Head Start Family and Child Experiences Survey 2019 (FACES 2019) OMB Supporting Statement for Data Collection

OMB Information Collection Request
0970-0151

Supporting Statement
Part A

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Submitted By:
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Administration for Children and Families
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A1. Necessity for the Data Collection

The Office of Planning, Research, and Evaluation, Administration for Children and Families (ACF), U.S. Department of Health and Human Services, is proposing to collect data for a new round of the Head Start Family and Child Experiences Survey (FACES). Similar to FACES 2014–2018, two parallel studies will commence in 2019. Each study will provide data on a set of key indicators for Head Start programs. FACES 2019 focuses on Head Start Regions I through X (which are geographically based); AI/AN (American Indian and Alaska Native) FACES 2019 focuses on Region XI (which funds Head Start programs that serve federally recognized American Indian and Alaska Native tribes).[1]

The purpose of the FACES data collection is to support the 2007 reauthorization of the Head Start program (P.L. 110–134), which calls for periodic assessments of Head Start's quality and effectiveness.

Study Background

ACF has contracted with Mathematica Policy Research and its subcontractors, Juárez and Associates and Educational Testing Service, to collect information on Head Start program performance measures. FACES 2019 extends a previously approved data collection program (OMB number 0970-0151) to a new sample of Head Start programs, families, and children. As with previous rounds, both FACES 2019 and AI/AN FACES 2019 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. AI/AN FACES 2019 builds on AI/AN FACES 2015 (also OMB number 0970-0151).

A previous information collection request (ICR) was submitted for Head Start program recruitment and the center selection process (approved August 31, 2018). This ICR describes the planned activities for the FACES 2019 and AI/AN FACES 2019 data collection. Classroom and child sampling information collection, direct child assessments, parent surveys, teacher child reports, teacher surveys, program director surveys, and center director surveys for both studies are included in this clearance package.

Legal or Administrative Requirements that Necessitate the Collection

There are two legislative bases for these data collection efforts: (1) the Government Performance and Results Act of 1993 (P.L. 103–62), requiring that the Office of Head Start (OHS) move expeditiously toward developing and testing Head Start performance measures; and (2) the Improving Head Start for School Readiness Act of 2007 (P.L. 110–134), which outlines requirements for monitoring, research, and standards for Head Start. FACES provides the mechanism for collecting data on nationally representative samples of programs, children, and families that Head Start serves in Regions I through X in order to provide OHS, other federal government agencies, local programs, and the public with valid and reliable national

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[1] In this document, we use the terms American Indian and/or Alaska Native (AI/AN) and Native to refer inclusively to the broad and diverse groups of American Indian and Alaska Native tribes, villages, communities, corporations, and populations in the United States, acknowledging that each tribe, village, community, corporation, and population is unique from others with respect to language, culture, history, geography, political and/or legal structure or status, and contemporary context.

information. Similarly, AI/AN FACES 2019 collects data on a nationally representative sample in Region XI to provide data to federal, local, and Native stakeholders.

A2. Purpose of Survey and Data Collection Procedures

Overview of Purpose and Approach

In 2019, FACES will enter its twenty-second year of serving as a source of timely, periodic, contextualized data about the national Head Start program and its participants. The study design takes into account the fact that the needs of the Head Start program and the broader early childhood education field are always evolving and that study measurement must respond to those shifts. It consists of a core set of data collection activities to capture key characteristics and indicators relating to programs, classrooms, and child and family outcomes. We refer to these activities occurring in Head Start Regions I through X as FACES 2019 and comparable activities in Region XI as AI/AN FACES 2019. The FACES 2019 design (just as with FACES 2014) has the flexibility to potentially integrate new measurement and content—known as Plus studies—to inform emerging programmatic questions.

Research Questions

The goals of FACES 2019 are 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 study also will focus on describing (4) the school readiness skills and family characteristics of children who participate in Head Start during 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. Research questions related to key subgroups of interest will also be supported. Across the two Core studies (Classroom + Child Outcomes Core and Classroom Core), we will address several types of questions, including:

1. What are the characteristics of Head Start programs, including structural characteristics and program policies and practices? Are the characteristics changing over time?

2. What are the characteristics and qualifications of Head Start teachers and management staff? Are the characteristics and qualifications changing over time?

3. What are the characteristics and observed quality of Head Start classrooms? Are classroom characteristics and quality improving over time?

4. Does classroom quality vary by characteristics of classrooms, teachers, or programs?

5. What characteristics of programs, teachers, or classrooms are associated with aspects of classroom quality?

6. What are the demographic characteristics and home environments of children and families served by Head Start? Are characteristics and home environments changing over time?

7. How do families make early care and education decisions?

8. What are the experiences of families and children in Head Start?

9. What are the average school readiness skills and developmental outcomes of the population of Head Start children in fall and spring of the Head Start year? What gains do children make during a year of Head Start? Are children's school readiness skills (average skills or average gains in skills) improving over time?

10. Do the school readiness skills of children in the fall and the spring, and their gains in skills, vary by child, family, program, and classroom characteristics?

11. 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?

AI/AN FACES 2019 addresses the following research questions:

1. What are the demographic characteristics and home environments of children and families that Region XI Head Start serves? What are the strengths and needs of the children and families who receive services?

2. What home and community-based activities (in particular concerning storytelling, Native language, and cultural or traditional ways) are available to children and families? What supports for Native language and culture are Region XI programs providing?

3. What are the average school readiness skills of Region XI 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?

4. What characteristics of children's Head Start experiences and home life are associated with better child outcomes?

As we will describe in Part B, AI/AN FACES 2019 focuses on children and families. We collect information on programs and classrooms to provide context for children's experiences. In Table A.1, we provide a brief overview of the 2019 study structure. Key characteristics include (1) data collection in a nationally representative sample of programs, centers, classrooms, and children;[2] (2) working with ACF and other key stakeholders to finalize elements of the Core and Plus studies; and (3) providing reporting products in a timely fashion after the completion of each FACES 2019 and AI/AN FACES 2019 wave.

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[2] As in FACES 2014–2018, data for FACES 2019 will be nationally representative at each of these levels; however, in AI/AN FACES 2019, data will be representative only at the child level.

Study Design

Table A.1. FACES study structure[a]

	Fall 2017 through spring 2019	Fall 2019	Spring 2020	Fall 2020	Spring 2021	Fall 2021	Spring 2022
FACES 2019 (Regions I–X)	Design with ACF *(recruitment begins spring 2019)*	Classroom + child	Classroom + child Classroom				Classroom
AI/AN FACES 2019 (Region XI)	Design with ACF *(recruitment begins fall 2018)*	Classroom + child	Classroom + child				
Plus Study (Regions I–X)				Potential design with ACF			Potential Plus study

[a]We will prepare reporting products beginning three months after each Core study and AI/AN FACES 2019 wave.

The overall design of FACES 2019 and AI/AN FACES 2019—the sampling plan, instruments, procedures, and data analysis plan—draws from the design of FACES 2014–2018 and earlier FACES studies, but we propose some changes in approach and instruments. Like previous studies, FACES 2019 and AI/AN FACES 2019 use a multistage sample design with four stages: (1) Head Start programs, (2) centers within programs, (3) classrooms within centers, and (4) children within classrooms for those programs in the Child + Classroom Outcomes Core only. We describe sampling procedures more fully in section B.1 and data collection procedures more fully in section B.2.

The FACES 2019 Classroom + Child Outcomes Core will occur in fall 2019 and spring 2020. At both time points, FACES 2019 will assess the school readiness skills of 2,400 Head Start children from 120 centers in 60 programs, survey their parents, and ask the children's teachers to rate children's social and emotional skills (see Table A.2). In spring 2020, the number of programs in the FACES 2019 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 in 360 centers. 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, and the Classroom Core collects program and classroom data across all 180 programs. If a Plus study is conducted, it will be conducted within the FACES 2019 spring 2022 sample. The spring 2022 Classroom Core and the potential spring 2022 Plus study will be included in a future information request. The remaining information request only includes information related to fall 2019 and spring 2020. See Part B for more details on data collection activities.

Table A.2. FACES 2019 instruments, sample size, type of administration, and periodicity

Instrument	Sample size[a]	Type of administration	Fall 2019	Spring 2020
Classroom sampling form from Head Start staff	360	CADE on the web[d]	X	X
Child roster form from Head Start staff[b]	120	CADE on the web[d]	X	
Direct child assessment[b]	2,400	CAPI with tablet computer[d]	X	X
Head Start teacher child report[b]	2,400	Web with paper option	X	X
Parent survey[b]	2,400	Web/CATI[d]	X	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
Head Start classroom observation[c]	720	CADE with tablet computer[d]		X

[a]Sample size reflects the total number of responses.

[b]Information gathered from 60 programs; all other components are collected from all 180 programs.

[c]No burden imposed for the classroom observation.

[d]CADE = computer-assisted data entry; CAPI = computer-assisted personal interviewing; CATI = computer-assisted telephone interviewing.

AI/AN FACES 2019 is similar in structure to the FACES 2019 Classroom + Child Outcomes Core. However, AI/AN FACES 2019 represents a much smaller population than the Core studies, with a correspondingly smaller sample. In fall 2019 and spring 2020, we will assess the school readiness skills of 800 Head Start children in 37 centers from 22 programs, survey their parents, and ask the children's teachers to rate children's social and emotional skills (see Table A.3). Classroom observations and surveys with program directors, center directors, and teachers will also be conducted in the spring.

Table A.3. AI/AN FACES 2019 instruments, sample size, type of administration, and periodicity

Instrument	Sample size[a]	Type of administration	Fall 2019	Spring 2020
Classroom sampling form from Head Start staff	37	CADE on the web[d]	X	
Child roster form from Head Start staff[b]	37	CADE on the web[d]	X	
Direct child assessment[b]	800	CAPI with tablet computer[d]	X	X
Head Start teacher child report[b]	800	Web with paper option	X	X
Parent survey[b]	800	Web/CATI[d]	X	X
Head Start teacher survey	80	Web with paper option		X
Program director survey	22	Web with paper option		X
Center director survey	37	Web with paper option		X
Head Start classroom observation[c]	80	CADE with tablet computer[d]		X

[a]Sample size reflects the total number of responses.

[b]Information gathered from 60 programs; all other components are collected from all 180 programs.

[c]No burden imposed for the classroom observation.

[d]CADE = computer-assisted data entry; CAPI = computer-assisted personal interviewing; CATI = computer-assisted telephone interviewing.

Major study activities to address the FACES 2019 research questions will include:

- 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 (approved under OMB number 0970-0151 on August 31, 2018)

- 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

- Analyzing and reporting findings

We will use the data collected as part of the FACES 2019 Core studies to provide descriptions of the characteristics, experiences, and outcomes for children and families served by Head Start; to describe characteristics of Head Start programs, centers, and classrooms; and to observe the associations among family and program characteristics and outcomes. Findings from FACES 2019 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.

Further, we will use the data collected as part of AI/AN FACES 2019 to provide rich, descriptive information about Region XI children, their parents, programs, classrooms, and teachers—with particular foci on children's Native cultural and linguistic contexts, understanding family material needs, and the gains children make in critical school readiness skills over the course of one Head Start year. These data will inform the decisions on how services are provided for children and families in Region XI.

Universe of Data Collection Efforts

Previously Approved

As noted above, data collection activities previously approved related to this information collection include those related to recruitment and selection (approved August 31, 2018):

- Telephone Script and Recruitment Information Collection for Program Directors, Regions I Through X (Attachment 1)

- Telephone Script and Recruitment Information Collection for Program Directors, Region XI (Attachment 2)

- Telephone Script and Recruitment Information Collection for On-Site Coordinators, Regions I Through X (Attachment 3)

- Telephone Script and Recruitment Information Collection for On-Site Coordinators, Region XI (Attachment 4)

Current Request

Data collection instruments in the current request include:

- **Classroom sampling forms from Head Start staff (Attachment 5, FACES 2019; Attachment 14, AI/AN FACES 2019):** Used to select the sample of classrooms at each selected Head Start center.

- **Child roster form from Head Start staff (Attachment 6, FACES 2019; Attachment 15, AI/AN FACES 2019):** Used to select the sample of children in each selected classroom at each selected center.

- **Parent consent form (Attachment 7, FACES 2019; Attachment 16, AI/AN FACES 2019):** Used to obtain consent from parents for the parent and child to participate in the study.

- **Head Start parent survey (Attachment 8, FACES 2019; Attachment 17, AI/AN FACES):** Used to collect information about the characteristics of the child, households and household members, economic and psychological well-being, the child's home experience, and program satisfaction. For FACES 2019, questions also gather information on program enrollment and engagement experiences. For AI/AN FACES 2019, questions also gather information on Native culture and language experiences in the home and community.

- **Head Start child assessment (Attachment 9, FACES 2019; Attachment 18, AI/AN FACES):** Used to measure children's cognitive skills (language, literacy, and mathematics), physical outcomes (height and weight), and executive function. Due to the nationwide outbreak of COVID-19, spring 2020 child assessment data collection was canceled.[3]

- **Head Start teacher child report (Attachment 10, FACES 2019; Attachment 19, AI/AN FACES):** Used to obtain information about children's academic and social-emotional development and approaches to learning.

- **Head Start teacher survey (Attachment 11, FACES 2019; Attachment 20, AI/AN FACES):** Used to collect information about lead teachers' training and educational background, professional experience, instructional practices, and feelings about teaching and the Head Start program. For FACES 2019, questions also gather information on domain-specific content and curriculum supports. For AI/AN FACES 2019, questions also gather information on Native culture and language experiences in the classroom.

- **Head Start program director survey (Attachment 12, FACES 2019; Attachment 21, AI/AN FACES):** Used to collect information about staff education and training, curriculum and assessment, program management, use of program data and information, professional development, and director background. For FACES 2019, questions also gather information on systems and funding intersection. For AI/AN FACES 2019, questions also gather information on approaches to include Native culture and language experiences in the program.

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[3] We completed two weeks of in-person data collection for AI/AN FACES prior to cancellation.

- **Head Start center director survey (Attachment 13, FACES 2019; Attachment 22, AIAN FACES):** Used to collect information about staffing, staff education and training, curriculum and assessment, program management, use of program data and information, professional development, and director background. For FACES 2019, questions also gather information on systems and funding intersection. For AI/AN FACES 2019, questions also gather information on approaches to include Native culture and language experiences in the program.

Observations do not entail respondent burden but will be conducted to gather information on teacher-child interactions, provisions for learning, emotional support, classroom organization, and instructional support. Appendix I for FACES and Appendix J for AI/AN FACES provide a list of the components. Due to the nationwide outbreak of COVID-19, spring 2020 classroom observation data collection was canceled.

A3. Improved Information Technology to Reduce Burden

The proposed data collection for FACES 2019 and AI/AN FACES 2019 builds on the techniques that reduced burden to study participants in FACES 2014 and AI/AN FACES 2015. As in FACES 2014 and AI/AN FACES 2015, 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 the 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. This reduces the time it previously took for the assessor to manually find and turn easel pages. Parents and teachers will be offered the flexibility of mode choice to complete their surveys. Parent surveys will be web-based or administered using computer-assisted telephone interviewing (CATI). We will continue to give Head Start teachers the option of completing their Head Start Teacher Child Report forms on the web or on paper. Head Start teachers, program directors, and center directors will have the option of completing their survey on the web or on paper.

A4. Efforts to Identify Duplication

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 FACES studies do not capture 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 five sources of primary data that will be collected in FACES 2019 and AI/AN FACES 2019: staff surveys, classroom observations, and—if part of child-level data collection—child assessments, teacher child reports, and parent surveys. 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. FACES also captures information for children attending Head Start centers, as opposed to other studies, such as Head Start CARES, which examined a randomized trial of interventions. Furthermore,

prior to AI/AN FACES 2015, Region XI Head Start programs have not been included in FACES studies; therefore, only limited data are available to assess the service needs of children and families in Region XI and to help guide policies and practices for addressing these needs.

A5. Involvement of Small Organizations

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

A6. Consequences of Less Frequent Data Collection

From the start of FACES in 1997 through the 2009 study, FACES was 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), which led to the FACES 2014–2018 Core Plus design. FACES 2019 continues this to increase the timeliness and accessibility of information by collecting data at regular intervals: classroom and program data approximately every two years and child-level data approximately every four years. This periodicity is necessary to measure at intervals when changes to policies or programmatic features may occur. Each round of data collection occurs within a single program year, so the data collection cannot be done less frequently than the current design.

A7. Special Circumstances

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

A8. *Federal Register* Notice and Consultation

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 CFR Part 1320 (60 FR 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 August 24, 2018, volume #83, number 165, pages 42894–42895, and provided a sixty-day period for public comment. A copy of this notice is attached as Appendix B**.** During the notice and comment period, no substantive comments were received.

Consultation with Experts Outside of the Study

Previous FACES studies and the FACES redesign involved many individuals and organizations. For FACES 2019, we will engage outside experts on particular topics as they emerge. To date, we have consulted experts concerning the measurement of intersections of state and local systems with Head Start in the director surveys, content and curriculum in the teacher survey and classroom observation, and family financial strain and the experiences of Hispanic/Latino families in the parent survey. These experts are listed in Table A.4.

Table A.4. FACES 2019 expert consultants to date by topic

Member	Affiliation	Topic(s) of consultation
Natasha Cabrera	University of Maryland; Hispanic Center	Hispanic/Latino families
Douglas Clements	University of Denver	Content and curriculum
Danielle A. Crosby	University of North Carolina—Greensboro; Hispanic Center	Hispanic/Latino families
Lisa Gennetian	New York University; Hispanic Center	Financial strain Hispanic/Latino families
Bridget Hamre	University of Virginia	Content and curriculum
Lynn Karoly	RAND	Intersection with state and local systems
Gretchen Kirby	Mathematica Policy Research	Intersection with state and local systems
Katherine Magnuson	University of Wisconsin	Financial strain
Cybele Raver	New York University	Financial strain
Sara Vecchiotti	Foundation for Child Development	Intersection with state and local systems
Barbara Wasik	Temple University	Content and curriculum

Additionally, the AI/AN FACES 2019 Workgroup was formed in recognition of the unique nature of conducting research in Native communities. The Workgroup includes Region XI Head Start directors and early childhood researchers with experience in Native communities (Table A.5). Together with AI/AN FACES 2019 study senior staff and federal officials, the Workgroup represents a collaborative effort to address cultural appropriateness in providing advice on updates to AI/AN FACES 2015 study design and approach. The group first convened in March 2018 and will continue to meet regularly to (1) identify key research questions and information needs; (2) update measures as appropriate in order to assess the growth and development of children served by Region XI Head Start programs and describe characteristics of children's homes and families, Head Start classrooms and programs; and (3) ensure continued use of research methods and practices that will be accepted in Native communities, as well as effective strategies for securing the participation of programs in the study and the approval of the Native communities. Workgroup members will provide input on the design and reporting of the analyses of data from the study, thus helping to ensure that the questions of greatest interest to Region XI programs and Native communities are answered.

Table A.5. AI/AN FACES 2019 Workgroup members

Member	Affiliation
Jessica Barnes-Najor	Michigan State University, Tribal Early Childhood Research Center
Ann Cameron	Inter-Tribal Council of Michigan
Lana Garcia	Pueblo of Jemez Head Start
Jacki Haight	Port Gamble S'Klallam Tribe Head Start
Tina Handeland	Zaasijiwan Lac du Flambeau Head Start
Charmaine Lundy	Kenaitze Indian Tribe Head Start
Laura McKechnie	Sault Ste. Marie Tribe Head Start
Ethan Petticrew	Cook Inlet Native Head Start
Michelle Sarche	University of Colorado Anschutz Medical Campus, Centers for American Indian and Alaska Native Health, Tribal Early Childhood Research Center
WJ Strickland	Office of Head Start Region XI Senior Program Specialist (retired)
Monica Tsethlikai	Arizona State University
Mavany Calac Verdugo	Rincon Band of Luiseno Indians Head Start (retired)
Jerry West	University of Maryland
Nancy Rumbaugh Whitesell	University of Colorado, Tribal Early Childhood Research Center

A9. Incentives for Respondents

Participation in FACES 2019 and AI/AN FACES 2019 will place some burden on program staff, families, and children. To offset this and to acknowledge respondents' efforts in a respectful way, we are requesting nominal monetary incentives for respondents, based on those we have used effectively in previous FACES and AI/AN FACES studies.

The following proposed incentives were described in the information collection request that was approved in August 2018.

We propose to offer each teacher a $10 gift card for every Teacher Child Report he or she completes for each sampled and consented FACES 2019 child in his or her classroom. We propose to offer parents a $30 gift card in each wave for participating in the parent survey (25 minutes for FACES 2019; 30 minutes for AI/AN FACES 2019) in fall 2019 and spring 2020. In addition, we propose to offer participating children a book worth approximately $10 every time the child participates in a 60-minute child assessment in fall 2019 and spring 2020. Table A.6 provides an overview of the proposed incentives for data collection.

Table A.6. FACES 2019 previously approved incentive structure compared to structure of prior studies

FACES Component	Respondent	FACES 2006 Incentive	FACES 2009 Incentive	FACES 2014[a] Incentive	FACES 2019[b] Incentive
Teacher child report	Teacher	Fall and spring: $7 per web form $5 per paper form	Fall and spring: $7 per web form $5 per paper form	Fall and spring: $10 per form	Fall and spring: $10 per form
Parent survey	Parent	Fall and spring: $35	Fall and spring: $35	FACES fall 2014 and spring 2015: $15 (additional $5 if completed within 2 to 3 weeks of receiving survey; additional $5 if completed on the web) AI/AN FACES fall 2015 and spring 2016: $25	Fall and spring: $30
Child assessment	Child	Fall and spring: children's book (valued at $10)	Fall and spring: children's book (valued at $10)	Fall and spring: children's book (valued at $10)	Fall and spring: children's book (valued at $10)

[a]Includes AI/AN FACES 2015 unless otherwise noted.
[b]Includes AI/AN FACES 2019 unless otherwise noted.

Taking into consideration guidance provided by the Office of Management and Budget (2006), we propose to provide participants with these incentives for the following reasons:

1. **They should increase response rates and mitigate nonresponse bias.** The knowledge that they will receive an incentive for completion will likely increase respondents' probability of completing the data collection activities. This has been found in particular for low-income and minority populations, which resemble the populations that Head Start serves. For example, in their meta-analysis, Singer et al. (1999) found that, in three studies, using incentives was useful in achieving higher response rates from respondents who might otherwise be underrepresented in surveys, such as those from low-income and minority populations. Singer and Kulka (2002) examined a number of studies that showed that incentives reduce differential response rates and the potential for nonresponse bias. While there is a tendency for response rates to decrease over multiple rounds of a study, incentives are able to mitigate the nonresponse, particularly among low-income and minority populations (Mack et al. 1998; Martin and Winters 2001; Singer et al. 2000).

    FACES 2014–2018 tried a tiered incentive approach to the parent survey, lowering amounts relative to the prior FACES study to $15 as a base (with add-ons for a potential of $25 total), and we saw lower response rates to the parent survey than seen in previous studies. We conducted a nonresponse bias analysis of key child-level characteristics (based on direct assessments, teacher reports, and sources other than the parent survey). It showed significant differences between those children

whose parents responded to the parent survey at baseline (fall 2014) and those whose parents did not, in terms of teacher-reported child disability status (with those with disabilities having a higher response rate than those without disabilities), child language (with non-English speakers more likely to respond than English speakers), parent access to unlimited cell phone minutes (with parents with limited cell phone minutes more likely to respond than those with unlimited minutes), and the program-level report of the percentage of enrolled children who are black and white (with children in programs with 20 percent or less black child enrollment, and those in programs with more than 50 percent white child enrollment, more likely to respond than with children in other types of programs). While the nonresponse adjustments incorporated in the analysis weights were able to mitigate these significant differences, the experience raises concern for nonresponse bias without an incentive being offered. For AI/AN FACES 2015, the child-level response rate was sufficiently high using a standard incentive approach. Therefore, our nonresponse bias analysis of AI/AN FACES in 2015–2016 was carried out at the program level only. Table A.7 illustrates the historical approach to incentives along with whether a nonresponse bias analysis was completed.

Table A.7. FACES parent incentive structure, response rates, and nonresponse bias information across studies

	FACES 2006	FACES 2009	FACES 2014	FACES 2019
Incentive structure	Fall and spring: $35	Fall and spring: $35	FACES fall 2014 and spring 2015: $15 (additional $5 if completed within 2 to 3 weeks of receiving survey; additional $5 if completed on the web) AI/AN FACES fall 2015 and spring 2016: $25	Fall and spring: $30

	FACES 2006	FACES 2009	FACES 2014	FACES 2019
Response rate	Fall: 96.2%	Fall: 93.1%	FACES fall 2014: 77.5% AI/AN FACES fall 2015: 83.4%	NA
Nonresponse bias analysis	NA	NA	Significant differences with responders more likely to have a child with a disability, household with a non-English home language, have limited cell minutes, and attend programs with lower percentage of black and higher percentage of white children[a]	NA

[a]See Appendix O for the Nonresponse Bias Analysis for the FACES Core Study Parent Survey in Fall 2014 and Spring 2015.

2. **Complex study design.** Additionally, for longitudinal studies such as FACES, offering incentives has been shown to be an effective way to retain participants over time (James 2001; Mack et al. 1998; Martin and Winters 2001). Therefore, we believe that using a similar approach for FACES 2019 is the best way to achieve high response rates for the current study. The participation of respondents in the

study activities is key to ensuring that high-quality information is gathered. High levels of participation among the sampled Head Start programs, staff, and families are essential to help ensure that estimates are nationally representative; high participation rates reduce the risk of nonresponse bias, which in turn will help produce more nationally representative estimates. We have historically achieved high response rates on FACES. The prior rounds used incentives within $5 of our proposed amounts,[4] with response rates above 80 percent, and in many cases above 90 percent. It is difficult to find complex studies with populations similar to FACES that did not use incentives. In addition, comparable studies of low-income young families, such as Baby FACES (OMB number 0970-0354, expires September 30, 2019) and PACT (OMB number 0970-0403, expired December 31, 2016), have all included incentives to families and children. However, for the Project LAUNCH Cross-Site Evaluation (OMB number 0970-0373, expires October 31, 2019), the study initially did not offer an incentive to respondents who completed the web-based parent survey. It was found that early respondents (pre-incentive) were not representative of their communities. Minorities, individuals with lower incomes and education levels, and those who worked part-time or were unemployed were underrepresented. OMB then approved a $25 post-pay incentive *after* data collection had started. Completion rates and representativeness both improved following the addition of the incentives (Lafauve et al. 2018).

3. **Equity.** AI/AN FACES 2019 will follow the same incentive structure as FACES 2019, similar to FACES 2014 and AI/AN FACES 2015. Although they are two distinct studies, we kept the incentive structure the same for both after discussion with the AI/AN FACES 2015 Workgroup and determining that incentives are responsive to the population's needs. This approach is supported by recent findings. Doughty (2017) and Permuth-Wey and Borenstein (2009) found that offering incentives for participation in research in the AI/AN community shows respect for AI/AN involvement in research, increases participation, and should be offered in a way consistent with local societal norms.

A10.   Privacy of Respondents

All respondents will receive information about privacy protections before they are asked to participate in the study (see Attachment 7, FACES 2019 parent consent form, Attachment 16, AI/AN FACES 2019 parent consent form, and respondent materials in Appendix K for FACES 2019 and Appendix L for AI/AN FACES 2019) . The study team will repeat this information at the start of each survey and interview. All interviewers and data collectors will be trained about privacy procedures and thus prepared to describe them in detail and answer any related questions respondents may raise.

Our carefully worded consent forms explain in simple, direct language the steps we take to protect the privacy of the information each sample member provides. We will assure parents as they are recruited and again 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 parents and staff that their responses will be reported only as part of aggregate statistics across all participants. ACF will obtain informed consent from all parents before their

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[4] Differences in incentives reflects changes in length and mode.

participation, obtain consent to assess their children, and ask permission to contact them at a later time as needed (see Attachment 7, FACES 2019 parent consent form and Attachment 16, AI/AN FACES 2019 parent consent form). The FACES study FAQ and brochure (Appendix K for FACES 2019 and Appendix L for AI/AN FACES 2019) make it clear that parents and staff may withdraw their consent at any time. Staff are also asked to provide consent before completing their surveys.

Respondents will be informed of all planned uses of data, that their participation is voluntary, that they may withdraw consent at any time without negative consequences, and that their information will be kept private to the extent permitted by law.

As specified in the contract signed by ACF and Mathematica (referred to as the Contractor in this section), the Contractor shall protect respondent privacy to the extent permitted by law and comply with all federal and departmental regulations for private information. The Contractor submitted a Data Security Plan that assesses all protections of respondents' personally identifiable information on December 20, 2017 (to be updated annually). The Contractor shall ensure that all its employees, subcontractors (at all tiers), and employees of each subcontractor who perform work under this contract/subcontract receive training on data privacy issues and comply with the above requirements. All the Contractor's staff sign the Contractor's confidentiality agreement when joining the company. We have attached a copy of the agreement, called the Mathematica Confidentiality Pledge (Appendix C). Staff who work on AI/AN FACES 2019 must sign an additional confidentiality agreement (Appendix D).

The study will obtain a Certificate of Confidentiality from the National Institutes of Health. The study team will provide this certificate to OMB upon receipt. The Certificate of Confidentiality helps assure participants that their information will be kept private to the fullest extent the law permits. Further, all materials to be used with respondents as part of this information collection, including consent statements and instruments, will be submitted to Health Media Lab Institutional Review Board (the Contractor's institutional review board) for approval.

As specified in the evaluator's contract, the Contractor shall use Federal Information Processing Standard (currently, FIPS 140-2) compliant encryption (Security Requirements for Cryptographic Module, as amended) to protect all instances of sensitive information during storage and transmission. The Contractor shall securely generate and manage encryption keys to prevent unauthorized decryption of information, in accordance with the Federal Processing Standard. The Contractor shall incorporate this standard into the Contractor's property management/control system and establish a procedure to account for all laptop computers, desktop computers, and other mobile devices and portable media that store or process sensitive information. The Contractor will secure any data stored electronically in accordance with the most current National Institute of Standards and Technology requirements and other applicable federal and departmental regulations. In addition, the Contractor must submit a plan for minimizing, to the extent possible, the inclusion of sensitive information on paper records and for the protection of any paper records, field notes, or other documents that contain sensitive data or personally identifiable information, ensuring secure storage and limits on access.

Information will not be maintained in a paper or electronic system from which they are actually or directly retrieved by an individuals' personal identifier.

A11.   Sensitive Questions

To achieve its primary goal of describing the characteristics of the children and families served by Head Start, we will ask parents and teachers a few sensitive questions, including some aimed at assessing depressive symptomatology, use of services for emotional or mental health problems, and reports of family violence or substance abuse. Parents will also be asked about household income, and all staff will be asked to report their salaries. The invitation will inform participating parents that the survey will ask sensitive questions (Appendix K for FACES 2019 and Appendix L for AI/AN FACES 2019). The invitation will also inform parents and staff 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. We have collected this information in past FACES data collections to describe the Head Start population and staff and to examine child outcomes and change in those outcomes over time.

Additionally, we recognize that AI/AN families and staff can be concerned about research given past violations of trust, and we emphasize the efforts taken to collaborate with Region XI Head Start directors and community leaders and early childhood researchers with experience in Native communities conducting scientifically and culturally rigorous research that will benefit AI/AN Head Start programs.

A12.   Estimation of Information Collection Burden

Burden Hours

Table A.8 presents the previous request to cover recruitment activities related to selection of Head Start programs and centers. The total annual burden for all the instruments in the previously approved information collection request was 288 hours. These information-gathering activities are currently ongoing.

TABLE A.8 (CONTINUED)

Table A.8. Previously approved estimated information-gathering annual response burden and previously approved information-gathering 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
Telephone script and recruitment information collection for program directors, Regions I–X	230	77	2	1	154	$29.10	$4,481.40
Telephone script and recruitment information collection for program directors, Region XI	30	10	1	1	10	$29.10	$291.00
Telephone script and recruitment information collection for on-site coordinators, Regions I–X	230	77	2	.75	116	$29.10	$3,375.60
Telephone script and recruitment information collection for on-site coordinators, Region XI	30	10	1	.75	8	$29.10	$232.80
Estimated Total					**288**		**$8,380.80**

The total estimated annual burden hours for the current data collection request is 2,926. Table A.9 includes data collection activities for fall 2019 and spring 2020 and lists the estimated annual burden hours for each of the fall 2019 and spring 2020 FACES 2019 and AI/AN FACES 2019 instruments.

Table A.9. FACES 2019 and AI/AN FACES 2019 burden hours for fall 2019 and spring 2020

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
FACES 2019 classroom sampling form from Head Start staff	360	120	1	0.17	20	$29.68	$593.60
FACES 2019 child roster form from Head Start staff	120	40	1	0.33	13	$29.68	$385.84
FACES 2019 parent consent form	2,400	800	1	0.17	136	$18.15	$2,468.40
FACES 2019 Head Start parent survey	2,400	800	2	0.42	672	$18.15	$12,196.80
FACES 2019 Head Start child assessment	2,400	800	1	1.00	800	n.a.	n.a.
FACES 2019 Head Start teacher child report	240	80	20	0.17	272	$29.68	$8,072.96
FACES 2019 Head Start teacher survey	720	240	1	0.50	120	$29.68	$3,561.60
FACES 2019 Head Start program director survey	180	60	1	0.67	41	$29.68	$1,216.88
FACES 2019 Head Start center director survey	360	120	1	0.67	81	$29.68	$2,404.08
AI/AN FACES 2019 classroom sampling form from Head Start staff	37	13	1	0.17	2	$29.68	$59.36
AI/AN FACES 2019 child roster form from Head Start staff	37	13	1	0.33	4	$29.68	$118.72
AI/AN FACES 2019 parent consent form	800	267	1	0.17	45	$18.15	$816.75
AI/AN FACES 2019 Head Start parent survey	800	267	2	0.50	267	$18.15	$4,846.05
AI/AN FACES 2019 Head Start child assessment[a]	500	167	2	1.00	334	n.a.	n.a.
AI/AN FACES 2019 Head Start teacher child report	80	27	20	0.17	92	$29.68	$2,730.56
AI/AN FACES 2019 Head Start teacher survey	80	27	1	0.58	16	$29.68	$474.88
AI/AN FACES 2019 Head Start program director survey	22	8	1	0.50	4	$29.68	$118.72
AI/AN FACES 2019 Head Start center director survey	37	13	1	0.50	7	$29.68	$207.76
Estimated Total					**2,926**		**$40272.96**

n.a. = not applicable.

a. 213 AI/AN child assessments have already been completed in the spring prior to COVID-related cancellation, therefore the average number of respondents reflects those completions.

Total Burden

The annual burden associated with the previously approved information collections (288) in addition to the annual burden associated with this new information collection request (2,926) is a total of 3,214 annual burden hours.

Total Annual Cost

To compute the total estimated annual cost, we multiplied the total annual burden hours by the average hourly wage for each adult participant, based on median weekly wages from the second quarter estimates of the Current Population Survey, Bureau of Labor Statistics (2018). The results appear in Table A.9. 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 ($29.68 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 ($18.15 per hour).

A13. Cost Burden to Respondents or Record Keepers

On-site coordinators (OSCs) in FACES 2019 participating in child-level data collection and in AI/AN FACES 2019 will be offered a $500 honorarium in fall 2019 for their critically-needed assistance and continued support of, on average, 20 hours across 2 months for a given wave. The honoraria proposed are meant to cover the time they will spend obtaining parent consent from about 40 parents for interviews; to help with scheduling both sampling and child assessment visits; to help with scheduling an average of four classroom observations in the spring; and to conduct follow-up with parents, teachers, and other staff for completion of surveys and Teacher Child Reports. The OSC's familiarity with families and the families' trust in the local staff member will be imperative for a successful data collection effort. In spring 2020, all OSCs in FACES 2019 and AI/AN FACES 2019 will receive $250 for their assistance in scheduling data collection visits to include classroom observations and staff surveys. The amounts being provided to the OSC in fall 2019 and spring 2020 are the same as previous FACES studies. For all studies, the OSC plays a critical role communicating study information to program and center staff, gathering the data needed to perform sampling activities, and communicating center information back to study staff.

A14. Estimate of Cost to the Federal Government

The total cost for FACES 2019 data collection related to the instruments is estimated to be $6,113,830. These costs include the sampling, data collection, data processing, and analysis. The annual cost to the federal government is $2,037,943.

The total cost for AI/AN FACES 2019 data collection related to the instruments is estimated to be $2,799,419. These costs include the sampling, data collection, data processing, and analysis. The annual cost to the federal government is $933,140.

The total cost for FACES 2019 and AI/AN FACES 2019 data collection is $8,913,249 ($6,113,830 + $2,799,419). The annual cost to the federal government is $2,971,083.

A15. Change in Burden

This request is for additional data collection activities under OMB number 0970-0151.

A16.   Plan and Time Schedule for Information Collection, Tabulation, and Publication

Fall data collection for both FACES 2019 and AI/AN FACES 2019 will take place between September and December 2019; spring data collection will take place between March and June 2020. Section B.2 describes our analytic methods; in this section, we describe the publication plans based on those tabulations.

We expect to develop the following products after each FACES 2019 study wave (fall 2019 and spring 2020): (1) a key indicators brief, (2) one large volume of descriptive data tables, and (3) two topical briefs.

The fall 2019 key indicators brief will highlight key descriptive information about FACES families and children. Possible fall indicators may describe the demographic backgrounds and developmental outcomes of children enrolled in Head Start in fall 2019 and detail aspects of their home environment and family life. The spring 2020 indicators will highlight characteristics of children and families; children's progress during the year; and aspects of classrooms, centers, and programs. The key indicators will remain largely the same from one wave to the next to facilitate comparisons across FACES studies and data collection waves.

The fall 2019 data table set 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 2020 data tables will include data on children (for example, children's development across the program year), teachers, classrooms, centers, and programs (for example, program policies, classroom quality, and teacher practices). Using data from the director surveys and the Head Start Program Information Report, the tables will describe program quality and services (including classroom quality, professional development, director characteristics, and teacher characteristics), and compare program subgroups (such as, program auspice or size).

Topical briefs will examine topics introduced in the fall 2019 and spring 2020 table sets with greater depth or for particular subgroups. For example, they will focus on specific topics related to financial strain, Hispanic/Latino families' program experiences, content and curriculum use in classrooms, and intersections of programs with state and local systems.

For AI/AN FACES 2019, a similar set of products will be prepared. The exact topics for a given report or brief will be determined in collaboration with AI/AN FACES 2019 Workgroup members but would include descriptions of Region XI children and their families, classrooms, and programs. Topics for the key indicators briefs and data table sets will likely be similar to those presented in AI/AN FACES 2015 presentations and data tables, respectively, with the Workgroup guiding additions or updates. Topics might include children's home/family characteristics, family resources and needs, children's Native cultural and language experiences in and out of Head Start, children's development (for example, language, literacy, early math skills, body mass index, social skills, problem behaviors, and executive functioning).

At the end of spring 2020, we will also produce the following products: (1) public use files and (2) technical reports/user's manuals that detail the study design, analysis methods,

nonresponse and nonresponse bias, and the psychometric properties of the measures. AI/AN FACES 2019 will have its own restricted use file and user's guide produced at the end of the study in spring 2020.

A17. Reasons Not to Display OMB Expiration Date

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.

A18. Exceptions to Certification for Paperwork Reduction Act Submissions

No exceptions are necessary for this information collection.

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