

# **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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## Part A

### Executive Summary

- **Type of Request:** This information collection request is for a revision to an approved collection. We are requesting one year of approval.
- **Progress to Date:** The Administration for Children and Families' Head Start Family and Child Experiences Survey (FACES) periodically collects nationally representative information about Head Start programs, their staff, and the children and families they serve to inform program planning and technical assistance and enable research. The Office of Management and Budget (OMB) approved the FACES 2019 and American Indian and Alaska Native (AIAN) FACES 2019 data collections under this control number (0970-0151). This included Head Start program recruitment and center selection, fall 2019 and spring 2020 data collection activities, recruitment for the fall 2021 and spring 2022 waves, and data collection for the fall 2021 wave. Data collection for the fall 2019 and spring 2020 waves of FACES 2019 and AIAN FACES 2019 is now complete. Data collection for the fall 2021 wave concluded in January 2022. Due to pandemic-related limitations, we did not meet our target number of eligible and consented children in fall 2021 for FACES or AIAN FACES. Additionally, there was a lower fall 2021 survey completion rate than anticipated among parents who provided consent, and for teacher child reports and teacher surveys in FACES and AIAN FACES. See Table B.4 in Supporting Statement Part B for the full sample sizes and response rates for the three completed waves. An information collection request for planned data collection activities for FACES program- and classroom-level data collection in spring 2022, as well as spring 2022 FACES and AIAN FACES data collection activities to follow up on fall 2021, addressing how families and staff are faring during the COVID-19 pandemic,<sup>1</sup> was approved on December 20, 2021. Data collection activities for both studies include teacher sampling, parent surveys, teacher child reports, and staff surveys. FACES was to include classroom observations in spring 2022, but these were canceled due to the uncertainty of the COVID-19 pandemic. A nonsubstantive change to cancel classroom observations was approved on February 14, 2022.
- **Previous Terms of Clearance:** Before approval of the spring 2022 request, OMB inquired about the possibility of revising some spring 2022 instruments to serve as a baseline to understand changes that might occur with implementation of the proposed Build Back Better Act or similar initiatives. Therefore, to allow the study to move forward with pre-data collection sampling activities included in the package, OMB approved the spring 2022 package (so spring sampling activities could proceed) with the understanding that OPRE would submit revised instruments for nonsubstantive change by early 2022.
- **Summary of Changes Requested:** We made four types of changes to spring 2022 FACES and AIAN FACES data collection: 1) updated consent forms and consent collection procedures, including extending the consent process for children selected in fall 2021 into spring 2022 and adding verbal consent processes and an in-person consent collection; 2) created new materials to raise awareness about the studies and revised respondent materials to communicate the importance of hearing respondents' voices; 3) increased the spring honorarium for the on-site coordinator (OSC), a Head Start staff person who serves as the main study contact at the program; and 4) revised instruments and respondent materials based on OMB, OHS, and ACF requests, and to reflect changes to data

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<sup>1</sup> Coronavirus disease 2019

collection procedures. For more details about these changes, please refer to the attached nonsubstantive change request memo.

- **Time Sensitivity:** Some programs in the FACES and AIAN FACES samples begin closing for the program year in early May. To allow program and center staff enough time to complete their surveys before then, we must begin data collection no later than mid-April. We also need to implement changes to the consent process, including the planning for and scheduling of in-person consent collection visits, as soon as possible before we start collecting data to maximize our spring sample sizes and to allow enough time to program the changes to the instruments. Activities related to increasing consent rates would start immediately upon approval of this nonsubstantive change.

## A1. Necessity for Collection

The Head Start Family and Child Experiences Survey (FACES) is funded by the Office of Planning, Research, and Evaluation (OPRE), Administration for Children and Families (ACF), U.S. Department of Health and Human Services. FACES periodically collects nationally representative information about Head Start programs, their staff, and the children and families they serve to inform program planning and technical assistance and enable research. In the current study, we refer to these activities occurring in Head Start Regions I through X as FACES 2019 and comparable activities in Region XI as American Indian and Alaska Native<sup>2</sup> (AIAN) FACES 2019. In April 2019, the Office of Management and Budget (OMB) approved the FACES 2019 and AIAN FACES 2019 data collections under this control number (0970-0151). This included Head Start program recruitment and center selection and fall 2019 and spring 2020 data collection activities. For information about previous FACES information collection requests, see: <https://www.reginfo.gov/public/do/PRAOMBHistory?ombControlNumber=0970-0151>.

After completing data collection in spring 2020, the final planned data collection was to take place in spring 2022 with program and classroom data collection in FACES 2019. However, OPRE added a data collection in fall 2021 and spring 2022 for FACES 2019 and AIAN FACES 2019. This special fall 2021 wave of FACES 2019 and AIAN FACES 2019 provides data on a set of key indicators for Head Start programs in their respective regions, with a focus on the specific characteristics and needs of families and teachers after nearly two years of living in the COVID-19 pandemic.

The most recently approved materials under this OMB number describe the fall 2021 activities (including procedures for recruiting programs; sampling plans for Head Start programs, centers, classrooms, and children; and administering teacher–child reports, a teacher survey, and a parent survey) and the FACES spring 2022 recruitment activities (including procedures for recruiting new programs and sampling plans for new Head Start programs and centers). The current information collection request focuses on data collection activities for spring 2022, including selecting teachers in additional programs; surveying parents, teachers, center directors, and program directors; and collecting child-level data from teacher–child reports and parent surveys. We aim to collect descriptive information about Head Start classrooms, teachers, centers, and programs and understand how the pandemic has continued to impact children and families served by Head Start.

### Study Background

ACF has contracted with Mathematica to collect information on Head Start programs and families. FACES 2019 and AIAN FACES 2019 extend previously approved data collections (OMB number 0970-0151) to new samples of Head Start programs, families, and children. As with previous FACES and AIAN FACES studies, FACES 2019 and AIAN FACES 2019 collect information from a national probability sample of Head Start programs to ascertain progress Head Start has made toward meeting program performance goals.

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<sup>2</sup> In this document, we use the terms *American Indian* and/or *Alaska Native (AIAN)* 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 distinct from others with respect to language, culture, history, geography, political and/or legal structure or status, and contemporary context.

## Legal or Administrative Requirements That Necessitate the Collection

There are two legislative bases for the FACES 2019 and AIAN FACES 2019 data collection: (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 2019 provides the mechanism for collecting data on nationally representative samples of programs, children, and families that Head Start serves in Regions I through X to provide OHS, other federal government agencies, local programs, and the public with valid and reliable national information. Similarly, AIAN FACES 2019 collects data on a nationally representative sample in Region XI to provide data to federal, local, tribal, and other stakeholders.

## A2. Purpose

### Purpose and Use

For 24 years, FACES has served as a source of timely, periodic, descriptive data about the Head Start program and its participants. Starting in 2015, AIAN FACES has served as the first national study of Region XI Head Start (Region XI was not included in prior FACES studies). Both studies consist of data collection activities to capture key characteristics and indicators relating to programs, classrooms, and child and family outcomes. OHS and ACF staff use this information to determine well-being and need and inform program decisions to improve service quality. Across the prior waves of FACES, the study design has addressed the changing information needs of OHS and ACF and has adapted the data collection accordingly, maintaining the ability to compare trends in data over time and across studies. The FACES and AIAN FACES studies are perfectly positioned to collect data related to how Head Start families are faring as a result of the COVID-19 pandemic and the social and economic changes since March 2020.

There are three components of data collection in spring 2022: first, a previously planned FACES 2019 spring 2022 data collection, with the goal of providing rich descriptive information about Head Start classrooms, teachers, centers, and programs. Second, we will add new FACES 2019 and AIAN FACES 2019 spring 2022 data collection components to provide information on changing child and family needs two years after the start of the COVID-19 pandemic. And third, AIAN FACES will collect information about children’s classrooms, teachers, centers, and programs, as context for children’s Head Start experiences. We will work with the Child and Family Data Archive to archive restricted-use FACES 2019 and AIAN FACES 2019 data for secondary data analysis by researchers. The Inter-University Consortium for Political and Social Research will house the archived data. Table A.12 outlines the timeline for the data archive process.

### Previously Approved Requests

The study team fielded the first two waves of FACES 2019 in fall 2019 and spring 2020 in 165 Head Start programs nationwide. ACF has used data from those waves 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 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.



ACF has used the data collected as part of AIAN FACES 2019 (fielded in fall 2019 and spring 2020 in 22 programs) to provide rich, descriptive information about Region XI children, their parents, programs, classrooms, and teachers. ACF has particularly focused on understanding children’s Native cultural and linguistic contexts, families’ material needs, and children’s school-readiness skills during one Head Start year. These data inform the decisions on how ACF provides technical assistance to programs and services for children and families in Region XI.

Spring 2020 data collection had just begun for FACES 2019 and AIAN FACES 2019 when the World Health Organization declared COVID-19 a pandemic and the United States declared it a public health emergency (Centers for Disease Control and Prevention 2020). In-person data collection was cancelled but remote surveys continued. ACF added questions to the center and program director surveys to learn about how programs adjusted their services and communication with families and staff, and general supports provided during the pandemic.<sup>3</sup>

To support Head Start programs and families, ACF added a new information collection for fall 2021 to learn about the well-being of Head Start children, families, and staff. This request added child-level data collection in fall 2021 for FACES 2019 and AIAN FACES 2019. The study team contacted Head Start programs again and updated center and classroom samples. The team invited parents to complete surveys, and teachers to complete surveys and rate the social and emotional skills of children in their classrooms. The study team will contact all FACES and AIAN FACES programs again. In FACES, a small number of new programs will be added as needed to reflect Head Start programs in fall 2021. In September 2021, OMB approved materials that described the FACES spring 2022 recruitment activities, including procedures for recruiting new programs and sampling plans for new Head Start programs and centers.

### **Current Request**

The current request includes the specific data collection materials for the previously planned FACES 2019 spring 2022 data collection to describe classrooms, teachers, centers, and programs and to provide OHS with key indicators of program functioning in Regions I–X. In addition, although the COVID-19 pandemic began nearly two years ago, families continue to face health and economic concerns, and programs continue to adjust operations to determine how best to deliver services. To support programs and families, OHS needs new information on the well-being of Head Start children, families, and staff. Therefore, this request adds child-level data collection in spring 2022 for FACES 2019 and AIAN FACES 2019, and teacher, center, and program-level data collection for AIAN FACES 2019. In both studies, parents and teachers will complete surveys, and teachers will complete ratings of children. The data collected will help describe the children and families attending Head Start and provide information on teacher characteristics and well-being two years into the COVID-19 pandemic. Center and program directors will complete surveys in both studies in order to better understand program functioning and to provide information about staff well-being and supports centers and programs are providing (both studies). The information collected will contribute to the body of knowledge on ACF programs. It is not intended to be used as the principal basis for a decision by a federal decision maker, nor is it expected to meet the threshold of influential or highly influential scientific information.

### **Research Questions or Tests**

Research questions for both studies are framed to describe (1) the children and families who participate in Head Start—families’ resources and needs, parents’ mental well-being, and children’s cognitive and

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<sup>3</sup> OMB approved the addition of questions through change requests in April and May 2020.

social-emotional skills; (2) the changes or trends in those characteristics over time, including since the onset of the COVID-19 pandemic; (3) the factors or characteristics that might explain differences in children’s skills and development and family experiences; (4) the characteristics and mental well-being of Head Start teachers; (5) staff recruitment and retention, including staff compensation and benefits; and (6) the impact of the COVID-19 pandemic on program operations and programs’ emergency preparedness. Research questions related to key subgroups of interest will also be supported (for example, by household income or race and ethnicity in FACES, or for American Indian and Alaska Native children in AIAN FACES). In addition, FACES’ research questions investigate the characteristics of programs, centers, and teachers and the classrooms they teach.

The FACES 2019 spring 2022 wave will address numerous questions, including some that can be addressed by comparing data across rounds of FACES (for example, looking at change between spring 2020 and spring 2022):

1. What are the characteristics of Head Start programs, including services offered, structural characteristics, and program policies and practices? Have these characteristics changed over time?
2. What are the characteristics of Head Start classrooms? Have classroom characteristics changed over time?
3. What are the characteristics and qualifications of Head Start teachers and management staff? Have these characteristics changed over time?
4. Did programs use the new quality improvement funds on activities or investments in the first year it was awarded? If so, what were those expenses?
5. What are the demographic characteristics of children and families served by Head Start in spring 2022? Have these characteristics changed over time?
6. What are the cognitive and social-emotional skills of children in spring 2022?
7. What are the resources, supports, and needs of families served by Head Start in fall 2021 and spring 2022—notably related to economic situations and mental and physical health? Have these resources, supports, and needs changed over time?
8. What are families’ early care and education needs, and how do families make early care and education decisions?
9. How frequently and in what types of activities are families involved in children’s Head Start programs, and how satisfied are families with their experiences with Head Start?
10. What is the relationship between program and social supports and families’ economic situation and mental well-being?
11. What are the characteristics and mental well-being of Head Start teachers in spring 2022?
12. What are the types of compensation and benefits Head Start programs provide to staff? What positions receive each type of compensation and benefits? Have programs increased staff compensation and benefits in the past year?
13. To what extent have centers experienced challenges due to staff turnover and staff shortages in the past year?
14. How have Head Start programs prepared for future emergencies?

The AIAN FACES 2019 spring 2022 special wave will address the following research questions, including some that can be addressed by comparing data across rounds of AIAN FACES (for example, looking at change between spring 2020 and spring 2022):

1. What are the demographic characteristics of children and families that Region XI Head Start serves in spring 2022? Have these characteristics changed over time?
2. What are the cognitive and social-emotional skills of Region XI Head Start children in spring 2022?
3. What are the strengths and needs of the children and families who receive services in spring 2022? Have these changed over time?
4. What home activities (for example, storytelling) are available to children and families in spring 2022? Have these changed over time?
5. What is the relationship between program and social supports and families' economic situation and mental well-being?
6. What are the characteristics and mental well-being of Region XI children's teachers, center directors, and program directors in spring 2022?
7. How are children exposed to Native language and culture in their classrooms, centers, and programs? Has this changed because of the COVID-19 pandemic?
8. What are the resources, supports, and needs of families served by Region XI Head Start in spring 2022—notably related to economic situations and mental and physical health? Have these resources, supports, and needs changed over time?
9. What are families' early care and education needs, and how do families make early care and education decisions?
10. How frequently and in what types of activities are families involved in children's Head Start programs, and how satisfied are families with their experiences with Head Start?
11. What are the types of compensation and benefits Region XI children's programs provide to staff? What positions receive each type of compensation and benefits? Have programs increased staff compensation and benefits in the past year?
12. To what extent have Region XI children's centers experienced challenges due to staff turnover and staff shortages in the past year?
13. How have Region XI children's programs prepared for future emergencies?

## Study Design

The original design of FACES 2019 and AIAN FACES 2019 did not include a fall 2021 data collection wave (and AIAN FACES 2019 did not include a spring 2022 data collection wave), but ACF added new data collection for reasons noted in earlier sections. Similar to previous waves, the fall 2021 and spring 2022 waves of the FACES 2019 and AIAN FACES 2019 studies use a multistage sample design with four stages: (1) Head Start programs, (2) centers within programs, (3) classrooms within centers, and (4) children within teachers.<sup>4</sup> In fall 2021, the study team is administering a special teacher-child report,

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<sup>4</sup> Program samples will be the same as in 2019–2020, with FACES adding a small number of new programs to reflect Head Start programs in spring 2022. FACES will return to the same center sample, resampling centers if one of the program's centers has closed since 2020. AIAN FACES will select a new center sample. In both studies, new classrooms and children are being sampled for the 2021–2022 data collection. Please see Supporting Statement Part B for a detailed description of the sample design.

special teacher survey, and special parent survey for both studies. In spring 2022, the FACES 2019 study team will administer special teacher–child reports and parent surveys in addition to the previously planned teacher survey and director surveys. In spring 2022, the AIAN FACES 2019 study team will administer special teacher–child reports, parent surveys, teacher surveys, and director surveys that were not originally planned. Table A.1 provides fall 2021 and spring 2022 study components and proposed changes since the 2019–2020 FACES 2019 and AIAN FACES 2019 data collection. Although both studies are nationally representative, the design focuses on descriptive data and examines associations between program characteristics and experiences, and program quality and child and family well-being. The study design does not support causal statements about factors impacting quality or well-being.

**Table A.1. FACES 2019 and AIAN FACES 2019 study components and proposed additions, by wave**

	Fall 2019	Spring 2020	Fall 2021	Spring 2022
FACES 2019	<b>Complete:</b> Direct child assessment Teacher–child report Parent survey	<b>Complete:</b> Teacher–child report Parent survey Teacher survey Director surveys	<b>Expected:</b> No data collected <b>Complete:</b> <i>Special teacher–child report</i> <i>Special teacher survey</i> <i>Special parent survey</i>	<b>Expected:</b> Teacher survey <sup>b</sup> Director surveys <sup>b</sup> <b>Proposed to add:</b> <i>Special teacher–child report</i> <i>Special parent survey</i> <sup>b</sup>
AIAN FACES 2019	<b>Complete:</b> Direct child assessment Teacher–child report Parent survey	<b>Complete:</b> <sup>a</sup> Teacher–child report Parent survey Teacher survey Director surveys	<b>Expected:</b> No data collected <b>Complete:</b> <i>Special teacher–child report</i> <i>Special teacher survey</i> <i>Special parent survey</i>	<b>Expected:</b> No data collected <b>Proposed to add:</b> <i>Special teacher–child report</i> <i>Special parent survey</i> <sup>b</sup> <i>Teacher survey</i> <sup>b</sup> <i>Director surveys</i> <sup>b</sup>

Note: Director surveys include a survey of center directors and a survey of program directors.

<sup>a</sup> AIAN FACES 2019 completed direct child assessments and classroom observations in 7 of 22 programs before cancelling in-person data collection because of the COVID-19 pandemic.

<sup>b</sup> The spring 2022 teacher survey, parent survey, and director surveys will be similar to the surveys fielded in spring 2020, but with revised content to support learning about the impact of the COVID-19 pandemic.

In fall 2021 and spring 2022, the study team intended to survey the parents and teachers of 2,400 Head Start children from 120 centers in 60 programs and ask the children’s teachers to rate children’s learning skills and social and emotional skills (Table A.2).<sup>5</sup> In spring 2022, the number of programs in the FACES 2019 sample will increase from the 60 used to collect child-level data to all 180 programs. The study team will also survey program directors, center directors, and teachers in the spring.

AIAN FACES 2019 is similar in structure to FACES 2019. However, AIAN FACES 2019 represents a much smaller population, with a correspondingly smaller sample. For the fall 2021 special wave, the

<sup>5</sup>As described in Supporting Statements A and B and in the nonsubstantive change memo, fall 2021 sample sizes fell short of the targets.

study team is surveying the parents and teachers of 800 Head Start children in 42 centers from 22 programs, and asking the children’s teachers to rate children’s social and emotional skills (Table A.3). The study team will also field surveys with program directors, center directors, and teachers in the spring. The study design focuses on describing the experiences and outcomes of children and families in Region XI. Although the sample is nationally representative at all levels, the sample sizes support estimates at the child-level only. Please see Table B.2 for AIAN FACES 2019 spring 2022 minimum detectable differences.

**Table A.2. FACES 2019 fall 2021 and spring 2022 instruments, sample size, type of administration, and periodicity**

Instrument	Sample size <sup>a</sup>	Type of administration	Fall 2021	Spring 2022
Classroom sampling form from Head Start staff	360 <sup>b</sup>	CADE on the web	X	X
Child roster form from Head Start staff <sup>c</sup>	120	CADE on the web	X	
Head Start teacher–child report <sup>c</sup>	2,400	Web with paper option	X	X
Parent survey <sup>c</sup>	2,400	Web/CATI	X	X
Head Start teacher survey	720	Web with paper option	X	X
Program director survey	180	Web with paper option		X
Center director survey	360	Web with paper option		X

Note: CADE = computer-assisted data entry; CATI = computer-assisted telephone interviewing.

<sup>a</sup> Sample size reflects the total number of responses.

<sup>b</sup> Sample size is 120 for fall 2021 and 240 for spring 2022.

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

**Table A.3. AIAN FACES 2019 fall 2021 and spring 2022 instruments, sample size, type of administration, and periodicity**

Instrument	Sample size <sup>a</sup>	Type of administration	Fall 2021	Spring 2022
Classroom sampling form from Head Start staff	42	CADE on the web	X	
Child roster form from Head Start staff	42	CADE on the web	X	
Head Start teacher–child report	800	Web with paper option	X	X
Parent survey	800	Web/CATI	X	X
Head Start teacher survey	90	Web with paper option	X	X
Program director survey	22	Web with paper option		X
Center director survey	42	Web with paper option		X

Note: CADE = computer-assisted data entry; CATI = computer-assisted telephone interviewing

<sup>a</sup> Sample size reflects the total number of responses.

FACES 2019 and AIAN FACES 2019 fall 2021 and spring 2022 activities include several features:

- Freshening a nationally representative sample of Head Start programs (FACES only), recruiting programs to participate in the study, gathering information from those programs to develop a center sampling frame,<sup>6</sup> and selecting a nationally representative sample of Head Start centers
- Sampling teachers within those centers
- Drawing a sample of children and recruiting families of Head Start enrollees to participate in the study
- Collecting data from children and families and Head Start staff.
- Analyzing and reporting findings

See Supporting Statement Part B for more details on data collection activities. We describe sampling procedures more fully in Section B.2 and data collection procedures more fully in Section B.4.

## Universe of Data Collection Efforts

### Previously approved

Activities previously approved include those for initial program recruitment (approved August 31, 2018) and data collection activities in fall 2019 and spring 2020 (approved April 8, 2019), fall 2021 (approved July 30, 2021), and spring 2022 recruitment of new FACES programs (approved September 27, 2021). All fall 2019 and spring 2020 approved information collection activities are complete. Table P.1 in Appendix P summarizes those instruments. Table A.4. summarizes the fall 2021 instruments.

**Table A.4. Fall 2021 instruments**

Data collection activity	Respondents	Mode	Estimated time to complete	Purpose
Special telephone script and recruitment information collection for program directors, Regions I–X (Attachment 23) <sup>a</sup> and Region XI (Attachment 24)	Head Start program directors	Telephone	1 hour	To gain cooperation of program directors and collect information necessary for center sampling
Special telephone script and recruitment information collection for on-site coordinators, Regions I–X (Attachment 25) <sup>a</sup> and Region XI (Attachment 26)	Head Start on-site coordinators	Telephone	1 hour	To inform the on-site coordinator about the study and data collection activities they will support and gather information necessary for data collection planning and logistics
Fall 2021 special teacher sampling forms from Head Start staff (Attachment 27, FACES 2019; Attachment 33, AIAN FACES 2019)	Head Start staff	CADE on the web	10 minutes	To collect information needed to select the sample of classrooms at each selected Head Start center
Fall 2021 special child roster form from Head Start staff (Attachment 28, FACES 2019; Attachment 34, AIAN	Head Start staff	CADE on the web	20 minutes	To collect information needed to select the sample of children in each selected

<sup>6</sup> AIAN FACES will select a new center sample. FACES will select new centers for new programs, and continuing programs in which one or more sampled centers from 2019–2020 have closed.

Data collection activity	Respondents	Mode	Estimated time to complete	Purpose
FACES 2019)				classroom at each selected center
Fall 2021 special parent consent form for fall 2021 and spring 2022 data collection (Attachment 29, FACES 2019; Attachment 35, AIAN FACES 2019) <sup>b</sup>	Head Start parents	Paper with web and telephone options	10 minutes	To obtain consent from parents for the parent and child to participate in the study
Fall 2021 special Head Start parent survey (Attachment 30, FACES 2019; Attachment 36, AIAN FACES)	Head Start parents	Web and CATI	35 minutes	To collect information about the characteristics and development of the child, households and household members, economic and psychological well-being, family routines, resources and sources of support, and impacts of the COVID-19 pandemic and current events related to racial injustice in the country; for FACES, questions also gather information on program enrollment; for AIAN FACES, questions also gather information on Native culture and language experiences in the home and community
Fall 2021 special Head Start teacher-child report (Attachment 31, FACES 2019; Attachment 37, AIAN FACES)	Head Start teachers	Web with paper option	10 minutes	To obtain information about children's academic and social-emotional development and approaches to learning
Fall 2021 special Head Start teacher survey (Attachment 32, FACES 2019; Attachment 38, AIAN FACES)	Head Start teachers	Web with paper option	10 minutes	To collect information about lead teachers' well-being in relation to the COVID-19 pandemic

<sup>a</sup>Includes recruitment of programs that will participate in spring 2022 only.

<sup>b</sup>Collection of consent forms for children selected in the fall will continue into the spring.

CADE = computer-assisted data entry; CATI = computer-assisted telephone interview.

### Current request

Table A.5 summarizes the instruments proposed for the FACES 2019 and AIAN FACES 2019 spring 2022 data collection.

**Table A.5. Proposed spring 2022 instruments**

Data collection activity	Respondents	Mode	Estimated time to complete	Purpose
FACES 2019 spring 2022 special teacher sampling form from Head Start staff (Attachment 39)	Head Start staff	CADE on the web	10 minutes	To collect information needed to select the sample of classrooms in each selected Head Start center
FACES 2019 special Head Start parent survey (Attachment 30)	Head Start parents	Web and CATI	New respondents: 47 minutes <sup>a</sup> Returning respondents: 28 minutes	To collect information about the characteristics and development of the child, household and household members, economic and psychological well-being, family routines, resources and sources of support, and information on program enrollment
FACES 2019 special Head Start teacher-child report (Attachment 31)	Head Start teachers	Web with paper option	10 minutes	To obtain information about children's academic and social-emotional development and approaches to learning
FACES 2019 Head Start teacher survey (Attachment 11)	Head Start teachers	Web with paper option	New respondents: 41 minutes Returning respondents: 39 minutes	To collect information about lead teachers' training and educational background, professional experience, instructional practices, feelings about teaching and their Head Start program, and well-being in relation to the COVID-19 pandemic; questions also gather information on domain-specific content and curriculum supports
FACES 2019 Head Start center director survey (Attachment 13)	Head Start center directors	Web with paper option	36 minutes	To collect information about staffing, staff education and training, curriculum and assessment, program management, use of program data and information, changes to recruitment because of the COVID-19 pandemic, professional development, and director background
FACES 2019 Head Start program director survey (Attachment 12)	Head Start program directors	Web with paper option	37 minutes	To collect information about staff education and training, curriculum and assessment, program management, use of program data and information, professional development, director background, staff recruitment and retention, and emergency preparedness; questions also gather information on involvement in other systems (for example, quality rating and improvement systems) and use of other sources of funding



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Data collection activity	Respondents	Mode	Estimated time to complete	Purpose
AIAN FACES 2019 special Head Start parent survey (Attachment 36)	Head Start parents	Web and CATI	New respondents: 50 minutes <sup>a</sup> Returning respondents: 28 minutes	To collect information about the characteristics and development of the child, household and household members, economic and psychological well-being, family routines, resources and sources of support, and Native culture and language experiences in the home and community
AIAN FACES 2019 special Head Start teacher–child report (Attachment 37)	Head Start teachers	Web with paper option	10 minutes	To obtain information about children's academic and social-emotional development and approaches to learning
AIAN FACES 2019 Head Start teacher survey (Attachment 20)	Head Start teachers	Web with paper option	New respondents: 41 minutes Returning respondents: 39 minutes	To collect information about lead teachers' training and educational background, professional experience, instructional practices, feelings about teaching and their Head Start program, and well-being in relation to the COVID-19 pandemic; questions also gather information on Native culture and language experiences in the classroom
AIAN FACES 2019 Head Start center director survey (Attachment 22)	Head Start center directors	Web with paper option	31 minutes	To collect information about staffing, staff education and training, curriculum and assessment, program management, use of program data and information, changes to recruitment because of the COVID-19 pandemic, professional development, and director background; questions also gather information on approaches to include Native culture and language experiences in the center
AIAN FACES 2019 Head Start program director survey (Attachment 21)	Head Start program directors	Web with paper option	37 minutes	To collect information about staff education and training, curriculum and assessment, program management, use of program data and information, professional development, director background, staff recruitment and retention, and emergency preparedness; questions also gather information on approaches to include Native culture and language experiences in the program

<sup>a</sup> Burden for new parent survey respondents includes 10 minutes to complete the consent form.

CADE = computer-assisted data entry; CATI = computer-assisted telephone interview.

## Other Data Sources and Uses of Information

During data analysis, the study team will incorporate program characteristics data from the Head Start Program Information Report (PIR),<sup>7</sup> including program size (number of children enrolled) and auspice. There is no burden to study participants associated with using PIR data for FACES 2019 or AIAN FACES 2019.

### **A3. Use of Information Technology to Reduce Burden**

The proposed data collection builds on the techniques that reduced burden to study participants in previous rounds and waves of the studies. The study team will offer parents and Head Start staff the flexibility of mode choice to complete their surveys. Parent surveys will be web-based or administered using computer-assisted telephone interviewing. The study team will continue to offer Head Start staff the option of completing their surveys (and teacher–child reports for teachers) on the web or on paper.

### **A4. Use of Existing Data: Efforts to Reduce Duplication, Minimize Burden, and Increase Utility and Government Efficiency**

Aside from FACES and AIAN FACES studies, there are no studies that offer comprehensive information on characteristics of Head Start programs, classrooms, staff, children, and families. In addition, previous FACES and AIAN FACES studies would not capture the unique needs children, families, and staff might have as a result of the COVID-19 pandemic.

Although the study team identified and adapted many 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 sources of primary data that the team will collect in spring 2022 for FACES 2019 and AIAN FACES 2019, which will include director and teacher surveys, teacher–child reports, and parent surveys. There is no other source for detailed child-level information that ACF can use to describe changes in the population served by Head Start over time, and in particular, during the period affected by the COVID-19 pandemic.

### **A5. Impact on Small Businesses**

Most of the Head Start programs included in the study will be small organizations, including community-based organizations and other nonprofits. The study team will minimize burden for respondents by restricting the length of surveys as much as possible and providing instruments in a web-based format.

### **A6. Consequences of Less Frequent Collection**

FACES 2019 aims to collect classroom and program data every two years and child-level data every four years to be a descriptive study of the population served by Head Start and to monitor program performance, examining continuity and change. To date, AIAN FACES has collected data every four years to describe Region XI Head Start children and their family and program contexts. This periodicity is necessary to measure at intervals when changes to policies or programmatic features might occur. The FACES 2019 spring 2022 wave meets the two-year interval for classroom and program data, with an added focus to understand how programs are operating to meet staff and family needs coming through the

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<sup>7</sup> The PIR is an administrative data system for the Head Start program that includes data collected annually from all programs. Head Start programs collect the information as approved under OMB control number 0970-0427.

pandemic. The spring 2022 wave for FACES 2019 and AIAN FACES 2019 allows comparisons of child-level data to spring 2020. FACES 2019 and AIAN FACES 2019 are the only national studies of Head Start during this unprecedented time and will help the agency understand how Head Start children, families, and staff have fared through the pandemic.

## **A7. Now Subsumed Under 2(b) (Above) and 10 (Below)**

### **A8. Consultation**

#### *Federal Register Notice and Comments*

In accordance with the Paperwork Reduction Act of 1995 (Pub. L. 104-13) and 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. The *Register* published this notice on August 27, 2021, Volume 86, Number 164, pages 48,151–48,152, and provided a 60-day period for public comment. During the notice and comment period, no substantive comments were received.

#### *Consultation with Experts Outside the Study*

The AIAN FACES 2019 Workgroup formed because 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.6). Together with the AIAN FACES 2019 study senior staff and federal officials, the Workgroup represents a collaborative effort to address cultural appropriateness in providing advice on updates to the AIAN FACES 2015 study design and approach. The group first convened in March 2018 and meets regularly to (1) identify key research questions and information needs; (2) update measures 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; (3) ensure continued use of research methods and practices that Native communities will accept, as well as effective strategies for securing the participation of programs in the study and the approval of the Native communities; and (4) discuss reporting and analysis needs. Workgroup members will continue providing input on the design and reporting of the analyses of data from the study. They will help ensure the study answers questions of greatest interest to Region XI programs and Native communities and reporting reflects the unique needs and strengths of Native communities, whom the COVID-19 pandemic disproportionately impacted (Hooper et al. 2020; Tsethlikai et al. 2020). Collaboration with the Workgroup informed and will continue to inform processes for AIAN FACES and FACES. In addition, throughout the development process for both studies, stakeholders at OHS consulted on priorities, content, and targeted review of survey items, such as those about use of quality improvement funds and collecting family income information.

**Table A.6. AIAN 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 <sup>*(3/2018–7/2018)</sup>	Zaasijiwan Lac du Flambeau Head Start
Melissa Harris	Iswa Head Start
Todd Lertjuntharangool	Office of Head Start
Charmaine Lundy <sup>*(3/2018–8/2020)</sup>	Kenaitze Indian Tribe Head Start
Laura McKechnie	Sault Ste. Marie Tribe Head Start
Ethan Petticrew <sup>*(3/2018–10/2019)</sup>	Cook Inlet Native Head Start
Tina Routh	Mississippi Band of Choctaw Head Start
Michelle Sarche	University of Colorado Anschutz Medical Campus, Centers for American Indian and Alaska Native Health, Tribal Early Childhood Research Center
Christine Sims	University of New Mexico
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
Bianca Williams <sup>*(3/2018–3/2019)</sup>	Office of Head Start
Jarma Wrighten <sup>*(3/2018–12/2020)</sup>	Office of Head Start

\* Indicates a former member as of August 2021 and gives dates of service on the AIAN FACES 2019 Workgroup.

## A9. Tokens of Appreciation

Participation in FACES 2019 and AIAN FACES 2019 spring 2022 data collection will place some burden on program staff and families. To offset this and to respectfully acknowledge respondents' efforts, the study team requests nominal tokens of appreciation for respondents, based on those the team has used effectively in previous FACES and AIAN FACES studies.

The team proposes to offer all teachers a \$10 gift card for every teacher–child report they complete for each sampled and consented FACES 2019 and AIAN FACES 2019 child in their classrooms. The team proposes to offer parents a \$30 gift card for participating in the parent survey (28 minutes for returning FACES and AIAN FACES parents; 37 minutes for new FACES parents and 40 minutes for new AIAN FACES parents).<sup>8</sup> Table A.7 provides an overview of the proposed tokens of appreciation for data collection, compared with previously approved tokens of appreciation.

<sup>8</sup> These timing estimates do not include time for new parent respondents to complete the consent form.

**Table A.7. FACES 2019 and AIAN FACES 2019 spring 2022 proposed token of appreciation structure compared with prior studies and waves**

Instrument	Respondent	FACES 2006	FACES 2009	FACES 2014 and AIAN FACES 2015	FACES 2019 and AIAN FACES 2019	FACES 2019 and AIAN FACES 2019, fall 2021 and spring 2022 waves
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	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 two to three weeks of receiving survey; additional \$5 if completed on the web) AIAN FACES fall 2015 and spring 2016: \$25	Fall and spring: \$30	Fall and spring: \$30

FACES 2014 tried a tiered approach to tokens of appreciation for parent surveys, lowering the base amount to \$15 (relative to \$35 in FACES 2009) with add-ons for a potential of \$25 total. There were lower response rates to the FACES 2014 parent survey than in previous FACES studies. The study team conducted a nonresponse bias analysis of key child-level characteristics (based on direct assessments, teacher-child 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. These differences appeared in terms of teacher-reported child disability status (with parents of 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), parents' 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 parents of children in programs with 20 percent or less Black child enrollment, and parents of children in programs with more than 50 percent White child enrollment, more likely to respond than with children in other types of programs). The nonresponse adjustments incorporated in the analysis weights mitigated these differences, but the experiment raises concerns about nonresponse bias when there is no token of appreciation. For AIAN FACES 2015, the child-level response rate was sufficiently high using a standard token of appreciation. Therefore, the study teams carried out the

nonresponse bias analysis of AIAN FACES 2015 at the program level only. Table A.8 illustrates the historical approach to tokens of appreciation along with response rates and whether FACES conducted a nonresponse bias analysis.

**Table A.8. Parent token of appreciation structure, response rates, and nonresponse bias information across FACES and AIAN FACES studies**

	FACES 2006	FACES 2009	FACES 2014 and AIAN FACES 2015	FACES 2019 and AIAN FACES 2019
Token of appreciation structure	Fall and spring: \$35	Fall and spring: \$35	FACES fall 2014 and spring 2015: \$15 (additional \$5 if completed within two to three weeks of receiving survey; additional \$5 if completed on the web) AIAN FACES fall 2015 and spring 2016: \$25	Fall and spring: \$30
Response rate	Fall: 96.2%	Fall: 93.1%	FACES fall 2014: 77.5% AIAN FACES fall 2015: 83.4%	FACES fall 2019: 75%; spring 2020: 68%; AIAN FACES fall 2019: 75%; spring 2020: 67%
Nonresponse bias analysis	n.a.	n.a.	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	In FACES 2019, significant differences with responders more likely to have a home language other than English, and more likely to have Head Start as the child's funding source

n.a. = not applicable

Based on the study team’s experience with FACES, the team recommends using a similar approach for FACES 2019 and AIAN FACES 2019 to achieve high response rates for the current studies. The participation of respondents in the study activities is key to gathering high quality information. High levels of participation among the sampled Head Start programs, staff, and families are essential to help ensure estimates are nationally representative; high participation rates reduce the risk of nonresponse bias, leading to more nationally representative estimates. It is difficult to find complex studies with populations similar to FACES that did not use tokens of appreciations. For the Project LAUNCH Cross-Site Evaluation (OMB number 0970-0373, expired October 31, 2019), the study initially did not offer a token of appreciation to parents who completed the web-based parent survey. It found that early respondents (pre-tokens of appreciation) were not representative of their communities. Minorities, people with lower incomes and education levels, and those who worked part time or were unemployed were underrepresented. OMB then approved a \$25 post-pay token of appreciation after data collection had started. Completion rates and representativeness improved following the added token of appreciations (Lafauve et al. 2018).

AIAN FACES 2019 will follow the same token of appreciation structure as FACES 2019, similar to FACES 2014 and AIAN FACES 2015. Although two distinct studies, the study team kept the tokens of appreciation structure the same for both after discussion with the AIAN FACES 2015 Workgroup and

determining tokens of appreciations responded to the population's needs. Recent findings also support this approach. Doughty (2017) and Permut-Wey and Borenstein (2009) found that offering tokens of appreciations for participation in research in the AIAN community showed respect for AIAN involvement in research, increased participation, and should be offered in a way consistent with local societal norms.

## **A10. Privacy: Procedures to Protect Privacy of Information, While Maximizing Data Sharing**

### **Personally Identifiable Information**

This collection requests personally identifiable information (PII), such as name, dates of birth, and contact information. For example, this information is needed to contact parents and teachers of sampled children, and to calculate child and parent age. All electronic data containing PII will be stored on a secure network drive; data will be backed up on secure servers for 60 days for disaster recovery purposes. Sixty days after the primary data files are securely deleted, the backed-up data will be automatically and securely deleted. Only staff working on the project can access these systems through individual passwords and logins. These plans are described in more detail in a data security plan, also required by the contract. Systems will be accessible only by staff working on the project through individual passwords and log-ins.

Our hard-copy data collection instruments (consent forms, teacher surveys, teacher-child reports, and director surveys) will temporarily include teacher and child names because respondents need to know for whom they are providing information when completing these instruments. All hard-copy documents will be inventoried and sent to and from the field using FedEx shipping service. FedEx shipments are logged and tracked from the moment of package pickup to the time of delivery, including the name of the person who received the package. The study team will also use our sample management system to track hard-copy documents sent to and from the field. Hard-copy materials are stored in locked cabinets during the study. Following the end of the project, and when no longer required, hard-copy materials and other physical media containing sensitive data will be destroyed using a cross-cut shredder.

Following data collection, sensitive data will reside on a project-specific folder that is only accessible to Mathematica staff who have a business need-to-know, as restricted by identity-based policies and access control lists.

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

### **Assurances of Privacy**

Respondents will be informed of all planned uses of data, that their participation is voluntary, and that their information will be kept private to the extent permitted by law. As specified in the contract, the contractor will comply with all federal and departmental regulations for private information. We will not share any responses to survey questions with any other program staff members, including respondents' supervisors. Furthermore, each respondent will access their survey via unique log-in credentials.

Because of the sensitive nature of this research (Section A.11 provides more information), the study has obtained a certificate of confidentiality. The certificate of confidentiality helps assure participants that the Certificate strictly limits when the study team can give out information that identifies them, even in court.

## Data Security and Monitoring

As specified in the contract, the contractor will protect respondents' privacy to the extent permitted by law and will comply with all federal and departmental regulations for private information. The contractor has developed a data safety and monitoring plan that assesses all protections of respondents' PII. The contractor will ensure that all of its employees, subcontractors (at all tiers), and employees of each subcontractor who perform work under this contract or subcontract are trained on data privacy issues and comply with the above requirements.

As specified in the evaluator's contract, the contractor will use encryption that complies with the Federal Information Processing Standard (Security Requirements for Cryptographic Module, as amended) to protect all instances of sensitive information during storage and transmission. The contractor will securely generate and manage encryption keys to prevent unauthorized decryption of information, in accordance with the federal processing standard. The contractor will ensure this standard is incorporated into the contractor's property management and 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. Any data stored electronically will be secured in accordance with National Institute of Standards and Technology requirements and other applicable federal and departmental regulations. In addition, the contractor must submit a plan for minimizing sensitive information on paper records to the extent possible and for protecting any paper records, field notes, or other documents that contain sensitive information or PII. The plan must ensure secure storage and limits on access.

## A11. Sensitive Information

To achieve its primary goal of describing the characteristics of the children and families served by Head Start and Head Start staff, the study team will ask parents and teachers a few sensitive questions, including some aimed at assessing depressive symptomatology and anxiety and use of services for emotional or mental health problems. Surveys will also ask center and program directors the same questions assessing depressive symptomatology and anxiety. The team will also ask parents about household income. The survey invitation will inform them 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, including staff respondents' supervisors. We have collected this information in past FACES data collections to describe the Head Start population and staff and to examine child and family well-being and changes in those characteristics over time.

In addition, the study team recognizes that AIAN families and staff might be concerned about research given violations of trust in other research studies. The team will emphasize its efforts to collaborate with Region XI Head Start directors, community leaders, and early childhood researchers who have experience in Native communities conducting scientifically and culturally rigorous research that will benefit AIAN Head Start programs.

## A12. Burden

### Explanation of Burden Estimates

Data collection for the fall 2019 and spring 2020 waves of FACES 2019 and AIAN FACES 2019 is complete; no burden remains related to these waves of data collection. Table A.9 presents the fall 2021 data collection activities and spring 2022 recruitment, which are ongoing at the time of this submission



(fall 2021). We expect these activities to be completed by the end of March 2022, with the exception of parent consent, which will continue through the spring.

Table A.10 includes data collection activities for spring 2022 and lists the estimated annual burden hours for each of the FACES 2019 and AIAN FACES 2019 instruments. The total estimated hours of annual burden for the current data collection request is 3,777. Burden estimates are based on instruments from previous waves of FACES with similar numbers of items. For parent and teacher surveys, we include two rows for burden—one row for new respondents and one row for returning respondents. Returning respondents will not be asked some questions that they responded to in the fall wave. The estimates include time for respondents to review instructions, search data sources, complete and review the responses, and transmit or disclose information. This information collection request covers a period of one year.

After OMB approval of the spring 2022 data collection on December 20, 2021 and as outlined in the nonsubstantive change request memo sent on March 22, 2022, the study team made four types of changes to the study surveys that resulted in changes in burden per response (reflected in Table A.10):

1. Revisions to respond to OMB’s request on a December 2nd call (with OMB and OPRE). OMB asked the team to revise the spring instruments to better address the role of Head Start as an employer as well as to serve as a baseline for any potential policy changes to the early childhood education landscape (e.g., the potential Build Back Better Act).
2. Revisions to respond to OHS’s request to gather additional information on topics already in the survey and that will help to provide a baseline for the changing early childhood education landscape.
3. Revisions to help us be able to link teachers to classrooms (since teachers might teach more than one class), facilitate routing through the survey, and allow us to link children to classrooms.
4. Revisions to the spring 2022 parent surveys to reduce the burden for new respondents in the spring who did not complete the fall 2021 survey. Due to low consent and response rates in fall 2021, a larger than expected share of respondents in the spring will be asked questions that are asked “at first interview” (for example, demographic information), increasing the spring burden for these respondents. We consulted extensively with OHS to identify items that we could cut to reduce burden for the respondents who will only complete the spring survey.

Additionally, we updated the parent consent forms. Because consent rates were low in fall 2021, we are extending the consent process for children selected in the fall into spring 2022. Therefore, new parent respondents will complete the consent form, which is estimated to take about 10 minutes.

**Table A.9. FACES 2019 and AIAN FACES 2019 previously approved and ongoing burden hours for fall 2021 and spring 2022 recruitment**

Instrument	Number of respondents (total over request period)	Number of responses per respondent (total over request period)	Average burden per response (in hours)	Total/ Annual burden (in hours)	Average hourly wage	Total annual cost
<b>Fall 2021 only</b>						
Fall 2021 special telephone script and recruitment information collection for program directors, Region XI	22	1	1.00	22	\$32.40	\$712.80
Fall 2021 special telephone script and recruitment information collection for on-site coordinators, Region XI	22	1	1.00	22	\$32.40	\$712.80
FACES 2019 fall 2021 special teacher sampling form from Head Start staff	116	1	.17	20	\$32.40	\$638.93
FACES 2019 fall 2021 special child roster form from Head Start staff	116	1	.33	38	\$32.40	\$1,240.27
FACES 2019 special parent consent form for fall 2021 and spring 2022 data collection	1,363	1	.17	232	\$19.80	\$4,587.86
FACES 2019 fall 2021 special Head Start parent survey	767	1	.58	445	\$19.80	\$8,808.23
FACES 2019 fall 2021 special Head Start teacher-child report	99	9	.17	151	\$32.40	\$4,907.63
FACES 2019 fall 2021 special Head Start teacher survey	193	1	.17	33	\$32.40	\$1,063.04
AIAN FACES 2019 fall 2021 special teacher sampling form from Head Start staff	43	1	.17	7	\$32.40	\$226.84
AIAN FACES 2019 fall 2021 special child roster form from Head Start staff	43	1	.33	14	\$32.40	\$459.76
AIAN FACES 2019 special parent consent form for fall 2021 and spring 2022 data collection	116	1	.17	20	\$19.80	\$390.46
AIAN FACES 2019 fall 2021 special Head Start parent survey	75	1	.58	44	\$19.80	\$861.30
AIAN FACES 2019 fall 2021 special Head Start	10	9	.17	15	\$32.40	\$495.72

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Instrument	Number of respondents (total over request period)	Number of responses per respondent (total over request period)	Average burden per response (in hours)	Total/ Annual burden (in hours)	Average hourly wage	Total annual cost
<b>Fall 2021 only</b>						
teacher–child report						
AIAN FACES 2019 fall 2021 special Head Start teacher survey	47	1	.17	8	\$32.40	\$258.88
<b>Fall 2021 and spring 2022</b>						
Special telephone script and recruitment information collection for program directors, Regions I–X <sup>a</sup>	251	1	1.00	251	\$32.40	\$8,132.40
Special telephone script and recruitment information collection for on-site coordinators, Regions I–X <sup>a</sup>	240	1	1.00	240	\$32.40	\$7,776.00
<b>Total annual burden</b>				<b>1,562</b>		<b>\$41,282.91</b>

<sup>a</sup>Includes recruitment of programs that will participate in spring 2022 only.

**Table A.10. FACES 2019 and AIAN FACES 2019 burden hours for spring 2022**

Instrument	Number of respondents (total over request period)	Number of responses per respondent (total over request period)	Average burden per response (in hours)	Total/ Annual burden (in hours)	Average hourly wage	Total annual cost
FACES 2019 spring 2022 special teacher sampling form from Head Start staff	240	1	.17	41	\$32.85	\$1,340.28
FACES 2019 special Head Start parent survey—returning respondents	733	1	.47	345	\$19.83	\$6,831.63
FACES 2019 special Head Start parent survey—new respondents <sup>a</sup>	1,667	1	.78	1,300	\$19.83	\$25,784.16
FACES 2019 special Head Start teacher—child report	240	10	.17	408	\$32.85	\$13,402.80
FACES 2019 Head Start teacher survey—returning respondents	193	1	.65	125	\$32.85	\$4,121.03
FACES 2019 Head Start teacher survey—new respondents	527	1	.68	358	\$32.85	\$11,772.13
FACES 2019 Head Start center director survey	360	1	.60	216	\$32.85	\$7,095.60
FACES 2019 Head Start program director survey	180	1	.62	112	\$32.85	\$3,666.06
AIAN FACES 2019 special Head Start parent survey—returning respondents	74	1	.47	35	\$19.83	\$689.69
AIAN FACES 2019 special Head Start parent survey—new respondents <sup>a</sup>	726	1	.83	603	\$19.83	\$11,949.16
AIAN FACES 2019 special Head Start teacher—child report	90	9	.17	138	\$32.85	\$4,523.45
AIAN FACES 2019 Head Start teacher survey—returning respondents	47	1	.65	31	\$32.85	\$1,003.57
AIAN FACES 2019 Head Start teacher survey—new respondents	43	1	.68	29	\$32.85	\$960.53

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Instrument	Number of respondents (total over request period)	Number of responses per respondent (total over request period)	Average burden per response (in hours)	Total/ Annual burden (in hours)	Average hourly wage	Total annual cost
AIAN FACES 2019 Head Start center director survey	42	1	.52	22	\$32.85	\$717.44
AIAN FACES 2019 Head Start program director survey	22	1	.62	14	\$32.85	\$448.07
Total annual burden				3,777		\$94,305.60

<sup>a</sup>Burden for parent surveys includes 10 minutes to complete the consent form.

## Estimated Annualized Cost to Respondents

To compute the total estimated annual cost, the study team 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 (2021). The results appear in Table A.10. For teachers and other staff, the team used the median salary for full-time employees older than 25 with a bachelor’s degree (\$32.85 per hour). For parents, the team used the median salary for full-time employees older than 25 who are high school graduates with no college experience (\$19.83 per hour).

## A13. Costs

OMB previously approved a \$250 honorarium for the on-site coordinator (OSC) for their assistance to the study in spring 2022. In their position as the main study contact at the program, the OSC plays a critical role communicating study information to program and center staff, distributing and collecting consent forms, and communicating information back to Mathematica study staff. The OSC’s familiarity with families and the families’ trust in the local staff member is imperative for a successful data collection effort. In typical waves of FACES and AIAN FACES, the OSC’s spring responsibilities are significantly fewer because the consent process is complete and as such, we would typically provide lower honoraria in the spring. However, because we did not reach our consent targets in the fall and have therefore extended the consent effort to the spring, the OSC will still have significant responsibilities in spring 2022. Because the OSC’s work in the spring will require a similar level of effort as in the fall, we would like to increase the spring honorarium from \$250 to \$500 to match the honorarium offered in fall 2021.

## A14. Estimated Annualized Costs to the Federal Government

**Table A.11. Estimated costs**

Cost category	Estimated costs
Data collection	\$2,416,000
Data preparation, analysis, and archiving	\$1,221,000
Dissemination	\$817,000
<b>Total costs over the request period</b>	<b>\$4,454,000</b>
<b>Annual costs</b>	<b>\$4,454,000</b>

## A15. Reasons for Changes in Burden

As described in these updated supporting statements, the FACES spring 2022 data collection plan was updated to address low response rates during the fall 2021 data collection as well as discussions with OHS. In addition to the changes described in A12, which impact burden estimates, we also updated the parent consent forms to remove references to fall activities and the cancelled FACES classroom observations and to allow for verbal consent. Finally, after a review by ACF’s privacy expert, we also revised the consent forms to provide additional clarification on how and with whom data will be shared.

## A16. Timeline

Table A.12 contains the timeline for the data collection and reporting activities for FACES 2019 and AIAN FACES 2019. Sampling of teachers in the spring-only FACES programs will begin in winter 2022, after obtaining OMB approval. The study team expects to collect data through spring 2022. Mathematica will produce several publications based on analysis of data from each study (see Supporting Statement Part B, section B7 for additional information about use of data collected).

**Table A.12. Schedule for FACES 2019 and AIAN FACES 2019 spring 2022 data collection and reporting**

Activity	Timing <sup>a</sup>
<b>Recruitment</b>	
Program recruitment	Summer/fall 2021
<b>Data collection<sup>a</sup></b>	
Spring 2022 Head Start parent survey	Spring 2022
Spring 2022 Head Start teacher–child report	Spring 2022
Head Start teacher survey	Spring 2022
Head Start center director survey	Spring 2022
Head Start program director survey	Spring 2022
<b>Analysis<sup>b</sup></b>	
Key indicators	Summer 2022
Data tables	Fall 2022
Briefs	Fall 2022
<b>Reporting<sup>b</sup></b>	
Key indicators	Summer 2022
Data tables	Summer 2023
Briefs	Fall 2023
Data files and documentation	Fall 2023

<sup>a</sup> After obtaining OMB approval.

<sup>b</sup> Pending results of any needed nonresponse bias analyses.

## A17. Exceptions

No exceptions are necessary for this information collection.

## References

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## Attachments

- Attachment 11. FACES 2019 Head Start teacher survey
- Attachment 12. FACES 2019 Head Start program director survey
- Attachment 13. FACES 2019 Head Start center director survey
- Attachment 20. AIAN FACES 2019 Head Start teacher survey
- Attachment 21. AIAN FACES 2019 Head Start program director survey
- Attachment 22. AIAN FACES 2019 Head Start center director survey
- Attachment 23. Special telephone script and recruitment information collection for program directors, Regions I–X
- Attachment 25. Special telephone script and recruitment information collection for on-site coordinators, Regions I–X
- Attachment 29. FACES 2019 fall 2021 special parent consent form for fall 2021 and spring 2022 data collection
- Attachment 30. FACES 2019 special Head Start parent survey
- Attachment 31. FACES 2019 special Head Start teacher–child report
- Attachment 35. AIAN FACES 2019 fall 2021 special parent consent form for fall 2021 and spring 2022 data collection
- Attachment 36. AIAN FACES 2019 special Head Start parent survey
- Attachment 37. AIAN FACES 2019 special Head Start teacher–child report
- Attachment 39. FACES 2019 spring 2022 special teacher sampling form from Head Start staff

## Appendices

- Appendix P: Previously approved and completed data collection activities
- Appendix Q: FACES and AIAN FACES 2019 spring 2022 instrument content matrices
- Appendix R: FACES and AIAN FACES 2019 special program information packages
- Appendix U: Logic models
- Appendix X: FACES and AIAN FACES 2019 and 2020 nonresponse bias analyses
- Appendix Y: FACES 2019 spring 2022 respondent materials
- Appendix Z: AIAN FACES 2019 spring 2022 special respondent materials
- Appendix AA: Materials to encourage completion of FACES and AIAN FACES consent forms