

Leadership and Governance

Human Resources  
Focusing on Workforce Development

Ongoing Monitoring and Continuous Improvement

# PMFO

Office of Head Start  
National Center

National Center on  
Program Management and Fiscal Operations

Community and Self-Assessment

ERSEA

Fiscal and Facilities Management

Data and Evaluation

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National Center on  
Program Management and Fiscal Operations

## Change in Scope: Part 1

### The What, the How and Why of the Data

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### Your Presenters Today

**Shandra Davis**  
*Fiscal Specialist*

**Natalie Williams**  
*Fiscal Specialist*

Presenters do not have any conflicts of interest related to products or services mentioned in PMFO presentations. All PMFO learning events comply with policies on [access](#), [conflict of interest](#), and [diversity, equity, and inclusion](#).

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### Learning Outcomes

Upon completion of this session, participants will be able to:

- Define Change in Scope (CiS)
- Identify one or more sources of data to support a successful CiS application




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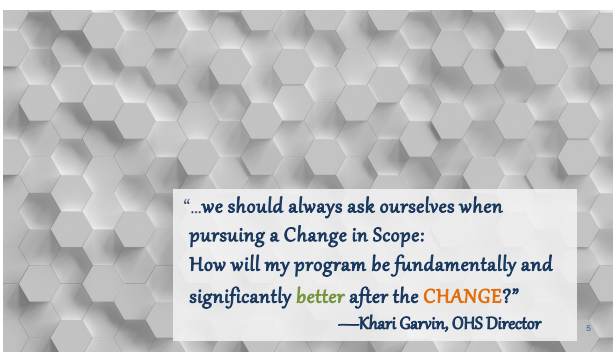
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“...we should always ask ourselves when pursuing a Change in Scope:  
How will my program be fundamentally and significantly **better** after the **CHANGE**?”  
—Khari Carvin, OHS Director

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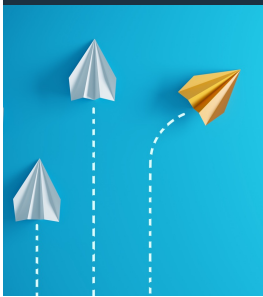
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### What is a Change in Scope?



“A change in...the objective of the project or program, even if there is no associated budget revision, that requires prior written approval.”

- Section 640(g)(3): reduce funded enrollment
- Section 645(a)(5): convert Head Start to Early Head Start

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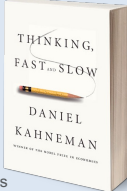
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## How We Make Decisions



**SYSTEM 1**

- Emotional
- 70%
- Limbic system
- Fast
- Intuitive
- Automatic
- Effortless
- Subconscious

**SYSTEM 2**

- Rational
- 30%
- Prefrontal cortex
- Slow
- Intentional
- Choice
- Effortful
- Conscious

National Center for Program Management and Fiscal Operations

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## Why Request a Change in Scope?



- Needs and community changes
- Current community assessment data
- Permanent adjustment

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## Two Examples of a Change in Scope

Some considerations for recently approved CiS requests have included:



Enrollment Reduction	Conversion
<ul style="list-style-type: none"><li>• Increase staff compensation</li><li>• Home-based to center-based services</li><li>• More full-day services</li></ul>	<ul style="list-style-type: none"><li>• Identified need for infant and toddler services</li><li>• Proliferation of preschool services in the community</li></ul>

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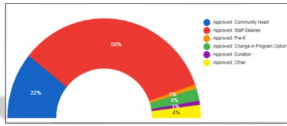
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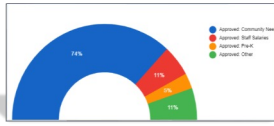
## National Basis for Approved Change in Scope Requests FY 2023

Reduction



Note: This graphic represents basis for reduction request approved in FY2023.

Conversion



Note: This graphic represents basis for conversion request approved in FY2023.




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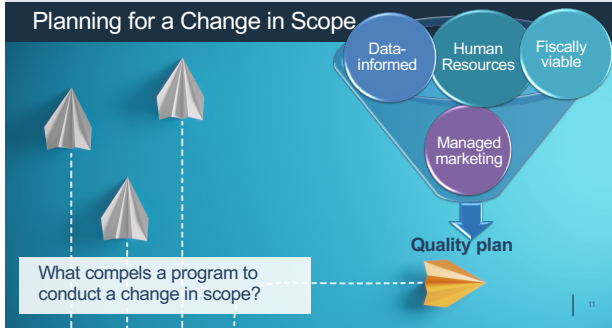
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## Planning for a Change in Scope




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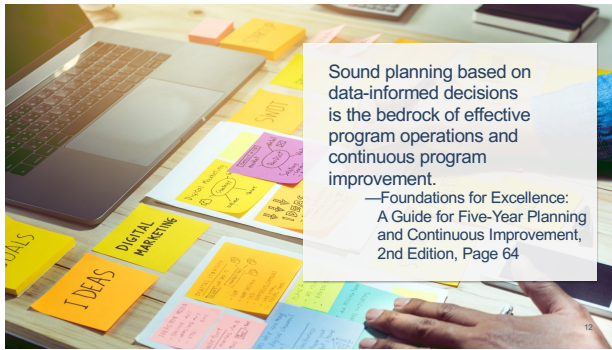
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Sound planning based on data-informed decisions is the bedrock of effective program operations and continuous program improvement.  
—Foundations for Excellence: A Guide for Five-Year Planning and Continuous Improvement, 2nd Edition, Page 64

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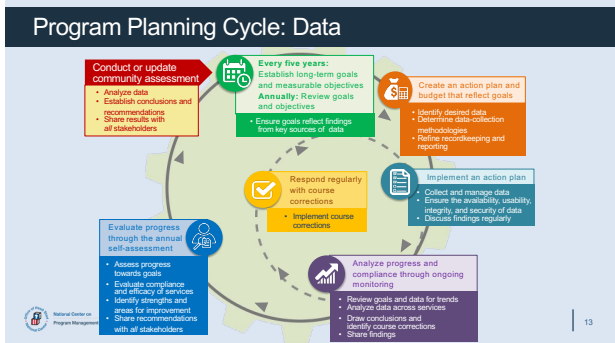
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### Analyze the Data

1. Gather the data
2. Think about what the data shows and its possible impact
3. Identify relevant issues and concerns
4. Highlight emerging or existing trends
5. Examine the information related to unmet needs

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### Manage the Marketing

Ensure the enrollment reduction or conversion won't create inequities in service delivery.

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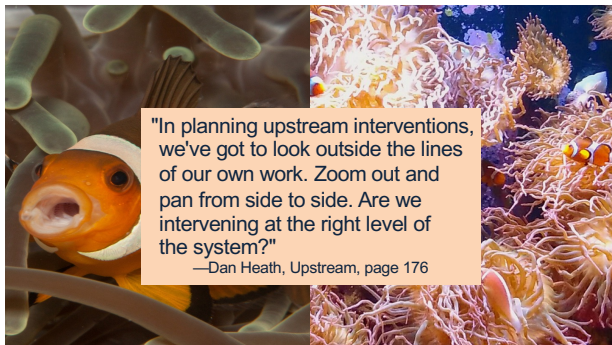
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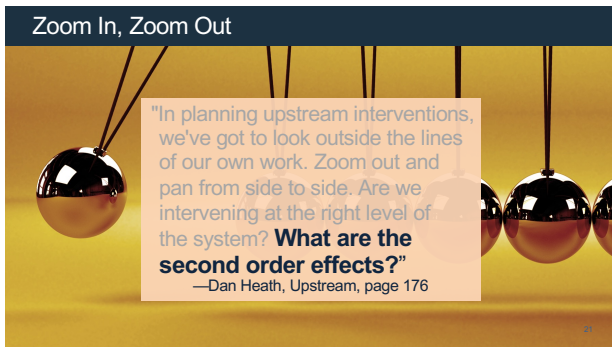
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**Readiness for Change: Communication**

1 = Strongly disagree; 2 = Disagree; 3 = Not sure; 4 = Agree; 5 = Strongly agree

- My program has clearly defined program goals and objectives that are continually communicated to staff.
- My program has strategies in place to prioritize change projects and competing change initiatives.
- My program uses multiple communication strategies to keep stakeholders informed.
- My program's messaging about change is clear and consistent.
- Ongoing monitoring includes strategies to identify lapses in communication.

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 Program Management and Fiscal Operations



## Change in Scope: Part 2 Budget and Staffing Considerations

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### Learning Outcomes

Upon completion of this session, participants will be able to:

- Identify key elements to consider when applying for a CIS
- List one or more budgeting and staffing considerations in CIS

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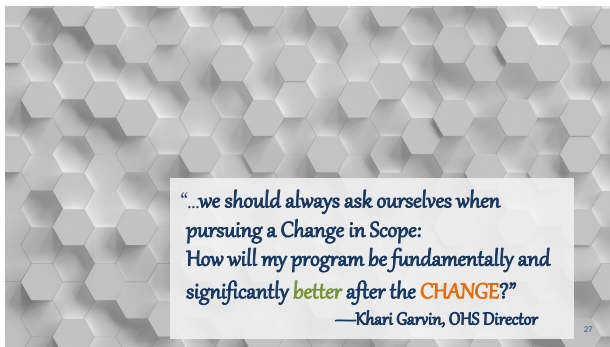
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*“...we should always ask ourselves when pursuing a Change in Scope: How will my program be fundamentally and significantly better after the CHANGE?”*  
 —Khari Garvin, OHS Director

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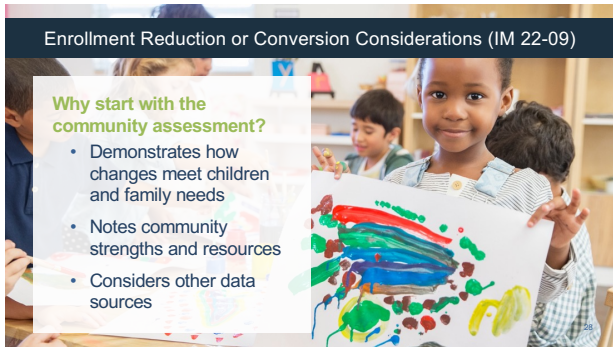
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Enrollment Reduction or Conversion Considerations (IM 22-09)

**Why start with the community assessment?**

- Demonstrates how changes meet children and family needs
- Notes community strengths and resources
- Considers other data sources




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Enrollment Reduction or Conversion Considerations (IM 22-09)

**Staffing and Training**

- Identify the staffing and training needs for proposed program design
- Note availability of qualified staff
- Consider types of training, compensation, and supports for attracting and retaining staff




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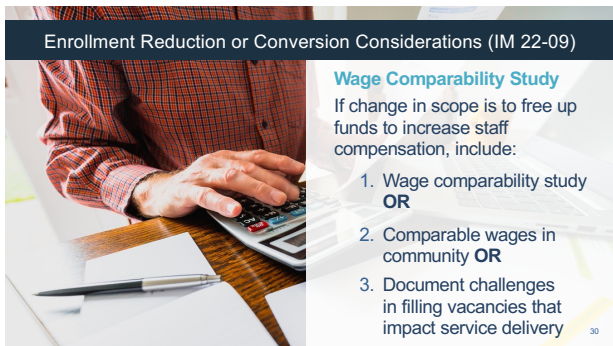
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Enrollment Reduction or Conversion Considerations (IM 22-09)

**Wage Comparability Study**

If change in scope is to free up funds to increase staff compensation, include:

1. Wage comparability study **OR**
2. Comparable wages in community **OR**
3. Document challenges in filling vacancies that impact service delivery




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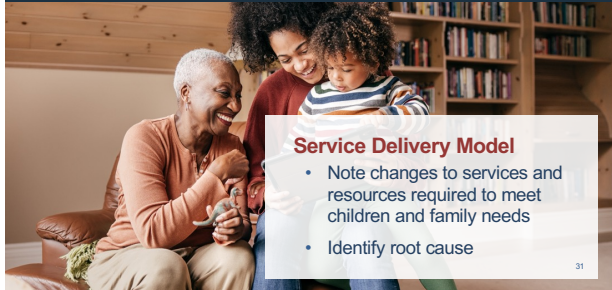
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Enrollment Reduction or Conversion Considerations (IM 22-09)



**Service Delivery Model**

- Note changes to services and resources required to meet children and family needs
- Identify root cause

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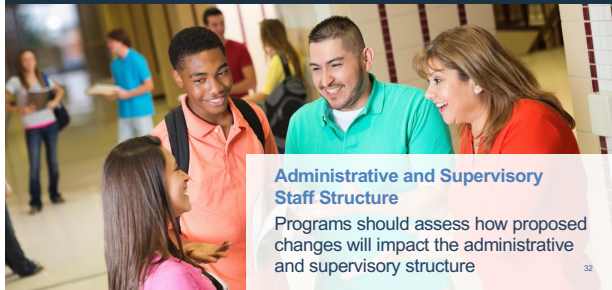
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Enrollment Reduction or Conversion Considerations (IM 22-09)



**Administrative and Supervisory Staff Structure**

Programs should assess how proposed changes will impact the administrative and supervisory structure

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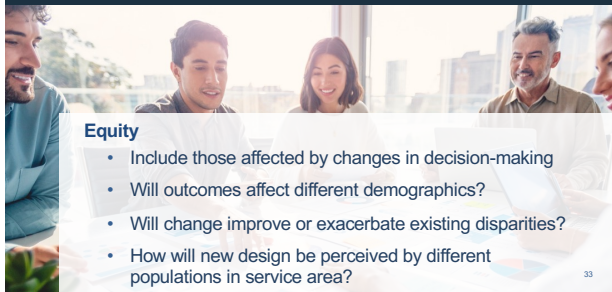
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Enrollment Reduction or Conversion Considerations (IM 22-09)



**Equity**

- Include those affected by changes in decision-making
- Will outcomes affect different demographics?
- Will change improve or exacerbate existing disparities?
- How will new design be perceived by different populations in service area?

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**Enrollment vs Conversion**

- Outline your budget to align with the specific request
- Enrollment reductions require:
  - Consideration for how funds will be used to maximize services provided by the program
  - Explanation and justification of identified savings and how they will be used

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**Enrollment vs Conversion**

- Conversions require:
  - Community needs data
  - Self-assessment data
  - Impact on school readiness goals

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Staffing needs should be considered when planning a change in scope.

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## Staffing Analysis

**Enrollment Reductions and Conversion of Head Start Slots to Early Head Start Slots**  
ACF-IM-HS-22-09

ACF  
Administration for Children and Families

U.S. DEPARTMENT  
OF HEALTH AND HUMAN SERVICES

U.S. Log Number: ACF-20-149-22  
3. Change in Direct Cost and  
4. New Work: Enrollment Reduc.

**INFORMATION MEMORANDUM**  
TO: All Head Start and Early Head Start Grant Recipients

**SUBJECT:** Enrollment Reductions and Conversion of Head Start Slots to Early Head Start Slots

**BACKGROUND:**  
The Head Start Program is a national model in the field of early care and education (ECE) for providing high-quality services to children and families most in need. Head Start programs provide comprehensive and holistic services to eligible children and families to ensure their overall health and support positive family outcomes. The Office of Head Start (OHS) recognizes that community needs will vary over time for various reasons, changes in the availability of community resources, or to provide program services to the Head Start Act. The ACF allows programs to propose a reduction in their current program to convert Head Start slots to Early Head Start slots to better meet community needs and the ability to meet community needs.

A request to reduce a funded enrollment or convert Head Start slots to Early Head Start slots before a change in scope request through a continuation application or in a separate application must be submitted a minimum of 90 days prior to the planned implementation date. This Information Memorandum (IM) provides additional guidance for the development and submission of these requests.

Enrollment reductions and conversions are permanent adjustments to funded enrollment. Therefore, the decision to request a reduction or conversion should be based on actual changes in the community program and not merely necessary to maintain a high-quality program with qualified staff, equipment by state and documented needs, and not based on anticipated changes. It is important to consider community growth and resources in the service area, their existing program goals, and if the program is sustainable when considering a change in scope request. Programs must demonstrate that a change in scope request is data-driven and explain how the requested changes will improve quality of services for children and families better meet community needs, support staff, and promote sustainable programs.

**What impact does the proposed reduction have on staffing?**

**How does it impact your administrative structure?**

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## Job Analysis Questionnaire

**Job Analysis Questionnaire**

The purpose of this job analysis questionnaire is to determine the essential functions of a position. The information provided will be used to develop a job description and to determine the qualifications and training requirements for the position. The information provided will also be used to determine the essential functions of the position and to determine the qualifications and training requirements for the position.

**Job Title:** \_\_\_\_\_

**Department:** \_\_\_\_\_

**Supervisor:** \_\_\_\_\_

**Reporting Relationship:** \_\_\_\_\_

**Position Category:**  Administrative  Clerical  Professional  Other \_\_\_\_\_

**Position Description:** \_\_\_\_\_

**Essential Functions:** \_\_\_\_\_

**Qualifications:** \_\_\_\_\_

**Training:** \_\_\_\_\_

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**Be sure the budget is reflective of the program's vision and is sustainable.**

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### Financial Viability/Budget Considerations



- Evaluate current program design
- Explain all changes
- Staffing and ratio requirements
- Changes to equipment and supplies
- Changes to facilities

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### Budget Considerations



- Program funds
- Current operations
- Change in funding
- Proposed new base funding
- Include changes to training and technical assistance (TTA) funds

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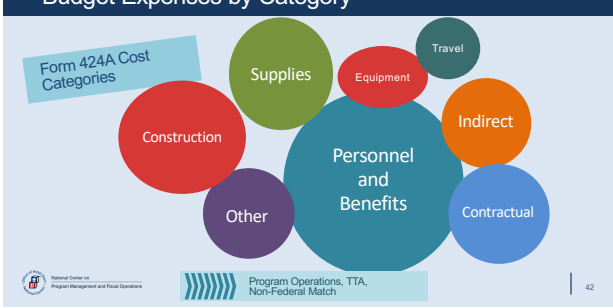
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### Budget Expenses by Category



Form 424A Cost Categories

- Personnel and Benefits
- Construction
- Supplies
- Equipment
- Travel
- Indirect
- Contractual
- Other

Program Operations, TTA, Non-Federal Match

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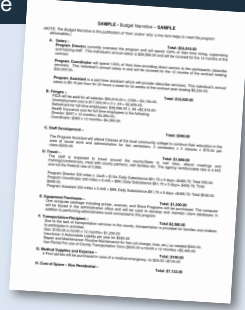
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## Budget Development: Narrative

Budget Narrative is the justification of "how" and "why" a line item helps to meet the program deliverables.



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## Example Budget

Category	Current Budget Allocation	Re-allocated Budget Allocations
Salaries and Wages	\$ 5,816,250	\$ 6,662,250
Fringe Benefits	\$ 1,570,388	\$ 1,798,807
Equipment	\$ 125,000	\$ -
Supplies	\$ 450,000	\$ 296,691
Travel	\$ 150,106	\$ 54,000
Construction	\$ -	\$ -
Other	\$ 625,000	\$ 345,000
Contractual	\$ 705,125	\$ 285,121
<b>Total Direct Costs</b>	<b>\$ 9,441,869</b>	<b>\$ 9,441,869</b>
Indirect Costs	\$ 1,133,131	\$ 1,133,131
<b>Total Approved Budget</b>	<b>\$ 10,575,000</b>	<b>\$ 10,575,000</b>
Over/under budget	\$ -	\$ -
<b>\$ 10,575,000</b>		

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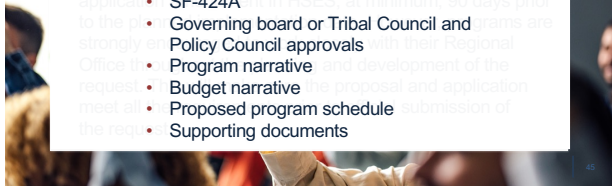
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## How to Submit Application

- The application must include the following documents:
- SF-424
  - SF-424A
  - Governing board or Tribal Council and Policy Council approvals
  - Program narrative
  - Budget narrative
  - Proposed program schedule
  - Supporting documents



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**Activity**

**Justification**

- What is the primary justification for the enrollment reduction or conversion?
- What are the current enrollment levels for Head Start and Early Head Start?
- Are you currently under enrolled or participating in the Full Enrollment Initiative?
- What is the expected outcome or goal?
- Are the proposed amounts of slots and funding adequate for the intended purpose?
- Is the proposed change in scope sustainable?

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**What's Next?**

- Discuss intentions with program specialist
- Submit change in scope application via HSES that addresses 1302.20(c)(3)
- Include governing body or Tribal Council and Policy Council/Policy Committee approvals, program narrative and schedules, and detailed budget narratives

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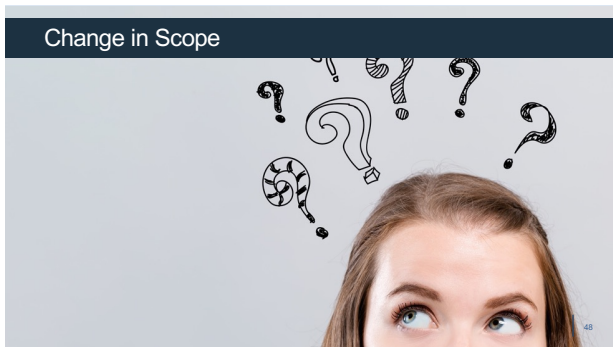
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**Change in Scope**



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## PMFO Resources

- Head Start Management Systems Wheel Guiding Questions
- Program Planning in Head Start: The Program Planning Cycle
- Readiness for Change Assessment Tool
- ACF-HS-IM-22-09

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## Thank You!



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## HOW YOU FEEL AFTER



YOU COMPLETE YOUR PMFO EVALUATION

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Contact PMFO

 [pmfo@ecetta.info](mailto:pmfo@ecetta.info)

 <https://eclkc.ohs.acf.hhs.gov/ncpmfo>

 Call us: 888.874.5469

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**ADMINISTRATION FOR  
CHILDREN & FAMILIES**



**National Center on  
Program Management and Fiscal Operations**

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