



**Interoffice Memorandum**

June 9, 2022

**AGENDA ITEM**

TO: Mayor Jerry L. Demings  
-AND-  
County Commissioners

THRU: Dr. Tracy Salem, Interim Deputy Director  
Community and Family Services Department

*W. J. Demings*

FROM: Sonya L. Hill, Manager  
Head Start Division  
**Contact: Sonya Hill, (407) 836-7409**  
**Sandra Moore, (407) 836-8913**

SUBJECT: **Consent Agenda Item – June 21, 2022**  
Orange County Head Start Program Application for Federal Assistance  
Five-Year Grant - Year 3

The Head Start Division requests Board approval of the Application for Federal Assistance between the Department of Health and Human Services, Administration for Children and Families, Office of Head Start and Orange County. The total federal grant request is \$14,704,441 and includes \$156,870 for training and technical assistance. The required non-federal match in the amount of \$3,676,269 is derived from parent volunteerism, donations of goods and services, lease agreements and County support.

**ACTION REQUESTED: Approval of Orange County Head Start Program Application for Federal Assistance Five-Year Grant (Year 3) FY 2022-2023 between the Department of Health and Human Services, Administration for Children and Families, Office of Head Start and Orange County in the amount of \$14,704,441 for the continued operation of the Head Start Program; and approval and execution of U.S. Department of Health and Human Services Compendium of Required Certifications and Assurances. The required non-federal match in the amount of \$3,676,269, is derived from parent volunteerism, donations of goods and services, lease agreements, and County support.**

SH/smm:jamh

Attachments

**ORANGE COUNTY  
HEAD START PROGRAM**



***APPLICATION FOR  
FEDERAL ASSISTANCE  
FIVE-YEAR GRANT (YEAR 3)  
FY 2022-2023***



**ADMINISTRATIVE OFFICE**

Sonya L. Hill, Head Start Manager  
Community and Family Services Department  
Head Start Division  
2100 E. Michigan Street  
Orlando, FL 32806  
Phone: (407) 836-6590 Fax: (407) 836-1921

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<b>Appendices:</b> Includes the following:	
Results of Self-Assessment	
Program Improvement Plan	
Training and Technical Assistance Plan	
Signed Policy Council Statement	
<b>Other Supporting Documents:</b>	
Organizational Chart	
Center (Funded) Enrollment	
Selection Priority Criteria	
Annual Report 2019-20	
Cost Allocation Plan	

**Orange County Head Start**

**Five - Year Grant (Year 3)**

**FY2022-2023**

**Section I. Program Design and Approach to Service Delivery**

**Subsection A: Goals**

**1. Program Additions, Deletions, and Revisions**

**a. Additions: Goal #2 - Staff Retention**

Staff retention is a new goal established for Year 2 (Program Year 2021-2022) of the 2020-2025 project period. This goal was established to address the emerging issues with staff retention the program is facing amidst the “great resignation” due to the COVID-19 pandemic. This concern was first identified during the 2020-2021 program year and has continued to present a risk for meeting regulations with regards to staff to child ratio.

**b. Deletions: Goal #1 - Professional Development**

Objective 2 (implementation of Professional Learning Communities (PLCs) of Goal 1 was deleted based on program data that supported the need to focus on retaining staff. Once staffing concerns have been minimized, the Program will once again focus on establishing PLCs.

**c. Revisions: Goal #2 - English Language Acquisition**

Goal 2 for dual language learners was moved and integrated with the School Readiness Plan. Progress will be tracked along with the Program’s other school readiness goals.

**2. a. Progress/Outcomes and b. Challenges**

**Goal #1: Professional Development**

OCHS has worked to develop a highly trained professional staff. To ensure the staff are properly trained, OCHS instituted a Professional Development Module. OCHS identified several weaknesses with module’s ability to meet the program’s stated goal and tracking requirements. The management team met with a consultant from ChildPlus to obtain a better understanding of the Professional Development Module’s capabilities and realized the Program is currently using the module to its full potential. OCHS is currently exploring alternative software systems, such as PowerDMS; a document management system, that may be able to meet tracking needs. This system is currently used by other Departments within Orange County and has a training and credentialing component.

**Table 1: Progress on Professional Development**

<b>Program Goals</b>	<b>Measurable Objectives</b>	<b>Progress/Outcomes</b>	<b>Challenges</b>
<p><b>Goal #1 Professional Development:</b> Orange County Head Start will become a learning organization in which staff engages in continuous improvement to reach their potential and improve children and</p>	<p>1.1 To institute a professional development program that will ensure staff training needs are addressed; as well as ensuring compliance with regulatory and programmatic requirements.</p>	<p><b>Progress:</b> 1.1a Professional Development Module implemented and found to lack the capability needed to monitor and track training 1.1b Currently evaluating other systems for tracking professional development</p>	<p>family outcomes.</p>

**Goal #2: Staff Retention**

**Outcome 1:** The onboarding process is largely the responsibility of the Orange County Human Resources Department; however, to assist in reducing the onboarding time, the Head Start Program is revising internal procedures to expedite the interviewing process and forward recommendations for new hires to HR in a timelier manner.

**Outcome 2:** Internal recruitment events are being held to attract qualified candidates. Managers are working on succession plans and job shadowing and mentorship programs are being developed. The program will benefit from monetary incentives recently approved by the County, which are intended to attract more qualified candidates.

**Table 2. Progress on Staff Retention**

<b>Program Goals</b>	<b>Measurable Objectives</b>	<b>Progress/Outcomes</b>	<b>Challenges</b>
<b>Goal #2: Staff Retention</b> Orange County Head Start will create an environment that supports staff retention and reduces turnover.	2.1 Reduce onboarding time	<b>Progress:</b> 2.1a Staff is in process of reviewing data from the Self-Assessment and have begun tracking the amount of time it takes from conditional offer to official start date. No data on this objective is currently	<ul style="list-style-type: none"><li>• Competitive job market.</li><li>• The Program, with support of the County, will continue to strategize and take steps to attract job seekers.</li></ul>

		available.	
	2.2 Improve Employee Morale	<b>Progress:</b> 2.2a Two surveys completed (2020 and 2021). Analysis from data is pending.	<ul style="list-style-type: none"> <li>• Keeping employees motivated during a the COVID-19 pandemic.</li> <li>• The Program will continue to look for ways to incentivize and motivate employees.</li> </ul>

**Goal #3: Physical Health and Mental Wellness**

An internal staff wellness committee has been organized. The committee is responsible for engaging all staff in wellness activities. Wellness surveys were completed by staff and the wellness committee is currently working on implementing strategies based on the results. Overall survey results were mixed. Some findings identified some staff had low job satisfaction, job related stress, and burnout. In contrast, others had a more positive experience, suggesting they experienced a comfortable work environment, were stimulated by work and non-work activities, got personal satisfaction and enrichment from work, and felt “OCHS contributes positively to the health and wellness of their employees.” OCHS instituted Trauma Smart as a strategy to improve internal working conditions and to provide additional support for staff. A behavior specialist has been hired and resource rooms created to assist staff with providing appropriate and effective services to children with behavioral concerns. The Program successfully implemented the Trauma Smart program during the 2021-2022 program year. Select staff have been trained to be a part of the Trauma Informed Care team who will fill the role of coaches to sustain the Trauma Smart program.

**Table 3. Progress on Physical Health and Mental Wellness**

Program Goals	Measurable Objectives	Progress/Outcomes	Challenges
<p><b>Goal #3: Physical Health and Mental Wellness</b></p>	<p>A. Expand on the current employee wellness program to include mental health and wellness activities and resources throughout the year</p>	<ol style="list-style-type: none"> <li>1. Staff wellness committee launched: (4 meetings; 12 Committee Members participated)</li> <li>2. Wellness survey completed: (222 survey respondents).</li> </ol>	<ul style="list-style-type: none"> <li>• Staff buy-in continues to be a challenge.</li> <li>• The Wellness committee is working on additional strategies to gain staff support and participation in wellness initiatives.</li> </ul>
	<p>B. Increase the capacity of the program to become a trauma-informed workforce.</p>	<ol style="list-style-type: none"> <li>1. Trauma Smart implemented (2021-2022)</li> <li>2. A survey will be provided at the end of the service year to inquire about staff's progress and capacity.</li> <li>3. Attendance – All employees required to attend.</li> <li>4. No Corrective Action given to staff</li> </ol>	<ul style="list-style-type: none"> <li>• Providing ongoing support for Trauma Smart coaches</li> <li>• Expanding the program to include all personnel</li> </ul>

**Goal #4 Technology**



In the last 5-year plan, it was Head Start's goal to improve technology. In 2018, Orange County Information Systems and Services Division conducted an evaluation of Head Start's computers. Since the county was going to phase out an older version of Windows, all of Head Start's computers would have been impacted. The County suggested replacing 13 computers a month for a 3-year period. The impact would cost around \$234,000 per year, which was cost prohibitive.

At the start of the pandemic, Head Start was not adequately prepared to transition to remote services. While the switch to remote learning during the COVID-19 pandemic was challenging, the teachers unified and responded to the best of their ability. Teachers relied on computers from the classroom, iPads that were previously assigned to the children, and even using their personal cell phones. The receipt of CARES Act funding allowed the Program to immediately take action to ensure all staff could continue offering services in a virtual environment. Technology enhancements have taken place program wide and the stated outcome has been achieved. Devices such as laptops, tablets, software and other peripherals have been purchased to ensure the program's capacity to implement remote learning. All staff have access to updated technology and devices. Staff have been trained on the use of the devices to increase their knowledge and proficiency.

With additional federal and state funding (i.e., American Rescue Plan Act, Coronavirus Response and Relief Supplement Appropriations Act) the Program was able to provide Wireless Access Points to connect employees/families with Wi-Fi. The Program has experienced an increased demand for learning devices, both inside the classrooms and for students. The Wireless Access Points are now being used at Head Start Centers to

offer more bandwidth to support the increased utilization of internet services and the inability of some sites to handle the demand. The Program is exploring whether additional devices are needed to support families with limited access to technology for learning purposes.

**Table 4. Progress on Technology**

Program Goals	Measurable Objectives	Progress/Outcomes	Challenges
<p><b>Goal #4 Technology:</b> Orange County Head Start will design and build a technology infrastructure that will provide students, families and staff with access to resources and education to increase children's achievement of the skills needed to thrive in a globally connected world.</p>	<p>4.1 Increase access for students, educators, parents, and other community members to information technology resources that can enhance children's learning experiences</p>	<p>4.1 With CARES funding, OCHS secured the following:  <b>Children/Parents:</b> 37 iPads, wireless access points and 1536 headphones (for children);  <b>Staff:</b> 40 Printers, 40 Monitors, 18 scanners, 187 Dell computers and docking stations, Microsoft Office and Adobe Acrobat Pro (paperless signatures and forms), webcams and microphones; and <b>Teachers:</b> 37 Swivl stations and licenses (secure solutions for recording and livestreaming, webcams, microphones (virtual teaching); the County donated 68 additional laptops</p>	<ul style="list-style-type: none"> <li>• Digital divide (access to reliable broadband services by those with the greatest need)</li> <li>• Due to the COVID-19 pandemic, plans for an internet café where families could gather and gain access to technology equipment or devices on site have been postponed.</li> </ul>

### **3. School Readiness Goals**

The Orange County Head Start School Readiness Goals, which articulates high expectations for the progress of children and families is directly aligned with the Parent Family Community Engagement Framework (PFCE), Head Start Early Learning Outcomes Framework (HSELOF), Galileo School Readiness Assessment Scale (G3) and the Florida Early Learning and Development Standards Birth to Kindergarten. The Galileo G3 Assessment Scale (School Readiness) encompasses the benchmarks in the Florida State Standards for four-year-old's transitioning to kindergarten and is aligned with the local education agency expectations. The alignment of Head Start Early Learning Outcomes Framework & Florida Early Learning Development Standards enables administrators, staff, families, community partners, policy council and board members to:

- Link the connections among local, state and federal expectations for children prior to entering kindergarten;
- Provide clarity and a shared vision of the program's school readiness approach; and
- Focus on school readiness that addresses children's and families' strengths and needs.

The School Readiness Plan enables staff to:

- Use ongoing experiences in practical goal setting for each child;
- Increase individualized strategies for all children including those with special needs (e.g., nutrition, medical, dental, mental health and disabilities) to support their maximum progress in each developmental domain;

- Evaluate their own implementation of learning experiences in their classrooms and teacher-child interactions, in order to guide the planning of future activities;
- Make critical decisions about how to implement the curriculum and to improve their classroom environment to maximize learning; and
- Support families to actively engage in their child's learning and overall development.

In 2020, in response to the COVID-19 pandemic, the Program implemented health and safety measures for staff, families and children that included social distancing guidelines, reduced group sizes, more stringent cleaning guidelines, Personal Protective Equipment requirements and health monitoring/screening protocols. Standard operating procedures were also either developed or revised to ensure program operations included pandemic response procedures.

To further reduce exposure to all staff and children, monitoring priorities were revised. Visits to Head Start Centers were limited to scheduled visits only; and as necessary, or required, to maintain compliance and safety protocols. Monitoring activities at Head Start Centers were conducted largely by Center Supervisors and teaching staff and focused on attendance and enforcement of health and safety protocols, including daily health checks and cleaning guidelines. Service Area Coordinators continued to monitor the provision of services to children and families; however, this was done remotely using data from the ChildPlus system and reports from field staff and families. Enrollment numbers and positive COVID cases program wide were also tracked by the ERSEA and Health teams, respectively.

Historically, monitoring activities from the administrative level (i.e., service area coordinators) take place on a monthly and quarterly basis. Results are typically reviewed quarterly to identify trends, determine corrective actions for compliance and progress on goals; however, with priorities shifting to focus on maintaining program enrollment, operations and health and safety protocols monitoring activities did not occur at the same frequency as before the pandemic. Without the data from these monitoring activities, planning and evaluation of progress toward program goals were impacted.

#### **4. Parental and Governing Body Involvement**

The Policy Council is involved in all aspects of planning and policy making that affects the Head Start Program. Head Start staff provided program updates and information to the Policy regarding staff retention issues and the request to move Goal #2 to the School Readiness Plan. Members of the Policy Council, including County Commissioners, were briefed and supportive of the requested changes.

#### **Sub-Section B. Service Delivery**

**1. Service and Recruitment Area.** OCHS provides Head Start services to Orange County, FL. OCHS utilizes the 2020 Community Assessment as a guide to determine target locations for Head Start facilities and the recruitment area for eligible children. Based on data from the American Community Survey, the number of Orange County, FL children under age 5 living in poverty increased to 20,260, a 6.5% increase since 2014.<sup>1</sup>

#### **2 Needs of Children and Families**

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<sup>1</sup> OCHS. Nolo Consultants, April 2020, pg. 34

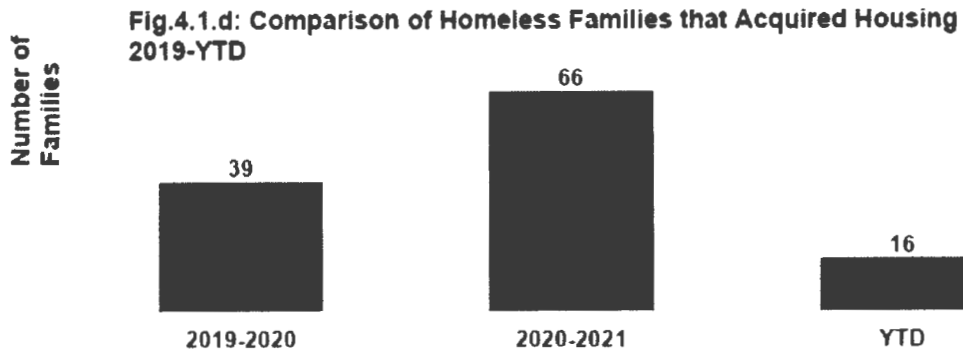
Orange County continues to experience growth in the following groups: a) Hispanic population; b) homeless individuals and families, and 3) children with behavioral health issues. **Hispanic Population:** In responding to the continual rise in the Hispanic population, OCHS continues to explore ways of increasing the availability of bilingual staff (e.g., Spanish) to meet their linguistic needs. According to the 2019 OCHS Program Information Report, more than 30% of Orange County children are considered dual language learners. OCHS implemented several recruitment strategies (e.g., placement of advertisement, job fairs) that were successful in recruiting diverse applicants. As the demand for these services continues to grow, OCHS will continue to ensure that the Program recruits and hires diverse personnel. **Homeless Population:** OCHS will continue to look for ways to serve families who experience homelessness.<sup>2</sup> According to the Homeless Services Network of Central Florida, there are 4,317 people experiencing homelessness in Orange County (April 2021 – March 2022).<sup>3</sup> As shown in Figure 1, the number of homeless families acquiring housing increased between 2019-2020 and 2020-2021. As of March 2022, 16 families had acquired housing, which is just below with the previous year's number. Figure 2, below, shows the number of families receiving assistance increased by 117% between 2019 – 2020 and 38% between 2020-21 and 2021-2022.

**Figure 1. Comparison of Homeless Families that Acquired Housing 2019-YTD**

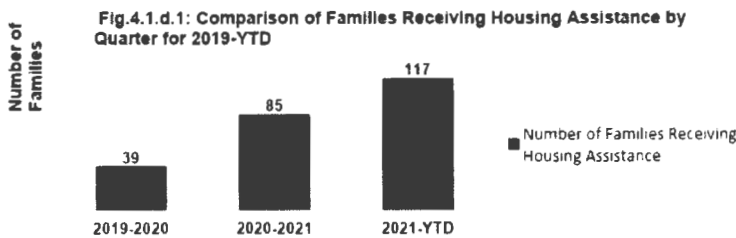
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<sup>2</sup>OCHS. Nolo Consultants, April 2020, pg. 41

<sup>3</sup>Homeless Services Network of Central Florida – Community Snapshot 2022



**Figure 2. Comparison of Families Receiving Housing Assistance by Quarter 2019-2022**



The numbers represented for Year 5-YTD are as of March 24, 2022

**Behavioral Health Issues:** According to the Heart of Florida United Way, the COVID-19 pandemic exacerbated challenges associated with many people’s mental health disorders.<sup>4</sup> Some of the contributing factors include: financial stressors, food and housing insecurity, loneliness and isolation.<sup>5</sup> In responding to the increasing need for behavioral health services, OCHS initiated the Trauma Smart program this school year. The program was implemented to address the ever increase exposure to trauma and its effects on our children, families and staff. The purpose of Trauma Smart is to strengthen the skills of the entire agency by assisting children, families and staff develop the skills they need to manage the impact of trauma on their lives and succeed in school and life. All staff, regardless of their position, have received a total of 12 hours

<sup>4</sup> Heart of Florida United Way, 2022. Orange County Mental and Behavioral Health System of Care Community Analysis

<sup>5</sup> *ibid.*

of training to include the following topics: a) Why become Trauma Smart; b) Developing a Common Language; c) Caregiver Affect Management; d) Attunement; e) Routines, Rituals and Consistent Response; and Affect Identification. Staff will receive an additional eight (8) hours of training through October, 2022.

The program has established a Trauma Informed Care (TIC) team that meets monthly with the Trauma Smart consultant and trainer. This team is responsible for discussing program needs, establishing goals and developing plans for the ongoing implementation of Trauma Smart. Five (5) staff attended the Trauma Smart Coaching and Smart Connections Academy in October, 2021. This academy focused on instructing the attendees on trauma informed care, coaching their peers and the Smart Connections caregiver curriculum for families. In addition, five (5) staff attended the Training Facilitator's Academy. These staff will be responsible for the ongoing training of newly hired staff and to provide booster training to current staff who have completed the 20-hour training program. The program is currently developing plans to implement the Coaching, Smart Connections, New Hire and booster trainings for the upcoming school year.

### **3. Chosen Program Option(s) and Funded Enrollment Slots**

OCHS will continue to provide high quality, comprehensive early childhood education for 1,536 children in Orange County.<sup>6</sup> OCHS will have no changes to the funded enrollment or program options. OCHS closed the center at Evans High School. Evans is a community school and provides childcare services. OCHS opened two new classrooms at Millenia Elementary. This school has a large Hispanic and dual language population. In 2019, 39% of Millenia Elementary's Hispanic subgroup students were on

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<sup>6</sup>OCHS CA, Nolo Consultants, April 2020, pg. 7



grade level in ELA while 49% of the Hispanic subgroup was on grade level in Math. This was significantly lower than the year before. Head Start through the community assessment and meeting with Orange County Public Schools saw the need to provide support for early childhood education. In 2022, Millenia will have new multi-lingual classrooms, provided by funding from the American Recovery Plan.

#### **4. Centers and Facilities**

The Lila Mitchell Renovation Project was completed. The students temporarily transitioned to Mt. Sinai while the renovations were completed. Figure 3 and Figure 4 shows the facilities before and after renovations. The fresh new look is welcoming and inviting, which contribute a positive environment for students and teachers.

**Figure 3. Lila Mitchell Center Before Renovations**



**Figure 4. Lila Mitchell Center After Renovations**



Figure 5, below, shows the upgrades at the Southwood Center, including painting and updated laminated flooring.

### Figure 5. Southwood Painting Project



## 5. Eligibility, Recruitment, Selection, and Attendance

OCHS continues to maintain recruitment as a priority, with the intent of reaching the families with the greatest needs. Due to COVID-19, OCHS outreach and recruitment efforts shifted to include mailing brochures to agencies, hosting virtual activities and digital media postings (e.g., Orange County website, Orange County social media). After pausing in-person recruitment activities during the pandemic, in summer of 2021, OCHS returned to the practice of three (3) recruitment efforts per Family Service Worker, monthly.

## **6. Education and Child Development**

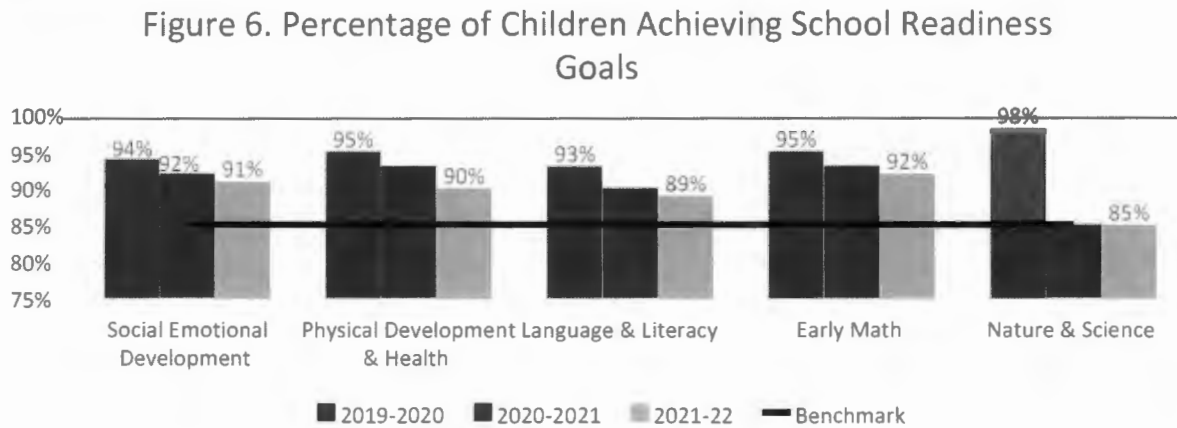
OCHS continues to utilize a modified preschool educational curriculum, which consists of the “*High Scope*” and supplemental curricula such as: *Developmental learning Materials (DLM) Express Curriculum* and *Nemours BrightStart! Complete Program for Early Literacy Success*. Teachers and supervisors monitor the effectiveness of the Head Start classroom through ongoing evaluation with child and program assessment tools. OCHS continues to use Acuscreen, a 45-day developmental screening tool to determine whether a child should be referred for diagnostic testing and to determine eligibility for special services. Involving children’s family in their classroom experiences remains a high priority for OCHS. Parents and caregivers are invited to participate in Education Planning Committee (EPC) and School Readiness meetings. They are also invited to share their language, culture and suggested resources with their children’s class through the Child Interest Survey.

### **Progress/Challenges**

Attainment of all school readiness skills remains at, or above 85%. The program witnessed the lowest percentage of children the achieving skills in area of Nature & Science. This was attributed to the decline in the number of field trips and other nature- related outings typically associated in the program. This was due to restrictions put in place during the pandemic. OCHS has reinstated the Nature & Science program to the pre-pandemic level and fully expects improvements in this category in subsequent years.

The program's percentage of children School Readiness Goals are in Figure 6, below.

**Figure 6. School Readiness Outcomes 2019-2020 to 2021-2022**



## 7. Health

### Oral Health

OCHS staff continues to ensure information linked to medical/dental coverage and homes are provided to health services staff to ensure families understand the importance of health and dental homes. According to ChildPlus, the number of Head Start children meeting dental home requirement increased from 779 in August 2021 to 1035 in March 2022, an increase of 33%. The number of Head Start children with a dental exam increased from 454 to 890 during that same period, an increase of 96%. To reduce transportation burdens on families, OCHS contracted with the Orange Blossom Family Health Center during the 2021-2022 school year to provide on-site dental services. The dental bus made 13 visits and served 432 students at 17 Head Start Centers. Dental screenings continue; however, the Program continues to experience a challenge in getting follow ups completed on all children needing additional services with dental treatments. We will continue to work with our dental partner Orange Blossom Health, to

provide dental services to our families and build additional resources. Orange Blossom Health continues to bring their dental bus to assigned locations for dental examinations. Since there was decline in tooth brushing during the pandemic, Head Start provided the necessary toothbrushes and toothpaste to the families to ensure brushing continued. Head Start also provided information to parents on the importance of children brushing to ensure brushing took place. Head Start hopes to return to brushing in the upcoming year, depending on the pandemic situation.

### **Health (Medical)**

OCHS continues to maintain collaborative agreements with Nemours and Orange Blossom Family Health Clinic to deliver medical/dental home and services to Head Start children not eligible to obtain medical/dental services elsewhere. OCHS Medical and Dental Unit provided 8,611 services for Head Start children between December 2020 and June 2021 and 9,735 between August 2021 and March 2022. Health screenings have resumed as before the pandemic; however, when the pandemic arrived, precautions had to be put in place to ensure the safety of all children and staff to include using screenings provided by the child's doctor on his/her physicals. The Program continues to stress to parents the importance of keeping well check appointments and updating immunization records.

### **Nutrition**

The Nutrition Coordinator continues to send out nutritional information to our families. OCHS will continue to update Health and Nutrition policies if any changes or updates are needed. During the pandemic families received meals through Orange County Public Schools. In 2020-2022, OCHS resumed providing meal services.

## **Mental Health and Social and Emotional Well-being of Head Start Children**

Due to the mental wellness of staff and parents, a mental health wellness committee was put together to focus on staff, while Family Services Workers focused on the family wellbeing. Staff received emails on different services available, tips on health, mental Coaches, EAP, etc. The Mental Health Specialist works with the children and conducts classroom observations and provides assistance for teaching staff and parents on how to work support children, as well.

### **8. Family and Community Engagement**

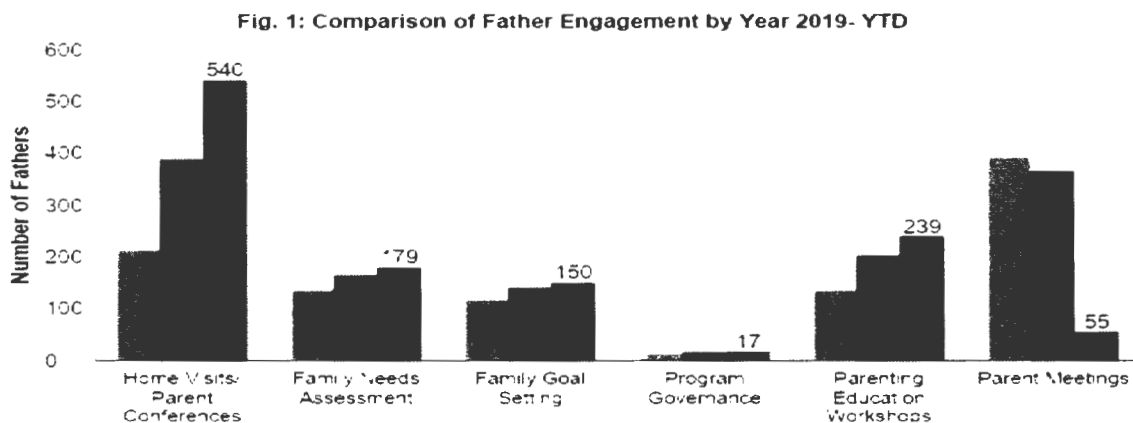
a. No changes are being made at this time. Family Services Workers continue to complete two Family Needs Assessment each program year and have the opportunity to participate in an individualized family goal setting. Family Services Workers maintain contact with parents during the pandemic through phone, email, text, messenger, ChildPlus messenger and home visits while implementing safety precautions. Currently, staff are using the same strategies, but using in-person contact as much as possible to move back into the normal procedures. Since the pandemic, parent meetings have continued to run virtually with a plan to restart in person meetings in the upcoming school year.

b. During the pandemic there was a lack of participation with research-based parenting curriculum, but they have resumed for the 2021-2022 school year. Once the pandemic took place, parenting curriculums were completed virtually. However, for 2020-2021 parents did not seem to interested in participating. Currently families are slowing moving towards attending the programs again. OCHS expects a return to full participation in the upcoming year. OCHS purchased iPads and hotspots to assist families who did not

have adequate technology for any virtual participation. OCHS is working towards returning to all in-person services.

Fatherhood engagement continues to be one of the priorities in Head Start. Activities continue to be provided to involve fathers, virtually and has been successful. Fathers are participating in reading, cooking and parent committees. As shown in Figure 7, there has been an increase level of involvement in home visits and parent conferences, participating in the family needs assessment, family goal setting, program governance, and workshops (e.g., *24/7 Dads*). The number of parent meetings in the 21-22 year decreased in response to program changes during the COVID-19 pandemic.

Figure 7. Comparison of Father Engagement Year 2019-YTD



OCHS continues to address the unique needs of families through such special initiatives as: *Opening Doors, Getting Ahead, For Me for You For Later, Incredible Years and 24/7 Dads*. The parenting curricula and related programs enables OCHS to obtain a better view of the barriers that may exist for families and ways to change the multi-generational mind-set in learning how to overcome these identified barriers. OCHS continues to implement these research-based parenting curricula through the utilization

of one-on-one interviews with our families' during the application process, parenting surveys, needs assessment, and parent meetings. These venues allow staff to collect data and identify specific needs of Head Start families.

## **9. Services for Children with Disabilities**

**A.** Orange County has formal Memorandum of Understanding (MOU) Agreements with Community Coordinated Care for Children (4C) and Children's Home Society. Community Coordinated Care is the state's designated child care resource provider and provides Early Head Start in Orange County. Children's Home Society also operates an Early Head Start. The agencies coordinate referrals for children to make a smooth transition from Early Head Start to Orange County Head Start. The County's MOU Agreement with the local education agency allows Orange County Public School's Preschool Diagnostic and Intervention Services staff to provide evaluations of Head Start children with suspected disabilities. The evaluations take place at the OCHS centers or the agency's office. Following the evaluation, a staffing is held within thirty days to determine whether a child is eligible for an Individual Education Plan (IEP services under IDEA, Part B). Depending on the varying exceptionalities (VE) the child is Dual enrolled in both the OCPS VE classroom and Head Start program to receive services specific to the written goals in his/her individual education plan (IEP). Both OCHS and PDIS offer on-site assistance to parents, individual teachers and staff members as resources permit. In addition, Head Start has a collaborative partnership with Early Steps, a Part B provider for children from birth to age 3 which provide transition activities that foster the enrollment of their children into our program. Recruitment materials are provided to area providers who serve children with



disabilities. Staff provides presentations to a variety of these providers, including the Part C program.

The eligibility priority and selection criteria are established to identify children with suspected or diagnosed disabilities and assign points to ensure that children are afforded the best opportunity for enrollment into the program. The program's Eligibility, Recruitment, Selection, Enrollment and Attendance (ERSEA) policy utilizes uniform criteria for determining eligibility, selection and enrollment of children with disabilities.

**B.** For the 2021-2022 school year, the Behavior Intervention Specialist position was staffed. During these months the Behavior Intervention Specialist worked on developing the program to provide individual interventions to students with severe challenging behaviors based on the Positive Behavior Solutions PTR-YC model. The interventions will be comprehensive, collaborative, data-driven, and grounded in social-emotional developmental knowledge. For this purpose, the Behavior Intervention Specialist has been visiting the sites, collecting feedback regarding the teacher needs and areas for growth, observing and learning about the current interventions utilized from PBIS, and conducting initial interventions to support the adjustment of identified students to their classrooms. Once a child with challenging behaviors is identified, an observation is conducted in the classroom to analyze the behavior and the functions it is serving. The risk the challenging behavior pose for peers, teacher, and day-to-day operations are also assessed. The behavior intervention specialist meets with the teacher to build goals and discuss strategies to be implemented with the student. Follow-up visits are conducted to support strategy implementation, model techniques, and track changes. One-on-one skill-building sessions are conducted with the child to work on

understanding his emotions and learn self-regulation strategies. Social skill training is also modeled during interactions. All of these interventions help the student make sense of their experience, learn new ways of interacting, and promote a healthy adjustment to the classroom that in the long run will help the student thrive in life. Equipping the teachers with the knowledge and confidence to successfully manage behaviors in the classroom, open the possibility to foster stronger and positive connections between the students and teacher. A positive adjustment to the classroom impacts, not only the identified child, but also his peers and teachers, and family. OCHS wants to provide a high-quality environment that provides academic learning along with healthy emotional and physical development.

In addition, the Childhood Behavior Specialist has been working with OCHS teachers by facilitating training to increase their knowledge in the areas of social-emotional skills and behavior management. Training is provided in small group formats to facilitate time for a thorough discussion of examples and provide time to target questions that arise based on the discussion of a topic. OCHS has learned from research that social, emotional, and academic learning are connected and interdependent. Therefore, working with emotions and behaviors presented by the children is often embedded in the work that a teacher does in the classroom. Providing teachers professional development opportunities in the areas of behavior management and trauma-informed practices positions OCHS teachers for success.

Furthermore, the Behavior Intervention Specialist has been fostering a strong relationship with OCHS families by offering consultations and participating in the multidisciplinary meeting. These consultations offer a safe space to discuss parents'

concerns regarding the development of their children in the areas of socialization, emotion management, behaviors, adjustment to family changes, or adverse childhood experiences. Their concerns are analyzed through empathic listening and an action plan is developed to help the family overcome their challenges. Therefore, the support from the Early Childhood Behavioral Specialist will increase the mental health wellness of children and connect their families with resources.

#### **10. Transition**

OCHS continues to maintain high quality transitional services for children who will enter, transition through, and exit the Head Start program. All families attend an informative parent orientation upon entering Head Start. Information is provided regarding daily operations, policies and procedures, and completion of any requisite paperwork (e.g., health documents, special diets, medication orders). Parents are invited to participate in an open house prior to children transitioning into the program, visit their classrooms and meet with teachers. OCHS continues the practice of providing each parent with a portfolio that includes individualized information regarding their child's services and resources to assist them in their transition to kindergarten. This material is provided to all parents, including those not able to attend the open house.

#### **11. Services to Enrolled Pregnant Women -- Not applicable**

#### **12. Transportation**

**a.** No changes are being made at this time. OCHS continues to locate resources for families experiencing transportation issues as much as possible.

b. On November 15, 2019, Head Start entered into a bus and van contract with Maingate Transportation. Maingate was able to provide the proper safety measures along with secured background check support. This opened opportunities to serve our children.

Over the past 5 years, OCHS noticed the decline in family's ability to provide dental services for their children. One factor we noticed was transportation and time during the workweek to take children to the dentist for routine checkups. Through our partnership with Orange Blossom Family Health Center, we were able to provide our children with proper dental services. Orange Blossom provided a mobile bus that travels to OCHS sites (Figure 8). The contracted bus and van services allows OCHS to transport children from multiple centers to a central location for these services. OCHS continues to meet the needs for children by providing these services, annually.

The contract also benefited the children as a partnership with the Orlando Science Center (OSC) allowed our children to come and participate in STEM activities. OSC, in partnership with Walt Disney World, was awarded \$100,000 in grant funding to launch the "Ignite Discovery" program for OCHS children. This program provided teacher mentorships, lessons, material and customized science labs. The bus and van service allowed us to transport children from their centers to OSC.

Children were also transported to other field trips including: Sea World, Crayola Experience and the Central Florida Zoo. In October 2020, due to COVID-19, Maingate Transportation shuttle van was not able to continue, having to cut expenses and switch insurance carriers for a lower cost. As we enter into 2022-23, we will continue

requesting buses for medical services, as needed. We hope to re-post this proposal for services so we can expand opportunities for our children.

Figure 8. OCHS Students at Orange Blossom Family Health Services Mobile Dentist Van



### **Sub-Section C: Governance, Organizational, and Management Structures**

#### **1. Governance**

The Orange County Head Start governing board is comprised of elected officials. The communication style between OCHS management, policy council and the governing board is a formal process as interactions are bound by the regulations of the Sunshine Law. Orange County Head Start has written standard operating procedures (refer to appendices) in place to ensure all required information are shared with the Governing Board. The governing board receives updated program information monthly. The program information report includes a budget summary with the following documents: credit card monthly expenditures, human resources report, child and family outcomes, monitoring results, nutrition, attendance and health reports. The report is shared

through the consent agenda (procedure below), a process in which the governing board reviews and votes to approve agenda items. Orange County Commissioner, Victoria Siplin (District 6) currently serves as the liaison between the governing board and the Head Start program. The district aide serves in this role in absence of the liaison to ensure grantee and governing board alignment. Additional processes are in place to ensure ongoing communication between the governing board and the grantee. The Head Start Director provides an opportunity for a one-on-one briefing to members of the governing board if additional information is needed regarding any consent agenda items. The one-on-one briefings are exempt from the Sunshine Law, as it is only the one board member and the Head Start Director. Annually, information is presented during the Board of County Commissioners (BCC) meeting and the Head Start program updates are shared annually, generally during Head Start Awareness month. There are several methods in place to ensure ongoing communication. OCHS utilizes the consent agenda process, face-to face briefings, and a member of the governing board performs as a liaison.

Head Start Policy Council members are culturally and ethnically diverse and are reflective of the community served. Policy Council is involved in all aspects of planning and policy making that affects the Head Start Program. On a monthly basis, Head Start staff provides the Policy Council with Standard Operating Procedures, Monthly Program Reports, Fiscal reports that includes credit card expenditures, and recommendations for hire, vacancies, terminations and separations. In addition, the Policy Council is provided with Head Start bylaws, monthly Policy Council minutes, and grants. All childcare licenses and leases are approved by the Policy Council. The Policy Council participates

in planning, self-assessment, and community assessment. Members of the Policy Council serve on the Health Advisory Committee, Education Planning Committee, and School Readiness Committee. Currently, the Policy Council Chair serves as the Parent Representative on the Region IV and National Head Start Association Board.

## **2. Human Resources Management**

The Early Childhood community has suffered over the last two years from the “Great Resignation.” Historically, staff vacancies have not been an issue for Orange County Head Start. OCHS traditionally has not had a vacancy rate higher than 5%. Over the last two years the programs vacancy rate has increased to 13% with the majority of those vacancies occurring in the classroom.

The Family Social Worker position has also experienced a higher than normal vacancy rate. The program is suffering like most of the country and adult to child ratio requirements are not negotiable. The COVID-19 impact has brought major issues in the area of human resources. The issues impacting the hiring process and vacancies include a slow onboarding process due to the state agency, the Department of Children and Families, background screening process being extremely slow due to their own program vacancies. Orange County Government requires all persons working with children and first responders to complete the Level 2 background process, which includes a polygraph test. The appointments are backed up due to their only being two polygraphers working in the office, which has delayed the onboarding process. Lastly, the number of people applying has decreased from receiving nearly forty (40) applications for one vacancy to receiving four (4) applications. OCHS did not reach the total funded enrollment for the 2021-2022 school year which helped at some sites that

were experiencing staff vacancies. There were also times the program had to leave children as “accepted” and not allowed “enrollment” until staff had completed the onboarding process was cleared and placed in the classroom to ensure compliance to adult to child ratio. With the support of Orange County government, OCHS will address recruitment and retention issues with the following initiatives; sign-on bonus, longevity pay and higher starting salaries. As of April 2022, the sign on bonus is available to teachers, teacher assistants and Family Service Workers.

The sign-on bonus is \$1000, which is paid out in \$500 increments. The employee receives \$500 after the first six months, and the second \$500 at the year mark. The funding for the special pay initiatives is from the Orange County government general funds budget. The longevity pay award for staff is based on the number of years with Orange County government. The pay starts at \$300 and goes to \$1500 based on the number of years with a person being eligible at the 3-year mark. The program has increased the starting pay for all positions with the lowest starting pay at \$15.45. OCHS hopes to increase the number of persons applying with the special initiatives. The leadership team also used American Rescue Plan funds to send parents and substitute teachers to the Child Development Accreditation (CDA) class. The participants are able to work in the program to receive the 480 required practicum hours. It is hopeful that upon graduation the parents will apply for full-time positions. Orange County government will address these concerns during the strategic planning process.

### **3. Program Management and Quality Improvement**

**3.a.** In 2020, in response to the COVID-19 pandemic, the Program implemented health and safety measures for staff, families and children that included social distancing



protocols, reduced group sizes, added more stringent cleaning guidelines, Personal Protective Equipment requirements and health monitoring/screening protocols. Standard operating procedures were also revised to ensure program operations included pandemic response procedures.

To further reduce exposure to all staff and children, monitoring priorities were revised. Visits to Head Start Centers were limited to scheduled visits only; and as necessary, or required, to maintain compliance and safety protocols. Monitoring activities at Head Start Centers were conducted largely by Center Supervisors and teaching staff and focused on attendance and enforcement of health and safety protocols, including daily health checks and cleaning guidelines. Service Area Coordinators continued to monitor the provision of services to children and families; however, this was done remotely using data from the ChildPlus system and reports from field staff and families. Enrollment numbers and Positive COVID-19 cases program wide was also tracked by the ERSEA and Health teams, respectively.

**3.b.** Historically, monitoring activities from the administrative level (i.e., service area coordinators) takes place on a monthly and quarterly basis. Results are typically reviewed quarterly to identify trends, determine corrective actions for compliance and progress on goals; however, with priorities shifting to focus on maintaining program enrollment, operations and health and safety protocols monitoring activities did not occur at the same frequency as before the pandemic. Without the data from these monitoring activities, evaluation of progress toward program goals and planning for continuous improvement were impacted.

## Section II. Budget and Budget Justification

### 1. Personnel Adjustments

#### Staffing

The OCHS staffing structure is separated into several units; Administration, Education, Health & Dental, Mental Health & Disabilities, Parent Family and Community Engagement and Facilities. Each staff member is assigned to a particular unit that represents their position. This helps to provide oversight of expenditures in each area as well as to ensure proper planning and management of fiscal resources.

#### Salary Structure Increase

A 4% salary increase is planned for 2022-2023. Retirement increased from 10.66% to 11.75% along with a \$1,500 increase in insurance. County financial support in the amount of \$2,263,700 from general funds will help the program continue to reward employees with competitive wages.

#### Travel and Training

The program continues to make training and travel a high priority to meet the needs of the many new hires. Virtual training has continued along with new opportunities for face-to-face training. Notably, many of our new leaders were able to attend the Florida Head Start, Fall Leadership training. This provided understanding of Head Start and their roles. Locally, the National Head Start, Parent and Family Engagement Conference was held in Orlando, which many of our Head Start parents were able to attend. Six (6) of our staff attended and were certified by the Nonviolent Crisis Intervention (CPI) Institute. These staff will be able to train other staff using the information from their

training session. Twenty (20) staff members along with thirteen (13) parents received the CDA training and certification.

September 2020, OCHS received a Disaster Grant from the Office of Head Start. One of the requests with this grant was to provide funds for training to become an organization certified in "Trauma Smart." The Trauma Smart program is founded on evidence-based interventions that are recognized by the U.S. Department of Health and Human Services and the National Child Traumatic Stress Network to be effective in helping children and the adults who care for them address the negative impact of violence and trauma. All staff have attended monthly training become a "Trauma Smart" program.

#### General Operations

The implementation of Maximo, an inventory system for the Head Start Warehouse has been a success. The program has provided a communication stream between all centers and the warehouse. The ability to track consumable inventory has been helpful to the program. The facilities team implemented the Preventive Maintenance (PM) system for managing minor repairs and regularly scheduled maintenance projects. Examples include: changing light bulbs, repairing broken furniture, painting projects and other tasks. This process is completed by facilities staff twice a year.

#### **2. Food Service Contract**

Food and dietary total costs are estimated to be \$1,474,552 in 2022-2023. Contractual agreements are in conjunction with the Child Care Food Program (CCFP) which will provide over \$1.4 Million in reimbursement funds to the program. Orange County Public

Schools contracts with OCHS will provide meals for 12 public school locations. The remaining 10 centers are supported by an approved caterer through the CCFP.

Second Harvest Food Bank (SHFB), the Head Start state certified food vendor, has offered a long-term partnership with the program. Some of the highlights include a paid food handler program for parents who want to gain skills for the service industry here in Central Florida. The parents who complete the 14-week program receive a certificate and job placement services and upon graduation, will be offered jobs. SHFB has also provided training to all staff on food safety, healthy food, meal plans and other resources that support families.

OCHS currently has a Lease with Orange County Public Schools (OCPS) to operate at 12 sites on school campuses, which consist of more than 32 classrooms in the 2022-2023 school year. The lease includes classroom space, electricity, janitorial, maintenance and administrative services for the classrooms. OCHS is also leased the Callahan Center from the City of Orlando. Callahan has recently been remodeled by the city, with newly painted classrooms, new floors and upgraded bathrooms.

Summer of 2021, Head Start closed the center at Evans High School. Evan's, a community school, provides wrap around services, which includes childcare. OCHS opened two new classrooms at Millenia Elementary to serve the increasing number of Hispanic children. In 2022, Millenia will have new multi-lingual classrooms, provided by funding from the American Recovery Plan.

In addition, Head Start opened two new classrooms at West Oaks Elementary. Similar to Millenia, West Oaks had seen a decline in ELA, Math and Science achievement, and gains, especially during the years of COVID. It was important to support the community

at this school to help children entering kindergarten have a better opportunity for success.

### **3. Cost-of-living adjustment (COLA) gram instruction.**

The COLA for 2021-2022 in the amount of \$322,509 was used to pay for higher operating costs and to support or fund the increase in staff salary and benefits. In February 2021, the Orange County Board of County Commissioners approved a 4.0% increase in salaries, a 1.09% increase in retirement and a \$1,500.00 per person increase for health insurance for all Orange County Government employees. All Orange County Head Start staff was slated to receive the stated increases in insurance costs. Orange County Head Start will use the COLA increase to cover the retirement and insurance increase.

### **4. Financial and Property Management System**

Orange County Government uses financial management software systems such as Advantage, Web Focus and PeopleSoft to account for grant funds, property, and assets. These systems allow gathering of transactions, expenditures and revenues to be viewed as necessary. These systems support documentation on programs progress, projections and spending in the program areas. This system does not allow for funds outside of Head Start to be circulated within grant funding. All funds are overseen independently from each other.

Orange County's Property Accounting Department of the Comptroller's office, uses a management system that records assets and ensures proper use. Annually, the department conducts an inventory check. For vehicles, Orange County Government

Fleet oversees vehicle assets and conducts maintenance and repairs. Orange County Facilities Management oversees county facilities, maintenance and repairs.

### 5. Non-Federal Match

The non-federal match is supported through several sources including a) Head Start's \$14,704,441 and volunteer program, b) donations, c) County support, and d) the State of Florida Voluntary Pre-Kindergarten Program.

Source of Non-Federal Match	Estimated Amount	Validation Methodology
In-Kind and Volunteer Program	\$ 1,900,000	Amount expected to be collected from parents; former parent's and volunteers in the center along with In-Kind donations to the classroom.
Donations	\$ 15,000	Various Donors
County Support	\$2,263,700	*Salary Support
FS VPK Program	\$ 1,252,800	Provided by 540 hours per child (700) at rate of \$4.54 per hour

Head Start's volunteer program did see a decrease in support during the pandemic. However, OCHS has been working closer with our partners to capture hours and provide additional support. OCHS began Volunteer Fridays, where parents and community groups can come and social distance while cleaning our playgrounds. The centers have also been in competition, encouraging one another to raise the most in-kind. OCHS also trained staff to recognize how the match is important to the program and how each person who provides in-kind is contributing to success of the program.

Head Start has procedures and multiple levels of checks and balances to ensure in-kind is allowable, allocable and reasonable. Accuracy starts at the center level and is processed at the administrative level, where it is entered into ChildPlus for tracking and sent to Orange County Comptroller for final review.

OCHS has formal agreements that support the program, which includes the following:

- Adult Literacy League – Reading and literacy for parents
- University of Central Florida – Nurse and Social Work Interns
- Florida Transitions – Transition of children from Part C (IDEA) to Part B
- Early Learning Coalition – Coordination of Early Childhood Programs
- Orange County Library System – Story tellers and training for parents
- Urban League – Employability, financial literacy and child abuse prevention workshops
- Florida Department of Revenue – Child Support Services
- YMCA of Central Florida – Swimming Lessons
- Goodwill Industries – Job Training for Head Start Parents
- Swimming for Life/Straightforward Ministries – Swimming Lessons
- Vystar Credit Union – Financial Literacy
- Children’s Home Society – Transition between Early and Head Start
- Nemours Foundation – Vision and Hearing Screenings
- PNC Bank – Financial Literacy

The Foster Grandparent program supports the classrooms by providing senior volunteers. This program has provided over 3,850 hours with over 80 grandparent volunteers in our classrooms per year. The county contributes \$22,280 for this service

annually. This program not only supports education in the classroom, but has increased activity levels through social activity and improved health of their volunteers.

Donations have provided classroom supplies, nutritional supplies, field trips and other support to Head Start. An example of support comes from A Gift for Teaching (AGT). Orange County Teachers from eligible high-need schools can shop once at AGT locations. Their goal is to reach as many teachers as possible. They create a mechanism where schools can get needed school supplies at no cost, which has a positive impact on students.

Orange County Government contributes over \$2 million to the program, which is used to supplement salaries for Head Start staff. In addition to personnel support, Orange County provides services from fiscal to fleet to support the success of the Head Start Division.

The State of Florida Voluntary Pre-Kindergarten Program (VPK) is funded by the Florida Department of Education. The State of Florida guarantees a year of pre-kindergarten preschool education free of charge to Florida Department of Children and Families (DCF) Child Care Regulations, and accredited providers. The VPK program reimburses Head Start for every 3 instructional hours per day, provided by teachers and teacher assistants at the rate of \$4.54 per hour, at a max of 540 instructional hours per year. The estimated amount for 2021 -2022 School Year is \$1,252,800. VPK enrollment was low this year as COVID-19 has made registration and recruitment difficult. VPK reimbursement is a large portion of our teacher's salaries. The \$2 Million support from the county allowed OCHS to meet the budget and sustain quality early education.



## **6. Waiver of Non-federal Share Match**

No waiver of the non-federal share match is required.

## **7. Waiver Justification**

No waiver of the 15% limitation on development and administrative costs is proposed.

## **8. Enrollment Reduction Request**

An enrollment reduction is not being requested.

## **9. Requesting Conversation**

a.b.c. No conversion is being requested.

## **10. Purchase, Construction, or Major Renovation**

No funds outside of prior approvals are being requested.

## **11. Equipment**

Funds are not being requested for equipment during the 2022-2023 FY. Procurement procedures followed for the purchase of equipment are as follows:

Equipment purchases over \$10,000 requires three (3) quotes to be submitted along with back up documentation to the Orange County Family Services Department Fiscal division. Back up documentation may include; scope of work, insurance, W-9 form, departmental memo or approvals. Once items are received, the Fiscal Program Manager will review, ensure funds are available in the Advantage System, and approve. The approval is sent to the Manager for final approval.

Submission of the purchase order is keyed into the Advantage system through the Fiscal Department and routed to purchasing for the completed purchase order to be sent to the vendor. All equipment over \$2,000 is required to be tagged for inventory through the Property Accounting Department of the Comptroller.

# **U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES COMPENDIUM OF REQUIRED CERTIFICATIONS AND ASSURANCES**

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## **Office of Head Start**

Updated July 29, 2014

# U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES COMPENDIUM OF REQUIRED CERTIFICATIONS AND ASSURANCE

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# U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES COMPENDIUM OF REQUIRED CERTIFICATIONS AND ASSURANCE

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## SF424B Assurances – Non-Construction Programs

1. Has the legal authority to apply for Federal assistance and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States and, if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§290 dd-3 and 290 ee 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §§3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and, (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally-assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply, as applicable, with provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

## U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES COMPENDIUM OF REQUIRED CERTIFICATIONS AND ASSURANCE

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9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§327-333), regarding labor standards for federally-assisted construction subagreements.
10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L. 93-523); and, (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a-1 et seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. §§2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing this program.

# U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES COMPENDIUM OF REQUIRED CERTIFICATIONS AND ASSURANCE

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## Certification Regarding Lobbying

### Certification for Contracts, Grants, Loans, and Cooperative Agreements

1. No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
2. If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form- LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.
3. The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

### Statement for Loan Guarantees and Loan Insurance

If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

### Regarding Compliance with Compensation Cap (Level II of the Executive Schedule)

Federal funds will not be used to pay any part of the compensation of an individual employed by a Head Start and/or Early Head Start agency if that individual's compensation exceeds the rate payable for Level II of the Executive Schedule.

# U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES COMPENDIUM OF REQUIRED CERTIFICATIONS AND ASSURANCE

## Certification of Filing and Payment of Federal Taxes

As required by the Departments of Labor, Health and Human Services, and Education and Related Agencies Appropriation Act, 2008 (Public Law 110-161, Division G, Title V, section 523), as a prospective financial assistance recipient entering into a grant or cooperative agreement of more than \$5,000,000, I, as the duly authorized representative of the applicant, do hereby certify to the best of my knowledge and belief, that:

1. The applicant has filed all Federal tax returns required during the three years preceding this certification
2. The applicant has not been convicted of a criminal offense pursuant to the Internal Revenue Code of 1986 (U.S. Code - Title 26, Internal Revenue Code)
3. The applicant has not, more than 90 days prior to this certification, been notified of any unpaid Federal tax assessment for which the liability remains unsatisfied, unless the assessment is the subject of an installment agreement or offer in compromise that has been approved by the Internal Revenue Service and is not in default, or the assessment is the subject of a non-frivolous administrative or judicial proceeding.

## Submission Statement

21. \*By signing this application, I certify (1) to the statements contained in the list of certifications\*\* and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances\*\* and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001)

\*\* I AGREE

\*\* The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.

### Authorized Representative:

Prefix:  \* First Name:   
 Middle Name:   
 \* Last Name:   
 Suffix:

\* Title:

\* Telephone Number:  Fax Number:

\* Email:

\* Signature of Authorized Representative:  \* Date Signed:

\* Submitted by:  Date Submitted:

