

DOCUMENT RESUME

ED 436 245

PS 028 042

TITLE Planning and Reviewing for Success. Training Guides for the Head Start Learning Community.

INSTITUTION Aspen Systems Corp., Rockville, MD.

SPONS AGENCY Administration for Children, Youth, and Families (DHHS), Washington, DC. Head Start Bureau.

PUB DATE 1999-00-00

NOTE 190p.

CONTRACT 105-94-1582

AVAILABLE FROM U.S. Government Printing Office, Superintendent of Documents, Mail Stop: SSOP, Washington, DC 20402-9328.

PUB TYPE Guides - Non-Classroom (055)

EDRS PRICE MF01/PC08 Plus Postage.

DESCRIPTORS Administration; Administrator Guides; Administrators; *Planning; Preschool Education; Program Evaluation; *Self Evaluation (Groups); Training

IDENTIFIERS *Project Head Start

ABSTRACT

This guide offers Head Start staff a blueprint for developing the skills and methods necessary for a Head Start program's planning and review process. The guide stresses the need for Head Start administrative and managerial leadership to maintain a holistic, integrated approach; use the strength and resources of Head Start team members; identify the reasons for plans and decisions made by programs and identify their multiple effects; review operations and program implementation for conformity with proposed plans and regulatory requirements; and review the long-term consequences of program decisions for Head Start participants. The guide consists of four modules: (1) "Plan to Plan"; (2) "Take Stock"; (3) "Propose Directions and Adopt Plans"; and (4) "Review." Each module includes "outcomes," "key concepts," and "background information." The guide includes various formats for training: workshop activities, coaching activities, next step activities for applying the skills to individual programs, and continuing professional development activities. The final sections of the guide contain an annotated list of 19 resources that trainers and participants can use to expand their knowledge and an appendix containing worksheets that can serve as guidelines when participants apply the recommendations to their own programs. (EV)

Reproductions supplied by EDRS are the best that can be made
from the original document.

U.S. DEPARTMENT OF EDUCATION
Office of Educational Research and Improvement
EDUCATIONAL RESOURCES INFORMATION
CENTER (ERIC)

☒ This document has been reproduced as
received from the person or organization
originating it

☐ Minor changes have been made to
improve reproduction quality

• Points of view or opinions stated in this
document do not necessarily represent
official OERI position or policy

HEAD START[®]



ED 436 245

Training Guides for the Head Start Learning Community

*Planning and
Reviewing for
Success*



U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
Administration for Children and Families
Administration on Children, Youth and Families
Head Start Bureau

HEAD START®



Planning and Reviewing for Success

*Training Guides for the Head
Start Learning Community*



U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
Administration for Children and Families
Administration on Children, Youth and Families
Head Start Bureau

This national training guide was developed by Aspen Systems Corporation, 2277 Research Boulevard, Rockville, MD 20850 under contract number 105-94-1582 of the Head Start Bureau, Administration for Children and Families, U.S. Department of Health and Human Services. 1999.

Photograph provided courtesy of the Montgomery County Community Action Board,
Montgomery County, Maryland.

Contents

<i>Preface</i>	viii
----------------------	------

<i>Introduction</i>	1
---------------------------	---

Overview	1
<i>Purpose</i>	1
<i>Major Themes</i>	3
<i>Outcomes</i>	3
<i>Audience</i>	4
<i>Performance Standards</i>	4
<i>Organization</i>	5
Definition of Icons	7
At A Glance	8

<i>Module 1: Plan to Plan</i>	13
-------------------------------------	----

<i>Outcomes</i>	15
<i>Key Concepts</i>	15
<i>Background Information</i>	16
<i>Activities</i>	19
Activity 1-1: Planning Is a Team Effort	19
Activity 1-2: The Planning Cycle	22
Activity 1-3: Implementing the Planning Process	24
Activity 1-4: What Does Planning Mean in Head Start? ..	27
<i>Next Steps: Ideas to Extend Practice</i>	29
<i>Handouts</i>	31
Handout 1: Instructions for Observers	31
Handout 2: Instructions for Planning Team	32
Handout 3: Instructions for Implementing Team	33
Handout 4: Planning and Reviewing Process	34
Handout 5: Plan to Plan	35
Handout 6: Take Stock	36
Handout 7: Propose Directions	37
Handout 8: Develop and Adopt Plans	38
Handout 9: Review	39
Handout 10: Sample Planning Calendar	40
Handout 11: Planning Cycle Work Plan	41
Handout 12: Blank Planning Calendar	42
Handout 13: Sample of Community Assessment and Internal Data	43
Handout 14: Data Collection Worksheet	53

Contents

Module 2: Take Stock 55

<i>Outcomes</i>	57
<i>Key Concepts</i>	57
<i>Background Information</i>	58
<i>Activities</i>	61
Activity 2-1: Displaying and Explaining Data	61
Activity 2-2: Interpreting and Analyzing Data	64
Activity 2-3: Identifying Major Issues and Concerns	67
Activity 2-4: Analyzing Data and Summarizing Concerns and Major Issues	69
Activity 2-5: Preparing the CA Outline	71
<i>Next Steps: Ideas to Extend Practice</i>	77
<i>Handouts</i>	79
Handout 15: Gallery of Visuals	79
Handout 16: Planning Team Roles	81
Handout 17: Analyze and Identify Trends	83
Handout 18: Questions to Consider in Compiling and Analyzing CA Data	85
Handout 19: Outline for Community Assessment Report	86

Module 3: Propose Directions and Adopt Plans 87

<i>Outcomes</i>	89
<i>Key Concepts</i>	89
<i>Background Information</i>	90
<i>Activities</i>	99
Activity 3-1: A First Step in Proposing Directions	99
Activity 3-2: Setting and Presenting Goals	102
Activity 3-3: Writing SMART Objectives	106
Activity 3-4: Creating Work Teams and a Written Program Area Plan	108
Activity 3-5: Shared Decision-Making	114
Activity 3-6: Developing a Written Plan with SMART Objectives	116
<i>Next Steps: Ideas to Extend Practice</i>	120
<i>Handouts</i>	123
Handout 20: Using Gap Analysis in Setting Directions ...	123
Handout 21: Using Metaphors in Setting Directions	124
Handout 22: Guidelines for Setting Goals	125
Handout 23: Feedback Sheet	126

Contents

Handout 24: SMART Objectives	127
Handout 25: Guidelines for Developing a Written Program Area Plan	128

Module 4: Review

129

<i>Outcomes</i>	131
<i>Key Concepts</i>	131
<i>Background Information</i>	132
<i>Activities</i>	138
Activity 4-1: What Is Self-Review?	138
Activity 4-2: What Skills Do I Need?	142
Activity 4-3: Self-Review, A Shared Process	144
Activity 4-4: Reviewing Means Results	147
<i>Next Steps: Ideas to Extend Practice</i>	150
<i>Handouts</i>	151
Handout 26: Excerpt from a Written Plan	151

Continuing Professional Development

155

Resources

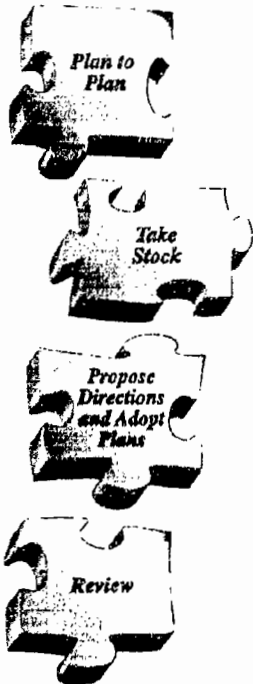
157

Appendix: Worksheets

163

Worksheet 1: Organize the Planning and Reviewing Process ..	165
Worksheet 2: Prepare to Collect Data	167
Worksheet 3: Develop a Data Collection Action Plan	169
Worksheet 4: Compile and Display Data	171
Worksheet 5: Analyze and Identify Trends	173
Worksheet 6: Identify Major Issues and Concerns	175
Worksheet 7: Write a Report of Your Findings	177
Worksheet 8: Perform a Gap Analysis	179
Worksheet 9: Develop Guidelines for the Statement of Program Goals and Objectives	181
Worksheet 10: Set Major Goals	183
Worksheet 11: Create the Ideal Work Team	185
Worksheet 12: Develop Guidelines for a Program Area Plan ..	187
Worksheet 13: Write SMART Objectives	189
Worksheet 14: Plan to Review	191

Preface



The first time last year that I met with other members of our Head Start program to create a planning team, I was not sure what a planning team was all about. Some things we wondered about during our first meeting were "What is our function? Do we have the resources we need in terms of people skills, information, and technology? How do we approach the task of developing a process for planning and reviewing in our Head Start program?" But soon the pieces in the planning and reviewing puzzle started to make sense. When I heard someone mention that we were going to **plan to plan** and develop an action plan to collect data, I realized work was beginning on the first step in the puzzle.

I am a center manager from one of the rural areas and had never been exposed to the big picture program-wide. My eyes were opened when I was asked to meet with staff and parents from other areas in our program, central office staff, and a board member for several months to get the planning and reviewing process established. Besides looking at mountains of data about our county and our program, we also learned how to analyze this information, looking for trends and identifying major issues and concerns. It became clear that the next piece in the puzzle was to **take stock** of our community and our program.

After several months of meetings and hard work, we were finally able to see some of the emerging areas that our program needed to address. For example, we recognized from a review of health department data, Program Information Report (PIR) statistics, and our most recent self-assessment that children and families were having recurring infections of the skin, ears, and upper respiratory system. We were able to recommend that the program address this issue as a priority area and we developed a long-range goal to

focus on education and changing behavior to reduce the incidence of infection.

In our coordinated planning process with the grantee board (Community Wellness Corporation), we were able to develop strategies that included other partners throughout Hamilton County. We held town meetings and notified the community with public service announcements and flyers in several languages. We used lots of visuals to get our message across about issues facing our community. This part of the process helped us to get input from the families who will be most affected by the plans we adopt. From this input we developed goals and objectives. We were able to provide better and more specific information in our recruitment process and to better target our selection criteria.

Our program area plan includes activities and tasks that relate to our goals and objectives. The program design and options we have operated for 15 years will be changed as a result of this process. We clearly see that the needs of families in our service area are vastly different now. All of these activities were part of our process to **propose directions and adopt plans**, the critical phase in the planning and reviewing puzzle when we made commitments to the community.

Now, one year later, we are realizing the fruits of our efforts. With cooperation from the health department, the local medical society, and our own Health Services Advisory Committee, special attention is focused on the causes of the recurring infections in children. We have mounted a countywide campaign to educate the community about the hazards of secondhand smoke, particularly for children with respiratory problems. Doctors who serve Head Start children have agreed to focus attention on these issues and to suggest preventive actions parents can take whenever a child is brought in for an appointment.

At this point we are actively involved in the final piece of the planning puzzle, **review**. We have monitored our progress throughout the year and recently completed our self-assessment. Our reports to the board and Policy Council kept them updated. The results of our self-assessment indicate that the issues we chose to address are fully incorporated into our program.

What I learned from my year on the planning team is that a dream can become a reality with a planning and reviewing process that asks: "What can we do better? How can our services be more integrated and effortless? What changes can we make to be more responsive to the issues affecting our children and their families?"

—Remarks from a Head Start Center Manager

Preface

The architects of Head Start built on a foundation of research and analysis. What they proposed was a dream that had never been tested. The ideas came from a multidisciplinary group of individuals, each bringing his or her own piece of the puzzle . . . the child development piece, the health services piece, the family and community pieces, and the management piece, and interlocking them in an integrated service delivery system. The process used by that founding group resembles the work of planning and reviewing in Head Start.

Planning and reviewing involves an ongoing process with peaks of intensity during critical periods. *Planning to plan* requires all of the key players to be involved and that the best way to collect data about the community needs to be determined. The trends and critical issues impacting children and families that are obtained from the data provide a context for planners to identify the kinds of services needed in light of those already available in the community. Program leaders *take stock* when they interpret internal and external data to make recommendations for the program. They rely on their vision of a better tomorrow when they *propose directions and adopt plans* for where the program should be going and how it can get there. To stay on track, programs rely on the *review* process.

We have built a tall monument of success from the visions of the original architects. Head Start's commitment to meet the needs of those we serve drives the planning process. From the Community Assessment (CA) of what the community has and needs, to monitoring and self-assessing how well the program is operating, Head Start leaders are focused on improving services. Like a puzzle, all the individual pieces—collecting and analyzing CA data, developing goals and objectives, monitoring and self-assessment activities—fit together to build a beautiful design.

Planning and Reviewing for Success offers a blueprint for developing the skills and methods for a program's planning process. It recognizes the contribution of all the stakeholders in Head Start and builds in a review process that is part of one continuous cycle of success.

Introduction

Overview

Purpose

The mission of Head Start programs is to identify children and families that need comprehensive services, determine services that best fit the identified need, and deliver the services in a high-quality fashion. To accomplish this, Head Start staff, parents, policy groups, and governing bodies must have structures and systems in place that promote the ongoing and dynamic cycle of meeting these needs. This Training Guide, *Planning and Reviewing for Success*, represents both the beginning and the end of a cycle; like a cycle, planning and reviewing is a continual process of asking these important questions:

- What are our priorities?
- Are we focused on the needs of children and families in our community?
- How do we implement services that meet their needs?
- What internal and external changes do we need to make to achieve optimal service delivery?

Thus the end of one cycle is the beginning of the next.

Planning involves many skills, such as thinking analytically, using good judgment, and demonstrating a capacity to learn from experience while looking to the future. Planning also involves creativity and instinct, a willingness to change directions, and, at times, taking a calculated risk.

There are two ways to look at planning in Head Start: it is both a process that contributes to continuous improvement and a process that produces written documents or products. Head Start regulations call for developing several different planning products, including the Community Assessment (CA), program goals and objectives, and program area plan(s) for implementing services. The products are created through the planning process, and the process lives on even after the internal planning documents have been written and approved. Many of the activities in this Guide deal with developing the products, but the focus is on the *process of planning and reviewing*. It is this *process* that keeps the management team asking the important questions about how to best meet the needs of children and families.

Introduction

This Guide provides the key knowledge and promotes the key skills related to planning and reviewing that the Head Start community needs to succeed in an increasingly complex, changing environment.

Planning and Reviewing for Success stresses the need for Head Start administrative and managerial leadership to:

- *Maintain a holistic, integrated approach* by thinking about the *entire process* as well as the *individual steps*. Using this approach makes:
 - The *products*, such as program goals, objectives, strategies, area plans, and collaboration and partnership agreements, more effective.
 - The solutions to complex problems easier to understand and discuss.
- *Use the strength and resources of Head Start team members*—the governing body, the Policy Committee/Policy Council, program and agency staff, community partners, and alliances—in planning and reviewing.
- *Identify the reasons for the plans and decisions* made by programs and identify their *multiple effects*. Analyzing these issues makes it easier to detect potential future problems and determine how to respond.
- *Review operations* and program implementation for conformity with proposed plans and regulatory requirements.
- *Review the long-term consequences* of Head Start program decision-making that impact the lives of children, families, and the community at large.

Planning and Reviewing for Success attempts to satisfy the needs for both educational and training materials related to program development. The Guide's objective is to meet the needs of the Head Start learning community both for a process guide that helps Head Start participants develop skills that translate into quality practices and products, and for a how-to text that incorporates sound planning theories and methodologies.

This Training Guide provides concrete, practical information that can be used within the current context of a local program's unique history, issues, resources, and priorities. Programs can choose how they want to integrate the suggested process into their current planning and

Introduction

reviewing procedures. The **Next Steps** activities encourage readers to use program data and activities to structure their learning experiences. Although the Head Start community is diverse, this Guide provides general information on elements of planning and reviewing that is relevant to all programs.

Major Themes

- Planning and reviewing is an *ongoing process*. The level of activity will vary during the program year.
- *Organizational systems and the community environment significantly affect* services to children and families. The planning process interprets what the community offers and what families need so that services can be developed accordingly.
- Head Start managers and program leaders need to develop an *integrated approach* to the planning and reviewing process. They need to select the methods, tools, and resources they will use during the various stages in the process. In addition, they need to determine how to interact with all the groups and key individuals involved in the process.
- An effective planning and reviewing process inspires *teamwork* and leads to *informed decision-making* within a Head Start program. This process should include the governing body, Policy Council/Policy Committee, staff, parents, and community partners.
- Programs can use the information they obtain to *enhance the quality* of their services. By using this, programs are better able to decide how Head Start can work with other agencies and community partners to address the opportunities and challenges confronting children and families in the Head Start program.

Outcomes

After completing this Guide, participants will be able to:

- Identify the steps involved in the planning and reviewing process.
- Identify the roles individuals and groups have in developing and maintaining the Head Start planning and reviewing process.
- Develop and use skills that support effective planning and reviewing activities.
- Apply the steps to developing products such as community and program goals and objectives; plans for program areas, including program curricula, activities, and events; funding applications; recruitment and enrollment plans; program operating budgets and

Introduction

reports; organizational and management staff plans; and community partnership agreements.

With the exception of developing program goals and objectives, each of the operational plans and agreements listed above describes *how* the agency organizes its services and internal procedures for efficient and effective service delivery.

Audience

This is a Guide for Head Start directors, management teams, Policy Councils and Policy Committees, governing bodies, and Executive directors.

Performance Standards

The *Head Start Program Performance Standards* specify requirements for program planning and CA that are incorporated into the learning activities in this Guide. Planning regulations seek the following program responses:

- Develop a systematic ongoing process for program planning in consultation with:
 - Governing bodies.
 - Policy Councils/Policy Committees.
 - Program staff.
 - Community groups and agencies serving Head Start-eligible families and other low-income families with young children.
- Assess community strengths, needs, and resources.
- Formulate multiyear program goals and short-term program and financial objectives.
- Develop program area plan(s) for implementing services in each program area.

Head Start regulations on program self-assessment and ongoing monitoring direct programs to:

- Establish and implement procedures for ongoing monitoring.
- Conduct an annual self-assessment of their progress toward meeting program goals and federal regulations.

Introduction

Organization

Planning and Reviewing for Success consists of four modules. Each module includes **Outcomes**, **Key Concepts**, and **Background Information** that support the Guide outcomes. **Module Outcomes** identify the skills participants will develop through completing the activities in the module. **Key Concepts** outline the important ideas that participants need to learn to achieve the training outcomes. The **Background Information** expands on the **Key Concepts** and provides a context for the training activities.

This Training Guide also includes various formats for training: workshop activities, coaching activities, next step activities for applying the skills developed in each module to a program's planning process, and continuing professional development activities. The final sections consist of an annotated list of resources that trainers and participants can use to expand their knowledge and an appendix containing worksheets that can serve as guidelines when participants apply the steps to their own programs.

The following modules are included in this Guide:

- **Module 1: *Plan to Plan***

This module presents sequential steps in the planning and reviewing process and clarifies the roles and responsibilities of Head Start leaders in promoting program planning and continuous improvement. The activities provide information on establishing planning teams, understanding the steps in the planning cycle, and determining significant data to collect for the CA.

- **Module 2: *Take Stock***

This module helps participants understand how to use community data and external program data. Participants practice displaying and analyzing data to identify trends and major issues relevant to the Head Start-eligible population. Finally, participants compile their findings in a draft outline for a Community Assessment Report.

- **Module 3: *Propose Directions and Adopt Plans***

After analyzing the data and identifying major issues and concerns, participants are ready to focus on formulating goals, objectives, and plans. They see how goals and objectives influence the development of varied operational plans. These operational plans describe service delivery, organizing systems and procedures, and coordinating Head Start services with services of other agencies. When these steps are completed, programs are ready to implement their plans.

Introduction

- **Module 4: Review**

This module focuses on the review process. It discusses ongoing monitoring and assessing goals and objectives to determine the impact of an agency's services. Participants examine who should be involved in these processes, including the roles of governing bodies and Policy Committees/Policy Councils.

Planning and Reviewing for Success reinforces the Head Start philosophy that learning is an ongoing process for individuals and organizations and that staff, parents, Policy Councils/Policy Committees, and governing bodies must continuously improve how they meet the needs of children, families, and communities.

Introduction

Definition of Icons

Coaching



A training strategy that fosters the development of skills through tailored instruction, demonstrations, practice, and feedback. The activities are written for a coach to work closely with one to three participants.

Workshop



A facilitated group training strategy that fosters the development of skills through activities that build on learning through group interaction. These activities are written for up to twenty-five participants working in small or large groups with one or two trainers.

Next Steps: Ideas to Extend Practice



These are additional activities assigned by the trainer immediately following the completion of the module to help participants review key information, practice skills, and examine their progress toward expected outcomes of the module.

Continuing Professional Development



These are follow-up activities for the program to support continued staff development in the regular use of the skills addressed in a particular Training Guide. The activities include:

- (1) Opportunities for the participant to continue building on the skills learned in the training
- (2) Ways to identify new skills and knowledge needed to expand and/or complement these skills through opportunities in such areas as higher education, credentialing, or community educational programs

Introduction

At A Glance

Modules	Activity	Time	Materials
Module 1: Plan to Plan	(W) Activity 1-1: Planning Is a Team Effort	2 hours	<i>Handout 1: Instructions for Observers</i> <i>Handout 2: Instructions for Planning Team</i> <i>Handout 3: Instructions for Implementing Team</i> Lego structure and Lego pieces
	(W) Activity 1-2: The Planning Cycle	70 minutes	<i>Handout 4: Planning and Reviewing Process</i> <i>Handout 5: Plan to Plan</i> <i>Handout 6: Take Stock</i> <i>Handout 7: Propose Directions</i> <i>Handout 8: Develop and Adopt Plans</i> <i>Handout 9: Review</i> Chart paper, markers, and tape
	(W) Activity 1-3: Implementing the Planning Process	Session 1: The Work Plan 70 minutes Session 2: The Data 2 hours	<i>Handout 4: Planning and Reviewing Process</i> <i>Handout 10: Sample Planning Calendar</i> <i>Handout 11: Planning Cycle Work Plan</i> <i>Handout 12: Blank Planning Calendar</i> <i>Handout 13: Sample of Community Assessment and Internal Data</i> Chart paper, markers, and tape

Introduction

Modules	Activity	Time	Materials
<i>Module 1: Plan to Plan (Continued)</i>	(C) Activity 1-4: What Does Planning Mean in Head Start?	70 minutes	<i>Background Information for Module 1</i> <i>Handout 4: Planning and Reviewing Process</i> <i>Handout 5: Plan to Plan</i> <i>Handout 6: Take Stock</i> <i>Handout 7: Propose Directions</i> <i>Handout 8: Develop and Adopt Plans</i> <i>Handout 9: Review</i> <i>Handout 14: Data Collection Worksheet</i>
	(W) Activity 2-1: Displaying and Explaining Data	2 hours	<i>Handout 13: Sample of Community Assessment and Internal Data</i> <i>Handout 15: Gallery of Visuals</i> Chart paper, markers, and tape
	(C) Activity 2-2: Interpreting and Analyzing Data	90 minutes	<i>Handout 13: Sample of Community Assessment and Internal Data</i> (extra copies) <i>Handout 16: Planning Team Roles</i> <i>Handout 17: Analyze and Identify Trends</i>
	(W) Activity 2-3: Identifying Major Issues and Concerns	90 minutes	<i>Handout 13: Sample of Community Assessment and Internal Data</i> (extra copies) <i>Handout 16: Planning Team Roles</i> Chart paper from Activity 2-2, Step 3 Chart paper, markers, and tape
<i>Module 2: Take Stock</i>	(C) Activity 2-4: Analyzing Data and Summarizing Concerns and Major Issues	90 minutes	<i>Handout 13: Sample of Community Assessment and Internal Data</i> (extra copies) <i>Handout 18: Questions to Consider in Compiling and Analyzing CA Data</i>

Introduction

Modules	Activity	Time	Materials
<i>Module 2: Take Stock (Continued)</i>	(W) Activity 2-5: Preparing the CA Outline	2 hours	<i>Handout 13: Sample of Community Assessment and Internal Data</i> (extra copies) <i>Handout 19: Outline for Community Assessment Report</i> Sets of pre-labeled index cards
<i>Module 3: Propose Directions and Adopt Plans</i>	(C) Activity 3-1: A First Step in Proposing Directions	90 minutes	<i>Handout 20: Using Gap Analysis in Setting Directions</i> <i>Handout 21: Using Metaphors in Setting Directions</i>
	(W) Activity 3-2: Setting and Presenting Goals	2 hours	<i>Handout 13: Sample of Community Assessment and Internal Data</i> (extra copies) <i>Handout 22: Guidelines for Setting Goals</i> <i>Handout 23: Feedback Sheet</i> Chart paper used in Activity 2-3 Chart paper, markers, and tape
	(W) Activity 3-3: Writing SMART Objectives	90 minutes	<i>Handout 24: SMART Objectives</i> Chart paper used in Activity 3-2, Step 7, Set Goals Chart paper, markers, and tape
	(W) Activity 3-4: Creating Work Teams and a Written Program Area Plan	Session 1: Creating the Ideal Program Area Work Team 1 hour, 40 minutes	<i>Handout 13: Sample of Community Assessment and Internal Data</i> (extra copies) <i>Copies of Head Start Program Performance Standards for Parts 1304.52, (k)(1)-(3)</i> Chart paper, markers, and tape

Introduction

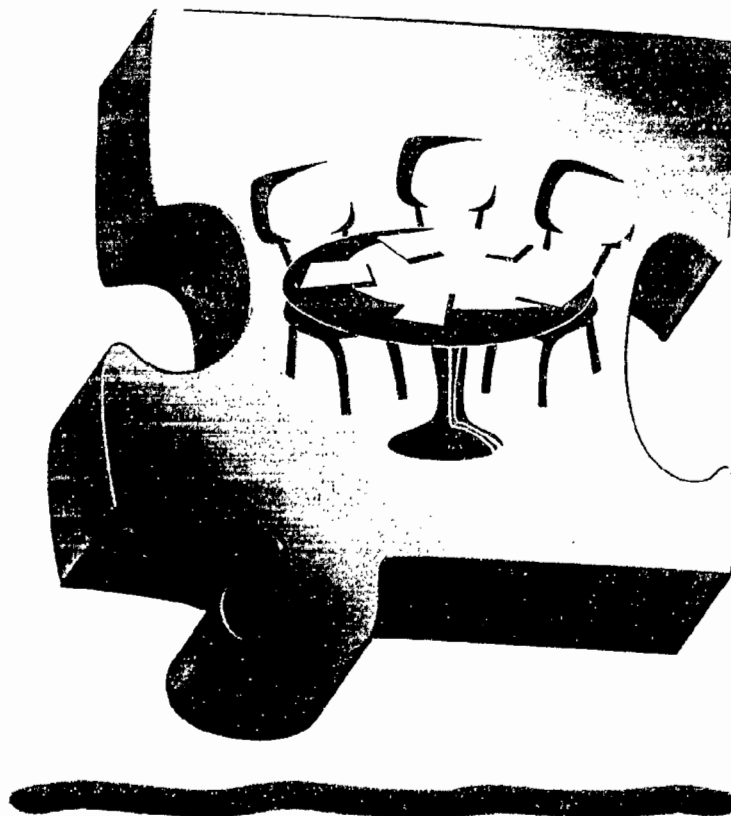
Modules	Activity	Time	Materials
Module 3: Propose Directions and Adopt Plans (Continued)	(W) Activity 3-4: Creating Work Teams and a Written Program Area Plan	Session 2: Developing Part of a Program Area Plan 1 hour, 40 minutes	<i>Head Start Program Performance Standards for Parts 1304.52, (k)(1)-(3) (extra copies)</i> <i>Handout 24: SMART Objectives</i> <i>Handout 25: Guidelines for Developing a Written Program Area Plan</i> Chart paper prepared in Session 1, Step 2 and Step 5
	(W) Activity 3-5: Shared Decision-Making	90 minutes	Copies of <i>Head Start Program Regulations and Program Guidance for Parts 1304 and 1308, 1304.50, Appendix A: Governance and Management Responsibilities</i> , p. 175 and p. 177, <i>Key and Definitions as Used in Chart</i>
	(C) Activity 3-6: Developing a Written Plan with SMART Objectives	2 hours, 15 minutes	<i>Head Start Program Performance Standards for Parts 1304.52, (k)(1)-(3) (extra copies)</i> <i>Handout 13: Sample of Community and Internal Assessment Data (extra copies)</i> <i>Handout 24: SMART Objectives</i> <i>Handout 25: Guidelines for Developing a Written Program Area Plan</i>
Module 4: Review	(W) Activity 4-1: What Is Self-Review?	2 hours	<i>Handout 26: Excerpt from a Written Plan</i> Hats, badges, or signs labeled <i>Monitoring Maven</i> for each participant Chart paper, markers, and tape
	(W) Activity 4-2: What Skills Do I Need?	1 hour	Chart paper, markers, and tape

Introduction

Modules	Activity	Time	Materials
Module 4: Review (Continued)	(W) Activity 4-3: Self-Review, A Shared Process	1 hour, 45 minutes	
	(C) Activity 4-4: Reviewing Means Results	Session 1: What Is Self- Review? 90 minutes Session 2: Reviewing Is a Shared Process 1 hour	<i>Background Information for Module 4</i> <i>Handout 26: Excerpt from a Written Plan</i>

C = Coaching Activities
W = Workshop Activities

Plan to Plan



Plan to Plan

Outcomes

After completing this module, participants will be able to:

- Identify the responsibilities of leaders to understand and promote program planning and review the results that grantees and delegate agencies achieve.
- Describe the significant steps in Head Start planning and reviewing as well as the skills and tasks involved in making this process successful.
- Develop a workplan, determine the data to collect for a Community Assessment (CA), and identify how to obtain and use CA data.

Key Concepts

- Planning is a multifaceted, dynamic, and ongoing activity that helps formalize interactions between systems and people. Agencies that plan well are better equipped to meet the unexpected and create a vision for the future.
- Effective leaders play a key role in the Head Start planning and reviewing process. Planning provides the opportunity for leaders in the program, including members of the governing body and Policy Council/Policy Committee as well as the Executive director and Head Start director to commit to specific targeted plans and activities.
- Grantees with delegate agencies must establish the parameters for planning, not only for themselves but also for their delegate agencies. They must advise the delegates on how to integrate their planning activities.
- The ideal planning process in the Head Start learning community consists of sequential steps: *Plan, Take Stock, Propose Directions, Develop and Adopt Plans*, and *Review*.
- Data is essential in helping planning teams analyze their environment, make decisions and recommendations, and establish a baseline to review improvements. Planning teams need to determine what CA data they need to collect, how to obtain it, and the data's significance.

Module 1

Background Information

Planning and reviewing are the starting and ending points of the *ongoing* cycle of delivering high-quality Head Start services. This module provides an overview of the process and the many benefits programs derive from it.

The planning process focuses attention on the program's most critical challenges and opportunities. Leaders can gain insight into the future direction of their agency's programs and services and the way they affect the community at large. Planning provides an opportunity for program leaders to think about the future and commit to goals and activities that will set or keep the program on course over the next few years.

A good planning system is dynamic and includes all the significant players: staff and parents, Head Start managers, and other grantee and delegate staff as well as the Policy Council/Policy Committee and the governing body. Programs operating with delegate agencies may need to add a layer to their planning process that integrates the delegate's planning activities into the grantee's planning cycle. It is the grantee's responsibility to advise its delegates about the overall planning process and the way delegates' activities will be integrated.

The Planning Team

Each agency needs to establish its planning team or group. The team may be a special work group that collaborates to develop and implement a systematic process. This process includes establishing the planning calendar and procedures, assessing community and programmatic needs, and formulating long- and short-range goals. When these goals have been established, the planning team may step aside and allow those involved in developing, implementing, and monitoring the goals, objectives, and program and operational plans to take over.

Who should participate on the planning team? The planning team should, if possible, represent all stakeholders in the Head Start program. This includes representatives from staff, parents, the governing body, and the Policy Council/Policy Committee. Finding ways to coordinate planning activities with other community agencies, such as conducting a joint CA, is an important aspect of a community's service delivery system.

Members need to be skilled in collecting and analyzing data and know how to present their findings in written, spoken, and visual formats. Other important skills and knowledge include creative thinking, good judgment, experience, and future orientation. Perhaps the most fundamental characteristic that all planning team members need to

Module 1

share is a commitment to the planning process, which can take a lot of time and patience.

Planning team members must communicate the results of the planning process to those who will implement them. It is important that everyone involved in the program understands how and why the planning team came up with the proposed recommendations. Team members with good interpersonal skills can encourage links between the planning team and other staff, parents, and interested community partners.

The Planning and Reviewing Process

The steps in the planning and reviewing process are *Plan to Plan*, *Take Stock*, *Propose Directions*, *Develop and Adopt Plans*, and *Review*. Keep in mind that while a program begins a new planning process, it continues to implement the current plan. Therefore, planning and implementing happen simultaneously.

Because planning is a dynamic and multifaceted activity, many of the steps overlap and are continuous or repeated throughout the program year, calendar year, or the timeframe of the long-range plan. For instance, when a program or agency has taken stock and proposed direction, and then finds out through its internal ongoing monitoring process that the plans it adopted are not working well, it may be necessary to propose a new direction and/or adopt different approaches to issues than the ones originally chosen. Making the adjustments and fine-tuning the results of ongoing monitoring and self-assessment data are essential continuous improvement activities.

Plan to Plan

Getting organized is the basic task of the first step, *Plan to Plan*. Important elements include selecting and orienting the planning team and getting the necessary commitment to proceed from the Policy Council/Policy Committee and governing body. This process also involves determining the data needed for the CA and the tasks involved in collecting the data. In planning for the CA, team members need to know how to gather information from sources such as the U.S. Census Bureau; local and state planning departments; local and state education departments; welfare departments; public health, housing, and employment offices; organizations that provide community services for children with disabilities; and child care resources. Team members also need to understand how to collect and interpret both hard data from quantitative reports and soft or qualitative data such as opinions, surveys, focus group discussions, and interviews with community institutions, families receiving or needing services, and staff and agencies that work with Head Start-eligible families.

Take Stock

The second step in the Head Start program planning process is to *Take Stock*. In this step the planning team analyzes the environment and

Module 1

reviews past, present, and future situations. Programs are required to assess the strengths, needs, and resources of their communities at least once every 3 years and update this information in the 2 intervening years. Federal regulations (45 CFR Part 1305.3) specify the types of information that need to be collected related to the grantees' service area. In general, programs need to:

- Collect demographic data about the eligible population in the service area.
- Look for any special health, education, social service, or nutritional needs.
- Specify the geographic distribution of eligible families in the service area.
- Conduct a study of resources in the community that could—or currently do—address some needs of Head Start and low-income families.
- Identify other child development and child care programs serving Head Start-eligible children and the approximate number served by each program.

In addition to the CA data, programs also analyze their own operations by reviewing and comparing information from the Program Information Report (PIR), ongoing monitoring and self-assessment data, and federal monitoring reports. The most critical part of this phase is analyzing the external data along with that produced by the agency's internal sources to determine the trends and issues that exist in the community (service area). Programs consider how this information is related to existing plans. An agency that fails to interpret its community information correctly may commit to directions (goals, objectives, and plans) that do not respond to the most serious needs of families. At this stage grantees with delegates need to make initial decisions about delegate agencies' allocations, based on preliminary information about eligible children within the boundaries of the grantees' and each delegate's service area.

Propose Directions

In the third step, *Propose Directions*, programs formulate goals and program and fiscal objectives that address the CA findings. The program's direction must be consistent with the mission of both Head Start and the grantee. In addition, proposed goals and objectives should reflect findings from the program's annual self-assessment and other internal data.

Module 1

Develop and Adopt Plans

The next step, *Develop and Adopt Plans*, commits the agency to agreed-on directions that are selected from those proposed. Program area and operational plans are developed and adopted.

By adopting goals and objectives, the agency's policymakers identify key issues that influence other processes and activities: recruitment, selection and enrollment, site placement, expansion priorities, collaborative relationships and activities, and development/revision of program area plans. During this phase, the initial planning team may need to involve more staff in developing the program area and other operational plans that they will implement.

When developing program area plans, staff with specific content area expertise may be helpful in identifying the philosophical directions for these plans, such as the use of specific curricula, the adoption of strategies for working with families, case management, group work, and so on.

Review

The last step is *Review*. In this Guide, the term *review* or *reviewing* includes two processes, ongoing monitoring and self-assessment.

Ongoing monitoring is a more frequent review of operations to ensure that an agency is moving along the path toward accomplishing established targets such as full enrollment, completion of health exams, completion of family partnership agreements, and a balanced expenditure of funds.

Self-assessment includes two phases. The first is the annual procedure that checks the results of implementing objectives and strategies and program area plan(s). This phase determines whether an agency's activities are producing the desired outcomes and moving toward achieving goals. The second phase is the annual self-assessment conducted in concert with planning for the next 3-year cycle. This phase continues to focus on determining whether desired outcomes have been achieved and full implementation of the agency's plans has occurred. However, the second phase of the self-assessment also involves the agency's determining the extent to which program goals are met and the impact that services have had on the issues and concerns selected for action during the CA.

Activity 1-1: Planning Is a Team Effort



Purpose: Participants will identify the critical skills related to effective group behavior, interactions between groups, and the work process that planning and implementing teams must practice. They will identify the role of leaders in promoting program planning and reviewing results.

Module 1

Materials:

Handout 1: Instructions for Observers

Handout 2: Instructions for Planning Team

Handout 3: Instructions for Implementing Team

Lego structure of ten to fifteen pieces

Lego pieces to replicate the structure

Trainer Preparation Notes:

This activity was adapted from Phase III Training.

1. Construct a simple Lego structure that consists of ten to fifteen pieces. Conceal the structure until it is used in the activity.
2. Place a set of unconnected Lego pieces that are needed to build the Lego structure in a bag for each implementing team.

Introduce Activity

1. Referring to the *Background Information*, explain the importance of the planning process. In addition, explain the role of a planning team and the benefits of a team composed of individuals who have diverse Head Start experiences and skills. Explain that they will participate in a group activity to help identify essential skills and processes needed for successful planning.

Explain Group Activity

2. Divide participants into three groups: a planning team, an implementing team, and observers. If the group is larger than twenty-four, consider having two or more implementing teams. Distribute the appropriate instruction sheet (*Handout 1*, *Handout 2*, or *Handout 3*) to each team and tell them to read the instructions. Explain that you will meet with each group to clarify their instructions. You will review the instructions first with the observers, then with the planners, and last with the implementers. Ask each group to go to a separate room or different parts of a large room to review their instructions.

Meet with Groups

3. Review *Handout 1: Instructions for Observers* with the observers. Explain that while the planning team is developing instructions and the implementing team is interpreting the instructions, they are to take notes on what they observe. They are to record the skills team members demonstrate in each activity related to performing the assignment (work process) and working together (group process).

Module 1

Review *Handout 2: Instructions for Planners* with the planning team. Show the planners the Lego structure and the individual Lego pieces that the implementing team will use to replicate the completed Lego structure. They have 20 minutes to develop a set of instructions for the implementing team. Once they give the implementing team the instructions, they must remain silent as they observe them at work.

Review *Handout 3: Instructions for the Implementing Team* with the implementing team. They will have 20 minutes to use the instructions from the planning team to build the Lego structure. While they are waiting for instructions from the planning team, they are to discuss their expectations for the instructions they will receive and the skills they will need to follow the instructions.

Discuss Activity

4. Ask the implementing team to explain the structure they built and any challenges they faced.

Ask the planning team to react to the work of the implementing team and comment on the challenges they faced. Ask:

Why is it essential to have good communication between the planning team and the implementing team?

Distribute *Handout 1: Instructions for Observers* to participants who did not receive it earlier. Ask the observers to comment on how they completed *Handout 1* for each team. Ask members of the implementing team and the planning team to comment on the feedback from the observers and evaluate the **work process** and **group behavior** of their teams. Ask:

What critical skills must the implementing team practice?

What critical skills must the planning team practice?

What is the role of leaders (including members of the governing body and Policy Council/Policy Committee, Executive director, and Head Start director) in the planning process?

Summarize

5. Conclude with the following comments, emphasizing the role of leaders in achieving these goals.
 - *The planning team should represent all stakeholders in a Head Start program.*

Module 1

- *Everyone needs to understand how and why the planning team came up with its findings and recommendations.*
- *Members of implementing teams need the opportunity to communicate with the planning team to clarify work they need to do.*
- *Planners should be aware of the anxieties of those who must carry out the plan. When implementers are not included in the planning process, the results may be compromised due to lack of adequate communication, understanding of the plan's goals, or hostility from those not included in the planning.*
- *Members of the planning team and implementing teams are more effective when they pay attention to how they interact, how they divide the work tasks, and how they perform the work tasks.*
- *Effective leaders can play a key role in the planning and reviewing process when they promote it and continuously review results.*

Activity 1-2: The Planning Cycle



Purpose: Participants will identify and describe the steps in the planning and review process.

Materials:

Handout 4: Planning and Reviewing Process

The following handouts can be used as transparencies:

Handout 5: Plan to Plan

Handout 6: Take Stock

Handout 7: Propose Directions

Handout 8: Develop and Adopt Plans

Handout 9: Review

Chart paper, markers, and tape

Module 1

Trainer Preparation Notes:

1. Before this workshop, label five sheets of chart paper at the top as follows: *Plan to Plan*, *Take Stock*, *Propose Directions*, *Develop and Adopt Plans*, and *Review*. Tape the sheets to the wall where they can be seen by participants when they are standing in the circle during *Step 2*.
2. Prepare five cards labeled: PLAN TO PLAN, TAKE STOCK, PROPOSE DIRECTIONS, DEVELOP AND ADOPT PLANS, and REVIEW to distribute in *Step 2*.
3. The group needs a large open space in which to form a circle. The activity can be adapted to the size of your training group. The ideal number of participants in the circle is fifteen. If the group is ten or less, assign one or two people to each step in the planning process. If the group is larger than twenty, consider making two circles.

Introduce Activity

1. Tell participants that the planning process is a continuous cycle. Although the steps are sequential, some overlap and many are ongoing and repeated throughout the program year. This activity is designed to help participants visualize planning and reviewing as a big circle that depends on a sequence of important steps.

Work in Groups

2. Have participants form a large circle. Divide the circle into five groups; distribute cards randomly to each of the five groups, labeled as follows: *Plan to Plan*, *Take Stock*, *Propose Directions*, *Develop and Adopt Plans*, and *Review*. Ask groups to arrange themselves in the order that the steps occur.

Next, give each group 20 minutes to answer the question "*What are the most critical tasks in this phase of the process?*" by decorating chart paper to represent the tasks or writing the tasks for each step.

Explain Steps in Process

3. On the posted chart paper, record how each group explains the critical features of each step. Expect some of the groups to give similar responses. Explain that the planning cycle has natural overlap and repetition. Distribute and review *Handouts 5-9*, comparing the information on the chart paper to the information on the handouts. Discuss challenges that each step may present and how to overcome the challenges.

Module 1

Summarize

4. Conclude the activity by summarizing the process. Distribute *Handout 4: Planning and Reviewing Process*.

Activity 1-3: Implementing the Planning Process



Purpose: This activity, divided into two sessions, gives participants an opportunity to relate the steps in planning activities to a Head Start program's planning cycle. In *Session 1*, participants develop a work plan that identifies milestones to achieve in this process. In *Session 2*, participants consider the significance for the planning process of data and issues related to obtaining a CA.

Session 1: The Work Plan

Materials:

Handout 4: Planning and Reviewing Process
Handout 10: Sample Planning Calendar
Handout 11: Planning Cycle Work Plan
Handout 12: Blank Planning Calendar

Introduce Activity

1. Review the essential tasks of the planning and reviewing process. Explain that in this activity participants will have the opportunity to relate these planning activities directly to a Head Start program's planning cycle.

Discuss Planning Calendar

2. Distribute *Handout 10: Sample Planning Calendar*, reviewing the major activities of the governing body, Policy Council/Policy Committee, and program staff. Ask participants to comment on how these activities are carried out in their programs. Point out that—depending on their funding cycle—they may need to adjust the timeframes. For grantees with delegates, a two-tiered process may be needed that requires the grantee to determine the grantee's overall process, describe how each delegate's process must relate to the grantees' process, and set timelines that both agencies can meet.

Discuss Timing of Tasks

3. Ask the following questions to encourage thinking about the timing of planning tasks. (There are no absolute answers; it is more important for participants to see the relationship of the tasks to the planning process.)
 - *How many months in advance of the funding application due date should the CA be completed? If the grantee has delegates, what portion of the assessment will be done by each delegate?*
 - *Should program goals and objectives be established before or after the CA is completed? Why?*
 - *Where do the program area goals and objectives come from?*

Module 1

- How does the information from the self-assessment feed into program goals and objectives?
- When should the annual self-assessment be completed?
- When should program area plans be developed?

Complete Sample Work Plan

4. Distribute and review *Handout 11: Planning Cycle Work Plan*. Give participants 5 minutes to work independently and estimate a date for completing each task. (Depending on the composition of the group, they may work alone or in pairs with someone from their program.) When everyone has estimated the dates on the work plan, if possible ask participants from the same program to review their responses with each other. Encourage them to try to agree on the dates.

Complete Sample Calendar

5. Distribute *Handout 12: Blank Planning Calendar*. Tell participants to transfer the tasks from the *Planning Cycle Work Plan* to the *Blank Planning Calendar*. After 15 minutes, ask participants to share their responses with the entire group.

Summarize

6. Conclude by summarizing the tasks involved in the planning process. Include the responsibilities of the governing body, Policy Council/Policy Committee, and program staff.

Session 2: The Data

Materials:

Handout 13: Sample of Community Assessment and Internal Data
Chart paper, markers, and tape

Trainer Preparation Note:

Prepare and post the following directions for *Step 5* on chart paper:

1. Develop a list of sources where data about the program and the community can be obtained.
2. Explain why the data will be collected and how it will be used.
3. Identify issues/challenges to consider in obtaining the data.
4. List major tasks involved in collecting the data.

Module 1

Introduce Activity

1. Explain that this activity focuses on collecting significant data for the CA. Data is significant if it helps planning teams understand the environment and make sound recommendations.

Identify Types of Data

2. Ask participants to brainstorm (see rules below) about the types of data that they believe should be included in a CA. (Use *Background Information* as a reference.)

Rules for Brainstorming

The purpose of brainstorming is to consider a number of ideas or options. The ideas are not evaluated until the brainstorming has ended. Every idea gets listed on the chart, regardless of its feasibility or popularity. When the group does not have any more ideas, end the brainstorming.

Evaluate Suggested Data

3. When all suggestions have been written on the chart paper, ask the group to evaluate the suggestions. For each one, lead a discussion based on the following:

- *Is this data relevant?*
- *Does it help us to understand our environment? Determine recommendations? If so, how?*

Place a check next to the items that everyone agrees should be included in a CA. Note items that the group does not think should be included.

Categorize the Data

4. Categorize the data on the list. Examples of categories include demographics, environment, health, education, economy and employment, community services, and community safety.

Discuss How to Identify and Collect Data

5. Tell participants that they will now focus on collecting data. Divide the participants into discussion groups. Assign each group one or more categories of data and allow 20 minutes for discussion. Each group needs to determine internal and external sources for the data, reasons the data will be useful, issues to consider when collecting the data, and the tasks involved in gathering the data. Post the following directions previously prepared on chart paper:

1. *Develop a list of sources where data about the program and the community can be obtained.*
2. *Explain why the data will be collected and how will be used.*

Module 1

3. *Identify issues/challenges to consider in obtaining the data.*

4. *List major tasks involved in collecting the data.*

When groups have completed their assignment, ask each group to report its findings, allowing up to 5 minutes for each report.

Reflect on Scenario

6. Distribute *Handout 13: Sample of Community Assessment and Internal Data*. Explain that this scenario will be used in each module to help them develop the skills presented in this Guide. Give participants 5–10 minutes to skim the scenario and identify the data it contains. When they have finished skimming, discuss their impression of this document. Ask:

- *Why is this a useful document?*
- *What is the significance of the data it contains?*
- *What additional data not found in the scenario would be useful?*

Summarize

7. Conclude the activity by making the following points:

- *Data is essential to help planning teams understand their environment and make recommendations.*
- *A data collection plan should ensure that relevant data is obtained and challenges in gathering the data are considered.*
- *Planning to collect data involves several tasks: determine the significant data to collect, identify sources for the information, identify challenges and issues to consider, and identify tasks involved in obtaining the data.*

Activity 1–4: What Does Planning Mean in Head Start?



Purpose: Participants will identify the sequential steps of planning and explain how to apply these steps to a CA.

Materials:

Background Information for Module 1

Handout 4: Planning and Reviewing Process

Handouts 5–9 below can be used as transparencies:

Handout 5: Plan to Plan

Handout 6: Take Stock

Handout 7: Propose Directions

Handout 8: Develop and Adopt Plans

Module 1

Handout 9: Review

Handout 14: Data Collection Worksheet

Introduce Activity

1. Tell participants that the planning process is a continuous cycle. Although the steps are sequential, some overlap and many are ongoing and repeated throughout the cycle of the program year.

Discuss Planning Cycle

2. Distribute the *Background Information* for *Module 1* and ask participants to read about the process of planning and reviewing. When they have finished, facilitate a discussion about the five steps.

Ask participants to summarize in their own words what is meant by *Plan to Plan*, *Take Stock*, *Propose Directions*, *Develop and Adopt Plans*, and *Review*. Ask for examples of how each of these steps are performed in Head Start. Explain that they may have used other terms for these tasks.

Distribute *Handout 4: Planning and Reviewing Process* to summarize the complete process.

Identify Tasks in Each Step

3. Ask participants to write down at least three specific tasks they can think of that are involved in the CA process for each step. If they need help getting started, refer to *Handout 4: Planning and Reviewing Process*.

Distribute *Handouts 5–9* to summarize the critical tasks for each step in the process.

Plan to Collect Data

4. Using *Handout 14: Data Collection Worksheet*, discuss examples of significant data; the reason, sources, and issues/challenges for each type; and the tasks involved in the process.

Summarize

5. Conclude by summarizing the following points:
 - *Data is essential to help planning teams understand their environment and make recommendations.*
 - *It is important to ensure that significant data is obtained.*
 - *Planning to collect data involves several tasks: determine the significant data to collect, identify sources for the information, identify challenges and issues to consider, and identify tasks involved in obtaining the data.*

Module 1

Next Steps: Ideas to Extend Practice



The following activities can help participants review key information, practice using skills, and assess their understanding of the concepts in this module. The suggested ideas offer participants an opportunity to put the skills discussed into practice in their own programs.

- Contact planning bodies in the community such as the county or city economic development department, the health department, the United Way, or other social services organizations. Arrange for a representative from their planning groups or from the management team to meet with the Head Start planning team. Ask the representative to bring data and documents, and offer to reciprocate by sharing data collected about Head Start children and families. Such collaborative exchanges open up opportunities for joint planning projects to benefit Head Start families.
- Use *Handout 11: Planning Cycle Work Plan* as a guide to determine critical planning tasks and projected dates for accomplishing them in your program. When it is clear what needs to happen, then it becomes easier to accomplish the planning tasks in a more orderly manner.

Next, transfer the tasks related to collaborating among staff, the governing body, and the Policy Council/Policy Committee to *Handout 12: Blank Planning Calendar*. The calendar serves as a pertinent planning reference tool in implementing a collaborative planning process.

- Publicize the CA process by making sure staff and parents know the process, why it happens, and what happens with its findings. Use internal communication networks such as staff and parent meetings, bulletin boards, newsletters, and flyers. Publicity will raise awareness that a CA will take place and invite participation and interest. This pays off when the findings and recommendations are shared. An inclusive CA process forges a link among staff, parents, and the community.
- Expand the planning process to include strategic planning concepts beyond those required by the *Head Start Program Performance Standards*. For example, programs must assess community strengths, needs, and resources. Go a step further to complete an environmental scan that looks beyond these factors to opportunities and threats on the horizon. This type of assessment is often called SWOT: assessing Strengths, Weaknesses, Opportunities, and Threats.

Module 1

- The Worksheets in the *Appendix* have been designed to guide you in performing each step in the planning process in your program. To apply the steps discussed in *Module 1*, use *Worksheet 1, Organize the Planning and Reviewing Process*; *Worksheet 2, Prepare to Collect Data*; *Worksheet 3, Develop a Data Collection Action Plan*; and *Worksheet 4, Compile and Display the Data*.

Handout 1: Instructions for Observers

Directions:

Your role is to observe and record how the planning team and the implementing team perform their assignments. You will observe the *work process* they follow and the *group behavior* of the team. Keep in mind that the groups will be challenged by the fact that they are each working to complete a very difficult activity. Your first task will be to observe the planning team. After the planning team completes their assignment, your next task will be to observe the implementing team. Record your observations on the back of these instructions.

PLANNING TEAM

Work Process (observations about the activities/tasks they perform or should perform to complete the assignment): These activities should include selecting a facilitator to lead the meeting, clarifying the assignment, planning how to carry out the assignment, identifying challenges to the assignment, suggesting methods for writing clear instructions (to the extent possible), analyzing the clarity of the instructions they write, and so on.

Group Behavior (observations about how the members of the team interact with each other): Examples of behaviors that help a team function effectively are individuals encouraging members to participate, resolve disagreements, notice group feelings, reduce tension, seek information or the opinions of others, summarize suggestions, check decisions to see if others agree, and so on.

IMPLEMENTING TEAM

Work Process (observations about the activities/tasks they perform or should perform to complete the assignment): These activities should include selecting a facilitator to lead the meeting, clarifying the assignment, planning how to carry out the assignment, suggesting methods for writing clear instructions (to the extent possible), analyzing the clarity of the instructions they write, and so on.

Group Behavior (observations about how the members of the team interact with each other): Examples of behaviors that help a team function effectively are individuals encouraging members to participate, resolve disagreements, notice group feelings, reduce tension, seek information or the opinions of others, summarize suggestions, check decisions to see if others agree, and so on.

Handout 2: Instructions for Planning Team

Directions:

Your assignment is to describe how to reproduce the Lego structure. You may use only *written words* (no pictures, drawings, or images). Your written instructions will be the only directions that the implementing team receives about how to reproduce the Lego structure.

When the implementing team is building the structure, you may not speak to any member of the team. In addition, you may not use any hand gestures to show them how to reproduce the structure. Observe the team, evaluating the effectiveness of your instructions and what they need to do (perhaps things you were not able to communicate in your assignment) to make their task easier.

After the implementing team explains the structure that they built and the challenges they faced, you may clarify the instructions that you wrote.

Handout 3: Instructions for Implementing Team

Directions:

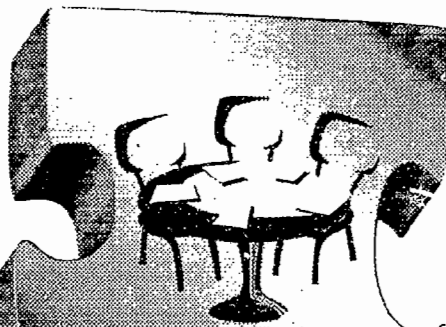
Your assignment is to reproduce the Lego structure from the written instructions the planning team gives you. Only the planning team will see the Lego structure. You may not speak to members of the planning team or receive any additional instructions other than the written ones that they give you. You may speak only to the members of your team. If you need further clarification on the instructions you receive, you must rely on how you and the other members of your team interpret the instructions.

When your team members all agree that you have finished building the structure according to the planning team's instructions, you have completed the assignment.

While you are waiting to receive instructions from the planning team, discuss your expectations for the instructions you will receive. In addition, discuss the best way to work together to complete this assignment, including the skills you will need to use to do the task.

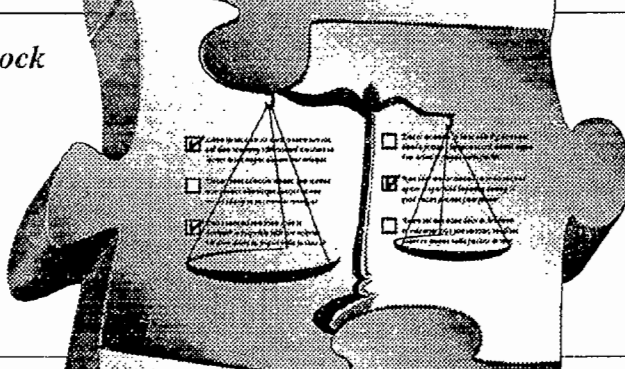
Handout 4: Planning and Reviewing Process

Plan to Plan



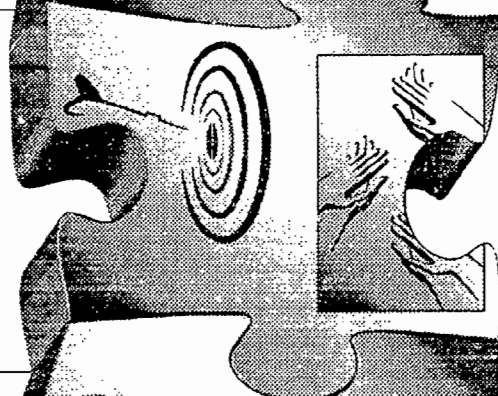
- Select planning team
- Orient planning team
- Propose work plan
- Adopt work plan
- Identify internal and external data to collect
- Determine tasks to collect data

Take Stock



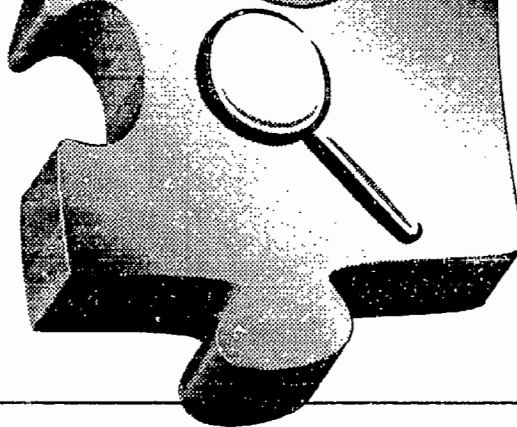
- Collect information about community
- Organize internal and external data
- Analyze data
- Identify trends
- Identify major issues and concerns

Propose Directions and Adopt Plans



- Propose community and program goals
- Develop community objectives
- Develop statement of program goals and objectives
- Develop integrated program area plan(s)
- Adopt plans

Review



- Perform ongoing monitoring
- Self-assess
- Update governing body and policy group

Handout 5: Plan to Plan**Plan to Plan involves the following tasks:**

- Identify impact of Head Start regulations on the planning process
- Recruit and select planning team members
- Approve the planning team (first approval item)
- Orient the planning team
- Propose and adopt a work plan (a time-sequenced description of how critical steps will occur)
- Obtain approval for work plan from governing body and Policy Council/Policy Committee
- Identify the data needed for the CA
- Determine the issues/tasks involved in collecting data

Handout 6: Take Stock

The Planning Team

- Collects information about the community
- Organizes, reviews, and analyzes internal and external data
- Ensures that its activities support the requirements to:
 - Assess the strengths, needs, and resources of the community at least once every 3 years
 - Update this information in the 2 intervening years
- Identifies trends, major issues, and concerns affecting the well-being of low-income families with young children

Handout 7: Propose Directions

Use the information collected and analyzed to:

- **Formulate goals (for community and program issues) and program objectives that address the findings and recommendations of the CA**
- **Ensure that the program's direction is consistent with the philosophy and mission of both Head Start and the grantee**
- **Ensure that the proposed goals and objectives address the findings of the program's annual self-assessment**

Handout 8: Develop and Adopt Plans

By adopting goals and objectives, agency policy makers identify key issues that influence other processes and activities such as:

- **Recruitment**
- **Selection and enrollment**
- **Site placement**
- **Program design and options**
- **Priorities for expansion and collaboration**
- **Priorities for developing and revising program area plans**

Handout 9: Review

Reviewing is:

The system an agency uses to look at its operations to determine the extent of compliance, progress toward meeting stated outcomes for children and families, and the impact of its operations and services. It includes ongoing monitoring and self-assessment.

- Ongoing monitoring refers to the frequent review of activities and tasks to ensure that an agency is moving toward accomplishing or maintaining its established targets. The timeframe may vary from daily to weekly to monthly to quarterly. Monitoring results are key issues in an agency's reporting processes.
- Self-assessment refers to the annual process used to review achievement of program goals and objectives, performance standard implementation, and outcomes for children and families. It also is the process used to determine whether the program has had the desired results and impact on the issues it chose to address during the CA.

Handout 10: Sample Planning Calendar

	October	November	December	January	February	March	April
Governing Body	Assures a procedure for planning is established.	Approves/disapproves workplan.	Receives status report on action plan for doing Community Assessment (CA) from planning team. Approves/disapproves CA.	Receives information from planning team about problems, issues, and resources in the community to prepare for goal setting (CA findings and recommendations).	Receives recommendations on goals; approves/disapproves; receives quarterly fiscal report; audits and assures corrective action.	Participates in program self-assessment.	Receives objectives. Receives proposed budget changes.
Policy Council/Policy Committee	Approves/disapproves procedure for planning.	Approves/disapproves workplan.	Receives status on CA from planning team. Approves/disapproves self-assessment procedure.	Receives information from planning team about problems, issues, and resources in the community to prepare for goal setting (CA findings and recommendations).	Alter planning team recommends goals and recruitment plan. Approves/disapproves. Fiscal committee provides monthly status of funds.	Participates in program self-assessment.	Receives objectives from planning team. Receives proposed budget changes from fiscal committee, including administrative services for grantee.
Program Staff	Provide information and support to planning team to propose a workplan for how the critical planning steps will occur.	Propose workplan to governing body and Policy Council/Policy Committee (in accord with <i>Head Start Program Performance Standards</i> (HSPPS) 1305.3, 1304.51, 1305.50). Propose procedure for self-assessment.	Initiate CA and collect information from internal and external sources identified in procedure. Recommend plan for self-assessment.	Provide initial information to Policy Council/Policy Committee & Board Planning Committees about problems, issues, and resources in the community and agency program to prepare for goal setting.	Work with planning team(s) to draft/propose goals. Begin draft of objectives. Complete draft of recruitment plan. Provide fiscal information—status of funds. Propose plan for correcting audit issues.	Provide staff and logistical support to self-assessment and compile report.	Provide proposed budget changes based on status of funds. Recommend administrative service costs to Policy Council/Policy Committee finance committee.

48

BEST COPY AVAILABLE

49

Handout 11: Planning Cycle Work Plan

FUNDING YEAR CYCLE _____

DATE FUNDING APPLICATION DUE TO REGIONAL OFFICE _____

CRITICAL TASKS	DATE TO COMPLETE
Establish planning team	
Establish/approve procedure for program planning	
Identify data to collect for CA	
Develop action plan to collect data	
Collect information for CA (performed by planning team)	
Complete CA Report	
Establish goals	
Establish objectives	
Review administrative services (where appropriate)	
Complete self-assessment	
Review and revise program options and design	
Develop proposed changes to budget	
Review recommendations from self-assessment and CA	
Develop/revise content area plans	
Review and approve proposal (performed by Policy Council/Policy Committee and governing body)	

[illegible]

Handout 13: Sample of Community Assessment and Internal Data

COMMUNITY WELLNESS CORPORATION (CWC) HEAD START

Background Information

The Community Wellness Corporation (CWC) is a private, nonprofit agency located in Hamilton County. The city of Lake Mathews is the county seat. A lake named Lake Mathews is a focal point of this area. The lakefront communities that surround Lake Mathews—Chevy Shores, Covington Corner, and Sheridan Shores—are part of a semi-urban sprawl. Ninety-two percent of the county population resides in these communities and the city of Lake Mathews.

Other parts of the county are rural. Its entire population is 389,000 residents living within a 4,250-square-mile area. The CWC Head Start service area encompasses the entire county except for a small portion of the northeast. This area consists of a Native American reservation with a population of 16,000. The Tribal Council is the Head Start grantee and serves 75 children.

Hamilton County is centrally located within the state and its natural resources have impacted how local communities developed. The county's centerpiece is the city of Lake Mathews, a popular resort for state and national residents. The area's climate is mild and favorable for year-round camping, sailing, and other recreational activities. However, tourism, a major industry for county residents, is seasonal. There are large gaps between the major recreational seasons of summer and winter. Other economic opportunities in the county are limited, although the city of Lake Mathews has small light industry compared to the limited tourist industry. Small logging companies are scattered in less-populated sectors, including Cherry Creek, Clinton, Ellery, Harmony, North Pass, Patterson, South Grant, and Van Derveer. The densely populated urban areas of the county are located near the lake, including the city of Lake Mathews with a population of 290,000; Sheridan Shores, 38,000; Chevy Shores, 18,300; and Covington Corner, 11,700. Beaver Creek and Alliance have privately owned resorts that are open from May through August as well as during the winter season, November through February. Low-income families residing in these areas frequently face a loss of income during nonactive tourist months.

Many of the families eligible for Head Start face unemployment during some portion of the year. The county as a whole has an unemployment rate of 33 percent. Forty-nine percent of households have incomes of \$30,000 or more, but at least 20 percent have incomes below the poverty level. Of those, 36.7 percent are eighteen years of age or younger and 20 percent are sixty-five years of age or older. The TANF caseload for the previous year was 10,000, although many of these are neither long-term nor continuous users of the program. If public transportation were available, many of the residents might find work in an adjacent county where there is a large petroleum products industry. However, since many families don't own a car, finding ways to commute to work is difficult at best.

Community Wellness Corporation (CWC)

CWC has been in existence for more than 25 years. Its early mission was to develop community programs to eliminate the causes and effects of poverty. Currently, CWC operates programs in the areas of aging, nutrition, housing, community services, and child and family services. The agency's main office is located in

the city of Lake Mathews. Historically, the agency has divided its services into two major sectors: urban communities, including Lake Mathews; Chevy Shores, Covington Corner, and Sheridan Shores; and rural areas, such as Cherry Creek, Clinton, Ellery, Harmony, North Pass, Patterson, South Grant, and Van Derveer.

CWC Head Start

CWC has been the grantee for the Head Start program in the county for 6 years. CWC Head Start serves 560 children ages zero to five years. There are three child development centers currently operating in urban areas and a countywide home-based program for rural families.

The Head Start funding cycle is September 1 to August 31. The grant application is due July 1. Information about program services used in the refunding proposal is taken from the current year's Head Start-funded program. Refer to Attachment 1 for this information.

Although CWC operates its services primarily in two sectors, there are *five* recruiting areas that dissect the county. The recruiting areas are based on similarities among communities and on CWC's ability to plan and provide services. In the future, we may need to reassess this structuring if expansion continues and additional funding becomes available for both Head Start and child care services.

Recruiting Areas

Area I—City of Lake Mathews

Because of its size, its 290,000 population, and its economic status relative to other communities in the county, Lake Mathews is the largest and only single-city recruitment area. Of the total population, 24 percent live below the federal poverty level. Unemployment stands at 9 percent. There are 66,800 households in the community, with 16 percent of these headed by single women. Caucasians make up 49 percent of the population, 22 percent are African American, 17 percent are Hispanic, 7 percent are Native American (primarily former Green Ridge reservation residents), 2 percent are Asian American, and 3 percent are identified as "other."

Thirty-seven percent of the population below the poverty level are eighteen years of age or younger, and 20 percent are sixty-five years of age or older. Lake Mathews' teen birth rate is 14.1 percent versus 10.2 percent for the entire county. Last year, 35 of the 250 reported births were to mothers between the ages of fifteen and eighteen.

With the largest population among the five recruitment areas, Lake Mathews also has the largest number of service agencies. The county health department reports that immunizations for infants and young children in Area I fell below expectations and that 5 percent of children entering school had not received basic immunizations. Reports from doctors in the county indicate that otitis media (middle-ear infection) was the most commonly reported ailment among children age zero to seven years; the next most frequent ailment was upper respiratory illness.

There are 17,000 children age zero to seven in Lake Mathews. Approximately 2,800 of the 17,000 children are eligible for Head Start or other subsidized child care and development services.

Lake Mathews has three agencies, including CWC, that provide center-based child care and child development services. The agencies and the numbers served are presented below:

CWC	300	ages 0-5
Early Learners	167	ages 3-5
Play Days	120	ages 3-5

In addition, thirty family day care homes serve 145 children. Private, unsubsidized programs serve another 300 children.

Area II—Chevy Shores, Covington Corner, and Sheridan Shores

This area represents the second largest recruitment area with a total population of 68,000. Although this area is larger in size than Area I, it is much less densely populated. Of the total population, 19 percent live below the federal poverty level. Unemployment stands at 13 percent. There are 21,000 households in this area with 13 percent of these headed by single women. Caucasians make up 61 percent of the population, 23 percent are Hispanic, 9 percent are Asian American, 3 percent are Native American, 2 percent are African American, and 2 percent are identified as "other."

Twenty-three percent of the persons whose income is below the poverty line are eighteen years of age or younger and 25 percent of them are sixty-five years of age or older. There is a significantly larger number of elderly persons living on fixed incomes than in the county population as a whole. The teen birth rate is 14 percent. Thirteen of the 100 births reported last year were to mothers between the ages of fifteen and eighteen.

The County Health Department reports that immunization rates for infants and young children were higher than those of Lake Mathews, but still fell below the full implementation level. Three percent of children entering school had not received immunizations. The most frequently reported health problems among children zero to seven years were asthma and other respiratory problems. Skin rashes, including eczema and psoriasis, were also more common in this area than in any other in the county.

There are 2,000 children age zero to seven years in this area. Six hundred of the 2,000 children are eligible for Head Start or other subsidized child care and development services. There are two other agencies providing such services in the area. The number of children served by each is:

CWC	152	ages 3-5
Let's Play	100	ages 3-5
Early Learners	17	ages 3-5

Area III—Alliance, Ellery, and North Pass

This is the least populated (15,000) recruitment area with many families living two to three miles from their neighbors. Because of the isolation, we have concentrated on getting families in touch with services in the county. In addition, we have attempted to have representatives from county offices and services available on a rotating basis within each of the three towns at least once a month. We have used our vans to assist in this service and have written agreements with each of the following:

Hamilton County Health Department—offers well-baby clinics once a month in each of the three towns and provides immunizations.

Hamilton County Social Services Department—provides information on requirements for assistance to families who may soon be ineligible for TANF.

Hamilton County Mental Health Department—holds sessions with parents once a month in each community to discuss topics chosen at a prior meeting. These are very well-attended.

Hamilton County Development Agency—meets once a month to discuss economic issues that affect these communities. Initially, attendance at these meetings was low. In the last year, parents of children in Head Start and child care have begun attending and asking what can be done to create more jobs in the area.

Of the total population, 20 percent live below the federal poverty level. Unemployment stands at 13 percent. There are 4,890 households in this area and 10 percent of the households are headed by single women. Caucasians account for 73 percent, 17 percent are Hispanic, 5 percent are Native Americans, and 5 percent are identified as “other.”

Twenty percent of persons with incomes below the poverty level are eighteen years of age or younger and 18 percent are sixty-five years of age or older. The teen birth rate is 11 percent. Last year, nine of the eighty-nine reported births were to mothers between sixteen and eighteen.

Immunization rates for infants and young children were higher than in the county as a whole. It is believed that collaborative efforts with the health department along with outreach by Head Start and Child Care staff have improved the participation rates. Only 0.5 percent of youngsters had not been immunized when they entered school.

Health problems most frequently cited for young children in this area are related to the well water that many consume and increasing problems with runoff of pesticides and fertilizers from some of the nearby small farms. Gastrointestinal illnesses are the most often reported problems for young children.

CWC currently serves thirty-six children age zero to five years in home-based programs.

Areas IV and V

Since time for completing this activity is limited, this scenario does not include data on Area IV and Area V.

Agency Data and Statistics**Results from Our Program Information Report (PIR) and Health Services**

Area	Respiratory Illnesses		Otitis Media		Skin Ailments		Immunizations	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent
AREA I	72	52	66	57	55	61	58	60
AREA II	40	29	32	27	26	30	26	28
AREA III	2	2	1	1	1	1	1	1
AREA IV	12	9	9	8	4	5	5	5
AREA V	11	8	8	7	3	3	6	6
TOTAL	137	100	116	100	89	100	96	100

Health of the 685 children served last year:

137 children (20 percent) had respiratory problems

116 children (17 percent) suffered from otitis media or mild ear infections

96 children (14 percent) had not begun or were not up to date with immunizations

89 children (13 percent) had skin ailments (eczema, psoriasis)

The chart above illustrates the extent of health problems in children enrolled in each of our recruitment areas. Since health issues confronted last year were very similar, we included questions about them in our annual November survey of parents to collect additional information. Results follow:

Survey Results

A total of 480 survey forms were distributed. Survey forms were delivered to families and filled out during home visits or in person while a family member was at a Head Start site. A total of 290 survey forms were turned in for a response rate of 60 percent. We consider this to be an exceptional response.

The survey sought to collect information in four areas:

- Issues or concerns for the adults in your family
- Issues or concerns about the children in your family
- Issues or concerns about the Head Start Program
- Issues or concerns about your community

The similarities of responses from families across our recruitment areas were startling. Of the 290 responses:

- Fifty-one percent (148) felt concerned about children's health issues. Of the 148 who listed this as a concern, 63 percent had a smoker in the household.
- Sixty percent (174) were seriously concerned about the frequency of ear infections for at least one of their children.
- Thirty-five percent (102) wanted assistance in finding work or improving their current level of employment.
- Ten percent (29) were parents aged 18 or below.

Results of Our Annual Self-Assessment

Results of the annual self-assessment conducted in February indicated the following:

(a) Governance

Although Policy Council and board procedures require consistent reporting on agency progress, there was little followup at subsequent meetings on problems identified as needing correction. Communication between the Policy Council and board is inconsistent and often focuses on social activities rather than policy issues.

The Policy Council experienced a 27-percent turnover in its first 4 months of existence, which created problems in consistency and continuity. The Policy Council did not gel until its sixth month of operation.

(b) Administration/Human Resources

Because of rapid expansion, many Head Start teachers have met only basic requirements in early childhood development training. Areas most frequently cited as problems for staff include classroom management and handling children with special needs or behavioral problems.

Review of training funds expenditures indicates that most funds were used for one-time events and little was used for long-term skill development. We also found that new employees had not received enough information about Head Start, the activities of our agency, and basic internal procedures.

(c) Community Partnerships

Of seven Community Partnership agreements entered into last year, six are functioning exceptionally well. However, one, with the health department, needs to be revised because of the new Child Health Insurance Program (CHIP). We originally agreed that the health department would serve all children with no third-party coverage. Now that all of those children are eligible for coverage under CHIP, the department is changing the services it provides.

Five of nine elementary schools involved in our transition agreements have agreed to review the curriculum for consistency and continuity. The four remaining schools will wait until this effort is completed before making any commitments about integrating transition in the curriculum activities.

(d) Educational Services

We have had some success in implementing the new curriculum in classrooms; however, there are still gaps in how well science and health are integrated into all classes. Our mental health consultant states that teachers' observational skills have improved significantly, which allows more attention and time to deal with issues. While many new staff identified classroom management as a training need, more seasoned teachers have recommended techniques that address some of these issues.

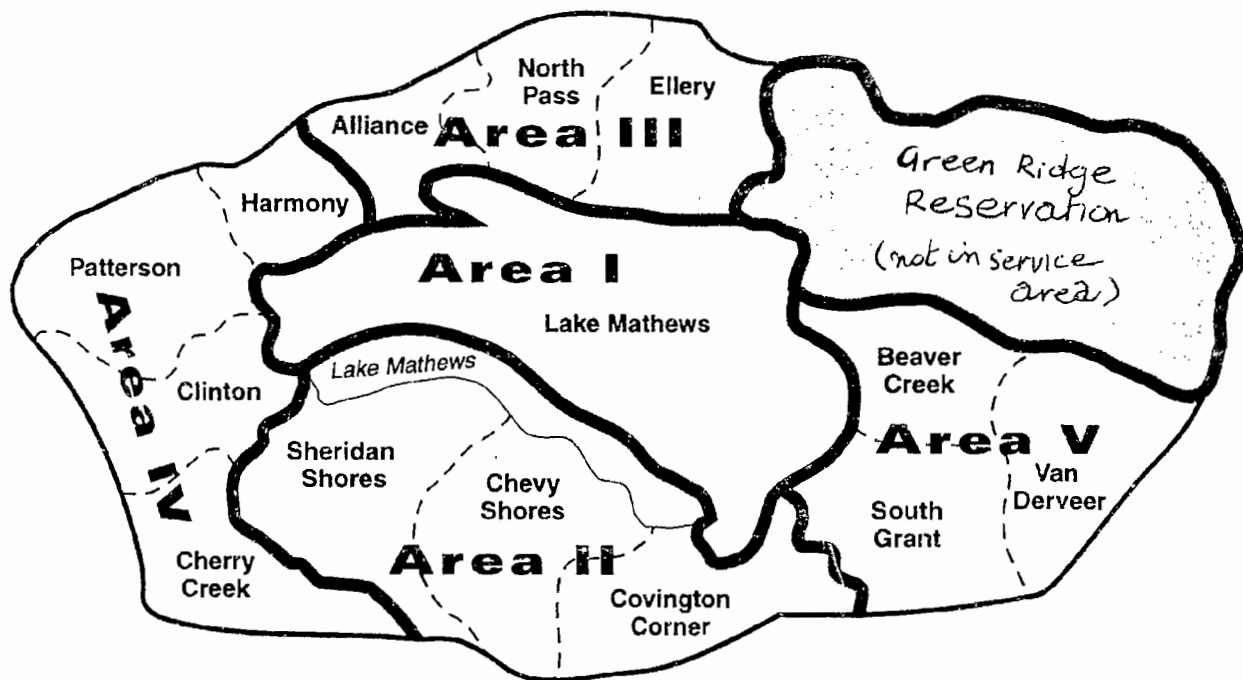
Attachment 1: Head Start Data for Current Year

Funded/enrolled	Early Head Start 120	Head Start 440
Ages served		
Pregnant women	20	
0-11 mos.	40	
12-23 mos.	30	
24-36 mos.	30	
3-4 yrs.		300
4-5 yrs.		140
Race/Ethnicity		
Hispanic	50	120
African American	30	100
Caucasian	20	180
Asian American	10	30
Other	10	10
Female Heads of Households	80	200
Household Income		
less than \$15,000	30	260
\$15,000-\$34,999	75	140
\$35,000-\$49,999	10	30
\$50,000-\$74,999	5	10
More than \$75,000	0	0
Employment		
Employed	40	300
Unemployed	30	100
In Job-Training	50	40
Educational Levels		
8th grade or less	15	80
9th-12th grade	10	130
High school diploma	80	170
Some college	5	30
Associate degree	5	15
Bachelor's degree	4	10
Graduate degree	1	5
Geographic Distribution of Poverty		
	Percent of Families Below Poverty Level	Percent of Total County Population
Urban Areas	43	34
Rural Areas	57	66

BEST COPY AVAILABLE

Attachment 2: Map of Hamilton County

CWC's Head Start/Early Head Start Service and Recruitment Areas

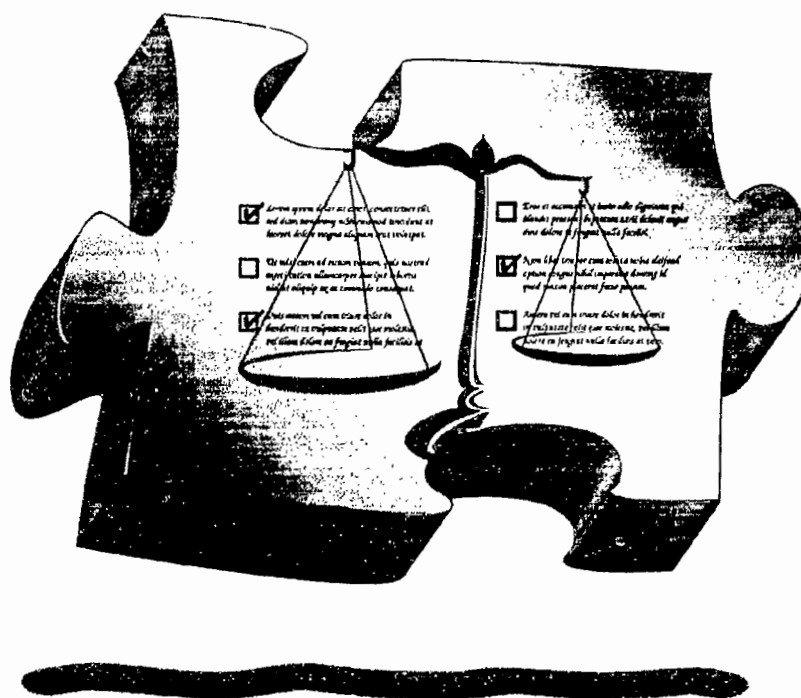


BEST COPY AVAILABLE

Handout 14: Data Collection Worksheet

TYPE OF DATA/PURPOSE	SOURCES OF DATA	ISSUES TO CONSIDER TO OBTAIN DATA	TASKS/RESPONSIBLE INDIVIDUALS

Take Stock



Take Stock

Outcomes

After completing this module, participants will be able to:

- Identify ways to categorize and display data collected for the Community Assessment (CA) clearly and accurately.
- Analyze both internal and external data to identify trends and major issues relevant to the Head Start-eligible population.
- Prepare an outline for a CA Report that serves as an effective source of facts for making decisions.

Key Concepts

- It is easier to interpret information when data is displayed clearly and accurately. Use a variety of visuals—such as pie charts, bar charts, tables, graphs, maps, and diagrams—to show how different aspects of the information relate to each other. These techniques help the CA to be an effective resource for interpreting information.
- If the planning team analyzes the data thoroughly, team members are more likely to understand its implications and make meaningful recommendations on program development and operations.
- The planning team needs to be able to interpret and analyze demographic data, quality-of-life indicators, and the geographic area that the Head Start program serves. This includes using information from the Program Information Report (PIR), enrollment and monthly status information, profiles of children and families currently served, existing program options, and information about current services.
- A well-written CA Report is an important decision-making tool. It should be written for a variety of audiences and contain visual aids that clarify its information.

Module 2

Background Information

During the *Take Stock* phase of the planning and reviewing process, it is important to keep the purpose of the CA in mind. The CA describes the context in which a Head Start program operates. It tells the story of whom the program serves and includes information on where people live, their ethnic background, their health and nutritional challenges, their family structures, and their educational experiences.

In addition to describing the Head Start families who may be served by the program, the CA also paints a picture of the community in which the Head Start program operates. It covers the community's history, its economic and political scene, and the community's strengths and weaknesses. An outsider gets a glimpse of community resources available to Head Start-eligible families in the areas of health and psychosocial services, employment and training, transportation, early care and education for children, and educational opportunities for adults.

Objectives of the Module

The first objective of this module is to emphasize the importance of clarifying factual and statistical information collected for the CA. It discusses displaying the data by using charts and diagrams to clarify the information and show relationships among the data. Adults, like children, learn in different ways; the more variety used in presenting the CA findings, the more opportunities to reach people who can contribute to analyzing what the data tells.

The second objective is understanding how to interpret the data. What sense can be made from the data that have been collected for the CA? *Module 1* covered using both internal and external data. Examples of internal data are the reports that the management team uses for program operations, such as the PIR, the annual self-assessment, and the federal monitoring report. External data come from sources outside the Head Start program, such as the United Way, planning departments, health and child care resource and referral agencies, employment agencies, and other organizations that collect and distribute pertinent community information.

Finally, the module focuses on preparing an outline for the CA Report. A well-written CA Report helps identify the program's strengths and the internal and external challenges it faces, and serves as a resource for developing strategic and operational plans. It is essential to take the time to draft an outline for this report before actually writing it. This ensures that the document will be an effective resource.

Overview of Skills

To help you understand and use the data from the CA effectively, this module focuses on the skills listed below:

1. Categorize Data

After the data is compiled, it needs to be categorized to help you understand the information that has been collected. Examples of categories of data include information on:

- Demographics: Geographic location, population numbers, children with disabilities, Head Start-eligible children and families, race and ethnicity, gender, age.
- Environment: Air and water quality, preservation of green space.
- Health: Statistics on medical care, communicable diseases, causes of death from serious injuries, substance abuse, related crime.
- Education: High school graduation rates, literacy programs, language proficiency, educational level of adults.
- Economy and employment: Income and poverty levels, economic growth, housing costs, transportation, public assistance rates, homelessness, employment statistics.
- Community services: Social service agencies such as child care agencies, family day care providers, collaborative agreements.
- Community safety: Issues involving crime, citizen involvement, domestic violence, child abuse, causes of natural disasters, emergency preparedness.
- Internal data on how Head Start services are delivered: Staffing information, governance, program strengths and challenges, existing partnerships and results.

2. Display Data

After the data have been categorized, use visuals to display the facts and the relationships among the data. Adults, like children, learn in different ways. The more variety used in presenting the CA findings, the more opportunities there are to reach people who can contribute to analyzing what the data tells.

3. Analyze Data

The planning team is now ready to make connections between the data and the Head Start-eligible population. The team looks for trends that may affect young children and their families now or in the future.

The analysis process should support the Head Start Program Performance Standards that require grantees to establish partnerships

Module 2

with other groups and agencies in the community. This means looking for potential collaborations within the community that would offer resources to augment Head Start services.

In addition, the planning team develops a list of issues that affect the quality of life and adequacy of current services for eligible children and their families. The planning team needs to answer the following kinds of questions while *taking stock* of the data that has been collected:

- What do the program and the community offer in the way of current or prospective employment, training, education, housing, and transportation?
- What does the data say about the number of unserved families residing in the community?
- How does this information impact on planning for expansion?
- How can this information assist the management team in planning for quality improvement projects?

4. Plan CA Report

When CA data is comprehensively and accurately covered in the CA Report, the report will be a tool that can be used to effectively plan and create strategies for providing quality services to children and families.

Before writing the report, a simple outline should be used to organize the important information. The outline helps ensure that all data is organized clearly and logically and that all pertinent information is included in the report. Since many audiences can benefit from the information, it is important to prepare the written document by using a variety of visual displays. The outline can identify the type of visuals to use and the content for the visuals.

Each agency must decide how to format the CA Report so that this comprehensive document accomplishes its purpose. For example, the first section can begin with a *General Description of the Service Area* that includes information on the grantee and on general characteristics of the community such as geographical features, landmarks, unique attractions, and climate. Specific data can be categorized under *Demographics, Environment, Health, Economy and Employment, Community Services, Community Safety, and Internal Data* (see explanation of these categories in the *Background Information* section titled *Categorize Data*). Finally, the analysis can be described in a section on *Major Issues and Trends*. For example, population trends might address growth, decline, and stability. Economic trends might include issues affecting employment and their impact on the population.

Module 2

In *Step 2, Take Stock*, agencies look both inside the Head Start organization and outside at the community in which Head Start operates. This involves compiling, categorizing, displaying, and analyzing data. It is at this point that the CA Report is written. This analytical procedure is an essential step in planning—it begins the process of determining how the current CA data is relevant to the services Head Start needs to provide.

Activity 2-1: Displaying and Explaining Data



Purpose: Using sample CA and internal data, participants will discuss how to categorize the data and develop visuals to display it. In addition, they will practice skills needed to present the information to a variety of audiences.

Materials:

Handout 13: Sample of Community Assessment and Internal Data
(Tell participants to keep this handout because they will use it for other activities in this Guide.)

Handout 15: Gallery of Visuals

Chart paper, markers, and tape

Trainer Preparation Notes

1. *Handout 13: Sample of Community Assessment and Internal Data* (a scenario containing CA and program data for an imaginary Head Start service area), is used in this module. The trainer must read and understand this handout before delivering training on this activity.
2. Prepare chart paper with the following directions:
Using at least one visual technique, display data from the scenario that shows these two contrasting populations:
 1. *A densely populated urban area and the risk factors associated with this area's Head Start-eligible families.*
 2. *A rural population and the risk factors associated with this area's Head Start-eligible families.*

Introduce Activity

1. Introduce the activity by explaining to participants that the CA tells a story about the community where their Head Start program is located. This contrasts with the self-assessment, which is a story about the program. Refer to *Background Information* for additional descriptive information on the CA.

Module 2

Explain that performing a CA includes identifying data to collect; collecting data; compiling, categorizing, and displaying it; and interpreting and analyzing the data to identify trends, major issues, and concerns. Internal data should be included in this process. This activity focuses on categorizing and displaying data. Categorizing data helps agencies determine what information to display visually. This is a very important step because the task of interpreting and analyzing the data is easier when the data is displayed accurately and clearly.

Categorize Data

2. Explain that after data is compiled it needs to be categorized or grouped. Visuals can be designed from the categories of data. The categories of information and visuals to display the information are very helpful in interpreting and analyzing data.

Using *Background Information*, lead a discussion on the categories of data that can be obtained from a CA and internal data (for example, demographics, environment, health, education, economy and employment, community services, and community safety). List the categories on chart paper. Participants will refer to these categories in *Step 5*.

Read Scenario

3. Distribute *Handout 13: Sample of Community Assessment and Internal Data*. Explain that this scenario contains *some* of the types of data that can be collected for a CA. It is not intended to be a complete CA report. Give participants 15 minutes to read the scenario and underline significant data about the service area.

Discuss Data in Scenario

4. Ask:
 - *What data did you identify in the scenario?*
Possible responses may be geographic layout, major industries, seasonal unemployment, county unemployment rate of 33 percent, factors affecting families in poverty, descriptions of areas where Head Start operates, child care services, health-related issues affecting children and families, results of parent surveys, and results of the annual self-assessment.

List responses on chart paper.

- *What categories can be used to group this data?*
Possible responses include demographics, education, health, economy and employment, environment, community services, and internal data.

List a category on chart paper next to each data example.

- *Why is this data significant?*
Possible responses include better planning for services, understanding what life is like for children and families, knowing where services are needed and where centers should be located to connect resources offered in the community to the needs and desires of Head Start children and their families.

Use Visuals

5. Referring to the categories of data listed on the chart paper, ask the group for ways to effectively write the report to describe the data for each category (for example, narrative, case study, tables, pie charts, bar charts, graphs, maps, diagrams, and/or graphic art).

Lead a discussion on why it is a good idea to use visuals to display data. Possible responses may be:

- *They offer variety in how to represent findings.*
- *Visual images help keep readers interested in otherwise dull factual data.*
- *They provide a method of reaching people at their level of interest.*
- *It makes it easier to understand how the data applies to Head Start-eligible families.*

Distribute *Handout 15: Gallery of Visuals*. Review each type of visual and ask for examples of other visual display techniques that could be added.

Divide participants into at least three groups. Each group will make a visual contrasting two categories of Head Start-eligible residents in the service area for the *Community Wellness Corporation (CWC)*.

Explain the following directions, which already have been posted on chart paper:

Using at least one visual technique, display data from the scenario that shows these two contrasting populations:

1. *A densely populated urban area and the risk factors associated with this area's Head Start-eligible families.*
2. *A rural population and the risk factors associated with this area's Head Start-eligible families.*

Module 2

Ask each group to prepare an oral presentation that explains the visuals they develop. All group members should participate in the presentation. Assign each group a different audience for its presentation, ensuring that presentations are prepared for the governing body, the Policy Council/Policy Committee, and the staff.

Explain Visuals

6. Give each group an opportunity to explain its visuals. After each presentation, ask group members:
 - *How does your display enhance the CA Report and help the reader understand the service area?*
 - *What types of factual or statistical data did your group look at to create your display?*

After each group reports, ask all participants:

- *How effectively did this presentation meet the needs of the audience?*
- *Could a non-English-speaking parent benefit more from the narrative scenario or your display?*

Summarize

7. Conclude the activity by summarizing the importance of collecting significant data and compiling, displaying, and presenting the data effectively. Emphasize the importance of meeting the needs of the audience.

Activity 2-2: Interpreting and Analyzing Data



Purpose: Using a portion of a sample CA, participants practice interpreting and analyzing data to identify trends that may affect Head Start now or in the future.

Materials:

Extra copies of *Handout 13: Sample of Community Assessment and Internal Data*

Handout 16: Planning Team Roles

Handout 17: Analyze and Identify Trends

Collect chart paper prepared by each team in *Step 3* for additional use in *Activity 2-3*.

Module 2

Trainer Preparation Note:

Review *Handout 13: Sample of Community Assessment and Internal Data* and answer the questions on *Handout 17: Analyze and Identify Trends*, for each service area before delivering the training on this activity.

Introduce Activity

1. State that the reasons for doing a CA are to gain information about the community's resources and assets and to find out what resources and services are needed by Head Start-eligible families in the service area. Remind participants that they have already reviewed the CA process relative to determining what information to collect, collecting the information, and compiling and displaying the information.

Explain that this activity continues the CA process by focusing on interpreting and analyzing data. Participants will analyze the data from *Handout 13*'s scenario to make connections between what the community and program offer and what Head Start-eligible children and families need. In *Activity 2-3*, they will continue the analysis process and translate their findings into major issues and concerns.

Work on a Planning Team

2. Tell participants they will each take a role as a member of a planning team. Divide participants into three groups of four, with each group representing a planning team (If there are more than four participants per group, additional participants may be assigned to planning teams as observers; if there are fewer than four individuals for each group, some participants can take more than one role.)

Distribute *Handout 16: Planning Team Roles*, and tell participants to read the role descriptions. Note that ideally, all members of a planning team assume many of the roles described in *Handout 16*; however, in reality, members typically have skills in only a few areas. For this activity, participants select a role they want to practice, perhaps one that they do not normally assume. Review the descriptions and note the tasks for this activity. Give participants time to reflect on playing the role they selected.

Tell each group that its task is to analyze the data in *Handout 13: Sample of Community Assessment and Internal Data*. Each team must select one of three areas in the scenario (Area I, Area II, or Area III) so that all service areas are covered. Referring to the

Module 2

directions on *Handout 16: Planning Team Roles*, remind participants that when they interpret and analyze the data, they should focus on practicing the skills described for their assigned roles.

Interpret and Analyze Data

3. Review the data in the scenario, discussing the distinction between internal and external data (see *Module 1, Background Information*).

Determine the service area each team will study.

Explain that teams should allow at least 10 minutes for members to silently reread *Handout 13*, specifically the *Background Information*, the information on CWC, and the information on their service area. After reading the scenario silently, individuals should reflect on how to interpret the data. After working individually, they can begin working on the task as a team.

Distribute *Handout 17: Analyze and Identify Trends*, and review the instructions. Teams will answer questions about the service area they selected. Ask them to record their responses on chart paper. Give some examples of how to answer the questions on *Handout 17*. Tell each group the chart paper with their comments will be collected at the end of the activity.

Report Findings and Discuss Process

4. Ask each group to report on its findings.

After each presentation, ask:

- *What process did you follow to analyze the data?*

After all the teams report, discuss the following:

- *What challenges did you encounter when analyzing data on the Head Start-eligible children and families in the service area? The community?*
- *What challenges did you encounter when identifying trends?*
- *How did you handle the challenges?*

Collect the chart paper with the responses prepared in *Step 3*.

Summarize

5. Emphasize the importance of taking the time to do a thorough job of interpreting and analyzing data. State:

Module 2

- *This process begins with identifying the facts, such as the characteristics of Head Start-eligible families, the community, and internal data related to program operations.*
- *The process continues by interpreting the significance of the facts. This involves identifying:*
 - *The strengths of the families and the challenges they face.*
 - *The strengths of the community and the challenges it faces.*
 - *Historical issues or trends and how they can affect Head Start now or in the future.*
 - *The impact of a program's operations on its services.*

Activity 2-3: Identifying Major Issues and Concerns



Purpose: Participants will practice the skills involved in using data to summarize major issues and concerns.

Materials:

Extra copies of *Handout 13: Sample of Community Assessment and Internal Data*

Handout 16: Planning Team Roles

Chart paper from *Activity 2-2, Step 3*, with each team's analysis

Chart paper, markers, and tape

Collect the responses on chart paper prepared in *Step 3* to use in *Activity 3-2*.

Trainer Preparation Notes:

1. Review *Handout 13: Sample of Community Assessment and Internal Data*. Answer the questions in Number 2 below for each service area before delivering the training on this activity.

2. Prepare chart paper with the following instructions:
Review the data you analyzed in Activity 2-2 for the service area you studied.

Based on the characteristics of both Head Start-eligible families and the community and the trends you identified:

1. *What are the major issues and concerns affecting Head Start-eligible children and families?*
2. *What additional information do you need to collect to analyze the service area further?*

Module 2

Introduce Activity

1. Tell participants that this exercise builds on the analysis they performed in *Activity 2-2* when they interpreted data from the scenario to identify trends. In this exercise, they will continue their analysis of the service area they studied and identify major issues and concerns.

Explain that they will work in the same planning team groups established in *Activity 2-2* and use the analysis they performed at that time. Participants may select different roles to play in this exercise. Review the roles of team members described on *Handout 16: Planning Team Roles*.

Identify Major Issues and Discuss Importance

2. Ask:

Why is it important to use CA data to identify major issues and concerns?

Emphasize that this is an extremely important step in developing appropriate program goals. If agencies focus only on gathering statistical information—without analyzing the data and identifying major issues—they will not be able to provide quality services.

Ask the question below and record responses on chart paper:

What are some examples of major issues and concerns that you remember from the scenario?

Some examples appear below:

Nearly one in five Head Start children suffered from upper respiratory problems and/or ear infections.

One in six Head Start children was behind in receiving immunizations.

One in seven Head Start children had skin problems (eczema and psoriasis).

Ask:

What impact do these major issues and concerns have on Head Start services?

Work in Groups

3. Review the assignment posted on chart paper. Give each group chart paper and markers to record their responses:

Module 2

1. Review the data you analyzed in Activity 2-2 for the service area you studied.
2. Based on the characteristics of both Head Start-eligible families and the community and the trends you identified:
 - What are the major issues and concerns affecting Head Start-eligible children and families?
 - What additional information do you need to collect to analyze the service area further?

Tell each group to select a speaker to report on the major issues and concerns that they identify. Give groups 20 minutes for this activity.

Discuss Findings

4. Ask each group to report on its findings. Encourage members of other groups to comment on each group's findings, asking for clarification as needed.

After all the group reports are completed, discuss the following:

- What challenges are associated with identifying major issues and concerns from CA data?
- What recommendation would you make if the data clearly show that the families most in need of Head Start services do not reside in the areas that have been your program's historical recruitment areas?
- What new insights do you have on the CA and its link to program planning and decision-making?

Summarize

5. Conclude by emphasizing the importance of identifying major issues and concerns.

Activity 2-4: Analyzing Data and Summarizing Concerns and Major Issues



Purpose: Participants will practice skills relative to collecting and analyzing data and summarizing major issues and concerns.

Materials:

Handout 13: Sample of Community Assessment and Internal Data
(Tell participants to keep this handout since it will be used in other activities.)

Handout 18: Questions to Consider in Compiling and Analyzing CA Data

Module 2

Introduce Activity

1. Tell participants that this exercise gives them an opportunity to practice some of the tasks involved in the CA process. This activity focuses on identifying and analyzing data and using it to identify major issues and concerns.

Discuss CA Data

2. Distribute *Handout 13: Sample of Community Assessment and Internal Data*. Ask them to read the scenario and answer the question: *What significant information about the Head Start service area is found in this scenario?* Suggest that participants underline significant information as they read. Give participants 15 minutes to read.

To facilitate the discussion, ask:

- *What did you learn about the service area from this summary?*
- *Do you feel that all the data in the summary is significant?*
- *Why is it important to collect significant data?*
- *What planning steps need to be taken to better ensure that significant data is collected?*
- *What challenges are involved in identifying data to collect? In collecting it?*
- *Why is it important to compile and display the data effectively in the CA Report?*

Analyze Data

3. Tell participants they will now analyze the data on CWC's service area. Emphasize that performing a CA is a process. They have already discussed issues related to identifying and collecting data. Explain that this process also involves analyzing data and identifying major issues and concerns.

Distribute *Handout 18: Questions to Consider in Compiling and Analyzing CA Data*. This gives participants key questions to consider when analyzing CA data. Allow participants 20 minutes to answer the questions independently.

Discuss responses, listing the major points in their analysis on chart paper.

Identify Issues

4. Tell participants that now that they have practiced interpreting data, it is time to identify major concerns and issues.

Module 2

Lead a brainstorming discussion to answer these questions:

- *Based on your analysis of the data, what are the most prevalent issues affecting the families in this service area?*
- *What resources might affect these issues?*

Writing the information on chart paper, analyze suggestions, categorize responses, and identify major issues and concerns.

Summarize

5. Conclude by reviewing the tasks in the CA process. Focusing on the purpose of this activity, discuss the following:

What new insights do you have on the CA process and its link to program planning and decision-making?

Activity 2-5: Preparing the CA Outline



Purpose: Participants will identify information to include in a CA Report and suggest a method to prepare an outline.

Materials:

Extra copies of *Handout 13: Sample of Community Assessment and Internal Data*

Handout 19: Outline for Community Assessment Report

Sets of prelabeled index cards: CA Data Categories

Sets of prelabeled index cards: CA Data Samples

Coach Preparation Notes:

1. This activity can also be delivered as a workshop.
2. Review the sections in the *Background Information* titled *Categorize Data* and *Analyze Data* to identify some of the data categories that can be used in a CA Report. Prepare two sets of cards for each participant (or group of participants) following the instructions below.
 - Create the first set of cards by labeling eight 3 x 5 blank index cards with the following categories for a CA Report: Demographics, Environment, Health, Education, Economy and Employment, Community Services, Community Safety, and Major Issues and Trends.

Module 2

- Create the second set of cards by labeling index cards with examples of data that applies to each of the categories. Examples of the data cards can include: age of population, race and ethnicity, gender, air and water quality, preservation of green space, high school graduation rates, literacy programs, income and poverty levels, housing costs, transportation, employment statistics, child care agencies, family day care providers, domestic violence levels, and emergency preparedness measures. Shuffle the cards.

Introduce Activity

1. Using the *Background Information* as a resource, explain the importance of using an outline to organize the information for a CA Report. Emphasize that the outline helps ensure that all pertinent information is included in the report and that the report is organized clearly and logically.

Explain that the method described in this activity is only a suggested model. Also mention that programs must organize and record information and include issues relevant to their Head Start community.

Lead Discussion

2. Lead a discussion using the following questions:
 - *What is the purpose of developing an outline before writing the CA Report?*
 - *Who should be involved in this process?*
 - *What categories or headings would you include in your outline? Why?*
 - *What might be the challenges in developing the outline? In completing each section of the outline thoroughly? Why? How can you manage these challenges?*

Explain Card Sort Game

3. Tell participants that they will receive two sets of cards. Explain that the first set consists of eight cards; the eight cards represent eight categories for arranging CA data (Demographics, Environment, Health, Education, Economy and Employment, Community Services, Community Safety, and Major Issues and Trends).

Module 2

Explain that the second set of cards contains examples of data that can be grouped under one of the categories. They must put each card from the second set in one of the categories from the first set. For example, "Head Start-eligible children and families" would be categorized under "Demographics"; "language proficiency of adults" would be categorized under "Education." When they complete the activity they will have eight sets of cards, each headed by one of the categories.

Distribute the two sets of cards to each participant or group. Ask them to complete the task.

Debrief Card Game

4. Debrief card sort activity using the following questions:

- *How comfortable did you feel matching the data samples with the categories? What helped this process?*
- *How can this type of activity help you prepare a CA outline?*
- *What challenges might you face when completing the outline or final report? Why?*

Discuss Scenario Format

5. Discuss the way that the scenario is organized and formatted in *Handout 13: Sample of Community Assessment and Internal Data* (Background Information = narrative, CWC = narrative, CWC Head Start = narrative, Recruiting Areas = narrative with statistics, Agency Data and Statistics = chart of PIR and Health Services, Survey Results = narrative with statistics, Results of Annual Self-Assessment = narrative formatted by topics, Head Start Data for Current Year = numerical chart with categories, map of county).

Ask participants to critique how the scenario is organized and formatted. They should compare the formatting to the categories they have already suggested for a CA Report.

Develop Outline

6. Distribute and review *Handout 19: Outline for Community Assessment Report*. Explain to participants that they will now recommend how to reformat the CA data in the scenario by using the data from the CWC Head Start program and *Handout 18* to complete an outline for a CA Report.

Review a few examples with participants to get them started.

Module 2

A category called **Description of Service Area** can include data such as:

- *The population of Hamilton County is 389,000. It covers 4,250 square miles.*
- *More than 90 percent of residents reside in urban areas.*
- *Tourism, although seasonal, is a major industry.*

The **Demographics** category might include:

- *In the city of Lake Mathews (Area I):*
 - *Of 66,800 households, 16 percent are headed by single women.*
 - *Caucasians are 49 percent of the population.*
 - *African Americans make up 22 percent of the population.*
 - *Hispanics are another 17 percent of the population.*
- *In the cities of Chevy Shores, Covington Corner, and Sheridan Shores (Area II):*
 - *Of 21,000 households, 13 percent are headed by single women.*
 - *Caucasians are 61 percent of the population.*
 - *Hispanics make up 23 percent of the population.*
- *In Area III, which includes the cities of Alliance, Ellery, and North Pass:*
 - *Of 4,890 households, 10 percent are headed by single women.*
 - *Caucasians are 73 percent of the population.*
 - *Hispanics make up 17 of the population.*

Module 2

Data in the **Economy and Employment** category might include:

- *In Early Head start, 40 families out of 120 participating are employed; in Head Start, 300 families out of 440 enrolled are employed.*
- *In Early Head Start, fifty families receive job training; in Head Start, forty families receive job training.*
- *The geographic distribution for Early Head Start families below the poverty level in urban areas is 43 percent. The distribution in rural areas is 57 percent.*

CWC information for the **Education** category might include:

- *The number of households in Early Head Start that have individuals who received a high school diploma is 80; the number in Head Start is 170.*
- *Ten Early Head Start households and 130 Head Start households include individuals who have educational levels between ninth and twelfth grades.*

The category on **Major Issues and Trends** could include the following data:

- *Unemployment is largely seasonal.*
- *A lack of public transportation prevents adults who do not have their own means of transportation from obtaining jobs that require them to travel.*

Instruct participants to complete the handout on their own.

Discuss Outline

7. Discuss their outline by using the following questions:

- *How would you evaluate your outline? What are its strong points? What information was missing from the sample CA data? How did this missing information prevent you from making the outline more effective? From writing a comprehensive outline?*
- *Are there categories on Handout 18 that were not relevant to the CWC service area?*

Module 2

- *What are the challenges in completing a CA outline? Why? What can you do to manage the challenges?*

Summarize

8. Tell participants that preparing an outline for the CA Report is a very significant step. When you take time to write a comprehensive outline, the CA Report is more likely to be a vital planning document.

Module 2

Next Steps: Ideas to Extend Practice



The following activities can help participants review key information, practice skills, and assess their understanding of the concepts in this module. The suggested ideas offer participants the opportunity to practice the skills developed in this module in their own programs.

- Encourage the oral tradition of gathering community data by inviting *elders* or *storytellers* to talk about a significant facet or phase of the community's history. A transcript of the oral history could be included in the *Background Information* of the CA Report to tell the community story and inform staff, parents, and children about the community's roots.
- Use computer technology to analyze and display data specific to your program. Many agencies have software programs that can create graphs, charts, and diagrams. Refer to *Handout 15: Gallery of Visuals* for ideas on how to experiment with technology to enhance the ways you analyze community and program data. Have someone who is knowledgeable about using spreadsheets or computer graphics prepare visual displays.

Consider illustrating some of the following situations:

- The shift in Head Start-eligible population from one residential area to another over the past several years.
 - The increase in rates of a disease or other health condition that affects children of eligible families.
 - The ethnic cultures in the eligible population and the number of families enrolled from each racial/ethnic group.
 - The increase or decrease in the number of adults who have received their general equivalency diploma (GED), obtained job training, or become employed with help from Head Start.
- Worksheets found in the *Appendix* of this Guide have been designed for members of your planning team or individuals engaged in planning to use as a resource when performing each step in the planning process. To apply the steps discussed in *Module 2* focused on *taking stock* of your program, use *Worksheet 4: Compile and Display Data*, *Worksheet 5: Analyze and Identify Trends*, *Worksheet 6: Identify Major Issues and Concerns*, and *Worksheet 7: Write a Report of Your Findings*.

Handout 15: Gallery of Visuals

Data that is....

in numbers or percentages

in written or spoken words

geographic

can be explained in a:

pie chart, bar chart, graph, table

narrative, case study, table

map, diagram, photograph

TABLE

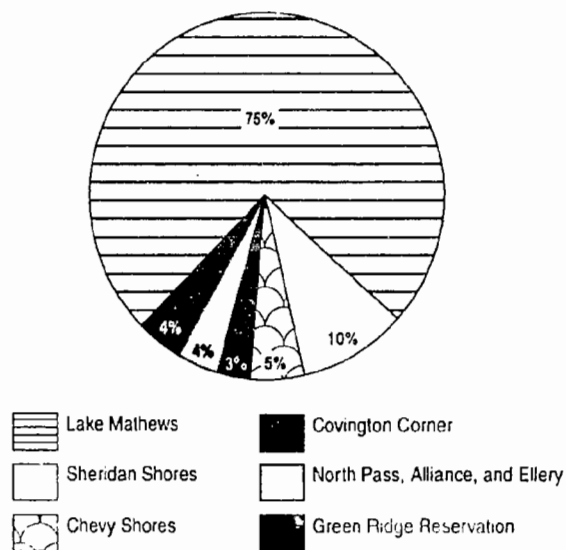
A *table* organizes and consolidates information. It also displays how to compare variables or factors. An example of a table is found in *Handout 13: Sample of Community Assessment and Internal Data*, page 47.

MAP

A *map* helps readers understand a geographical area. In *Handout 13: Sample of Community Assessment and Internal Data*, the map on page 52 is used to show the service area.

PIE CHART

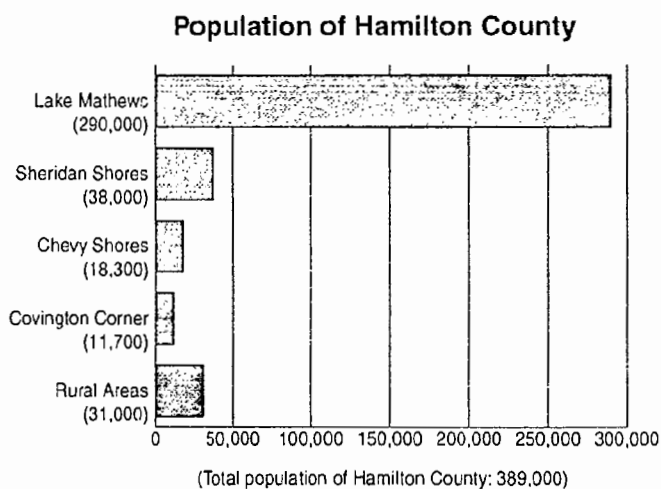
Population of Hamilton County (389,000)



A *pie chart* shows how often something occurs. Slices or wedges of various sizes show the significance of the occurrence; the larger the slice of the pie, the larger the number of occurrences. The entire pie represents all occurrences.

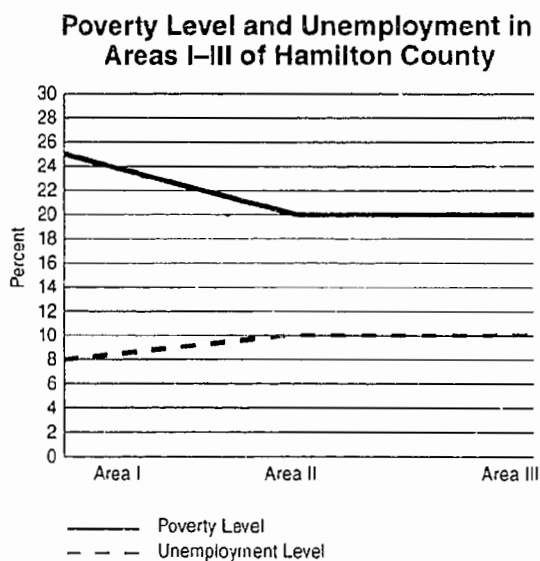
To create a pie chart, the data must be converted to percentages; each slice represents a percentage of the total. When totaled, the slices equal approximately 100 percent. It is best to use a computer to construct pie charts.

Handout 15: Gallery of Visuals (continued)



BAR CHART

A *bar chart* compares data. In this example, the populations of the urban areas of Lake Mathews, Sheridan Shores, Chevy Shores, and Covington Corner are compared with the population of the rural areas of Hamilton County.



GRAPH

A *graph* shows the relationship between two variables. One set of data is plotted on the side of the graph, or the Y axis. Another set is plotted across the bottom, or the X axis.

Handout 16: Planning Team Roles

BOB

You are very good at leading the planning team in sifting through the data collected in the CA. You know how to look for trends relevant to Head Start families. In addition, you can translate the data into a profile of the community and recognize issues that may affect the quality of life for children and families. During meetings of the planning team, you:

1. *Keep the planning team focused on interpreting the data from different viewpoints (Activity 2-2).*
2. *Help them understand what the data is saying (Activity 2-2).*
3. *Explore the implications of the data to identify major concerns/issues (Activity 2-3).*

CAROL

You are extremely effective in making sure that information and decisions are communicated to everyone who is affected. During meetings, you encourage all participants to give their opinions and strive to understand what everyone is saying. You excel in making sure that the planning team's message is clear and easily understood by staff and parents as well as policymakers in local and state institutions. During meetings of the planning team, you:

1. *Take notes for the planning team (Activity 2-2 and 2-3).*
2. *Summarize discussions and ask individuals for clarification on their comments to ensure that you record the correct information (Activity 2-2 and 2-3).*
3. *Summarize your notes, reviewing the major issues and concerns (Activity 2-3) and the impact of the data (Activity 2-3) in a clear and articulate manner.*

TED

You know the community better than any other member of the planning team and are in a good position to encourage resource sharing within the community. Your role is to make connections between what the planning team defines as needs and the resources available in the community to help meet those identified needs. During meetings of the planning team, you:

1. *Encourage and participate in discussions that analyze the extent and impact of resource sharing in the community (Activity 2-2).*
2. *Encourage discussions to identify major issues and concerns related to increasing resource sharing between Head Start and the community (Activity 2-3).*

ALICE

You make sure that the planning team collects significant data and analyzes the data effectively. This allows the team to present the issues that are most prevalent and have the greatest impact on low-income families with young children. During meetings of the planning team, you:

1. *Ask questions to validate the significance of data (Activity 2-2).*
2. *Encourage members to propose a variety of major issues and concerns, even if they seem impractical to you and other members (Activity 2-3).*
3. *Use an analytical, problem-solving approach to identify the impact of major issues (Activity 2-3).*

Handout 17: Analyze and Identify Trends

Instructions

1. Answer the questions below to identify the characteristics of Head Start-eligible children and families and the community.
2. Identify trends and patterns that may affect Head Start now or in the future.

Describe Head Start-Eligible Children and Families In Service Area

1. **What are the characteristics of the Head Start children and families?**
(age, race/ethnicity, household income and employment, poverty levels, housing and homelessness, education level of adults, languages spoken in home, educational level of family members, etc.)
2. **What are their primary strengths?**
3. **What are the major challenges they face?**

Handout 17: Analyze and Identify Trends (*continued*)

Describe the Community

1. What is the community like?

(resources, agency history, community demographics, economy, location, political climate, social issues, health issues)

2. What are the primary strengths of the community?

3. What are the major challenges faced by the community?

Identify the Trends

What trends/patterns are evident that may affect Head Start now or in the future?

Handout 18: Questions to Consider in Compiling and Analyzing CA Data

Directions: Answer these questions to help you compile and analyze the sample data in the CA scenario.

Compile Data:

What data was collected in each of the following categories?

Demographics: Geographic location, population numbers, Head Start-eligible children and families, race and ethnicity, gender, ages.

Environment: Air and water quality, preservation of green space.

Health: Statistics on medical care, communicable diseases, death from serious injuries, substance abuse, related crime.

Education: High school graduation rates, literacy programs, language proficiency, adults' educational level.

Economy and Employment: Income and poverty levels, economic growth, housing costs, transportation, public assistance rates, homelessness, employment.

Community Services: Social service agencies such as child care agencies, family day care providers, collaborative agreements.

Community Safety: Issues such as crime, citizen involvement, domestic violence, child abuse, natural disasters, emergency preparedness.

Internal Data: Information on how services are delivered. This includes human resource issues; communications among the governing body, Policy Council/Policy Committee, staff, and parents; program strengths; challenges faced by the program; and any existing partnerships and the results of these partnerships.

Analyze the Data:

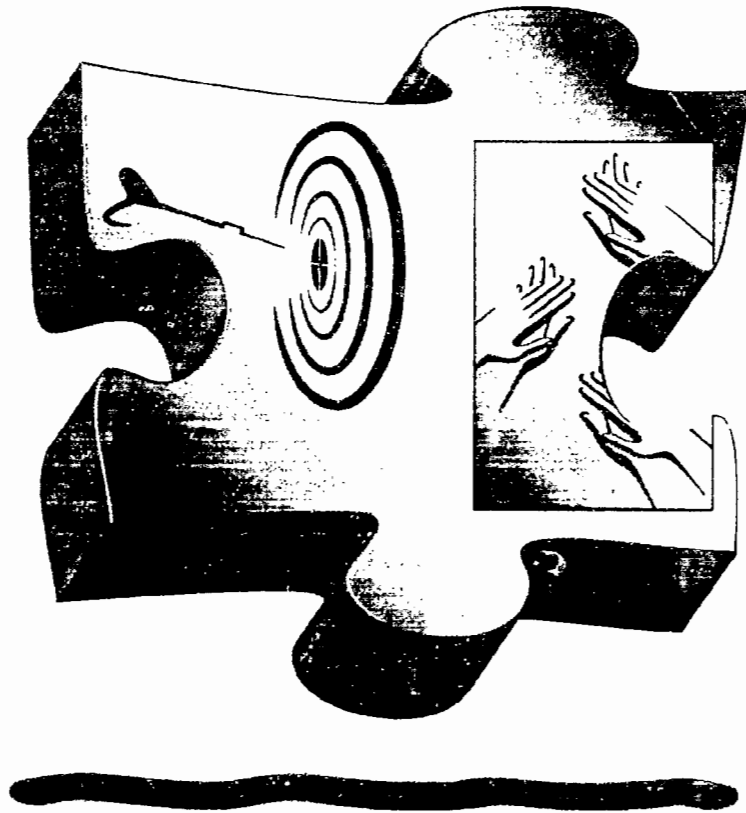
1. *What is its significance and impact?*
2. *What major issues and concerns can you identify?*
3. *What are the trends relevant to the Head Start-eligible population?*
4. *How can the management team use the information in the CA to plan quality improvement projects?*

Handout 19: Outline for Community Assessment Report

Directions: This assignment gives you practice in writing an outline for a CA Report. Use the data in *Handout 13: Sample of Community Assessment and Internal Data* and *Handout 18: Questions to Consider When Compiling and Analyzing CA Data* to prepare the outline.

1. What is the purpose of the CA Report? How will the report be used?
2. Who will read the report?
3. What information about the community (external environment) should be included?
4. What information about the delivery of services in our program (internal environment) should be included?
5. What categories should be used to group the external and internal data (for example, General Description of Service Area, Demographics, Environment, Health, Economy and Employment, Education, Community Resources, Community Safety, Internal Program Services, Trends, and Major Issues and Concerns)?
6. What visuals should we include to help all the readers understand the report (types of visuals and content)?

Propose Directions and Adopt Plans



Propose Directions and Adopt Plans

Outcomes

After completing this module, participants will be able to:

- Use both the approved findings and the summary of issues and concerns they have formulated from the community and program assessment to develop goals and objectives that are responsive to the community and the program.
- Write guidelines on how to create the ideal work team(s) to develop a written plan.
- Develop part of a written plan.
- Identify the shared responsibilities of the Policy Council/Policy Committee and governing body in adopting both program goals and objectives and program area plan(s).

Key Concepts

- Community goals should focus on changing conditions in the service area; an agency proposes these goals in response to the issues and concerns raised in the Community Assessment (CA). Program goals should indicate outcomes, changes, and/or improvements in service delivery and agency operations. After the governing body and Policy Council/Policy Committee approve the community and program goals, a program makes a commitment to meet them during the planning cycle.
- Work teams use the approved goals and other planning team findings to formulate objectives and to develop integrated program area plan(s) to use in implementing the *Head Start Program Performance Standards* and other requirements.
- The statement of program goals and objectives describes the issues (priorities) from an agency's CA and self-assessments that will be given specific attention.
- The written, integrated program area plan(s) gives a description of how the program proposes to implement the *Head Start Program Performance Standards* and deliver services.
- The grantee Policy Council, the delegate Policy Committee, and the governing body each play key roles in developing program goals or setting directions and approving the program area plan(s). They are the policymaking bodies responsible for shared governance of the Head Start program.

Module 3

Background Information

The content of *Modules 1* and *2* focuses on collecting and analyzing data. In *Module 3*, the planning team uses the summary of issues and concerns discussed in *Module 2* to recommend goals and objectives. In addition, this module focuses on developing written plan(s). It emphasizes the key roles played by the grantee Policy Council, the delegate Policy Committee, and the governing body in developing and approving program goals and program area plan(s).

Overview of Process

Setting goals, developing objectives, and writing an integrated program area plan(s) are the key tasks in *setting the direction* for Head Start programs. These tasks are based on the *Head Start Program Performance Standards* that refer to formulating multi-year, long-range goals and short-term program and financial objectives. In addition, the philosophy, vision/mission, and values of the Head Start agency and program provide the foundation for the changes the agency needs to make.

The planning team or other individuals involved in setting major guidelines for the planning process are responsible for translating the data from the community and program assessments into goals. They begin by analyzing both external and internal data, then identify trends. Next, they summarize the major issues and concerns facing their Head Start program and the Head Start-eligible population. After the governing body and the Policy Council/Policy Committee adopt the summary of issues and concerns developed by the planning team, the team is ready to put that data and information to work. Their next step is to formulate goals that will set the direction for the program for at least the next 3 years. These goals are the bridges that connect the community resources and needs with the children and families. They set the stage for the more detailed description of how an agency will implement activities to reach the goals and objectives.

Once goals and objectives are adopted, written plans need to be developed or updated that describe (1) how objectives will be achieved and (2) how the *Head Start Program Performance Standards* will be implemented.

The statement of program goals and objectives describes the issues (priorities) from an agency's CA and self-assessment that will be given specific attention. It includes specific strategies and activities that indicate the path(s) the agency will take to accomplish the objectives (and ultimately, the goals). The goals and objectives indicate what needs to be emphasized in the program area plan(s) by explaining what makes the program and its community unique.

When significant issues arise in implementing the *Head Start Program Performance Standards* (and are identified during a self-assessment),

Module 3

an agency may choose to establish goals and objectives to emphasize and focus on the changes that are needed in its program and/or administrative operations. It should also be noted that other issues in the CA may need to be addressed in the program area plan(s) even though they are not chosen as priorities for setting goals and objectives.

The program area plan(s) describes an agency's approach to serving the needs of children and families; it incorporates issues from the CA and from the statement of goals and objectives that influence how services are delivered. The program area plan(s) includes a description of recruitment and enrollment priorities; staff, parent, and community involvement activities; and other services and systems that ensure effective and efficient operations, including a system of governance. This plan should reflect an integrated approach to delivering services since all agency systems and procedures will be impacted.

The program area plan(s) may need to be updated only in the second and third years of implementing the 3-year plan. If there have been significant changes in the population to be served since the plan was written or updated, major revisions or a new plan may be needed.

Local agencies may use different names for the team(s) that develop and propose the written plans, such as project work team(s), coordinated services team(s), or implementation team(s). When a work team has been carefully selected so the members' resources and interests represent a cross-section of the program's operations, the team is able to develop plans using a broad array of skills and talent. In addition, getting the buy-in from all staff is easier when their representatives have had an opportunity to participate.

Throughout this process, everyone engaged in planning must remember that no organization or program can be all things to all people. There are limits to resources, skills, and interests.

Although specific tasks are involved in *proposing directions* and *adopting plans*, each team decides how to develop program goals and objectives. In addition, each program determines the program options and how other management systems and all service delivery systems will be used to implement goals and objectives.

For example, the frequency of reporting to the governing body and policy group may be different because the goals and objectives are different from the prior period. Records kept to provide such reports and information may be different from existing documents and the frequency and type of reporting may need to change. Communication

Module 3

with families, staff, and the community will need to change to provide the necessary support for accomplishing new goals and objectives.

The self-assessment will need to determine whether outcomes planned in goals and objectives and services proposed met proposed targets. The budget and commitment of funds may need to be redirected, particularly for staff training, supplies, and other categories that will help to assure that resources, both human and financial, are available to support planned activities.

This brief example describes the importance of the planning system and its reliance on every other management system (governance, communication, record-keeping, reporting, ongoing monitoring and self-assessment, human resources, and fiscal management) to deliver the program and services of an organization.

Gap Analysis

A gap analysis can help you use CA and program data effectively. A gap analysis involves answering the following questions:

- *Where are we now?*
- *Where do we want to be? What is our vision?*
- *What goals can we establish to reposition our program to make a difference?*

To answer *Where are we now?*, programs use CA and program data to look at the agency's current position in relation to the community and program assessment information. Planning teams refer to the trends and major issues they identified from the internal and external data.

To determine how to handle major issues, programs need to identify their vision by answering *Where do we want to be?* Identifying a vision allows teams to determine where they would like to be in both the near and more distant future.

When considering *What goals can we establish to reposition our program to make a difference?*, teams need to analyze what it would take to move them toward achieving their vision. To answer this question, they need to set goals.

Visioning

The major challenge faced when setting direction is clarifying the choices raised by major issues and concerns identified by the planning team. Programs need to answer the question *Where do we want to be?* by formulating a vision for their Head Start program (if one does not already exist).

Module 3

Burt Nanus,¹ a well-known management expert, describes the special characteristics of visions as follows. They:

- **Are appropriate for the organization and the times:** Visions fit into the organization's present situation and provide a realistic and informed assessment of what is attainable in the future.
- **Set standards of excellence and reflect high ideals:** Visions depict the organization as responsive to the community, having a sense of integrity.
- **Clarify purpose and direction:** Visions define what the organization wants to happen and legitimate aspirations for organization members. They create focus.
- **Inspire enthusiasm and encourage commitment:** Visions widen the agency's support base by reflecting the needs of many stakeholders, transcending differences in race, age, gender, and other demographic characteristics. They draw stakeholders into a community of concerns about the future of the organization.
- **Are well-articulated and easily understood:** Visions are stated in such a way that they serve as a guide for taking actions and they are easily internalized by those who attempt to turn the vision into reality.
- **Reflect the uniqueness of the organization:** Visions emphasize the organization's characteristics, its goals, and its achievements.
- **Are ambitious:** Visions represent undisputed progress and expand the organization's horizons. Visions often call for sacrifice and emotional investments.

(Refer to the Training Guide *Participating in the Management Process* for guidance on how to develop a program vision. The term "mission" is used in the same context as the term "vision.")

Goal Setting

After a program's vision has been identified, the next step is to answer *What goals can we establish to reposition our program to make a difference?* Answering this question involves identifying community and program goals.

¹ Burt Nanus, *Visionary Leadership. Creating a Compelling Sense of Direction for Your Organization*, (San Francisco: Jossey-Bass Publishers, 1992), p. 28-29.

Module 3

A goal is an outcome you try to reach by improving service delivery and agency operations. Goals draw on the CA data, the self-assessment, the *Head Start Program Performance Standards*, and the philosophy of Head Start. They provide the framework for secondary planning that needs to occur. To determine program goals, consider the major issues and concerns identified in the CA and program self-assessment that directly affect your activities and services.

Determining appropriate goals requires the ability to focus on the following questions:

- *Are the goals future-oriented, yet practical enough to achieve?*
- *Are the goals appropriate for Head Start—do they fit in with the agency's history, mission, and values as well as the needs of children and families?*
- *To what extent do they set standards of excellence and quality of services to children and families?*
- *Do they help to clarify the direction and purpose of the program?*
- *Will the goals inspire and motivate all stakeholders: parents, staff, the governing body, and the community?*
- *Do the goals reflect the unique issues and challenges present in the Head Start service area?*
- *Are the goals ambitious enough? Are they too ambitious to make a difference in a reasonable time period?*

Goals focus on realistic outcomes that will have a positive effect on a given issue or concern. When used in this Guide, the term *goals* refers to broad statements that may take several years to achieve.

For example, according to CA findings, an agency may be experiencing significant demographic changes within its service area. A Head Start program that began by serving one particular ethnic group may now be experiencing new ethnic, linguistic, and cultural diversity. This in turn may require extensive changes in the agency's implementation of the *Head Start Program Performance Standards*.

In this example, the planning team wants to set a long-range goal to handle the demographic change over the next 3 years. They might develop the following goal to address the issue described above:

Module 3

Increase the ethnic diversity of our staff to reflect the children and families our program will serve.

After goals have been set, objectives that describe how the agency will reach its goals need to be established. The program area plan(s) for implementing the *Head Start Program Performance Standards* may need to be updated or rewritten once goals and objectives are adopted.

Guidelines for Developing Plans

Programs should develop guidelines for all teams to use to develop both their statement of program goals and objectives and their program area plan(s). For the statement of program goals and objectives, the guidelines should answer the following questions:

- *What are the issues from the CA and self-assessment that we have chosen to work on?*
- *What are our goals (to address the issues)?*
- *Who will work on them?*
- *When will they be achieved?*

For the program area plan(s), the guidelines should answer the following questions, in addition to the questions above:

- *How are our services currently integrated?*
- *Should we move standards across service areas to better reflect our system of services?*
- *Are there additional issues in the CA and self-assessment that should be considered in developing our plan for services?*

SMART Objectives

To complete the statement of program goals and objectives, the planning team must write specific objectives to respond to the first four questions above. Keep in mind that goals are broader than objectives. They focus attention on the end result—what we want to accomplish.

Objectives should specify how, who, when, and where so the team can monitor its progress. At this level, objectives are often called SMART Objectives because they are:

- S** = Specific
- M** = Measurable
- A** = Action-oriented
- R** = Realistic
- T** = Timebound

Module 3

SMART Objectives are *specific*, meaning detailed, particular, and focused. An objective is specific if everyone knows exactly what is to be achieved. Ask whether it specifies:

- *What is to be done?*
- *When is it to be done?*
- *How will it be done (strategy)?*
- *Who will do it?*
- *When will it be done?*

SMART Objectives are *measurable*. A measurable objective provides a standard for comparison. It uses words like increase, reduce, decrease, or lower and uses percentages or numbers to quantify change.

SMART Objectives are *action-oriented*. They include strategies for how to achieve the objective.

SMART Objectives are *realistic*. They are neither out of reach nor below standard performance. They make sense and are practical.

SMART Objectives are *timebound*. Deadlines encourage individuals to complete their tasks. A deadline helps organize what needs to happen, when it should happen, and who is responsible.

For example, assume a program's goal is to:
Reduce the exposure of children to secondhand smoke.

A broad **SMART Objective** for achieving this goal is:

Staff will provide at least five activities for every family member to assist them in stopping or reducing smoking by the end of the operational year.

Activities and strategies for achieving the broad SMART Objective might include **additional SMART Objectives with specific details**:

The Health Services Manager will negotiate an agreement with the Health Department by November 5 of this year to provide a series of training activities for parents and staff on techniques they can use to stop smoking.

Family Advocates will encourage parents to consider smoke cessation as one of the goals in their Family Partnership Agreements (FPA) at the time of enrollment or during initiation of the FPA.

The Child Development and Health Services Managers will develop instructions on smoking hazards and include them in the curricula for

Module 3

all classes. As part of this effort, a monthly activity will be conducted in the classroom.

Home Visitors will include a discussion on smoking and its relationship to upper respiratory problems both during one home visit and during one followup in parent-center meetings.

The first objective is a broad statement because it refers to "five activities" without identifying the activities. However, this objective also has elements of a SMART Objective: it states **what** is to be done (provide at least five activities for each family member to assist them to stop or reduce smoking) and **when** it will be done (by the end of the operational year). The additional SMART Objectives give more details. They describe four *specific, measurable, action-oriented, timebound* activities/strategies stating **when** each task will be done (for example, November 5 of this year, time of enrollment, monthly); **how** it will be done; and **who** will be responsible for doing it (Health Services Manager, Family Advocates, Child Development and Health Services Manager, Home Visitors). Before these objectives are carried out, teams need to determine how *realistic* they are and obtain the necessary approval to proceed with them.

Both the second and third strategies have an impact on the program area plan(s) and indicate changes that may need to be made.

Careful attention must be given when developing or revising the program area plan(s) to respond to the goals and objectives and other changes that may be needed as a result of the CA and/or self-assessment; agencies need to consider each of the four questions in the guidelines for developing the statement of program goals and objectives as well as the three additional questions that form the guidelines for developing the program area plan(s).

Each agency's program area plan is unique in that it describes how the management and program systems are integrated to deliver quality services.

Each agency has the choice of whether its plan will be viewed as a single document or as multiple plans. In addition, when writing the plan(s), there is discretion to move standards from one service area to another (for example, from Child Health and Developmental Services to Program Design and Management) if this would provide a better description of the agency's systems.

Grantees should ensure that their plans **do not** restate the *Performance Standards*. Each of the program area plan(s) must describe how the

Module 3

agency proposes to implement services in each of the program areas covered in the *Performance Standards*.

Shared Decision-Making

Shared decision-making is a key element in the process of *proposing direction and adopting plans*. The governing body and the Policy Council/Policy Committee must actively participate in developing and approving a program's goals and objectives. They must also be consulted when the program area plan is being developed.

The Policy Council/Policy Committee must approve the initial plans and review and re-approve the plans on an annual basis. The proposed direction and plans cannot be implemented without participation and full agreement among the decision-making bodies. The Head Start management team facilitates discussions between shared decision makers and the Head Start community to ensure all stakeholders support the plans.

Annual Review of Goals and Objectives

Goals and objectives should be reviewed after each CA and annual program self-assessment to ensure the program goals remain appropriate and the strategies being implemented are helping the agency reach its goals. Revisiting these important decisions is part of the *proposing directions* stage of planning. Later in this guide, the discussion on ongoing monitoring and self-assessment presents a clearer view of how assessment activities can be used to test the validity of the goals and objectives.

In summary, *proposing directions and adopting plans* is a comprehensive process that involves performing a gap analysis, developing a vision, setting goals, writing specific objectives, and writing work plans. Work plans assign responsibility and set timelines for carrying out and monitoring the plan's major strategies. Throughout the process, a cross-section of program staff, the Policy Council/Policy Committee, and the governing body play key roles.

When the plans are adopted, the next stage begins: implementing the plans. Responsibilities as designated in the plans are assigned to particular individuals or teams, and during implementation, designated groups and individuals provide general oversight and ongoing monitoring to ensure the implementation efforts are proceeding smoothly.

Module 3

Activity 3-1: A First Step in Proposing Directions



Purpose: This activity develops gap analysis skills. It will help participants understand how this technique can be used as a first step in proposing directions.

Materials:

Handout 20: Using Gap Analysis in Setting Directions

Handout 21: Using Metaphors in Setting Directions

Coach Preparation Notes:

Tell participants in advance they will be referring to information obtained in a CA and a program assessment. If they have time, ask them to review the data collected in their program's most recent assessments.

Introduce Activity

1. Review the steps in the planning and reviewing process covered in *Modules 1* and *2*. Briefly explain the tasks involved in *proposing directions*: developing a vision, setting goals, developing objectives, and writing objectives and an integrated program area plan.

Explain Gap Analysis

2. Explain that this activity focuses on answering:
 - *Where are we now?*
 - *Where do we want to be? (What is our vision?)*
 - *What goals can we establish to reposition our program to make a difference?*

Refer to the *Background Information* for an explanation of the meaning and importance of performing a gap analysis. Distribute and review *Handout 20: Using Gap Analysis in Setting Directions*.

Explain that CA and self-assessment data will be used in a gap-analysis exercise. Ask participants to think about what they have learned from their program's assessments.

Emphasize that this is a practice exercise. Participants will not use all the information collected in their program's assessments and they will not perform a comprehensive gap analysis of their program. This activity allows them to *practice* the techniques.

Module 3

Where Are We Now?

3. Tell participants that they are going to put on their creativity hats and use a metaphor to **begin** to think about answering the first question in a gap analysis: *Where are we now?*

Define a metaphor as figurative language (that is, words or phrases that *literally* denote one idea, but suggest another). For this activity, participants need to think in terms of language and mental images that correspond with the metaphor they choose.

Explain that the assignment is to select a metaphor that describes their current situation. Next they are to explain how the metaphor relates to their program by using words or graphics to illustrate their current assessment of where the program is. Give the following example, writing it on chart paper:

Metaphor: *Today's mighty oak is just yesterday's little acorn that held its ground.*

Describe how the current situation in a program could relate to metaphor.

We have cultivated and nurtured collaborative agreements with many agencies that work with our families. The branches of our tree are growing strong as we participate on advisory committees and in staff development and marketing activities. We are branching out by participating on the boards of other organizations and by attending their activities. There are many new acorns developing as our families are getting new services.

Distribute *Handout 21: Using Metaphors in Setting Directions*, and discuss the metaphors. Tell participants they may use one of the metaphors on the handout or one of their own for this activity.

Give participants 15 minutes to work independently. Discuss responses and how they relate to the first question on the handout: *Where are we now?* Emphasize that this is not intended to be a comprehensive analysis of their program.

What Is Our Vision?

4. Refer to the second question on *Handout 20: Where do we want to be? (What is our vision?)* Review Burt Nanus' characteristics of visions.

Tell participants their next task is to describe the answer to *Where do we want to be? (What is our vision?)* using words or pictures. Give the following example of how to use the oak tree metaphor to answer this question:

Module 3

We want to clear ground and prepare soil to plant several new oak trees. One large new tree will branch out into the chamber of commerce and others will offer shade in the yards of private child care providers who collect and nourish our acorns during times our program is closed.

Give participants 15 minutes to work independently. Discuss responses.

What Goals Can Our Program Set?

5. Write the third question on *Handout 20* on chart paper:

What goals will we establish to reposition our program to make a difference?

Using the responses to the first two questions, facilitate a session that answers this question in words rather than in metaphors. Ask participants to identify long-range goals and list them on chart paper.

Continue to emphasize that this exercise is not intended to be a comprehensive assessment of their program; it is a practice activity.

Summarize

6. Conclude by using imagery from metaphors to review the importance of this task. For example:

- *An assessment of where we are and where we want to be provides the path for a journey of a thousand miles.*
- *Setting the direction by performing a gap analysis allows everyone in the program to go forward toward achieving a better tomorrow.*
- *Plant and nurture the acorns (goals), prune away the parts that need to go (continuous improvement), make sure there is plenty of sunshine and water (staff and resources), and your Head Start program will have an everlasting mighty oak.*
- *Create a better future for Head Start families by imagining how things could be different and planning goals to get there.*
- *Carefully setting the course will ensure program goals are completed successfully.*

Module 3

- *Moving ahead relentlessly toward program goals ensures a prize of thriving children and families that result from thoughtful planning.*

Summarize the activity by reviewing the three questions used in a gap analysis and discussing the importance of this technique as a first step in setting directions.

Activity 3-2: Setting and Presenting Goals



Purpose: Participants will practice using information from a CA and a self-assessment to perform a gap analysis and develop program goals. In addition, they will practice techniques for presenting the goals.

Materials:

Extra copies of *Handout 13: Sample of Community Assessment and Internal Data*

Handout 22: Guidelines for Setting Goals

Handout 23: Feedback Sheet

Chart paper, markers, and tape

Chart paper used in *Activity 2-3*

(Collect the goals each team develops in this activity so they can be used in *Activity 3-3, Writing SMART Objectives.*)

Trainer Preparation Notes:

1. You will need to review *Module 2, Activity 2-3: Identifying Major Issues and Concerns* for this exercise. In addition, post the chart paper the participants prepared in *Activity 2-3, Step 3*.
2. This activity continues to use the sample scenario (*Handout 13: Sample of Community Assessment and Internal Data*). Have extra copies of the scenario available.
3. Write the following on chart paper:
Effective Head Start goals:
 - *Are future-oriented, yet practical enough to achieve.*
 - *Are appropriate for Head Start—they fit in with the agency's history, mission, and values as well as children's and families' needs.*

Module 3

- *Set standards of excellence and quality of services for children and families.*
- *Clarify the direction and outcomes the program wants to achieve.*
- *Inspire and motivate all stakeholders: parents, staff, governing bodies, and the community.*
- *Reflect the unique issues and challenges present in the Head Start service area.*
- *Are ambitious but not excessively so, and can make a difference in a reasonable length of time.*

Introduce Activity

1. Explain that participants will continue to use the sample scenario, *Handout 13*, while practicing setting goals. Review the process the participants followed in *Module 2* to use the data to identify major issues and concerns. Post the chart paper listing the major issues and concerns they recorded in *Activity 2-3: Identifying Major Issues and Concerns*, and discuss them.

Explain Gap Analysis

2. Tell participants that they are now going to use the data from the scenario to perform a gap analysis. Using the *Background Information*, explain the importance of a gap analysis.

Where Are We Now?

3. Record the following question on chart paper:

- *Where are we now?*

Give participants 10 minutes to skim *Handout 13*.

Lead a brainstorming session to answer the question and record responses.

Where Do We Want to Be?

4. Write the next question in the gap analysis on chart paper:

- *Where do we want to be? What is our vision?*

Review Burt Nanus' characteristics of visions. Lead a brainstorming session to answer this question and record responses.

Module 3

What Are Our Goals?

5. Give participants time to review the major issues and concerns from *Activity 2-3* posted on chart paper. Next, ask participants to silently read the answers posted on the chart paper to the first two questions from the gap analysis. Using the *Background Information*, define goals that will assist them in answering this question. Based on this information, ask participants to *brainstorm* answers to the question below.

- *What goals can we establish to reposition our program to make a difference?*

Discuss responses.

Discuss Goals

6. Discuss the characteristics of effective goals, focusing on the following key points posted on chart paper:

Effective Head Start goals:

- *Are future-oriented, yet practical enough to implement.*
- *Are appropriate for Head Start—they fit in with the agency's history, mission, and values as well as children's and families' needs.*
- *Set standards of excellence and quality of services for children and families.*
- *Clarify the direction and outcomes the program wants to achieve.*
- *Inspire and motivate all stakeholders: parents, staff, governing bodies, and the community.*
- *Reflect the unique issues and challenges present in the Head Start service area.*
- *Are ambitious but not excessively so, and can make a difference in a reasonable length of time.*

Set Goals

7. Tell participants their next task is to use the major issues and concerns identified in *Activity 2-3* (displayed on the chart paper) and the information they obtained during the gap analysis to develop long-term, multi-year goals that set the direction for the program described in the scenario. For assistance in developing goals, refer to the posted questions and *Handout 22: Guidelines for Setting Goals*.

Module 3

Working in groups, participants should identify four goals. Ask them to post their goals on chart paper. Divide participants in groups. Allow 20 minutes for this activity.

Articulate Goals

8. Explain that the next group assignment is to prepare a role play that presents their goals to a policymaking entity. During each role play, the rest of the participants will act as members of the policymaking entity. Everyone must participate in the group presentation. Encourage the groups to use a variety of presentation techniques and visual aids.

Decide on the audience for each group's presentation, with each group selecting a different audience. Possible audiences include the grantee board of directors, a tribal council, a school board, a policy group, and a community forum.

Discuss preparing a presentation on goals, listing the following guidelines on chart paper:

- *State the goal.*
- *Explain reasons obtained from data for identifying the goal.*
- *Explain benefits to program if goal is adopted.*

Allow the groups 25 minutes to prepare their presentations.

9. Assemble the groups. Distribute and review *Handout 23. Feedback Sheet*. Tell the "audience" to complete the feedback sheet individually. They should make constructive comments for each team by critiquing the proposed goals and the effectiveness of their presentation. Explain that you will collect feedback sheets after each presentation. When all the presentations have been given, you will give each group all of the feedback sheets on its presentation.

Review Goals and Presentation

10. After all groups have finished, give general feedback. Comment on the characteristics of effective goals and the importance of meeting the audience's needs in a presentation.

Tell groups that they will now review their feedback sheets and reflect on the quality of their presentation, its strengths, areas to improve, and the effectiveness of their goals. Allow groups 15 minutes. They might want to make revisions to their goals and record the revised goals on chart paper.

Summarize

11. Conclude the session by summarizing the importance of effectively using data to identify and set meaningful goals and to skillfully

Module 3

articulate your reasoning for the goals to governing bodies and policy groups.

Collect the chart paper displaying the goals from *Step 7* so it can be used in *Activity 3-3: Writing SMART Objectives*.

Activity 3-3: Writing SMART Objectives



Purpose: Participants will practice writing SMART Objectives by using the goals they developed in *Activity 3-2*.

Materials:

Handout 24: SMART Objectives

Chart paper listing goals from *Activity 3-2, Step 7, Set Goals*

Chart paper, markers, and tape

Trainer Preparation Notes:

Prepare chart paper as follows:

Staff will provide at least five activities for every family member to assist them in stopping or reducing smoking by the end of the operational year.

The Health Services Manager will negotiate an agreement with the Health Department by November 5 of this year to provide a series of training activities for parents and staff on techniques they can use to stop smoking.

Family Advocates will encourage parents to consider smoke cessation as one of the goals in their Family Partnership Agreements (FPA) at the time of enrollment or during initiation of the FPA.

The Child Development and Health Services Managers will develop instructions on smoking hazards and include them in the curricula for all classes. As part of this effort, a monthly activity will be conducted in the classroom.

Home Visitors will include a discussion on smoking and its relationship to upper respiratory problems both during one home visit and during one followup in parent-center meetings.

Introduce Activity

1. Introduce the activity by stating participants will continue the process of proposing directions by focusing on writing objectives.

Module 3

Ask participants to explain the difference between goals and objectives, emphasizing that goals are broader than objectives.

Write the following goal on chart paper, telling them to assume that a planning team wrote it after analyzing CA and program assessment data and identifying major issues and concerns.

Reduce the exposure of children to secondhand smoke.

Define SMART Objectives

2. Referring to the *Background Information*, explain the meaning of SMART Objectives.

Discuss the SMART Objectives posted on chart paper.

Broad SMART Objective:

Staff will provide at least five activities for each family member to assist them in stopping or reducing smoking by the end of the operational year.

Activities and Strategies (Additional SMART Objectives)

- *The Health Services Manager will negotiate an agreement with the Health Department by November 5 of this year to provide a series of training activities for parents and staff on techniques they can use to stop smoking.*
- *Family Advocates will encourage parents to consider smoke cessation as one of their goals in their Family Partnership Agreements (FPA) at the time of enrollment or during initiation of the FPA.*
- *The Child Development and Health Services Managers will develop instructions on smoking hazards and include them in the curricula for all classes. As part of this effort, a monthly activity will be conducted in the classroom.*
- *Home Visitors will include a discussion on smoking and its relationship to upper respiratory problems both during one home visit and during one followup in parent-center meetings.*

Ask participants to explain the extent to which the objectives are SMART Objectives: specific, measurable, action-oriented, realistic, and timebound.

The broad objective has elements of a SMART Objective: it states **what** is to be done (provide at least five activities for each family

Module 3

member to assist them to stop or reduce smoking) and **when** it will be done (by the end of the operational year). The activities and strategies, additional SMART Objectives, give more details. They describe four *specific, measurable, action-oriented, timebound* activities/strategies stating **when** each task will be completed (for example, November 5 of this year, time of enrollment, monthly); **how** it will be done; and **who** will be responsible for doing it (Health Services Manager, Family Advocates, Child Development and Health Services Managers, Home Visitors). Before these objectives are carried out, teams need to determine how *realistic* they are and obtain the necessary approval to proceed.

The second and third strategies have an impact on the program area plan(s) and indicate changes that may need to be made.

Write SMART Objectives

3. Post the goals that participants developed in *Activity 3-2*. Review them and distinguish broad goals from specific objectives that may be on the lists. Explain that they will work in groups of up to seven individuals to write SMART Objectives (one broad objective and additional SMART Objectives that identify strategies and action steps) to achieve one of the goals on the list. They should record their objectives on chart paper. Divide goals among the groups. Distribute *Handout 24: SMART Objectives* for participants to use as a reference. Allow 20 minutes for this activity.

Discuss SMART Objectives

4. Ask each group to explain their SMART Objectives and identify each element. At the end of the presentations, discuss the role the Policy Council/Policy Committee and governing body have in developing and approving program objectives.

Summarize

5. Conclude by discussing the importance of developing SMART Objectives. Emphasize that when several logical, sequential, short-term objectives are developed for a goal, the task of developing a responsive plan is more likely to be completed. Remind the group that the goals and objectives will be used in revising their program area plan(s).

Activity 3-4: Creating Work Teams and a Written Program Area Plan



Purpose: In *Session 1*, participants will identify guidelines for creating the ideal work teams. In *Session 2*, participants will develop part of a written plan for staff training and development.

Module 3

Session 1: Creating the Ideal Program Area Work Team

Materials:

Extra copies of *Handout 13: Sample of Community Assessment and Internal Data*

Copies of *Head Start Program Performance Standard, 1304.52, (k)(1)–(3)*

Chart paper, markers, and tape

Collect chart paper from *Step 2* and *Step 5* to use in *Session 2*.

Trainer Preparation Notes:

1. To ensure that you understand *Head Start Program Performance Standards* on Human Resources Management and how to apply them, read *Head Start Program Regulations and Program Guidance for Parts 1304 and 1308, Human Resources Management, 1304.52, (k)(1)–(3)* (distributed by the Head Start Publication Center), pp. 209–211.
2. Post the following questions on chart paper, writing one question per sheet:
 - *What is the purpose of this work team?*
 - *Based on the internal data and the HRM requirements of the Standards, what tasks do they need to perform?*
 - *What basic skills do team members need to perform these tasks?*
 - *How can we get individuals who have creative and new ideas to participate on this work team?*
 - *How can we ensure that individuals representing all staff areas are included on this work team? Why is this important?*

Introduce Activity

1. Tell participants that they will use the Human Resources Management Section of the *Head Start Program Performance Standards* in this activity. Explain that they will take the role of a **member of a management team for a Head Start program** in *Session 1*; their task will be to establish guidelines for determining which individuals should participate on the work team for developing a staff training and development plan. In *Session 2* they will

Module 3

take the role of a **member of a program area work team**; their task will be to develop a portion of a program area plan (written, integrated plan) related to training and development.

- Review Internal Data and Standards* 2. Explain that they will now begin their first task—helping the program create the ideal program area work team to develop an effective staff training and development plan. Team members must use internal data and the regulations in the *Head Start Program Performance Standards for Parts 1304.52, (k)(1)–(3)* to develop the plan.

Give participants 5 minutes to skim the internal data in the scenario in *Handout 13* to determine staff development issues for the program described. For example, many teachers met only basic requirements in early childhood development training, the program did not have an effective orientation for new employees, there are classroom management issues and issues involved in handling children with special needs, and funds are not used extensively for long-term skill development. Record responses on chart paper for use in *Session 2*.

Distribute copies of the *Head Start Program Performance Standards for Parts 1304.52, (k)(1)–(3)*, and give participants 15 minutes to answer:

Based on the data in the scenario, what changes in the program's area plan are needed?

Record responses on chart paper for use in *Session 2*.

Discuss Written Plans

3. Tell participants that before they develop guidelines for a program area work team that in turn will develop a portion of a program area plan on staff training and development, it is important to keep in mind the purpose of the statement of program goals and objectives and the program area plan(s).

Ask: *What is the purpose of the statement of program goals and objectives?*

- *Describes the issues (priorities) from an agency's CA and self-assessment that will be given specific attention.*
- *Includes specific strategies and activities that indicate the path(s). The agency will take to accomplish the objectives (and ultimately, the goals).*

Module 3

- Includes goals and objectives that indicate what needs to be emphasized in the program area plan by explaining what makes the program and its community unique.

Ask: What is the purpose of a program area plan?

- Describes an agency's approach to serving the needs of children and families.
- Incorporates issues from the CA and from the statement of goals and objectives that influence how services are delivered.
- Includes a description of recruitment and enrollment priorities; staff, parent, and community involvement activities; and other services and systems that ensure effective and efficient operations, including a system of governance.
- Reflects an integrated approach to delivering services since all agency systems and procedures will be impacted.

Discuss Effective Program Area Work Teams

4. Participants will now begin to write guidelines for a program area work team that will develop a staff training and development plan for the program in the scenario.

Discuss the answers to the following questions, already posted on chart paper:

- What is the purpose of this work team?
- Based on the internal data and the HRM requirements of the Standards, what tasks do they need to perform?
- What basic skills do team members need to perform these tasks?
- How can we get individuals who have creative and new ideas to participate on this work team?
- How can we ensure that individuals representing all staff areas are included on this work team? Why is this important?

Develop Guidelines for Program Area Work Teams

5. Divide participants into groups of up to seven individuals. Write the following instructions on chart paper:

Develop guidelines for an ideal program area work team. The team's objective is to develop a staff training and development plan that addresses the issues in the internal data and describes how to

Module 3

implement Section 1304.52, (k)(1)–(3) of the Head Start Program Performance Standards.

Tell each group to record the guidelines they develop on chart paper. Allow 30 minutes for this activity.

Discuss Guidelines

6. Ask each group to report on the guidelines developed. Lead a discussion to reach consensus on a general list of guidelines for creating this work team. Record the guidelines on chart paper. Collect the guidelines to use in *Session 2*.

Summarize

7. Conclude with the following points:
 - *When management teams discuss their expectations for a work team before the team is formed, the team's work is more likely to meet management's expectations.*
 - *Management teams need to provide guidelines to work teams to ensure that the team members understand what they are to accomplish.*
 - *When a cross-section of staff members work on developing a written plan, they are more likely to support and implement the plan. In addition, the plan is more likely to address the program's diversified needs.*

Session 2: Developing Part of a Program Area Plan

Materials:

Extra copies of the *Head Start Program Performance Standards for Parts 1304.52, (k)(1)–(3)*

Handout 24: SMART Objectives

Handout 25: Guidelines for Developing a Written Program Area Plan

Chart paper prepared during *Step 2* and *Step 5* from *Session 1*

Introduce Activity

1. Explain to participants that they will now assume the roles of members of the program area work team discussed in *Session 1*. Divide participants into groups. Each group represents a team in the process of developing a staff training and development work plan as required by the *Performance Standards*. Ask participants to select a role to play within the group, making sure that their work team represents a cross-section of individuals from the program.

Discuss Program Goals and Objectives

2. Review the chart paper from *Session 1, Step 2* identifying the scenario's staff development issues and the requirements of the *Performance Standards* on training and development that relate to this program. Record the following goal on chart paper:

Module 3

Increase efficiency of our Human Resources Management System.

Write on chart paper broad objectives related to this goal.

- *Have all teachers complete the requirements for a bachelor's degree within the next 5 years.*
- *Redesign our orientation process by the end of this calendar year to provide complete information on all aspects of our organization.*

Prepare to Write a Plan

3. Explain that the answers to the following questions help work teams develop written plans (statement of program goals and objectives and a program area plan).

Record each question on chart paper, discussing its importance.

- *How are our services currently integrated?*
 - *Should we move standards across service areas to better reflect our system of services?*
 - *Are there issues in the CA and self-assessment that should be considered in developing our plan for services?*
 - *What is to be done?*
 - *How will it be done? What strategies will we use?*
 - *Who will do it?*
 - *When will it be done?*
4. Tell participants to work in groups to write a program plan on staff development and training for the program in the scenario. Distribute *Handout 24: SMART Objectives* and *Handout 25: Guidelines for Developing a Written Program Area Plan* for participants to use as a resource. Allow 40 minutes for this activity.
 5. Ask each group to explain their plan to the entire group.
 6. Conclude by summarizing the information that should be included in a written program area plan. In addition, emphasize the importance of a diversified work team when developing a plan.

Discuss Written Plans

Summarize

Module 3

Activity 3-5: Shared Decision-Making



Purpose: Participants will describe the responsibilities of the governing body, Policy Council/Policy Committee, and the grantee or delegate management staff in shared decision-making. In addition, they will identify associated challenges and strategies to overcome these challenges.

Materials

Copies of *Head Start Program Regulations and Program Guidance for Parts 1304 and 1308, 1304.50, Appendix A: Governance and Management Responsibilities*, p. 175 on planning and p. 177, *Key and Definitions as Used in Chart*.

Trainer Preparation Notes:

To ensure that you understand the *Head Start Program Performance Standards* on program governance and how to apply these standards, read the section *Head Start Program Regulations and Program Guidance*, from *Subpart D-Program Design and Management, Program Governance, 1304.50*, pp. 158–177 (from the Head Start Publication Centers). When reviewing *1304.50 Appendix A: Governance and Management Responsibilities*, tell participants that the chart does not contain all the *Standards*.

Introduce Activity

1. Tell participants that Head Start regulations require the involvement of the governing body and Policy Council/Policy Committee in decision-making about critical policy issues. The purpose of this activity is to discuss the responsibilities of these groups in the planning process, identify the challenges they face, and suggest activities to overcome the challenges.

Discuss Responsibilities

2. Distribute copies of *Head Start Program Regulations and Program Guidance for Part 1304.50* on planning, p. 175, *Appendix A: Governance and Management Responsibilities*, and p. 177, *Key and Definitions as Used in Chart*. Explain the chart, reviewing the meaning for the letters A, B, C, and D. Write the following question on chart paper, telling participants they will review the responsibilities listed on the chart to answer this question:

What are the responsibilities of the governing body, Policy Council/Policy Committee, and Executive director in the shared decision-making part of the Head Start planning process?

Module 3

Give participants 5 minutes to review the chart and answer the question.

Suggest that they underline key issues for each item on the chart. For example, in Item (a) the key issue is "procedures for program planning."

Lead a discussion to identify the following responsibilities. Discuss the importance of each one and the tasks involved in performing it.

- *Procedures for program planning.*
- *Program's philosophy.*
- *Long- and short-range program goals.*
- *Long- and short-range program objectives.*
- *Selecting delegate agencies and their service areas.*
- *Criteria for defining recruitment, selection, and enrollment priorities.*
- *Funding application/amendments.*
- *Reimbursements to Policy Council/Committee/Parent Committee.*
- *Annual self-assessment.*

Handle Challenges

3. Explain that participants will now work in groups to answer two questions (write the questions on chart paper):
 - *What are the challenges associated with the planning responsibilities of Head Start leaders? (Consider this question from the perspective of staff leaders [Executive and Head Start directors] and the Policy Council/Policy Committee and governing body [board]).*
 - *What strategies can be used to overcome these challenges?*

Give an example of how to answer the questions by referring to the first responsibility in *Appendix A: I. Planning (a) procedures for program planning.*

Module 3

Discuss Strategies to Overcome Challenges

Divide participants into groups, assigning each different responsibilities from items (b)–(g) in *Appendix A*. Ask groups to post their responses on chart paper. Allow 20 minutes for the group activity.

4. Ask each group to report on their responses to the two questions. After each report, ask the other participants:
 - *How do you feel about the challenges this group identified?*
 - *Are there additional challenges you believe will be encountered in carrying out this responsibility?*
 - *What is your reaction to this group's suggestions for handling the challenges?*
 - *Do you have any other suggestions?*
 - *Are there any standard practices an agency can adopt to reduce the challenges (e.g. training governing body and policy group)?*
5. Conclude by emphasizing the importance of shared decision-making in Head Start.

Summarize

Activity 3–6: Developing a Written Plan with SMART Objectives



Purpose: Participants will practice using SMART Objectives to develop part of a written plan.

Materials

Extra copies of the *Head Start Program Performance Standards for Parts 1304.52, (k)(1)–(3)*
Copies of *Handout 13: Sample of Community Assessment and Internal Data*
Handout 24: SMART Objectives
Handout 25: Guidelines for Developing a Written Program Area Plan

Coach Preparation Note:

Prepare chart paper as follows:

Staff will provide at least five activities for every family member to assist them in stopping or reducing smoking by the end of the operational year.

The Health Services Manager will negotiate an agreement with the Health Department by November 5 of this year to provide a series of training activities for parents and staff on techniques they can use to stop smoking.

Family Advocates will encourage parents to consider smoke cessation as one of their goals in their Family Partnership Agreements (FPA) at the time of enrollment or during initiation of the FPA.

The Child Development and Health Services Managers will develop instructions on smoking hazards and include them in the curricula for all classes. As part of this effort, a monthly activity will be conducted in the classroom.

Home Visitors will include a discussion on smoking and its relationship to upper respiratory problems both during one home visit and during one followup in parent-center meetings.

Introduce Activity

1. Tell participants that the purpose of this activity is to determine the content for part of a written program area plan that supports the training and development requirements of the *Head Start Program Performance Standards*. They will write objectives for the plan.

Discuss Goals and Objectives

2. Using the *Background Information* as a reference, discuss the difference between goals and objectives, emphasizing that goals are broader than objectives. Explain that goals may take several years to achieve, but many objectives can be accomplished in an operational year.

Write the following goal on chart paper, telling participants to assume that a planning team wrote this goal after analyzing CA and program assessment data and identifying major issues and concerns.

Reduce the number of Head Start staff and parents who smoke.

Discuss SMART Objectives

3. Referring to the *Background Information*, explain the meaning of SMART Objectives.

Discuss the broad SMART Objective posted on chart paper, asking participants to explain the extent that it is specific, measurable, action-oriented, realistic, and timebound.

Staff will provide at least five activities for every family member to assist them in stopping or reducing smoking by the end of the operational year.

Module 3

Activities and Strategies (Additional SMART Objectives)

- *The Health Services Manager will negotiate an agreement with the Health Department by November 5 of this year to provide a series of training activities for parents and staff on techniques they can use to stop smoking.*
- *Family Advocates will encourage parents to consider smoke cessation as one of their goals in their Family Partnership Agreements (FPA) at the time of enrollment or during initiation of the FPA.*
- *The Child Development and Health Services Managers will develop instructions on smoking hazards and include them in the curricula for all classes. As part of this effort, a monthly activity will be conducted in the classroom.*
- *Home Visitors will include a discussion on smoking and its relationship to upper respiratory problems both during one home visit and during one followup in parent-center meetings.*

The second and third strategies have an impact on the program area plan(s) and indicate changes that may need to be made.

Ask participants to explain the extent to which these objectives are SMART Objectives: specific, measurable, action-oriented, realistic, and timebound.

The first objective is a broad statement because it refers to five activities without identifying the activities. However, this objective also has elements of a SMART Objective: it states **what** is to be done (provide at least five activities for each family member to assist them to stop or reduce smoking) and **when** it will be done (by the end of the operational year). The additional SMART Objectives give more details. They describe four *specific, measurable, action-oriented, timebound* activities/strategies stating **when** each task will be done (for example, November 5 of this year, time of enrollment, monthly); **how** it will be done; and **who** will be responsible for doing it (Family Advocates, Child Development and Health Services Managers, Home Visitors). Before these objectives are carried out, teams need to determine how realistic they are and obtain the necessary approval to proceed.

Ask participants to write different SMART Objectives that they believe would be appropriate for their program to implement to accomplish the goal: *Reduce the number of Head Start parents and*

Module 3

staff in our program who smoke in one operational year. Discuss the objectives, identifying the elements that make them SMART Objectives.

Review Data/Standard

4. Tell participants that their next task is to assume the role of a member of a program area work team. This work team has been assembled to write SMART Objectives for a staff development and training plan for the program in the scenario in *Handout 13*.

Skim *Handout 13* with participants to identify staff development and training issues. Distribute and skim *Section 1304.52 (k)(1)–(3)* of the *Head Start Program Performance Standards* to identify how this section relates to the staff development needs of the scenario's program.

Write Part of a Plan

5. Explain that they are now ready to develop SMART Objectives for a program area work plan.

Record the following questions on chart paper, stating that these are to be considered/answered in the written plan:

- *How are our services currently integrated?*
- *Should we move standards across service areas to better reflect our system of services?*
- *Are there issues in the CA and self-assessment that should be considered in developing our plan for services?*
- *What is to be done?*
- *How will it be done? What strategies will we use?*
- *Who will do it?*
- *When will it be done?*

Distribute *Handout 24: SMART Objectives*, and *Handout 25: Guidelines for Developing a Written Program Area Plan* for participants to use in developing a portion of a written plan. Allow 30 minutes for this activity.

Discuss Plans

6. Ask each participant to explain the objectives they developed.

Summarize

7. Conclude by summarizing the information that should be included in a written plan.

Propose Directions and Adopt Plans

119

Module 3

Next Steps: Ideas to Extend Practice



The following activities will help participants apply the skills in this module to their own programs.

- Have a contest to select a metaphor or motto that represents the ideal future for your Head Start program. Examples such as those used in *Activity 3-1* can be suggested, although there should be an incentive for being original and creative. If possible, give a prize or recognition to the winning metaphor or motto. Use the selected metaphor or motto as a theme for stating program goals and objectives when writing the program area plan(s).
- Develop a **planning model** for your program.

Arrange a series of meetings among the Head Start director, the management team, the Policy Council/Policy Committee, and the governing body to review the steps in the planning process described in this guide.

Before the first meeting, duplicate and distribute the following to everyone invited: the *Introduction* to this Guide, the *Background Information* for each module, *Handout 4: Planning and Reviewing Process*, and the *Resources Section*. In addition, assign an individual to facilitate the meeting; this individual will lead a discussion on reviewing and critiquing the planning model.

At the first meeting, review and critique the planning model described in this Guide. Note that books with additional planning models are described in the *Resources Section*. Establish an action plan for developing a planning model for your program. Schedule as many meetings and activities as needed until you develop your own model.

- Establish a group to develop **guidelines** for work teams that are assembled to develop written plans.

From a general perspective, these guidelines should include how to structure and facilitate meetings, how individuals should interact with each other in the meetings, the purpose of each work team, the tasks that each team needs to perform, the results they are expected to achieve, and a format for the written plan. More specifically, the guidelines might include instructions to reorder the *Head Start Program Performance Standards* so that appropriate groupings are established to better reflect how your program currently plans to implement the standards.

Module 3

- The Worksheets in the *Appendix* have been designed to guide you in performing each step in the planning and reviewing process in your program. To apply the steps discussed in *Module 3*, use *Worksheet 8: Perform a Gap Analysis*, *Worksheet 9: Develop Guidelines for the Statement of Program Goals and Objectives*, *Worksheet 10: Set Major Goals*, *Worksheet 11: Create the Ideal Work Team*, *Worksheet 12: Develop Guidelines for a Program Area Plan*, and *Worksheet 13: Write SMART Objectives*.

Handout 20: Using Gap Analysis in Setting Directions

1. Where are we now?

Based on trends, major issues, and concerns identified in CA:

Based on major issues and concerns, strengths, and accomplishments identified in program assessment:

2. Where do we want to be? (What is our vision?)

Based on trends, major issues, and concerns identified in CA:

Based on major issues and concerns identified in program assessment:

3. What goals can we establish to reposition our program to make a difference?

Handout 21: Using Metaphors in Setting Directions

Our greatest glory is not in never failing,
but in rising every time we fall—*Confucius*



There are two ways of spreading light: to be the
candle or the mirror that reflects it—*Edith Wharton*



Only the flexible creative person can really manage
the future. Only the one who can face novelty with
confidence and without fear—*Abraham Maslow*



We are essentially activists. We have our precepts
and our principle, and then we act—*Cesar Chavez*



Nobody, but nobody can make it out here alone—
Maya Angelou



We must use time creatively and forever realize
that time is always hope to do great things—
Martin Luther King



Handout 22: Guidelines for Setting Goals

A *goal* is a broad statement that describes an end or an outcome we try to achieve. Goals help us focus on reaching our destination and setting our direction for the future. In the Head Start planning process, goals focus on changing and improving the major issues identified in the CA data. Consider the example below.

Major Issue *Twenty-five percent of the parents and guardians of the Head Start children in our program are smokers. Secondhand smoke has been identified as a major contributor to upper respiratory problems in children.*

Goal *Reduce the number of Head Start parents and guardians who smoke.*

1. To determine program goals, begin by referring to the major issues and concerns identified from the internal and external data. List the major issues you identified and, if appropriate, the impact of each issue.
2. For each major issue, draft a goal.
3. Test the effectiveness of each goal by answering the following questions:
 - Does this goal help to clarify the direction and purpose of our program?
 - Is this goal future-oriented, yet practical enough to implement?
 - Is this goal appropriate for this organization—does it fit with our agency's history, mission, and values as well as the needs of children and families?
 - To what extent does this goal raise standards of excellence and quality of services to children and families?
 - Will this goal inspire and motivate all of our stakeholders: parents, staff, governing bodies, Policy Councils/Policy Committees, and the community?
 - Does this goal reflect the unique issues and challenges present in our service area?
 - Is this goal ambitious enough? Or is this goal too ambitious to make a difference in a reasonable time period?
4. Finalize the goal.

Handout 23: Feedback Sheet

1. The following **goals** were stated clearly:

Reasons

2. The following **goals** were not stated clearly:

Reasons

3. The following **goals** were broad statements and provided effective direction for the planning and reviewing process:

4. The following **goals** were not broad statements and did not provide direction for the planning and reviewing process:

5. The best presentation techniques used were:

6. Suggestions for improving the presentation:

Handout 24: SMART Objectives

<i>S</i>	<i>Specific</i>
<i>M</i>	<i>Measurable</i>
<i>A</i>	<i>Action-Oriented</i>
<i>R</i>	<i>Realistic</i>
<i>T</i>	<i>Timebound</i>

Check the effectiveness of the objectives you develop by applying the "SMART test."

Specific

Does the objective specify:

- Who is doing what?
- When and how it is to be done?
- If appropriate, where it will be done?

Specific means detailed, particular, or focused. An objective is specific if everyone knows exactly what is to be achieved. Specific means spelling out the details.

Measurable

Does the objective say:

- How the change will be determined?

A *measurable* objective provides a standard for comparison. (Use words like increase, reduce, decrease, or lower and use percentages or numbers to specify the amount of change.)

Action-Oriented

Does the objective say:

- What strategies will be used?

An *action-oriented* objective describes the tasks to be performed.

Realistic

Is the objective stated so that:

- It is possible to achieve?

Realistic objectives make sense and are practical. They can be attained because they are neither out of reach nor below standard performance.

Timebound

Does the objective state:

- The deadlines for it to be achieved?

Time constraints encourage individuals to complete their tasks. An objective with a deadline helps organize what needs to happen, when it should happen, and who is responsible.

Handout 25: Guidelines for Developing a Written Program Area Plan

Instructions:

Your task is to revise the Human Resources Management (HRM) portion of the program area plan for the agency in the scenario. This revision will enable the program to implement its HRM goal and objectives (written below) and improve effectiveness in implementing *Section 1304.52 (k)(1)–(3) of the Head Start Program Performance Standards*.

Step One: Review the program's HRM goal and objectives listed below.

Goal: *Increase the efficiency of our Human Resources Management System.*

Objectives: *Have all teachers complete the requirements for a bachelor's degree within the next 5 years.*

Redesign our orientation process by the end of this calendar year to provide complete information on all aspects of our organization.

Step Two: Answer the questions below to help you develop action steps and strategies (SMART Objectives) for achieving the program's HRM objectives. (These questions should also be answered before writing the statement of program goals and objectives.)

1. How are our services currently integrated?
2. Should we move standards across service areas to better reflect our system for services?
3. Are there issues in the CA and self-assessment that should be considered in developing our plan for services?
4. What are we going to do?
5. How will we do it?
6. Who will do it?
7. When will it be done?

Step Three: Summarize your answers to Questions 4–7 by writing SMART Objectives to describe the action steps and strategies that you propose.

Review



Review

Outcomes

After completing this module, participants will be able to:

- Explain the importance of monitoring program operations and assessing progress toward achieving program goals and objectives.
- Identify skills needed to perform self-review activities.
- Use techniques to monitor activities, make adjustments, and update plans.
- Develop strategies to involve governing bodies and Policy Councils/Policy Committees in ongoing monitoring and self-assessment activities.

Key Concepts

- Ongoing monitoring and self-assessment include systematic, comprehensive processes for observing, collecting, and analyzing information used to determine a program's effectiveness.
- Ongoing monitoring and self-assessment systems measure progress toward meeting established objectives and achieving program goals. These self-review processes should indicate whether the agency's program responds to the needs of the children and families it serves, addresses the *Head Start Program Performance Standards*, and achieves quality outcomes for children.
- Sound monitoring and assessment procedures include responding to changes occurring both within and outside the Head Start program. Agencies continue to improve when both systems are well-integrated into the planning process.
- Governing bodies have oversight responsibility for their Head Start programs. They must routinely be updated on a program's progress toward implementing plans and any changes needed to achieve goals. Programs must consider a variety of approaches to keep the Policy Council/Policy Committee and governing body fully informed about progress toward meeting planned goals, objectives, and outcomes.

Module 4

Background Information

Programs need to establish and maintain ongoing monitoring and self-assessment systems that look at progress in implementing strategies, determine compliance and program quality, and address whether goals and objectives have been met and had the desired outcomes. Well-designed systems *monitor* implementation activities on a regular and *frequent* basis. Such systems *annually assess* compliance with program requirements and the quality of services provided. In addition, at least every 3 years, such systems require the program to reflect on the goals it chose and the issues those goals were to address. This latter activity links the agency's Community Assessment (CA) and self-assessment processes.

The CA looks at the issues, strengths, and community resources, and provides the information for choosing goals and objectives. The self-assessment includes looking at the issues, goals, and objectives chosen as a result of the CA, and determining whether the program's outcomes have brought about a positive change in the community and the recipients of its services. The findings from the self-assessment may become critical internal data as the agency embarks on another CA.

Reviewing

In this Guide, the term *reviewing* encompasses both the ongoing monitoring and the self-assessment system. It requires systematic, comprehensive methods for collecting and analyzing information to determine whether agency operations are on track toward planned outcomes. The multidimensional processes and systems include the frequent information gathering that ensures early detection and correction of minor problems before they escalate (ongoing monitoring). Such systems also include an *annual* comprehensive *assessment* of overall program accomplishments that allows an agency to determine that federal requirements are being met and that recipients have received the intended services. They should also include a more analytical look at an agency's activities to determine how the program's activities and services have affected the Head Start population and the community and achieved the desired outcomes.

Each system plays an important role in an agency's ability to establish its own accountability. Information from each process (ongoing monitoring and self-assessment) can provide managers and policymakers with the tools they need (information and data) to take self-correcting actions to produce high-quality programs.

1. Ongoing Monitoring

Monitoring refers to the *Head Start Program Performance Standard* requirement that grantees have procedures for the ongoing monitoring of operations. Monitoring requires **frequent observations** to ensure that the operation is effectively implementing federal regulations and the agency's own integrated written plan. It is not just a review of records. Monitoring includes frequent reviews of different aspects of program operations to make sure the program is moving toward its objectives and goals.

Monitoring provides an opportunity to detect problems in implementing the program's written plans and an opportunity to alert managers when corrective action is needed.

This process includes identifying the key elements to be monitored and establishing the appropriate timeframes to review and collect information. For example, the agency needs to monitor its enrollment to ensure that (1) all slots are filled, (2) analysis of attendance occurs when it falls below 85 percent, and (3) vacancies are filled in a timely manner. Enrollment may be monitored *monthly*, attendance *weekly*, and the filling of vacancies *biweekly*. Other items and the timeframes for their ongoing monitoring might include, for example:

- Health tracking process—*monthly* monitoring to ensure that the process tracks the initiation and completion of health services for children. (Specific items may need to be monitored more frequently by health staff—for example, during the first 3 months of the program to meet 45- and 90-day requirements.)
- Health and safety status of each site—*daily* to ensure that dangers to children and staff are avoided or corrected.
- Family partnership agreement development/tracking—*monthly* to ensure that each family that chooses to participate receives the necessary support or followup.
- Community partnership agreements—*quarterly* or as needed given the status of the agreement.
- Implementation of curriculum—*monthly* classroom visits to observe how the teaching staff is implementing the written curriculum.

The monitoring process for each of the above items may need to include several levels in order to produce the information needed for the agency's reporting system. Service delivery tracking for individual children is one level. Another level of monitoring is determining whether each site is providing appropriate services and analyzing

Module 4

problem areas; activities at this level of monitoring include observations and conversations with staff, parents, and community members. Reporting problems and recommendations for corrective actions is the final level and the link between monitoring and reporting systems.

For example, in order to determine whether health tracking is working, the tracking procedure will need to document whether health and dental examinations have been completed, immunizations are up to date, and follow-up services have been planned and completed. The ongoing monitoring system includes procedures to determine whether the tracking procedure is adequate to ensure that each of these and other required services are being completed for each child and family.

If the grantee has delegates, an ongoing monitoring process of the delegates' operations must also exist. The contract between the two entities should describe the scope, frequency, and resolution process for any identified problems. The delegates' own monitoring process should provide reports that are used by the delegates' policymakers and managers, *and* by the grantee.

The grantee's monitoring of delegate operations has the same purpose: to ensure that the delegates' operations effectively implement the Head Start program.

An agency's ongoing monitoring, record keeping, and reporting systems are interwoven to ensure that progress is being made toward planned outcomes, documentation is maintained for followup and for historical references, and information is provided to keep managers and policymakers informed. *Some* of the information collected from ongoing monitoring and reporting will be used to provide information to policymakers. This keeps them informed about the progress of the program and provides the knowledge base that is needed to make informed decisions.

All of the information should be used by program managers to make adjustments or improvements in agency systems and procedures as the program is being implemented.

2. Self-Assessment

Assessing refers to the *Head Start Program Performance Standard* that requires grantees to conduct self-assessments at least annually. Self-assessment provides an opportunity to review current practices, policies, procedures, and activities at a *given time* to see if they are helping the program meet its objectives, implement federal regulations, and achieve desired outcomes for children and families. The process measures accomplishments and identifies strengths and weaknesses to determine how to improve plans and services and provide timely

Module 4

responses to issues. Self-assessments enable programs to determine where they are in relation to where they should be.

Available self-assessment tools include the *Head Start Program Performance Standards*, each agency's own plan for implementing the *Standards*, and the instrument used to conduct the federal 3-year cycle review. In addition, information learned in monitoring should be an integral part of the self-assessment process.

Self-assessment also includes looking at the big picture that shows the extent to which goals were met and the impact of services on children, families, and the community at least every 3 years. When the annual self-assessment is used to look at the impact of long-range 3-year goals, a more indepth review and analysis may be needed. This part of the self-assessment process attempts to determine:

- *Did the agency's efforts affect the concerns and issues that it chose to address from the CA?*
- *Did the agency obtain the desired results and outcomes?*
- *Are the proposed outcomes for children and their families being met?*

Summary of Review System

In summary, a comparison of the two types of *internal review activities* appears below:

Review Procedure	Activities & Participants	Timeframe
1. Ongoing monitoring	Conduct frequent review of identified activities and items to determine if services/operations comply with federal regulations and agency plans. Provide reports to managers and policymakers on progress problems and proposed corrective actions. Involves grantee and delegate staff.	As noted in plan or agency procedures
2. Self-assessment		Annually
a.	Measure agency accomplishments toward goals and achievement of outcomes for children, strengths, and weaknesses to determine how to improve plans and services.	
b.	Conduct systematic and methodical review of the <i>impact</i> of agency activities on the client population and on issues chosen from the CA.	Every 3 years
	Both 2a and 2b involve parents, policy groups, governing bodies, community stakeholders, and staff.	

Module 4

Continuous Improvement

Continuous improvement is an ongoing process of improving services and operations as a result of ongoing monitoring and self-assessment. It implies that programs will strive for excellence by constantly asking:

- *What can we do better?*
- *How can our services or procedures be more integrated and responsive?*
- *What changes can we make to better address the issues affecting children and their families?*

Programs that monitor and assess their achievements on an ongoing basis seek to continuously improve their results. They seek ways to use the *Head Start Program Performance Standards* to create innovative responses to issues and problems. They always use problem solving techniques and implement corrective actions to improve the services their programs provide to the children and families in their service area.

Designing Systems

Programs can be creative in designing their ongoing monitoring and self-assessment systems. Grantees and delegate agencies must be knowledgeable about the most recent federal regulations that govern Head Start and must incorporate these requirements when designing operating systems. There are no mandated processes or formats for self-assessment or ongoing monitoring. However, when these two systems are fully integrated into others (record keeping, reporting, and communications, for example), an agency's operations can flow more smoothly and problems can be detected and corrected more easily.

Some tools that may be useful in designing review procedures include the Program Information Report (PIR), Head Start Family Information System (HSFIS), the Head Start Cost Management System (HSCOST), and the Program Review Instrument for Systems Monitoring (PRISM). In addition, local or program-specific tools such as the CA and results from the most recent audit, self-assessment, and federal monitoring reports provide potentially useful information. Finally, staff can use program or center data such as checklists or other review instruments.

The key to successful self-review is asking a lot of questions—the right ones—and answering them truthfully. The self-review processes may produce some conflict; however, this kind of disagreement can be a constructive opportunity. (It is always healthy to share different perspectives on an issue.)

Shared Process

Ongoing monitoring and self-assessment are integral parts of the planning cycle. Everyone participates in the process. Head Start encourages comprehensive, integrated approaches to service delivery. It is not appropriate to think in terms of separate components with separate goals and separate responsibilities. Everyone contributes to program quality, and when a part of the system does not function effectively, it is everyone's responsibility to work on corrective actions.

While much of the actual review work—such as conducting the annual self-assessment—usually rests with program staff, it is crucial to make the process inclusive. It is especially important that the Policy Council/Policy Committee and the governing body—and, when possible, community members—participate. Governing bodies have oversight responsibility for their programs. They must be updated routinely on progress toward implementing plans and any changes proposed to help meet goals. The results of ongoing monitoring and self-assessment provide the information for these updates.

Systems for both ongoing monitoring and self-assessment should include procedures for making reports to policymaking groups so they can use this information in their decision-making. These reports may include information about accomplishments as well as the shortfalls and barriers that programs experience. This allows policymaking groups to learn about the program and make better decisions about the agency's policies and directions.

Examples of information to provide policymakers (and how frequently to provide it) include:

- The status of enrollment: monthly.
- Expenditure reports (with status of funds and variations from planned expenditures): monthly.
- Status of completion of program targets (such as implementing partnership agreements): quarterly.
- Self-assessment results and any proposed corrective action: annually.
- Action on audit findings: as designated by governing body.

Benefits of Review Systems

Ongoing monitoring and self-assessment systems promote healthy programs. Rather than feeling threatened, staff and parents should see the benefits of early detection of needed changes. Using internal monitoring and self-assessment to find and correct problems requires

Module 4

an agency to accept responsibility for its own self-improvement rather than relying solely on federal monitoring to assess its performance. Such processes are the tools managers use to make the program decisions that can enhance quality. These decisions relate to supervision, training, performance, evaluation, and organizational structure and functions.

Self-assessment and ongoing monitoring should indicate whether the goals, objectives, and program area plans respond to the needs of children and their families. Reviewing should help to determine whether what was originally proposed in the plans is what is really needed, whether operational activities are reflective of the plans, and whether the desired results for children and families are being achieved. Good systems will show what changes need to occur.

Challenges

The challenge in ongoing monitoring and self-assessment always should be to identify areas that require improvement. Programs need to structure ongoing monitoring and self-assessment processes so they respond to the constant changes occurring both within and outside the Head Start program. What worked last year may need revision or replacement this year. It is important to find ways to constantly analyze the mission, goals, and objectives while engaged in operational activities and ask:

Are we doing what we need to do, or are we just doing it the way we always have done it?

In summary, Step Four is an essential phase in the planning and reviewing process. Head Start programs that see themselves as learning communities will welcome the benefits of self-review. To become learning communities, programs must be willing to review their progress and change, if necessary, the internal strategies they use to obtain their goals and objectives.

Activity 4-1: What Is Self-Review?



Purpose: Participants will understand the meaning of self-review and be able to describe techniques to use in the self-review process.

Materials:

Handout 26: Excerpt from a Written Plan

Hats, badges, or signs labeled *Monitoring Maven* for each participant

Chart paper, markers, and tape

Trainer Preparation Notes:

1. Review *Head Start Program Regulations and Program Guidance for Parts 1304 and 1308, 1304.51(l)(1)*, pp. 187–189 on the guidance for self-assessments and monitoring.
2. Collect hats, badges, and/or signs, labeling them *Monitoring Maven*, to distribute to each participant in *Step 3*.

Introduce Activity

1. State that self-review, a key process in the Head Start environment, leads to continuous improvement and high-quality outcomes. Write *Review* on chart paper. Refer to the *Background Information* and explain the comprehensive process of review as defined in this Guide.

Lead a discussion about the significance of self-review. Include the following points:

- *Reviewing is a comprehensive process that includes ongoing monitoring and the annual self-assessment (including the more indepth assessment done every 3 years).*
- *Self-assessment includes determining the extent to which goals were met and determining the impact of services on issues and concerns that were identified in the CA.*
- *Programs that focus on continuous improvement are always seeking ways to use the Head Start Program Performance Standards to improve their program to benefit their constituents.*
- *Everyone contributes to program quality; when a part of a system is not functioning efficiently, it is everyone's responsibility to make it better.*

Discuss Ongoing Monitoring

2. Write *Ongoing Monitoring* on the chart paper. Using the *Background Information*, explain the importance of ongoing monitoring. Explain that this activity will now focus on identifying *monitoring strategies*.

Divide participants into groups and distribute *Handout 26: Excerpt from a Written Plan*. Explain that this handout contains one goal based on a major issue in the data from the scenario and SMART

Module 4

Objectives for meeting the goal. Explain that the exercise is designed to help participants develop ways to integrate and monitor the objectives written in plans with the ongoing operations of a program. Review Part I of *Handout 26*.

Referring to the *Background Information* in *Module 3*, review SMART Objectives. Review the elements for each objective on the handout (strategies/action steps, individuals responsible, timeframe).

Identify Monitoring Techniques

3. Review *Part II* of *Handout 26*. Explain that each group is to list methods for monitoring each SMART Objective. State that many of the objectives lend themselves to using multiple self-review techniques. Tell each group they have 20 minutes to generate as many monitoring techniques as possible. To assist them in their task, distribute hats, badges, or signs labeled *Monitoring Maven* (*maven* means expert) for all participants to wear.

Discuss Monitoring Techniques

4. Ask groups to explain the techniques they identified to monitor each strategy.

Conclude the discussion with the following:

- *Internal monitoring is an ongoing process, which looks at a program's progress in meeting the specific steps toward implementing plans and accomplishing objectives and goals.*
- *Ongoing monitoring includes choosing activities to look at frequently that give a good indication that agency systems, procedures, and services are on target.*
- *Grantees and delegate agencies can use ongoing monitoring as an opportunity to build cooperative relationships between grantee and delegate agency staff by:*
 - *Communicating often about the results of monitoring.*
 - *Exchanging ideas about planned improvements.*

Discuss Self-Assessments

5. Write *Annual Self-Assessments* on the chart paper. Referring to the *Background Information*, discuss the importance of self-assessment in Head Start.

Emphasize that each grantee and delegate must establish its own self-assessment process. State that you will write suggested steps to follow for a self-assessment process on the chart paper. Tell participants that these suggestions were taken from the guidance

Module 4

manual *Head Start Program Regulations and Program Guidelines for Parts 1304 and 1308, 1304.51(I)(1)*, pp. 187-188.

Write the following suggestions, one at a time, on chart paper.

1. *Specify a time schedule.*
2. *Select a self-assessment team.*
3. *Provide training about the self-assessment process.*
4. *Assess the program.*
5. *Analyze and share findings.*
6. *Develop and implement action steps.*

After writing each suggested step, give participants time to answer the questions below on their own. Next, lead a group discussion to answer the questions for each suggestion.

- *Does your program currently perform this step? Why? Why not?*
- *What is involved with implementing this step?*

Discuss Achievement of Goals

6. Using the *Background Information*, explain that one of the significant review procedures is to assess the extent to which programs have achieved their goals. In other words, what are the results and impact for Head Start children and their families of the efforts programs have taken to achieve their goals; in addition, what is the impact on the community.

Ask participants to give examples of program goals and list them on chart paper. Examples of goals appear below:

Goal 1: Expand the services our program provides to ensure that all families and children eligible for Head Start are served.

Goal 2: Provide training in job search skills to all Head Start parents and guardians who are unemployed.

Discuss the following to help participants identify techniques to assess whether goals have been met and the impact of the goals.

Write *Results?* on chart paper.

Ask:

What review techniques can be used to determine results? The extent that a program has obtained their goals? For example, how

Module 4

will a program know that Goal One above has been achieved? Did the program extend its services to all Head Start-eligible families and children?

(Answers may include conduct telephone surveys, face-to-face interviews, and surveys to determine the extent to which goals have been achieved; analyze data to determine results that have been achieved; compare results to conditions before strategies were implemented to achieve goals; determine reasons goals may not have been achieved, considering if original goals were too abstract and if objectives [steps to achieve goal] were completed successfully; interview individuals responsible for completing objectives to determine reasons for their successes and failures.)

Write *Impact?* on chart paper.

Ask:

What techniques can be used to review the impact a program's services have had on the issues and concerns identified in the CA? For example, referring to Goal One above, what was achieved by meeting this goal? By serving all Head Start-eligible children, have you better prepared them to enter first grade? By serving all Head Start-eligible families, have you improved their economic situation?

(Answers may include comparing results of tests performed when children entered the program to when they completed the program to determine if they improved their vocabulary, literacy, and social skills; determining the extent to which families have become more economically and socially self-sufficient; and comparing results achieved by Head Start children to results achieved by children in other preschool programs. For example, interview first-grade teachers and principals of elementary schools attended by Head Start children and children from other programs and obtain data on results achieved in other preschool programs.)

Summarize

7. Referring to the *Background Information* on continuous improvement, summarize the benefits of self-review.

Activity 4-2: What Skills Do I Need?



Purpose: Participants will identify skills needed to conduct self-review activities.

Materials:

Chart paper, markers, and tape

Trainer Preparation Notes:

1. Prepare four posters, writing one of the following phrases on each: *Seeking Underwater Adventure*, *Dancing*, *Exploring Outer Space*, and *Playing Music*. If desired, pictures illustrating each phrase can be placed on each poster. Place one poster in each corner of the room.
2. Write the following questions on chart paper:
 - *What skills are needed for the activity depicted on your poster?*
 - *What does the self-review process in Head Start have in common with the activity depicted on your poster?*
 - *What skills are needed for the Head Start reviewing process?*

Introduce Activity

1. Introduce the activity by writing the following question on chart paper:

Why review your program?

Ask for responses.

Possible answers include: helps find out what is working in your program; can improve work being done by identifying program strengths and weaknesses; helps identify changes that need to be made in how work is being done; helps determine if goals are realistic and if they are being met (results/outcomes and impact); can assess effectiveness of objectives and rewrite them to make them more obtainable; and can determine extent to which program activities help to meet federal regulations.

Review the meaning of reviewing in Head Start discussed in *Activity 4-1*.

Identify Reviewing Skills

2. Ask participants to silently read the posters. Explain that they are going to use their creativity to determine what Head Start reviewing activities have in common with the activities depicted on one of the posters.

Module 4

Ask participants to go to the poster that they believe best represents the skills involved in the Head Start review process. However, since the groups must be approximately equal in size, they may not be able to select their first choice.

Give the groups 20 minutes to record on chart paper answers to the questions you have already posted:

- *What skills are needed for the activity depicted on your poster?*
- *What does the self-review process in Head Start have in common with the activity depicted on your poster?*
- *What skills are needed for the Head Start reviewing process?*

Identify Skills

3. Reconvene the entire group and ask each group to report. As they do so, list on chart paper the skills they have listed as needed in the Head Start reviewing process. Ask groups to clarify why the skills are needed.

When all groups have reported, review the list and ask if any additional skills need to be added. Discuss the reason for each addition listed.

Possible answers include skills related to: planning; time management; collecting, compiling, and analyzing data; working with others; understanding statistics; interviewing; facilitating focus groups; observing; writing reports; managing the process; troubleshooting; and tracking.

Summarize

4. Conclude by emphasizing the importance of the review process in Head Start and summarizing the skills needed.

Activity 4-3: Self-Review, A Shared Process



Purpose: Participants will describe the roles and responsibilities of managers and supervisors, staff, parents, members of the Policy Council/Policy Committee, and the governing body in the Head Start review process.

Module 4

Trainer Preparation Note:

Write the following directions on chart paper:

Part One:

Work with the members of your group to answer:

1. *What do we need to **know** to be involved in reviewing activities?*
2. *What do we need to **do** to be effective?*
3. *What makes it very **challenging** for us to be involved in reviewing activities?*
4. *What do we need to **do** to overcome the challenges we face?*

Part Two:

Prepare a 5 minute role play discussing your answers to the questions. During the role play, some individuals may need to take opposing viewpoints to fully demonstrate the issues.

Introduce Activity

1. Introduce the activity by stating that it will focus on who should be involved in self-review activities and their roles and responsibilities.

Work in Groups

2. Divide participants into four groups so there is one group to represent each of the following: managers and supervisors, policy group, governing body, and staff. Explain the following directions posted on chart paper:

Part One:

Work with the members of your group to answer:

1. *What do we need to **know** to be involved in reviewing activities?*
2. *What do we need to **do** to be effective?*
3. *What makes it very **challenging** for us to be involved in reviewing activities?*
4. *What do we need to **do** to overcome the challenges we face?*

Module 4

Part Two:

Prepare a 5-minute role play discussing your answers to the questions. During the role play, some individuals may need to take opposing viewpoints to fully demonstrate the issues.

Give groups 45 minutes to discuss the questions and prepare their role plays.

Discuss Responsibilities

3. Allow each group 5 minutes to present its role play. After each presentation, ask the remaining participants for their reactions and discuss the following questions:

- *What did you learn about the issues affecting the reviewing process in your program?*
- *Did the role play give you ideas for improving reviewing activities and restructuring the roles of managers and supervisors, staff, the Policy Council/Policy Committee, and the governing body?*

Using the *Background Information* as a reference, discuss the type of information to give the Policy Council/Committee and governing body to ensure that they share in decision-making.

Examples of what information to provide policymakers and how frequently to provide it include the following:

- The status of enrollment: monthly.
- Expenditure reports (with status of funds and variations from planned expenditures): monthly.
- Status of completion of program targets (such as implementing partnership agreements): quarterly.
- Action on audit findings: as designated by governing body.

Summarize

4. Emphasize the importance of including the Policy Council/Policy Committee and governing body in the program review process, noting:
 - *Self-review is a shared process.*
 - *Although the actual tasks related to self-review typically are performed by program staff, the Policy Council/Policy Committee and governing body also participate.*

Module 4

- *Because governing bodies are responsible for overseeing the success of a program, they must receive routine updates on progress made toward implementing plans.*

Activity 4-4: Reviewing Means Results



Purpose: In *Session 1* participants will practice reviewing program activities. In *Session 2*, participants will discuss the importance of including the Policy Council/Policy Committee and governing body in reviewing activities.

Materials:

Background Information for Module 4

Handout 26: Excerpt from a Written Plan

Session 1: What Is Self-Review?

Introduce Activity

1. State that self-review, a key process in the Head Start environment, leads to continuous improvement and high-quality outcomes. Ask participants what words they would use to describe the self-review process. Write these words on chart paper.

Define Reviewing

2. Write the following question on chart paper:

What does the process of reviewing mean in Head Start?

Distribute copies of the *Background Information for Module 4* and ask participants to read it before answering the question.

After participants finish reading, discuss strategies for monitoring ongoing progress and self-assessing the results.

Discuss Importance of Self-Review

3. Lead a discussion about the significance of self-review. Include the following:
 - *Reviewing should indicate the extent to which goals are being met and the impact of services on issues and concerns identified in the CA.*
 - *Reviewing is a comprehensive process that includes monitoring activities, self-assessing program strengths and compliance, and determining the impact of goals.*
 - *Programs that focus on continuous improvement are always seeking ways to use the Head Start Program Performance Standards to improve their program.*

Module 4

- *Everyone contributes to program quality; when a part of the system does not function properly, it is everyone's responsibility to improve it.*

Identify Monitoring Strategies

4. Write the following on chart paper: *ongoing monitoring > reporting > decision-making.*

Using the *Background Information*, explain the importance of ongoing monitoring. Emphasize that the process includes monitoring activities such as observing classroom activities; speaking to parents, staff, and community members; reporting; and using the information to make decisions. Explain that this activity will help participants develop ways to integrate and monitor the objectives written in plans with the ongoing operations of the program.

Distribute *Handout 26: Excerpt from a Written Plan*. Discuss the objectives and monitoring strategies in *Part I*, including the following, in your remarks:

Imagine that the program that prepared this plan is seeking to answer the question: "Do we have systems in place to demonstrate that we are in compliance and delivering quality services?" They have selected key items from the Standards to monitor. Note that the third strategy—improve the quality of fiscal and program reporting to the Policy Council/Policy Committee—relates to a finding in their self-assessment. By highlighting it as a problem, this agency has given extra emphasis to a management system problem that they want to improve. They are trying to correct this situation with new strategies and ongoing monitoring to see if improvements occur.

Review *Part II* of *Handout 26: Excerpt from a Written Plan*. Explain that this section contains one goal based on a major issue in the data from the scenario and SMART Objectives for meeting the goal.

Referring to the *Background Information* in *Module 3*, review the elements of SMART Objectives. Explain that each participant is to work independently to list methods for monitoring each SMART Objective on *Handout 26*. Multiple review techniques can be suggested for an objective.

After participants complete their lists, discuss the review strategies they identified.

Module 4

Summarize

5. Referring to the *Background Information* on continuous improvement, summarize the benefits of the self-review process in Head Start.

Session 2: Reviewing Is a Shared Process

Introduce Activity

1. Using the *Background Information* as a reference, discuss how the Policy Council/Policy Committee and governing body share in the review process.

Discuss Improving Process

2. Ask participants for examples of how to increase the roles these groups play in reviewing activities. Record responses on chart paper.

Discuss the benefits of each listed example. Next, discuss the challenges involved in practicing these suggestions.

Give Examples to Overcome Challenges

3. Ask participants to work independently to identify methods to overcome the challenges. Discuss their responses.

Summarize

4. Conclude by emphasizing the importance of including the Policy Council/Policy Committee and governing body in reviewing, noting the following:
 - *Reviewing is a shared process.*
 - *Although the actual tasks related to reviewing typically are performed by program staff, the Policy Council/Policy Committee and governing body also participate in making the required policy decisions.*
 - *Because governing bodies are responsible for overseeing the success of a program, they must receive routine updates on progress made toward implementing plans.*

Module 4

Next Steps: Ideas to Extend Practice



Participants can build on the skills developed in this module by completing the following activities. Some activities may contribute to the participants' Professional Development Plan.

- Many programs may already use their written plans for reviewing accomplishments. If your program does not have a format for your written plans that can be used as a working document to review your program's progress, appoint a team to design a form. The format may need to be a multipurpose document that allows you to monitor key items in your program area plan(s) as well as in your community goals and objectives. Information that may be useful to include consists of the action steps/strategies, individuals responsible for implementing the strategies, the timeframe for implementing the objectives and review steps, and review techniques.
- Add time to the agenda at all staff meetings to discuss written plans and review activities. Encourage staff to report on the progress of reviewing strategies, results to date, and actions taken to address the findings. Used in this way, plans truly become working documents that aid programs in monitoring their progress.
- Arrange a staff meeting to discuss how to involve policy groups in the self-assessment process. Staff should discuss and propose the type of information that these groups need from ongoing monitoring and how frequently this information should be reported. It is important to keep in mind during the discussion that this information provides a foundation for members of policy groups to participate in self-assessment activities; in addition, this information helps policy groups make decisions about self-assessment activities when an agency reviews the impact of its services.
- The Worksheets in the *Appendix* have been designed to assist you in performing the steps in the planning and reviewing process described in this Guide. To apply the reviewing procedures discussed in *Module 4*, use *Worksheet 14: Plan to Review*.

Handout 26: Excerpt from a Written Plan

Part I

Key Items for Ongoing Monitoring of Compliance and Program Responsiveness

Key Items	Timeframe	Individual(s) Responsible	Monitoring Strategy
Provide quality health services to all children enrolled	Monthly	Health Services Manager	<ol style="list-style-type: none"> 1. Compile status of immunizations 2. Compile health and dental exams 3. Ensure needed follow-up services are provided
Offer each family the opportunity to complete a Family Partnership Agreement	Monthly	Family Service Manager Family Advocates	Compile data on number of families with goals related to employment and training, crisis intervention
	Quarterly	Family Service Manager Family Advocates	Determine number of families that: <ul style="list-style-type: none"> — Remained on target with plans — Accessed community services — Assisted other families to offer peer support
Improve quality of fiscal/program reporting to Policy Council/Policy Committee	Quarterly	Head Start Director Fiscal Manager	<ul style="list-style-type: none"> — Determine that Policy Council/Policy Committee is better able to understand and report on program/budget status — Review minutes to see if they indicate more discussion of budget/program issues — Determine Policy Council/Policy Committee is better able to recommend improvements in report content and budget preparation

Handout 26: Excerpt from a Written Plan (continued)

Part II

Issue from Analyzed Data: The high incidence of bronchial and other upper respiratory problems experienced by children enrolled in Head Start programs appears to be related to the large percentage of their parents who smoke. Of the 440 families served by Head Start

in the scenario in *Handout 13*, approximately 40 percent have one adult smoker in the family and 28 percent have two or more adult smokers. Similar findings have been documented each of the past 3 years.

Goal: To reduce the number of Head Start parents who are smokers.

Broad SMART Objective: Staff will provide at least five activities/strategies for every family member to assist them in stopping or reducing smoking by the end of the operational year.

Strategies/Action Steps (Specific SMART Objectives)	Timeframe	Individual(s) Responsible	Monitoring Strategies
Adopt an agreement with the health department to provide training for parents and staff on how to stop smoking	June 5 of this year	Health Services Manager	
Conduct training to ensure that staff understand the "modeling behavioral" benefits of a no smoking policy	August preservice, once each month at core staff meetings	All Managers	
Develop/distribute simple handouts and pamphlet about Smoke Reduction Campaign	Monthly pamphlet to send home, monthly newsletter	Training Coordinator Teachers Family Advocates	

Handout 26: Excerpt from a Written Plan (continued)

Strategies/Action Steps (Specific SMART Objectives)	Timeframe	Individual(s) Responsible	Monitoring Strategies
Provide one-on-one counseling to family members of children with upper respiratory illnesses on ways to reduce children's exposure to secondhand smoke	Discussion at parent-center meetings in October through December, teacher home visits/parent meetings	Family and Health Services Manager Site Directors Family Advocates	
Include information in the curriculum to teach children about health hazards related to smoking and using drugs	November	Education and Health Services Managers	
Participate in the annual Great American Smokeout	During the national event	Health Services Manager Family Services Manager	
Conduct a survey of parents asking them to participate in a training session on how to stop smoking	October	Volunteer Team Family Services Manager	

158

157

Continuing Professional Development



The following activities can be used by Head Start staff throughout the year to complement and build on the skills developed in this Guide.

Conferences and Training

- Attend the Head Start National Research Conference for researchers, practitioners, and policymakers. This conference offers an opportunity to learn about updates on current research and trends that affect Head Start-eligible children, their families, and their communities. It is sponsored by the Head Start Bureau, part of the U.S. Department of Health and Human Services, Administration on Children and Families; and Columbia University School of Public Health, Center for Population and Family Health.
- Enroll in a course to learn more about organizational planning, analyzing data and making recommendations, and developing operational plans. Contact the continuing education offices of colleges or universities in your area to identify courses on these topics. Many colleges and universities offer these courses as part of a certificate or degree program, or through their continuing education department.

Group Activities

- Select a book from the *Resources* section of this Guide. Work with a group of three or four other staff members and members of the policymaking groups to review specific chapters. Assign reading selections, and then hold a meeting for each group member to discuss the information and strategies in their assigned chapter. Prepare to present highlights during a staff meeting.

Follow the highlights presentation with a brainstorming session to identify possible actions that will improve your program's current planning and reviewing process.

- To enhance inservice, preservice, or training meetings, contact your local colleges or universities. Ask to speak with the instructors who teach strategic planning. Invite an instructor to facilitate a training session during one of your meetings to discuss the critical points in planning for organizational success.

Self-Study Activities

- To increase your knowledge and understanding of goal setting and planning, complete the reading and self-directed activities in the book(s) below as an individual self-study training program. *Goals and Goal Setting: Planning to Succeed*, by Larrie A. Rouillard (\$10.95). This book teaches the basics of goal setting. The activities help readers work through all the steps involved in the goal-setting process.

Continuing Professional Development

Successful Strategic Planning, by Stephen G. Haines (\$10.95).

This book helps individuals, teams, and organizations of all sizes successfully put strategic planning into place. It starts by identifying the final goal and focuses on activities to meet the outcome.

To order these books, contact Crisp Publications, 1200 Hamilton Court, Menlo Park, CA 94025-1427. Phone: 1-800-442-7477; Web site: www.crisp-pub.com

- Search the Internet for sites containing data that can be used in a CA. Study these Web sites to learn how their information can be used.

A partial list of such sites includes:

Bureau of Labor Statistics
www.bls.gov

Census Bureau
www.census.gov/datamap/www/index.html

Census Bureau Statistical Briefs
www.census.gov/apsd/www/statbrief/

Children's Defense Fund
www.childrensdefense.org/index.html

Economic Briefing Room
www.bea.doc.gov/briefrm/gdp.htm

Kids Count
www.aecf.org/aekids.htm

Maternal and Child Health Bureau
www.hhs.gov/hrsa/mchb/

Please note that Internet addresses are subject to change at any time. If you have difficulty reaching any of these addresses, a search engine may help you find your way.

Planning Models

Barry, Bryan W. *Strategic Planning Workbook for Nonprofit Organizations, Revised and Updated.* St. Paul, MN: Amherst H. Wilder Foundation, 1997.

This workbook explains a five-step planning process. It includes reproducible worksheets to help you develop a plan, involve others in the process, and measure results. Four planning models show you how to tailor the process to fit any organization.

Bryson, John M. *Strategic Planning for Public and Nonprofit Organizations: A Guide to Strengthening and Sustaining Organizational Achievement.* San Francisco: Jossey-Bass Publishers, 1995.

This book explains why public and nonprofit organizations need to use strategic planning to improve their performances. It describes a planning process implemented by many nonprofit organizations. The author shows how leaders and managers can use strategic planning to strengthen their organizations. He includes examples of strategic planning practices, shows how to implement and reassess strategies, and shows how to fill key leadership roles.

Bryson, John M., and Farnum K. Alston. *Creating and Implementing Your Strategic Plan: A Workbook for Public and Nonprofit Organizations.* San Francisco: Jossey-Bass Publishers, 1996.

This workbook addresses key issues in the overall strategic planning process and subsequent implementation. It is designed to be used with *Strategic Planning for Public and Nonprofit Organizations* (see above), and places that workbook's guidance and worksheets in a broader context. The authors cover the key steps of the planning process.

Eadie, Douglas C. *Beyond Strategic Planning: How to Involve Nonprofit Boards in Growth and Change.* Washington, DC: National Center for Nonprofit Boards, 1995.

This 23-page booklet is part of the *Strategic Issues Series*. The author presents an introduction and overview of strategic management issues and outlines a process that includes outcomes and structure. He shows how to clarify the strategic framework; look at values, vision, and mission; identify and select strategic issues; develop projects that involve board and staff; and implement projects.

Resources

Goodstein, Leonard D., Timothy M. Nolan, and J. William Pfeiffer. *Applied Strategic Planning: A Comprehensive Guide.* San Diego, CA: Pfeiffer & Co., 1992.

This 368-page planning text is intended for managers concerned about the overall direction of their organizations. It covers why strategic planning is necessary, benefits of the recommended model, and how to apply the model. It also helps consultants manage an organization's planning process. Chapters cover envisioning, environmental monitoring, values scan, mission, performance audit, gap analysis, integrating action plans, and contingency planning and implementation.

Nanus, Burt. *Visionary Leadership, Creating a Compelling Sense of Direction for Your Organization.* San Francisco: Jossey-Bass Publishers, 1992.

In this book, Burt Nanus describes a step-by-step process that allows an organization to create and implement a powerful new sense of direction. He uses examples to show how to perform a "vision audit," formulate a vision, overcome resistance to change, and track the extent to which the vision is being achieved. Nanus believes that employees' behavior is shaped by a shared vision of a better tomorrow. Therefore, the most important task a leader can perform is to develop and promote this vision.

Nolan, Timothy M., Leonard Goodstein, and J. William Pfeiffer. *Plan or Die: 10 Keys to Organizational Success.* San Diego, CA: Pfeiffer & Co., 1993.

This 170-page book provides a framework for how to plan. The authors examine ten topics critical to shaping an organization's future, including basing decisions on values, making the mission clear, rallying support and persevering, promoting and rewarding risk-taking, empowering everyone in the organization, creating a learning organization, encouraging innovation and flexibility, monitoring and managing "down board," maintaining a market focus, and conducting strategic planning.

O'Connor, Judith. *The Planning Committee.* Washington, DC: National Center for Nonprofit Boards, 1997.

This 20-page booklet touches on topics related to strategic planning, including the need for a planning committee; its size, composition, and responsibilities; the use of consultants; and the roles played by mission, vision, goals, objectives, and strategies.

Program Review Tools

Drucker, Peter F. *The Five Most Important Questions You Will Ever Ask About Your Nonprofit Organization: Participant's Workbook.* San Francisco: Jossey-Bass Publishers, 1993.

This workbook presents a process for organizational self-assessment. It provides a framework to address questions about organizational mission and direction-setting. The self-assessment tool contains more than 20 worksheets that can be used in a variety of settings. This tool is organized around the following five questions: What is our mission? Who is our customer? What does the customer consider valuable? What have been our results? What is our plan?

Rossum, Constance. *How to Assess Your Nonprofit Organization.* San Francisco: Jossey-Bass Publishers, 1993.

This 34-page user guide for boards, staff, volunteers and facilitators accompanies *The Five Most Important Questions You Will Ever Ask About Your Nonprofit Organization: Participant's Workbook* (see above). The author discusses how a self-assessment tool can help nonprofit organizations focus on five critical management questions.

U.S. Department of Health and Human Services, Administration for Children and Families, Administration on Children, Youth and Families. *Head Start Bureau Evaluation Handbook: A Companion to the Program Manager's Guide to Evaluation.* Washington, DC: U.S. Department of Health and Human Services, 1997.

This booklet is a companion to *The Program Manager's Guide to Evaluation: An Evaluation Handbook Series from the Administration on Children, Youth and Families* (see below). The handbook serves as an aid to increase understanding of program evaluation. Topics covered are: getting answers to basic questions, specifying objectives, evaluating Head Start programs, partnerships, and using available tools.

U.S. Department of Health and Human Services, Administration for Children and Families, Administration on Children, Youth and Families. *The Program Manager's Guide to Evaluation: An Evaluation Handbook Series from the Administration on Children, Youth and Families.* Washington, DC: U.S. Department of Health and Human Services, 1997.

This comprehensive guidebook helps program managers understand and perform program evaluation. It explains how to use evaluation to improve programs and benefit staff and families. The guidebook covers the who, what, why, when, where, and how of program evaluation.

Resources

Wholey, Joseph S., Gary P. Hatry and Kathryn E. Newcomer, eds. *Handbook of Practical Program Evaluation*. San Francisco: Jossey-Bass Publishers, 1994.

This 600-plus page handbook provides suggestions about evaluation for policymakers and managers, and encourages the use of systematic evaluation in a practical and useful way. Its twenty-five articles are organized in four sections: Evaluation Design—Qualitative and Quantitative Approaches; Practical Data Collection Procedures; Practical Data Analysis; and Planning and Managing Evaluation for Maximum Effectiveness.

Strategic Planning Articles

Hinterhuber, Hans H. and Wolfgang Popp. "Are You a Strategist or Just a Manager?" *Harvard Business Review*, Vol. 70, No. 1, January–February 1992.

The authors suggest that answering the ten questions covered in the article will yield a profile that indicates an individual's ability to strategize. Questions address personal vision, philosophy, and competitiveness, as well as your employer's corporate structure and values.

Mintzberg, Henry. "The Rise and Fall of Strategic Planning," *Harvard Business Review*, Vol. 72, No. 1, January–February 1994.

Mintzberg distinguishes between strategic planning and strategic thinking, stating that planning is about analysis and strategy is about synthesis. He argues that one of the pitfalls of planning is a lack of commitment from management. He says the fallacies of strategic planning are unreliable forecasting and predicting, the detachment of planners from daily details, and the need for testing systems and procedures. The article also discusses the roles of planners as strategy finders, analysts, and catalysts.

Web Sites

Amherst H. Wilder Foundation
www.wilder.org/

The Amherst H. Wilder Foundation is an endowed health and human service organization in St. Paul, Minnesota. The foundation's goal is to provide health and human services to help children and families grow strong, the elderly age with dignity, and the community grow in its ability to meet its own needs. The Web site explains four programs that focus on serving children and families: community social services; early childhood development services; mental health and education; and children's residential programs. The Web site also lists publications that can assist agencies with planning.

Resources

National Center for Nonprofit Boards (NCNP)
www.ncnb.org

The goal of NCNP is to improve the effectiveness of nonprofit organizations by strengthening their boards of directors. This Web site lists more than 80 booklets, books, videotapes, and audiotapes on topics related to governance and leadership.

U.S. Department of Health and Human Services
Office of the Assistant Secretary for Planning and Evaluation
aspe.os.dhhs.gov/

The Office of the Assistant Secretary for Planning and Evaluation is responsible to the Secretary of Health and Human Services for policy analysis and advice, policy development, strategic and implementation planning, and research on evaluation. This Web site describes research initiatives, including those related to children and families.

U.S. Department of Health and Human Services
Administration on Children, Youth and Families
Research, Demonstration and Evaluation Branch
www.acf.dhhs.gov/programs/rde/

The Research, Demonstration and Evaluation Branch coordinates social and behavioral research and evaluation activities for the Administration on Children, Youth and Families. This Web site describes activities related to Head Start research and evaluation, child care research and evaluation, and child welfare research and evaluation.

Appendix: Worksheets

These worksheets are based on the skills developed in this guide. They are intended to be used after reviewing the information in each module. The module from the guide that discusses the subject of each worksheet appears below.

TITLE OF WORKSHEET

MODULE 1: PLAN TO PLAN

Worksheet 1	Organize the Planning and Reviewing Process	165
Worksheet 2	Prepare to Collect Data	167
Worksheet 3	Develop a Data Collection Action Plan	169
Worksheet 4	Compile and Display Data	171

MODULE 2: TAKE STOCK

Worksheet 4	Compile and Display Data	171
Worksheet 5	Analyze and Identify Trends	173
Worksheet 6	Identify Major Issues and Concerns	175
Worksheet 7	Write a Report of Your Findings	177

MODULE 3: PROPOSE DIRECTIONS AND ADOPT PLANS

Worksheet 8	Perform a Gap Analysis	179
Worksheet 9	Develop Guidelines for the Statement of Program Goals and Objectives	181
Worksheet 10	Set Major Goals	183
Worksheet 11	Create the Ideal Work Team	185
Worksheet 12	Develop Guidelines for a Program Area Plan	187
Worksheet 13	Write SMART Objectives	189

MODULE 4: REVIEW

Worksheet 14	Plan to Review	191
--------------	----------------	-----

WORKSHEET 1 Organize the Planning and Reviewing Process

Instructions

- 1. In Column 1, list the critical tasks you need to perform for each step in the planning and reviewing process.
- 2. In Column 2, identify the individual(s) responsible for completing each task.
- 3. In Column 3, project a date for completing each task.

Critical Tasks	Individual(s)	Dates
Plan to Plan		
Take Stock		
Develop & Adopt Plans . . .		
Review . . .		

WORKSHEET 2**Prepare to Collect Data****Instructions**

1. Identify the internal and external data to collect. Examples of **internal data** include information on how services are delivered. These include staffing information; the extent of shared decision-making; program strengths and challenges faced by the program; and any existing community partnerships and the results of those relationships. Examples of **external data** include information on the demographics of the service area (geographic location, eligible Early Head Start/Head Start children and families, race and ethnicity, household income and employment, poverty levels, housing and homelessness, education levels of adults, and languages spoken in home); health of community residents; educational issues confronting the community; transportation system and community safety; environmental issues (air and water quality, recycling, and green space maintained for recreational areas); child welfare data; number of children with disabilities and services they receive; community resources and services related to child care/development; and collaborative community agreements.
2. Identify sources where you will obtain the data. References for internal data include information from the agency's recordkeeping systems such as the most current Program Information Report (PIR); staff performance reviews; minutes of board, Policy Council/Policy Committee, and staff meetings; progress reports on the accomplishments of current goals and objectives; program self-assessment; federal monitoring and funding data; family assessments; and fiscal reports. Sources to update external data include the United States Census (available in libraries, government offices, and on the Internet) for demographic information; planning departments; local economic development departments; nonprofit community service agencies such as the United Way; local colleges and universities; particularly the political science, sociology, or urban planning departments; Tribal Councils; and local newspapers.
3. Discuss and list any issues/challenges to consider when collecting each type of data.
4. Explain techniques you can use to collect the data, considering the challenges identified in Number 3.

Type of Data	Source of Data	Issues to Consider	Techniques

WORKSHEET 3**Develop a Data Collection Action Plan****Instructions**

1. Using the information from Worksheet 2, in Column 1 list the tasks involved in collecting the data.*
2. Identify the individual(s) responsible for performing each task in Column 2.
3. Identify dates for completing each task in Column 3.*

**Refer to Worksheet 1 to review the major tasks in the complete process and the projected dates for completing these tasks.*

Critical Tasks	Individual(s)	Dates

172

WORKSHEET 4**Compile and Display Data****Instructions**

1. Assemble all the internal and external data.
2. Categorize the data.

Examples of categories include: DEMOGRAPHICS (geographic location, population numbers, eligible Head Start children and families, race and ethnicity, gender, ages of the population); ENVIRONMENT (air and water quality, preservation of green space); HEALTH (medical care, communicable disease statistics, causes of death from serious injuries, substance abuse and related crime statistics); EDUCATION (high school graduation rates, literacy programs, language proficiency, adult education); ECONOMY AND EMPLOYMENT (income and poverty levels, employment statistics, economic growth, housing costs and availability, transportation, public assistance rates, homelessness); COMMUNITY SERVICES (child care agencies, family day care providers, collaborative agreements, other social service agencies); and COMMUNITY SAFETY (issues involving crime, citizen involvement, domestic violence, child abuse, causes of natural disasters, emergency preparedness); PROGRAM SERVICES (staff relationships, strengths/challenges related to governance, human resources, classroom activities, staff and parent relationships, community partnerships).

3. Develop visuals (charts, tables, graphs) to display the data.

WORKSHEET 5**Analyze and Identify Trends****Instructions**

1. Answer the questions below to identify the characteristics of Head Start children and families, the program, and the community.
2. Identify trends and patterns that may affect Head Start now or in the future.

Describe Head Start-Eligible Children and Families

1. **What are the characteristics of Head Start children and families?**
(age, race/ethnicity, household income and employment, poverty levels, housing and homelessness, education level of adults, languages spoken in home, educational level of family members)

2. What are their primary strengths?
3. What are the major challenges they face?

Describe the Program

1. What are the primary strengths?
2. What challenges need to be overcome?

WORKSHEET 5 (continued)

Analyze and Identify Trends

Describe the Community

1. What is the community like?

(resources, agency history, community demographics, economy, location, political climate, social issues, health issues)

2. What are the primary strengths of the community?

3. What are the major challenges faced by the community?

Identify the Trends

What trends/patterns are evident that may affect Head Start now or in the future?

WORKSHEET 6 Identify Major Issues and Concerns

Instructions

1. Using the information from *Worksheet 5*, identify major issues and concerns affecting Head Start children and families.
2. Analyze the impact of these issues and concerns on current services.
1. **Based on the characteristics of the program and the community and the identified trends, what are the major issues and concerns affecting Head Start children and families?**
2. **How will these major issues and concerns impact the services we currently provide?**

WORKSHEET 6 (continued) Identify Major Issues and Concerns

3. Have we already identified resources that will help us to address these major issues and concerns?

4. How can our program deal with these major issues and concerns?

WORKSHEET 7**Write a Report of Your Findings****Instructions**

In order to develop program plans, each Head Start grantee is required by the *Head Start Program Performance Standards* to assess community strengths, needs, and resources and perform an annual program self-assessment. A report explaining significant data from these assessments is a helpful document to write. This worksheet will help you plan the report and determine the information you want to include in it.

1. What is the purpose of this report?

(Remember that this report is a reference tool describing the characteristics, strengths, challenges, and resources in the internal and external environments.)

2. How will this report be used?**3. Who will read this report?**

WORKSHEET 7 (continued) **Write a Report of Your Findings**

4. **What information about the external environment should be included?**
5. **What information about the internal program environment should be included?**
6. **How should the data be presented?**
(For example, consider how to format the data clearly and concisely, how to organize the information, and how to use visuals. This information may be presented differently than the data for initial decision-making.)

WORKSHEET 8**Perform a Gap Analysis****Instructions**

Using the analysis of the external and internal data, answer the questions below.

1. Where are we now?

(What is our program like now? What are our major accomplishments? What are our strengths? Our challenges? What trends are identified in the CA data? What major issues do we face?)

2. Where do we want to be?

(What is our vision for the future?)

3. What goal can we set to reposition our program to make a difference?

(What do we need to do to better achieve our vision? Given the trends and major issues identified in the CA data, what changes do we need to make?)

BEST COPY AVAILABLE

(Continue on back)

WORKSHEET 8 (continued)

Perform a Gap Analysis

WORKSHEET 9

Develop Guidelines for the Statement of Program Goals and Objectives

Instructions

Answer the questions below to develop guidelines for writing the statement of program goals and objectives.

1. What are the issues from the CA and self-assessment that we have chosen to work on?
2. What are our goals (to address the issues)?
3. Who will work on them?
4. When will they be achieved?

WORKSHEET 10**Set Major Goals****Instructions**

A *goal* is a broad statement that describes an end or an outcome we try to achieve. Goals help us focus on reaching our destination and setting our direction for the future. In the Head Start planning process, goals focus on changing and improving the major issues identified in the CA data. Consider the example below.

Major Issue *Twenty-five percent of the parents and guardians of the Head Start children in our program are smokers. Second-hand smoke has been identified as a major contributor to upper respiratory problems in children.*

Goal *Reduce the number of Head Start parents and guardians who smoke.*

1. To determine program goals, begin by referring to the major issues and concerns identified from the internal and external data. List the major issues you identified and, if appropriate, the impact of each issue.
2. For each major issue, draft a goal.
3. Test the effectiveness of each goal by answering the following questions:
 - Does this goal help to clarify the direction and purpose of our program?
 - Is this goal future-oriented, yet practical enough to implement?
 - Is this goal appropriate for this organization—does it fit with our agency's history, mission, values, and the needs of children and families?
 - To what extent does this goal raise standards of excellence and quality of services to children and families?
 - Will this goal inspire and motivate all of our stakeholders: parents, staff, governing bodies, Policy Councils/Policy Committees, and the community?
 - Does this goal reflect the unique issues and challenges present in our service area?
 - Is this goal ambitious enough? Or is this goal too ambitious to make a difference in a reasonable time period?
4. Finalize the goal.

Major Issue:

Goal:

BEST COPY AVAILABLE

(Continue on back)

WORKSHEET 10 (continued)

Set Major Goals

Major Issue:

Goal:

Major Issue:

Goal:

Major Issue:

Goal:

WORKSHEET 12 Develop Guidelines for a Program Area Plan

Instructions

Answer the questions below to develop guidelines for writing a program area plan.

1. How are our services currently integrated?

2. Should we move standards across service areas to better reflect our system for services?

3. Are there additional issues in the CA and self-assessment that should be considered in developing our plan for services?

4. What are we going to do?

5. How will we do it?

6. Who will do it?

7. When will it be done?

BEST COPY AVAILABLE

WORKSHEET 13**Write SMART Objectives****Instructions**

Goals focus our attention on the end result—what we want to accomplish. *Objectives* are the steps we take to achieve our goals. Objectives should be specific, measurable, action-oriented, realistic, and timebound (SMART). The following example demonstrates the difference between a broad goal and one SMART Objective, including strategies/action steps, for achieving the goal:

Goal *Reduce the number of Head Start parents and guardians who smoke.*

Objective *Staff will provide at least five activities for every family to assist them in stopping or reducing smoking by the end of the operational year.*

Strategies/Action Steps	Timeframe	Individual(s) Responsible
Adopt an agreement with the health department to provide training for parents and staff on how to stop smoking.	June of this year.	Health Services Manager.
Conduct training to ensure that staff understand the "modeling behavioral" benefits of a no smoking policy.	August preservice, once each month at core staff meetings.	All Managers.
Develop/distribute simple handouts and pamphlet about Smoke Reduction Campaign.	Monthly pamphlet to send home, monthly newsletter.	Training Coordinator, Teachers, Family Service Workers.
Provide one-on-one counseling to family members of children with upper respiratory illnesses on ways to reduce children's exposure to secondhand smoke.	Discussion at parent-center meetings in October through December, teacher home visits/parent meetings.	Family Services Manager, Education Manager, Site Director.

Test the effectiveness of each objective you write:

- Is it *specific*? Is it focused? Does it contain enough information so everyone knows exactly what is to be accomplished?
- Is it *measurable*? Does it provide a standard for comparison for each strategy?
- Is it *action-oriented*? Does it name the strategies/action steps to be performed?
- Is it *realistic*? Is it practical? Are the action steps possible to achieve?
- Is it *timebound*? Does it contain deadlines?

(Continued on back)

WORKSHEET 13 (continued)**Write SMART Objectives**

Instructions: Use the format below to write SMART Objectives.
Broad SMART Objective:

Strategies/Action Steps (specific SMART objectives)	Timeframe	Individual(s) Responsible

WORKSHEET 14

Plan to Review

Instructions

Answer the questions below to help you plan how to review the progress your program is making towards meeting your goals and objectives.

1. What techniques/strategies should we use to review the progress we are making in meeting our objectives? How should we use the measurement standards in the objectives to determine whether, or to what extent, the objectives have been achieved?
2. Who should be involved in the review process? (Consider how to involve managers and supervisors, staff, parents, the policy group, the community, and governing body.)
3. How should we use our findings?

BEST COPY AVAILABLE