

# 1304 Operations - Module Seven

This Head Start Standards Training Module includes part of Appendix A  
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45 CFR Ch. XIII (10–1–05 Edition) § 1304.51

## APPENDIX A—GOVERNANCE AND MANAGEMENT RESPONSIBILITIES - Continued

[A=General responsibility; B=Operating responsibility; C=Must approve or disapprove; D=Determined locally]

Function	Grantee Agency		Delegate Agency		Grantee or Delegate Management Staff	
	Governing Body	Policy Council	Governing Body	Policy Council	HS Program Director	Agency Director

### II. General Procedures - Continued

(f) 1304.50(g)(2) Grantee and delegate agencies must ensure that appropriate internal controls are established and implemented to safeguard Federal funds in accordance with 45 CFR 1301.13.	A	—	A	—	D	D
(g) The annual independent audit that must be conducted in accordance with 45 CFR 1301.12.	A	—	A	—	D	D

### III. Human Resources Management

(a) 1304.50(d)(1)(ix) Program personnel policies and subsequent changes to those policies, in accordance with 45 CFR 1301.31, including standards of conduct for program staff, consultants, and volunteers.	A & C	C	A & C	C	D	D
(b) 1304.50(d)(1)(x) Decisions to hire or terminate the Early Head Start or Head Start director of the grantee agency.	A & C	C	—	—	—	D
(c) 1304.50(d)(1)(xi) Decisions to hire or terminate any person who works primarily for the Early Head Start or Head Start program of the grantee agency.	A	C	—	—	B (Grantee Only)	D
(d) 1304.50(d)(1)(x) Decisions to hire or terminate the Early Head Start or Head Start director of the delegate agency.	—	—	A & C	C	—	D
(e) 1304.50(d)(1)(xi) Decisions to hire or terminate any person who works	—	—	A	C	B (Delegate Only)	D

primarily for the Early Head Start or Head Start program of the delegate agency.						
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**KEY AND DEFINITIONS AS USED IN CHART**

- When a grantee or delegate agency operates an Early Head Start program only and not an Early Head Start and a Head Start program, these responsibilities apply to the Early Head Start Director.

A. General Responsibility. The group with legal and fiscal responsibility that guides and oversees the carrying out of the functions described through the individual or group given operating responsibility.

B. Operating Responsibility. The individual or group that is directly responsible for carrying out or performing the functions consistent with the general guidance and oversight from the group holding general responsibility.

C. Must Approve or Disapprove. The group that must be involved in the decision-making process prior to the point of seeking approval. If it does not approve, a proposal cannot be adopted, or the proposed action taken, until agreement is reached between the disagreeing groups.

D. Determined locally. Management staff functions as determined by the local governing body and in accordance with all Head Start regulations.

(The information and collection requirements are approved by the Office of Management and Budget (OMB) under OMB Control Number 0970–0148 for paragraphs (f), (g), and (h).)

[61 FR 57210, Nov. 5, 1996, as amended at 63 FR 2314, Jan. 15, 1998]

**§ 1304.51 Management systems and procedures.**

***(a) Program planning.***

- (1) Grantee and delegate agencies must develop and implement a systematic, ongoing process of program planning that includes

consultation with the program’s governing body, policy groups, and program staff, and with other community organizations that serve Early Head Start and Head Start or other low-income families with young children. Program planning must include:

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Test Questions:

**Select the correct "True" or "False" option.**

1. **General responsibility for an annual independent audit lies with the governing body.** (1304.50)

True  False

2. **The governing body has sole approval of the hiring or firing of the Head Start Director.** (1304.50)

True  False

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**Office of Human Development Services,  
HHS**

**§ 1304.51**

(i) An assessment of community strengths, needs and resources through completion of the Community Assessment, in accordance with the requirements of 45 CFR 1305.3;

(ii) The formulation of both multi-year (long-range) program goals and short-term program and financial objectives that address the findings of the Community Assessment, are consistent with the philosophy of Early Head Start and Head Start, and reflect the findings of the program's annual self-assessment; and

and Health Services, Family and Community Partnerships, and Program Design and Management). See the requirements of 45 CFR parts 1305, 1306, and 1308.

(2) All written plans for implementing services, and the progress in meeting them, must be reviewed by the grantee or delegate agency staff and reviewed and approved by the Policy Council or Policy Committee at least annually, and must be revised and updated as needed.

- (iii) The development of written plan(s) for implementing services in each of the program areas covered by this part (e.g., Early Childhood Development)

**"All written plans for implementing services, and the progress in meeting them, must be reviewed by the grantee or delegate agency staff and reviewed and approved by the Policy Council or Policy Committee at least annually ..."**

- (1) Procedures and timetables for program planning;
- (2) Policies, guidelines, and other communications from HHS;
- (3) Program and financial reports; and
- (4) Program plans, policies, procedures, and Early Head Start and Head Start grant applications.

***(b) Communications—general.***

Grantee and delegate agencies must establish and implement systems to ensure that timely and accurate information is provided to parents, policy groups, staff, and the general community.

***(c) Communication with families.***

- (1) Grantee and delegate agencies must ensure that effective two-way comprehensive communications between staff and parents are carried out on a regular basis throughout the program year.
- (2) Communication with parents must be carried out in the parents' primary or preferred language or through an interpreter, to the extent feasible.

***(d) Communication with governing bodies and policy groups.***

Grantee and delegate agencies must ensure that the following information is provided regularly to their grantee and delegate

***(e) Communication among staff.***

Grantee and delegate agencies must have mechanisms for regular communication among all program staff to facilitate quality outcomes for children and families.

***(f) Communication with delegate agencies.***

Grantees must have a procedure for ensuring that delegate agency governing bodies, Policy Committees, and all staff receive all regulations, policies, and other pertinent communications in a timely manner.

***(g) Record-keeping systems.***

Grantee and delegate agencies must establish and maintain efficient and effective record-keeping systems to provide accurate and timely information regarding children, families, and staff and must ensure appropriate confidentiality of this information.

***(h) Reporting systems.***

Grantee and delegate agencies must

governing bodies and to members of their policy groups:

establish and maintain efficient and effective reporting systems that:

- (1) Generate periodic reports of financial status and program operations in order to control program quality, maintain program accountability, and advise governing bodies, policy groups, and staff of program progress; and
- (2) Generate official reports for Federal, State, and local authorities, as required by applicable law.

Self-assessment of their effectiveness and progress in meeting program goals and objectives and in implementing Federal regulations.

- (2) Grantees must establish and implement procedures for the ongoing monitoring of their own Early Head Start and Head Start operations, as well as those of each of their delegate agencies, to ensure that these operations effectively implement Federal regulations.

*(i) Program self-assessment and monitoring.*

- (1) At least once each program year, with the consultation and participation of the policy groups and, as appropriate, other community members, grantee and delegate agencies must conduct a

**“Grantee and delegate agencies must have mechanisms for regular communication among all program staff to facilitate quality outcomes for children and families.”**

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Test Questions:

**Select the correct "True" or "False" option.**

3. **Grantee and delegate agencies must ensure that program and financial reports are provided regularly to their grantee and delegate governing bodies and to members of their policy groups.**

(1304.51)

True

False

4. *Grantee and delegate agencies must establish and maintain efficient and effective reporting systems that generate periodic reports of financial status and program operations in order to control program quality, maintain program accountability, and advise governing bodies, policy groups, and staff of program progress.* (1304.51)

True

False

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(3) Grantees must inform delegate agency governing bodies of any deficiencies in delegate agency operations identified in the monitoring review and must help them develop plans, including timetables, for addressing identified problems.

(The information and collection requirements are approved by the Office of Management and Budget (OMB) under OMB Control Number 0970–0148 for paragraphs (a) and (i).)

[61 FR 57210, Nov. 5, 1996, as amended at 63 FR 2314, Jan. 15, 1998]

**§ 1304.52 Human resources management.**

**(a) Organizational structure.**

(1) Grantee and delegate agencies must establish and maintain an organizational structure that supports

position and must provide evidence of adequate mechanisms for staff supervision and support.

(2) At a minimum, grantee and delegate agencies must ensure that the following program management functions are formally assigned to and adopted by staff within the program:

(i) Program management (the Early Head Start or Head Start director);

(ii) Management of early childhood development and health services, including child development and education; child medical, dental, and mental health; child nutrition; and, services for children with disabilities; and

(iii) Management of family and community partnerships, including parent activities.

the accomplishment of program objectives. This structure must address the major functions and responsibilities assigned to each staff

**"Grantee and delegate agencies must establish and maintain an organizational structure that supports the accomplishment of program objectives."**

***(b) Staff qualifications—general.***

- (1) Grantee and delegate agencies must ensure that staff and consultants have the knowledge, skills, and experience they need to perform their assigned functions responsibly.
- (2) In addition, grantee and delegate agencies must ensure that only candidates with the qualifications specified in this part and in 45 CFR 1306.21 are hired.
- (3) Current and former Early Head Start and Head Start parents must receive preference for employment vacancies for which they are qualified.
- (4) Staff and program consultants must be familiar with the ethnic background and heritage of families in the program and must be able to serve and effectively communicate, to the extent feasible, with children and families with no or limited English proficiency.

***(c) Early Head Start or Head Start director qualifications.***

The Early Head Start or Head Start

***(d) Qualifications of content area experts.***

Grantee and delegate agencies must hire staff or consultants who meet the qualifications listed below to provide content area expertise and oversight on an ongoing or regularly scheduled basis. Agencies must determine the appropriate staffing pattern necessary to provide these functions.

- (1) Education and child development services must be supported by staff or consultants with training and experience in areas that include: The theories and principles of child growth and development, early childhood education, and family support. In addition, staff or consultants must meet the qualifications for classroom teachers, as specified in section 648A of the Head Start Act and any subsequent amendments regarding the qualifications of teachers.
- (2) Health services must be supported by staff or consultants with training and experience in public health, nursing, health education, maternal and child health, or health administration. In addition, when a health procedure must be performed only by a licensed/certified health professional, the agency must assure that the requirement is followed.
- (3) Nutrition services must be supported by staff or consultants who are registered dietitians or nutritionists.

director must have demonstrated skills and abilities in a management capacity relevant to human services program management.

(4) Mental health services must be supported by staff or consultants who are licensed or certified mental health professionals with experience and expertise in serving young children and their families.

<p>(5) Family and community partnership services must be supported by staff or consultants with training and experience in field(s) related to social, human, or family services.</p>	<p><b>"Education and child development services must be supported by staff or consultants with training and experience in areas that include: The theories and principles of child growth and development, early childhood education, and family support."</b></p>
<p>(6) Parent involvement services must be supported by staff or consultants with training, experience, and skills in assisting the parents of young children in advocating and decision-making for their families.</p>	
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Test Questions:

**Select the correct "True" or "False" option.**

5. *Grantee and delegate agencies must ensure that child development and education; child medical, dental, and mental health; child nutrition; and, services for children with disabilities are formally assigned to and adopted by staff within the program.* (1304.52)

True  False

6. *Nutrition services must be supported by staff or consultants who are registered dietitians or nutritionists.* (1304.52)

True  False

(7) Disabilities services must be supported by staff or consultants with training and experience in securing and individualizing needed services for children with disabilities.

(8) Grantee and delegate agencies must secure the regularly scheduled or ongoing services of a qualified fiscal officer.

*(e) Home visitor qualifications.*

Home visitors must have knowledge and experience in child development and early childhood education; the principles of child health, safety, and nutrition; adult learning principles; and family dynamics. They must be skilled in communicating with and motivating people. In addition, they must have knowledge of community resources and the skills to link families with appropriate agencies and services.

**"Early Head Start and Head Start staff working as teachers with infants and toddlers must obtain a Child Development Associate (CDA) credential for Infant and Toddler Caregivers or an equivalent credential that addresses comparable competencies within one year ..."**

*(f) Infant and toddler staff qualifications.*

Early Head Start and Head Start staff working as teachers with infants and toddlers must obtain a Child Development Associate (CDA) credential for Infant and Toddler Caregivers or an equivalent credential that addresses comparable competencies within one year of the effective date of the final rule or, thereafter, within one year of hire as a teacher of infants and toddlers. In addition, infants and toddler teachers must have the training and experience necessary to develop consistent, stable, and supportive relationships with very young children. The training must develop knowledge of infant and toddler development, safety issues in infant and toddler care (e.g., reducing the risk of Sudden Infant Death Syndrome), and methods for communicating effectively with infants and toddlers, their parents, and other staff members.

*(g) Classroom staffing and home visitors.*

(1) Grantee and delegate agencies must meet the requirements of 45 CFR 1306.20 regarding classroom staffing.

(2) When a majority of children speak the same language, at least one classroom staff member or home visitor interacting regularly with the children must speak their language.

(3) For center-based programs, the class size requirements specified in 45 CFR 1306.32 must be maintained through the provision of substitutes when regular classroom staff are absent.

(4) Grantee and delegate agencies must ensure that each teacher working exclusively with infants and toddlers has responsibility for no more than four infants and toddlers and that no more than eight infants and toddlers are placed in any one group. However, if State, Tribal or local regulations specify staff:child ratios

and group sizes more stringent than this requirement, the State, Tribal or local regulations must apply.

- (5) Staff must supervise the outdoor and indoor play areas in such a way that children's safety can be easily monitored and ensured.

- (iv) They will use positive methods of child guidance and will not engage in corporal punishment, emotional or physical abuse, or humiliation. In addition, they will not employ methods of discipline that involve isolation, the use of food as punishment or reward, or the denial of basic needs.

*(h) Standards of conduct.*

- (1) Grantee and delegate agencies must ensure that all staff, consultants, and volunteers abide by the program's standards of conduct. These standards must specify that:

- (i) They will respect and promote the unique identity of each child and family and refrain from stereotyping on the basis of gender, race, ethnicity, culture, religion, or disability;
- (ii) They will follow program confidentiality policies concerning information about children, families, and other staff members;
- (iii) No child will be left alone or unsupervised while under their care; and

- (2) Grantee and delegate agencies must ensure that all employees engaged in the award and administration of contracts or other financial awards sign statements that they will not solicit or accept personal gratuities, favors, or anything of significant monetary value from contractors or potential contractors.

- (3) Personnel policies and procedures must include provision for appropriate penalties for violating the standards of conduct.

**"They will follow program confidentiality policies concerning information about children, families, and other staff members; ..."**

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Test Questions:

*Select the correct "True" or "False" option.*

7. *Grantee and delegate agencies must ensure that each teacher working exclusively with infants and toddlers has responsibility for no more than five infants and toddlers.* (1304.52)

True  False

8. *All staff, consultants, and volunteers will follow program confidentiality policies concerning information about children, families, and other staff members.* (1304.52)

True  False

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Last Name \_\_\_\_\_

First \_\_\_\_\_ Initial \_\_\_\_

Location \_\_\_\_\_