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



***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**

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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*

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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*

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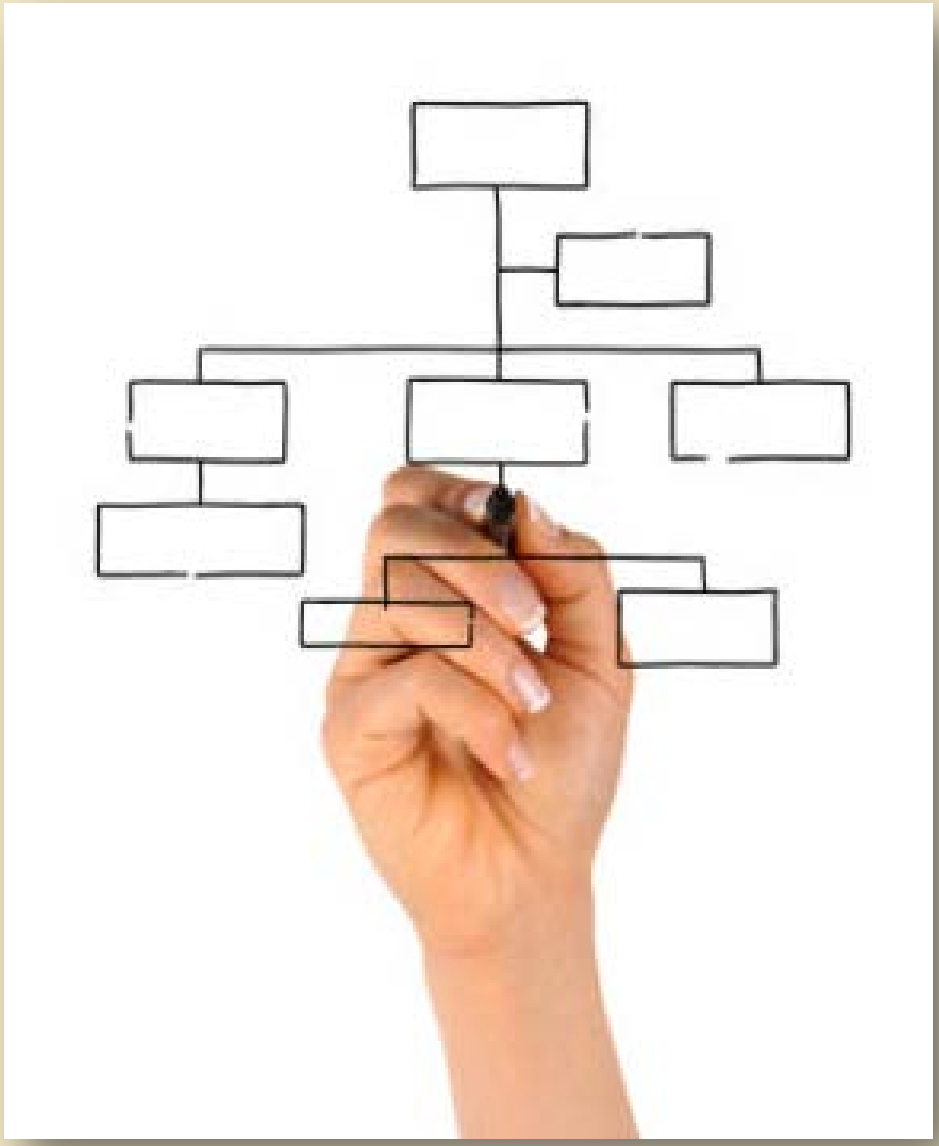
Mission Possible Debrief

- 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?

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.

Head Start Governance and Management Responsibilities

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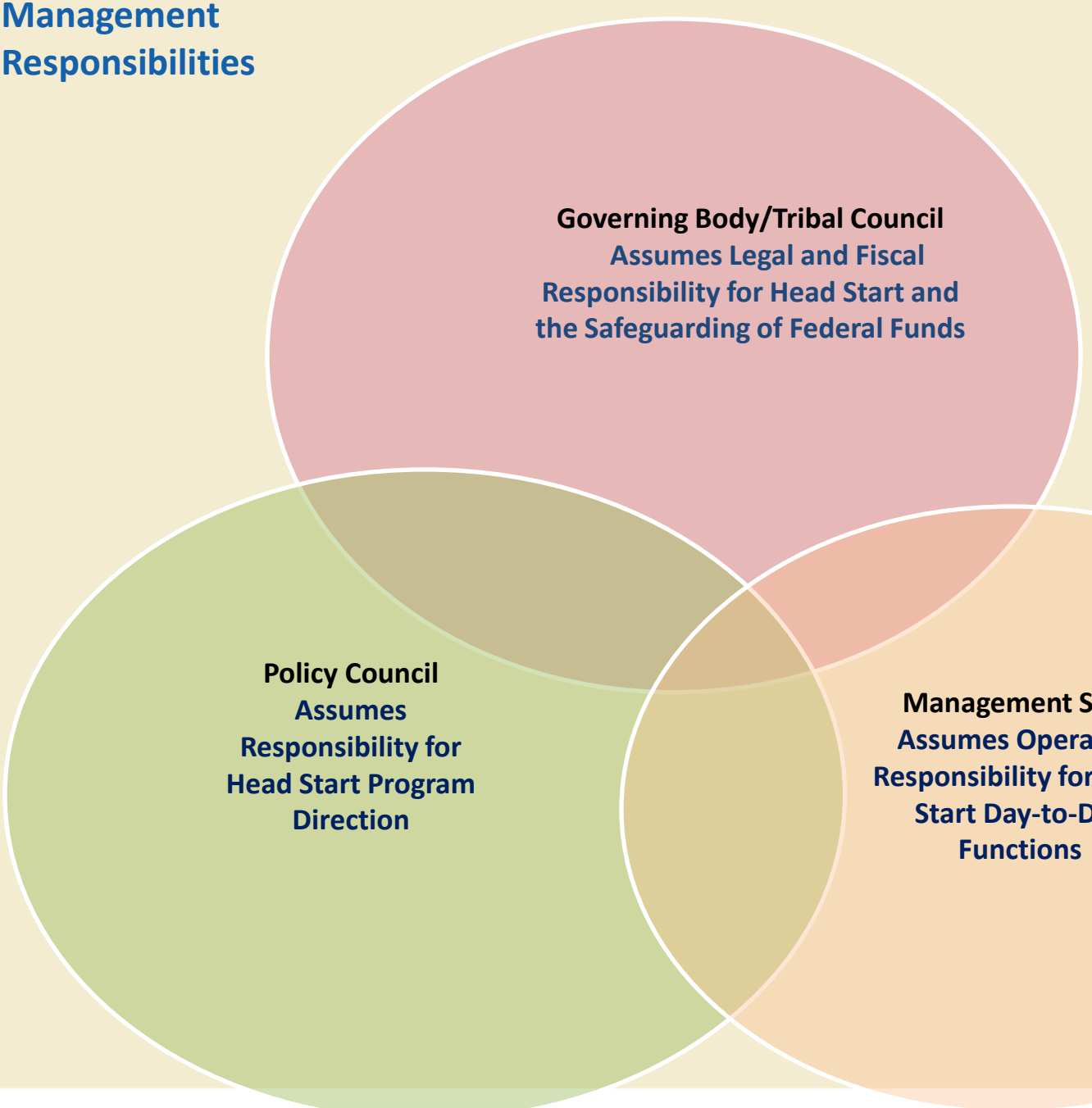

***Reports that are generated and used by management, then shared with and used by Policy Council and governing body:**

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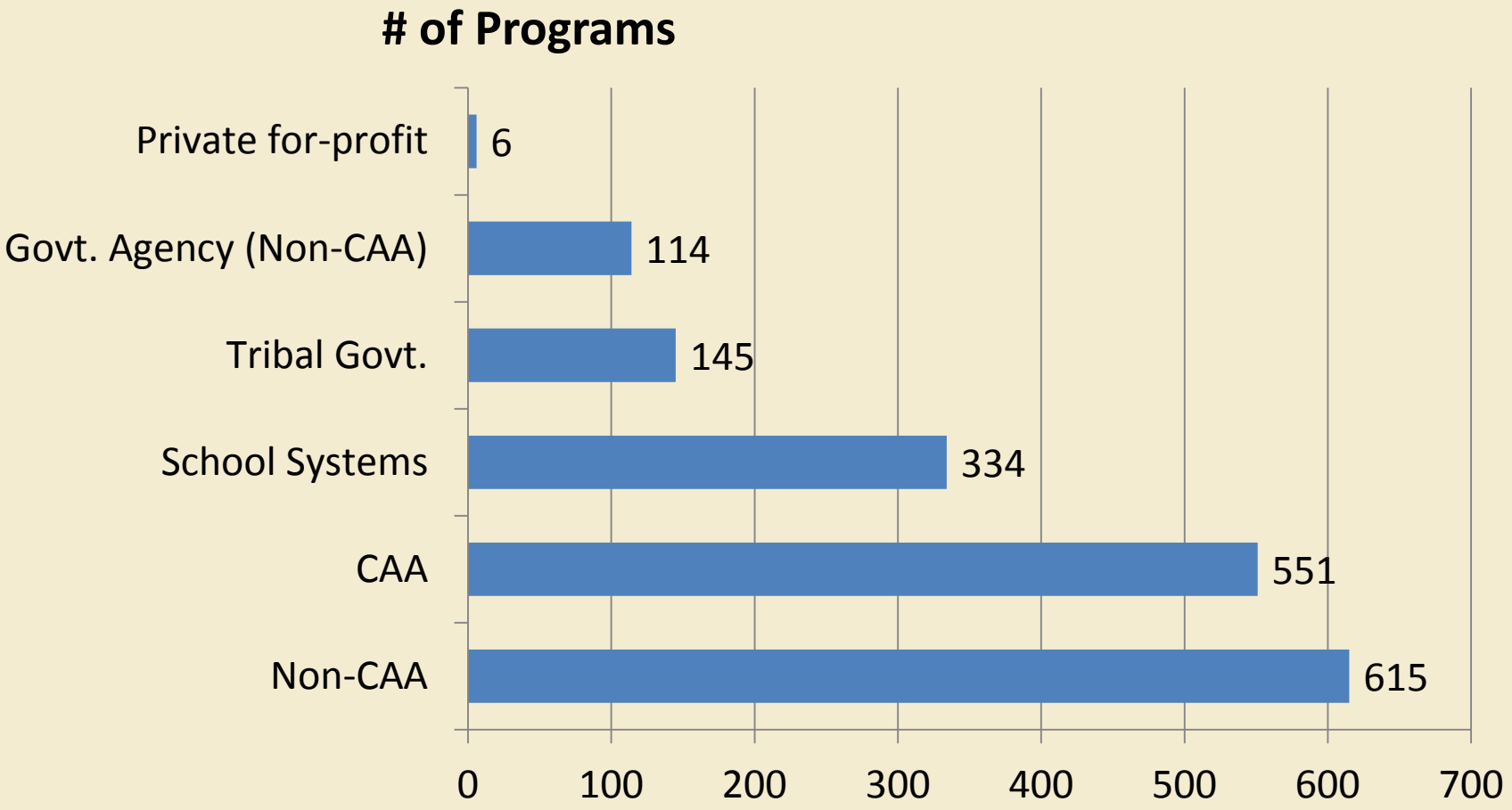
Relationships

Head Start Program Auspices



Program Governance Monitoring

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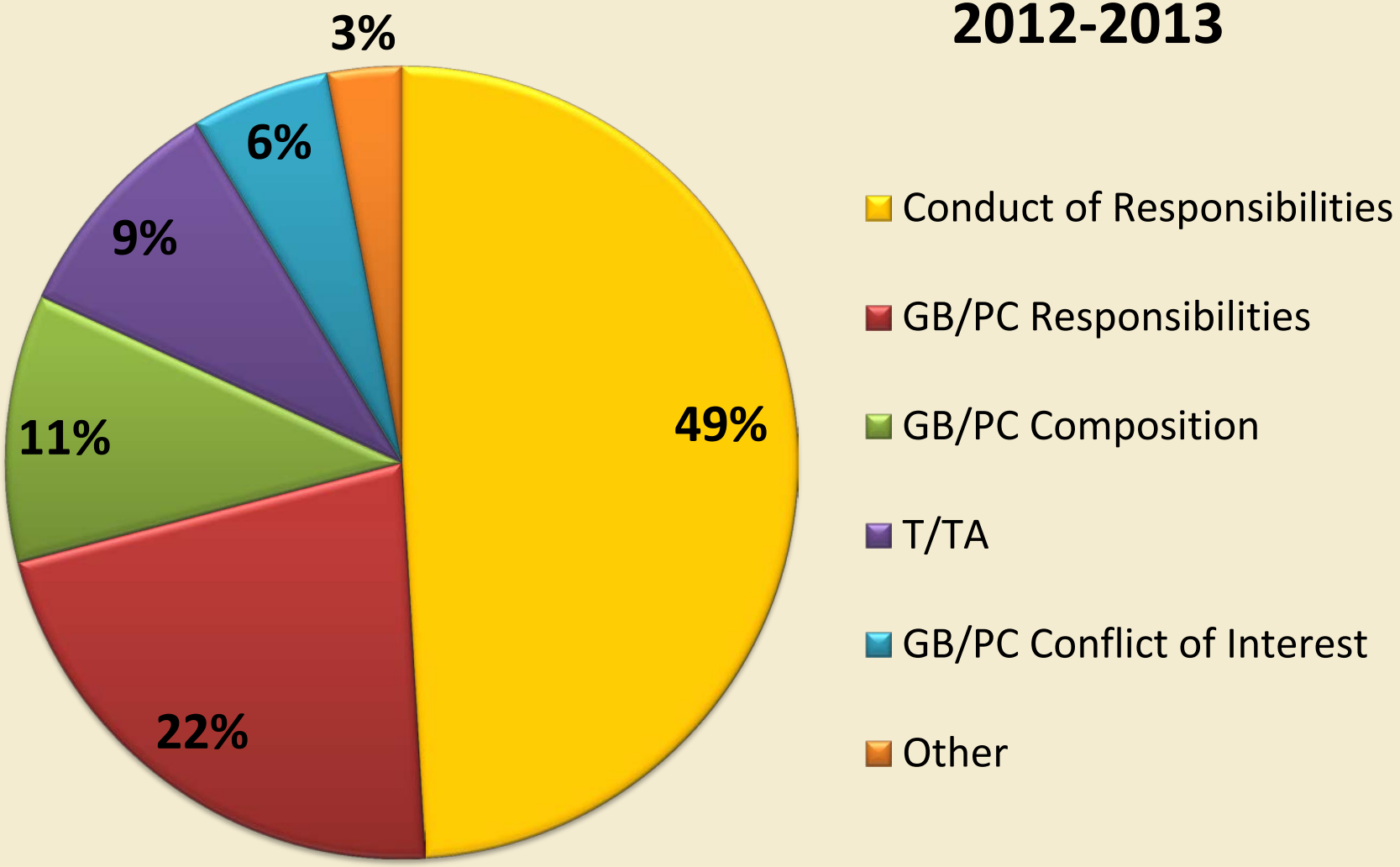

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Source: Head Start Enterprise System, Triennial Reviews, 2/26/2014

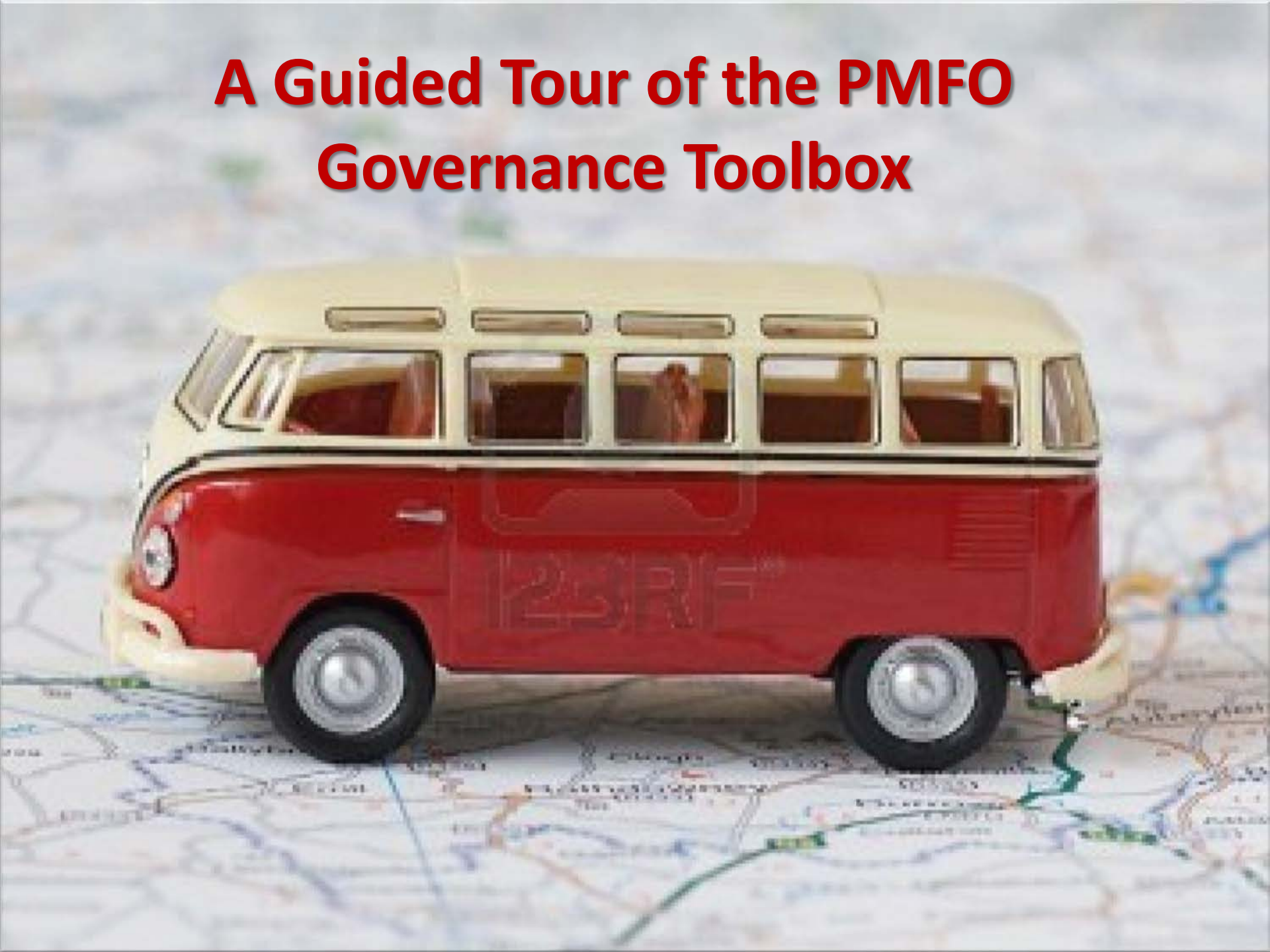
Part 2

- 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



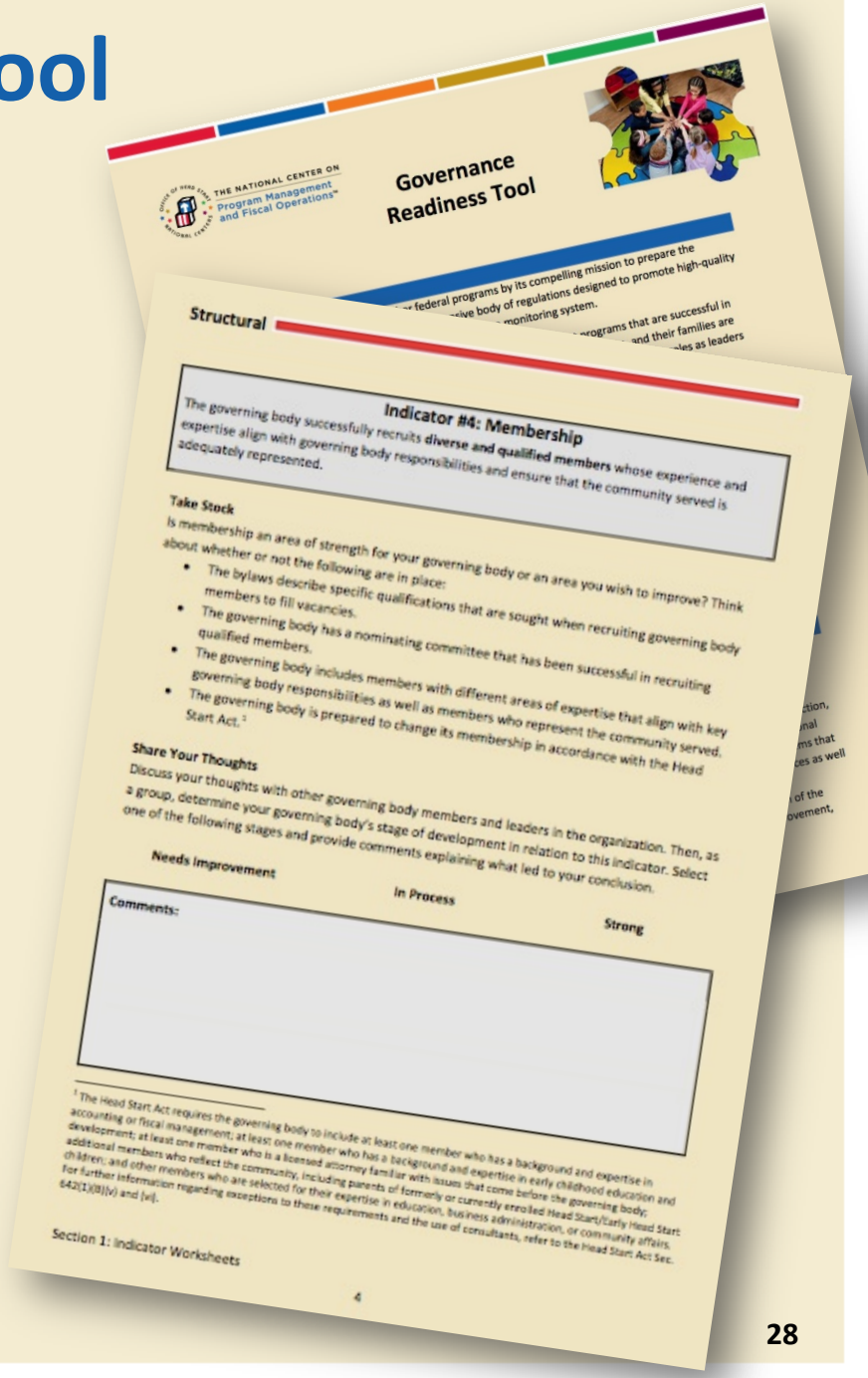
Governance Resources

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***
• 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	• 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	• 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 1. Embracing HS 2. What Is HS Governance? 3. Legal Responsibilities 4. Fiscal Responsibilities 5. Resources	• 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: • 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



Governance Leadership & Oversight Capacity Screener

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

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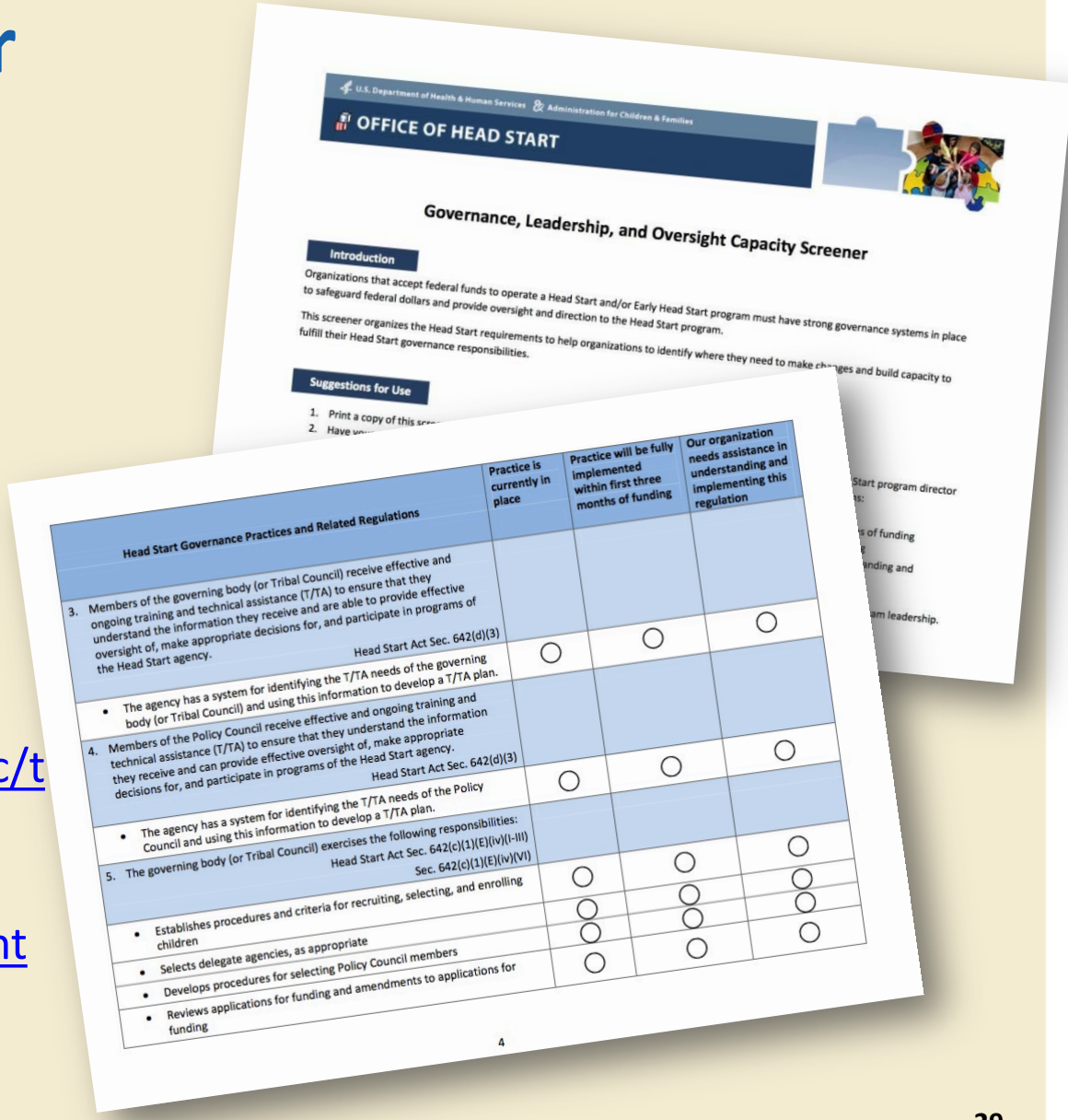
http://eclkc.ohs.acf.hhs.gov/hslc/tta-system/operations/mgmt-admin/governance/hs-governance/GovernanceLeade.htm



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

Governance Online Training Module

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

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Knowledge What Tribal Council members need to know	Skills and Competencies What Tribal Council members need to be able to do
The governance system, bylaws, the respective roles of the Tribal Council and Policy Council, and procedures for selecting Policy Council members The Head Start program, including: • 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 Head Start finances, including: • 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 Head Start Self-Assessment and Planning Systems: • HS program's Self-Assessment system • The Head Start program planning cycle, and the agency and HS program's system for planning Major policies, including standards of conduct, impasse policies, and personnel policies and procedures Head Start Recruitment, Selection, and Enrollment System How to access ECLKC for governance resources and information on the HS Act and regulations Head Start Advisory Committee report	Listen and communicate well , considering all points of view Ask the right questions Use the HS Act and regulations in decision-making Evaluate the executive director Share Head Start program information with stakeholders and community partners Engage in data-based decision-making Interpret budget and fiscal reports Review annual, monthly, and periodic reports to gauge program performance strengths and warning signs View Head Start issues in a holistic context through a management systems lens Support leadership development of others, including members of the Policy Council

Knowledge What Policy Council members need to know	Skills and Competencies What Policy Council members need to be able to do
The governance system, Policy Council bylaws, the respective roles of the Tribal Council and Policy Council, and procedures for selecting Policy Council members The Head Start program, including: • 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 Fiscal basics Head Start Self-Assessment and Planning Systems: • HS program's Self-Assessment system • The Head Start program planning cycle, and the agency and HS program's system for planning Head Start personnel policies and procedures Head Start Recruitment, Selection, and Enrollment System How to access ECLKC for governance resources and information on the HS Act and regulations Head Start Advisory Committee report	Listen and communicate well , considering all points of view Ask the right questions Use the HS Act and regulations in decision-making Engage in data-based decision-making Interpret budget and fiscal reports Review annual, monthly, and periodic reports to gauge program performance strengths and warning signs View Head Start issues in a holistic context through a management systems lens

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?

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T/TA Plan for Tribal Council and Policy Council

Topic	Participants	Resource	T/TA Provider	Dates(s)