

PDM Reviewer Guides – Governing Body Member Interview

Sample Responses Prepared on August 24, 2010

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Self Assessment and Program Planning

➤ **In conducting the Self Assessment, what actions are taken when instances of noncompliance with Federal requirements are discovered? (PDM3A)**

- Directors assess issues, take to Board and inform the corrective actions. Board discusses whether the CAP is sufficient or not.
- Follow-up with management or the CAP and on-going.
- Check if CAP is sustainable.
- The Board assumes the corrections are made and that follow-up happens.
- Corrective Action Plan CAP
- Accountable: When Health & Safety issues exist they will be fixed immediately. Plans of corrective action will be made.
- Are conducted in a timely manner for all non-compliance.
- Plans for corrective action; who is involved; timetable for completion; outcomes.'

Reporting

➤ **What financial and programmatic reports do you receive? When do you receive them? (FIS5C, PDM1C)**

➤ **What information do the reports you receive include? Are they clear and comprehensive? (PDM1C, FIS5C)**

➤ **How do the reports help you keep track of the program's progress? (PDM1C, FIS5C)**

➤ **If you have questions about reports, who answers your questions? (PDM1C)**

- Board Agenda booklets and the Financial Reports.
- Financial; executive reports; direction of service; health; PC report, etc.
- Status; new information; program planning/implementation activities; assessments; monitoring/communication to/from grantee, etc.
- Very clean and understandable to read.
- Updated, DREPS keep us informed of progress of students in program; child development and outcomes changes and revisions in program.
- Director
- Staff monthly visits to Board/Department Coordinator.
- Monthly reports; HS and whole agency updates.
- MONTHLY: Monthly Cost Report, cool position, policy committee report, personnel report, fiscal and accounting department reports to internal control, reports or self assessment and payment status relative to non-compliance with federal requirements.

Governing Body Responsibilities

➤ **How does the governing body review applications for funding and amendments to applications for funding? (PDM1D)**

- It is a process-through.
- Staff presents it to BOD.
- PC/BOD met with staff to go line-item by line-item to re-access the application.
- Present to BOD/PC for approval.
- Amendments: sent out to the PC/BOD prior to the meetings. Finance Committee BOD review the RAP/BAR for clarification then it's presented to the BOD. Finance Committee either recommends approval or disapproval.
- Governing Board review and approve applications and amendments.
- Review material provided by the director; decisions are made by motions and voting procedures with opportunities for questions before decisions are made.
- The committee reviews the sections of the application after their content areas; the final document is reviewed by all and approved before it is submitted to the grantee.
- At end of year—joint training with Board Members and Policy Committee—Annual Training Program; Policy Committee Officers are elected for the following year; Community Assessment with PC, Board and Community Partners.

➤ **Can you describe the process of reviewing and approving the program's progress in carrying out the grant application provisions? (PDM1E)**

- Monthly Directors Report: Evaluation reports, Budget reports, program reports, PC rep on Board, School District have PC member attend but not voting member.

➤ **What procedures has the governing body developed for selecting Policy Council members? (PDM1D)**

- Grantee Level.
- Bylaws.
- The bylaws for PC and Board.
- Elections are held annually for PC members. Select from parent of children participating in the program. Names are sent to Board after PC has made selection.

➤ **How do you review and approve personnel policies regarding hiring, evaluation, compensation, and termination of employees? Additionally, how are such policies reviewed and approved for the Executive Director, Head Start Director, Director of Human Resources, and Chief Financial Officer or any other person in an equivalent position with the agency? (PDM1E)**

- BOD has a personnel committee that reviews the case by case scenarios. When it's presented to the BOD it's done in close session. Many of times the individual (if terminated) is sent a letter informing of when BOD is going to meet.
- Policy: Under the Personnel Policy are currently being written.
- Personnel Committee (BOD) brought to BOD general session for action. This is also brought to the PC.

- Board of Education approves all HS hires; Board of Directors reviews and approves personnel manual, interview HS director and CFO.
- Personnel Committee, Policy Committee, and Board of Directors.

➤ **Has the governing body established procedures and criteria for recruiting, selecting, and enrolling children? (PDM1D)**

- Advertise and beat the buses during recruitment periods.
- The selection criteria are brought forth to the BOD for review and approval.
- Yes—the Board receives and reviews the ERSEA Plan.
- Approved annually as part of the refunding application.
- Yes, review at refunding.
- Each year in the month of December the staff presents the selection criteria.
- Yes.

➤ **How are you given the opportunity to review the results from monitoring, including appropriate follow-up activities? (PDM1E)**

- Directors provide BOD with reports.
- Questions are made for this session, perhaps a CAP is requested. Follow-up.
- Program Report activities given to Board—as well as Self Assessment Report and Plan of Action for Follow-up.
- Activities are follow-up through.
- Through monthly status reports provided by the Program Director of the Head Start Program.

➤ **What is the process for approving the operating budget? (PDM1F)**

- BAR/RAA—for amendments.
- Refunding application is presented for approval.
- Budget adjustment, BARR-RAA
- Fiscal Report and Expenditures
- Follow Grantee’s requirements for big items >5K.
- PC review voted on approved, Board Agenda, Approval of Board
- Two Board members present one BOD member was from a district and one from a non-profit agency, two different mechanisms in place but both include input from parents and Board.
- Presented to the Board by VP Finance after approval by Finance and Policy Committee. Board approves.
- During Board meeting the budget is presented to the Board and after finance committee approves.
- Annual Refunding application, finance committee, policy committee, board of directors.

➤ **What is the process for approving financial expenditures? (PDM1F)**

- Agenda items for approval, consent or action items.
- Refunding application: approve draft and final after PC; BAR/RAA: if any changes to refunding application.

- BARs

➤ **How do you select independent financial auditors? What do they report to the governing body? (PDM1F)**

- We have a financial committee that oversees this process. The Board approves.
- COO recommends to superintendent then superintendent recommends a selection to the Board.
- Independent auditors are changed every three years/serve on a cycle.
- Sent for inquiries—got three.
- Three resumes presented to Board
- Application to Board
- Board approved
- Letter of Acceptance
- Execution to Obtain Contract
- Engagement later approved and signed by Board
- CFO recommends auditor to Board for approval; results of the financial review are submitted to the Board.
- There is an audit committee for the Board that is responsible for reviewing potential independent auditors and making recommendation to the full Board. Board makes final decision.
- RFP; Financial Committee reviews bid; selected auditor is presented to the Board in a BAR.

➤ **Describe the process for reviewing and approving the annual Self Assessment and financial audit? (PDM1E)**

- Board has general responsibility.
- Board members are involved in actual self assessment and then final report and corrective action plans if necessary. Board and PC have audit report presented—Board approves auditor.

➤ **How do you monitor the program's actions for correcting audit findings and other actions necessary to comply with applicable laws governing financial statement and accounting practices? (PDM1F)**

- Every month in the GRI Report.
- Head Start Director and staff develop reports and submit to district.
- Board Liaison is involved in receiving reports.
- Audit reports are made to Board; items identified out of compliance will have a corrective action made and reported to Board; Board is informed when items are in compliance (this process happens with LACOE also).
- Share CAP for agency for Board and PC and timetable for correction; share actual action when resolved by Board and PC.

Conflict of Interest

➤ **Do members receive compensation (other than reimbursement of out-of-pocket costs) for serving on the governing body or for providing goods and services to the organization? (FIS1A)**

- Absolutely not! Nothing from Head Start is ever used.
- No!
- Board policies (anti-nepotism) and co-mingling is prohibited by Board Policy.
- NO compensation! (We wish!!) Breakfast and lots of reading (knowledge) other compensations are “priceless”.
- School Board receive stipend as elected official.
- Waived.
- NO—non-profit; Yes—District Board Member (exempt)
- No.

➤ **Are you, or is any member of your immediate family, an employee of the grantee or delegate or related to employees of the grantee or delegate? (FIS1A)**

- No.
- No, none of the board members are related to employees of the grantee or delegate.
- No—we follow the law to the letter!! Policy and Procedures 😊
- No.

➤ **Are you aware of any vendor of goods or services in which a governing body member has a financial interest? (FIS1A)** (Note: Exceptions will be made 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 (HS) agency governing body. In such cases, the individual with a conflict of interest as described above will not be prohibited from serving on such body. The HS agency will report the conflict to the Secretary, and, if the position held as a result of public election or political appointment provides compensation, the individual will not be prohibited from receiving such compensation.)

- No—vendors of goods or services in which one of our body members has a financial interest.
- No.

➤ **Does the grantee have a policy with respect to its officers and key employees prohibiting direct or indirect ownership or profit participation in outside business enterprises with which the agency does business? (FIS1A)**

- Yes.
- Yes—Board Members sign.
- Yes.

Training

- **Describe the training that you received and whether you feel it was appropriate to allow you to be effective in your role as a governing body member? (PDM1B)**
 - Attended LACOE training and training for P.C. members. Monthly meeting is training. Request meeting with director. Newly selected PC officers open invitation to all PC meetings.
 - Board Orientation, Grantee trainings, Board members are familiarized with the questions and answers, discussion included to make sure all governing board trainings are included besides delegate and grantee trainings.
 - LACOE Grantee training, Delegate Agencies Annual Board Training: Foundation, Monthly Board Meeting Newsletter Board Training.
 - Yes—from LACOE: Annual Brown Act Training, Board Training, Annual Conferences.
 - For newly appointed Board Member role and responsibilities; annual training to Governing Board.
 - Training was both appropriate and effective—School Board Members need to continue this process.

Composition

- **What is the total number of governing body members serving on the board?**
 - Fifteen members.
 - Five Board Members (education); Seventeen Board Members (non-private)
 - Forty-Five members.
 - Eleven.

- **What is the name and title of the governing body member with a background and expertise in fiscal management or accounting? What qualifications does he/she have? (Note: If no member, is there a consultant agreement to meet requirement?)**
 - Frank Lorah, Consultant; Miguel Rodriguez, Financial Administrator; John Soto, CPA
 - Non-Profit—YES; School Board—NO
 - Refer to District Board Business Manager.
 - Nancy Shellman, CPA; Darry Brown, Banker; Carl Balton, Banker/MBA Finance Acct
 - CPA / Board Member / Consultant

- **What is the name and title of the governing body member with a background and expertise in early childhood education and development? What qualifications does he/she have? (Note: If no member, is there a consultant agreement to meet requirement?)**
 - Sharyn Mohammed, Board VP; Patrick Arel, Teacher; Brigette Thompson, College Professional; Matthew Logan, Teacher; Roselyn Urege, Retired HS Teacher.

- Seek guidance for in-hours education.
- Dr. Karen Hill Scott—Co-Founder of Crystal Stairs, Consultant in Entertainment Industry, Professor at UCLA.
- Child Psychologist.

➤ **What is the name of the governing body member who is a licensed attorney and familiar with issues that come before the governing body? What qualifications does he/she have?** (Note: If no member, is there a consultant agreement to meet requirement?)

- Attorney in at all Board Meetings.
- Michael Logan, Esq. and Patricia Fukiyama, Esq.
- SD—Seek guidance from in-house counsel.
- Teresa Tracy—Familiar with Brown Act/HR/Legal Issues; Stuart Shamus—non-profit/HR/Legal Issues, Partner with Reed Smith.
- Licensed attorney currently a member of the Board.

➤ **Is at least one member of the board a parent of a child currently or formerly enrolled in the Head Start program?**

- Yes—two representatives (current) and four parents (previous)
- Researching this answer.
- Yes.

➤ **Are there members on the Governing Body that represent the Community? Please describe who they are and how they benefit to the program.**

- Antonio Curio, Elsa Flores, Marti Vera, Roselyn Uregan, and Ana Cortez.
- Roberta Jones—President of Guild, Liaison to the Policy Committee, Raises funds to support league; Many Board Members who represent the community.
- Yes—parents and community organizers.