

FIVE YEAR GRANTS, APPLICATION INSTRUCTIONS v2 –APRIL 2015

Submission and Approval Instructions

The initial five year grant application package was issued in March, 2014. This set of instructions has been edited for clarity and organization but contains the same content. Programs may begin using the updated instructions as early as April 2015, and all programs should submit applications based on this version by July 1, 2015.

The grant application package must be developed and submitted in an electronic format using the Head Start Enterprise System (HSES) at <https://hses.ohs.acf.hhs.gov/hsprograms>. **The Administration for Children and Families will no longer accept a hard copy of the application.**

Training materials and a User's Guide can be found in the "Instructions" section of HSES. Complete and submit the application in the HSES tab for "Financials," then "Grant Applications."

A **complete grant application package** requires the following tabs in HSES:

- Program Schedule
- Budget
- Other Funding
- SF-424A
- SF-424^a
- Documents:
 - Upload the **Application and Budget Justification Narrative** document (Limit 60 pp, additional instructions re: narrative requirements follow)
 - Upload supporting documents (Limit 50 pp total) in their respective folders in HSES:
 - Results of Self-assessment and Improvement Plan
 - Training & Technical Assistance Plan
 - Governing Body and Policy Council Decisions^b
 - Indirect Cost Rate Agreement, or records showing adoption of 10% de minimis indirect cost rate, **if applicable**.
 - Sample Delegate and/or Partnership Contracts **if applicable**. NOTE: sample contracts do NOT count toward the 50pp limit.
 - Other Supporting Documents

For further assistance, please contact help@hsesinfo.org or 1-866-771-4737. **Incomplete applications will not be processed.**

^a When grantees enter data for the SF-424 and then submit the application package, HSES automatically generates the following electronically signed Assurances and Certifications as a single PDF file. These can be downloaded at the bottom of the SF-424 tab.

1. SF-424B, Assurances – Non-Construction Programs;
2. Certification Regarding Lobbying;
3. Certification Regarding Compliance with Compensation Cap (Level II of Executive Schedule); and
4. Tax Certification Form.

^b Include the following evidence of Governing Body approval and Policy Council approval or disapproval:

1. Signed statements of the Governing Body and Policy Council Chairs;
2. Governing Body and Policy Council minutes documenting each group's participation in the development and approval of the application; and
3. If the Policy Council did not approve the application, submit the required letter from the Policy Council indicating its reasons for withholding approval.

Application and Budget Justification Narrative: Instructions and Definitions

Content of Application and Budget Justification Narrative

Applications for Federal financial assistance to operate a Head Start and/or Early Head Start program must provide a comprehensive description of the organization’s plans to deliver quality Head Start and/or Early Head Start services and a detailed budget to support the planned delivery of services. Applications to obtain a grant for a five year project period or to continue operations during the five year project period contain two sections and are prefaced by a Table of Contents that follows the format and numbering of these Instructions:

- Section I. Program Design and Approach to Service Delivery
- Section II. Budget and Budget Justification Narrative

Section I, Program Design and Approach to Service Delivery, specifies the organization’s plans to operate the Head Start and/or Early Head Start programs. Detailed information is requested for the criteria outlined in five sub-sections:

- A. Goals;
- B. Service Delivery;
- C. Approach to School Readiness;
- D. Parent, Family, and Community Engagement (PFCE); and
- E. Governance, Organizational and Management Structure, and Ongoing Oversight.

Section II, Budget and Budget Justification Narrative, must identify and describe the resources needed to implement the project plans and approach described in Section I, Program Design and Approach to Service Delivery. The information in Section II must align with the data contained in the HSES tab for “Financials”, then “Grant Applications,” then within this current application, the “Budget” tab.

Organizations are required to submit either a Baseline Application or Continuation Application. The criteria for both types of applications are outlined below for each section and sub-section. A determination on the acceptability of the application will be made based on the extent to which each item is addressed.

Should I submit the Baseline Application Narrative or the Continuation Application Narrative for the various Sections and Sub-Sections?

Normally, grantees applying for a new five year project period, whether competitively or non-competitively, would follow the instructions for submitting a Baseline Application Narrative for the first year. Then grantees would follow the instructions for submitting a Continuation Application Narrative in future years of the five year grant.

FIVE YEAR GRANTS, APPLICATION INSTRUCTIONS v2 –APRIL 2015

Some grantees were already in a five year project period when these Instructions were first published in March, 2014. If this is your first time writing a five year application package, follow the Baseline Application Narrative instructions for Sub-Section I-A regarding Goals. There you will describe your program's plans for what you will accomplish during the remaining years of the grant. For the other sub-sections, follow the Continuation Application Narrative instructions.

Length and formatting requirements for Application and Budget Justification Narrative:

1. The information presented in Sections I and II cannot exceed 60 pages, not counting the Table of Contents.
2. Each page must be double-spaced, with one-inch margins on all sides.
3. Use a font size of 12.
4. A Table of Contents must be provided. Follow the format and numbering of these Instructions.
5. Each page must be numbered in the lower right hand corner.

Length and formatting requirements for Supporting Documentation:

1. Supporting documentation and appendices are limited to 50 pages.
2. Required supporting documents include:
 - i. Results of Self-assessment and Improvement Plan
 - ii. Training & Technical Assistance Plan
 - iii. Governing Body and Policy Council Decisions
 - iv. Indirect Cost Rate Agreement, or records showing adoption of 10% de minimis indirect cost rate, ***if applicable***.
 - v. Sample Delegate and/or Partnership Contracts ***if applicable***. NOTE: sample contracts do NOT count toward the 50pp limit.
 - vi. Other Supporting Documents

Terms and Definitions

Long Range Goals– Broad, inspirational statements that describe what you seek to accomplish; targets to be reached. (BROAD = **B**old/**B**eyond current expectations, **R**esponsive, **O**rganization-wide, **A**spirational, and **D**ynamic)

Program Goals– Broad statements that support the program's mission to serve children, families, and the community. In Head Start, program goals may include goals related to parent, family, and community engagement; finances; service provision; etc.

School Readiness Goals– The expectations of children's status and progress across domains of language and literacy development, cognition and general knowledge, approaches to learning, physical well-being and motor development, and social and emotional development that will improve their readiness for kindergarten. (45 CFR 1307.20)

Short Term Objectives– Subparts of goals that are **S**pecific, **M**easurable, **A**ttainable, **R**ealistic and **T**imely (= SMART).

FIVE YEAR GRANTS, APPLICATION INSTRUCTIONS v2 –APRIL 2015

Outcomes – Something that happened as a result of an activity or process. The actual results achieved. The term *outcome* is also used to refer to **Expected Outcomes**, that is, the results you *expect* to see because of an activity or process.

Program Impacts – The influence or effect on a specific Head Start population (e.g. staff, children, families, communities). Note: this term is often used in other settings to signify the findings from an experimental or quasi-experimental research study. Within Head Start’s five-year project period, *impact* refers to how the program, child, family, and/or community changed as a result of what the program did.

Progress – Forward movement toward the achievement of goals, objectives, and outcomes

Evidence – Facts, information, documentation, or examples given to support an assertion.

Resources

Training & Technical Assistance materials are available to help grantees complete their application narrative, particularly the sub-sections concerning planning. See the “Foundations for Excellence: Planning in Head Start” series available at <http://eclkc.ohs.acf.hhs.gov/hslc/tta-system/operations/planning.html>.

Section I. Program Design and Approach to Service Delivery

SUB-SECTION A: Goals

Requirements for Baseline Application Narrative

Describe your program’s plans for what you will accomplish during the five year project period or, for programs already operating in a five year project period, plans for what you will accomplish in the remaining years of the grant.

Notes/Definitions/Resources specific to Sub-Section A:

- **Program Goals** are broad statements that support the program’s mission to serve children, families, and the community. (See [Foundations for Excellence: Planning in Head Start](#), Topic #1: *Understanding Goals, Objectives, Outcomes, Progress, and Action Plans*)
- **School Readiness Goals** are the expectations of children’s status and progress across the domains of language and literacy development, cognition and general knowledge, approaches to learning, physical well-being and motor development, and social and emotional development that will improve their readiness for kindergarten. (See [Foundations for Excellence: Planning in Head Start](#), Topic #3: *Program Goals and School Readiness Goals—Understanding the Relationship*)
- Re: the integration of **Parent, Family, and Community Engagement (PFCE)**: Note that programs may develop PFCE goals as part of program goals that are broad statements that describe what a program intends to accomplish in its work with (and in support of) families. Alternatively, programs may find it more appropriate to develop objectives related to family outcomes and in support of *other* program goals and/or school readiness goals. (See [Foundations for Excellence: Planning in Head Start](#), Topic #5: *Program Planning and Parent, Family, and Community Engagement*)

1. What are your program goals, objectives, and expected outcomes for the next five years? (Examples of possible areas to consider: outcomes for children and families; family engagement or related family outcomes, program and fiscal management systems, oversight, and accountability; enhanced community involvement and resources; and unique community and organizational goals.)
For **each Program Goal**, include:
 - a. **Long Range Goal** statement that is BROAD (**B**old/**B**eyond current expectations, **R**esponsive, **O**rganization-wide, **A**spirational, and **D**ynamic), i.e., what does the program want to accomplish?

FIVE YEAR GRANTS, APPLICATION INSTRUCTIONS v2 –APRIL 2015

- b. Under each goal, **Short Term Objectives** that are SMART (**S**pecific, **M**easurable, **A**ttainable, **R**elevant and **T**imely) for each year of the five year project period, i.e., what does the program plan to do to meet the goal?
 - c. **Expected Outcomes**, i.e., what does the program expect the results will be?
 - d. Data, Tools, or Methods for tracking **Progress**, i.e., what information will the program use during the next five years to determine how they are doing?
2. Demonstrate how your program’s **Long Range Goals** and **Short Term Objectives** are informed by the findings from your communitywide strategic planning/needs assessment and the findings of your annual self-assessment. (*Examples of possible areas to consider: priority service areas, special populations, family needs, child health needs.*)
3. Provide the list of your program’s **School Readiness Goals** across the five domains (*language and literacy development, cognition and general knowledge, approaches toward learning, physical well-being and motor development, and social and emotional development*).
 - a. Include **Evidence** of your **School Readiness Goals** alignment with the Head Start Child Development and Early Learning Framework, State early learning guidelines as appropriate, and expectations of the local schools where children will transition.
 - b. Discuss how your program involved parents and the governing body in developing **School Readiness Goals**.
4. Discuss possible **Program Impacts** your program will achieve—i.e., at the conclusion of the five-year grant period, what difference will your program have made for children, families, and the community?

Requirements for Continuation Application Narrative

1. If applicable, list any additions, deletions, or revisions to your program’s **Long Term Goals**, **Short Term Objectives**, and **Expected Outcomes** that have occurred since last year’s application. If no updates or changes have occurred, include a sentence to that effect.
2. For each program **Long Term Goal**, describe your progress this year toward meeting your **Short Term Objectives** and **Expected Outcomes**. In your discussion, you may use the Data, Tools, or Methods for tracking **Progress** identified in your baseline application, or additional Data, Tools, or Methods identified since then.
3. Discuss **Progress** toward broad **Program Impacts**—i.e., at the conclusion of the five-year grant period, what difference will your program have made for children, families, and the community?

FIVE YEAR GRANTS, APPLICATION INSTRUCTIONS v2 –APRIL 2015

4. If applicable, list any additions, deletions, or revisions to your program’s **School Readiness Goals** that have occurred since last year’s application. Include information on how parents and the governing body were involved in changes. (Additional information on progress toward meeting School Readiness Goals is included in Sub-Section C.) If no updates or changes have occurred, include a sentence to that effect.

SUB-SECTION B: Service Delivery

Requirements for Baseline Application Narrative

In this section, provide a detailed plan to meet the need for comprehensive child development services for Head Start and/or Early Head Start eligible children and families in your service area.

1. Needs of Children and Families:

Include the following data. Throughout Sub-Section B, describe how the data informs or relates to your detailed plan for comprehensive child development services:

- a. the estimated number of eligible children under five years of age and pregnant women by geographic location, and estimated number of children needing full day & full year care;
- b. data regarding the education, health, nutrition, social service, child care, and other service needs of the proposed children, families and pregnant women;
- c. the needs of children with disabilities; dual language learners; homeless children; children involved in the child welfare system and receiving foster care; working families; and pregnant women, if applicable.

2. Service Area:

- a. Identify the service and recruitment areas for proposed Head Start and/or Early Head Start operations. Provide a map labeling these areas.
- b. Provide **Evidence** to demonstrate that the proposed area(s) is the area(s) of greatest need.
- c. If delegates are proposed, identify the specific service area for each delegate, including the communities in which they will operate, the number of children proposed to be served, and proposed program option(s). If applicable, upload a sample delegate contract to the application Documents folder in HSES for “Sample Delegate and/or Partnership Contracts.” This will NOT count toward the 50pp limit on supporting documents.
- d. If child care partners are proposed, identify the number of children proposed to be served through partnership slots. If applicable, upload sample partnership contracts for family child care and/or center based program options to the application Documents folder in HSES for “Sample Delegate and/or Partnership Contracts.” These will NOT count toward the 50pp limit on supporting documents. Note that grantees are responsible for keeping the location of all services, including partner sites, up-to-date in the “Centers” tab of HSES throughout their five-year project period.

FIVE YEAR GRANTS, APPLICATION INSTRUCTIONS v2 –APRIL 2015

3. Justification of Proposed Funded Enrollment and Program Options:

First, go to the HSES tab for “Financials,” then “Grant Applications,” then “Program Schedule,” and complete that tab for Head Start and/or Early Head Start. This tab includes funded enrollment by program option, as well as detailed program schedules for each program option and program option variation. Then, in this application narrative:

- a. Discuss how the program options and program option variations are most appropriate to meet the needs of children and families in your service area. Discuss both the program options (i.e., center-based, home-based, combination option, family child care, or approved locally designed option) and the intensity of services (part-day, full-day, part-year, or full-year models).
- b. Special Situation: Enrollment Reduction or Expansion. Are you proposing to reduce or expand funded enrollment in Head Start and/or Early Head Start since last year? If so, state the difference and explain the rationale. You will include more detailed information on the budget implications in Section II: Budget and Budget Justification Narrative.
- c. Special Situation: Conversion. Are you proposing to convert Head Start funds to provide Early Head Start services? If so:
 - i. Specify the planned reduction in Head Start enrollment and the number of infants, toddlers and pregnant women proposed to be served.
 - ii. Provide information on the amount of funds re-allocated from the Head Start program to support Early Head Start services. You will include more detailed information on the budget implications in Section II: Budget and Budget Justification Narrative.
 - iii. Describe how the needs of infants, toddlers and pregnant women will be met. If the agency does not currently operate an Early Head Start program, provide a detailed explanation of how Early Head Start is proposed to be operated, including the service and recruitment areas, program options, qualifications and training of staff, and the physical infrastructure, including facilities.
 - iv. Provide a description of how the needs of eligible Head Start children will be met.
 - v. Discuss the transition plan between Early Head Start and Head Start.
 - vi. Specify the proposed timeline for implementation of the conversion.

4. Centers and Facilities:

First, enter and/or review all data in the “Centers” tab in HSES to ensure the locations of all services are identified, including family and center based child care partners, home based socialization sites, and locations where pregnant women meet as groups. Then, in this application narrative:

- a. If applicable, list any additions, deletions, or revisions to your service locations since last year, including child care partners, and describe the reasons for changes.

FIVE YEAR GRANTS, APPLICATION INSTRUCTIONS v2 –APRIL 2015

- b. Explain how your choice of locations will ensure services are provided to areas with the greatest need.
- c. Describe plans to ensure the health and safety of children and staff at each center and to meet or exceed State and local requirements for licensing of facilities.

Describe planned changes that involve centers with Federal Interest, e.g., proposed loans, subordination agreements, major or minor renovations. Note that proposed facilities activities must be requested using the SF-429 Real Property Status Report and its relevant Attachments.

5. Recruitment and Selection:

- a. Describe the recruitment strategy and selection criteria to ensure services will be provided to those in greatest need of Head Start and/or Early Head Start services.
- b. Describe how the program will ensure that not less than 10 percent of the actual enrollment will be children with disabilities.

6. Transportation:

- a. Describe the level of need for child transportation services.
- b. Describe how the program will either directly meet transportation needs or assist families in accessing other transportation so that children can attend Head Start and/or Early Head Start services.

7. Educational Services:

- a. Describe how the program will meet the educational needs of Head Start and Early Head Start children for each program option. (Note: additional information around School Readiness is in Sub-Section C.)

8. Health:

- a. Describe how the program will meet the health, mental health, nutritional, and oral health needs of children.
- b. Describe the system for health screening and services that will ensure children are accurately referred for necessary follow-up evaluation and treatment within timeframes specified by Head Start regulations.

9. Family Services and Social Services:

- a. Discuss program plans to support families in obtaining needed family services and social services in support of family well-being. (Note: additional information around Parent and Family Engagement is in Sub-Section D.)
- b. Describe program services designed to facilitate parent engagement and parent involvement through meaningful staff-family relationships and program activities.
- c. Describe how individual family assessments will be used to individualize the approach for each family. Specify the number of families assigned to each family service worker and the number of planned contacts per family.

FIVE YEAR GRANTS, APPLICATION INSTRUCTIONS v2 –APRIL 2015

- d. Describe program services to facilitate parent participation, including, if applicable, transportation and child care services.
- e. Describe program services to support maximum child attendance.

10. Early Head Start Specific:

- a. Provide **Evidence** to demonstrate how the proposed service plan for Early Head Start addresses the need for continuity of services and provides a minimum of 48 weeks of service
- b. If the program will not operate for a minimum of 48 weeks per year, provide **Evidence** to demonstrate how quality services are maintained throughout the year.
- c. Describe the services to be provided to enrolled pregnant women.

11. Transition:

Describe a systematic procedure for transitioning children and parents, including pregnant women. As applicable, include a description of how the program will support transition:

- a. from Early Head Start to Head Start or other community-based programs;
- b. from Head Start to the local school system, including kindergarten; and
- c. within Head Start and/or Early Head Start, including serving infants upon birth, and moving a child from one program option to another or from one classroom to the next.

12. Coordination:

- a. Describe how the agency coordinates resources with other child care and preschool programs, State pre-kindergarten programs, and Local Education Agencies to provide high quality child health and developmental services.
- b. Describe the coordination of resources with community programs under Part C and Part B Section 619 of the Individuals with Disabilities Education Act (IDEA) to ensure high quality education and child development services.
 - i. If Memorandum of Understandings (MOUs) were established, describe how the MOUs include the process for referrals, intervention services and the development of individualized educational programs for preschool children, and individualized family service plans for infants and toddlers.
 - ii. If MOUs were not established, provide an explanation for the reasons they were not established with Part C or Part B Section 619 agencies in the service area.

FIVE YEAR GRANTS, APPLICATION INSTRUCTIONS v2 –APRIL 2015

Requirements for Continuation Application Narrative

In this section, discuss any updates to your plans to meet the need for comprehensive child development services for Head Start and/or Early Head Start eligible children and families in the following categories. For each category, if no updates or changes have occurred, include a sentence to that effect. **See Requirements for Baseline Application above for additional detail on each category.**

1. Needs of Children and Families
2. Service Area
 - a. Include any changes to delegate agencies and/or child care partners.
3. Justification of Proposed Funded Enrollment and Program Options
 - a. First, go to the HSES tab for “Financials,” then “Grant Applications,” then “Program Schedule,” and complete that tab for Head Start and/or Early Head Start.
 - b. Special Situation: Enrollment Reduction or Expansion
 - c. Special Situation: Conversion
4. Centers and Facilities
 - a. First, review and/or update all data in the “Centers” tab in HSES to ensure the locations of all services are identified, including child care partners.
 - b. Discuss any changes, including changes to centers with federal interest. Note that proposed facilities activities must be requested using the SF-429 Real Property Status Report and its relevant Attachments.
5. Recruitment and Selection
6. Transportation
7. Educational Services
8. Health
9. Family Services and Social Services
10. Early Head Start Specific
 - a. Continuity of services (48 weeks per year)
 - b. Pregnant women services
11. Transition
12. Coordination

FIVE YEAR GRANTS, APPLICATION INSTRUCTIONS v2 –APRIL 2015

SUB-SECTION C: Approach to School Readiness

Requirements for Baseline Application Narrative

In addition to setting School Readiness Goals, included in Sub-Section A of this application, your program’s approach to school readiness includes child assessment data and curriculum, and may include staff-child interaction observation tools.

1. Child Assessment Data:
 - a. Identify the child assessment(s) used or to be used by your program and discuss how it is developmentally, linguistically, and culturally appropriate for the group of enrolled children.
 - b. Describe your program’s system to analyze child assessment data to individualize the instruction and learning for each child and to aggregate and analyze child assessment data at least three times per year. Note that Migrant and Seasonal Head Start programs operating less than 90 days are required to aggregate data at least twice within their operating period.
 - c. Explain how the child assessment data analysis, in combination with other program data, will be used to:
 - i. Determine the agency’s progress toward meeting its goals and intended impacts
 - ii. Inform parents and the community of results
 - iii. Direct continuous improvement
 - d. Describe a plan to ensure the fidelity of assessment tools will be maintained.
2. Curriculum:
 - a. Identify the curriculum(a) used by your program and discuss how it is developmentally, linguistically, and culturally appropriate for the group of enrolled children.
 - b. Discuss how the curriculum(a) relates to the child assessment(s) used.
 - c. Include **Evidence** that your curriculum(a) is aligned with the Head Start Child Development and Early Learning Framework, State early learning guidelines as appropriate, and expectations of the local schools where children will transition to kindergarten.
3. Staff-Child Interaction Observation Tools:
 - a. Identify whether staff-child interaction observation tools (i.e. CLASS, HOVRS, Arnett Caregiver Interaction Scale) will be used by the program. If not, skip the remaining parts of this question.
 - b. Explain how the staff-child interaction tools will be used.
 - c. Describe your program’s plan to use this data to improve the quality of children’s experiences.
 - d. Describe a plan to ensure the fidelity of the assessment tools will be maintained.

FIVE YEAR GRANTS, APPLICATION INSTRUCTIONS v2 –APRIL 2015

Requirements for Continuation Application Narrative

In addition to setting School Readiness Goals, included in Sub-Section A of this application, your program's approach to school readiness includes child assessment data and curriculum, and may include staff-child interaction observation tools.

1. Updates to Approach in School Readiness, if applicable. If no updates or changes have occurred, include a sentence to that effect.
 - a. Discuss any change in child assessment(s) used by your program since last year's application
 - b. Discuss any change in curriculum(a) used by your program since last year's application
 - c. Discuss any change in staff-child interaction observation tools (i.e. CLASS, HOVRS, Arnett Caregiver Interaction Scale) used by your program since last year's application
2. Report on the progress of children and the program towards achieving school readiness in each of the five domains. Provide specific examples as appropriate.
3. Describe program improvements implemented in response to the analysis of child assessment and other data. Provide specific examples as appropriate.

SUB-SECTION D: Parent, Family, and Community Engagement

Requirements for Baseline Application Narrative

In Sub-Section A, programs will have identified program level goals and/or objectives related to family outcomes. (For a discussion of the difference between program goals related to family outcomes and individual family goals related to individual family strengths, needs, and aspirations, see [Foundations for Excellence: Planning in Head Start, Topic #5: Program Planning and Parent, Family, and Community Engagement.](#)) In this Sub-Section D, programs will describe the processes and data sources for developing their PFCE goals/objectives related to family outcomes.

1. Describe the process to be used to identify and prioritize PFCE goals and/or objectives. (For example, will families be involved in the goal-setting process? Will information such as aggregated family assessment data be used to target outcome areas? Will the program seek staff input on priority goals/objectives?)
2. Identify the data, tools, or methods that will be used to support implementation of and track progress toward PFCE goals and/or objectives. (Examples could include evidence-based measures, National Center assessment tools, parent surveys, or other program-designed methods.)

FIVE YEAR GRANTS, APPLICATION INSTRUCTIONS v2 –APRIL 2015

3. Describe how aggregated program data related to family progress may also be analyzed in support of children’s school readiness goals, as applicable.

Requirements for Continuation Application Narrative

For continuation applications, the following information must be provided:

1. In Sub-Section A, programs listed any additions, deletions, or revisions to the program Long Term Goals, Short Term Objectives, and Expected Outcomes. Did any of these changes involve program goals and/or objectives related to family outcomes? If so, describe the reasons and process for making changes. If no updates or changes have occurred, include a sentence to that effect.
2. If applicable, describe any new data sources used since last year’s application to support the implementation and evaluation of PFCE goals and/or objectives. If no updates or changes have occurred, include a sentence to that effect.
3. Describe program data related to family progress that also supports children’s school readiness. Provide specific examples as appropriate.
4. Describe how program progress toward PFCE goals and/or objectives is communicated to families. Provide specific examples as appropriate.

SUB-SECTION E: Governance, Organizational and Management Structures, and Ongoing Oversight

Requirements for Baseline Application Narrative

In this section, describe the governance, organizational, and management structures that provide ongoing oversight to support quality services and maintain accountability, efficiency, and leadership within the program.

1. Describe the governing body structure and show how the structure meets the program governance composition requirements established in Section 642(c)(B-D) of the Head Start Act, including at least one member:
 - a. with expertise in fiscal management or accounting;
 - b. with expertise in early childhood education and development; and
 - c. who is a licensed attorney familiar with issues that come before the governing body.

Also provide information to assure that governing body members do not have a conflict of interest with the Head Start and/or Early Head Start programs, any delegate programs or other partners/vendors. If the program meets any criteria for exceptions in Section 642(c)(B-D) of the Head Start Act, discuss here also.

FIVE YEAR GRANTS, APPLICATION INSTRUCTIONS v2 –APRIL 2015

2. Describe how the program governance requirements established in Section 642(c) of the Head Start Act are met, including:
 - a. exercise effective oversight of program operations and accountability for Federal funds;;
 - b. monthly reporting of required information to the Governing Body and Policy Council;
 - c. involvement of the Governing Body in the selection of the program’s auditor and receipt of the annual audit report;
 - d. include the Policy Council in the planning and decision-making process;
 - e. assure representation of the diverse community served;
 - f. set and monitor overall agency priorities and operational systems; and
 - g. conduct the community assessment, annual self-assessment, ongoing monitoring and outcome-based evaluation.

3. Provide an explanation of the delegated responsibilities of any advisory committees, if applicable, that the Board has established to oversee key responsibilities related to program governance and improvement of the Head Start program. Include a description of the membership of each advisory committee.

4. Provide a description of the composition of the Policy Council and Parent Committees. Describe how parents are meaningfully involved in setting direction for the program.

5. Provide an organizational chart identifying the management team and staffing structure, including:
 - a. the executive director,
 - b. program director,
 - c. managers, and
 - d. other key staff.

Include assigned areas of responsibility and lines of communication and reporting. Identify staffing patterns and supervisory structure to accomplish goals and plans across systems and services.

6. Provide a description of the systems developed to ensure criminal record checks occur prior to hire for all staff working in the Head Start and/or Early Head Start program. Include a description of the procedure followed to ensure staff remain up to date on required health exams and tuberculosis screenings.

7. Demonstrate how all employees meet staff qualification requirements by identifying the qualifications of and competencies for staff, including Head Start and/or Early Head Start director(s); education and child development staff; health services staff; nutrition services staff; mental health services staff; family and community partnership staff; parent involvement services staff; disability services staff; and fiscal staff.

FIVE YEAR GRANTS, APPLICATION INSTRUCTIONS v2 –APRIL 2015

8. Describe how staff will plan, organize and provide comprehensive services that include:
 - a. facilitating effective educator-child relationships that support children’s development;
 - b. ensuring staff are prepared for and supported in implementing evidence-based instructional practices that are individualized based on the ongoing assessment of each child to support positive child outcomes;
 - c. ensuring staff successfully partner with families in supporting children’s development; and
 - d. supporting staff, through regular provision of feedback, supervision, coaching and other mechanisms.

9. Describe the management systems in each of the following areas:
 - a. program planning;
 - b. internal and external communication;
 - c. record-keeping and reporting;
 - d. ongoing program and fiscal monitoring; and
 - e. annual self-assessment, including a summary of the process used to conduct the self-assessment, the results of the most recent self-assessment conducted within the last year, and the improvement plan addressing any issues, including action steps, person(s) responsible, and timeframe for corrective action.

10. Upload, in the application Documents folder in HSES for “Training & Technical Assistance Plan,” a comprehensive Training and Technical Assistance plan that addresses mandatory training and priorities identified from ongoing monitoring and the annual self-assessment. Describe planned training for staff, parents, volunteers, governing body members and Policy Council members.

Requirements for Continuation Application Narrative

For continuation applications, the following information must be provided:

1. Describe changes to the roles and responsibilities of the Board and Policy Council, if applicable. If no updates or changes have occurred, include a sentence to that effect.
2. Include a current organizational chart.
3. Provide updates of staff qualifications or competencies for the following groups: Head Start and/or Early Head Start director(s), education and child development staff, health services staff, nutrition services staff, mental health services staff, family and community partnership staff, parent involvement services staff, disability services staff, and fiscal staff. If no updates or changes have occurred, include a sentence to that effect.
4. Describe changes to the management systems for planning, communications, record-keeping and reporting, ongoing monitoring, and self-assessment. Include a summary of the results of the most recent self-assessment and the improvement plan addressing the issues, action steps, person(s) responsible, and timeframe for planned or completed corrective action.

FIVE YEAR GRANTS, APPLICATION INSTRUCTIONS v2 –APRIL 2015

5. Upload, in the application Documents folder in HSES for “Training & Technical Assistance Plan,” a comprehensive Training and Technical Assistance plan that addresses mandatory training and priorities identified from ongoing monitoring and the annual self-assessment. Describe planned training for staff, parents, volunteers, governing body members and Policy Council members.

Section II. Budget and Budget Justification Narrative

Requirements for All Applications

A comprehensive budget that aligns with the proposed program approach and identifies allowable, reasonable, and allocable costs must be submitted for each year of the five year project period. First, go to the HSES tab for “Financials,” then “Grant Applications,” then within this current application, complete the following tabs:

- Budget
- Other Funding
- *SF-424A
- SF-424

Additional Notes:

* The SF-424A, Budget Information Non-Construction Programs, must provide the distribution of funds **by object class categories in separate columns** for Head Start Program Operations, Head Start Training and Technical Assistance, Early Head Start Program Operations and Early Head Start Training and Technical Assistance for the grant and for each delegate agency.

Also note that if applicable, you will include separate proposed budgets for Head Start and Early Head Start and each delegate agency. Then, in Section II of your **Application and Budget Justification Narrative** document, justify the budget by addressing the following items:

1. Provide a detailed budget narrative and justification that identifies the amount of funds and a description of the intended use of program operations and training and technical assistance funds by object class category for Head Start and/or Early Head Start. Include any one-time costs, for any proposed conversion requests, if applicable.
2. Demonstrate the proposed budget supports all direct costs and indirect costs, if appropriate.
3. Demonstrate funds are budgeted to provide all required comprehensive Head Start and/or Early Head Start services to eligible children and families in a cost- effective manner as indicated in Section I, Program Design and Approach to Service Delivery.

FIVE YEAR GRANTS, APPLICATION INSTRUCTIONS v2 –APRIL 2015

4. If applicable, provide a detailed budget narrative for the planned use of any cost-of-living adjustment (COLA) increases included in the projected funding level for the budget period. Describe the plans to increase the hourly rate of pay for staff and the pay scale subject to the provisions of Sections 653 and 640(j) of the Head Start Act. Specify the other planned uses of the funds to offset higher operating costs. Demonstrate the COLA increase was provided to all delegate agencies or provide a justification if the full percentage is not provided to delegate agencies.
5. Describe the organization's financial and property management system and internal controls in place to maintain effective control of and accountability for grant funds, property and other assets.
6. Identify each source of non-federal share match, including the estimated amount per source and the valuation methodology. Demonstrate that the amounts and sources that will contribute to the required non-federal share match of the total project cost are allowable sources. Provide a detailed justification that conforms with the criteria under Section 640(b)(1)-(5) of the Head Start Act if the application proposes a waiver of any portion of the non-federal share match requirement.
7. Demonstrate the ability to meet the 15 percent limitation on funding and administrative (F&A) costs. Provide a detailed justification that meets the conditions of 45 C.F.R. 1301.32(g) if the applicant proposes a waiver of the limitation on development and administrative costs.
8. Discuss the source and amount of cash, donated goods and services, and other resources proposed such as United Way, State and/or local grant funds, etc. to support allowable non-federal match to the project, in addition to the federal funds requested.
9. Submit a cost allocation plan for any proposed costs to be shared between or among programs, including shared staff. Indirect cost must be included in the cost allocation plan unless the applicant has a negotiated indirect cost rate agreement or has adopted use of the 10% de minimis rate.
10. If applicable, in the application Documents folder in HSES for "Indirect Cost Rate Agreement," upload a copy of the current or proposed negotiated indirect cost agreement between the agency and/or delegate agencies and the respective cognizant Federal agency. If using the 10% de minimis indirect cost rate, upload a copy of the policy or other written record indicating date upon which the rate was adopted.
11. Special Situation: Reduction. If applicable, describe the planned use of the funds to support requests for enrollment reductions and proposed budget savings, if any.
12. Special Situation: Conversion. If applicable, identify the amount of funds that will be re-allocated by object class category to convert from either part day to full-working day services or from Head Start to Early Head Start services. Explain the changes in each object class category.

FIVE YEAR GRANTS, APPLICATION INSTRUCTIONS v2 –APRIL 2015

13. Provide a detailed explanation and supporting documents for any proposed use of Head Start grant funds for the initial or ongoing purchase, construction and major renovation of facilities. Identify all proposed sources of funding for facilities activities. Submission of form SF-429 and relevant Attachments and compliance with application requirements in 45 C.F.R. Part 1309 will be required. No Head Start grant funds may be used toward the payment of acquisition, construction or major renovation of a facility without the express written approval of the Administration for Children and Families.

14. Provide explanation of the method of procurement to be used for any proposed equipment purchases over \$5,000.