Native American Child and Family Conference

Tuesday 3-19-24
10:15 – 11:45
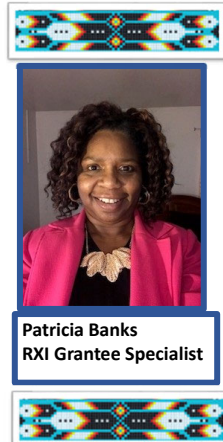

Welcome
Tribal Leaders
Elders, Parent
and
Head Start
Leaders!

HS Governance 101 For Tribal Leaders and All Staff

Head Start Regional TTA Network

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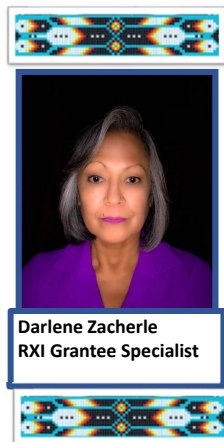
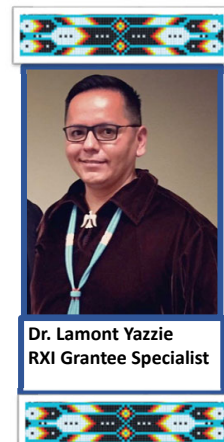

Darlene Zacherle
RXI Grantee Specialist

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RXI Grantee Specialist

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Welcome
Who is here today?

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Learning Objectives

- Define the foundational elements of systems and systems thinking.
- Review the responsibilities and composition of the governing body/Tribal Council, Policy Council/Committee and management staff.
- Explore how inclusive leadership works.
- Recognize how the Head Start management systems support leadership and governance.
- Identify the key activities for the three Head Start leadership entities

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A System is:

a group of interacting, interrelated, or interdependent parts that form a complex and unified whole with a specific purpose

Adapted from Kim, Daniel. *Introduction to Systems Thinking.*
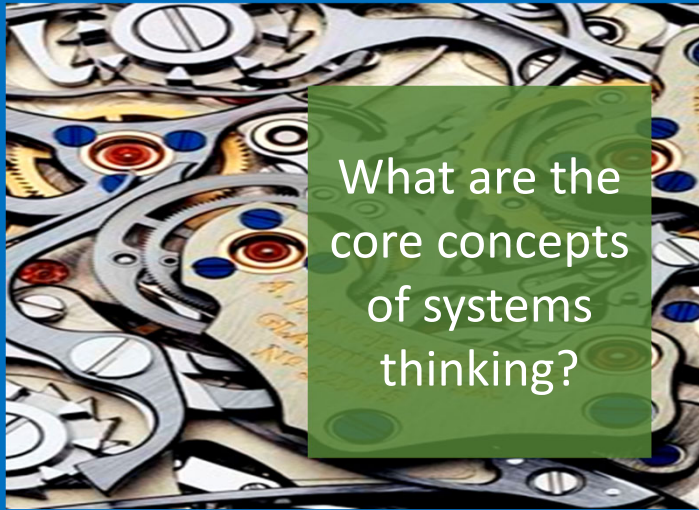Westford, MA. Pegasus Communications, Inc., 1999.

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Characteristics of Systems

- Interrelated parts

- Form complex whole

- Specific purpose

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Systems Thinking

What are the core concepts of systems thinking?

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Head Start Management Systems

Five-Year Project Period

Baseline Grant and Annual Continuation Application

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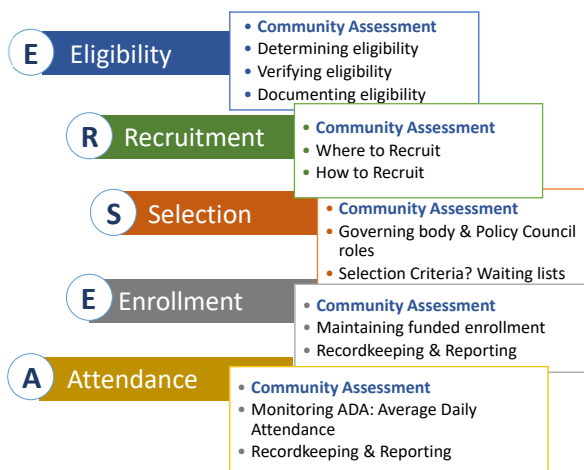
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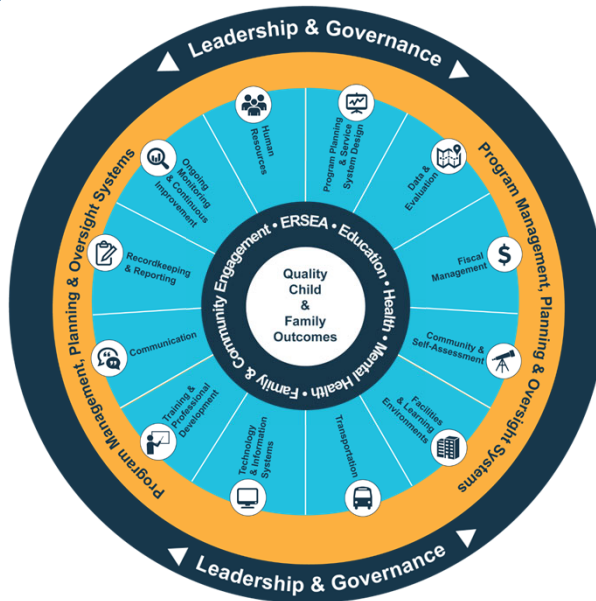
8

School Readiness

Head Start Approach to School Readiness means:
- Children are ready for school
- Families are ready to support their children's learning
- Schools are ready for children

Each Grant Recipient Establishes School Readiness Goals as part of Five-Year Goals.

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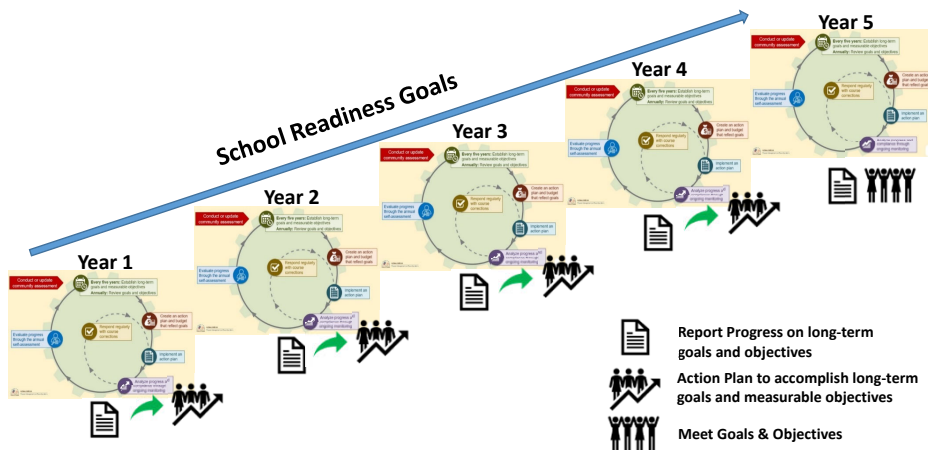## Community Assessment is Where it Begins

E Eligibility
- **Community Assessment**
- Determining eligibility
- Verifying eligibility
- Documenting eligibility

R Recruitment
- **Community Assessment**
- Where to Recruit
- How to Recruit

S Selection
- **Community Assessment**
- Governing body & Policy Council roles
- Selection Criteria? Waiting lists

E Enrollment
- **Community Assessment**
- Maintaining funded enrollment
- Recordkeeping & Reporting

A Attendance
- **Community Assessment**
- Monitoring ADA: Average Daily Attendance
- Recordkeeping & Reporting

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Head Start Program Planning Cycle

> As the program planning cycle shows, programs use the five-year planning process to develop, monitor, and evaluate progress toward strategic long-term goals.

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5-Year Project Period

Report Progress on long-term goals and objectives

Action Plan to accomplish long-term goals and measurable objectives

Meet Goals & Objectives

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Legislative and Regulatory Requirements

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Head Start Program Leadership

Governing Body
Legal and fiscal responsibilities including the safeguarding of federal funds

Provide leadership and strategic direction

Policy Council
Sets the program direction

Management Staff
Oversees day-to-day operations

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Inclusive Leadership: Head Start Perspective

The management staff's day-to-day activities and operating reports inform decisions made by the Policy Council and governing body/Tribal Council

The Policy Council plays a crucial advisory role in guiding program direction

The governing body/Tribal Council's legal and fiscal oversight builds on the management staff and Policy Council's unique insight and perspectives

The three entities of Head Start leadership—management staff, Policy Council, and governing body/Tribal Council—work together to support grantees on their five-year journeys, particularly around program planning

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Keep In Mind….Table Talk

While Head Start program leadership is an inclusive process, the ultimate responsibility lies with the governing body/Tribal Council

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Key Activities

Activity	Management Team	Policy Council/Committee	Governing Body/ Tribal Council
Developing Bylaws	• Draft GB and PC bylaws and amendments	• Submit to GB decisions regarding PC bylaws	• Adopt bylaws and amendments for GB and PC
Policies and Procedures			
Developing Governance Structure	• Draft policies and procedures for consideration by PC and GB/TC, • Oversee the implementation of approved policies and procedures • Provide training to GB and PC • Focus on continuous quality improvement • Oversee management and protection of program data • Maintain automated accounting and recordkeeping system • Monitor goals, objectives, and regulatory compliance • Establish and manage parent committees to: o Advise staff on parent engagement activities o Communicate with Policy Council/Committee o Participate in the recruitment and screening of HS employees	• Approve and submit to the GB decisions regarding: o Activities to actively involve parents and ensure responsive services o Recruitment, selection, and enrollment priorities o Funding applications and amendments o Budget planning, including policies supporting Policy Council activities o Policy Council bylaws and election procedures o Head Start program personnel policies and decisions, including criteria for employment and dismissal of program staff o Recommendations on delegates/service areas	• Select delegate agencies and service areas • Establish procedures/criteria for recruitment, selection, and enrollment • Review results and follow-up from federal monitoring (continued on next slide)

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Key Activities

Activity	Management Team	Policy Council/Committee	Governing Body/ Tribal Council
Policies and Procedures (continued)			
Developing Governance Structure (continued)			• Review and approve: o Funding applications and amendments o Major policies and procedures, including self-assessment and financial audit o Progress on implementing the Head Start grant, including corrective actions o Personnel policies regarding the hiring, evaluation, termination, and compensation of agency employees including the Head Start director and management team o Financial management, accounting, and reporting policies o Major expenditures and operating budget o Selection of auditor and actions to correct audit findings • Adopt: o Procedures for accessing/collecting information o Standards of conduct, including conflicts of interest and complaints o Procedures for selecting PC o Procedures for utilizing advisory committees

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Key Activities

Activity	Management Team	Policy Council /Committee	Governing Body Tribal Council
Policies and Procedures			
Providing Leadership and Strategic Direction	• Outline planning process and protocols for planning committee, including staffing considerations • Review key reports and recommend program and school readiness plans • Prepare draft goals and objectives • Use program plans to support reporting, ongoing monitoring and self-assessment • Outline required adjustments to goals and objectives	• Work with staff to select planning committee with focus on parent engagement • Review recommendations for planning committee • Approve goals and objectives • Respond to progress reports • Use data for ongoing oversight and correction • Approve adjusted goals and objectives	• Work with management staff to select planning committee, including GB representation • Review recommendations for planning committee • Ratify goals and objectives • Respond to progress reports • Use data for ongoing oversight and correction • Ratify adjusted goals and objectives

Monitoring Program Performance	• Generate reports to monitor compliance and goal attainment that include:
	  ○ HHS secretary communication
	  ○ Financial statements
	  ○ Program information summaries
	  ○ Ongoing monitoring results
	  ○ Data on school readiness
	  ○ Enrollment
	  ○ USDA nutrition reports
	  ○ Financial audit
	  ○ Self-assessment
	  ○ Community assessment
	  ○ PIR
		• Review related reports
		• Use data for ongoing oversight, correction, and self-assessment
			• Review related reports
			• Use data for ongoing oversight, correction, and self-assessment
			
			Flow of reports

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Key Activities

Activity	Management Team	Activity		Activity	Policy Council
					Policies and Procedures
		Policies and Procedures	**Ensuring Consensus**		**Ensuring Consensus**
Ensuring Consensus	• Develop process, facilitate select arbitrator	**Ensuring Consensus**			• Jointly establish written procedures for resolving internal disputes between GB and PC in a timely manner that include impasse procedures. These procedures: 1. Demonstrate that the GB considers proposed decisions from the PC and vice versa 2. Require the GB and the PC to notify the other in writing why it does not accept a decision 3. Describe a decision-making process and a timeline to resolve disputes and reach decisions that are not arbitrary, capricious, or illegal • If the agency's decision-making process does not result in a resolution and an impasse continues, GB and PC must select a mutually agreeable third party mediator and participate in a formal process of mediation that leads to a resolution of the dispute. • If no resolution is reached with a mediator, GB and PC must select a mutually agreeable arbitrator whose decision is final (this does not apply to AIAN programs).

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Key Activities

Activity	Activity	Policy Council
		Policies and Procedures
Ensuring Consensus	Ensuring Consensus	• Jointly establish written procedures for resolving internal disputes between GB and PC in a timely manner that include impasse procedures. These procedures: 1. Demonstrate that the GB considers proposed decisions from the PC and vice versa 2. Require the GB and the PC to notify the other in writing why it does not accept a decision 3. Describe a decision-making process and a timeline to resolve disputes and reach decisions that are not arbitrary, capricious, or illegal • If the agency's decision-making process does not result in a resolution and an impasse continues, GB and PC must select a mutually agreeable third party mediator and participate in a formal process of mediation that leads to a resolution of the dispute. • If no resolution is reached with a mediator, GB and PC must select a mutually agreeable arbitrator whose decision is final (this does not apply to AIAN programs).

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Head Start Program Leadership

Governing Body — Legal and fiscal responsibilities including the safeguarding of federal funds

Policy Council — Sets the program direction

Management Staff — Oversees day-to-day operations

Provide leadership and strategic direction

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Tips for Success:

- If you are on Tribal Council or Policy Council visit the Head Start & Early Head Start programs – If you are a Head Start Leader invite your Tribal Council & Policy Council members to visit your program and events.

- Be an ambassador and advocate for HS & EHS. Share the challenges as well as successes. In communicating the challenges, effective solutions can be created.

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Tips for Success:

- If you are a Head Start leader set up trainings for Policy Council and Tribal Council early in school year. TTA teams can support your trainings.   TTA offer webinar trainings annually.

- Review the monthly and annual financials. Some Head Start programs have been ending the year with unspent funds.

- Communicate regularly with your OHS RXI Program Specialist so they clearly understand your unique situations.

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Questions

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Governing Body/Tribal Council
Legal and Fiscal Oversight Including the Safeguarding of Federal Funds

Adopt practices to ensure active, independent, and informed governance:
- Fully participate in the development, planning, and evaluation of the Head Start program governing body bylaws
- Procedures for accessing and collecting information
- Written standards of conduct
- Policy Council bylaws and election procedures
- Establish advisory committees as deemed necessary

Select delegate agencies and the service areas for such agencies
Establish procedures and criteria for recruitment, selection, and enrollment

Review:
- Funding applications and amendments
- Results and follow-up activities from federal monitoring

Review and approve
- Major policies and procedures
- Progress on implementing the Head Start grant
- Personnel policies regarding the hiring, evaluation, termination, and compensation of agency employees
- Financial management, accounting, and reporting policies
- Major expenditures and operating budget
- Selection of auditor and actions to correct audit findings

Receive and use operational reports

Operational Reports:
- HHS secretary communication
- Financial statement
- Program information summaries
- Data on school readiness goals
- Enrollment
- USDA
- Financial audit
- Self-assessment
- Community assessment
- Program Information Report (PIR)

Collaborative Decision-Making/Taking Action:
Establish impasse procedures

Provide Legal Oversight:
Ensure compliance with federal, state, tribal, and local laws

Provide Leadership and Strategic Direction

Policy Council
Program Direction

Approve and submit to the governing body:
- Activities that involve parents and ensure responsive services
- Program recruitment, selection, and enrollment priorities
- Funding applications/amendments
- Budget planning
- Policy Council bylaws and election procedures
- Head Start program personnel policies and decisions
- Recommendations on delegates/service areas

Receive and use operational reports

Management Staff
Day-to-Day Operations

Key responsibilities:
- Develop and implement policies and procedures
- Provide training and technical assistance to governing body, Policy Council, staff, and volunteers
- Provide ongoing supervision of staff and budget to ensure compliance and continuity of care
- Oversee continuous quality improvement
- Manage, use, and protect program data
- Maintain an automated accounting and recordkeeping system
- Monitor goals, objectives, and regulatory compliance
- Engage in the establishment and management of parent committees
- Generate and share operational reports with Policy Council, governing body, and HHS (as appropriate)
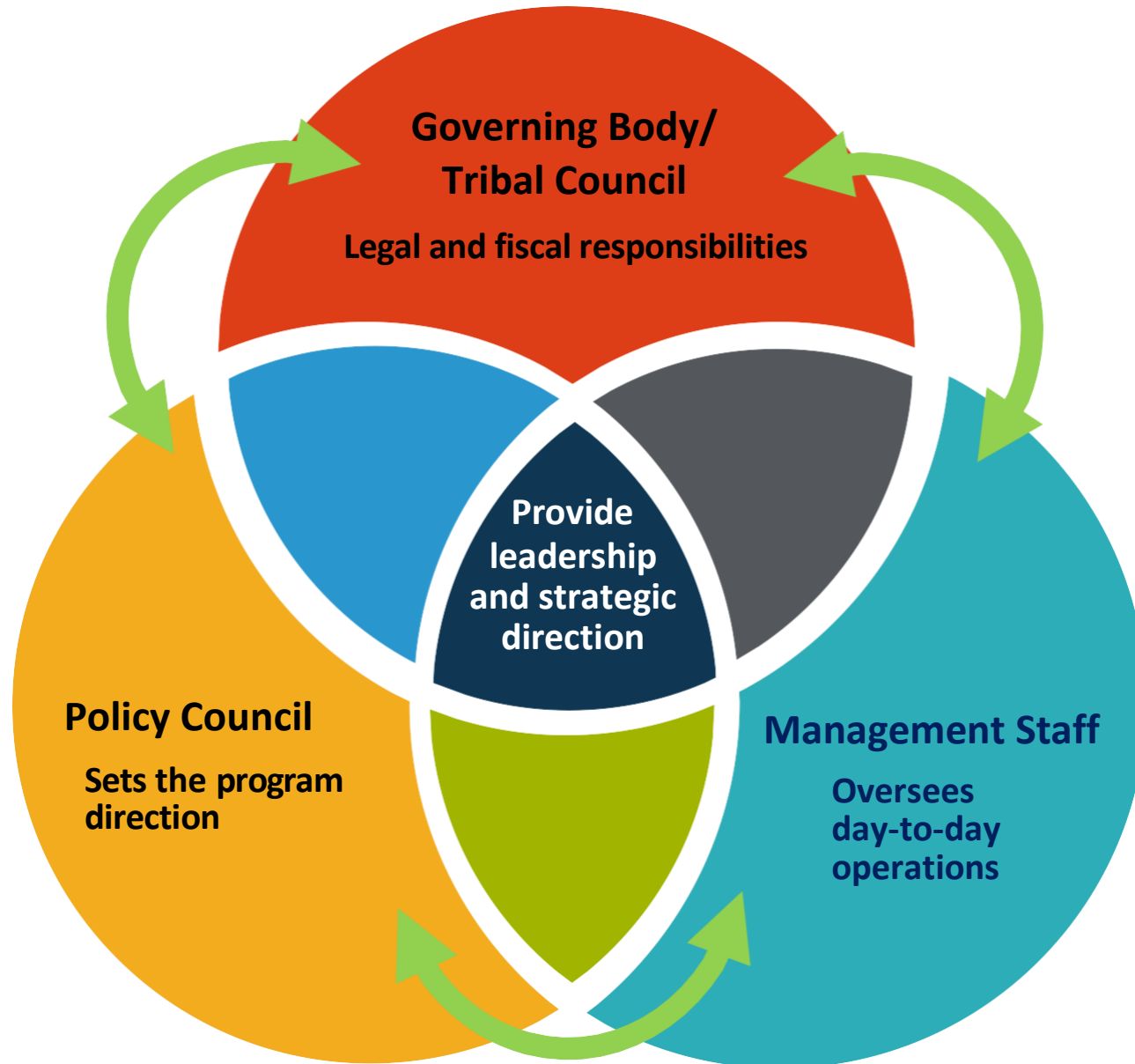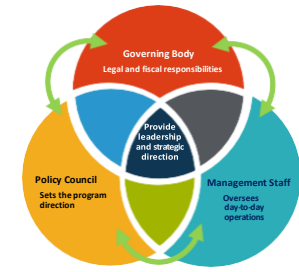
Head Start Leadership and Governance

Governing Body/
Tribal Council

Legal and fiscal responsibilities

Provide leadership and strategic direction

Policy Council

Sets the program direction

Management Staff

Oversees day-to-day operations

Head Start Leadership and Governance Key Activities

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Developing Bylaws	• Draft GB and PC bylaws and amendments	• Submit to GB decisions regarding PC bylaws	• Adopt bylaws and amendments for GB and PC
Policies and Procedures			

Developing Governance Structure	• Draft policies and procedures for consideration by PC and GB/TC,
	• Oversee the implementation of approved policies and procedures
	• Provide training to GB and PC
	• Focus on continuous quality improvement
	• Oversee management and protection of program data
	• Maintain automated accounting and recordkeeping system
	• Monitor goals, objectives, and regulatory compliance
	• Establish and manage parent committees to:
	  • Advise staff on parent engagement activities
	  • Communicate with Policy Council/Committee
	  • Participate in the recruitment and screening of HS employees
		• Approve and submit to the GB decisions regarding:
		  • Activities to actively involve parents and ensure responsive services
		  • Recruitment, selection, and enrollment priorities
		  • Funding applications and amendments
		  • Budget planning, including policies supporting Policy Council activities
		  • Policy Council bylaws and election procedures
		  • Head Start program personnel policies and decisions, including criteria for employment and dismissal of program staff
		  • Recommendations on delegates/service areas
			• Select delegate agencies and service areas
			• Establish procedures/criteria for recruitment, selection, and enrollment
			• Review results and follow-up from federal monitoring
			• Review and approve:
			  • Funding applications and amendments
			  • Major policies and procedures, including self-assessment and financial audit
			  • Progress on implementing the Head Start grant, including corrective actions
			  • Personnel policies regarding the hiring, evaluation, termination, and compensation of agency employees including the Head Start director and management team
			  • Financial management, accounting, and reporting policies
			  • Major expenditures and operating budget
			  • Selection of auditor and actions to correct audit findings
			• Adopt:
			  • Procedures for accessing/collecting information
			  • Standards of conduct, including conflicts of interest and complaints
			  • Procedures for selecting PC
			  • Procedures for utilizing advisory committees

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Monitoring Program Performance	• Generate reports to monitor compliance and goal attainment that include: • HHS secretary communication • Financial statements • Program information summaries • Ongoing monitoring results • Data on school readiness • Enrollment • USDA nutrition reports • Financial audit • Self-assessment • Community assessment • PIR	• Review related reports • Use data for ongoing oversight, correction, and self-assessment	• Review related reports • Use data for ongoing oversight, correction, and self-assessment

Flow of reports

Activity	Management Team	Policy Council/Committee	Governing Body/ Tribal Council
Ensuring Consensus	• Develop procedures with GB and PC and facilitate selection of mediator and arbitrator	• Jointly establish written procedures for resolving internal disputes between GB and PC in a timely manner that include impasse procedures. These procedures: 1. Demonstrate that the GB considers proposed decisions from the PC and vice versa 2. Require the GB and the PC to notify the other in writing why it does not accept a decision 3. Describe a decision-making process and a timeline to resolve disputes and reach decisions that are not arbitrary, capricious, or illegal • If the agency's decision-making process does not result in a resolution and an impasse continues, GB and PC must select a mutually agreeable third-party mediator and participate in a formal process of mediation that leads to a resolution of the dispute. • If no resolution is reached with a mediator, GB and PC must select a mutually agreeable arbitrator whose decision is final (this does not apply to AIAN programs).	

Key Activities

Activity	Management Team	Policy Council/Committee	Governing Body/ Tribal Council
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		Policies and Procedures	

Developing Governance Structure	• Draft policies and procedures for consideration by PC and GB/TC,
	
	• Oversee the implementation of approved policies and procedures
	
	• Provide training to GB and PC
	
	• Focus on continuous quality improvement
	
	• Oversee management and protection of program data
	
	• Maintain automated accounting and recordkeeping system
	
	• Monitor goals, objectives, and regulatory compliance
	
	• Establish and manage parent committees to:
	  o Advise staff on parent engagement activities
	
	  o Communicate with Policy Council/Committee
	
	  o Participate in the recruitment and screening of HS employees
		• Approve and submit to the GB decisions regarding:
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		  o Funding applications and amendments
		
		  o Budget planning, including policies supporting Policy Council activities
		
		  o Policy Council bylaws and election procedures
		
		  o Head Start program personnel policies and decisions, including criteria for employment and dismissal of program staff
		
		  o Recommendations on delegates/service areas
			• Select delegate agencies and service areas
			
			• Establish procedures/criteria for recruitment, selection, and enrollment
			
			• Review results and follow-up from federal monitoring
			
			(continued on next slide)

Key Activities

Activity	Management Team	Policy Council/Committee	Governing Body/ Tribal Council
Policies and Procedures (continued)			

Developing Governance Structure (continued)			• Review and approve:
			  o *Funding applications and amendments*
			
			  o *Major policies and procedures, including self-assessment and financial audit*
			
			  o *Progress on implementing the Head Start grant, including corrective actions*
			
			  o *Personnel policies regarding the hiring, evaluation, termination, and compensation of agency employees including the Head Start director and management team*
			
			  o *Financial management, accounting, and reporting policies*
			
			  o *Major expenditures and operating budget*
			
			  o *Selection of auditor and actions to correct audit findings*
			
			• Adopt:
			  o Procedures for accessing/collecting information
			
			  o Standards of conduct, including conflicts of interest and complaints
			
			  o Procedures for selecting PC
			
			  o Procedures for utilizing advisory committees

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Activity	Management Team	Policy Council /Committee	Governing Body Tribal Council
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	   o PIR
		• Review related reports
		
		• Use data for ongoing oversight, correction, and self-assessment
			• Review related reports
			
			• Use data for ongoing oversight, correction, and self-assessment

Flow of reports →

Key Activities

Activity	Management Team	Policy Council (PC)	Governing Body (GB)/ Tribal Council (TC)
Policies and Procedures			
Ensuring Consensus	• Develop procedures with GB and PC and facilitate selection of mediator and arbitrator	• Jointly establish written procedures for resolving internal disputes between GB and PC in a timely manner that include impasse procedures. These procedures: 1. Demonstrate that the GB considers proposed decisions from the PC and vice versa 2. Require the GB and the PC to notify the other in writing why it does not accept a decision 3. Describe a decision-making process and a timeline to resolve disputes and reach decisions that are not arbitrary, capricious, or illegal • If the agency's decision-making process does not result in a resolution and an impasse continues, GB and PC must select a mutually agreeable third party mediator and participate in a formal process of mediation that leads to a resolution of the dispute. • If no resolution is reached with a mediator, GB and PC must select a mutually agreeable arbitrator whose decision is final (this does not apply to AIAN programs).	