

**Head Start Family and Child  
Experiences Survey (FACES  
2014–2018) OMB Supporting  
Statement for Data Collection**

**Part A: Justification**

June 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 will provide data on a set of key indicators more rapidly and with greater frequency than in past rounds of FACES (Core studies), 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).

The proposed FACES design includes multiple components as noted above, and therefore will involve multiple information collection requests. The current information collection request includes data collection activities for FACES 2014–2018, including selecting classrooms and children for the study, conducting child assessments and parent interviews, and obtaining Head Start teacher reports on children’s development. A previous request approved the FACES 2014–2018 sampling plans for Head Start programs, centers, classrooms, and children, as well as the procedures for recruiting programs and selecting centers in 2014 and contacting them again in 2016.

### **A.1. Circumstances Making the Information Collection Necessary**

#### **a. Background**

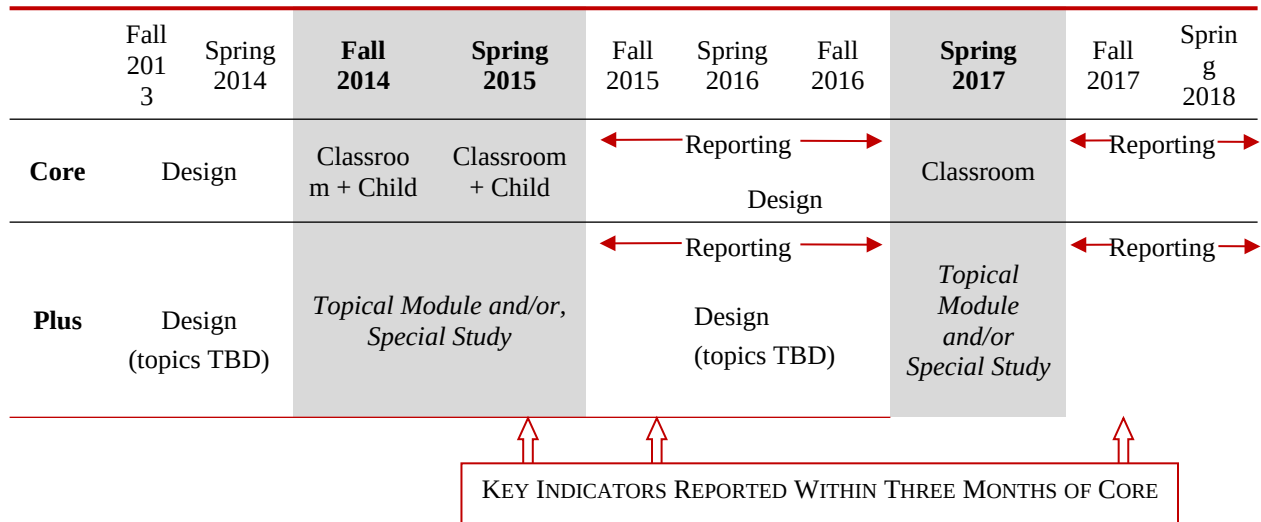
ACF has contracted with Mathematica Policy Research (Mathematica) and its subcontractors, Juárez and Associates and Educational Testing Service, under contract number HHSP23320095642WC/HHSP2337052T, to collect information on Head Start Performance Measures. FACES 2014–2018 extends a previously approved 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 (Appendix A). 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 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. Plus studies may take one of two designs: a topical module, or a special study. “Topical modules” could provide more in-depth, descriptive information on key topics (e.g., additional survey items or qualitative interviews). “Special studies” aim to respond to emerging information needs and can be simple (e.g., additional questions in the Core) or complex (e.g., oversampling of certain populations, quasi-experimental or planned variation studies).

**Figure A.1. FACES 2014–2018 Study Structure**



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 (see Table A.1). 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 Instruments, Sample Size, Type of Administration, and Periodicity**

Instrument	Sample Size	Type of Administration	Fall 2014	Spring 2015	Spring 2017
<b>Classroom + Child Outcomes Core</b>					
Classroom sampling form from Head Start staff	180	CADE on the web	X	X	
Child roster form from Head Start staff	60	CADE on the web	X		
Direct child assessment <sup>a</sup>	2,400	CAPI with tablet computer	X	X	
Head Start teacher child rating <sup>a</sup>	2,400	Web with paper option	X	X	
Parent survey <sup>a</sup>	2,400	Web/CATI	X	X	
Head Start classroom observation	720	CADE with tablet computer		X	
Head Start teacher survey	720	Web with paper option		X	
Program director survey	180	Web with paper option		X	
Center director survey	360	Web with paper option		X	
<b>Classroom Core</b>					
Classroom sampling form from Head Start staff	180	CADE on the web			X
Head Start classroom observation	720	CADE with tablet computer			X
Head Start teacher survey	720	Web with paper option			X
Program director survey	180	Web with paper option			X
Center director survey	360	Web with paper option			X

<sup>a</sup> Information gathered from 60 programs; all other components are collected from all 180 programs.

CAPI = Computer-assisted personal interviewing; CATI = Computer-assisted telephone interviewing; CADE = Computer-assisted data entry

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 (see Appendix B for the FACES conceptual frameworks), 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 population<sup>1</sup>?
- 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**

Major study activities to address the FACES 2014–2018 research questions will include:

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

- Selecting a nationally representative sample of Head Start programs, recruiting them to participate in the study, gathering information from those programs to develop a center sampling frame, and selecting a nationally representative sample of Head Start centers (approval granted in previous package, OMB Approval Number 0970-0151, approved on April 7, 2014)
- Sampling classrooms within those centers
- Sampling children and recruiting families of Head Start enrollees to participate in the study
- Collecting data from children and families, Head Start staff, and Head Start classrooms
- Collecting data as part of potential Plus studies to include topical studies and special studies of greater complexity
- Analyzing and reporting findings

The overall design of FACES 2014–2018—the sampling plan, instruments, procedures, and data analysis plan—draws from the design of FACES 2009 and earlier rounds, but we propose some changes in approach and instruments. Like previous rounds, FACES 2014–2018 uses a multi-stage sample design with four stages: (1) Head Start programs, (2) centers within programs, (3) classrooms within centers, and (4) children within classrooms. We describe sampling procedures more fully in section B.1. and data collection procedures more fully in section B.2.

#### **a. Current Information Collection Request**

The current information collection request is for instruments associated with sampling Head Start classrooms and children and examining the school readiness skills of Head Start children as well as their family background.

Field enrollment specialists (FESs) will visit each sampled center to gather information to select the sample of classrooms (Attachment 1) and, for the 60 programs involved in the child-level data collection, the child sample (Attachment 2).<sup>2</sup> For these 60 programs, visits will occur three weeks before the scheduled date of the fall 2014 data collection. FESs will work with center staff and the on-site coordinator (OSC), a liaison between the program and the study team, to distribute consent materials to parents of selected children. Consent materials include a consent letter and form (Appendix C.1 and C.2), a set of frequently asked questions (study FAQ) (Appendix C.3), and a study brochure (Appendix C.4). FESs will also distribute study FAQs to teachers of selected classrooms. Finally, FESs will provide centers with study flyers (Appendix C.5) for staff to display during the weeks prior to the data collection visit to remind staff and parents about the upcoming data collection visit. For the remaining 120 programs, FES visits (focusing on only classroom sampling) will occur at the start of the classroom observation week in spring 2015. This same procedure will occur with all programs in spring 2017.

Direct child assessments (Attachment 3) in fall 2014 and spring 2015, as well as teacher ratings (Attachment 6), will document children’s cognition and general knowledge, language use and emerging literacy, social and emotional development, approaches to learning, and physical development. Parent surveys will obtain data on parent’s and children’s activities, experiences with health care, and parents’ feelings and attitudes about themselves (Attachment 4 and 5).

We will use the data collected as part of the FACES 2014–2018 Core to provide descriptions of the characteristics, experiences, and outcomes for children and families served by Head Start and to observe the relationships among family and program characteristics and outcomes. Findings from FACES 2014–2018 will provide information on Head Start Performance Measures and help guide OHS, national and regional training and technical assistance providers, and local programs in supporting policy development and program improvement.

#### **b. Future Information Collection Requests**

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<sup>2</sup> The FES will ask Head Start staff (typically the On-Site Coordinator) for a list of all Head Start-funded classrooms and for each classroom, the teacher’s first and last names, the classroom session type (morning, afternoon, full day, or home visitor), and the number of Head Start children enrolled.



Future information collection requests will cover remaining components of the FACES study. These include program director, center director, and teacher surveys that will provide data on their employment and educational background, program goals and philosophy, and curriculum and classroom activities.<sup>3</sup> Head Start staff or parents may be selected for Plus topical modules or special studies that would involve qualitative interviews or supplemental surveys for additional content. For Plus studies, the study team may collect data (for future collection requests) through direct child assessments, web-based surveys, or telephone interviews, depending on the nature of the study. Quantitative or qualitative data collection methods may be used.

The instruments to support the Core study at the program and classroom levels and the Plus studies anticipated for future submission were described in the first *Federal Register* notice for the FACES 2014–2018 data collection, published in the *Federal Register*, Volume 79, pp. 11445-11446 on February 28, 2014 (Reference number FR 2014-04032). We will submit these future requests directly to OMB and allow for a 30-day public comment period under the Paperwork Reduction Act prior to use when these materials are fully developed.

### **A.3. Use of Improved Information Technology**

The proposed data collection builds on the techniques that reduced burden in FACES 2009 while adding enhancements to further reduce burden. As done in FACES 2009, the study team will administer child assessments using computer-assisted personal interviewing (CAPI) to facilitate the routing and calculation of basal and ceiling rules, thereby lessening the amount of time required to administer the assessments and reducing burden on the child. To further enhance the assessment experience for the child and reduce assessment time, we will also present the child with assessment images on a second tablet screen (separate from the computer screen viewed by the assessor) rather than on an easel. Parent surveys will be web-based or administered using computer-assisted telephone interviewing (CATI). With the introduction of web-based surveys with a low-income population, we plan to conduct an experiment to understand how response rates and costs are affected by this new option. In particular, we are interested in whether it is cost-effective to use a web survey as compared to a telephone-administered survey with a low-income population and whether parents' choice of a web survey is a function of how this option is introduced to them. A program's parents will be randomly assigned to one of two groups to complete the parent survey: (1) a web-first group or (2) a choice group. The web-first group will receive a web-based survey initially with CATI follow-up after three weeks. The choice group will receive the option of either web-based or CATI administration starting at the beginning of data collection. Please see Part B, Section B.2 Data Collection Procedures for more details. We will give Head Start teachers the option of completing their Head Start Teacher Child Report (TCR) forms on the web or on paper.

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

There is no evidence of other studies that offer comprehensive information on program quality, child outcomes, services, and characteristics of Head Start staff, children, and families. Previous cohorts of FACES would not have captured new program initiatives or changes to the population served by Head Start in the past few years.

Although we identified and adapted many useful survey items from other studies for use in FACES, none of those studies have collected comparable data on a nationally representative sample of Head Start children and families. No available studies combine the four sources of primary data (staff surveys, classroom observations, and, if part of child-level data collection, child assessments and parent surveys) that will be collected in FACES 2014–2018. Also, there is no other source for detailed child-level information that may be used to describe changes in the population served by Head Start over time. However, FACES captures information for children attending the population of Head Start centers, as opposed to other studies, such as Head Start CARES, which examines a randomized trial of interventions.

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<sup>3</sup> In the spring waves of data collection, classroom observations will assess the quality of equipment, materials, teacher-child interactions, and instructional practices in the classroom. No burden is associated with the observation, and thus we will not discuss it further in this package; see Appendix D for the components of the classroom observation.

**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**

From the start of FACES in 1997 through the most recent round in 2009, FACES has been fielded in three-year intervals to be a descriptive study of the population served by Head Start and to monitor program performance, examining both continuity and change. During the FACES redesign process, stakeholders expressed a desire for more timely data (Moiduddin et al. 2012). FACES 2014–2018 will help to enhance the timeliness and accessibility of information by collecting classroom and program data every two years and child-level data every four years. This periodicity is necessary to examine trends and changes over time. Each round of data collection occurs within a single program year, so could not be done less frequently.

**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 data collection was published in the *Federal Register*, Volume 79, pp. 11445-11446 on February 28, 2014 (Reference number FR 2014-04032). Two substantive public comments and three requests to see the study instruments were received during the 60-day comment period. Draft instruments were sent as requested. The first comment, from a retired Head Start teacher, emphasized the importance of including rural programs in the study. A response to the commenter noted that FACES is designed to be a nationally representative study, and programs in both urban and rural areas are included in the study; additionally the current information request includes a larger sample of programs than in the past which will allow additional analyses across program types. The second comment, from the executive director of the National Head Start Association, proposed recommendations to help document the two-generation work Head Start does with families. A response to the commenter noted that the topics recommended are under consideration for inclusion in future spring 2015 or plus study data collection materials (see Appendix F for a copy of this public comment and response). A copy of the 60-day notice is included in Appendix E.

Previous rounds of FACES and the FACES redesign involved many individuals and organizations. The new FACES Core Plus study design and content reflect the redesign project, which gathered information from key stakeholders, examined programmatic and policy priorities, and reviewed study design and measurement strategies. The redesign project held two expert panel meetings—one on research priorities and one on methods—which led to the design options. For FACES 2014–2018, we will engage outside experts on particular topics as they emerge. We will obtain their feedback through written products, telephone conversations, or webinars. To date, we have consulted experts concerning the measurement of family engagement in the parent survey. Members of the family engagement expert panel are listed below in Table A.2.

**Table A.2. FACES 2014–2018 Family Engagement Expert Panel Members**

Member Name	Affiliation
Oscar Barbarin	Tulane University
Juliet Bromer	Herr Research Center for Children and Social Policy, Erikson Institute
Toni Porter	Innovation, Policy and Research, Bankstreet College of Education
Joshua Sparrow	Harvard University
Heather Weiss	Harvard University

**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 structure for respondents to receive tokens of appreciation based on the

one used effectively in FACES 2009 and attempts to acknowledge respondents’ efforts in a respectful way. Table A.3 presents the proposed structure. The token of appreciation values for teachers and parents have been modified since FACES 2006 and 2009. The token of appreciation for teachers completing a TCR is higher than the amount used in prior rounds. In FACES 2006 and FACES 2009, teachers received \$5 for each TCR they completed, and an additional \$2 per form if they completed it on the web. This was to encourage teachers’ use of the web option since web-based surveys contain built-in range and logic checks and branching instructions, thus effectively eliminating most of the errors inherent in paper instruments. In both studies, a majority of teachers opted for the web option; therefore, we did not feel the differential incentive amount was needed in FACES 2014-2018. Teachers will receive a \$10 incentive for each TCR that they complete, a \$3 increase over the amount paid for web completes in FACES 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. Previously, only the TCRs were completed online. Parents will receive a token of appreciation for each 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. FACES 2014 also now uses a tiered approach, with small additional amounts offered for web and early completion, to reflect the lower costs associated with web completion and reduction in number of follow-ups required. We believe that increasing the number of surveys completed by web as compared to phone will lower the overall data collection cost.

**Table A.3. FACES 2014–2018 Proposed Token of Appreciation Structure**

FACES Component	Respondent	Token of Appreciation
Data collection site visit	Program in child-level data collection	Fall: \$500 (to include child sampling and consent gathering) Spring: \$250
	Program in class/program-only data collection	Spring: \$250
Teacher child report	Teacher	Fall and Spring: \$10 per form
Parent survey	Parent	Fall and Spring: \$15 (additional \$5 if completed within 3 weeks of invitation to complete survey; additional \$5 if completed on the web)
Child assessment	Family	Fall and Spring: children’s book (valued at \$10)

**A.10. Assurance of Privacy Provided to Respondents**

Respondents will receive information about privacy protections before they are asked to participate in the study. The study team will repeat this information at the start of each survey and interview. All interviewers and data collectors will be knowledgeable about privacy procedures and will be prepared to describe them in detail or to answer any related questions respondents raise.

We have crafted carefully worded consent forms (Appendix C.1 and C.2) that explain in simple, direct language the steps we will take to protect the privacy of the information each sample member provides. We will assure parents both as they are recruited and before each wave of data collection that their responses and their child’s assessment scores will not be shared with the Head Start program staff or the program. We will assure both parents and staff that their responses will be reported only as part of aggregate statistics across all participants. ACF will obtain signed, informed consent from all parents before their participation and obtain their consent to assess their children. The FACES study FAQ and brochure (Appendix C.3, C.4) make it clear that parents may withdraw their consent at any time.

To further ensure privacy, the study team will remove personal identifiers that could be used to link individuals with their responses from all completed questionnaires and store the hard copy questionnaires under lock and key at the study team offices. 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; physical security, including limited key card access and locked data storage areas; and other methods of data protection (for example, requirements for regular password updating). Mathematica secures individually identifiable and other sensitive project information and strictly controls access to sensitive information on a need-to-know basis. Data on tablet computers will be secured through hard drive encryption that meets federal standards, as

well as through operation and survey system configuration and a password. Any computer files that contain this information will also be locked and password-protected. Survey, interview and data management procedures that ensure the security of data and privacy of information will be a major part of training. Additionally, Mathematica will require its entire staff to sign a confidentiality statement (Appendix G).

We are obtaining a National Institutes of Health certificate of confidentiality to help ensure the privacy of study participants. We are in the process of applying for the Institutional Review Board clearance needed before applying for the certificate. 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**

To achieve its primary goal of describing the characteristics of the children and families served by Head Start, we will be asking parents a few sensitive questions, including some aimed at assessing feelings of depression. We have used this information in past FACES reports to describe the Head Start population and staff and to examine child outcomes and change in those outcomes over time. Parents will also be asked about household income. The sensitive questions obtain important information for understanding behaviors and family needs, and previous rounds of FACES have used them. The invitation will inform participating parents that the survey will ask sensitive questions (Appendices H.2 through H.5). The invitation will also inform parents that they do not have to answer questions that make them uncomfortable and that none of the responses they provide will be reported back to program staff.

#### **A.12. Estimates of Annualized Burden Hours and Costs**

The proposed data collection does not impose a financial burden on respondents, and respondents will not incur any expense other than the time spent participating.

Table A.4 lists the estimated annual burden approved in a previous request for program directors and on-site coordinators to review materials and speak with a study team member about the centers in their Head Start program as well as center directors to review study materials. The total annual burden for this information gathering activity is expected to be 295 hours. To date, none of this burden has been used, with program recruitment to start in May. Table A.5 presents the current request to cover data collection activities related to Head Start children, parents of Head Start children, Head Start teachers, and Head Start staff. We expect the total annual burden to be 2,220 hours for all of the instruments in the current data collection. Table A.6 presents future data collection activities related to the program and classroom components as well as to potential Plus study activities. We expect the total annual burden to be 2,767 hours for all of the instruments in the future data collection.

#### **Estimates of Annualized Costs**

To compute the total estimated annual cost, we multiplied the total burden hours by the average hourly wage for each adult participant, based on median weekly wages from the Bureau of Labor Statistics, Current Population Survey estimates (fourth quarter of 2013). The results appear in Tables A.4, A.5, and A.6 below. For teachers, program directors, center directors, Head Start staff, and other early care and education program staff we used the median salary for full-time employees over age 25 with a bachelor's degree (\$28.28 per hour). For parents, we used the median salary for full-time employees over the age of 25 who are high school graduates with no college experience (\$16.20 per hour).

**Table A.4. Approved Estimated Information Gathering Annual Response Burden and Approved Information Gathering 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
<b>Estimated Total</b>					<b>295</b>		<b>\$8,121.35</b>

**Table A.5. Estimated Current Annual Response Burden and Current Annual Cost**

Instrument	Total Number of Respondents	Annual Number of Respondents	Number of Responses per Respondent	Average Burden Hours per Response	Estimated Annual Burden Hours	Average Hourly Wage	Total Annual Cost
Classroom sampling form from Head Start staff	120	40	1	0.17	7	\$28.28	\$192.27
Child roster form from Head Start staff	120	40	1	0.33	13	\$28.28	\$373.23
Head Start core parent consent form	2,400	800	1	0.17	136	\$16.20	\$2,203.20
Head Start core child assessment	2,400	800	2	0.75	1,200	n.a.	n.a.
Head Start core parent survey	2,400	800	2	0.33	528	\$16.20	\$8,553.60
Head Start fall parent supplement survey	2,400	800	1	0.08	64	\$16.20	\$1,036.80
Head Start core teacher child report	240	80	20	0.17	272	\$28.28	\$7,690.80
<b>Estimated Total</b>					<b>2,220</b>		<b>\$20,049.90</b>

n.a. = not applicable

**Table A.6. Estimated Future Annual Response Burden and Future Annual Cost**

Instrument	Total Number of Respondents	Annual Number of Respondents	Number of Responses per Respondent	Average Burden Hours per Response	Estimated Annual Burden Hours	Average Hourly Wage	Total Annual Cost
Classroom sampling form from Head Start staff	360	120	2	0.17	41	\$28.28	\$1153.62
Head Start spring parent supplement survey	2,400	800	1	0.08	64	\$16.20	\$1,036.80
Head Start core teacher survey	720	240	2	0.50	240	\$28.28	\$6,786.00
Head Start core program director survey	180	60	2	0.25	30	\$28.28	\$848.25
Head Start core center director survey	360	120	2	0.25	60	\$28.28	\$1,696.50
Head Start parent qualitative interview	400	133	2	1.00	267	\$16.20	\$4,320.00
Head Start staff qualitative interview	300	100	2	1.00	200	\$28.28	\$5,655.00
Head Start parent consent form for Plus study	1,350	450	1	0.17	77	\$16.20	\$1,239.30
Head Start child assessment for Plus study	1,350	450	2	0.75	675	n.a.	n.a.
Head Start parent survey for Plus study	1,350	450	2	0.33	297	\$16.20	\$4,811.40
Head Start parent supplemental survey for Plus study	1,350	450	2	0.08	72	\$16.20	\$1,166.40
Head Start teacher child report for Plus study	150	50	20	0.17	170	\$28.28	\$4,806.75
Head Start teacher survey for Plus study	150	50	2	0.50	50	\$28.28	\$1,413.75
Head Start program director survey for Plus study	50	17	2	0.25	8	\$28.28	\$235.63
Head Start center director survey for Plus study	100	33	2	0.25	17	\$28.28	\$471.25
Early care and education administrators survey for Plus study	600	200	2	0.50	200	\$28.28	\$5,655.00
Early care and education providers survey for Plus study	900	300	2	0.50	300	\$28.28	\$8,482.50
<b>Estimated Total</b>					<b>2,767</b>		<b>\$49,778.15</b>

n.a. = not applicable

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

Not applicable.

**A.14. Cost to the Federal Government**

The total cost for the Core data collection related to the instruments within this current request is \$6,119,407. These costs include the sampling, data collection, data processing, and analysis.

**A.15. Explanation for Program Changes or Adjustments**

The changes made to the FACES 2014–2018 data collection reflect OPRE’s and OHS’s interest in ensuring that FACES provides timely and ongoing information about Head Start program performance, including program improvement efforts, program quality, and outcomes for children and families. As detailed above, unlike FACES 2009, FACES 2014–2018 will consist of three Core waves of data collection—fall 2014, spring 2015, and spring 2017—encompassing the Classroom + Child Outcomes Core and the Classroom Core, with Plus studies being a part of those waves or at different time points to be determined. At the program level, the sample size in FACES 2014–2018 is larger than the sample size of FACES 2009, allowing for more powerful analysis of program quality (180 programs rather than 60 programs). At the child level, the Classroom + Child Outcomes Core sample will represent all children enrolled in Head Start at baseline, not just those entering the program for the first time, as in FACES 2009. Previously, FACES followed the newly enrolled children through one or two years of Head Start

and then through the spring of kindergarten. The FACES Core design will focus more on the children's experiences and outcomes during their time in Head Start. FACES 2014–2018 will also differ from FACES 2009 in the mode and length of parent and Head Start staff surveys (more web-based and shortened surveys) to reduce respondent burden and support reporting on key indicators.

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

### **a. Analysis Plan**

The analyses will aim to (1) describe Head Start programs and classrooms; (2) describe children and families served by Head Start, including children's outcomes; (3) relate classroom and program characteristics to classroom quality; and (4) relate family, classroom, and program characteristics to children's outcomes. Analyses will employ a variety of methods, including cross-sectional and longitudinal approaches, descriptive statistics (means, percentages), simple tests of differences across subgroups and over time (t-tests, chi-square tests), and multivariate analysis (regression analysis, hierarchical linear modeling [HLM]). For all analyses, we will calculate standard errors that take into account multilevel sampling and clustering at each level (program, center, classroom, child) as well as the effects of unequal weighting. We will use analysis weights, taking into account the complex multilevel sample design and nonresponse at each stage.

**Cross-sectional Analyses.** Descriptive analyses will provide information on characteristics at a single point in time, overall and by various subgroups. For example, for questions on the characteristics of Head Start programs, classrooms, or teachers (for example, average quality of classrooms or current teacher education levels) and the characteristics of Head Start children and families (for example, family characteristics or children's skills at the beginning of the Head Start year), we will calculate averages (means) and percentages. We will also examine differences in characteristics (for example, children's outcomes or classroom quality), by various subgroups. We will calculate averages and percentages, and use t-tests and chi-square tests to assess the statistical significance of differences between subgroups.

**Changes or Trends over Time.** Analyses will also examine changes or trends in characteristics over time, overall and by various subgroups. For questions about changes in children's outcomes during a year of Head Start, we will calculate the average differences in outcomes from fall to spring for all children and for selected subgroups (for example, children who are dual language learners). We will use a similar approach for changes in family characteristics during the year. Outcomes that have been normed on broad populations of preschool-age children (for example, the Woodcock-Johnson III Letter-Word Identification or the Peabody Picture Vocabulary Test, 4th Edition) will be compared with the published norms to judge how Head Start children compare with other children their age in the general population and how they have progressed relative to national and published norms.

To examine changes in classroom or program-level characteristics across years, we will use t-tests and chi-square tests for simple comparisons—one year versus another. We will use trend analysis for examining whether child outcomes or family, classroom, or program characteristics are changing across multiple years and rounds of FACES. To compare children's outcomes across prior and current FACES cohorts, we will employ a regression framework to examine the relationships between children's outcomes and the year in which the outcomes were measured, controlling for child and family characteristics.

**Multivariate Analyses.** We will use multiple approaches for questions relating characteristics of the classroom, teacher, or program to children's outcomes at single points in time, changes during a year in Head Start, or relationships among characteristics of classrooms, teachers, programs, and classroom quality. Many of the questions can be addressed by estimating hierarchical linear models that take into account that children are nested within classrooms that are nested within centers within programs. Analyses examining whether there are policy-relevant thresholds or cut points of classroom quality will also use HLMs to account for the clustering of children within classrooms and of classrooms within programs.

For the first time, children returning for a second year of Head Start will be included in the FACES sample. Gains for children in their second year can now be measured directly. However, gains across two years in the program will be synthetically estimated, piecing together the gains for the first- and second-year children, assuming two groups of children in one program year can adequately represent one group of children in two consecutive years of the Head Start program. To the extent this assumption does not hold, it can be addressed in the analysis by controlling for key covariates. We can also devise a weighting scheme to model characteristics relative to which children will stay in Head Start through their second year.

#### **b. Time Schedule and Publications**

We plan to produce the following products after each of the three waves of data collection (fall 2014, spring 2015, and spring 2017): (1) a set of descriptive tables on key indicators, (2) a report, and (3) two issue briefs.

The fall 2014 report will describe the population of children enrolled in Head Start that year. Likely topics include children's demographic and language characteristics; children's cognitive, social-emotional, and physical well-being; and family economic well-being at the beginning of the program year. The spring 2015 report will include data on children, teachers, classrooms, and programs. It will include children's data from the fall and spring to examine development across the program year both for the full sample and for subgroups based on, for example, family background or length of children's Head Start experience. The spring 2017 report will include data on programs and classrooms as well as from teachers. Using data from the director surveys and the program information report, it will provide a profile of Head Start programs—both structural features and approaches to implementing particular policies and processes. It will present information on classroom quality and teacher practices, summarize quality at the program level, and examine whether classroom quality varies by characteristics of programs, teachers, or classrooms. Classroom + Child Outcomes Core issue briefs will examine topics introduced in the fall 2014 and spring 2015 reports with greater depth or for particular subgroups. Classroom Core issue briefs will focus on specific topics related to program quality and services or on classroom quality over time.

At the end of each Core study in spring 2015 and spring 2017, we will also produce the following products: (1) public use files and (2) technical reports/user's guides that detail the study design, analysis methods, nonresponse and nonresponse bias, and the psychometric properties of the measures. We will follow a similar approach to documentation and reporting for Plus studies. We will integrate the documents and data from the Plus studies with the Core documents and data when they occur in the same data collection period.

#### **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 cover page or first Web page for each instrument used in the study. For CATI or CAPI instruments, we will display this information on the introduction screens.

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

No exceptions are necessary for this data collection.



## REFERENCES

- Administration on Children, Youth, and Families. “Charting our Progress: Development of the Head Start Program Performance Measures.” Washington, DC: U.S. Department of Health and Human Services, 1995.
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- Moiduddin, Emily, Julia Lyskawa, Louisa Tarullo, Jerry West, and Elizabeth Cavadel. “FACES Redesign: Stakeholder Input on Information Needs.” Final report submitted to the Office of Planning, Research and Evaluation, Administration for Children and Families, U.S. Department of Health and Human Services. Washington, DC: Mathematica Policy Research, January 19, 2012.