

AMADOR TUOLUMNE COMMUNITY ACTION AGENCY

Amador Tuolumne Community Action Agency BOARD OF DIRECTORS TRAINING

Friday, July 19, 2024 | 9:00 A.M.

LOCATIONS

Host, Kristy Moore: **ATCAA Sonora Service Center**, 427 N. Hwy 49, Ste. 305, Sonora, CA 95370 (209) 533-1397

Host, Joseph Bors, Janessa Stone: **ATCAA Jackson Service Center**, 10590 Hwy 88, Jackson, CA 95642 (209) 223-1485

AGENDA

1. **CALL TO ORDER:**
2. **ROLL CALL:**

ATCAA Board of Directors				
<i>Frank Axe, Board Chairperson</i>			Amador - PUB	
<i>Joni Drake, Board Vice-Chair</i>			Amador - LIR	
<i>Claire Gunselman, Board Treasurer</i>			Amador - PUB	
Amador			Tuolumne	
Jeff Brown	PUB		Ryan Campbell	PUB
Lynn Morgan	PRI		Jaron Brandon	PUB
Pastor Mark Smith	PRI		Andy Merrill	PUB
Carol Rush	PRI		Diane Bennett	PRI
Susan Conn	LIR		Andréa-Victoria Lisbon	PRI
Mary Pulskamp	LIR		Jennifer Grenland	LIR-HSPC
Antoinette Del Rio Lopez	LIR		Cathy Parker	LIR
Calaveras				
Sabrina Smith	LIR			

ATCAA Staff	
Joseph Bors, Executive Director	
Talibah Al-Rafiq, Fiscal Officer	
Bruce Giudici, Outgoing Fiscal Officer	
Janessa Stone, Board Secretary	
Kristy Moore, Communications Director	

Others Present:

3. **PUBLIC MATTERS NOT ON THE AGENDA:** Discussion items only, no action to be taken. Any person may address the Board at this time upon any subject; however, any matter that requires action may be referred to Staff and/or Committee for a report and recommendation for possible action at a subsequent Board meeting. Please note there is a five (5) minute limit per topic.
4. **JULY 2024 HEAD START/EARLY HEAD START CHANGE IN SCOPE:** Pg. 3 (ACTION ITEM)

2024 HEAD START BOARD TRAINING

5. **WELCOME & INTRODUCTIONS:** *(Verbal)*
6. **ATCAA EARLY/HEAD START CENTER LOCATIONS:** Pg. 4
7. **ACRONYMS:** Pg. 5
8. **ATCAA EARLY HEAD START/HEAD START SCHOOL READINESS GOALS 2023/2024:** Pg. 6
9. **IMPASSE RESOLUTION:** Pg. 7
10. **2024-2025 ECS PROGRAMS GOALS AND OBJECTIVES:** Pg. 8
11. **ATCAA EARLY HEAD START/HEAD START ANNUAL REPORTS:** Pg. 11
12. **PROGRAM GOVERNANCE:**
 - 12.1. Head Start Program Leadership Responsibilities. Pg. 28
 - 12.2. Program Planning in Head Start: The Program Planning Cycle. Pg. 29
 - 12.3. Head Start Program Governance Reference Book. Pg. 34
 - 12.4. Head Start A-Z Governance Readiness Assessment. Pg. 43
13. **ADJOURNMENT:**

LATE AGENDA MATERIAL: Late agenda material can be inspected at the ATCAA Jackson Service Center 10590. State Hwy. 88 Jackson, CA and the ATCAA Sonora Service Center 427 N. State Hwy. 49 Sonora, CA.

SPECIAL NEEDS: Persons who need auxiliary aids or services are requested to call our Sonora Service Center at 209-533-1397 or our Jackson Service Center at 209-223-1485 during business hours at least 48 hours before the meeting so appropriate arrangements may be made.

AMADOR TUOLUMNE COMMUNITY ACTION AGENCY

HEAD START/EARLY HEAD START CHANGE IN SCOPE SUMMARY

ATCAA is requesting to reduce our Early Head Start home visiting program enrollment from 40 to 23 children. (A reduction of 17.) This change will take place as soon as it is approved by the Office of Head Start. This change will not displace any families that wish to receive services because for the past two years we have not been fully enrolled in the Early Head Start home based program. Our enrollment for June of this year was 25 children. We will continue to serve these families until they no longer want services or until the children get old enough to be in Head Start.

Staffing Impact: A full-time home visitor's case load is 7 to 10 families. Currently we have 3 full-time home visitors and 2 part-time home visitors. No staff will lose their jobs due to this change. Besides the 23 children in Early Head Start we also have 5-7 families enrolled in the Head Start home visiting program. We have a contract with Tuolumne County Social Services to provide home visiting services for families involved with Child Welfare Services. This grant will support the time that is not charged to Early Head Start. And, if community needs change, we will be able to increase our home visiting program to serve the needs of families due to having enough staff to provide services.

The Community Assessment shows a steady decline in the number of income qualified children aged from birth to three. In addition, families are choosing not to have home visitors in their homes in the same numbers as they used to. We have not been able to be fully enrolled in our home visiting program for the past two years. However, if community needs change, we will be able to increase our home visiting program to serve the needs of families.

The savings associated with a reduced home visiting caseload in Early Head Start is estimated to be \$130,515 which includes some savings in personnel plus savings in vehicle and supplies costs.

We are requesting approval to reduce enrollment and to reallocate the saving toward staff retention goals and to cover rising operation costs rather than reducing our Early Head Start funding amount.

Thank you for considering this request.

Approved by the ATCAA Board at its meeting on July 19, 2024

ATCAA Board Representative *(Please Sign)*

ATCAA Early/Head Start Centers

Facility	Address	Sub-Code	Phone	FAX
Early Childhood Services Office	427 N. Hwy 49, Suite 202 Sonora, CA 95370 - 5666	61	533-0361	533-0470
Home Base	Tuolumne	70	533-0361	533-0470
Blue Bell EHS #553616866	18080 Blue Bell Road East Sonora, CA 95370 - 9737	63	532-5455 532-5474	532-5445
Blue Bell HS #553616866	18080 Blue Bell Road East Sonora, CA 95370 - 9737	63	532-5455 532-5474	532-5445
Ione HS #033607205	108 W. Marlette Street Ione, CA 95640 - 9220	69	274-0395 274-4453	274-0447
Ione EHS #033616425	108 W. Marlette Street Ione, CA 95640 - 9220	69	274-0395 274-4453	274-0447
Jackson HS #033610780	151 Shopping Drive Jackson, CA 95642 - 0000	66	223-7333	223-7330
Jackson EHS #033616307	101 Shopping Drive Jackson, CA 95642 - 0000	66	223-3074	223-7330
Jamestown HS #550320020	18234- 4 th Avenue Jamestown, CA 95327 - 9760	64	984-1617	984-0627
Jamestown EHS #553621205	10550 7 th Street Jamestown, CA 95327	64	984-1715	984-1719
Soulsbyville HS #553601751	20300 Soulsbyville Road Soulsbyville, CA 95372 - 9792	62	533-3143	533-3530
Summerville HS #553607282	18451 Carter Street Tuolumne, CA 95379 - 9715	68	928-3651	928-3666
ATCAA, Sonora	427 N. Hwy 49, Ste. 305 Sonora, CA 95370		533-1397	533-1034
ATCAA, Jackson	10590 State Highway 88 Jackson, CA 95642		223-1485	223-4178

Acronyms for New ECS Staff

EHS = Early Head Start

HS = Head Start

CSPP = California State Preschool Program

CACFP = Child and Adult Care Food Program

CCL = Community Care Licensing

CDE = California Department of Education

BB = Blue Bell

IO = Ione

JK = Jackson

JT = Jamestown

SB = Soulsbyville

SV =Summerville

THB = Tuolumne home-base

AHB = Amador home-base

FA = Family Advocate

CA = Center Assistant

LCT = Lead Center Teacher

HV = Home Visitor

ELOF = Early Learning Outcomes Framework

DRDP = Desired Results Developmental Profile

Brigance = Child Screening Tool

ECLKC = Early Childhood Learning & Knowledge Center

ATCAA Early Head Start/Head Start School Readiness Goals 2023/2024

Infant/Toddler Domain 1: Social and Emotional Development

Identifies own or others' feelings- (Points to a sad picture on the emotion chart when observing a crying child. Says, "Baby Happy," when a child smiles. Says, "Painting makes me happy!")

Infant Toddler Domain 2: Approaches to Learning

Comforts self in different ways, depending on the situation- (When upset about parent leaving, goes to cubby and pulls out a family photo. Seeks a quiet spot in the classroom to self-regulate.)

Infant Toddler Domain 3: Language and Literacy

Engages in back -and-forth communication that develops into increasingly extended conversations - (Child engages in back and forth conversations with adults about ideas, thoughts, any extra items needed, etc.)

Infant/Toddler Domain 4: Cognition

Identifies small quantities without counting, up to three- (Compares number of apple slices with a peer and communicates a desire to have the same amount. Communicates, "I have one cat. You have one bunny.")

Infant/Toddler Domain 5: Perceptual, Motor and Physical Development

Follow basic safety practices with close adult supervision- (Before crossing a road or parking lot, stops and reaches for an adult's hand. Seeks adult when attempting to climb to get something out of reach.)

Preschool Domain 1: Self and Social Development

Communicates ideas about how one is affected by own and another's thoughts, feelings, and actions- (Child laughs and says, "You are silly," when a peer does something funny. "That makes me feel sad.")

Preschool Domain 2: Approaches to Learning

Uses socially appropriate strategies to regulate own feelings/behavior- ("Can I please have a turn on the bike when the timer is up?" "Don't push me," then moves over and says, "Here's space for you.")

Preschool Domain 3: Language and Literacy

Initiates and expands on meaningful activities that promote literacy development- (Reads a book on their own. Asks for a book about trees after a nature walk.)

Preschool Domain 4: Cognition

Shows an increasing ability to compare, match, and sort objects into groups according to their attributes. (Sorts buttons by color, shape, and/or size.)

Preschool Domain 5: Perceptual, Motor and Physical Development

Applies basic safety practices on their own and communicates those practices to others- (Able to stay within safe boundaries designated by an adult. Follows classroom safety rules in different situations. Tells another child to walk, not run.)

Original Date: 2-7-2000
Relates to: CFR 1304.50 h

SUBJECT: Impasse Resolution

PERFORMANCE OBJECTIVE: Timely resolution of any dispute or conflicting determination between the Policy Council and ATCAA Board.

PURPOSE & DEFINITION:

The purpose of the policy is to guide the efforts of the ATCAA EHS/HS Policy Council and the ATCAA Board of Directors (Board) in resolving any dispute or conflicting determination that arises in decision making in the shared governance roles as outlined in Appendix A: 1304.50. This would also include impasse between the Policy Council and the Executive Director in areas delegated to the Executive Director from the Board, such as hiring and firing of Early/Head Start employees.

It should be stressed that the Impasse Resolution Policy is a last resort, used only after normal process of negotiation and exchange of ideas between the Policy Council, the Executive Director, and the Board has failed to produce an agreement.

PROCESS

1. The Executive Director and the Early/Head Start Director shall meet to clarify and affirm the substance of and reasons for the impasse. This could require both the Policy Council and the Board to restate their positions in writing, to reexamine and reaffirm those positions by a majority vote. Resolution could occur due to re-examination.
2. If resolution did not occur during #1, the following persons will meet designated as the Impasse Resolution Committee: Board Chairperson, Policy Council Chairperson, a second Policy Council member selected by the Policy Council Chairperson, and a second Board member selected by the Board Chairperson. Only members of this Committee will vote on proposed resolutions. The Executive Director and the Early/Head Start Director will provide input and information to the committee as non-voting members. It may be that review of the opposing positions and their supporting rationale will serve to eliminate a lack of understanding or misinterpretation(s) that gave rise to the impasse, thus allowing the Policy Council and the Board to reach agreement.
3. If this meeting fails to result in a mutually satisfactory resolution of the impasse, the committee will select an outside mediator/facilitator to mediate at the next step and an additional voting committee member to participate in the mediation meeting(s). The additional participant may not be a member of the Board or the Policy Council, but selected from a community organization, school, government, or the community at large.
4. Participation in the mediation meeting(s) shall be required for the members of the Impasse Resolution Committee, which now includes the additional community member. The meeting(s) will take place as soon as possible with process completion no longer than 30 days from the first meeting of the committee in step #2. Resolution of the disputed issue shall be affirmed by majority vote of the Committee, which will be final and binding for both parties.
5. If the dispute is not resolved it may proceed to an arbitration process. The members of the Committee shall make final selection of a qualified arbitrator from a list of professional arbiters provided by the Executive Director. The Decision of the arbiter shall be final and binding for both parties. The Early/Head Start Program and ATCAA shall share the cost of the mediator and the arbitrator equally.

2024-25 Program Goals and Objectives

<p>Strategic Plan Goal: Engage parents to promote positive parenting skills and program involvement</p>
<p>Objective from the Strategic Plan <i>Parents will receive training about promoting children’s social and emotional skills by using the parent component of the Teaching Pyramid model.</i></p>
<p>2024-25 Objective (Revised from 2023-24)</p> <ul style="list-style-type: none"> • Provide a series of in-person and/or Zoom workshops for interested parents, based on Winning with Wellness and Teaching Pyramid for Families strategies, to support parenting skills and positive parent/child relationships.
<p>Objective from the Strategic Plan <i>Parents will receive training and information about health, parenting, and school readiness topics that will lead to positive child outcomes.</i></p>
<p>2024-25 Objective (Revised from 2023-24)</p> <ul style="list-style-type: none"> • Provide online or in-person CPR, first aid, food safety and other health-related training for interested parents.
<p>Objective from the Strategic Plan <i>All parents will receive training about promoting oral health, establishing a dental home, understanding dental screenings, and taking children to regular dental visits.</i></p>
<p>2024-25 Objective (Revised from 2023-24)</p> <ul style="list-style-type: none"> • Ensure that all Head Start and Early Head Start children have a dental home, are seen by a dentist, and receive follow-up treatment. • Continue outreach and strengthen collaborations with providers contacted in 2023-24. • Continue to collaborate with community partners and First 5 to expand access to dental services, especially in Amador County.
<p>Objective from the Strategic Plan <i>Parents will engage in a wide variety of opportunities to volunteer in the program, enhance their parenting and job skills through volunteering, and increase their sense of community and positive relationships with their peers.</i></p>
<p>2024-25 Objective (Continued from 2023-24)</p> <p>Expand ideas for volunteerism so at least 25% of parents with enrolled children participate in the program inside or outside of the classroom.</p>

Strategic Plan Goal	Provide enhanced training and professional development for staff
Objective from the Strategic Plan	
<i>All new hires, apprentices and volunteers will receive comprehensive training that thoroughly prepares them for their positions, and gives them a solid grounding in program policies, procedures, and best practices in caring for and educating young children. As part of this process, supervisors will be taught how to effectively train staff.</i>	
2024-25 Objective (Revised from 2023-24)	
<ul style="list-style-type: none"> Continue to explore and create training plans and tracking systems to support professional development for Teachers, Family Advocates, Home Visitors, Center Assistants, and volunteers. 	
2023-24 Objective (New for 2024-25)	
<ul style="list-style-type: none"> Create and implement a plan to train Lead Center Teachers about effective leadership, management, and supervision. 	
Objective from the Strategic Plan	
<i>All staff will receive training and professional development that will align with the goals in their annual evaluations and prepare them for advanced roles in the program if desired. Tracking systems will be designed and implemented to facilitate this process.</i>	
2024-25 Objective (Revised from 2023-24)	
<ul style="list-style-type: none"> Document the training needs of Home Visitors, Family Advocates and Center Assistants based on the professional development goals included in their performance evaluations. 	

Strategic Plan Goal	Strengthen transitions to kindergarten
Objective from the Strategic Plan	
<i>Increase communication and collaboration with kindergarten/TK teachers to promote positive child transitions to kindergarten/TK and scholastic success.</i>	
2024-25 Objective (Revised from 2023-24)	
<ul style="list-style-type: none"> Work with Resource & Referral agencies, community partners, and UPK groups to establish effective birth to kindergarten support systems that promote children’s healthy development and school readiness/life skills. 	
Objective from the Strategic Plan	
<i>Parents will be supported in their children’s transition to kindergarten, be familiar with receiving schools’ staff, campus, and procedures, and know their rights as parents in the elementary school system.</i>	
2024-25 Objective (Revised from 2023-24)	
Utilize information from community partners, and updated information about early learning programs, kindergarten, and TK to assist parents in making informed decisions about which UPK option is best for their children and families.	

Strategic Plan Goal	Build resiliency and self-care practices
Objective from the Strategic Plan	
<i>Staff, parents, and children will be aware of and utilize strategies to reduce stress and promote personal well-being.</i>	
2024-25 Objective (Revised from 2023-24)	
<ul style="list-style-type: none"> • Embed Winning with Wellness and Blue Zone information in training and meetings for parents/guardians and staff to promote ways to reduce adult and child stress and increase family well-being. • Collaborate with the Blue Zone Project to implement strategies and create work environments that support staff wellness and productivity. 	
Objective from the Strategic Plan	
<i>Train all staff about trauma and its effects, and how to implement trauma informed practices.</i>	
2023-24 Objective (Revised from 2022-23)	
<ul style="list-style-type: none"> • Provide training for staff about de-escalation strategies to help families experiencing distressing situations. • Continue to refine family and child support team procedures to assist families experiencing crisis or children consistently using challenging behavior to meet their needs. 	

Strategic Plan Goal	Stable staffing and facilities
Objective from the Strategic Plan	
<i>Based on Community Assessment data, establish facilities that are in good repair, safe, meet the developmental and learning needs of children, and provide a “user friendly” work environment for staff at all Head Start, State Preschool, and Early Head Start programs.</i>	
2024-25 Objective (Revised from 2023-24)	
Continue to evaluate Community Assessment data, and dialog with our Head Start Program Specialist, the management team, staff, parents, ATCAA’s Executive Director, and our governing bodies, to determine the best sustainable program structure for the Head Start and Early Head Start programs in Amador County and Tuolumne County.	

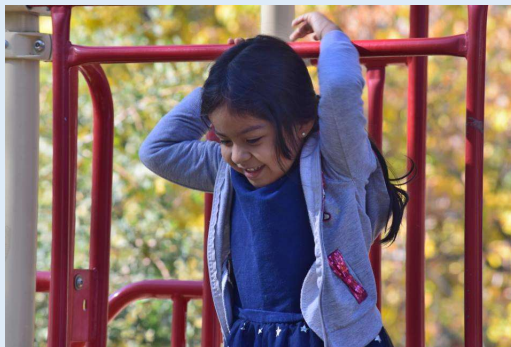
Program Goal	Reach and Maintain Full Enrollment in Early Head Start and Head Start
2024-25 Objective (Revised from 2023-24)	
Follow our Full Enrollment Initiative Plan objectives and action steps, and continue the collaboration between T/TA staff, ECS staff and managers, parents, Policy Council, and community partners to reach and maintain full enrollment in Early Head Start and Head Start programs.	

ATCAA HEAD START/EARLY HEAD START COMMUNITY REPORT FOR 2023

Amador-Tuolumne Community Action Agency

WELCOME TO OUR 15TH ANNUAL COMMUNITY REPORT.

This report consists of data and highlights from our 2022/2023 school year and our 2023 fiscal year (January – December 2023).



We are grateful to the ATCAA Board, the ATCAA Head Start Policy Council, our dedicated staff, and wonderful families for making this program possible.

Joe Bors, ATCAA Executive Director

Jennifer Grenland, Policy Council Chair

Nancy Miner, Early Childhood Services Director

BUDGET AND EXPENDITURES FEDERAL FUNDS FY 2023

Total Budget = \$4,412,667 Total Expenditure = 3,854,364

ATCAA Early Childhood Services Programs are:

Early Head Start (center based and home based) Head Start Preschool (center based and home based) California State Preschool Program (center based)

We can be reached at 209.533.0361

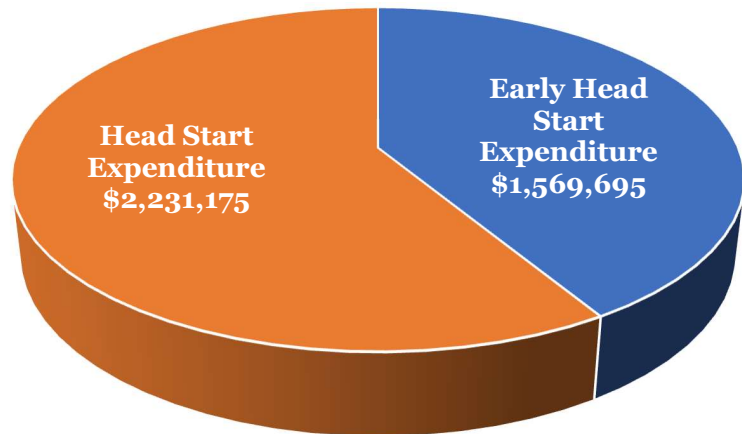
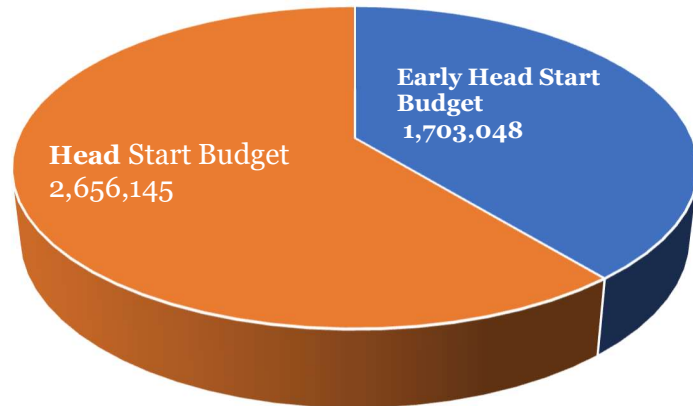
427 N. Highway 49, Suite 305

Sonora, CA 95370

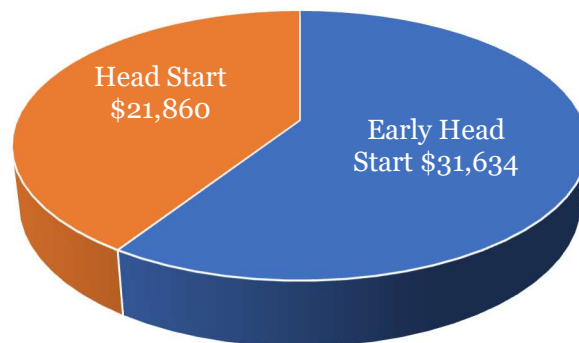
10590 HWY 88, Jackson, CA 95642

209.223.1485

www.atcaa.org



Training and Technical Assistance Budget and Expenditures



FOOD PROGRAM AND NON-FEDERAL SHARE FY 2023

Child and Adult Care Food Program (CACFP) (Federal Funds with a small portion of State funding)
Head Start = \$99,210 Early Head Start = \$36,385

Non-Federal Share - State and Local Funding, community donations and volunteer time
\$609,487

Funding Notes:

The ATCAA Head Start, Early Head Start and California State Preschool programs receive funds from the U.S. Department of Health and Human Services Administration for Children and Families, the Child and Adult Care Food Program(CACFP-U.S. Department of Agriculture), and the California Department of Education (State Preschool and Quality Improvement funding).

The most recent federal monitoring for ATCAA's Early Head Start and Head Start programs was completed in February and March of 2023. The report from the monitoring will be available at the Head Start office when it is released. Results of the most recent Agency's fiscal audit indicating no findings can be obtained at the ATCAA Jackson or Sonora Service Centers.

In addition to federal monitoring, the ATCAA Head Start Policy Council and the ATCAA Board complete regular self-assessments for on-going quality assurance.

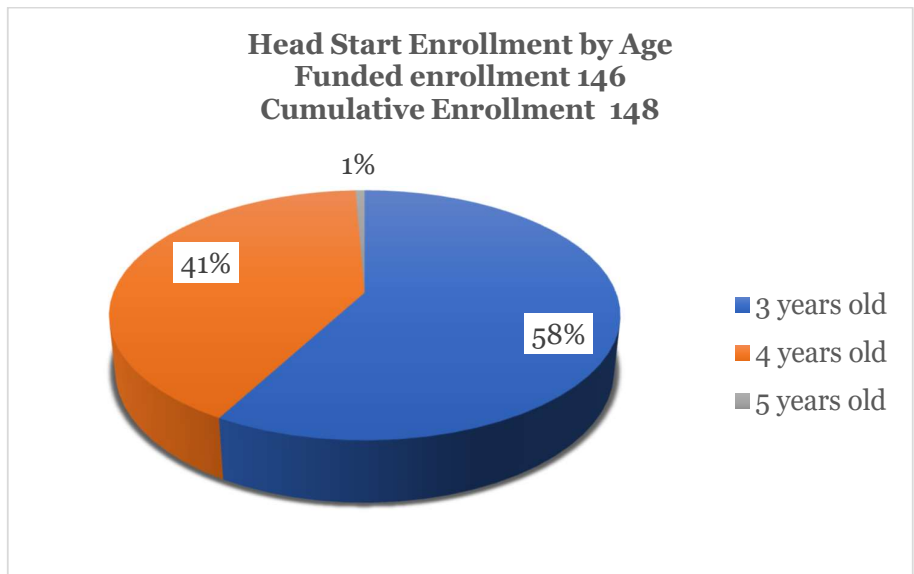
Both the Board and the Policy Council receive monthly financial statements and statistical reports as well as results of all self-assessment data.

Policy Council:

Parents and Guardians of currently enrolled children are eligible to be elected as voting members of the ATCAA Head Start Policy Council. Representatives are elected from each Head Start and Early Head Start center as well as each county's home-based program. Rounding out membership are a representative from the ATCAA Board and community partners. The Policy Council has at least 10 monthly meetings each year. The Policy Council is responsible for reviewing and approving the annual budget, the hiring or firing of the Head Start Director, Enrollment Selection Criteria, The 5 year Strategic Plan and School Readiness Goals. We are so grateful for the time and energy Policy Council Members and Parents/ Guardians provide to help us with our goal of continuous program improvement.

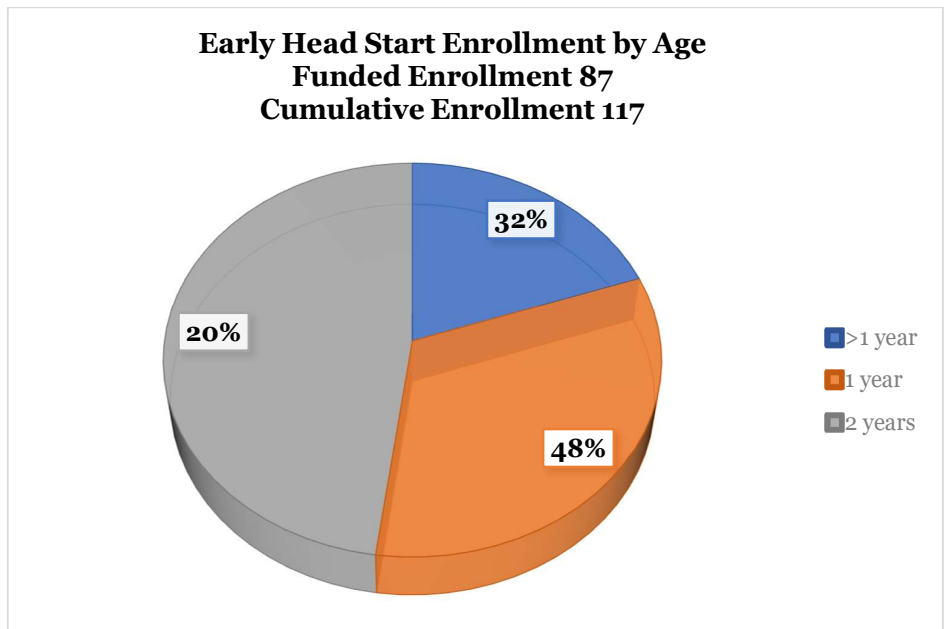


PROGRAM ENROLLMENT FOR THE 2022/2023 SCHOOL YEAR



Waiting List as of 9/30/22 = 49

% of children enrolled for multiple years	# of children	Percent
	77	52%



Waiting List as of 9/30/22 = 34

Pregnant Women Served - 4

Total Cumulative Enrollment including pregnant women = 121

Multiple year enrollment	# of children	Percent
Second year	45	38%
Three or more years	17	15%

ATCAA Head Start Preschool served 30 children (20%) with an Individualized Education Program (IEP), indicating they were determined eligible to receive special education and related services

ATCAA Early Head Start served 23 children (20%) with an Individualized Family Services Program (IFSP) indicating they were eligible to receive special education and related services.

PROGRAM VALUES

Addressing the whole child through developmentally appropriate practices
 Emphasizing the value of play for learning and development
 Valuing and teaching each child as an individual
 Respecting and valuing linguistic and cultural diversity
 Supporting the importance of healthy social and emotional development
 Promoting relationships with families
 Helping parents discover their leadership potential
 Helping families set and reach personal goals to strengthen self-sufficiency.
 Fostering a culture of health and wellness for Head Start children, families, and staff

LEARNING AND SCHOOL READINESS

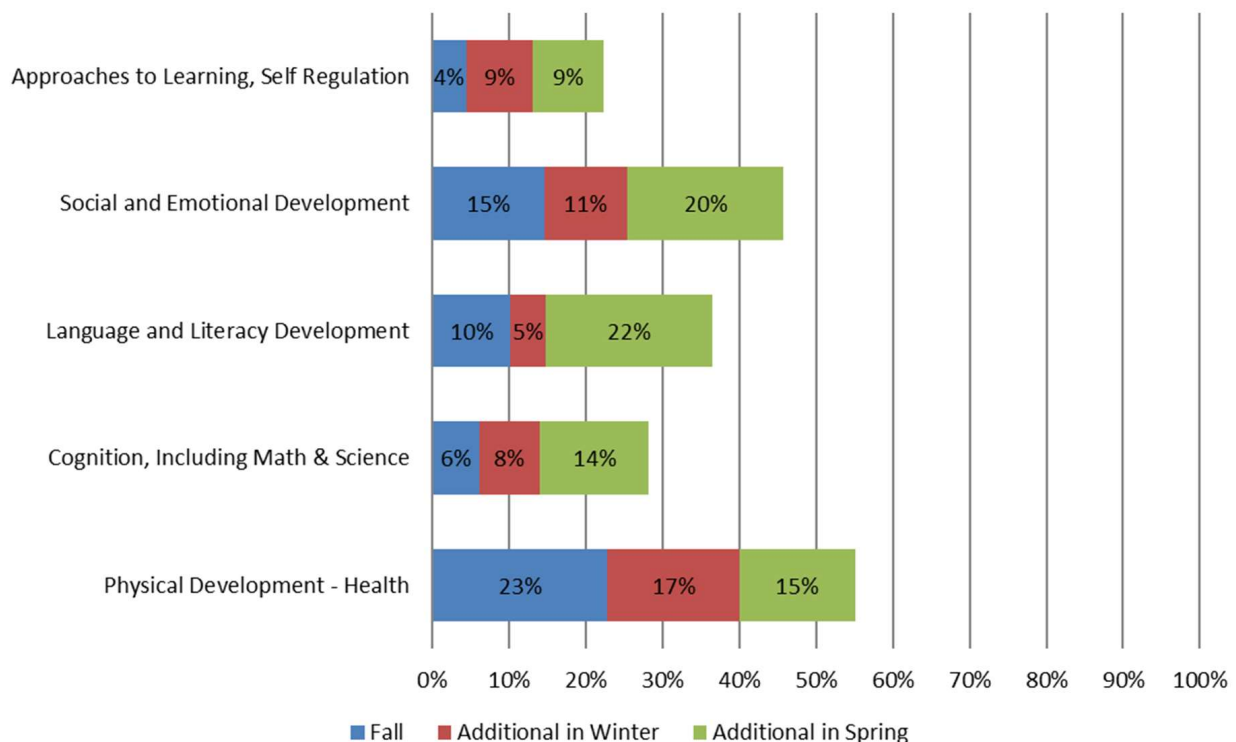
The Office of Head Start defines school readiness as children possessing the skills, knowledge, and attitudes necessary for success in school and for later learning and life.

In Head Start’s approach to school readiness, not only are children ready for school, but families are ready to support their children’s learning as well. Head Start recognizes that parents are their children’s primary teachers and advocates. For our parents and families, school readiness means they are engaged in the long-term success of their children. Therefore, parents play a critical role in helping ATCAA Early Head Start and Head Start to define and implement our program goals.

To help children learn in the most effective ways, we partner with their families to develop meaningful learning goals that are individualized for each child. We also build classroom and home-based learning experiences around children’s interests and ensure that those experiences include concept exploration in several key areas including social/emotional, language and early literacy, mathematics and science.

Our program uses the Desired Results Developmental Profile (DRDP) to measure children’s growth in key developmental areas. This shows growth for children who were assessed in the fall and again in the spring.

**Percent of all Preschool Children Scoring at 2 Highest Rankings:
 Building Later or Integrating, FY 22-23**





HEALTH SERVICES

Health is an important part of our Early Head Start and Head Start programs and curriculum. One of our goals is to help children understand concepts of health and safety. Examples include hand washing, brushing teeth, covering cough, the value of exercise, and pedestrian safety. The tables below show health data for both programs at enrollment and the end of the year.



Head Start	At enrollment	%	End	%
Children with health insurance	148	100%	148	100%
Children with accessible health care	142	95.9%	142	95.9%
Children with up-to-date immunizations or all possible immunizations to date, or exempt	146	98.6%	147	99.3%
Children with accessible dental care	128	86.5%	139	93.9%

Early Head Start	At enrollment	%	End	%
Children with health insurance	117	100%	117	100%
Children with accessible health care	115	98.3%	115	98.3%
Children with up-to-date immunizations or all possible immunizations to date, or exempt	91	78.8%	104	89.9%
Children with accessible dental care	103	88%	112	95.7%

FAMILY DEMOGRAPHICS - EARLY HEAD START AND HEAD START

Type of Eligibility	Head Start	%	Early Head Start	%
Income at or below 100% of federal poverty line	57	39%	50	41%
Public Assistance (TANF, SSI and SNAP)	37	25%	28	23%
Foster Care	8	5%	6	5%
Homeless	17	11%	17	14%
Income between 100% and 130% of federal poverty	16	11%	13	11%
Other	13	9%	7	6%



FAMILY ENGAGEMENT AND SERVICES

Family engagement is an important element of the ATCAA Early/Head Start program. Parents/guardians of children enrolled in Early Head Start and Head Start were able to be engaged through volunteering in the classroom, attending parent meetings, participating in cooking demos and family nights, being a part of the Policy Council, helping teachers prepare materials and helping with maintenance projects. We also provided parenting tips through the *Ready Rosie* software. Community Partners provided health education as well. At enrollment, we assess families' needs and each parent/guardian works with staff to create goals for the family or for themselves. Staff support families in finding resources and achieving their goals."

FAMILY SERVICES HEAD START

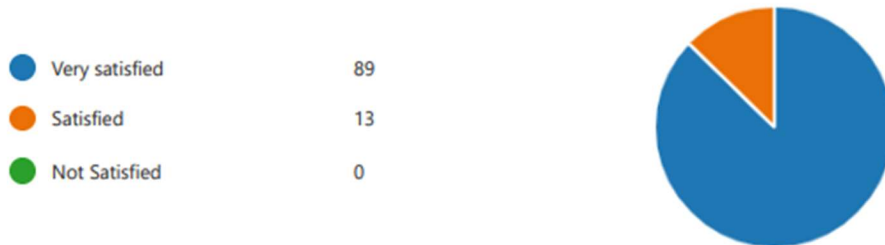
The number of families that received the following program service to promote family outcomes:	# of families that received the following services during the program year	% of families that received the following services during the program year
Emergency/crisis intervention (e.g., meeting immediate needs for food, clothing, or shelter)	77	59%
Housing assistance (e.g., subsidies, utilities, repairs)	26	20%
Asset building services (e.g., financial education, debt counseling)	7	5%
Mental health services	25	19%
Substance misuse prevention	1	1%
Substance misuse treatment	3	2%
English as a Second Language (ESL) training	8	6%
Assistance in enrolling into an education or job training program	15	11%
Research-based parenting curriculum	53	40%
Involvement in discussing their child's screening and assessment results and their child's progress	124	95%
Supporting transitions between programs (i.e., EHS to HS, HS to kindergarten)	55	42%
Education on preventive medical and oral health	125	95%
Education on health and developmental consequences of tobacco product use	27	21%
Education on nutrition	107	82%
Education on postpartum care (e.g., breastfeeding support)	5	4%
Education on relationship/marriage	11	8%
Assistance to families of incarcerated individuals	3	2%
Of these, the number of families who were counted in at least one of the services listed above	130	99%

FAMILY SERVICES EARLY HEAD START

The number of families that received the following program service to promote family outcomes:	# of families that received the following services during the program year	% of families that received the following services during the program year
Emergency/crisis intervention (e.g., meeting immediate needs for food, clothing, or shelter)	58	57%
Housing assistance (e.g., subsidies, utilities, repairs)	18	18%
Asset building services (e.g., financial education, debt counseling)	8	8%
Mental health services	12	12%
Substance misuse prevention	2	2%
Substance misuse treatment	4	4%
English as a Second Language (ESL) training	4	4%
Assistance in enrolling into an education or job training program	20	20%
Research-based parenting curriculum	67	66%
Involvement in discussing their child's screening and assessment results and their child's progress	80	79%
Supporting transitions between programs (i.e., EHS to HS, HS to kindergarten)	66	65%
Education on preventive medical and oral health	93	92%
Education on health and developmental consequences of tobacco product use	19	19%
Education on nutrition	85	84%
Education on postpartum care (e.g., breastfeeding support)	12	12%
Education on relationship/marriage	14	14%
Assistance to families of incarcerated individuals	3	3%
Of these, the number of families who were counted in at least one of the services listed above	98	97%

PARENT SURVEY RESULTS

How satisfied are you with the program?

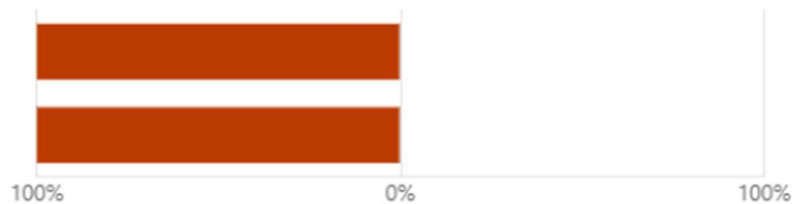


Do you feel that:

Yes No

Your child is safe in this program?

Your child is happy in this program?





“Our teacher is AMAZING! She really understands the kids and knows how to meet their needs as individuals and as a group- a true blessing to our children.”

Parent Comment

CENTER LOCATIONS AND PHONE NUMBERS

Sonora Service Center
427 N. Hwy 49 Suite 202
Sonora CA 95370
(209) 533-0361 ext. 240
Office Hours: Monday – Thursday 8:30 am to 3:30 pm. Closed on Fridays

In Amador County:

Jackson Head Start/State Preschool and Early Head Start
151 Shopping Dr. Jackson
(209) 223-7333
Ione Head Start/State Preschool and Early Head Start
108 W. Marlette St., Ione
(209) 274-0395

In Tuolumne County:

Blue Bell Head Start/State Preschool/Early Head Start
18080 Blue Bell East, Sonora
(209) 532-5455
Jamestown Head Start/State Preschool
18234 4th Ave., Jamestown
(209) 984-1715
Jamestown Early Head Start
10550 Seventh Street, Jamestown
(209) 984-1617
Soulsbyville Head Start/State Preschool
20300 Soulsbyville Road, Soulsbyville
(209) 533-3143
Summerville Head Start/State Preschool
18451 Carter Street, Tuolumne
(209) 928-3651

www.atcaa.org

Amador Tuolumne Community Action Agency. No person shall be discriminated against due to age, color, religion, gender, marital status, ancestry, medical condition, physical or mental health disability, citizenship or any other consideration made unlawful by state, federal or local laws.



ATCAA
Early Childhood Services
Head Start ♦ Early Head Start ♦ State Preschool



WELCOME TO OUR 14TH ANNUAL REPORT

This report consists of data and highlights from our 2021/2022 school year.

We are proud that we were one of the small percent of Head Start programs that opened fully in-person in the fall of 2021. We are grateful to our community partners for their help and support during this challenging year. We received extra support from the Amador and Tuolumne Health Departments who provided resources for our centers and families.

We hope this information is useful and gives you some insight into what Head Start and Early Head Start provides for families and children in Tuolumne and Amador Counties. Most of all, we hope this report highlights the outstanding work that our home visitors, center based staff, and managers did to ensure that services were provided for our children in the safest and best way possible. We appreciate the hard work and passion for children that everyone brought to these challenging times.

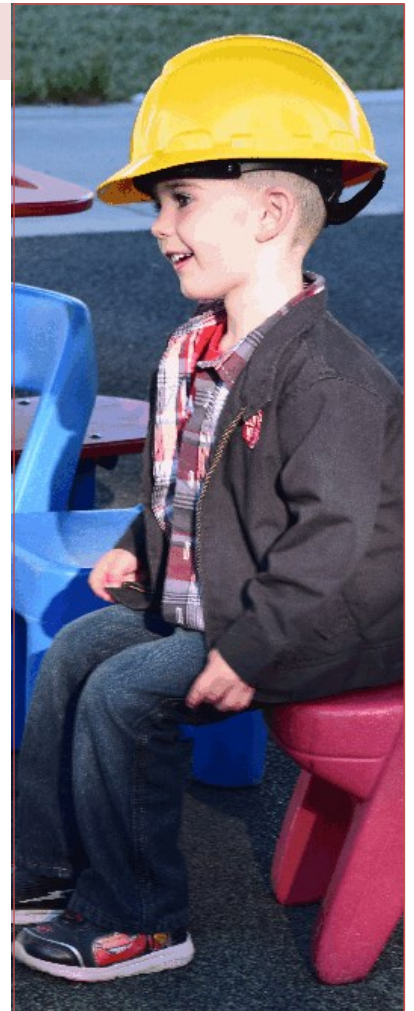
We are also grateful for the ATCAA Board, the ATCAA Head Start Policy Council, our dedicated staff and wonderful families for making this program possible.

Thank you for reading our report,

Joe Bors, ATCAA Executive Director

Melissa Tuck, Policy Council Chair

Nancy Miner, Early Childhood Services Director



ATCAA Early Childhood Services Programs are:
Early Head Start (center based and home based)
Head Start Preschool (center based and home based)
California State Preschool Program (center based)

We can be reached at
209.533.0361

427 N. Highway 49, Suite
305

Sonora, CA 95370

10590 HWY 88, Jackson,
CA 95642

209.223.1485

www.atcaa.org



Children explore “bike repair” with help from their teacher

OUR STAFF – Qualified, Dedicated and Caring

Our staff are knowledgeable and all have at least a child development permit and early childhood units. Teaching staff understand child development, and know the early learning standards, individual content areas, and proven methods of instruction.

In the 2021/2022 program year we also partnered with Columbia College’s Early Childhood Education Apprentice Program. Apprentice teachers were placed in our centers in Amador and Tuolumne County to get real life experience as they worked towards their degrees.

Staff Information for 2021/2022 Program Year

Total Number of Staff (EHS and HS)	62
Percent of Staff who are current or former Head Start Parents	35%
Percent of staff with a BA degree or higher	31%
Percent of staff with an AA degree	24%

Teacher Qualifications

Early Head Start	Total # staff	BA degree or higher	AA degree	Child Development Permit Only
Classroom Teachers	12	42%	25%	33%
Home Visitors	4	25%	50%	25%
Head Start				
Classroom Teachers	18	28%	39%	33%



PROGRAM VALUES

Addressing the whole child through developmentally appropriate practices

The value of play for learning and development

Valuing and teaching each child as an individual

Respecting and valuing linguistic and cultural diversity

The importance of healthy social and emotional development

Promoting relationships with families

Helping parents discover their leadership potential

Helping families set and reach personal goals to strengthen self-sufficiency.

Fostering a culture of health and wellness for Head Start children, families, and staff

HEALTH SERVICES AND EDUCATION

Health is an important part of our program and our curriculum. Children receive healthy breakfast, lunch and snacks during the day. Families are offered resources for food security, cooking demonstrations and opportunities to share their families' food traditions.

One of our goals is to help children understand concepts of health and safety. Examples include teaching children about hand washing, brushing teeth, covering cough, the value of exercise, and pedestrian safety. Parents also receive information about the importance of dental care and other health related topics.

Head Start Health Services Data

<i>Services to All Children at Beginning of Enrollment Year Compared to End of Enrollment Year (based on Cumulative Enrollment)</i>	<i># at Beginning of Enrollment Year</i>	<i>% at Beginning of Enrollment Year</i>	<i># at End of Enrollment Year</i>	<i>% at End of Enrollment Year</i>
Children with health insurance	118	75.2%	155	98.7%
Children with accessible health care	126	80.3%	156	99.4%
Children with up-to-date immunizations or all possible immunizations to date, or exempt	120	76.4%	153	97.5%
Children with accessible dental care	123	78.3%	154	98.1%

Early Head Start Health Services Data

<i>Services to All Children at Beginning of Enrollment Year Compared to End of Enrollment Year (based on Cumulative Enrollment)</i>	<i># at Beginning of Enrollment Year</i>	<i>% at Beginning of Enrollment Year</i>	<i># at End of Enrollment Year</i>	<i>% at End of Enrollment Year</i>
Children with health insurance	87	72.5%	111	92.5%
Children with accessible health care	91	75.8%	113	94.2%
Children with up-to-date immunizations or all possible immunizations to date, or exempt	76	63.3%	93	77.5%
Children with accessible dental care	81	67.5%	101	84.2%

"I just want to say thank you for this great program. This program is not just a day care, it's way more than that. This program focuses on the whole family. It prepares our children with their learning development and it also pushes parents to meet their family and personal goals."

Head Start Parent

PARTNERING WITH PARENTS TO HELP CHILDREN BE READY FOR SCHOOL SUCCESS



Meals are served “family style” and children are encouraged to learn how to serve themselves.

Parents, guardians and family members are partners with us to make sure that each child is ready to be successful in school.

In Head Start’s approach to school readiness, not only are children ready for school, but families are ready to support their children’s learning as well. Head Start recognizes that parents are their children’s primary teachers and advocates. For our parents and families, school readiness means they are engaged in the long-term success of their children. Therefore, parents play a critical role in helping ATCAA Early Head Start and Head Start define and implement our program goals.

To help children learn in the most effective ways, we partner with their families to develop meaningful learning goals that are individualized for each child. We also build classroom and home-based learning experiences around children’s interests and ensure that those experiences include concept exploration in several key areas including social/emotional, language and early literacy, mathematics and science.

At enrollment, we assess families’ needs and each parent/guardian works with staff to create goals for the family or for themselves. Staff support families in finding resources and achieving their goals. In 2021/2022 every family enrolled received at least one family service. Services included: Parenting education, assistance in accessing community services/resources and enrolling in educational and/or job training programs, and many more.

School Readiness Goals are developed in partnership with parents and are also based on input from kindergarten teachers and assessment data using the Desired Results Developmental Profile (DRDP) pre and post data. Following are some of the goals for preschoolers for the 21/22 program year.

Children will demonstrate increased ability in a variety of math concepts, including:

- knowing and naming shapes
- expanding their understanding of measurable properties such as length and weight
- increasing their ability to recognize, reproduce, and create various patterns
- knowing and using the names of numbers when counting
- counting larger sets of objects

Children will improve their conflict resolution skills and empathy.

Children will demonstrate initiative and independence.

Children will persist in tasks even when challenging or difficult.

Children will start to learn that language is made up of smaller units of sound. They will learn about letter sounds and start to learn how to recognize and create rhymes.

Children will begin to develop word and letter knowledge and will understand the purpose and conventions of printed materials.



Parent/Guardian Leadership and Involvement

Parents and Guardians of currently enrolled children are eligible to be elected as voting members of the ATCAA Head Start Policy Council. Representatives are elected from each Head Start and Early Head Start center as well as each county's home-based program. Rounding out membership are a representative from the ATCAA Board and community partners.

The Policy Council has at least 10 monthly meetings each year. The Policy Council is responsible for reviewing and approving the annual budget, the hiring or firing of the Head Start Director, Enrollment Selection Criteria, the five year Strategic Plan and School Readiness Goals. They also receive program data and reports from service area managers on a regular basis.

Parents/Guardians also have opportunities to help with staff hiring by sitting on interview panels.

Each center and home-based program has individual meetings where parents/guardians give input into curriculum, menus and family activities. In our 2021/2022 program year parents were not allowed in our classrooms due to concerns about COVID. But, parents still managed to volunteer by helping with gardens, materials preparation and bring supplies.

We are so grateful for the time and energy Policy Council Members and Parents/Guardians provide to help us with our goal of continuous program improvement.

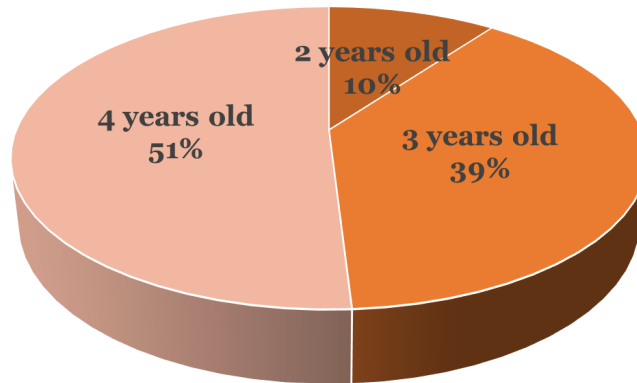


The staff at Early Head Start have been so amazing in assisting my family as a whole. They are friendly, knowledgeable, and respectful. My family's expectations have been surpassed!

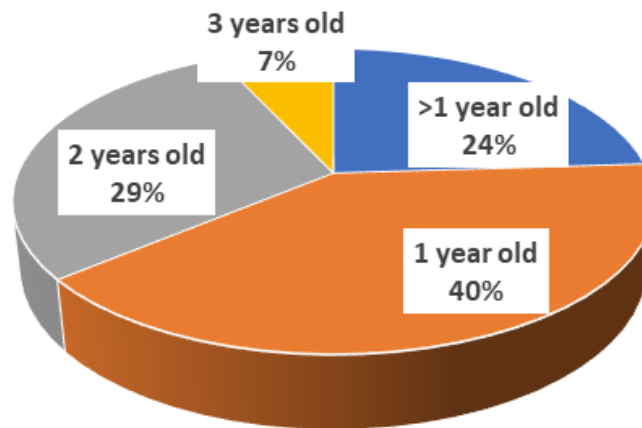
Early Head Start parent

PROGRAM ENROLLMENT FOR 2021/2022

Head Start Enrollment by Age
funded enrollment = 146
cumulative enrollment = 157



Early Head Start Enrollment by Age
funded enrollment = 87
cumulative Enrollment = 120



Head Start centers serve 18-20 children per site in 6 centers. In addition, a few children are served through our home visiting program. Early Head Start centers serve 47 children in 4 centers (3 centers serve 12 toddlers and 1 center serves 8 toddlers and 3 infants). Another 30 children are served through our home visiting program. Early Head Start also serves up to 10 pregnant women each year.

HEAD START WORKS!

National studies show that children enrolled in Early Head Start and Head Start:

Have greater access to health care, are more likely to receive timely immunization, and are less likely to be hospitalized for accident or injury.

Are less aggressive and display significantly fewer behavioral problems.

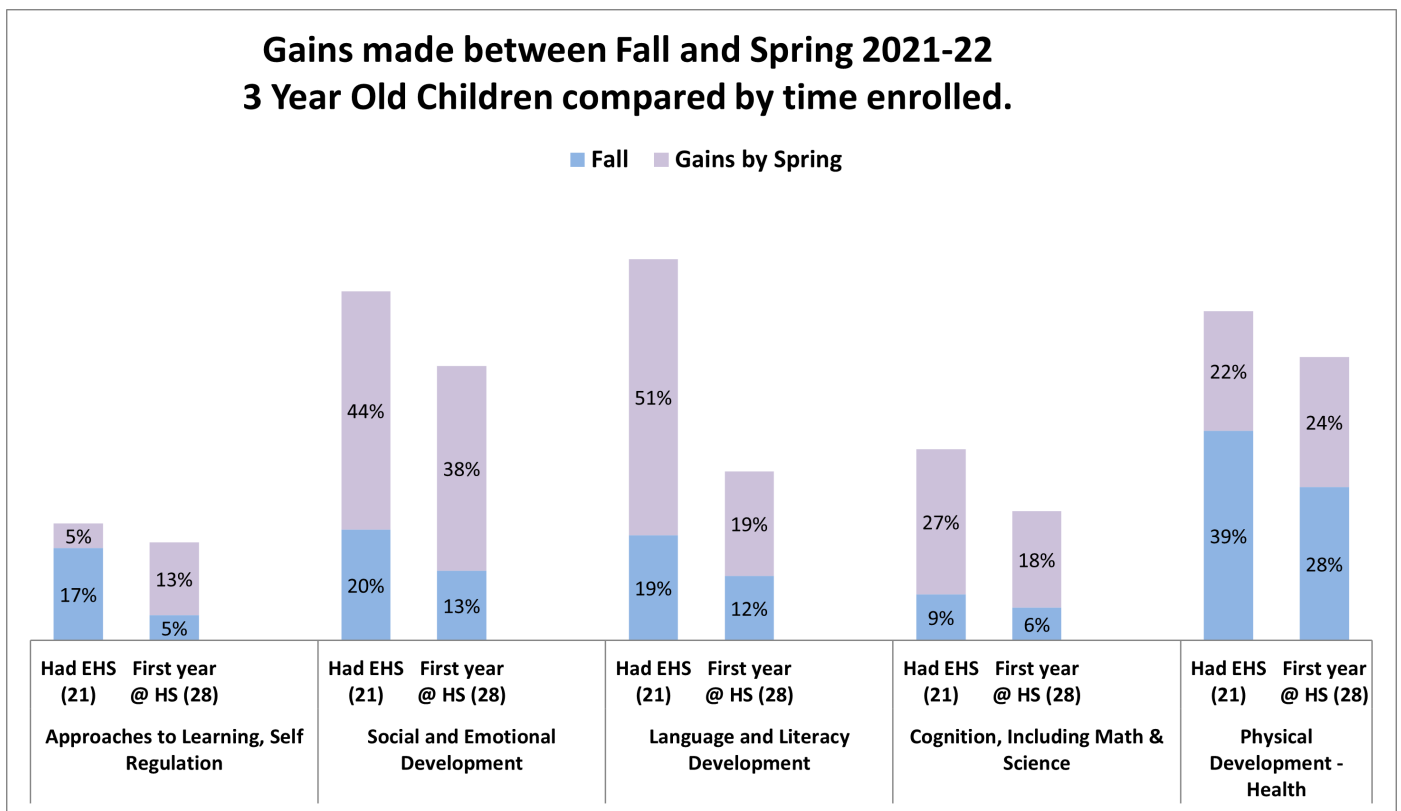
Have greater brain development, cognition, and receptive language skills on standardized assessments.

Pay better attention in school, engage in learning, and have positive relationships with parents, teachers, and peers.

Have enhanced physical health, improved social skills, and increased math, language, and literacy skills that better prepare them for kindergarten and school.

Parents in Head Start are more engaged in supporting their children’s learning and success at home and in school.

The chart below shows that children who had Early Head Start before they entered preschool started with more skills compared to children who did not attend Early Head Start.



Center Locations and Phone Numbers

In Amador County:

Jackson Head Start/State Preschool and Early Head Start

151 Shopping Dr. Jackson
(209) 223-7333

Ione Head Start/State Preschool and Early Head Start

108 W. Marlette St., Ione
(209) 274-0395

In Tuolumne County:

Blue Bell Head Start/State Preschool/Early Head Start

18080 Blue Bell East, Sonora
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Jamestown Head Start/State Preschool

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Jamestown Early Head Start

10550 Seventh Street, Jamestown
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Soulsbyville Head Start/State Preschool

20300 Soulsbyville Road, Soulsbyville
(209) 533-3143

Summerville Head Start/State Preschool

18451 Carter Street, Tuolumne
(209) 928-3651

Our home visiting program is available in both counties.

For information about enrollment, please call us at 209. 533.0361



To find out more and to find an online application please visit us at www.atcaa.org

ATCAA Vision Statement

Our vision is for residents in our community to be self-reliant, healthy, free from economic hardship, feeling sustained by the support of community and family, and able to achieve their maximum potential as engaged citizens.

ATCAA Mission Statement

- To help individuals in Amador and Tuolumne counties toward self-sufficiency.
- To assist local residents in becoming involved and contributing members of our community.
- To promote family and other supportive environments so that children, youth and elders can achieve their maximum potential.
- And, finally, to form partnerships and coalitions within the community to meet these needs.

ATCAA non-discrimination policy: No person shall be discriminated against due to age, color, religion, gender, marital status, ancestry, medical condition, physical or mental health disability, citizenship or any other consideration made unlawful by state, federal or local laws.



Head Start Program Leadership Responsibilities

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
- Create procedures for accessing and collecting information
- Develop written standards of conduct
- Establish 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

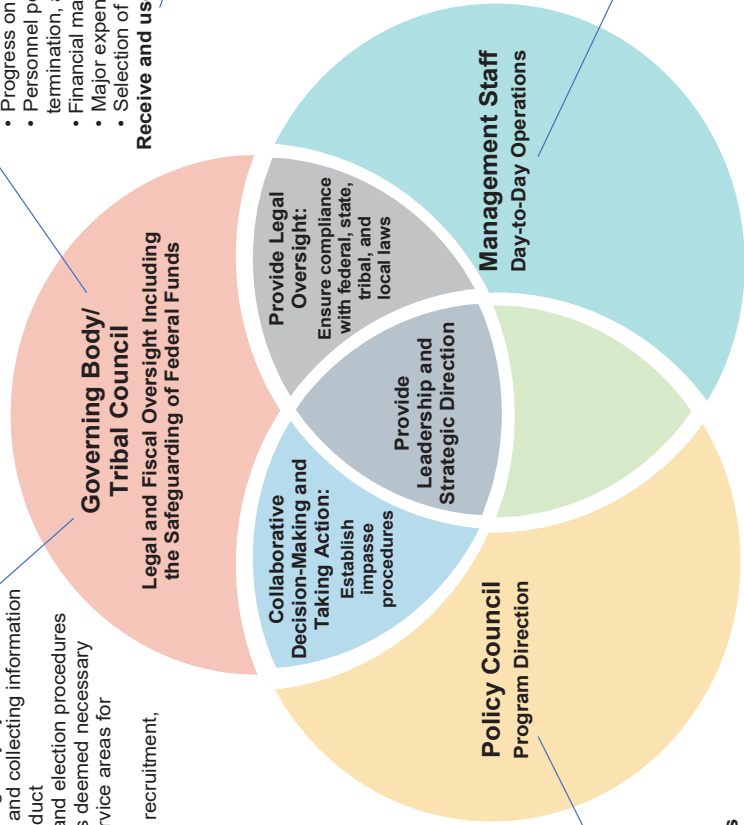
Operational Reports:

- 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)

Approve and submit to the governing body:

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

Receive and use operational reports



Key responsibilities:

- Develop and implement policies and procedures
- Provide training and technical assistance to governing body/Tribal Council, Policy Council, staff, and volunteers
- Provide ongoing supervision of staff and budget to ensure compliance and continuity of care
- Oversee continuous quality improvement
- Oversee management and protection of 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/Tribal Council, and HHS (as appropriate)

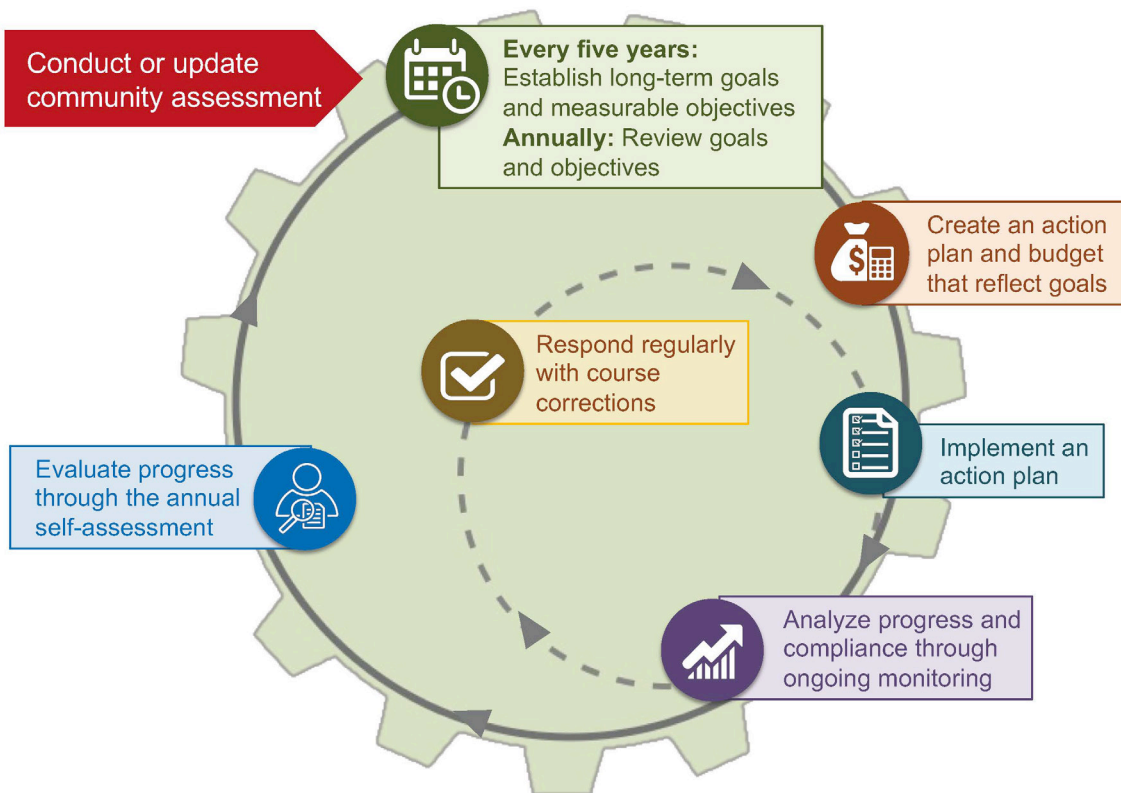


Program Planning in Head Start: The Program Planning Cycle

Thoughtful planning is key to successful programming and to the achievement of desired outcomes. The Head Start Program Planning Cycle outlines how the required Head Start management systems are interrelated parts of a predictable planning process. Through this process, programs develop goals, objectives, and expected outcomes. They monitor and evaluate progress toward their program goals, which include school readiness goals. In this document, references to long-term goals are inclusive of all program goals. Programs also ensure compliance with the Head Start Program Performance Standards (HSPPS).

The Program Planning Cycle depicts an ongoing sequence of planning, implementation, and evaluation. It promotes continuous quality improvement and allows programs to work toward the achievement of positive outcomes for children and families. Many of the steps happen repeatedly throughout the cycle, and the cycle itself is repeated throughout the five-year project period.

The Program Planning Cycle



To learn more about the process, follow the arrows clockwise around the planning cycle. Review a list of the steps and a brief description of each below.

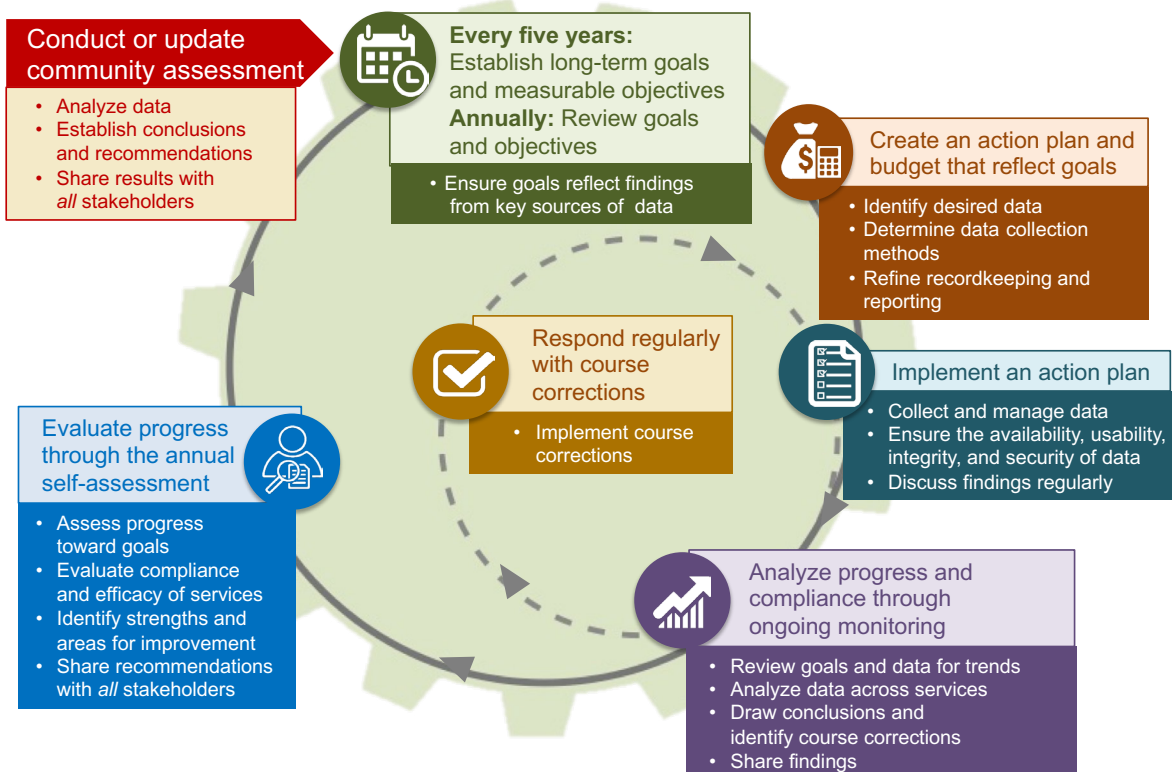
1. Begin with either **community assessment** or **self-assessment** (see red arrow above).
 - **New programs** begin with a community assessment. They collect and analyze data about the needs and resources of eligible families, the program, and the community within the service area to inform the goal-setting process.
 - **Existing programs** may begin the process with self-assessment. They take a fresh look at updated community assessment, ongoing monitoring, and other relevant data to make recommendations for program planning and goal-setting.
2. For their baseline grant applications, programs identify the long-term goals they will accomplish during the **five-year project period**. They also identify initial specific, measurable, attainable, relevant, and timely (SMART) **objectives** linked to **expected outcomes**. During their **annual** planning process, programs review their long-term goals and objectives, along with community assessment and self-assessment data, and make any necessary programming adjustments. They continue to break down their goals into measurable objectives linked to expected outcomes.
3. Programs develop an annual **action plan**, which is a defined set of steps outlining what a program will do to accomplish its goals and objectives. The action plan is supported by a budget that is aligned with the goals and objectives. Through the **data and evaluation system**, the program decides which data will be collected to measure progress and determine impact.
4. While **implementing its plan**, the program collects data through its **technology and information systems** and manages it through its **recordkeeping and reporting system**.
5. The program continually evaluates progress toward its goals and objectives and compliance with the HSPPS by reviewing data gathered through the system of **ongoing monitoring and continuous improvement**. Effective ongoing monitoring enables programs to track progress toward their goals and objectives, ensure compliance, and collect data to inform continuous improvement.

6. Based on ongoing monitoring results, programs may continue to implement their **action plan** as written, change the plan to **replicate best practices**, or make **course corrections** that may require changes in program activities or levels of effort. Following up to determine the efficacy of the course corrections is critical.
7. Finally, the program comes full circle to the annual **self-assessment**. In this step, the self-assessment team uses its ongoing monitoring, community assessment, and other relevant data (e.g., child assessment, professional development, and family engagement data, as appropriate) to assess the program’s progress in achieving its goals, objectives, and expected outcomes. The team also evaluates the program’s compliance with federal requirements.

Two more elements are essential throughout the planning process:

- Effective use of data that support a coordinated approach to service delivery
- Communication with appropriate stakeholders at each step

Integrating Data into Program Planning Systems



The Integrating Data into Planning Systems graphic above shows how the use of data is integrated into each step of the planning cycle. Below is a list of the steps in the planning cycle, along with the data activities that occur at each step.

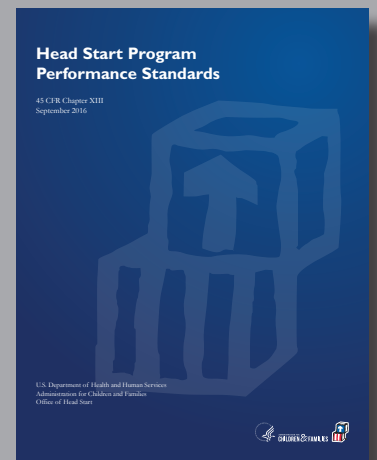
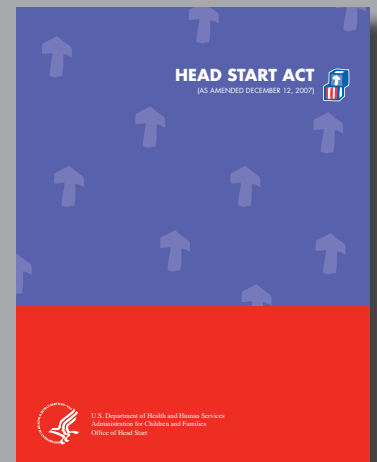
- **Evaluate progress through the annual self-assessment (new programs begin with community assessment)**
 - Assess annual progress toward goals and objectives
 - Evaluate compliance and the efficacy of services
 - Identify strengths and areas for improvement
 - Share recommendations with all stakeholders
- **Conduct or update community assessment**
 - Analyze data
 - Establish conclusions and programming recommendations
 - Share results with all stakeholders
- **Every five years: Establish long-term goals and measurable objectives**
- **Annually: Review goals and objectives**
 - Ensure goals reflect conclusions from key data sources (e.g., community assessment, self-assessment, child outcomes, professional development, and family engagement data)
- **Create an action plan and budget that reflect goals**
 - Identify desired data
 - Determine data-collection methodologies
 - Refine recordkeeping and reporting systems
- **Implement an action plan**
 - Collect and manage data
 - Ensure the availability, usability, integrity, and security of data
 - Discuss findings regularly
- **Analyze progress and compliance through ongoing monitoring**
 - Review goals and data for trends
 - Analyze data across services
 - Draw conclusions and identify course corrections
 - Share findings with internal stakeholders

- **Respond regularly with course corrections, as required**
 - Implement course corrections
 - Review corrections to monitor the efficacy of the change
 - Communicate data findings and next steps to internal stakeholders





Head Start Program Governance *Reference Book*



NATIONAL CENTER ON
Program Management and Fiscal Operations

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(iii) Not less than 1 member shall be a licensed attorney familiar with issues that come before the governing body.

(iv) Additional members shall—

(I) reflect the community to be served and include parents of children who are currently, or were formerly, enrolled in Head Start programs; and

(II) are selected for their expertise in education, business administration, or community affairs.

(v) Exceptions shall be made to the requirements of clauses (i) through (iv) for members of a governing body when those members oversee a public entity and are selected to their positions with the public entity by public election or political appointment.

(vi) If a person described in clause (i), (ii), or (iii) is not available to serve as a member of the governing body, the governing body shall use a consultant, or another individual with relevant expertise, with the qualifications described in that clause, who shall work directly with the governing body.

(C) **Conflict of Interest** – Members of the governing body shall:

(i) not have a financial conflict of interest with the Head Start agency (including any delegate agency);

(ii) not receive compensation for serving on the governing body or for providing services to the Head Start agency;

(iii) not be employed, nor shall members of their immediate family be employed, by the Head Start agency (including any delegate agency); and

(iv) operate as an entity independent of staff employed by the Head Start agency.

(D) **Exception** – If an individual holds a position as a result of public election or political appointment, and such position carries with it a concurrent appointment to serve as a member of a Head Start agency governing body, and such individual has any conflict of interest described in clause (ii) or (iii) of subparagraph (C)–



- (bb)** such agency’s progress in carrying out the programmatic and fiscal provisions in such agency’s grant application, including implementation of corrective actions; and
- (cc)** personnel policies of such agencies regarding the hiring, evaluation, termination, and compensation of agency employees;
- (VI)** developing procedures for how members of the policy council are selected, consistent with paragraph(2)(B);
- (VII)** approving financial management, accounting, and reporting policies, and compliance with laws and regulations related to financial statements, including the –
 - (aa)** approval of all major financial expenditures of the agency;
 - (bb)** annual approval of the operating budget;
 - (cc)** selection (except when a financial auditor is assigned by the State under State law or is assigned under local law) of independent financial auditors who shall report all critical accounting policies and practices to the governing body; and
 - (dd)** monitoring of the agency’s actions to correct any audit findings and of other actions necessary to comply with applicable laws (including regulations) governing financial statements and accounting practices;
- (VIII)** reviewing results from monitoring conducted under section 641A(c) including appropriate follow-up activities;

Governance Readiness Assessment

Introduction

Governance provides the framework and structure within which organizations operate. It guides decisions, communications, and operational oversight. It is important that strong governance processes are in place and that the right people are members of governing bodies/Tribal Councils in order to obtain successful organizational outcomes.

Committed governing bodies and Tribal Councils must understand and faithfully implement their roles as leaders and fiduciary agents. Their guidance helps to ensure Head Start and Early Head Start programs are successful in delivering high-quality, consistent services to pregnant women, young children, and their families. To ensure success, Congress charges governing bodies/Tribal Councils of organizations that operate Head Start and Early Head Start programs to:

- Include members with particular expertise
- Exercise specific oversight and leadership functions
- Create a governance system that includes an active role for the Policy Council, whose membership includes parents of enrolled children and community representatives

This Governance Readiness Assessment will help governing bodies/Tribal Councils and leaders assess their capacity to effectively oversee and monitor a Head Start or Early Head Start program. It will also assist in the development of a Governance Readiness Plan. This tool identifies the Head Start Program Performance Standards (HSPPS) and Head Start Act requirements related to governance practices. It also outlines governing body/Tribal Council practices that are particularly relevant to the leadership and oversight of a Head Start or Early Head Start program.

The Governance Readiness Assessment includes three sections:

Section 1: Compliance Checklist

Use the checklist to assess whether your program is in compliance with the HSPPS related to governance. Although it is not specific enough to be the only resource you use to fully evaluate compliance, it will help you identify areas of program governance you wish to strengthen. Please see the [Governance, Leadership, and Oversight Capacity Screener](#) for more detailed reference to legislative and regulatory requirements.

Section 2: Indicators Assessment

Review recognized best practices for organizational governance. Governing body and Tribal Council members can use the worksheet provided to assess their governance practices. While some of the details in the indicators are not governance requirements referenced in the HSPPS, Head Start and Early Head Start grantees will benefit from

considering these indicators. They will help governing boards demonstrate an ability to oversee grantees' operations.

Section 3: Governance Readiness Plan

Explore forms that can be used to summarize your findings and document a plan that can be implemented to strengthen governance practices within your program. Completing your Governance Readiness Plan is the first step toward strengthening your organization's governing body or Tribal Council. It is equally important to regularly monitor progress in implementing your plan.

There are several ways the Governance Readiness Assessment can be used within programs. The governing body/Tribal Council chairperson and executive director may want to work in partnership to lead this process. They can:

- Include the Governance Readiness Assessment as an action item on an upcoming meeting agenda, reserving adequate time for a full group discussion
- Share the tool with individual governing body/Tribal Council members, requesting that they consider their responses to each of the indicators in preparation for the next meeting.

Governing bodies and Tribal Councils overseeing large organizations may choose to assign the responsibility for completing the tool to a committee that can report its findings and recommendations back to the entire group.

Some governing body/Tribal Council members may seek additional information about governance practices as they complete their assessment and develop the Governance Readiness Plan. Below is a list of selected websites that contain a variety of nonprofit governance resources:

Resource	Description
Blue Avocado	Provides practical information and insights that are easy to implement and can improve your effectiveness and that of your organization. It is the online magazine of the Nonprofits Insurance Alliance.
Board Source	Offers fundamental assessment-based support to nonprofit boards and executives. It provides a wide range of tools, seminars, best practice resources, and guidance to strengthen board performance.
GrantSpace	Provides easy-to-use self-service tools. Its "Tools" section includes resources on bylaws and additional materials for nonprofit governance. GrantSpace is a service of Foundation Center.

Early Childhood Learning and Knowledge Center (ECLKC)	<p>The official website of the Office of Head Start (OHS). It provides resources and information about Head Start and Early Head Start programs, including governance practices and regulations.</p>
National Council of Nonprofits	<p>Produces and curates tools, resources, and samples for nonprofits.</p>
The Bridgespan Group	<p>A consulting firm that provides strategy consulting and leadership development. They post many articles and resources on their site related to leadership and governance. Review materials under "Insights" to get started.</p>

Additional important resources include your regional program specialist and the OHS Training and Technical Assistance (T/TA) Network.

Section 1: Compliance Checklist

Both the Head Start Act and the HSPPS set forth governance requirements with which every Head Start and Early Head Start grantee must comply. Reference the [Head Start Program Governance Reference Book](#) for a complete listing of these requirements.

The Compliance Checklist may be used to assess your program's level of compliance with the governance requirements found in the Head Start Act and the HSPPS.

To complete the Compliance Checklist:

1. Review each requirement summary statement. Links to the original language in the Head Start Act and the HSPPS are included.
2. Assess whether you believe your program to be in compliance with the standard and place a checkmark in the appropriate column. You may add notes indicating why you selected your response or questions that require follow-up.
3. Use the completed checklist as a basis for discussion by the full governing board. A summary of the assessment responses can be listed on the summary page of the Governance Readiness Plan (pg. 21).
4. All requirements identified as not being met should be included in your program's Governance Readiness Plan: Action Steps for Areas of Compliance (pg. 22).

A. Overall Structure	
<p>45 CFR §1301.1 45 CFR §1301.3(a)</p> <p>A governing body/Tribal Council, a Policy Council (at agency level), a Policy Committee (at delegate level), and a parent committee have been established and maintained:</p> <ul style="list-style-type: none"> • The governing body/Tribal Council is responsible for the legal and fiscal administration and oversight of the Head Start and Early Head Start programs • The Policy Council/Policy Committee is responsible for the direction of the Head Start and Early Head Start programs 	<p><input type="radio"/> Yes <input type="radio"/> No <input type="radio"/> Don't Know</p> <p>Notes:</p>
<p>45 CFR §1301.5</p> <p>The agency provides T/TA and orientation to the governing body/Tribal Council, any advisory committee members, and members of the Policy Council or Policy Committee, including training on HSPPS and on program eligibility.</p>	<p><input type="radio"/> Yes <input type="radio"/> No <input type="radio"/> Don't Know</p> <p>Notes:</p>
B. Governing Body/Tribal Council	
<p>45 CFR §1301.2(a) Sec. 642(c)(1)(B)(i-vi)</p> <p>The governing body/Tribal Council includes:</p> <ul style="list-style-type: none"> • At least one person with a background and expertise in fiscal management or accounting • At least one person with a background and expertise in early childhood education and development • At least one person who is a licensed attorney familiar with issues that come before the governing body/Tribal Council • Members who reflect the community to be served—including parents of children who are currently or were formerly enrolled in Head Start—and who have expertise in education, business administration, or community affairs 	<p><input type="radio"/> Yes <input type="radio"/> No <input type="radio"/> Don't Know</p> <p>Notes:</p>

<p>45 CFR §1301.2(a) Sec. 642(c)(1)(C)(i-iv) and (D)(i-ii)</p> <p>Members of the governing body/Tribal Council:</p> <ul style="list-style-type: none"> • Have no financial conflict of interest with the grantee or delegate • Do not receive compensation for serving on the governing body/Tribal Council or providing services to the grantee • Are not employed by the grantee or delegate • Operate as an entity, independent of staff employed by the grantee 	<p><input type="radio"/> Yes <input type="radio"/> No <input type="radio"/> Don't Know</p> <p>Notes:</p>
<p>45 CFR §1301.2(b)(1) Sec. 642(c)(1)(E)(i-iii) 45 CFR §1301.6</p> <p>The governing body/Tribal Council:</p> <ul style="list-style-type: none"> • Meets legal and financial responsibilities for overseeing programs and safeguarding federal funds • Has practices to assure active, independent, and informed governance, including impasse policies • Fully participates in the development, planning, and evaluation of the programs • Ensures compliance with federal, state, tribal, and local laws and regulations 	<p><input type="radio"/> Yes <input type="radio"/> No <input type="radio"/> Don't Know</p> <p>Notes:</p>
<p>45 CFR §1301.2(b)(1) and (c)(1-2) Sec. 642(c)(1)(E)(iv)(I-III), (VI), and (XI-X)</p> <p>The governing body/Tribal Council is responsible for:</p> <ul style="list-style-type: none"> • Establishing procedures and criteria for recruitment, selection, and enrollment of children • Reviewing applications and amendments for funding • Developing procedures regarding Policy Council member selection • Establishing advisory committees, as practicable and appropriate • Selecting delegate agencies and their service areas, if appropriate • Establishing, adopting, and periodically updating written standards of conduct that establish criteria and formal procedures for disclosing, addressing, and resolving: 	<p><input type="radio"/> Yes <input type="radio"/> No <input type="radio"/> Don't Know</p> <p>Notes:</p>

<ul style="list-style-type: none"> ○ Any conflict of interest—or any appearance of a conflict of interest—by members of the governing body/Tribal Council, officers and employees of the Head Start agency, and consultants and agents who provide services or furnish goods to the Head Start agency ○ Complaints, including investigations, when appropriate 	
<p>45 CFR §1301.2(b)(1) Sec. 642(c)(1)(E)(iv)(VII)</p> <p>The governing body/Tribal Council approves financial management, accounting, and reporting policies and monitors compliance and corrective actions, including those related to major financial expenditures, annual approval of the operating budget, and selection of independent auditor (unless one is assigned by law).</p>	<p><input type="radio"/> Yes <input type="radio"/> No <input type="radio"/> Don't Know</p> <p>Notes:</p>
<p>45 CFR §1301.2(b)(2) 45 CFR §1302.102(c)(2)</p> <p>To conduct its responsibilities, the governing body/Tribal Council uses:</p> <ul style="list-style-type: none"> ● Ongoing monitoring results ● Data on school readiness goals ● Strategic long-term goals ● Goals for the provision of educational, health, nutritional, and family and community engagement services ● Program data on teaching practice, staffing and professional development, child-level assessments, family needs assessments, and comprehensive services 	<p><input type="radio"/> Yes <input type="radio"/> No <input type="radio"/> Don't Know</p> <p>Notes:</p>
<p>C. Policy Council (Agency level) and Policy Committee (Delegate level)</p>	
<p>45 CFR §1301.3(a–b) Sec. 642(c)(2)(B–C)</p> <p>The Policy Council or Policy Committee:</p> <ul style="list-style-type: none"> ● Is established as early in the program year as possible ● Includes persons elected by parents of currently enrolled children ● Includes parents of currently enrolled children as the majority of members, and they proportionately represent each program option 	<p><input type="radio"/> Yes <input type="radio"/> No <input type="radio"/> Don't Know</p> <p>Notes:</p>

<ul style="list-style-type: none"> Ensures members do not have a conflict of interest, are not program staff (except for those who occasionally substitute as staff), and do not receive compensation for serving on the Policy Council or Policy Committee 	
<p>45 CFR §1301.3(C)(1) Sec. 642(c)(2)(D)</p> <p>The Policy Council or Policy Committee approves and submits to the governing body/Tribal Council decisions about:</p> <ul style="list-style-type: none"> Activities to support parent engagement in program operations Program recruitment, selection, and enrollment priorities Applications and amendments for funding Budget planning for program expenditures, including policies for reimbursement and participation in Policy Council activities Bylaws for the operation of the Policy Council Program personnel policies, decisions regarding program staff employment and dismissal, and standards of conduct for program staff, contractors, and volunteers Procedures for electing Policy Council and Policy Committee members Recommendations on the selection of delegate agencies and their service areas 	<p><input type="radio"/> Yes <input type="radio"/> No <input type="radio"/> Don't Know</p> <p>Notes:</p>
<p>45 CFR §1301.3(d)(1-4)</p> <p>The Policy Council and Policy Committee have identified that:</p> <ul style="list-style-type: none"> Terms are for one year Re-elections must take place if a member intends to serve for another year The number of one-year terms allowed are included in bylaws In no case may a person serve for more than five terms A successor Policy Council (at agency level) or Policy Committee (at delegate level) must be seated before the Policy Council or Policy Committee can be dissolved 	<p><input type="radio"/> Yes <input type="radio"/> No <input type="radio"/> Don't Know</p> <p>Notes:</p>

D. Governing Body/Tribal Council and the Policy Council

[45 CFR §1301.2 \(b\)\(1\)](#)
[45 CFR §1301.3\(c\)\(2\)](#)
[Sec. 642\(c\)\(1\)\(E\)\(iv\)\(IV and VIII\) and \(d\)\(2\)](#)

Yes No Don't Know

Notes:

The governing body/Tribal Council and the Policy Council or Policy Committee have each established procedures and guidelines for accessing and collecting information from:

- Monthly financial statements, including credit card statements
- Monthly program information summaries
- Program enrollment reports, including attendance reports
- Monthly meal and snack reports
- Financial audit
- Annual self-assessment and findings
- Community and needs assessments
- Communication and guidance from U.S. Secretary of the Department of Health and Human Services
- Program information reports
- Monitoring results and appropriate follow-up activities
- Ongoing monitoring results
- Data on school readiness goals

[45 CFR §1301.2\(b\)\(1\)](#)
[45 CFR §1301.3\(c\)\(2\)](#)
[Sec. 642\(c\)\(1\)\(E\)\(iv\)\(V and IX\) and \(d\)\(2\)](#)

Yes No Don't Know

Notes:

The governing body/Tribal Council and the Policy Council or Policy Committee each review and approve all major policies, including:

- Annual self-assessment
- Annual financial audit
- Program progress carrying out programmatic and fiscal provisions in the grant application
- Implementation of corrective actions
- Personnel policies regarding hiring, evaluation, termination, and compensation of employees, including the executive director, Head Start director, director of human resources, and chief fiscal officer

<p>45 CFR §1301.6</p> <p>Together, the governing body/Tribal Council and the Policy Council have established written procedures for resolving internal disputes between the groups, which include impasse procedures.</p>	<p> <input type="radio"/> Yes <input type="radio"/> No <input type="radio"/> Don't Know </p> <p>Notes:</p>
<p>E. Parent Committee</p>	
<p>45 CFR §1301.4</p> <p>As early in the year as possible, a parent committee comprised exclusively of parents of currently enrolled children has been established at the center level for center-based programs and at the local level for other program options. It:</p> <ul style="list-style-type: none"> • Advises staff about local program policies, activities, and services • Communicates with the Policy Council or Policy Committee • Participates in the recruitment and screening of employees per guidelines established by the governing body/Tribal Council, Policy Council and Policy Committee 	<p> <input type="radio"/> Yes <input type="radio"/> No <input type="radio"/> Don't Know </p> <p>Notes:</p>

Section 2: Indicators Worksheet

It is critical to determine if your program is in compliance with the requirements of the Head Start Act and HSPPS. However, it is also important to review whether you have systems and practices in place that will position your program's governing body/Tribal Council to provide the legal, programmatic, and fiscal oversight required. Understanding how to best provide oversight to an organization can be a complex task, especially for those who have not been involved in program governance previously. In this section, 15 indicators of high-functioning governing bodies/Tribal Councils have been identified. These will help as you assess your program's level of readiness and inclusion of best practices related to program governance. The indicators are divided into six categories:



Structural

Head Start and Early Head Start programs must ensure the structural components of their governing body/Tribal Council meet regulations and support best practices.



Fiduciary

Head Start and Early Head Start programs must ensure strong systems are in place for exercising their fiduciary responsibilities.



Strategic Direction

Governing bodies/Tribal Councils must provide strategic direction to Head Start and Early Head Start programs, including successfully engaging the management team and Policy Council in a strategic planning process.



Leadership

In accepting funding for Head Start and Early Head Start programs, governing bodies/Tribal Councils agree to provide leadership to the program as a whole, as well as to Head Start staff and parent leaders. Governing bodies/Tribal Councils also recognize the important relationship between themselves and the Policy Council and their shared leadership responsibilities.



Community Relations

In accepting funding for Head Start and Early Head Start programs, governing bodies/Tribal Councils agree to work with program leaders to develop links with the community that the program serves.



Decision-making

Head Start and Early Head Start programs must establish a Policy Council (at agency level) or Policy Committee (at delegate level) whose members include parents of children currently enrolled in the program and community representatives. The governing body/Tribal Council must actively engage this group in program decision-making.



Complete the Indicators Worksheet.

1. Ask governing body/Tribal Council members and organizational leaders to take stock of each indicator by reviewing the questions that characterize effective governance practices, and considering other related issues. Personal experiences as well as knowledge of written documents should be considered.
2. Arrange time for governing body/Tribal Council members and organizational leaders to come together and share their thoughts to determine which stage of development best describes their progress in each area. A summary of the assessment responses can be listed on the summary page of the Governance Readiness Plan (pg. 21).
3. Review all requirements identified as "needs improvement" or "in process." These should be considered for inclusion in your program's Governance Readiness Plan Action Steps (pg. 22).



STRUCTURAL

Review five indicators programs should consider when assessing the structural strengths of their governance readiness: (S1) Bylaws, (S2) Major policies, (S3) Measuring governing body/Tribal Council performance, (S4) Membership, and (S5) Orientation and training.

Indicator S1: Bylaws

Bylaws can be helpful to any organization. They are written rules that govern the operation and management of the organization.

Take Stock

- Does the governing body/Tribal Council adhere to a set of bylaws that members regularly review and update?
- Do all governing body/Tribal Council members have a copy of the current bylaws?
- Do the bylaws:
 - Indicate when they were last updated
 - Outline the qualifications of members
 - Clearly delineate the roles and responsibilities of members
 - Establish a functional committee structure
 - Include policies that define expectations for attendance and membership on committees
 - Include an annual calendar of activity?

Select one of the following stages of development for this indicator.

- Needs Improvement
- In Process
- Strong

Provide comments explaining what led to your conclusion.

<ul style="list-style-type: none"> • Do governing body/Tribal Council members regularly reference the bylaws during meetings to clarify how the governing body/Tribal Council is expected to function? • Does the governing body/Tribal Council have a system for regularly reviewing and updating the bylaws? 	
<p>Indicator S2: Major Policies</p> <p>All organizations need some standard policies in order to guide decisions and actions. Among those that Head Start and Early Head Start grantees will want to consider are a conflict of interest policy, personnel policies, and having a formal process for employees and consumers to report complaints without retaliation. The HSPPS references conflict of interest in 45 CFR §1301.2 and 45 CFR §1301.3, and personnel policies in 45 CFR §1302.90.</p> <p>Take Stock</p> <ul style="list-style-type: none"> • Are there policies related to conflict of interest? • Are personnel policies in place? • Is there a formal process for employees and consumers to report complaints without retaliation? • Are each of the policies identified above current and easy to locate? • Are these and other policies referenced during meetings to provide guidance to the organization and governing body/Tribal Council during their decision-making processes? 	<p>Select one of the following stages of development for this indicator.</p> <p><input type="radio"/> Needs Improvement</p> <p><input type="radio"/> In Process</p> <p><input type="radio"/> Strong</p> <p>Provide comments explaining what led to your conclusion.</p>
<p>Indicator S3: Measuring Governing Body/Tribal Council Performance</p> <p>It is important that the governing body/Tribal Council take time to objectively look at its own effectiveness. The governing body/Tribal Council will need systems for measuring its own performance, evaluating the engagement of individual members, and using the results to strengthen the governance system.</p> <p>Take Stock</p> <ul style="list-style-type: none"> • Are the governing body/Tribal Council chair, other members, and the organization's director committed to continually improving the governance system? 	<p>Select one of the following stages of development for this indicator.</p> <p><input type="radio"/> Needs Improvement</p> <p><input type="radio"/> In Process</p> <p><input type="radio"/> Strong</p> <p>Provide comments explaining what led to your conclusion.</p>

<ul style="list-style-type: none"> • Has the governing body/Tribal Council measured its own performance, documented the results, and used the results to make improvements? • Are governing body/Tribal Council members able to recall their individual evaluations; do some members report they have increased their level of engagement as a result? • Are governing body/Tribal Council members aware of tipoffs that indicate the need for evaluating governance policies and practices, such as: <ul style="list-style-type: none"> ○ Spotty attendance or lack of quorum ○ Late arrivals and early departures at meetings ○ Lack of preparation for meetings ○ Meetings that reflect micromanagement rather than strategic focus? 	
<p>Indicator S4: Membership</p> <p>A highly effective governing body/Tribal Council recruits diverse and qualified members whose experience and expertise align with its responsibilities and ensure the community served is adequately represented. The Head Start Act and HSPPS identify required membership on the governing body/Tribal Council, Policy Council (at agency level) and Policy Committee (at grantee level), and the parent committee: Sec. 642(c)(1)(B) and (c)(2)(B–C), 45 CFR §1301.2(a), 45 CFR §1301.3 (a–b), and 45 CFR §1301.4</p> <p>Take Stock</p> <ul style="list-style-type: none"> • Do the bylaws describe specific qualifications that are sought when recruiting governing body/Tribal Council members to fill vacancies? • Does the governing body/Tribal Council have a nominating committee that has been successful in recruiting qualified members? • Does the governing body/Tribal Council include members with different areas of expertise that align with key governing body responsibilities as well as members who represent the community served? • Is the governing body/Tribal Council prepared to change its membership in accordance with the Head Start Act? 	<p>Select one of the following stages of development for this indicator.</p> <ul style="list-style-type: none"> <input type="radio"/> Needs Improvement <input type="radio"/> In Process <input type="radio"/> Strong <p>Provide comments explaining what led to your conclusion.</p>

Indicator S5: Orientation and Training

The governing body/Tribal Council provides orientation to all new members, and ongoing training as needed, so members fully understand their responsibilities and are knowledgeable about the organization's systems, services, and financial health. The HSPPS require agencies to provide T/TA and orientation to the governing body/Tribal Council, any advisory committee members, and members of the Policy Council or Policy Committee, including training on HSPPS and on program eligibility: [45 CFR §1301.5](#)

Take Stock

- Is a comprehensive governing body/Tribal Council orientation held annually for all new members?
- Does a current governing body/Tribal Council handbook exist? Is it distributed to all new members? Is it used to guide members in embracing their new roles?
- Is the executive director responsive to the ongoing needs of members by providing yearly training activities that support their continuous growth and development?
- Does the executive director utilize internal and external resources to ensure all training content is current and the professional development strategies are appropriate to the audience?
- Can governing body/Tribal Council members describe the orientation and ongoing training they received and how it helped prepare them for their role?

Select one of the following stages of development for this indicator.

- Needs Improvement
- In Process
- Strong

Provide comments explaining what led to your conclusion.



FIDUCIARY

Review three indicators programs should consider when assessing the fiduciary strengths of their governance readiness: (F1) Fiscal oversight, (F2) External audit, and (F3) Managing federal funds.

Indicator F1: Fiscal Oversight

The governing body/Tribal Council has responsibility for developing and formally adopting policies that establish control procedures and other requirements for financial operations in order to assess the fiscal health of the organization. The Head Start Act and HSPPS state that governing bodies/Tribal Councils have legal and fiscal responsibilities, and that at least one member have fiscal management expertise:

[Sec. 642\(c\)\(1\)\(A\) and \(B\)\(i\)](#), [45 CFR §1301.1](#), and [45 CFR §1301.2\(a\)](#)

Take Stock

- Does one or more governing body/Tribal Council members have fiscal expertise?
- Is financial management included in the governing body/Tribal Council orientation and training process so all members have the skills to review and assess budget reports?
- Do minutes from either full governing body/Tribal Council meetings or finance committee meetings clearly document the budget review and approval process?
- Can governing body/Tribal Council members recall times when budget reports have revealed potential fiscal issues and members have worked with management to take corrective action?
- Do governing body/Tribal Council members regularly review their fiscal policies and develop new, more efficient procedures as necessary?
- Does the governing body/Tribal Council:
 - Approve the organization's annual Head Start budget and other major program budgets
 - Establish and adhere to procedures and guidelines for accessing, reviewing, and approving regular budget reports

Select one of the following stages of development for this indicator.

- Needs Improvement
- In Process
- Strong

Provide comments explaining what led to your conclusion.

<ul style="list-style-type: none"> ○ Implement a system of checks and balances to ensure proper internal controls are in place for expenditures ○ Regularly analyze budget reports to monitor the organization's financial health, compare actual fiscal performance against the budget, ensure appropriate financial controls are in place, and initiate corrective action when indicated? 	
<p>Indicator F2: External Audit</p> <p>The governing body/Tribal Council has responsibility for developing and formally adopting policies that establish control procedures and other requirements for financial operations in order to assess the fiscal health of the organization. Federal audit requirements for organizations receiving Head Start and Early Head Start funding can be found in the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for HHS Awards at 45 CFR §75.</p> <p>Take Stock</p> <ul style="list-style-type: none"> ● Are governing body/Tribal Council members involved in the selection of a qualified and independent auditor? ● Have governing body/Tribal Council members thoroughly reviewed the most recent audit report and are all members familiar with the results? ● Can governing body/Tribal Council members recall times when they have worked with the chief financial officer (CFO) and executive director during the audit resolution process to ensure compliance and avoid a repeat finding? ● Does the governing body/Tribal Council work with the executive director to take corrective actions, as warranted, to strengthen the organization's financial management operations? ● Have governing body/Tribal Council members evaluated the relevance of audit findings and changed audit firms over time to ensure audits are independent, objective, and useful to the organization? 	<p>Select one of the following stages of development for this indicator.</p> <ul style="list-style-type: none"> <input type="radio"/> Needs Improvement <input type="radio"/> In Process <input type="radio"/> Strong <p>Provide comments explaining what led to your conclusion.</p>

Indicator F3: Managing Federal Funds

There are many rules, regulations, and guidance that an organization must incorporate into their fiscal management practices when they receive federal funds.

Take Stock

- Does the organization have a track record of successfully managing programs supported by federal funds?
- Is the governing body/Tribal Council confident that the organization has a highly qualified CFO and fiscal management staff who can manage federal funds based on their prior experience?
- Has the governing body/Tribal Council supported organizational staff in developing their professional skills and expertise related to managing federal funds?
- Do the CFO and fiscal management staff have the ability to address compliance issues, especially as they relate to financial reporting requirements?

Select one of the following stages of development for this indicator.

- Needs Improvement
- In Process
- Strong

Provide comments explaining what led to your conclusion.



STRATEGIC DIRECTION

Review one indicator programs should consider when assessing the strategic strengths of their governance readiness: (SD1) Strategic planning.

Indicator SD1: Strategic Planning

Governing bodies/Tribal Councils must participate in strategic planning in order to examine internal and community data and analyze trends. The HSPPS require grantees to undertake community-wide strategic planning, which is considered an integral part of program planning and service system design for Head Start: [45 CFR §1302.11](#)

Take Stock

- Is the strategic plan a key reference point during the governing body/Tribal Council's orientation and ongoing training?
- Can governing body/Tribal Council members describe how they have worked with senior program managers on the development of a strategic plan?
- Can governing body/Tribal Council members share examples of how they have used data to make decisions regarding the goals and objectives to be included in the strategic plan?

Select one of the following stages of development for this indicator.

- Needs Improvement
- In Process
- Strong

Provide comments explaining what led to your conclusion.



LEADERSHIP

Review two indicators programs will want to consider when assessing the leadership strengths of their governance readiness: (L1) Oversight of organizational performance and (L2) Relationship with executive director.

Indicator L1: Oversee Organizational Performance

The governing body/Tribal Council oversees organizational performance by monitoring and evaluating metrics of major programs, services, and initiatives. The Head Start Act and HSPPS require governing bodies/Tribal Councils and Policy Councils or Policy Committees use monitoring results and data on school readiness goals: [Sec. 642\(d\)\(2\)](#), [45 CFR §1301.2\(b\)\(2\)](#), and [45 CFR §1301.3\(c\)\(2\)](#)

Take Stock

- Is the strategic plan a key reference point during the governing body/Tribal Council's orientation and ongoing training?
- Do organizational staff regularly share required reports with the governing body/Tribal Council?
- Do reports contain information regarding core services and are they tied to monitoring results and data on school readiness?
- Do meeting minutes confirm the governing body/Tribal Council regularly reviews reports that provide information on the status of program services?
- Do governing body/Tribal Council members utilize reports to determine the progress the organization is making in meeting organizational and strategic program-specific goals and measurable objectives?
- Can governing body/Tribal Council members recall instances when they have used progress reports to identify trends and emerging issues with organizational performance and have worked with the executive director to address these issues and support the organization in meeting objectives?
- Do governing body/Tribal Council members spend time observing program services in action in order to obtain their own perspective on program operations?

Select one of the following stages of development for this indicator.

- Needs Improvement
- In Process
- Strong

Provide comments explaining what led to your conclusion.

Indicator L2: Relationship with Executive Director

The relationship between the governing body/Tribal Council and the executive director is an important aspect of program governance. The roles and responsibilities of each must be understood, and work should be done in a collaborative manner.

Take Stock

- Are governing body/Tribal Council members involved in the process of hiring the executive director?
- Do governing body/Tribal Council members annually evaluate the performance of the executive director?
- Do governing body/Tribal Council members have a system to include the opinions of parents, staff, and community members in the hiring and evaluation of the executive director?
- Does the executive director provide the governing body/Tribal Council with regular, objective information about the organization's operations?
- Can governing body/Tribal Council members provide examples of ways they have worked with the executive director to provide leadership to the organization?

Select one of the following stages of development for this indicator.

- Needs Improvement
- In Process
- Strong

Provide comments explaining what led to your conclusion.



COMMUNITY RELATIONS

Review two indicators programs should consider when assessing the community relations strengths of their governance readiness: (CR1) Community partners and stakeholders and (CR2) Communication strategies.

Indicator CR1: Community Partners and Stakeholders

Developing strong community relationships is a foundational aspect for every Head Start and Early Head Start program, and the governing body/Tribal Council can play a role in establishing and monitoring these. The HSPPS require programs establish ongoing collaborative relationships and partnerships with community organizations: [45 CFR §1302.53](#)

Take Stock

- Are governing body/Tribal Council members able to speak on behalf of the organization with community partners and stakeholders and create connections with resource providers who can benefit the organization and its programs?
- Can governing body/Tribal Council members provide examples of ways they have enhanced community partnerships on behalf of the organization?
- Are governing body/Tribal Council members actively involved with community organizations that will serve as effective partners and provide resources for the Head Start or Early Head Start program?

Select one of the following stages of development for this indicator.

- Needs Improvement
- In Process
- Strong

Provide comments explaining what led to your conclusion.

Indicator CR2: Communication Strategies

Well-crafted internal and external communications strategies connect the program with staff, parents, community partners, key stakeholders, and the general public.

Take Stock

- Does the organization produce an annual report?
- Is the governing body/Tribal Council aware of the contents of the annual report and can it provide examples of how this information is shared with the broader community?
- Does the organization regularly communicate its accomplishments, both internally and externally, through:
 - Newsletters
 - Website content
 - Media outreach
 - Other communication channels?
- Are strategies in place for the governing body/Tribal Council to receive feedback and input from constituents?

Select one of the following stages of development for this indicator.

- Needs Improvement
- In Process
- Strong

Provide comments explaining what led to your conclusion.



DECISION-MAKING

Review two indicators programs should consider when assessing the inclusivity of their governance readiness: (D1) Constituent voice and (D2) Informed and inclusive process.

Indicator D1: Constituent Voice

Informed decision-making requires that a constituent voice is presented and responded to on an ongoing basis. The Head Start Act and HSPPS require that both the governing body/Tribal Council and Policy Council or Policy Committee include parents and community members: [Sec. 642\(c\)\(1\)\(B\)\(iv\)\(I\) and \(c\)\(2\)\(B\)\(ii\)](#), [45 CFR §1301.2\(a\)](#), and [45 CFR §1301.3\(b\)](#)

Take Stock

- Does the organization produce an annual report?
- Does the governing body/Tribal Council include parents and community members?
- Does the governing body/Tribal Council include representation reflective of the variety of constituents served?
- Does the governing body/Tribal Council carefully consider the opinions and recommendations of the Policy Council or Policy Committee when making decisions?
- Do governing body/Tribal Council members recognize that the opinions and ideas of those being served should be used to shape the organization and its service delivery systems?
- Are governing body/Tribal Council members able to share examples of how they have utilized feedback from constituents in their decision-making?
- Does the governing body/Tribal Council, when making decisions, have mechanisms in place for obtaining and considering the viewpoints of those being served?
- Are Policy Council or Policy Committee and governing body/Tribal Council meetings designed and scheduled to support a coordinated flow of information between the two groups that results in sound and inclusive decision-making?

Select one of the following stages of development for this indicator.

- Needs Improvement
- In Process
- Strong

Provide comments explaining what led to your conclusion.

Indicator D2: Informed and Inclusive Process

For governance to be most successful, members of the governing body/Tribal Council must fully and meaningfully participate in the process, and a variety of perspectives should be welcomed.

Take Stock

- Are governing body/Tribal Council meetings well attended?
- Does the process allow for the sharing of diverse expertise and perspectives?
- Do governing body/Tribal Council members report that their views and the views of others are respected and considered during meeting discussions?
- Do governing body/Tribal Council members receive a packet of materials prior to meetings so they can review the information and prepare for discussions?

Select one of the following stages of development for this indicator.

- Needs Improvement
- In Process
- Strong

Provide comments explaining what led to your conclusion.

Section 3: Governance Readiness Plan

Part 1: You have taken a comprehensive look at the governance requirements in the Head Start Act and HSPPS, as well as policies and practices of high-functioning governing bodies/Tribal Councils as they relate to your own system of governance. Now, review your Governance Compliance Checklist and Indicators Worksheet and summarize your responses in the table below. This will provide you with the foundation for creating your Governance Readiness Plan Action Steps and can serve as a one-page summary of your governance assessment that can be shared with others.

SUMMARY

	Responses from Compliance Checklist	Responses from Indicators Worksheet
Strong		
In Process		
Needs Improvement		

Governance Readiness Plan: Action Steps for Areas of Compliance

Part 2: Using the form below, identify each area of compliance that has not been fully met. Describe the steps you will take to meet the HSPPS in these areas. If needed, be sure to identify and include where you will seek Head Start T/TA support. If there are more than three areas that you are in the process of strengthening, make additional copies of this template as needed.

Area of Compliance:		
Next Steps	Persons Responsible	Time Frame

Area of Compliance:		
Next Steps	Persons Responsible	Time Frame

Area of Compliance:		
Next Steps	Persons Responsible	Time Frame

Governance Readiness Plan: Action Steps for Indicators

Part 3: Using the form below, identify each indicator that needs improvement or is in process. Describe the next steps you will take to advance your governing body/Tribal Council's practices in these areas. If needed, identify and include where you will seek Head Start T/TA support. If there are more than three indicators that you are in the process of strengthening, make additional copies of this template as needed.

Indicator:		
Next Steps	Persons Responsible	Time Frame

Indicator:		
Next Steps	Persons Responsible	Time Frame



AMADOR TUOLUMNE COMMUNITY ACTION AGENCY
ATCAA Board and Policy Council, and ATCAA Advisory Councils
Code of Conduct and Conflict of Interest Policy

The ATCAA Board of Directors, ATCAA Early/Head Start Policy Council and ATCAA Advisory Councils are leaders, models and representatives of ATCAA to our community. All members will be expected to conduct themselves such that their personal and professional conduct does not have a negative effect on services or reflect badly on ATCAA's public image, reputation, or credibility.

Members of the ATCAA Board and Policy Council and Advisory Councils will be informed of this policy and of any approved revisions.

This policy will be periodically reviewed and revised by the ATCAA Board of Directors and the Policy Council.

The ATCAA Board of Directors, the ATCAA Head Start Policy Council and all ATCAA Advisory Councils or Committees:

- 1) Will respect and promote the unique identity of each child, family, employee, Council, Committee and Board member and refrain from stereotyping based on age, race, color, religious creed, sex (gender), marital status, sexual orientation, national origin, ancestry, medical condition, physical or mental disability, genetic information, citizenship status, political affiliation/opinion, Veteran's status, request for family medical leave, or any other consideration made unlawful by federal, state or local laws.
- 2) Must uphold the Agency's confidentiality guidelines as follows:
 - a. No confidential information regarding employees, clients, children and families enrolled or accessing any service in any ATCAA program including Head Start/State Preschool, General Childcare, Early Head Start or any ATCAA programs is to be discussed or shared outside of the work setting or Board/Council/Committee meetings. This includes any materials received in writing.
 - b. Confidential information is to be discussed or shared within the work setting and at Board/Council/Committee meetings only as necessary and as it relates to program operations, business or decision-making.
 - c. No confidential information learned, or material shared at Board/Council/Committee meetings or while conducting Board/Council/Committee business may be discussed, shared, or used in any way outside of Board/Council/Committee activities.
- 3) Will communicate and interact respectfully while participating in all Board/Council/Committee activities and when representing ATCAA within the community.
- 4) Will follow the ATCAA Conflict of Interest Policy as follows:

Conflict of Interest in Hiring

No person will be hired for or promoted/transferred to an ATCAA position over which a family member exercises direct supervisory authority. *(See ATCAA Personnel Policies for more details)*

No ATCAA or Policy Council member, nor any family member of an ATCAA Board or a Policy Council member, may be hired for any ATCAA position, except that a Policy Council member may occasionally substitute in the ATCAA ECS/Head Start Programs.

“Family Member” includes any of the following: spouse, domestic partner, sibling, child, parent, grandparent, grandchild, foster parent, stepparent, sibling-in-law, child-in-law, parent-in-law, uncle, aunt, nephew, niece, stepsibling, and stepchild. *“Family Member”* also includes domestic partners *(a person with whom the employee’s life is interdependent and who shares a common residence)* and a daughter or son of an employee’s domestic partner.

CONFLICT OF INTEREST

No employee, officer or agent of ATCAA or of any subgrantee shall participate in the selection or in the award and administration of a contract if a conflict of interest, real or apparent, would be involved.

A conflict would arise when any of the following has a financial or other interest in the firm selected for award:

- The employee, officer or agent.
- Any member of the immediate family of an employee, officer or agent.
- A partner of an employee, officer or agent; or
- An organization which employs or is about to employ any of the above.

Contractors that develop or draft grant applications, contract specifications, statements of work, invitations for bids and/or requests for proposals are excluded from bidding for the procurement.

The Executive Director, or designee, may approve an exception to this policy only if he or she determines that the financial is not substantial or that it is unavoidable or unreasonable not to make such award.

Signature of ATCAA Board Member or
Policy Council Member or
ATCAA Advisory Council Member

Date