

National Center on Early Head Start–Child Care Partnerships Evaluation

**OMB Information Collection Request
New Collection**

Supporting Statement

Part A

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Submitted by:
Office of Planning, Research and Evaluation
Administration for Children and Families
U.S. Department of Health and Human Services

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A1. Necessity for the data collection

The Administration for Children and Families (ACF) at the U.S. Department of Health and Human Services (HHS) seeks approval for an evaluation of the National Center on Early Head Start–Child Care Partnerships (NCEHS-CCP). In fiscal year 2014, the federal government funded an expansion of effective early learning opportunities for children from birth to age 3 through Early Head Start–Child Care Partnerships (EHS-CCP). The \$500 million in new grants will enable new or existing Early Head Start grantees to partner with local child care centers and family child care providers that serve low-income families with infants and toddlers.

NCEHS-CCP will support the effective implementation of new EHS-CCP grants by disseminating information through training, technical assistance (T/TA), resources and materials. NCEHS-CCP is primarily targeted to T/TA providers working directly with the EHS-CCP grantees, including the Office of Head Start (OHS), the Office of Child Care (OCC) national centers, regional T/TA specialists, implementation planners and fiscal consultants. NCEHS-CCP also has helpful information on partnerships for state and federal agencies, including OHS and OCC federal staff, Child Care and Development Fund (CCDF) administrators, and Head Start state, national collaboration office directors. A system for continuous quality improvement is critical to the success of NCEHS-CCP to ensure that it consistently provides highly relevant, high quality support that meets the needs of its intended audience. To inform NCEHS-CCP's continuing work, Mathematica will conduct ongoing evaluation activities to track activities and assess its progress toward its goals and objectives. Data analyzed by the evaluation team will be translated into action steps to inform continuous quality improvement of NCEHS-CCP.

A. Study background

The purpose of NCEHS-CCP, operated by ZERO TO THREE and its partners Child Care Aware of America and FHI 360, is to support the effective implementation of the new EHS-CCP grantees. NCEHS-CCP will help awardees deliver high quality, comprehensive services to low-income infants, toddlers, and their families. NCEHS-CCP will do this by providing T/TA and other resources to OHS, OCC federal and national center staffs, regional T/TA specialists, implementation planners and fiscal consultants, CCDF administrators, and Head Start state and national collaboration office directors so that they are equipped to meet the needs of the EHS-CCP grantees.

Target population. NCEHS-CCP provides training, resources, and materials to OHS and the OCC federal and national center staffs, regional T/TA specialists, implementation planners and fiscal consultants, CCDF administrators, and Head Start state and national collaboration office directors.

Need for assistance. With the implementation of EHS-CCP there will be significantly more opportunities for low-income infants and toddlers and their families across the country to access high quality early learning programs and comprehensive services to meet the children's developmental needs. High demand for quality services for infants and toddlers, combined with low-quality early learning programs, insufficiency of comprehensive services, and inadequate

state policies addressing the needs of infants and toddlers, will result in the need for specialized T/TA from the existing OHS and OCC T/TA systems. OHS and OCC federal and national center staffs, regional T/TA specialists, implementation planners and fiscal consultants, CCDF administrators, and Head Start state and national collaboration directors will require resources and support so that they can meet the unique needs of new grantees. The factors that will inform the needs experienced by federal, regional, and state T/TA providers are summarized below.

There are 12 million infants and toddlers in the United States and nearly half of them need child care daily. Of these children, 46 percent live in low-income families and 24 percent live in families with incomes at or below the federal poverty level (Chau et al. 2010). High demand and low availability of licensed infant and toddler care challenges families of all incomes. But it is particularly difficult for low-income families to find care for their infants and toddlers due to increased need for part-time care and care during nontraditional work hours (Child Care Aware of America 2013), as well as the limited ability to cover the cost of care, which can exceed the cost of higher education in most states (Child Care Aware of America 2014).

In addition to access and affordability, the quality of most infant and toddler care is low, regardless of the tools used to measure quality. For example, across all non-parental settings (grandparents, in-home sitters, family child care homes, and centers), research found only 9 percent of toddlers were served in settings characterized as providing positive caregiving. Other studies found good quality and developmentally appropriate care in just over 8 percent of infant and toddler settings. The evaluation of the quality of family child care is similarly sobering—the range of quality varies significantly, with little high quality care for infants and toddlers identified (Kreader et al. 2005).

Important factors contributing to quality may be the preparation of the teachers and the quality of the adult-child interactions. Early childhood workforce data and research show significant needs related to the professional development of infant and toddler caregivers. Data from the National Survey of Early Care and Education show education and training levels are lowest for professionals serving infants and toddlers (National Survey of Early Care and Education Project Team 2013).

A 2013 Center for Law and Social Policy analysis of state infant and toddler policies found that most states are not implementing policies that meet the needs of infants and toddlers and are struggling to provide quality, affordable child care for very young children (Schmit and Matthews 2013).

Taken together, the evidence demonstrates that many early care and education programs, professional preparation requirements, and state policies will require improvements. EHS-CCP provides tremendous opportunities to not only improve the quality and comprehensiveness of services for low-income children in linguistically and culturally diverse communities, but also to strengthen state and local policies.

Types of T/TA needed. NCEHS-CCP employs innovative strategies and tiered T/TA to effectively support the T/TA systems that directly work with EHS-CCP grantees. Strategies include (1) creating an interactive catalog of existing resources, (2) adapting current and developing new resources to meet emerging needs, (3) using a phased T/TA approach and new

interactive tools to meet needs, and (4) training a cadre of implementation planners and fiscal consultants.

Study purpose. The purpose of NCEHS-CCP evaluation is to track activities and assess its progress toward its goals and objectives. Data analyzed by the evaluation team will be translated into action steps to inform continuous quality improvement of NCEHS-CCP. The evaluation team will work collaboratively with NCEHS-CCP staff to implement the “Plan-Do-Study-Act” cycle (Shewhart 1931). The “Plan-Do-Study-Act” cycle involves an approach continuous quality improvement in which the steps are conducted over iterative cycles designed to identify and address problems. Organizations implementing this approach to continuous quality improvement carry out the following steps: (1) *plan* an improvement, predict what should happen, and decide how to measure change; (2) *do* or enact the plan and collect data required to assess change; (3) *study* the data and how they compare to predictions and expectations; and (4) *act* to assess whether the improvement was successful, and if needed start the cycle again with a modified improvement designed to achieve the desired outcomes.

B. Legal or administrative requirements that necessitate the collection

Mathematica Policy Research is undertaking the collection to document the T/TA activities carried out by NCEHS-CCP and inform continuous quality improvement.

A2. Purpose of survey and data collection procedures

A. Overview of purpose and approach

To evaluate NCEHS-CCP, the study team will measure the progress of NCEHS-CCP’s implementation of three overarching activities:

1. Knowledge and resource development
2. Collaboration with OHS and OCC T/TA systems
3. T/TA provision to key stakeholders

Within each of the three major activities are more detailed processes that lead to expected outputs and, ultimately, outcomes as depicted in the logic model for NCEHS-CCP (see Attachment A). The evaluation will measure the processes and outputs. Key sources of data for the evaluation include administrative data collected by NCEHS-CCP, training feedback forms administered by NCEHS-CCP, a stakeholder survey and stakeholder telephone interviews. The stakeholder survey and stakeholder telephone interviews will collect information about the type of T/TA support participants have received from NCEHS-CCP and their satisfaction with that support. When we use the term stakeholders moving forward, we are referring to regional T/TA specialists, implementation planners and fiscal consultants, CCDF administrators, and Head Start state and national collaboration office directors. EHS-CCP grantees are not included as stakeholders for the purpose of this data collection because they are not the primary target audience for NCEHS-CCP. The survey slated for summer of 2016 (pending OMB approval) and 2018 will query the key stakeholders that NCEHS-CCP is designed to support. The telephone interviews will be conducted in summer of 2017 and again in 2019 among a subset of the stakeholders targeted for the survey.

B. Research questions

The data collection and reporting activities to be conducted as part of the evaluation of NCEHS-CCP seek to address five research questions:

1. What T/TA supports are offered and delivered by NCEHS-CCP?
2. Who are the recipients of the T/TA delivered?
3. How satisfied are T/TA participants with the supports offered by NCEHS-CCP?
4. How do T/TA participants use the information learned from T/TA offered by NCEHS-CCP in their work with EHS-CCP grantees?
5. How can the T/TA offered by NCEHS-CCP be improved? What additional information do T/TA participants need?

C. Study design

To answer each research question, the study will include four key sources of data (Table A.1):

1. **Administrative data**, collected by NCEHS-CCP. These include (1) data on trainings offered to stakeholders (the types, content, frequency of trainings provided, and information on the participants); (2) data on the Quick Response System used by stakeholders (the number of inquiries, content areas of the inquiries, and average response times to inquiries); and (3) data on the number and content of materials produced as well as the frequency with which materials are viewed and downloaded from the NCEHS-CCP web portal by stakeholders. These data will be analyzed by the research team annually. These data will provide information on the number of activities that NCEHS-CCP has undertaken each year.
 2. **Training feedback forms**, distributed to participants by NCEHS-CCP as part of each training session and webinar conducted for stakeholders. The forms collect immediate feedback on the training received. These data will be analyzed by the research team annually and will provide information about participants' levels of satisfaction with the training they received from NCEHS-CCP.
 3. **Stakeholder surveys**, administered by the research team in the summer of 2016 (pending OMB approval) and 2018 with key stakeholders. The stakeholders will include regional T/TA specialists, implementation planners and fiscal consultants, CCDF administrators, and Head Start state and national collaboration office directors. The surveys will collect information about the types of support respondents received from NCEHS-CCP in the previous year, how the T/TA informed their work with EHS-CCP grantees, and suggestions for improving the supports offered by NCEHS-CCP.
 4. **Stakeholder telephone interviews**, conducted by the research team in summer of 2017 and 2019 with a subset of stakeholders. These interviews will explore in more detail how the support received from NCEHS-CCP informed respondents' work with EHS-CCP grantees,
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their successes and challenges accessing supports and incorporating the information into their work with grantees, and suggestions for improvement.

Table A.1. Research questions addressed by the study instruments

Research question	Data source	Timing
What T/TA supports are offered and delivered by NCEHS-CCP?	Administrative data	Summer 2015–2019
	Stakeholder survey	Summer 2016 (pending OMB approval) and 2018
	Stakeholder telephone interviews	Summer 2017 and 2019
Who are the recipients of the T/TA delivered?	Administrative data	Summer 2015–2019
	Stakeholder survey	Summer 2016 (pending OMB approval) and 2018
How satisfied are T/TA participants with the supports offered by NCEHS-CCP?	Training feedback forms	Summer 2015–2019
	Stakeholder survey	Summer 2016 (pending OMB approval) and 2018
	Stakeholder telephone interviews	Summer 2017 and 2019
How do T/TA participants use the information learned from T/TA offered by NCEHS-CCP in their work with EHS-CCP grantees?	Stakeholder survey	Summer 2016 (pending OMB approval) and 2018
	Stakeholder telephone interviews	Summer 2017 and 2019
How can the T/TA offered by NCEHS-CCP be improved? What additional information do T/TA participants need?	Stakeholder survey	Summer 2016 (pending OMB approval) and 2018
	Stakeholder telephone interviews	Summer 2017 and 2019

D. Universe of data collection efforts

Clearance is requested for the following data collection activities designed to support data collection for the evaluation of NCEHS-CCP. Table A.1 provides a crosswalk between the study instruments and the research questions each is designed to address.

1. **Stakeholder survey.** The web-based survey (**Attachment B**) will be administered to key stakeholders (including, regional T/TA specialists, implementation planners and fiscal consultants, CCDF administrators, and Head Start state and national collaboration office directors) to gather information about the types of support respondents received from NCEHS-CCP in the previous year, how the T/TA informed their work with EHS-CCP grantees, and suggestions for improving the support offered by NCEHS-CCP, including their ongoing information needs. The survey will be conducted during the spring of 2016 and repeated with those in the same position in 2018 with an estimated sample size of 350 stakeholders each year.
2. **Stakeholder telephone interviews.** The research team will conduct semi-structured telephone interviews with 75 stakeholders in the spring of 2017 and 2019, representing purposively selected subsets of the stakeholders surveyed in 2016 and 2018 (**Attachment**

C). The interviews will explore in more detail how the support received from NCEHS-CCP informed respondents' work with EHS-CCP grantees, their successes and challenges accessing supports and incorporating the information into their work with grantees, and suggestions for improvement.

A3. Improved information technology to reduce burden

The evaluation of NCEHS-CCP will use multiple methods to collect study information. Web-based applications will be used for the collection of the stakeholder survey. This web-based instrument will offer the easiest means of providing data. It will be programmed to automatically skip questions not relevant to the respondent, thereby reducing respondent burden. Because the survey instrument will automatically skip to the next appropriate question based on a respondent's answers, the instrument will also provide high quality data. The web-based application will allow respondents to complete the survey at a time convenient to them. If they are unable to complete the survey or prefer not to complete it during a single sitting, they may save their place in the survey and return to it at a later time, which likewise reduces burden by not requiring respondents to click through questions previously answered. In addition to offering the web-based version, respondents may request a paper-version of the survey they can complete and mail back to the research team.

With regard to collecting qualitative data through semi-structured telephone interviews, the interviews will be conducted by two members of the study team, with one asking questions and a second typing nearly verbatim notes (to capture key quotes and responses) on a laptop. An audio recorder will be used with permission from participants to later confirm direct quotes or other details from the interviews.

A4. Efforts to identify duplication

None of the study instruments will ask for information that can be reliably obtained from alternative data sources, including administrative data collection since the NCEHS-CCP is new and has not been previously evaluated. No comparable data are available. Administrative data will be used to document the support offered and made available by NCEHS-CCP, while the survey will document uptake of those supports. Training feedback forms will document participants' immediate satisfaction with training but will not provide data on their long-term assessment of its usefulness, nor whether and how they used the information in their work with grantees. No existing data provide the breadth of description that will result from the proposed information collection.

Furthermore, the design of the study instruments ensures there is minimal duplication of data collected through each instrument. The stakeholder surveys (**Attachment B**) will inform the development of the questions asked during the stakeholder telephone interviews (**Attachment C**). The interviews are designed to get more in-depth information about responses to the survey questions. However, by design, there are some cases in which study instruments ask the same question to gather information on a single topic at two points in time. For example, the stakeholder survey and stakeholder telephone interviews both include questions about respondents' satisfaction with the T/TA support in order to measure satisfaction across four time periods.

A5. Involvement of small organizations

Small organizations will not be directly involved in the data collection, but may be involved due to stakeholder participation in the stakeholder survey and stakeholder telephone interviews. To carry out the goals of this information collection, the research team may involve data collection activities from small organizations where the stakeholders work including organizations providing regional T/TA state government agencies that employ CCDF administrators and Head Start state and national collaboration office directors, and implementation planners and fiscal consultants (many of whom are independent consultants). The web-based application used for the administration of the surveys will allow all stakeholders to complete the survey at a time convenient to them. To accommodate the varying needs and preferences of respondents, a paper-version of the survey can be provided to respondents. For the stakeholder telephone interviews, we will work with stakeholders to schedule the interviews to accommodate their schedules. In addition, instruments have been tailored to minimize burden by collecting only the critical information needed to address the study's research questions.

A6. Consequences of less frequent data collection

The study is designed to provide annual feedback on the supports offered by NCEHS-CCP to inform its work for the next year. As a result, data collection is planned annually for 2016 through 2019. If the data collection were not approved, NCEHS-CCP would not have information about their performance among its target audience. If the data collection were not permitted annually, NCEHS-CCP would not be able to track its performance over time.

A7. Special circumstances

There are no special circumstances for the proposed data collection efforts.

A8. *Federal Register* notice and consultation

A. *Federal Register* notice and comments

In accordance with the Paperwork Reduction Act of 1995 (Pub. L. 104-13) and Office of Management and Budget (OMB) regulations at 5 C.F.R., Part 1320 (60 F.R. 44978; August 29, 1995), ACF published a notice in the *Federal Register* announcing the agency's intention to request an OMB review of this information collection activity. This notice was published on October 27, 2015, Volume 80, Number 207, pages 65764-65765, and provided a 60-day period for public comment. A copy of this notice is attached as Attachment D. During the notice and comment period, 0 comment(s) was (were) received.

B. Consultation with experts outside of the study

No experts outside the study team were consulted.

A9. Incentives for respondents

No incentives for respondents are proposed for this information collection.

A10. Privacy of respondents

The study will comply with Government regulations for securing and protecting paper records, field notes, or other documents that contain sensitive or personally identifiable information. The study will not include personal identifiers on the stakeholder survey (**Attachment B**) or notes prepared during the stakeholder telephone interviews (**Attachment C**). The study will assign a unique identification number to stakeholders to facilitate the linking of information across data sources.

Information collected will be kept private to the extent permitted by law. Respondents will be informed of all planned uses of the data, that their participation is voluntary, and that their information will be kept private to the extent permitted by law. The consent statement provided to study participants for each data collection activity includes a brief overview of the purpose of the study, a description of the data collection activity in which we are asking them to participate, and an estimate of the amount of time required to complete the activity. The consent statement also includes assurances that the research team will protect the privacy of respondents to the fullest extent possible under the law, that respondents' participation is voluntary, and that they may withdraw their consent at any time without any negative consequences.

The consent statement for the stakeholder survey is provided in the instruments' introductory section. This text will be presented on the first page of the stakeholder survey after the respondent logs in. For the stakeholder telephone interviews, the interviewer or facilitator will read a consent statement that includes assurances that the information shared will be kept private and reported in a manner that will not identify individual respondents. Consent will be provided verbally by the respondent after the interviewer or facilitator has read the consent statement.

A11. Sensitive questions

There are no sensitive questions in this data collection.

A12. Estimation of information collection burden

A. Total burden requested under this information collection

The stakeholder survey will have 233.33 respondents. All respondents will be key stakeholders including regional T/TA specialists, implementation planners and fiscal consultants, CCDF administrators, and Head Start state and national collaboration office directors. Stakeholders will receive the same survey regardless of their role, and we are not targeting a certain number of responses within each group. Each survey respondent will provide one response, with an average burden time of 30 minutes per response. Total burden hours for the stakeholder survey are 116.67 hours. The stakeholder telephone interviews will be conducted with 50 key stakeholders. Each will provide one response, with each response averaging one hour of burden time. Total burden hours for the stakeholder telephone interviews is 50. The estimated reporting burden and cost for the data collection instruments included in this information collection request are presented in Table A.2.

Recruitment and supplemental materials for the stakeholder survey are included in **Attachment E**. Stakeholders will be sent an advance email notification inviting them to take part in the study. Recruitment and supplemental materials for the stakeholder telephone interviews are included in **Attachment F**. For the stakeholder telephone interviews, the study team will send advance emails to individual stakeholders to notify them that they have been selected to participate in an interview, describe the purpose of the interview, confirm the stakeholder's interest in participating, and schedule the interview with them.

Table A.2. Estimate of burden and cost for the NCEHS-CCP evaluation

Instrument	Number of respondents	Number of responses per respondent	Average burden hours per response	Total burden hours	Average hourly wage	Total annual cost
Stakeholder ^a survey	233.33	1	.5	116.67	\$38.88	\$4,536.13
Stakeholder survey recruitment email	233.33	1	.05	11.67	\$38.88	\$453.73
Stakeholder telephone interviews	50	1	1.0	50	\$38.88	\$1,944
Stakeholder telephone interviews recruitment email	50	1	.05	2.5	\$38.88	\$97.20
Estimated total annual burden				180.87		\$7,031.06

^aStakeholders include regional T/TA specialists, implementation planners and fiscal consultants, CCDF administrators, and Head Start state and national collaboration office directors. Each stakeholder will receive the same survey and telephone interview regardless of role, thus the burden and cost estimates apply to all stakeholders.

B. Total annual cost

Average hourly wage estimates for deriving total annual costs are based on data from the Bureau of Labor Statistics, Current Employment Statistics Survey (2013). For each instrument included in Table A.2, we calculated the total annual cost by multiplying the annual burden hours by the average hourly wage. For stakeholders, we used the median weekly salary for full-time employees over the age of 25 with a degree higher than a bachelor's degree (\$38.88 per hour). The total estimated annual burden time is 116.67 hours annually for the stakeholder survey and 50 hours annually for the stakeholder telephone interviews. The total annual cost is \$4,536.13 for the stakeholder survey, and \$1,944 for the stakeholder telephone interviews.

A13. Cost burden to respondents or record keepers

There are no additional costs to respondents.

A14. Estimate of cost to the federal government

The total cost for the data collection activities under this current request will be \$1.2 million. Annual costs to the federal government will be \$300,000 for the proposed data collection.

A15. Change in burden

This is a new data collection.

A16. Plan and time schedule for information collection, tabulation, and publication

A. Time schedule and publications

Table A.3 contains the time line for the data collection and reporting activities. Data collection is expected to occur in summer of 2016 (pending OMB approval) and continue each spring and summer through 2019.

Table A.3. Schedule for the evaluation of NCEHS-CCP

Activity	Timing (pending OMB approval)
Data collection	
Stakeholder survey (round 1)	Summer 2016
Stakeholder telephone interviews (round 1)	Summer 2017
Stakeholder survey (round 2)	Summer 2018
Stakeholder telephone interviews (round 2) ^a	Summer 2019
Analysis	
Stakeholder survey (round 1)	Fall 2016
Stakeholder telephone interviews (round 1)	Fall 2017
Stakeholder survey (round 2)	Fall 2018
Stakeholder telephone interviews (round 2)	Fall 2019
Reporting	
Year 2 annual memo	October 2016
Year 3 annual memo	October 2017
Year 4 annual memo	October 2018
Year 5 annual memo	October 2019

^aPrior to data collection with the stakeholder telephone interviews in summer 2019, we will submit an extension with OMB to include this last year of data collection.

A17. Reasons not to display OMB expiration date

All instruments will display the expiration date for OMB approval.

A18. Exceptions to certification for Paperwork Reduction Act submissions

No exceptions are necessary for this information collection.

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