TRUTH or MYTH?
Outcomes

- Recognize the importance of the Self-Assessment process
- Use a strength-based model to assess progress towards goals, objectives, and expected outcomes
- Understand how to use the Self-Assessment report as a source of vital data for the planning process
Systems-thinking provides a fresh perspective and a big-picture lens that taps into a higher level of analyzing, problem solving, and strategizing.
Key Message 2

Change requires positive action and buy-in from all levels of the organization.
Systems Are Linked

Planning

Self-Assessment

Fiscal

Record-keeping & Reporting

Ongoing
Systems Are Linked

- Fiscal Management
- Planning
- Record-keeping & Reporting
- Ongoing Monitoring
- Self-Assessment
Program Planning Cycle

1. Conduct or Update Community Assessment
2. Evaluate Progress through Self-Assessment
3. Continually Respond with Course Corrections
4. Develop an Action Plan and Budget that Reflect Goals
5. Implement an Action Plan
6. Evaluate Progress through Ongoing Monitoring

- Every five years: Decide on Broad Goals and Initial Short-Term Objectives
- Annually: Review Goals and Revise if Necessary. Generate Objectives and Expected Outcomes
Self-Assessment

Builds on Existing Data

Innovations

Who participates

Strengths Based Questions

Streamline Process

Diverse People on Teams

Different from Ongoing Monitoring

Quality vs. Quantity

Using Strength Based Approach

Looking at Big Picture

Systemic Issues

Appreciative Inquiry

More Global

Future

Analyze

Self-Assessment/Telescope

Progress on Goals and Objectives

New Thinking
The Act and the HSPPS

Self-Assessment: 45 CFR 1304.51 (i) (1)
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*

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 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

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*

*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

April 22, 2014
Recommended Practices for Self-Assessment

**What?**
A process for reviewing progress on goals and objectives, being accountable for what you proposed in your application, and determining if resources are used effectively.

**Why?**
Leverage strengths and look for areas of improvement and innovation.

**Who?**
Program staff, parents, Policy Council, governing body/Tribal Council, outside-the-program community leaders, content experts, and other interested people.

**When?**
Annually.

Follow the five-phase Self-Assessment process.
Benefits of Self-Assessment

• Help see the big picture
• Bring fresh perspective
• Understand the possibilities and challenges that the program faces
• Cultivate new ideas
• Build stronger community partnerships
• Maximize use of existing resources
The Role Data Plays in Self-Assessment
How Data Links OGM, Self-Assessment, and Planning

Ongoing Monitoring
- Collect data (PIR, child outcomes data, results of OGM for all systems, services, goals and objectives)
- Review and analyze data with managers
- Determine new data measures
- Verify accuracy of and summarize OGM data for review by SA team

Self-Assessment
- Analyze information presented (OGM summaries, OHS monitoring results, other info needed)
- Determine and request if further info is needed

Program Planning
- Review and analyze community assessment and other relevant data
- Identify measures to monitor (prepare for data collection)
- Plan for regular progress reports to staff, governing body, and Policy Council
Phases of Self-Assessment

1. Design Process
2. Engage Team
3. Analyze & Dialogue
4. Recommend
5. Prepare Report
Who’s Role it is it Anyway?
Prior to Self-Assessment

**Director & Management Team**
- Ask important questions about the data they have collected thus far
- Prioritize areas for investigation
- Create summaries of the data related to areas of focus
Preparation Questions

• Is our data complete, accurate, and up to date?
• What does the data tell us?
• What data are important, given our goals and objectives?
• What do we want to know?
• How will we summarize existing data and prioritize?
### Summary of Ongoing Monitoring Results

<table>
<thead>
<tr>
<th>Area Monitored</th>
<th>What was monitored? (What data sources were reviewed?)</th>
<th>What Strengths did you find?</th>
<th>What Areas of Concern did you find?</th>
</tr>
</thead>
<tbody>
<tr>
<td>Program Governance/Leadership</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Management Systems</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Fiscal</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Environmental Health &amp; Safety</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Comprehensive Services**

**Date:**
Progress on Goals and Objectives: Quarterly and Annual Summary

Summary of Progress on Goals and Objectives

Program Name: __________________________

<table>
<thead>
<tr>
<th>Goal</th>
<th>Objective(s)</th>
<th>Expected Outcome(s)</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Quarter 1: Date ___________</th>
</tr>
</thead>
<tbody>
<tr>
<td>What data did you look at to determine progress? When did you review the data? How frequently?</td>
</tr>
</tbody>
</table>

Describe your progress

Describe issues to track
What to Elevate in Self-Assessment

Questions for the Self-Assessment team:

- “Moving forward, how can our maintenance systems be more responsive?”
- “How can we ensure children are getting to school on time?”
- “How can we be best prepared for emergencies?”

Data to take into Self-Assessment:

Data: Time between issue reported and issue repaired

Data: Bus arrival times and child outcomes across program

Data: Emergency preparedness procedures and safety findings

Systemic—Ongoing monitoring issues:

- “75% of the classrooms need to be painted.”
- “Busses are 5–15 minutes late on regular basis.”
- “Offsite evacuation location is no longer available.”

Not systemic:

- “Leaky faucet in the green room.”
- “One bus is 5–15 minutes late on regular basis.”
- “No bandages in Center 3’s first aid kits.”
## What to Elevate in Self-Assessment

### Questions for the Self-Assessment team:

<p>| | | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### Data to take into Self-Assessment:

- **Systemic**
  - Data: Enrollment lists at all centers and waitlists
  - Data: Daily Playground check lists
  - Data: File checks

- **Systemic—Ongoing monitoring issues:**

- **Not systemic:**
  - The Blue Mountain Center struggles with being fully enrolled. The
  - Broken glass is routinely cleaned up on the playground at the Blue
  - Some forms are missing parent signatures at both

---

*Note: The image contains a diagram with arrows and boxes, but the text here provides a clear representation of the content.*
Design Process

**Director & Management Team**

- Develop plan for Self-Assessment
- Identify and invite internal and external team members
- Consult with Policy Council and governing body/Tribal Council and seek approval of SA plan
Develop a Plan

• Create a timeline.
• Know what data you are bringing forward.
• Ensure data is summarized accurately and completely.
• Identify topics for focus.
• Determine need for “subgroups.”
• Create and practice your elevator speech!
Create an Elevator Speech

Three key aspects:
1) Brief overview of the SA process
2) Personalization: why would we like you to join us?
3) Clear next steps delivered with enthusiasm!
Invite the SA Team

Design Process

Professional roles

Understanding of your program

Expertise

Diversity

Perspectives
Use parents, community members, and partners as “fresh sets of eyes.”
Congress requires Head Start programs to involve their Policy Council in the Annual Self-Assessment; however, that legislative body also recommends that programs involve community members, thus ensuring an outside perspective. Parents and community partners can provide new insights as they work with program leaders to examine data. Governing body members may be recruited as well. In particular, the governing body Early Childhood expert can add value to the review of educational services, while the governing body fiscal expert can critique financial systems.
Engage the Team

**Director & Management Team**
- Orient SA team members
- Share the SA plan
- Share ongoing monitoring, last year’s SA report, and other data

**SA Team**
- Form subgroups and begin process

---

1. Design Process
2. Engage Team
3. Analyze & Dialogue
4. Recommend
5. Prepare Report

PRE ➔ POST
Orient the Team

• Present the overall Self-Assessment plan.
• Identify subgroups and areas of focus.
• Share ongoing monitoring results related to areas of focus.
• Present last year’s SA report.
• Ensure roles and responsibilities are clear.

Useful resource for directors:
Self-Assessment Team Orientation PPT—Let’s briefly explore!
Reflect on the Orientation PPT

- How would you use it?
- Are there things you would add?

Leading From Strengths

Professor Ronald Fry, Case Western Reserve University
Why Strengths-based?

• Leverage progress on goals and objectives.
• Learn from what is going well.
• Lead to “innovations.”
• Improve outcomes for children and families.
Analyze and Dialogue

SA Team or subgroups
- Explore systemic issues
- Review and analyze data and seek additional data, as needed
- Engage in dialogue using probing questions
- Examine progress on goals and objectives
- Formulate discoveries
Types of Head Start Data
(just to name a few)

- PIR
- ERSEA
- Attendance
- Community assessment
- Ongoing monitoring
- Child outcomes
- Family engagement
- Health, mental health, and nutrition
- Transportation, fiscal, and facilities
Dialogue with Team

- Establish ground rules
- Hear everyone’s voice
- Stay focused on the big picture
- Help the team get “unstuck”
Fire and Wheel

https://www.youtube.com/watch?v=aOtqnc8BER4&list=PLGtDgtrNcR8h0mAEoLuAA9zH-1mYRRmkp
Being a Good Team Member

Six Useful Tips . . .

1) Keeping a strengths-based approach
2) Letting go of control
3) Including all team members
4) Using multiple strategies to engage team
5) Keeping the dialogue flowing
6) Focusing on the “big picture” over details
Activity Instructions:

1) Stand up and find a partner.
2) On the next slide, one partner reads Partner A aloud. Then the other reads Partner B aloud.
3) Have a short discussion about which statement works better. You don’t have to agree!
4) At the signal, switch and find a new partner and continue with the five remaining slides.
A) “We’ve made a lot of progress on goals so far. And with your help, we will continue to grow and thrive!”

B) “We have a long way to go and some issues to discuss. With your help, we can get through some of our difficulties and thrive!”
A) Thought bubble: “I don’t think the team needs to know about this. I’m working on this problem already, and I don’t want them getting bogged down in it.”

B) “Here is an issue I have been working on and wondering about. What do you think?”
#3 Include Everyone

<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>A)</strong> “Let’s do a round robin to make sure we hear from all team members.”</td>
<td></td>
</tr>
<tr>
<td><strong>B)</strong> “We’ve heard from almost everyone here. Let’s move on.”</td>
<td></td>
</tr>
</tbody>
</table>
#4 Use Multiple Strategies to Engage

A) “Feel free to join in the conversation whenever you have something to add!”

B) “Let’s break into smaller groups for a bit.”
#5 Keep the Dialogue Flowing

A) “That’s interesting. I wonder if you can talk more about that idea.”

B) “That’s interesting. Who else has an idea?”
#6 Focus on the Big Picture

A) “What patterns do we notice about staff turnover from review of the quarterly reports and annual summary?”

B) “Why do you think Mrs. Hubert left our program?”
Lead with strengths
Where do the data say that your program has been particularly successful?
What is the story behind the success?

Analyze data through dialogue
What patterns or trends do you see over time?
How has the program made progress on its goals and objectives?
How are we doing on our most important measures?
What is the impact?
How else can we look at this?

Identify the challenges
Where did we fall short of our expectations?
Why did we fail to make progress?
What aspects of “what is working” can be used to find a solution?

Imagine possibilities
What limitations are we placing on our thinking?
How can we go beyond what we first thought?
Where can we innovate?
What will success look like?

Formulate discoveries
What did your analysis lead you to find?
How do your discoveries relate to the program’s goals and objectives?
What connections did you find among discoveries?
Recommend

**SA Team**
- Consolidate discoveries across teams
- Prepares final recommendations to inform program planning
- Provides feedback on the SA process for next year’s SA
Reminders to SA Team for Formulating Recommendations

- Focus on suggestions versus solutions
- Stay focused on systems versus the details
- Categorize based on:
  - progress on goals and objectives
  - systemic issues
  - innovations and new resources
Discovery
50% of new staff have not been trained on evacuation procedures.

Fire drill procedures are out of date.

60% of fire drills this year took longer than last year.

Policies and procedures related to fire safety are not up to date/code.

Recommendations
Update all evacuation policies and procedures.
Ensure that all staff receive training.

Do these recommendations relate to...
Progress on goals and objectives?
Systemic issues?
Innovations?
For second year in a row, the local newspaper listed the library as one of the top 5 community resources.

Discovery
Last year, 75% of EHS/HS families reported they had never visited the local library.

Group Discoveries into Category

School Readiness

Key Insight(s)
We value literacy in Head Start and know how important it is to have families reading with their children.

Recommendations
Develop a Ready-to-Read Initiative to bring more books into homes.

Partner with a local library system.

Do these recommendations relate to . . .

Progress on goals and objectives?

Systemic issues?

Innovations?
**Prepare Report**

**Director**
- Prepare SA report
- Submit report to Policy Council and governing body/Tribal Council for approval
- Submit approved report to Regional Office
Elements of SA Report

- Introduction
- Methodology
- Key Insights
- Recommendations
How Is the Self-Assessment Report Used?

• Director creates final report from recommendations.
• Policy Council and governing body/Tribal Council approve the report.
• Director submits report to Regional Office.
• Planning team uses report in future planning and goal setting.
Self Assessment Action Plan
After Self-Assessment

**Program Leadership**

- Review feedback from this year’s SA team to help plan for next year
- Use SA report recommendations to confirm or revise program goals and objectives
- Add to or revise annual action plans, as necessary
- Communicate SA insights to staff and other stakeholders

POST Design Process
Engage Team
Analyze & Dialogue
Recommend
Prepare Report
POST
The Self-Assessment Process

**Director & Management Team**
- Develop plan for Self-Assessment
- Identify and invite internal and external team members

**SA Team or sub-groups**
- Explore systemic issues
- Review and analyze data and seek additional, as needed
- Engage in dialogue using probing questions

**Director**
- Prepare SA report
- Submit report to Policy Council and governing body/Tribal Council for approval

**Team**
- Discuss data and areas for focus
- Prioritize topics
- Summarize and prepare data

**SA Team or sub-groups**
- Form teams, begin process
- Identify other team members, as needed

**Recommend**
- Consolidate discoveries across teams
- Prepare final recommendations to inform program planning
- Provide feedback on the SA process for next year’s SA

**Prepare Report**
- Review feedback to plan for next SA
- Confirm/revise goals & action plans
- Share with stakeholders
Program Planning Cycle

- Conduct or Update Community Assessment
- Evaluate Progress through Self-Assessment
- Continually Respond with Course Corrections
- Develop an Action Plan and Budget that Reflect Goals
- Implement an Action Plan
- Evaluate Progress through Ongoing Monitoring

Every five years: Decide on Broad Goals and Initial Short-Term Objectives
Annually: Review Goals and Revise if Necessary. Generate Objectives and Expected Outcomes
TRUTH or MYTH?
Key Points: Self-Assessment

- Focus on strengths
- Note the differences between OGM and SA
- Stress data transfer rather than data collection
- Look at data in different ways
- Dialogue—Ask the right questions in SA
- Prioritize recommendations to lead to program planning decisions
Questions
Thank you!

PMFOinfo@edc.org
1.855.PMFOOHS
(1.855.763.6647)

This product was prepared under Grant #90HC0006 for the U.S. Department of Health and Human Services, Administration for Children and Families, Office of Head Start, by the National Center on Program Management and Fiscal Operations.