Background

The Department of Health and Human Services Administration for Children and Families issued the Notice of Award for Head Start Grant # 09CH012839-01-00 on August 16, 2024, which requires the completion of a Governance, Leadership and Oversight Capacity Screener (see attachment 1) within 60 days of the start of the grant. The start date of the grant is September 1, and the screener on October 4, well ahead of the October 30 deadline. The next step requires board and policy council approval of the Certificate of Completion of the screener, within 75 days of the start of the grant (see attachment 2). Finally, the Certificate of Completion must be uploaded to the Head Start Enterprise System, with a notification to the Program Specialist that it has been uploaded.

The Results of the Governance, Leadership and Oversight Capacity Screener

One screener was required for the entire grantee, which consists of 17 Head Start program areas pertaining to governance, leadership and oversight capacity. All areas were found to be in compliance with no corrective action required. The results are as follows:

Governance Practice	Related Regulation	Compliant - Y/N
1. The governing body (or Tribal	Head Start Act Sec. 642(c)(1)(B) (i-	Υ
Council) has the required	iv)	
composition.		
2. The Policy Council has the required	Head Start Act Sec. 642(c)(2)(B)(i)	Υ
composition.	Sec. 642(c)(2)(B)(ii)(I-II)	
3. The Head Start program must	Head Start Act Sec.642(c)(1)(C),	Υ
ensure that members of the	642(c)(2)(C), and 642(c)(3)(B)	
governing body and Policy Council	Head Start Program Performance	
do not have a conflict of interest.	Standards 1301.2(a) and	
	1301.3(b)(2)	
4. Head Start program has established	Head Start Program Performance	Υ
a parent committee comprised	Standards 1301.4 (a)	
exclusively of parents of currently		
enrolled children as early in the		
program year as possible.		
5. Governing body may establish	Head Start Program Performance	Υ
advisory committees as it deems	Standards 1301.2(c)	
necessary for effective governance		
and improvement of the program.		

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Governance Practice	Related Regulation	Compliant - Y/N
6. 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)	Y
7. 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) and Head Start Program Performance Standards 1302.12(m)	Y
8. The governing body (or Tribal Council) exercises responsibility for establishment of section criteria and recruitment and enrollment plan, procedures for selecting Policy Council members and reviews applications for funding.	Head Start Act Sec. 642(c)(1)(E)(iv)(I-III) and Sec. 642(c)(1)(E)(iv)(VI)	Y
9. The governing body (or Tribal Council) exercises responsibility for approval of major expenditures, the operating budget, selection of independent auditor, financial audit, and monitoring of corrective action for any audit findings.	Head Start Act Sec. 642(c)(1)(E)(iv)(VII)(aa)-(dd)	Y
10. The governing body (or Tribal Council) is engaged in reviewing and approving the annual selfassessment, the process in carrying out the programmatic and fiscal requirements of the grant, and corrective actions.	Head Start Act Sec. 642(c)(1)(E)(iv)(V)(aa-cc) and Sec. 642(c)(1)(E)(iv)(VIII)-(IX)	Y

Governance Practice	Related Regulation	Compliant - Y/N
11. The program staff ensures the	Head Start Program Performance	Y
parent committee assumes	Standards 1301.4 (b)	
responsibility for working with		
families on recruitment, advising		
staff in implementation of program		
policies, activities and services,		
having a process for		
communication with the Policy		
Council and participates in		
recruitment of employees.		
12. The Head Start program works	Head Start Act Sec. 644 (a)(2)(A-H)	Υ
with the governing body (or Tribal		
Council) and Policy Council to		
make available to the public a		
report published at least once		
each year.		
13. The following reports are received	Head Start Act Sec. 642(d)(2)(A-I)	Υ
by the governing body and	Head Start Program Performance	
the Policy Council and members	Standards 1302.102	
find them useful: financial audit,		
self-assessment, Program		
Information Reports, financial		
statements including credit card		
expenditure, program information		
summaries, enrollment and		
attendance reports, meals and		
snacks provided, community		
assessment, program goals and		
objective, ACF program		
instructions and memorandums,		
and monitoring data with school		
readiness goals and reporting.		
14. Head Start agency's governing	Head Start Program Performance	Υ
body and Policy Council have	Standards 1301.6 (a)(1-3) and	
jointly established written	1301.6(b)	
procedures for resolving internal		
disputes between the governing		
board and Policy Council in a		
timely manner that includes		
impasse procedure.		
15. If no resolution is reached with a	Head Start Program Performance	Y
mediator the governing body and	Standards 1301.6 (c)	
Policy Council must select a		
mutually agreeable arbitrator		
whose decision is final.		

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Author: C. Castle-Barber

Governance Practice	Related Regulation	Compliant - Y/N
16. The Policy Council approve and	Head Start Act Sec. 642(c)(2)(D)(i-	Y
submit to the governing body	viii) Sec. 642(c)(2)(A)	
decisions about activities to	Head Start Program Performance	
support active engagement of	Standards 1302.101(b)(4)	
families, recruitment, selection		
and enrollment priorities,		
applications for funding, budget		
planning for Policy Council		
reimbursement of expenses,		
Policy Council Bylaws, and		
personnel policies and decisions		
regarding staff including standards		
of conduct.		
17. A program must submit reports, as	Head Start Program Performance	Υ
appropriate, to the HHS official	Standards 1302.102 (d) and	
immediately or as soon as	1304.12	
practicable any signification		
incidents affecting the health and		
safety of program participants,		
circumstances of financial		
viability, breaches of personally		
identifiable information, legal		
proceedings, child abuse reports,		
center closure incidents, and		
CACFP reportable issues.		

Attachments

Attachment 1: Governance, Leadership and Oversight Capacity Screener; see pages 2 through 15

Attachment 2: Governance, Leadership and Oversight Capacity Screener Certification; see page 16

Introduction

Organizations that accept federal funds to operate Head Start and/or Early Head Start programs 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 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 governing body or Tribal Council chair, Policy Council chair, executive director, and Head Start program director work together to review the table beginning on page 3 and to identify (with a check mark or "X") the following items:
 - i. Required Head Start governance practices that your organization currently has in place
 - ii. Required Head Start governance practices that your organization will implement within the first three months of funding
 - iii. Required Head Start governance practices that your organization needs help understanding and implementing
- 3. On the final page of this document list the governance practices and regulations that your organization needs assistance in understanding and implementing.
- 4. Enter any questions or concerns you have in the comments section on the final page of this document.
- 5. Share this screener and your findings with your full governing body or Tribal Council, Policy Council, and Head Start program leadership. Assign people to begin implementation of the governance practices you have identified as not currently in place.
- 6. You can explore the <u>Organizational Leadership</u> page on the Early Childhood Learning and Knowledge Center (ECLKC) to access other resources that can assist you as you move your governance system and practices forward.
- 7. At your next meeting with Regional Office staff, discuss those governance practices and regulations where your organization may benefit from technical assistance.



Head Start Governance Practices and Related Regulations	Practice/Procedure is currently in place	Practice/Procedure will be fully implemented within first three months of funding	Our organization needs assistance in understanding and implementing this regulation
1. The governing body (or Tribal Council) has the red	quired composition.1	Head Start Act Sec. 642(c)	(1)(B) (i–iv)
 At least one member has fiscal/accounting background and expertise 	X		
 At least one member has early childhood education and development background and expertise 	X		
At least one member is a licensed attorney	Х		
 Members reflect the community served and include parents of children who are currently, or were formerly, enrolled in Head Start programs 	X		
2. The Policy Council has the required composition.		Head Start Act Sec. 642(c) Sec. 642(c)(2)(B)(ii)(I-II)	(2)(B)(i)
 A majority are parents of children who are currently enrolled in the Head Start program (including delegate agencies) 	X		
 Other members are representatives at-large of the community served by the program or any delegate agency (may include parents of children formerly enrolled) 	X		
Members are elected by parents of children currently enrolled in the program	Х		

If the composition of the governing body does not include individuals with the required qualifications, the governing body must use consultants or other individuals with relevant expertise and qualifications to meet the composition requirements [Head Start Act Sec. 642(c)(1)(B)(vi)].



Head Start Governance Practices and Related Regulations	Practice/Procedure is currently in place	Practice/Procedure will be fully implemented within first three months of funding	Our organization needs assistance in understanding and implementing this regulation
3. The Head Start program must ensure that memb	ers of the:	Head Start Act Sec.642(c)(642(c)(3)(B) Head Start Program Perfo 1301.3(b)(2)	(1)(C), 642(c)(2)(C), and rmance Standards 1301.2(a) and
 Governing body do not have a conflict of interest 	X		
 Policy council, and of the policy committee at the delegate level, do not have a conflict of interest 	X		
 Head Start program has established a parent con exclusively of parents of currently enrolled childr program year as possible. 		Head Start Program Perfo	ormance Standards 1301.4 (a)
 The committee is established at the center level for center-based program and at the local program level for other program options 	X		
5. Governing body may establish advisory committee necessary for effective governance and improver		Head Start Program Perfo	rmance Standards 1301.2(c)
 Establish the structure, communication, and oversight in such a way that the governing body continues to maintain its legal and fiscal responsibility 	X		
 Notify responsible HHS official of intent to establish an advisory committee 	Х		



Head Start Governance Practices and Related Regulations	Practice/Procedure is currently in place	Practice/Procedure will be fully implemented within first three months of funding	Our organization needs assistance in understanding and implementing this regulation
6. 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)
 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 	X		
7. 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) Head Start Program Perfo	(3) rmance Standards 1302.12(m)
 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 	X		
T/TA or orientations include training on program performance standards and training indicated in 1302.12(m)	Х		



Head Start Governance Practices and Related Regulations	Practice/Procedure is currently in place	Practice/Procedure will be fully implemented within first three months of funding	Our organization needs assistance in understanding and implementing this regulation
8. The governing body (or Tribal Council) exercises the following responsibilities:		Head Start Act Sec. 642(c)(Sec. 642(c)(1)(E)(iv)(VI)	(1)(E)(iv)(I-III)
 Establishes procedures and criteria for recruiting, selecting, and enrolling children 	X		
Selects delegate agencies, as appropriate	Х		
 Develops procedures for selecting Policy Council members 	X		
 Reviews applications and amendments to applications for funding 	X		
9. The governing body (or Tribal Council) exercises for the following:	responsibility	Head Start Act Sec. 642(c)	(1)(E)(iv)(VII)(aa)-(dd)
 Approval of all major financial expenditures of the agency 	X		
 Annual approval of the operating budget of the agency 	X		
The selection (except when a financial auditor is assigned by the state under state law or is assigned under local law) of independent financial auditors to report all critical accounting policies and practices to the governing body (or Tribal Council)	X		



Head Start Governance Practices and Related Regulations	Practice/Procedure is currently in place	Practice/Procedure will be fully implemented within first three months of funding	Our organization needs assistance in understanding and implementing this regulation
The financial audit	Х		
 Monitoring of the agency's actions to correct any audit findings and other actions necessary to comply with applicable laws (including regulations) governing financial statement and accounting practices 	X		
10. The governing body (or Tribal Council) is engaged in reviewing and approving each of the following:		Head Start Act Sec. 642(c)(1)(E)(iv)(V)(aa-cc) Sec. 642(c)(1)(E)(iv)(VIII)-(IX)	
The annual self-assessment	X		
 The agency's progress in carrying out the programmatic and fiscal provisions in the agency's grant application, including implementation of corrective actions 	X		
 Personnel policies of the agency regarding the hiring, evaluation, termination, and compensation of agency employees 	Х		
 Results from monitoring conducted under section 641A(c), including appropriate follow-up activities 	Х		



Head Start Governance Practices and Related Regulations	Practice/Procedure is currently in place	Practice/Procedure will be fully implemented within first three months of funding	Our organization needs assistance in understanding and implementing this regulation
11. The program staff ensures the parent committee for the following:	e assumes responsibility	Head Start Program Perfo	ormance Standards 1301.4 (b)
 Work with program staff to determine the best methods to engage families using strategies that are most effective in their community 	X		
 Advise staff in developing and implementing local program policies, activities, and services to ensure they meet the needs of children and families 	X		
 Have a process for communication with the Policy Council and policy committee 	X		
 Participate in the recruitment and screening of Early Head Start and Head Start employees 	X		
12. The Head Start program works with the governing body (or Tribal Council) and Policy Council to make available to the public a report published at least once each year that discloses the following information from the most recently concluded fiscal year:		Head Start Act Sec. 644 (a	ı)(2)(A-H)
The total amount of public and private funds received and the amount from each source	X		
 An explanation of budgetary expenditures and proposed budget for the fiscal year 	X		



Head Start Governance Practices and Related Regulations	Practice/Procedure is currently in place	Practice/Procedure will be fully implemented within first three months of funding	Our organization needs assistance in understanding and implementing this regulation
 The total number of children and families served, the average monthly enrollment (as a percentage of funded enrollment), and the percentage of eligible children served 	X		
The results of the most recent review by the Secretary and the financial audit	X		
 The percentage of enrolled children that received medical and dental exams 	Х		
 Information about family engagement activities 	X		
 The agency's efforts to prepare children for kindergarten 	X		
 A summary of a program's most recent community assessment 1302.102(d)(2) 	X		
 Any other information required by the Secretary 	X		
13. The following reports are received by the governing body and the Policy Council and members find them useful:		Head Start Act Sec. 642(d)(Head Start Program Perfor	2)(A-I) mance Standards 1302.102
Annual reports:			
The financial audit	х		
The self-assessment, including any findings related to such assessment	Х		



Head Start Governance Practices and Related Regulations	Practice/Procedure is currently in place	Practice/Procedure will be fully implemented within first three months of funding	Our organization needs assistance in understanding and implementing this regulation
 Program Information Reports (PIRs) 	Х		
Monthly reports:			
 Financial statements, including credit card expenditures (if the program uses credit cards) 	X		
Program information summaries	Х		
 Program enrollment reports, including attendance reports for children whose care is partially subsidized by another public agency 	х		
 Reports of meals and snacks provided through programs of the U.S. Department of Agriculture (USDA) 	X		
Additional reports:			
Community assessment, completed every five years with annual updates	X		



Head Start Governance Practices and Related Regulations	Practice/Procedure is currently in place	Practice/Procedure will be fully implemented within first three months of funding	Our organization needs assistance in understanding and implementing this regulation
 Long-term goals for ensuring programs are and remain responsive to community needs, goals for the provision of educational, health, nutritional, and family and community engagement, program services to promote the school readiness of enrolled children, school readiness goals, and short-term measurable programmatic and financial objectives 	X		
 Applicable and current updates from the Secretary (e.g., Program Instructions, Information Memorandums, etc.) 	X		
 Ongoing monitoring data, data on school readiness goals and other information described in 1302.102 	X		
14. Head Start agency's governing body and Policy Council have jointly established written procedures for resolving internal disputes between the governing board and Policy Council in a timely manner that includes impasse procedure. These procedures must:		Head Start Program Performance Standards 1301.6 (a)(1-3) and 1301.6(b)	
 Demonstrate that the governing body considers proposed decisions from the Policy Council and that the Policy Council considers proposed decisions from the governing body 	X		



Head Start Governance Practices and Related Regulations	Practice/Procedure is currently in place	Practice/Procedure will be fully implemented within first three months of funding	Our organization needs assistance in understanding and implementing this regulation
 If there is a disagreement, require the governing body and the Policy Council to notify the other in writing why it does not accept a decision 	х		
 Describe a decision-making process and a timeline to resolve disputes and reach decisions that are not arbitrary, capricious, or illegal 	X		
Governing body and Policy Council must select a mutually agreeable third-party mediator (as outlined in impasse procedures)	X		
 Governing body and Policy Council are prepared to participate in a formal process of mediation that leads to a resolution of the dispute (as outlined in Impasse procedures) 	Х		
15. If no resolution is reached with a mediator (NOTE: American Indian and Alaska Native Programs skip and move to next section)		Head Start Program Performance Standards 1301.6 (c)	
 Governing body and Policy Council must select a mutually agreeable arbitrator whose decision is final 	Х		



Head Start Governance Practices and Related Regulations	Practice/Procedure is currently in place	Practice/Procedure will be fully implemented within first three months of funding	Our organization needs assistance in understanding and implementing this regulation
16. The Policy Council approve and submit to the governing body decisions about each of the following activities of program operations:		Head Start Act Sec. 642(c)(2)(D)(i-viii) Sec. 642(c)(2)(A) Head Start Program Performance Standards 1302.101(b)(4)	
 Activities to support the active engagement of families in the program 	X		
 Program recruitment, selection, and enrollment priorities 	X		
 Applications for funding and amendments to applications for funding 	Х		
 Budget planning for program expenditures, including policies for reimbursement related to participation in Policy Council activities 	X		
Bylaws for the operation of the Policy Council	Х		
 Program personnel policies and decisions regarding the employment of program staff, consistent with 642(c)(1)(E)(iv)(IX), including standards of conduct for program staff, contractors, and volunteers and criteria for the employment and dismissal of program staff 	X		



Head Start Governance Practices and Related Regulations	Practice/Procedure is currently in place	Practice/Procedure will be fully implemented within first three months of funding	Our organization needs assistance in understanding and implementing this regulation
17. A program must submit reports, as appropriate, to the HHS official immediately or as soon as practicable:		Head Start Program Performance Standards 1302.102 (d) and 1304.12	
 Any significant incidents affecting the health and safety of program participants 	X		
Circumstances affecting the financial viability of the program	X		
Breaches of personally identifiable information	X		
Program involvement in legal proceedings	Х		
 Any matter for which notification or a report to state, tribal or local authorities is required by law: Reports addressing child abuse and neglect or laws governing sex offenders Incidents that require classrooms or centers to be closed for any reason Legal proceedings directly related to program operations All conditions required to be reported under 1304.12 including child and Adult Care Food Program (CACFP) 	X		



Comments section:

Our organization needs assistance in understanding and implementing the following governance regulations:

In full compliance, none needed at this time.

Additional comments, questions, or concerns:

None, thank you.





Date

Date

Grant Number: Grantee Name: The signatures below attest that, consistent with the terms and conditions of the Notice of Award (NOA), our agency completed a screening of the governance and leadership capacity and developed a plan to address identified training needs. Board Chair/Tribal Chair Date Policy Council Chair Date

Head Start Director

Early Head Start Director