

**APPENDIX A**  
**AUTHORIZING STATUTES**



One Hundred Third Congress  
of the  
United States of America

AT THE FIRST SESSION

*Begun and held at the City of Washington on Tuesday,  
the fifth day of January, one thousand nine hundred and ninety-three*

An Act

To provide for the establishment of strategic planning and performance measurement in the Federal Government, and for other purposes.

*Be it enacted by the Senate and House of Representatives of  
the United States of America in Congress assembled,*

**SECTION 1. SHORT TITLE.**

This Act may be cited as the “Government Performance and Results Act of 1993”.

**SEC. 2. FINDINGS AND PURPOSES.**

(a) FINDINGS.—The Congress finds that—

(1) waste and inefficiency in Federal programs undermine the confidence of the American people in the Government and reduces the Federal Government’s ability to address adequately vital public needs;

(2) Federal managers are seriously disadvantaged in their efforts to improve program efficiency and effectiveness, because of insufficient articulation of program goals and inadequate information on program performance; and

(3) congressional policymaking, spending decisions and program oversight are seriously handicapped by insufficient attention to program performance and results.

(b) PURPOSES.—The purposes of this Act are to—

(1) improve the confidence of the American people in the capability of the Federal Government, by systematically holding Federal agencies accountable for achieving program results;

(2) initiate program performance reform with a series of pilot projects in setting program goals, measuring program performance against those goals, and reporting publicly on their progress;

(3) improve Federal program effectiveness and public accountability by promoting a new focus on results, service quality, and customer satisfaction;

(4) help Federal managers improve service delivery, by requiring that they plan for meeting program objectives and by providing them with information about program results and service quality;

(5) improve congressional decisionmaking by providing more objective information on achieving statutory objectives, and on the relative effectiveness and efficiency of Federal programs and spending; and

(6) improve internal management of the Federal Government.

**SEC. 3. STRATEGIC PLANNING.**

Chapter 3 of title 5, United States Code, is amended by adding after section 305 the following new section:

**“§ 306. Strategic plans**

“(a) No later than September 30, 1997, the head of each agency shall submit to the Director of the Office of Management and Budget and to the Congress a strategic plan for program activities. Such plan shall contain—

“(1) a comprehensive mission statement covering the major functions and operations of the agency;

“(2) general goals and objectives, including outcome-related goals and objectives, for the major functions and operations of the agency;

“(3) a description of how the goals and objectives are to be achieved, including a description of the operational processes, skills and technology, and the human, capital, information, and other resources required to meet those goals and objectives;

“(4) a description of how the performance goals included in the plan required by section 1115(a) of title 31 shall be related to the general goals and objectives in the strategic plan;

“(5) an identification of those key factors external to the agency and beyond its control that could significantly affect the achievement of the general goals and objectives; and

“(6) a description of the program evaluations used in establishing or revising general goals and objectives, with a schedule for future program evaluations.

“(b) The strategic plan shall cover a period of not less than five years forward from the fiscal year in which it is submitted, and shall be updated and revised at least every three years.

“(c) The performance plan required by section 1115 of title 31 shall be consistent with the agency’s strategic plan. A performance plan may not be submitted for a fiscal year not covered by a current strategic plan under this section.

“(d) When developing a strategic plan, the agency shall consult with the Congress, and shall solicit and consider the views and suggestions of those entities potentially affected by or interested in such a plan.

“(e) The functions and activities of this section shall be considered to be inherently Governmental functions. The drafting of strategic plans under this section shall be performed only by Federal employees.

“(f) For purposes of this section the term ‘agency’ means an Executive agency defined under section 105, but does not include the Central Intelligence Agency, the General Accounting Office, the Panama Canal Commission, the United States Postal Service, and the Postal Rate Commission.”.

**SEC. 4. ANNUAL PERFORMANCE PLANS AND REPORTS.**

(a) BUDGET CONTENTS AND SUBMISSION TO CONGRESS.—Section 1105(a) of title 31, United States Code, is amended by adding at the end thereof the following new paragraph:

“(29) beginning with fiscal year 1999, a Federal Government performance plan for the overall budget as provided for under section 1115.”.

(b) PERFORMANCE PLANS AND REPORTS.—Chapter 11 of title 31, United States Code, is amended by adding after section 1114 the following new sections:

**“§ 1115. Performance plans**

“(a) In carrying out the provisions of section 1105(a)(29), the Director of the Office of Management and Budget shall require each agency to prepare an annual performance plan covering each program activity set forth in the budget of such agency. Such plan shall—

“(1) establish performance goals to define the level of performance to be achieved by a program activity;

“(2) express such goals in an objective, quantifiable, and measurable form unless authorized to be in an alternative form under subsection (b);

“(3) briefly describe the operational processes, skills and technology, and the human, capital, information, or other resources required to meet the performance goals;

“(4) establish performance indicators to be used in measuring or assessing the relevant outputs, service levels, and outcomes of each program activity;

“(5) provide a basis for comparing actual program results with the established performance goals; and

“(6) describe the means to be used to verify and validate measured values.

“(b) If an agency, in consultation with the Director of the Office of Management and Budget, determines that it is not feasible to express the performance goals for a particular program activity in an objective, quantifiable, and measurable form, the Director of the Office of Management and Budget may authorize an alternative form. Such alternative form shall—

“(1) include separate descriptive statements of—

“(A)(i) a minimally effective program, and

“(ii) a successful program, or

“(B) such alternative as authorized by the Director of the Office of Management and Budget,

with sufficient precision and in such terms that would allow for an accurate, independent determination of whether the program activity’s performance meets the criteria of the description; or

“(2) state why it is infeasible or impractical to express a performance goal in any form for the program activity.

“(c) For the purpose of complying with this section, an agency may aggregate, disaggregate, or consolidate program activities, except that any aggregation or consolidation may not omit or minimize the significance of any program activity constituting a major function or operation for the agency.

“(d) An agency may submit with its annual performance plan an appendix covering any portion of the plan that—

“(1) is specifically authorized under criteria established by an Executive order to be kept secret in the interest of national defense or foreign policy; and

“(2) is properly classified pursuant to such Executive order.

“(e) The functions and activities of this section shall be considered to be inherently Governmental functions. The drafting of performance plans under this section shall be performed only by Federal employees.

“(f) For purposes of this section and sections 1116 through 1119, and sections 9703 and 9704 the term—

“(1) ‘agency’ has the same meaning as such term is defined under section 306(f) of title 5;

“(2) ‘outcome measure’ means an assessment of the results of a program activity compared to its intended purpose;

“(3) ‘output measure’ means the tabulation, calculation, or recording of activity or effort and can be expressed in a quantitative or qualitative manner;

“(4) ‘performance goal’ means a target level of performance expressed as a tangible, measurable objective, against which actual achievement can be compared, including a goal expressed as a quantitative standard, value, or rate;

“(5) ‘performance indicator’ means a particular value or characteristic used to measure output or outcome;

“(6) ‘program activity’ means a specific activity or project as listed in the program and financing schedules of the annual budget of the United States Government; and

“(7) ‘program evaluation’ means an assessment, through objective measurement and systematic analysis, of the manner and extent to which Federal programs achieve intended objectives.

**“§ 1116. Program performance reports**

“(a) No later than March 31, 2000, and no later than March 31 of each year thereafter, the head of each agency shall prepare and submit to the President and the Congress, a report on program performance for the previous fiscal year.

“(b)(1) Each program performance report shall set forth the performance indicators established in the agency performance plan under section 1115, along with the actual program performance achieved compared with the performance goals expressed in the plan for that fiscal year.

“(2) If performance goals are specified in an alternative form under section 1115(b), the results of such program shall be described in relation to such specifications, including whether the performance failed to meet the criteria of a minimally effective or successful program.

“(c) The report for fiscal year 2000 shall include actual results for the preceding fiscal year, the report for fiscal year 2001 shall include actual results for the two preceding fiscal years, and the report for fiscal year 2002 and all subsequent reports shall include actual results for the three preceding fiscal years.

“(d) Each report shall—

“(1) review the success of achieving the performance goals of the fiscal year;

“(2) evaluate the performance plan for the current fiscal year relative to the performance achieved toward the performance goals in the fiscal year covered by the report;

“(3) explain and describe, where a performance goal has not been met (including when a program activity’s performance is determined not to have met the criteria of a successful program activity under section 1115(b)(1)(A)(ii) or a corresponding level of achievement if another alternative form is used)—

“(A) why the goal was not met;

“(B) those plans and schedules for achieving the established performance goal; and

“(C) if the performance goal is impractical or infeasible, why that is the case and what action is recommended;  
“(4) describe the use and assess the effectiveness in achieving performance goals of any waiver under section 9703 of this title; and

“(5) include the summary findings of those program evaluations completed during the fiscal year covered by the report.

“(e) An agency head may include all program performance information required annually under this section in an annual financial statement required under section 3515 if any such statement is submitted to the Congress no later than March 31 of the applicable fiscal year.

“(f) The functions and activities of this section shall be considered to be inherently Governmental functions. The drafting of program performance reports under this section shall be performed only by Federal employees.

**“§ 1117. Exemption**

“The Director of the Office of Management and Budget may exempt from the requirements of sections 1115 and 1116 of this title and section 306 of title 5, any agency with annual outlays of \$20,000,000 or less.”.

**SEC. 5. MANAGERIAL ACCOUNTABILITY AND FLEXIBILITY.**

(a) MANAGERIAL ACCOUNTABILITY AND FLEXIBILITY.—Chapter 97 of title 31, United States Code, is amended by adding after section 9702, the following new section:

**“§ 9703. Managerial accountability and flexibility**

“(a) Beginning with fiscal year 1999, the performance plans required under section 1115 may include proposals to waive administrative procedural requirements and controls, including specification of personnel staffing levels, limitations on compensation or remuneration, and prohibitions or restrictions on funding transfers among budget object classification 20 and subclassifications 11, 12, 31, and 32 of each annual budget submitted under section 1105, in return for specific individual or organization accountability to achieve a performance goal. In preparing and submitting the performance plan under section 1105(a)(29), the Director of the Office of Management and Budget shall review and may approve any proposed waivers. A waiver shall take effect at the beginning of the fiscal year for which the waiver is approved.

“(b) Any such proposal under subsection (a) shall describe the anticipated effects on performance resulting from greater managerial or organizational flexibility, discretion, and authority, and shall quantify the expected improvements in performance resulting from any waiver. The expected improvements shall be compared to current actual performance, and to the projected level of performance that would be achieved independent of any waiver.

“(c) Any proposal waiving limitations on compensation or remuneration shall precisely express the monetary change in compensation or remuneration amounts, such as bonuses or awards, that shall result from meeting, exceeding, or failing to meet performance goals.

“(d) Any proposed waiver of procedural requirements or controls imposed by an agency (other than the proposing agency or the Office of Management and Budget) may not be included in a

performance plan unless it is endorsed by the agency that established the requirement, and the endorsement included in the proposing agency's performance plan.

“(e) A waiver shall be in effect for one or two years as specified by the Director of the Office of Management and Budget in approving the waiver. A waiver may be renewed for a subsequent year. After a waiver has been in effect for three consecutive years, the performance plan prepared under section 1115 may propose that a waiver, other than a waiver of limitations on compensation or remuneration, be made permanent.

“(f) For purposes of this section, the definitions under section 1115(f) shall apply.”.

#### **SEC. 6. PILOT PROJECTS.**

(a) **PERFORMANCE PLANS AND REPORTS.**—Chapter 11 of title 31, United States Code, is amended by inserting after section 1117 (as added by section 4 of this Act) the following new section:

##### **“§ 1118. Pilot projects for performance goals**

“(a) The Director of the Office of Management and Budget, after consultation with the head of each agency, shall designate not less than ten agencies as pilot projects in performance measurement for fiscal years 1994, 1995, and 1996. The selected agencies shall reflect a representative range of Government functions and capabilities in measuring and reporting program performance.

“(b) Pilot projects in the designated agencies shall undertake the preparation of performance plans under section 1115, and program performance reports under section 1116, other than section 1116(c), for one or more of the major functions and operations of the agency. A strategic plan shall be used when preparing agency performance plans during one or more years of the pilot period.

“(c) No later than May 1, 1997, the Director of the Office of Management and Budget shall submit a report to the President and to the Congress which shall—

“(1) assess the benefits, costs, and usefulness of the plans and reports prepared by the pilot agencies in meeting the purposes of the Government Performance and Results Act of 1993;

“(2) identify any significant difficulties experienced by the pilot agencies in preparing plans and reports; and

“(3) set forth any recommended changes in the requirements of the provisions of Government Performance and Results Act of 1993, section 306 of title 5, sections 1105, 1115, 1116, 1117, 1119 and 9703 of this title, and this section.”.

(b) **MANAGERIAL ACCOUNTABILITY AND FLEXIBILITY.**—Chapter 97 of title 31, United States Code, is amended by inserting after section 9703 (as added by section 5 of this Act) the following new section:

##### **“§ 9704. Pilot projects for managerial accountability and flexibility**

“(a) The Director of the Office of Management and Budget shall designate not less than five agencies as pilot projects in managerial accountability and flexibility for fiscal years 1995 and 1996. Such agencies shall be selected from those designated as pilot projects under section 1118 and shall reflect a representative



range of Government functions and capabilities in measuring and reporting program performance.

“(b) Pilot projects in the designated agencies shall include proposed waivers in accordance with section 9703 for one or more of the major functions and operations of the agency.

“(c) The Director of the Office of Management and Budget shall include in the report to the President and to the Congress required under section 1118(c)—

“(1) an assessment of the benefits, costs, and usefulness of increasing managerial and organizational flexibility, discretion, and authority in exchange for improved performance through a waiver; and

“(2) an identification of any significant difficulties experienced by the pilot agencies in preparing proposed waivers.

“(d) For purposes of this section the definitions under section 1115(f) shall apply.”

(c) PERFORMANCE BUDGETING.—Chapter 11 of title 31, United States Code, is amended by inserting after section 1118 (as added by section 6 of this Act) the following new section:

**“§ 1119. Pilot projects for performance budgeting**

“(a) The Director of the Office of Management and Budget, after consultation with the head of each agency shall designate not less than five agencies as pilot projects in performance budgeting for fiscal years 1998 and 1999. At least three of the agencies shall be selected from those designated as pilot projects under section 1118, and shall also reflect a representative range of Government functions and capabilities in measuring and reporting program performance.

“(b) Pilot projects in the designated agencies shall cover the preparation of performance budgets. Such budgets shall present, for one or more of the major functions and operations of the agency, the varying levels of performance, including outcome-related performance, that would result from different budgeted amounts.

“(c) The Director of the Office of Management and Budget shall include, as an alternative budget presentation in the budget submitted under section 1105 for fiscal year 1999, the performance budgets of the designated agencies for this fiscal year.

“(d) No later than March 31, 2001, the Director of the Office of Management and Budget shall transmit a report to the President and to the Congress on the performance budgeting pilot projects which shall—

“(1) assess the feasibility and advisability of including a performance budget as part of the annual budget submitted under section 1105;

“(2) describe any difficulties encountered by the pilot agencies in preparing a performance budget;

“(3) recommend whether legislation requiring performance budgets should be proposed and the general provisions of any legislation; and

“(4) set forth any recommended changes in the other requirements of the Government Performance and Results Act of 1993, section 306 of title 5, sections 1105, 1115, 1116, 1117, and 9703 of this title, and this section.

“(e) After receipt of the report required under subsection (d), the Congress may specify that a performance budget be submitted as part of the annual budget submitted under section 1105.”

**SEC. 7. UNITED STATES POSTAL SERVICE.**

Part III of title 39, United States Code, is amended by adding at the end thereof the following new chapter:

**“CHAPTER 28—STRATEGIC PLANNING AND PERFORMANCE MANAGEMENT**

“Sec.

“2801. Definitions.

“2802. Strategic plans.

“2803. Performance plans.

“2804. Program performance reports.

“2805. Inherently Governmental functions.

**“§ 2801. Definitions**

“For purposes of this chapter the term—

“(1) ‘outcome measure’ refers to an assessment of the results of a program activity compared to its intended purpose;

“(2) ‘output measure’ refers to the tabulation, calculation, or recording of activity or effort and can be expressed in a quantitative or qualitative manner;

“(3) ‘performance goal’ means a target level of performance expressed as a tangible, measurable objective, against which actual achievement shall be compared, including a goal expressed as a quantitative standard, value, or rate;

“(4) ‘performance indicator’ refers to a particular value or characteristic used to measure output or outcome;

“(5) ‘program activity’ means a specific activity related to the mission of the Postal Service; and

“(6) ‘program evaluation’ means an assessment, through objective measurement and systematic analysis, of the manner and extent to which Postal Service programs achieve intended objectives.

**“§ 2802. Strategic plans**

“(a) No later than September 30, 1997, the Postal Service shall submit to the President and the Congress a strategic plan for its program activities. Such plan shall contain—

“(1) a comprehensive mission statement covering the major functions and operations of the Postal Service;

“(2) general goals and objectives, including outcome-related goals and objectives, for the major functions and operations of the Postal Service;

“(3) a description of how the goals and objectives are to be achieved, including a description of the operational processes, skills and technology, and the human, capital, information, and other resources required to meet those goals and objectives;

“(4) a description of how the performance goals included in the plan required under section 2803 shall be related to the general goals and objectives in the strategic plan;

“(5) an identification of those key factors external to the Postal Service and beyond its control that could significantly affect the achievement of the general goals and objectives; and

“(6) a description of the program evaluations used in establishing or revising general goals and objectives, with a schedule for future program evaluations.

“(b) The strategic plan shall cover a period of not less than five years forward from the fiscal year in which it is submitted, and shall be updated and revised at least every three years.

“(c) The performance plan required under section 2803 shall be consistent with the Postal Service’s strategic plan. A performance plan may not be submitted for a fiscal year not covered by a current strategic plan under this section.

“(d) When developing a strategic plan, the Postal Service shall solicit and consider the views and suggestions of those entities potentially affected by or interested in such a plan, and shall advise the Congress of the contents of the plan.

**“§ 2803. Performance plans**

“(a) The Postal Service shall prepare an annual performance plan covering each program activity set forth in the Postal Service budget, which shall be included in the comprehensive statement presented under section 2401(g) of this title. Such plan shall—

“(1) establish performance goals to define the level of performance to be achieved by a program activity;

“(2) express such goals in an objective, quantifiable, and measurable form unless an alternative form is used under subsection (b);

“(3) briefly describe the operational processes, skills and technology, and the human, capital, information, or other resources required to meet the performance goals;

“(4) establish performance indicators to be used in measuring or assessing the relevant outputs, service levels, and outcomes of each program activity;

“(5) provide a basis for comparing actual program results with the established performance goals; and

“(6) describe the means to be used to verify and validate measured values.

“(b) If the Postal Service determines that it is not feasible to express the performance goals for a particular program activity in an objective, quantifiable, and measurable form, the Postal Service may use an alternative form. Such alternative form shall—

“(1) include separate descriptive statements of—

“(A) a minimally effective program, and

“(B) a successful program,

with sufficient precision and in such terms that would allow for an accurate, independent determination of whether the program activity’s performance meets the criteria of either description; or

“(2) state why it is infeasible or impractical to express a performance goal in any form for the program activity.

“(c) In preparing a comprehensive and informative plan under this section, the Postal Service may aggregate, disaggregate, or consolidate program activities, except that any aggregation or consolidation may not omit or minimize the significance of any program activity constituting a major function or operation.

“(d) The Postal Service may prepare a non-public annex to its plan covering program activities or parts of program activities relating to—

“(1) the avoidance of interference with criminal prosecution;

or

“(2) matters otherwise exempt from public disclosure under section 410(c) of this title.

**“§ 2804. Program performance reports**

“(a) The Postal Service shall prepare a report on program performance for each fiscal year, which shall be included in the annual comprehensive statement presented under section 2401(g) of this title.

“(b)(1) The program performance report shall set forth the performance indicators established in the Postal Service performance plan, along with the actual program performance achieved compared with the performance goals expressed in the plan for that fiscal year.

“(2) If performance goals are specified by descriptive statements of a minimally effective program activity and a successful program activity, the results of such program shall be described in relationship to those categories, including whether the performance failed to meet the criteria of either category.

“(c) The report for fiscal year 2000 shall include actual results for the preceding fiscal year, the report for fiscal year 2001 shall include actual results for the two preceding fiscal years, and the report for fiscal year 2002 and all subsequent reports shall include actual results for the three preceding fiscal years.

“(d) Each report shall—

“(1) review the success of achieving the performance goals of the fiscal year;

“(2) evaluate the performance plan for the current fiscal year relative to the performance achieved towards the performance goals in the fiscal year covered by the report;

“(3) explain and describe, where a performance goal has not been met (including when a program activity’s performance is determined not to have met the criteria of a successful program activity under section 2803(b)(2))—

“(A) why the goal was not met;

“(B) those plans and schedules for achieving the established performance goal; and

“(C) if the performance goal is impractical or infeasible, why that is the case and what action is recommended; and

“(4) include the summary findings of those program evaluations completed during the fiscal year covered by the report.

**“§ 2805. Inherently Governmental functions**

“The functions and activities of this chapter shall be considered to be inherently Governmental functions. The drafting of strategic plans, performance plans, and program performance reports under this section shall be performed only by employees of the Postal Service.”

**SEC. 8. CONGRESSIONAL OVERSIGHT AND LEGISLATION.**

(a) IN GENERAL.—Nothing in this Act shall be construed as limiting the ability of Congress to establish, amend, suspend, or annul a performance goal. Any such action shall have the effect of superseding that goal in the plan submitted under section 1105(a)(29) of title 31, United States Code.

(b) GAO REPORT.—No later than June 1, 1997, the Comptroller General of the United States shall report to Congress on the implementation of this Act, including the prospects for compliance by Federal agencies beyond those participating as pilot projects under sections 1118 and 9704 of title 31, United States Code.

**SEC. 9. TRAINING.**

The Office of Personnel Management shall, in consultation with the Director of the Office of Management and Budget and the Comptroller General of the United States, develop a strategic planning and performance measurement training component for its management training program and otherwise provide managers with an orientation on the development and use of strategic planning and program performance measurement.

**SEC. 10. APPLICATION OF ACT.**

No provision or amendment made by this Act may be construed as—

(1) creating any right, privilege, benefit, or entitlement for any person who is not an officer or employee of the United States acting in such capacity, and no person who is not an officer or employee of the United States acting in such capacity shall have standing to file any civil action in a court of the United States to enforce any provision or amendment made by this Act; or

(2) superseding any statutory requirement, including any requirement under section 553 of title 5, United States Code.

**SEC. 11. TECHNICAL AND CONFORMING AMENDMENTS.**

(a) AMENDMENT TO TITLE 5, UNITED STATES CODE.—The table of sections for chapter 3 of title 5, United States Code, is amended by adding after the item relating to section 305 the following: “306. Strategic plans.”.

(b) AMENDMENTS TO TITLE 31, UNITED STATES CODE.—

(1) AMENDMENT TO CHAPTER 11.—The table of sections for chapter 11 of title 31, United States Code, is amended by adding after the item relating to section 1114 the following:

“1115. Performance plans.

“1116. Program performance reports.

“1117. Exemptions.

“1118. Pilot projects for performance goals.

“1119. Pilot projects for performance budgeting.”.

(2) AMENDMENT TO CHAPTER 97.—The table of sections for chapter 97 of title 31, United States Code, is amended by adding after the item relating to section 9702 the following:

“9703. Managerial accountability and flexibility.

“9704. Pilot projects for managerial accountability and flexibility.”.

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(c) AMENDMENT TO TITLE 39, UNITED STATES CODE.—The table of chapters for part III of title 39, United States Code, is amended by adding at the end thereof the following new item:

**“28. Strategic planning and performance management ..... 2801”.**

*Speaker of the House of Representatives.*

*Vice President of the United States and  
President of the Senate.*

“(h) LIMITED ENGLISH PROFICIENT CHILDREN.—

“(1) STUDY.—Not later than 1 year after the date of enactment of the Improving Head Start for School Readiness Act of 2007, the Secretary shall conduct a study on the status of limited English proficient children and their families participating in Head Start programs (including Early Head Start programs).

“(2) REPORT.—The Secretary shall prepare and submit to the Committee on Education and Labor of the House of Representatives and the Committee on Health, Education, Labor, and Pensions of the Senate, not later than September 30, 2010, a report containing the results of the study, including information on—

“(A) the demographics of limited English proficient children from birth through age 5, including the number of such children receiving Head Start services and Early Head Start services, and the geographic distribution of children described in this subparagraph;

“(B) the nature of the Head Start services and of the Early Head Start services provided to limited English proficient children and their families, including the types, content, duration, intensity, and costs of family services, language assistance, and educational services;

“(C) procedures in Head Start programs and Early Head Start programs for the assessment of language needs and the transition of limited English proficient children to kindergarten, including the extent to which such programs meet the requirements of section 642A for limited English proficient children;

“(D) the qualifications and training provided to Head Start teachers and Early Head Start teachers who serve limited English proficient children and their families;

“(E) the languages in which Head Start teachers and Early Head Start teachers are fluent, in relation to the population, and instructional needs, of the children served;

“(F) the rate of progress made by limited English proficient children and their families in Head Start programs and in Early Head Start programs, including—

“(i) the rate of progress made by limited English proficient children toward meeting the additional educational standards described in section 641A(a)(1)(B)(ii) while enrolled in such programs;

“(ii) a description of the type of assessment or assessments used to determine the rate of progress made by limited English proficient children;

“(iii) the correlation between such progress and the type and quality of instruction and educational programs provided to limited English proficient children; and

“(iv) the correlation between such progress and the health and family services provided by such programs to limited English proficient children and their families; and

“(G) the extent to which Head Start programs and Early Head Start programs make use of funds under section 640(a)(2)(D) to improve the quality of such services

provided to limited English proficient children and their families.

“(i) RESEARCH AND EVALUATION ACTIVITIES RELEVANT TO DIVERSE COMMUNITIES.—For purposes of conducting the study described in subsection (h), activities described in section 640(1)(5)(A), and other research and evaluation activities relevant to limited English proficient children and their families, migrant and seasonal farmworker families, and other families from diverse populations served by Head Start programs, the Secretary shall award, on a competitive basis, funds from amounts made available under section 640(a)(2)(D) to 1 or more organizations with a demonstrated capacity for serving and studying the populations involved.

“(j) REVIEW OF ASSESSMENTS.—

“(1) APPLICATION OF STUDY.—When the study on Developmental Outcomes and Assessments for Young Children by the National Academy of Sciences is made available to the Secretary, the Secretary shall—

“(A) integrate the results of the study, as appropriate and in accordance with paragraphs (2) and (3), into each assessment used in Head Start programs; and

“(B) use the results of the study to develop, inform, and revise as appropriate the standards and measures described in section 641A, consistent with section 641A(a)(2)(C)(ii).

“(2) INFORM AND REVISE.—In informing and revising any assessment used in the Head Start programs, the Secretary shall—

“(A) receive recommendations from the Panel on Developmental Outcomes and Assessments for Young Children of the National Academy of Sciences; and

“(B) with respect to the development or refinement of such assessment, ensure—

“(i) consistency with relevant, nationally recognized professional and technical standards;

“(ii) validity and reliability for all purposes for which assessments under this subchapter are designed and used;

“(iii) developmental and linguistic appropriateness of such assessments for children assessed, including children who are limited English proficient; and

“(iv) that the results can be used to improve the quality of, accountability of, and training and technical assistance in, Head Start programs.

“(3) ADDITIONAL REQUIREMENTS.—The Secretary, in carrying out the process described in paragraph (2), shall ensure that—

“(A) staff administering any assessments under this subchapter have received appropriate training to administer such assessments;

“(B) appropriate accommodations for children with disabilities and children who are limited English proficient are made;

“(C) the English and Spanish (and any other language, as appropriate) forms of such assessments are valid and reliable in the languages in which they are administered; and



**APPENDIX B**  
**FEDERAL REGISTER NOTICES**



parents or guardians in the spring of 2009, 2010, and 2012. A small set of additional items will provide information on the parents' perception

of the children's well-being. The tracking updates will primarily be conducted over the telephone with in-person follow-up as necessary.

*Respondents:* Treatment and control group members in the Head Start Impact Study.

**ANNUAL BURDEN ESTIMATES**

Instrument	Number of respondents	Number of responses per respondent	Average burden hours per response	Total burden hours
Tracking Interview .....	4,667	1	.25	1,166.75
Estimated Total Annual Burden Hours .....				1,166.75

*Additional Information:*

Copies of the proposed collection may be obtained by writing to the Administration for Children and Families, Office of Planning, Research and Evaluation, 370 L'Enfant Promenade, SW., Washington, DC 20447, Attn: ACF Reports Clearance Officer. E-mail address: [OPREInfoCollection@acf.hhs.gov](mailto:OPREInfoCollection@acf.hhs.gov). All requests should be identified by the title of the information collection.

*OMB Comment:*

OMB is required to make a decision concerning the collection of information between 30 and 60 days after publication of this document in the **Federal Register**. Therefore, a comment is best assured of having its full effect if OMB receives it within 30 days of publication.

Written comments and recommendations for the proposed information collection should be sent directly to the following:

Office of Management and Budget, Paperwork Reduction Project. FAX: 202-395-6974. Attn: Desk Officer for ACF.

Dated: June 9, 2008.

**Brendan C. Kelly,**

*OPRE Reports Clearance Officer.*

[FR Doc. E8-13432 Filed 6-17-08; 8:45 am]

**BILLING CODE 4184-01-M**

**DEPARTMENT OF HEALTH AND HUMAN SERVICES**

**Administration for Children and Families**

**Proposed Information Collection Activity; Comment Request**

**Proposed Project**

*Title:* Early Head Start Family and Child Experiences Survey (Baby FACES).

*OMB No.* New Collection

*Description:* The Administration for Children and Families (ACF), U.S. Department of Health and Human Services, is conducting a descriptive study of Early Head Start Programs (Early Head Start Family and Child Experiences Survey, or Baby FACES). Baby FACES is a longitudinal study of a nationally representative sample of programs and children in two cohorts (perinatal and age 1) that will collect information about programs, services, families, and children. Data for Baby FACES will be annually collected through interviews with parents, teachers, home visitors, and program directors/managers, as well as direct child assessments, videotaped parent child interactions, and observations of the home environment when children

are two and three years old. Data collection will also include quality observations of child care center classrooms and home visits conducted by program staff.

Data will be collected on a sample of approximately 2,000 children and families selected at random from 90 Early Head Start programs. Over the life of the project, Baby FACES will involve four waves of data collection, ending when the second cohort of children (perinatal cohort) reaches 36 months of age. This information collection request covers the first three years of data collection. All waves of data collection will acquire program level information through an hour-long program director interview. Additionally, staff from all programs will complete a simple service tracking form every week for each child in the sample for all years to determine what services are being delivered to families.

*Respondents:* Parents of EHS Children, EHS Children, EHS Teachers, Home Visitors, and Program Directors/Managers.

**ANNUAL BURDEN ESTIMATES**

Instrument	Annual number of respondents	Number of responses per respondent	Average burden hour per response	Estimated annual burden hours
Parent Interview .....	1,715	1	1	1,715
Program Director/Manager Interview .....	90	1	1	90
Child Care Provider Interview .....	180	1	1	180
Home Visitor Interview .....	270	1	1	270
Teacher/Home Visitor Child Rating .....	450	2.6	0.25	293
Family Service Tracking .....	450	136	0.1666	10,200
Child Direct Assessment .....	907	1	1	907
Parent-Child Interaction .....	907	1	0.25	227
Total Burden Hours .....				12,975

In compliance with the requirements of Section 3506(c)(2)(A) of the Paperwork Reduction Act of 1995, the Administration for Children and Families is soliciting public comment on the specific aspects of the information collection described above. Copies of the proposed collection of information can be obtained and comments may be forwarded by writing to the Administration for Children and Families, Office of Planning, Research and Evaluation, 370 L'Enfant Promenade, SW., Washington, DC 20447, Attn: ACF Reports Clearance Officer. E-mail address: [OPREinfocollection@acf.hhs.gov](mailto:OPREinfocollection@acf.hhs.gov). All requests should be identified by the title of the information collection.

The Department specifically requests comments on (a) Whether the proposed collection of information is necessary for the proper performance of the functions of the agency, including whether the information will have practical utility; (b) the accuracy of the agency's estimate of the burden of the proposed collection of information; (c) the quality, utility, and clarity of the information to be collected; and (d) ways to minimize the burden of the collection of information on

respondents, including through the use of automated collection techniques or other forms of information technology. Consideration will be given to comments and suggestions submitted within 60 days of this publication.

Dated: June 11, 2008.

**Brendan C. Kelly,**

*OPRE Reports Clearance Officer.*

[FR Doc. E8-13658 Filed 6-17-08; 8:45 am]

**BILLING CODE 4184-01-M**

**DEPARTMENT OF HEALTH AND HUMAN SERVICES**

**Administration for Children and Families**

**Submission for OMB Review; Comment Request Title: Community Based Child Abuse Prevention Program (CBCAP).**

*OMB No.:* 0970-0155.

*Description:* The Program Instruction, prepared in response to the enactment of the Community-Based Grants for the Prevention of Child Abuse and Neglect (administratively known as the Community Based Child Abuse Prevention Program, (CECAP), as set

forth in Title II of Pub. L. 108 36, Child Abuse Prevention and Treatment Act Amendments of 2003, and in the process of reauthorization, provides direction to the States and Territories to accomplish the purposes of (1) supporting community-based efforts to develop, operate, expand, and where appropriate to network, initiatives aimed at the prevention of child abuse and neglect, and to support networks of coordinated resources and activities to better strengthen and support families to reduce the likelihood of child abuse and neglect, and; (2) fostering an understanding, appreciation, and knowledge of diverse populations in order to be effective in preventing and treating child abuse and neglect. This Program Instruction contains information collection requirements that are found in Pub. L. 108-36 at Sections 201; 202; 203; 205; 206; 207; and pursuant to receiving a grant award. The information submitted will be used by the agency to ensure compliance with the statute, complete the calculation of the grant award entitlement, and provide training and technical assistance to the grantee.

*Respondents:* State Governments.

**ANNUAL BURDEN ESTIMATES**

Instrument	Number of respondents	Number of responses per respondent	Average burden hours per response	Total burden hours
Application .....	52	1	40	2,080
Annual Report .....	52	1	24	1,248
<b>Estimated Total Annual Burden Hours .....</b>				<b>3,328</b>

**Additional Information:**

Copies of the proposed collection may be obtained by writing to the Administration for Children and Families, Office of Administration, Office of Information Services, 370 L'Enfant Promenade, SW., Washington, DC 20447, Attn: ACF Reports Clearance Officer. All requests should be identified by the title of the information collection. E-mail address: [infocollection@acf.hhs.gov](mailto:infocollection@acf.hhs.gov).

**OMB Comment:**

OMB is required to make a decision concerning the collection of information between 30 and 60 days after publication of this document in the **Federal Register**. Therefore, a comment is best assured of having its full effect if OMB receives it within 30 days of publication. Written comments and recommendations for the proposed information collection should be sent directly to the following:

Office of Management and Budget, Paperwork Reduction Project. Fax: 202-395-6974. Attn: Desk Officer for the Administration for Children and Families.

Dated: June 11, 2008.

**Janean Chambers,**

*Reports Clearance Officer.*

[FR Doc. E8-13661 Filed 6-17-08; 8:45 am]

**BILLING CODE 4184-01-M**

**DEPARTMENT OF HEALTH AND HUMAN SERVICES**

**National Institutes of Health**

**Government-Owned Inventions; Availability for Licensing**

**AGENCY:** National Institutes of Health, Public Health Service, HHS.

**ACTION:** Notice.

**SUMMARY:** The inventions listed below are owned by an agency of the U.S. Government and are available for licensing in the U.S. in accordance with 35 U.S.C. 207 to achieve expeditious commercialization of results of federally-funded research and development. Foreign patent applications are filed on selected inventions to extend market coverage for companies and may also be available for licensing.

**ADDRESSES:** Licensing information and copies of the U.S. patent applications listed below may be obtained by writing to the indicated licensing contact at the Office of Technology Transfer, National Institutes of Health, 6011 Executive Boulevard, Suite 325, Rockville, Maryland 20852-3804; telephone: 301/496-7057; fax: 301/402-0220. A signed Confidential Disclosure Agreement will be required to receive copies of the patent applications.

APPENDIX B PLACEHOLDER FOR 2ND PACKAGE



## **APPENDIX C**

### **RECRUITING MATERIALS**

**1. Consent Letter**

**2. Program Brochure**

**3. Fact Sheet**

**4. Parent Brochure**

**5. Advance Letter**

**6. Parent Interview Advance Letter Year 1**

**7. Parent Interview Advance Letter Year 2**





Spring 2009

## **BABY FACES 2009 CONSENT FORM**

We are inviting you and your child to participate in the Early Head Start Family and Child Experiences Survey (Baby FACES). The purpose of Baby FACES is to learn more about families in Early Head Start and the kinds of services Early Head Start provides to families with infants and toddlers. Information from this study will be used to help Early Head Start better serve all children and their families. Baby FACES is sponsored by the Administration for Children and Families of the U.S. Department of Health and Human Services and is being conducted by Mathematica Policy Research, Inc. (MPR), an independent research company.

### ***If you agree to participate and are one of the families selected for the study...***

**We will interview you** in spring 2009, and each spring your child is enrolled in Early Head Start until he or she is 3 years old. We will ask you questions about the kinds of things your child can do, about your family's activities and routines, about your feelings, and about your health. These interviews will take about one hour and will be conducted in your language. We will give you \$35 after each interview to thank you for your help.

**We will ask your child to do some activities** so we can find out how Early Head Start helps children learn and grow. When your child is age 2 and again at age 3, we will ask him or her to take part in some fun activities, such as doing a puzzle, with a trained researcher. These activities take about 30 minutes. Each time your child participates, he or she will receive a special gift as a thank-you.

**We will ask your child's Early Head Start primary caregivers or home visitors some questions** so that we can learn more about the progress your child is making.

**You can choose whether you and your child will be part of the study.** Your participation is completely voluntary. Your decision will not influence the Early Head Start services you and your child are receiving. No one from the Early Head Start program will see or hear your answers or be informed about how your child does on the activities. All of the study results will be reported for groups of parents and children, and no results will be reported for individuals. There is one exception—if we learn that a child has been abused or is endangered, we are required by law to report this to the appropriate authorities, which could result in official action in accordance with state law.

If you have any questions about the Baby FACES study, please call Cassandra Meagher, Survey Director, toll free at xxx-xxx-xxxx. If you have any questions about your rights as a research volunteer, please call [NAME] toll free at xxx-xxx-xxxx.

Please sign the enclosed consent form and give it to your Early Head Start home visitor or primary caregiver. Thank you for helping us.

**I have read this consent form and understand what I am being asked to do.**

**I agree that my child and I will participate in this study. I also agree to have Baby FACES researchers collect some information from my child’s home visitors or primary caregivers in Early Head Start. I will be paid \$35 each time I am interviewed, and I will also receive a gift for my child each time my child is assessed. I may withdraw this consent at any time without penalty.**

Signature of Parent/Guardian who will participate in the interview: _____	Date:  __ _  /  __ _  /  __ _  Month Day Year
Printed Name of Parent/Guardian who will participate in the interview: _____ (PRINT)	
Relationship to Child: <input type="checkbox"/> Mother <input type="checkbox"/> Father <input type="checkbox"/> Grandmother <input type="checkbox"/> Other Guardian	
Child’s Name: _____ (PRINT)	Child’s Birthday:  __ _  /  __ _  /  __ _  Month Day Year
What language does your child use most often at home? <input type="checkbox"/> English <input type="checkbox"/> Spanish <input type="checkbox"/> Other _____	
Please telephone me at this number to make my appointment: ( _____ ) _____ - _____ Area Code	
Please interview me in: <input type="checkbox"/> English <input type="checkbox"/> Spanish <input type="checkbox"/> Other _____	

**To help us arrange for your interview, please circle the times you are usually available.**

PLEASE CIRCLE MORE THAN ONE TIME				
Monday	Tuesday	Wednesday	Thursday	Friday
7:00 AM – 10:00 AM	7:00 AM – 10:00 AM	7:00 AM – 10:00 AM	7:00 AM – 10:00 AM	7:00 AM – 10:00 AM
10:00 AM – 1:00 PM	10:00 AM – 1:00 PM	10:00 AM – 1:00 PM	10:00 AM – 1:00 PM	10:00 AM – 1:00 PM
1:00 PM – 5:00 PM	1:00 PM – 5:00 PM	1:00 PM – 5:00 PM	1:00 PM – 5:00 PM	1:00 PM – 5:00 PM
5:00 PM – 7:00 PM	5:00 PM – 7:00 PM	5:00 PM – 7:00 PM	5:00 PM – 7:00 PM	5:00 PM – 7:00 PM
After 7:00 PM	After 7:00 PM	After 7:00 PM	After 7:00 PM	After 7:00 PM

White Copy to MPR

Yellow Copy to On-Site Coordinator

Pink Copy to Parent



# babyFACES

The Early Head Start Family and Child Experiences Survey



## What is Early Head Start?

Early Head Start is a federally funded, community-based program for low-income families with infants and toddlers and pregnant women. Its goal is to promote healthy prenatal outcomes for pregnant women, enhance the development of very young children, and support child and family well-being. Early Head Start provides families with early education services, home visits, parenting education, comprehensive health and mental health services, and high-quality child care.

[www.acf.hhs.gov/programs/opre](http://www.acf.hhs.gov/programs/opre)

### What is Baby FACES?

Baby FACES - the Early Head Start Family and Child Experiences Survey - will provide descriptions of the characteristics, experiences, and outcomes for children and families served by Early Head Start. Baby FACES also will collect information on Early Head Start program services and delivery. All of this information will be used to help Early Head Start improve services to infants and toddlers and their families.

### Who will participate in Baby FACES?

Approximately 2,100 children and families from 90 Early Head Start programs from around the country will be randomly selected to participate in the study. Children from each selected program will be chosen by chance from two cohorts (perinatal and age 1). The study will continue until the pre-birth children are 3 years old. Participation in the study is completely voluntary for programs and families.

### What kind of information will be collected?

Information will be gathered through direct child assessments and interviews with parents, teachers, home visitors, and program directors. The study also will include observations of classrooms, home visits, parent-child interactions, and the home environment as well as child ratings by primary caregivers and teachers.

### When will the information be collected?

During the course of the study, Baby FACES will collect information on programs and families in spring over four years 2009-2012.

### Who is Conducting Baby FACES?

Mathematica Policy Research (MPR), Incorporated is conducting the study under contract to the Administration for Children and Families, U.S. Department of Health and Human Services.

If you would like more information about **BabyFACES** or other Early Head Start research, visit the Office of Planning, Research and Evaluation web site at:

[www.acf.hhs.gov/programs/opre](http://www.acf.hhs.gov/programs/opre)

## ***Early Head Start Family and Child Experiences Survey (Baby FACES)***

### **The Research Team**

Since its founding in 1995, Early Head Start has provided program services for low-income pregnant women and families with infants and toddlers based on a foundation of rigorous research combined with an emphasis on continuous program improvement. The Early Head Start Family and Child Experiences Study (Baby FACES) is the next step in a comprehensive research agenda aimed at maintaining an up-to-date, extensive knowledge base to support Early Head Start policies and programs.

Baby FACES is a periodic, longitudinal study designed to be a reliable source of data for describing the experiences of Early Head Start children and their families. *Your program is invited to participate in this national study sponsored by the Administration for Children and Families.*

The study will be conducted by Mathematica Policy Research, Inc. (MPR), a respected, independent policy research organization whose studies of early childhood and education initiatives, and other programs, have been used to inform national policymakers for more than 35 years. MPR is consulting with nationally recognized experts in early childhood and Early Head Start programs including Tammy Mann, of ZERO TO THREE; Judith Jerald, of Save the Children; and Brenda Jones Harden, of the University of Maryland.

To meet the challenges and realize the full promise of Baby FACES, MPR has assembled an exemplary team with knowledge of and experience in Early Head Start and early childhood research and practice. Our study design will ensure both high-quality and timely Baby FACES data and enhance its potential to provide a profile of the Early Head Start program and its participants. We are committed to translating research findings into formats that programs and policymakers can use.

### **Selecting Programs**

The study will include 90 randomly selected, nationally representative Early Head Start programs that meet eligibility criteria. *Programs' eligibility will be determined from the most recently available Head Start Program Information Report (PIR) database (program year 2006–2007).* Programs must directly provide Early Head Start services to children to be included in the study.

### **Selecting Families**

We will select a representative sample of families with children in two age cohorts: perinatal and age 1.

### **Collecting Information**

Baby FACES will use a comprehensive set of data collection instruments designed to assess program services and implementation, children's growth and development, and parent-child relationship and home environment quality. A team of Mathematica staff will gather the data through direct child assessments and interviews with parents, primary caregivers, home visitors, and program directors. The study will also include observations of child care center classrooms, home visits, and the home environment, and information on services that families receive throughout the year (provided by program staff).

**On-Site Assistance**

We will establish a cooperative partnership with an on-site coordinator (OSC) from each program. We will ask the OSC to help with getting consent from families to participate in the study, scheduling child assessments, setting up parent interviews, and helping to collect information on services families receive. Our plan will detail procedures for scheduling make-up visits for children who were absent during the data collection week; for interviewing in person, or by telephone, parents who could not be interviewed during our main visit to the site; and for completing family services tracking information.

**Confidentiality**

MPR is committed to respecting the privacy of respondents and maintaining the confidentiality of the data entrusted to us. Having conducted many studies involving disadvantaged populations, MPR is experienced in implementing stringent security procedures. Study results will be reported only in group form; we will not present data on child performance by primary caregiver, by class, or by program. In this way, the confidentiality of children, families, primary caregivers, and programs will be carefully guarded. At the beginning of the study, we will inform parents about the study and our confidentiality policies; we will also distribute consent forms that allow parents to remove their child from the study if they so choose. The survey director will be responsible for making sure that interviewers and assessment staff understand the necessity of maintaining strict confidentiality. All staff involved with the study will sign confidentiality pledges.

**To Find Out More**

Contact Cheri Vogel, project director, at Mathematica Policy Research, Inc. (MPR), (609) 716-4546 : [cvogel@mathematica-mpr.com](mailto:cvogel@mathematica-mpr.com).

# Early Head Start Family and Child Experiences Survey

## Baby FACES Family Brochure

Experiences in Early Head Start



U.S. Department of Health and Human Services  
Administration for Children and Families





The Early Head Start Family and Child Experiences Survey (Baby FACES) is the largest national study of Early Head Start ever undertaken to gather information about families served by Early Head Start. The Office of Head Start and your local Early Head Start program are working hard to improve services—Baby FACES is helping us learn how we are doing.

To understand Early Head Start better, the Baby FACES research team collects information in many different ways. If your family is selected, we will ask to interview you each spring that your child is in Early Head Start. We will ask you questions about yourself, your family, and your experience with Early Head Start.

Participating families will be interviewed once a year and receive \$35 for each interview. We will also meet with your child each year and ask him or her to do a set of activities so that we can learn about children’s development. The activities we will ask your child to do are the kinds of things children do at Early Head Start. You will also receive a gift for your child each time he or she does these activities.

All the answers you and your child give are confidential. They will never be shared with anyone from Early Head Start. The decision to take part in the study is yours. However, if you decide not to be part of Baby FACES (even though we hope you will), it will not affect your or your child’s Early Head Start participation.

Baby FACES is sponsored by the Administration for Children and Families, the government agency which oversees Early Head Start. The work is being conducted by Mathematica Policy Research, Inc. (MPR). All staff members working on Baby FACES have lots of experience doing research with young children and their families, and have been fully trained for this study.

If you have any questions about Baby FACES, you may call Mathematica’s toll-free number X-XXX-XXX-XXXX between 9 A.M. and 9 P.M. Eastern Time. If you call after these hours, you may leave a message and we will return your call.

More than 2,000 families and children from Early Head Start programs across the nation are participating in the first round of Baby FACES. We hope yours will be one of the families helping us in Baby FACES.

Thank you for your participation! Your help is valuable to us and to all Early Head Start children and families!

Spring 2009

Dear [FILL PARENT]:

[FILL Program NAME] is participating in the Early Head Start Family and Child Experiences Survey (Baby FACES). This study will gather information that will help the Early Head Start program improve services to families with infants and toddlers. The survey is sponsored by the Administration for Children and Families of the U.S. Department of Health and Human Services and is being conducted by Mathematica Policy Research, Inc., an independent research company. This is a very important study, and we strongly encourage selected families to participate if they can!

If you consent to be in the study and your family is selected to participate in it, we will interview you in spring 2009, and each spring thereafter that your child is enrolled in Early Head Start until he or she is 3 years old. We will ask you questions about the kinds of things your child can do, about your family's activities and rules, about your feelings, and about your health. These interviews will take about *one hour* and will be conducted in your language. We will give you \$35 each time you are interviewed to thank you for your help.

So that Baby FACES can find out how Early Head Start helps children learn and grow, each year we will also ask your child to complete some fun activities at his or her child care center or through a home visit. These activities take about 30 minutes. We will also ask your child's Early Head Start primary caregiver or home visitor how your child is progressing, and we will measure your child's height and weight. Each time your child participates, your child will receive a special thank-you gift.

You can choose whether or not you and your child will be part of the study. Your decision about participation will not affect the Early Head Start services you and your child are receiving. Also, we want to assure you that all information from this study will be strictly confidential. Nothing that you share with us will ever be connected with your name or your child's name. The information will not be shared with your Early Head Start program and will not be passed on to any school or government agency in a way that can be connected with you. The information that is collected will appear only in reports in which individual names are never used and in which individuals are never identified. There is one exception—if we learn that a child has been abused or is endangered we must report this to the appropriate authorities, which could result in official action in accordance with state law.

If you have any questions about the Baby FACES study, please call me toll free at [xxx-xxx-xxxx]. I would be happy to talk with you. If you have any questions about your rights as a research volunteer, please call XXXX toll free at [xxx-xxx-xxxx].

Please sign the attached consent form and give it to your Early Head Start home visitor or primary caregiver at the Early Head Start program. Thank you for helping us.

Sincerely,

[MPR Baby FACES COORDINATOR]



Spring 2009

Dear [FILL PARENT]:

Thank you for agreeing to participate in the Early Head Start Family and Child Experiences Survey (Baby FACES). This study will gather information that will help the Early Head Start program improve services to families with infants and toddlers. The survey is sponsored by the Administration for Children and Families of the U.S. Department of Health and Human Services and is being conducted by Mathematica Policy Research, Inc., an independent research company.

As part of the study, we are interviewing families in the Early Head Start Family and Child Experiences Survey (Baby FACES). In about one week, an interviewer from Mathematica will call to ask you questions about the kinds of things your child can do, about some of your family's activities and rules, about some of your feelings, and about your health. This interview will take about *one hour* and will be conducted in your language. We will give you \$35 and a book for your child after each interview to thank you for your help.

If you prefer, we can set up an appointment to interview you in-person when our staff visits your child's Early Head Start program [DATE OF FIELD VISIT].

We want to assure you that any information from this study will be strictly confidential. None of the information will ever be connected with your name or your child's name. The information will not be shared with your Early Head Start program and will not be passed on to any school or government agency in a way that can be connected with an individual family or child.

If you have any questions about the Baby FACES study, please call me toll free at [xxx-xxx-xxxx]. I would be happy to talk with you. If you have any questions about your rights as a research volunteer, please call XXXX toll free at [xxx-xxx-xxxx].

Sincerely,

[MPR Baby FACES COORDINATOR]



Baby FACES

Spring 2010

Dear [FILL PARENT]:

Last spring, you and your child, along with your child's Early Head Start program, participated in the Early Head Start Family and Child Experiences Survey (Baby FACES). The Baby FACES study is sponsored by the Administration for Children and Families of the U.S. Department of Health and Human Services. Mathematica Policy Research, Inc., an independent research company, is conducting Baby FACES. The study is gathering information that will help the Early Head Start program improve services to families with infants and toddlers.

Our staff will be contacting you in about one week to conduct an interview similar to the one you participated in last spring. We will ask you questions about the kinds of things your child can do, about some of your family's activities, about some of your feelings, and about your health. The interview will take about one hour and can be done by telephone, or if you prefer, we can set up an appointment to interview you in-person during our visit to your child's Early Head Start program on [DATE OF FIELD VISIT]. The interview will be conducted in your language, and we will give you \$35 and a book for your child to thank you for your help.

When we complete your interview over the phone or schedule an appointment for an in-person interview, we will also schedule a home visit for the week of [DATE OF FIELD VISIT]. Baby FACES wants to find out how Early Head Start programs help children learn and grow and how the Early Head Start services help parents learn to teach their children new skills. During the home visit, the Mathematica interviewer will do some fun activities with you and your child, such as playing with a toy farm or looking at a new book, to see how you and your child play together.

We want to assure you that any information from this study will be strictly confidential. The information will not be shared with your Early Head Start program and will not be passed on to any school or government agency in a way that can be connected with an individual family or child.

If you have any questions about the Baby FACES study, please call me toll free at [xxx-xxx-xxxx]. I would be happy to talk with you. If you have any questions about your rights as a research volunteer, please call XXXX toll free at [xxx-xxx-xxxx].

Sincerely,

[MPR Baby FACES COORDINATOR]