



**Overview of Grant  
Application Process,  
Instructions and ~~Red Flags~~  
Areas for Growth**



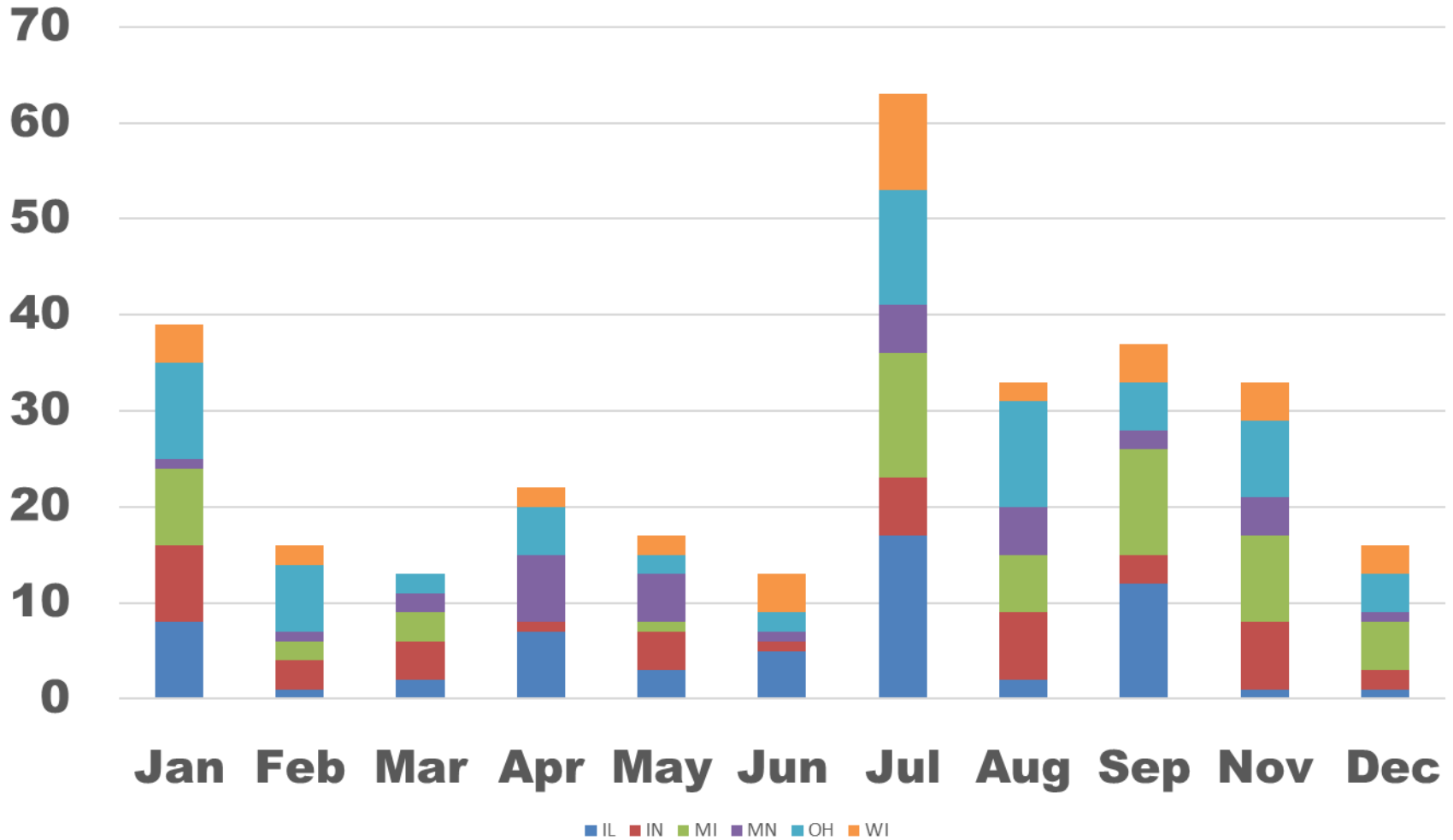
# Regional Office Grants Overview

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- Total of 304 Grants in Region V
  - 255 Head Start/Early Head Start
  - 43 Early Head Start/Child Care Partnership
  - 6 State Collaboration Office
- Annual Funding of \$1.42 Billion

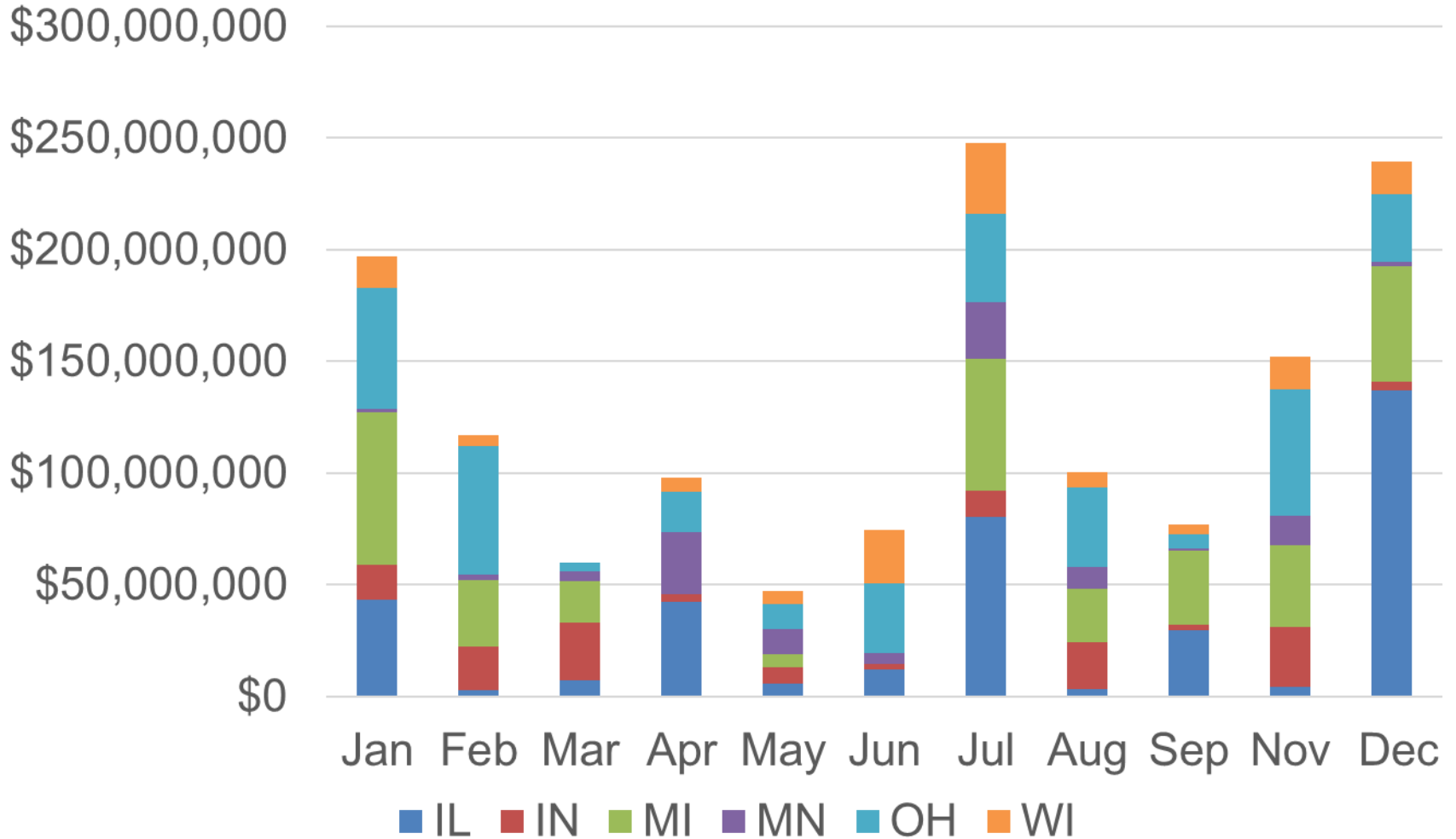


# Grants Processed By Month





# Funding Processed By Month





# Regional Office

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## **Office of Head Start**

- 1 Regional Program Manager
- 2 Supervisory Program Specialists
- 22 Program Staff

## **Office of Grants Management**

- 1 Regional Grants Officer
- 1 Team Lead
- 9 Fiscal Staff (including Team Lead)



# Application Process

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- Driven by Annual Funding Month (AFM)
- Funding Guidance Letter
  - Issued 6 months prior to AFM
- Grantee application development/submission
  - 90 days prior to AFM in Enterprise (HSES)
- Regional Office Review
  - Program/Fiscal Specialist Review
  - OHS/OGM Supervisory/Team Lead Review
  - Regional Program Manager/Grants Officer Approval
  - Grants Processing ([Grantsolutions.gov](https://www.grantsolutions.gov))
- Signature/Issuance of Grant Award (NOA) 15-20 days\* prior to AFM



# Application Analysis Resources

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- Grant Application Package
- Prior Year Application Narrative
- Oversight Data (annual visits, monthly calls, incidents etc.)
- Monitoring Review Reports
- Program Information Report
- Application Instructions



# Refunding Applications – To What End?

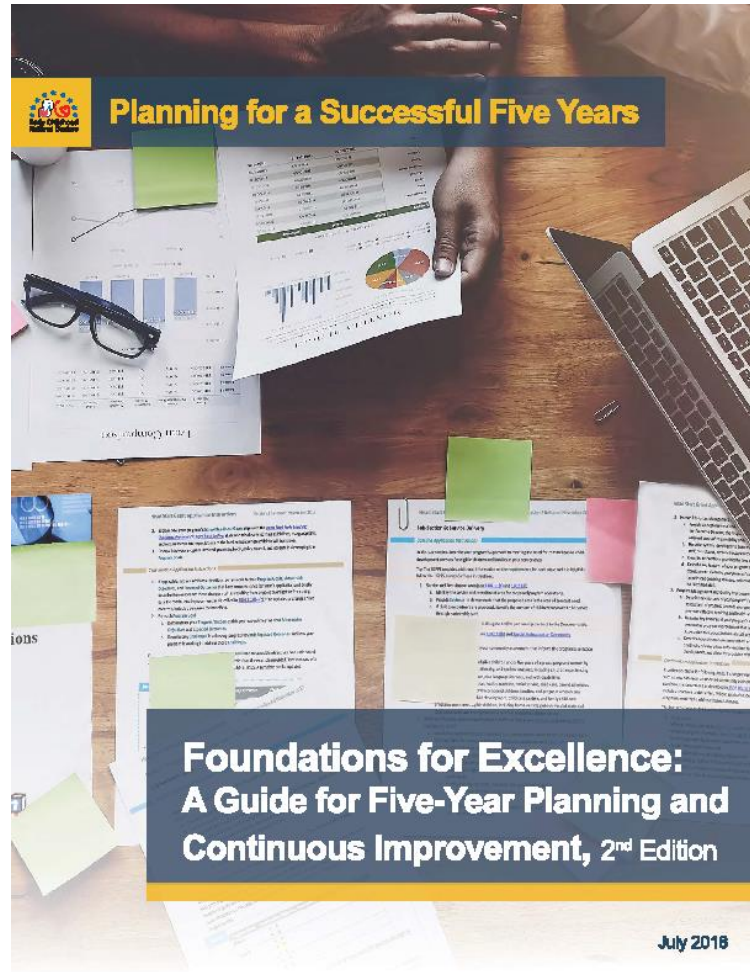
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- Requirement to receive funding
- Contract/agreement with the government
- Road map for the 5 year project period
- Touchpoints during the program year
- Vital record of your Head Start program's vision, accomplishments and challenges





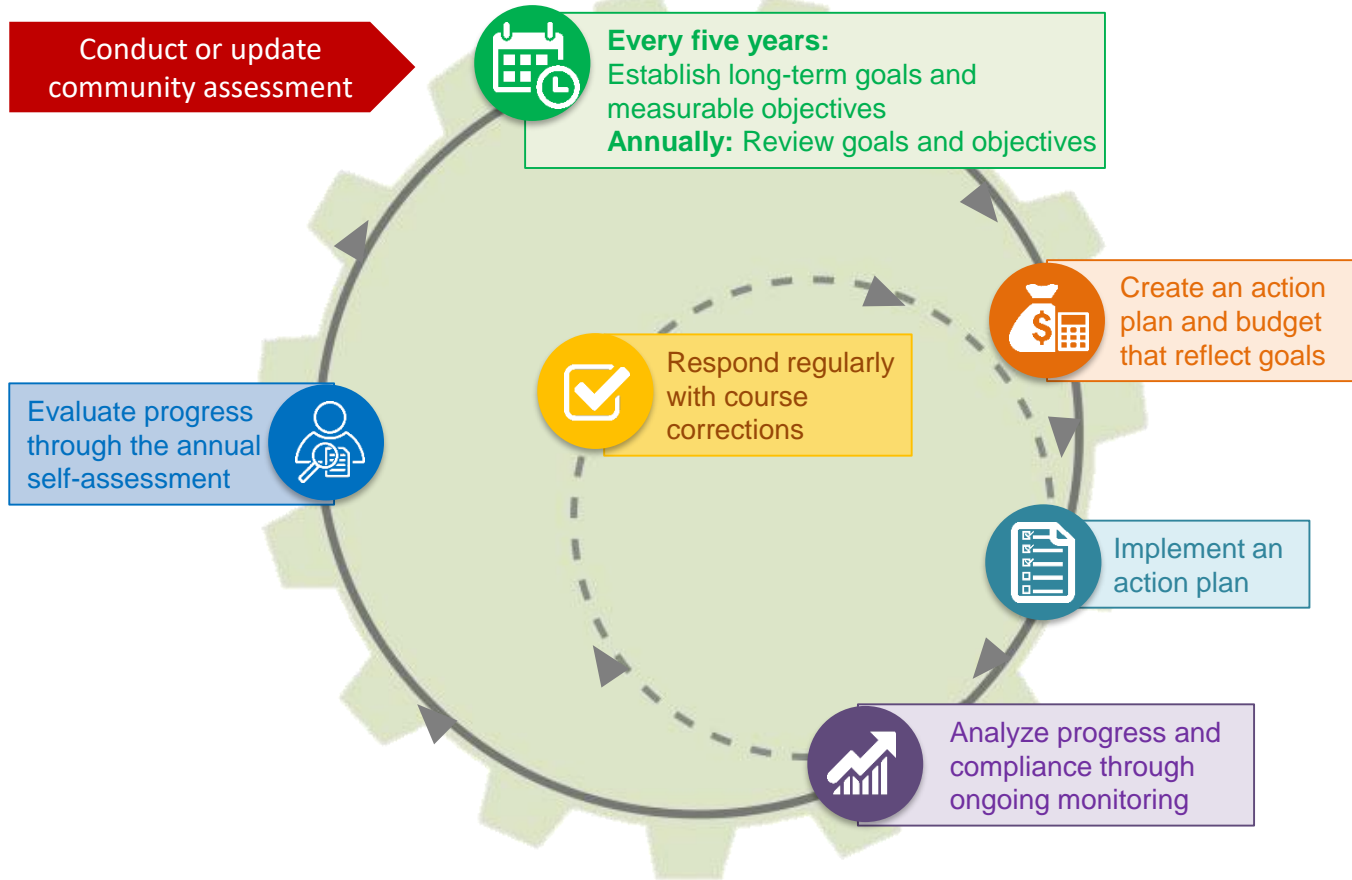
# Foundations for Excellence



<https://eclkc.ohs.acf.hhs.gov/sites/default/files/pdf/foundations-for-excellence-complete-guide.pdf>



# Program Planning for Continuous Improvement





# Application Instructions



## **Head Start Grant Application Instructions with Guidance**

Version 3

*Released November 2017*



ADMINISTRATION FOR  
**CHILDREN & FAMILIES**



# Application Instructions – Version 3

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- Released in November 2017, effective with June 2018 AFM
- Aligned with new Head Start Program Performance Standards
- Closely integrated with Foundations for Excellence released in July 2018.
- Includes detailed instructions for Baseline and Continuation Grant Applications
- Available in Head Start Enterprise System under “Financials” tab



# Application Instructions – Version 3

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- I. Program Design & Approach to Service Delivery
  - Subsection A: Goals
  - Subsection B: Service Delivery
  - Sub section C: Governance, Organizational, and Management Structures
  
- II. Budget and Budget Justification Narrative
  
- III. Supplemental Documents



## Subsection A Goals - Baseline

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- Three Major Components
  - Program Goals (BROAD)
  - Measurable Objectives (SMART)
  - Expected Outcomes
- Driven by Mission and Values
- Foundation of the 5 Year Project Period
- Serves as your GPS



## Subsection A Goals - Baseline

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### Program Goals – Areas for Growth

- Compliance driven
- Addresses current challenges vs future vision
- Integration of school readiness and health
- Process focused
- Too many



# Subsection A Goals - Baseline

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## Measurable Objectives – Areas for Growth

- Comprehensive objectives
- Articulating measurable progress

## Expected Outcomes – Areas for Growth

- Process vs. Results Focus





# Subsection A Goals - Continuation

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## Areas for Growth

- Updates to measurable objectives and expected outcomes
- Demonstrating Progress and Outcomes toward meeting the Measurable Objectives and Expected Outcomes
- Identifying challenges and explaining how the program is working to address them.



## Subsection B Service Delivery - Baseline

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### 12 Areas within the Instructions:

1. Service and Recruitment Area
2. Needs of Children and Families
3. Proposed Program Option(s) and Funded Enrollment Slots
4. Centers and Facilities
5. Recruitment, Selection, Enrollment, and Attendance
6. Education and Child Development
7. Health



## Subsection B Service Delivery- Baseline

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Service Delivery (Continued):

8. Family and Community Engagement

9. Services for Children with Disabilities

10. Transition

11. Services to Enrolled Pregnant Women

12. Transportation



## Subsection B Service Delivery- Baseline

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### Areas for Growth

1 & 2. Service Area and Needs of Children and Families

3b. Locally Designed Options (LDOs)

3d. Changes in Funded Enrollment

8c. Selecting a research-based parenting curriculum

<https://eclkc.ohs.acf.hhs.gov/sites/default/files/pdf/choosing-parenting-curriculum-for-your-program.pdf>



## Subsection B Service Delivery – Continuation

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### Areas for Growth

- “No Updates or changes indicated.”
- Ensuring that updates and changes reflect the data at hand, i.e. school readiness, self-assessment, community assessment and PIR.
- 3d. LDOs and Funded Enrollment Changes



## Subsection C Governance, Organizational and Management Structures - Baseline

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### Includes:

#### 1. Governance

- Structure
- Process
- Relationships

#### 2. Human Resources Management

- Organizational Structure
- Background checks
- Staff training and professional development



## Subsection C Governance, Organizational and Management Structures - Baseline

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### Includes:

### 3. Program Management and Quality Improvement

- Oversight and Measuring Progress
- Data Driven Continuous Quality Improvement
- Budget and Staffing to Ensure High Quality Services



## Subsection C Governance, Organizational and Management Structures - Baseline

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### Areas for Growth:

1. Governance
  - Composition reflecting community and key program areas
2. Human Resources Management
  - 2b. Background checks and challenges with state situations
  - 2d. Approach to staff training and professional development integrated with T/TA plan and budget.
  - 2d. Implementation of research-based coaching strategy
3. Program Management and Quality Improvement
  - 3c. Budgeting and staffing to meet new or changing models, ensuring staff are fully supported.





## Subsection C Governance, Organizational and Management Structures - Continuation

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### Areas for Growth:

- “No updates or changes indicated.”
- Updates and information on corrective actions from ongoing oversight.



## Section II – Budget and Budget Justification

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### 11 Elements:

1. Budget narrative and justification
2. Subrecipient and partnerships
3. COLA (if applicable)
4. Key features of internal controls and financial oversight
5. Non-federal match
6. Waiver of non-federal match
7. Waiver of 15 percent administrative cost limitation
8. Budget details for change in enrollment
9. Conversion budget details
10. Facilities purchase, construction or major renovation
11. Procurement procedures for equipment purchases.



## Section II – Budget and Budget Justification

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### Areas for Growth:

- Ensuring all 11 elements are fully addressed.
- Complete descriptions of internal controls and financial management systems (Item 4)
- Inconsistencies between HSES Budget Tab and budget narrative.
- More detailed in budget narrative/detail including methodologies for federal and non-federal costs.
- Calculation/application of administrative and indirect costs or allocation of costs.



## Supplemental Documentation

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- Program and budget narratives
- Results of Self-assessment and Improvement Plan
- Governing Board and Policy Council Decisions
- Selection Criteria
- Cost allocation plan
- Training and technical assistance plan
- Annual report to the public
- Sample contracts
- Indirect Cost Rate Agreement
- Other Documents



# Questions

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- How much detail is necessary for the budget narrative?
- When writing a baseline application, Sub-section B: Service Delivery #2 asks us to refer to 1302.00(b) and Special Instruction on Community Assessment. What does Special Instruction on Community Assessment mean? I have looked all through the PPS and cannot find what they are telling us to reference.
- What are the guidelines for continuing grants and what is required? Are there any new focus areas to we need to be aware of?"
- As a grantee that has only Head Start, I would like to have Early Head Start also. What are some suggestions for converting some HS slots to EHS when you have no history of EHS?



# Questions

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- What is the process for writing a new grant at the end of the 5 year grant?
- If we are nearing the end of our 5 year grant cycle and have sub-recipient, should we structure the final contract with them thru the NOA end date or for the entire year to match the refunding application that was submitted?



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# More Questions?

