

APPENDIX E

AI/AN FACES 2019 AGREEMENT OF COLLABORATION AND PARTICIPATION

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American Indian and Alaska Native Head Start Family and Child Experiences Survey  
(AI/AN FACES) 2019

Agreement of Collaboration and Participation

The success of this important study of children and families served by Region XI Head Start programs depends on a close collaboration between each of the 22 unique Region XI programs and the study's data collection contractor, Mathematica Policy Research. The roles and responsibilities of each of the parties must be clearly stated and understood. The Agreement of Collaboration and Participation is designed to achieve this goal by specifying what Mathematica and each participating Region XI program agrees to as part of this collaborative effort.

Mathematica agrees to:	Region XI Head Start Program agrees to:
<ul style="list-style-type: none"> <li>• Respect program participants, including but not limited to Head Start program staff, community leaders and members, children, and their families.</li> <li>- Mathematica AI/AN FACES staff will receive training on the unique features of tribal programs, communities, and culture.</li> <li>- Mathematica will involve appropriate tribal program and community members at each phase of the study.</li> <li>- The goal is to create a partnership that benefits both parties and, most importantly, the children and families of Region XI.</li> </ul>	<ul style="list-style-type: none"> <li>• Work with AI/AN FACES study staff to achieve the goals of the study.</li> <li>- Provide assistance as needed to plan for and complete all data collection activities.</li> <li>- Provide guidance to AI/AN FACES study staff in how to work effectively and respectfully with members of the tribal community, including its leaders, program staff, children, and families.</li> </ul>
<ul style="list-style-type: none"> <li>• Protect the privacy of all study participants, Region XI programs, and tribal communities.</li> <li>- All study staff will sign confidentiality agreements.</li> <li>- Study staff trainings will include the importance of protecting the privacy of every participant, program, and tribal community and the consequences of breaching the agreement, including dismissal from the study.</li> <li>- Follow a need-to-know policy when sharing information about study participants with staff at Mathematica and program staff.</li> <li>- Data on laptop computers will be secured through hard drive encryption as well as operation and survey system configuration and a password. Any computer files that contain this information also will be locked and password-protected. The study team will remove from all completed questionnaires personal identifiers that could be used to link individuals with their responses. All hard copy questionnaires will be stored under lock and key.</li> <li>- Mathematica will only report on data at the national Region XI level. No findings will be reported for individual programs or tribal groups.</li> </ul>	<ul style="list-style-type: none"> <li>• Protect the privacy of all study participants, the program, and the tribal community.</li> <li>- Protect the identities of the children and families participating in the study.</li> <li>- Follow a need-to-know policy when sharing information about study participants with other program staff. Will not share information about study participants with anyone outside of the program, with the exception of AI/AN FACES study staff.</li> <li>- Recognize that individual, program, and community-level data or findings will not be shared.</li> </ul>
<ul style="list-style-type: none"> <li>• Work with Region XI Head Start program staff to obtain tribal approval for the program's participation in the study.</li> <li>- Work with the program to identify the required steps for tribal review and approval.</li> </ul>	<ul style="list-style-type: none"> <li>• Work with AI/AN FACES study staff to obtain tribal approval for the program's participation in the study.</li> <li>- Identify the tribal review and approval process and assist in presenting the study to tribal officials responsible for review and approval of</li> </ul>

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Mathematica agrees to:	Region XI Head Start Program agrees to:
<ul style="list-style-type: none"> <li>- Mathematica study directors and members of the AI/AN FACES Workgroup will present the study in person or by phone at the request of tribal authorities and will provide an informational fact sheet for sharing with the community.</li> </ul>	<p>the program's participation.</p> <ul style="list-style-type: none"> <li>- Share information about the study and its goals with members of the tribal community.</li> </ul>
<ul style="list-style-type: none"> <li>• Work in tandem with the on-site coordinator (OSC), designated by the program director, in order to meet project goals.</li> <li>- Mathematica will assign an AI/AN FACES liaison, a member of its professional staff, to work with each of the 22 Region XI programs participating in the study.</li> <li>- AI/AN FACES liaison will be the program's primary contact with Mathematica.</li> <li>- AI/AN FACES liaison will work with the OSC to schedule visits by AI/AN FACES study staff to the program to select the classrooms and children who will be asked to participate in the study and data collection visits.</li> <li>- AI/AN FACES liaison will work with the OSC to develop a logistical plan for data collection that meets the unique needs of the tribal program and achieves the study goals. AI/AN FACES liaison will share this data collection plan with the program director when finalized.</li> </ul>	<ul style="list-style-type: none"> <li>• Designate an on-site coordinator (OSC), who will work with the AI/AN FACES liaison in order to meet study goals.</li> <li>- The OSC will be Mathematica's primary contact with the program.</li> <li>- The OSC will assist AI/AN FACES study staff in scheduling AI/AN FACES study visits.</li> <li>- The OSC will work with the AI/AN FACES liaison to develop a data collection plan for the program.</li> </ul>
<ul style="list-style-type: none"> <li>• For programs with more than one center, select two centers randomly to participate. Many Region XI programs have only one center, and that center will be asked to participate.</li> </ul>	<ul style="list-style-type: none"> <li>• Provide a list of centers within the program, if applicable. The designated OSC will provide this information to the AI/AN FACES liaison.</li> </ul>
<ul style="list-style-type: none"> <li>• Conduct a visit in fall 2019 prior to the start of data collection to prepare for upcoming data collection activities.</li> <li>- This visit will typically last two to three days in each center.</li> <li>- Trained AI/AN FACES study staff will work with the OSC to randomly select the classroom and child samples, distribute and collect parent consents, and speak with parents about the study.</li> </ul>	<ul style="list-style-type: none"> <li>• Work with the AI/AN FACES liaison to arrange the visit by trained AI/AN FACES study staff.</li> </ul>
<ul style="list-style-type: none"> <li>• Randomly select classrooms for the study; typically, two classrooms will be selected in each center. The actual number of classrooms will vary depending on the size of the program and whether the program has one or more centers.</li> </ul>	<ul style="list-style-type: none"> <li>• Provide visiting AI/AN FACES study staff a list of all Head Start classrooms in the center for random selection into the study.</li> </ul>
<ul style="list-style-type: none"> <li>• Within selected classrooms, randomly select Head Start children for participation, ensuring that all children have an equal chance of being selected to participate.</li> <li>- Distribute consent forms to the parents/guardians of the children selected to participate in the study.</li> <li>- Meet with children's parents/guardians to explain the study, what participation involves, and answer their questions.</li> </ul>	<ul style="list-style-type: none"> <li>• Provide a list of Head Start children for random selection into the AI/AN FACES study.</li> <li>- Random selection into the study does not require participation: Signed parent/guardian written consent is required for each child to participate in the study.</li> <li>- Working with AI/AN FACES study staff, arrange for the distribution and collection of parent/guardian consent forms for children selected to participate in the study.</li> </ul>

Mathematica agrees to:	Region XI Head Start Program agrees to:
<ul style="list-style-type: none"> <li>• Communicate that participation is completely voluntary and inform participants of their rights as a participant.</li> <li>- Consent must be given by parents for children to participate, which will occur in fall 2019.</li> <li>- Participants may withdraw from the study at any time.</li> <li>- Program eligibility, services, and benefits are not in any way affected by study participation.</li> </ul>	<ul style="list-style-type: none"> <li>• Answer parents' questions about the study and what participation involves for both children and parents.</li> </ul>
<ul style="list-style-type: none"> <li>• Conduct data collection in a manner that is respectful of tribal customs and practices and is least disruptive to Head Start programs' daily routines.</li> <li>- Schedule data collection visits being cognizant of not disrupting any tribal community celebrations or events.</li> <li>- Be flexible in working with programs and their day-to-day activities.</li> <li>- Recognize that AI/AN FACES study staff are guests in the programs.</li> </ul>	<ul style="list-style-type: none"> <li>• Work with AI/AN FACES study staff to ensure that all data collection is respectful of program staff, children, and families and limits disruptions to day-to-day program activities and routines. Program staff, children, and families will be given enough advance notice of data collection activities to ensure all questions and concerns are addressed.</li> <li>- Provide information to study staff regarding appropriate verbal and nonverbal communications styles.</li> </ul>
<ul style="list-style-type: none"> <li>• Conduct the following data collection activities in fall 2019:</li> <li>- Trained and experienced Mathematica study staff will work with AI/AN FACES children (children who were selected for the study and whose parents have consented for them to participate), administering individual, age-appropriate assessments of children's school readiness skills.</li> <li>- Invite the parents of AI/AN FACES children to participate in a survey by web or phone.</li> <li>- Invite classroom teachers to complete reports on AI/AN FACES children by web or on paper.</li> </ul>	<ul style="list-style-type: none"> <li>• Work with AI/AN FACES study staff to arrange logistics for data collection activities, including:</li> <li>- Working with the AI/AN FACES study staff on the arrangement of on-site child assessments (such as reminding parents and teachers of the visit, designating a location for the assessments to take place, providing classroom schedules, etc.).</li> <li>- Monitoring the completion of surveys by parents and program.</li> </ul>
<ul style="list-style-type: none"> <li>• Confirm enrollment status for AI/AN FACES children prior to spring 2020 data collection to account for children changing classrooms and children leaving the program.</li> <li>- Children who change classrooms in the same center will be eligible for the spring data collection.</li> <li>- Children who leave the program will no longer be a part of the study sample.</li> </ul>	<ul style="list-style-type: none"> <li>• Provide an update on child enrollment of selected children between fall 2019 and spring 2020.</li> <li>- Provide an update on AI/AN FACES children's classroom assignment and teacher.</li> <li>- Identify children who have left the program and the reasons for leaving, if known.</li> </ul>
<ul style="list-style-type: none"> <li>• Conduct the following data collection activities in spring 2020:</li> <li>- Trained and experienced Mathematica study staff will work with selected children (whose parents consented in fall 2019 to let them participate), administering individual, age-appropriate assessments of their school readiness skills.</li> <li>- Staff will also conduct classroom observations in classrooms with AI/AN FACES children. Each classroom will be observed for roughly three hours.</li> <li>- Invite the parents of selected children to participate in a survey by web or phone.</li> </ul>	<ul style="list-style-type: none"> <li>• Work with AI/AN FACES study staff to arrange logistics for data collection activities, including:</li> <li>- Working with the AI/AN FACES study staff on the arrangement of on-site child assessments and classroom observations.</li> <li>- Monitoring the completion of surveys by parents and program staff.</li> <li>- Assisting AI/AN FACES study staff monitoring survey participation and obtaining completed surveys for the program director, center director, classroom teachers, and parents.</li> </ul>

Mathematica agrees to:	Region XI Head Start Program agrees to:
<ul style="list-style-type: none"> <li>- Invite classroom teachers to complete a teacher survey and reports on AI/AN FACES children by web or paper.</li> <li>- Invite program and center directors to complete surveys by web or on paper.</li> </ul>	
<ul style="list-style-type: none"> <li>• Provide gifts or gift cards for AI/AN FACES teacher, child, and parent participating in fall 2019 and spring 2020.</li> <li>- Each selected child completing the assessment will receive a culturally appropriate children’s book (worth \$10) and stickers throughout their individual assessment.</li> <li>- Teachers will be provided with stickers for all children in the selected classrooms.</li> <li>- Teachers will be asked to complete a 10-minute report for selected and participating children outside of school hours. They will receive a \$10 gift card for each form they complete.</li> <li>- Parents will receive a \$30 gift card for completing the parent survey.</li> <li>- In the spring, each classroom that is observed will receive a culturally appropriate gift for completing the classroom observation.</li> <li>- Work with program staff and members of the AI/AN FACES Workgroup to identify culturally and age-appropriate books for children and classrooms.</li> </ul>	<ul style="list-style-type: none"> <li>• Program will inform AI/AN FACES study staff of any restrictions on teachers receiving gift cards.</li> <li>• Program staff will assist Mathematica in identifying books that are appropriate for classrooms in their program.</li> </ul>
<ul style="list-style-type: none"> <li>• Share the findings from the AI/AN FACES study with the 22 participating programs.</li> <li>- All initial analyses of the data will be conducted by professional research staff at Mathematica who will work with members of the AI/AN FACES Workgroup to design analyses that answer the questions of greatest importance to Region XI and AI/AN communities.</li> <li>- Reports will be written by Mathematica staff with input from members of the AI/AN FACES Workgroup.</li> <li>- All findings will be reported for Region XI as a whole. No findings will be reported at the individual program or tribal community level.</li> <li>- Findings will focus primarily on descriptions of children and families in Region XI programs and their experiences in those programs.</li> <li>- Copies of all reports, briefs, and presentations of findings will be shared with participating programs.</li> </ul>	<ul style="list-style-type: none"> <li>• Assist in disseminating copies of reports, briefs, and presentations of findings to program staff, families, and communities. Programs will ensure that the findings are shared with the participants in the most appropriate manner; e.g., hard copy handouts, email, events offered to share in a group setting.</li> <li>- Reports generated by Mathematica with input from Administration for Children and Families and AI/AN FACES Workgroup will not be reviewed or approved by all 22 participating communities. Communities agree that these reports can be shared without their review and approval.</li> <li>- Reports will be posted on the ACF and OPRE websites to facilitate access by programs, tribal communities, and others.</li> <li>- Identify the desire for and assist with scheduling presentations from Mathematica staff and/or AI/AN FACES Workgroup members.</li> </ul>
<ul style="list-style-type: none"> <li>• Work with the Administration for Children and Families, Office of Planning, Research, and Evaluation, and members of the AI/AN FACES Workgroup to ensure that future analyses of the AI/AN FACES data are done accurately and recognize the uniqueness of tribal communities and peoples.</li> <li>- Conduct data training seminars on how to accurately</li> </ul>	<ul style="list-style-type: none"> <li>• Recognize that the Administration for Children and Families is the steward of AI/AN FACES data with guidance from the AI/AN FACES Workgroup and AI/AN FACES Data Committee, which include tribal early childhood researchers, tribal Head Start directors, and other tribal community representatives</li> </ul>

Mathematica agrees to:	Region XI Head Start Program agrees to:
<p>and ethically analyze and report on Region XI children and families.</p> <ul style="list-style-type: none"> <li>- Create a restricted-use data set that will be available to qualified researchers.</li> <li>- All personally identifiable information will be stripped from this data set, including names and tribal affiliations of all study participants, and the identity of study programs and participating tribal communities.</li> <li>- Access to these data will only be granted to individuals from institutes of higher education and research organizations. Tribal communities may have access to the data through partnerships with these individuals and organizations. Individuals requesting access will be required to submit an analysis plan for how they will use the data, provide evidence that their plan has been reviewed by an Institutional Review Board, review and acknowledge best practices for uses of the AI/AN FACES data on tribal programs and peoples, and sign a confidentiality pledge agreeing to protect the privacy of the study participants.</li> </ul>	<ul style="list-style-type: none"> <li>- Recognize that the Administration for Children and Families will grant access to AI/AN FACES data for qualified researchers to conduct secondary analyses of the data.</li> <li>- Collaborate with Mathematica, the Administration for Children and Families, Office of Planning, Research, and Evaluation, and the AI/AN FACES Workgroup to develop procedures for ensuring that data from the study are used accurately, ethically, and to the benefit of Region XI children and families.</li> <li>- Recognize that individual program or tribal community review or approval of products (e.g. reports, presentations) will not be obtained; the AI/AN FACES Workgroup and the AI/AN FACES Data Committee will provide guidance on AI/AN FACES data products (e.g. reports, presentations).</li> <li>- Recognize that no data will be returned to individual tribal programs or communities.</li> </ul>