# 10-144 DEPARTMENT OF HUMAN SERVICES

Chapter 5: Head Start Program

Note: This chapter was formerly under the Executive Department, Division of Community Services.

TABLE OF CONTENTS

Page

1.1 Purpose 1

1.2 Definitions 1

1.3 Head Start Grants Administration 3

1.4 Review of Applications and Funding of Grantees 5

1.5 Program Performance Standards for Operation of Head Start Programs

by Grantee and Delegate Agencies 7

1.6 Eligibility Requirements and Limitations for Enrollment in Head Start 32

1.7 Monitoring and Technical Assistance 34

1.1 Purpose

The purpose of these rules is to Implement on a state and local level the state Head Start Program for which funds have been Appropriated by the Legislature. These funds were provided for the expansion of the already existing federal Head Start programs. These rules provide uniform guidelines for the administration of the program.

1.2 Definitions

A) "Administrative costs" are all costs other than those which are incurred in carrying out the education, health, social service, and parent involvement functions prescribed in these rules. These costs include, but are not limited to, the personnel and other costs of overall planning, coordination, general program direction, accounting, bonding, insurance, and the allocated costs of occupying, operating, and maintaining the space utilized for these purposes.

B) Reserved

C) "Community action agency” means a public or private nonprofit agency or organization designated as a community action agency pursuant to the Community Services Act, 5 MRSA § 3519.

D) “Delegate agency" means a public or private organization, agency or individual to which a grantee has delegated all or part of its responsibility for operating a Head Start program.

E) "DCS" means the Division of Community Services.

F) "Enrollment year" means the period of time, not to exceed twelve months and not less than thirty-two weeks, during which a Head Start program provides classroom or other program activities for children enrolled in the program.

G) "Family" means all persons living In the same household who are:

(I) Supported by the income of the parent(s) or guardian(s) of the child enrolling or participating in a Head Start program, and

(ii) related to the parent(s) or guardians) by blood, marriage, or adoption.

H) "Financial viability” means the capability of an applicant or the continuing capability of a grantee to furnish the non-State share of the cost of operating an approvable or approved Head Start program.

I) "Goal" means the ultimate purpose or Interest toward which total Head Start program efforts are directed.

J) "Handicapped children means mentally retarded, hard of hearing, deaf, speech impaired, visually handicapped, seriously emotionally disturbed, orthopedically Impaired, or other health Impaired children who by reason thereof, require special education and related services.

K) "Head Start Agency" or "grantee" means a local public or private nonprofit agency designated to operate a Head Start program by the Department of Health and Human Services and approved to operate a Head Start program by DCS.

L) "Head Start Program" means a program, funded by the State and carried out by a Head Start agency or a delegate agency, that provides ongoing comprehensive child development services.

M) "Income" means gross cash income and includes earned income, military income (including pay and allowances), veterans benefits, social security benefits, unemployment compensation, and Aid to Families with Dependent Children. With respect to a child-in foster care, family income Is the amount paid to the foster family on behalf of the child by a public or private agency.

N) "Income Guidelines" means the official poverty line specified by the U.S. Office of Management and Budget.

O) “Low-income family” means a family whose total annual income before taxes Is equal to, or less than, the income guidelines.

P) "Objective" means the ultimate purpose or interest toward which Head Start program component efforts are directed.

Q) "OCD" means the Office of Child Development, Office of Human Development in the U.S. Department of Health and Human Services, and includes appropriate regional office staff.

R) "Operating Costs" means the sum of all approved costs Incurred in operating a Head Start program during an approved budget period, and does not include start-up Costs. Beginning with FY '86 funds, there will be no definition of "Operating costs".

S) "Program performance standards" or "performance standards" means the Head Start program functions, activities and facilities required and necessary to meet the objectives and goals of the Head Start program as they relate directly to children and their families.

T) "Start-up costs" are one-time non-recurring costs and do not include operating costs. Beginning with FY '86 funds there will be no start-up costs allowed.

1.3 Head Start Grants Administration

A. Purpose and Scope

This part establishes regulations applicable to program administration and grants management for all Head Start grants.

B. General Requirements

1. Applicable Regulations

The following HHS regulations shall apply to all grants made under these rules:

OMB Circular A-110 Attachment O Procurement Standards

OMB Circular A-110 Attachment N Property Management

OMB Circular A-110 Attachment F Standards for Financial Systems

OMB Circular A-122 Cost Principles for Non-Profit Organizations

2. Nondiscrimination

No person shall be excluded from participation in, be denied the benefits of, or be subjected to discrimination under the Head Start Program on the basis of race, color, national origin, sex, age or condition of handicap.

3. Insurance and Bonding

a) Private nonprofit Head Start agencies and their delegate agencies shall carry reasonable amounts of student accident insurance, liability insurance for accidents of their premises, and transportation liability insurance.

b) Private nonprofit Head Start and delegate agencies shall make arrangements for bonding officials and employees authorized to disburse program funds.

C. Matching Requirements

Financial assistance granted for a Head Start program shall not exceed 80 percent of the total costs of the program -for FY '85 funds. Beginning with FY '86 funds, financial assistance granted for a Head Start program shall not exceed 80 percent of the approved costs of the program. No federal funds or other funds or resources applied as a match to the federally funded Head Start Program may be applied as match to the State funded program.

D. Personnel and General Administration

1. General Requirements

Head Start agencies and delegate agencies shall conduct the Head Start program In an effective and efficient manner, free of political bias or family favoritism.

2. Personnel Policies

a) Head Start agencies shall establish personnel policies for themselves and their delegate agencies. At a minimum, such policies must govern the following: staff qualifications, recruitment and selection, classification of positions, salaries, employee benefits (including leave, holidays, overtime, and fringe benefits), conflicts of Interest, official travel, career development, performance evaluations, and employee management relations (including employee grievances and adverse actions).

b) The policies shall be in writing, approved by the Head Start Policy Council or Committee, and made available to all Head Start and delegate agency employees.

3. Reserved.

4. Start-up Costs

The costs of starting up a Head Start Program must be supported by documentation and must have the approval of DCS. Beginning with FY '86 funds, no start-up costs are allowed.

5. Delegation of Program Operations

Financial assistance is not available for program operations where such operations have been delegated to a delegate agency by a Head Start agency unless the delegation of program operations Is made by a written agreement and has been approved by the DCS before the delegation is made.

1.4 Review of Applications and Funding of Grantees

A. Purpose and Scope

The purpose of this part is to set forth policies and procedures for the review of applications and initial funding and refunding of Head Start grantees and for the selection of replacement grantees In the event of the voluntary or involuntary termination, or denial of refunding of Head Start programs. It Is intended that Head Start programs be administered effectively and responsibly; that applicants to administer programs receive fair and equitable consideration; and that the legal rights of current Head Start grantees be fully protected.

B. Selection of Grantees

The DCS will select those grantees selected by the Department of Health and Human Services to operate the federal, Head Start program. Beginning with FY '86 funds, the notice of grant award shall allocate the minimum number of children to be served. Whenever the Department of Health and Human Services terminates or suspends a grant or denies refunding to a grantee, the DCS will take the same action against the grantee.

C. Consultation with Public Officials and Consumers

The DCS will consult with HHS, appropriate local government officials, Head Start Policy Council and other appropriate representatives of communities to be served on the proposed replacement of Head Start grantees.

D. Notice for Show Cause and Hearing

a) Except In emergency situations, the DCS will not suspend financial assistance unless the grantee has been given an opportunity to show cause why such action should not be taken.

b) The DCS will not terminate a grant, suspend a grant for longer than 30 days, or deny refunding to a grantee, unless the grantee has been given an opportunity for a hearing.

E. Review of Applications

Beginning with the FY '86 applications, the basis for review of applications for a Head Start Program shall be the extent to which the application promises an effective and responsible Head Start program in terms of

(a) the cost-effectiveness of the program proposed to be provided;

(b) the qualifications and experience In planning, organizing, and providing comprehensive child development services at the community level;

(c) the provisions made for direct participation of parents in the planning, conduct and administration of the program;

(d) the opportunities provided for employment of target area residents and career development opportunities for paraprofessional and other staff;

(e) the suitability of the facilities and equipment proposed to be utilized in carrying out the Head Start program;

(f) the administrative and fiscal capabilities to administer all Head Start programs carried out in the community;

(g) the provision of training for all staff (the aggregate amount to be determined by an average expenditure of $100 to $300 per person prorated based on the time spent on the Head Start program);

(h) the provision of at least 510 hours of education service per year per child for center based children; and

(I) for home based children the provision of at least 100 hours of socialization per year per child and at least 64 hours of home education service per year per child provided by the teacher/home visitor.

1.5 Program Performance Standards for Operation of Head Start Programs by Grantee and Delegate Agencies

A. General

1. Purpose and Application

This part sets out the goals of the Head Start program as they may be achieved by the combined attainment of the objectives of the basic components of the program, with emphasis on the program performance standards necessary and required to attain those objectives. With the required development of plans covering the implementation of the performance standards, grantees and delegate agencies will have firm bases for operations most likely to lead to demonstrable benefits to children and their families. While compliance with the performance standards is required as a condition of State Head Start funding, it Is expected that the standards will be largely self-enforcing. This part applies to all Head Start grantees and delegate agencies.

2. Head Start Program Goals

a) The Head Start Program is based on the premise that all children share certain needs, and that children of low Income families, In particular, can benefit from a comprehensive developmental program to meet those needs. The Head Start program approach Is based on the philosophy that:

(1) A child can benefit most from a comprehensive, interdisciplinary program to foster development and remedy problems as expressed In a broad range of services, and that

(2) The child's entire family, as well as the community must be Involved. The program should maximize the strengths and unique experiences of each child. The family, which Is perceived as the principal influence on the child's development, must be a direct participant in the program. Local communities are allowed latitude in developing creative program designs so long as the basic goals, objectives and standards, of a comprehensive program are adhered to.

b) The overall goal of the Head Start program is to bring about a greater degree of social competence in children of low income families. By social competence is meant the child's everyday effectiveness in dealing with both present environment and later responsibilities in school and life. Social competence takes into account the interrelatedness of cognitive and mental health, nutritional needs, and other factors that enable a child to function optimally. The Head Start program is a comprehensive developmental approach to helping children achieve social competence. To the accomplishment of this goal, Head Start objectives and performance standards provide for:

(1) The improvement of the child's health and physical abilities, including appropriate steps to correct present physical and mental problems and to enhance every child's access to an adequate diet. The improvement of the family's attitude toward future health care and physical abilities.

(2) The encouragement of self-confidence, spontaneity, curiosity, and self-discipline which will assist In the development of the child's social and emotional health.

(3) The enhancement of the child's mental processes and skills with particular attention to conceptual and communications skills.

(4) The establishment of patterns and expectations of success for the child, which create a climate of confidence for present and future learning efforts and overall development.

(5) An Increase in the ability of the child and the family to relate to each other and to others.

(6) The enhancement of the sense of dignity and selfworth within the child and his family

3. Performance Standards Plan Development

Each grantee and delegate agency shall develop a plan for implementing the performance standards prescribed In these rules for use In the operation of its Head Start program (hereinafter called “plan” or “performance standards plan”). The plan shall provide that the Head Start program covered thereby shall meet or exceed the performance standards. The plan shall be In writing and shall be developed by the appropriate professional Head Start staff of the grantee or delegate agency with cooperation from other Head Start staff, with technical assistance and advice as needed from personnel of the DCS and professional consultants, and with the advice and concurrence of the policy council or policy committee. The plan must be reviewed by grantee or delegate agency staff and the policy council or policy committee at least annually and revised and updated as may be necessary.

4. Performance Standards Implementation and Enforcement

a) Grantees and delegate agencies must be In compliance with or exceed the performance standards prescribed in these rules at the commencement of the grantee's program year, and thereafter, unless the period for full compliance Is extended in accordance with paragraph (f) of this section.

b) If the DCS as a result of Information obtained from program self-evaluation, pre-review, or routine monitoring, is aware or has reason to believe that a Head Start program, with respect to performance standards other than those for which the time for compliance has been extended in accordance with paragraph (f) of this section, is not in compliance with performance standards, the Division shall notify the grantee promptly in writing of the deficiencies and inform the grantee that It, or if the deficiencies are in a Head Start program operated by a delegate agency, the delegate agency has a period stated In the notice not to exceed 20 calendar days to come Into compliance. If the notice is with respect to a delegate agency, the grantee shall immediately notify the delegate agency and inform it of the time within which the deficiencies must be corrected. Upon receiving the notice the grantee or delegate agency shall Immediately analyze its operations to determine how it might best comply with the performance standards. In this process it shall review, among other things, its utilization of all available local resources, and whether It is receiving the benefits of State and Federal programs for which it is eligible and which are available. It shall review and realign where feasible program priorities, operations, and financial and manpower allocations. It shall also consider the possibility of choosing an alternate program option for the delivery of Head Start Services In accordance with OCD Notice N-30-334-1. Program Options for Project Head Start, attached hereto as Appendix A, which the grantee, with DCS concurrence, determines that it would be able to operate as a quality program In compliance with performance standards.

c) The grantee or delegate agency shall report in writing In detail its efforts to meet the performance standards within the time given in the notice to the DCS. A delegate agency shall report through the grantee. If the reporting agency, grantee or delegate agency, determines that it is unable to comply with the performance standards, the DCS shall be notified promptly In writing by the grantee, which notice shall contain a description of the deficiencies not able to be corrected and the reasons therefor. If Insufficient funding is included as a principal reason for inability to comply with performance standards, the notice shall specify the exact amount, and basis for, the funding deficit and efforts made to obtain funding from other sources.

d) The DCS will undertake to assist grantees, and delegate agencies through their grantees, to comply with the performance standards, including by furnishing or by recommending technical assistance.

e) If the grantee or delegate agency has not complied with the performance standards, other than those for which the time for compliance has been extended in accordance with paragraph (f) of this section, within the period stated in the notice issued under paragraph (b) of this section, the grantee shall be notified promptly by the DCS of the commencement of suspension or termination proceedings or of the Intention to deny refunding, as may be appropriate.

f) The time within which a grantee or delegate agency shall be required to correct deficiencies in implementation of the performance standards may be extended by the DCS to a maximum of one year, only with respect to the following deficiencies:

(1) The space per child provided by the Head Start program does not comply with the Education Services performance standard but there Is no risk to the health or safety of the children;

(2) The Head Start program is unable to provide Medical or Dental Treatment Services as required by Health Services Performance Standards because funding Is insufficient and there are no community or other resources available;

(3) The services of a mental health professional is not available or accessible to the program as required by the Health Services Performance Standards; or

(4) The deficient service Is not able to be corrected within the 20 days notice period, notwithstanding full effort at compliance, because of lack of funds and outside community resources, but it is reasonable to expect that the services will be brought Into compliance within the extended period, and the overall high quality of the Head Start program otherwise will be maintained during the extension.

B. Education Services Objectives and Performance Standards

1. Education Services Objectives

The objectives of the Education Service component of the Head Start program are to:

a) Provide children with a learning environment and the varied experiences which will help them develop socially, intellectually, physically, and emotionally In a manner appropriate to their age and stage of development toward the overall goal of social competence.

b) Integrate the educational aspects of the various Head Start components In the daily program of activities.

c) Involve parents in educational activities of the program to enhance their role as the principal influence on the child's education and development.

d) Assist parents to increase knowledge, understanding, skills, and experience in child growth and development.

e) Identify and reinforce experience which occurs In the home that parents can utilize as educational activities for their children.

2. Education Services Plan Content: Operations

a) The education services component of the performance standards plan shall provide strategies for achieving the education objectives. In so doing It shall provide for program activities that include an organized series of experiences designed to meet the Individual differences and needs of participating children, the special needs of handicapped children, the needs of specific educational priorities of the local population and the community. Program activities must be carried out in a manner to avoid sex role stereotyping. In addition, the plan shall provide methods for assisting parents in understanding and using alternative ways to foster learning and development of their children.

b) The education services component of the plan shall provide for:

(1) A supportive social and emotional climate which:

(i) Enhances children's understanding of themselves as individuals, and in relation to others, by providing for Individual, small group, and large group activities;

(ii) Gives children many opportunities for success through program activities

(iii) Provides an environment of acceptance which helps each child build ethnic pride, a positive self-concept, enhance his individual strengths, and develop facility in social relationships.

(2) Development of Intellectual skills by:

(i) Encouraging children to solve problems, initiate activities, explore, experiment, question, and gain mastery through learning by doing;

(ii) Promoting language understanding and use in an atmosphere that encourages easy communication among children and between children and adults;

(iii) Working toward recognition of the symbols for letters and numbers according to the individual developmental level of the children;

(iv) Encouraging children to organize their experiences and understand concepts; and

(v) Providing a balanced program of staff directed and child Initiated activities.

(3) Promotion of physical growth by:

(i) Providing adequate Indoor and outdoor space, materials, equipment, and time for children to use large and small muscles to increase their physical skills; and

(ii) Providing appropriate guidance while children are using equipment and materials in order to promote children's physical growth.

c) The education services component of the plan shall provide for a program which is individualized to meet the special needs of children from various populations by:

(1) Having a curriculum which is relevant and reflective of the needs of the population served (bilingual/ bicultural, multi-cultural, rural, urban, reservation, migrant, etc.);

(2) Having staff and program resources reflective of the racial and ethnic population of the children In the program.

(i) Including persons who speak the primary language of the children and are knowledgeable about their heritage; and, at a minimum, when a majority of the children speak a language other than English, at least one teacher or aide interacting regularly with the children must speak their language; and

(ii) Where only a few children or a single child speaks a language different from the rest, one adult In the center should be available to communicate In the native language;

(3) Including parents in curriculum development and having them serve as resource persons (e.g., for bilingual/bicultural activities).

d) The education services component of the plan shall provide procedures for ongoing observation, recording and evaluation of each child's growth and development for the purpose of planning activities to suit Individual needs. It shall provide, also, for integrating the educational aspects of other Head Start components into the daily education services program.

e) The plan shall provide methods for enhancing the knowledge and understanding of both staff and parents of the educational and developmental needs and activities of children In the program. These shall Include:

(1) Parent participation in planning the education program and in center, classroom and home program activities;

(2) Parent training In activities that can be used in the home to reinforce the learning and development of their children In the center;

(3) Parent training In the observation of growth and development of their children in the home environment and identification of and handling special developmental needs;

(4) Participation in staff and staff-parent conferences and the making of periodic home visits (no less than two) by members of the education staff;

(5) Staff and parent training, under a program jointly developed with all components of the Head Start program, In child development and behavioral developmental problems of preschool children; and

(6) Staff training In identification of and handling children with special needs and working with the parents of such children, and in coordinating relevant referral resources.

3. Education Services Plan Content: Facilities

a) The education services component of the plan shall provide for a physical environment conducive to learning and reflective of the different stages of development of the children. Home-based projects must make affirmative efforts to achieve this environment. For center-based programs, space shall be organized Into functional areas recognized by the children, and space, light, ventilation, heat, and other physical arrangements must be consistent with the health, safety, and developmental needs of the children. To comply with this standard:

(1) There shall be a safe and effective heating system;

(2) No highly flammable furnishings or decorations shall be used;

(3) Flammable and other dangerous materials and potential poisons shall be stored in locked cabinets or storage facilities accessible only to authorized persons;

(4) Emergency lighting shall be available in case of power failure;

(5) Approved, working fire extinguishers shall be readily available;

(6) Indoor and outdoor premises shall be kept clean and free, on a daily basis, of undesirable and hazardous material and conditions;

(7) Outdoor play areas shall be made so as to prevent children from leaving the premises and getting into unsafe and unsupervised areas;

(8) Paint coatings In premises used for care of children shall be determined to assure the absence of a hazardous quantity of lead;

(9) Rooms shall be well lighted;

(10) A source of water approved by the appropriate local authority shall be available In the facility; and adequate toilets and handwashing facilities shall be available and easily reached by children;

(11) All sewage and liquid wastes shall be disposed of through a sewer system approved by an appropriate, responsible authority. and garbage and trash shall be stored In a safe and sanitary manner until collected;

(12) There shall be at least 35 square feet of indoor space per child available for the care of children (i.e., exclusive of bathrooms, halls, kitchen, and storage places). There shall be at least 75 square feet per child outdoors; and

(13) Adequate provisions shall be made for handicapped children to ensure their safety and comfort.

Evidence that the center meets or exceeds State or local licensing requirements for similar kinds of facilities for fire, health and safety shall be accepted as prima facie compliance with the fire, health and safety requirements of this section.

b) The plan shall provide for appropriate and sufficient furniture, equipment and materials to meet the needs of the program, and for their arrangement in such a way as to facilitate learning, assure a balanced program of spontaneous and structured activities, and encourage self-reliance in the children. The equipment and materials shall be:

(1) Consistent with the specific educational objectives of the local program;

(2) Consistent with the cultural and ethnic background of the children;

(3) Geared to the age, ability, and developmental needs of the children;

(4) Safe, durable, and kept in good condition;

(5) Stored In a safe and orderly fashion when not in use;

(6) Accessible, attractive, and inviting to the children; and

(7) Designed to provide a variety of learning experiences and to encourage experimentation and exploration.

C. Health Services Objectives and Performance Standards

1. Health Services General Objectives

The general objectives of the health services component of the Head Start program are to:

a) Provide a comprehensive health services program which Includes a broad range of medical, dental, mental health and nutrition services to preschool children, including handicapped children, to assist the child's physical, emotional, cognitive and social development toward the overall goal of social competence.

b) Promote preventive health services and early intervention.

c) Provide the child's family with the necessary skills and Insight and otherwise attempt to link the family to an ongoing health care system to ensure that the child continues to receive comprehensive health care even after leaving the Head Start program.

2. Health Services Advisory Committee

The plan shall provide for the creation of a Health Services Advisory Committee whose purpose shall be advising in the planning, operation and evaluation of the health services program and which shall consist of Head Start parents and health services providers in the community and other specialists in the various health disciplines. Existing committees may be modified or combined to carry out this function.

3. Medical and Dental History, Screening, and Examinations

a) The health services component of the performance standards plan shall provide that for each child enrolled in the Head Start program a complete medical, dental and developmental history will be obtained and recorded, a thorough health screening will be given, and medical and dental examinations will be performed. The plan will provide also for advance parent or guardian authorization for all health services under this subpart.

b) Health screenings shall include:

(1) Growth assessment (head circumference up to two years old), height, weight and age.

(2) Vision testing.

(3) Hearing testing.

(4) Hemoglobin or hematocrit determination.

(5) Based on community health problems, other selected screenings where appropriate, e.g., sickle cell anemia, lead poisoning, and intestinal parasites.

(6) Assessment of current immunization status.

(7) During the course of health screening, procedures must be in effect for Identifying speech problems, determining their cause, and providing services.

(8) Identification of the special needs of handicapped children.

c) Medical examinations for children shall Include:

(1) Examination of all systems or regions which are made suspect by the history or screening test.

(2) Search for certain defects In specific regions common or important In this age group, i.e., skin, eye, ear, nose, throat, heart, lungs, and groin (inguinal) area.

d) The plan shall provide, also, In accordance with local and state health regulations that employed program staff have initial health examinations, periodic checkups, and are found to be free from communicable disease; and, that voluntary staff be screened for tuberculosis.

4. Medical and Dental Treatment

a) The plan shall provide for treatment and follow-up services which Include:

(1) Obtaining or arranging for treatment of all health problems detected. (Where funding is provided by non-Head Start funding sources there must be written documentation that such funds are used to the maximum feasible extent. Head Start funds may be used only when no other source of funding Is available).

(2) Completion of all recommended immunizations --diphtheria, pertussis, tetanus (DPT), polio, measles, German measles. Mumps Immunization shall be provided where appropriate.

(3) Obtaining or arranging for basic dental care services as follows:

(i) Dental examination.

(ii) Services required for the relief of pain or Infection.

(iii) Restoration of decayed primary and permanent teeth.

(iv) Pulp therapy for primary and permanent teeth as necessary.

(v) Extraction of non-restorable teeth.

(vi) Dental prophylaxis and instruction in self-care oral hygiene procedures.

(vii) Application of topical fluoride in communities which lack adequate fluoride levels in the public water supply.

b) There must be a plan of action for medical emergencies. (Indicated in OCD Head Start Guidance Material.)

5. Medical and Dental Records

The plan shall provide for:

(a) The establishment and maintenance of Individual health records which contain the child's medical and developmental history, screening results, medical and dental examination date, and evaluation of this material, and up-to-date information about treatment and follow-up;

(b) forwarding, with parent consent, the records to either the school or health delivery system or both when the child leaves the program; and

(c) giving parents a summary of the record which includes information on immunization and follow-up treatment; and

(d) assurance that In all cases parents will be told the nature of the data to be collected and the uses to which the data will be put, and that the uses will be restricted to the stated purposes.

6. Health Education

a) The plan shall provide for an organized health education program for Program staff, parents and children which ensures that:

(1) Parents are provided with information about all available health resources;

(2) Parents are encouraged to become involved In the health care process relating to their child. One or both parents should be encouraged to accompany their child to medical and dental exams and appointments.

(3) Staff are taught and parents are provided the opportunity to learn the principles of preventive health, emergency first-aid measures, and safety practices;

(4) Health education is integrated Into ongoing classroom and other program activities.

(5) The children are familiarized with all health services they will receive prior to the delivery of those services.

7. Mental Health Objectives

The objectives of the mental health part of the health services component of the Head Start program are to:

a) Assist all children participating in the program In emotional, cognitive and social development toward the overall goal of social competence In coordination with the education program and other related component activities;

b) Provide handicapped children and children with special needs with the necessary mental health services which will ensure that the child and family achieve the full benefits of participation In the program;

c) Provide staff and parents with an understanding of child growth and development, an appreciation of individual differences, and the need for a supportive environment;

d) Provide for prevention, early identification and early intervention In problems that interfere with a child's development;

e) Develop a positive attitude toward mental health services and a recognition of the contribution of psychology, medicine, social services, education and other disciplines to the mental health program; and

f) Mobilize community resources to serve children with problems that prevent them from coping with their environment.

B. Mental Health Services

a) The mental health part of the plan shall provide that a mental health. professional shall be available, at least on a consultation basis, to the Head Start program and to the children. The mental health professional shall:

(1) Assist In planning mental health program activities;

(2) Train Head Start staff;

(3) Periodically observe children and consult with teachers and other staff;

(4) Advise and assist In developmental screening and assessment;

(5) Assist In providing special help for children with atypical behavior or development, Including speech;

(6) Advise in the utilization of other community resources and referrals;

(7) Orient parents and work with them to achieve the objectives of the mental health program; and

(8) Take appropriate steps in conjunction with health and education services to refer children for diagnostic examination to determine whether their emotional or behavior problems have a physical basis.

b) The plan shall also provide for:

(1) Attention to pertinent medical and family history of each child so that mental health services can be made readily available when needed;

(2) Use of existing community mental health resources;

(3) Coordination with the education services component to provide a program keyed to individual developmental levels;

(4) Confidentiality of records;

(5) Regular group meetings of parents and program staff;

(6) Parental consent for special mental health services;

(7) Opportunity for parents to obtain individual assistance; and

(8) Active involvement of parents In planning and Implementing the individual mental health needs of their children.

9. Nutrition Objectives

The objectives of the nutrition part of the health services component of the Head Start program are to:

a) Help provide food which will help meet the child's daily nutritional needs in the child's home or In another clean and pleasant environment, recognizing individual differences and cultural patterns, and thereby promote sound physical, social, and emotional growth and development;

b) Provide an environment for nutritional services which will support and promote the use of the feeding situation as an opportunity for learning;

c) Help staff, child and family to understand the relationship of nutrition to health, factors which Influence food practices, variety of ways to provide for nutritional needs and to apply this knowledge In the development of sound food habits even after leaving the Head Start program;

d) Demonstrate the interrelationships of nutrition to other activities of the Head Start program and Its contribution to the overall child development goals; and

e) Involve all staff, parents and other community agencies as appropriate In meeting the child's nutritional needs so that nutritional care provided by Head Start complements and supplements that of the home and community.

10. Nutrition Services

a) The nutrition services part of the health services component of the performance standards plan must Identify the nutritional needs and problems of the children In the Head Start program and their families. In so doing, account must be taken of:

(1) The nutrition assessment data (height, weight, hemoglobin hematocrit) obtained for each child;

(2) Information about family eating habits and special dietary needs and feeding problems, especially of handicapped children; and

(3) Information about major community nutrition problems.

b) The plan, designed to assist in meeting the daily nutritional needs of the children, shall provide that:

(1) Every child In a part-day program will receive a quantity of food In meals (preferably hot) and snacks which provides at least 1/3 of daily nutritional needs, with consideration for meeting any special needs of children, Including the child with a handicapping condition;

(2) Every child In a full-day program will receive snack(s), lunch, and other meals as appropriate which will provide 1/2 to 2/3 of daily nutritional needs depending on the length of the program;

(3) All children in morning programs who have not received breakfast at the time they arrive at the Head Start program will be served a nourishing breakfast;

(4) The kinds of food served conform to minimum standards for meal patterns Indicated in OCD Head Start Guidance Material;

(5) The quantities of food served conform to recommended amounts indicated in OCD Head Start Guidance Materials; and

(6) Meal and snack periods are scheduled appropriately to meet children's needs and are posted along with menus; e.g., breakfast must be served at least 2 1/2 hours before lunch, and snacks must be served at least 1 1/2 hours before lunch or supper.

c) The plan shall undertake to assure that the nutrition services contribute to the development and socialization of the children by providing that:

(1) A variety of foods which broaden the child's food experience in addition to those that consider cultural and ethnic preferences is served;

(2) Food is not used as punishment or reward, and that children are encouraged but not forced to eat or taste;

(3) The size and number of servings of food reflect consideration of Individual children's needs;

(4) Sufficient time Is allowed for children to eat;

(5) Chairs, tables, and eating utensils are suitable for the size and developmental level of the children with special consideration for meeting the needs of children with handicapping conditions;

(6) Children and staff, including volunteers, eat together sharing the same menu and a socializing experience in a relaxed atmosphere; and

(7) Opportunity is provided for the involvement of children In activities related to meal service. (For example: family style service.)

d) The plan shall set forth an organized nutrition education program for staff, parents, and children. This program shall assure that:

(1) Meal periods and food are planned to be used as an integral part of the total education program;

(2) Children participate in learning activities planned to effect the selection and enjoyment of a wide variety of nutritious foods;

(3) Families receive education In the selection and preparation of foods to meet family needs, guidance in home and money management and help in consumer education so that they can fulfill their major role and responsibility for the nutritional health of the family;

(4) All staff, including administrative, receive education in principles of nutrition and their application to child development and family health, and ways to create a good physical, social and emotional environment which supports and promotes development of sound food habits and their role in helping the child and family to achieve adequate nutrition.

e) The plan shall make special provision for the involvement of parents and appropriate community agencies In planning, implementing, and evaluating the nutrition services. It shall provide that:

(1) The Policy Council or Committee and the Health Services Advisory Committee have opportunity to review and comment on the nutrition services;

(2) The nutritional status of the children will be discussed with their parents;

(3) Information about menus and nutrition activities will be shared regularly with parents;

(4) Parents are informed of the benefits of food assistance programs; and

(5) Community agencies are enlisted to assist eligible families participate In food assistance programs.

f) The plan shall provide for compliance with applicable local, State, and Federal sanitation laws and regulations for food service operations including standards for storage, preparation and service of food, and health of food handlers, and for posting of evidence of such compliance. The plan shall provide, also, that vendors and caterers supplying food and beverages comply with similar applicable laws and regulations.

g) The plan shall provide for direction of the nutrition services by a qualified, full-time staff nutritionist or for periodic and regularly scheduled supervision by a qualified nutritionist or dietitian as defined In the Head Start Guidance Material. Also, the plan shall provide that all nutrition services staff will receive pre-service and in-service training as necessary to demonstrate and maintain proficiency in menu planning, food purchasing, food preparation and storage, and sanitation and personal hygiene.

h) The plan shall provide for the establishment and maintenance of records covering the nutrition services budget, expenditures for food, menus utilized, numbers and types of meals served daily with separate recordings for children and adults, inspection reports made by health authorities, recipes and any other information deemed necessary for efficient operation.

D. Social Services Objectives and Performance Standards

1. Social Services Objectives

The objectives of the social services component of the performance standards plan are to:

a) Establish and maintain an outreach and recruitment process which systematically insures enrollment of eligible children.

b) Provide enrollment of eligible children regardless of race, sex, creed, color, national origin, or handicapping condition.

c) Achieve parent participation in the center and home program and related activities.

d) Assist the family In Its own efforts to improve the condition and quality of family life.

e) Make parents aware of community services and resources and facilitate their use.

2. Social Services Plan Content

a) The social services plan shall provide procedures for:

(1) Recruitment of children, taking into account the demographic makeup of the community and the needs of the children and families;

(2) Recruitment of handicapped children;

(3) Providing or referral for appropriate counseling;

(4) Emergency assistance or crisis intervention;

(5) Furnishing information about available community services and how to use them;

(6) Follow-up to assure delivery of needed assistance;

(7) Establishing a role of advocacy and spokesman for Head Start families;

(8) Contacting of parent or guardian with respect to an enrolled child whose participation in the Head Start program is irregular or who has been absent four consecutive days; and

(9) Identification of the social service needs of Head Start families and working with other community agencies to develop programs to meet those needs.

b) The plan shall provide for close cooperation with existing community resources including:

(1) Helping Head Start parent groups work with other neighborhood and community groups with similar concerns;

(2) Communicating to other community agencies the needs of Head Start families and ways of meeting these needs;

(3) Helping to assure better coordination, cooperation, and Information sharing with community agencies;

(4) Calling attention to the inadequacies of existing community services, or to the need for additional services, and assisting in Improving available services, or bringing In new services; and

(5) Preparing and making available a community resource list to Head Start staff and families.

c) The plan shall provide for the establishment, maintenance, and confidentiality of records of up-to-date, pertinent family data, including completed enrollment forms, referral and follow-up reports, reports of contacts with other agencies, and reports of contacts with families.

E. Parent Involvement Objectives and Performance Standards

1. Parent Involvement Objectives

The objectives of the parent Involvement component of the performance standards plan are to:

a) Provide a planned program of experiences and activities which support and enhance the parental role as the principal influence in their child's education and development.

b) Provide a program that recognizes the parent as:

(1) Responsible guardians of their children's well-being.

(2) Prime educators of their children.

(3) Contributors to the Head Start program and to their communities.

c) Provide the following kinds of opportunities for parent participation:

(1) Direct Involvement in decision making in program planning and operations.

(2) Participation In classroom and other program activities as paid employees, volunteers or observers.

(3) Activities for parents which they have helped to develop.

(4) Working with their own children In cooperation with Head Start staff.

2. Parent Involvement Plan Content: Parent Participation

a) The basic parent participation policy of the Head Start program, with which all Head Start programs must comply as a condition of being granted financial assistance, is contained in Head Start Policy Manual, Instruction I-31 Section B2, The Parents (OCD Transmittal Notice 70.2, dated August 10, 1970). This policy manual instruction Is set forth in Appendix A to this part.

b) The plan shall describe in detail the Implementation of Head Start Policy Manual Instruction I-31-section B2, The Parents (Appendix B). The plan shall assure that participation of Head Start parents Is voluntary and shall not be required as a condition of the child's enrollment.

3. Parent Involvement Plan Content: Enhancing Development of Parenting Skills

The plan shall provide methods and opportunities for involving parents In:

a) Experiences and activities which lead to enhancing the development of their skills, self-confidence, and sense of independence In fostering an environment in which their children can develop to their full potential.

b) Experiences in child growth and development which will strengthen their role as the primary Influence In their children's lives.

c) Ways of providing educational and developmental activities for children in the home and community.

d) Health, mental health, dental and nutrition education.

e) Identification, and use, of family and community resources to meet the basic life support needs of the family.

f) Identification of opportunities for continuing education which may lead towards self-enrichment and employment.

g) Meeting with the Head Start teachers and other appropriate staff for discussion and assessment of their children's individual needs and progress.

4. Parent Involvement Plan Content: Communications Among Program Management, Program Staff, and Parents

a) The plan shall provide for two-way communication between staff and parents carried out on a regular basis throughout the program year which provides information about the program and its services; program activities for the children; the policy groups; and resources within the program and the community. Communication must be designed and carried out In a way which reaches parents and staff effectively. Policy Groups, staff and parents must participate In the planning and development of the communication system used.

b) The plan shall provide a system for the regular provision of information to members of Policy Groups. The purpose of such communication is to enable the Policy Group to make Informed decisions in a timely and effective manner, to share professional expertise and generally to be provided with staff support. At a minimum, information provided will include:

(1) Timetable for planning, development, and submission of proposals;

(2) Head Start policies, guidelines, and other communications from the DCS;

(3) Financial reports and statements of funds expended in the Head Start account; and

(4) Work plans, grant applications, and personnel policies for Head Start.

c) The entire Head Start staff shall share responsibility for providing assistance in the conduct of the above activities. In addition, Health Services, Education, and Social Services staff shall contribute their direct services to assist the Parent Involvement staff. If staff resources are not available, the necessary resources shall be sought within the community.

5. Parent Involvement Plan Content: Parents, Area Residents and the Program

The plan shall provide for:

a) The establishment of effective procedures by which parents and area residents concerned will be enabled to Influence the character of programs affecting their interests;

b) Their regular participation in the implementation of such programs;

c) Technical and other support needed to enable parents and area residents to secure on their own behalf available assistance from public and private sources.

1.6 Eligibility Requirements and Limitations for Enrollment in Head Start

A. Age Eligibility of Children

Unless the Head Start agency's approved grant provides otherwise, only those children between three years of age and the age of compulsory school attendance are eligible to enroll and participate in the Head Start program.

B. Family Income Eligibility

At least 90 percent of the children who are enrolled in each Head Start program shall be from low-income families. No more than 10 percent of the children who are enrolled in each Head Start program shall be from families whose total annual income, before taxes, is more than the income guidelines but equal to or less than 150 percent of the income guidelines. If applications for admission to a Head Start program are received for more children from low-income families than the Head Start program can accommodate, the children from the lowest income families shall be given preference within the geographic area to be served.

C. Handicapped Children

After July 1, 1985 no less than 10 percent of the total number of enrollment opportunities in Head Start programs In each State shall be available for handicapped children who are eligible to participate under VI.A.

D. Enrollment and Re-enrollment

a) An application for enrollment of children in a Head Start program may be made at any time during the program year. The Head Start agency must make an eligibility determination prior to permitting a child to participate in the Head Start program.

b) If a child has been found eligible and is participating In a Head Start Program, he or she remains eligible through the enrollment year with respect to which such eligibility determination was made and the Immediately succeeding enrollment year.

E. Income Verification

a) The family income shall be verified by a Head Start agency before determining that a child Is eligible to participate In the program

b) Verification shall Include examination of any of the following: Individual Income Tax Form 1040, W-2 forms, pay stubs, pay envelopes, written statements from employers, or documentation showing current status and recipients of AFDC.

c) A signed statement by an employee of the Head Start agency, ,identifying which of these documents was examined and stating that the child is eligible to participate in the program. shall be maintained to Indicate that verification has been made.

F. Fees Policy

A Head Start agency shall not prescribe any fee schedule or otherwise provide for the charging of any fees for participation In the program. If the family of a child determined to be eligible for participation by a Head Start program volunteers to pay part or all of the costs of the child's participation, the Head Start agency may accept the voluntary payments. Under no circumstances shall a Head Start agency solicit, encourage, or in any other way condition a child's enrollment or participation in the program upon the payment of a fee.

1.7 Monitoring and Technical Assistance

A. Program Monitoring

The DCS will employ sufficient staff to monitor compliance with these Rules and with each grantee's performance standards plan and sub-grant.

1. The DCS staff will be responsible for making periodic on-site visits to each grantee.

2. Monitoring visits will include a thorough review of outreach, application, certification, denial, and investigative procedures.

3. The DCS staff will be required to submit timely reports of all program monitoring visits to the Head Start Program Director, the Head Start agency's Executive Director and the Division's Program Director.

B. Fiscal Monitoring

1. Be responsible for making periodic on-site visits in teams to each grantee;

2. Make thorough reviews of all grantee fiscal records for the accounting of both program and administrative funds and of grantee statistical data collection and reporting procedures; and

3. Submit timely reports of all fiscal monitoring visits to the Head Start Program Director, the Head Start agency's Executive Director and the Division's Fiscal Director.

C. Monitoring Follow-up

1. Within 10 calendar days of a determination of noncompliance, the nature of the noncompliance will be reported in writing to the grantee requesting rectification of the problem within 20 calendar days.

2. The DCS staff will work with the grantee throughout the 20-day period providing technical assistance to work out the problem.

3. The time to correct a noncompliance with performance standards may be extended by the DCS In accordance with Section V.A.4.(f).

4. The DCS staff will prepare a final report on the result of any noncompliance finding and will send copies to the grantee, the Head Start Program Director, and the Division's Fiscal Officer.

5. If the problem is not resolved satisfactorily by the grantee within the stated time frames, the DCS will withhold that grantee's funding for the coming quarter.

APPENDICES

Note: The paper copy of this Chapter included an undated excerpt from a federal document with a running header reading: Title 45 - Public Welfare, Chapter XIII, Office of Human Development, Department of HHS. Appendix A within this document is titled: Program Options for Project Head Start. Appendix B is titled: Head Start: Policy Manual: The Parents. The appendices are not available here in machine readable form and have likely been superseded.

STATUTORY AUTHORITY: 5 M.R.S.A. Section 3516

EFFECTIVE DATE: December 19, 1984

AMENDED: Section 1.6B - January 21, 1985 (EMERGENCY)

Sec. 1.1, 1.2, 1.3, 1.4 & 1.6 - April 22, 1985

Sec. 1.2 (A), 1.3 (D) (3) - September 4, 1985

July 31, 1989

EFFECTIVE DATE (ELECTRONIC CONVERSION): May 5, 1996

APAO WORD VERSION CONVERSION (IF NEEDED) AND ACCESSIBILITY CHECK: July 16, 2025