



Hidalgo County Head Start Program

Policy Council Regular Agenda

DATE: November 20, 2013

SUBJECT: Presentation/Discussion of 2014 Office of Head Start Monitoring Protocol Review Questions

RATIONALE/NEED: The Office of Head Start 2014 Governance Protocol Questions will be presented and discussed.

RECOMMENDATION: N/A

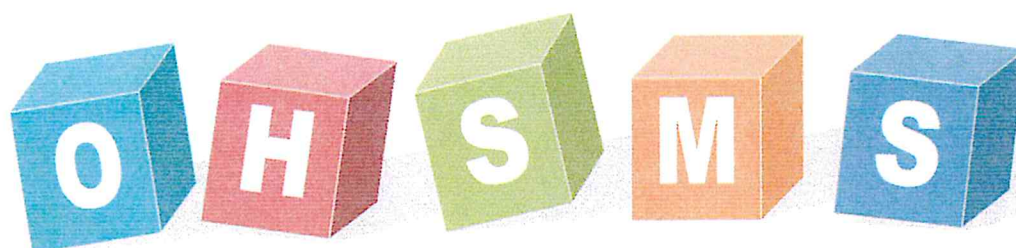
COST: N/A

RELATED INFORMATION INCLUDES: Office of Head Start 2014 Governance Protocol Questions

INITIATED BY: Teresa Flores, Executive Director

REVIEWED BY: Teresa Flores, Executive Director

EXECUTIVE DIRECTOR'S APPROVAL: *Teresa Flores*



FY 2014 Office of Head Start Monitoring Protocol

September 27, 2013



Program Governance Introduction

Program Governance (GOV) is designed to assess the level in which grantees implement governance practices that ensure effective oversight of program operations by the governing body and active participation in decision-making by the Policy Council. Head Start programs must ensure that governing board and Policy Council are composed of the required members. Members of both groups must receive training necessary to fulfill their responsibilities, including the opportunity to analyze reports designed to inform decisions regarding program planning, assessment, design, and overall operations. By monitoring Program Governance, the OHS is better able to ensure that programs establish practices to ensure effective oversight and informed decision-making.

Key Indicators of Program Performance

Structure and Participation

The program has the required structure and process in place to promote full participation of the governing body and Policy Council.

Roles, Responsibilities, and Training

The governing body and Policy Council fulfill all of their responsibilities to ensure the effective oversight of the program.

Reporting to Governing Body and Policy Council

The program provides all of the required reports to the governing body and Policy Council to ensure they have the necessary information to make decisions and provide effective oversight of the program.



Program Governance

Program Governance Key Indicator #1—Structure and Participation

The program has the required structure and process in place to promote full participation of the governing body and the Policy Council.

	Compliance Measures	Federal Regulations
1.1	<p>The program has a governing body composed of:</p> <ul style="list-style-type: none"> • At least 1 member with background and expertise in accounting or Fiscal management • At least 1 member with background and expertise in Early Childhood Education and Development • At least 1 member who is a licensed attorney familiar with the issues that come before the governing body • Additional members who reflect the community, including parents of formerly or currently enrolled Head Start/Early Head Start children • Other members selected for their expertise in education, business administration, or community affairs <p>If no individual meets the qualifications of Fiscal Management/Accounting or Early Childhood Education and Development expertise or is a licensed attorney, the program is to use a consultant or other individual with relevant expertise and qualifications.</p>	<p>642(c)(1)(B)(i) 642(c)(1)(B)(ii) 642(c)(1)(B)(iii) 642(c)(1)(B)(iv) 642(c)(1)(B)(vi)</p>
1.2	<p>The program has established a Policy Council elected by parents of currently enrolled children, whose membership is composed of a majority of parents of children currently enrolled in the program as well as members of the community served by the Head Start agency.</p> <p><i>Note: Applies to grantees only</i></p>	<p>642(c)(2)(B)(i) 642(c)(2)(B)(ii)(I) 642(c)(2)(B)(ii)(II)</p>

Targeted Questions

Governing Body—Interview

- ▶ Ask the governing body to describe the composition of its membership and share documentation that confirms membership and oversight responsibilities for each of the required content areas. Does the governing body have all of the following?
 - At least 1 member with Fiscal/accounting background and expertise
 - At least 1 member with early childhood education and development background and expertise
 - At least 1 member who is a licensed attorney



- Members who reflect the community served, including parents of children who are currently or were formerly enrolled in Head Start programs

If the composition of the governing body does not include individuals with the required qualifications, describe whether the program uses consultants or other individuals with relevant expertise and qualifications.

GOV1.1

Targeted Questions

Policy Council—Interview

- ▶ Ask the Policy Council to describe the composition of its membership and share relevant documentation that confirms that the Policy Council has the appropriate composition and members are elected.

Does the Policy Council membership meet the following requirements?

- At least 51 percent of the members are parents of children currently enrolled in the Head Start program (including delegate agencies).
- At least one member is from the at-large community served by the program or any delegate agency.
- Members are elected by parents of children currently enrolled in the program.

Ask the program to provide the documents needed and review them with you to confirm the Policy Council's membership.

GOV1.2



Program Governance Key Indicator #2—Roles, Responsibilities, and Training

The governing body and the Policy Council fulfill all their responsibilities to ensure the effective oversight of the program.

	Compliance Measures	Federal Regulations
2.1	<p>Members of the governing body and the Policy Council receive appropriate training and technical assistance 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.</p> <p><i>Note: Applies to grantees only</i></p>	642(d)(3)
2.2	<p>The governing body is responsible for required activities and makes decisions pertaining to program administration and operations, including selecting delegates and service areas; establishing procedures and criteria for recruitment, selection, and enrollment; reviewing all applications for funding; and establishing procedures for selecting Policy Council members.</p>	<p>642(c)(1)(E)(iv)(I) 642(c)(1)(E)(iv)(II) 642(c)(1)(E)(iv)(III) 642(c)(1)(E)(iv)(VI)</p>
2.3	<p>The governing body exercises Fiscal and legal responsibility and oversight and reviews and approves all major program policies.</p>	<p>642(c)(1)(E)(iv)(V)(aa) 642(c)(1)(E)(iv)(V)(bb) 642(c)(1)(E)(iv)(V)(cc) 642(c)(1)(E)(iv)(VII)(aa) 642(c)(1)(E)(iv)(VII)(bb) 642(c)(1)(E)(iv)(VII)(cc) 642(c)(1)(E)(iv)(VII)(dd) 642(c)(1)(E)(iv)(VIII) 642(c)(1)(E)(iv)(IX)</p>
2.4	<p>The Policy Council approves and submits decisions about identified program activities to the governing body.</p> <p><i>Note: Applies to grantees only</i></p>	<p>642(c)(2)(A) 642(c)(2)(D)(i) 642(c)(2)(D)(ii) 642(c)(2)(D)(iii) 642(c)(2)(D)(iv) 642(c)(2)(D)(v) 642(c)(2)(D)(vi) 642(c)(2)(D)(vii) 642(c)(2)(D)(viii)</p>



Targeted Questions

Policy Council—Interview

- ▶ Ask the program to provide you with documentation of Policy Council training, (e.g., Policy Council meeting agendas and minutes), which you will review with staff while discussing this item.

Ask the Policy Council to describe the training they received and provide examples of how the training has helped them make decisions about the Head Start program.

GOV2.1

Governing Body—Interview

- ▶ Ask the program to provide you with documentation of governing body training, (e.g., governing body meeting agendas and minutes), which you will review with staff while discussing this item.

Ask the governing body to describe the training received and provide examples of how the training has helped them make decisions about the Head Start program.

GOV2.1

Targeted Questions

Governing Body—Interview

- ▶ Ask the governing body to explain their role in program planning and to provide specific examples. Did the governing body play a role in:
 - Establishing procedures and criteria for recruiting, selecting, and enrolling children
 - Selecting delegate agencies, as appropriate
 - Developing procedures for selecting Policy Council members
 - Reviewing applications for funding and amendments to applications for funding

GOV2.2

Targeted Questions

Governing Body—Interview

- ▶ Ask the governing body how it ensures the financial health and well-being of the program and the Fiscal integrity of the agency.



Based on the response of the governing body, do they assume responsibility for the following:

- All major financial expenditures of the agency
- The operating budget of the agency
- 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
- The financial audit
- The agency's progress in carrying out the programmatic and Fiscal provisions in its grant application, including implementation of corrective actions
- 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

GOV2.3

- ▶ Ask the governing body members to describe their level of involvement with the following required approval processes.

Did the governing body review and approve the following?

- The annual Self-Assessment
- Personnel policies of the agency regarding the hiring, evaluation, termination, and compensation of agency employees
- Results from monitoring conducted under section 641A(c), including appropriate follow-up activities
- Personnel policies and procedures, including policies and procedures regarding the hiring, evaluation, compensation, and termination of the Executive Director, Head Start Director, Director of Human Resources, Chief Fiscal Officer, and any other person in an equivalent position within the agency

GOV2.3

Targeted Questions

Policy Council—Interview

- ▶ Ask the Policy Council members to describe their involvement in and provide examples of decisions made in the areas listed below.

Is the Policy Council actively involved in the following?



- Activities to support the active involvement of parents in supporting program operations, including policies to ensure that the Head Start program is responsive to community and parent needs
- Program recruitment, selection, and enrollment priorities
- Applications for funding and amendments to applications for funding
- Budget planning for program expenditures, including policies for reimbursement related to and participation in Policy Council activities
- Developing by-laws for the operation of the Policy Council
- Program personnel policies and decisions regarding the employment of program staff consistent with 642(c)(1)(E)(iv)(IX) and including standards of conduct for program staff, contractors, and volunteers and criteria for the employment and dismissal of program staff
- Developing procedures for how members of the Policy Council of the Head Start program are elected
- Providing recommendations on the selection of delegate agencies and the service areas for such agencies
- Program design and operations
- Planning goals and objectives

GOV2.4



Program Governance Key Indicator #3–Reporting to Governing Body and Policy Council

The program provides all of the required reports to the governing body and the Policy Council to ensure they have the necessary information to make decisions and provide effective oversight of the program.

	Compliance Measures	Federal Regulations
3.1	<p>Governing body and Policy Council members regularly receive and use information or reports about program planning, policies, and operations, including:</p> <ul style="list-style-type: none"> • Monthly financial statements (including credit card expenditures), program information summaries, program enrollment reports (including attendance reports for children whose care is partially subsidized by another public agency), and reports of meals and snacks provided through USDA programs • The annual financial audit, Self-Assessment (including findings related to such assessment), and Program Information Report (PIR) • The community-wide strategic planning and needs assessment (the Community Assessment) of the Head Start agency, including applicable updates • Communication and guidance from the Secretary <p><i>Note: Applies to grantees only. Single or multiple reports may be used to capture the information listed above.</i></p>	<p>642(d)(2)(A) 642(d)(2)(B) 642(d)(2)(C) 642(d)(2)(D) 642(d)(2)(E) 642(d)(2)(F) 642(d)(2)(G) 642(d)(2)(H) 642(d)(2)(I)</p>

Targeted Questions

Policy Council—Interview

- ▶ Ask the Policy Council how often they receive the reports listed below. Discuss whether the reports provided to the Policy Council contain the information needed to provide effective oversight.

Document whether the Policy Council receives the following reports as often as required:

Annual reports

- The financial audit
- The Self-Assessment, including any related findings
- Program Information Report (PIR)

Monthly Reports

- Financial statements, including credit card expenditures (if the program uses credit cards)
- Program information summaries



- Program enrollment reports, including attendance reports for children whose care is partially subsidized by another public agency
- Reports of meals and snacks provided through programs of the U.S. Department of Agriculture (USDA)

Additional reports

- Every 3 years, the community-wide strategic planning and needs assessment (Community Assessment) of the Head Start agency
- Applicable current updates from the Secretary (i.e., Program Instructions, Information Memoranda, etc.)

Ask the members whether the reports they received contributed useful and timely information that support the Policy Council's decision-making. If the reports are of poor quality and cannot be used by the Policy Council, capture that in your notes.

GOV3.1

Governing Body—Interview

- ▶ Ask the governing body how often they receive the reports listed below. Document whether the governing body receives the following reports as often as required.

Annual reports

- The financial audit
- The Self-Assessment, including any related findings
- Program Information Report (PIR)

Monthly Reports

- Financial statements, including credit card expenditures (if the program uses credit cards)
- Program information summaries
- Program enrollment reports, including attendance reports for children whose care is partially subsidized by another public agency
- Reports of meals and snacks provided through programs of the US Department of Agriculture (USDA)

Additional reports

- Every 3 years, the community-wide strategic planning and needs assessment (Community Assessment) of the Head Start agency
- Applicable and current updates from the Secretary (i.e., Program Instructions, Information Memoranda, etc.)

GOV3.1