



Tools for Creating High-Quality Change in Scope Applications

APRIL 2024

HOUSEKEEPING ITEMS

- All participants are in listen-only mode
- Closed Captioning is optional
- Participate in discussion via chat
- Submit all questions via Q&A

Participate in discussion with the presenters here.



Ask your questions here.

Closed Captions can be turned on or off here.



Tools for Creating High-Quality Change in Scope Applications

APRIL 2024

SPEAKERS

Heather Wanderski

Director, Program Operations Division, Office of Head Start

Larissa Zoot

*Program Operations Manager, Program Operations Division,
Office of Head Start*



AGENDA

- Welcome
- Change in Scope Request Overview
- Change in Scope Application Checklist
- Change in Scope Budget Tool
- Additional Resources
- Questions & Answers



Change in Scope Request Overview

A request to **reduce funded enrollment or convert Head Start Preschool slots to Early Head Start slots** is considered a **change in scope request**

Authorities

- ❑ [Section 640\(g\)\(3\)](#) allows programs to propose a reduction to funded enrollment to maintain quality of program services
- ❑ [Section 645\(a\)\(5\)](#) permits programs to convert Head Start Preschool slots to Early Head Start slots to better meet community need

Recipients may submit a change in scope request **through the Head Start Enterprise System (HSES)** at any time

- ❑ Recipients may request to reduce funded enrollment **or** convert Head Start Preschool slots to Early Head Start slots **or both** as part of the same request.
- ❑ **Requests are submitted to the Regional Office for approval** and must be submitted a minimum of 90 days prior to the planned implementation date **however, requests on average take at least 120 days for processing.**

Change in Scope Request Overview

Information Memorandum: Enrollment Reductions and Conversion of Head Start Slots to Early Head Start Slots

Enrollment Reductions and Conversion of Head Start Slots to Early Head Start Slots ACF-IM-HS-22-09

ACF Administration for Children and Families	U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES	
	1. Log Number: ACF-IM-HS-22-09	2. Issuance Date: 11/07/2022
	3. Originating Office: Office of Head Start	
	4. Key Words: Enrollment Reduction; Slot Conversion; Change in Scope Requests	

INFORMATION MEMORANDUM

TO: All Head Start and Early Head Start Grant Recipients

SUBJECT: Enrollment Reductions and Conversion of Head Start Slots to Early Head Start Slots

INFORMATION:

The Head Start program is a national model in the field of early care and education (ECE) for providing high-quality services to children and families most in need. Head Start programs provide comprehensive services and promote progress in children's early learning outcomes in under-resourced communities and support positive family outcomes.

The Office of Head Start (OHS) recognizes that community needs shift over time for various reasons. These reasons may include changes during and after disasters and public health crises, changes in the availability of community resources relied upon to provide program services, and shifts in geographical location of eligible children and families. [Section 640\(g\)\(3\)](#) of the Head Start Act (the Act) allows programs to propose a reduction to their funded enrollment to maintain quality of program services. Additionally, [Section 645\(a\)\(5\)](#) permits a program to convert Head Start slots to Early Head Start slots to better meet community needs. Similarly, Section 640(f)(2) of the Act allows programs to convert part-day slots to full-working day slots to meet community needs.

A request to reduce funded enrollment or convert Head Start slots to Early Head Start slots is considered a change in scope request and requires OHS prior approval. Recipients may submit a change in scope request through a continuation application or as a separate application amendment in the Head Start Enterprise System (HSES). Change in scope requests must be submitted a minimum of 90 days prior to the planned implementation date. This Information Memorandum (IM) provides additional guidance for the development and submission of these requests.

Appendix: Enrollment Reduction and Conversion Considerations

Enrollment Reduction and Conversion Considerations

This resource supplements [ACF-IM-HS-22-09](#) and outlines critical questions and data to consider as part of the planning and development for both enrollment reduction and conversion requests.

Enrollment Reduction

[Sect. 640\(g\)\(3\) / ACF-IM-HS-22-09](#)

Reduce funded enrollment slots without a reduction in program operations funding.

Conversion

[Sect. 645\(a\)\(5\) / 45 CFR §1302.20\(c\) / ACF-IM-HS-22-09](#)

Existing Head Start slots converted into Early Head Start slots, which includes an enrollment reduction in the number of Head Start slots and an increase in the number of Early Head Start slots.

All change in scope requests must be submitted, at a minimum, 90 days before planned implementation. The application is submitted via the Head Start Enterprise System (HSES) as a change in scope, either within a baseline or continuation application, or as an Amendment: change in scope. The application must include the following documents:

- SF-424
- SF-424A
- Governing board and Policy Council approvals
- Program narrative
- Budget narrative
- Proposed program schedule
- Supporting documents

In instances where both an enrollment reduction and conversion are requested, the enrollment reduction must be determined first. Then, the data from the reduction (e.g., cost per child, budget, funded slots, etc.) are used to determine the conversion.

When considering a change in scope to reduce enrollment or to convert slots from Head Start to Early Head Start, various factors must be taken into account. This resource outlines critical questions and data to consider as part of the planning and development for both enrollment reduction and conversion requests, as well as considerations that are specific to each. Please know multiple conversations with your program specialist may be needed during the planning, requesting, and implementation of the enrollment reduction and/or conversion.





Tool 1: Change in Scope Application Checklist

Part 1: Required Documents to Include in the Request

Part 2: Required Elements to Include in Request

Part 3: Budget Considerations and Requirements

Part 1: Required Documents to Include in the Request

PAGE 2 OF CHECKLIST

Part 1 outlines the documents that must be included in the application, and key considerations for each.

Document(s)	Considerations	Included
SF-424 and SF-424A	For enrollment reduction requests, demonstrate the net changes for Head Start and Early Head Start  <i>TIP: The SF-424A should reflect a net \$0 change unless requesting funding for one-time or start-up costs exceeding the authorized budget.</i>	
	For conversion requests, demonstrate movement of funds from Head Start to Early Head Start  <i>TIP: On the SF-424A, Head Start will reflect a negative total and Early Head Start will reflect a positive total.</i>	
Program Narrative	Include a complete description of the proposed changes, to include justification of elements listed in section “Part 2: Required Elements to Include in the Request”  <i>TIP: Ensure your narrative notes sources and provides key data points supporting your rationale.</i>	
Budget & Budget Narrative	Address all the elements listed in section “Part 3: Budget Considerations and Requirements”	

Proposed Program Schedule	Include the proposed program options	
	Complete the program schedule tab within the application package that is reflective of the proposed changes	
	If the proposed changes result in a reduction of hours of planned classroom activities, provide a rationale in the program narrative	
	Account for state funded slots in the proposed schedule, if applicable	
Governing Board or Tribal Council Approval	Chairperson listed in HSES aligns with signed statement	
	Meeting minutes and signed statement indicate approval of request	
Policy Council Approval	Chairperson listed in HSES aligns with signed statement	
	Meeting minutes and signed statement indicate approval of request	

Part 1: Required Documents to Include in the Request

PAGE 2 OF CHECKLIST

Element	Considerations	Included
Supporting Documents	<p>Include any supporting documents, providing only relevant sections of the document that support <i>any data analysis</i> included in the request. Supporting documents may include, but are not limited to:</p> <ul style="list-style-type: none"><input type="checkbox"/> Cost allocation plan<input type="checkbox"/> Current and proposed organizational charts<input type="checkbox"/> Program calendar demonstrating annual days and weeks of service<input type="checkbox"/> Selection criteria form<input type="checkbox"/> Proposed implementation timeline<input type="checkbox"/> Other	<p><i>Check all that apply in column to left</i></p>

Part 2: Required Elements to Include in the Request

PAGES 3-5 OF CHECKLIST

Part 2 lists the elements that must be thoroughly addressed throughout the change in scope request.



Element 1

Overall
Justification

Considerations	Included
<p>Include the following data:</p> <ol style="list-style-type: none"> 1. The current enrollment, underenrollment, and waitlist data by program option and location 2. Number of slots proposed to be reduced and/or converted by program option and location <p> <i>TIP: This information can easily be demonstrated in a table format.</i></p>	
<p>Describe the program’s strategic plan for the request, to include goals, expected outcomes, and the sustainability of the request across the project period</p> <p> <i>TIP: If eliminating or adding a new program option (i.e., home-based services), include adequate information on why the need has changed and how the request will address the new needs of the community.</i></p>	
Describe how the program will prevent currently enrolled children from displacement	
Describe how the program will support families if children are transitioning to alternate sites or program options	
Describe how the proposed number of slots and funding are adequate for the intended purpose	
For those engaged in Full Enrollment Initiative (FEI), describe how the request supports the recipient in addressing underenrollment	

Part 2: Required Elements to Include in the Request

PAGES 3-5 OF CHECKLIST



Element 2

Community Assessment

Describe how this request is responsive to the needs of eligible children and families while considering strengths and resources of the community	
Describe the needs of currently enrolled families	
Address community risk factors	
Compare the population of children in the community to the number of Head Start Preschool and/or Early Head Start eligible children by age groups	
Describe if there have been considerations to updating the selection criteria that reflect the needs of the community	
Describe availability of slots in early childhood programming in the community, to include the availability of space and facilities within the community	
Demonstrate how the program has considered the impact to the community in areas where centers are proposed to be eliminated	



Part 2: Required Elements to Include in the Request

PAGES 3-5 OF CHECKLIST



Element 4

Self-Assessment

Considerations	Included
Summarize the evaluation of the most recent annual self-assessment results that justify this request	
Describe how internal systems will support the request	



Element 5

Wage Comparability

Provide an analysis on staff turnover, exit interview data, and the consideration of educational attainment reflective of the service area	
<p>Include information on current and proposed wages for program staff, and wages of comparable early childhood development positions, including school district positions, in the service area</p> <p> <i>TIP: Please include a summary of the wage comparability data rather than uploading the entire wage comparability study.</i></p>	
<p>Describe the level of increases to be provided to specific positions and the extent to which the increases will close existing gaps</p> <p> <i>TIP: The information above can easily be demonstrated in a table format to include position, current wage, proposed wage, and percent of change</i></p>	



Part 2: Required Elements to Include in the Request

PAGES 3-5 OF CHECKLIST



Element 6

Service
Delivery
Model

Discuss changes in slots by program option, location, and service duration	
Update the program schedule to reflect proposed changes  <i>TIP: Ensure the response for this section is aligned with the requirements for the Proposed Program Schedule under "Part 1: Required Documents to Include in the Request"</i>	
Describe how the program will meet service duration requirements	



Part 2: Required Elements to Include in the Request

PAGES 3-5 OF CHECKLIST



Element 7

Administrative
and Supervisory
Structure

Describe whether there is administrative cost that can be reduced  <i>TIP: Verify administrative costs are below the 15% administrative requirement post reduction and/or conversion</i>	
Describe the current organizational structure and how it will change relative to the scope of the request	
Describe the reasonableness of the percentages of non-program staff salaries charged to the Head Start Preschool and/or Early Head Start grant given the proposed changes	
For supervisory staff and for administrative staff, separately justify which positions are still reasonable and necessary, and which positions will be eliminated given the proposed changes	



Part 2: Required Elements to Include in the Request

PAGES 3-5 OF CHECKLIST



Element 8

Staffing and
Training

Describe the impact that the proposed changes have on staffing, including classroom ratios and family service staff caseloads	
Describe updates to the coaching plan, given the proposed changes	
Describe updates to the training plan, given the proposed changes	



Element 9

Implementation
Timeline

<p>Include the proposed timeline for implementation and describe the reasonableness of the implementation date</p> <p> <i>TIP: If the request requires a new or revised license, outline the timeline for securing that license.</i></p>	
Explain if the budgetary implementation date is different from the service implementation date	
Describe the backup plan if there is a delay in the implementation of the request, if applicable	



Part 2: Required Elements to Include in the Request

PAGES 3-5 OF CHECKLIST



Additional Elements for Conversion Requests

Considerations	Included
<i>If the request does not include a request for conversion of slots, please mark N/A in the column to the right and skip the remaining part of this section</i>	<input type="checkbox"/> N/A
Describe the impact the proposed conversion has on staffing, training, and coaching plans	
Describe how the program will ensure teachers have the correct qualifications to teach in Early Head Start classrooms	
Describe the facilities and program infrastructure that will be used to support the new or expanded Early Head Start program	
Describe how the request meets State or local licensing requirements, if applicable	
Describe the plan to serve pregnant women and outline if there will be enough slots to support infants, if applicable	

If offering center-based services, describe at what age will infants be transitioned into center-based slots	
Describe how the program will ensure required continuity of services to families/children if center-based slots are not available when needed	
Ensure the conversion request includes all items outlined in Determining program structure, 45 CFR §1302.20(c)(3)	
<p>*If Early Head Start services are not currently provided, please describe the planning and implementation plan for the following:</p> <ul style="list-style-type: none"> - Researched-based and developmentally appropriate curriculum - Assessment tools and timeframes - Developmental screening tools - School readiness goals - Training and technical assistance support - Community partnerships to serve this special population <p> <i>TIP: If more funds are required for training and technical assistance, please have a conversation with your assigned Program Specialist.</i></p>	



Part 3: Budget Considerations and Requirements

PAGE 6 OF CHECKLIST

Part 3 outlines elements that should be included in the budget and budget narrative.

Considerations	Included
Identify and describe all potential cost savings and reinvestment by line item within each object class category  <i>TIP: Use the authorized budget from your non-competing new or non-competing continuation application.</i>	
Demonstrate the repurposed use of funds by program and by line item within each object class category	
If there are one-time or start-up costs associated with this request, describe the costs and how the program proposes to pay for them	
Describe any minor facility upgrades or renovation needs related to this request (less than \$250,000)	
Identify whether there are unspent funds from a previous budget year that can be carried over and used to support any one-time or start-up costs  <i>TIP: Unobligated funds must be used within the project period with proper planning. A budget revision request may be necessary depending on the purpose for which the funds were originally approved. If you are interested in using unobligated funds for this request, please reach out to your assigned Program Specialist.</i>	

Describe how other funding sources, such as state funds, will be leveraged and note any impact to the non-federal share budget  <i>TIP: If funding for one-time or start-up costs is from an external source, explain the backup plan if such funds are delayed or eliminated</i>	
Include the current cost per child (= <i>Operational Budget/Authorized Funded Enrollment</i>) and proposed cost per child (= <i>Operational Budget/Proposed Reduced or Converted Enrollment</i>) as data points	
Describe efforts to reduce costs through partnerships	
Confirm that an analysis was completed to ensure the cost allocation plan has been reviewed and updated based on the change in scope request	



Tool 2: Budget Tool

Tab 1: Budget Summary

Tab 2: Head Start Preschool Budget Changes

Tab 3: Early Head Start Budget Changes

Change in Scope Budget Tool

Tab 1: Budget Summary



Grant Number		
Recipient Name		
Implementation Date		
Budget CHANGES - ANNUALIZED AMOUNTS - ENROLLMENT REDUCTION/CONVERSION		
Head Start Preschool		
	Operations Funds (Savings from Proposed Cuts)	Operations Funds (Reinvestment)
Personnel	\$ -	\$ -
Fringe Benefits	\$ -	\$ -
Travel	\$ -	\$ -
Equipment	\$ -	\$ -
Supplies	\$ -	\$ -
Contractual	\$ -	\$ -
Construction	\$ -	\$ -
Other	\$ -	\$ -
Indirect	\$ -	\$ -
TOTAL	\$ -	\$ -
Early Head Start		
	Operations Funds (Savings from Proposed Cuts)	Operations Funds (Reinvestment)
Personnel	\$ -	\$ -
Fringe Benefits	\$ -	\$ -
Travel	\$ -	\$ -
Equipment	\$ -	\$ -
Supplies	\$ -	\$ -
Contractual	\$ -	\$ -
Construction	\$ -	\$ -
Other	\$ -	\$ -
Indirect	\$ -	\$ -
TOTAL	\$ -	\$ -
Total Savings and Reinvestment (HSP and EHS)		
	Total Savings from Proposed Cuts (Head Start Preschool and Early Head Start)	Total Reinvestment (Head Start Preschool and Early Head Start)
TOTAL	\$ -	\$ -

Head Start Preschool Enrollment		
Current	Proposed	% Change
		#DIV/0!
Early Head Start Enrollment		
Current	Proposed	% Change
		#DIV/0!
Total Funding		
Pre-Conversion/Reduction		
Head Start Preschool Base		
Head Start Preschool TTA		
Early Head Start Base		
Early Head Start TTA		
Total Funding	\$ -	
Post-Conversion/Reduction		
Head Start Preschool Base	\$ -	
Head Start Preschool TTA	\$ -	
Early Head Start Base	\$ -	
Early Head Start TTA	\$ -	
Total Funding	\$ -	

Key Highlights

1. Only fill out the cells highlighted in gray
2. The remaining data will populate from tabs 2 and 3



Change in Scope Budget Tool

Tabs 2 and 3: Head Start Preschool and Early Head Start Budget Changes

Budget Categories	Budget Category Section	Line Number	Line Item Description	Operations Funds (Savings from Proposed Cuts)	Budget Narrative (Describe the Savings from Proposed Cuts)	Operations Funds (Reinvestment)	Budget Narrative (Describe the Reinvestment)	Net Operations Funds Changes (Entered on SF-424A)	TTA (Savings from Proposed Cuts)*	TTA (Describe the Savings from Proposed Cuts)
Personnel	Child and Family Development	1	Program Managers and Content Area Experts					\$0		
Personnel	Child and Family Development	2	Teachers / Infant Toddler Teachers					\$0		
Personnel	Child and Family Development	3	Family Child Care Personnel					\$0		
Personnel	Child and Family Development	4	Home Visitors					\$0		
Personnel	Child and Family Development	5	Teacher Aides and Other Education Personnel					\$0		
Personnel	Child and Family Development	6	Health/Mental Health Services Personnel					\$0		
Personnel	Child and Family Development	7	Disability Services Personnel					\$0		
Personnel	Child and Family Development	8	Nutrition Services Personnel					\$0		
Personnel	Child and Family Development	9	Other Child Services Personnel					\$0		
Child and Family Development		Sub total		\$0		\$0		\$0	\$0	
Personnel	Family and Community Partnership	10	Program Managers and Content Area Experts					\$0		
Personnel	Family and Community Partnership	11	Other Family and Community Partnerships Personnel					\$0		
Family and Community Partnership		Sub total		\$0		\$0		\$0	\$0	

Key Highlight

Complete the applicable Head Start Preschool and/or Early Head Start Budget Change tabs in the Budget Tool, which mirror the headings and columns in HSES

Change in Scope Budget Tool

Scenario

- ❑ Enrollment Reduction and Conversion Request
 - Reduce 43 Head Start Preschool slots in 3 classrooms at Center 1
 - Convert 107 Head Start Preschool slots in 7 classrooms to 24 Early Head Start slots in 3 classrooms at Center 2



Purpose

1. Improve staff salaries/fringe benefits to attract and retain qualified staff
2. Respond to community need



RESOURCES

Enrollment Reductions & Conversions:

- [ACF-IM-HS-22-09 Enrollment Reductions and Conversion of Head Start Slots to Early Head Start Slots](#)
- [Enrollment Reduction and Conversion Considerations](#)

Workforce & Recruitment:

- [ACF-IM-HS-22-06 Strategies to Stabilize the Head Start Workforce](#)
- [Promoting Staff Well-being](#)
- [Creating a Staff Wellness Action Plan](#)



Questions?

Thank you for joining!

