# FOUNDATIONS FOR families

Promoting excellence in early childhood education to support families and strengthen communities.
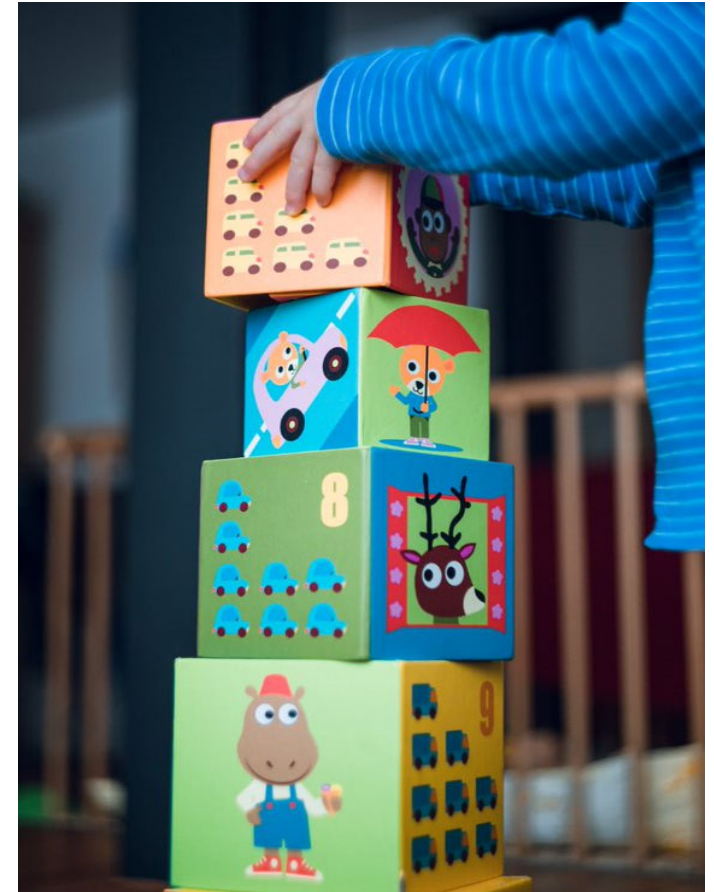
# Preparing for a Focus Area 2 Monitoring Review

**WNCSource Board Training
October 13, 2022**

# Agenda

1. Overview of the FA2 monitoring review methodology

2. Road map to the FA2 Protocol

3. The role of the Board in a successful FA2 review

4. Mock FA2 Board Discussion

# METHODOLOGY

# FY23 Monitoring Overview

Opportunity for the recipient to <u>demonstrate</u> the program's approach to providing quality services.

The goal of the FA2 Review is to:

1. Acquire a holistic look across service areas and program management functions by observing practice in action.

2. Allow recipients to demonstrate how well they are working toward or achieving their program goals, how well they know their program's strengths and challenges, and how they address challenges that arise.

3. Show reviewers what you do every day to manage the program by demonstrating how you use data in real time, how you support program staff, and how you provide services to children and families.

# What to Expect:

| Recipient Notification | Review Lead Analysis | Recipient Planning Call | On-Site/Virtual Review | Grantee Report |
|---|---|---|---|---|
| The recipient receives notification (45-day letter) prior to their Focus Area 2 review. Initial notification will be via email. | The Review Lead connects with the applicable Regional Office to better understand the recipient and reviews program documents. | The Review Lead connects with the recipient to plan for the review. Planning includes reviewing the schedule, coordinating explorations, and other logistics. | The Review Team (typically four people) will conduct conversations and explorations and review data through a hybrid approach. | The recipient and Regional Office receive a report after the Focus Area 2 review is complete. |

# Activities during the onsite review include, but are not limited to:

- Introductory Meeting
- Data Tours/Document Reviews
- Sample ERSEA Child File Review
- Review of criminal background checks
- Review of teaching staff qualifications
- Classroom/Center Explorations and Teacher Discussions
- Home Visits/Socializations
- Discussions – **Governing Body/Board**; Policy Council; Parents

# The Hybrid Approach:

- The Review Lead and one generalist reviewer will conduct activities onsite.
- The Fiscal Reviewer and second generalist reviewer will conduct activities virtually.
- The Classroom/Center Explorations will take place in-person/onsite.
- The Teacher Discussions will take place in a small group.
- The Board and Policy Council discussions will take place in a joint meeting.

# The FA2 Monitoring Review is:

- Grounded in open-ended questions and dialogue
- Focused on performance, progress, innovation, and outcomes
- Holistic and integrated
- Tells a story, allows for opportunities to provide context
- Dynamic

# The FA2 Monitoring Protocol

# The FA2 Protocol is organized around six sections:

- Program Management and Quality Improvement
- Education and Child Development Services
- Health Program Services
- Family and Community Engagement Services
- Fiscal Infrastructure
- ERSEA

# Each of the six sections includes:

1. Overview
    - Purpose
    - Approach
    - Program Outcomes
2. Federal Regulations
3. What We Want to Learn
    - Performance Measures (PM)
    - For each PM, questions/indicators to guide the discussion, data tours, and explorations

# Key changes to the FY23 FA2 Protocol:

- All references to COVID have been removed except for one question in the Fiscal Infrastructure section.

- The only two **additions** to the FA2 Protocol are in the Health section and are related to staff health and wellness and licensure.

- A couple of key questions that were added last year were removed (PMQI and FCE), but the question re: agency-level strategies for addressing inequities and promoting diversity remains.

# The Role of the Board in a Successful FA2 Review

# Board Activities During the Review:

1. Participation in the Introductory Meeting (recommended)
2. Participation in the Governing Body Discussion

# Introductory Meeting

- Also called the Management Team Discussion
- Opportunity to introduce yourself to the Review team
- Opportunity to learn about the Review team
- Opportunity to show collaboration, support, and engagement with the HS/EHS program and management team
- Opportunity to hear the Management Team discuss Performance Measures #1 and #2 in the event the review team comes back to their responses during the Board discussion

# Governing Body Discussion

- Typically attended by the Review Lead and the Fiscal Reviewer.
- Program staff are typically not included in the discussion.
- In addition to the focus questions identified, the Reviewers can ask about anything else that they need to know to be able to achieve "what they want to learn" from other PMs with the PMQI and Fiscal sections but also the other four areas, as well.

# Governing Body Discussion

Will focus on:

1.  **Protocol Section: Program Management and Quality Improvement – PM #3:** The recipient maintains a formal structure of program governance to oversee the quality of services for children and families, and to make decisions related to program design and implementation.

2.  **Protocol Section: Fiscal Infrastructure – PM #1:** The recipient develops and implements its budget to sustain management, staffing structures, and the delivery of services that support the needs of enrolled children and families. This entails relating financial data to accomplishments of the grant award and an awareness of program progress, lessons learned, and needed improvements.

*Please see attached handout "FA2 Monitoring Protocol Questions: Governing Body."*

# Governing Body Discussion: Preparing Your Responses

## Comprehensive, Concise and Clear

- What does your process look like from start to finish?
- What data/documentation do you use to support your work?
- How do you use it?
- Who do you collaborate with?
- Who do you share your data and information with?
- What are the timeframes/frequencies for all of the above?
- What is one good example that could serve as a case study of what you have shared?

# Mock FA2 Board Discussion

# **Protocol Section:**
## Program Management and Quality Improvement



PM3: The recipient maintains a formal structure of program governance to oversee the quality of services for children and families, and to make decisions related to program design and implementation.

# PMQI PM3 Questions:

1. What practices has the Board adopted to ensure active, independent, and informed governance of the Head Start agency?
*Reference: HS Act 642(c)(1)(E)(ii)*

2. How does the Board use data — both program data and external information — to oversee the provision of quality services for children and families and to ensure progress toward school readiness?
*Reference: HSPPS 1301.2(b)(2)*

3. How does the Board provide oversight of the agency's progress in carrying out programmatic provisions of the agency's grant application? *Reference: 642(c)(1)(E)(iv)(V)(bb)*

# Protocol Section:
## Fiscal Infrastructure
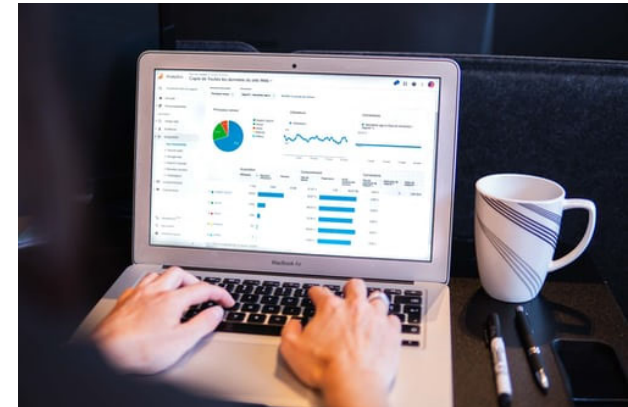


PM1: The recipient develops and implements its budget to sustain management, staffing structures, and the delivery of services that support the needs of enrolled children and families. This entails relating financial data to accomplishments of the grant award and an awareness of program progress, lessons learned, and needed improvements.

# FI PM1 Questions:

Question #3 in the Protocol:

3. How does the Board use the fiscal information they receive to inform budget decisions? This includes:

  a. How the Board approves financial management, accounting, and reporting policies, and how the governing body ensures compliance with laws and regulations related to financial statements, including what the agency identified as major financial expenditures. *Reference: HS Act 642(c)(1)(E)(iv)(VII)(aa)*

  b. The Board's role in approval of the annual operating budget. *Reference: HS Act 642(c)(1)(E)(iv)(VII)(bb)*
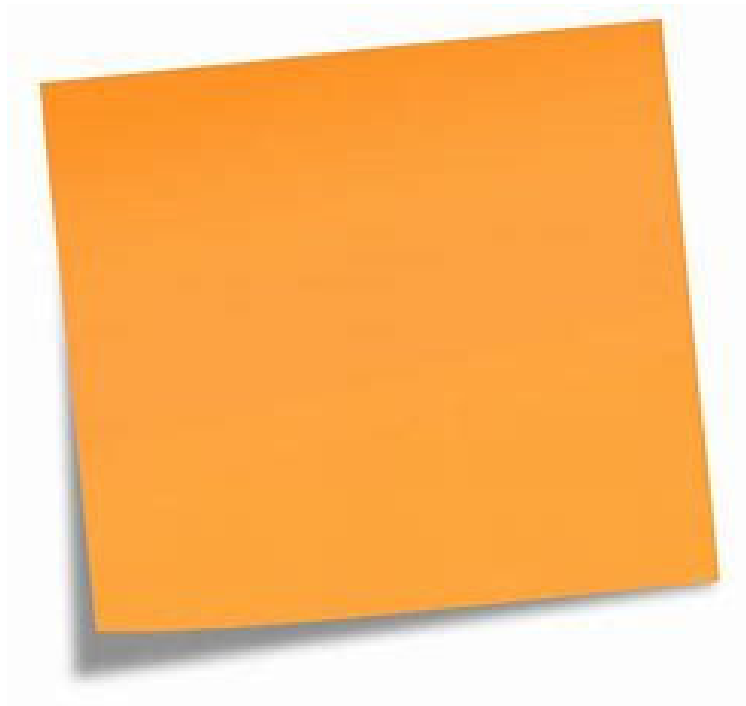
# FI PM1 Questions:

Question #5 in the Protocol:

5. The recipient will describe:

  a. How is the budget development process supported by accurate and regular information, including information regarding program goals and objectives? *Reference: HSPPS 1302.102(d)(1)(i)*

  b. How is the budget development process supported by accurate and regular information, including financial statements and reports? *Reference: HS Act 642(d)(2)(A-I)*

  c. What training do you receive to ensure you understand the information received and can effectively participate in the budget process? *Reference: HS Act 642(d)(3)*

# Questions?

**Thank you!**