

**Head Start Family and Child
Experiences Survey (FACES
2014–2018) OMB Supporting
Statement for Recruitment of
Programs and Selecting Centers**

Part A: Justification

February 2014

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A. JUSTIFICATION

The Office of Planning, Research and Evaluation (OPRE), Administration for Children and Families (ACF), U.S. Department of Health and Human Services (HHS), is proposing to collect data for a new round of the Head Start Family and Child Experiences Survey (FACES). FACES 2014–2018 features a new “Core Plus” study design. Through this design, FACES Core studies will provide data on a set of key indicators more rapidly and with greater frequency than in past rounds of FACES, and will allow for studying more complex issues and topics in greater detail and with increased efficiency (Plus studies). The overall design of the FACES 2014–2018 Core and the procedures that are used to select and recruit the sample and conduct data collection are, for the most part, similar to those used in FACES 2009 (OMB number 0970-0151). ACF requests permission to contact 230 Head Start programs that will be selected to participate in FACES 2014–2018 for the purpose of gathering information that will be used (1) to develop a sampling frame of Head Start centers in each program, and (2) to facilitate the selection of the center and classroom samples and, for a subsample of programs, the selection of child samples. In this package, we present the sampling plans for all these levels and the procedures for recruiting programs and selecting centers in 2014 and contacting them again in 2016. A separate package will be submitted to request clearance for the FACES 2014–2018 data collection, including selecting classrooms and children for the study and gathering consent for children, data collection instruments and procedures, data analyses, and the reporting of study findings.

A.1. Circumstances Making Information Collection Necessary

a. Background

ACF has contracted with Mathematica Policy Research (Mathematica) and its subcontractors, Juárez and Associates and Educational Testing Service, under contract number HHSP23320095642WC/HHSP2337052T, to collect information on Head Start Performance Measures. FACES 2014–2018 extends a previously approved data collection program (OMB number 0970-0151) to a new sample of Head Start programs, families, and children. FACES 2014–2018, similar to previous FACES rounds, will collect information from a national probability sample of Head Start programs to ascertain what progress Head Start has made toward meeting program performance goals. There are two legislative bases for the FACES data collection: the Government Performance and Results Act of 1993 (P.L. 103-62), requiring that the Office of Head Start (OHS) move expeditiously toward development and testing of Head Start Performance Measures, and the Improving Head Start for School Readiness Act of 2007 (P.L. 110-134), outlining requirements on monitoring, research, and standards for Head Start. FACES provides the mechanism for collecting data on nationally representative samples of programs, children, and families served by Head Start in order to provide OHS, other federal government agencies, local programs, and the public with valid and reliable national information.

b. Overview of the Study

In 2014, FACES enters its 17th year of serving as a source of timely, periodic, contextualized data about the national Head Start program and its participants. OPRE and OHS engaged in a comprehensive redesign process to renovate FACES for improved effectiveness and efficiency. Enhanced flexibility and responsiveness are central features of the new design so

FACES will be a fluid and responsive data collection system to meet the evolving policy and programmatic needs of Head Start. Built on a foundation constructed to report on key characteristics and indicators of programs, classrooms, and child outcomes (Core studies), FACES 2014–2018 also provides the opportunity for several types of integrated Plus studies. These could include methodological inquiries, topical studies, and special studies of greater complexity. More explicitly than past rounds of FACES, the Core Plus study design meets the need for a systems change perspective—one designed to measure an interconnected system in which decisions at one level act as drivers or inhibitors at the next level. It also embodies a continuous program-improvement ethic—the elements measured are those that Head Start has the capacity to change and refine over time. Thus, FACES 2014–2018 represents a major step toward supporting the development of improved services at all levels of the Head Start program.

Approximately 230 Head Start programs and 460 Head Start centers will be selected to participate in FACES 2014–2018. The Core will include a nationally representative sample of 180 programs; an additional 50 programs may be selected for Plus studies. As presented in Figure A.1, the Core Plus design features two Core studies—the Classroom + Child Outcomes Core and the Classroom Core—and Plus studies to include additional survey content of policy or programmatic interest to be determined.

Figure A.1. FACES 2014–2018 Study Structure

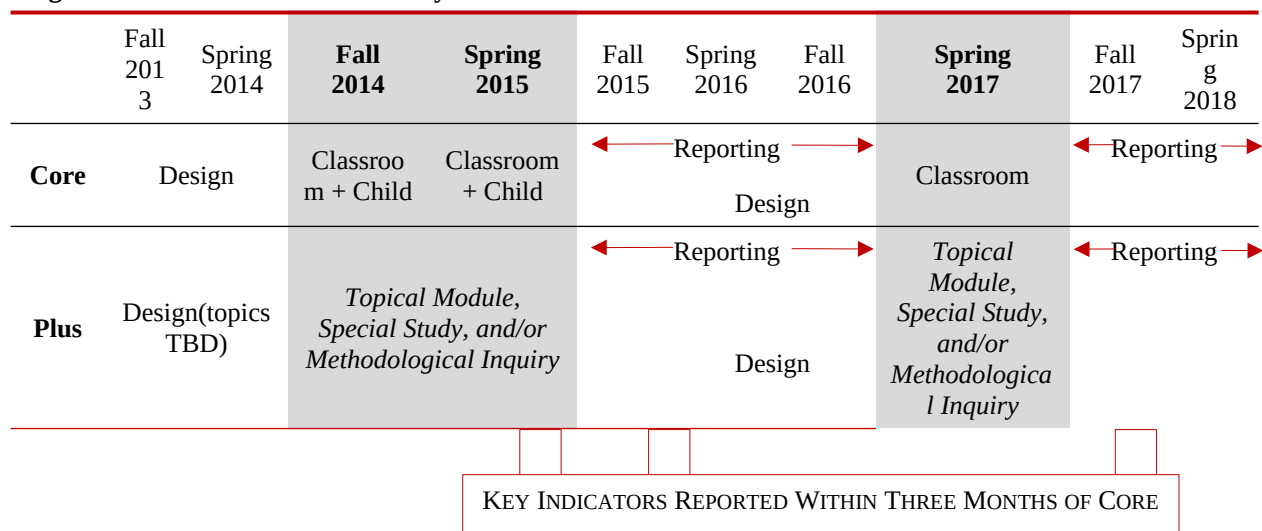


Table A.1 provides an overview of the periodicity, data sources, and number of programs included in each Core study. The Classroom + Child Outcomes Core will occur in fall 2014 and spring 2015. At both time points, FACES will assess the school readiness skills of 2,400 Head Start children from 60 of the 180 programs, survey their parents, and ask the children’s teachers to rate children’s social and emotional skills. In spring 2015, the number of programs in the FACES sample will increase from the 60 that are used to collect data on children’s school readiness outcomes to all 180 programs for the purpose of conducting observations in 720 Head Start classrooms. Surveys with program directors, center directors, and teachers will also be conducted in the spring. Therefore, the Classroom + Child Outcomes Core collects child-level data along with program and classroom data from 60 programs while only program and classroom data is gathered from an additional 120 programs. In spring 2017, the Classroom Core will be conducted focusing on program and classroom data collection only for all 180 programs.

Table A.1. FACES 2014-2018 Core Studies by Level of Data Collected

Core Study	Level of Data			
	Program/Center	Classroom	Child	Parent/Family
Classroom + Child Outcomes Core	<p>Periodicity: spring 2015</p> <p>Source: program and center director surveys</p> <p>Number of programs: 180</p>	<p>Periodicity: spring 2015</p> <p>Source: teacher surveys and classroom observations</p> <p>Number of programs: 180</p>	<p>Periodicity: fall 2014 and spring 2015</p> <p>Source: direct child assessments, parent surveys, and teacher child reports</p> <p>Number of programs: 60</p>	<p>Periodicity: fall 2014 and spring 2015</p> <p>Source: parent surveys</p> <p>Number of programs: 60</p>
Classroom Core	<p>Periodicity: spring 2017</p> <p>Source: program and center director surveys</p> <p>Number of programs: 180</p>	<p>Periodicity: spring 2017</p> <p>Source: teacher surveys and classroom observations</p> <p>Number of programs: 180</p>	NA	NA

NA = not available. These data are not collected as part of this Core study.

The goal of both Core studies is to describe (1) the quality and characteristics of Head Start classrooms, programs, and staff for specific program years; (2) the changes or trends in the quality and characteristics of classrooms, programs, and staff over time; and (3) the factors or characteristics that predict differences in classroom quality. The Classroom + Child Outcomes Core study also adds a focus on describing (4) the school readiness skills and family characteristics of Head Start children for specific program years; (5) the changes or trends in children’s outcomes and family characteristics over time; and (6) the factors or characteristics at multiple levels that predict differences in children’s outcomes. Across the two Core studies, several types of questions will be addressed, to include the following:

- What are the characteristics and observed quality of Head Start classrooms? Are these improving over time?
- What are the characteristics and qualifications of Head Start teachers and management staff? Are these changing over time?
- What are the characteristics of Head Start programs? Are these changing over time?
- Does classroom quality vary by characteristics of programs, teachers, or classrooms?
- What are the demographic characteristics and home environments of children and families served by Head Start? Are these changing over time?
- What are the average school readiness skills of the population of Head Start children in fall and spring of the Head Start year? How do Head Start children compare with children of similar ages in the general population¹?

¹ Head Start children will be compared to publisher normative data for same-age children.

- What is the association between observed classroom quality and children's school readiness skills? Between child and family characteristics and children's school readiness skills?

A.2. Purpose and Use of the Information Collection

To achieve the goals of an efficient, nationally representative sample of Head Start classrooms and children, FACES 2014–2018, as all earlier rounds, uses a multistage sample design with four stages: (1) Head Start programs, (2) centers within programs, (3) classes within centers, and (4) children within classes. Ultimately, the FACES 2014–2018 Core sample will include about 180 programs, 360 centers, 720 classrooms, and, from 60 of the programs, 2,400 3- and 4-year-olds and their families who will be selected to participate.

Head Start programs will be selected in late winter 2014 from the Head Start Program Information Report (PIR) database for program year 2012–2013 (the most current PIR available at the time of sampling). For the 60 programs participating in child-level data collection, we will begin recruitment activities in spring 2014. The other 120 programs will be contacted in fall 2014 so that data collection will commence in spring 2015.

Because no frame of Head Start centers currently exists, we will ask each program in the sample to provide (1) the number of classrooms in the center, (2) the total number of children enrolled in the center, and (3) the approximate percentage of dual language learner children enrolled in the center. We will also ask the program for information that will help to prepare for the data collection site visits such as hours of operation and identify a person who will help study staff select the classroom and child samples and obtain consents from the parents of the sampled children. For the 60 programs participating in the child-level data collection, it is necessary to collect this information in spring 2014 while program offices are open in order to stay on schedule for a fall baseline data collection. We will gather this information as part of:

1. A telephone script with Head Start program directors
2. A telephone script with a Head Start staff person (to be named an On-Site Coordinator) to serve as a liaison between the program and the study team

The steps that will be taken to recruit programs and to select center samples are described in detail below. The same steps will be followed regardless of whether a program is chosen for child-level data collection or not.

ACF intends to send letters to the program directors of the selected Head Start programs. The letter, signed by the Acting Director of the Office of Head Start, will contain a description of the study goals, an explanation of the importance of the study, and an introduction to the study team who will be doing the study on ACF's behalf (Appendix A-1). Next, program directors will receive a letter from the Mathematica project director with more details about the study (Appendix A-2). The letter will contain a description of what participation entails for programs (such as putting together a list of all the centers in their program and providing basic information about each) and for centers (such as providing lists of classrooms; scheduling on-site visits; and if they are participating in child-level data collection, distributing and collecting consent forms). They will also receive a study fact sheet that will include an overview of the design and data collection (Appendix A-3).

After receipt of the letters, program directors will be contacted by a member of the study team to answer any questions about the study and to review—using a prepared script—our request for information (Attachment 1). During this initial recruitment and selection phase, we will ask the program for information concerning its centers so we can develop sampling frames. Program directors will also be asked to identify a staff member to serve as an on-site coordinator who will work with the study team to recruit teachers and families and help schedule site visits. Programs that are part of the child-level data collection will not have to talk with centers or classrooms or enroll families at this time. Finally, we will ask directors a few questions about how services are organized (center-based, home-based, a combination, or a locally designed approach) and the operation of the centers (hours of operation, program year start and end dates, and full- versus part-day program) that study team will use to prepare its staffing plan and schedule for data collection.

Our study team will then send a letter to on-site coordinators (Appendix A-4) and then place a telephone call—using a prepared script (Attachment 2)—to gather or confirm information about centers in the program and to confirm contact information and availability.

Finally, once centers are selected, center directors will receive a letter (Appendix A-5) along with the study fact sheet introducing key points about the study.

In fall 2016, we will contact programs a second time to prepare for spring 2017 data collection. We will follow the same recruitment procedures described above.

Up to an additional 50 programs may be recruited for a potential Plus study. The schedule for recruiting these programs would depend on the nature of the study, but would likely be recruited at a similar time as the programs participating in the Core studies (that is, spring 2014, fall 2014, or fall 2016) or approximately six months prior to data collection. Recruitment activities for these programs would be the same as for the Core data collection described above.

A.3. Use of Improved Information Technology

The burden on program directors and on-site coordinators is minimal, and gathered over the phone. We will offer, however, programs the option of providing the information that is being requested (for example, names and addresses of Head Start centers, numbers of classrooms and children) electronically, if that is less burdensome for them.

A.4. Efforts to Identify Duplication and Use of Similar Information

There is no existing frame that can be used to sample Head Start centers. Each successive round of FACES has developed center frames after the program sample is selected based on the information gathered from those programs.

A.5. Impact on Small Businesses or Other Small Entities

No small businesses are impacted by the data collection in this project.

A.6. Consequences of Not Collecting Information or Collecting Information Less Frequently

The first wave of data collection for FACES 2014–2108 is scheduled for fall 2014. To adhere to this schedule, programs must be sampled and contacted in spring 2014 in order to develop the center sampling frames. Head Start centers will be sampled in May 2014. Centers will be contacted to schedule data collection team visits beginning in August 2014.²

A.7. Special Circumstances Relating to the Guidelines of 5 CFR 1320.5

There are no special circumstances requiring deviation from these guidelines.

A.8. Comments in Response to the Federal Register Notice and Efforts to Consult Outside the Agency

The first Federal Register notice for the FACES 2014–2018 recruitment was published in the Federal Register, Volume 78, pp. 75569-75570 on December 12, 2013 (Reference number FR 2013–29668). One public comment and one request to see the study instruments were received during the 60 day comment period. Draft instruments were sent as requested. The comment, from a previous FACES Head Start program, raised a concern about the length of the previous parent interview. Although not relevant to the current information collection request, a response to the commenter noted future plans for a shorter parent survey. A future information collection request will detail that activity. A copy of the 60-day notice is included in Appendix B.

A.9. Explanation of Any Gift to Respondents

Participation in FACES will place some burden on program staff, families, and children. To offset this burden, we have developed a nominal monetary incentive structure that is based on the one used effectively in FACES 2009 and attempts to acknowledge respondents' efforts in a respectful way. These data collection activities will be discussed in forthcoming clearance packages; however, the information packages and call scripts used during recruitment describe these gifts to respondents. The 60 programs sampled in fall 2014 are provided an honorarium of \$500 in fall 2014 and \$250 in spring 2015 for data collection activities (to include child sampling and consent gathering). The remaining 120 programs sampled in spring 2015 will receive \$250. In spring 2017, all 180 programs will receive \$250 for their participation in the Classroom Core data collection.

Head Start teachers will be asked to complete a Teacher Child Report (TCR) form for each sampled and consented FACES child in their classroom and will receive a \$10 token of appreciation for each TCR they complete. This amount is higher than the incentive used in FACES 2006 and 2009 in recognition of the fact that teachers in FACES 2014 are being asked to complete both parts of the teacher survey (teacher background and classroom information and the TCRs) online. In FACES 2006 and FACES 2009, only the TCRs were completed on line.

Parents are asked to participate in a 20-minute survey in fall 2014 and spring 2015. We propose offering parents a \$25 token of appreciation for participating in the parent survey on the web and \$10 for completing it by phone. Parents would receive a token of appreciation for each

² Program recruiting will commence upon OMB approval of this information collection request.

survey they complete. In FACES 2006 and 2009, parents received \$35 after completing their parent interview in person or by phone. Because the length of the parent survey has been reduced from 60 minutes to 20 minutes, the amount of the incentive has been reduced. Increasing the number of cases completed by web as compared to phone will lower the overall data collection cost. In addition, the children will participate in a 45-minute child assessment in fall 2014 and spring 2015. We propose to offer participating families a gift (for example, a book) worth approximately \$10 each time their child participates.

A.10. Assurance of Privacy Provided to Respondents

Program directors and on-site coordinators are asked a few questions about the centers in their Head Start programs. Program directors provide the names and addresses of each center in their program as well as each center's hours of operation and estimates of its fall enrollment, total number of classrooms, and percentage of dual language learner children. On-site coordinators are asked to confirm the name and address of each center chosen to participate in FACES 2014–2018, to provide the name and contact information for the center's director, and to identify the center's hours of operation. The same procedures that were used in FACES 2009 will be used to ensure the privacy of the information provided by program directors and on-site coordinators. Mathematica secures individually identifiable and other sensitive project information and strictly controls access to sensitive information on a need-to-know and least privilege basis. Further, the study team has extensive corporate administrative and security systems to prevent the unauthorized release of personal records, including state-of-the-art hardware and software for encryption that meets federal standards and other methods of data protection (e.g., requirements for regular password updating), as well as physical security that includes limited key card access and locked data storage areas. Additionally, OPRE is currently in the process of publishing a System of Records Notice (SORN) and a Privacy Impact Assessment (PIA).

A.11. Justification for Sensitive Questions

There are no sensitive questions.

A.12. Estimates of Annualized Burden Hours and Costs

Program directors and on-site coordinators will review materials and speak with a study team member about the centers in their Head Start program. These individuals will not incur any expense other than the time spent answering the few questions. Center directors will review study materials.

The estimated annual burden for program directors, on-site coordinators, and center directors is listed in Table A.2. The total annual burden for this information gathering activity is expected to be 295 hours.

Table A.2. Estimated Annual Response Burden and Annual Cost

Instrument	Total Number of Respondents	Annual Number of Respondents	Number of Responses per Respondent	Average Burden Hour per Response	Estimated Annual Burden Hours	Average Hourly Wage	Total Annual Cost
Telephone script for program directors	230	77	2	1	154	\$27.53	\$4,239.62
Telephone script for on-site coordinators	230	77	2	.75	116	\$27.53	\$3,193.48
Letter for Center director	460	154	2	.08	25	\$27.53	\$688.25
Estimated Total					295		\$8,121.35

To compute the total estimated annual cost, we multiplied total burden hours by the average hourly wage for Head Start staff, based on median weekly wages from the Bureau of Labor Statistics, Current Population Survey estimates (third quarter of 2013). The results are in Table A.2. For program directors, on-site coordinators, and center directors, we used the median salary for full-time employees over age 25 with a bachelor’s degree (\$27.53 per hour).

A.13. Estimates of Other Total Annual Cost Burden to Respondents and Record Keepers

Not applicable.

A.14. Cost to Federal Government

The total cost to the federal government of recruiting and gathering information from Head Start program directors and on-site coordinators for the Core studies under the terms of the FACES 2014–2018 contract is estimated to be \$316,907, including direct and indirect costs and fees. The cost of recruiting and gathering information from the programs participating in future Plus studies is estimated to be \$89,000. The annual cost to the Federal Government is \$135,302.

A.15. Explanation for Program Changes or Adjustments

The approach to recruiting programs and gathering the information needed to develop center sampling frames and to begin preparations for the different data collections that will occur in fall 2014, spring 2015, and spring 2017 is the same approach that was used successfully in FACES 2009 (OMB Number 0970-0151).

A.16. Plans for Tabulation and Publication and Project Time Schedule

There are no plans to tabulate and publish the information gathered from program directors and on-site coordinators. The information that is collected will be for internal use only.

All contacts with program directors and on-site coordinators for the purpose of collecting basic information on Head Start centers will occur starting approximately four months prior to each round of data collection (spring 2014 for programs selected for child-level data collection and fall 2014 for programs selected for classroom-only data collection). Program directors will receive letters and subsequently called by a member of the study team in late spring (or late fall). Mailings and calls to on-site coordinators will occur on a rolling basis as these individuals are identified during conversations with program directors. All calls with program directors and on-site coordinators should be complete by summer 2014 (or winter 2015). All programs will be contacted again in fall 2016 to update the program and center information in preparation for spring 2017 data collection.

A.17. Reason(s) Display of OMB Expiration Date is Inappropriate

The OMB number and expiration date will be displayed at the top of the first page of the program director and on-site coordinator scripts. We will offer to read the OMB number and expiration date at the beginning of the call.

A.18. Exceptions to Certification for Paperwork Reduction Act Submissions

No exceptions are necessary for this data collection.