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Child Trends

The Evaluation Data Coordination Project

Common Constructs and Measures Across Nine ACF Studies and Other Key Data Collection Efforts

PREPARED FOR:

DEPARTMENT OF HEALTH AND HUMAN SERVICES
ADMINISTRATION FOR CHILDREN AND FAMILIES
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I. INTRODUCTION TO THE PROJECT

INTRODUCTION TO THE EVALUATION DATA COORDINATION PROJECT (EDCP)

History

Every year, government agencies and philanthropic organizations award millions of dollars to support social programs and interventions designed to enhance the well-being of children, youth, and families. Often, these monies include evaluation funds (studies investigating the effectiveness of these programs). Evaluation research is critical because it advances our understanding of the impact or lack of impact of different programs on adults, children, and families and assists policymakers in deciding how to invest scarce resources most effectively. However, funders and evaluators know that evaluation funds are precious and must be used wisely; every dollar that is spent on evaluation is a dollar that is *not* spent on the program. Thus, funders and evaluators share responsibility for maximizing what can be learned from the resources that are expended for research and for using research findings to improve services for those who need them. The EDCP is one step toward maximizing the efficiency of evaluation research.

The American Institutes for Research (AIR) and Child Trends began this project with the perspective that coordinating data collections across multiple evaluation projects is crucial for making comparisons across evaluations and for facilitating cross-study research after the evaluations have been concluded. This coordination will help researchers be more certain that cross-program differences in impacts on the same construct are due to differences in the effectiveness of the programs (as implemented with different populations and in different contexts) instead of differences in how the construct is measured. Coordinating the inclusion of identical, well-established measures across multiple evaluation studies will have a dramatic influence on the usefulness of these data to researchers and policymakers in the years to come. The work undertaken in this process will also enhance data collection efforts in future research.

Purpose

The original purpose of the EDCP was to develop common measures of constructs and reporting formats for nine selected evaluation projects funded by the Department of Health and Human Services (HHS) and to use the lessons learned from the nine evaluations to create measurement modules for future research and evaluation. Once the EDCP team began project work and gathered input from experts during our first Work Group (see Table 1 for a list of Work Group members) meeting, we drafted a brief proposal to the Administration for Children and Families (ACF) to outline a slightly revised scope in products to include options documents in each of four domains. Options documents generally provide information (with the amount of detail varying from document to document) about a range of measures available for assessing a given construct, such as the psychometric properties. Options documents do not, however, recommend a specific measure or a set of measures to be used.

Table 1. List of Work Group Members

ACF Evaluation	Evaluation Contractor Work Group Member	Government Project Officer Work Group Member
Enhanced Services for the Hard to Employ Demonstration and Evaluation Project	Barbara Goldman, MDRC Pamela Morris, MDRC Jo Anna Hunter, MDRC	Gerry (Girley) Wright, ACF
Rural Welfare to Work Strategies Demonstration Evaluation Project	Michael Ponza, Mathematica Policy Research, Inc. Robert Wood, Mathematica Policy Research, Inc.	Michael Dubinsky, ACF
Employment Retention and Advancement Project	Barbara Goldman, MDRC Pamela Morris, MDRC Jo Anna Hunter, MDRC	John (Ken) Maniha, ACF
Building Strong Families	Robert Wood, Mathematica Policy Research, Inc.	Nancye Campbell, ACF
Head Start Family and Child Experiences Survey	Alberto Sorongon, Westat	Louisa Tarullo, ACF
Early Head Start Evaluation and Tracking Pre-K Follow-up	John Love, Mathematica Policy Research, Inc. Cheri Vogel, Mathematica Policy Research, Inc.	Rachel Chazen Cohen, ACF
National Head Start Impact Study	Camilla Heid, Westat	Michael Lopez, ACF
National Survey of Child and Adolescent Well-Being	Kathryn Dowd, Research Triangle Institute (RTI)	Mary Bruce Webb, ACF
Evaluation of Child Care Subsidy Strategies	Jean Layzer, Abt Associates Cindy Creps, Abt Associates Barbara Goodson, Abt Associates Ann Collins, Abt Associates	Stephanie Curenton, ACF

Focal Evaluation Projects

Per HHS's request the EDCP focuses on nine HHS evaluation projects:

- Enhanced Services for the Hard-to-Employ Demonstration and Evaluation Project
- Rural Welfare to Work Strategies Demonstration and Evaluation Project
- Employment Retention and Advancement Project (ERA)
- Building Strong Families
- Head Start Family and Child Experiences Survey (FACES)
- Early Head Start Evaluation and Tracking Pre-K (EHS and TPK)
- National Head Start Impact Study
- National Survey of Child and Adolescent Well-Being (NSCAW)
- Evaluation of Child Care Subsidy Strategies

Drawing on the knowledge of our project staff, and Work Group members, we also incorporated into the options documents, the following additional 13 evaluations/surveys:

- Panel Study of Income Dynamics Child Development Supplement (PSID-CDS)
- National Survey of America's Families (NASF)
- National Longitudinal Survey of Youth, 1997 (NLSY97)
- National Longitudinal Study of Adolescent Health (Add Health)
- Fragile Families and Child Well-being Study (Fragile Families)
- NICHD Study of Early Child Care and Youth Development
- Early Childhood Longitudinal Study—Kindergarten Cohort (ECLS-K)
- Early Childhood Longitudinal Study—Birth Cohort (ECLS-B)
- National Household Education Survey Program (NHES)
- Current Population Survey (CPS)
- Survey of Income and Program Participation (SIPP)
- National Study of Child Care for Low-Income Families
- National Child Care Staffing Study (NCCSS)

For a description of each of the nine ACF and 13 non-ACF evaluations, including content covered, please see appendices A and B.

Challenges

We conceptualized two main challenges as we began the EDCP. One challenge was the difficulty of building consensus on such issues as key domains and constructs, owing in part to the differences in impacts on the same construct described earlier. The bigger challenge was the considerable diversity among the HHS evaluation studies with respect to scope, research goals and objectives, design, intervention, population, primary outcomes, and phase of work. We envisioned that the phase of work in which each evaluation study was engaged would be an especially difficult issue because it would affect how each of the nine evaluations could participate in the EDCP. For many of the evaluations (e.g., FACES and Early Head Start Evaluation and Tracking Pre-K), the EDCP was too late to inform the development or selection of measures. For other evaluations (e.g., Building Strong Families), however, the timing of the EDCP presented less of a challenge because instruments had not been developed, OMB clearance had not been granted, and data collection is far in the future. The experiences of the evaluation teams whose measures had already been developed and fielded, however, have been invaluable to the development of final products and helped the evaluations that were in the formative stages.

Benefits

Many of the challenges of the project actually contributed to perceived benefits by EDCP members. The EDCP helped weave together common threads to facilitate the use of data sets for synthetic and comparative purposes, enhanced the accessibility of data sets for consumers and secondary users, helped consolidate into a single source measures and surveys for various constructs, and enhanced the likelihood of common measurement in future studies, thereby moving the field forward. The EDCP was beneficial in that it exposed individuals to the ideas and

experiences of other researchers, and individuals participating in newer evaluations had the potential to use the EDCP and the consortium of experts to help shape and develop the measures for their evaluations.

Method

To meet the goals of the EDCP, we emphasized the importance of using a consensus-building process and the substantive experience of ACF Project Officers and contractor staff from each of the evaluation studies. We wanted to tap into the research teams' large knowledge base and ensure a team-like atmosphere in building consensus.

To this end, one of the main tasks for the EDCP was the formation of a Work Group comprising one or more people from each of the nine HHS evaluation projects. The Work Group was convened at two meetings—the first was to further develop project plans and lay the foundation for the project; the second was to review products and offer information about gaps in current measurement tools. We did not view the Work Group as a static entity. Rather we treated it as an evolving body, asking that core Work Group members draw on the expertise of other individuals working on their respective evaluations.

The first Work Group meeting entailed the development of a constructs grid that had the nine evaluations listed down the side and the key constructs grouped by domain (as identified by Work Group members) across the top. Work Group members used this matrix to indicate, and ultimately vote on, which constructs were primary and secondary to their evaluations and how confident they were in the measurement of each of those constructs. We summarized these votes to narrow down the constructs on which the ECDP would focus. Appendix C contains the constructs grid and Appendix D contains the summary of votes.

Following the meeting, EDCP staff developed a memorandum of proposed domains, constructs, and products for ACF. Keeping budget and level of effort considerations in mind, we recommended developing options documents to address four domains: economic well-being, child care, parenting, and children's socioemotional development. These domains were suggested based on the outcome of the constructs discussion during the Work Group meeting and the importance of these domains to each of the nine evaluations. Appendix E contains the memorandum.

ACF approved our proposal and EDCP staff developed a number of templates on which to base our products development, including an overall strategy template, an evaluation/study/survey background template, and an options document template. Appendix F contains the templates. As we developed the final products, we consulted with ACF staff and Work Group members, included other national surveys that were informative to our domains of focus, and circulated drafts of products to ACF staff and Work Group members for their review and suggestions.

The purpose of the second Work Group meeting was to obtain general and specific feedback from Work Group members on the products and to discuss information about gaps in current measurement tools. Expert discussants in each of our chosen domains delivered a presentation focused on the challenges related to the research they conduct. Each presentation was followed by a 45 minute discussion and reactions from our Work Group members.

As the EDCP team developed options documents, we took multiple approaches to reviewing surveys and measures for each construct, depending on the evaluation or survey. For relatively recent evaluations and surveys, we started with the baseline data collection and went through all baseline instruments and identified which were pertinent to our constructs. If necessary, we proceeded to the next wave of data collection. For evaluations and surveys that are longer in duration (e.g., CPS and SIPP), we took the most recent iteration of the surveys and measures and worked backward. We were careful to examine at multiple time points those surveys and evaluations that focused specifically on children and change over time because we assumed that the content would change as appropriate for child age. It is important for readers to check the original surveys/measures for their own purposes to understand skip patterns and to examine the measure in full.

It is also important to note the types of measures on which EDCP is focused. The majority of the measurement information comes from the evaluations' surveys, interviews, and observational measures. However, many of the evaluations also used other types of measurement tools, such as administrative data. For instance, MDRC uses administrative data to measure income in many of their evaluations. Specifically, administrative records provide data on monthly cash assistance and Food Stamps benefits as well as quarterly earnings in jobs covered by the UI system. For each year following random assignment, average annual parent income is based on the sum of earnings, AFDC/TANF payments, and Food Stamps payments. Note that this income measure omits self-employment and informal earnings, other public transfers, private transfers, and earnings from family members other than the sample member. However, the EDCP does not include administrative data as a part of its options documents.

Products and Purpose of This Document

We developed two types of products for the EDCP: options documents and informational papers. This document presents the options documents. The informational papers are in a separate document. In Appendix A, we describe the nine ACF evaluations that were the focus of the EDCP and outline the content covered by each evaluation. In Appendix B, we describe 13 additional data collection efforts relevant to the project goals, including the surveys and measures used in each of these data collection efforts that are relevant to our domains. In chapters II-V, we offer options documents for four constructs within four domains: income and earnings within the domain of economic well-being; quality of child care within the domain of child care; parental monitoring/ awareness within the domain of parenting; and internalizing/externalizing behavior problems within the domain of children's socioemotional development. In Appendix G, we offer additional information that the EDCP team gathered during the project and considers useful to researchers as they develop evaluations.

It is important to mention that these products are not meant to represent the full set of constructs and domains but rather to be a first step toward developing measurement modules. In all, the Work Group had identified at least 60 constructs within eight domains as high priority for this set of evaluations. Each domain has numerous constructs that future iterations of the EDCP could explore.

It is also important to note that although Building Strong Families and the Evaluation of Child Care Subsidy Strategies are included in the EDCP, no options documents have been

developed for the two evaluations at this time. Both of the evaluations were in development stages at the time the EDCP was conducted and had not yet selected measures.

Definition of Key Terms

- ***Evaluation:*** An evaluation is the systematic acquisition and assessment of information to provide useful feedback about some object (Trochim, 2000). For instance, if the object is an intervention program, an evaluation could use different instruments and measures, such as surveys, to determine its effectiveness.
- ***Study:*** A study consists of all the information collected at a single time or for a single purpose or by a single principal investigator. A study may consist of one or more datasets and one or more files (UC San Diego, 2000).
- ***Survey:*** A survey gathers data and analyzes the attitudes, beliefs, practices, and opinions of a population or a sample. Survey users gather data in-person, face-to-face, or by telephone. Surveys can also be self-administered via the mail, email, or fax (Stacks, 2002).
- ***Domain:*** Domain is an overarching term referring to a broad substantive topical area. For instance, socio-emotional development or economic well-being are domains.
- ***Construct:*** A construct is a more specific topic within a domain. For instance, "externalizing behavior" (i.e., acting out) is a construct within the domain of socio-emotional development.
- ***Measure:*** A measure is a concrete way to assess, or "measure," a construct. Measures can be made up of one item or a series of items (scales or indices) that assesses a given construct.
- ***Scale:*** A scale is a series of related items that is used to measure a construct. Items in a scale are arranged in some order of intensity or purpose (Vogt, 1999).
- ***Subscale:*** Many measurement instruments are multidimensional and measure more than one construct or more than one domain of a single construct. In such instances, subscales can be constructed in which the various items from a scale are grouped into subscales. Although a subscale could consist of a single item, in most cases subscales consist of multiple individual items that have been combined into a composite score.
- ***Index:*** The terms *index* and *scale* are often used interchangeably, but they are slightly different in that items in an index do not have to be arranged in a particular order and each item is usually given the same weight (Vogt, 1999). In contrast to a scale, which comprises multiple related items that tap a single underlying construct, an index comprises varied items that may or may not be related and that cumulatively assess a broader construct. For example, depression as a single construct is typically measured by a scale, whereas family activities are measured by an index to reflect the substantial variation possible in activities that can fall under this construct, ranging from the arts to sports to shopping (Child Trends, 2000).
- ***Item:*** An item is an individual question used to tap a given construct.

References

Child Trends. (2000). Children and welfare reform: A guide to evaluating the effects of state welfare policies on children. Washington, DC: Author.

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University of California at San Diego, Social Sciences and Humanities Library. (2000). Glossary of social science computer and social science data terms. San Diego: Author.

Vogt, W. P. (1999). Dictionary of statistics and methodology (2nd ed.). Thousand Oaks, CA: Sage Publications.

II. ECONOMIC WELL-BEING OPTIONS DOCUMENTS

DOMAIN: ECONOMIC WELL-BEING

CONSTRUCTS: INCOME AND EARNINGS

A ROAD MAP FOR THE ECONOMIC WELL-BEING OPTIONS DOCUMENTS

This chapter presents information relevant to the constructs of income and earnings across the main ACF evaluations and the additional studies selected for the EDCP for which items related to income and earnings are available (i.e., 6 of the 9 main ACF evaluations and 10 of the 13 additional studies selected for the EDCP). These evaluations and surveys, and the page number(s) on which they appear, follow:

Evaluation/Survey	Page Number(s)
Rural Welfare-to-Work Strategies Demonstration Evaluation	II-9
Employment Retention and Advancement Project (ERA)	II-27
Head Start Family and Child Experiences Survey (FACES)	II-37; II-48
Early Head Start Evaluation and Tracking Pre-K (EHS and TPK)	II-53
National Head Start Impact Study	II-60
National Survey of Child and Adolescent Well-Being (NSCAW)	II-64
Panel Study of Income Dynamics (PSID)	II-68
National Survey of America's Families (NSAF)	II-72
National Longitudinal Survey of Youth, 1997 (NLSY97)	II-79
Early Childhood Longitudinal Study, Kindergarten Cohort (ECLS-K)	II-95
Early Childhood Longitudinal Study, Birth Cohort (ECLS-B)	II-101
National Household Education Survey (NHES)	II-108
Current Population Survey (CPS)	II-114
Survey of Income and Program Participation (SIPP)	II-126
National Study of Child Care for Low-Income Families	II-145
National Child Care Staffing Study	II-150

Two tables are presented on the following pages, one for the ACF evaluations and one for the additional studies selected for the EDCP. These tables give an overview that shows the types of measures available for each evaluation and survey in this chapter and indicates the primary reporter for each measure.

For each evaluation and survey, a series of key information is described, including population assessed, periodicity, major components, procedures for administration, and a compilation of items that assess income and earnings. Although all the items in this chapter are used to measure income and earnings, the components of each evaluation and survey vary slightly in focus. For example, the SIPP includes the most detailed income questions, whereas questions included in the CPS emphasize the labor force. Rural Welfare-to-Work, ERA, and the FACES Parent Interviews surveys provide detailed sections specific to employment. Detailed items related to household composition and child care can be found in the EHS and TPK, the NHES, the National

Study of Child Care for Low-Income Families, and the National Child Care Staffing study. The NLSY97 is a good resource for locating survey items on assets.

At this stage of the EDCP, no analysis and synthesis of items across evaluations and surveys have been attempted; rather, the information is described separately for each evaluation and survey. Readers interested in developing items to assess income and earnings are encouraged both to examine the items included here and to return to the original evaluations and surveys to ensure that they understand the items in context and to obtain full skip patterns, response options, and other important information.

Evaluation Data Coordination Project

Measures available from the Nine ACF Evaluations

Constructs: Income and Earnings

	Enhanced Services for the Hard to Employ Demo. & Eval.	Rural Welfare to Work Demo. & Eval.	Employment Retention & Advancement Project (ERA)	Building Strong Families	HS-Family &Child Experiences Survey (FACES)	Early Head Start Tracking Pre-K	Head Start Impact Study	National Survey of Adolescent Well-Being (NSCAW)	Eval. of Child Care Subsidy Strategies
Income and Earnings	No	Yes	Yes	NRA	Yes	Yes	Yes	Yes	NRA
Study-Specific Income and Earnings Questions		X	X		P,T	P	P, T	X	

Key:
X=adult respondent
C= child or youth report
P= parent or other primary caregiver report
T= teacher or primary child care provider report
(A)= adaptation
D = direct observation
* = waiting for updated information
NRA=Not readily available

Evaluation Data Coordination Project

Measures available from the 13 Additional Data Collection Efforts Relevant to EDCP Goals

Constructs: Income and Earnings

	Panel Study of Income Dynamics Child Development Supplement (PSID-CDS)	National Survey of America's Families (NSAF)	National Longitudinal Survey of Youth, 1997 (NLSY97)	National Longitudinal Survey of Youth, 1997 (NLSY97)	National Longitudinal Study of Adolescent Health (Add Health)	Fragile Families & Child Wellbeing (Fragile Families)	NICHD Study of Early Child Care & Youth Development (NICHD SECC)	Early Childhood Longitudinal Study – Kindergarten Cohort (ECLS K)	Early Childhood Longitudinal Study – Birth Cohort (ECLS B)	National Household Education Survey Program (NHES)	Current Population Survey (CPS)	Survey of Income and Program Participation (SIPP)	National Study of Child Care for Low-Income Families	National Child Care Staffing Study
Income and Earnings	No	Yes	Yes	Yes	No	No	No	Yes	Yes	Yes	Yes	Yes	Yes	Yes
Study-Specific Income and Earnings Items		X	X	P, C				P	P	X	X	X	P, T	T

Key:
X=adult respondent
C= child or youth report
P= parent or other primary caregiver report
T= teacher or primary child care provider report
(A)= adaptation
D = direct observation
* = waiting for updated information
NRA=Not readily available

ECONOMIC WELL-BEING
INCOME AND EARNINGS OPTIONS DOCUMENTS
DOMAIN AND CONSTRUCTS DEFINITIONS AND JUSTIFICATION

Domain

Economic Well-Being

Definition

For this project, we define the domain "economic well-being" broadly to include all aspects of an individual, family, or household's economic circumstances. In a paper prepared for the U.S. Department of Health, Education, and Welfare, Thomas (1977) defines economic well-being as an economic unit's "ability to demand goods and services, in relation to its needs" (p. 165). Economic well-being should not be confused with the broader concept of well-being itself, which encompasses additional domains such as psychological, social, and physical well-being. But because an individual's well-being in one area is often influenced by his/her condition in another area, the domain of economic well-being takes on greater importance than it might otherwise have (Citro & Michael, 1995). Because economic well-being covers all factors that can be used to describe a household or family's economic condition, the domain includes diverse constructs such as characteristics of employment (e.g., retention, stability, number of hours worked, job advancement), earnings, income, poverty variables (e.g., federal poverty threshold), barriers to employment (e.g., transportation), job skills and work experience, welfare receipt, economic hardship (e.g., food insecurity), and unemployment.

Global Justification for Selection of Domain

Economic well-being has a critical impact on the overall well-being of all family members, and low-income children are especially vulnerable to economic difficulties (Lugaila, 2003). A recent study by the U.S. Census Bureau examined the relationship between family income and a wide variety of child well-being indicators. According to the study, for example, economic well-being is significantly related to children's educational experiences. Specifically, children with family incomes below the poverty level were significantly less likely to attend gifted classes and more likely to have repeated a grade than children with family incomes at or above 200 percent of the poverty level. Moreover, low-income parents had lower educational expectations for their children than did high-income parents, and their children were much less likely to participate in sports, clubs, or lessons than their high-income counterparts. Furthermore, children from high-income families were more likely to be read to than children of low-income families (Lugaila, 2003).

The domain of economic well-being is clearly important to the nine evaluations and to the improvement of the lives of low-income children and families more generally. Because of this importance and because this domain is well aligned with the expertise, strengths, and interests of the Work Group, we are making it the focus of one of our options documents. Of the various economic well-being constructs listed above, we will specifically look at the constructs of income and earnings. These constructs were chosen because of their overall importance to the domain and

to the ACF evaluations and because of the methodological concerns with the income and earnings constructs that make finding an appropriate way to measure them even more important. These justifications are explained in further detail in the next section

Constructs

Income and Earnings

Definition

In their recent article on how best to measure economic characteristics of households, Duncan and Petersen (2001) define household income as "the sum of income from all sources received by all members of the household over some time period, typically the calendar year or month prior to the interview. When combined with a measure of household wealth…a household's income measures its command over material resources" (p. 249). Labor-market earnings (which are included in the income construct, as explained below) are "the sum of income an individual receives from an employer or from all employers over some time period, typically the calendar year or month prior to the interview. Earnings of self-employed individuals are somewhat problematic, since business revenues are a mixture of returns to the individual's labor as well as capital investments" (Duncan & Petersen, 2001, p. 250). The definitions we use for the income and earnings options documents are intentionally broad. The following points explain this intention:

- Although income and earnings are separate constructs under the economic well-being domain, we have decided to consider both of them in these options documents. Several considerations prompted this choice: 1) The income construct includes the earnings construct; it is impossible to accurately measure a household's income without considering the sum of its members' labor-market earnings, and many surveys ask questions about both concepts anyway. 2) A focus on earnings would not truly capture the economic well-being of low-income families. Such families typically receive income from a variety of sources other than just earnings (e.g., unemployment, workers' compensation, supplementary security income, public assistance, regular financial assistance from friends or relatives).

- Looking at only cash sources of income, though, is insufficient to measuring whether low-income families have sufficient financial resources to meet all of their needs. A truly accurate income construct must look both at other sources of income and at household expenditures. 1) Because of the importance of measuring all material supports low-income families take advantage of, the income construct includes various non-cash sources of income, including food stamps, school lunches, health insurance, energy assistance, and subsidized housing. Our broad emphasis on all cash and non-cash income sources of a household or family thus allows us also to explore some aspects of the Welfare Receipt construct identified by the Work Group. 2) To understand the amount of income actually available to a household to meet its needs, one must look at net income. In other words, one needs to look at the expenditures and other deductions from income that prevent a household from taking full advantage of all of its received income. Questions on deductions from income are still fairly rare in income measures, but

sometimes one will find questions on surveys about taxes, housing or child care costs, or payments for child support or medical care (Citro & Michael, 1995; Ribar, 2003).

- Although the definitions we use are intentionally broad, it is important to stress that the measures of income and earnings discussed in these options documents are not by themselves adequate to determining a household or family's economic well-being. To understand all of the material resources available to a household to meet its needs, one also must ask questions from the wealth construct. A household's possession of wealth can allow it to compensate for irregularities in the receipt of income, and measures of wealth often play an important role in determining program eligibility. But even looking at both income and wealth can ignore the varied circumstances in which households or families find themselves. A low-income family's economic well-being is dependent on a wide variety of other factors not related to their financial capabilities, including household composition, cost of living, quality of amenities and social services, and time available to care for children or enjoy the fruits of its labor. The two constructs of income and earnings can tell us much about a low-income family's economic circumstances, but one must look beyond the measures presented in these options documents to get a fully accurate sense of the ability of a household to meet the needs of the children who live in it (Citro & Michael, 1995; Ribar, 2003).

Global Justification for Inclusion of Construct

Income and earnings are an important measure of an individual, family, or household's socioeconomic status and—combined with household wealth—form the best explicit measure of a family's economic well-being. Both constructs are also used frequently to determine other economic classifications; for example, the United States derives the poverty level based on income, and many government programs require possession of earnings for eligibility. The Work Group recognized the necessity of using these constructs to judge the economic well-being of low-income families because income and earnings are the only economic well-being constructs to be measured by all nine ACF evaluations.

But despite the clear value of obtaining accurate data on an individual or household's income and earnings, prior experience has shown that doing so poses substantial methodological complications. Survey respondents are more likely to refuse to answer questions about income and earnings, and recall problems and concerns about respondents' truthfulness could make the data that are obtained unreliable. Some survey designers even fear that a refusal to answer income and earnings questions may cause respondents to decline to participate in a survey entirely. None of these problems are insurmountable, but overcoming them requires careful attention to the design and administration of the survey (Duncan and Petersen, 2001). Subsequent analyses of income and earnings data also require special care because the high frequency of item nonresponse often necessitates the use of imputation procedures for missing data (Ribar, 2003). By looking closely at the methods and success with which different surveys measure the constructs of income and earnings, the EDCP can make a valuable contribution to improving the quality of data obtained for the economic well-being domain.

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INCOME AND EARNINGS

RURAL WELFARE-TO-WORK STRATEGIES DEMONSTRATION EVALUATION

Measure: Income and earnings items from the Rural Welfare-to-Work Strategies Demonstration Evaluation 18-month follow-up survey instrument

Note: This options document uses the Rural Welfare-to-Work 18-month follow-up survey instrument dated April 2003.

Source

The Rural Welfare-to-Work Strategies Demonstration Evaluation is funded by the Administration for Children and Families in the U.S. Department of Health and Human Services. Mathematica Policy Research, Inc., conducts the evaluation, with assistance from Decision Information Resources, Inc.

Population Assessed

Two rural welfare-to-work programs—the Illinois Future Steps Program and the Building Nebraska Families program—were selected to be part of the in-depth process and implementation study, the impact study, and the cost-benefit analysis. A third program, the Tennessee First Wheels Program, has participated in only the evaluation's process study. Although the Nebraska program is restricted to hard-to-employ TANF recipients, the other two programs serve both current TANF recipients and other low-income people who receive certain benefits from the government (e.g., food stamps, child care assistance, or Medicaid). The Illinois program even includes low-income people without children. The population served by the programs also varies from five rural counties in one section of the state (Illinois) to all the rural counties in another state (Tennessee).

The Illinois program began implementation in 2001, and the other two programs began implementation in 2002. For the impact study, eligible individuals were randomly assigned into either a program group or a control group. Those in the program group were invited to participate in the program; those in the control group were not. Targeted sample sizes are 630 for Illinois (315 program, 315 controls) and 600 for Nebraska (330 program, 270 controls).

Periodicity

The Rural Welfare-to-Work Evaluation began in September 2000 and is scheduled to end in September 2007. Follow-up surveys are given to sample members 18 and 30 months after random assignment into the evaluation's research sample.

Components

The majority of income and earnings questions come in one of three sections of the Rural Welfare-to-Work 18-month follow-up survey instrument: Section F (Employment History for the Past Eighteen Months), Section G (Unearned Income and Income from Household), and Section H (Total Household Income). The Section F questions ask about wages for all jobs the respondent has held since the random assignment date. The respondent is asked about current/primary current or most recent job, starting wage, benefits received, financial assistance necessary for this job, and cost of transportation to work. The section also inquires about wages and benefits from the main job of the respondent's spouse/partner and about extra money from any odd jobs or under-the-table jobs.

Section G inquires about the types and amount of government assistance (i.e., TANF, food stamps, WIC, SSI, social security payments, unemployment compensation, general relief payments, foster care or adoption assistance, other government assistance) and other unearned income (i.e., child support and total other unearned income) that the respondent's household received last month. The section also asks about earned income from other members of the household (besides the spouse) in total in the last month. Section H requests the respondent's total annual household income, probing if the respondent doesn't know or refuses. Other questions about the Earned Income Tax Credit (EITC) and the federal income tax return are also asked. The amount of the most recent tax refund was asked, but not the amount paid in taxes.

Other sections of the survey ask questions related to cash and non-cash forms of income. Section D (Receipt of Services in the Past 18 Months) inquires about subsidized employment and receipt of family services and about various types of financial assistance (child care, transportation, job-related, and housing); the respondent is asked for the total amount of assistance received in each category since the random assignment date. Transportation assistance, dealt with differently, is divided into six categories; the respondent is given the choice as to the periodicity with which he/she identified the amount of the assistance. Section E (Current Housing Arrangement, Household Structure and Children) asks about subsidized housing and about the amount the respondent's household spent on housing costs in the last month. Section I (Child Care Arrangements) questions the respondent on the specific amount paid (per week or per month) by the household for child care and the specific amount received (per week, day, or month) by the respondent and his/her spouse/partner combined (if applicable) in child care assistance from all sources (both governmental and other). Section M (Material Hardship, Support Networks, and Family Well-Being) asks whether the respondent and his/her children have health insurance. It also inquires about financial and other assistance from other people and the availability and use of community services. Section N (Non-Program Car Financing) looks at the financial help the respondent and his/her spouse/partner combined (if applicable) has received buying or maintaining a car since the random assignment date; specific amounts are asked in each category in total. Finally, Section O (Background and Contact Information) inquires about how long the respondent has personally received TANF or AFDC welfare.

Procedures for Administration

The 18-month follow-up survey instrument is administered to each sample member in one of two ways: computer-assisted telephone interview or an in-person paper and pencil questionnaire. The 18-month survey takes about 45 minutes for overall administration. The amount of time to complete the income and earnings items is as follows: Section F, approximately 9 minutes; Section G, approximately 2 minutes; and Section H, between 2 and 2.5 minutes.

Psychometrics/Data Quality

Psychometric information is not yet available.

Languages Available

The 18-month follow-up survey can be administered in both English and Spanish.

Items Included

Because the Rural Welfare-to-Work 18-month follow-up questionnaire is not available online, a complete list of its income and earnings questions follow. The survey can also be requested from the Project Director (Mike Ponza, **mponza@mathematica-mpr.com**) or the ACF Project Officer (Michael Dubinsky, **midubinsky@acf.hhs.gov**). Except for Section G (Unearned Income and Income from Household) and Section H (Total Household Income), the sections listed contain questions not related to income and earnings, which were omitted. Skip patterns were also deleted unless they were deemed necessary to understanding the question.

Section D. Receipt of Services in the Past 18 Months

D3f. Since (RANDOM ASSIGNMENT DATE), did you have a job in which, for a specific period of time, all or part of your wages were paid for by a welfare or employment program? Sometimes these programs are called subsidized employment, supported work, on-the-job training or transitional employment.

D3g. Are you currently working in a **subsidized** job?

D3h. Since (RANDOM ASSIGNMENT DATE), about how many months did you work at a job in which, for a specific period of time, all or part of your wages were paid for by a welfare or employment program?

D3i. At any time since (RANDOM ASSIGNMENT DATE), did any subsidized job become a **regular** job, that is, did the employer start paying your **entire** wage?

D5. Now I'd like to ask you some questions about financial help you might have received from welfare or any other agency.

Since (RANDOM ASSIGNMENT DATE), has welfare or any other agency helped you pay for child care?

D5a. For how long since (RANDOM ASSIGNMENT DATE) did you receive help paying for child care? Please include assistance from programs and agencies only, not from friends or relatives.

D5b. How much financial assistance with child care did you receive from programs or agencies? Please include the amount paid to you as well as the amount paid directly to your child care provider.

D6. Since (RANDOM ASSIGNMENT DATE), has welfare or any other agency helped you pay for transportation?

D6a. I am interested in the kinds of financial assistance with transportation you received since (RANDOM ASSIGNMENT DATE). Did you receive…

Vouchers or passes for a bus, taxi, train, or van?
Gas vouchers?
Other reimbursement for using your own car?
Money to be used to purchase a car? Do not include loans
Money to be used to register or get insurance for a car or obtain driver's license?

PROBE: Includes money for driver's education classes.

Money for automobile repair or maintenance?

D6c. For how long since (RANDOM ASSIGNMENT DATE), did you receive (INSERT TRANSPORTATION ASSISTANCE SOURCE D6a1-D6a6)?

[The duration question is repeated for each kind of financial assistance with transportation that the respondent identified in D6a.]

D6d. How much was that assistance? **PROBE:** Your best estimate is fine.

[The amount of assistance question is repeated for each kind of financial assistance with transportation that the respondent identified in D6a. Interviewer also codes the duration of that amount (e.g., per day, per month, one time or lump sum, etc.)]

D7. Since (RANDOM ASSIGNMENT DATE), has welfare or any other agency helped you pay for job-related expenses such as work clothes, tools, or other supplies?

D7a. In total, how much financial assistance did you receive from welfare or any other agency for job-related expenses? Please include benefits paid to you as well as benefits paid directly to the businesses providing the items. **PROBE:** Your best estimate is fine

D8. Since (RANDOM ASSIGNMENT DATE), has welfare or any other agency helped you pay for housing in a crisis? By help paying for housing, I mean help paying your rent or mortgage, homeowner's or rental insurance, or paying for utilities.

D9. How much financial assistance with housing did you receive? **PROBE:** Your best estimate is fine.

Section E. Current Housing Arrangement, Household Structure and Children

E2. Do you currently receive any government assistance to help pay for your housing? For example, do you get a rent subsidy or pay a lower rent because a housing authority, or Section 8 vouchers, or some other government program pays part of the cost?

E3. Does a government public housing authority own the building where you live?

E4. **[If respondent had previously indicated that he or she lives in a group home or halfway house that is run by an agency]** Do you have to pay anything to live there?

E4a. **[If respondent had previously indicated that he or she lives in a group home or halfway house that is run by an agency]** In (LAST MONTH), what were **your** housing costs including anything you paid for rent or utilities? **PROBE:** Your best estimate is fine.

E5. **[If respondent had previously indicated that he or she rents.]** The next questions determine what your household spends on housing and what your share of the cost is.

First, in (LAST MONTH), what was the overall housing cost for **you and the people living with you.** Please include rent and any utilities, such as gas, heat or electricity. **PROBE:** Your best estimate is fine.

E6. **[If respondent had previously indicated that he or she owns his or her own home]** The next questions determine what your household spends on housing and what your share of the cost is.

First, in (LAST MONTH), what was the overall housing cost for **you and the people living with you.** Please include mortgage, home insurance, property taxes, and any utilities, such as gas, heat or electricity. **PROBE:** Your best estimate is fine.

Section F: Employment History for the Past Eighteen Months

F1. The next questions are about your paid work experience since (RANDOM ASSIGNMENT DATE). By that we mean any part-time or full-time jobs as well as self-employment or your own business. Please don't include any unpaid jobs.

Are you currently working at a job for pay?

[INTERVIEWER: IF (RESPONDENT) HAS A JOB BUT IS NOT AT WORK BECAUSE (HE/SHE) IS SICK, ON VACATION, ON STRIKE, OR BECAUSE OF BAD WEATHER, COUNT AS CURRENTLY EMPLOYED.]

[Subsequent questions get at number of current jobs or (if respondent is not currently working) any jobs that have lasted two weeks or longer since random assignment date. Ultimately, the respondent provides information on all of the paid jobs he or she has worked at since the random assignment date (up to ten). The following questions, among many others, are asked for all of these jobs.]

F10a. What (is/was) your (current) hourly rate of pay, before taxes and deductions?

F10b. In addition to your hourly pay, (do/did) you get tips, bonuses, or commissions?

F11. How much (are/were) your weekly or monthly earnings, before taxes and other deductions (just before you left that job)? Please include any tips, bonuses, or commissions.

ACCEPT MOST CONVENIENT TIME PERIOD. **[Other options besides weekly or monthly accepted, including twice a month, per year, etc.]**

PROBE: Your best estimate is fine.

PROBE, IF PER JOB/PIECE/UNIT: How much did you earn in a typical day?

[The following questions were only asked for the respondent's current/primary current or most recent job. Questions F12a, b were only asked if the job lasted three months or longer.]

F12b. Did you always earn (DOLLARS FROM F10a OR F11) per (HOUR/UNIT FROM F11) on this job?

F12c. How much were you paid when you started working on this job before taxes and other deductions? Please include tips, commissions, and regular overtime pay.

F13. Now thinking about your (current situation/last position) at work.
(Are/Were) the following benefits available to you on this job. First…

Paid sick leave?
Paid vacation?
Paid holidays?
A retirement or pension plan?
Dental benefits, including any offered at a cost to you?

F13a. (ls/Was) there health insurance coverage available to you at your job at (EMPLOYER)?

PROBE FOR CURRENT JOB: Available now.

PROBE FOR PREVIOUS JOBS: Available at any time.

F13b. (Does/Did) (EMPLOYER) pay all, part or none of the cost of the premiums for this health insurance?

F13c. (Are/Were) you actually participating in the health insurance plan?

F13d. (Does/Did) the health insurance offered by (EMPLOYER) also cover other family members?

F14. How do you usually travel to this job?

IF A SINGLE COMMUTE UTILIZED SEVERAL MODES, CIRCLE ALL THAT APPLY.

[Possible answers include welfare office provides ride or employer provides ride.]

F15. (Not counting gas you buy) How much does a one way trip cost you to get to work each day? Include things like bus and train fare, tolls, parking, and any other costs.

[INTERVIEWER: USE INTRO PHRASE IF "DRIVE SELF" IS CODED IN F14.]

PROBE: Just one way, not round trip.

WATCH THE DECIMAL POINT.

F17. Did you receive any assistance from (EMPLOYER) or from an agency to help you get to this job?

F7a. What assistance did you receive?

CIRCLE ALL THAT APPLY

Discounted/free taxi ride
Discounted/free van/shuttle service
Discounted/free transit passes/tickets/tokens
Cash or check
Other (specify) _____
Don't know
Refused

F18. Do you receive any financial assistance (from [EMPLOYER] or) from an agency for…

PROBE: Are you reimbursed for the cost in your paycheck?

DO NOT USE EMPLOYER FILL IF SELF EMPLOYED.

Purchasing uniforms or clothing?
Cleaning your uniforms or your clothing?
Purchasing tools or equipment?
Getting licenses?

[Questions are asked that get at if the respondent's spouse/partner is currently working, or has ever worked since random assignment date.]

F36. Now I'd like to ask you some questions about (SPOUSE/PARTNER)'s (current/most recent) paying job. If (SPOUSE/PARTNER) (has/had) more than one job, please think about the one (he/she) considers(ed) to be (his/her) main job.

(Is/Was) (he/she) self-employed there?

PROBE: By main, I mean the job (SPOUSE/PARTNER) works(ed) the most hours at in a week.

PROBE: Did (he/she) work for (himself/herself) in (his/her) own business?

F37. What was (his/her) current hourly rate of pay, before taxes and deductions (just before (he/she) left that job)?

F38. In addition did (he/she) get tips, bonuses, or commissions?

F39. How much (are/were) (his/her) weekly or monthly earnings, before taxes and other deductions (just before [he/she] left that job)? Please include any tips, bonuses, or commissions.

ACCEPT MOST CONVENIENCE TIME PERIOD. **[As with respondent's earnings, different time periods other than weekly or monthly were accepted.]**

PROBE: Your best estimate is fine.

PROBE, IF PER JOB/PIECE/UNIT: How much (does/did) (he/she) earn in a typical day?

F44. Were the following benefits available to (him/her) on this job? Was (ITEM) available?

PROBE FOR CURRENT JOB: Available now.

PROBE FOR PREVIOUS JOB: Available at any time.

Paid sick leave?
Paid vacation?
Paid holidays?
A retirement or pension plan?
Dental benefits, including any offered at a cost to him/her?

F45. Now I'd like to ask you about other income from any work (you/you or your spouse/partner) may have done to bring in extra money since (RANDOM ASSIGNMENT DATE).

Since (RANDOM ASSIGNMENT DATE), did (you/you or your [spouse/partner]) have any income from odd jobs, side jobs, under-the-table jobs, or any other activities. Do not include income from gifts, child support, lottery winnings, and things like that.

READ ONLY IF R HESITATES: I know this may be a sensitive question, so I'm not asking you how the money was earned, just the amount. Please remember everything you tell me is completely confidential.

F46. Did (you/you or your [spouse/partner]) have any income from odd jobs, side jobs, under-the-table jobs, or any other activities (LAST MONTH)?

F47. What was the total amount of that income in (LAST MONTH)?

PROBE: Your best estimate is fine.

Section G. Unearned Income and Income from Household

G1. Next I'd like to ask you some questions about sources of income and support. In (LAST MONTH), did you or any member of your household receive any of the following types of government assistance or income…

[INTERVIEWER: "CHILDREN" INCLUDES THOSE LIVING WITH THE SM [SAMPLE MEMBER] WHO HE/SHE HAS RESPONSIBILITY FOR.]

G1a. TANF, or temporary assistance for needy families, or cash welfare for families with children?

PROBE: TANF used to be called AFDC or ADC.

G2. Food Stamps?

PROBE: In (LAST MONTH)?

G2a. A food voucher or food items from WIC or Women, Infants, and Children food program?

PROBE: In (LAST MONTH)?

G3. Supplemental Security Income (SSI) or Disability Insurance?

PROBE: In (LAST MONTH)?

G4. Social Security Retirement or Survivors Benefits?

PROBE: In (LAST MONTH)?

[REREAD QUESTION IF NECESSARY.]

In (LAST MONTH), did you or any member of your household receive any of the following types of government assistance or income…

G5. Unemployment Insurance benefits?

PROBE: In (LAST MONTH)?

G6. General Relief or General Assistance?

PROBE: In (LAST MONTH)?

G7. Foster care or adoption assistance?

PROBE: In (LAST MONTH)?

G8. Any other type(s) of government assistance such as Worker's Compensation or veteran's benefits? (SPECIFY) _____

G9. Child support not including any child support payments you may have received from the state?

PROBE: In (LAST MONTH)?

G10. Any other income such as rent from roomers or boarders, alimony, interest, private pension benefits, lottery winnings, other kinds of pension benefits, gifts or loans from someone outside your household or any other sources? (SPECIFY) _____

G12. Now, I'd like to know about the amount of income from each source that was received by you, (your [spouse/partner]), (and by all other members of your household). First, [ASK COLUMN B ABOVE FOR EACH "YES" IN COLUMN A].

[These questions were asked for every type of income respondent said they had received in the last month.]

How much did you, (your [spouse-partner]) or anybody else in your household receive last month from TANF?

PROBE: Your best estimate is fine.

How much did you, (your [spouse-partner]) or anybody else in your household receive last month from Food Stamps?

PROBE: Your best estimate is fine.

What was the value of the WIC voucher you, (your [spouse-partner]) or anybody else in your household received last month?

PROBE: Your best estimate is fine.

How much did you, (your [spouse-partner]) or anybody else in your household receive last month from SSI/SSD?

How much did you, (your [spouse-partner]) or anybody else in your household receive last month from Social Security Retirement or Survivor Benefits?

PROBE: Your best estimate is fine.

How much did you, (your [spouse-partner]) or anybody else in your household receive last month from Unemployment Insurance benefits?

PROBE: Your best estimate is fine.

How much did you, (your [spouse-partner]) or anybody else in your household receive last month from General Relief or General Assistance?

PROBE: Your best estimate is fine.

How much did you, (your [spouse-partner]) or anybody else in your household receive last month from foster care or adoption assistance?

PROBE: Your best estimate is fine.

How much did you, (your [spouse-partner]) or anybody else in your household receive last month from other types of government assistance?

PROBE: Your best estimate is fine.

How much did you, (your [spouse-partner]) or anybody else in your household receive last month from child support?

PROBE: Your best estimate is fine.

How much did you, (your [spouse-partner]) or anybody else in your household receive last month from any other income?

PROBE: Your best estimate is fine.

G14. Now I'd like you to think about the other people living in your household who are 14 years or older besides (SPOUSE'S/PARTNER's [NAME]). How much money did (this person/these people) earn altogether from all jobs and self-employment in (LAST MONTH). Your best estimate is fine.

PROBE: I can help you add it up if you want to think out loud.

[The following questions were asked if the respondent didn't know or refused.]

G15. Would you say the amount they earned in (LAST MONTH) was less than $1,000 or $1,000 or more?

G16. Would you say it was. . .

$1,000 to under $1,500,
$1,500 to under $2,000,
$2,000 to under $2,500, or
$2,500 or more?
Don't know
Refused

G17. Would you say it was…

less than $250,
$250 to under $500,
$500 to under $750, or
$750 to under $1,000?

Don't know
Refused

Section H: Total Household Income

H1. Now, I'd like you to think about your household's **total income** during the past 12 months from all sources including income from welfare, other public assistance, food stamps, child support, money from your child(ren)'s other parent, earnings from regular jobs, and earnings from odd jobs, side jobs, under-the-table jobs, and other activities and sources. What was the total income of all members of your household—including yourself-from all sources before taxes and deductions during the past 12 months?

PROBE: Your best estimate is fine.

[The following questions were asked if the respondent didn't know or refused.]

H2. During the past 12 months, would you say your household income was less than $20,000, or $20,000 or more?

H3. Would you say it was…

$20,000 to under $25,000,
$25,000 to under $30,000,
$30,000 to under $35,000, or
$35,000 or more?
Don't know
Refused

H4. Would you say it was…

less than $5,000,
$5,000 to under $10,000,
$10,000 to under $15,000, or
$15,000 to under $20,000?
Don't know
Refused

H5. Have you heard of the Earned Income Tax Credit or EITC? It is extra money people who work and have a limited income can get through the government when they file their tax return. This is also called the Earned Income Credit or EIC.

H6. Since (RANDOM ASSIGNMENT DATE), did you receive or apply to receive an Earned Income Tax Credit?

H7. Why did you not apply to receive an Earned Income Tax Credit since (RANDOM ASSIGNMENT DATE)?

MANDATORY PROBE: Are there other reasons?

CIRCLE ALL THAT APPLY

Did not know could get it	01
Did not know how to apply	02
Did not work or had very little earnings	03
Earnings too high to qualify	04
No children living at home	05
Someone else claimed children as dependents	06
Did not want to file income tax return	07
Did not want this kind of government help	08
Other (specify)	09
_____	
Don't know	d
Refused	r

[Respondent would only have been asked one question out of H8b and H8c.]

H8b. Did you file a federal income tax return for 2001? Most people would have filed their 2001 income tax return by April 15, last year.

H8c. Did you file a federal income tax return **for 2002**? Most people would have filed their 2002 income tax return by April 15, this year.

H9. Did you receive a federal income tax refund last year?

H10. Approximately how much was that tax refund?

PROBE: Your best estimate is fine.

H11. Did you prepare your federal income tax return by yourself, or was it prepared by a tax preparer, someone at a local community organization, or family member or friend?

PROBE: That would be someone who is an experienced tax form preparer.

Section I: Child Care Arrangements

[Question I3 is only asked if the respondent is now working at a job or has ever worked at one since the random assignment date. Respondent can answer per week or per month.]

I3. Thinking about all of the children in your household under the age of 13 and including whatever (is/was) paid by you or by someone else in your household, how much (does/did) child care usually cost you? Do not include any amount you (pay/paid) but (get/were) reimbursed for later, or the value of any noncash payments.

PROBE IF SM STATES CHILD CARE ARRANGEMENTS OR COSTS CHANGED DURING THE TIME AT THE JOB: Let's focus on the child care costs during the last few weeks (of that job).

I4. How much child care assistance do (you/you and your [spouse/partner]) receive in a typical month from welfare or social service agencies, employers, or friends or relatives outside your household? Please include child care benefits paid to (you/you and your spouse/partner), as well as any benefits paid directly to your child care provider.

> **PROBE:** We only want to know the amount which is paid by someone else or for which you are reimbursed. Do not include the amount you pay for child care from your household's income.
>
> **PROBE:** Your best estimate is fine.

[Question I4 could also be answered per week or per day.]

Section M: Material Hardship, Support Networks and Family Well-Being

Now I have questions about your family's well-being.

[INTERVIEWER: INCARCERATED SAMPLE MEMBERS SHOULD PROVIDE RESPONSES IN THIS SECTION BASED ON THEIR SITUATIONS PRIOR TO BECOMING INCARCERATED (E1).]

M3. The next few questions are about your own health insurance or health care coverage. Please do not include your children or any other adults in your household in your answer. Are you currently covered by either Medicaid, private health insurance, or any other kind of health care coverage?

M4. Since (RANDOM ASSIGNMENT DATE), have you personally ever been without health care coverage?

[Question M4 is not asked if respondent does not currently has health insurance.]

M6. The next few questions are about (FILL NAMES OF CHILDREN IN HOUSEHOLD UNDER AGE 18).

(Is this/Are all of these) child(ren) currently covered by Medicaid, private health insurance, or any other kind of health care coverage?

M7. Since (RANDOM ASSIGNMENT DATE), (has this/have any of these) child(ren) ever been without health care coverage?

[Question M7 is not asked if respondent's children do not currently have health insurance.]

PERSONAL SUPPORT NETWORKS

Now I would like to ask you a few questions about people you go to for advice or rely on for help.

M8. Since (RANDOM ASSIGNMENT DATE), did you receive any of the following types of help from your parents, relatives, friends or neighbors who do <u>not</u> live with you?

Transportation or rides to places you needed to be?
A place to stay when you didn't have your own place?
Food or meals? Groceries?
Gifts or money?

PROBE: Please do not include formal child support payments.

Babysitting or help with child care?

[Question M10 was only asked about types of help that respondent did not receive.]

M10. If you needed (INSERT TYPE OF HELP), could you get it from your parents, relatives, friends or neighbors who do not live with you?

Transportation or rides to places you needed to be?
A place to stay when you didn't have your own place?
Food or meals? Groceries?
Gifts or money?
Babysitting or help with child care?

M11. Next, please tell me if any of the following services were located in your area during the past year:

A food pantry or soup kitchen?
A crisis hotline or walk-in center?
A thrift shop, Goodwill Industries store or Salvation Army store?
A church or other community organization that helped with money, food or other kinds of assistance?

[Question M12 was only asked for those services the respondent answered "yes" to in question M11.]

M12. Since (RANDOM ASSIGNMENT DATE), did you or you (child/children who lives with you) ever visit or receive help from (SERVICE **[from M11]**) in your area?

Section N: Non-Program Car Financing

N1. Now I'd like to ask you about help you may have received financing the purchase of an automobile since (RANDOM ASSIGNMENT DATE).

Did you [or your spouse/partner/boyfriend/girlfriend] receive a gift of money from family or friends outside the household to help pay for the purchase of a car, including the cost of registration, taxes, and licensing fees?

N2. How much money did (you/you and [he/she]) receive?

N3. Since (RANDOM ASSIGNMENT DATE), did you [or your spouse/partner/ boyfriend/girlfriend] receive a gift of money from family or friends outside the household to help pay for **expenses** related to the maintenance or repair of a car?

N4. How much money did (you/you and [he/she]) receive?

N5. Since (RANDOM ASSIGNMENT DATE), did you [or spouse/partner/ boyfriend/girlfriend] obtain a loan from a bank, other financial institution, car dealership, welfare agency, or community organization to help pay for a car?

N6. Where did you get the loan? Was it from . . .

A bank or some other financial institution such as a credit union or savings and loan?
A special program through the welfare office, a community agency or other organization?
A care dealership?
Any where else? (specify) _____

N8. How much was the loan?

Section O: Background and Contact Information

O5. Have you ever received TANF or AFDC welfare in your own name, for your own case?

O6. In what month and year did you first start receiving TANF or AFDC in your own name, for your own case?

PROBE: Your best estimate is fine.

O7. In total, about how long have you received TANF or AFDC in your own name?

PROBE: Your best estimate is fine.

[READ CATEGORIES IF NECESSARY]

1 to 6 months
7 to 12 months
13 months to 24 months (over 1 year but less than 2 years)
25 months to 60 months (over 2 years but less than 5 years)
More than 60 months (over 5 years)
Don't know
Refused

References and Source Documents

Burwick, A., & Meckstroth, A. (2002, October). *Rural Welfare-to-Work Strategies Demonstration Evaluation, a summary of the evaluation design and demonstration programs. Final report.* Princeton, NJ: Mathematica Policy Research, Inc.

Markesich, J., Marsh, S., & Ponza, M. (2003, February). *The Rural Welfare-to-Work Strategies Demonstration Evaluation Project implementation plan for the 18 and 30 month follow-up surveys. Final report.* Princeton, NJ: Mathematica Policy Research, Inc.

Mathematica Policy Research, Inc. (2002, October). *The Rural Welfare-to-Work Strategies Demonstration Evaluation, supporting statement for request for OMB approval of the 18-month follow-up survey and site visit protocols.* Princeton, NJ: Mathematica Policy Research, Inc.

Mathematica Policy Research, Inc. (2003, October). *The Rural Welfare-to-Work Strategies Demonstration Evaluation, revised draft supporting statement for request for OMB approval of the 30-month follow-up survey.* Princeton, NJ: Mathematica Policy Research, Inc.

Meckstroth, A., & Burwick, A. (2002, February). *Rural Welfare-to-Work Strategies Demonstration Evaluation process and implementation study: Objectives, data collection methods, and site visit protocols.* Princeton, NJ: Mathematica Policy Research, Inc.

Ponza, M., Meckstroth, A., & Burwick, A. (2003, January). *The Rural Welfare-to-Work Strategies Demonstration Evaluation Project evaluation design. Draft report.* Princeton, NJ: Mathematica Policy Research, Inc.

U.S. Department of Health and Human Services. (2002, October). *Rural Welfare-to-Work Strategies Demonstration Evaluation: A summary of the evaluation design and demonstration programs.* Washington, DC: Author. Available at http://www.acf.dhhs.gov/programs/opre/rural_welfare/rural_welfare_to_work.pdf

The data collected through the two rounds of follow-up surveys, from state and program administrative records, and from the site visits will be incorporated in the series of evaluation reports. The impact analysis will be conducted in three rounds, each followed by some form of reporting. A short-term cost-benefit report will be prepared, and then a final impact and cost-benefit report will be prepared at the end of the project. Special topical papers, briefings, and public use data files are also part of the analysis and reporting phase.

Short-Term Impact Memoranda and Reports. We will conduct two rounds of interim, short-run analyses, with each drawing on increasing shares of the evaluation sample as it is enrolled over time and on increasing periods of follow-up data. These findings will be reported in stages, separately by site. The first impact analysis "memoranda," which will report on short-term impacts based on analysis of administrative data, will be submitted in 2004–2005. These will be followed with site-specific reports on short-term impacts based on the 18-month survey data and additional quarters of administrative data, during 2005–2006.

Interim and Final Process Study Reports. We will follow a similar sequence of producing interim memoranda and report for the process study. An interim cross-site report on program implementation and operations will be submitted in fall 2003. Site-specific reports on program participation and experiences will be issued during 2005–2006.

Reports on Costs and Short-Term Cost-Benefits. Separately for each site, we will prepare reports on program costs and short-term benefit-costs, submitting them in 2005–2006.

Final Reports. We will prepare the final reports as final data on the evaluation sample become available from the 30-month follow-up survey and analysis of additional administrative records data on sample members. Analysis of longer-term impacts and costs will be conducted in late 2006 and early 2007, drawing on the 30-month follow-up survey data. A draft overall final report on impacts and cost-benefits and implementation findings will be submitted in summer 2007, with revisions completed within 2 months of submission. With the final report, we will prepare a brief synthesis report.

INCOME AND EARNINGS

EMPLOYMENT RETENTION AND ADVANCEMENT PROJECT (ERA)

Measure: Income and earnings items from the ERA follow-up 12-month survey instrument

Note: This options document uses the ERA follow-up 12-month survey instrument from the fall of 2002.

Source

The ERA is funded by the Administration for Children and Families in the U.S. Department of Health and Human Services and by the U.S. Department of Labor. MDRC conducts the evaluation with technical assistance from the Lewin Group.

Population Assessed

There are 15 ERA programs being implemented across eight states:

California: Los Angeles County (two sites) and Riverside County (two sites)
Illinois
Minnesota
New York: New York City
Ohio
Oregon: Medford, Eugene, Salem
South Carolina
Texas: Fort Worth, Houston, Corpus Christi

A majority of the ERA projects are in urban areas, are relatively large, and enroll approximately 1,000 to 2,000 people during a 1- to 2-year-period. Random assignment is used in each site to assign individuals to the treatment (i.e., ERA programs) or the control (i.e., services available before ERA) groups except in the case of Cleveland, Ohio, where employers are assigned randomly. The final expected sample size is over 40,000 individuals. Because the ERA project consists of 15 separate studies of each of the programs, methods of random assignment and the type of population assessed will vary among the programs. However, all programs target low-income individuals, typically current and/or former recipients of TANF.

Periodicity

The evaluation will last for 8 years. It began in September 1999 and is scheduled to conclude in September 2007. Site development occurred from fall 1999 through winter 2003. Pilot assessments occurred from spring 2001 through 2002. Technical assistance and feedback have been ongoing through 2003. Random assignment and the collection of baseline data has been staggered with the first sites starting in mid-2001 and the last site projected to conclude random assignment in March 2005. Post random assignment assessments occurred during 2002–2003. Implementation research occurs between 2002 and 2004. A 12-month survey in the field (the

subject of this options document) will occur during 2003–2005, 12 months after the random assignment date in each site. The 36-month survey will occur beginning in 2005.

Components

The majority of income and earnings questions come in one of two sections of the ERA 12-month survey: Section C (Employment History) and Section H (Household Income). The Section C questions ask about wages for each of the respondent's jobs since the random assignment date. Respondents are asked to provide the most recent wage they had at the job and are given a choice as to the reference period with which they present that wage. For certain jobs, starting wage and benefits received are also asked. Section H asks whether the respondent or his/her household received various forms of public assistance, but does not ask for dollar amounts. The survey then inquires separately about the respondent's total monthly household income and personal income from all sources combined. One question asks if the respondent filled out a federal tax return, but does not inquire about the amount of taxes.

Other sections of the survey ask other questions related to monetary and nonmonetary forms of income and expenditures. Section A (Participation in Employment and Education Activities) inquires about receipt of financial aid or tuition reimbursement for various educational opportunities. Section D (Message from and Experiences of Program) asks about receipt of family services. Section E (Marital Status, Household Size and Child Care) questions the respondent on child care assistance. Section F (Transportation) inquires about the respondent's weekly expenditures on work-related transportation. Section G (Health Coverage) asks if the respondent and his household have health insurance.

Procedures for Administration

The follow-up 12-month survey is administered by computer-assisted telephone interview to the experimental and control group members in each program site. The core survey itself takes about 37 minutes. On average, it takes respondents 3.5 minutes to complete the income section and, depending upon the number of jobs reported by the respondent, from 3 to 9 minutes to complete the earnings section.

Psychometrics/Data Quality

Psychometric information is not yet available.

Languages Available

The ERA follow-up 12-month survey can be administered in English and Spanish.

Items Included

Because the ERA follow-up 12-month survey is not available online, a complete list of its income and earnings questions follow. The survey can also be requested from the Project Director (Barbara Goldman, Barbara.goldman@mdrc.org) or the ACF Project Officer John K. Maniha, jmaniha@acf.hhs.gov). Except for Section H (Household Income), the sections listed contain

questions not related to income and earnings, which were omitted. Skip patterns were also deleted unless they were deemed necessary to understanding the question.

Source: ERA 12-month survey

Section A: Participation in Employment and Education Activities

ESL

A3a. Since [**Random Assignment Date (RAD)**] have you ever taken part in ESL classes, that is English as a Second Language?

A3j. While you were attending these ESL classes did you receive financial aid?

ABE/GED/Regular HS

A4a. Since [RAD] have you ever taken part in any Adult Basic Education (ABE) classes, GED classes or classes to prepare for a regular high school diploma? IF NECESSARY, READ "Adult Basic Education (ABE) classes are for improving your basic reading and math skills. GED classes help prepare for the GED test."

A4j. While you were attending these ABE, GED, or high school classes did you receive financial aid?

COLLEGE COURSES

A5a. Since [RAD] have you ever taken any college courses **for credit towards a college degree**? This would include courses at community, two-year, and four-year colleges.

A5h. Did your employer reimburse you for your tuition costs or help pay all or part of the costs?

A5k. While you were attending these college classes did you receive financial aid?

SUBSIDIZED EMPLOYMENT

A7a. Since [RAD] did you have an on-the-job training position, that is a job in which, for a specific period of time, all or part of your wages were paid for by a welfare or employment program? Sometimes these programs are called subsidized employment, supported work, or transitional employment.

A7b. Did this job become a **regular** job, that is, did the employer start paying your **entire** wage?

A7c. Are you currently working in this job?

A7d. Since [RAD], about how many months were all or part of your wages paid for by a welfare or employment program and not an employer?

VOCATIONAL TRAINING

A8a. Since [RAD] did you get vocational training for a specific job, trade, or occupation [**CATI:** IF A5A = 1 (YES) AND A5B = 2 (NO), INSERT "other than the college courses you just mentioned"]? Please don't include on-the-job training or unpaid work experience.

A8j. Did your employer reimburse you for your tuition costs or help pay all or part of the costs?

A8l. While you were taking these classes did you receive financial aid?

OTHER EDUCATION/TRAINING

A9a. Are there any other employment-related activities that you took part in since [RAD] that we did not talk about, such as workshops on career goals, life skills, or how to keep a job?

A9h. While you were attending this activity did you receive financial aid?

Section C: Employment History

The next questions are about all paid jobs you currently have or have had since [RAD]. This includes self-employment, such as paid baby-sitting or housekeeping jobs, or any other jobs you've had since [RAD]. Again, I would like to remind you that your answers will remain entirely confidential.

C1. Since [RAD], have you worked for pay at all? (Please don't count unpaid experience.)

[Some skip patterns omitted. The following income and earnings questions refer to the respondent's current job, or his/her most recent job if the respondent is not currently working for pay. If respondent currently has more than one job, the following questions refer to the employer for whom the respondent usually works the most hours (or, if hours are the same, the employer for whom the respondent has worked the longest).]

C14. What (is/was) your wage (now/just before you left) before taxes? Please include tips, commissions, and regular overtime pay. IF R'S JOB IS ON AN IRREGULAR SCHEDULE OR A COMMISSION BASIS, PROBE FOR HOW MUCH R MAKES IN A TYPICAL WEEK.

C15. (Is/Was) that:

Per hour
Per week
Every 2 weeks
Twice a month
Once a month
Some other way (specify) _____
Don't know
Refused

C16. (Is/Was) that before or after taxes?

C17. (Do/Did) you get any of the following benefits on your job?
[NTERVIEWER: SELECT "YES" IF R WILL EVENTUALLY BE OFFERED BENEFITS.]

Sick days with full pay
Paid vacation
Paid holidays other than Christmas and New Year's Day
Dental benefits, including any offered at a cost to you
A retirement plan
A health plan or medical insurance, including any offered at a cost to you

C18. (Are/Were) you enrolled in the health or medical insurance plan?

C19. What is the **main reason** you didn't enroll in your employer's health insurance plan? Was it that:
(CIRCLE ONE)

You were covered by Medicaid
You were covered by another insurance plan
The cost was too expensive
You hadn't worked long enough
Some other reason (specify)_____
Don't know
Refused

C20. When you started this job were your hours and wage the same as (now/when you ended the job)?

C21. What was your starting wage for this job—that is, how much were your wages when you started this job? Please include tips, commissions, regular overtime pay and earnings, before taxes. IF R'S JOB IS ON AN IRREGULAR SCHEDULE OR A COMMISSION BASIS, PROBE FOR HOW MUCH R MADE IN A TYPICAL WEEK.

C21a. Was that:

Per hour
Per week
Every 2 weeks
Twice a month
Once a month
Some other way (specify) _____
Don't know
Refused

C21b. Was that before or after taxes?

[Respondent is then asked to provide information about other current jobs and other jobs the respondent has had since random assignment date. The following earnings questions were asked for all of these jobs (up to seven).]

C30. What (is/was) your wage (now/just before you left), before taxes? Please include tips, commissions, and regular overtime pay. INTERVIEWER: IF R'S JOB IS ON AN IRREGULAR SCHEDULE OR A COMMISSION BASIS, PROBE FOR HOW MUCH R MAKES IN A TYPICAL WEEK.

C31. (Is/Was) that:

Per hour
Per week
Every 2 weeks
Twice a month
Once a month
Something else (specify)_____

C32. (Is/Was) that before or after taxes?

C33**.** Did your employer make available a health plan or medical insurance, including any offered at a cost to you?

[Respondent is then asked for the following earnings questions about the job he or she was working at on or closest to the random assignment date. If more than one job fits this description, the questions are asked about the respondent's primary job at that date (the one he or she worked the most hours, or two jobs if there is a tie).]

C34. When you started this job at (JOB NAME), were your hours and wage the same as (now/when you ended the job?)

C35. What was your starting wage for this job —that is, how much were your wages when you started this job, before taxes? Please include tips, commissions, and regular overtime pay.

C36. Was that:

Per hour
Per week
Every 2 weeks
Twice a month
Once a month
Something else (specify)_____

C37. Was that before or after taxes?

Section E: Marital Status, Household Size and Child Care

Now I'd like to ask you some questions about you and your family.

[The following questions were asked if the respondent had children 12 years old or younger.]

E5. Now I'm going to ask you about child care. Child care includes day care center or nursery school, Head Start, a babysitter, including brothers or sisters, the child's other parent if [she/he] does not live with you, or other relatives, and summer camps . Please don't count kindergarten, first grade, or higher. Since [RAD], were any of your children under age 13 cared for in a child care arrangement?

E6. Was this a regular child care arrangement? By 'regular' I mean at least once a week for a month or more.

E7. Since [RAD] have you or anyone in your household paid anything for any of this child care even if you were paid back?

E8. Since (RAD) did anyone else pay for part or all of the costs of this child care? By this I mean a government agency, your employer, or someone else **outside your household**?

E9. Since RAD have you had a child care arrangement where the amount you paid depended on how much your income was?

Section F: Transportation

F4. Altogether, how much (do/did) you spend, **per week**, on transportation **to and from your job**? Please don't include any expenses that (are/were) paid or reimbursed by someone else but **do** include what you spend on gas, tolls, and parking. INTERVIEWER: ROUND TO NEAREST WHOLE NUMBER.

Section G: Health Coverage

The next few questions are about health coverage for you and your family.

G1. In (PRIOR MONTH) were you covered by Medicaid?

PROBE: Did you have a valid Medicaid card?

G1a. In (PRIOR MONTH) were you covered by any health insurance plan?

G2. In (PRIOR MONTH) was your (**CATI:** IF E2 = 1 OR 2, INSERT "spouse." IF E3 = 1, INSERT "live-in partner") covered by Medicaid?

PROBE: Did he or she have a valid Medicaid card?

G2a. In (PRIOR MONTH) was he or she covered by any other health insurance plan?

G3. Thinking about all your children under age 18 who lived with you in (PRIOR MONTH), were all of your children covered by Medicaid or (**CATI:** INSERT STATE NAME)'s (**CATI:** INSERT NAME OF STATE'S CHILDREN'S HEALTH INSURANCE PROGRAM), were just some of them covered, or were none of them covered?

G3a. Thinking about the children who were not covered by Medicaid or (**CATI**: INSERT STATE NAME)'s (**CATI**: INSERT NAME OF STATE'S HEALTH INSURANCE PROGRAM), were all of them covered by another health insurance plan, just some of them covered, or were none of them covered?

G4. In (PRIOR MONTH) was your child covered by Medicaid or (**CATI:** INSERT STATE) 's (**CATI**: INSERT NAME OF STATE'S HEALTH INSURANCE PROGRAM)?

G4a. In (PRIOR MONTH) was your child covered by any other health insurance plan?

Section H: Household Income

Now I am going to ask you some questions about your household income in (PRIOR MONTH). Again, I want to assure you that none of your answers will be discussed with anyone.

During (PRIOR MONTH):

H1a. Did **you** have a job?

H1b. Did **anyone else** in your household have a job?

H2. In (PRIOR MONTH), did [you/you or anyone else in your household] receive:

Food Stamps
TANF (Temporary Assistance for Needy Families) or any cash assistance **not including** support money or child care payments?
Child Support?
SSI (Supplemental Security Income or Disability)?
Who received SSI (Supplementary Security Income or Disability)? Was it you or someone else, or both?
Since [RAD] have you applied for SSI?

H3a. What was the total income of **all members of your household** (including yourself) from all sources in (PRIOR MONTH)? PROBE: Your best estimate is fine. INTERVIEWER: ROUND TO NEAREST WHOLE NUMBER.

[The following question(s) are asked if the respondent answered that he or she did not know, but not if he or she refused.]

H3b. Would you say it was more or less than $1,500?
H3c. Would you say it was:

More than $1,500 but less than $2,000,
At least $2000 but less than $2,500, or
$2,500 or more?
Don't know
Refused

H3d. Would you say it was:

At least $1,200 but less than $1,500,
At least $800 but less than $1,200,
At least $500 but less than $800, or
Less than $500?
Don't know
Refused

H3e. Was that before or after taxes?

H3f. How much of that household income from (PRIOR MONTH) reflects **your own income**? Please include all sources including your wages, public assistance, child support, etc. [INTERVIEWER: ROUND TO NEAREST WHOLE DOLLAR.]

H4. Did you or will you fill out a federal tax return for (**CATI:** INSERT PRIOR CALENDAR YEAR)? PROBE: This is the return you would file in April of this year.

H5a. Which of the following best describes your current housing arrangements? Do you:

Own your own home or apartment,
Rent your home or apartment,
Live in emergency or temporary housing (E.G. IN A SHELTER OR IS HOMELESS),
Or something else (LIVING WITH FRIENDS OR FAMILY WITHOUT PAYING RENT)?
Don't know
Refused

H5b. Do you live in:

Public housing, (HOUSING OWNED BY A FEDERAL, STATE OR LOCAL GOVERNMENT AGENCY)
Private housing that is subsidized by government aid, (such as Section 8 or vouchers), or do you live in
Private housing paid for by you with **no help** from the government? (ENTIRE RENT BILL PAID WITHOUT ANY PUBLIC ASSISTANCE TO A LANDLORD, FAMILY MEMBER OR FRIEND)
Don't know
Refused

References and Source Documents

U.S. Department of Health and Human Services (2002, February). *New strategies to promote stable employment and career progression: An introduction to the Employment Retention and Advancement Project.* Washington, DC. URL: http://www.mdrc.org/Reports2002/era_conferencerpt/era_2000_2001.pdf

Reports about early impacts are expected beginning in mid 2004. The implementation and preliminary impacts are for an early cohort of enrollees for each site. ERA programs will be covered in separate interim reports in 2005–2006. Reports that explore specific topics from a cross-program perspective will be released periodically. A final report including impacts and cost-benefits is expected in 2007.

INCOME AND EARNINGS

HEAD START FAMILY AND CHILD EXPERIENCES SURVEY

Measure: Selected "employment and income," "community services," "income and housing," and "child care" items from the FACES Parent Interviews (Head Start Parent Interview, Kindergarten Parent Interview, First Grade Parent Interview)

Source

The Head Start Family and Child Experiences Survey (FACES) evaluation is sponsored by the U.S. Department of Health and Human Services, Administration for Children and Families. The project team for FACES 1997 included Westat (prime contractor), Abt Associates, Ellsworth Associates, and the CDM group. The project team for FACES 2000 included Westat (prime contractor), Xtria (formerly Ellsworth Associates), and the CDM group. The project team for FACES 2003 included Westat (prime contractor), Xtria, and the CDM group.

The Head Start Quality Research Consortium (QRC), University of Maryland Department of Family Studies developed the "employment and income" items. The Head Start QRC and the FACES research team developed the "community services" items. The FACES Research team developed the "income and housing" items. The "child care" items were developed by the National Institute of Child Health and Human Development study of early child care [See Emlen, A. (1998). From a parent's point of view: Flexibility, income, and quality of child care. Background paper for New Perspectives on Child Care Quality Conference, SEED 2000 Consortium of Federal Agencies, Bethesda, MD].

In addition to FACES, some of these items and variations of the items were also used by the following EDCP evaluations and surveys: National Head Start Impact Study (Fall 2002 Parent Interview, Spring 2003 Parent Interview).

Population Assessed

Each cohort of FACES employs a nationally representative sample of Head Start programs, centers, classrooms, children, and parents. Each sample is stratified by three variables: region of the country (northeast, Midwest, south, or west); urbanicity (urban versus rural); and percentage of minority families in the program (50 percent or more versus less than 50 percent). Data collection methods included child assessments, parent interviews, teacher reports, staff interviews, and classroom observations. Since its inception, FACES has involved an initial field-test sample and three nationally representative cohorts: FACES 1997, FACES 2000, and FACES 2003.

FACES 1997 field test. FACES was field tested in spring 1997 with 2,400 3-, 4-, and 5-year-olds and their parents in a nationally stratified random sample of 40 Head Start programs. These children were followed up in spring 1998 when the children were in kindergarten.

FACES 1997. Data from the initial cohort for the main study of FACES 1997 was first collected in fall 1997 on 3,200 children and families from the same 40 Head Start programs

employed in the field test. Data were collected on 1,200 3-year-olds new to Head Start; 1,280 4- and 5-year-olds new to Head Start; and 720 4- and 5-year-olds who were in the field-test study and returning for another year of Head Start. Data on these children were also collected in spring 1998 (spring of the Head Start year), spring 1999 (spring of the kindergarten year or spring of the Head Start year for those who were 3 years old in fall 1997), spring 2000 (spring of the first-grade year or spring of kindergarten for those who were 3 years old in fall 1997), and spring 2001 (spring of first-grade year for those who were 3 years old in fall 1997).

FACES 1997 also included a validation substudy or embedded case study of 120 randomly selected families from the larger FACES sample. (NB. The embedded case study was not a part of FACES 2000 or FACES 2003). Data collection included in-person parent interviews, home and neighborhood observations, monthly telephone contacts for demographic updates, and community agency interviews regarding the amount and overall nature of collaboration between the agency and the Head Start program.

FACES 2000. A new national cohort of FACES was launched in fall 2000 (FACES 2000). Beginning in fall 2000, data from 2,800 children and families in a new nationally stratified random sample of 43 Head Start programs were collected to ascertain what progress was made in improving program performance. Data were collected in fall 2000, spring 2001, spring 2002 (when children were in kindergarten or in a second year of Head Start), and spring 2003 (when the children who were 3 years old in fall 2000 were in kindergarten).

FACES 2003. Data on a third national cohort (FACES 2003) were collected in fall 2003. Data from 2,700 children and families in a new nationally stratified random sample of 66 programs were collected in fall 2003 and will be collected in spring 2004, spring 2005 (when children are in kindergarten or in a second year of Head Start), and spring 2006 (when the children who were 3 years old in fall 2000 are in kindergarten).

Each cohort of FACES has approximately equal numbers of girls and boys and representative samples of white, African American, Hispanic, and children of other races (see exhibits 1 and 2).

Exhibit 1. Original FACES Sample (FACES 1997)

	Weighted Percentages		
	All (n = 3,120)	Age 3 (n = 1,129)	Age 4 n = 1,991)
Gender			
Male	50.4	48.7	51.2
Female	49.6	51.4	48.8
Race/Ethnicity			
African American	28.8	34.7	26.1
White	30.7	29.0	31.4
Hispanic/Latino	27.6	22.5	30.0
Native American	1.9	2.3	1.7
Asian/Pacific Islander	1.3	1.3	1.3
Other	8.8	8.7	8.6

Exhibit 2. FACES 2000 Sample

	African American		White		Hispanic		Other		Total	
	N	%	*N*	%	*N*	%	*N*	%	*N*	%
Male	343	13.8	471	19.0	363	14.6	65	2.6	1242	50.1
Female	383	15.4	415	16.7	371	14.9	68	2.7	1237	49.9
Total	726	29.3	886	35.7	734	29.6	133	5.4	2479	100

Periodicity

In the initial field test for FACES, Parent Interviews were collected in spring 1997 and again in a spring 1998 follow-up when the children were in kindergarten.

Parent Interview data from the initial cohort for the main study of FACES1997 were first collected in fall 1997 and spring 1998 (spring of the Head Start year). Follow-up parent interviews were conducted in spring 1999 (spring of the kindergarten year or spring of the Head Start year for those who were 3 years old in fall 1997), spring 2000 (spring of the first-grade year or spring of kindergarten for those who were 3 years old in fall 1997), and spring 2001 (spring of the first-grade year for those who were 3 years old in fall 1997).

For FACES 2000, Parent Interview data were collected in fall 2000, spring 2001, spring 2002 (when children were in kindergarten or in a second year of Head Start), and spring 2003 (when the children who were 3 years old in fall 2000 were in kindergarten).

For the FACES 2003 cohort, Parent Interview data were collected in fall 2003, spring 2004, spring 2005 (when children are in kindergarten or in a second year of Head Start), and spring 2006 (when the children who were 3 years old in fall 2003 are in kindergarten).

Components

The majority of questions about income and earnings come from four sections within the parent interviews: employment and income, community services, income and housing, and child care. The employment and income section asks about sources of income for the household. Parents are asked about their current jobs, job hunting, the number of adults that contribute to household income, their health insurance, other sources of income or support (such as TANF, unemployment insurance, food stamps, energy assistance—but not the actual dollar amount), and requirements for receiving welfare or public assistance (e.g., attend job training, get a job). Parents are also asked about the total income for last month and their current housing situation, including whether they live in public/subsidized housing. The community services sections asks whether the household has needed services since the child was born and, if so, whether the household received those services. Services could include things such as income assistance (e.g., welfare, SSI, food stamps, help with housing), employment assistance (e.g., job training, education assistance, transportation to job), health care (e.g., MEDICAID, medical or dental care, mental health services); and social services (e.g., legal aid, helping solving other family problems). The child care section asks one question that pertains to income and earnings: Who pays for child care (e.g., self, government, employer, etc.).

The section on income and earnings asks several income- and earnings-related questions, such as the sources of income for the household including the number of adults who contribute to the household income; health insurance for the child other than Medicaid; reception of household income/support in the past 6 months (e.g., welfare, TANF, food stamps, WIC, payments for foster care); requirements for receiving public assistance (e.g., job training, getting a job); total income for the last month before taxes and other deductions; and the current housing situation, including whether they own, rent, or live in subsidized housing. Expenditures and other reductions, such as taxes, are not addressed.

Procedures for Administration

Head Start Parent Interview: The parent or the primary caregiver of the study child completes the interview in a one-on-one setting, typically the Head Start center, where the interviewer asks questions and writes the respondent's answers. The complete Head Start parent interview takes about 60 minutes.

Kindergarten Parent Interview: The parent or the primary caregiver of the study child completes the interview in a one-on-one setting either in-person or by telephone. The complete kindergarten parent interview takes about 30 minutes.

First Grade Parent Interview: The parent or the primary caregiver of the study child completes the interview in a one-on-one setting either in-person or by telephone. The complete kindergarten parent interview takes about 30 minutes.

Psychometrics/Data Quality

Psychometric information is not yet available.

Languages Available

The parent interviews can be administered in English and Spanish. For respondents who speak a language other than English or Spanish, an interpreter is used (if possible).

Items Included

Note: Most of the following items are from the FACES 2003 parent interviews. These items have been included in previous cohorts with minor differences/additions/changes.

Community Service items are not part of the FACES 2003 parent interview; therefore, the items from the FACES 1997 instrument are presented here.

The full parent interview from the original cohort, FACES 1997, is available at http://www.acf.hhs.gov/programs/core/ongoing_research/faces/faces_instruments_parent.html,

Employment and Income Items:

Now, I would like to ask you some questions about the sources of income for your household. As I said earlier, this information will remain confidential and will not be reported to any agency or Head Start.

1. Do you have any earnings from a job or jobs, including self-employment?
2. How many jobs do you have currently?
3. What do you do in (this job/the first job/the second job/the third job)?
4. Is this job full-time or 30 or more hours per week; part-time or less than 30 hours per week; or seasonal or occasional during certain times of the year?

Job Descriptions	Job Status		
	Seasonal	Full-time	Part-time
1.			
2.			
3.			

5. In how many of the last twelve months have you worked?
6. Are you currently looking for a job?
7. Not including yourself, how many other adults contribute to your household income?
8. Is [CHILD] covered by health insurance other than Medicaid through (your job) or the job of another employed adult?
9. Is [CHILD] covered by Medicaid, CHIP, or a state health insurance program?
10. Did you receive any of the following other sources of household income or support in the past six months?
    a. Welfare, TANF, or general assistance
    b. Unemployment insurance
    c. Food Stamps
    d. WIC — Special supplemental food program for Women, Infants, and Children
    e. Child support
    f. SSI or Social Security Retirement, Disability, or Survivor's benefits
    g. Payments for providing foster care
    h. Energy assistance

    IF H2 a, c, OR d WERE ANSWERED YES, THEN ASK H3. OTHERWISE, GO TO H4.

11. In some states people who receive different types of public assistance are being required to do certain things such as take courses, get job training, or find a job. Are you or is someone else in the household required to…
    a. Attend job training?
    b. Attend school or a GED class?
    c. Get a job?
    d. Do something else? (Specify)

12. What was [(your total income/the combined total income of (you and your husband/wife)] in the past calendar year — that is, 2002 — including salaries or other earnings, interest, retirement, and so on?
    (COMBINED) TOTAL INCOME $ __ __ __, (GO TO 14)
    OR REFUSED (GO TO 14) OR DON'T KNOW (GO TO 13)

13. Was it $25,000 or less, (READ SET 1) OR More than $25,000? (READ SET 2)

[SET 1] Was it…

$5,000 or less,..... 01
$5,000 to $10,000,..... 02
$10,001 to $15,000,..... 03
$15,001 to $20,000, or..... 04
$20,001 to $25,000? 05

[SET 2] Was it…

$25,001 to $30,000,..... 06
$30,001 to $35,000,..... 07
$35,001 to $40,000,..... 08
$40,001 to $50,000,..... 09
$50,001 to $75,000, or..... 10
More than $75,000?..... 11

Community Services Items (From FACES 1997 Parent Interview)*:*
Now I have some questions about your household's experiences with various community agencies. I would like to know about services your household has needed since CHILD was born.

	Since CHILD was born, have you or anyone in your household needed …		**IF YES IN I2:** Have you received it?		**IF YES IN I3:** Did Head Start help with this in any way? Why not? Or How? 01=No, we were already receiving 02=No, Head Start did not help 03=No, we didn't need their help 04=Yes, referred to service 05=Yes, provided service directly
	No	Yes	No	Yes	
INCOME ASSISTANCE					
a. Income assistance—like welfare, SSI, unemployment insurance					
b. Food and nutrition assistance—like food stamps or WIC					
c. Help with housing					
d. Help with utilities (running water, hot water, heat, telephone service)					
EMPLOYMENT ASSISTANCE					
e. Job training and employment assistance					
f. Education assistance—for example, GED, college, learning to read, ESL					
g. Help getting transportation to a job or training					

	Since CHILD was born, have you or anyone in your household needed …		**IF YES IN I2:** Have you received it?		**IF YES IN I3:** Did Head Start help with this in any way? Why not? Or How? 01=No, we were already receiving 02=No, Head Start did not help 03=No, we didn't need their help 04=Yes, referred to service 05=Yes, provided service directly
	No	Yes	No	Yes	
h. Child care for CHILD before or after the Head Start day					
i. Child care for other children in household					
HEALTH CARE					
j. MEDICAID/local name for MEDICAID					
k. Medical or dental care for CHILD					
l. Medical or dental care for adults					
m. Alcohol or drug abuse treatment or counseling					
n. Mental health services					
SOCIAL SERVICES					
o. Legal aid					
p. Help dealing with family violence					
q. Help in solving other family problems					

Income and Housing Items:
Now, I would like to ask you some questions about the sources of income for your household. This information will remain confidential.

1. Including yourself, how many adults contribute to your household income?
2. Does your family have health insurance other than Medicaid through (your job) or the job of another employed adult in the household?

YES
NO
REFUSED
DON'T KNOW

3. Did you receive any of the following other sources of household income or support in the past six months?
   a. Welfare, TANF, or general assistance
   b. Unemployment insurance
   c. Food stamps
   d. WIC—Special supplemental food program for Women, Infants, and Children
   e. Child support
   f. SSI or Social Security Retirement, Disability, or Survivor's Benefits
   g. Payments for providing foster care

   IF 3 a, c, OR d WERE ANSWERED YES, THEN ASK 4. OTHERWISE, GO TO 5.
4. In some states people who receive different types of public assistance are being required to do certain things such as take courses, get job training, or find a job. Are you or is someone else in the household required to…
   a. Attend job training?
   b. Attend school or a GED class?
   c. Get a job?
   d. Do something else? *(please specify)*
5. Thinking about all of the sources of income you just told me about, what was the total income for your household last month before taxes and other deductions? Your best guess would be fine.
   REFUSED
   DON'T KNOW
6. Would you say it was…
   a. Less than $250
   b. Between $251 and $500
   c. Between $501 and $1000
   d. Between $1001 and $1500
   e. Between $1501 and $2000
   f. Between $2001 and $2500 or
   g. Over $2500
   h. REFUSED
   i. DON'T KNOW

Our next questions are about housing.

1. Do you now live in…
   a. A house, apartment, or trailer of your own
   b. A house, apartment, or trailer that you share with another family
   c. Transitional housing (apartment) or a homeless shelter
   d. Or someplace else?
2. How many times have you moved in the last 6 months?
3. Do you currently own your own home or apartment, pay rent, or live in public or subsidized housing?
   Owns or is buying home or apartment
   Rents (without public assistance)
   Public or subsidized housing
   Some other arrangement

Child Care Items:
Now let's talk about any child care arrangements that you use for CHILD right now. Child care does not include time in Head Start class, but may include separate child care at the Head Start center before or after class. This does not include babysitting used for social activities such as going out in the evening.

1. Is CHILD in child care before or after Head Start?
2. In how many different child care arrangements does CHILD spend time each week?
3. Where is that care provided?
    a. At CHILD's home by a relative
    b. At CHILD's home by a non-relative
    c. In a relative's home
    d. In a friend's or neighbor's home
    e. Family day care home
    f. Other child care center/child development program
    g. At Head Start (not including time in class)
    h. Other (please specify)
4. How many hours a week is this care used?
5. Who pays for this child care?
    a. Do you pay for it yourself?
    b. Does a government agency pay?
    c. Does an employer pay?
    d. Does someone else pay?
    e. Do you trade child care with someone else?
    f. Is it free or no charge? (PROBE for other categories)
    g. Other (please specify)

References and Source Documents

The parent interviews are available at
http://www.acf.hhs.gov/programs/core/ongoing_research/faces/faces_instruments_parent.html

A number of FACES reports are available on the U.S. Department of Health and Human Services Web site at
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U.S. Department of Health and Human Services. (1998, June). *Head Start FACES (Pilot): Program performance measures, second progress report.* Washington, DC: Author.

Information about FACES presentations and papers is available at http://www.acf.hhs.gov/programs/core/ongoing_research/faces/faces_pres_papers.html.

More information about the FACES validation substudy is available in the following paper:

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INCOME AND EARNINGS

HEAD START FAMILY AND CHILD EXPERIENCES SURVEY

Measure: Selected "employment and educational background" and "background information" items from the FACES Staff Questionnaires (Center Director Interview, Classroom Teacher Interview, and Teacher Self-Administered Survey)

Source

The Head Start Family and Child Experiences Survey (FACES) evaluation is sponsored by the U.S. Department of Health and Human Services, Administration for Children and Families. The project team for FACES 1997 included Westat (prime contractor), Abt Associates, Ellsworth Associates, and the CDM group. The project team for FACES 2000 included Westat (prime contractor), Xtria (formerly Ellsworth Associates), and the CDM group. The project team for FACES 2003 included Westat (prime contractor), Xtria, and the CDM group.

Items were developed by the FACES Research Team.

In addition to FACES, some of these items and variations of the items were also used by the following EDCP evaluations and surveys: National Head Start Impact Study (Spring 2003 Teacher Survey).

Population Assessed

Each cohort of FACES employs a nationally representative sample of Head Start programs, centers, classrooms, children, and parents. Each sample is stratified by three variables: region of the country (northeast, Midwest, south, or west); urbanicity (urban versus rural); and percentage of minority families in the program (50 percent or more versus less than 50 percent). Data collection methods included child assessments, parent interviews, teacher reports, staff interviews, and classroom observations. Since its inception, FACES has involved an initial field-test sample and three nationally representative cohorts: FACES 1997, FACES 2000, and FACES 2003.

FACES 1997 field test. FACES was field tested in spring 1997 with 2,400 3-, 4-, and 5-year-olds and their parents in a nationally stratified random sample of 40 Head Start programs. These children were followed up in spring 1998 when the children were in kindergarten.

FACES 1997. Data from the initial cohort for the main study of FACES1997 were first collected in fall 1997 on 3,200 children and families from the same 40 Head Start programs employed in the field test. Data were collected on 1,200 3-year-olds new to Head Start; 1,280 4- and 5-year-olds new to Head Start; and 720 4- and 5-year-olds who were in the field-test study and returning for another year of Head Start. Data on these children were also collected in spring 1998 (spring of the Head Start year), spring 1999 (spring of the kindergarten year or spring of the Head Start year for those who were 3 years old in fall 1997), spring 2000 (spring of the first-grade year or spring of kindergarten for those who were 3 years old in fall 1997), and spring 2001 (spring of the first-grade year for those who were 3 years old in fall 1997).

FACES 1997 also included a validation substudy or embedded case study of 120 randomly selected families from the larger FACES sample. (NB. The embedded case study was not a part of FACES 2000 or FACES 2003). Data collection included in-person parent interviews, home and neighborhood observations, monthly telephone contacts for demographic updates, and community agency interviews regarding the amount and overall nature of collaboration between the agency and the Head Start program.

FACES 2000. A new national cohort of FACES was launched in fall 2000 (FACES 2000). Beginning in fall 2000, data from 2,800 children and families in a new nationally stratified random sample of 43 Head Start programs were collected to ascertain what progress was made in improving program performance. Data were collected in fall 2000, spring 2001, spring 2002 (when children were in kindergarten or in a second year of Head Start), and spring 2003 (when the children who were 3 years old in fall 2000 were in kindergarten).

FACES 2003. Data on a third national cohort (FACES 2003) were collected in fall 2003. Data from 2,700 children and families in a new nationally stratified random sample of 66 programs were collected in fall 2003, spring 2004, spring 2005 (when children are in kindergarten or in a second year of Head Start), and spring 2006 (when the children who were 3 years old in fall 2000 are in kindergarten).

Each cohort of FACES has approximately equal numbers of girls and boys and representative samples of white, African American, Hispanic, and children of other races (see exhibits 1 and 2).

Exhibit 1. Original FACES cohort (FACES 1997)

	Weighted Percentages		
	All (n = 3,120)	Age 3 (n = 1,129)	Age 4 (n = 1,991)
Gender			
Male	50.4	48.7	51.2
Female	49.6	51.4	48.8
Race/Ethnicity			
African American	28.8	34.7	26.1
White	30.7	29.0	31.4
Hispanic/Latino	27.6	22.5	30.0
Native American	1.9	2.3	1.7
Asian/Pacific Islander	1.3	1.3	1.3
Other	8.8	8.7	8.6

Exhibit 2. FACES 2000 Sample

	African American		White		Hispanic		Other		Total	
	N	%	*N*	%	*N*	%	*N*	%	*N*	%
Male	343	13.8	471	19.0	363	14.6	65	2.6	1242	50.1
Female	383	15.4	415	16.7	371	14.9	68	2.7	1237	49.9
Total	726	29.3	886	35.7	734	29.6	133	5.4	2479	100

Periodicity

Administration periodicity was dependent on the measure and the cohort.

Center Director Interview: This interview was administered at the following times: FACES 1997, fall 1997; FACES 2000, fall 2000; and FACES 2003, fall 2003.

Classroom Teacher Interview: This interview was administered at the following times: FACES 1997, fall 1997 and spring 1998; FACES 2000, fall 2000 and spring 2001; and FACES 2003, fall 2003. In addition, for FACES 2003, this interview will be administered in spring 2004.

Head Start Teacher Self-Administered Survey: For each of the cohorts, the Head Start Teacher self-administered survey was administered as needed (e.g., whenever a new teacher assumed a sampled classroom).

Components

The majority of questions about income and earnings come from two sections within the staff questionnaires: employment and educational background, and background information. The section on employment and educational background asks questions about the staff member's professional background and job with Head Start. Specific questions address income and earnings, such as the number of hours per week that a staff member is paid to work for Head Start; the months per year a staff person is paid to work for Head Start; and the benefits received (but not dollar amounts) through Head Start, such as vacation time, paid sick leave, paid/unpaid maternity leave, and paid dental and health insurance. The background information section asks one question about income—what is the total annual salary before taxes received as a teacher for the current school year? This section then asks two questions about putting this amount into a time frame—the number of months per year the salary covers and the hours per week covered by salary less overtime. Expenditures and other reductions, such as taxes, are not addressed.

Procedures for Administration

Center director interview: The center director completes the interview in a one-on-one setting where the interviewer asks questions and writes the respondent's answers. The complete FACES 1997 center director interview takes about 90 minutes; the center director interview was shortened for FACES 2000 and FACES 2003, taking only 30 minutes to complete.

Classroom teacher interview: The classroom teacher completes the interview in a one-on-one setting where the interviewer asks questions and writes the respondent's answers. The complete FACES 1997 classroom teacher interview takes about 40 minutes; the classroom teacher interview was shortened for FACES 2000 and FACES 2003, taking only 20–25 minutes to complete.

Teacher self-administered survey: The classroom teacher completes the survey. It is self-administered. The complete teacher self-administered survey takes about 20 minutes.

Psychometrics/Data Quality

Psychometric information is not yet available.

Languages Available

The staff questionnaires can be administered in English and Spanish. For respondents who speak a language other than English or Spanish, an interpreter is used (if possible).

Items Included

Note: Items included are from the first administration of the interviews. The items are also included in subsequent interviews, with minor differences/additions/changes. The full interviews are available at http://www.acf.hhs.gov/programs/core/ongoing_research/faces/faces_instruments_questionnaires.html.

Employment and Educational Background Items:

Now I'd like to ask you some questions about your professional background and your job with Head Start.

1. Do you receive the following **benefits** through Head Start?

a.	Paid vacation time	No	Yes	Don't Know
b.	Paid sick leave	No	Yes	Don't Know
c.	Paid maternity leave	No	Yes	Don't Know
d.	Unpaid maternity leave	No	Yes	Don't Know
e.	Paid family leave	No	Yes	Don't Know
f.	Fully or partially paid health insurance	No	Yes	Don't Know
g.	Paid dental insurance	No	Yes	Don't Know
h.	Tuition reimbursement	No	Yes	Don't Know
i.	Retirement plan	No	Yes	Don't Know
j.	Other (specify)	No	Yes	Don't Know

Background Information Items:

1. What is your total annual salary (before taxes) for the current school year?
2. How many months of the year does this salary cover?
3. How many hours per week does this salary cover (not including overtime)?

References and Source Documents

The staff questionnaires are available at http://www.acf.hhs.gov/programs/core/ongoing_research/faces/faces_instruments_questionnaires.html

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INCOME AND EARNINGS

EARLY HEAD START EVALUATION AND TRACKING PRE-K

Measure: Selected "household composition" and "Head Start, preschool, and child care" items from the Parent Interview (Tracking Pre-K sample)

Source

The birth-to-3 phase of the Early Head Start (EHS) evaluation (1996–2001) was funded by the Administration for Children and Families (ACF), U.S. Department of Health and Human Services. The contractor for the evaluation is Mathematica Policy Research (MPR); the subcontractor is the Center for Children and Families at Columbia University, Teachers College. The Tracking Pre-K (TPK) follow-up phase (2001–2004) is also funded by the ACF, U.S. Department of Health and Human Services. MPR is the contractor. In 1997, the National Institute of Child Health and Human Development provided funds (through ACYF) to add a major study of the fathers of EHS children.

Population Assessed

The EHS and TPK follow-up was implemented in 17 EHS programs in all regions of the country. Programs offered center-based, home-based, and mixed-approach services. The families and children who participated in the evaluation were diverse. Many of the families were single-parent, were ethnically diverse (including Hispanic, African American, and White), did not speak English as their primary language, had relatively low educational attainment, and were receiving public assistance of some kind (e.g., Medicaid, WIC, food stamps, AFDC or TANF, and SSI benefits). A total of 3,001 families participated in the evaluation, with 1,513 in the treatment group and 1,488 in the control group. Table 1 contains specifics of the families and children participating in the EHS evaluation.

Table 1. Families and Children in the Early Head Start Evaluation

	Sample in All Sites	
Parent and Family Characteristics	Sample Size	Percent of Families
Mother's Education		
Less than grade 12	1,375	48
Grade 12 or attained a GED	822	29
Greater than grade 12	682	24
Missing	122	
Race and Ethnicity		
White Non-Hispanic	1,091	37
Black Non-Hispanic	1,014	35
Hispanic	693	24
Missing	68	
Welfare Receipt		
Received welfare	842	35

	Sample in All Sites	
Parent and Family Characteristics	Sample Size	Percent of Families
Did not receive welfare	1,554	65
Missing	41	
Primary Language		
English	2,265	79
Other	615	21
Missing	121	
Living Arrangements		
With spouse	752	25
With other adults	1,157	39
Alone	1,080	36
Missing	12	
Focus Child Characteristics		
Age		
Unborn	761	25
Less than 5 months	1,063	35
5 months or older	1,177	39
Missing	0	
Gender		
Male	1,510	51
Female	1,448	49
Missing	43	
Sample Size	3,001	

Source: U.S. Department of Health and Human Services (2001, June).

Periodicity

The parent interview was administered when the children were 14-, 24-, and 36-months old.

Components

The majority of questions about income and earnings come from two sections within the parent interview: (1) household composition and (2) Head Start, preschool, and child care. The section on household composition asks a number of questions that assess income and earnings, including the number of different jobs that a parent currently has, the hourly wage for each job, the weekly earnings before taxes and other deductions, the amount of money all members of the family receive before taxes and deductions in a typical month (not including in-kind resources such as food stamps or material goods), and the kinds of income and support that all family members get (e.g., income from TANF, SSI, and unemployment insurance benefits). The section on Head Start, preschool, and child care includes a single item about the reception of subsidies for paying for preschool or child care. Expenditures and other reductions, such as taxes, are not addressed.

Procedures for Administration

The parent of the focus child completes the interview in a one-on-one setting where the interviewer asks questions and writes the respondent's answers. In addition to the interview, the interviewer conducts a child assessment by asking the parent to talk with the child about something exciting that's happened recently and videotaping the parent and child playing together. The time needed for the sequence, including the interview, is 1.5 hours.

Psychometrics/Data Quality

Item level response rates for key income and earnings items are as follows:

Outcome Measure	First 15 months		First 26 months	
% of parents ever employed or in an education or job training	99.7	99.5	99.9	99.4
% of parents ever employed	99.6	99.5	99.9	99.7
% of parents who received any welfare benefits	98.4	98.0	97.8	97.2
% of parents who received AFDC or TANF benefits	97.7	97.6	96.9	96.9
% of parents who received food stamp benefit	NA	NA	98.2	97.8
% of families with income above poverty line at 3rd follow up	NA	NA	93.8	93.8

Sources: U.S. Department of Health and Human Services. (2002, June and 2001, June).

For the parent interview, primary sources of nonresponse were refusals to participate and inability to locate the families. "For the 24-month PI, 51 percent of the families who did not respond refused to participate, and 44 percent moved or could not be located (the remaining 5 percent included families for whom the interview window closed before the interview was completed). For the 36-month PI, 46 percent of the families who did not respond refused to participate, and 51 percent moved or could not be located (the remaining 3 percent included families for whom the interview window closed before the interview was completed)" (http://www.acf.hhs.gov/programs/core/ongoing_research/ehs/impacts_vol2/impacts_vol2.pdf). Nonresponse was also because of death of the child (12 children in the control group and 9 in the Early Head Start group) and adoption (3 children were adopted after random assignment). Center-based sites were more successful in completing interviews with EHS families than with control group families.

To be included in the impact analyses, measures had to have adequate psychometric properties (e.g., adequate reliability and validity for children from low-income families and for many racial and ethnic groups). In general, measures were chosen that had an internal consistency reliability (coefficient alpha) or .70 or higher and that had consistent reliability across major race/ethnicity subgroups. Constructed variables also had to have sufficient data at the item level (e.g., not missing more than 25 percent of items), adequate distribution of scores (e.g., check

mean, standard deviation, skewness, and kurtosis were checked to determine that variables had a normal distribution that was similar to those in other studies using the same measure).

Languages Available

The interview developers do not expressly state availability of the interview in languages other than English.

Items Included

The interviews can be requested by contacting the EHS and TPK Project Director (Dr. John Love, jlove@mathematica-mpr.com) or the ACF Project Officer (Dr. Rachel Cohen, rccohen@acf.hhs.gov).

Household Composition Items

Are you currently working, in school, in a training program, or doing something else?

PROBE: If respondent is not working, ask: Are you looking for work?

Working
Unemployed
Looking for work
Laid off
In school/training
Keeping house/parenting
In military
On disability leave
On family care leave
Don't know
Refused

How many different jobs do you currently have? Include odd jobs, paid babysitting jobs, work in your own business, or other types of jobs you currently have.

PROBE: Count babysitting, housekeeping, or odd jobs for different families together as one job.

[INTERVIEWER: IF THE RESPONDENT CURRENTLY WORKS AT MORE THAN 3 JOBS, ASK THE NEXT QUESTIONS FOR THE 3 JOBS WHERE THE RESPONDENT WORKS THE MOST HOURS IN A TYPICAL WEEK]

	Current Job with most Hours	Current Job with second most Hours	Current Job with third most hours
3. Please tell me where you currently work starting with the job where you work the most number of hours. PROBE for don't know or refused: We don't need to know the name of the place we just need some way to refer to it. Should I use "Job #1" or some other name?			
4. About how many hours per week do you usually work at EMPLOYER? Please include regular overtime hours.			
5. What is your hourly wage at this job?			
6. How much are your weekly earnings before taxes and other deductions? Please include tips, commissions, and regular overtime pay you may have received.			

During the past six months what was the amount of money all the members of your family received before taxes and deductions during a typical month? Please include your own income and that of all members of your family that lived with you. Include money you received from jobs, welfare or any other source. Do not include in-kind resources such as FOOD STAMPS or material goods. Also do not include income from other families that may live in your (house/apartment).

Now I would like to ask you about kinds of income and support you and members of your family who live with you are currently receiving. Do you or any other family members who live with you currently receive…

Type of Income/Support	Currently Receiving?			
	Yes	No	Don't Know	Refused
A check of income from TANF (formerly AFDC) for welfare for families with children?				
A check or income from General Assistance or General Relief ?				
A check or income from Supplemental Security Income (SSI)?				
A check or income from Social Security Retirement, Disability (SSDI), Survivor's Benefits (SSA)?				
Unemployment insurance benefits?				
Food stamps?				
WIC vouchers?				
Child support payments?				
Medicaid or medical assistance?				
Other (specify)				

Head Start, Preschool, and Child Care Item

Did you receive a subsidy for any of the preschool or child care for (CHILD) since (his/her third birthday/DATE OF LAST TRACKING INTERVIEW)? That is, did someone else, like a government agency or community program, help pay for (CHILD)'s preschool or child care when payment was required?

Yes
No
No, no payment required
Don't know
Refused

References and Source Documents

The interviews can be requested by contacting the EHS and TPK Project Director (Dr. John Love, jlove@mathematica-mpr.com) or the ACF Project Officer (Dr. Rachel Cohen, rccohen@acf.hhs.gov).

A number of reports are available on the U.S. Department of Health and Human Services website: http://www.acf.hhs.gov/programs/core/ongoing_research/ehs/ehs_reports.html#briefs

The reports include the following:

U.S. Department of Health and Human Services. (2002, December). *Pathways to quality and full implementation in Early Head Start Programs.* Washington, DC: Author.

U.S. Department of Health and Human Services. (2002, June). *Making a difference in the lives of infants and toddlers and their families: The impacts of Early Head Start. Executive summary.* Washington, DC: Author.

U.S. Department of Health and Human Services. (2002, June). *Making a difference in the lives of infants and toddlers and their families: The impacts of Early Head Start. Volume I: Final technical report.* Washington, DC: Author.

U.S. Department of Health and Human Services. (2002, June). *Making a difference in the lives of infants and toddlers and their families: The impacts of Early Head Start. Volume II: Final technical report appendixes.* Washington, DC: Author.

U.S. Department of Health and Human Services. (2002, June). *Making a difference in the lives of infants and toddlers and their families: The impacts of Early Head Start. Volume III: Local contributions to understanding programs and their impacts.* Washington, DC: Author.

U.S. Department of Health and Human Services. (2001, June). *Building their futures: How Early Head Start programs are enhancing the lives of infants and toddlers in low-income families. Volume I: Technical report.* Washington, DC: Author.

U.S. Department of Health and Human Services. (2001, June). *Building their futures: How Early Head Start Programs are enhancing the lives of infants and toddlers in low-income families. Volume II: Technical report, appendixes.* Washington, DC: Author.

U.S. Department of Health and Human Services. (2001, June). *Building their futures: How Early Head Start programs are enhancing the lives of infants and toddlers in low-income families. Summary report.* Washington, DC: Author.

U.S. Department of Health and Human Services. (1999, December). *Leading the way: Characteristics and early experience of selected Early Head Start programs. Volume I: Cross-site perspectives.* Washington, DC: Author.

U.S. Department of Health and Human Services. (2000, December). *Leading the way: Characteristics and early experience of selected Early Head Start programs. Volume II: Program profiles.* Washington, DC: Author.

U.S. Department of Health and Human Services. (2000, December). *Leading the way: Characteristics and early experience of selected Early Head Start programs. Volume III: Program implementation.* Washington, DC: Author.

U.S. Department of Health and Human Services. (2000, December). *Leading the way: Characteristics and early experience of selected Early Head Start programs. Executive summary, Volumes I, II, and III.* Washington, DC: Author.

For other papers, please refer to the Early Head Start Collection of Consortium-Written Research Articles and Reports available at http://www.acf.dhhs.gov/programs/core/ongoing_research/ehs/ehs_papers.html

INCOME AND EARNINGS

NATIONAL HEAD START IMPACT STUDY

Measure: Selected "child care" items from the Parent Interview

Source

The National Head Start Impact Study is funded by the Administration for Children and Families in the U.S. Department of Health and Human Services. Westat (prime contractor) conducts the study in collaboration with the Urban Institute, the American Institutes for Research, and Decision Information Resources (the subcontractors).

The child care items were developed by the Head Start Impact Study staff with the assistance of child care experts.

Population Assessed

The Head Start Impact Study involves 4,750 (2,829 treatment and 1,921 control) 3- and 4-year-old newly entering Head Start–eligible preschool children across 84 nationally representative grantees and delegate agencies in communities where there are more eligible children and families than can be served by the program. Of the 4,750 children selected for the study, approximately 42 percent are Hispanic; 27 percent, Black; 28 percent, White; and 3 percent, other. Sixty-six percent of the children speak English as their primary language, 31 percent speak Spanish, and 3 percent speak a language other than Spanish or English. Gender is evenly split on the child sample.

The sample selection process began by including all fiscal year 1999–2000 Head Start grantees and delegate agencies in all 50 states, Washington, DC, and Puerto Rico. Programs that were very new, migrant, or tribal or that offered Early Head Start only were excluded. Geographic grantee clusters were developed using a minimum of eight grantees/delegate agencies per cluster, and the clusters were grouped into 25 strata using state pre-K and childcare policy, child race/ethnicity, and urban/rural location and region as stratifiers. One cluster was selected per strata with probability proportional to size (N=261 grantees/delegate agencies). Next, the eligibility of grantees/delegate agencies in each cluster was determined. Those that were closed or merged and those that were saturated (have very few children in the community who are not served) were excluded. Remaining grantees/delegate agencies within the clusters were then stratified based on grantee/delegate agency characteristics including local contextual variables. Three grantees/delegate agencies were randomly selected from each cluster. These grantees/delegate agencies were contacted for participation in the study and the list of centers operating within these grantees/delegate agencies in 2002–2003 was compiled. Center eligibility was determined by excluding saturated centers and combining small centers with nearby centers to create center groups. Using the same stratification characteristics as used for the grantees/delegate agencies, approximately three centers were selected from each grantee/delegate agency based on proportional probabilities (i.e., larger centers have greater chance of selection). The final sample included 378 centers within 84 grantees/delegate agencies. Once the centers were selected, random assignment of children within these centers resulted in 2,829 children in the treatment group and 1,921 children in the comparison group for a total of 4,750 children.

Children selected were considered part of one of two cohorts. Cohort one included children who were 3-years-old in the 2002–2003 school year. Cohort one will be followed through 2005–2006, when they will have reached first grade. Cohort two consists of children who were 4-years-old during the 2002–2003 school year, and thus are moving into kindergarten in the 2003–2004 school year. Cohort two will be followed through their first grade year in 2004–2005.

Periodicity

The parent interview was administered in fall 2002 and spring 2003 and will be administered in the fall and spring through the child's first grade year.

Components

The first year of data collection is complete, but subscales are not yet available. The majority of questions about income and earnings come from the child care section within the parent interviews. The questions focus on costs for Head Start and other care situations. They include items such as whether the parent or someone in the household pays for part of any day that the child spends in Head Start/other care; how much is usually paid per day, week, month, or other; if the other care situation is provided for free or if someone else pays the bill; and whether someone else pays in addition to that amount, such as a government or social service agency or employer. Expenditures and other reductions, such as taxes, are not addressed.

Procedures for Administration

The parent/primary caregiver interview takes about 60 minutes to administer. The interview is usually conducted in the parent's/primary caregiver's home where the interviewer asks the questions and records the respondent's answers.

Psychometrics/Data Quality

Psychometric data for the study is not yet available.

Languages Available

Parent/primary caregiver interview instruments are available in English and Spanish. If the respondent does not speak English or Spanish, an interpreter translates the instrument into the respondent's native language.

Items Included

The measure is not reproduced in full in this document, but examples are given. The measure can be requested by contacting the Head Start Impact Study Project Director (Ronna Cook, ronnacook@westat.com) or the ACF Project Officer (Dr. Michael Lopez, milopez@acf.hhs.gov).

Example Child Care Items

I know we talked about this, but I need to confirm that [CHILD] is currently cared for by [NAME OF SETTING FROM PREVIOUS SECTION].

In total, how many hours a week does [CHILD] typically spend in care at [NAME OF SETTING]?

In what month and year did you first start using [NAME OF SETTING] to care for [CHILD]?

Do you or someone in your household pay for this care?

Does [NAME OF SETTING] provide the care for free, or does someone else pay the bill?

Provided free
Someone else pays the bill
Don't know

How much do you or others in your household usually pay for this care? Please only give me the amount paid to [NAME OF SETTING] for [CHILD]'s care. A rough estimate is fine.

In addition to what you pay, does somebody else, like a government or social service agency, an employer or someone outside your household help pay for this care arrangement? If yes, go to 8.

Who helps pay for this care?

Does a government or social service agency help?
Does an employer help?
Does someone else help? (please specify)

References and Source Documents

Research design documents for the National Head Start Impact Study are available at http://www.acf.hhs.gov/programs/core/ongoing_research/hs/impact_reports.html#resrch

Other available reports include the following:

U.S. Department of Health and Human Services. (2003, March). *Building futures: Head Start Impact Study frequently asked questions.* Washington, DC: Author.

U.S. Department of Health and Human Services. (2001, March). *Building futures: The Head Start Impact Study research design plan* (updated version).Washington, DC: Author.

U.S. Department of Health and Human Services. (2001, January). *Building futures: The Head Start Impact Study research design plan.* Washington, DC: Author.

U.S. Department of Health and Human Services. (2002, June). *National Head Start Impact research: Second report to Congress.* Washington, DC: Author.

U.S. Department of Health and Human Services. (1999, October). *Evaluating Head Start: A recommended framework for studying the impact of the program.* Washington, DC: Author.

Ongoing and updated information about the National Head Start Impact Study is available at http://www.acf.hhs.gov/programs/core/ongoing_research/hs/impact_intro.html.

INCOME AND EARNINGS

NATIONAL SURVEY OF CHILD AND ADOLESCENT WELL-BEING

Measure: Income and Earnings Questions from the Income and Services Received Modules from the Current Caregiver Instrument

Source

The National Survey of Child and Adolescent Well-Being (NSCAW) was designed as a result of *The Personal Responsibility and Work Opportunity Reconciliation Act of 1996* (PL104-193), which authorized the Department of Health and Human Services (DHHS) to conduct a longitudinal study of the outcome of children in the welfare system. The NSCAW was designed by DHHS in consultation with many experts in child development and child welfare to study program, policy, and practice issues of concern to the federal, state, and local governments and to child welfare agencies.

The Income Module of the Current Caregiver Instrument is made up of project-developed questions that were specifically designed for use in the NSCAW surveys. The NSCAW instruments were developed by the Instrument Design Team, a group of researchers in child maltreatment, child development, social welfare, psychometrics, cognitive psychological aspects of survey interviewing, and administrative aspects of survey data collection operations. Members of the IDT worked with the Research Triangle Institute staff to develop the instruments.

Population Assessed

Overall, the two NSCAW sample components are made up of 6,227 children; 5,501 of those children had contact with the child welfare system within the 15-month period beginning in October 1999. The children range in age from birth to 14 years old; infants, children who have been abused sexually, and children who are receiving services were oversampled. The results of the survey can be generalized to the population that comes in contact with the child welfare system in the United States. (See survey description for more information on the population.)

Periodicity

Wave 1 data collection occurred between November 15, 1999, and April 30, 2001; Wave 2, between October 1, 2000, and March 31, 2002; and Wave 3, between April 1, 2001, and September 30, 2002. Wave 4 began October 1, 2002 and is scheduled to be completed by March 31, 2004. The current caregiver instrument is administered in all four waves of the survey.

Components

The current caregiver instrument contains an income module pertaining to the income of the child's household, and there are income questions in the services received module. The income module addresses the income of the household in the reference period that is most convenient for the respondent. The module addresses the total income as well as the number of people dependent on that income. The module also addresses the receipt of WIC, TANF,

disability checks (Supplemental Security Income [SSI]). The services received module does not address household income, but asks questions about help other than WIC, TANF, and SSI. It also addresses the insurance plan of the current caregiver.

Procedures for Administration

The most knowledgeable adult was asked about the child to complete the current caregiver survey. The survey is administered using computer-assisted interviewing. Sensitive questions are administered using audio computer-assisted self interviewing. Surveys are completed in person with the selected respondent. The average administration time is 92.9 minutes.

Psychometrics/Data Quality

The psychometric information is not yet available.

Languages Available

Except for copyrighted materials, all questionnaires were translated into Spanish from the original English versions.

Items Included

The items pertaining to Income and Earnings are below. For the entire questionnaires, please see the NSCAW User Manual, Appendix E.

Income Module of Current Caregiver Instrument:

The next questions are about income or income assistance available to [fill CHILD]'s household. By household, I mean all of the people who live here. Please remember that all information you provide will be kept confidential.

First, I need to know the **total combined income of your family** from all sources in the **past 12 months**. If you don't know exactly, your best guess is okay.

Would it be easier for you to tell me total weekly, monthly, or yearly income?

Please look at the card and tell me which category comes closest to the total combined income of your family from all sources in the past 12 months?

Per Week	Per Month	Per Year
Less Than $97	Less Than $418	Less Than $5,000
2 = $97-$192	$418-$833	$5,000-$9,999
3 = $193-$288	$834-$1250	$10,000-$14,999
4 = $289-$384	$1251-$1666	$15,000-$19,999
5 = $385-$480	$1667-$2083	$20,000-$24,999
6 = $481-$576	$2084-$2500	$25,000-$29,999
7 = $577-$673	$2501-$2916	$30,000-$34,999

Per Week	Per Month	Per Year
8 = $674-$769	$2917-$3,333	$35,000-$39,999
9 = $770-$865	$3334-$3750	$40,000-$44,999
10 = $866-$961	$3751-$4166	$45,000-$49,999
11 = MORE THAN $961	MORE THAN $4166	$50,000 OR MORE

How many people, including yourself, depend on this income?

At the **present** time, does anyone in this household receive child support for [fill CHILD}?

At the **present** time, does anyone in this household receive…

WIC (Women Infants, and Children), Food Stamps,
TANF, AFDC (Aid to Families with Dependent Children), General Assistance, or other public assistance including state-specific welfare programs (like MFIP, Calworks, Workfare, or Workfirst) Housing Support (like public housing or Section 8), or
A disability check (SSI)?

At any time in the past, did anyone in the household receive TANF or AFDC who does not receive it now?

In what month and year did this person stop receiving TANF/AFDC?

Services Received Module of Current Caregiver Instrument

In the last 12 months, have you gotten financial help besides what you may have gotten from TANF or SSI (like, emergency cash, help paying your bills, etc.)?

Did you receive this help from…

The child welfare agency or your caseworker,
A relative or friend,
A community group, like from a church, a community organization, or a family resource center,
Someone else?

In the last 12 months, how much have you needed financial help besides what you may have gotten from TANF or SSI? Would you say…

A lot,
Somewhat,
A little, or
Not at all?

The next questions are about your insurance coverage. What is your current insurance status? Are you covered by…

Medicaid or another state-funded program (including state equivalents like Medi-Cal),
Private insurance (including HMOs, PPOs, IPAs, fee-for-service, Blue Cross/Blue Shield, or employer plan),
CHAMPUS (military insurance), or
Do you not have insurance of any kind (completely self-pay)?

Is your plan…

Managed care, such as an HMO or preferred provider plan, where there may be some restrictions on choice of doctor or hospital, or
A more traditional health plan where there are no restrictions on choice of doctor or hospital?

Were any of the services you just reported receiving provided or paid for by the child welfare agency?

References and Source Documents

Dowd, K., Kinsey, S., Wheeless, S., Thissen, R., Richardson, J., Suresh, R., Mierzwa, F., Biemer, P., Johnson, I., and Lytle, T. (2003, September). *National Survey of Child and Adolescent Well-Being: Combined Waves 1-3 data file user's manual.* Ithaca, NY: Cornell University, National Data Archive on Child Abuse and Neglect.

Dowd, K., Kinsey, S., Wheeless, S., Thissen, R., Richardson, J., Mierzwa, F., & Biemer, P. (2002, May). *National Survey of Child and Adolescent Well-Being: Wave 1 data file user's manual.* Ithaca, NY: Cornell University, National Data Archive on Child Abuse and Neglect.

INCOME AND EARNINGS

PANEL STUDY OF INCOME DYNAMICS[1]

Measure: Income and earnings questions from the Expenses, Employment, Income, and Wealth and Active Savings modules of the Panel Study of Income Dynamics

Source

The Panel Study of Income Dynamics (PSID) is sponsored primarily by the National Science Foundation. Substantial additional funding has been provided by the National Institute on Aging, the National Institute of Child Health and Human Development, the Office of the Assistant Secretary for Planning and Evaluation of the United States Department of Health and Human Services, the Economic Research Service of the United States Department of Agriculture, the United States Department of Housing and Urban Development, and the United States Department of Labor. The survey is conducted at the Survey Research Center, Institute for Social Research, University of Michigan.

Population Assessed

The original core sample was reduced from nearly 8,500 families in 1996 to approximately 6,168 in 1997. In 1990, 2,000 Latino households, including families originally from Mexico, Puerto Rico, and Cuba, were added to the sample to increase its national representativeness. Although this sample did represent three major groups of immigrants, it did not include the full range of post-1968 immigrants, Asians in particular. Because of this exclusion and because of a lack of sufficient funding, the Latino sample was dropped after 1995, and a sample of 441 immigrant families was added in 1997. The refreshed sample was 6,434 for 1999 and is projected to grow to almost 7,400 in 2005.

Periodicity

The PSID, first conducted in 1968, is conducted annually. Each year it addresses the income and earnings of the respondent's household.

Components

Although the entire study focuses on income dynamics, the items used in this document are taken from the expenses; employment; income; wealth and active savings; and housework, child care, and food cost modules. The expenses module addresses monthly or yearly expenses such as car payments, car insurance, and other transportation costs, and education costs. The employment module addresses the employment of all family members old enough to work and the salary per reference period convenient to respondent. The income module addresses the various components of income, including rent, dividends, and interest. The wealth and active savings

[1] The survey descriptions in Appendix B include only background information on the Child Development Supplement of the PSID (PSID-CDS). For more complete information on the PSID, please visit the Web site http://www.isr.umich.edu/src/psid/.

module addresses the income received from sale of stocks or cashing in of pensions. The housework, child care, and food cost module addresses various expenses of the household, such as child care costs and the receipt of government subsidies, including Women, Infants, and Children (WIC) vouchers and TANF. The reference periods addressed are usually in the past year or since the last interview in the cases of respondents who have participated in the PSID for multiple years.

Procedures for Administration

The head of the household is usually the respondent. The survey is conducted over the phone using computer-assisted interviewing procedures and takes between 20 and 30 minutes to complete.

Psychometrics/Data Quality

To assess the validity of the PSID, the National Science Foundation (NSF) carried out a two-wave validity study. Approximately 500 people were given the PSID instruments (wave 1), and the answers were compared with company records (wave 2). The results show that the measurement error in cross-sectional reports of annual income error is rather low (i.e., the error-to-total variance ratio ranged from .15 to .30). Some trends were found in the error of annual earnings. Workers with lower-than-average earnings tended to overreport their earnings while workers with higher wages tended to underreport them. The error in the reports of annual work hours, in comparison to annual income, is higher, ranging from .28 to .37. The highest error in reporting is in hourly earnings, which ranged from .67 to .69. (Hourly earnings were calculated by dividing annual earnings by annual hours; for more information see the PSID User Guide).

In the case of missing data, the PSID uses several approaches. One approach is informed calculation, distinct from imputation. Resources such as interviewer's notes are used to determine what the values are. Another approach is judgmental editing: an editor looks at the partial inputs on a case-by-case basis and makes a decision about what the value might be and what might have caused the hole, an accidental keystroke or a change in industry. Only as a last resort are values imputed by a statistical procedure such as "hot deck" or multivariate imputation.

Languages Available

The questionnaires are available in English and Spanish.

Items Included

Because of the large number of questions concerning income and earnings in the PSID, only a few sample questions have been included. The questionnaires are available at the PSID Web site: http://psidonline.isr.umich.edu/Data/

From Wealth and Active Savings Module

Since January 1999, did [you/you or anyone in your family] cash in any part of a pension, private annuity, or IRA?

How much did that amount to, not including any penalties or costs?

Since January 1999, did [you/you or anyone in your family] sell any shares of stock in publicly held corporations, mutual funds, or investment trusts?
Altogether, how much money did [you/you or anyone in your family] get from that?

Some people's assets come from gifts and inheritances. During the last two years, have [you/you or anyone in your family] received any large gifts or inheritances of money or property worth $10,000 or more?

From Income Module

G25a. (Did [you/Q56] receive any other income in 2000) from rent?

G25b. (Did [you/Q56] receive any other income in 2000) from dividends?

G25c. (Did [you/Q56] receive any other income in 2000) from interest?

ELSE IF Q1591 is (4)

G25d. (Did [you/Q56] receive any other income in 2000) from trust funds or royalties?

G25e. (Did [you/Q56] receive any income in 2000) from ADC or AFDC [Aid to Families with Dependent Children]? REFERS TO HEAD ONLY.

G25f. (Did [you/Q56] receive any other income in 2000) from Supplemental Security Income?

G25g. (Did [you/Q56] receive any other income in 2000) from other welfare?

We would like to know about what [you do/your wife does/]—[are you/is she/is he] working now, looking for work, retired, keeping house, a student, or what?

Working Now
Temporarily Laid Off, Sick or Maternity Leave
Looking for Work, Unemployed
Disabled
Keeping House
Student

On [your/her/his] main job, [are you/is she/is he] self-employed, [are you/is she/is he] employed by someone else, or what?

How much is [your/her/his] salary?

References and Source Documents

The questionnaires are available at the PSID Web site: http://psidonline.isr.umich.edu/Data/.

The user guide is available online: http://psidonline.isr.umich.edu/.

INCOME AND EARNINGS

NATIONAL SURVEY OF AMERICA'S FAMILIES

Measure: Income and earnings items from the 1997 National Survey of America's Families questionnaire

Source

The National Survey of America's Families (NSAF) is a part of the Urban Institute's Assessing the New Federalism project and was developed and conducted in partnership with Child Trends, Inc. The first round of the study was funded by 16 different foundations, and data collection was administered by Westat.

Population Assessed

The NSAF is a representative survey of the noninstitutionalized, civilian population of persons under age 65 in the nation as a whole and in 13 specific states: Alabama, California, Colorado, Florida, Massachusetts, Michigan, Minnesota, Mississippi, New Jersey, New York, Texas, Washington, and Wisconsin. The combined populations of these states compose more than one-half of the U.S. population. Study states are representative of a broad range of characteristics, such as fiscal policy, approaches to government, and child well-being indicators. They also varied in terms of geographic location, size, and dominant political tradition.

In 1997, 50,355 phone and in-person interviews were done in 45,996 households. Interviews were conducted in 42,973 telephone households and in 1,488 non-telephone households. Information was obtained for children under the age of 17. The national NSAF response rates for adults with at least one child and other sampled adults were 65.4 percent and 61.7 percent, respectively. The sample of focal children was 49 percent female. Thirty-four percent of the children were under 6, 34 percent were 6 through 11, and the remaining children were adolescents 12 through 17. White children comprised 66 percent of the sample; Blacks, 15 percent; and Hispanics 14 percent. Based on weighted data, 43 percent of the children live in households with incomes 200 percent below poverty level.

The sample was weighted to be representative of the country as a whole and the specific state in which the respondent lived.

Periodicity

Three rounds of data have been collected: 1997, 1999, and 2002.

Components

The majority of income and earnings questions in the 1997 NSAF appear in one of two sections: Section I (Employment and Earnings) and Section J (Family Income). Section I inquires about the earnings (or income from business ownership) and health insurance coverage the respondent and his/her spouse/partner receive from their main jobs. Questions also look at their

total yearly earnings obtained from other jobs, as well as the annual earnings of other members of the household. Section J focuses on other sources of income, asking what different kinds of sources were received, who in the household received it, and what was the dollar amount from that source for each household member. These specific amounts of income are obtained from AFDC, state general assistance, emergency assistance, vouchers or coupons from the welfare office, food stamps, child support, foster care payments, financial assistance from friends or relatives, unemployment compensation, worker's compensation or veteran's payments, Supplemental Security Income program, social security, pensions or annuities, interest or dividends, rental properties, and other sources specified by the respondent. Amount questions were for the yearly total, although the respondent could provide this amount in monthly or weekly figures for certain sources of income. In the case of emergency assistance and financial assistance from friends or relatives, the specific amount of each payment is also inquired about. A question on total household income is never asked, although the questionnaire does ask about the income range (e.g., below or above the poverty line computed for the whole family) if the respondent's household income appears to be below 200 percent of the poverty line, but missing data prevent knowing the household's exact relationship to the poverty line.

Other sections of the survey ask other questions related to cash and non-cash forms of income. Section E (Health Care Coverage) asks extensive questions about the types and characteristics of health insurance that the respondent's household possesses. Section G (Child Care) asks about the amount paid for child care in the last month, as well as what types of financial assistance were received for child care. (These questions are asked only if the most knowledgeable adult was at work or school or looking for a job while the sampled child was in care.) Section H (Nonresidential Parents) questions the respondent about the nature of any child support payments received. Section K (Welfare Program Participation) inquires about the nature and extent of the respondent's participation in welfare programs and about receipt of several non-cash forms of income, specifically food stamps, WIC, free or reduced-price school breakfast, and free or reduced-price school lunch. Section L (Education and Training) asks if the recipient received any vouchers to help pay for education or training. Section M (Housing and Economic Hardship) asks how much the respondent paid in rent or mortgage in the month just past and inquires about housing assistance. This section also asks if the respondent and/or someone else in the household made child support payments in the last 12 months for children who live outside the household, but does not inquire about the amount of those payments. Section N (Issues, Problems, Social Services) looks at receipt of family services from the government or other sources.

Procedures for Administration

In the 1997 NSAF, the reporter for the income and earnings items was the Most Knowledgeable Adult (MKA) for adults with children under 18 living at home and the sampled adult for those adults without children under 18 living at home. The major mode of data collection was computer-assisted telephone interview (CATI). To assure that those without phone service were represented, a smaller sample of homes without phones was obtained, and phones were provided. The adult interview for adults without children under 18 living at home typically lasted 25 minutes, and the MKA interview typically lasted 40 minutes.

Psychometrics/Data Quality

Although missing data for most questions in the 1997 NSAF were minimal (frequently less than 1 percent), income questions had a much larger item nonresponse rate, averaging between 20 and 30 percent. This response rate is typical of income questions in similar surveys, such as the March 1997 Current population Survey (CPS; Kenney, Scheuren, & Wang, 1999, p. 4). Even within the employment and income sections of the 1997 NSAF, item response rates varied considerably. "For some items, such as current employment status, only 0.2 percent of the responses were missing. For other questions, such as earnings from the primary wage and salary job, nearly 30 percent of the responses for the amount received last year were missing. This nonresponse rate for wage and salary income is nearly the same as that encountered on the CPS. The next highest item nonresponse rate in this section was the amount of income received from Aid to Families with Dependent Children (AFDC)" (Dipko et al., 1999, p. 3–5). To handle the large nonresponse rate for many income and earnings items, the 1997 NSAF imputed missing data using a hierarchical statistical matching hot deck design. For more information on the 1997 NSAF's imputation procedures, see Dipko et al., 1999.

External validation of the 1997 NSAF was undertaken by comparing its results to the 1997 CPS. "Figure 7.2 compares the personal income distribution estimated for nonelderly adults (persons 18 to 64 years old) in the 1997 NSAF and the CPS. This is displayed by seven selected size classes. The biggest difference is in the $35,000 to $49,999 class, but even there the two distributions differ by only 1 percent. On the whole, the NSAF and the CPS show a remarkable degree of closeness, given that both surveys have sampling and nonsampling errors" (Kenney, Scheuren, & Wang, 1999, p. 7–4).

Figure 7.2
1996 Earnings from Employment Distributions for Adults 18–64 Years Old, 1997 NSAF and CPS Compared (in percent)

Personal Income	NSAF	CPS	Difference (NSAF – CPS)
Total	100.00	100.00	—
Under $10,000	35.04	36.77	-1.38
$10,000–14,999	10.44	9.63	0.26
$15,000–24,999	17.36	17.73	-0.22
$25,000–34,999	13.70	13.33	0.54
$35,000–49,999	12.44	11.51	1.11
$50,000–74,999	7.44	7.14	-0.32
$75,000+	3.58	3.89	-0.61

Sources: CPS and NSAF information from special Urban Institute tabulations (Kenney, Scheuren, & Wang, 1999, p. 7–4).

Languages Available

Interviews were done in English or Spanish. Spanish translations were programmed into the CATI system used in data collection. Hard copies of the questionnaire were not available in Spanish.

Items Included

The complete 1997 NSAF questionnaire is available at **http://www.urban.org/UploadedPDF/Methodology_12.pdf**.

NSAF questionnaires from other years are available at **http://www.urban.org/content/Research/NewFederalism/NSAF/Questionnaire/Question.htm**.

Example items from the 1997 NSAF questionnaire are listed below.

Section G: Child Care

G52. Now think about all the child care arrangements and programs you use regularly for [(CHILD1)/(CHILD2)/all your children under age 13] while you worked, were in school or looked for work. How much did you pay for all child care arrangements and programs used in the last month?

[IF NECESSARY, SAY: it is easier for you, you can tell us what you paid, in a typical week of the last month?]

G55. Is the amount of money you are charged for the child care of [(CHILD1)/(CHILD2)/any of your children under age 13] determined by how much money you earn?

[IF NECESSARY, PROBE: Do you pay a sliding fee amount for any of these arrangements?]

G56. Does anyone else pay for all or part of the cost of the care for [(CHILD1)/(CHILD2)/any of your children under age 13]? By this I mean a government agency, your employer, or someone outside your household?

G57. Who or what agency helps to pay for child care?

[CODE ALL THAT APPLY]

Section I: Employment and Earnings

I30. {For the purpose of this survey, it is important to obtain some information on how much you are paid on your main job?}

[Are you/Is (SPOUSE/PARTNER)] paid by the hour {on (his/her) main job}?

I31/32. What is [your/(SPOUSE/PARTNER)'s] regular hourly pay, including tips and commissions?

[IF HOURLY DAY IS BELOW $4 AN HOUR, VERIFY BY ASKING: Does this include tips and commissions?]

[DO NOT PROBE "REFUSALS", PROBE ONLY "DON'T KNOW" ANSWERS.]

I33/34. Before taxes or other deductions, how much [are you/is (SPOUSE/PARTNER)] paid on this job, including tips and commissions?

I53. Please, think about the main job [you/(SPOUSE/PARTNER)] had during 1996. Before taxes and other deductions, how much did [you(SPOUSE/PARTNER)] earn from [your/(SPOUSE/PARTNER)'s] main job during 1996, including tips, bonuses, and commissions?

> **PROBE:** We need to have an annual amount for this question.

[DO NOT PROBE "REFUSALS." PROBE ONLY "DON'T KNOW" ANSWERS.]

I66. Did [you/(SPOUSE/PARTNER)] earn any money from any other work during 1996, whether from an employer or as self-employed, including tips, bonuses, or commissions?

I67. What is your best estimate of these additional earnings for the whole year?

I68. Would you say [your/(SPOUSE/PARTNER)'s] total earnings for the whole year across all jobs were below or above $[THE POVERTY LINE COMPUTED FOR THE WHOLE FAMILY]?

[DO NOT PROBE "REFUSALS." PROBE ONLY "DON'T KNOW" ANSWERS.]

Section J: Family Income

J2. In 1996, did anybody receive AFDC?

> **PROBE:** AFDC is the Aid to Families with Dependent Children program, sometimes referred to as ADC.

J2B. In 1996, did anybody receive benefits from the (STATE AFDC PROGRAM?)

J15. [In 1996,] did anybody receive any interest from sources like bank accounts, money markets or certificates of deposits, dividends from stocks, or mutual funds?

J20. Were the (AFDC/{STATE AFDC}) benefits to provide for both (you/NAME) and the children, or just the children?

J21. How much did (you/NAME) receive during 1996? This can be either a monthly amount or the total for the year.

J56. Who received pension or annuity income in 1996? Please give me only one name if two or more people shared income from the same pension or annuity.

PROBE: Anybody else?

J57. How much did (you/NAME) receive during 1996? This can be either a monthly amount or the total for the year.

J66. For the purpose of this survey, it would be important to get at least a range for the total income received by all the members of your family in 1996. Would you say that this income was:

Below or above ${the poverty line computed for the whole family}?
Below or above ${TWICE the poverty line computed for the whole family}?
Below or above ${FOUR TIMES the poverty line computed for the whole family}?

Section K: Welfare Program Participation

K35. During 1996, did you or your children ever receive benefits from any of the following programs...

WIC vouchers (the special supplemental food program for Women, Infants, and Children)?

Section M: Housing and Economic Hardship

M6. {We are interested in knowing only your part of the payment.} Altogether, in the month just past (what did you pay in rent/what was your mortgage payment)?

[IF R VOLUNTEERS THAT HOUSE IS PAID FOR, ENTER 0.]

M7. Are (you/you and your family) paying lower rent because the federal, state or local government is paying part of the rent?

M7A. Is this house in a public housing project, that is, is it owned by a local housing authority or other public agency?

M8A. Now I'd like to ask you about some other expenses {or needs} you may have.

During the last 12 months, did (you/NAME) make financial contributions to support (your/his) children under 18 years of age who live outside the household?

M8C. Were these contributions part of a child support order?

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A full list of source information is available at http://www.urban.org/content/Research/NewFederalism/NSAF/Methodology/1999MethodologySeries/1999.htm

INCOME AND EARNINGS

NATIONAL LONGITUDINAL SURVEY OF YOUTH, 1997

Measure: Income and earnings items from the National Longitudinal Survey of Youth Round 1 (1997) youth questionnaire and parent questionnaire

Note: This options document describes income and earnings questions asked in both the Round 1 (1997) Youth Questionnaire and Parent Questionnaire. The Youth Questionnaire includes a section that asks the same questions as are asked in the basic monthly survey of the Current Population Survey (CPS). Because the income and earnings questions from the CPS are covered in a separate options document, this options document will describe only the income and earnings questions unique to the National Longitudinal Survey of Youth, 1997 (NLSY97).

Source

The Bureau of Labor Statistics, U.S. Department of Labor, is the primary sponsor of the NLSY97. Additional funding was received from the U.S. Department of Defense, U.S. Department of Justice, U.S. Department of Education, and National Institute of Child Health and Human Development to fund portions of the questionnaires. The National Opinion Research Center at the University of Chicago conducted the survey with assistance from the Center for Human Resource Research at The Ohio State University. The Youth Questionnaire of the NLSY97 includes income and earnings questions taken from the CPS, but these questions will not be described here because they are provided in another options document.

Population Assessed

The NLSY97 baseline cohort completed the Youth Questionnaire; the cohort has been weighted to be a nationally representative sample of youth between the ages of 12 and 16. The NLSY97 baseline cohort consisted of a sample of 8,984 U.S. youth from 6,819 households between the ages of 12 and 16. (Many of the youth thus resided within the same household.) The sample has been re-weighted after each round of data collection to make sure that data from each round are representative of the national population.

Blacks and Hispanics were oversampled for ethnic/racial variation, so the resultant round one cohort was 26.0 percent Black, 21.3 percent Hispanic, 51.9 percent non-Black/non-Hispanic, and 0.9 percent mixed race. The sample was 51.2 percent male and 48.8 percent female.

In round one, information was also obtained from a parent via the Parent Questionnaire. The predetermined priority for the responding parent was that he/she be a biological parent, an adoptive parent, a step-parent, a guardian or relative, a foster parent with whom the youth lived for 2 or more years, another non-relative with whom the youth lived for 2 or more years, a relative mother or father figure, and finally a non-relative mother or father figure. Mothers were always higher in respondent priority than fathers.

Periodicity

The NLSY97 data collection is ongoing and fielded annually. The Youth Questionnaire was first administered in 1997. Five subsequent rounds of this ongoing longitudinal survey have been administered on a yearly basis (i.e., 1998, 1999, 2000, 2001, 2002). The Adult Questionnaire was only administered once, in 1997.

Components

In the NLSY97 Round 1 Youth Questionnaire, the majority of income and earnings questions come from one of three sections. (As noted above, a fourth income and earnings section of the Youth Questionnaire, which reproduces the CPS basic monthly survey, will not be discussed here.) Throughout the Youth Questionnaire, not all of these questions were asked of all youths; most income questions, for example, were asked only to independent youth or older youth. The sections are as follows: 1) The Employment section asks question about both regular employment and freelance jobs. The survey asks for information about every regular employment job since the respondent's 14th birthday. Regular employment questions relate to starting wages and, if the job lasted more than 13 weeks, end (or current) earnings from the job; the respondent could choose the periodicity with which to respond to earnings questions. Questions about the dollar amount of other forms of compensation (e.g., tips, overtime pay, bonuses) are asked individually, and the questionnaire inquires about what benefits the job included and whether the respondent was paid at an hourly rate. For freelance jobs, respondents were asked for the starting and end (or current) weekly earnings. 2) The Program Participation section asks if the respondent or his/her spouse/partner has ever received various forms of public assistance (e.g., unemployment compensation, Aid to Families with Dependent Children [AFDC], emergency assistance) and for what periods of time. For unemployment compensation and workers' compensation, the survey asks separately for the respondent and his/her spouse/partner about the weekly amount of payment received in each period of receipt. For AFDC, food stamps, WIC, SSI, LIHEAP, general assistance, emergency assistance, Cuban/Haitian or Indian assistance payments, foster children payments, other welfare payments, and rental assistance, the NLSY97 asks for the respondent and his/her spouse/partner combined about the monthly amount of payments received in each period of receipt. In all cases, if the respondent did not know or refused, the interviewer presented the respondent with a range of amounts. The section also inquires about when the respondent lived in public housing. 3) The Income and Assets section inquires about how much the respondent and his/her spouse/partner received in 1996 from a variety of income sources. Yearly totals for total (non-business) earnings and business/professional earnings were asked separately for the respondent and his/her spouse/partner. Yearly totals for the respondent and his/her spouse/partner combined were asked for child support; interest; dividends; rental income; property or money from estates; trusts, annuities, or inheritances; money or gifts from parents (not allowance); all other sources of income; and allowance. The respondent was not given a choice of periodicity for these questions. Questions on the earnings of each parent and the total annual income of other household members (separately) were also asked. In all cases in this section, the respondent was presented with a range of amounts for items in which he/she did not know or refused. In addition, the respondent was asked if he/she claimed an Earned Income Tax Credit, but not the amount of the credit. The Income and Assets section also inquires about housing costs, including (for homeowners) the average monthly cost of utilities and the amount paid in property tax in the prior year and (for renters) the average monthly cost of utilities and the cost of rent (in

the periodicity the respondent prefers). Separate questions address the amount (if any) paid to the respondent's parent(s) for room and board or because of other regular payments in 1996; the respondent could choose the periodicity for response to these questions.

Other sections of the survey ask other questions related to cash and non-cash forms of income. The Schooling section asks about financial aid for school, and the Training section inquires if any government programs or financial aid paid for the training. In the case of financial aid, the survey asks for dollar amounts. The Health section asks what type of health insurance the respondent has.

For a description of which questions were asked to which types of youths (e.g., independent, older), see U.S. Department of Labor, 2002a, pp. 96–140, 214–224.

In the NLSY97 Round 1 Parent Questionnaire, the majority of income and earnings questions come in the Income and Child Income sections. The question types and subjects in the Income section are similar to those asked in the Youth Questionnaire, except that fewer types of income are asked about individually (although questions on welfare were asked). Questions on yearly non-business earnings and business/professional earnings are asked separately for the respondent and his/her spouse/partner. For interest and dividends, AFDC, food stamps, SSI, child support, and all other sources of income, the survey inquires individually about whether the respondent and/or his/her spouse/partner received that type of income, but yearly dollar amounts are collected for both people together. The survey also inquires about both the earnings and the other income of other household members over age 14 separately. The Child Income section is less comprehensive and asks about only the amount of financial support given to each child, the amount of rent and other regular payments (recorded separately) received from each child, and the amount of earnings of each child. Like the Income section of the Parent Questionnaire and the Income and Assets section of the Youth Questionnaire, dollar amount are asked for all of 1996, and the respondent was typically provided with a range of values if he/she did not know or refused.

A couple other sections of the Parent Questionnaire ask about other forms of cash and non-cash income. The Parent Calendar section asks a few questions on the types of government aid the parent has received in the past. The Child Health section inquires about the types of health insurance coverage each child has.

Procedures for Administration

The income and earnings items in the Youth Questionnaire and Parent Questionnaire for Round 1 are administered to a sampled youth and to one of that youth's parents respectively. (See the Population Assessed section for a description of how the interviewed parent was selected.) The mode of administration for these items in both surveys is typically computer-assisted personal interview. In the youth questionnaire, the interviewer is asked whether anyone listened in on or took part in any portion of the youth interview and whom that person or people were. Both the youth and parent interviews take 1 hour.

Psychometrics/Data Quality

Like most surveys, the NLSY97 has a large amount of missing data for income questions. "Nearly 22 percent of total income data for the families of NLSY97 youths are missing or zero." A zero value was treated as missing in analyses; such a value made up 56 percent of missing cases. Unlike the CPS, the NLSY97 does not impute missing data (Moore et al., 2000, p. 143).

As a measure of validity of the income variables, NLSY97 compared their family income results from equivalent data calculated for youth ages 12 to 16 from the March 1997 CPS. "In comparing these distributions, there are small but significant differences between the two groups. For total income (tables G-4 and G-12), both NLSY97 and CPS families tend to be concentrated near the center of the income distribution, the majority falling into the $25,001 to $50,000 and $50,001 to $100,000 ranges. However, NLSY97 has more families than CPS in the lowest income categories, slightly more than CPS in the middle ranges, and fewer than CPS at the higher income levels" (Moore et al., 2000, p. 145). "The results of [a t-test] show NLSY97 with a significantly lower mean total income than the CPS. The families of NLSY97 youths have a mean total income of $47,199, while families of CPS youths have a mean total income of $53,967" (Moore et al., 2000, p. 146). Although this test does provide evidence the distributions are not equal, NLSY97 cautions that the large sample size could make this test misleading. Overall, "the results of these comparisons indicate that while there are some differences in family income between NLSY97 and CPS youths, the differences are fairly small and are most obvious in the race/ethnicity (particularly Hispanic) breakouts" (Moore et al., 2000, p. 65). For more detail on the methodology and findings of this comparison of family income between the NLSY97 and the CPS, see Appendix G: Comparison of the NLSY97 Family Income Distribution to the CPS Family Income Distribution (pp. 141–155) of Moore et al., 2000.

Languages Available

The Youth Questionnaire and Parent Questionnaire can be administered in both English and Spanish.

Items Included

The NLSY97 Round 1 Youth Questionnaire is available at http://www.bls.gov/nls/quex/r1/y97rd1yquex.htm. The NLSY97 Round 1 Parent Questionnaire can be found at http://www.bls.gov/nls/quex/r1/y97rd1pquex.htm. Example items from each questionnaire follow. When a question asks the respondent to select a monetary range from a card, the respondent had not known or refused to answer the prior question asking the respondent to state the specific amount.

EXAMPLE ITEMS FROM THE YOUTH QUESTIONNAIRE

From Employment Section

We would like to talk to you about any work you have done in the time since your 14th birthday, that is since [youth's 14th birthday]. In answering these questions, please tell us about any paid employment you had or any work you did for a family business (whether or not you were paid). While we discuss these jobs, I will be marking them on this calendar. Later I will give you this calendar to help you remember important dates over the last few years.

We are going to discuss two sorts of jobs with you. We'll call one type working as a freelancer or being self-employed, that is, doing one or a few tasks for several people and not having a "boss" (for example, babysitting or mowing lawns) or working for yourself (for example, running a business).

We'll refer to the second type as working as an employee, that is, you had an ongoing relationship with a particular employer (for example, working in a supermarket or restaurant or being in the military). FIRST we will be asking ONLY about jobs on which you were working as an employee. Later we will ask about jobs on which you were working as a freelancer.

YEMP-600
Since your 14th birthday, that is since [youth's 14th birthday] have you done ANY (OTHER) WORK AT ALL AS AN EMPLOYEE for which you were paid or in a family business whether or not you were paid?

YEMP-900
What is the name of the [first/next] employer you've had since [youth's 14th birthday]?

YEMP-19100
Now, we would like to ask you a few questions concerning your earnings when you first started working for [employer's name].

YEMP-19200
For your job with [employer's name], what is the easiest way for you to report your total earnings BEFORE taxes or other deductions: hourly, weekly, annually, or on some other basis? (READ IF NECESSARY:) We use this information to compare the amount that people earn in different types of jobs.

Per hour
Per day
Per week
Bi-weekly (every 2 weeks)
Semi-monthly (twice a month)
Per month
Per year
Other (specify)

YEMP-21200
Which of the forms of compensation on this list did you receive? (SELECT ALL THAT APPLY.)

Overtime pay
Tips
Commissions
Bonuses
Incentive pay
Other (specify)

YEMP-21600
About how much income did you usually receive from [compensation: overtime, tips, commissions, bonuses, incentives] (around the time you started with [employer's name])?

Per hour
Per day
Per week
Bi-weekly (every 2 weeks)
Semi-monthly (twice a month)
Per month
Per year
Other (specify)

YEMP-22500
(About how much income did you usually receive from [compensation: overtime, tips, commissions, bonuses, incentives] (around the time you started with this employer)?)

YEMP-22900
EXCLUDING overtime pay, tips and commissions, what was your hourly rate of pay when you first started this job?

YEMP-24600
When you started with [employer's name], how much did you usually receive JUST in overtime pay, tips, commissions or bonuses before taxes or other deductions?

[INTERVIEWER: ENTER TIME UNIT FOR OVERTIME PAY FIRST. PRESS <ENTER> TO ENTER AMOUNT.]

Hourly
Daily
Weekly
Monthly
Annual
Other (specify)

YEMP-30400
Then, (including overtime pay, tips and commissions), what were your usual WEEKLY earnings on this job, before taxes or other deductions? (INTERVIEWER: IF MORE THAN $1500.00 OR LESS THAN $1.00, PLEASE VERIFY.)

YEMP-35900
Even though you told me it is easier to report your earnings [time unit for rate of pay], were you PAID AT AN HOURLY RATE when you started your job with [employer's name]?

YEMP-38100
Now, we would like to ask you a few questions concerning your [current/most recent] earnings for [employer's name].

YEMP-48300
I have estimated your usual [current/most recent] WEEKLY earnings for your job with [employer's name] as $[calculated weekly earnings including overtime] before taxes or other deductions. Does that sound correct?

YEMP-100300
(HAND CARD O) Please look at the following list of benefits which employers sometimes make available to their employees. [at this time/at the time R left], which of the benefits on this list would it [be/have been] possible for you to receive as part of your job with [employer's name]? (SELECT ALL THAT APPLY.)

- Medical, surgical or hospitalization insurance which covers injuries or major illnesses off the job
- Life insurance that would cover your death for reasons not connected with your job
- Dental benefits
- Paid maternity or paternity leave
- Unpaid maternity or paternity leave which would allow you to return to the same job, or one similar to it
- A retirement plan other than Social Security
- A flexible work schedule
- Tuition reimbursement for certain types of schooling
- Company provided or subsidized childcare
- Employee Stock Ownership Plan(s)
- None

YEMP-100400
How many paid vacation days [are/were] you entitled to per year?

YEMP-106200
Between [reference date] and [employment stop date], were there any periods of a full week or more during which you took any PAID leave from work with this employer because of a pregnancy or the birth of a child?

YEMP-108400
Please tell me the kinds of [freelance or self-employed] jobs you have had [freelance reference date]?

YEMP-109600
When you started, how much did you earn per week doing this kind of work?

YEMP-111700
How much [do/did] you usually earn per week doing this kind of work [now/at the time]?

From Training Section

YTRN-3700
[Are/Were] any of the costs of this school or training program paid for or provided directly by a government program?

YTRN-3800
Which government program, or programs, [is/was] it? (SELECT ALL THAT APPLY.)

JTPA adult programs (Title IIa)
JTPA summer youth programs (Title IIb)
JTPA year-round youth programs (Title IIc)
Job Corps
JOBS
Youth Build
Even Start
Upward Bound
Talent Search
Veterans Administration
Vocational rehabilitation
Other, please (SPECIFY)

YTRN-4600
Did you receive any student financial aid or did you take out a student loan to help pay for this training?

From Health Section

YHEA-1900
Are you covered by health insurance that includes physician or hospital care through any of the following?

Your or someone else's job, union or business?
A direct purchase from an insurance company or through a professional association or retirement association?
MediCAID (OR STATE NAME FOR MEDICAID), the state-sponsored program to provide health care to low income people?

MediCare, the plan for people 65 or older and some younger disabled people that is sponsored by the federal government?
A military-related health plan such as CHAMPUS (which covers both active duty retired military personnel, their dependents and survivors), CHAMPVA (which covers disabled veterans, their dependents and survivors), or are you eligible for VA hospital care?
Anything else or are you not covered?

From Program Participation Section

YPRG-1800
For these next questions we are interested in different kinds of payments that might have been made directly to [you /you or your (spouse/partner)]. For these questions, please do not include any payments that were made to your parents or to other members of your family or household, even if the payments were used to help pay for your support.

YPRG-2500
Have [you /you or your (spouse/partner)] ever received any Food Stamp benefits?

YPRG-5900
Thinking about the unemployment benefits you received [between unemployment start or stop date / during this time], on average, how much did you receive per WEEK during this period?

Refusal(-1) (Go To YPRG-6000) Don't Know(-2) (Go To YPRG-6000)

YPRG-6000
(HAND CARD BB) Please look at this card. Can you tell me the letter of the category that corresponds to the range that includes the amount you received per week in unemployment compensation?

$1 - $100
$101 - $150
$151 - $200
$201 - $250
$251 - $350
More than $350

From Income and Assets Section

YINC-500
We now have some questions about your household's income during the last calendar year, that is 1996. We appreciate that our questions are difficult to answer and sometimes seem intrusive. As with other questions in this survey, we want to reassure you that the information you provide to us is kept confidential.

YINC-1300
Now I would like to ask you some questions about the earnings and income [you/you and your partner/you and your spouse] received last year, that is during 1996. I'll ask you first about your earnings and business income and then the earnings and business income of your [spouse/partner].

YINC-1400
During 1996, did you receive any income from a job such as wages, salary, commissions, or tips? Please include any income you received from doing odd jobs, temporary or seasonal work and service in the military, the military reserves or the National Guard.

YINC-1700
During 1996, how much income did you receive from wages, salary, commissions, or tips from all jobs, before deductions for taxes or anything else?

YINC-1800
(HAND CARD EE) Please look at this card. Can you tell me the letter of the category that is your best estimate of the amount you received last year in wages, salary, commissions and tips?

$1 - $5,000
$5,001 - $10,000
$10,001 - $25,000
$25,001 - $50,000
$50,001 - $100,000
$100,001 - $250,000
More than $250,000

YINC-4300
During 1996 did [you/you or your spouse/partner] receive any interest payments from interest-earning-checking accounts, savings accounts, money market accounts, bonds, treasury notes, IRA accounts, or certificates of deposit?

YINC-4400
What was the total amount of interest payments [you/you and your partner/you and your spouse] received during 1996, including even small amounts and amounts reinvested or credited to the account?

YINC-7600
During 1996 did [you/you or your spouse/partner] receive income from any other sources, such as Social Security payments, pension or retirement income including survivor's benefits, alimony, veterans or GI benefits, payments from life insurance policies or any other regular or periodic source of income?

YINC-8000
Did [you/you or your spouse/partner] claim, or are [you/you or your spouse/partner] planning to claim, an Earned Income Tax Credit on your [or your spouse/or your partner] 1996 FEDERAL INCOME TAX RETURN?

Yes, did claim an EITC
Yes, planning to claim an EITC
No, not eligible for an EITC
No, not aware of the EITC
No, other reasons

YINC-8100
Did you receive an allowance from your family at any time during 1996?

YINC-8700
During 1996, did your biological father have any earnings or income from a job, farm, business or professional partnership? Please include any full or part time jobs, temporary or seasonal work and service in the military, the military reserves or the National Guard.

YINC-8800
During 1996, how much income did your father have from jobs, a farm, a business or professional partnership?

YINC-8900
(HAND CARD FF) Please look at this card. Can you tell me the letter of the category that is your best estimate of the amount your father received from a job, farm, business or professional partnership?

$1 - $5,000
$5,001 - $10,000
$10,001 - $25,000
$25,001 - $50,000
$50,001 - $100,000
$100,001 - $250,000
More than $250,000

YINC-11300
The next few questions are about the earnings in 1996 of other persons over the age of 14 who live in your household excluding the people whose earnings we have already asked you about.

YINC-11600
During 1996, how much income did [name of person on roster] have from all sources? Please include income from any full or part time jobs, temporary or seasonal work and service in the military, the military reserves or the National Guard, a farm, a business or professional partnership, Social Security, pensions, welfare, interest, gifts or anything else?

YINC-16000
How much rent do you pay for this [INTERVIEWER: READ THE APPROPRIATE CATEGORY] (house/apartment/condo/co-op/town house/farm/ranch/mobile home and site)?

YINC-16100
(HAND CARD GG) Please look at this card. Can you tell me the letter of the category that is your best estimate of that amount?

$1 - $1,000
$1,001 - $2,500
$2,501 - $5,000
$5,001 - $10,000
$10,001 - $25,000
$25,001 - $50,000
More than $50,000

YINC-16200
Is this per week, every two weeks, per month, every six month, per year or some other period?

YINC-16300
During an average month, about how much do you pay for utilities, such as heat, electricity, and water?

YINC-17500
Did [you/you or your spouse/partner] pay, or will [you/you or your spouse/partner] pay, any property taxes on this residence or other property [you/you or your spouse/partner] owned in 1996?

YINC-17600
How much did, or will, [you/you and your partner/you and your spouse] pay in property taxes in 1996?

EXAMPLE ITEMS FROM THE PARENT QUESTIONNAIRE

From Parent Calendar Section

P3-137
(HAND CARD C) Next, I'm going to show you a card with different types of government aid. From [date R turned 18/dob oldest child (whichever first)] through the present, have YOU ever received any of these kinds of aid?

P3-138]
Which types of aid did you receive? (SELECT ALL THAT APPLY.)

Aid to Families with Dependent Children (AFDC)
Medicaid
Supplemental Security Income (SSI)
Food aid (for example, food stamps or WIC)

P3-142
During how many years of the past five years have you received [type of government aid]?

From Income Section

P5-002
We now have some questions about your household's income during the last calendar year, that is 1996. We appreciate that our questions are difficult to answer and sometimes seem intrusive. As with other questions in this survey, we want to reassure you that the information you provide to us is kept confidential.

P5-009
Now I would like to ask you some questions about the earnings and income you and your [spouse/partner] received last year, that is during 1996. I'll ask you first about your earnings and business income and then the earnings and business income of your [spouse/partner].

P5-010
During 1996, did you receive any income from a job such as wages, salary, commissions, or tips? Please include any income you receive from service in the military, the military reserves or the National Guard.

P5-016
During 1996, how much income did you receive from wages, salary, commissions, or tips from all jobs, before deductions for taxes or anything else?

P5-017]
(HAND CARD D) Please look at this card. Can you tell me the letter of the category that corresponds to the range that includes the amount you received last year in wages, salary, commissions and tips?

$1 - $5,000
$5,001 - $10,000
$10,001 - $25,000
$25,001 - $50,000
$50,001 - $100,000
$100,001 $250,000
More than $250,000

P5-032
During 1996, how much did your [spouse/partner] receive from [his/her] own farm, business. partnership or professional practice AFTER EXPENSES? (IF [spouse/partner] LOST MONEY ON OWN FARM, BUSINESS, PARTNERSHIP OR PROFESSIONAL PRACTICE AFTER EXPENSES ENTER NEGATIVE VALUE.)

P5-048
During 1996, did [you/ your spouse/partner] receive any income from Aid to Families with Dependent Children (AFDC) or Aid to Dependent Children (ADC)?

P5-049
What was the total amount of income [you and your spouse/partner] received from AFDC or ADC last year?

[P5-050]
(HAND CARD G) Please look at this card. Can you tell me the letter of the category that corresponds to the range that includes the amount of income [you and your spouse/partner] received last year in AFDC or ADC payments?

$1 - $500
$501 - $1,000
$1,001 - $2,500
$2,501 - $5,000
$5,001 - $7,500
$7,501 - $10,000
More than $10,000

P5-067
During 1996, did [you/ your spouse/partner] receive income from any other sources, such as unemployment or workers' compensation benefits, rental income, other welfare benefits, Social Security payments, pension or retirement income, alimony, veterans or GI benefits, inheritances, payments from life insurance policies or any other regular periodic source of income?

P5-068
What was the total amount [you and your spouse/partner] received from all other sources (e.g., friends, relatives, royalties or any other regular or periodic source of income) during 1996?

P5-076
The next few questions are about the income received during 1996 by the other persons over the age of 14 who live in your household.

P5-077
During 1996, how much money did [name] earn working for someone else or from being self-employed?

P5-078
About how much in total did [name] receive in 1996 from any other sources such as Social Security, pensions, welfare, interest, gifts, or anything else?

From Child Health Section

PC9-050
(HAND CARD L) Is [name of youth] covered by health insurance that includes physician or hospital care through any of the following?

Your or someone else's job, union or business?
A direct purchase from an insurance company or through a professional association or retirement association?
MediCAID (OR STATE NAME FOR MEDICAID), the state-sponsored program to provide health care to low income people?
MediCare, the plan for people 65 or older and some younger disabled people that is sponsored by the federal government?
A military-related health plan such as CHAMPUS (which covers both active duty retired military personnel, their dependents and survivors), CHAMPVA (which covers disabled veterans, their dependents and survivors), or are you eligible for VA hospital care?
Anything else or are you not covered?

From Child Income Section

PC10-005
Now I'd like to ask you about the financial support of [name of youth]. How much money did you give [name of youth] during 1996?

PC10-006
(HAND CARD M) Please look at this card. Which of these categories best describes the amount you gave to [name of youth]? Please just tell me the letter.

$1 - $500
$501 - $1,000
$5,001 - $7,500
$7,501 - $10,000
$1,001 - $2,500
$2,501 - $5,000
More than $10,000

PC10-016
During the time that [name of youth] lived with you in 1996, did [he/she] pay you any money in exchange for room and board?

PC10-017
How much did [name of youth] pay you in exchange for room and board?

PC10-026
Now I would like to ask you a few questions about the income of [name of youth]. During 1996, did [name of youth] have any earnings or income from a job, farm, or business or professional partnership? Please include any full time or part time jobs, temporary or seasonal work, such as mowing lawns or babysitting, even for a few days.

PC10-027
During 1996, how much income did [name of youth] have? Please include any full or part time jobs, temporary or seasonal work.

References and Source Documents

Moore, W., Pedlow, S., Krishnamurty, P., & Wolter, K. (2000). *National Longitudinal Survey of Youth 1997 (NLSY97) Technical Sampling Report*. Prepared for the Department of Labor by the Center for Human Resource Research The Ohio State University. Retrieved June 9, 2003, from http://www.nlsinfo.org/ordering/display_db.php3

U.S. Department of Labor, Bureau of Labor Statistics, National Longitudinal Survey of Labor Statistics, & National Longitudinal Survey Program. (2002a). *A Guide to the Rounds 1-4 Data: National Longitudinal Survey of Youth 1997.* Retrieved June 9, 2003, from http://www.bls.gov/nls/97guide/nls97usg.htm

U.S. Department of Labor, Bureau of Labor Statistics, & National Longitudinal Survey Program. (2002b). *NLS Handbook 2002 The National Longitudinal Surveys: The NLSY97 (chap. 2).* Retrieved June 9, 2003, from http://www.bls.gov/nls/handbook/2002/nlshc2.pdf

U.S. Department of Labor, Bureau of Labor Statistics, & Program, N. L. S. (2003). *NLSY97.* Retrieved June 9, 2003, from http://www.bls.gov/nls/y97summary.htm

University of Michigan, I. f. S. R., Survey Research Center. (n.d.). *National Longitudinal Survey of Youth, 1997.* Retrieved June 9, 2003, from http://www.isr.umich.edu/src/psid/inventory_table_links/nat_long_surv_youth_1997.htm

INCOME AND EARNINGS

EARLY CHILDHOOD LONGITUDINAL STUDY—KINDERGARTEN COHORT

Measure: Income and Earning Items from the Early Childhood Longitudinal Study—Kindergarten Cohort Parent Interview

Source

The Early Childhood Longitudinal Study—Kindergarten Cohort (ECLS-K) is funded by the Department of Education's National Center for Education Statistics. Other sponsoring federal agencies that contributed to the ECLS-K are: U.S. Department of Health and Human Services; U.S. Department of Agriculture; Office of Special Education Programs, U.S. Department of Education; Office of Bilingual Education and Minority Languages Affairs, U.S. Department of Education; and, National Institute of Child Health and Human Development, U.S. Department of Health and Human Services. Westat fields the ECLS-K.

The parent interview was developed by a panel of experts specifically for the ECLS-K.

Population Assessed

The ECLS-K consisted of a nationally representative sample of 22,625 kindergarteners enrolled in 1,277 programs across the country. The sample included a broad array of socioeconomic status and ethnicities. An oversampling of Asian children and those enrolled in private schools helped to meet the national averages for those populations.

Periodicity

The ECLS-K began in 1998 and will conclude in 2004. In 1998–1999 (the kindergarten year), data were collected in the fall from students, parents, and teachers and in the spring from students, parents, teachers, and schools. In 1999–2000 (the first-grade year), data were collected in the fall from students and parents and in the spring from students, parents, teachers, and schools. In 2001–2002 (the third-grade year), data were collected in the spring from students, parents, teachers, and schools. In 2003–2004 (the fifth-grade year), data will be collected in the spring from students, parents, teachers, and schools. The parent interview is given at each planned administration of the survey, which is scheduled to follow the children through fifth grade.

Components

The parent interview contains several questions pertaining to the income and earnings in a child's household. In addition to household income, WIC and TANF are addressed in the questions. Expenditures and other reductions in income are not addressed, but the other questions are in reference to the past 12 months.

Procedures for Administration

The parent interview is administered to the most knowledgeable parent for each child. It is conducted either on the phone using a computer-assisted telephone interview or in person using a computer-assisted personal interview for those without a phone or reluctant to participate over the phone. Approximately 3 percent of the parent interviews completed were conducted in person. Translations of the survey were conducted with a hard copy and interviewers then entered the responses into the computer-assisted interview program. The interview is conducted one on one and is estimated to take about 65 minutes to complete.

Psychometrics/Data Quality

"Of the sampled children, 19,173 participated in the fall kindergarten child assessment for an 89.8 cooperation rate or a response rate of 66.4 percent (74% X 89.8%). There were no large differences in cooperation rates for subgroups of children: 89.5 percent of sampled boys participated, and 90.4 percent of sampled girls participated. Asians had the lowest cooperation rates at 88.6 percent while American Indians or Alaskan Natives had the highest response rate of 93.4 percent. There were 18,101 parent interviews completed during the fall of the school year for a cooperation rate of 85.3 percent or a 63 percent response rate (74% X 85.3%). About 91 percent of the children had child-specific data reported by their teacher in the fall of kindergarten (74% X 91.2 = 67.5%). These numbers are also comparable to the completion rates obtained in NELS:88. There, about 90 percent of the students participated in the eighth grade student tests, and 87.5 percent of the parents completed parent questionnaires. Teachers in NELS:88 completed individual student ratings for about 89.6 percent of the students. Thus overall, the ECLS-K child, parent, teacher and school cooperation rates are comparable to other school-based longitudinal studies conducted at NCES." (West, Denton, & Germino-Hausken, 2000, p. 65).

Psychometric information specifically for the income and earnings items is not readily available, including how nonresponse is addressed.

Languages Available

The interviews are available in English and were translated into Spanish, Chinese, Lakota, and Hmong.

Items Included

Questionnaires are available on the ECLS-K Web site at http://nces.ed.gov/ecls/

During the past week, did [you/[NAME]] work at a job for pay?

Were you/Was [NAME]] on leave or vacation from a job?

How many jobs [do you/does [NAME]] have now?

About how many total hours per week [do you/does [NAME]] usually work for pay, counting all jobs?

[Have you/Has [NAME]] been actively looking for work in the past 4 weeks?

What [have you/has [NAME]] been doing **in the past 4 weeks** to find work?

Checked with public employment agency
Checked with private employment agency
Checked with employer directly/sent resume
Checked with friends or relatives
Placed or answered ads/sent resume
Read want-ads
Something else (specify)

What [were you/was [NAME]] doing most of last week? Would you say …

Keeping house or caring for children,
Going to school,
Retired,
Unable to work, or
Something else? What was that? (SPECIFY)

Could [you/[NAME]] have taken a job last week if one had been offered?

Between [CHILD]'s birth and when [he/she] entered kindergarten, did [you/[CHILD]'s mother] work outside the home for pay?

Since [CHILD] was born, was there any time in which [his/her] family had serious financial problems or was unable to pay the monthly bills?

During how many years or months since [he/she] was born has [CHILD]'s family had serious financial problems?

Welfare and Other Public Transfers

When [you were/[CHILD]'s mother was] pregnant with [CHILD], did [you/she] receive any WIC benefits?

Did [CHILD] receive any WIC benefits as an infant or child?

In the past 12 months, have you or anyone in your household received Aid to Families with Dependent Children—sometimes called AFDC or ADC, Temporary Assistance for Needy Families, sometimes called TANF [or [STATE AFDC PROGRAM NAME]]?

During those 12 months, how long did [someone in] your household receive AFDC [or [STATE AFDC PROGRAM NAME]]? Was it ...

One to two months,
Three to five months,
Six to eight months, or
Nine to twelve months?

Since [CHILD]was born, have you or anyone in your household ever received AFDC [or [STATE AFDC PROGRAM NAME]]?

In the past 12 months, have you or anyone in your household received food stamps?

During those 12 months, how long did [someone in] your household receive food stamps? Was it

One to two months
Three to five months,
Six to eight months, or
Nine to twelve months?

Since [CHILD] was born, have you or anyone in your household ever received food stamps?

References and Source Documents

The ECLS Web site is http://nces.ed.gov/ecls/. A number of reports, shorter publications, technical/methodological papers, and working papers are available at http://nces.ed.gov/pubsearch/getpubcats.asp?sid=024.

Data products include the following:

ECLS-K Longitudinal Kindergarten-First Grade Public-Use Data Files and Electronic Code Book, NCES Number: 2002148 Release Date: April 30, 2002

CD-ROM: ECLS-K First Grade Public-Use Data Files and Electronic Code Book
NCES Number: 2002134 Release Date: February 19, 2002

ECLS-K First Grade Restricted-Use Child File
NCES Number: 2002127 Release Date: December 12, 2001

ECLS-K Base Year Restricted-Use Salary and Benefits File
NCES Number: 2001014 Release Date: April 24, 2001

ECLS-K Base Year Restricted-Use Student Record Abstract File
NCES Number: 2001016 Release Date: April 24, 2001

ECLS-K Restricted-Use Base Year: Child File, Teacher File, and School File
NCES Number: 2000097 Release Date: March 21, 2001

ECLS-K Base Year Restricted-Use: Special Education Child File
NCES Number: 2001015 Release Date: March 21, 2001

ECLS-K Base Year Restricted-Use Head Start File
NCES Number: 2001025 Release Date: March 15, 2001

ECLS-K, Base Year Public-Use Data File, Kindergarten Class of 1998-99: Data Files and Electronic Code Book; (Child, Teacher, School Files): User's Manual
NCES Number: 2001029 Release Date: December 1, 2000

Specific reports include the following:

Education Statistics Quarterly - Spring 2003 Issue
NCES number: 2003607. Release date: July 11, 2003

Young Children's Access to Computers in the Home and at School in 1999 and 2000
NCES number: 2003036. Release date: March 7, 2003

Children's Reading and Mathematics Achievement in Kindergarten and First Grade
NCES number: 2002125. Release date: March 7, 2002

Digest of Education Statistics, 2001
NCES number: 2002130. Release date: March 1, 2002

The Kindergarten Year
NCES number: 2001023. Release date: December 1, 2000

America's Kindergartners
NCES number: 2000070. Release date: February 17, 2000

Specific shorter publications include the following:
The Condition of Education 2003 in Brief
NCES number: 2003068. Release date: June 17, 2003

Schools' Use of Assessments for Kindergarten Entrance and Placement: 1998-99
NCES number: 2003004. Release date: March 24, 2003

Findings from the Condition of Education 2000: Entering Kindergarten
NCES number: 2001035. Release date: January 22, 2001

Specific technical/methodological papers include the following:

User's Manual for the ECLS-K Longitudinal Kindergarten-First Grade Public-Use Data Files and Electronic Codebook
NCES number: 2002149. Release date: April 30, 2002

User's Manual for the ECLS-K First Grade Public-Use Data Files and Electronic Codebook
NCES number: 2002135. Release date: February 19, 2002

Specific working papers include the following:

Early Childhood Longitudinal Study - Kindergarten Class of 1998-99 (ECLS-K), Psychometric Report for Kindergarten Through First Grade
NCES number: 200205. Release date: September 10, 2002

Papers from the Early Childhood Longitudinal Studies Program Presented at the 2001 AERA and SRCD Meetings
NCES number: 200106. Release date: July 30, 2001

Measuring Father Involvement in Young Children's Lives: Recommendations for a Fatherhood Module for the ECLS-B
NCES number: 200102. Release date: April 17, 2001

Measures of Socio-Emotional Development in Middle Childhood
NCES number: 200103. Release date: April 17, 2001

Selected Papers on Education Surveys: Papers Presented at the 1998 and 1999 ASA and 1999 AAPOR Meetings
NCES number: 200004. Release date: August 7, 2000

A Birth Cohort Study: Conceptual and Design Considerations and Rationale
NCES number: 199901. Release date: February 16, 1999

Working Paper: Measuring the Quality of Program Environments in Head Start and Other Early Childhood Programs
NCES number: 9736. Release date: November 7, 1997

Formulating a Design for the ECLS: A Review of Longitudinal Studies
NCES number: 9724. Release date: September 11, 1997

Assessment of Social Competence, Adaptive Behaviors, and Approaches to Learning With Young Children
NCES number: 9618. Release date: August 30, 1996

How Accurate Are Teacher Judgments of Students' Academic Performance?
NCES number: 9608. Release date: April 30, 1996

INCOME AND EARNINGS

EARLY CHILDHOOD LONGITUDINAL STUDY—BIRTH COHORT

Measure: Income and earnings items from the Early Childhood Longitudinal Study—Birth Cohort Non-Resident Father Self-Administered Questionnaire, Resident Father Self-Administered Questionnaire, and Parent Interview

Source

The Early Childhood Longitudinal Study—Birth Cohort (ECLS-B) is sponsored by the U.S. Department of Education, National Center for Education Statistics in collaboration with several health, education and human services agencies, including the National Center for Health Statistics; the National Institutes of Health; the Administration for Children, Youth, and Families; the U.S. Department of Agriculture; the Office of Special Education Programs; the Maternal and Child Health Bureau; the Office of the Assistant Secretary for Planning and Evaluation; the Office of Indian Education; the Centers for Disease Control and Prevention; and the Office of Minority Health.

Sponsoring Institutes from NIH include the National Institute of Child Health and Human Development, the National Institute of Mental Health, the National Institute on Nursing Research, the National Institute on Aging, the National Institute of Deafness and Other Communication Disorders, the National Center on Minority Health Disparities, and the Office of Behavioral and Social Sciences Research.

The Non-Resident and Resident Father Self-Administered Surveys were developed by the funders specifically for the ECLS-B to collect information about the role of the father in the child's development and the father's view of himself as a parent.

The Parent Interview was developed by the funders specifically for the ECLS-B to collect information about a child's development, family life, and childcare arrangements.

Population Assessed

The ECLS-B is a longitudinal study that follows a nationally representative sample of children from birth through first grade. The base-year data were collected when children were approximately 9 months old. The base-line sample consisted of 15,550 children. Exhibit 1 shows the break down of the sample by race/ethnicity.

Exhibit 1. ECLS-B Sample by Race and Ethnicity

Race/Ethnicity	Number of Children	Percentage of Sample
White	7728	49.7
Black	2923	18.8
Hispanic	2416	15.5
Chinese	705	4.5
Pacific Islander/Other Asian	1779	11.5

Additionally, the sample includes 2,118 (13.6 percent) twins, 2,543 (16.4 percent) children of very low birth weight, and 2,237 (14.4 percent) children with moderately low birth weights. The sample will also include an oversampling of American Indian births, with an initial sample size of 1,454.

Periodicity

The ECLS-B, begun in 2001, is scheduled to conclude in 2008. The first data collection occurred during the base year (2001–02) when children were 9 months of age. This includes an assessment of children, interviews with primary caregivers, a father self-administered questionnaire, and a videotaped observation of parent-child interaction. Future data collections are planned for when the children reach 24 months (first follow-up in 2003) and 48 months (second follow-up in 2005) and when they enter kindergarten (third follow-up in 2006–07) and first grade (fourth follow-up in 2007–08).

The non-resident and resident father questionnaires and the parent interview are scheduled to be fielded at all subsequent collections (i.e., 24 months, 48 months, the kindergarten year, and the first-grade year).

Components

The non-resident father questionnaire, resident father questionnaire, and parent interview each contain a series of questions about the income and earnings of the respondent's household. The non-resident father questionnaire asks a series of about 12 questions related to income and earnings of the household. The questions address the non-resident fathers employment status, household income, and the amount he pays for child support. The total household income is referenced in the past year while the child support question is asked in reference to the monthly payment.

The resident father questionnaire also asks questions related to the father's employment status and household income. It also addresses whether the father is eligible for a list of benefits at his job. The father's income is addressed in the reference period most convenient to him.

The parent interview has a series of questions addressing the income and earnings of the household. In addition to total household income, the questions address the receipt of WIC, food stamps, Medicaid, TANF, and housing assistance. The questions also address other earning the family may have, such as stocks or employment benefits. The questions do not address reductions or monthly expenditures. The reference periods are over the past year.

Procedures for Administration

The non-resident father survey is completed by non-resident biological fathers of the children in the study. The survey is a paper and pencil self-administered questionnaire. Contact information for the non-resident father is obtained at the parent interview. The self-administered survey can be completed in approximately 10–15 minutes, but the time needed to complete the income and earning questions is not stated.

The resident father survey is completed by all resident fathers of the children in the study. The survey is a paper and pencil self-administered questionnaire. The self-administered survey can be completed in approximately 10–15 minutes, but the time needed to complete the income and earning questions is not stated.

The parent interview is completed by the child's primary caregiver, which is in most cases the mother. The interview is given in a home visit using computer-assisted personal interviewing. Some paper and pencil questionnaires are used for collecting sensitive information. The parent interview should be completed in approximately 1 hour. Specific information about the income and earnings questions is not stated.

Psychometrics/Data Quality

Because the first data release is not until fall 2003, the psychometric information for the ECLS-B is unavailable at this time.

Languages Available

The interviews described in this options document are available in English.

Items Included

The interviews can be viewed at the ECLS Web site at http://nces.ed.gov/ecls/

ECLS-B Non-resident Father Questionnaire

Q21. How much per month are you supposed to pay for the child's support?

Q22. How much did you pay for the child's support last month?

Q29. During the past week, did you work at a job or business for pay?

Q30. Were you on leave or vacation from a job or business?

Q31. About how many total hours per week do you usually work for pay, counting all jobs?

Q32. If you do not currently have a job or business, have you been actively looking for work in the past 4 weeks?

Q33. What have you been doing in the past 4 weeks to find work?

Mark (X) all that apply

Checked with public employment agency
Checked with private employment agency
Checked with employer directly/sent resume
Checked with friends or relatives
Placed or answered ads/sent resume
Read want-ads
Something else? Please specify
_____

Q34. What were you doing most of last week? Would you say…
Mark (X) one

Keeping house or caring for children,
Going to school,
Retired,
Unable to work, or
Something else? Please specify
_____

Q35. Could you have taken a job last week if one had been offered?

The last questions are about your current living arrangements and household income.

Q37. How many other people lived with you last month?
Please do not count yourself.

|___|___| number of other people

Q38. In studies like this, households are sometimes grouped according to income. What was the total income of all persons in your household over the past year, including salaries or other earnings, interest, retirement, and so on for all household members? Was it . . .
Please mark (X) one

$5,000 or less,
$5,001 to $10,000,
$10,001 to $15,000,
$15,001 to $20,000,
$20,001 to $25,000,
$25,001 to $30,000,
$30,001 to $35,000,
$35,001 to $40,000,
$40,001 to $50,000,
$50,001 to $75,000,
$75,001 to $100,000,
$100,001 to $200,000, or
$200,001 or more?

Q39. What was your total household income last year, to the nearest thousand?
$ _____ TOTAL HOUSEHOLD INCOME

ECLS-B Resident Father Self-Administered Survey

During the past week, did you work at a job or business for pay?

Were you on leave or vacation from a job or business?

How many jobs do you have now?

About how many total hours per week do you usually work for pay, counting all jobs?

Counting all jobs, about how much do you earn before taxes and other deductions?
$ _____

Is this amount…
Mark (X) one

Per hour
Per day
Per week
Per bi-weekly (every 2 weeks)
Per month
Per year
Other (please specify)
_____

Q51. Are you eligible for the following benefits through any of your current jobs?

Medical or hospital insurance?
Sick leave with full pay?
Child care assistance?
Flexible hours or flex-time?
A dental plan?

Q52. Which of the following best describes the hours you usually work at your main job?
Mark (X) one

A regular daytime shift - any time between 6 A.M. and 6 P.M.
A regular evening shift - any time between 2 P.M. and Midnight
A regular night shift - any time between 9 P.M. and 8 A.M.
A rotating shift – one that changes periodically from days to evenings or night
A split shift – one consisting of two distinct periods each day
Some other schedule (please specify)
_____

NOTE: If you worked last week at a job or business for pay or if you were on leave or vacation from a job or business, please check here and skip to Q58.

Q54. If you do not currently have a job or business, have you been actively looking for work in the past 4 weeks?

Q55. What have you been doing in the past 4 weeks to find work?
Mark (X) all that apply

Checked with public employment agency
Checked with private employment agency
Checked with employer directly/sent resume
Checked with friends or relatives
Placed or answered ads/sent resume
Read want-ads
Something else (please specify)
_____

Q56. What were you doing most of last week? Would you say…
Mark (X) one

Keeping house or caring for children
Going to school
Retired
Unable to work
Something else (please specify)
_____

Q57. Could you have taken a job last week if one had been offered?

Q59. Are you currently participating in a job-training or on-the-job-training program?

Q60. About how many hours a week do you spend in that program?

PARENT INTERVIEW

Note: Because the parent interview is substantially longer than the self-administered questionnaires, only representative questions from the parent interview are included below. For the complete interview, please visit the ECLS Web site at http://nces.ed.gov/ecls/

During the past week, did you work at a job or business for pay?

Were you on leave or vacation from a job or business?

How many jobs do you have now?

About how many total hours per week do you usually work for pay [counting all jobs]?

[Counting all jobs, about/About] how much do you currently earn before taxes and other deductions?

Are you eligible for the following benefits through [any of] your current [job/jobs]? How about…

Medical or hospital insurance?
Sick leave with full pay?
Child care assistance?
Flexible hours or flex-time?
A dental plan?

References and Source Documents

The ECLS-B parent interview is available at the ECLS Web site http://nces.ed.gov/ecls/.

The User Guides and Codebooks will not be released until fall 2003.

Across Disciplines & Across Methods: A Picture of Young Children's Development
Presented at the American Educational Research Association (AERA) Conference, New Orleans, LA, April 24–28, 2000

Several other papers are also available on the ECLS Web site:
Measuring Father Involvement In Young Children's Lives: Recommendations for a Fatherhood Module for the ECLS-B
NCES Number: 200102 Release Date: April 17, 2001

A Birth Cohort Study: Conceptual and Design Considerations and Rationale
NCES Number: 199901 Release Date: February 16, 1999

INCOME AND EARNINGS

NATIONAL HOUSEHOLD EDUCATION SURVEY

Measure: Income and Earnings items from the National Household Education Survey questionnaires

Note: The National Household Education Survey (NHES) conducts surveys on different topics each year. The surveys all contain the same questions about household income as part of the background information, described below.

Source

"The National Household Education Surveys Program (NHES) is a data collection system of the National Center for Education Statistics (NCES) that is designed to address a wide range of education-related issues. It provides descriptive data on the educational activities of the U.S. population and offers policymakers, researchers, and educators a variety of statistics on the condition of education in the U.S.

Although the primary purpose of the NHES is to conduct repeated measurements of the same phenomena at different points in time, one-time surveys on topics of interest to the Department of Education have also been fielded. The 1993 School Safety and Discipline and the 1996 Household and Library Use surveys were one-time surveys in the NHES." (http://nces.ed.gov/nhes/)

The NHES is funded and conducted by NCES and is carried out by Westat. The surveys completed with information pertaining to income and earnings in various years are as follows:

Adult Education: 1991, 1995, 1999, 2001, 2003
Before- and After-School Programs and Activities: 1999, 2001
Civic Involvement: 1996, 1999
Early Childhood Program Participation: 1991, 1995, 1999, 2001
Parent and Family Involvement in Education: 1996, 1999, 2003
School Readiness: 1993, 1999
School Safety and Discipline: 1993

Population Assessed

The NHES is designed to survey a representative sample of the noninstitutionalized civilian people in the United States. A representative sample of between 45,000 and 60,000 households are sampled in the original screening. The original screening helps test which households are appropriate for the surveys being conducted, and multiple surveys are given to households whenever possible to minimize costs. Minorities are oversampled in all surveys in an attempt to increase the reliability of the estimates produced for ethnic and racial groups. Table 1 describes the topical modules, targeted population, and reporter for each survey.

Table 1. Description of Topical Modules, Targeted Population, and Reporter for NHES Surveys

Topical Modules	Targeted Population	Reporter
Adult Education	civilian adults ages 16 and over not enrolled in elementary or secondary school at time of interview and not on active duty in the military	adult
Before- and After-School Programs and Activities	children age 10 and younger	most knowledgeable adult
Civic Involvement	children in grades 6–12 and their parents and civilian adults age 18 and over	youth and parent
Early Childhood Program Participation	children age 10 and younger	most knowledgeable parent or guardian
Parent and Family Involvement in Education	children ages 3 through 12th grade	most knowledgeable parent or guardian, some questions asked of both parents and youth, some of just youth
School Readiness	children ages 3 through 7 and children ages 8 or 9 still in second grade or below	most knowledgeable parent
School Safety and Discipline	parents/guardians of children in 3rd through 12th grade and children in 6th through 12th grade	parents and/or youth

Periodicity

Previous NHES surveys were conducted in the springs of 1991, 1993, 1995, 1996, 1999, 2001, and 2003. Each year the survey includes two or more surveys covering different topics. The most recent survey, in 2003, consists of the Adult Education for Work-Related Reasons and Parent and Family Involvement in Education surveys. The 2005 survey, which is in the planning stages, will consist of three surveys: Adult Education and Lifelong Learning, Early Childhood Program Participation, and Before- and After-School Programs and Activities. Future surveys will also include topics studies in previous surveys.

Components

Although the topics for the surveys vary, several items about general household characteristics, including income and earnings, are always included. One question addresses the total household income, while supplemental questions address Temporary Assistance to Needy Families (TANF), WIC, and child care subsidies. Expenditures and other reductions, such as taxes, are not addressed. The respondents are asked if they have received income such as TANF or WIC at any time over the past 3 years and over the past 12 months specifically.

Procedures for Administration

The NHES is a one-on-one telephone-administered survey. The survey is usually conducted with the most knowledgeable adult in the household. The data are collected using computer-assisted telephone interviewing procedures (CATI). The surveys are designed to take 20 minutes or less.

Psychometrics/Data Quality

"As in most surveys, the responses to some data items are not obtained for all interviews. There are numerous reasons for item nonresponse. Some respondents do not know the answer for the item or do not wish to respond for other reasons. Some item nonresponse arises when an interview is interrupted and not continued later, leaving items at the end of the interview blank. Item nonresponse may also be encountered because responses provided by the respondent are not internally consistent, and this inconsistency is not discovered until after the interview is completed. In these cases, the items that are not internally consistent were set to missing.

For most of the data items collected in the NHES, the item response rate was very high. In the NHES:91, missing data were imputed for those variables required for weighting or contributing to the derived variables. In the NHES:93, NHES:95, and NHES:96, all of the data items with missing data on the file were imputed. Thus, for the NHES:93, NHES:95, and NHES:96 the only missing values remaining are those that indicate legitimate skips. The imputations were done for two reasons. First, certain variables were used in developing the national estimates and complete responses were needed for this purpose.

These included the variables used for ranking and for developing sampling weights. Second, some data items were expected to be analytical variables in many of the publications from the surveys and complete item responses helped to improve these presentations" (http://nces.ed.gov/pubs97/97561.pdf).

Because of the steps taken in the design on the NHES and the household weightings and oversampling, the data from the NHES can be generalized to the civilian, noninstitutionalized population of the United States.

Languages Available

The CATI system contains both English and Spanish versions of the instruments. If a bilingual interviewer encounters a Spanish speaker, the interview is immediately conducted in

Spanish. If the interviewer is not bilingual or encounters a language other than Spanish, the interviewer codes the case as "language other than Spanish" and another bilingual interviewer is assigned to the case. If the interviewer cannot complete the interview because of language differences, it is finalized as "language problem."

Items Included

Links to the questionnaires are available at http://nces.ed.gov/nhes/questionnaires.asp.

See the Web site to see the skip patterns and the questions in the contexts of the larger questionnaires.

Household Characteristics

The following questions are asked only once per household.

These last few questions are about your household.

Do you…

Own your home
Rent your home, or
Have some other arrangement?

In the past 3 years, that is, since [DATE], has your family received benefits from Temporary Assistance to Needy Families or TANF, AFDC, or your state welfare program?

Are you currently receiving benefits from TANF, AFDC, or your state welfare program?

What month and year did you stop receiving benefits from your state welfare program or Temporary Assistance to Needy Families (TANF)?

While you were receiving welfare benefits, did you receive money from the state government or welfare agency to help you pay for [child/before- or after-school] care costs [for any child]?

At any time since [MONTH, YEAR] have you received funds from the state government or welfare agency to help you pay for [child/before- or after-school] care costs [for any child]?

Is a state government or welfare agency currently helping you pay for any [child/before- or after-school] care costs [for any child]?

In the past 12 months, has your family received benefits from any of the following programs? How about...

Women, Infants, and Children, or WIC?
Food Stamps?
Medicaid?
Child Health Insurance Program or CHIP?

During the past week, did [you/[CHILD]'s [father/stepfather/foster father; mother/stepmother/foster mother]] work at a job for pay or income?

[Were you/Was he] on leave or vacation from a job during the past week?

About how many total hours per week (do you/does he) usually work for pay or income, counting all jobs?

[Have you/Has he] been actively looking for work in the past 4 weeks?

What [have you/has he] been doing in the past 4 weeks to find work?

Checked with public employment agency
Checked with private employment agency
Checked with employer directly or sent resume
Checked with friends or relatives
Placed or answered ads/sent resume
Read want ads
Something else
Specify

What (were you/was he) doing most of last week? Would you say...

Keeping house or caring for children
Going to school
Retired
Unable to work, or
Something else
What was that?

In studies like this, households are sometimes grouped according to income. What was the total income of all persons in your household over the past year, including salaries or other earnings, interest, retirement, and so on for all household members?

Was it...

$25,000 or less, or
More than $25,000?

Was it...

$5,000 or less
$5,001 to $10,000
$10,001 to $15,000
$15,001 to $20,000, or
$20,001 to $25,000?
$25,001 to $30,000
$30,001 to $35,000
$35,001 to $40,000

$40,001 to $50,000
$50,001 to $75,000, or
Over $75,000?

What was your total household income last year, to the nearest thousand?

References and Source Documents

The surveys are available at the NHES Web site http://nces.ed.gov/nhes/questionnaires.asp.

Codebooks, Data Products, User's Guides, and Reports can all be found on the NCES Web site at http://nces.ed.gov/pubsearch/getpubcats.asp?sid=004.

U.S. Department of Education. (1997, May). *National Household Education Survey: An overview of the National Household Education Survey: 1991, 1993, 1995, and 1996* (technical report). Washington, DC: Author. Available at http://nces.ed.gov/pubs97/97448.pdf

INCOME AND EARNINGS

CURRENT POPULATION SURVEY

Measure: Current Population Survey questions about earnings in Basic Monthly Survey and about income and earnings in the Annual Social and Economic Supplement

Source

The Current Population Survey (CPS) is co-sponsored by the Bureau of Labor Statistics (BLS) and the U.S. Census Bureau. The Census Bureau administers the survey. The forerunner for the basic CPS, the Sample Survey of Unemployment, had been initially developed by the Work Projects Administration in the late 1930s, with a first administration in 1940; the Census Bureau assumed responsibility in 1942. The origins of an annual income supplement date from 1948. In 2003, this supplement changed its name from the Annual Demographic Survey to the Annual Social and Economic Supplement (ASEC).

The CPS basic monthly survey is also used as a section in the youth questionnaire of Rounds 1 and 4 of the NLSY97.

Population Assessed

"The CPS is the primary source of information on the labor force characteristics of the U.S. population. The sample is scientifically selected to represent the civilian noninstitutional population. Respondents are interviewed to obtain information about the employment status of each member of the household 15 years of age and older. However, published data focus on those ages 16 and over. The sample provides estimates for the nation as a whole and serves as part of model-based estimates for individual states and other geographic areas" (http://www.bls.census.gov/cps/bovrvw1.htm). The basic monthly survey does not include members of the armed forces, but the ASEC collects data for military personnel if they are living with at least one civilian adult. Earnings questions on the basic CPS are asked to employed wage and salary workers.

Because the housing unit is the sampling unit, all people 15 and older currently living in the housing unit are surveyed in each month the housing unit is in the sample (see Periodicity), even if they are new to the housing unit. People who move out of the housing unit are no longer followed; if the original residents of a housing unit move out while that unit is still in rotation, the new residents of the unit will be surveyed in subsequent months instead.

The basic CPS consists of a sample of about 60,000 occupied housing units and all eligible residents within them. The ASEC surveys the 60,000 occupied housing units scheduled to receive the monthly survey in March as well as two additional groups of people: 1) 4,500 Hispanic households identified the previous November (so as to improve Hispanic estimates of ASEC constructs) and 2) 34,500 households who form what is known as the State Children's Health Insurance Program sample expansion. The latter expansion, designed to allow the ASEC to better measure the number of children in each state without health insurance coverage, involves oversampling non-Hispanic non-White households, non-Hispanic White households with children

younger than 19, and households in states whose estimates of children's health insurance coverage were the most unreliable. In total, then, the ASEC sample includes about 99,000 households. But since many of the 39,000 additional housing units are found to be permanently ineligible (Type C) or temporarily ineligible (Type B) or do not complete the basic CPS for that month, the actual number of eligible households added for the ASEC is only about 21,000. (The sample size of 60,000 for the basic CPS also excludes Type B and C households.)

Additional weighting is performed so that estimates for households and families, as well as persons can be made (http://www.bls.census.gov/cps/ads/adsdes.htm).

Periodicity

Respondents to the CPS are surveyed eight times: two periods of four consecutive months one calendar year apart. (There are thus eight months between the fourth and fifth survey of each household.) Questions on earnings are asked in only the fourth and eighth (final) month that a housing unit is in the sample, in what are known as the outgoing rotation groups. Questions in the ASEC are asked once a year, primarily in March, although certain households in the expanded sample are interviewed in February or April. Administration of the basic CPS and ASEC according to this regular schedule is ongoing.

Components

The Basic Monthly Survey does not have formal sections; it does, though, have a distinct earnings component in which the survey inquires about how much the respondent and every eligible member of his or her household earns (including overtime pay, tips, or commissions) in their main job. The survey then clarifies whether a household member is paid at an hourly rate (and, if so, what the amount is). One question is also included about total family income, in which the respondent picks from a listing of income categories.

The Annual Social and Economic Supplement contains numerous sections, each addressing a specific type of cash or non-cash source of income. These sections are Earned Income, Unemployment and Worker's Compensation, Social Security, Social Security for Children, Supplemental Security Income, Supplemental Security Income for Children, Public Assistance, Veterans' Payments, Survivor Benefits, Disability Income, Retirement and Pensions, Interest, Dividends, Property Income, Education Assistance, Child Support and Alimony, Regular Financial Assistance, Other Money Income, Health Insurance, Employer's Pension Plan, School Lunches, Public Housing, Food Stamps, Energy Assistance, and New Welfare Reform. Most of these sections are, in turn, divided into separate subcategories of income. The Unemployment and Worker's Compensation section, for example, asks separately about state or federal unemployment compensation, supplemental unemployment benefits, union unemployment or strike benefits, and worker's compensation (with the respondent identifying the source of worker's compensation). New Welfare Reform looks at a number of kinds of non-cash income, including transportation assistance, child care services or assistance, educational assistance, job-training assistance, and job-search assistance. The survey inquires which household member(s) received each of these sources of income; dollar amounts are then recorded for each source for each household member individually. The goal is to determine income from each source for the year, but the respondent is almost always given the option of presenting dollar amounts in whatever time duration is easiest. Dollar values (or the equivalent) for this income are specifically

asked for all income types except health insurance, employer's pension plan, school lunches, public housing, and new welfare reform. When a section (like Unemployment and Workers Compensation, Veterans Payments, Disability Income, and Retirement and Pensions) inquires about receipt of different types of income in that category, amounts are recorded for each subcategory of income separately.

Procedures for Administration

One person (the household respondent) usually answers for all members of the household; however, telephone call-backs are commonly done to obtain pieces of information known only by someone else in the household. Roughly 50 percent of all labor-force information collected in the basic CPS comes from proxy reporting (BLS and Census, 2002, p. 16–10).

The first and fifth interviews for the basic monthly survey are conducted through computer-assisted personal interviewing (CAPI). Over 90 percent of interviews for months 2–4 and 6–8 are accomplished via computer-assisted telephone interviewing (CATI), with the remainder conducted through CAPI for various reasons. As the February to April timeframe for conducting the ASEC could occur anywhere within the interviewing cycle, the mode of data collection for the ASEC could be either CAPI or CATI. The setting, whether interviews are conducted in person or by telephone, is one on one.

The monthly CPS survey takes an average of 6 minutes per household member. The ASEC averages 25 minutes.

Psychometrics/Data Quality

Item-level nonresponse (covering both refusals and "don't know" answers) is much higher for earnings questions on the basic monthly survey than for any other item series. In 1994, fully 12.44 percent of CPS earnings items had missing data, compared to only 1.54 percent for demographic questions, 1.46 percent for labor force items, and 3.76 percent for industry and occupation questions (BLS and Census, 2002, p. 16–5). Imputation is done on missing income and earnings data in both the basic CPS and the ASEC, albeit by different methods. The basic CPS first uses longitudinal data for nonresponses. If none are available, then the basic monthly survey employs eight allocation matrices. The ASEC uses an algorithm based on a statistical match process that was devised by the staff of the Census Bureau's Housing and Household Economic Statistics Division. For more information on CPS imputation methods, see Chapter 9 (pp. 9-1–9-3) of BLS and Census, 2002.

"The concept of coverage in the survey sampling process is the extent to which the total population that could be selected for sample 'covers' the survey's target population. CPS undercoverage results from missed housing units and missed people within sample households. Overall CPS undercoverage for March 2003 is estimated to be about 11 percent. CPS undercoverage varies with age, sex, and race. Generally, undercoverage is larger for males than for females and larger for Blacks than for Non-Blacks" (U.S. Census Bureau, 2003, p. G-3). Coverage for Blacks is only about 83 percent (BLS and Census, 2002, p. 15–2). For more information on nonsampling errors, including both coverage ratios and nonresponse rates, see Chapter 16 of BLS and Census, 2002.

"Since [earnings] data [from the basic CPS] are collected from only one-fourth of the sample each month, these estimates are averaged over 3 months to improve their reliability, and published quarterly." (BLS and Census, 2002, p. 10–12). For information on weighting data (including earnings data) from outgoing rotation groups, see pages 10-12–10-13 of BLS and Census, 2002.

As a measure of validity, Survey of Income and Program Participation (SIPP) and CPS income data were compared with data obtained from independent sources (often income tax returns and the National Income and Product Accounts). Looking at data from 1984 and 1990, both SIPP and ASEC estimates of aggregate income from various sources were consistently lower than values achieved from independent sources. The exact income types in which SIPP was higher than ASEC varied. For example, SIPP had higher estimated of number of welfare recipients, Supplemental Security Income, Social Security, and Railroad Retirement. ASEC had higher estimates for earnings. For more information (broken out by income source and other variables) on estimate comparisons between CPS, SIPP, and independent sources, see Kalton, Winglee, and Jabine, 1998, pp. 121–147.

Languages Available

The basic CPS can be administered in English and Spanish. The ASEC is only available in English.

Items Included

The questionnaire for the Basic Monthly Survey is available at http://www.bls.census.gov/cps/bqestair.htm. The questionnaire for the 2003 Annual Social and Economic Supplement can be found in Appendix D (D-1 to D-110) of U.S. Census Bureau, 2003, which is available at http://www.census.gov/apsd/techdoc/cps/cpsmar03.pdf. Sample items from the basic CPS and ASEC follow. (The first four basic CPS items, which are simplified to remove information from skip patterns, come from BLS and Census, 2002, p. 6–5. These questions would be asked about every eligible member of the household.) ASEC questions tend to follow a common pattern in that the same basic types of questions are asked to arrive at dollar amounts for most of the various sources of income. The straightforward questions about survivor benefits are a representative sample of the pattern. The first questions listed below are from ASEC's section on earned income, the most important source of income for most people. At the end of the Items Included section are examples of other sources of income inquired about by the ASEC; most of these income sources are asked about in the same basic way as the survivor benefit questions. For a complete list of the general categories of income inquired about separately, see the Components section of this options document.

Basic Monthly Survey

For your (MAIN) job, what is the easiest way for you to report your total earnings BEFORE taxes or other deductions: hourly, weekly, annually, or on some other basis?

Do you usually receive overtime pay, tips, or commissions [at your MAIN job]?

[Including overtime pay, tips and commissions,] What are your usual [weekly, monthly, annual, etc.] earnings on this job, before taxes or other deductions?

Even though you told me it is easier to report your earnings annually, are you PAID AT AN HOURLY RATE on this job?'

I am going to read a list of income categories. Which category represents [your/name of reference person/the total combined income] [total combined income during the past 12 months/of all members of this FAMILY during the past 12 months]? This includes money from jobs, net income from business, farm or rent, pensions, dividends, interest, social security payments and any other money income received [by members of this FAMILY who are 15 years of age or older.]

Less than $5,000
5,000 to 7,499
7,500 to 9,999
10,000 to 12,499
12,500 to 14,999
15,000 to 19,999
20,000 to 24,999
25,000 to 29,999
30,000 to 34,999
35,000 to 39,999
40,000 to 49,999
50,000 to 59,999
60,000 to 74,999
$75,000 or more

ANNUAL SOCIAL AND ECONOMIC SUPPLEMENT

Earned Income

[The first group of questions in the Earned Income section refers to the job at which the household member has worked the longest in 2002; this job's characteristics were described at the end of the previous section (Work Experience).]

From Earned Income Section

Q48a@a. How much did (name/you) earn from this employer before taxes and other deductions during 2002?

[READ IF NECESSARY]: Is this a weekly, every other week, twice a month, monthly or yearly amount?

Q48a1. For how many [weekly/every other week/twice a month/monthly] pay periods did [name/you] earn [fill from Q48a] from this employer in 2002?

Q48aC2. *** DO NOT READ TO THE RESPONDENT ***

THE ANNUAL RATE APPEARS OUT OF RANGE. THE TOTAL ANNUAL EARNINGS ENTERED IS [AMOUNT]. IS THIS A CORRECT ENTRY?

Q48aV. According to my calculations [name/you] earned [total] dollars altogether from this employer in 2002 before deductions. Does that sound about right?

Q48a2. What is your best estimate of [name's/your] correct total amount of earnings from this employer during 2002 before deductions?

Q48a3. Does this amount include all tips, bonuses, overtime pay or commissions [name/you] may have received from this employer in 2002?

Q48aad. How much did [name/you] earn in tips, bonuses, overtime pay or commissions from this employer in 2002?

Q48b. What were [name's/your] net earnings from this [business/farm] after expenses during 2002?

[IF RESPONSE IS "BROKE EVEN," THEN ENTER 1.]

Q48BL. ENTER AMOUNT OF MONEY LOST IN 2002.

Q48bp. Is this an annual, quarterly, monthly, weekly, or other amount?

Q48b1. *** DO NOT READ TO THE RESPONDENT ***
THE ANNUAL RATE APPEARS OUT OF RANGE. THE TOTAL ANNUAL BUSINESS INCOME ENTERED IS [AMOUNT]. IS THIS A CORRECT ENTRY?

Q48b2. What is your best estimate of [name's/your] ANNUAL net earnings from this business/farm after expenses in 2002?

Q48b2L. What is your best estimate of [name's/your] ANNUAL net LOSS from this business/farm after expenses in 2002?

Q48b3. What were [name's/your] net earnings from this [business/farm] during the FIRST quarter of 2002?

[IF RESPONSE IS "BROKE EVEN," ENTER 1.]

Q48b3L. ENTER AMOUNT OF MONEY LOST IN THE FIRST QUARTER OF 2002.

[These questions are then repeated for the other three quarters of 2002.]

Q48b7. Does this amount include all tips, bonuses, overtime pay or commissions [name/you] may have received in 2002?

Q48bad. How much did [name/you] earn in tips, bonuses, overtime pay or commissions in 2002?

Q49a. Did [name/you] earn money from any other work [you/he/she] did during 2002?

Q49b. How much did [name/you] earn from all other employers before taxes and other deductions during 2002?

READ IF NECESSARY: Is this a weekly, every other week, twice a month, monthly or yearly amount?

Q49B11. For how many [weekly/every other week/twice a month/monthly] pay periods did [name/you] earn [fill from Q49B1] from all other employers in 2002?

Q49B1C. *** DO NOT READ TO THE RESPONDENT ***
THE TOTAL ANNUAL EARNINGS ENTERED FROM ALL OTHER EMPLOYERS IS [AMOUNT]. IS THIS A CORRECT ENTRY?

Q49B1V. According to my calculations [name/you] earned [total] dollars altogether from all other employers in 2002. Does that sound about right?

Q49B12. What is your best estimate of [name's/your] correct total amount of earnings from all other employers during 2002?

Q49B13. Does this amount include all tips, bonuses, overtime pay or commissions [name/you] may have received from all other employers in 2002?

Q49B1A. How much did [name/you] earn in tips, bonuses, overtime pay or commissions from all other employers in 2002?

Q49@b2. How much did [name/you] earn from [his/her/your] own business after expenses?

IF RESPONSE IS "BROKE EVEN," THEN ENTER 1.

FOR AMOUNTS $1,000,000 AND OVER **[EARNED]**, ENTER $999,999.

ENTER ANNUAL AMOUNT ONLY.

Q49@b3. FOR AMOUNTS $10,000 AND OVER **[LOST]**, ENTER $9,999.

ENTER ANNUAL AMOUNT LOST ONLY.

Q49b@4. How much did [name/you] earn from [his/her/your] farm after expenses?

IF RESPONSE IS "BROKE EVEN," THEN ENTER 1.
FOR AMOUNTS $1,000,000 AND OVER **[EARNED]**, ENTER $999,999.

ENTER ANNUAL AMOUNT ONLY.

Q49b@5. FOR AMOUNTS $10,000 AND OVER **[LOST]**, ENTER $9,999.

ENTER ANNUAL AMOUNT LOST ONLY

EXAMPLE OF STRUCTURE OF QUESTIONS

From Survivor Benefits Section

Q58a. Did [you/anyone in this household] receive any survivor benefits in 2002 such as widow's pensions, estates, trusts, insurance annuities, or any other survivor benefits, [other than Social Security/other than VA benefits/other than Social Security or VA benefits]?

Q58b@1. Who received this income?

PROBE: Anyone else?

Q58c@1. What was the source of this income?

ASKING ABOUT: [name] [blank/—CURRENT RESPONDENT]

Company or union survivor pension (include profit sharing)
Federal Government survivor (civil service) pension
U.S. Military retirement survivor pension
State/Local government survivor pension
U.S. Railroad retirement survivor pension
Worker's compensation survivor pension
Black Lung survivor pension
Regular payments from estates or trusts
Regular payments from annuities or paid-up insurance policies
Other or don't know (specify)—enter last

PROBE: Any other reason?

Q58E1p. What is the easiest way for you to tell us [name's/your] [fill from first answer in Q58c@1 or Q58c@s1]; weekly, every other week, twice a month, monthly or yearly?

Q58E1. How much did [name/you] receive [weekly/every other week/twice a month/monthly] in [fill from first answer in Q58c@1 or Q58c@s1] in 2002?

Q58E12. How many [weekly/every other week/twice a month/monthly] payments did [name/you] receive in [fill from first answer in Q58c@1 or Q58c@s1] in 2002?

Q58E1C. *** DO NOT READ TO THE RESPONDENT ***
THE ANNUAL RATE APPEARS OUT OF RANGE. THE TOTAL [FILL FROM FIRST ANSWER IN Q58c@1 or Q58c@s1] PAYMENTS RECEIVED IN 2002 WAS [AMOUNT]. IS THIS A CORRECT ENTRY?

Yes
No

Q58E13. According to my calculations [name/you] received [total] dollars altogether from [fill from first answer in Q58c@1 or Q58c@s1] in 2002. Does that sound about right?

Q58E14. What is your best estimate of the correct amount [name\you] received from [fill from first answer in Q58c@1 or Q58c@s1] during 2002?

Q58E2p. What is the easiest way for you to tell us [name's/your] [fill from second answer in Q58c@2 or Q58c@s1]; weekly, every other week, twice a month, monthly or yearly?

[These questions then repeat for additional types of survivor benefits received from anyone in the household.]

EXAMPLES OF OTHER TYPES OF INCOME ASKED ABOUT

From Unemployment and Workers Compensation Section

Q51A@1. At any time during 2002 did [names/you] receive any State or Federal unemployment compensation?

From Social Security Section

Q56a. During 2002 did [anyone in this household/you] receive any Social Security payments from the U.S. Government?

Q56d3. Is this [amount from Q56d/amount from Q56d1] before or after the [50.00/54.00] per month Medicare deduction?

Q56d4. Was the cost of living increase the only change which occurred in monthly **[Social Security]** payments?

SSR@1. What were the reasons [name/you] [was/were] getting Social Security in 2002?

MARK ALL THAT APPLY.

PROBE: Any other reason?

From Supplemental Security Income (SSI) Section

Q57a. During 2002 did [anyone in this household receive:/you receive:]

Any SSI payments, that is, Supplemental Security Income?

Note: SSI are assistance payments to low-income aged, blind and disabled persons and come from state or local welfare offices, the federal government, or both.

From Public Assistance Section

Q59A88. At any time during 2002, even for one month, did [anyone in this household/you] receive any CASH assistance from a state or county welfare program such as [State Program Name]?

> INCLUDE CASH PAYMENTS FROM: WELFARE OR WELFARE TO WORK PROGRAMS, (STATE PROGRAM NAMES AND/OR ACRONYMS), TEMPORARY ASSISTANCE FOR NEEDY FAMILIES PROGRAM (TANF), AID TO FAMILIES WITH DEPENDENT CHILDREN (AFDC), GENERAL ASSISTANCE/EMERGENCY ASSISTANCE PROGRAM, DIVERSION PAYMENTS, REFUGEE CASH AND MEDICAL ASSISTANCE PROGRAM, GENERAL ASSISTANCE FROM BUREAU OF INDIAN AFFAIRS OR TRIBAL ADMINISTERED GENERAL ASSISTANCE.
>
> DO NOT INCLUDE FOOD STAMPS, SSI, ENERGY ASSISTANCE, WIC, SCHOOL MEALS, OR TRANSPORTATION, CHILD CARE, RENTAL OR EDUCATION ASSISTANCE.

From Interest Section

Q63A@1. At anytime during 2002, did [you/anyone in this household]: Have money in any kind of money market fund, interest earning checking account, or savings account?

Q63A@2. Have any savings bonds?

Q63A@3. Have any treasury notes, IRAs, certificates of deposit, or any other investments which pay interest?

Q63c. How much did [name/you] receive in interest from these sources during 2002, including even small amounts reinvested or credited to accounts?

> ONLY INCLUDE INTEREST RECEIVED FROM U. S. SAVINGS BONDS CASHED DURING 2002
>
> SEPARATE AMOUNTS FOR JOINT OWNERSHIP

From Regular Financial Assistance Section

Q72a. blank/During 2002 did [anyone in this household receive:/you receive:] [Any other/Any] regular financial assistance from friends or relatives not living in this household?

From Other Money Income Section

DO NOT INCLUDE LOANS

Q73A1. During 2002, did [anyone in this household/you] receive income from hobbies, home businesses, farms, or business interests not already covered?

Q73A2. During 2002, did [anyone in this household/you] receive income from any severance pay, welfare, emergency assistance, other short-term cash assistance, foster child care payments, or any other money income not already covered?

From Health Insurance Section

SHI2. At any time in 2002, [were you/was anyone in this household] covered by a health plan provided through [their/your] current or former employer or union? [MILITARY HEALTH INSURANCE WILL BE COVERED LATER IN ANOTHER QUESTION.]

From School Lunches Section

Q83. During 2002 which of the children in this household received free or reduced price lunches because they qualified for the Federal School Lunch program?

From Food Stamps Section

Q90. What is the [monthly] value of food stamps received in 2002?

From New Welfare Reform Section

SWR1. At any time during 2002, did [you/anyone in this household] receive any of the following types of assistance from a state or county welfare agency or a case manager:

Transportation assistance to help [you/them] get to work or school or training, such as gas vouchers, bus passes, or help repairing a car?

From Additional Questions at the End of the Survey

Q96. Now, for the last few questions, we would like to get some CURRENT information. You said earlier that [no one in your household/someone in your household/you] received cash assistance from a state or county welfare program in 2002. WITHIN THE LAST 30 DAYS, did [anyone in this household/you] receive any CASH assistance from a state or county welfare program such as [State Program Name]?

References and Source Documents

Bureau of Labor Statistics & U.S. Census Bureau. (2002). *Current Population Survey: Design and Methodology.* Technical Paper 63RV. Washington, DC: Authors. URL: http://www.census.gov/prod/2002pubs/tp63rv.pdf

Kalton, G., Winglee, M., and Jabine, T. (1998). *SIPP quality profile, 3rd ed.* SIPP Working Paper 230. Washington, DC: U.S. Census Bureau. URL: http://www.sipp.census.gov/sipp/workpapr/wp230.pdf

U.S. Census Bureau. (2003). *Current Population Survey, 2003 Annual Social and Economic (ASEC) Supplement.* Technical documentation. Washington, DC: Author. URL: http://www.census.gov/apsd/techdoc/cps/cpsmar03.pdf

A data dictionary for the ASEC (updated as of 2001) is available for household, family, and person variables; the dictionary, located at http://www.bls.census.gov/cps/ads/sdatadic.htm, provides numeric codes for possible question responses and frequency distributions from the March 1995 survey.

Two different data dictionaries for the basic monthly survey are available: one that provides variable descriptions by topic at http://www.bls.census.gov/cps/bdatadic.htm and one for the public use file that lists variables in a variety of ways at http://www.bls.census.gov/cps/basic/datadict/199801/bdatdict.htm. Neither data dictionary for the basic CPS includes frequency distributions.

INCOME AND EARNINGS

SURVEY OF INCOME AND PROGRAM PARTICIPATION

Measure: Survey of SIPP questions about income and earnings in the core questionnaire of the Survey of Income and Program Participation

Source

The Survey of Income and Program Participation (SIPP) is sponsored by the U.S. Census Bureau and administered by the Demographics Survey Division of the U.S. Census Bureau. The Department of Health, Education, and Welfare developed the forerunner to the SIPP, the Income Survey Development Program, and participated in early design work for the SIPP itself. The ISDP lasted from 1977 to 1981; the first interviewing for the SIPP was done in October 1983 for the 1984 panel.

In addition to the core questionnaire, many of the SIPP topical modules are also relevant to the income and earnings constructs. SIPP has financial topical modules for Annual Income and Retirement Accounts, Assets and Liabilities, Real Estate Property and Vehicles, Recipiency History, Retirement Expectations and Pension Plan Coverage, School Enrollment and Financing, Selected Financial Assets, Shelter Costs and Energy Usage, Support for Nonhousehold Members, and Taxes. Welfare reform topical modules include Eligibility for and Recipiency of Public Assistance, Benefits, Job Search and Training Assistance, Job Subsidies, Transportation Assistance, Health Care, Food Assistance, Electronic Transfer of Benefits, and Denial of Benefits. Descriptions of these topical modules are on pp. 3-6–3-16 of U.S. Census Bureau, 2001 or at http://www.sipp.census.gov/sipp/top_mod/topical.html. The questionnaires for these topical modules are available at http://www.sipp.census.gov/sipp/top_mod/1996/top_mod_sched.html for the 1996 SIPP panel and http://www.sipp.census.gov/sipp/top_mod/2001/top_mod_sched.html for the waves so far completed in the 2001 panel.

Of the SIPP topical modules, the one most important for measuring net income is the Taxes module. The Taxes topical module "includes questions about exemptions, calendar-year wages and salaries, income from businesses, itemized deductions, and earned income credits. Respondents are asked about federal and state income tax liabilities, exemptions, amounts owed for federal and property taxes, and amounts from a variety of tax schedules. To help ensure accuracy, interviewers encourage respondents to refer to income tax returns and other records. Historically, this module has been administered at least twice per panel, generally in the spring when respondents were likely to be preparing their tax returns for the prior year" (U.S. Census Bureau, 2001, p. 3-14). The Taxes questionnaire for Wave 7 (February 2003–May 2003) of the 2001 SIPP panel is available at http://www.sipp.census.gov/sipp/top_mod/2001/quests/wave7/taxes.html.

Population Assessed

The survey design is a continuous series of national panels; the sample size ranges from approximately 14,000 to 36,700 interviewed households. The time of each panel ranges from 21/2 years to 4 years. The SIPP sample is a multistage-stratified sample of the U.S. civilian

noninstitutionalized population. For the 1984–1993 panels, a panel of households was introduced each year in February. A 4-year panel was introduced in April 1996; a 2000 panel, in February 2000 for 2 waves; a 3-year 2001, in February 2001. The 2001 panel consists of 36,700 sample households, which will be interviewed nine times from February 2001 through January 2004. The 2001 panel SIPP interviews are conducted using a computer-assisted interview on a laptop computer (http://www.sipp.census.gov/sipp/overview.html).

Unlike the CPS, people living in military barracks are excluded from the sample. A survey is completed in Wave I for each member of the household 15 or older; in succeeding waves, each of these original sample members is surveyed as well as all current residents 15 and older of the households in which original sample members are currently living.

Low-income housing units were oversampled in the 1990, 1996, and 2001 panels.

Coverage ratios for the SIPP are comparable to those of the CPS. As in the CPS, though almost all demographic categories are likely to be underrepresented, Blacks (especially young Black males) are disproportionately more likely to be excluded from the population eligible for sampling (Kalton, Winglee, and Jabine, 1998, p. 17).

Periodicity

"A 4-year panel was introduced in April 1996. A 2000 panel was introduced in February 2000 for 2 waves. A 3-year 2001 panel was introduced in February 2001. . . . The 2001 panel consists of 36,700 sample units (households). Households will be interviewed 9 times from February 2001 through January 2004." These nine interviewing periods are known as waves. "The survey uses a 4-month recall period, with approximately the same number of interviews being conducted in each month of the 4-month period for each wave" (http://www.sipp.census.gov/sipp/overview.html).

Components

In the SIPP, questions about whether recipients received various types of income is generally in a section separate from the section about how the amount of those types of income is determined. Section D: Labor Force—Part 1 asks about whether (and for which weeks) the respondent in the last 4 months worked at a regular job, business, or odd job or received workers' compensation or unemployment payments. The survey also inquires about regular hourly pay rates for regular jobs. Section E: Labor Force—Part 2 inquires specifically about the amount of the earnings received in each of the past 4 months (each month asked about separately, beginning with the most recent) for the respondents' jobs (up to two), as well as the earnings in each of the past 4 months for businesses (up to two) or moonlighting (i.e., all other jobs or businesses). Probing is constantly undertaken to ensure that all payments are included and that the values cover gross pay; respondents are prompted to refer to pay stubs or other records when needed. Section F: General Income—Part 1 asks about whether respondent received any income in the past 4 months from a variety of unearned sources (but not from assets), namely severance pay, proceeds from a pension or retirement plan, VA payments, social security payments, social security payments for children, Supplemental Security Income (SSI), SSI for children, state or local SSI, disability income, retirement income, regular retirement income for a paid-up life insurance policy or other annuities, survivor benefits, foster child care payments, child support

payments, alimony, food stamps, Women, Infants, and Children (WIC) payments, public assistance, general assistance, energy assistance, transportation assistance, child care assistance, short-term or emergency assistance, other cash or assistance from a welfare office, pass-through child support payments, and all other sources of income. In the case of disability income, retirement income, survivor benefits, and other sources of income, the respondent was asked to identify which type(s) of that income he/she received. Section G: General Income—Part 2A asks questions about the circumstances under which veterans payments, disability payments, public assistance, food stamps, and WIC were received, but the only income sources for which it specifically inquires about dollar amounts (for each of the past 4 months, again beginning with the most recent) is public assistance and pass-through child support payments. Section H: General Income—Part 2B asks about the amount of each payment received in each of the past four months for the other income sources covered in Section F, including the separate categories of disability income, retirement income, survivor benefits, and other sources of income identified by the respondent. Section I: Assets asks about income received from the following assets: savings bonds, IRA or Keogh accounts, 401K or thrift plans, interest earning checking accounts, savings accounts, money market deposit accounts, CDs, mutual funds, stock, municipal or corporate bonds, U.S. government securities, mortgages, rental property, royalties, and other financial investments. These questions typically ask about total amount received over the past 4 months as a whole, although the respondent is sometimes given the option of reporting a yearly amount if necessary. Also, income amounts are reported separately for assets owned in the respondent's own name and jointly with his/her spouse. Throughout these sections, the respondent is encouraged to look at records if necessary, and the interviewer records if the respondent did so.

Other sections of the SIPP also covered various types of non-cash income. Section B: Coverage inquires about public housing and housing assistance. Section J: Health Insurance asks about health insurance coverage. Section K: Programs asks about non-cash income received from several government programs, specifically energy assistance, free or reduced-price school lunch, and free or reduced-price school breakfast. The amount the respondent pays in monthly rent is also recorded. Section L: Education asks the respondent to specify which types of financial assistance for education he/she has received.

Procedures for Administration

"All household members 15 years old and over are interviewed by self-response, if possible; proxy response is permitted when household members are not available for interviewing" (http://www.sipp.census.gov/sipp/overview.html). Proxy interviewing occurs more often than the Census Bureau would like. In general, though, only 35 percent of interviews for each wave occur by proxy (Kalton, Winglee, & Jabine, 1998, p. 37).

"The preferred mode of data collection for 1984–1991 was face-to-face interviewing and most interviews conducted during this period used this method. In February 1992, SIPP switched to maximum telephone interviewing to reduce cost. The interviews for Waves 1 and 2 were conducted by face-to-face interviews as before, but interviews at subsequent waves were conducted by telephone to the extent possible. [Beginning with] the 1996 Panel, computer-assisted personal interviewing (CAPI) was used for Waves 1 and 2. For subsequent waves, one personal visit is planned each year; the remaining interviews will be conducted through computer-assisted telephone interviews (CATI)" (Kalton, Winglee, & Jabine, 1998, p. 9).

The time needed to assess varies by wave and especially by number of eligible household members. For the 1993 panel, the median interview duration for a household with two persons 15 or over varied by wave between 30 and 45 minutes. Having three eligible adults would increase administration time to between 42 and 59 minutes. These median times include the time for topical modules.

Psychometrics/Data Quality

"The rate of sample loss in SIPP generally declines from one wave to the next. The total number of sample members lost, also known as total sample attrition, always increases over time. Wave 1 nonresponse rates for SIPP have been about 7.7 percent. There is usually a sizable sample loss at Wave 2, with a lower rate of additional attrition occurring at each subsequent wave. Prior to the 1992 Panel, SIPP lost roughly 20 percent of the original sample by the panel's completion. The sample loss rate for the 1996 Panel was 35.5 percent by the end of the 12th, or final, wave" (U.S. Census Bureau, 2001, pp. 2-17–2-18).

Information on item nonresponse is available for the SIPP for many of the different types of income categories. The first table compares cross-sectional item nonresponse for panels from 1984 to 1993 among various types of income and other subjects measured by the SIPP core questionnaire. The second table looks at longitudinal item nonresponse for various income components for the 1984 panel. In general, item nonresponse was much higher for income and earnings questions than for other questions. Even if respondents could identify whether they received a particular source of income, they were often unable or unwilling to identify the amount of money derived from that source. But since respondents would sometimes report income amounts for some waves of the panel but not others, certain missing data can be imputed. Furthermore, data from the mid-1980s indicates that SIPP has a better response rate for income and earnings items than does CPS. For more information on item nonresponse in the SIPP, with a focus on income and earnings questions, see Kalton, Winglee, and Jabine, 1998, pp. 51–59.

Table 5.6 Nonresponse Rates for Selected SIPP Core Items by Panel

Question	1984	1985	1986	1992	1993[3]
Labor force activity:					
Identification of weeks absent without pay (item 4)	0.1	(Z)	0.1	0.3	0.2
Identification of weeks with a job or business (item 6a)	2.2	2.0	2.5	0.2	0.1
Presence of weeks looking or on layoff (item 7a)	1.0	1.3	2.0	0.1	0.1
Identification of weeks looking or on layoff (item 7b)	3.2	2.4	2.9	0.2	0.1
Income recipiency or asset ownership:					
Social Security	0.6	0.6	1.0	0.1	0.1
Unemployment compensation	0.1	0.1	0.2	0.2	0.1
Food Stamps	0.3	0.4	0.5	0.6	0.6
Savings accounts	1.0	0.9	0.9	0.8	1.0
Shares of stock	1.3	1.4	1.5	1.3	1.5
Income amounts:					
Hourly wage rate	9.5	10.4	10.8	7.2	7.7
Monthly wage and salary	6.2	7.2	8.4	4.0	4.2
Self-employment salary or draw	14.0	16.9	14.6	12.4	13.5
Social Security	8.8	9.5	10.0	14.0	14.7
Unemployment compensation	9.1	9.7	9.9	9.2	10.7
Food Stamps	3.6	4.1	4.4	6.4	5.4
Interest[1]	34.6(24.2)	29.8(28.9)	30.8(30.2)	10.3	10.2
Dividends[2]	9.4(30.7)	10.5(30.5)	9.4(29.1)	7.5	7.6

Z = Less than .05 percent.
[1]The figure in parentheses is the nonresponse rate on the balance in the account. This question was asked of the 34.6 percent that did not provide an estimate of the amount of interest received.
[2]The figure in parentheses is the nonresponse rate for dividends credited to accounts.
[3]The rates shown for labor force activity items in 1992 and 1993 refer to Wave 1 only.

Source: Rates for the 1984–86 Panels adapted from Bowie (1986; Kalton, Winglee, and Jabine, 1998, p. 54).

Table 5.7 Longitudinal Item Nonresponse Rates for Amounts of Selected Income Types: 1984 SIPP Panel 12-month Summary[1] and 32-month Summary[2]

Income type	All amounts reported	One or more amounts not reported	One or more but not all amounts not reported	No amounts reported
12 months				
Hourly wage rate	83.0	17.0	9.0	8.0
Social Security	82.8	17.2	13.1	4.1
Private pension	78.8	21.8	13.6	8.2
AFDC	91.0	9.0	5.6	3.4
Food Stamps	91.9	8.1	6.2	1.9
Unemployment compensation	87.9	12.1	4.0	8.0
Federal SSI	88.0	12.0	7.6	4.4
32 months				
Social Security	87.7	12.4	8.6	3.8
AFDC	92.1	7.9	4.8	3.1
Food Stamps	92.7	7.2	4.2	3.0
Unemployment compensation	86.6	13.4	4.5	8.9
Federal SSI	90.2	9.8	4.3	5.5

[1]These rates are based on the total number of persons with recipiency in one or more of the 12 months. Also these rates do not reflect imputations made to type Z person noninterviews.

[2]These are rates of missing data based on panel members included in the 1984 SIPP longitudinal file. The rates include imputations due to item nonresponse only. Type Z imputations are not included. Data are adapted from Pennell (1993, Table 4.3).

Sources: Data for the 12-month summary were adapted from Kasprzyk and Herriot (1986), and data for 'the 32-month summary were adapted from Pennell (1993, Table 4-3; Kalton, Winglee, and Jabine, 1998, p. 55).

Missing income and earnings data for the SIPP core questionnaire are imputed in one of several ways for the 1996 and 2001 panels. For certain forms of income (such as retirement and social security), data from a prior wave is forwarded to the current wave. For labor-force earnings and other forms of income (such as public assistance programs), prior-wave reporting is often used as a dimension in a hot deck. If prior-wave reporting is not appropriate or applicable for a given value, SIPP proceeds directly to a hot-deck method. For more information on SIPP imputation procedures, see Chapter 4 (pp. 4-1–4-18) of U.S. Census Bureau, 2001.

As a measure of reliability, reinterviewing was conducted for some households as soon as possible after the initial interview. Difference rates were then calculated based on the results of the reinterviewing. These rates were small between 1984 and 1987, ranging from 2.4 percent to 3.1 percent. However, health insurance and asset questions appeared to have higher difference

rates than job, income, or benefit questions (Kalton, Winglee, and Jabine, 1998, p. 38; for more information on the methodology and results of reinterviewing, see Kalton, Winglee, and Jabine, 1998, pp. 33–34, 38-39).

As a measure of validity, SIPP and CPS income data were compared with data obtained from independent sources (often income tax returns and the National Income and Product Accounts). Looking at data from 1984 and 1990, both SIPP and CPS estimates of aggregate income from various sources were consistently lower than values achieved from independent sources. The exact income types in which SIPP was higher than CPS varied. For example, SIPP had a higher estimated of number of welfare recipients, SSI, social security, and Railroad Retirement. CPS had higher estimates for earnings. For more information (broken out by income source and other variables) on estimate comparisons between CPS, SIPP, and independent sources, see Kalton, Winglee, and Jabine, 1998, pp. 121–147.

Languages Available

The SIPP computer-assisted interview is available in both English and Spanish.

Items Included

The core questionnaire for the 2001 panel (and core and topical questionnaires for the 1993 and 1996 panels) is available at http://www.sipp.census.gov/sipp/questionnaires.html. (Wave 2 core questionnaires are also used in succeeding waves of the panel.) Example items from the 2001 SIPP core questionnaire from Waves 2+ follow. The Wave 2 questionnaire was used because the U.S. Census Bureau reported that it was more comprehensive. (Skip patterns were not included on the online questionnaire.) Note that example items are listed in the order in which they appear in the survey, and thus earnings questions—generally the primary source of income for most people—do not appear first.

From Section B: Coverage

-PUBHSE-

Is this residence in a public housing project, that is, is it owned by a local housing authority?

-GVTRNT-

Is the Federal, State or local government paying part or all of the rent for this residence?

-WRSECT8-

Is this through Section 8 or through some other government program?

From Section D: Labor Force – Part 1

LFINTRO-

These next questions are about your work activities during the last four months, from [Reference Month 1] 1st until today, as shown on the calendar.

SHOW FLASHCARD E

-W2WCYN1-

Between [Reference Month 1] 1st and today, did you receive any money from workers' compensation as a result of any kind of job-related injury or illness from this job or any other job?

Yes
No

-W2UECYN1-

Between [Reference Month 1] 1st and today, did you receive any type of unemployment payments related to this job or any other job?

Yes
No

-W2UECYNTP1-

What type was it?

ENTER (N) FOR NO MORE

Regular
Supplemental
Other, including union benefits

-W2NOPDJB-

Did you do any other work at all that earned some money?

Yes
No

-PAYHR-

(EMPLOYER = [Employer Name])

Are you paid by the hour?

1 Yes
2 No

-PYRAT-

[EMPLOYER = [Employer Name]]

What was your regular hourly pay rate?

$ _____

-PYPER-

[EMPLOYER = [Employer Name]]

How often were you paid?

[READ CATEGORIES IF NECESSARY]

Once a week
Once every 2 weeks
Once a month
Twice a month
Unpaid in a family business or farm
On commission
Some other way

-BIGBUS-

[NOTE TO FR: ANSWERS ARE LIMITED TO THE BUSINESSES DISPLAYED BELOW WHICH WERE OPERATED DURING THE REFERENCE PERIOD.

I recorded that you had [# of] businesses between [Reference Month 1] 1st and the end of [Reference Month 4]. Which 2 of these businesses produced the highest earnings before expenses during this time period?

-GRSSB-

[BUSINESS = [Business Name]]

Do you think the earnings before expenses from your business were $2500 or more over the last 12 months that you owned this business?

Yes
No

-SOMWRK-

During the weeks that you did not have a job or a business, did you do any work at all that earned some money?

Yes
No

From Section E: Labor Force – Part 2

-PYRCV-

The next questions are about the income you received.

The questions ask about your gross income BEFORE any deductions for taxes, health insurance, and so on.

-P1M4-

Each time you were paid by [Employer Name] in [Reference Month 4], how much did you receive BEFORE deductions?

(P) Proceed to enter one or more gross amounts for the month
(C) Calculate - Respondent reports hourly wages and hours worked

ENTER GROSS AMOUNTS RECEIVED IN [Reference Month 4] OR (N) FOR NONE.
(AFTER LAST REPORTED AMOUNT ASK—)
Anything else? Any tips, bonuses, overtime pay, or commissions?

ENTER (N) AFTER LAST REPORTED AMOUNT
(S) Same as last amount entered

$ _____

-FOLLOW4-

Is that the total for the month or the amount of a single payment?

Total for the month
Amount of a single payment

-MOREPAY4-

Please tell me the other payments you received in [Reference Month 4] from [Employer Name].

ENTER (N) FOR NONE OR NO MORE.

-MTOT4VER-

[NOTE TO INTERVIEWER - DO NOT READ]

THE TOTAL AMOUNT REPORTED FOR [Reference Month 4], $[Total], IS UNUSUALLY LARGE.

IF THE AMOUNT IS CORRECT, ENTER P TO PROCEED.
IF THE AMOUNT IS INCORRECT, HIT F1 TO BACK UP AND CORRECT IT.

(P) Proceed

-CALC41-

ENTER PAY RATE AND TOTAL HOURS WORKED AT THAT RATE IN MONTH

PAY RATE: ____ Dollars and ____ Cents
TOTAL HOURS WORKED AT THIS RATE IN THE MONTH: ____

IF NEEDED, ENTER SECOND PAY RATE AND TOTAL HOURS AT THAT RATE IN THE MONTH
(ENTER (N) IF SECOND PAY RATE IS NOT NEEDED)

PAY RATE: ____ Dollars and ____ Cents
TOTAL HOURS WORKED AT THIS RATE IN THE MONTH: ____

-CALC41VR-

That comes to $[Total]. Does that sound about right?

IF CORRECT ENTER P TO PROCEED
IF NOT CORRECT HIT F1 TO BACK UP AND MAKE CORRECTIONS

(P) Proceed

-MORPAY13-

I have recorded that your earnings for [Reference Month 1] are:

Did you receive any other pay in [Reference Month 1] from [Employer Name]?

-TAKEHOME-

Just to be sure—were the amounts you gave me for [Month 1] and [Month 2] and [Month 3] and [Month 4] your take-home pay, or were they your gross pay BEFORE any taxes and other deductions were taken out?

-GETGROSS-

This survey needs to get people's gross income amounts. Do you know your gross pay amounts?

-GETRECS-

Do you have records available, such as pay stubs, that would show the gross amounts?

-GROSSPAYM4-

What were the gross pay amounts in [Reference Month 4]?

-CALLGROS-

If I were to call back later, would you be able to obtain a pay stub or some other record that shows your gross pay amounts?

-CBPY1-

It is very important that we collect information about income amounts that is as complete and accurate as possible. If I were to call back later, would you or someone else be able to provide me with this information?

-BM4-

The next few questions are about your income from: [Business Name]

What was the total amount of income you received from [fill TEMP2++] in the month of [Reference Month 4]?

[ENTER UP TO 5 SEPARATE AMOUNTS FOR THE MONTH]

How much did you receive from [Business Name] in [Reference Month 3]?

And in [Reference Month 2]?

And in [Reference Month 1]?

-PRFTB-

For [Business Name], what is your best estimate of the net profit or loss, that is, the difference between gross receipts and expenses, between [Reference Month 1] 1st and the end of [Reference Month 4]?

-MOONLITE-

You told me that between [reference month 1] and [reference month 4] you had some work in addition to the jobs/businesses whose income we just talked about. Did you receive any income from that additional work from [reference month 1] to [reference month 4]?

-MLM4-

[JOB/BUSINESS = additional work]

What was the total amount of income you received from this work in the month of [Reference Month 4]?

[ENTER UP TO 5 INDIVIDUAL AMOUNTS FOR THE MONTH]

What was it in [Reference Month 3]?

What was it in [Reference Month 2]?

What was it in [Reference Month 1]?

From Section F: General Income – Part 1

-OTHINT-

Now I will ask questions about your other sources of income since [Reference Month1].

-LMPNOW-

When you left your job, did you receive any lump sum payments, such as severance pay or any proceeds from a pension or retirement plan?

-SSYN-

Did you receive any Social Security payments?

-PWSSYN-

Last time I recorded that you received Social Security payments.

Did you receive any Social Security payments at any time between [Reference Month 1] 1st and today?

-DSYN-

Earlier I recorded that you have a health condition which limits the kind or amount of work you can do. Did you receive any income because of your health condition?

-DSTYP-

What kind of income was that? Anything else?

ENTER (N) FOR NO MORE

Workers' Compensation
Payments from a sickness, accident, or disability insurance policy purchased on your own
Employer disability payments
Pension from company or union including income from profit-sharing plans
Federal Civil Service or other Federal civilian employee pension
State government pension
Local government pension
U.S. Military retirement pay (excluding payments from the VA)
U.S. Government Railroad Retirement

Black Lung payments
Other

-OTHSUR-

Did you receive income from any other source during this time period as a result of being a survivor?

OSURTYP-

What kind of income was that? Anything else?

Pension from company or union including income from profit-sharing plans
Veterans' compensation or pension
Federal Civil Service or other Federal civilian employee pension
U.S. Government Railroad Retirement
State government pension
Local government pension
Income from paid-up life insurance policies or annuities
U.S. Military retirement pay. Exclude payments from the Department of Veterans Affairs (VA)
Black Lung benefits
Worker's Compensation
Payments from estate or trust
National Guard or Reserve Forces retirement
Other
None/No more

-SUROTHR-

What was the specific "other" source of income you received as a survivor?

-PATYN-

Did you receive any cash or other assistance from a state or county welfare program?

-PATYNA-

Just to be sure, did you receive any cash or other assistance from a state or county welfare program on behalf of children in the household?

-PACHCK1-

How about any other kinds of cash or other assistance from a state or county welfare program, such as, gas vouchers, bus passes, or help registering, repairing, or insuring your car, reduced price child care services, or short-term cash assistance to tide you over?

-PACHCK2-

What did you receive?

MARK ALL THAT APPLY. ENTER (N) FOR NONE/NO MORE

Transportation Assistance to help you get to work or school or training such as gas vouchers, bus passes, or help repairing a car?
Child Care Services or Assistance so you could go to work or school or training?

Any short-term cash assistance to tide you over when you needed it to help you stay off welfare; or for an emergency

Any other assistance from the government

-PATYP-

Did you receive:

READ ALL CATEGORIES. ENTER (N) FOR NONE/NO MORE

Public Assistance such as AFDC, TANF, or [State Program Name]?
General Assistance or General Relief?
Energy Assistance Program?
Transportation Assistance to help you get to work or school or training such as gas vouchers, bus passes, or help repairing a car?
Child Care Services or Assistance so you could go to work or school or training?
Any short-term cash assistance to tide you over when you needed it to help you stay off welfare; or for an emergency?
Any other cash or other assistance from a state or county welfare program?

-NOINC-

Did you receive non-job income from some source we have not covered, such as financial help from someone outside this household, cash or other assistance from a state or county welfare program, or anything else?

From Section G: General Income – Part 2A

-ADCAMT15-

How much did you receive from Public Assistance not including food stamps—

-AFDCAMT4-

How much did you receive from Public Assistance Payments in [Reference Month 4]?

From Section H: General Income – Part 2B

-CSMTH-
Have you received any Child Support payments—

In [Current Month]?

In [Reference Month 4]?

In [Reference Month 3]?

In [Reference Month 2]?

In [Reference Month 1]?

-CSAMT15-

What was the amount of child support you received:

-MNTHAMT15-

For each payment, please report the total amount. How much income did you receive?

-ROLLOVR1-

Did you re-invest or "roll over" any of the money into an IRA or some other kind of retirement plan?

-KDMTHYN-

Were any payments received for your child—

In [Current Month]?
In [Reference Month 4]?
In [Reference Month 3]?
In [Reference Month 2]?
In [Reference Month 1]?

From Section I: Assets

-ASSTINT-

These next questions are about assets that provide income.

-ASSET1-

During the period from [Reference Month 1] 1st through today, did you own, either alone or jointly, any of the following: (SHOW FLASHCARD F) READ EACH CATEGORY. ASSETS IN REVERSE VIDEO INDICATE OWNED IN PREVIOUS WAVE.

U.S. Government savings bonds (E or EE)?
An IRA or Keogh account?
A 401K or thrift plan?
An interest earning checking account?
A savings account?
A money market deposit account?
A certificate of deposit (CD)?
Mutual funds?
Stocks?
Municipal or corporate bonds?
U.S. Government securities?
Mortgages from which payments are received?
Rental property?
Royalties?
Any other financial investments not already mentioned?

-ASETDRAW-

Since [Reference Month 1] 1st, have you received any lump sum or regular distribution payments from your [List of Assets]
-ASSTINTRO1-

Now I am going to ask about any interest earned from assets from [Reference Month 1] 1st to the end of [Reference Month 4].

-JT-

Did you own your [Asset Name(s)] jointly with your spouse?

-JTINT-

(REFERENCE PERIOD = [Reference Month 1] 1ST TO THE END OF [Reference Month 4])

What is the total amount of interest earned on this/these jointly held [Asset Name(s)].

ENTER (A) FOR ALTERNATIVE ANNUAL REPORTING
ENTER (N) FOR NONE/NO MORE

-ANYCHK-

(REFERENCE PERIOD = [Reference Month 1] 1ST TO THE END OF [Reference Month 4])

Earlier you told me you owned [Asset Name]. Did you receive any dividend checks?

-JNTRNT-

(REFERENCE PERIOD = [Reference Month 1] 1ST TO THE END OF [Reference Month 4])

Earlier you told me that you owned some rental property. Did you receive any rental income from property owned jointly by you and your spouse?

-JARNT-

(REFERENCE PERIOD = [Reference Month 1] 1ST TO THE END OF [Reference Month 4])

How much was received in gross rent from this property?

From Section J: Health Insurance

-CHIP-

At any time between [Reference Month 1] 1st and today [was your child/were your children] covered by [State CHIP Program Name], the State Children's Health Insurance Program that helps families get health insurance for children?

From Section K: Programs

-EGYASSYN-

Now we are going to ask some questions about government programs.

Has this household received any energy assistance from the Federal, state, or local government from [Reference Month 1] 1st to the end of [Reference Month 4]?

-EGYPAYMT-

Now we are going to ask some questions about government programs

Was this assistance received in the form of -

Checks sent to the household
Coupons or vouchers sent to the household
Payments sent directly to the utility company, fuel dealer, or landlord

From Section L: Education

-EDFUND-

Last time, I recorded that you paid the tuition during the period [Previous Wave Reference Period]. Were any of your educational expenses during the period [Reference Month 1] 1st through the end of [Reference Month 4] paid for by any type of educational assistance or financial aid?

> READ IF NECESSARY: Include financial assistance such as loans, grants, scholarships, employer assistance, veterans benefits, or any other type of financial aid?

References and Source Documents

Kalton, G., Winglee, M., and Jabine, T. (1998). *SIPP quality profile, 3rd ed.* SIPP Working Paper 230. Washington, DC: U.S. Census Bureau. URL: http://www.sipp.census.gov/sipp/workpapr/wp230.pdf

U.S. Census Bureau. (2001). *SIPP users' guide, third edition.* Washington, DC: U.S. Census Bureau. URL: http://www.sipp.census.gov/sipp/usrguide/sipp2001.pdf

Technical documentation for the various data files of the 1993 and 1996 panels is available at http://www.census.gov/apsd/techdoc/sipp/sipp.html; the documentation for each file includes a data dictionary and source and accuracy statement.

For data quality information about all the SIPP panels, see http://www.sipp.census.gov/sipp/source.html.

A searchable SIPP bibliography containing both methodological papers and reports using SIPP data has also been prepared; it is available at http://www.sipp.census.gov/sipp/aboutbib.html.

INCOME AND EARNINGS

NATIONAL STUDY OF CHILD CARE FOR LOW-INCOME FAMILIES

Measure: Income and Earnings Questions from the Parent Interview, Family Child Care Provider Interview, and the Community Survey

Source

The National Study of Child Care for Low-Income Families is funded by the Administration for Children and Families in the U.S. Department of Health and Human Services. The study is being conducted by Abt Associates in Cambridge, Massachusetts, and the National Center for Children in Poverty at Columbia University's Joseph Mailman School of Public Health in New York City.

Population Assessed

"Information for the study is collected at three levels, with nested samples of communities within states and families and providers within communities. The first level is a sample of 17 states containing 25 communities that were selected from a national sampling frame to be as close as possible to a representative sample of counties with child poverty rates above 14 percent. At the family level, the study includes several samples: a random sample of 2,500 low-income families (with incomes under 200% of federal poverty guidelines) with working parents and at least one child under age thirteen for whom they use non-parental child care in the 25 communities (100 per community); a sample of 650 low-income parents who are receiving, or are eligible for, child care subsidies, and who are using family child care at the start of the study; and a sample of the 650 family child care providers linked to these 650 families" (DHHS, 2000, p. 9). The sample is not representative of all 50 states.

Periodicity

The study began in September 1997 and ended in June 2003. Information for the study was collected twice for the states, once in 1999 and again in 2001. Information about the communities was collected three times from 1999 to 2001. Information about the family child care setting was collected once.

Components

Income and earnings questions are included in the parent interview, the family child care provider interview, and the community survey. The parent interview includes the parent's current employment status and salary, benefits, child care subsidies, housing subsidies, expenses such as rent/mortgage payments, amount spent on utilities per month, food stamps, other expenses such as food and clothing, out-of-pocket medical expenses, and transportation costs. The parent interview also asks about total household income including all form of income and questions about the Earned Income Tax Credit. Most of the questions refer to the past year.

The family child care instrument asks only about total income for the household and what part of the income was from child care.

The community survey asks about current employment and salary, child care subsidies, and total income over the past month, as well as total income over the past year, including welfare, subsidies, and other forms of income.

Procedures for Administration

This information is not readily available.

Psychometrics/Data Quality

This information is not readily available.

Languages Available

This information is not readily available.

Items Included

The interviews can be requested by contacting the National Study of Child Care for Low-Income Families Project Director (Jean Layzer, jean_layzer@abtassoc.com).

PARENT INTERVIEW

Because of the large number of questions, only a limited number of sample questions are provided below.

C. Parent's Employment

C1. Do you currently have a paid job or jobs? This would include paid babysitting, housecleaning, or paid community service work.

C2. How many paid jobs do you currently have?

C6. How much money do you earn from this job [these jobs]?

C7a. Is that before taxes or is that after taxes?

C9. Does your job [any of your jobs] include any of these benefits?

Medical Insurance for employees
Medical Insurance for children
Dental Insurance for employees
Dental Insurance for Children
Sick Time
Vacation or Holidays

Life Insurance
Retirement Plan
Information about Child Care Resources
Regular on-site child care
Emergency or drop-in child care

M. Housing and Other Costs/Income

M1. Do you currently…

Own your own home
Rent your home or apartment
Live with family or friends and not pay rent
Live with family or friends and pay part of rent
Live in a group shelter
Live in some other arrangement (Specify)
Jail
Homeless
Live alone and rent free

M2. Do you live in public housing?

M3. Do you pay less rent because the government pays part of it, through Section 8 housing, for example?

Other questions include monthly expenses, child care costs, public assistance and other subsidy information.

FAMILY CHILD CARE PROVIDER INTERVIEW

F. Caregiver Characteristics and Experience

F8. Approximately what was the total income of your family last year before taxes? Please include your income and that of all members of your immediate family who are living with you and any other sources of income you may have.

F10. Could you tell me approximately how much of your family income was received from child care last year?

COMMUNITY SURVEY

Because of the large number of questions, only a few sample questions are provided below.

C. Parent's Employment

C1. Do you currently have a paid job or jobs? This would include paid babysitting, housecleaning, or paid community service work.

C2. How many paid jobs do you currently have?

C6. How much money do you earn from this job [these jobs]?

C7a. Is that before taxes or is that after taxes?

C9. Does your job [any of your jobs] include any of these benefits?

Medical Insurance for employees

Medical Insurance for children
Dental Insurance for employees
Dental Insurance for Children
Sick Time
Vacation or Holidays
Life Insurance
Retirement Plan
Information about Child Care Resources
Regular on-site child care
Emergency or drop-in child care

F. Knowledge and Use of Subsidies

F2. Do you receive a child care subsidy or voucher for your child/any of your children?

F2a. Where does the subsidy or voucher come from?

F2b. Does your child care provider receive a direct payment from a government agency for your child care?

H. Demographic Information

Now I'd like to ask about the income you received last year. Remember that this information will remain confidential and will not be reported to any agency.

H3. First I'd like you to tell me, if you can, what your total household income was last month?

H4. Was that before taxes or was that after taxes?

H5. Now I would like to ask you about your total household income for the last year for all the people in your household, including you. Again, consider all sources of cash income, including jobs, alimony, child support, welfare, Unemployment Insurance, Social Security, SSI, or Worker's

Compensation. Exclude food stamps or food checks. Please tell me the number that is closest to your total household income for last year.

H5a. Are you currently receiving Food Stamps?

H5b. Was any of your income last year from welfare payments?

H5c. When you filed your income taxes for last year, did you claim the Earned Income Tax Credit (EITC)?

References and Source Documents

The interviews can be requested by contacting the National Study of Child Care for Low-Income Families Project Director (Jean Layzer, jean_layzer@abtassoc.com).

U.S. Department of Health and Human Services. (2000, November). *National Study of Child Care for Low-Income Families: State and community substudy interim report.* Washington, DC: Author. Available at http://www.abtassoc.com/reports/NSCCLIF.pdf

INCOME AND EARNINGS

NATIONAL CHILD CARE STAFFING STUDY

Measure: Income and earnings items from the National Child Care Staffing Study teaching staff interview

Note: The National Child Care Staffing Study (NCCSS) is a longitudinal study of child care centers conducted in 1988, 1992, and 1997. This description of income and earnings items comes from the staff interviews completed for the original (1988) study.

Source

The 1988 NCCSS was coordinated by the Child Care Employee Project staff and funded by a consortium of foundations including the Carnegie Corporation of New York, Ford Foundation, the Foundation for Child Development, the A.L. Mailman Family Foundation, and the Spunk Fund, Inc. (Whitebook, Howes, & Phillips, 1990, p. ii). Marcy Whitebook, Carollee Howes, and Deborah Phillips, the principal investigators of the NCCSS, worked (at the time of the 1988 study) at the Child Care Employee Project, the University of California at Los Angeles, and the University of Virginia, respectively. The sponsor of the study, the Child Care Employee Project, changed its name to the Center for the Child Care Workforce (CCW) in 1997. (CCW was known as the National Center for the Early Childhood Work Force between 1994 and 1997.) In November 2002, CCW became a program within the American Federation of Teachers Educational Foundation.

Population Assessed

The original study sample consisted of 227 child care centers in five metropolitan areas; within these 227 centers, researchers observed 643 classrooms and interviewed 1,309 teaching staff (including both teachers and assistant teachers). The NCCSS focused on only center-based programs that served children up through 5 years old, operated at least 11 months a year for a minimum of 6 hours a day, served a minimum of 15 children, and employed no less than six staff members. "In summary, there is some potential for bias in the sample given the higher participation rates for non-profit than for-profit centers, centers serving low-income families, and centers that may offer somewhat higher quality care than is typical in the Study sites [metropolitan areas]. However, as a result of the stratified, replacement sampling strategy, the final sample of centers closely matches the distribution of centers across Census tracts and urban and suburban residential areas" (Whitebook et al., 1990, p. 19).

Because of the decision to focus on five metropolitan areas, the NCCSS did not provide a nationally representative sample of all child care centers, but instead "sought to capture the diversity of the nation's centers in numbers approximating their distribution in the five Study sites…The participating sites [metropolitan areas], as planned, are highly diverse with respect to their economic contexts, demographics, and regulatory climates" (Whitebook et al., 1990, pp.13, 14).

The five metropolitan areas were ethnically diverse, with a variety of racial/ethnic groups represented. Blacks were the largest minority group in Atlanta and Detroit; Hispanics, in Phoenix; and Asians and Native Americans, in Seattle. The NCCSS selected centers that served children through 5 years old, and "across all participating centers, the research team observed 643 classrooms [in 1988]: 85 (13%) infant, 151 (23%) toddler, 313 (49%) preschool, and 94 (15%) mixed-age classrooms" (Whitebook et al., 1990, p. 19). In Atlanta, the sample of 255 children consisted of 36 percent infants, 22 percent toddlers, and 42 percent preschoolers.

"The proportion of child care teachers who were women, their age distribution, and their ethnic backgrounds changed little between 1977 when an earlier study was conducted and 1988. Interview responses indicate that 97 percent of the teaching staff in our study were female and 81 percent were 40 years old or younger. Approximately one-third of the teaching staff in 1977 and 1988 were members of minorities. Although the percentage of minority teachers was higher in all cities than the percentage of minorities in the community at large, the percentage in some cities was three times as high" (Whitebook et al., 1990, p. 32).

Periodicity

Data were collected between February and August 1988 for the original study. The 1992 and 1997 follow-ups did not include staff interviews.

Components

The vast majority of income and earnings questions in the teaching staff interview of the 1988 NCCSS come from Section C: Wages and Benefits. The questions cover only wages and benefits obtained from their job as teaching staff in the sampled child care center; respondents are given the choice of providing their hourly wages or their wages per paycheck. A couple of questions indirectly look at household income (e.g., by asking respondents how the household income compares to the income of the parents of children at the center and by asking what percentage of their household income consists of their child care salary), and the questions related to job benefits are extensive. Section A: Personal Background inquires about the amount teaching staff pay for child care each week. Section D: Other Work asks teaching staff if they do any other work for pay, but does not ask how much teachers earn at that work.

Procedures for Administration

Trained and experienced research assistants interviewed sampled teaching staff while on a site visit to each child care center. These one-on-one interviews were completed after classroom observations. Interviews lasted between 1 and 2 hours. For more information, see pages 21–23 of Whitebook et al., 1990.

Psychometrics/Data Quality

Nearly all of the sampled teachers within the participating sites agreed to be interviewed and observed (Whitebook et al., 1990, p. 20). Missing income and earnings data were not imputed.

"Test-retest reliability (two interviews per staff) for [the teaching staff] interview was computed for 10 child care teaching personnel not participating in the NCCSS. Test-retest reliability across all items was r = .79 (range = .71 to .92)" (Whitebook et al., 1990, p. 22).

Similar questions on wages, benefits, and working conditions were asked in both the teaching staff and director interviews. Directors consistently gave higher responses to these questions than did teachers. Where answers from both directors and teaching staff were available, analyses done for the NCCSS typically used the responses given by teaching staff for reasons including larger sample size and higher expected reliability (Whitebook et al., 1990, p. 22).

Languages Available

Other than English, information about the languages in which this measure is available is not readily available.

Items Included

Whitebook, M., Howes, C., & Phillips, D. (1988b). National Child Care Staffing Study staff interview. Oakland, CA: Child Care Employee Project.

Included here is the entire Section C: Wages and Benefits, as well as those items from Section A: Personal Background and Section D: Other Work that are relevant to the income and earnings construct.

Section A: Personal Background

A8. In total, about how much do you pay for child care for all of your children combined each week? (circle one)

Nothing
Under $50
$50-$99
$100-$149
$150-$199
$200-$249
$250 or more

Section C: Wages and Benefits

The questions in this section ask about your wages, income, work conditions, and benefits. We ask about income because how much people make can affect their satisfaction with their jobs and other issues in this questionnaire.

C1. How much are you paid? Base this on the amount in your paycheck, excluding extra payments for overtime work or give your hourly wage.

$_____per paycheck or $_____ per hour
If you answered per hour skip to question C3.

C2. (a) If you answered "per paycheck", what time period does this paycheck cover? (circle one)

One week
Two weeks
One month
Other (specify) _____

(b) Approximately how many total hours does this paycheck cover?

C3. Approximately what % of your annual household income is your child care salary? An estimate is fine.

C4. Compared with most of the parents in your center, is your household income? (Please check one, based on your best impressions)

Much higher
Somewhat higher
About the same
Somewhat lower
Much lower

C5. Which of the following do you receive (or have been offered, but declined)?

Paid breaks	[ ] yes	[] no
Paid lunch time	[ ] yes	[] no
Paid preparation/planning time	[ ] yes	[] no
Payment for attendance at staff meetings	[ ] yes	[] no
Payment for attendance at on-site service training	[ ] yes	[] no
Paid release time off for site training and workshops	[ ] yes	[] no
Written job description	[ ] yes	[] no
Formal grievance procedure	[ ] yes	[] no
Written contract	[ ] yes	[] no
Yearly cost of living increase in wages	[ ] yes	[] no
Periodic merit increases in wages	[ ] yes	[] no
Compensation (either financial or time off) for overtime	[ ] yes	[] no

C6. Which of the following benefits do you receive or have been offered?

Reduced child care fee for parent employees	[ ] yes	[ ] no
Educational stipend to cover workshops, conferences, etc.	[ ] yes	[ ] no
Retirement/pension plan	[ ] yes	[ ] no
Life Insurance	[ ] yes	[ ] no
Paid maternity/paternity leave	[ ] yes	[ ] no
IF YES, how many weeks:		
Unpaid, but job protected maternity/paternity leave	[ ] yes	[ ] no
IF YES, how many weeks:		

C7. Do you receive health coverage?

[ ] yes [ ] no

If no, skip to question C9.

C8. If yes,

Is it fully paid by the program?	[ ] yes [ ] no
Is it partially paid by the program?	[ ] yes [ ] no
Is it not paid by the program?	[ ] yes [ ] no
Does the health coverage include dependents?	[ ] yes [ ] no

C9. Do you receive dental coverage?

[ ] yes [] no

If no, skip to question C11.

C10. If yes,

Is it fully paid by the program?	[ ] yes [ ] no
Is it partially paid by the program?	[ ] yes [ ] no
Is it not paid by the program?	[ ] yes [ ] no
Does the dental coverage include dependents?	[ ] yes [ ] no

C11. Do you receive paid sick leave?

[ ] yes [ ] no

If no, skip to question C13.

C12. If yes, how many days?

C13. Do you receive paid holidays (when the center is closed)?

[ ] yes [ ] no

If no, skip to question C15.

C14. If yes, please specify total number per year.

C15. Do you receive annual paid vacations?

[ ] yes [ ] no

If no, skip to question C17.

C16. If yes, please specify total days per year.

C17. Do you receive personal leave days?

[ ] yes [ ] no

If no, skip to question C19.

C18. If yes, how many days of personal leave do you get per year?

C19. Please describe any other benefits or working conditions that you receive.

Section D: Other Work

The questions in this section ask about whether you have any jobs in addition to your child care position in this center.

D1. Do you currently do any other work for pay:

[ ] yes [ ] no

References and Source Documents

Whitebook, M., Howes, C., & Phillips, D. (1990). Who cares? Child care teachers and the quality of care in America. Final report: National Child Care Staffing Study. Oakland, CA: Child Care Employee Project.

Whitebook, M., Howes, C., & Phillips, D. (1988b). National Child Care Staffing Study staff interview. Oakland, CA: Child Care Employee Project.

III. CHILD CARE OPTIONS DOCUMENTS

DOMAIN: CHILD CARE

CONSTRUCT: CHILD CARE QUALITY

A ROAD MAP FOR THE CHILD CARE OPTIONS DOCUMENTS

This chapter presents information relevant to the construct of child care quality (both structural and procedural quality) across the main ACF evaluations and the additional studies selected for the EDCP for which items related to child care quality are available (i.e., 3 of the 9 main ACF evaluations and 7 of the 13 additional studies selected for the EDCP). These evaluations and surveys, and the page number(s) on which they appear, follow:

Evaluation/Survey	Page Number(s)
Head Start Family and Child Experiences Survey (FACES)	III-12; III-17; III-22; III-32; III-39; III-45; III-50; III-62
Early Head Start Evaluation and Tracking Pre-K (EHS and TPK)	III-68; III-74; III-81; III-86
National Head Start Impact Study	III-92; III-96; III-101; III-104
Panel Study of Income Dynamics, Child Development Supplement	III-108
National Survey of America's Families (NSAF)	III-112
Early Childhood Longitudinal Study, Kindergarten Cohort (ECLS-K)	III-118
Early Childhood Longitudinal Study, Birth Cohort (ECLS-B)	III-126
National Household Education Surveys Program (NHES)	III-129
National Study of Child Care for Low-Income Families	III-135; III-140
National Child Care Staffing Study	III-144; III-156; III-160

Two tables are presented on the following pages, one for the ACF evaluations and one for the additional studies selected for the EDCP. These tables give an overview that shows the types of measures available for each evaluation and survey in this chapter and indicates the primary reporter for each measure.

For each evaluation and survey, a series of key information is described, including population assessed, periodicity, major components, procedures for administration, and a compilation of items that assess child care quality. Although all the items in this chapter are used to measure child care quality, the depth with which quality is measured varies by evaluation and survey. For example, FACES, EHS and TPK, and the National Head Start Impact Study include the most detailed items to assess both structural and procedural child care quality (e.g., items about a teacher's education and items to assess the appropriateness of the activities in the child's classroom), whereas other evaluations, such as the NSAF and the NHES, tend to focus on one aspect of child care quality (in this case, structural quality) in a less detailed manner. Additionally, some of the measures used by the evaluations and surveys contain specific subscales (e.g., the Early Childhood Rating Scale), whereas other measures are simply a set of items without defined subscales (e.g., the National Head Start Impact Study Parent Interview).

At this stage of the EDCP, no analysis and synthesis of items across evaluations and surveys have been attempted; rather, the information is described separately for each evaluation and survey. Readers interested in developing items to assess child care quality are encouraged both to examine the items included here and to return to the original evaluations and surveys to ensure that they understand the items in context and to obtain full skip patterns, response options, and other important information.

Evaluation Data Coordination Project

Measures available from the Nine ACF Evaluations

Construct: Child Care Quality

	Enhanced Services for the Hard to Employ Demo. & Eval.	Rural Welfare to Work Demo. & Eval.	Employment Retention & Advancement Project (ERA)	Building Strong Families	HS-Family &Child Experiences Survey (FACES)	Early Head Start Tracking Pre-K	Head	National Survey of Adolescent Well-Being (NSCAW)	Eval. of Child Care Subsidy Strategies
Child Care Quality	No	No	No	NRA	Yes	Yes	Yes	No	NRA
Study-Specific Child Care Quality Items (Structural Quality)					P, T	P, T	P, T		
Counts of Children and Adults (Structural Quality)					D	D	D		
Study-Specific Child Care Quality Items (Procedural Quality)					P, T	P	P, T		
Assessment Profile - Scheduling, Learning Environment, Individualizing (Procedural Quality)					D (A)				
Arnett Scale of Lead Teacher Behavior (Procedural Quality)					D	D	D		

Evaluation Data Coordination Project

Measures available from the Nine ACF Evaluations (Continued)

Construct: Child Care Quality

	Enhanced Services for the Hard to Employ Demo. & Eval.	Rural Welfare to Work Demo. & Eval.	Employment Retention & Advancement Project	Building Strong Families	HS-Family &Child Experiences Survey (FACES)	Early Head Start Tracking Pre-K	Head	National Survey of Adolescent Well-Being (NSCAW)	Eval. of Child Care Subsidy Strategies
Early Childhood Environment Rating Scale-Revised (ECERS-R) (Structural and Procedural Quality)					D (A)	D (A)	D (A)		
Early Head Start Child-Caregiver Observation System (C-COS) (Procedural Quality)						D			
Classroom Observation of Teacher-Directed Activities (Procedural Quality)							D		
Infant/Toddler Environment Rating Scale (ITERS) (Structural and Procedural Quality)						D			

Evaluation Data Coordination Project

Measures available from the Nine ACF Evaluations (Continued)

Construct: Child Care Quality

	Enhanced Services for the Hard to Employ Demo. & Eval.	Rural Welfare to Work Demo. & Eval.	Employment Retention & Advancement Project	Building Strong Families	HS-Family &Child Experiences Survey (FACES)	Early Head Start Tracking Pre-K	Head	National Survey of Adolescent Well-Being (NSCAW)	Eval. of Child Care Subsidy Strategies
Family Day Care Rating Scale (FDCRS) (Structural and Procedural Quality)						D	D		
Howes and Stewart Scale of adult play with child (Procedural Quality)					D				

Key:
X=adult respondent
C= child or youth report
P= parent or other primary caregiver report
T= teacher or primary child care provider report
(A)= adaptation
D = direct Observation
* = waiting for updated information
NRA=Not readily available

Evaluation Data Coordination Project

Measures available from the 13 Additional Data Collection Efforts Relevant to EDCP Goals

Construct: Child Care Quality

	Panel Study of Income Dynamics Child Development Supplement (PSID-CDS)	Panel Study of Income Dynamics (PSID)	National Survey of America's Families (NSAF)	National Longitudinal Survey of Youth, 1997 (NLSY97)	National Longitudinal Study of Adolescent Health (Add Health)	Fragile Families & Child Wellbeing (Fragile Families)	NICHD Study of Early Child Care & Youth Development (NICHD SECC)	Early Childhood Longitudinal Study – Kindergarten Cohort (ECLS K)	Early Childhood Longitudinal Study – Birth Cohort (ECLS B)	National Household Education Survey Program (NHES)	Current Population Survey (CPS)	Survey of Income and Program Participation (SIPP)	National Study of Child Care for Low-Income Families	National Child Care Staffing Study
Child Care Quality	Yes	No	Yes	No	No	NRA	No	Yes	Yes	Yes	No	No	Yes	Yes
Study-Specific Child Care Quality Items (Structural Quality)	P		P					P, T	P	P			P, D, T	T
Study-Specific Child Care Quality Items (Procedural Quality)													P, D	

Evaluation Data Coordination Project

Measures available from the 13 Additional Data Collection Efforts Relevant to EDCP Goals (Continued)

Construct: Child Care Quality

	Panel Study of Income Dynamics Child Development Supplement (PSID-CDS)	Panel Study of Income Dynamics (PSID)	National Survey of America's Families (NSAF)	National Longitudinal Survey of Youth, 1997 (NLSY97)	National Longitudinal Study of Adolescent Health (Add Health)	Fragile Families & Child Wellbeing (Fragile Families)	NICHD Study of Early Child Care & Youth Development (NICHD SECC)	Early Childhood Longitudinal Study – Kindergarten Cohort (ECLS K)	Early Childhood Longitudinal Study – Birth Cohort (ECLS B)	National Household Education Survey Program (NHES)	Current Population Survey (CPS)	Survey of Income and Program Participation (SIPP)	National Study of Child Care for Low-Income Families	National Child Care Staffing Study
Arnett Scale of Lead Teacher Behavior (Procedural Quality)														D (1988)
Early Childhood Environ-ment Rating Scale – Revised (ECERS-R) (Structural and Procedural Quality)														D (A)

Evaluation Data Coordination Project

Measures available from the 13 Additional Data Collection Efforts Relevant to EDCP Goals (Continued)

Construct: Child Care Quality

	Panel Study of Income Dynamics Child Development Supplement (PSID-CDS)	Panel Study of Income Dynamics (PSID)	National Survey of America's Families (NSAF)	National Longitudinal Survey of Youth, 1997 (NLSY97)	National Longitudinal Study of Adolescent Health (Add Health)	Fragile Families & Child Wellbeing (Fragile Families)	NICHD Study of Early Child Care & Youth Development (NICHD SECC)	Early Childhood Longitudinal Study – Kindergarten Cohort (ECLS K)	Early Childhood Longitudinal Study – Birth Cohort (ECLS B)	National Household Education Survey Program (NHES)	Current Population Survey (CPS)	Survey of Income and Program Participation (SIPP)	National Study of Child Care for Low-Income Families	National Child Care Staffing Study
Infant/ Toddler Environ-ment Rating Scale (ITERS) (Structural and Procedural Quality)														D
Howes and Stewart scale of adult play with child (Procedural Quality)														D

Key:
X=adult respondent
C= child or youth report
P= parent or other primary caregiver report
T= teacher or primary child care provider report
(A)= adaptation
D = direct Observation
* = waiting for updated information
NRA=Not readily available

CHILD CARE
CHILD CARE QUALITY OPTIONS DOCUMENTS
DOMAIN AND CONSTRUCT DEFINITIONS AND JUSTIFICATION

Domain

Child Care

Definition

Child care can be defined as the arrangement where the child spends the most number of hours while his/her mother or father is at work. Child care is typically offered in a number of different forms: (1) center-based child care, such as child care centers, Head Start, preschool, pre-kindergarten, and before- and after-school programs; (2) family child care, which is care by a non-relative in the provider's home; (3) relative care, which is care by a relative either in the child's or the provider's home; (4) babysitter or nanny care, which is care by a non-relative in the child's home; and (5) parent care where the child stays at home with his/her mother or father (Capizzano, Adams, & Sonenstein, 2000). For this project, we have included center-based care, family child care, relative care, and babysitter care in our definition of child care, but not parent care at home. We consider child care for children from birth through school age; therefore, child care also includes before- and after-school arrangements.

Global Justification for Selection of Domain

Both the Department of Health and Human Services and the nine evaluations consider the domain of child care important for improving the lives of low-income children and families more generally. Because this domain is well aligned with the expertise, strengths, and interests of the Work Group, we are focusing an options document on child care. Research on child care is vast, and numerous child care constructs have been examined, typically focusing on the effects of various aspects of child care on children's development. Examples of child care constructs include the number of hours a child is placed in care per week, the number of arrangements a child experiences during a week, and the type and quality of child care a child receives. For this project, we focus on child care quality. Each of the Administrating for Children and Families evaluations focuses on low-income children and their families and the improvement of child and family outcomes. Some of the studies focus on improving family well-being through features such as employment and increased income. If parents are working, their children must be placed in care, and numerous research studies have demonstrated the effect of child care quality on children's development, especially among low-income children (Bowman, Donovan, & Burns, 2001; McCartney, 1984; Peisner-Feinberg, et al., 1999; Phillips, McCartney, and Scarr, 1987; Schulman, 2000; Vandell, Henderson, & Wilson, 1988).

Construct

Child Care Quality

Definition

Child care quality is conceptualized by researchers in terms of either structural or process quality (Howes & Hamilton, 1993). Structural quality refers to features such as adult-child ratios, group or class size, and the education and training of providers (Bowman et al., 2001; Howes & Hamilton, 1993; Whitebook, Howes, & Phillips, 1990). Procedural, or process, quality refers to the use of developmentally appropriate activities in the setting and to warm, sensitive, responsive interpersonal relationships with the provider (Bowman et al., 2001; Howes & Hamilton, 1993). The education with which the providers are equipped (Whitebook et al., 1990) as well as professional development activities that they are offered (Bowman et al., 2001), all contribute to the provision of a high-quality, developmentally appropriate environment.

Global Justification for Inclusion of Construct

Over the past two decades, there has been an increase in the labor force participation of women because of many factors, such as the pursuit of higher education and careers, increases in the prevalence of single-parent families, the necessity of a dual income, and welfare reform (Bowman et al., 2001; Hofferth, Shauman, Henke, & West, 1998; Vandell & Wolfe, 2000). For many working families, considering alternative arrangements for caring for children is a necessity (Hayes, Palmer, & Zaslow, 1990; Howes & Hamilton, 1993; Leslie, Branson, & Anderson, 1989). However, child care is expensive and affording high-quality child care is beyond the financial means of many working families (Whitebook et al., 1990; Schulman, 2000) which may necessitate placing children in low- to moderate- quality care (Schulman, 2000).

This type of care is problematic because research findings indicate the importance of high-quality child care for children's development and success later in life (McCartney, 1984; Phillips et al., 1987; Schulman, 2000; Vandell, Henderson, & Wilson, 1988; Whitebook et al., 1990). Two groundbreaking studies of the effects of quality child care on children's development clearly show these effects. The first study, the High/Scope Perry Preschool Project, began in the 1960s with a sample of 123 low-income African American 3- and 4-year-olds that were randomly assigned to a high quality preschool or no preschool. Follow-ups conducted at regular intervals from early childhood through adulthood (the last follow-up was completed when individuals were 41 years old) demonstrated that children who attended a high-quality preschool performed better than the control group children on intellectual and language tests; were more ready for school; did better in school on reading, language, and math; had better general literacy skills; and had higher earnings, economic status, education, and fewer arrests and welfare dependence (Schweinhart, Barnes, & Weikart, 1993; Schweinhart, 2003). The second study, the Abecedarian project, followed the development of 111 infants from low-income families through early adulthood. Children were randomly assigned to early intervention in a high-quality child care setting or to a non-treated control group. Similar to the Perry Preschool Project, follow-ups conducted from early childhood through age 21 demonstrated that the treatment group had better scores on cognitive assessments and tests of reading and math and were more likely to be in school and have attended a 4-year college than the control group (Early Developments, 2000).

Research also demonstrates that children who are more at risk of failure (e.g., those children who come from poverty or whose mothers have low education or depression) do better in school if they attend high-quality early childhood programs (Bowman et al., 2001; Peisner-

Feinberg et al., 1999). However, children who come from such backgrounds are less likely to have the resources to afford high-quality care. Given the importance of a quality child care environment for children's development, especially among children who are at risk for school failure, being able to measure and evaluate the quality of child care is critical.

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CHILD CARE QUALITY: STRUCTURAL QUALITY

HEAD START FAMILY AND CHILD EXPERIENCES SURVEY

Measure: Selected "child care" and "school characteristics" items from the Head Start Family and Child Experiences Survey Parent Interviews (Head Start Parent Interview, Kindergarten Parent Interview, First Grade Parent Interview)

Source

The Head Start Family and Child Experiences Survey (FACES) evaluation is sponsored by the U.S. Department of Health and Human Services, Administration for Children and Families. The project team for FACES 1997 included Westat (prime contractor), Abt Associates, Ellsworth Associates, and the CDM group. The project team for FACES 2000 included Westat (prime contractor), Xtria (formerly Ellsworth Associates), and the CDM group. The project team for FACES 2003 included Westat (prime contractor), Xtria, and the CDM group.

The "child care" items were developed by the National Institute of Child Health and Human Development study of early child care [See Emlen, A. (1998). From a parent's point of view: Flexibility, income, and quality of child care. Background paper for New Perspectives on Child Care Quality Conference, SEED 2000 Consortium of Federal Agencies, Bethesda, MD]. The "school characteristics" items have been modified from similar items in the National Household Education Survey.

In addition to FACES, some of these items and variations of the items were also used by the following EDCP evaluations and surveys: National Head Start Impact Study (Fall 2002 Parent Interview, Spring 2003 Parent Interview).

Population Assessed

Each cohort of FACES employs a nationally representative sample of Head Start programs, centers, classrooms, children, and parents. Each sample is stratified by three variables: region of the country (northeast, Midwest, south, or west); urbanicity (urban versus rural); and percentage of minority families in the program (50 percent or more versus less than 50 percent). Data collection methods included child assessments, parent interviews, teacher reports, staff interviews, and classroom observations. Since its inception, FACES has involved an initial field-test sample and three nationally representative cohorts: FACES 1997, FACES 2000, and FACES 2003.

FACES 1997 field test. FACES was field tested in spring 1997 with 2,400 3-, 4-, and 5-year-olds and their parents in a nationally stratified random sample of 40 Head Start programs. These children were followed up in spring 1998 when the children were in kindergarten.

FACES 1997. Data from the initial cohort for the main study of FACES 1997 was first collected in fall 1997 on 3,200 children and families from the same 40 Head Start programs employed in the field test. Data were collected on 1,200 3-year-olds new to Head Start; 1,280 4- and 5-year-olds new to Head Start; and 720 4- and 5-year-olds who were in the field-test study and

returning for another year of Head Start. Data on these children were also collected in spring 1998 (spring of the Head Start year), spring 1999 (spring of the kindergarten year or spring of the Head Start year for those who were 3 years old in fall 1997), spring 2000 (spring of the first-grade year or spring of kindergarten for those who were 3 years old in fall 1997), and spring 2001 (spring of the first-grade year for those who were 3 years old in fall 1997).

FACES 1997 also included a validation substudy or embedded case study of 120 randomly selected families from the larger FACES sample. (NB. The embedded case study was not a part of FACES 2000 or FACES 2003). Data collection included in-person parent interviews, home and neighborhood observations, monthly telephone contacts for demographic updates, and community agency interviews regarding the amount and overall nature of collaboration between the agency and the Head Start program.

FACES 2000. A new national cohort of FACES was launched in fall 2000 (FACES 2000). Beginning in fall 2000, data from 2,800 children and families in a new nationally stratified random sample of 43 Head Start programs were collected to ascertain what progress was made in improving program performance. Data were collected in fall 2000, spring 2001, spring 2002 (when children were in kindergarten or in a second year of Head Start), and spring 2003 (when the children who were 3 years old in fall 2000 were in kindergarten).

FACES 2003. Data on a third national cohort (FACES 2003) were collected in fall 2003. Data from 2,700 children and families in a new nationally stratified random sample of 66 programs were collected in fall 2003 and will be collected in spring 2004, spring 2005 (when children are in kindergarten or in a second year of Head Start), and spring 2006 (when the children who were 3 years old in fall 2000 are in kindergarten).

Each cohort of FACES has approximately equal numbers of girls and boys and representative samples of white, African American, Hispanic, and children of other races (see exhibits 1 and 2).

Exhibit 1. Original FACES Sample (FACES 1997)

	Weighted Percentages		
	All (n = 3,120)	Age 3 (n = 1,129)	Age 4 (n = 1,991)
Gender			
Male	50.4	48.7	51.2
Female	49.6	51.4	48.8
Ethnicity			
African American	28.8	34.7	26.1
White	30.7	29.0	31.4
Hispanic/Latino	27.6	22.5	30.0
Native American	1.9	2.3	1.7
Asian/Pacific Islander	1.3	1.3	1.3
Other	8.8	8.7	8.6

Exhibit 2. FACES 2000 Sample

	African American		White		Hispanic		Other		Total	
	N	%	**N**	%	**N**	%	**N**	%	**N**	%
Male	343	13.8	471	19.0	363	14.6	65	2.6	1242	50.1
Female	383	15.4	415	16.7	371	14.9	68	2.7	1237	49.9
Total	726	29.3	886	35.7	734	29.6	133	5.4	2479	100

Periodicity

In the initial field test for FACES, parent interviews were collected in spring 1997 and in a spring 1998 follow-up when the children were in kindergarten.

Parent interview data from the initial cohort for the main study of FACES 1997 were first collected in fall 1997 and spring 1998 (spring of the Head Start year). Follow-up parent interviews were conducted in spring 1999 (spring of the kindergarten year or spring of the Head Start year for those who were 3 years old in fall 1997), spring 2000 (spring of the first-grade year or spring of kindergarten for those who were 3 years old in fall 1997), and spring 2001 (spring of the first-grade year for those who were 3 years old in fall 1997).

For FACES 2000, Parent interview data were collected in fall 2000, spring 2001, spring 2002 (when children were in kindergarten or in a second year of Head Start), and spring 2003 (when the children who were 3 years old in fall 2000 were in kindergarten).

For the FACES 2003 cohort, Parent interview data were collected in fall 2003 and will be collected in spring 2004, spring 2005 (when children are in kindergarten or in a second year of Head Start), and spring 2006 (when the children who were 3 years old in fall 2000 are in kindergarten).

Subscales/Components

The majority of questions about child care quality (structural) come from two sections within the parent interviews: child care and school characteristics. The child care section asks about child care arrangements other than Head Start that parents have used for a child. Most of the questions ask about how old the child was when he/she started care, the type of arrangement, the number of different arrangements, and the hours per week that care is used. Specific questions that address quality are whether the person or place is licensed, certified, or regulated and the child's experience in the care including whether he/she feels safe/secure, whether the child receives enough individual attention, and whether the caregiver is open to new information and learning. The school characteristics section asks about the type of school, but addresses structural quality by asking about the number of students and teachers in each class.

Procedures for Administration

Head Start Parent Interview: The parent or the primary caregiver of the study child completes the interview in a one-on-one setting, typically at the Head Start center, where

the interviewer asks questions and writes the respondent's answers. The complete Head Start parent interview takes about 60 minutes.

Kindergarten Parent Interview: The parent or the primary caregiver of the study child completes the interview in a one-on-one setting either in-person or by telephone. The complete kindergarten parent interview takes about 30 minutes.

First Grade Parent Interview: The parent or the primary caregiver of the study child completes the interview in a one-on-one setting either in-person or by telephone. The complete kindergarten parent interview takes about 30 minutes.

Psychometrics/Data Quality

Psychometric information is not yet available.

Languages Available

The parent interviews can be administered in English and Spanish. For respondents who speak a language other than English or Spanish, an interpreter is used (if possible).

Items Included

Note: Items included are from the FACES 2003 Parent Interviews. These items have been included in previous cohorts with minor differences/additions/changes. The full parent interview from the original cohort, FACES 1997, is available at http://www.acf.hhs.gov/programs/core/ongoing_research/faces/faces_instruments_parent.html.

Child Care Items:

Now, let's talk about any child care arrangement that you use for CHILD **right now**. Child care does not include time in Head Start class, but may include separate child care at the Head Start center before or after class. This does not include babysitting used for social activities such as going out in the evening.

1. Is CHILD in child care before or after Head Start?
2. In how many different child care arrangements does CHILD spend time each week?
3. Where is that care provided? (If more than one child care arrangement, ask about primary arrangement. Do not read list. Circle one response.)
   a. At CHILD's home by a relative
   b. At CHILD's home by a non-relative
   c. In a relative's home
   d. In a friend's or neighbor's home
   e. Family day care home
   f. Other child care center/child development program
   g. At Head Start (not including time in class)
   h. Other (please specify)
4. Is that person or place licensed, certified, or regulated?

School Characteristics Items:

Now let's talk about the school [CHILD] goes to (now).

1. Does [CHILD] go to a public or private school?
2. Approximately how many students are in [CHILD]'s class?
3. How many teachers are in [CHILD]'s class?

References and Source Documents

The parent interviews are available at http://www.acf.hhs.gov/programs/core/ongoing_research/faces/faces_instruments_parent.html.

A number of FACES reports are available on the U.S. Department of Health and Human Services Web site: http://www.acf.hhs.gov/programs/core/ongoing_research/faces/faces_pubs_reports.html.

The reports include the following:

U.S. Department of Health and Human Services. (2003, June). *Head Start FACES (2000): A whole child perspective on program performance, fourth progress report.* Washington, DC: Author.

U.S. Department of Health and Human Services. (2002, January). *A descriptive study of Head Start families: FACES technical report I.* Washington, DC: Author.

U.S. Department of Health and Human Services. (2001, January). *Head Start FACES: Reaching out to families: Head Start recruitment and enrollment practices*. Washington, DC: Author.

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U.S. Department of Health and Human Services. (1998, June). *Head Start FACES (Pilot): Program performance measures, second progress report.* Washington, DC: Author.

Information about FACES presentations and papers is available at http://www.acf.hhs.gov/programs/core/ongoing_research/faces/faces_pres_papers.html.

More information about the FACES validation substudy is available in the following paper:

Vaden-Kiernan, M., D'Elio, M. A., & Sprague, K. (n.d.). *The FACES embedded case study: Documenting the methodology and early findings.* Washington, DC: U.S. Department of Health and Human Services. Available at http://www.acf.hhs.gov/programs/core/ongoing_research/faces/hs_pdf/srcdvss3.pdf

CHILD CARE QUALITY: STRUCTURAL QUALITY

HEAD START FAMILY AND CHILD EXPERIENCES SURVEY

Measure: Counts of Children and Adults

Source

The Head Start Family and Child Experiences Survey (FACES) evaluation is sponsored by the U.S. Department of Health and Human Services, Administration for Children and Families. The project team for FACES 1997 included Westat (prime contractor), Abt Associates, Ellsworth Associates, and the CDM group. The project team for FACES 2000 included Westat (prime contractor), Xtria (formerly Ellsworth Associates), and the CDM group. The project team for FACES 2003 included Westat (prime contractor), Xtria, and the CDM group.

In addition to FACES, some of these items and variations of the items were also used by the following EDCP evaluations and surveys: National Head Start Impact Study (Spring 2003 Family Child Care Observation, Spring 2003 Classroom Observation), Early Head Start Evaluation and Tracking Pre-K.

Population Assessed

Each cohort of FACES employs a nationally representative sample of Head Start programs, centers, classrooms, children, and parents. Each sample is stratified by three variables: region of the country (northeast, Midwest, south, or west); urbanicity (urban versus rural); and percentage of minority families in the program (50 percent or more versus less than 50 percent). Data collection methods included child assessments, parent interviews, teacher reports, staff interviews, and classroom observations. Since its inception, FACES has involved an initial field-test sample and three nationally representative cohorts: FACES 1997, FACES 2000, and FACES 2003.

FACES 1997 field test. FACES was field tested in spring 1997 with 2,400 3-, 4-, and 5-year-olds and their parents in a nationally stratified random sample of 40 Head Start programs. These children were followed up in spring 1998 when the children were in kindergarten.

FACES 1997. Data from the initial cohort for the main study of FACES 1997 was first collected in fall 1997 on 3,200 children and families from the same 40 Head Start programs employed in the field test. Data were collected on 1,200 3-year-olds new to Head Start; 1,280 4- and 5-year-olds new to Head Start; and 720 4- and 5-year-olds who were in the field test study and returning for another year of Head Start. Data on these children were also collected in spring 1998 (spring of the Head Start year), spring 1999 (spring of the kindergarten year or spring of the Head Start year for those who were 3 years old in fall 1997), spring 2000 (spring of the first-grade year or spring of kindergarten for those who were 3 years old in fall 1997), and spring 2001 (spring of the first-grade year for those who were 3 years old in fall 1997).

FACES 1997 also included a validation substudy or embedded case study of 120 randomly selected families from the larger FACES sample. (NB. The embedded case study was not a part of FACES 2000 or FACES 2003). Data collection included in-person parent interviews, home and neighborhood observations, monthly telephone contacts for demographic updates, and community agency interviews regarding the amount and overall nature of collaboration between the agency and the Head Start program.

FACES 2000. A new national cohort of FACES was launched in fall 2000 (FACES 2000). Beginning in fall 2000, data from 2,800 children and families in a new nationally stratified random sample of 43 Head Start programs were collected to ascertain what progress was made in improving program performance. Data were collected in fall 2000, spring 2001, spring 2002 (when children were in kindergarten or in a second year of Head Start), and spring 2003 (when the children who were 3 years old in fall 2000 were in kindergarten).

FACES 2003. Data on a third national cohort (FACES 2003) were collected in fall 2003. Data from 2,700 children and families in a new nationally stratified random sample of 66 programs were collected in fall 2003 and will be collected in spring 2004, spring 2005 (when children are in kindergarten or in a second year of Head Start), and spring 2006 (when the children who were 3 years old in fall 2000 are in kindergarten).

Each cohort of FACES has approximately equal numbers of girls and boys and representative samples of white, African American, Hispanic, and children of other races (see exhibits 1 and 2).

Exhibit 1. Original FACES Sample (FACES 1997)

	Weighted Percentages		
	All (n = 3,120)	Age 3 (n = 1,129)	Age 4 (n = 1,991)
Gender			
Male	50.4	48.7	51.2
Female	49.6	51.4	48.8
Race/Ethnicity			
African American	28.8	34.7	26.1
White	30.7	29.0	31.4
Hispanic/Latino	27.6	22.5	30.0
Native American	1.9	2.3	1.7
Asian/Pacific Islander	1.3	1.3	1.3
Other	8.8	8.7	8.6

Exhibit 2. FACES 2000 Sample

	African American		White		Hispanic		Other		Total	
	N	%	**N**	%	**N**	%	**N**	%	**N**	%
Male	343	13.8	471	19.0	363	14.6	65	2.6	1242	50.1
Female	383	15.4	415	16.7	371	14.9	68	2.7	1237	49.9
Total	726	29.3	886	35.7	734	29.6	133	5.4	2479	100

Periodicity

In the initial field test for FACES, classroom observation data were collected in spring 1997.

Classroom observation data from the initial cohort for the main study of FACES 1997 were first collected in fall 1997 and spring 1998 (spring of the Head Start year). Classroom observation data were also collected in spring 1999 for children who were still in Head Start (i.e., those who were 3 years old in fall 1997).

For FACES 2000, classroom observation data were collected in fall 2000 and spring 2001. Classroom observation data were also collected in spring 2002 for children who were still in Head Start (i.e., those who were 3 years old in fall 2000).

For the FACES 2003 cohort, classroom observation data were collected in fall 2003 and will be collected in spring 2004. Classroom observation data will also be collected in spring 2005 for children who were still in Head Start (i.e., those who were 3 years old in fall 2003).

Subscales/Components

There are no subscales for this measure. The components include counts of the numbers of children and the numbers of adults in the classroom at two separate time periods during a classroom observation. This provides the information needed to calculate child/adult ratios and for other calculations to be used in assessing specific measures of classroom quality.

Procedures for Administration

During a classroom observation, the observer records during two time periods the number of boy children, girl children, and adults working with the children in the classroom.

Psychometrics/Data Quality

Psychometric information is not yet available.

Languages Available

Other than English, the languages in which this measure is available is not explicitly stated.

Items Included

In the table below, record the number of boy children in the classroom, the number of girl children in the classroom, the number of paid staff and adult volunteers working with the children and the time of this observation.

Choose two time periods at least one hour apart during your visit to make these observations. Whenever possible, time period #1 should be "circle time" or its equivalent early in the classroom period (i.e., structured activity) and time period #2 should be indoor free play or "learning centers" later in the classroom period (i.e., unstructured activity). For each time, provide a brief description of the classroom activity during which the county was taken (e.g., circle time, free play, story time).

Time	Description of Activity	Number of paid staff	Number of adult volunteers	Number of boys	Number of girls
1					
2					

References and Source Documents

The measure can be requested by contacting the FACES Project Director (Dr. Nicholas Zill, nicholaszill@westat.com) or the ACF Project Officer (Dr. Louisa Tarullo, lbtarullo@acf.hhs.gov).

A number of FACES reports are available on the U.S. Department of Health and Human Services Web site:
http://www.acf.hhs.gov/programs/core/ongoing_research/faces/faces_pubs_reports.html.

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CHILD CARE QUALITY: STRUCTURAL QUALITY

HEAD START FAMILY AND CHILD EXPERIENCES SURVEY

Measure: Selected "employment and educational background," "in-service training," "background information," "questions about your class," and "questions about you" items from the Head Start Family and Child Experiences Survey Staff Questionnaires (Center Director Interview, Classroom Teacher Interview, Family Service Worker Interview, Head Start Teacher Self Administered Survey, Kindergarten Teacher Self-Administered Survey, First Grade Teacher Survey)

Source

The Head Start Family and Child Experiences Survey (FACES) evaluation is sponsored by the U.S. Department of Health and Human Services, Administration for Children and Families. The project team for FACES 1997 included Westat (prime contractor), Abt Associates, Ellsworth Associates, and the CDM group. The project team for FACES 2000 included Westat (prime contractor), Xtria (formerly Ellsworth Associates), and the CDM group. The project team for FACES 2003 included Westat (prime contractor), Xtria, and the CDM group.

These items were developed by the FACES research team.

In addition to FACES, some of these items and variations of the items were also used by the following EDCP evaluations and surveys: National Head Start Impact Study (Spring 2003 Care Provider Interview, Spring 2003 Teacher Survey).

Population Assessed

Each cohort of FACES employs a nationally representative sample of Head Start programs, centers, classrooms, children, and parents. Each sample is stratified by three variables: region of the country (northeast, Midwest, south, or west); urbanicity (urban versus rural); and percentage of minority families in the program (50 percent or more versus less than 50 percent). Data collection methods included child assessments, parent interviews, teacher reports, staff interviews, and classroom observations. Since its inception, FACES has involved an initial field-test sample and three nationally representative cohorts: FACES 1997, FACES 2000, and FACES 2003.

FACES 1997 field test. FACES was field tested in spring 1997 with 2,400 3-, 4-, and 5-year-olds and their parents in a nationally stratified random sample of 40 Head Start programs. These children were followed up in spring 1998 when the children were in kindergarten.

FACES 1997. Data from the initial cohort for the main study of FACES 1997 was first collected in fall 1997 on 3,200 children and families from the same 40 Head Start programs employed in the field test. Data were collected on 1,200 3-year-olds new to Head Start; 1,280 4- and 5-year-olds new to Head Start; and 720 4- and 5-year-olds who were in the field test study and returning for another year of Head Start. Data on these children were also collected in spring 1998 (spring of the Head Start year), spring 1999 (spring of the kindergarten year or spring of the Head

Start year for those who were 3 years old in fall 1997), spring 2000 (spring of the first-grade year or spring of kindergarten for those who were 3 years old in fall 1997), and spring 2001 (spring of the first-grade year for those who were 3 years old in fall 1997).

FACES 1997 also included a validation substudy or embedded case study of 120 randomly selected families from the larger FACES sample. (NB. The embedded case study was not a part of FACES 2000 or FACES 2003). Data collection included in-person parent interviews, home and neighborhood observations, monthly telephone contacts for demographic updates, and community agency interviews regarding the amount and overall nature of collaboration between the agency and the Head Start program.

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Each cohort of FACES has approximately equal numbers of girls and boys and representative samples of white, African American, Hispanic, and children of other races (see exhibits 1 and 2).

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	Weighted Percentages		
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Total	726	29.3	886	35.7	734	29.6	133	5.4	2479	100

Periodicity

Administration periodicity was dependent on the measure and the cohort.

Center Director Interview: This interview was administered at the following times: FACES 1997, fall 1997; FACES 2000, fall 2000; and FACES 2003, fall 2003.

Classroom Teacher Interview: This interview was administered at the following times: FACES 1997, fall 1997 and spring 1998; FACES 2000, fall 2000 and spring 2001; and FACES 2003, fall 2003. In addition, for FACES 2003, this interview will be administered in spring 2004.

Head Start Teacher Self-Administered Survey: For each of the cohorts, the Head Start Teacher self-administered survey was administered as needed (e.g., whenever a new teacher assumed a sampled classroom).

Family Service Worker Interview: These interviews were administered at the following times: FACES 1997, spring 1999 and FACES 2000, spring 2001. For FACES 2003, the interview will be administered in spring 2004.

Kindergarten Teacher Questionnaire: This questionnaire was administered at the following times: the initial FACES field test, spring 1998; FACES 1997, spring 1999 and spring 2000 (for children who were 3 years old in fall 1997); and FACES 2000, spring 2002 and spring 2003 (for children who were 3 years old in fall 2000). For FACES 2003, the questionnaire will be administered in spring 2005 and spring 2006 (for children who were 3 years old in fall 2003).

First Grade Teacher Questionnaire: The First Grade Teacher Questionnaire was administered only to the FACES 1997 cohort in spring 2000 and spring 2001 (for children who were 3 years old in fall 1997).

Subscales/Components

The majority of questions about child care quality (structural) come from five sections within the staff questionnaires: employment and educational background, in-service training, background information, questions about your class, and questions about you. The questions in the employment and educational background section ask about staff members' professional background and their job with Head Start. The questions that assess structural quality include the number of years of experience with early childhood education, health, or family support programs; the years of

experience with programs prior to working for Head Start; the reasons people continue in a job (such as pleasure of working with children); satisfaction with working in the field of early childhood education; the highest grade of school achieved; licenses and certificates; and membership in professional organizations. The section on in-service training asks one item about the amount of in-service training (in hours) that Head Start has made available or provided in a specified time frame in topics related to the job (e.g., child development, child assessment and evaluation, and mental health issues). The section on background information asks a number of questions related to structural quality, including the number of years teaching including Head Start, the highest level of education achieved, college major (if applicable), possession of a CDA, enrollment in additional teacher-related training or education, participation in early childhood education training activities during the year (e.g., visits to other child care classes), courses in a college, and membership in professional organizations. The section about questions about a teacher's class asks three main questions that assess structural quality: the number of students enrolled in a class, the number of paid adult assistants or co-team teachers in class in a typical week, and the number of adult volunteer assistants. The section about questions about a teacher include numerous items about quality, including the number of years of teaching (in classes such as preschool, Head Start, kindergarten, other grades, and special programs), major (specifically early childhood education) in college or graduate school , the number of courses completed in early childhood education, membership in professional associations for early childhood education, enrollment in additional teacher-related training/education, and areas of certification (e.g., elementary education, early childhood).

Procedures for Administration

Center director interview: The center director completes the interview in a one-on-one setting where the interviewer asks questions and writes the respondent's answers. The complete FACES 1997 center director interview takes about 90 minutes; the center director interview was shortened for FACES 2000 and FACES 2003, taking only 30 minutes.

Classroom teacher interview: The classroom teacher completes the interview in a one-on-one setting where the interviewer asks questions and writes the respondent's answers. The complete FACES 1997 classroom teacher interview takes about 40 minutes; the classroom teacher interview was shortened for FACES 2000 and FACES 2003, taking only 20–25 minutes to complete.

Family service worker interview: The family service worker completes the interview in a one-on-one setting where the interviewer asks questions and writes the respondent's answers. The complete FACES 1997 interview takes about 40 minutes; the family service worker interview was shortened for FACES 2000 and 2003, taking only 30 minutes.

Teacher self-administered survey: The classroom teacher survey is self-administered. The complete teacher self-administered survey takes about 20 minutes.

Kindergarten teacher self-administered survey: The kindergarten teacher interview is self-administered. Information about time to complete the full interview is not given.

First grade teacher survey: The first-grade teacher interview is self-administered. Information about time to complete the full interview is not given.

Psychometrics/Data Quality

Psychometric information is not yet available.

Languages Available

The staff questionnaires can be administered in English and Spanish. For respondents who speak a language other than English or Spanish, an interpreter is used (if possible).

Items Included

Note: Except where indicated, items included are from the FACES 2003 administration of the interviews. The items are also included in subsequent interviews, with minor differences/additions/changes. To view the full interviews, please access them at http://www.acf.hhs.gov/programs/core/ongoing_research/faces/faces_instruments_questionnaires.html

Employment and Educational Background Items:

Now I'd like to ask you some questions about your professional background and your job with Head Start.

1. How long have you been ***employed by this Head Start program?***

2. In total, how many years have you worked with ***any Head Start program?***

3. Before you started working with Head Start, did you have any work or volunteer experience with ***early childhood education, health, or family support programs?***

4. How many ***years experience*** did you have with such programs before you joined Head Start?

5. Now I'd like to read you a list of reasons people continue in a job. How important is each of these to you ***in continuing to work for Head Start?*** (Read list and circle one for each) *This item is included only in FACES 1997 interview)

	Not important	Somewhat important	Very important	NA
a. The pleasure of working with young children				
b. The professional respect of this job/career				
c. The working conditions (e.g., clean, well-organized)				
d. The opportunity to use your experience and/or education in child development				
e. The significance or importance of working with children and families				
f. The opportunity for professional advancement				
g. Other				

Note: some options removed because they didn't fit with this construct

6. ***How satisfied*** are you with your ***present position***? Would you say you are: (Read list and circle one) *This item is included only in FACES 1997 interview)
   a. very satisfied
   b. satisfied
   c. neither satisfied nor dissatisfied
   d. dissatisfied
   e. very dissatisfied
7. ***How satisfied*** are you with ***working in the field of early childhood education***? Would you say you are: (Read list and circle one) *This item is included only in FACES 1997 interview)
   a. very satisfied
   b. satisfied
   c. neither satisfied nor dissatisfied
   d. dissatisfied
   e. very dissatisfied
8. ***How likely*** are you ***to continue*** working for Head Start through the next Head Start year (through 2004–2005)? (Circle one)
   a. very likely
   b. somewhat likely
   c. somewhat unlikely
   d. very unlikely
   e. don't know/not sure
9. What is the ***highest grade or year of school*** you have completed?
10. Do you have a Child Development Associate (CDA) credential?
11. Do you have a state-awarded preschool certificate?
12. Do you have a teaching certificate or license?
13. Do you have any other job-related licenses?

14. Are you ***currently working on a degree, certificate, or license?*** *This item is included only in FACES 1997 interview)

*In-Service Training Items: (*These items are included only in FACES 1997 interview – Training items in FACES 2000 and 2003 deal with issues of curriculum training and mentor training.)

The next questions are about training that your Head Start program has provided or made available to you in the past year. If you have a record of your training activities, you might find it useful to refer to it.

8. How many hours of training, in total, do you estimate Head Start has provided to you in the past program year including this past summer?
9. For each of these topics, about how many hours of training has been provided or made available to you by Head Start in the past program year including this past summer?
   a. Child development
   b. Educational programming
   c. Child assessment and evaluation
   d. Children's health issues (e.g., immunizations, childhood diseases)
   e. Family health issues (e.g., AIDs, asthma)
   f. Mental health issues
   g. Bilingual education
   h. Multicultural sensitivity
   i. Domestic violence/family violence
   j. Child abuse and neglect
   k. Substance abuse
   l. Family needs assessment and evaluation
   m. Providing services for children with special needs
   n. Providing case management services to families
   o. Working with other agencies to assist families
   p. Involving parents in program activities
   q. Behavior management
   r. Providing supervision to staff
   s. Administration and program management
   t. Head Start principles and practices
   u. CPR
   v. Other (list and specify number of training hours)
10. Overall, how helpful in doing your job is the training provided by or made available by Head Start? Would you say it is …
    a. Not very helpful
    b. Somewhat helpful
    c. Very helpful

Background Information Items:

1. In total, how many years have you been teaching?
2. How many of those years have you been teaching Head Start? (as either lead or assistant teacher)?
3. Which is your highest level of education? (Circle only one response)
   UP TO 8TH GRADE

9TH TO 11TH GRADE
12TH GRADE BUT NO DIPLOMA
HIGH SCHOOL DIPLOMA/EQUIVALENT
VOC/TECH PROGRAM AFTER HIGH SCHOOL BUT NO VOC/TECH DIPLOMA
VOC/TECH DIPLOMA AFTER HIGH SCHOOL
SOME COLLEGE BUT NO DEGREE
ASSOCIATE'S DEGREE
BACHELOR'S DEGREE GRADUATE OR PROFESSIONAL SCHOOL BUT NO DEGREE
MASTER'S DEGREE (MA, MS)
DOCTORATE DEGREE (PHD, EDD)
PROFESSIONAL DEGREE AFTER BACHELOR'S DEGREE
(MEDICINE/MD; DENTISTRY/DDS; LAW/JD/LLB; ETC.)

4. In what field did you obtain your highest degree?
   CHILD DEVELOPMENT or DEVELOPMENTAL PSYCHOLOGY
   EARLY CHILDHOOD EDUCATION
   ELEMENTARY EDUCATION
   OTHER
5. Did your field include 6 or more college courses in early childhood education or child development?
6. Have you completed 6 or more college courses in early childhood education or child development since you finished your degree?
7. Are you currently a member of a professional association for early childhood education (e.g., NAEYC, NHSA, NEA)?

Questions about your class items:

1. Do you teach… (Circle one answer in each row):
   a. A full-day class? Yes No
   b. A half-day morning class? Yes No
   c. A half-day afternoon class? Yes No
2. Approximately how many students are enrolled…
   a. In this school?
   b. In kindergarten?
   c. In this class?
3. How many adult paid assistants or co-/team- teachers do you have in this class in a typical week?
4. How many adult volunteer assistants do you have in this class in a typical week?

Questions about you items:

1. Counting this school year, how many years have you taught each of the following grades and programs? *(Write the number of years to the nearest half year, for example 2.5, 3.5. Please include part-time teaching. Write "0" if you have never taught the grade or program listed.)*
   a. Preschool or Head Start
   b. Kindergarten (including Transitional/Readiness Kindergarten and Transitional/pre-first grade)
   c. First grade
   d. Second through fifth grade

e. Sixth grade or higher
f. English as a Second Language (ESL) program
g. Bilingual education program
h. Special education program
i. Physical education program
j. Art or music program

2. What is the highest level of education you have completed? *(Circle only one number.)*
   High school diploma or GED
   Associate's degree
   Bachelor's
   At least one year of course work beyond a Bachelor's but not a graduate degree
   Master's
   Education specialist or professional diploma based on at least one year of course work past a Master's degree level
   Doctorate
   Other *(please specify on line below)*
3. How many college courses have you completed in the following areas? *(Circle one number on each line.)*
   a. Early child hood education
   b. Elementary education
   c. Special education
   d. English as a Second Language (ESL)
   e. Child development
   f. Methods of teaching reading
   g. Methods of teaching mathematics
   h. Methods of teaching science
4. What type of teaching certificate do you have? *(Circle only one number.)*
   a. None
   b. Temporary, probational, provisional, or emergency certification
   c. Certificate for completion of an alternative certification program
   d. Regular certification but less than the highest available
   e. The highest certification available
5. In what areas are you certified? *(Circle all that apply.)*
   a. Elementary education
   b. Early childhood
   c. Other *(please specify)*

References and Source Documents

The staff questionnaires are available at http://www.acf.hhs.gov/programs/core/ongoing_research/faces/faces_instruments_questionnaires.html.

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CHILD CARE QUALITY: PROCEDURAL QUALITY

HEAD START FAMILY AND CHILD EXPERIENCES SURVEY

Measure: Selected "child care" and "satisfaction with Head Start" items from the Head Start Family and Child Experiences Survey Parent Interviews (Head Start Parent Interview, Kindergarten Parent Interview, First Grade Parent Interview)

Source

The Head Start Family and Child Experiences Survey (FACES) evaluation is sponsored by the U.S. Department of Health and Human Services, Administration for Children and Families. The project team for FACES 1997 included Westat (prime contractor), Abt Associates, Ellsworth Associates, and the CDM group. The project team for FACES 2000 included Westat (prime contractor), Xtria (formerly Ellsworth Associates), and the CDM group. The project team for FACES 2003 included Westat (prime contractor), Xtria, and the CDM group.

The "child care" items were developed by the National Institute of Child Health and Human Development study of early child care [See Emlen, A. (1998). From a parent's point of view: Flexibility, income, and quality of child care. Background paper for New Perspectives on Child Care Quality Conference, SEED 2000 Consortium of Federal Agencies, Bethesda, MD]. The Head Start Quality Research Consortium developed the "satisfaction with Head Start" items.

In addition to FACES, some of these items and variations of the items were also used by the following EDCP evaluations and surveys: National Head Start Impact Study (Fall 2002 Parent Interview, Spring 2003 Parent Interview).

Population Assessed

Each cohort of FACES employs a nationally representative sample of Head Start programs, centers, classrooms, children, and parents. Each sample is stratified by three variables: region of the country (northeast, Midwest, south, or west); urbanicity (urban versus rural); and percentage of minority families in the program (50 percent or more versus less than 50 percent). Data collection methods included child assessments, parent interviews, teacher reports, staff interviews, and classroom observations. Since its inception, FACES has involved an initial field-test sample and three nationally representative cohorts: FACES 1997, FACES 2000, and FACES 2003.

FACES 1997 field test. FACES was field tested in spring 1997 with 2,400 3-, 4-, and 5-year-olds and their parents in a nationally stratified random sample of 40 Head Start programs. These children were followed up in spring 1998 when the children were in kindergarten.

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(spring of the Head Start year), spring 1999 (spring of the kindergarten year or spring of the Head Start year for those who were 3 years old in fall 1997), spring 2000 (spring of the first-grade year or spring of kindergarten for those who were 3 years old in fall 1997), and spring 2001 (spring of the first-grade year for those who were 3 years old in fall 1997).

FACES 1997 also included a validation substudy or embedded case study of 120 randomly selected families from the larger FACES sample. (NB. The embedded case study was not a part of FACES 2000 or FACES 2003). Data collection included in-person parent interviews, home and neighborhood observations, monthly telephone contacts for demographic updates, and community agency interviews regarding the amount and overall nature of collaboration between the agency and the Head Start program.

FACES 2000. A new national cohort of FACES was launched in fall 2000 (FACES 2000). Beginning in fall 2000, data from 2,800 children and families in a new nationally stratified random sample of 43 Head Start programs were collected to ascertain what progress was made in improving program performance. Data were collected in fall 2000, spring 2001, spring 2002 (when children were in kindergarten or in a second year of Head Start), and spring 2003 (when the children who were 3 years old in fall 2000 were in kindergarten).

FACES 2003. Data on a third national cohort (FACES 2003) were collected in fall 2003. Data from 2,700 children and families in a new nationally stratified random sample of 66 programs were collected in fall 2003 and will be collected in spring 2004, spring 2005 (when children are in kindergarten or in a second year of Head Start), and spring 2006 (when the children who were 3 years old in fall 2000 are in kindergarten).

Each cohort of FACES has approximately equal numbers of girls and boys and representative samples of white, African American, Hispanic, and children of other races (see exhibits 1 and 2).

Exhibit 1. Original FACES Sample (FACES 1997)

	Weighted Percentages		
	All (n = 3,120)	Age 3 (n = 1,129)	Age 4 (n = 1,991)
Gender			
Male	50.4	48.7	51.2
Female	49.6	51.4	48.8
Race/Ethnicity			
African American	28.8	34.7	26.1
White	30.7	29.0	31.4
Hispanic/Latino	27.6	22.5	30.0
Native American	1.9	2.3	1.7
Asian/Pacific Islander	1.3	1.3	1.3
Other	8.8	8.7	8.6

Exhibit 2. FACES 2000 Sample

	African American		White		Hispanic		Other		Total	
	N	%	**N**	%	**N**	%	**N**	%	**N**	%
Male	343	13.8	471	19.0	363	14.6	65	2.6	1242	50.1
Female	383	15.4	415	16.7	371	14.9	68	2.7	1237	49.9
Total	726	29.3	886	35.7	734	29.6	133	5.4	2479	100

Periodicity

In the initial field test for FACES, parent interviews were collected in spring 1997 and again in a spring 1998 follow-up when the children were in kindergarten.

Parent interview data from the initial cohort for the main study of FACES 1997 were first collected in fall 1997 and spring 1998 (spring of the Head Start year). Follow-up parent interviews were conducted in spring 1999 (spring of the kindergarten year or spring of the Head Start year for those who were 3 years old in fall 1997), spring 2000 (spring of the first-grade year or spring of kindergarten for those who were 3 years old in fall 1997), and then spring 2001 (spring of the first-grade year for those who were 3 years old in fall 1997).

For FACES 2000, Parent interview data were collected in fall 2000, spring 2001, spring 2002 (when children were in kindergarten or in a second year of Head Start), and spring 2003 (when the children who were 3 years old in fall 2000 were in kindergarten).

For the FACES 2003 cohort, parent interview data were collected in fall 2003, spring 2004, spring 2005 (when children are in kindergarten or in a second year of Head Start), and spring 2006 (when the children who were 3 years old in fall 2000 are in kindergarten).

The "Satisfaction with Head Start" items were administered only when the sampled child was in spring of his/her Head Start year (e.g., for FACES 2000, this would be Spring 2001 or Spring 2002).

Subscales/Components

The majority of questions about child care quality (procedural) come from two sections within the parent interviews: child care and satisfaction with Head Start. The child care section asks a number of questions that do not directly assess quality, including child care arrangements other than Head Start, the amount of time spent in care, the child's age in months when placed in care, the type of arrangements, and the number of different arrangements. There is one specific item that assesses procedural quality: it asks about the child's experience in care, including things like whether the child feels safe/secure, whether he/she gets lots of individual attention, and whether the caregiver is open to new information and learning. The section about satisfaction with Head Start asks parents to think about what has happened in Head Start over the past year and think about their level of satisfaction with how Head Start is doing in numerous areas, including things like helping the child to grow and develop and preparing a child to enter kindergarten. This section also asks

about a child's and his/her parents' own experience in Head Start (e.g., whether the child feels safe and secure in Head Start, whether the child is happy in the program, and whether the child is treated with respect by teachers).

Procedures for Administration

Head Start Parent Interview: The parent or the primary caregiver of the study child completes the interview in a one-on-one setting where the interviewer asks questions and writes the respondent's answers. The complete Head Start parent interview takes about 60 minutes.

Kindergarten Parent Interview: The parent or the primary caregiver of the study child completes the interview in a one-on-one setting either in-person or by telephone. The complete kindergarten parent interview takes about 30 minutes.

First Grade Parent Interview: The parent or the primary caregiver of the study child completes the interview in a one-on-one setting either in-person or by telephone. The complete kindergarten parent interview takes about 30 minutes.

Psychometrics/Data Quality

Psychometric information is not yet available.

Languages Available

The parent interviews can be administered in English and Spanish. For respondents who speak a language other than English or Spanish, an interpreter is used (if possible).

Items Included

Note: Items included are from the first administration of the interviews. The items are also included in subsequent interviews, with minor differences/additions/changes. Full interviews are available at http://www.acf.hhs.gov/programs/core/ongoing_research/faces/faces_instruments_parent.html.

Child Care Items:

Now I'm going to ask you about CHILD's experience in this care. Please let me know which answer best describes CHILD's experience. Tell me if it is never, sometimes, often, or always.

	Never	Sometimes	Often	Always
a. CHILD feels safe and secure in child care	1	2	3	4
b. CHILD gets lots of individual attention	1	2	3	4
c. CHILD's caregiver is open to new information and learning	1	2	3	4

Satisfaction with Head Start Items:

1. Based on what has happened at Head Start since [CHILD] started the Head Start program, how satisfied are you with how well Head Start is doing in each of the following areas:

	Very dissatisfied	Somewhat dissatisfied	Somewhat satisfied	Very satisfied
a. Helping CHILD to grow and develop	1	2	3	4
b. Being open to your ideas and participation	1	2	3	4
c. Supporting and respecting your family's culture and background	1	2	3	4
d. Identifying and providing services for CHILD—for example, health screening, help with speech and language development	1	2	3	4
e. Identifying and helping to provide services that help your family—for example, public assistance, transportation, or job training	1	2	3	4
f. Maintaining a safe program—for example, secure playgrounds, clean and tidy classrooms	1	2	3	4
g. Preparing CHILD to enter kindergarten	1	2	3	4
h. Helping you become more involved in groups that are active in your community	1	2	3	4

2. Now I'm going to ask you about CHILD's and your experience in Head Start. Please let me know which answer best describes CHILD's and your Head Start experience.

	Never	Sometimes	Often	Always
a. CHILD feels safe and secure in Head Start	1	2	3	4
b. CHILD gets lots of individual attention	1	2	3	4
c. CHILD's teacher is open to new information and learning	1	2	3	4
d. CHILD has been happy in the program	1	2	3	4
e. The teacher is warm and affectionate towards CHILD	1	2	3	4
f. CHILD is treated with respect by teachers	1	2	3	4
g. The teacher takes an interest in CHILD	1	2	3	4
h. CHILD feels accepted by the teacher	1	2	3	4
i. The teacher is supportive of you as a parent	1	2	3	4
j. You feel welcomed by the teacher	1	2	3	4
k. The teacher handles discipline matters easily without being harsh	1	2	3	4
l. The teacher seems happy and content	1	2	3	4
m. The assistant teacher/aide is warm and affectionate towards CHILD	1	2	3	4

References and Source Documents

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A number of FACES reports are available on the U.S. Department of Health and Human Services Web site: http://www.acf.hhs.gov/programs/core/ongoing_research/faces/faces_pubs_reports.html.

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CHILD CARE QUALITY: PROCEDURAL QUALITY

HEAD START FAMILY AND CHILD EXPERIENCES SURVEY

Measure: Assessment Profile-Scheduling, Learning Environment, Individualizing

Source

The Head Start Family and Child Experiences Survey (FACES) evaluation is sponsored by the U.S. Department of Health and Human Services, Administration for Children and Families. The project team for FACES 1997 included Westat (prime contractor), Abt Associates, Ellsworth Associates, and the CDM group. The project team for FACES 2000 included Westat (prime contractor), Xtria (formerly Ellsworth Associates), and the CDM group. The project team for FACES 2003 included Westat (prime contractor), Xtria, and the CDM group.

The Assessment Profile provided in this document was developed by: Abbott-Shim, M., & Sibley, A. (1987). *Assessment profile for early childhood programs.* Atlanta, GA: Quality Assist, Inc. The measure was modified for FACES.

Population Assessed

Each cohort of FACES employs a nationally representative sample of Head Start programs, centers, classrooms, children, and parents. Each sample is stratified by three variables: region of the country (northeast, Midwest, south, or west); urbanicity (urban versus rural); and percentage of minority families in the program (50 percent or more versus less than 50 percent). Data collection methods included child assessments, parent interviews, teacher reports, staff interviews, and classroom observations. Since its inception, FACES has involved an initial field-test sample and three nationally representative cohorts: FACES 1997, FACES 2000, and FACES 2003.

FACES 1997 field test. FACES was field tested in spring 1997 with 2,400 3-, 4-, and 5-year-olds and their parents in a nationally stratified random sample of 40 Head Start programs. These children were followed up in spring 1998 when the children were in kindergarten.

FACES 1997. Data from the initial cohort for the main study of FACES 1997 was first collected in fall 1997 on 3,200 children and families from the same 40 Head Start programs employed in the field test. Data were collected on 1,200 3-year-olds new to Head Start; 1,280 4- and 5-year-olds new to Head Start; and 720 4- and 5-year-olds who were in the field-test study and returning for another year of Head Start. Data on these children were also collected in spring 1998 (spring of the Head Start year), spring 1999 (spring of the kindergarten year or spring of the Head Start year for those who were 3 years old in fall 1997), spring 2000 (spring of the first-grade year or spring of kindergarten for those who were 3 years old in fall 1997), and spring 2001 (spring of the first-grade year for those who were 3 years old in fall 1997).

FACES 1997 also included a validation substudy or embedded case study of 120 randomly selected families from the larger FACES sample. (NB. The embedded case study was not a part of

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Each cohort of FACES has approximately equal numbers of girls and boys and representative samples of white, African American, Hispanic, and children of other races (see exhibits 1 and 2).

Exhibit 1. Original FACES Sample (FACES 1997)

	Weighted Percentages		
	All (n = 3,120)	Age 3 (n = 1,129)	Age 4 (n = 1,991)
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Other	8.8	8.7	8.6

Exhibit 2. FACES 2000 Sample

	African American		White		Hispanic		Other		Total	
	N	%	**N**	%	**N**	%	**N**	%	**N**	%
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Total	726	29.3	886	35.7	734	29.6	133	5.4	2479	100

Periodicity

In the initial field test for FACES, classroom observation data were collected in spring 1997.

Classroom observation data from the initial cohort for the main study of FACES 1997 were first collected in fall 1997 and spring 1998 (spring of the Head Start year). Classroom observation data were also collected in spring 1999 for children who were still in Head Start (i.e., those who were 3 years old in fall 1997).

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For the FACES 2003 cohort, classroom observation data were collected in fall 2003 and will be collected in spring 2004. Classroom observation data will also be collected in spring 2005 for children who were still in Head Start (i.e., those who were 3 years old in fall 2003).

Subscales/Components

The Assessment Profile is a structured observation guide designed to assist in self-assessment to improve the quality of early childhood programs. It is made up of three subscales (scheduling, learning environment, and individualizing). The scheduling subscale assesses the written plans for the classroom and the way classroom activities are implemented. The learning environment subscale examines the variety of learning materials available in the classroom to support various areas of children's development. The individualizing subscale (which was shortened to five observational items for FACES) measures how a teacher plans the classroom activities to meet the learning needs of each child, the tracking system used for children's work (e.g., child portfolios), and the accommodation for children with disabilities.

The FACES 1997 observation instruments included only the scheduling and learning environment subscales. The individualizing subscale was added to the FACES observation instruments in the FACES 2000 and FACES 2003 cohorts.

Procedures for Administration

The assessment profile is completed as part of a classroom observation by a trained observer. The assessment profile is composed of a set of standards, and each standard is supported with criteria. Criteria are "concrete, observable procedures, behaviors, and records that exemplify values and expectations" (www.qassist.com). Observations of criteria are recorded as "yes" observed or "no" not observed. In addition to observation of classrooms, two other methods of data collection are used: documentation (e.g., record review) and a report based on conferences with staff and teachers. Information is scored by dimensions for each component, and scores are summarized on dimension score sheets and graphed on an assessment profile.

Psychometrics/Data Quality

For the FACES 2000 cohort, reliability (as measured by Cronbach's alpha) of the scheduling subscale was 0.89 for fall 2000 and 0.87 for spring 2001. Reliability of the learning environment subscale was 0.68 for fall 2000 and 0.77 for spring 2001. Reliability of the individualizing subscale was 0.50 for fall 2000 and 0.54 for spring 2001. Agreement between two independent observers in a sample of fall 1997 classrooms averaged 91 percent for the assessment profile.

Languages Available

The scale developers do not expressly state availability of the assessment profile in languages other than English.

Items Included

The assessment profile is copyrighted and was reproduced for FACES by permission of the scale developers. The subscales of the profile are not reproduced in full in this document, but samples of items from each subscale are given. The assessment profile can be purchased from the study developers by contacting Quality Assist, Inc (full contact information is listed in the references and source documents section).

Example of Scheduling items:

A. Scheduling and planning occur (yes/no)
   a. Written time schedule is posted (yes/no)
   b. Teacher has materials and supplies prepared in advance (yes/no)

Example of Learning Environment items:

8. Classroom materials support a variety of learning experiences (yes/no)
   a. At least 3 different types of small muscle/manipulative materials are accessible to children without adult assistance
      i. Legos (yes/no)
      ii. Puzzles (yes/no)
      iii. Sequence beads (yes/no)
      iv. Etch-A-Sketch (yes/no)
      v. Interlocking materials (yes/no)
      vi. Board games (yes/no)
      vii. Scissors (yes/no)
      viii. Marble rollways (yes/no)
      ix. Keyboard templates (yes/no)
      x. Other (yes/no)

Example of Individualizing items:

A. Child assessment occurs systematically (yes/no)

a. A portfolio is available for each child which includes child work samples, performance inventory, and anecdotal or narrative reports (yes/no)

References and Source Documents

Abbott-Shim, M., & Sibley, A. (1987). *Assessment profile for early childhood programs.* Atlanta, Georgia: Quality Assist, Inc.

More information about the assessment profile is available on the Quality Assist Web site at www.qassist.com.

Ordering information for the assessment profile
Quality Assist, Inc.
368 Moreland Ave. NE, Suite 240
Atlanta, GA 30307
404-325-2225

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CHILD CARE QUALITY: PROCEDURAL QUALITY

HEAD START FAMILY AND CHILD EXPERIENCES SURVEY

Measure: Arnett Caregiver Interaction Scale

Source

The Head Start Family and Child Experiences Survey (FACES) evaluation is sponsored by the U.S. Department of Health and Human Services, Administration for Children and Families. The project team for FACES 1997 included Westat (prime contractor), Abt Associates, Ellsworth Associates, and the CDM group. The project team for FACES 2000 included Westat (prime contractor), Xtria (formerly Ellsworth Associates), and the CDM group. The project team for FACES 2003 included Westat (prime contractor), Xtria, and the CDM group.

Arnett developed the Arnett Caregiver Interaction Scale [originally named "Arnett Scale of Lead Teacher Behavior"; see Arnett, J. (1989)]. Caregivers in day-care centers: Does training matter? *Journal of Applied Developmental Psychology*, 10, 541–552).

In addition to FACES, this measure was also used by the following EDCP evaluations and surveys: National Head Start Impact Study (Spring 2003 Family Child Care Observation Booklet, Spring 2003 Classroom Observation), Early Head Start Evaluation and Tracking Pre-K, National Child Care Staffing Study.

Population Assessed

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Subscales/Components

The Arnett scale is a rating scale of teacher behavior toward children in the class. The 26-item scale deals with four factors: positive interaction, punitiveness, permissiveness, and detachment, and with the teachers' encouragement of child self-help. For FACES, the Arnett scale consisted of 30 items and five subscales (sensitivity, harshness, detachment, permissiveness, and independence).

Procedures for Administration

The Arnett scale is completed at the conclusion of an observational period. The observer completes the scale for an individual teacher (typically the lead teacher). For each item, the observer rates on a four-point scale (1 = not at all, 2 = somewhat, 3 = quite a bit, 4 = very much) the extent to which each statement is characteristic of the caregiver. Higher scores indicate a more sensitive, responsive teacher who encourages children's independent and self-help skills, and avoids punishment and detachment.

Psychometrics/Data Quality

For the FACES 2000 cohort, Cronbach's alpha for all items was 0.94 in fall 2000 and 0.69 in spring 2001. Cronbach's alpha for the five subscales in fall 2000 and spring 2001 was as follows:

	Fall 2000	Spring 2001
Sensitivity	.94	.93
Harshness	.83	.66
Detachment	.71	.72
Permissiveness	.52	.20
Independence	.58	.24

Languages Available

The scale developer does not expressly state availability of the Arnett scale in languages other than English.

Items Included

The Arnett scale is copyrighted and was reprinted for FACES by permission of the scale developer. The measure is not reproduced in full in this document, but samples of items are given. To access the scale in full, please contact the scale developer (see references and source documents section below for reference to original article).

Examples of items from the Arnett Scale of Lead Teacher Behavior:

Rate the extent to which each of the following statements is characteristic of this lead teacher.

	Not at all	Somewhat	Quite a bit	Very much
1. Speaks warmly to the children (e.g., positive tone of voice, body language)	1	2	3	4
2. Spends considerable time in activity not involving interaction with the children (e.g., does adult tasks during child activity periods)	1	2	3	4

References and Source Documents

Arnett, J. (1989). Caregivers in day-care centers: Does training matter? *Journal of Applied Developmental Psychology, 10,* 541–552.

A number of FACES reports are available on the U.S. Department of Health and Human Services Web site:
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CHILD CARE QUALITY: PROCEDURAL QUALITY

HEAD START FAMILY AND CHILD EXPERIENCES SURVEY

Measure: Selected "curriculum and classroom activities," "beliefs about teaching," "your center," "a day in Head Start," and "questions about your class" items from the Head Start Family and Child Experiences Survey Staff Questionnaires (Center Director Interview, Classroom Teacher Interview, Head Start Teacher Self-Administered Survey, Kindergarten Teacher Self-Administered Survey, First Grade Teacher Survey)

Source

The Head Start Family and Child Experiences Survey (FACES) evaluation is sponsored by the U.S. Department of Health and Human Services, Administration for Children and Families. The project team for FACES 1997 included Westat (prime contractor), Abt Associates, Ellsworth Associates, and the CDM group. The project team for FACES 2000 included Westat (prime contractor), Xtria (formerly Ellsworth Associates), and the CDM group. The project team for FACES 2003 included Westat (prime contractor), Xtria, and the CDM group.

The "Beliefs about Teaching" are adapted from a similar measure from Burts, D.C., Hart, C.H., Charlesworth, R., & Kirk, L. (1990). All other items were developed by the FACES research team.

Population Assessed

Each cohort of FACES employs a nationally representative sample of Head Start programs, centers, classrooms, children, and parents. Each sample is stratified by three variables: region of the country (northeast, Midwest, south, or west); urbanicity (urban versus rural); and percentage of minority families in the program (50 percent or more versus less than 50 percent). Data collection methods included child assessments, parent interviews, teacher reports, staff interviews, and classroom observations. Since its inception, FACES has involved an initial field-test sample and three nationally representative cohorts: FACES 1997, FACES 2000, and FACES 2003.

FACES 1997 field test. FACES was field tested in spring 1997 with 2,400 3-, 4-, and 5-year-olds and their parents in a nationally stratified random sample of 40 Head Start programs. These children were followed up in spring 1998 when the children were in kindergarten.

FACES 1997. Data from the initial cohort for the main study of FACES 1997 was first collected in fall 1997 on 3,200 children and families from the same 40 Head Start programs employed in the field test. Data were collected on 1,200 3-year-olds new to Head Start; 1,280 4- and 5-year-olds new to Head Start; and 720 4- and 5-year-olds who were in the field-test study and returning for another year of Head Start. Data on these children were also collected in spring 1998 (spring of the Head Start year), spring 1999 (spring of the kindergarten year or spring of the Head Start year for those who were 3 years old in fall 1997), spring 2000 (spring of the first-grade year or

spring of kindergarten for those who were 3 years old in fall 1997), and spring 2001 (spring of the first-grade year for those who were 3 years old in fall 1997).

FACES 1997 also included a validation substudy or embedded case study of 120 randomly selected families from the larger FACES sample. (NB. The embedded case study was not a part of FACES 2000 or FACES 2003). Data collection included in-person parent interviews, home and neighborhood observations, monthly telephone contacts for demographic updates, and community agency interviews regarding the amount and overall nature of collaboration between the agency and the Head Start program.

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FACES 2003. Data on a third national cohort (FACES 2003) were collected in fall 2003. Data from 2,700 children and families in a new nationally stratified random sample of 66 programs were collected in fall 2003 and will be collected in spring 2004, spring 2005 (when children are in kindergarten or in a second year of Head Start), and spring 2006 (when the children who were 3 years old in fall 2000 are in kindergarten).

Each cohort of FACES has approximately equal numbers of girls and boys and representative samples of white, African American, Hispanic, and children of other races (see exhibits 1 and 2).

Exhibit 1. Original FACES cohort (FACES 1997)

	Weighted Percentages		
	All (n = 3,120)	Age 3 (n = 1,129)	Age 4 (n = 1,991)
Gender			
Male	50.4	48.7	51.2
Female	49.6	51.4	48.8
Race/Ethnicity			
African American	28.8	34.7	26.1
White	30.7	29.0	31.4
Hispanic/Latino	27.6	22.5	30.0
Native American	1.9	2.3	1.7
Asian/Pacific Islander	1.3	1.3	1.3
Other	8.8	8.7	8.6

Exhibit 2. FACES 2000 Sample

	African American		White		Hispanic		Other		Total	
	N	%	**N**	%	**N**	%	**N**	%	**N**	%
Male	343	13.8	471	19.0	363	14.6	65	2.6	1242	50.1
Female	383	15.4	415	16.7	371	14.9	68	2.7	1237	49.9
Total	726	29.3	886	35.7	734	29.6	133	5.4	2479	100

Periodicity

Administration periodicity was dependent on the measure and the cohort.

Center Director Interview: This interview was administered at the following times: FACES 1997, fall 1997; FACES 2000, fall 2000; and FACES 2003, fall 2003.

Classroom Teacher Interview: This interview was administered at the following times: FACES 1997, fall 1997 and spring 1998; FACES 2000, fall 2000 and spring 2001; and FACES 2003, fall 2003. In addition, for FACES 2003, this interview will be administered in spring 2004.

Head Start Teacher Self-Administered Survey: For each of the cohorts, the Head Start Teacher self-administered survey was administered as needed (e.g., whenever a new teacher assumed a sampled classroom).

Kindergarten Teacher Questionnaire: This questionnaire was administered at the following times: the initial FACES field test, spring 1998; FACES 1997, spring 1999 and in spring 2000 (for children who were 3 years old in fall 1997); FACES 2000, spring 2002 and Spring 2003 (for children who were 3 years old in Fall 2000); and FACES 2003, spring 2005 and spring 2006 (for children who were 3 years old in fall 2003).

First Grade Teacher Questionnaire: The First Grade Teacher Questionnaire was administered only to the FACES 1997 cohort in spring 2000 and spring 2001 (for children who were 3 years old in fall 1997).

Subscales/Components

The majority of questions about child care quality (procedural) come from five sections within the staff questionnaires: curriculum and classroom activities, beliefs about teaching, your center, a day in Head Start, and questions about your class. The section on curriculum and classroom activities focuses on specific questions about the curriculum used in a center, such as the name of the curriculum; teachers' responsibility for developing their own curricula; the extent to which the curricula is specific about things, such as specific activities for children and goals for children's learning/development; the type of plans and teaching materials; and the frequency with which certain activities are offered to children (e.g., reading stories, naming colors, outdoor physical activities, and computer time). The section about beliefs about teaching has one item specific to procedural quality. It asks what teachers believe Head Start teachers should do in their classrooms

(e.g., showing more interest in how children work and play rather than what they produce, having formal instruction in pre-reading skills, and letting children solve problems on their own). The section about a teacher's center asks teachers about the quality of the learning environment at the center (e.g., whether classrooms have enough space for typical learning activities and whether teachers have good quality resource materials). The section on a day in Head Start focuses on many items that assess procedural quality, such as (1) the way a typical day is spent in the classroom, including the total number of hours spent in different activities (e.g., teacher directed activities, free play, and involvement with parents and curriculum planning) and (2) the most important goals in working with children (e.g., providing safe haven from home/neighborhood, providing physical activities that enhance gross/fine motor skills, and improving children's self-esteem and self-confidence). Lastly, the section about questions about a teacher's class ask procedural quality questions, such as the existence of activity centers in the classroom; the time the typical child engages in numerous activities in a typical week (e.g., running, climbing, jumping, engaging in free play, and using manipulatives for math or science); the average time spent per day in formal group instruction in reading, numbers, or alphabet; and the average time spent each day in individual or small group activities.

Procedures for Administration

Center director interview: The center director completes the interview in a one-on-one setting where the interviewer asks questions and writes the respondent's answers. The complete FACES 1997 center director interview takes about 90 minutes; the center director interview was shortened for FACES 2000 and 2003, taking only 30 minutes to complete.

Classroom teacher interview: The classroom teacher completes the interview in a one-on-one setting where the interviewer asks questions and writes the respondent's answers. The complete FACES 1997 classroom teacher interview takes about 40 minutes; the classroom teacher interview was shortened for FACES 2000 and FACES 2003, taking only 20–25 minutes to complete.

Teacher self-administered survey: The classroom teacher survey is self-administered. The complete teacher self-administered survey takes about 20 minutes.

Kindergarten teacher self-administered survey: The kindergarten teacher completes the interview. It is self-administered. Information about time to complete the full interview is not given.

First grade teacher survey: The first grade teacher completes the interview. It is self-administered. Information about time to complete the full interview is not given.

Psychometrics/Data Quality

Psychometric information is not yet available.

Languages Available

The staff questionnaires can be administered in English and Spanish. For respondents who speak a language other than English or Spanish, an interpreter is used (if possible).

Items Included

Note: Items included are from the first administration of the interviews. The items are also included in subsequent interviews, with minor differences/additions/changes. The full interviews are available at http://www.acf.hhs.gov/programs/core/ongoing_research/faces/faces_instruments_questionnaires.html.

Curriculum and Classroom Activities Items:
Now I'd like to ask a few questions about the curriculum used in your class(es).

1. Is a ***specific curriculum or combination*** of curricula used in your program?
   a. No
   b. Yes
   c. Don't Know
2. If your principal ***curriculum*** has a ***name***, what is it? (Circle One)
   (IF RESPONDENT SAYS "HEAD START" CURRICULUM,
   PROBE: "Does it have a name?")
   a. High Reach
   b. High/Scope
   c. Montessori
   d. Bank Street
   e. Creative Curriculum
   f. Creating Child-Centered Classrooms – Step by Step
   g. Curiosity Corner – Johns Hopkins
   h. Scholastic Curriculum
   i. State Developed Curriculum (Which state)
   j. Other (specify)
3. If your ***additional curricula*** have names, what are they? (Circle One)
   (IF RESPONDENT SAYS "HEAD START" CURRICULUM,
   PROBE: "Does it have a name?")
   a. High Reach
   b. High/Scope
   c. Montessori
   d. Bank Street
   e. Creative Curriculum
   f. Creating Child-Centered Classrooms – Step by Step
   g. Curiosity Corner – Johns Hopkins
   h. Scholastic Curriculum
   i. State Developed Curriculum (Which state)
   j. Other (specify)
4. To what extent are ***teachers responsible*** for developing their ***own curriculum***? (Read list and circle one)

a. very much
b. somewhat
c. very little
d. not at all

5. Does ***the curriculum*** used by your program **specify** the following? (Read list. Mark no, yes, or don't know for each)

	No	Yes	Don't Know
a. Goals for children's learning and development			
b. Specific activities for children			
c. Suggested teaching strategies			
d. Suggested teaching materials			
e. Ways to involve parents in their child's learning activities			

6. Do you have or have you recently begun any efforts to improve children's early literacy skills, that is, to teach them more about letters, word sounds, words, writing, understanding and appreciating books and reading?
7. [As part of this effort,] do you encourage teachers in your Center to do more of any of the following kinds of activities? How about:...? Would you say teachers are *very much encouraged, somewhat encouraged, not very much encouraged, or not at all encouraged* to do this? (NB – Classroom teachers are also asked how often children in the class do these reading and literacy activities, using the following response options: Never, Once a month or less, Two or three times a month, Once or twice a week, Three or four times a week, Every day)
8.

	Very much encour-aged	Some-what encour-aged	Not very much encour-aged	Not at all encour-aged
a. Reading stories to the children?	1	2	3	4
b. Retelling stories?	1	2	3	4
c. Discussing new words?	1	2	3	4
d. Learning about rhyming words and word families?	1	2	3	4
e. Learning about common prepositions, such as over and under, up and down?	1	2	3	4
f. Learning about conventions of print (left to right orientation, book holding)?	1	2	3	4
g. Learning the names of letters?	1	2	3	4
h. Writing letters of the alphabet?	1	2	3	4
i. Writing own name?	1	2	3	4
j. Working on phonics?	1	2	3	4

Classroom teacher interview only (FACES 1997 interview only):
In your class, how many ***hours in an average week*** are spent reading to children individually or in a small group?

How important a priority ***is reading*** to children in your class? Would you say it is: (Circle one response)

Essential
very important
sort or important
not important

In your opinion, what are the ***main benefits*** that Head Start provides to children? (Do not read list. Circle all that apply)

School readiness
Social skills with children
Social interactions with adults
Safe haven from home/neighborhood
Improved child health
Other (specify)

Beliefs about Teaching Items:

1. I'm going to read some statements that some teachers have made about how children in Head Start should be taught and managed. Please tell me whether each statement agrees or disagrees with your personal beliefs about good teaching practice in Head Start.

(READ ITEM) Do you *strongly disagree, disagree, neither agree nor disagree, agree*, or *strongly agree* with that statement?

	Strongly disagree	**Disagree**	**Neither agree nor disagree**	**Agree**	**Strongly agree**
a. Head Start classroom activities should be responsive to individual differences in development	1	2	3	4	5
b. Each curriculum area should be taught as a separate subject at separate times	1	2	3	4	5
c. Children should be allowed to select many of their own activities from a variety of learning areas that the teacher has prepared (writing, science center, etc.)	1	2	3	4	5
d. Children should be allowed to cut their own shapes, perform their own steps in an experiment, and plan their own creative drama, art, and writing activities	1	2	3	4	5
e. Students should work silently and alone on seatwork	1	2	3	4	5
f. Children in Head Start classrooms should learn through active explorations	1	2	3	4	5
g. Head Start teachers should use treats, stickers, or stars to encourage appropriate behavior	1	2	3	4	5
h. Head Start teachers should use punishments or reprimands to encourage appropriate behavior	1	2	3	4	5
i. Children should be involved in establishing rules for the classroom	1	2	3	4	5

	Strongly disagree	Disagree	Neither agree nor disagree	Agree	Strongly agree
j. Children should be instructed in recognizing the single letters of the alphabet, isolated from words	1	2	3	4	5
k. Children should learn to color within predefined lines	1	2	3	4	5
l. Children in Head Start classrooms should learn to form letters correctly on a printed page	1	2	3	4	5
m. Children should dictate stories to the teacher	1	2	3	4	5
n. Children should know their letter sounds before they learn to read	1	2	3	4	5
o. Children should form letters correctly before they are allowed to create a story	1	2	3	4	5

Your Center Items:

1. We would like your opinion about the quality of the learning environment at your center. Please read the following statements and indicate the extent to which you agree or disagree with each statement. (Circle one for each)

	Strongly disagree	Disagree	Neither agree nor disagree	Agree	Strongly agree	Does not apply
a. Classrooms have enough space for typical learning activities						
b. Classroom equipment is of good quality						
c. Teachers have enough time to complete paperwork						
d. Teacher have good quality resource materials						

	Strongly disagree	Disagree	Neither agree nor disagree	Agree	Strongly agree	Does not apply
e. Teacher have a comfortable place to relax during breaks and to prepare instructional materials						
f. The program day is long enough to provide children with enough time for learning activities						

A day in Head Start items:

1. We would like you to tell us how a typical day is spent in your classroom. (Please round to the nearest ½ hour throughout)
   a. Total number of hours in the classroom day

Number of hours spent in each of the following activities:

   b. Routine caregiving (including meals, snacks, naps, toileting, etc)
   c. Teacher directed learning activities
   d. Free-play/free-choice child activities (both indoor and outdoors)
   e. Transition activities (cleaning-up, getting ready to go outside, etc)

Outside of class time, on a typical school day, how many hours do you spend on:

   f. Involvement with parents (greetings, home visits, talking about kids, etc)
   g. Program administration/curriculum planning, etc

Questions about your class items:

1. Do you have activity centers in this classroom?
2. How often do children in this class do each of the following reading and language activities? Would you say children (READ ITEM) *never, about once a month or less, two or three times a month, once or twice a week, three or four times a week, or every day?*

	Never	Once a month or less	Two or three times a month	Once or twice a week	Three or four times a week	Every day
a. Work on learning the names of the letters.....	1	2	3	4	5	6
b. Practice writing the letters of the alphabet.....	1	2	3	4	5	6
c. Discuss new words.....	1	2	3	4	5	6

	Never	Once a month or less	Two or three times a month	Once or twice a week	Three or four times a week	Every day
d. Dictate stories to a teacher, aide, or volunteer	1	2	3	4	5	6
e. Work on phonics	1	2	3	4	5	6
f. Listen to you read stories where they see the print (e.g., Big Books)	1	2	3	4	5	6
g. Listen to you read stories but they don't see the print	1	2	3	4	5	6
h. Retell stories	1	2	3	4	5	6
i. Learn about conventions of print (left to right orientation, book holding)	1	2	3	4	5	6
j. Write own name	1	2	3	4	5	6
k. Learn about rhyming words and word families	1	2	3	4	5	6
l. Learn about common prepositions, such as over and under, up and down	1	2	3	4	5	6

3. How often do children in this class do each of the following **math** activities?

	Never	Once a month or less	Two or three times a month	Once or twice a week	Three or four times a week	Every Day
a. Count out loud	1	2	3	4	5	6
b. Work with geometric manipulatives	1	2	3	4	5	6
c. Work with counting manipulatives to learn basic operations	1	2	3	4	5	6
d. Play math-related games	1	2	3	4	5	6
e. Use music to understand math concepts	1	2	3	4	5	6
f. Use creative movement or creative drama to understand math concepts	1	2	3	4	5	6
g. Work with rulers, measuring cups, spoons, or other measuring instruments	1	2	3	4	5	6
h. Engage in calendar-related activities	1	2	3	4	5	6

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CHILD CARE QUALITY: STRUCTURAL AND PROCEDURAL QUALITY

HEAD START FAMILY AND CHILD EXPERIENCES SURVEY

Measure: Early Childhood Environment Rating Scale-Revised (ECERS-R)

Source

The Head Start Family and Child Experiences Survey (FACES) evaluation is sponsored by the U.S. Department of Health and Human Services, Administration for Children and Families. The project team for FACES 1997 included Westat (prime contractor), Abt Associates, Ellsworth Associates, and the CDM group. The project team for FACES 2000 included Westat (prime contractor), Xtria (formerly Ellsworth Associates), and the CDM group. The project team for FACES 2003 included Westat (prime contractor), Xtria, and the CDM group.

Classroom observations for the FACES 1997 cohort were collected using the original version of the ECERS instrument (Harms and Clifford, 1980), FACES 2000 used the revised version of the ECERS (ECERS-R). FACES 2003 will also use the ECERS-R. The revised version of the ECERS provides improvements to the items and represents an improvement on the standardization of the observational methods. In addition, the ECERS-R is easier to train and gain inter-rater reliability. The ECERS-R was adapted from Harms, T., Clifford, R. M., & Cryer, D., Early Childhood Environment Rating Scale-Revised (ECERS-R; New York: Teachers College Press, © 1998).

In addition to FACES, this measure was used by the following EDCP evaluations and surveys: National Head Start Impact Study (Spring 2003 Classroom Observation), National Child Care Staffing Study, Early Head Start Evaluation and Tracking Pre-K.

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Total	726	29.3	886	35.7	734	29.6	133	5.4	2479	100

Periodicity

In the initial field test for FACES, classroom observation data were collected in spring 1997.

Classroom observation data from the initial cohort for the main study of FACES 1997 were first collected in fall 1997 and spring 1998 (spring of the Head Start year). Classroom observation data were also collected in spring 1999 for children who were still in Head Start (i.e., those who were 3 years old in fall 1997).

For FACES 2000, classroom observation data were collected in fall 2000 and spring 2001. Classroom observation data were also collected in spring 2002 for children who were still in Head Start (i.e., those who were 3 years old in fall 2000).

For the FACES 2003 cohort, classroom observation data were collected in fall 2003 and will be collected in spring 2004. Classroom observation data will also be collected in spring 2005 for children who were still in Head Start (i.e., those who were 3 years old in fall 2003).

Subscales/Components

The ECERS-R measures a wide variety of quality related processes in the classroom and parent facilities. Seven subscales were derived from the ECERS-R for use in analyses of FACES classroom quality. Each pertained to different elements of classroom quality.

1. Personal care routines measured using six items: greeting/departing, meals/snacks, nap/rest, toileting/diapering, health practices, and safety practices
2. Furnishings measured using four items: indoor space; furniture for routine care, play, and learning; furniture for relaxation and comfort; and room arrangement for play
3. Language skills measured using four items: books and pictures, encouraging children to communicate, using language to develop reasoning skills, and informal use of language
4. Motor skills measured using four items: space for gross-motor play, gross-motor equipment, fine-motor activities, and supervision of gross-motor activities
5. Creativity measured using six items: child-related display, art, music/movement, blocks, sand/water, and dramatic play
6. Social skills measured using four items: supervision, other-than-gross-motor activity, discipline, staff-child interactions, and interactions among children.
7. Program structure measured using four items: space for privacy, schedule, free play, and group time.

For FACES, five items were not used in any of the subscales (nature/science; math/numbers; use of TV, video, and/or computers; promoting acceptance of diversity; and provisions for children with disabilities).

Procedures for Administration

The ECERS-R is completed during an in-depth observation of the classroom. The ECERS-R consists of 37 items each of which is rated on a 7-point scale with 4 anchors (1 = inadequate; 3 = minimal; 5 = good; 7 = excellent). For FACES, only 32 of the 37 items were included in the subscales. Overall quality ratings are determined by averaging scores across items and higher scores indicate higher classroom quality.

Psychometrics/Data Quality

For the FACES 2000 cohort, internal consistency of the ECERS-R mean score for all combined items was 0.92 for fall 2000 and 0.92 for spring 2001. Cronbach's alpha for the seven subscales in fall 2000 and spring 2001 was as follows:

	Fall 2000	Spring 2001
Personal Care	.73	.70
Furnishings	.52	.60
Language	.77	.76
Motor Skills	.67	.64
Creative	.60	.71
Social	.86	.91
Program Structure	.60	.69

Agreement between two independent observers in a sample of fall 1997 classrooms averaged 86 percent across all subscales (including direct hits and being off by one on a seven-point scale).

Languages Available

The ECERS-R is available in English, French, German, Norwegian, and Spanish.

Items Included

The ECERS-R is copyrighted and was reproduced for FACES by permission of the scale developers. The subscales of the profile are not reproduced in full in this document, but sample items from two subscales are given. The ECERS-R can be purchased from the study developers by contacting Teachers College Press (full contact information is listed in the references and source documents section).

Example of Space and Furnishings Item:

	Inadequate 1	2	Minimal 3	4	Good 5	6	Excellent 7
Indoor Space	Insufficient space for children, adults, and furnishings (yes/no)		Sufficient indoor space for children, adults, and furnishings (yes/no)		Ample indoor space that allows children and adults to move around freely (yes/no)		Natural light can be controlled (e.g., adjustable blinds or curtains) (yes/no)

Example of Personal Care Item:

	Inadequate 1	2	Minimal 3	4	Good 5	6	Excellent 7
Greeting/ departing	Greeting of children is often neglected (yes/no)		Most children greeted warmly (yes/no)		Each child is greeted individually (yes/no)		When they arrive, children are helped to become involved in activities, if needed (yes/no)

References and Source Documents

Harms, T., & Clifford, R. (1980). *Early childhood environment rating scale*. New York: Teachers College Press.

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Harms, T., & Clifford, R. M. (1998). Early childhood environment rating scale—Revised. M. Baillargeon, & H. Larouche (Translators), *Echelle d' evaluation de l'environment prescolaire*. Canada: Presses De L'Universite Du Quebec.

Harms, T., & Clifford, R. M. (2001). Early childhood environment rating scale. In W. Tietze, K. M. Schuster, K. Grenner & H. G. Rossbach (Translators), *Kindergarten-skala, revidierte fassung* (KES-R). Berlin, Germany: Luchterhand.

Harms, T., & Clifford, R. M. (2002). Early childhood environment rating scale—Revised. In R. J. Pettersen (Translator), *Early childhood environment rating scale*. Oslo, Norway: SEBU Forlag.

Harms, T., Clifford, R. M., & Cryer, D. (2002). Early childhood environment rating scale—Revised. C. Dueñas (Translator), *Escala de calificación del ambiente de la infancia temprana—Edición revisada.* New York: Teachers College Press.

More information about the ECERS-R is available on the Frank Porter Graham, University of North Carolina Web site at http://www.fpg.unc.edu/~ecers/.

Ordering information for the ECERS-R
Teachers College Press
1234 Amsterdam Ave.
New York, NY 10027
212-678-3929
1-800-575-6566

A number of FACES reports are available on the U.S. Department of Health and Human Services Web site:
http://www.acf.hhs.gov/programs/core/ongoing_research/faces/faces_pubs_reports.html.

The reports include the following:

U.S. Department of Health and Human Services. (2003, June). *Head Start FACES (2000): A whole child perspective on program performance, fourth progress report.* Washington, DC: Author.

U.S. Department of Health and Human Services. (2002, January). *A descriptive study of Head Start families: FACES technical report I.* Washington, DC: Author.

U.S. Department of Health and Human Services. (2001, January). *Head Start FACES: Reaching out to families: Head Start recruitment and enrollment practices*. Washington, DC: Author.

U.S. Department of Health and Human Services. (2001, January). *Head Start FACES (1997): Longitudinal findings on program performance, third progress report.* Washington, DC: Author.

U.S. Department of Health and Human Services. (2000, June). *FACES findings: New research on Head Start program quality and outcomes.* Washington, DC: Author.

U.S. Department of Health and Human Services. (1998, June). *Head Start FACES (Pilot): Program performance measures, second progress report.* Washington, DC: Author.

Information about FACES presentations and papers is available at
http://www.acf.hhs.gov/programs/core/ongoing_research/faces/faces_pres_papers.html.

More information about the FACES validation substudy is available in the following paper:
Vaden-Kiernan, M., D'Elio, M. A., & Sprague, K. (n.d.). *The FACES embedded case study: Documenting the methodology and early findings.* Washington, DC: U.S. Department of Health and Human Services. Available at http://www.acf.hhs.gov/programs/core/ongoing_research/faces/hs_pdf/srcdvss3.pdf

CHILD CARE QUALITY: STRUCTURAL QUALITY

EARLY HEAD START EVALUATION AND TRACKING PRE-K

Measure: Selected "Head Start, preschool, and child care" items from the Parent Interview (Tracking Pre-K sample)

Source

The birth-to-3 phase of the Early Head Start (EHS) evaluation (1996–2001) was funded by the Administration for Children and Families (ACF), U.S. Department of Health and Human Services. The contractor for the evaluation is Mathematica Policy Research, and the subcontractor is the Center for Children and Families at Columbia University, Teachers College. The Tracking Pre-K (TPK) follow-up phase (2001–2004) is also funded by ACF, U.S. Department of Health and Human Services. Mathematica Policy Research is the contractor. In 1997, the National Institute of Child Health and Human Development provided funds (through ACYF) to add a major study of the fathers of EHS children.

Population Assessed

The EHS and TPK follow-up was implemented in 17 EHS programs in all regions of the country. Programs offered center-based, home-based, and mixed-approach services. The families and children who participated in the evaluation were diverse. Many of the families were single-parent, were ethnically diverse (including Hispanic, African American, and White), did not speak English as their primary language, had relatively low educational attainment, and were receiving public assistance of some kind (e.g., Medicaid, WIC, food stamps, AFDC or TANF, and SSI benefits). A total of 3,001 families participated in the evaluation, with 1,513 in the treatment group and 1,488 in the control group. Table 1 contains specifics of the families and children participating in the EHS evaluation.

Table 1. Families and Children in the Early Head Start Evaluation

	Sample in All Sites	
Parent and Family Characteristics	Sample Size	Percent of Families
Mother's Education		
Less than grade 12	1,375	48
Grade 12 or attained a GED	822	29
Greater than grade 12	682	24
Missing	122	
Race and Ethnicity		
White Non-Hispanic	1,091	37
Black Non-Hispanic	1,014	35
Hispanic	693	24
Missing	68	
Welfare Receipt		
Received welfare	842	35

	Sample in All Sites	
Parent and Family Characteristics	Sample Size	Percent of Families
Did not receive welfare	1,554	65
Missing	41	
Primary Language		
English	2,265	79
Other	615	21
Missing	121	
Living Arrangements		
With spouse	752	25
With other adults	1,157	39
Alone	1,080	36
Missing	12	
Focus Child Characteristics		
Age		
Unborn	761	25
Less than 5 months	1,063	35
5 months or older	1,177	39
Missing	0	
Gender		
Male	1,510	51
Female	1,448	49
Missing	43	
Sample Size	3,001	

Source: U.S. Department of Health and Human Services (2001, June).

Periodicity

The parent interview was administered when the children were 14-, 24-, and 36-months old.

Subscales/Components

The majority of questions about child care quality (structural) come from the Head Start, preschool, and child care section within the parent interview. This section focuses on questions to find out about the child's preschool and child care experiences since the last interview or his/her 3rd birthday. Questions address the child's attendance in formal preschool or child care, the type of program the child participated in, the hours per week the child spent in the arrangement, and the licensing and regulating of the provider.

Procedures for Administration

The parent of the focus child completes the interview in a one-on-one setting; the interviewer asks questions and writes the respondent's answers. In addition to the interview, the interviewer conducts a child assessment by asking the parent to talk with the child about

something exciting that's happened recently and videotaping the parent and child playing together. The time needed for the sequence, including the interview, is 1.5 hours.

Psychometrics/Data Quality

Psychometrics and data-quality information is not readily available for the selected items. For the parent interview, primary sources of nonresponse were refusals to participate and inability to locate the families. "For the 24-month PI, 51 percent of the families who did not respond refused to participate, and 44 percent moved or could not be located (the remaining 5 percent included families for whom the interview window closed before the interview was completed). For the 36-month PI, 46 percent of the families who did not respond refused to participate, and 51 percent moved or could not be located (the remaining 3 percent included families for whom the interview window closed before the interview was completed)" (http://www.acf.hhs.gov/programs/core/ongoing_research/ehs/impacts_vol2/impacts_vol2.pdf). Nonresponse was also because of death of the child (12 children in the control group and 9 in the EHS group) and adoption (3 children were adopted after random assignment). Center-based sites were more successful in completing interviews with EHS families than with control group families.

To be included in the impact analyses, measures had to have adequate psychometric properties (e.g., adequate reliability and validity for children from low-income families and for many racial and ethnic groups). In general, measures were chosen that had an internal consistency reliability (coefficient alpha) or .70 or higher and that had consistent reliability across major race/ethnicity subgroups. Constructed variables also had to have sufficient data at the item level (e.g., not missing more than 25 percent of items), adequate distribution of scores (e.g., check mean, standard deviation, skewness, and kurtosis were checked to determine that variables had a normal distribution that was similar to those in other studies using the same measure).

Languages Available

The interview developers do not expressly state availability of the interview in languages other than English.

Items Included

The interviews can be requested by contacting the EHS and TPK Project Director (Dr. John Love, jlove@mathematica-mpr.com) or the ACF Project Officer (Dr. Rachel Cohen, rccohen@acf.hhs.gov).

Head Start, Preschool, and Child Care Items

We are interested in learning about (CHILD)'s preschool and child care experiences since (his/her third birthday/DATE OF LAST TRACKING INTERVIEW).

First, I would like to ask you about formal childcare or preschool programs (CHILD) may have attended since (his/her third birthday/DATE OF LAST TRACKING INTERVIEW). We want to know about child care and preschool programs, including Head Start, rather than less formal child care or babysitting arrangements.

Has (CHILD) attended any formal preschool or child care programs including Head Start since (his/her last birthday/DATE OF LAST TRACKING INTERVIEW)?

Yes (go to formal child care grid)
No
Don't know
Refused

Note: Formal child care grid does not contain questions about child care quality

Now, I would like to ask you about regular informal child care or babysitting arrangements that you use or may have used for (CHILD) since (his/her third birthday/DATE OF LAST TRACKING INTERVIEW). By regular, we mean any arrangements for at least 10 hours a week that lasted 2 weeks or more. By informal, we mean any arrangements, licensed or unlicensed, that are home-based child care or babysitting arrangements.

Has (CHILD) attended any regular informal child care or babysitting arrangements since (his/her third birthday/DATE OF LAST TRACKING INTERVIEW)?

Yes (go to informal child care grid)
No
Don't know
Refused

Informal Child Care Grid (truncated for easy presentation…would also ask for 2nd, 3rd, 4th, 5th, and 6th most recent arrangements)

	Most Recent
a. Please tell me the names of all the regular informal child care arrangements for (CHILD) since (his/her third birthday/DATE OF LAST TRACKING INTERVIEW). Start with the most recent child care arrangement (CHILD) is in.	
b. Is (CHILD) currently in this child care arrangement?	
c. What type of child care arrangement (is/was) it? Child's father or stepfather Your partner or boyfriend Child's grandparent or great grandparent Another relative Nonrelative of child Other arrangement (specify) Don't know Refused	
d. Where (does/did) this child care happen? In your child's home Outside your child's home at a site that is licensed, regulated, or registered Outside your child's home at a site that is not licensed, regulated, or registered	

	Most Recent
Outside your child's home but you are unsure if the site is licensed, regulated, or registered Don't know Refused	
e. About how many hours per week (does/did) (PROVIDER) take care of child?	
f. Would you say (CHILD) typically (spends/spent) less than 2 hours a week, between 2 and 5 hours a week, between 5 and 20 hours a week, between 20 and 40 hours a week, or more than 40 hours a week in this arrangement?	
g. About how many weeks (does/did) (CHILD) usually participate in this program?	

References and Source Documents

The interviews can be requested by contacting the EHS and TPK Project Director (Dr. John Love, jlove@mathematica-mpr.com) or the ACF Project Officer (Dr. Rachel Cohen, rccohen@acf.hhs.gov).

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U.S. Department of Health and Human Services. (2002, June). *Making a difference in the lives of infants and toddlers and their families: The impacts of Early Head Start. Executive summary.* Washington, DC: Author.

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U.S. Department of Health and Human Services. (2000, December). *Leading the way: Characteristics and early experience of selected Early Head Start programs. Volume II: Program profiles.* Washington, DC: Author.

U.S. Department of Health and Human Services. (2000, December). *Leading the way: Characteristics and early experience of selected Early Head Start programs. Volume III: Program implementation.* Washington, DC: Author.

U.S. Department of Health and Human Services. (2000, December). *Leading the way: Characteristics and early experience of selected Early Head Start programs. Executive summary, Volumes I, II, and III.* Washington, DC: Author.

For other papers, please refer to the Early Head Start Collection of Consortium-Written Research Articles and Reports at
http://www.acf.dhhs.gov/programs/core/ongoing_research/ehs/ehs_papers.html

CHILD CARE QUALITY: PROCEDURAL QUALITY

EARLY HEAD START EVALUATION AND TRACKING PRE-K

Measure: Early Head Start Child-Caregiver Observation System

Source

The birth-to-3 phase of the Early Head Start (EHS) evaluation (1996–2001) was funded by the Administration for Children and Families (ACF), U.S. Department of Health and Human Services. The contractor for the evaluation is Mathematica Policy Research, and the subcontractor is the Center for Children and Families at Columbia University, Teachers College. The Tracking Pre-K (TPK) follow-up phase (2001–2004) is also funded by the ACF, U.S. Department of Health and Human Services. Mathematica Policy Research (MPR) is the contractor. In 1997, the National Institute of Child Health and Human Development (NICHD) provided funds (through ACYF) to add a major study of the fathers of EHS children.

The Child-Caregiver Observation System (C-COS) was developed by Mathematica Policy Research under purchase order 43-31KV-7-D0015 from the National Institute on Early Childhood Development and Education, Office of Educational Research and Improvement, U.S. Department of Education. The C-COS and the original manual and training materials were developed with funds from the Administration on Children, Youth, and Families, U.S. Department of Health and Human Services, Contract 105-95-1936 as part of MPR's work in conducting the national evaluation of the EHS programs. The C-COS was created from two observation procedures: the Observational Record of the Caregiving Environment (NICHD Early Child Care Research Network, 1997) developed for the NICHD study of early child care and the Adult Involvement Scale developed by Carollee Howes (Howes & Smith, 1995).

Population Assessed

The EHS and TPK follow-up was implemented in 17 EHS programs in all regions of the country. Programs offered center-based, home-based, and mixed-approach services. The families and children who participated in the evaluation were diverse. Many of the families were single-parent, were ethnically diverse (including Hispanic, African American, and White), did not speak English as their primary language, had relatively low educational attainment, and were receiving public assistance of some kind (e.g., Medicaid, WIC, food stamps, AFDC or TANF, and SSI benefits). A total of 3,001 families participated in the evaluation, with 1,513 in the treatment group and 1,488 in the control group. Table 1 contains specifics of the families and children participating in the EHS evaluation.

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Welfare Receipt		
Received welfare	842	35
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Living Arrangements		
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Focus Child Characteristics		
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5 months or older	1,177	39
Missing	0	
Gender		
Male	1,510	51
Female	1,448	49
Missing	43	
Sample Size	3,001	

Source: U.S. Department of Health and Human Services (2001, June).

Periodicity

The C-COS was administered when the children were 14-, 24-, and 36-months old.

Subscales/Components

The C-COS is a child-focused observation system that is used to ascertain the experiences of children in the caregiving environment (i.e., frequency and quality of caregiving behaviors directed toward an individual child). Information about subscales for the C-COS is not readily available. However, it consists of eight coding categories:

1. Type of caregiver talk (A): responds to focus child's talk, uses language or communication requested, action requested, reads, engages in other talk/singing
2. Who focus child talks to (B): self or unknown, other child(ren), direct provider, other caregivers
3. Who focus child is interacting with or attending to (C): other child(ren) or group, caregiver, material, television or video, none (wandering/unoccupied)
4. Instances of high affect and aggressive behavior directed toward focus child or from focus child (D): smiling/laughing, acting upset/crying, being hit/bothered by other child, hitting/biting/bothering other child
5. Who was main caregiver interacting or attempting to interact with focus child (E): direct provider of care, other caregiver, all caregivers roughly equal, no interaction
6. Caregiver behavior toward focus child (F): ignoring or no interaction, all negative interaction, mostly negative or mostly positive, all positive/neutral
7. Focus child behavior toward caregiver (G): ignoring or no interaction, all negative interaction, mostly negative or mostly positive, all positive/neutral
8. Focus child behavior toward other children (H): ignoring or no interaction, all negative interaction, mostly negative or mostly positive, all positive/neutral

Procedures for Administration

A trained observer administers the C-COS. The observation is conducted over a 2-hour time period using time sampling. Every 20 minutes the observer begins an observation of the focal child that lasts for 5 minutes. During the 5-minute period, the observer is prompted by an audiotape to observe the focus child for 20 seconds and to record the codes for 10 seconds. At the end of each 5-minute period, the observer completes three ratings including the overall quality of the caregiver's behavior toward the child, the child's behavior toward the caregiver, and the child's behavior toward other children in the setting. The C-COS is used with children aged 1 through 5 and can be used to observe quality in any type of child care setting. It is also frequently used with the Arnett Scale and the ITERS, FDCRS, and/or ECERS. For the eight coding categories, the observer records A through E during the 10-second record period described above. F through H are completed at the end of the 5-minute periods. An observer can code more than one category for categories A through D.

Psychometrics/Data Quality

Psychometrics and data-quality information is not readily available for the C-COS.

Languages Available

The C-COS developers do not expressly state availability of the measure in languages other than English.

Items Included

As described above, there are no items involved in the C-COS. The following table shows the recording form that is used for the C-COS observation. It is reprinted here from Boller and Sprachman's *The Child-Caregiver Observation System Instructor's Manual.*

Form |___| of |___|
ID #: |___|___|___|___|___|___|___|___|
Interviewer ID #: |___|___|___|___|

CHILD-CAREGIVER OBSERVATION SYSTEM

CHILD-FOCUSED OBSERVATION FORM

EXHIBIT 1

CODING PERIOD: *START:* |___|___|:|___|___| AM/PM *END:* |___|___|:|___|___| AM/PM CHILD'S AGE: ___ Years ___ Months

CHECK ALL THAT APPLY	1	2	3	4	5	6	7	8	9	10
A. TYPE OF CAREGIVER TALK (ALL CODES IN "A" ARE FC/FC GROUP EXCEPT RESPONDS)										
Responds to FOCUS CHILD (FC) Talk *(CODE TYPE BELOW)*										
Language or Communication Requested										
Action Requested										
Reading										
Other Talk/Singing										
B. FC TALKS TO . . .										
Self or Unknown										
Other Child(ren)										
Direct Provider										
Other Caregivers										
C. FC INTERACTION WITH OR ATTENDING TO . . .										
Other Child(ren) or Group										
Caregiver										
Material (Played with or explored)										
Television or Video										
None: Wandering/Unoccupied										
D. FC WAS . . .										
Smiling/Laughing										
Upset/Crying										
Being Hit/Bit/Bothered by Other Child										
Hitting/Biting/Bothering Other Child										
E. THE MAIN CAREGIVER INTERACTING OR ATTEMPTING TO INTERACT WITH FC WAS . . . CHECK ONE ONLY										
Direct Provider of Care										
Other Caregiver										
All Caregivers Roughly Equal										
No Interaction										

OVERALL QUALITY RATINGS

CODE AT END OF 5 MINUTES

	Ignoring/ None	All Negative	Mostly Negative	Mostly Positive/ Neutral	All Positive/ Neutral
F. CAREGIVER BEHAVIOR → FC	0	1	2	3	4
G. FC BEHAVIOR → CAREGIVER	0	1	2	3	4
H. FC BEHAVIOR → OTHER CHILD(REN)	0	1	2	3	4

Child-Caregiver Observation System B.8 Mathematica Policy Research, Inc.

References and Source Documents

Boller, K., & Sprachman, S. (1998). *The Child-Caregiver Observation System Instructor's Manual.* Mathematica Policy Research, Inc: Princeton, NJ

Howes, C., & Smith, E. (1995). Relations among child care quality, teacher behavior, children's play activities, and cognitive activity in child care. *Early Childhood Research Quarterly, 10,* 381-404.

NICHD Early Child Care Research Network (1996). Characteristics of infant child care: Factors contributing to positive caregiving. *Early Childhood Research Quarterly, 11,* 269–306.

A number of reports are available on the U.S. Department of Health and Human Services Web site: http://www.acf.hhs.gov/programs/core/ongoing_research/ehs/ehs_reports.html#briefs

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U.S. Department of Health and Human Services. (2002, June). *Making a difference in the lives of infants and toddlers and their families: The impacts of Early Head Start. Executive summary.* Washington, DC: Author.

U.S. Department of Health and Human Services. (2002, June). *Making a difference in the lives of infants and toddlers and their families: The impacts of Early Head Start. Volume I: Final technical report.* Washington, DC: Author.

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U.S. Department of Health and Human Services. (2000, December). *Leading the way: Characteristics and early experience of selected Early Head Start programs. Volume II: Program profiles.* Washington, DC: Author.

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CHILD CARE QUALITY: STRUCTURAL AND PROCEDURAL QUALITY

EARLY HEAD START EVALUATION AND TRACKING PRE-K

Measure: Infant/Toddler Environment Rating Scale

Source

The birth-to-3 phase of the Early Head Start (EHS) evaluation (1996–2001) was funded by the Administration for Children and Families (ACF), U.S. Department of Health and Human Services. The contractor for the evaluation is Mathematica Policy Research (MPR) and the subcontractor is the Center for Children and Families at Columbia University, Teachers College. The Tracking Pre-K (TPK) follow-up phase (2001–2004) is also funded by the ACF, U.S. Department of Health and Human Services. MPR is the contractor. In 1997, the National Institute of Child Health and Human Development provided funds (through ACYF) to add a major study of the fathers of EHS children.

The Infant/Toddler Environment Rating Scale (ITERS) was developed by Harms, Cryer, and Clifford.

In addition to the EHS evaluation and TPK study, this measure was used by the following EDCP evaluations and surveys: National Child Care Staffing Study.

Population Assessed

The EHS and TPK follow-up was implemented in 17 EHS programs in all regions of the country. Programs offered center-based, home-based, and mixed-approach services. The families and children who participated in the evaluation were diverse. Many of the families were single-parent, were ethnically diverse (including Hispanic, African American, and White), did not speak English as their primary language, had relatively low educational attainment, and were receiving public assistance of some kind (e.g., Medicaid, WIC, food stamps, AFDC or TANF, and SSI benefits). A total of 3,001 families participated in the evaluation, with 1,513 in the treatment group and 1,488 in the control group. Table 1 contains specifics of the families and children participating in the EHS evaluation.

Table 1. Families and Children in the Early Head Start Evaluation

	Sample in All Sites	
Parent and Family Characteristics	Sample Size	Percent of Families
Mother's Education		
Less than grade 12	1,375	48
Grade 12 or attained a GED	822	29
Greater than grade 12	682	24
Missing	122	
Race and Ethnicity		
White Non-Hispanic	1,091	37
Black Non-Hispanic	1,014	35
Hispanic	693	24
Missing	68	
Welfare Receipt		
Received welfare	842	35
Did not receive welfare	1,554	65
Missing	41	
Primary Language		
English	2,265	79
Other	615	21
Missing	121	
Living Arrangements		
With spouse	752	25
With other adults	1,157	39
Alone	1,080	36
Missing	12	
Focus Child Characteristics		
Age		
Unborn	761	25
Less than 5 months	1,063	35
5 months or older	1,177	39
Missing	0	
Gender		
Male	1,510	51
Female	1,448	49
Missing	43	
Sample Size	3,001	

Source: U.S. Department of Health and Human Services. (2001, June). Building their futures: How Early Head Start programs are enhancing the lives of infants and toddlers in low-income families. Volume I: Technical report. Washington, DC: Author.

Periodicity

The ITERS was used when the children were 14 and 24 months old.

Subscales/Components

The ITERS is designed to assess group programs for children from birth to 2.5 years. The ITERS has seven subscales each with it's own set of items:

1. Furnishings and Display for Children (furnishings for routine care [feeding and sleeping, storage of child's possessions], use of furnishings for learning activities, furnishings for relaxation and comfort, room arrangement, and display for children)
2. Personal Care Routines (greeting/departing, meals/snacks, nap, diapering/toileting, personal grooming, health practice, health policy, safety practice, and safety policy)
3. Listening and Talking (informal use of language, books, and pictures)
4. Learning Activities (eye-hand coordination, active physical play, art, music and movement, blocks, pretend play, sand and water play, and cultural awareness)
5. Interaction (peer interaction, caregiver-child interaction, and discipline)
6. Program Structure (schedule of daily activities, supervision of daily activities, staff cooperation, and provisions for exceptional children)
7. Adult Needs (adult personal needs, opportunities for professional growth, adult meeting area, and provisions for parents)

Procedures for Administration

The ITERS is completed during an in-depth observation of the group day care. The ITERS consists of 35 items each of which is rated on a 7-point scale with four anchors (1=inadequate; 3=minimal; 5=good; 7=excellent). Overall quality ratings are determined by averaging scores across items and higher scores indicate higher day care quality.

Psychometrics/Data Quality

Information on psychometrics and data quality is not readily available for use of the ITERS in the EHS Evaluation and TPK.

Languages Available

The ITERS is available in English, Dutch, French, German, and Italian.

Items Included

The ITERS is copyrighted and was reprinted for the EHS evaluation and TPK by permission of the scale developers. The subscales of the profile are not reproduced in full in this document. Examples of items from the subscales are not readily available, but the ITERS is an adaptation of the ECERS and the FDCRS and have similar items with content appropriate for infants and toddlers in group care. The ITERS can be purchased from the study developers by

contacting Teachers College Press (full contact information listed in the references and source documents section).

References and Source Documents

Harms, T., Cryer, D., & Clifford, R. M. (1990). *Infant/Toddler Environment Rating Scale (ITERS).* New York: Teachers College Press.

Harms, T., Cryer, D., & Clifford, R. M. (1995). *Infant/Toddler Environment Rating Scale*. Reiling, E. J., Verhoeven, M. J. E., & Tavecchio, L. W. C. (Translators), *ITERS: Infant/Toddler Environment Rating Scale.* Handleiding. Leiden: Afdeling Algemene en Gezinspedagogiek, Universiteit Leiden.

Harms, T., Cryer, D., & Clifford, R. M. (1997). *Infant/Toddler Environment Rating Scale*. A. Pomerleau, N. Bigras, R. Seguin, & G. Malcuit (Translators), *Echelle d'evaluation. Environnement Des Nourrissons Et Des Tout-Petits.* Canada: Presses De L'Universite Du Quebec.

Harms, T., Cryer, D., & Clifford, R. M. (in press, expected spring, 2002). *Infant/Toddler Environment Rating Scale.* W. Tietze, et. al. (Translators), *Krippen Skala (KRIPS).* Neuwied, Kriftel, Berlin: Luchterhand Verlag.

Harms, T., Cryer, D., & Clifford, R. M. (1992). *Infant/Toddler Environment Rating Scale.* M. Ferrari, & P. Livraghi (translators), *Scala per la Valutazione dell'Asilo Nido.* Milano, Italy: Franco Angeli.

More information about the ITERS is available on the Frank Porter Graham, University of North Carolina Web site at http://www.fpg.unc.edu/~ecers/.

Ordering information for the ITERS is
Teachers College Press
1234 Amsterdam Ave.
New York, NY 10027
212-678-3929
1-800-575-6566

A number of reports are available on the U.S. Department of Health and Human Services Web site: http://www.acf.hhs.gov/programs/core/ongoing_research/ehs/ehs_reports.html#briefs

The reports include the following:

U.S. Department of Health and Human Services. (2002, December). *Pathways to quality and full implementation in Early Head Start Programs.* Washington, DC: Author.

U.S. Department of Health and Human Services. (2002, June). *Making a difference in the lives of infants and toddlers and their families: The impacts of Early Head Start. Executive summary.* Washington, DC: Author.

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U.S. Department of Health and Human Services. (2002, June). *Making a difference in the lives of infants and toddlers and their families: The impacts of Early Head Start. Volume II: Final technical report appendixes.* Washington, DC: Author.

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U.S. Department of Health and Human Services. (2000, December). *Leading the way: Characteristics and early experience of selected Early Head Start programs. Volume II: Program profiles.* Washington, DC: Author.

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CHILD CARE QUALITY: STRUCTURAL AND PROCEDURAL QUALITY

EARLY HEAD START EVALUATION AND TRACKING PRE-K

Measure: Selected "child care" items from the Parent Interview (Early Head Start sample)

Source

The birth-to-3 phase of the Early Head Start (EHS) evaluation (1996–2001) was funded by the Administration for Children and Families (ACF), U.S. Department of Health and Human Services. The contractor for the evaluation is Mathematica Policy Research (MPR) and the subcontractor is the Center for Children and Families at Columbia University, Teachers College. The Tracking Pre-K (TPK) follow-up phase (2001–2004) is also funded by the ACF, U.S. Department of Health and Human Services. MPR is the contractor. In 1997, the National Institute of Child Health and Human Development provided funds (through ACYF) to add a major study of the fathers of EHS children.

Population Assessed

The EHS and TPK follow-up was implemented in 17 EHS programs in all regions of the country. Programs offered center-based, home-based, and mixed-approach services. The families and children who participated in the evaluation were diverse. Many of the families were single-parent, were ethnically diverse (including Hispanic, African American, and White), did not speak English as their primary language, had relatively low educational attainment, and were receiving public assistance of some kind (e.g., Medicaid, WIC, food stamps, AFDC or TANF, and SSI benefits). A total of 3,001 families participated in the evaluation, with 1,513 in the treatment group and 1,488 in the control group. Table 1 contains specifics of the families and children participating in the EHS evaluation.

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Black Non-Hispanic	1,014	35
Hispanic	693	24
Missing	68	
Welfare Receipt		
Received welfare	842	35

	Sample in All Sites	
Parent and Family Characteristics	Sample Size	Percent of Families
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Missing	41	
Primary Language		
English	2,265	79
Other	615	21
Missing	121	
Living Arrangements		
With spouse	752	25
With other adults	1,157	39
Alone	1,080	36
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Focus Child Characteristics		
Age		
Unborn	761	25
Less than 5 months	1,063	35
5 months or older	1,177	39
Missing	0	
Gender		
Male	1,510	51
Female	1,448	49
Missing	43	
Sample Size	3,001	

Source: U.S. Department of Health and Human Services (2001, June).

Periodicity

The parent interview was administered when the children were 14-, 24-, and 36-months old.

Subscales/Components

The majority of questions about child care quality (structural and procedural) came from the child care section in the parent interview. The section on child care asks about how much time the parent and other people spend taking care of the child. Questions address the child's child care arrangement of more than 10 hours per week, the number of arrangements for the child, and the age of the child when he/she began the care arrangement. Specific quality questions ask the parent the extent of his/her agreement with statements about the caregiver including whether the caregiver is a caring person, whether the caregiver has the knowledge/skills necessary to be a good caregiver, and whether the parent trusts the provider to give good, consistent care.

Procedures for Administration

The parent of the focus child completes the interview in a one-on-one setting where the interviewer asks questions and writes the respondent's answers. In addition to the interview, the

interviewer conducts a 30-minute child assessment and videotapes the parent and child playing together. The time needed for the sequence, including the interview, is 2.5 hours.

Psychometrics/Data Quality

Psychometrics and data-quality information is not readily available for the selected items. For the parent interview, primary sources of nonresponse were refusals to participate and inability to locate the families. "For the 24-month PI, 51 percent of the families who did not respond refused to participate, and 44 percent moved or could not be located (the remaining 5 percent included families for whom the interview window closed before the interview was completed). For the 36-month PI, 46 percent of the families who did not respond refused to participate, and 51 percent moved or could not be located (the remaining 3 percent included families for whom the interview window closed before the interview was completed)" (http://www.acf.hhs.gov/programs/core/ongoing_research/ehs/impacts_vol2/impacts_vol2.pdf). Nonresponse was also because of the death of the child (12 children in the control group and 9 in the EHS group) and adoption (3 children were adopted after random assignment). Center-based sites were more successful in completing interviews with EHS families than with control group families.

To be included in the impact analyses, measures had to have adequate psychometric properties (e.g., adequate reliability and validity for children from low-income families and for many racial and ethnic groups). In general, measures were chosen that had an internal consistency reliability (coefficient alpha) or .70 or higher and that had consistent reliability across major race/ethnicity subgroups. Constructed variables also had to have sufficient data at the item level (e.g., not missing more than 25 percent of items), adequate distribution of scores (e.g., check mean, standard deviation, skewness, and kurtosis were checked to determine that variables had a normal distribution that was similar to those in other studies using the same measure).

Languages Available

The interview developers do not expressly state availability of the interview in languages other than English.

Items Included

The interviews can be requested by contacting the EHS and TPK Project Director (Dr. John Love, jlove@mathematica-mpr.com) or the ACF Project Officer (Dr. Rachel Cohen, rccohen@acf.hhs.gov).

Child Care Items

The next questions are about how much time you and other people spend taking care of (CHILD).

Is (CHILD) currently being cared for in any regular child care arrangement for two weeks or more while your work, go to school, or participate in some regular activity. By regular we mean arrangements for at least 10 hours per week that lasted two weeks or more. Think about child care arrangement like the ones listed on this card.

Yes (go to 3)
No

Is (CHILD) currently being cared for by anyone else on a regular basis?

Yes
No (go to next section)

Not counting yourself, how many different child care arrangements are you currently using for (CHILD)?

Please count each sitter or child care provider separately. Count only those that lasted two weeks or more and please county only those that you used at least 10 hours per week.

How much (does/did) your household pay for this (program/arrangement)? RECORD AMOUNT AND TIME PERIOD.

Household pays nothing
Child care provided in exchange for other service
Amount per hour, day, week, every two weeks, month, year, or don't know

Next, I am going to read some statements parents have made about the people who take care of their children. For each one, please tell me if you strongly agree, mildly agree, mildly disagree, or strongly disagree with the statement about (NON-RELATIVE CURRENT PROVIDER).

Do you strongly agree, mildly agree, mildly disagree, or strongly disagree with the statement about (NON-RELATIVE CURRENT PROVIDER).

	Strongly agree	Mildly agree	Not sure	Mildly disagree	Strongly disagree
a. You feel that (NON-RELATIVE CURRENT PROVIDER) genuinely cares for (CHILD)					
b. (NON-RELATIVE CURRENT PROVIDER) is someone you can rely on					
c. You have a great deal of personal respect for (NON-RELATIVE CURRENT PROVIDER)					
d. Overall (NON-RELATIVE CURRENT PROVIDER) is a caring person					
e. (NON-RELATIVE CURRENT PROVIDER) has the knowledge and skills needed to be a good caregiver					

	Strongly agree	Mildly agree	Not sure	Mildly disagree	Strongly disagree
f. You and (NON-RELATIVE CURRENT PROVIDER) really seem to value your relationship with each other					
g. You know that (CHILD) really enjoys being with (NON-RELATIVE CURRENT PROVIDER)					
h. You always trust (NON-RELATIVE CURRENT PROVIDER) to give (CHILD) good, consistent care					
i. You really like (NON-RELATIVE CURRENT PROVIDER) as a person and enjoy being in (her/his) presence					

References and Source Documents

The interviews can be requested by contacting the EHS and TPK Project Director (Dr. John Love, jlove@mathematica-mpr.com) or the ACF Project Officer (Dr. Rachel Cohen, rccohen@acf.hhs.gov).

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Local contributions to understanding programs and their impacts. Washington, DC: Author.

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CHILD CARE QUALITY: STRUCTURAL QUALITY

NATIONAL HEAD START IMPACT STUDY

Measure: Selected "staffing and recruitment" and "teacher and staff training" items from the Center Director/Setting Interview

Source

The National Head Start Impact Study is funded by the Administration for Children and Families in the U.S. Department of Health and Human Services. Westat (prime contractor) conducts the study in collaboration with the Urban Institute, the American Institutes for Research, and Decision Information Resources (the subcontractors).

The Head Start Impact Study staff developed the structural items with the assistance of child care and preschool experts. Some items were modified from the Family and Child Experiences Survey.

Population Assessed

The Head Start Impact Study involves 4,750 (2,829 treatment and 1,921 control) 3- and 4-year-old newly entering Head Start-eligible preschool children across 84 nationally representative grantees and delegate agencies in communities where there are more eligible children and families than can be served by the program. Of the 4,750 children selected for the study, approximately 42 percent are Hispanic; 27 percent, Black; 28 percent, White; and 3 percent, other. Sixty-six percent of the children speak English as their primary language, 31 percent speak Spanish, and 3 percent speak a language other than Spanish or English. Gender is evenly split on the child sample.

The sample selection process began by including all fiscal year 1999–2000 Head Start grantees and delegate agencies in all 50 states, Washington, DC, and Puerto Rico. Programs that were very new, migrant, or tribal or that offered Early Head Start only were excluded. Geographic grantee clusters were developed using a minimum of eight grantees/delegate agencies per cluster, and the clusters were grouped into 25 strata using state pre-K and childcare policy, child race/ethnicity, and urban/rural location and region as stratifiers. One cluster was selected per strata with probability proportional to size (N = 261 grantees/delegate agencies). Next, the eligibility of grantees/delegate agencies in each cluster was determined. Those that were closed or merged and those that were saturated (have very few children in the community who are not served) were excluded. Remaining grantees/delegate agencies within the clusters were then stratified based on grantee/delegate agency characteristics including local contextual variables. Three grantees/delegate agencies were randomly selected from each cluster. These grantees/delegate agencies were contacted for participation in the study, and the list of centers operating within these grantees/delegate agencies in 2002–2003 was compiled. Center eligibility was determined by excluding saturated centers and combining small centers with nearby centers to create center groups. Using the same stratification characteristics as used for the grantees/delegate agencies, approximately three centers were selected from each grantee/delegate agency based on proportional probabilities (i.e., larger centers have greater chance of selection). The final sample included 378 centers within 84 grantees/delegate agencies. Once the centers

were selected, random assignment of children within these centers resulted in 2,829 children in the treatment group and 1,921 children in the comparison group, for a total of 4,750 children.

Children selected were considered part of one of two cohorts. Cohort one included children who were 3-years-old in the 2002–2003 school year. Cohort one will be followed through 2005–2006, when they will have reached first grade. Cohort two consists of children who were 4-years-old during the 2002–2003 school year and thus are moving into kindergarten in the 2003–2004 school year. Cohort two will be followed through their first-grade year in 2004–2005.

Periodicity

The center director/setting interview was administered during spring 2003 and will be administered in spring 2004 to center directors or care providers responsible for children in the 3-year old cohort.

Subscales/Components

The first year of data collection is complete, but subscales are not yet available. The majority of questions about child care quality (structural) come from two sections within the center director/setting interview: staffing and recruitment, and teacher and staff training. The questions in the staffing and recruitment section ask about the number of years that the center director has been employed in his/her current position, the number of years that the center director has worked in center-based and child care programs (e.g., Head Start, non-Head Start center-based programs, non center- based programs), the highest year of school achieved, the center director's college degree (e.g., child development, early childhood education, elementary education), and the percentage of teachers in the center who have specialized training (e.g., CDA or state awarded preschool certificate). The section on teacher and staff training asks four questions that target structural quality in the classroom: the opportunity lead teachers have to observe other classroom settings, the existence of mentor teachers, the assistance to teachers for getting college degrees, and the frequency of provision of training for staff members.

Procedures for Administration

The center director completes the interview. The center director/setting interview takes about 60 minutes to complete.

Psychometrics/Data Quality

Psychometric data for the study is not yet available.

Languages Available

The center director/setting interview is available in English. If the respondent does not speak English, an interpreter translates the instrument into the respondent's native language.

Items Included

The measure is not reproduced in full in this document, but examples are given. The measure can be requested by contacting the Head Start Impact Study Project Director (Ronna Cook, ronnacook@westat.com) or the ACF Project Officer (Dr. Michael Lopez, milopez@acf.hhs.gov).

Example Staffing and Recruitment Items

What is the highest grade or year of school that (you/the Center Director) completed? (CIRCLE ONE RESPONSE)

Up to 8th grade
9th to 11th grade
12th grade but no diploma
High school diploma
High school equivalent
Voc/Tech program after high school but no voc/tech diploma
Voc/Tech diploma after high school
Some college but no degree
Associate's degree
Bachelor's degree
Graduate or professional school but no degree
Master's degree (MA, MS)
Doctorate degree (Ph.D., Ed.D.)
Professional degree after bachelor's degree (medicine/MD; dentistry/DDS; Law/JD/LLB/ etc.)

Is (your/the Center Director's) degree(s) in … (CIRCLE ALL THAT APPLY)

Child Development or Developmental Psychology
Early Childhood Education
Elementary Education
Other field (specify)

The next set of questions asks for information about center staff. For the purposes of answering the questions, the "lead teacher" refers to the person in charge of the classroom. Other staff positions, such as assistant teachers and aide, refer to positions under the supervision of the lead teacher.

Approximately what percentage of lead and assistant teachers in your center have a(n):

Child development associate (CDA) credential or state-awarded preschool certificate
Teaching certificate or license
Associates degree
Bachelors degree or higher

Example Teacher and Staff Training Items

Are lead teachers offered the opportunity to observe other classroom settings for learning purposes?

Are there any efforts to used to help lead teachers or assistant teachers get their college degrees, CDAs (child development associate credential), or early childhood certification?

References and Source Documents

Research design documents for the National Head Start Impact Study are available at http://www.acf.hhs.gov/programs/core/ongoing_research/hs/impact_reports.html#resrch

Other available reports include the following:

U.S. Department of Health and Human Services. (2003, March). *Building futures: Head Start Impact Study frequently asked questions.* Washington, DC: Author.

U.S. Department of Health and Human Services. (2001, March). *Building futures: The Head Start Impact Study research design plan* (updated version).Washington, DC: Author.

U.S. Department of Health and Human Services. (2001, January). *Building futures: The Head Start Impact Study research design plan.* Washington, DC: Author.

U.S. Department of Health and Human Services. (2002, June). *National Head Start Impact research: Second report to Congress.* Washington, DC: Author.

U.S. Department of Health and Human Services. (1999, October). *Evaluating Head Start: A recommended framework for studying the impact of the program.* Washington, DC: Author.

Ongoing and updated information about the National Head Start Impact Study is available at http://www.acf.hhs.gov/programs/core/ongoing_research/hs/impact_intro.html.

CHILD CARE QUALITY: PROCEDURAL QUALITY

NATIONAL HEAD START IMPACT STUDY

Measure: Selected "program information" items from the Care Provider Interview and the Teacher Survey and "curriculum and assessment" items from the Center Director/Setting Interview

Source

The National Head Start Impact Study is funded by the Administration for Children and Families in the U.S. Department of Health and Human Services. Westat (prime contractor) conducts the study in collaboration with the Urban Institute, the American Institutes for Research, and Decision Information Resources (the subcontractors).

The Head Start Impact Study staff developed the procedural quality items with assistance from child care and preschool experts. Some items were modified from the Family and Child Experiences Survey.

Population Assessed

The Head Start Impact Study involves 4,750 (2,829 treatment and 1,921 control) 3- and 4-year-old newly entering Head Start-eligible preschool children across 84 nationally representative grantees and delegate agencies in communities where there are more eligible children and families than can be served by the program. Of the 4,750 children selected for the study, approximately 42 percent are Hispanic; 27 percent, Black; 28 percent, White; and 3, percent are other. Sixty-six percent of the children speak English as their primary language, 31 percent speak Spanish, and 3 percent speak a language other than Spanish or English. Gender is evenly split on the child sample.

The sample selection process began by including all fiscal year 1999–2000 Head Start grantees and delegate agencies in all 50 states, Washington, DC, and Puerto Rico. Programs that were very new, migrant, or tribal or that offered Early Head Start only were excluded. Geographic grantee clusters were developed using a minimum of eight grantees/delegate agencies per cluster, and the clusters were grouped into 25 strata using state pre-K and childcare policy, child race/ethnicity, and urban/rural location and region as stratifiers. One cluster was selected per strata with probability proportional to size (N = 261 grantees/delegate agencies). Next, the eligibility of grantees/delegate agencies in each cluster was determined. Those that were closed or merged and those that were saturated (have very few children in the community who are not served) were excluded. Remaining grantees/delegate agencies within the clusters were then stratified based on grantee/delegate agency characteristics including local contextual variables. Three grantees/delegate agencies were randomly selected from each cluster. These grantees/delegate agencies were contacted for participation in the study and the list of centers operating within these grantees/delegate agencies in 2002–2003 was compiled. Center eligibility was determined by excluding saturated centers and combining small centers with nearby centers to create center groups. Using the same stratification characteristics as used for the grantees/delegate agencies, approximately three centers were selected from each grantee/delegate

agency based on proportional probabilities (i.e., larger centers have greater chance of selection). The final sample included 378 centers within 84 grantees/delegate agencies. Once the centers were selected, random assignment of children within these centers resulted in 2,829 children in the treatment group and 1,921 children in the comparison group for a total of 4,750 children.

Children selected were considered part of one of two cohorts. Cohort one included children who were 3-years-old in the 2002–2003 school year. Cohort one will be followed through 2005–2006, when they will have reached first grade. Cohort two consists of children who were 4-years-old during the 2002–2003 school year, and thus are moving into kindergarten in the 2003–2004 school year. Cohort two will be followed through their first grade year in 2004–2005.

Periodicity

Staff instruments are administered in the spring of each year through the child's first grade year.

Subscales/Components

The first year of data collection is complete, but subscales are not yet available. The majority of questions about child care quality (procedural) come from two sections within the care provider interview and the teacher survey: program information and curriculum and assessment. The program information section asks a number of questions to assess procedural quality that focus on the things that a care provider does with the children who are in his/her care. These items include the time children spend daily in specific activities (e.g., child-chosen activities and adult-directed activities), the frequency with which numerous reading and language activities are done with children in care (e.g., working on learning the names of letters, discussing new words, retelling or making up stories), the frequency that children do other activities (e.g., counting out loud, working with shape blocks, working on arts and crafts, playing sports/exercise), the use of a specific curriculum, the training the teacher received on the curriculum, the number of components in the curriculum (e.g., addressing different areas of learning and involving of parents as partners in learning), the extent of agreement with statements about preparation for school (e.g., homework should be given to kindergarten children almost everyday, and parents should read to children regularly), and the extent of agreement with statements about how children in pre-k should be taught and managed (e.g., activities in preschool should respond to individual differences in development and students should work silently and alone on seatwork). The section on curriculum and assessment focuses on the center's use of a specific curriculum; an explanation of the curriculum; and the specifics of the curriculum, such as goals for children's learning and development, specific activities for children, and suggested teaching materials.

Procedures for Administration

Care Provider Interview

The care provider interview takes about 30 minutes to complete.

Teacher Survey

The teacher survey takes about 30 minutes to complete.

Center Director/Setting Interview

The center director/setting interview takes about 60 minutes to complete.

Psychometrics/Data Quality

Psychometric data for the study is not yet available.

Languages Available

The teacher survey and care provider interview are available in English and Spanish. The center director/setting interview is available in English. If the teacher or care provider does not speak English or Spanish, an interpreter translates the instrument into the respondent's native language. If the center director does not speak English, an interpreter translates the instruments into the respondent's native language.

Items Included

The items are not reproduced in full in this document, but examples are given. The interviews can be requested by contacting the Head Start Impact Study Project Director (Ronna Cook, ronnacook@westat.com) or the ACF Project Officer (Dr. Michael Lopez, milopez@acf.hhs.gov).

Example of Program Information Items

Now I am going to ask you some questions about the things that you do with the children in your care. In general, these questions apply to children who are pre-school age. As I ask questions, think about children in your care who are pre-school age.

How much time does/do the child(ren) in your care spend daily in the following kinds of activities? Do not include lunch or nap breaks. (USE RESPONSE CARD)

	No time	Half hour or less	About one hour	About two hours	Three or four hours	Five hours or more	NA
a. Child chooses activities							
b. Adult directs individual activities							

How often does/do the child(ren) do each of the following activities? (USE RESPONSE CARD)

	Never	Once a month or less	Two or three times a month	Once or twice a week	Three or four times a week	Every day
a. Count out loud						
b. Work with shape blocks						
c. Use music to understand math ideas (e.g., counting songs)						
d. Talk about calendar or days of the week						

Do you use a specific curriculum or combination of curricula?

Have you received training in the curriculum?

The following items are statements that some teachers have made about how children in preschool should be taught and managed. Indicate to what extent each statement agrees or disagrees with your personal beliefs about good teaching practice in preschool programs. (SHOW RESPONSE CARD)

	Strongly disagree	Disagree	Neither agree nor disagree	Agree	Strongly agree
a. Activities in preschool classrooms should respond to individual differences in development					
b. Each curriculum area should be taught as a separate subject at separate times					
c. Three- and four-year-old children should choose many of their own activities that the provider has prepared such as writing, science, etc					

Examples of Curriculum and Assessment Items

Does your center use a specific curriculum or combination of curricula?

If your principal curriculum has a name, what is that name?

If your additional curricula have names, what are they?

Does the principal curriculum used by your center specify the following? (CIRCLE YES OR NOT FOR EACH ITEM)

Goals for children's learning and development
Specific activities for children
Suggested teaching strategies
Suggested teaching materials
Ways to involve parents in their child's learning activities

References and Source Documents

Research design documents for the National Head Start Impact Study are available at http://www.acf.hhs.gov/programs/core/ongoing_research/hs/impact_reports.html#resrch

Other available reports include the following:

U.S. Department of Health and Human Services. (2003, March). *Building futures: Head Start Impact Study frequently asked questions.* Washington, DC: Author.

U.S. Department of Health and Human Services. (2001, March). *Building futures: The Head Start Impact Study research design plan* (updated version).Washington, DC: Author.

U.S. Department of Health and Human Services. (2001, January). *Building futures: The Head Start Impact Study research design plan.* Washington, DC: Author.

U.S. Department of Health and Human Services. (2002, June). *National Head Start Impact research: Second report to Congress.* Washington, DC: Author.

U.S. Department of Health and Human Services. (1999, October). *Evaluating Head Start: A recommended framework for studying the impact of the program.* Washington, DC: Author.

Ongoing and updated information about the National Head Start Impact Study is available at http://www.acf.hhs.gov/programs/core/ongoing_research/hs/impact_intro.html.

CHILD CARE QUALITY: PROCEDURAL QUALITY

NATIONAL HEAD START IMPACT STUDY

Measure: Classroom Observation of Teacher-Directed Activities

Source

The National Head Start Impact Study is funded by the Administration for Children and Families in the U.S. Department of Health and Human Services. Westat (prime contractor) conducts the study in collaboration with the Urban Institute, the American Institutes for Research, and Decision Information Resources (the subcontractors).

The Family and Child Experiences Survey staff developed the checklist of teacher-directed activities.

Population Assessed

The Head Start Impact Study involves 4,750 (2,829 treatment and 1,921 control) 3- and 4-year-old newly entering Head Start-eligible preschool children across 84 nationally representative grantees and delegate agencies in communities where there are more eligible children and families than can be served by the program. Of the 4,750 children selected for the study, approximately 42 percent are Hispanic; 27 percent, Black; 28 percent, White; and 3 percent, are other. Sixty-six percent of the children speak English as their primary language, 31 percent speak Spanish, and 3 percent speak a language other than Spanish or English. Gender is evenly split on the child sample.

The sample selection process began by including all fiscal year 1999–2000 Head Start grantees and delegate agencies in all 50 states, Washington, DC, and Puerto Rico. Programs that were very new, migrant, tribal, migrant, or tribal or that offered Early Head Start only were excluded. Geographic grantee clusters were developed using a minimum of eight grantees/delegate agencies per cluster, and the clusters were grouped into 25 strata using state pre-K and childcare policy, child race/ethnicity, and urban/rural location and region as stratifiers. One cluster was selected per strata with probability proportional to size (N = 261 grantees/delegate agencies). Next, the eligibility of grantees/delegate agencies in each cluster was determined. Those that were closed or merged and those that were saturated (have very few children in the community who are not served) were excluded. Remaining grantees/delegate agencies within the clusters were then stratified based on grantee/delegate agency characteristics including local contextual variables. Three grantees/delegate agencies were randomly selected from each cluster. These grantees/delegate agencies were contacted for participation in the study and the list of centers operating within these grantees/delegate agencies in 2002–2003 was compiled. Center eligibility was determined by excluding saturated centers and combining small centers with nearby centers to create center groups. Using the same stratification characteristics as used for the grantees/delegate agencies, approximately three centers were selected from each grantee/delegate agency based on proportional probabilities (i.e., larger centers have greater chance of selection). The final sample included 378 centers within 84 grantees/delegate agencies. Once the centers

were selected, random assignment of children within these centers resulted in 2,829 children in the treatment group and 1,921 children in the comparison group for a total of 4,750 children.

Children selected were considered part of one of two cohorts. Cohort one included children who were 3-years-old in the 2002–2003 school year. Cohort one will be followed through 2005–2006, when they will have reached first grade. Cohort two consists of children who were 4-years-old during the 2002–2003 school year, and thus are moving into kindergarten in the 2003–2004 school year. Cohort two will be followed through their first grade year in 2004–2005.

Periodicity

This measure was used in spring 2003 and will be used in spring 2004 for the children in the 3-year old cohort.

Subscales/Components

The first year of data collection is complete, but subscales are not yet available. The measure examines whether or not certain teacher-directed activities (e.g., teaching letters of the alphabet, naming colors, show-and-tell) occurred during the day and whether it occurred individually, as part of a small group, or as part of a large group.

Procedures for Administration

The study-appointed observer completes a classroom observation of teacher-directed activities. He/She is given the following instructions: For each play or learning activity that you observe during the course of the classroom day, check whether it occurred and in which group setting. You have to observe only the activity once to check a given box.

- Count any teacher-directed play of learning activity led by either the lead or assistant teacher. Teacher-directed activities are those where the teacher is in charge of the activity and usually involves some planning and a goal for the activity;
- Do not include activities led by an adult volunteer.
- Check the group type, either individual teacher-child attention (one teacher working with one child separately from the rest of the children), in small groups of 3–8 children, or in the whole group (entire class).
- Do not check more than one activity item for any given play or learning activity you observe.
- Do not code routine activities (i.e., snack, lunch, toileting, nap) or transitions between activities (i.e., cleanup).

Psychometrics/Data Quality

Psychometric data for the study is not yet available.

Languages Available

Observation instruments are in English.

Items Included

The measure is not reproduced in full in this document, but examples are given. The measure can be requested by contacting the Head Start Impact Study Project Director (Ronna Cook, ronnacook@westat.com) or the ACF Project Officer (Dr. Michael Lopez, milopez@acf.hhs.gov).

Example Items

Teacher-Directed Activity Item	Group Type		
	Individual Attention	Small Group	Whole Group
a. Reading stories			
b. Teaching visual arts such as drawing, painting, modeling, play dough, sand-play			
c. Naming colors			
d. Leading a discussion about where things come from, how everyday events occur, etc.			
e. Giving instruction in health, hygiene, or nutrition (not part of daily routines)			

References and Source Documents

Research design documents for the National Head Start Impact Study are available at http://www.acf.hhs.gov/programs/core/ongoing_research/hs/impact_reports.html#resrch

Other available reports include the following:

U.S. Department of Health and Human Services. (2003, March). *Building futures: Head Start Impact Study frequently asked questions.* Washington, DC: Author.

U.S. Department of Health and Human Services. (2001, March). *Building futures: The Head Start Impact Study research design plan* (updated version).Washington, DC: Author.

U.S. Department of Health and Human Services. (2001, January). *Building futures: The Head Start Impact Study research design plan.* Washington, DC: Author.

U.S. Department of Health and Human Services. (2002, June). *National Head Start Impact research: Second report to Congress.* Washington, DC: Author.

U.S. Department of Health and Human Services. (1999, October). *Evaluating Head Start: A recommended framework for studying the impact of the program.* Washington, DC: Author.

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CHILD CARE QUALITY: STRUCTURAL AND PROCEDURAL QUALITY

NATIONAL HEAD START IMPACT STUDY

Measure: Family Day Care Rating Scale (FDCRS)

Source

The National Head Start Impact Study is funded by the Administration for Children and Families in the U.S. Department of Health and Human Services. Westat (prime contractor) conducts the study in collaboration with the Urban Institute, the American Institutes for Research, and Decision Information Resources (the subcontractors).

The Family Day Care Rating Scale (FDCRS) was developed by Harms and Clifford (see the references and source documents sections).

In addition to the National Head Start Impact Study, this measure was used by the following EDCP evaluations and surveys: Early Head Start Evaluation and Tracking Pre-K.

Population Assessed

The Head Start Impact Study involves 4,750 (2,829 treatment and 1,921 control) 3- and 4-year-old newly entering Head Start-eligible preschool children across 84 nationally representative grantees and delegate agencies in communities where there are more eligible children and families than can be served by the program. Of the 4,750 children selected for the study, approximately 42 percent are Hispanic; 27 percent, Black; 28 percent, White; and 3 percent, other. Sixty-six percent of the children speak English as their primary language, 31 percent speak Spanish, and 3 percent speak a language other than Spanish or English. Gender is evenly split on the child sample.

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agency based on proportional probabilities (i.e., larger centers have greater chance of selection). The final sample included 378 centers within 84 grantees/delegate agencies. Once the centers were selected, random assignment of children within these centers resulted in 2,829 children in the treatment group and 1,921 children in the comparison group for a total of 4,750 children.

Children selected were considered part of one of two cohorts. Cohort one included children who were 3-years-old in the 2002–2003 school year. Cohort one will be followed through 2005–2006, when they will have reached first grade. Cohort two consists of children who were 4-years-old during the 2002–2003 school year, and thus are moving into kindergarten in the 2003–2004 school year. Cohort two will be followed through their first grade year in 2004–2005.

Periodicity

This measure was administered in spring 2003.

Subscales/Components

The FDCRS is designed to assess family child care programs conducted in a provider's home. The FDCRS has seven subscales each with it's own set of items:

1. Space and furnishings for care and learning (furnishings for routine care and learning, furnishings for relaxation and comfort, child-related display, indoor space arrangement, active physical play, space to be alone [infants/toddlers], space to be alone [2yrs and older]; alpha = 0.86)
2. Basic care (arriving/leaving, meals/snacks, nap/rest, diapering/toileting, personal grooming, health, safety; alpha=0.90)
3. Language and reasoning (informal use of language [infants/toddlers], informal use of language [2 yrs and older], helping children understand language [infants/toddlers], helping children understand language [2 yrs and older], helping children use language, helping children reason [using concepts]; alpha = 0.90)
4. Learning activities (eye-hand coordination, art, music and movement, sand and water play, dramatic play, blocks, use of TV, schedule of daily activities, supervision of play indoors and outdoors; alpha = 0.83)
5. Social development (tone, discipline, cultural awareness)
6. Adult needs (relationship with parents, balancing personal and caregiving responsibilities, opportunities for professional growth; alpha = 0.70)
7. Provisions for exceptional children (adaptations for basic care [physically handicapped], adaptations for activities [physically handicapped], adaptations for other special needs, communication [exceptional], language/reasoning [exceptional], learning and play activities [exceptional], social development [exceptional], caregiver preparation)

Procedures for Administration

The FDCRS is completed during an in-depth observation of the family day care. The FDCRS consists of 40 items, each of which is rated on a 7-point scale with four anchors (1 = inadequate; 3 = minimal; 5 = good; 7 = excellent). Overall quality ratings are determined by averaging scores across items and higher scores indicate higher family day care quality.

Psychometrics/Data Quality

Psychometric data for the study is not yet available.

Languages Available

The FDCRS is available in English and French.

Items Included

The FDCRS is copyrighted and was reprinted for the National Head Start Impact Study by permission of the scale developers. The subscales of the profile are not reproduced in full in this document, but samples of items from two subscales are given. The FDCRS can be purchased from the study developers by contacting Teachers College Press (see the references and source documents section for full contact information).

Example of Learning Activity Item

	Inadequate 1	2	Minimal 3	4	Good 5	6	Excellent 7
Eye-hand coordination	No appropriate eye-hand materials are available for daily use by children (yes/no)		Some eye-hand materials accessible to children for independent use daily (yes/no)		Variety of eye-hand materials, in good repair, accessible daily (yes/no)		Materials rotated at least monthly to provide variety (yes/no)

Example of Exceptional Children Item

	Inadequate 1	2	Minimal 3	4	Good 5	6	Excellent 7
Provisions for exceptional children	No attention to the special needs of the exceptional child (yes/no)		Minor changes made in the schedule, environment, and routines to get through the day (yes/no)		Caregiver provides activities, adapts schedule to meet the child's special needs (yes/no)		Caregiver follows programs developed by or with trained professional (yes/no)

References and Source Documents

Harms, T., & Clifford, R. M. (1989). *Family Day Care Rating Scale (FDCRS).* New York: Teachers College Press.

Harms, T., & Clifford, R. M. (1992). Family Day Care Rating Scale. N. Marcotte (translator), *Un Univers à découvrir: Gille d'évaluation des services de garde en milieu fammilal.* Québec, Canada: Les Publications Du Québec.

More information about the FDCRS is available on the Frank Porter Graham, University of North Carolina website at http://www.fpg.unc.edu/~ecers/.

Ordering information for the FDCRS

Teachers College Press
1234 Amsterdam Ave.
New York, NY 10027
212-678-3929
1-800-575-6566

Research design documents for the National Head Start Impact Study are available at http://www.acf.hhs.gov/programs/core/ongoing_research/hs/impact_reports.html#resrch

Other available reports include the following:

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U.S. Department of Health and Human Services. (2001, January). *Building futures: The Head Start Impact Study research design plan.* Washington, DC: Author.

U.S. Department of Health and Human Services. (2002, June). *National Head Start Impact research: Second report to Congress.* Washington, DC: Author.

U.S. Department of Health and Human Services. (1999, October). *Evaluating Head Start: A recommended framework for studying the impact of the program.* Washington, DC: Author.

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CHILD CARE QUALITY: STRUCTURAL QUALITY

PANEL STUDY OF INCOME DYNAMICS—CHILD DEVELOPMENT SUPPLEMENT

Measure: Primary Caregiver: Child Booklet—Child Care Section

Source

The Panel Study of Income Dynamics (PSID) is sponsored primarily by the National Science Foundation. Substantial additional funding has been provided by the National Institute on Aging, the National Institute of Child Health and Human Development, the Office of the Assistant Secretary for Planning and Evaluation of the United States Department of Health and Human Services, the Economic Research Service of the United States Department of Agriculture, the United States Department of Housing and Urban Development, and the United States Department of Labor. The survey is conducted at the Survey Research Center, Institute for Social Research, University of Michigan. The Child Development Supplement (CDS) was added in 1997.

"Child Care Arrangements. The series (of questions) on child care arrangements (Section H) comes from the National Child Care Survey 1990 and other related child care questionnaires. The retrospective history was based both on the National Child Care Survey retrospective history and on the experimental retrospective history asked in the 1989 wave of the National Longitudinal Survey of Youth (Mott & Baker, 1989)." (CDS User Guide http://www.isr.umich.edu/src/child-development/usergd6.html)

Population Assessed

The PSID-CDS sample was taken from the larger 1997 PSID sample. The total number of households eligible for the CDS was 2,705. Of those, 2,394 households were interviewed with a total of 3,586 children participating. The sample is approximately equal in the number of boys and girls interviewed. In the initial PSID sample, minority and low-income families are oversampled, resulting in a substantial number of Black and other minority families. The CDS identified 2,390 eligible families: 1,140 White families; 997 Black families; 158 non-White, non-Black Hispanic families; 46 Asian families; 12 Native American families; and 29 families of other nationalities.

Periodicity

The CDS was given originally as part of the 1997 PSID administration. It was added in 1999 as a supplement to the PSID, which is administered annually.

Subscales/Components

Structural components of child care are included in Section H: Child Care of the Primary Caregiver Child Booklet. The questions address the child care arrangements the child has had since birth. Questions include the type of arrangement, the cost of the arrangement, and the amount of time the child spends in the arrangement.

Procedures for Administration

The respondent for the child care section of the Primary Caregiver Questionnaire is the primary caregiver. The primary caregiver is defined by the PSID as the person who knows the most about the child and is usually the mother. If the mother is not living with the family, the respondent could be the father, legal guardian, or another adult knowledgeable about the child. The survey is given either face to face or over the phone by the interviewer.

Psychometrics/Data Quality

There was a 100-percent response rate completing the child booklet of the primary caregiver questionnaire. Specific information about the child care section is not readily available.

Languages Available

The questionnaires are available in English and Spanish.

Items Included

The questionnaires are available on the CDS Web page at http://psidonline.isr.umich.edu/CDS/questionnaires.html. Sample questions are included below.

Section H: Child Care

The next questions ask about the child care arrangements or programs that you have used for your (CHILD) since (his/her) birth. We want to start with the first arrangement you used for (CHILD) and then continue through any additional arrangements you may have used, in the order that you used them. We will end the history when (CHILD) started kindergarten. We will be using P. 25 of your booklet.

H1. First, how old was (CHILD) when (he/she) was first cared for by someone other than you (or your spouse) on a regular basis? By regular, I mean at least once a week for a month.
Was that before or after (CHILD) started Kindergarten?

H2. What was the main reason you started using this program or arrangement at that time?

Started/returned work
Increased/changed work hours
Started looking for work
Started school
Started other activity
Child needed playmates/activities
Other (specify)

H3. How old was (CHILD) when you started using the program or arrangement?

H4. What type of program or arrangement was that?

Relative in the child's home
Non-relative in the child's home (sitter)
Care in a relative's home
Care in a non-relative's home (family day care provider)
Head start program
Prekindergarten program, nursery school, preschool, or child care center
Before- or after-school program
Child cares for self alone
Other type of child care (specify)

H5. How many days each week was (CHILD) cared for in this program or arrangement?

_____days/week

H6. How many hours each week was (CHILD) cared for in this program or arrangement?

_____hours/week

H7. How much did your household pay for this program or arrangement?

H7a. Was that...?

Per hour
Per day
Per week
Every 2 weeks
Every month
Every year
Other, (specify)

H7b. Was that amount for (CHILD) only, or did it cover other children in your household?

Child only
Other children in the household

H7c. How many other children did it cover?

_____ # of children

H8. How old was (CHILD) when you stopped using this program or arrangement?

_____ years
_____ months

H9. What was the reason that program or arrangement ended?

H10. Did you use any other programs or arrangements (before (CHILD) entered school) that you have not told me about?

Yes
No
[IF YES, REPEAT QUESTIONS H2. – H9.]

References and Source Documents

The CDS-Child Care Series. Available at http://www.isr.umich.edu/src/child-development/home.html

The PSID-CDS Web site: http://psidonline.isr.umich.edu/CDS/

The Child Development Supplement to the Panel Study of Income Dynamics 1997 User Guide. Available at http://psidonline.isr.umich.edu/CDS/userguide.html

Hofferth, S., Davis-Kean, P., Davis J., & Finkelstein, J. (1997). *Child Development Supplement to the Panel Study of Income Dynamics: 1997 user guide*. Ann Arbor: University of Michigan, Institute for Social Research. Retrieved June 6, 2003, from http://www.isr.umich.edu/src/child-development/usergd.html

University of Michigan, Institute for Social Research, Survey Research Center. (1997). *English questionnaires*. Ann Arbor: Author. Retrieved June 30, 1999, from http://www.isr.umich.edu/src/child-development/english.html

University of Michigan, Institute for Social Research, Survey Research Center. (1999). *Description of the 1997 PSID Child Development Supplement weights*. Ann Arbor: Author. Retrieved June 30, 1999, from http://www.isr.umich.edu/src/child-development/weightsdoc.html

University of Michigan, Institute for Social Research, Survey Research Center. (n.d.). *Child Development Supplement to the Panel Study of Income Dynamics*. Ann Arbor: Author. Retrieved from http://www.isr.umich.edu/src/child-development/home.html

CHILD CARE QUALITY: STRUCTURAL QUALITY

NATIONAL SURVEY OF AMERICA'S FAMILIES

Measure: Child care quality items from the 1997 National Survey of America's Families questionnaire

Source

The National Survey of America's Families (NSAF) is a part of the Urban Institute's Assessing the New Federalism project and was developed and conducted in partnership with Child Trends, Inc. The first round of the study was funded by 16 different foundations, and data collection was administered by Westat.

Population Assessed

The NSAF is a representative survey of the noninstitutionalized, civilian population of persons under age 65 in the nation as a whole and in 13 states: Alabama, California, Colorado, Florida, Massachusetts, Michigan, Minnesota, Mississippi, New Jersey, New York, Texas, Washington, and Wisconsin. The combined populations of these states compose more than one-half of the U.S. population. Study states are representative of a broad range of characteristics, such as fiscal policy, approaches to government, and child well-being indicators. They also varied in terms of geographic location, size, and dominant political tradition.

In 1997, 50,355 phone and in-person interviews were conducted in 45,996 households. Interviews were conducted in 42,973 telephone households and in 1,488 non-telephone households. Information was obtained for children under the age of 17. The national NSAF response rates for adults with at least one child and other sampled adults were 65.4 percent and 61.7 percent, respectively. The sample of focal children was 49 percent female. Thirty-four percent of the children were between the ages 6 through 11, and the remaining children were adolescents between the ages 12 through 17. White children comprised 66 percent of the sample; Blacks, 15 percent; and Hispanics 14 percent. Based on weighted data, 43 percent of the children live in households with incomes 200 percent below poverty level.

Comparing the 1997 NSAF eligible population to official counts from the U.S. Census Bureau, Kenney, Scheuren, & Wang (1999, p. 6–3) noted that "our coverage of children (persons under 18) was excellent overall, at 93 percent. We also did reasonably well for adults 18 to 64, with a coverage ratio of about 86 percent."

The sample was weighted to be representative of the country as a whole and the specific state in which the respondent lived.

Periodicity

Three rounds of data have been collected: 1997, 1999, and 2002.

Subscales/Components

In Section G: Child Care, the 1997 NSAF questionnaire asks several questions about structural quality. The part of the section devoted to child care for sampled children age 0 to 5 asks questions about quality in group care centers and programs, child care or babysitting in the home, and child care or babysitting in someone else's home (where applicable). The survey part for sampled children ages 6 to 12 asks about child care or babysitting in the home and in someone else's home (where applicable). The questions relate to the number of children being cared for and (depending on the type of care) the number and age of people supervising the child.

Procedures for Administration

In the 1997 NSAF, the reporter for child care quality questions was the Most Knowledgeable Adult (MKA). The major mode of data collection was Computer-Assisted Telephone Interview (CATI). To ensure that those without phone service were represented, a smaller sample of homes without phones was obtained, and phones were provided. The MKA interview typically lasted 40 minutes, although child care quality questions formed only a very small portion of it.

Psychometrics/Data Quality

As with many questions in the 1997 NSAF, missing data for the child care quality items were minimal. Typically, less than 1 percent of eligible survey respondents did not respond to these items. For example, question G7 (about the number of adults supervising the sampled child in a child care program) had a "don't know" rate of only 0.20 percent and a refusal rate of 0.00 percent (Wigton et al., 2000, p. 7–80).

Languages Available

Interviews for the 1997 NSAF were done in English or Spanish. Spanish translations were programmed into the CATI system used in data collection. Hard copies of the questionnaire were not available in Spanish.

Items Included

The following is the citation for the 1997 NSAF methodology series report that contains the 1997 NSAF questionnaire in full:

Wang, K., Dipko, S., & Vaden-Kiernan, N. (1999). 1997 NSAF questionnaire: Report no. 12. Washington, DC: Urban Institute.

The following structural quality questions were asked in the 1997 NSAF interview in Section G: Child Care (Main Version). A similar set of questions was asked for each sampled child (between 0 and 5 years old and between 6 and 12 years old). The following questions are only a small subset of the questions asked in Section G; questions not relevant to child care quality and skip patterns unnecessary to understanding the questions were omitted. Also, no items were included from the Summer Version of Section G, which was used if survey administration

took place between June 13 and September 26. For the complete 1997 NSAF questionnaire, see http://www.urban.org/UploadedPDF/Methodology_12.pdf.

Section G: Child Care (Main Version)

Section Ga: Child Care (Younger Child 0-5 Years Old)

G1. We'd like to know how (CHILD1) spent (his/her) time when (he/she) was not with you during the last month. I'm going to read a list of different kinds of programs children attend and of people who care for children. I'd like you to tell me which ones you used for (CHILD1), at least once a week during the last month. First, did (CHILD1) attend...

G1a. Head Start?

G1b. What about a day or group care center, a nursery, a preschool, or a pre-kindergarten?

G1c. [ASK IF CHILD1 IS 2 YEARS OLD OR OLDER] A before- or after-school care program outside your home?

G1d. Did (CHILD1) have child care or babysitting in your home {by someone other than your (spouse/partner)}?

G1e. What about child care or babysitting in someone else's home?

DAY/GROUP CARE CENTER, NURSERY, PRESCHOOL, OR PRE-KINDERGARTEN

[The following questions were asked if the sampled child attended a day or group care center, a nursery, a preschool, or a pre-kindergarten.]

G6. About how many children are usually in (CHILD1's) room or group at this center or program?

> [IF MORE THAN ONE PROGRAM, RECORD NUMBER OF CHILDREN IN PROGRAM USED MOST. PROGRAMS SHOULD NOT INCLUDE HEAD START OR BEFORE- OR AFTERSCHOOL CARE.]

G7. {For the program you use most}, About how many adults usually supervise the children in (CHILD1's) room or group?

> [IF MORE THAN ONE PROGRAM, RECORD NUMBER OF CHILDREN IN PROGRAM USED MOST. PROGRAMS SHOULD NOT INCLUDE HEAD START OR BEFORE- OR AFTER-SCHOOL CARE.]

CHILD CARE OR BABYSITTING BY SOMEONE IN MKA'S HOME

[The following questions were asked if the sampled child had child care or babysitting in the MKA's home by someone other than the MKA's spouse/partner.]

G12. Is the person usually caring for (CHILD1) in your home 18 years of age or older?

G15. Not counting (CHILD1), how many other children under age 13 does this person regularly care for at the same time?

[INCLUDE CHILDREN OF THE CAREGIVER UNDER AGE 13.]

CHILD CARE OR BABYSITTING IN SOMEONE ELSE'S HOME

[The following questions were asked if the sampled child had child care or babysitting in someone else's home.]

G18. Is the person usually caring for (CHILD1) 18 years of age or older?

G20. Not counting (CHILD1), how many other children does this person regularly care for at the same time?

[INCLUDE CHILDREN OF THE BABYSITTER.]

G21. Does this person have any other adults helping to care for (your child/the children) on a regular basis?

G22. How many adults, not counting this person?

Section Gb: Child Care (Older Child 6-12 Years Old)

G30. {We'd like to know how (CHILD2) spent (his/her) day when (he/she) was not with you during the last month.}

I'm going to read a list of different kinds of programs children attend and of people who care for children. I'd like you to tell me which ones you used for (CHILD2), at least once a week during the last month. First, did (CHILD2) attend...

G30a. A before- or after-school care program outside your home?

G30b. Did (CHILD2) have child care or babysitting in your home {by someone other than your spouse/by someone other than your partner}?

G30c. What about child care or babysitting in someone else's home?

CHILD CARE OR BABYSITTING BY SOMEONE IN MKA'S HOME

[The following questions were asked if the sampled child had child care or babysitting in the MKA's home by someone other than the MKA's spouse/partner.]

G35. Is the person usually caring for (CHILD2) in your home 18 years of age or older?

G38. Not counting (CHILD2) how many other children under age 13 does this person regularly care for at the same time?

[INCLUDE CHILDREN OF THE CAREGIVER WHO ARE UNDER AGE 13.]

CHILD CARE OR BABYSITTING IN SOMEONE ELSE'S HOME

[The following questions were asked if the sampled child had child care or babysitting in someone else's home.]

G41. Is the person usually caring for (CHILD2) 18 years of age or older?

G43. Not counting (CHILD2) how many other children under age 13 does this person regularly care for at the same time?

[INCLUDE CHILDREN OF THE CAREGIVER WHO ARE UNDER AGE 13.]

G44. Does this person have any other adults helping to care for (your child/the children) on a regular basis?

G45. How many adults, not counting this person?

References and Source Documents

Dean Brick, P., Kenney, G., McCullough-Harlin, R., Rajan, S., Scheuren, F., Wang, K., Brick, J. M., & Cunningham, P. (1999). Methodology report no. 1: National Survey of America's Families: Survey methods and data reliability. Washington, DC: Urban Institute. Retrieved July 1, 2003, from http://www.urban.org/content/Research/NewFederalism/NSAF/Methodology/1997MethodologySeries/1997.htm

Ehrle, J., & Moore, K. (1999). Methodology report no. 6: Benchmarking child and family well-being measures in the NSAF. Washington, DC: Urban Institute. Retrieved July 1, 2003, from http://www.urban.org/content/Research/NewFederalism/NSAF/Methodology/1997MethodologySeries/1997.htm

Kenney, G., Scheuren, F., & Wang, K. (1999). 1997 NSAF survey methods and data reliability: Report no. 1. Washington, DC: Urban Institute.

Urban Institute. (2001a). Assessing the new federalism. Washington, DC: Author. Retrieved July 1, 2003, from http://www.urban.org/Content/Research/NewFederalism/AboutANF/AboutANF.htm

Urban Institute. (2001b). National Survey of America's Families: 1997 snapshots of America's families. Washington, DC: Author. Retrieved July 1, 2003, from http://www.urban.org/content/Research/NewFederalism/NSAF/Snapshots/1997Results/Foreword/Fore.htm

Urban Institute. (2001c). National Survey of America's Families: Overview. Washington, DC: Author. Retrieved July 1, 2003, from http://www.urban.org/Content/Research/NewFederalism/NSAF/Overview/NSAFOverview.htm

Wang, K., Dipko, S., & Vaden-Kiernan, N. (1999). 1997 NSAF questionnaire: Report no. 12. Washington, DC: Urban Institute.

Wigton, A., Scheuren, F., Wenck, S., Zhang, H., Nooter, D., & Smith, W. (2000). 1997 NSAF child public use file documentation and codebook with undercount adjusted weights: Report no. 18. Washington, DC: Urban Institute.

A full list of source information is available online at *http://www.urban.org/content/Research/NewFederalism/NSAF/Methodology/1999MethodologySeries/1999.htm*.

CHILD CARE QUALITY—STRUCTURAL QUALITY

EARLY CHILDHOOD LONGITUDINAL STUDY—KINDERGARTEN COHORT

Measure: Structural Child Care Quality items from the Early Childhood Longitudinal Study—Kindergarten Cohort Parent Interview and the Teacher Questionnaire Part B

Source

The Early Childhood Longitudinal Study—Kindergarten Cohort (ECLS-K) is funded by the Department of Education's National Center for Education Statistics (NCES). Other sponsoring federal agencies that contributed to the ECLS-K are U.S. Department of Health and Human Services; U.S. Department of Agriculture; Office of Special Education Programs, U.S. Department of Education; Office of Bilingual Education and Minority Languages Affairs, U.S. Department of Education; and National Institute of Child Health and Human Development, U.S. Department of Health and Human Services. Westat fields the ECLS-K. The parent interview was created by a panel of experts specifically for the ECLS-K. The ECLS-K Teacher Questionnaire B was created by a panel of experts specifically for the ECLS-K.

Population Assessed

The ECLS-K consisted of a nationally representative sample of 22,625 kindergarteners enrolled in 1,277 programs across the country. The sample included a broad array of socioeconomic status and ethnicities. An oversampling of Asian children and those enrolled in private schools helped to meet the national averages for those populations.

Periodicity

The ECLS-K began in 1998 and will conclude in 2004. In 1998–1999 (the kindergarten year), data were collected in the fall from students, parents, and teachers and in the spring from students, parents, teachers, and schools. In 1999–2000 (the first grade year), data were collected in the fall from students and parents and in the spring from students, parents, teachers, and schools. In 2001–2002 (the third grade year), data were collected in the spring from students, parents, teachers, and schools. In 2003–2004 (the fifth grade year), data will be collected in the spring from students, parents, teachers, and schools.

The parent interview is given at each planned administration of the survey, which is scheduled to follow the children through fifth grade.

Teachers fill out a survey each time the child is assessed with the exception of fall of first grade.

Subscales/Components

The parent interview contains a series of questions about current and past childcare arrangements. The questions address the number of arrangements in which the child is involved, relative care, non-relative care, and Head Start.

The Teacher Questionnaire Section B contains information about the structural aspects of the current childcare arrangement in school. Questions include information about the teacher's training, education, and experience.

Procedures for Administration

The parent interview was administered to the most knowledgeable parent for each child. It is conducted either on the phone using a computer-assisted telephone interview or in person using a computer-assisted personal interview for those without a phone or reluctant to participate over the phone. The parent interview is conducted one on one and is estimated to take about 65 minutes. Approximately 3 percent of the parent interviews completed were conducted in person.

The teacher interview is a self-administered questionnaire. Part B of the teacher questionnaire is given to all kindergarten teachers in the sampled schools, regardless of the number of sampled children in their classes. It is designed to be completed in approximately 15 minutes.

Psychometrics/Data Quality

"Of the sampled children, 19,173 participated in the fall kindergarten child assessment for an 89.8 cooperation rate or a response rate of 66.4 percent (74% X 89.8%). There were no large differences in cooperation rates for subgroups of children: 89.5 percent of sampled boys participated, and 90.4 percent of sampled girls participated. Asians had the lowest cooperation rates at 88.6 percent while American Indians or Alaskan Natives had the highest response rate of 93.4 percent. There were 18,101 parent interviews completed during the fall of the school year for a cooperation rate of 85.3 percent or a 63 percent response rate (74% X 85.3%). About 91 percent of the children had child-specific data reported by their teacher in the fall of kindergarten (74% X 91.2 = 67.5%). These numbers are also comparable to the completion rates obtained in NELS:88. There, about 90 percent of the students participated in the eighth grade student tests, and 87.5 percent of the parents completed parent questionnaires. Teachers in NELS:88 completed individual student ratings for about 89.6 percent of the students. Thus overall, the ECLS-K child, parent, teacher and school cooperation rates are comparable to other school-based longitudinal studies conducted at NCES" (West, Denton, & Germino-Hausken, 2000, p. 65).

Psychometric information specifically for the childcare items is not readily available.

Languages Available

The interviews are available in English and were translated into Spanish, Chinese, Lakota, and Hmong.

Items Included

PARENT INTERVIEW

The items included are available in the parent questionnaire on the ECLS Web site: http://nces.ed.gov/ecls/kindergarten.asp. Sample questions are included below.

Is [CHILD] **now** receiving care from a relative on a **regular basis** (including care provided before or after school)? This may include grandparents, brothers and sisters, or any relatives other than [you/[CHILD]'s [parents/guardians]].

How many different **regular** care arrangements do you **currently** have with relatives?

[Let's talk about the relative who provides the most care for [CHILD] **now**.] Who is the relative who cares for [CHILD]?

Grandparent
Aunt
Uncle
Brother
Sister
Another relative
Refused
Don't know

Is the care provided by [[CHILD]'s [RELATIVE]/that relative] in your home or another home?

Own home
Other home
Both/varies
Refused
Don't know

Does [CHILD] receive that care before school, after school, or on weekends?

Before school
After school
Weekends
Refused
Don't know

Is the care that [CHILD] receives from [[his/her] [RELATIVE]/that relative] **regularly scheduled** at least once **each** week?

How many **days** each week does [CHILD] receive care from [[his/her] [RELATIVE]/that relative]?

How many **hours** each **week** does [CHILD] receive care from [[his/her] [RELATIVE]/that relative]?

How many **children** are usually cared for together, in the same group at the same time, by [[CHILD]'s [RELATIVE]/that relative}, counting [CHILD]?

ENTER # OF CHILDREN

How many **adults** usually care for [CHILD] at the same time [at your home/at [[his/her] [RELATIVE]'s/that relative's] home]?

ECLS-K Teacher Questionnaire B—Child Care

All relevant questions from the Teacher Questionnaire are included.

YOUR BACKGROUND

19. Counting this school year, how many years have you taught each of the following grades and programs? WRITE THE NUMBER OF YEARS TO THE NEAREST HALF YEAR (FOR EXAMPLE, 2.5, 3.5) PLEASE INCLUDE PART-TIME TEACHING. WRITE "0" IF YOU HAVE NEVER TAUGHT THE GRADE OR PROGRAM LISTED.

TOTAL YEARS GRADE OR PROGRAM TAUGHT

Preschool or Head Start	_____
Kindergarten (including Transitional/Readiness Kindergarten and Transitional/pre-1st grade)	_____
First grade	_____
Second through fifth grade	_____
Sixth grade or higher	_____
English as a Second Language (ESL) program	_____
Bilingual education program	_____
Special education program	_____
Physical education program	_____
Art or music program	_____

20. Counting this school year, how many years have you taught in your current school including part-time teaching? WRITE THE NUMBER OF YEARS TO THE NEAREST HALF YEAR (FOR EXAMPLE, 2.5, 3.5).

_____ years

21. What is the highest level of education you have completed? CIRCLE ONLY ONE NUMBER.

High school diploma or GED	1
Associate's degree	2
Bachelor's	3

At least one year of course work beyond a Bachelor's but not a graduate degree	4
Master's	5
Education specialist or professional diploma based on at least one year of course work past a Master's degree level	6
Doctorate	7
Other (please specify): _____ _____	8

22. How many college courses have you completed in the following areas? CIRCLE ONE NUMBER ON EACH LINE.

Early childhood education	0	1	2	3	4	5	6+
Elementary education	0	1	2	3	4	5	6+
Special education	0	1	2	3	4	5	6+
English as a Second Language (ESL)	0	1	2	3	4	5	6+
Child development	0	1	2	3	4	5	6+
Methods of teaching reading	0	1	2	3	4	5	6+
Methods of teaching mathematics	0	1	2	3	4	5	6+
Methods of teaching science	0	1	2	3	4	5	6+

23. What type of teaching certification do you have? CIRCLE ONLY ONE NUMBER.

None	1
Temporary, probational, provisional, or emergency certification	2
Certificate for completion of an alternative certification program	3
Regular certification but less than the highest available	4
The highest certification available (permanent or long term)	5

24. In what areas are you certified?

Elementary education
Early childhood
Other (please specify):
_____

25. Date questionnaire completed: _____/_____/_____

MM DD YY

References and Source Documents

The ECLS Web site is http://nces.ed.gov/ecls/kindergarten.asp. A number of reports, shorter publications, technical/methodological papers, and working papers are available at http://nces.ed.gov/pubsearch/getpubcats.asp?sid=024.

Data products include the following:

ECLS-K Longitudinal Kindergarten-First Grade Public-Use Data Files and Electronic Code Book, NCES Number: 2002148 Release Date: April 30, 2002

CD-ROM: ECLS-K First Grade Public-Use Data Files and Electronic Code Book
NCES Number: 2002134 Release Date: February 19, 2002

ECLS-K First Grade Restricted-Use Child File
NCES Number: 2002127 Release Date: December 12, 2001

ECLS-K Base Year Restricted-Use Salary and Benefits File
NCES Number: 2001014 Release Date: April 24, 2001

ECLS-K Base Year Restricted-Use Student Record Abstract File
NCES Number: 2001016 Release Date: April 24, 2001

ECLS-K Restricted-Use Base Year: Child File, Teacher File, and School File
NCES Number: 2000097 Release Date: March 21, 2001

ECLS-K Base Year Restricted-Use: Special Education Child File
NCES Number: 2001015 Release Date: March 21, 2001

ECLS-K Base Year Restricted-Use Head Start File
NCES Number: 2001025 Release Date: March 15, 2001

ECLS-K, Base Year Public-Use Data File, Kindergarten Class of 1998-99: Data Files and Electronic Code Book; (Child, Teacher, School Files): User's Manual
NCES Number: 2001029 Release Date: December 1, 2000

Specific reports include the following:

Education Statistics Quarterly - Spring 2003 Issue
NCES number: 2003607. Release date: July 11, 2003

Young Children's Access to Computers in the Home and at School in 1999 and 2000
NCES number: 2003036. Release date: March 7, 2003

Children's Reading and Mathematics Achievement in Kindergarten and First Grade
NCES number: 2002125. Release date: March 7, 2002
Digest of Education Statistics, 2001
NCES number: 2002130. Release date: March 1, 2002

The Kindergarten Year
NCES number: 2001023. Release date: December 1, 2000

America's Kindergartners
NCES number: 2000070. Release date: February 17, 2000

Specific shorter publications include the following:

The Condition of Education 2003 in Brief
NCES number: 2003068. Release date: June 17, 2003

Schools' Use of Assessments for Kindergarten Entrance and Placement: 1998-99
NCES number: 2003004. Release date: March 24, 2003

Findings from the Condition of Education 2000: Entering Kindergarten
NCES number: 2001035. Release date: January 22, 2001

Specific technical/methodological papers include the following:

User's Manual for the ECLS-K Longitudinal Kindergarten-First Grade Public-Use Data Files and Electronic Codebook
NCES number: 2002149. Release date: April 30, 2002

User's Manual for the ECLS-K First Grade Public-Use Data Files and Electronic Codebook
NCES number: 2002135. Release date: February 19, 2002

Specific working papers include the following:

Early Childhood Longitudinal Study - Kindergarten Class of 1998-99 (ECLS-K), Psychometric Report for Kindergarten Through First Grade
NCES number: 200205. Release date: September 10, 2002

Papers from the Early Childhood Longitudinal Studies Program Presented at the 2001 AERA and SRCD Meetings
NCES number: 200106. Release date: July 30, 2001

Measuring Father Involvement in Young Children's Lives: Recommendations for a Fatherhood Module for the ECLS-B
NCES number: 200102. Release date: April 17, 2001

Measures of Socio-Emotional Development in Middle Childhood
NCES number: 200103. Release date: April 17, 2001

Selected Papers on Education Surveys: Papers Presented at the 1998 and 1999 ASA and 1999 AAPOR Meetings
NCES number: 200004. Release date: August 7, 2000

A Birth Cohort Study: Conceptual and Design Considerations and Rationale
NCES number: 199901. Release date: February 16, 1999

Working Paper: Measuring the Quality of Program Environments in Head Start and Other Early Childhood Programs
NCES number: 9736. Release date: November 7, 1997

Formulating a Design for the ECLS: A Review of Longitudinal Studies
NCES number: 9724. Release date: September 11, 1997

Assessment of Social Competence, Adaptive Behaviors, and Approaches to Learning With Young Children
NCES number: 9618. Release date: August 30, 1996

How Accurate Are Teacher Judgments of Students' Academic Performance?
NCES number: 9608. Release date: April 30, 1996

CHILD CARE QUALITY: STRUCTURAL QUALITY

EARLY CHILDHOOD LONGITUDINAL STUDY—BIRTH COHORT

Measure: Child Care Structural Quality items from the baseline Parent Interview

Source

The Early Childhood Longitudinal Study—Birth Cohort (ECLS-B) is sponsored by the U.S. Department of Education, National Center for Education Statistics in collaboration with several health, education, and human services agencies, including the National Center for Health Statistics; the National Institutes of Health (NIH); the Administration for Children, Youth, and Families; the U.S. Department of Agriculture; the Office of Special Education Programs; the Maternal and Child Health Bureau; the Office of the Assistant Secretary for Planning and Evaluation; the Office of Indian Education; the Centers for Disease Control and Prevention; and the Office of Minority Health.

Sponsoring Institutes from NIH include the National Institute of Child Health and Human Development, the National Institute of Mental Health, the National Institute on Nursing Research, the National Institute on Aging, the National Institute of Deafness and Other Communication Disorders, the National Center on Minority Health Disparities, and the Office of Behavioral and Social Sciences Research.

The Parent Interview was developed by the funders specifically for the ECLS-B to collect information about a child's development, family life, and childcare arrangements.

Population Assessed

The ECLS-B is a longitudinal study that follows a nationally representative sample of children from birth through first grade. The base-year data were collected when children were approximately 9 months old. The base-line sample consisted of 15,550 children. Exhibit 1 shows the breakdown of the sample by race and/or ethnicity.

Exhibit 1. ECLS-B Sample by Race and/or Ethnicity

Race and/or Ethnicity	Number of Children	Percentage of Sample
White	7728	49.7
Black	2923	18.8
Hispanic	2416	15.5
Chinese	705	4.5
Pacific Islander/Other Asian	1779	11.5

Additionally, the sample includes 2,118 (13.6 percent) twins, 2,543 (16.4 percent) children of very low birth weight, and 2,237 (14.4 percent) children with moderately low birth weights. The sample will also include an oversampling of American Indian births, with an initial sample size of 1,454.

Periodicity

The ECLS-B began in 2001 and is scheduled to conclude in 2008. The first data collection occurred during the base year (2001–02) when children were 9 months old. This includes an assessment of children, interviews with primary caregivers, a father self-administered questionnaire, and a videotaped observation of parent-child interaction. Future data collections are planned for when the children reach 24 months (first follow-up in 2003) and 48 months (second follow-up in 2005) and when they enter kindergarten (third follow-up in 2006–07) and first grade (fourth follow-up in 2007–08). The parent interview is fielded at all subsequent collections (i.e., 24 months, 48 months, the kindergarten year, and the first-grade year).

Subscales/Components

The parent interview contains a section of questions about the childcare arrangements for the child. The section addresses the types of child care used, the length of time the child has been in the current arrangements, and the cost of the care.

Procedures for Administration

The parent interview is completed by the child's primary caregiver, which is in most cases the mother. The interview is given in a home-visit using computer-assisted personal interviewing. A paper and pencil questionnaire is used for collecting sensitive information. It is estimated by the EDCP team that the childcare questions in the parent interview take 4–6 minutes to complete.

Psychometrics/Data Quality

Because the first data release is not until fall 2003, the psychometric information for the ECLS-B is unavailable at this time.

Languages Available

The interviews described in this options document are available in English.

Items Included

The parent interview is available online at http://nces.ed.gov/ecls/kindergarten.asp. The parent interview includes questions pertaining to the structural components of the childcare the child is receiving. Sample questions are included below.

Let's talk about the nonrelative who provides the most care for [CHILD/TWIN]. Is that care provided in your home or another home?

Own home
Other home
Both/varies
Refused
Don't know

Does this person who cares for [CHILD/TWIN] live in your household?

How many days each week does [CHILD/TWIN] receive care from that person?

How many hours each week does [CHILD/TWIN] receive care from that person?

How many children are usually cared for together, in the same group at the same time, by that person, counting [CHILD/TWIN]?

How many adults usually care for [CHILD/TWIN] at the same time during that care arrangement?

You said that [CHILD/TWIN] was cared for by [NUMBER] other non-[relative/relatives] on a regular basis. How many total hours each week does [CHILD/TWIN] receive care from [this/these] non-[relative/relatives]?

References and Source Documents

The ECLS-B parent interview is available online at the ECLS Web site: http://nces.ed.gov/ecls/

The User Guides and Codebooks will be released in fall 2003.

Across Disciplines & Across Methods: A Picture of Young Children's Development. Paper presented at the American Educational Research Association Conference, New Orleans, LA, April 24–28, 2000

Several other papers are also available on the ECLS Web site:

Measuring Father Involvement In Young Children's Lives: Recommendations for a Fatherhood Module for the ECLS-B
NCES Number: 200102 Release Date: April 17, 2001

A Birth Cohort Study: Conceptual and Design Considerations and Rationale
NCES Number: 199901 Release Date: February 16, 1999

CHILD CARE QUALITY: STRUCTURAL QUALITY

NATIONAL HOUSEHOLD EDUCATION SURVEYS PROGRAM

Measure: Structural Child Care Quality items from Before- and After-School Programs and Activities Questionnaire and Early Childhood Program Participation Questionnaire

Source

"The National Household Education Surveys Program (NHES) is a data collection system of the National Center for Education Statistics (NCES) that is designed to address a wide range of education-related issues. It provides descriptive data on the educational activities of the U.S. population and offers policymakers, researchers, and educators a variety of statistics on the condition of education in the U.S.

Although the primary purpose of the NHES is to conduct repeated measurements of the same phenomena at different points in time, one-time surveys on topics of interest to the Department of Education have also been fielded. The 1993 School Safety and Discipline and the 1996 Household and Library Use surveys were one-time surveys in the NHES" (http://nces.ed.gov/nhes/).

The NHES is funded and conducted by NCES and is carried out by Westat. The surveys completed with information pertaining to the structural components of childcare quality are as follows:

Before- and After-School Programs and Activities: 1999, 2001
Early Childhood Program Participation: 1991, 1995, 1999, 2001

The Before- and After-School Programs and Activities Survey (ASPA-NHES) was designed specifically for the National Household Education Surveys Program in consultation with a panel of experts.

The Early Childhood Program Participation Survey (ECPP) was designed specifically for NHES in consultation with a panel of experts.

Population Assessed

The NHES is designed to survey a representative sample of the noninstitutionalized civilian people in the United States. A representative sample of between 45,000 and 60,000 households are sampled in the original screening. The original screening helps test which households are appropriate for the surveys being conducted, and multiple surveys are given to households whenever possible to minimize costs. Minorities are oversampled in all surveys in an attempt to increase the reliability of the estimates produced for ethnic and racial groups.

ASPA-NHES was administered to 12,396 parents of children in kindergarten through eighth grade. Minorities are oversampled to produce accurate estimates for those populations.

The ECPP was administered to 6,749 parents of children who ranged in age from birth to 6 years old and who had not yet started kindergarten.

Periodicity

ASPA-NHES was first administered in 2001, although some of the same questions were asked in the parent interview of 1999. The questionnaire is scheduled to be administered again in 2005.

The NHES has been conducted in 1991, 1993, 1995, 1996, 1999, 2001, and 2003. Early Childhood components were administered in 2001, 1999, 1995, and 1991. The ECPP specifically was administered in 1999.

Subscales/Components

ASPA-NHES includes a section entitled Before- and After-School Arrangements that addresses the type of childcare arrangements as well as the parent's ratings of the current care arrangements. Questions address the type of care the child receives (relative, non-relative, or center based), the amount of time the student spends in this care, and the activities the student does while in those arrangements.

The ECPP-NHES includes a section on early childhood care and programs and a section on parental views on choices for childcare. The questions address issues such as the type of care received, cost of care, amount of time spent in care, and parent satisfaction with the care.

Procedures for Administration

The survey is administered over the telephone using computer-assisted telephone interview (CATI) procedures. The most knowledgeable parent available, usually the mother, completes the survey. More complete information about ASPA has not been released.

The mean time to administer the 1999 Parent Interview, including the ECPP, was 13.9 minutes. Information specifically related to the childcare questions is not readily available.

Psychometrics/Data Quality

Because the NHES 2001 data have not been released, this information is unavailable at this time.

The item response rates specifically for the ECPP items are not readily available. The median item response rate on the Parent Interview was 98.96 percent. For more thorough information about item response rates, please see the NHES 1999 Methodology Report.

Languages Available

The CATI system contains both English and Spanish versions of the instruments. If a bilingual interviewer encounters a Spanish speaker, the interview is immediately conducted in Spanish. If the interviewer is not bilingual or encounters a language other than Spanish, the

interviewer codes the case as "language other than Spanish" and another bilingual interviewer is assigned to the case. If the interviewer cannot complete the interview because of language differences, it is finalized as a "language problem."

Items Included

A section of the ASPA-NHES questionnaire is devoted to childcare. It is available at http://nces.ed.gov/nhes/ under the link entitled Questionnaires. Sample questions are included below.

Is (CHILD) now receiving care from a relative other than a parent on a regular basis, for example, from grandparents, brothers or sisters, or any other relatives?

How many different regular care arrangements do you have with relatives for (CHILD) before or after school?

(Let's talk about the relative who provides the most care before or after school. Is the relative who cares for (CHILD) before or after school (his/her)

Grandmother
Grandfather
Aunt
Uncle
Brother
Sister
Another relative?
How old is (he/she/that person)?

Is that care provided in your home or another home?

Own home
Other home
Both/varies

Does (CHILD)'s (RELATIVE) who provides this care live in your household?

How long does it usually take to go from your home to (his/her) (RELATIVE)'s home?

How long does it usually take to go from (CHILD)'s school to (his/her) (RELATIVE)'s home?

Does (CHILD) receive care from [his/her (RELATIVE)] before school, after school, or both?
Before school
After school
Both

Is the care that (CHILD) receives from (his/her) (RELATIVE) regularly scheduled at least once each week?

Does (Child's (RELATIVE) care for (him/her) on some other regularly scheduled basis, at least once each month?

How many days each week does (CHILD) receive care from (his/her) (RELATIVE) (before) (or) (after) school?

How many hours each week does (CHILD) receive care from (his/her) (RELATIVE) before school?

How many hours each week does (CHILD) receive care from (his/her) (RELATIVE) after school?

On the days that (CHILD) receives care, that would be about (HOURS) per day, on average. Is that right?

How many of those hours, if any, occur after 6:00 pm. each week?
For how many weeks each month does (CHILD) receive care from (his/her) (RELATIVE)?

During (that week/those weeks), how many days each week does (CHILD) receive care from (his/her) (RELATIVE)?

And during (that week/those weeks), how many hours each week does (CHILD) receive care from(his/her) (RELATIVE)?

How many children are usually cared for together, in the same group at the same time, by (CHILD)'s (RELATIVE), counting (CHILD)?

Counting (CHILD)'s (RELATIVE), how many adults usually care for (him/her) at the same time during those out-of-school hours

ECPP

Is (CHILD) now receiving care in your home or another home on a regular basis from someone who is not related to (him/her)?

Has (CHILD) ever received care in a private home from a nonrelative on a regular basis?

How old was (CHILD) in years and months when (he/she) first received regular care in a private home from any nonrelative?

Do you currently have more than one regular care arrangement with a nonrelative for (CHILD)?

How many different regular care arrangements do you have with nonrelatives?

Let's start with the nonrelative who provides the most care. Is that care provided in your own home or in another home?

Own home
Other home
Both/varies

Does this person who cares for (CHILD) live in your household?

How long does it usually take to go from your home to that person's home?

Is the care that (CHILD) receives from that person regularly scheduled at least once each week?

Does that person care for (CHILD) on some other regularly scheduled basis, at least once each month?

How many days each week does (CHILD) receive care from that person?

How many hours each week does (CHILD) receive care from that person?

For how many weeks each month does (CHILD) receive care from that person?

During (that week/those weeks) for how many days each week does (CHILD) receive care from that person?

And during (that week/those weeks), how many hours each week does (CHILD) receive care from that person?

On the days that (CHILD) receives care, that would be about (HOURS) per day, on average. Is that right?

How many children are usually cared for together, in the same group at the same time, by that person, counting (CHILD)?

Counting that person, how many adults usually care for (CHILD) at the same time during that care arrangement?

How old was (CHILD) in years and months when this particular regular care arrangement with that person began?

Was this care provider someone you already knew?

References and Source Documents

The questionnaire is available online at http://nces.ed.gov/nhes/ under the link entitled Questionnaires.

Codebooks, Data Products, User's Guides, and Reports from previous years are available on the NCES Web site at http://nces.ed.gov/pubsearch/getpubcats.asp?sid=004. Information from 2001 has not yet been released.

CD-ROM: National Household Education Surveys of 1991, 1993, 1995, 1996, and 1999: Data Files and Electronic Codebook
NCES Number: 2002005 Release Date: April 15, 2002

National Household Education Survey of 1999 Data Files
NCES Number: 2000079 Release Date: June 2, 2001

National Household Education Survey of 1999: Data File User's Manual, Volume I
NCES Number: 2000076 Release Date: January 5, 2001

National Household Education Survey of 1999: Data File User's Manual, Volume II - Parent Interview Data File
NCES Number: 2000081 Release Date: January 5, 2001

Condition of Education 2002 in Brief
NCES Number: 2002011 Release Date: September 10, 2002

NCES Handbook of Survey Methods
NCES Number: 2003603 Release Date: May 1, 2003

National Household Education Survey of 1999: Methodology Report
NCES Number: 2000078 Release Date: August 18, 2000

CHILD CARE QUALITY: STRUCTURAL QUALITY

NATIONAL STUDY OF CHILD CARE FOR LOW-INCOME FAMILIES

Measure: Structural Child Care Quality Questions from the Parent Interview, Family Child Care Provider Interview, In-Depth Study of Family Child Care Observation Measures, and the Community Survey

Source

The National Study of Low-Income Child Care is funded by the Administration for Children and Families in the U.S. Department of Health and Human Services (DHHS). The study is being conducted by Abt Associates in Cambridge, Massachusetts, and the National Center for Children in Poverty at Columbia University's Joseph Mailman School of Public Health in New York City.

Population Assessed

"Information for the study is collected at three levels, with nested samples of communities within states and families and providers within communities. The first level is a sample of 17 states containing 25 communities that were selected from a national sampling frame to be as close as possible to a representative sample of counties with child poverty rates above 14 percent. At the family level, the study includes several samples: a random sample of 2,500 low-income families (with incomes under 200% of federal poverty guidelines) with working parents and at least one child under age thirteen for whom they use non-parental child care in the 25 communities (100 per community); a sample of 650 low-income parents who are receiving, or are eligible for, child care subsidies, and who are using family child care at the start of the study; and a sample of the 650 family child care providers linked to these 650 families" (DHHS, 2000, p. 9). The sample is not representative of all 50 states.

Periodicity

The study began in September 1997 and ended in June 2003. Information for the study was collected twice for the states, once in 1999 and again in 2001. Information about the communities was collected three times from 1999 to 2001. Information about the family child care setting was collected once.

Subscales/Components

Child Care questions are included in the Parent Interview, the Family Child Care Provider Interview, and the Community Survey. The Parent Interview addresses the parent attitude toward the quality of the care. The Family Child Care Provider Interview addresses the licensing of the care center and the caregiver's experience and training. The Community Survey addresses specific reasons for choosing a care arrangement.

The In-Depth Study of Family Child Care observes aspects of the child care such as adult-child ratio, the activities the children participate in and the supervision level throughout the day, and the safety of the area in which the children play.

Procedures for Administration

This information is not readily available.

Psychometrics/Data Quality

This information is not readily available.

Languages Available

This information is not readily available.

Items Included

The interviews can be requested by contacting the National Study of Low Income Child Care Project Director (Jean Layzer, *jean_layzer@abtassoc.com*).

Because of the large number of questions in each instrument, only a limited number of sample questions/responses are included.

PARENT INTERVIEW

L. Attitudes Towards Current Arrangement and Relationship with Provider

L14. I'd like to read a list of statements about your current child care provider and your child's experience in her home. For each item, tell me if it is always true, often true, sometimes true, or never true.

My caregiver has good training and education.
My caregiver shows she/he knows a lot about children and their needs.
The caregiver is skilled with children in a group

FAMILY CHILD CARE PROVIDER

A16. Is there a child care resource and referral network in your community?

A17. Are you listed with a resource and referral agency?

A18. Is your home licensed as a family child care home by the State?

A18a. How long have you been licensed?

A18b. How often are you required to renew your license?

A 18c. Does the State licensing agency make monitoring visits to your home?

A18d. How frequently do licensing staff make monitoring visits?

More than once a year
Once a year
Once every two years
On an irregular schedule

Section F. Caregiver Characteristics and Experience

Now, some questions about you.

Fl. What is the highest level of school you completed?

Less than high .school
Ged
High school diploma
Less than 2 years of college
Two-year associates' degree
Two or more years of college but no college degree
Voca tional or technical school after high school
College degree
Post -gradua te or professional degree
Don't know
Refused

F3. Have you had any special child care or early education training?

Child development associate training
Teacher training
Nurse's training or health courses
Training by referral or government agency
Child care courses or workshops
Child development or psychology courses in school
Other training focused on education (such as elementary education)
Other training focused on social services (such as social work)
Other (specify)

COMMUNITY SURVEY

Section E. Specific Reasons for Choosing Mode of Care and Specific Arrangement

Let's talk now about (NAME OF PROVIDER FROM SCREENER) who is the person that takes care of (NAME OF FOCUS CHILD) for most of the time you are working.

E1. Before you chose (PROVIDER) to care for (CHILD), did you visit and interview providers in person, visit other facilities, check references, or consider staying home yourself?

E2. Did you find any other arrangements that were satisfactory with respect to type and quality of care, location, and cost, and that had space for (CHILD)?

E3. Not including (PROVIDER), how many other acceptable choices did you have?

IN-DEPTH STUDY OF FAMILY CHILD CARE: OBSERVATION MEASURES

Roster of Children Enrolled and Present

Children Who are Not Provider's Own Children				
First Name of Child	Birthdate (mm/dd/yyyy)	Age	Related to Provider? (Y/N)	Present on Day of Visit (Y/N)
1. (FC)				
2.				
3.				
4.				
5.				
6.				
7.				
8.				
9.				
10.				
11.				
12.				

Assistants/Helpers in Family Child Care Home				
First Name of Assistant	Approximate # Hours Worked/Week	Age in Years	Related to Provider (Y/N)	Present on Day of Visit? (Y/N)
1.				
2.				
3.				
Use back of page to list additional assistants				

The observation manual also includes places for the observer to note the location of the children and caregivers throughout the day and their involvement in various activities.

References and Source Documents

The interviews can be requested by contacting the National Study of Low Income Child Care Project Director (Jean Layzer, *jean_layzer@abtassoc.com*).

U.S. Department of Health and Human Services. (2000, November). National Study of Child Care for Low-Income Families: State and community substudy interim report. Washington, DC: Author. Available at *http://www.abtassoc.com/reports/NSCCLIF.pdf*

CHILD CARE QUALITY: PROCEDURAL QUALITY

NATIONAL STUDY OF CHILD CARE FOR LOW-INCOME FAMILIES

Measure: Procedural Child Care Quality Questions from the Parent Interview and the In-Depth Study of Family Child Care Observation Measures

Source

The National Study of Child Care for Low-Income Families is funded by the Administration for Children and Families in the U.S. Department of Health and Human Services (DHHS). The study is being conducted by Abt Associates in Cambridge, Massachusetts, and the National Center for Children in Poverty at Columbia University's Joseph Mailman School of Public Health in New York City.

Population Assessed

"Information for the study is collected at three levels, with nested samples of communities within states and families and providers within communities. The first level is a sample of 17 states containing 25 communities that were selected from a national sampling frame to be as close as possible to a representative sample of counties with child poverty rates above 14 percent. At the family level, the study includes several samples: a random sample of 2,500 low-income families (with incomes under 200% of federal poverty guidelines) with working parents and at least one child under age thirteen for whom they use non-parental child care in the 25 communities (100 per community); a sample of 650 low-income parents who are receiving, or are eligible for, child care subsidies, and who are using family child care at the start of the study; and a sample of the 650 family child care providers linked to these 650 families" (DHHS, 2000, p. 9). The sample is not representative of all 50 states.

Periodicity

The study began in September 1997 and ended in June 2003. Information for the study was collected twice for the states, once in 1999, and again in 2001. Information about the communities was collected three times from 1999 to 2001. Information about the family child care setting was collected once.

Subscales/Components

The parent interview includes procedural quality questions in Section L: Attitudes Towards Current Arrangement and Relationship with Provider. The questions address the parent's perception of the arrangement, including the activities the child participates in, the training of the caregiver, the supervision in the care arrangements, and the overall experience in the arrangement.

The In-Depth Study of Family Child Care observation measures include various forms an observer fills out during the course of the observation. The Environment Checklist includes information about the number of appropriate toys and activities available to children of different ages. The Primary Provider Rating System addresses the way the teaching and/or care is occurring in the arrangement, including the opportunities children have to learn and explore their environment. The Secondary Provider Rating System addresses the same components as the Primary Provider Rating System for the secondary caregiver.

Procedures for Administration

This information is not readily available.

Psychometrics/Data Quality

This information is not readily available.

Languages Available

This information is not readily available.

Items Included

The interviews can be requested by contacting the National Study of Low Income Child Care Project Director (Jean Layzer, *jean_layzer@abtassoc.com*).

PARENT INTERVIEW

I'd like to read a list of statements about your current child care provider and your child's experience in her home. For each item, tell me if it is always true, often true, sometimes true, or never true.

Now we'll talk about the caregiver's ability and the richness of activities for your child:
It's an interesting place for my child.

There are a lot of creative activities going on.
There are plenty of toys, books, pictures, and music for my child.
The caregiver provides activities that are just right for my child.
I feel my child is getting too old for the activities.
My child gets a lot of individual attention.
The caregiver helps children to make their own decisions.
The caregiver changes activities in response to my child's needs.
My caregiver has good training and education.

OBSERVATION MEASURES

The responses to the following questions are:

1. Usually true, consistent evidence

2. Partially/sometimes true, some evidence
3. Not true, little/no evidence
4. Not applicable

For children one year or under, there are enough toys and materials to engage children in developmentally appropriate ways.
For children one+ to three years of age, there are enough toys and materials to engage children in developmentally appropriate ways.
For children three+ to five years of age, there are enough toys and materials to engage children in developmentally appropriate ways.
For children older than five years, there are enough toys and materials to engage children in developmentally appropriate ways.
Household items are used by children in learning/play activities.
There are at least 10 books appropriate in level for each age of child enrolled.
Some books are accessible to children.
Besides books there are some materials to promote language and dramatic play (e.g., telephones, puppets, interactive games, audio materials, dolls, blocks, human/animal figures, props, costumes)

FROM PRIMARY PROVIDER RATING SYSTEM

The provider gives children opportunities to make choices and explore their interests in a variety of activities, for at least 60 minutes during each half-day period.
The provider actively supports children's play by simply observing, offering materials, joining in, or making gentle suggestions as needed.
There is time for active physical play, either indoors or outdoors.
The provider takes advantage of and builds upon the many natural learning experiences and "teachable moments" as they arise.
All children have activities in which they can engage at all times. If children are discouraged from participating in one activity (due to age or safety reasons), the provider engages them in something else.
The provider reads at least one book to the children, or all of the children are able to read.
The provider encourages children to look at or read books on their own.
The provider gives children opportunities to learn about shapes and sounds of letters and words in their environment.
The provider encourages children to use math in everyday context.
The provider gives children opportunities to explore the natural and physical environment.
Creative activities are open ended and child directed.
Evidence of children's art and other work products is visible or readily available and does not show preference for work that looks realistic or pretty.
The provider gives children opportunities to make their own music, chants, or finger plays with their voices or instruments (purchased or homemade).
The provider gives children opportunities to dance or move creatively.
If children watch television or videos or use a computer, the time is limited to no more than one hour or one full-length movie during observation. Alternate activities are available for children.

Any television program, video, computer program, video game, or music used with children is not inappropriate (violent, stereotyped, sexually explicit, or otherwise inappropriate).

References and Source Documents

The interviews can be requested by contacting the National Study of Low Income Child Care Project Director (Jean Layzer, *jean_layzer@abtassoc.com*).

U.S. Department of Health and Human Services. (2000, November). National Study of Child Care for Low-Income Families: State and community substudy interim report. Washington, DC: Author. Available at *http://www.abtassoc.com/reports/NSCCLIF.pdf*

CHILD CARE QUALITY: STRUCTURAL QUALITY

NATIONAL CHILD CARE STAFFING STUDY

Measure: Child care quality items from the National Child Care Staffing Study teaching staff and director interviews that measure teacher education and experience

Note: The National Child Care Staffing Study (NCCSS) is a longitudinal study of child care centers conducted in 1988, 1992, and 1997. This description of child care quality items comes from the staff and director interviews completed for the original (1988) study. The items discussed here measure aspects of structural quality, namely descriptions of the education, qualifications, and experience of teaching staff of child care centers.

Source

The 1988 NCCSS was coordinated by the Child Care Employee Project staff and funded by a consortium of foundations, including the Carnegie Corporation of New York, Ford Foundation, the Foundation for Child Development, the A.L. Mailman Family Foundation, and the Spunk Fund, Inc. (Whitebook, Howes, & Phillips, 1990, p. ii). Marcy Whitebook, Carollee Howes, and Deborah Phillips, the principal investigators of the NCCSS, worked (at the time of the 1988 study) at the Child Care Employee Project, the University of California at Los Angeles, and the University of Virginia, respectively. The sponsor of the study, the Child Care Employee Project, changed its name to the Center for the Child Care Workforce (CCW) in 1997. (CCW was known as the National Center for the Early Childhood Work Force between 1994 and 1997.) In November 2002, CCW became a program within the American Federation of Teachers Educational Foundation.

Population Assessed

The original study sample consisted of 227 child care centers in five metropolitan areas; within these 227 centers, researchers observed 643 classrooms and interviewed 1,309 teaching staff (including both teachers and assistant teachers). The NCCSS only focused on center-based programs that served children through 5 years old, operated at least 11 months a year for a minimum of 6 hours a day, served a minimum of 15 children, and employed no less than six staff members. "In summary, there is some potential for bias in the sample given the higher participation rates for non-profit than for-profit centers, centers serving low-income families, and centers that may offer somewhat higher quality care than is typical in the Study sites [metropolitan areas]. However, as a result of the stratified, replacement sampling strategy, the final sample of centers closely matches the distribution of centers across Census tracts and urban and suburban residential areas" (Whitebook et al., 1990, p. 19).

Because of the decision to focus on five metropolitan areas, the NCCSS did not provide a nationally representative sample of all child care centers, but instead "sought to capture the diversity of the nation's centers in numbers approximating their distribution in the five Study sites…The participating sites [metropolitan areas], as planned, are highly diverse with respect to their economic contexts, demographics, and regulatory climates" (Whitebook et al., 1990, pp.13, 14).

The five metropolitan areas were ethnically diverse, with a variety of racial/ethnic groups represented. Blacks were the largest minority group in Atlanta and Detroit, Hispanics were the largest in Phoenix, and Asians and Native Americans formed the greatest portion of the minority population in Seattle. The NCCSS selected centers that served children through 5 years old, and "across all participating centers, the research team observed 643 classrooms [in 1988]: 85 (13%) infant, 151 (23%) toddler, 313 (49%) preschool, and 94 (15%) mixed-age classrooms" (Whitebook et al., 1990, p. 19). In Atlanta, the sample of 255 children consisted of 36 percent infants, 22 percent toddlers, and 42 percent preschoolers.

Staff Interview

The proportion of child care teachers who were women, their age distribution, and their ethnic backgrounds changed little between 1977 when an earlier study was conducted and 1988. Interview responses indicate that 97 percent of the teaching staff in our study were female and 81 percent were 40 years old or younger. Approximately one-third of the teaching staff in 1977 and 1988 were members of minorities. Although the percentage of minority teachers was higher in all cities than the percentage of minorities in the community at large, the percentage in some cities was three times as high (Whitebook et al., 1990, p. 32).

Director Interview

Compared with the administrative directors of the centers, teaching staff were younger, more often female, and more often minorities. Only 21 percent of directors, compared with over 50 percent of teaching staff, were under 30 compared; 6 percent of directors, compared with 3 percent of teaching staff, were male; 80 percent of the directors, compared with 68 percent of the teaching staff, were White (Whitebook et al., 1990, p. 34).

Periodicity

Data were collected between February and August 1988 for the original study. The 1992 and 1997 follow-ups also included director interviews, but did not include staff interviews.

Subscales/Components

Staff Interview

Questions about teacher education and experience occur in two sections of the staff interview of the 1988 NCCSS. Section B: Child Care Experience asks teaching staff about their amount of experience in child care. Section E: Educational Background inquires about teacher education and certification and the amounts and type of child care training that staff have had.

Director Interview

In the 1988 NCCSS, Section C: General Staff Characteristics of the director interview asks about the qualifications of the center's staff. Most of the questions inquire if the center director requires staff (of various types) to have education, experience, or credentials beyond licensing requirements and to identify what those additional qualifications are. Section I: Staff Education, Experience and Wages asks the director, as part of a table where the director describes the center's staff, to identify the highest level of education, area of specialized training, type of credentialing, and previous experience of each staff member.

Procedures for Administration

Staff Interview

Trained and experienced research assistants interviewed sampled teaching staff while on a site visit to each child care center for the 1988 NCCSS. These one-on-one interviews were completed after classroom observations. Interviews lasted between one and two hours.

Director Interview

A trained and experienced site coordinator interviewed the center director while on a site visit to each child care center. These one-on-one interviews marked the first step in data collection at each center. Interviews lasted three hours on average.

(For more information on administration procedures, see pages 21–23 of Whitebook et al., 1990.)

Psychometrics/Data Quality

Similar questions on wages, benefits, and working conditions were asked in both the teaching staff and director interviews in the 1988 NCCSS. Directors consistently gave higher responses to these questions than did teachers. Where answers from both directors and teaching staff were available, analyses done for the NCCSS typically used the responses given by teaching staff for reasons including larger sample size and higher expected reliability (Whitebook et al., 1990, p. 22).

Staff Interview

"Test-retest reliability (two interviews per staff) for [the teaching staff] interview was computed for 10 child care teaching personnel not participating in the NCCSS. Test-retest reliability across all items was $r = .79$ (range = .71 to .92)" (Whitebook et al., 1990, p. 22).

Director Interview

"Test-retest reliability (two interviews per director) for [the center director] interview was computed for 10 directors not participating in the Study. Test-retest reliability across all items was $r = .82$ (range = .79 to .94)" (Whitebook et al., 1990, pp. 21–22).

Languages Available

Other than English, information about the languages in which this measure is available is not readily available.

Items Included

Staff Interview

Whitebook, M., Howes, C., & Phillips, D. (1988b). National Child Care Staffing Study staff interview. Oakland, CA: Child Care Employee Project.

Section B: Child Care Experience questions come from the end of that section. All questions from Section E: Educational Background are reported here.

Section B: Child Care Experience

The questions in this section ask about your professional background both in this center and prior to your employment here.

DEFINITIONS: You will need to use the following definitions as you complete this section:

Teacher refers to persons in charge of a group or classroom of children, often with staff supervisory responsibilities. This category includes head or lead teachers.

Assistant Teacher refers to persons working under the supervision of a teacher.

Aide refers to persons working under the supervision of a teacher or assistant teacher.

Teacher-Director refers to a person with both teaching and administrative duties.

Administrative Director refers to persons who have administrative responsibilities only.

B12. How many years have you worked in the field of early education and child care? Working means 10 hours or more a week. Include paid and non-paid experience, and include your time in this program. (Circle one)

Less than one year
1 to 3 years
Over 3 years to 5 years
Over 5 years to 7 years
Over 7 years to 10 years
Over 10 years to 15 years
Over 15 years

B13. In months, how long have you worked in this program?

B14. In months, how long have you held your current position in this program?

B15. At what level did you start in this program? (Circle one)

Teacher
Assistant Teacher
Aide
Teacher-Director
Administrative Director
Other: specify: _____

B16. What did you do immediately prior to working in this center? (Circle one)

Held another job in child care
Held a job in a field related to young children, but not child care
Held a job not related to young children
Was in school
Was not working

If (a), how long were you in this job? _____ months

Why did you leave?_____

B17. How many different jobs of any kind did you hold in the 5 years prior to beginning to work at this center?

B18. How many of these jobs were in child care?

What is the longest period of time you worked in one of these child care jobs?

_____ months

Section E: Educational Background

The questions in this section ask about your educational background and current involvement in education and training.

E1. Please circle the highest educational level you have completed.

I have not completed high school
High school diploma or GED
Some college

IF circled any of the above, skip to question E4.

Associate of Arts (AA) degree
Bachelor's (BA or BS) degree
Some graduate work

IF circled any of the above, skip to question E3.

Master's degree
Some post-Master's work
Ed.D. or Ph.D.
I have another post-Master's degree

Go on to question E2.

E2. If you have a graduate degree (e.g., Master's, Ed.D., Ph.D.) what area is it in? (Circle one)

Early Childhood Education

Elementary Education
Special Education
Another Field of Education
Child Development
Clinical/Counseling Psychology
Other Field of Psychology
Social Work
Nursing or other Health Field
Another field (Name:_____)

E3. If you have a college degree (Associate or Bachelor's), what area did you major in? (Circle one)

Early Childhood Education
Elementary Education
Special Education
Another Field of Education
Psychology
Social Work
Nursing or Health-Related
Another field (Name: _____)

E4. Did you take any courses related to child care, early childhood education, or child development in high school?

[ ] yes [ ] no

E5. Have you ever had any specialized coursework or training in child care, early education, or child development? (Exclude elementary and secondary education training.)

[ ] yes [ ] no

E6. Are you presently working toward a degree?

[ ] yes → What type of degree? _____
In what field? _____

[ ] no

E7. Do you have? (Circle all that apply)

A state certificate in early childhood education
A state certification in elementary education
A state certificate in secondary education
A state certificate in special education
Another state education certificate
A Child Development Associate (CDA) credential
A license as a registered nurse (RN)
A license as a licensed practical nurse (LPN)
A certification or license as a social worker
A certification or license as a psychologist

A Certificate of Clinical Competence/Speech Pathologist (CCC/SP)
Other license, certificate or credential (specify) _____
No license, certificate or credential

E8. Are you in the process of obtaining any of the licenses, certificates, or credentials listed in question E7?

[ ] yes → Which one? Use letter from above _____
When do you expect to receive it? _____

[ ] no

E9. Did you enroll in any college courses for credit last year?

[ ] yes → Was the course in a child-related field?

[ ] yes
[ ] no

[ ] no

E10. Have you taken any courses in a vocational school?

[ ] yes → Were any of these courses related to child care, early childhood education, or child development?

[ ] yes
[ ] no

[ ] no

Ell. Have you received or are you receiving any form of child care training not mentioned above within the last 12 months?

[ ] no

[ ] yes

What did or does this training consist of?

One-time training:	Total hours
a. Conference	_____
b. Workshop	_____
c. One-time In-Service training	_____
d. One-time Pre-Service training	_____
e. Other: SPECIFY _____	_____
On-going training:	
f. Correspondence Course	_____
g. Course at college or agency	_____
h. Child Development Associate	_____
i. Other in-service training	_____
j. Series of pre-service training	_____
k. Other: SPECIFY _____	_____

E12. Consider all the training you've ever had. Have you had any training in: (Circle all that you've taken. Then, for circled items, please tell us how useful this training was for your current work).

	Not at all Useful		Moderately Useful		Extremely Useful
Child development	1	2	3	4	5
Curriculum planning	1	2	3	4	5
Working with parents	1	2	3	4	5
Child abuse prevention	1	2	3	4	5
Other health and safety	1	2	3	4	5

	Not at all Useful		Moderately Useful		Extremely Useful
Staff relations	1	2	3	4	5
Stress reduction	1	2	3	4	5
Program administration	1	2	3	4	5
Advocacy work	1	2	3	4	5
Work/Family conflict	1	2	3	4	5
Other: specify _____	1	2	3	4	5
specify _____	1	2	3	4	5

E13. Do you belong to any professional organizations?

[ ] yes → Which ones? (give names)
_____
_____
_____

[ ] no

DIRECTOR INTERVIEW

Whitebook, M., Howes, C., & Phillips, D. (1988a). National Child Care Staffing Study director interview. Oakland, CA: Child Care Employee Project.

The general teacher education questions from the director interview occur at the end of Section C: General Staff Characteristics, in a separate topic called General Questions. The specific qualifications of each staff member are recorded as part of a table filled out by the center director in Section I: Staff Education, Experience and Wages. (The table itself is omitted here.) For staff definitions, see the staff interview above.

Section C: General Staff Characteristics

GENERAL QUESTIONS

C28. Do you require any entry level education beyond what is required by licensing regulations for the following staff?

	No	Yes	What?
Teacher	( )	( )	_____
Assistant Teacher/Aide	( )	( )	_____
Teacher/Director	( )	( )	_____
Admin. Director	( )	( )	_____

C29. Do you require any in-service or continuing education beyond what is required by licensing regulations for the following staff?

	No	Yes	What?
Teacher	( )	( )	_____
Assistant Teacher/Aide	( )	( )	_____
Teacher/Director	( )	( )	_____
Admin. Director	( )	( )	_____

C30. How many of your staff received 15 hours or more of training during the last 12 months?

Teacher	_____
Assistant Teacher/Aide	_____
Teacher-Director	_____
Admin. Director	_____

C31.Do you require any experience working with children beyond what is required by licensing regulations for the following staff?

	No	Yes	What?
Teacher	( )	( )	_____
Assistant Teacher/Aide	( )	( )	_____
Teacher/Director	( )	( )	_____
Admin. Director	( )	( )	_____

C32. Do you require any credential beyond what is required by licensing regulations for the following staff?

	No	Yes	What?
Teacher	( )	( )	_____
Assistant Teacher/Aide	( )	( )	_____
Teacher/Director	( )	( )	_____
Admin. Director	( )	( )	_____

C33. Are teachers with degrees or credentials in early childhood education child development or some other child-related field given higher salaries than those with similar degrees in other non-related fields?

[ ] yes, they are given higher salaries
[ ] no, they are not given higher salaries

Section I: Staff Education, Experience and Wages

NOW TURN TO THE FORM ON THE FOLLOWING PAGE. We will use the same categories here as we used above (see page 12). You may have some of the requested information in your files; if not, you should simply rely on your best impressions. We do want the most accurate information possible.

DO NOT PUT ANY COMPLETE NAMES ON THE FORM. USE ONLY INITIALS.

[The center director fills out a table with a line for each staff member. The following questions are columns in that table. For columns where the director is supposed to indicate the letter(s) of the correct answer, the letters and "0" response (where applicable) are pre-typed in that column of the table, and the director is supposed to circle the correct letter(s).]

I4. Education - Highest Level. Indicate the highest level of education attained by each staff. **[Column heading: Education Level]**

Less than high school diploma or GED
GED or high school diploma
Some college
Associate of Arts (AA) degree
Bachelor's (BA or BS) degree
Some graduate work
Master's degree
Ed.D. or Ph.D.
Another advanced or professional degree

I5. Education - Area. Indicate whether this staff member received any specialized training in the following areas, whether in high school, vocational school, college, or graduate school. If no specialized training, place a "0" in this column. (Do not include in-service training, workshops, or conferences). **[Column heading: Special Education]**

Circle all that apply:

Early Childhood Education
Elementary Education
Special Education
Other Area of Education or Child Care
Psychology/Child Development
Social Work
Nursing/Other Health-Related Field

0 = no specialized training in the categories listed here

I6. Credential, License, Etc. Indicate if the staff member holds a license, credential, certificate, or registration in an area relevant to his/her work. If no license, etc. is held, place a "0" in this column. **[Column heading: Certification or License]**

Circle all that apply:

State certificate in early childhood education
State certification in elementary education
State certificate in secondary education
State certificate in special education
Another state education certificate
Child Development Associate (CDA) credential
License as a registered nurse (RN)
License as a licensed practical nurse (LPN)

Certification or license as a social worker
Certification or license as a psychologist
Certificate of Clinical Competence/Speech Pathologist (CCC/SP)
Other license, certificate or credential related to child care work: specify:

_____

0 = no credential, license, or certificate listed here

I7. Experience. Indicate the total months of experience in your program. **[Column heading: Experience In Program]**

I8. Prior Experience. Indicate whether this staff member had experience in child care or some other child-related work that is directly relevant to his/her current position prior to coming to this program? **[Column heading: Prior Experience]**

Yes
No
Don't know

References and Source Documents

Whitebook, M., Howes, C., & Phillips, D. (1990). Who cares? Child care teachers and the quality of care in America. Final report: National Child Care Staffing Study. Oakland, CA: Child Care Employee Project.

Whitebook, M., Howes, C., & Phillips, D. (1988a). National Child Care Staffing Study director interview. Oakland, CA: Child Care Employee Project.

Whitebook, M., Howes, C., & Phillips, D. (1988b). National Child Care Staffing Study staff interview. Oakland, CA: Child Care Employee Project.

CHILD CARE QUALITY: STRUCTURAL QUALITY

NATIONAL CHILD CARE STAFFING STUDY

Measure: Child care quality items from the National Child Care Staffing Study director interview that measure classroom structure

Note: The National Child Care Staffing Study (NCCSS) is a longitudinal study of child care centers conducted in 1988, 1992, and 1997. This description of child care quality items comes from the center director interviews completed for the original (1988) study. The items discussed here measure structural quality of child care through the director's report of the classroom structure of each classroom of the center.

Source

The 1988 NCCSS was coordinated by the Child Care Employee Project staff and funded by a consortium of foundations including the Carnegie Corporation of New York, Ford Foundation, the Foundation for Child Development, the A.L. Mailman Family Foundation, and the Spunk Fund, Inc. (Whitebook, Howes, & Phillips, 1990, p. ii). Marcy Whitebook, Carollee Howes, and Deborah Phillips, the principal investigators of the NCCSS, worked (at the time of the 1988 study) at the Child Care Employee Project, the University of California at Los Angeles, and the University of Virginia, respectively. The sponsor of the study, the Child Care Employee Project, changed its name to the Center for the Child Care Workforce (CCW) in 1997. (CCW was known as the National Center for the Early Childhood Work Force between 1994 and 1997.) In November 2002, CCW became a program within the American Federation of Teachers Educational Foundation.

Population Assessed

The original study sample consisted of 227 child care centers in five metropolitan areas; within these 227 centers, researchers observed 643 classrooms and interviewed 1,309 teaching staff (including both teachers and assistant teachers). The NCCSS only focused on center-based programs that served children up through 5 years old, operated at least 11 months a year for a minimum of 6 hours a day, served a minimum of 15 children, and employed no less than six staff members. "In summary, there is some potential for bias in the sample given the higher participation rates for non-profit than for-profit centers, centers serving low-income families, and centers that may offer somewhat higher quality care than is typical in the Study sites [metropolitan areas]. However, as a result of the stratified, replacement sampling strategy, the final sample of centers closely matches the distribution of centers across Census tracts and urban and suburban residential areas" (Whitebook et al., 1990, p. 19).

Because of the decision to focus on five metropolitan areas, the NCCSS did not provide a nationally representative sample of all child care centers, but instead "sought to capture the diversity of the nation's centers in numbers approximating their distribution in the five Study sites…The participating sites [metropolitan areas], as planned, are highly diverse with respect to

their economic contexts, demographics, and regulatory climates" (Whitebook et al., 1990, pp.13, 14).

The five metropolitan areas were ethnically diverse, with a variety of racial/ethnic groups represented. Blacks were the largest minority group in Atlanta and Detroit, Hispanics were the largest in Phoenix, and Asians and Native Americans formed the greatest portion of the minority population in Seattle. About one-third of teaching staff in the 1988 sample belonged to racial/ethnic minorities, and in all metropolitan areas the percentage of members of minority populations was larger in the teaching staff than in the area as a whole. The NCCSS selected centers that served children through five years old, and "across all participating centers, the research team observed 643 classrooms [in 1988]: 85 (13%) infant, 151 (23%) toddler, 313 (49%) preschool, and 94 (15%) mixed-age classrooms" (Whitebook et al., 1990, p. 19). In Atlanta, the sample of 255 children consisted of 36 percent infants, 22 percent toddlers, and 42 percent preschoolers.

Compared with the administrative directors of the centers, teaching staff were younger, more often female, and more often minorities. Only 21 percent of directors, compared with over 50 percent of teaching staff, were under 30 compared; 6 percent of directors, compared with 3 percent of teaching staff, were male; 80 percent of the directors, compared with 68 percent of the teaching staff, were White (Whitebook et al., 1990, p. 34).

Periodicity

Data were collected between February and August 1988 for the original study. The 1992 and 1997 follow-ups also included director interviews.

Subscales/Components

In the center director interview of the 1988 NCCSS, Section D: Classroom Structure provides a director self-report measure of the structural quality of center-based child care. "Directors completed a grid for each room in their centers specifying, in hourly blocks, the number and age of children cared for and the teaching staff in the room. From these grids, we derived measures of staffing patterns including the number of adults in the room, the degree of overlap between teaching shifts, and the use of 'floaters,' or teaching staff not assigned to a specific room. We also derived measures of child grouping including whether the room included single-age or mixed-age children, and whether children were grouped and regrouped among classrooms in an accordion fashion throughout the day" (Whitebook et al., 1990, p. 24). Via a separate instrument (unavailable for use in these options documents), structural quality was also measured through observations of the classroom structure of each sampled classroom. This assessment of the child development environment of each center is described more fully on page 25 of Whitebook et al., 1990.

Procedures for Administration

In the 1988 NCCSS, a trained and experienced site coordinator interviewed the center director while on a site visit to each child care center. These one-on-one interviews marked the first step in data collection at each center. Interviews lasted three hours on average. For more information see pages 21–23 of Whitebook et al., 1990.

Psychometrics/Data Quality

"Test-retest reliability (two interviews per director) for [the center director] interview was computed for 10 directors not participating in the Study. Test-retest reliability across all items was r = .82 (range = .79 to .94)" (Whitebook et al., 1990, pp. 21–22).

Similar questions on wages, benefits, and working conditions were asked in both the teaching staff and director interviews of the 1988 NCCSS. Directors consistently gave higher responses to these questions than did teachers. Where answers from both directors and teaching staff were available, analyses done for the NCCSS typically used the responses given by teaching staff for reasons including larger sample size and higher expected reliability (Whitebook et al., 1990, p. 22).

Languages Available

Other than English, information about the languages in which this measure is available is not readily available.

Items Included

Whitebook, M., Howes, C., & Phillips, D. (1988a). National Child Care Staffing Study director interview. Oakland, CA: Child Care Employee Project.

Listed below is the complete content of Section D: Classroom Structure, except that duplicate copies of the table to be filled out are not repeated.

Section D: Classroom Structure

D1. Please complete this form to describe your classroom structure. For each hour of the day and for each group of children, indicate:

The number of children enrolled in the group, and their ages
The staff members assigned to the group (use initials or first names only)
The hours worked by the staff members
The job titles of the staff in parentheses after their first names and last initials:

1.DEFINITIONS: You will need to use the following definitions as you complete this section -

(T) = Teacher refers to persons in charge of a group or classroom of children, often with staff supervisory responsibilities. This category includes head or lead teachers.

(AT) =Assistant Teacher/Aide refers to persons working under the supervision of a teacher.

(TD) = Teacher-Director refers to a person with both teaching and administrative duties.

(AD) = Administrative Director refers to persons who have administrative responsibilities only.

If other category of staff, note job title (e.g., volunteer)

GROUP OF CHILDREN	STAFFING PATTERN													
GROUP NAME	AM	NUMBER OF CHILDREN ENROLLED EACH HOUR												PM
	6:00	7:00	8:00	9:00	10:00	11:00	12:00	1:00	2:00	3:00	4:00	5:00	6:00	7:00
EXAMPLE		*20*	*22*	*22*	*22*	*22*	*22*	*20*	*20*	*20*	*20*	*20*	*15*	
Number **Age**	Hours of each staff member													
_____ Infants	*7:00 Irene P. (TD) 3:00*													
12 Toddlers *(18 mo.-30 mo.)*	*8:00 James L. (T) 4:00*													
10 Preschoolers *(3-4 years)*	*9:30 Adele R. (AT) 6:30*													
_____ School-agers	*2:00 Sue D. (T) 7:00*													

GROUP NAME	AM	NUMBER OF CHILDREN ENROLLED EACH HOUR												PM
	6:00	7:00	8:00	9:00	10:00	11:00	12:00	1:00	2:00	3:00	4:00	5:00	6:00	7:00
Number **Age**	Hours of each staff member													
_____ Infants														
_____ Toddlers														
_____ Preschoolers														
_____ School-agers														

[The above table is repeated 16 times in the director interview booklet.]

References and Source Documents

Whitebook, M., Howes, C., & Phillips, D. (1990). Who cares? Child care teachers and the quality of care in America. Final report: National Child Care Staffing Study. Oakland, CA: Child Care Employee Project.

Whitebook, M., Howes, C., & Phillips, D. (1988a). National Child Care Staffing Study director interview. Oakland, CA: Child Care Employee Project.

CHILD CARE QUALITY: PROCEDURAL QUALITY

NATIONAL CHILD CARE STAFFING STUDY

Measure: Howes and Stewart (1987) scale of adult play with child, as used in the National Child Care Staffing Study

Note: The National Child Care Staffing Study (NCCSS) is a longitudinal study of child care centers conducted in 1988, 1992, and 1997. This description of the Howes and Stewart (1987) adult play scale derives from its use in the Atlanta sample in the original (1988) NCCSS study.

Source

The 1988 NCCSS was coordinated by the Child Care Employee Project staff and funded by a consortium of foundations, including the Carnegie Corporation of New York, Ford Foundation, the Foundation for Child Development, the A.L. Mailman Family Foundation, and the Spunk Fund, Inc. (Whitebook, Howes, & Phillips, 1990, p. ii). Marcy Whitebook, Carollee Howes, and Deborah Phillips, the principal investigators of the NCCSS, worked (at the time of the 1988 study) at the Child Care Employee Project, the University of California at Los Angeles, and the University of Virginia, respectively. The sponsor of the study, the Child Care Employee Project, changed its name to the Center for the Child Care Workforce (CCW) in 1997. (CCW was known as the National Center for the Early Childhood Work Force between 1994 and 1997.) In November 2002, CCW became a program within the American Federation of Teachers Educational Foundation.

One of the authors of the 1988 NCCSS study, Carollee Howes, created—along with Phyllis Stewart—the adult play scale. The scale was first used in the Howes and Stewart (1987) study of the relationship between 1) children's play with adults, toys, and peers and 2) child care quality and family characteristics. "This five-point scale has predicted children's developmental outcomes (Howes & Stewart, 1987)" (Whitebook et al., 1990, p. 26). In discussing the creation of the adult play scale, Howes and Stewart observed that "the adult play scale was developed for [their 1987 study] on the basis of individually coded measures used by Rubenstein and Howes (1979) to describe child-care caregiver behavior" (Howes & Stewart, 1987, p. 425). For more information on the original creation of the scale of adult play with child, see Howes & Stewart, 1987.

According to Dr. Howes (personal communication, August 14, 2003), the Howes and Stewart adult play scale was used in FACES observations. It has also appeared in a number of other major studies, including the Cost Quality and Outcome Study and (in a modified version) the Multi-State Study.

Population Assessed

The original study sample consisted of 227 child care centers in five metropolitan areas; within these 227 centers, researchers observed 643 classrooms and interviewed 1,309 teaching staff (including both teachers and assistant teachers). The NCCSS only focused on center-based

programs that served children up through 5 years old, operated at least 11 months a year for a minimum of 6 hours a day, served a minimum of 15 children, and employed no less than six staff members. "In summary, there is some potential for bias in the sample given the higher participation rates for non-profit than for-profit centers, centers serving low-income families, and centers that may offer somewhat higher quality care than is typical in the Study sites [metropolitan areas]. However, as a result of the stratified, replacement sampling strategy, the final sample of centers closely matches the distribution of centers across Census tracts and urban and suburban residential areas" (Whitebook et al., 1990, p. 19).

Although the study looked at five metropolitan areas, the adult play scale (along with various assessments of children's developmental outcomes) was used only in the Atlanta sample. In Atlanta as a whole, Blacks were the largest minority group. About one-third of teaching staff in the 1988 sample (across all five metropolitan areas) belonged to racial/ethnic minorities, and in all metropolitan areas the percentage of members of minority populations was larger in the teaching staff than in the area as a whole. "In Atlanta, two children, preferably a girl and a boy, were randomly selected from each target classroom to be assessed. Two hundred and fifty-five children constituted the child sample: 92 infants, 57 toddlers, and 106 preschoolers" (Whitebook et al., 1990, p. 20).

The demographic characteristics of the Atlanta teachers whose play with children was assessed were not reported in the main report for the original (1988) study. See pages 32–33 of Whitebook et al., 1990, for demographic information on the sample of teachers as a whole.

Periodicity

Data were collected between February and August 1988 for the original study as a whole. The 1992 and 1997 follow-ups did not include the adult play scale.

Subscales/Components

The adult play scale contains no subscales or components. As the description of the scale below should make clear, the measure contains only one item, a continuum on which the nature of adult's play with children is recorded at regular intervals. In the NCCSS, the adult play scale was used as a rating of teacher-child interaction, itself a construct that measures classroom quality. Other measures of teacher-child interaction used in the NCCSS were the appropriate caregiving subscale of the ECERS and ITERS and the Arnett scale of teacher sensitivity. The adult play scale is referred in the NCCSS report as "the Howes and Stewart (1987) measure of the level of adult involvement with children" (Whitebook, Howes, & Phillips, 1990, pp. 25–26).

Procedures for Administration

In the 1988 NCCSS, trained and experienced "research assistants spent a total of at least two hours in each classroom assessing quality [via multiple measures]. In most cases, each classroom was visited on more than one day; in all cases, the time a classroom was observed covered both morning and afternoon activities" (Whitebook et al., 1990, p. 23). Classroom observations took place before teacher interviews.

"In Atlanta, one research assistant additionally observed each target child's interaction with his or her teaching staff for six five-minute blocks evenly distributed over a two-hour period. Interactions were rated every 20 seconds using the Howes and Stewart (1987) measure of the level of adult involvement with children" (Whitebook et al., 1990, p. 25-26). A different research assistant was used to administer the Arnett scale of teacher sensitivity. For more information on the use of observation protocols of child care quality in the NCCSS, see page 21 and 23 to 26 of Whitebook et al., 1990.

Carollee Howes stressed that the adult play scale is "an observational instrument that requires considerable training" (personal communication, August 14, 2003).

Psychometrics/Data Quality

In the 1988 NCCSS, "inter-rater reliabilities were established to a criterion of 80 percent agreement for all observational measures prior to data collection…At mid-point, within-site reliabilities (based on 5% of the center sample) exceeded 90 percent" (Whitebook et al., 1990, p. 21).

"Kappa inter-observer reliability scores for the [Howes & Stewart] adult involvement measure were .92" (Whitebook, Howes et al., 1990, p. 26).

The adult play scale has been used in a number of other major studies, including the Cost Quality and Outcome Study and FACES; a modified version was used in the Multi-State Study. It was created for the Howes & Stewart study, in which it was used to assess adult play with 55 toddlers (30 female, 25 male, all between 11 and 30 months old), each child attending a different family day-care home full time. For the Howes & Stewart (1987) study, "the test-retest reliability of the adult play scale was assessed by observing four children for 1 week after their initial observations. Test-retest reliability was .85" (Howes & Stewart, 1987, p. 425).

Languages Available

Other than English, information about the languages in which this measure is available is not readily available.

Items Included

The following description of the adult play scale comes from its original source, Howes & Stewart (1987):

"Adult play with child. The caregiver's behavior with the child was coded; the child's response or dyadic involvement was not coded. Adult play was rated as ignores (0) if the adult ignored the child; as routine (1) if the caregiver touched the child for changing or other routine care giving but made no verbal responses to child; as minimal (2) if the care giver touched the child only for necessary discipline, to move a child away from another, to answers direct requests for help, or to give verbal directives with no reply encouraged; as simple (3) if the caregiver answered the child's verbal bids but did not elaborate or used some unnecessary positive physical contact; as elaborated (4) if the caregiver engaged in some positive physical gestures, maintained a close proximity to the child, acknowledged the child's statements and responded but did not

restate the child's statement, sat with the child during play, or suggested materials; as intense (5) if the caregiver hugged or held the child, restated the child's statements, engaged the child in conversation, played interactively with the child, or sat and ate with the child and provided a social atmosphere. The mean level of play with adults was calculated by weighting the frequency of play at each level by the scale point, summing the weighted frequencies, and dividing by the total frequency of play" (Howes & Stewart, 1987, p. 425).

References and Source Documents

Howes, C., & Stewart, P. (1987). Child's play with adults, toys, and peers: An examination of family and child-care influences. Developmental Psychology, 23, 423-430.

Rubenstein, J., & Howes, C. (1979). Caregiving and infant behavior in day care and homes. Developmental Psychology, 15, 1-24.

Whitebook, M., Howes, C., & Phillips, D. (1990). Who cares? Child care teachers and the quality of care in America. Final report: National Child Care Staffing Study. Oakland, CA: Child Care Employee Project.

IV. Parenting Options Documents

Domain: Parenting

Construct: Parental Monitoring/Awareness

A ROAD MAP FOR THE PARENTING OPTIONS DOCUMENTS

This chapter presents information relevant to the construct of parental monitoring/awareness across the main ACF evaluations and the additional studies selected for the EDCP for which items related to parental monitoring/awareness are available (i.e., 2 of the 9 main ACF evaluations and 3 of the 13 additional studies selected for the EDCP). These evaluations and surveys, and the page number(s) on which they appear, follow:

Evaluation/Survey	Page Number(s)
Enhanced Services for the Hard to Employ Demonstration and Evaluation Project	IV-10
National Survey of Child and Adolescent Well-Being (NSCAW)	IV-12
Panel Study of Income Dynamics, Child Development Supplement	IV-15
National Longitudinal Survey of Youth, 1997 (NLSY97)	IV-18
National Longitudinal Study of Adolescent Health	IV-27

Two tables are presented on the following pages, one for the ACF evaluations and one for the additional studies selected for the EDCP. These tables give an overview that shows the types of measures available for each evaluation and survey in this chapter and indicates the primary reporter for each measure.

For each evaluation and survey, a series of key information is described, including population assessed, periodicity, major components, procedures for administration, and a compilation of items that assess parental monitoring/awareness. Although all the items in this chapter are used to measure parental monitoring/awareness, the components of each evaluation and survey vary slightly in focus and in administration. For example, Enhanced Services for the Hard to Employ, Add Health, and PSID collect information on parental monitoring from parents, whereas youth self-reports are used for the NSCAW and the NLSY97. Also, the parental monitoring/awareness scale used in the NSCAW includes measures that tap both monitoring and awareness, whereas the other evaluations and surveys primarily tap awareness in the items used in the scale.

At this stage of the EDCP, no analysis and synthesis of items across evaluations and surveys have been attempted; rather, the information is described separately for each evaluation or survey. Readers interested in developing items to assess parental monitoring/awareness are encouraged both to examine the items included here and to return to the original evaluations and surveys to ensure that they understand the items in context and to obtain full skip patterns, response options, and other important information.

Evaluation Data Coordination Project

Measures available from the Nine ACF Evaluations

Construct: Parental Monitoring/Awareness

	Enhanced Services for the Hard to Employ Demo. & Eval.	Rural Welfare to Work Demo. & Eval.	Employment Retention & Advancement Project (ERA)	Building Strong Families	HS-Family &Child Experiences Survey (FACES)	Early Head Start Tracking Pre-K	Head Start Impact Study	National Survey of Adolescent Well-Being (NSCAW)	Eval. of Child Care Subsidy Strategies
Parental Monitoring	Yes	No	NRA	NRA	No	No	No	Yes	No
Study Specific Parental Monitoring Scale	P							C	

Key: C= child or youth report, P= parent or other primary caregiver report, T= teacher or primary child care provider report
(A)= adaptation, D = Direct Observation, NRA=Not readily available

Evaluation Data Coordination Project

Measures available from the 13 Additional Data Collection Efforts Relevant to EDCP Goals

Construct: Parental Monitoring/Awareness

	Panel Study of Income Dynamics Child Development Supplement (PSID-CDS	National Survey of America's Families (NSAF)	National Longitudinal Survey of Youth, 1997 (NLSY97)	National Longitudinal Study of Adolescent Health (Add Health)	Fragile Families & Child Wellbeing (Fragile Families)	NICHD Study of Early Child Care & Youth Development (NICHD SECC)	Early Childhood Longitudinal Study – Kindergarten Cohort (ECLS K)	Early Childhood Longitudinal Study – Birth Cohort (ECLS B)	National Household Education Survey Program (NHES)	Current Population Survey (CPS)	Survey of Income and Program Participation (SIPP)	National Study of Child Care for Low-Income Families	National Child Care Staffing Study
Parental Monitoring	Yes	No	No	Yes	No	No	No	No	No	No	No	No	No
Study Specific Parental Monitoring Scale				P									
Parental Monitoring Scale from NLSY97	P		C										

Key: C= child or youth report, P= parent or other primary caregiver report, T= teacher or primary child care provider report
(A)= adaptation, D = Direct Observation, NRA=Not readily available

PARENTING
PARENTAL MONITORING/AWARENESS OPTIONS DOCUMENTS
DOMAIN AND CONSTRUCT DEFINITIONS AND JUSTIFICATIONS

Domain

Parenting

Definition

This study defines parent-child interaction fairly broadly, addressing both proximal aspects of direct parent behavior during interaction with the child or adolescent (e.g., warmth), as well as more distal parenting aspects such as seen in parental monitoring and awareness of child activities. The relationship between parenting traits and skills and child outcomes has been at the heart of psychological thought for as long as the field has existed and has been found to be empirically linked to a wide range of child outcomes (Bornstein, 2002). This is specifically relevant to the current project because seven of the EDCP evaluation projects consider parent-child interactions an important construct to measure and evaluate. Appropriate measures of parenting differ by age of child, and their specific function in conceptual models may also differ, depending on the child's age (e.g., proximal for younger children, distal for older children). But by assessing conceptual continuities across studies, EDCP may be able to forge a more developmental conception of what constructs within the domain are of the greatest value to understanding particular child outcomes.

Construct

Parental Monitoring/Awareness

Definition

At present there is a discrepancy in the research literature as to whether parental monitoring should be defined in terms of the parent's *active seeking* of information about the child, or parent's *actual awareness* of the child activities or states (Crouter & Head, 2002). Because of this lack of consensus, we will include measures taking both approaches: active seeking of information about the child and awareness of child activities or states. When possible, scale and item information will be separated based on what is being measured: awareness (e.g., Do you know whom your child is with after school?) or monitoring/tracking (e.g., How often do your parents ask you where you are going after school?).

Global Justification for Inclusion of Construct

Parent-child engagement evolves over the course of child development. Information about the child in infancy and early childhood more often derives from direct engagement. With greater engagement of the older child and adolescent in activities and relationships outside of the home, knowledge about the child increasingly requires obtaining information about experiences that the child has outside of the parent's immediate presence. Because most of the conceptual work that

has been completed for the construct of monitoring/awareness pertains to older children and parents' ability to seek or obtain information about the child when he/she is not in the parent's presence, we will use these as a focus in identifying measurement approaches for the present project.

Even within the older age range, there is some divergence in how parental monitoring is defined in the research, with some defining "monitoring" as the process of seeking information about the child and some defining "monitoring" in terms of actual awareness of the child's whereabouts, companions, activities, and states (Crouter & Head, 2002). We include measures of both active seeking of information and of actual awareness about the child and label the construct accordingly as "monitoring/awareness" rather than simply "monitoring." Wherever possible, information about scales and items will be separated based on whether the study is tapping awareness (e.g., Do you know whom you child is with after school?) or monitoring (e.g., How often do your parents ask you where you are going after school?).

As children grow older, their activities, interests, and peer groups change a great deal with more of these occurring beyond the immediate supervision of adults (Laird, Pettit, Bates, & Dodge, 2003; Laird, Pettit, Dodge, & Bates, 1998). A more distal form of parenting is needed to allow the adolescent enough space to function independently, yet to permit the parent to remain informed about the various aspects of the child's life.

In a comprehensive review of the literature, Dishion and McMahon (1998) defined parental monitoring as a set of correlated parenting behaviors that relate to active tracking and attention to the child's activities and whereabouts. This definition holds monitoring as the parent-driven *tracking and surveillance* of children. The act of surveillance is sometimes conceptualized as including parental control and rule-setting (Snyder & Patterson, 1987). Parents actively "collect" information from various sources, such as teachers, other parents, and through interactions during their shared activities with the child (Crouter, Helms-Erikson, Updegraff, & McHale, 1999). But as noted by some current researchers, what was often conceived of as the active seeking of information might have, in actuality, been measuring parental knowledge (Crouter & Head, 2002; Kerr & Stattin, 2000; Stattin & Kerr, 2000). That is, the measurement (i.e., knowledge) has not always matched the definition of the construct (i.e., active tracking).

Recent work indicates that parent and child report of children's activities are often weakly correlated (Crouter & Head, 2002). Further, research suggests that the parent who most actively seeks information about the child may not in fact be the one who is best informed about the child. Recent work suggests that being informed may rest on the child being forthcoming rather than on the parent actively seeking information about the child. The possibility exists that some underlying characteristic of the parent-child relationship may result in the child being forthcoming and the parent remaining informed. In this framework, active seeking of information by a parent beyond a certain extent may be an indicator of problems (for example, risky behavior in the child that alarms the parent and results in greater vigilance or a lack of open and reciprocal communication such that the parent must extract the information from a child who is not forthcoming).

When researchers have considered both child self-disclosure and active elicitation by parents in predicting knowledge of child activities, whereabouts, and companions, child-disclosure was far more predictive of knowledge than parental control or solicitation (Stattin &

Kerr, 2000). That is, parental knowledge is most shaped by a willingness of the child to self-disclose, as opposed to the acts of the parent in eliciting the information.

The distinction between elicitation of information by the parent and child self-disclosure appears to be important in predicting child outcomes as well. In the study by Stattin & Kerr (2000), child self-disclosure was the most closely related to delinquency, with those disclosing more showing less delinquency (Stattin & Kerr, 2000). In another study that looked at adolescent adjustment outcomes such as depressed mood, school performance, and deviant peer connection, child tendency to self-disclose explained most or all of the variance in outcomes when considered with parental control and solicitation. Moreover, neither parental control nor solicitation was found to mediate this relationship (Kerr & Stattin, 2000).

The reciprocal nature of parental knowledge and delinquency has also been assessed longitudinally. Laird, Pettit, Bates, and Dodge (2003) found that low levels of parental knowledge in one year predicted increased delinquency the next, and that higher levels of delinquency in one year predicted less parent knowledge the following year. A purely parent-driven model might suggest that parental monitoring and knowledge would increase as delinquency did. That is, a parent taking the initiative to actively seek out information about a child as a practice for enhancing child outcomes would step up tracking when behavior is at its worst, to "right" the direction the child is going in. Perhaps parental information seeking increases only for children who are within a certain range of risk-taking behavior. Delinquency may emerge in a range in which parent information seeking is no longer coordinated with extent of child behavior problems. Interventions aimed at parental monitoring may help to restore the coordination of information seeking and child behavior when within a troubling range. In the existing research, such as the study by Laird and colleagues, given that how parent information was obtained (by child self-disclosure or active seeking of information by the parent) was not assessed, it remains unclear whether it is the fact of parental awareness that is the catalyst for decreasing delinquency, whether children who self-report are simply less likely to become delinquent, or whether it is some characteristic of the parent-child relationship that underlies both monitoring and delinquency (Crouter & Head, 2002; Ladd & Golter, 1988; Stattin & Kerr, 2000).

Monitoring operationalized in terms of knowledge or awareness has been linked to a wide array of adolescent outcomes. Parental awareness has repeatedly been found to be related to lower levels of conduct problems and delinquency (Dishion & McMahon, 1998; Frick, Christian, & Wooton, 1999). The mechanisms (or even direction of effects) are not entirely clear, but lack of awareness is often associated with deviant peer group association(Dishion, Capaldi, Spracklen, & Li, 1995), as well as susceptibility to antisocial peer pressure within the peer group (Curtner-Smith & MacKinnon-Lewis, 1994). Dishion, Patterson, Stoolmiller, and Skinner (1991) noted that the primary mechanism between parental monitoring and later delinquency outcomes might well be through the relationship of monitoring to peer group selection. Awareness has also been shown to be moderated by neighborhood quality, with those in low safety neighborhoods showing a larger effect of parental awareness on delinquency (Pettit, Bates, Dodge, & Meece, 1999). Similarly, parental awareness has been associated with low levels of other risk-taking behaviors, such as substance use (Mott, Crowe, Richardson, & Flay, 1999) and sexual activity (Meshke & Silbereisen, 1997; Romer et al., 1994). School achievement has also been found to be related to parental knowledge, though not always in the expected direction. For instance, although Crouter, MacDermid, McHale, and Perry-Jenkins (1990) found that boys of parents with low knowledge of their activities performed less well in school, Otto and Atkinson (1997) found that monitoring

of homework was related to worse grades, again raising the question of the directionality of the relationship.

Beyond child outcomes, parental awareness has been associated with a wide range of contextual factors such as poverty, where greater poverty has been related to less awareness (Pagani, Boulerice, Vitaro, & Tremblay, 1999; Pettit, Laird, Dodge, Bates, & Criss, 2001). Parental work demands have also been linked to parental knowledge, but this has varied by the gender of the parent, with mothers showing fairly constant knowledge despite hours worked, but fathers showing increases and decreases in knowledge relative to the hours worked by the mother (i.e., more maternal working is associated with more paternal knowledge while less maternal working is associated with less paternal knowledge; Crouter & Head, 2002; Crouter & McHale, 1993). Other parental characteristics, such as marital status have also been found to be related to parental knowledge, with single-parenthood associated with less knowledge (Pettit et al., 2001).

Given the issues raised by Stattin and Kerr (2000) and Crouter and Head (2002), studies should be specific about the nature of the construct that they are trying to measure (i.e., awareness vs. tracking and surveillance).

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PARENTAL MONITORING/AWARENESS

ENHANCED SERVICES FOR THE HARD TO EMPLOY DEMONSTRATION AND EVALUATION PROJECT

Measure: Item-level information on parental awareness

Background

The Baseline Child CAPI Instrument of the Enhanced Services for the Hard to Employ Demonstration and Evaluation Project includes seven items that tap various aspects of parental monitoring and awareness. Because the current document makes a differentiation between "monitoring" (i.e., active pursuit of child information) and "awareness" (i.e., what parents knows, devoid of details of how the information was obtained), we currently consider this scale to be a measure of awareness.

The Enhanced Services for the Hard to Employ Demonstration and Evaluation Project is funded by the Administration for Children and Families and the Assistant Secretary for Planning and Evaluation in the U.S. Department of Health and Human Services, and the U.S. Department of Labor. MDRC carries it out in cooperation with the Urban Institute, the Lewin Group, and the California Institute for Mental Health.

Population Assessed

The respondents to the Core Child Survey will be Temporary Assistance for Needy Families (TANF) recipients, former TANF recipients, or low-income individuals who are hard-to-employ from two of the six sites of the evaluation. Respondents to items on parental monitoring will be parents of focal children between the ages of 0 and 18 who meet the social and demographic criterion identified as hard to employ. Specific sampling and design features of the study are not publicly available at this time.

Periodicity

This information is not readily available.

Subscales/Components

This information is not readily available.

Procedures for Administration

The reporters for this measure will be parents of designated focal children between the ages of 0 and 18. The measure will be part of a questionnaire administered by an interviewer in a one-on-one setting. The measure is estimated to take between 5 and 7 minutes to administer.

Psychometrics/Data Quality

This information is not readily available.

Languages Available

This information is not readily available.

Items Included

Taken from the Baseline Child Computer-Assisted Personal Interview Instrument from the Enhanced Services for the Hard-to-Employ Demonstration and Evaluation Project.

Response Categories:

Almost never	1
Sometimes	2
Often	3
Almost Always	4
Always	5
Don't know	7
Refused	8

CH31a. Different children need different amounts of supervision. How often do you know who (FOCAL CHILD) is with when (he/she) is away from home (and not in school)? Is it:

CH31b. How often do you know when to expect (FOCAL CHILD) home when (he/she) is away from home (and not in school)? Is it:

CH31c. How often do you know where (FOCAL CHILD) is when (he/she) is away from home (and not in school)? Is it:

CH31d. How often do you know if (he/she) arrived back home when (he/she) is supposed to? Is it:

CH31e. How often do you know which TV programs (he/she) watches? Is it:

CH31f. How often do you know what (FOCAL CHILD)'s homework assignments are? Is it:

CH31g. How often do you know whether (FOCAL CHILD) has finished any homework? Is it:

References and Source Documents

http://www.acf.dhhs.gov/programs/opre/res_dem_eval/employ_related/hteweb.htm

PARENTAL MONITORING/AWARENESS

NATIONAL SURVEY OF CHILD AND ADOLESCENT WELL-BEING

Measure: Parental Monitoring Scale (Child Survey Instrument)

Background

The Parental Monitoring Scale used in the National Survey of Child and Adolescent Well-being (NSCAW) was adapted by the Use, Need, Outcome, and Costs in Child and Adolescent Populations Steering Committee (Dowd et al., 2002) from the original measure created by Dishion, Patterson, Stollmiller, and Skinner (1991). The current document makes a differentiation between "monitoring" (i.e., active pursuit of child information) and "awareness" (i.e., what parents knows, devoid of details of how the information was obtained). As defined in the current document, we consider this scale to tap both awareness and monitoring.

The NSCAW was funded and administered by the Administration on Children, Youth, and Families and the U.S. Department of Health and Human Services. The study has been conducted through collaboration between staff at the Research Triangle Institute (RTI), the University of North Carolina at Chapel Hill, Caliber Associates, and the University of California at Berkeley.

Population Assessed

Children ages 10 and older were assessed using the parental monitoring scale. Overall, the two NSCAW sample components are made up of 6,227 children; 5,501 of those children had contact with the child welfare system within the 15-month period beginning in October 1999. At the time of sampling, the children ranged in age from birth to 14 years old; infants, children who have been abused sexually, and children who are receiving services were oversampled. The results of the survey can be generalized to the population that comes in contact with the child welfare system in the United States. Of the larger sample, 1,704 children were assessed with the parental monitoring scale at Wave 1 and 1,750 at Wave 3.

The child protective services and long-term foster care sample components were fairly evenly distributed across the various child age categories from birth to age 14. At the time of the Wave 1 interview, just under 30 percent of the children fell under age 2. Another 21.6 percent fell between the ages of 2 and 5. Around 27 percent of the sample of children fell between the ages of 6 and 10. And 22 percent of the child sample fell between the ages of 11 and 14 at the time of the initial interview.

The racial and ethnic make-up of the combined child sample was diverse. American Indians made up 6.2 percent of the sample; Asian, Hawaiian, or other Pacific Islanders made up 2.4 percent of the sample; 35.7 percent of the sample was African American or Black; 49.6 percent of the sample was White. Across these racial groups, 17.3 percent were classified as being of Hispanic ethnic background.

Periodicity

Data for the Parental Monitoring Scale were collected at Wave 1 between November 15, 1999, and April 30, 2001, and Wave 3, between April 1, 2001, and September 30, 2002. The Parental Monitoring Scale is also included in Wave 4 data collection, which should be complete by March 31, 2004.

Subscales/Components

This information is not readily available.

Procedures for Administration

Children ages 10 and older are the source of data for the Parental Monitoring Scale. Computer-assisted personal interviewing is used to ask respondents a set of questions about how often their parent or primary caregiver is knowledgeable about their whereabouts and companions. The administration of this measure is estimated to take approximately 4 minutes.

Psychometrics/Data Quality

This information is not readily available.

Languages Available

This questionnaire module was administered in English and Spanish.

Items Included

Response categories for the following set of questions:

Never
Almost never
Once in a while
Pretty often
Very often

How often do you leave the house without telling your caregiver or without leaving a note?
How often does your caregiver know where you are when you are away from home?
How often does your caregiver know who you are with when you are away from home?
How often does your caregiver tell you what time to be home?
Before going out, how often do you tell your caregiver when you expect to be back?
How often are you left at home without an adult or sitter?

References and Source Documents

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PARENTAL MONITORING/AWARENESS

PANEL STUDY OF INCOME DYNAMICS, CHILD DEVELOPMENT SUPPLEMENT

Measure: Parental Monitoring Scale, plus three additional items

Background

The parental monitoring scale used in the Panel Study of Income Dynamics (PSID) is similar to items used in the National Longitudinal Survey of Youth (NLSY 97), Mother-Child file. The NLSY scale has six items including health; friendships; relationship with the primary caregiver; feelings about himself/herself; prospects for the future; and relationships with brothers, sisters, or other children he/she lives with. The PSID, Child Development Supplement (CDS) Parental Monitoring Scale includes two additional items to tap a relationship with a teacher or caregiver and the relationship with the child's other parent. Because the current document makes a differentiation between "monitoring" (i.e., active pursuit of child information) and "awareness" (i.e., what parents knows, devoid of details of how the information was obtained), we currently consider this scale to be measuring awareness.

Funding for the Child Development Supplement was provided primarily by the National Institute of Child Health and Human Development. Additional funding was provided by the William T. Grant Foundation, the Annie E. Casey Foundation, the U.S. Department of Agriculture, and the U.S. Department of Education. The National Science Foundation, along with the Department of Health and Human Services and the National Institute on Aging also provided financial support. The Survey Research Center at the University of Michigan Institute for Social Research completed data collection.

Population Assessed

The Child Development Supplement targeted 2,390 eligible families: 1,140 (46 percent) White families, 997 (41 percent) Black families, 158 (seven percent) non-White, non-Black Hispanic families, 46 (two percent) Asian families, 12 (less than one percent) Native American families, and 29 (three percent) families of other nationalities. Primary caregivers of 3,586 children were interviewed. There were approximately an equal number of boys and girls. The PSID-CDS sample is stratified, and the individual strata are weighted to be nationally representative (Hofferth, 1997). Respondents to the Child Development Supplement had already been included in at least one PSID interview. The majority of respondents were from long-time PSID respondent families. Eligibility for the Child Development Supplement was based on the ages of the PSID family's children. If the family had a child age 12 or younger, the entire PSID Household Unit was eligible for the Child Development Supplement. Adult respondents include selected persons who have influence over the child's development. Up to two children age 12 and younger per Family Unit (FU) were eligible for inclusion in this study. All eligible children were members of the PSID Sample.

Periodicity

The sample for this project was drawn from the 1997 PSID interviews. As interviews were completed for the 1997 PSID, households with children who were FU members under the age of 13 were identified for inclusion in the PSID-CDS. The CDS portion of the PSID was repeated in 2001, and comparable items to the 1997 awareness items were included in the Primary Caregiver Interview.

Subscales/Components

This information is not readily available.

Procedures for Administration

The scale is based on responses to an in-home, one-on-one interview by the primary caregiver. Although the time is not expressly stated, the Parental Monitoring scale takes between 3 to 5 minutes to administer and about 2 to 3 minutes for the additional items.

Psychometrics/Data Quality

This information is not readily available.

Languages Available

Questionnaires are available in both English and Spanish.

Items Included

From Primary Caregiver Questionnaire of the Panel Study of Income Dynamics Child Development Supplement

PARENTAL AWARENESS

G33. Think now about how things are going in general in (CHILD)'s life. Please rate each of the following parts of (CHILD)'s life as either excellent, good, fair, or poor. First…

His/Her health.
His/Her friendships.
His/Her relationship with you.
His/Her feelings about himself/herself.
His/Her prospects for the future. (Excellent, good, fair, or poor?)
His/Her relationships with brothers, sisters, or other children he/she lives with.
His/Her relationship with a teacher or caregiver.
His/Her relationship with the other parent.

Additional items:

G34. How many close friends does (CHILD) have?

_____ (number of children)

G35. How many of (CHILD)'s close friends do you know by sight and by first and last name? Do you know all of them, most of them, about half, only a few, or none of them?

G36. About how often do you know who (CHILD) is with when (he/she) is not at home? Would you say you know who (he/she) is with all of the time, most of the time, some of the time, or only rarely ?

References and Source Documents

Hofferth, S., Davis-Kean, P., Davis J., & Finkelstein, J. (1997). Child Development Supplement to the Panel Study of Income Dynamics: 1997 User Guide. Retrieved June 6, 2003, from http://www.isr.umich.edu/src/child-development/usergd.html

http://psidonline.isr.umich.edu/

PARENTAL MONITORING/AWARENESS

NATIONAL LONGITUDINAL SURVEY OF YOUTH, 1997

Measure: National Longitudinal Survey of Youth 1997 Parental Monitoring—Youth Report Scale

Background

The National Longitudinal Survey of Youth 1997 (NLSY97) Parental Monitoring—Youth Report scale was designed by Child Trends, Inc., to be a part of the NLSY97 Youth Questionnaire. The current document makes a differentiation between "monitoring" (i.e., active pursuit of child information) and "awareness" (i.e., what parents knows, devoid of details of how the information was obtained). As defined in this document, the items included within the NSLY97 Youth Questionnaire will be considered parental awareness. When the term "monitoring" is used in the following text, it reflects the name of the measure.

The Bureau of Labor Statistics, U.S. Department of Labor, is the primary sponsor of the NLSY97. Additional funding was received from the U.S. Department of Defense, the U.S. Department of Justice, the U.S. Department of Education, and the National Institute of Child Health and Human Development to fund portions of the questionnaires.

Population Assessed

The NLSY97 baseline cohort has been weighted to be a nationally representative sample of youth between the ages of 12 and 16. However, only youth between the ages of 12 and 14 responded to the items in the Parental Monitoring—Youth Report scale. The sample was 51.2 percent male and 48.8 percent female. Blacks and Hispanics were oversampled for ethnic/racial variation, and many households had more than one youth respondent.

Periodicity

The NLSY97 data collection is ongoing and fielded annually. The Youth Questionnaire is the primary questionnaire of the study and is continually fielded. The survey was first administered in 1997. Thus far, five subsequent rounds of this ongoing survey have been administered on a yearly basis (i.e., 1998, 1999, 2000, 2001, 2002).

Subscales/Components

There are no subscales.

Procedures for Administration

The items within the Parental Monitoring—Youth Report scale are part of the self-administered portion of the Youth Questionnaire. This portion used an audio computer-assisted self-interview. The Youth Questionnaire takes approximately 1 hour to administer; however, the Parental Monitoring—Youth Report scale contains only four brief questions. Reporters were youth respondents between the ages of 12 and 14. The setting for this measure was one on one,

and although not expressly stated, the estimated time needed to administer it is between 1 and 3 minutes.

Psychometrics/Data Quality

The responses to the four scale items were summed, with higher scores indicating greater youth- reported levels parental awareness.

The Parental Monitoring Scale was created for each of the four possible parental figures:

1. Residential mother
2. Residential father
3. Non-residential biological mother
4. Non-residential biological father

RELIABILITY

Measure	Cronbach's Alpha
Youth Report of Residential Mother's Awareness	0.71
Youth Report of Residential Father's Awareness	0.81
Youth Report of Non-Residential Mother's Awareness	0.85
Youth Report of Non-Residential Father's Awareness	0.85

Note. From NLSY97 Codebook Supplement Main File Round 1. Appendix 9: Family Process and Adolescent Outcome Measures (p. 51), by Child Trends, Inc. and Center for Human Resource Research, The Ohio State University, 1999. Reprinted with permission.

VALIDITY

The data were analyzed to measure predictive validity. The youth report Monitoring Scale scores were trichotomized, with the upper third represented "higher awareness" and the bottom third representing "lower awareness." T-tests were performed to compare the mean scores of various family-process and adolescent-outcome variables across the higher and lower awareness groups. The mean scores on the Youth Report of the Parental Monitoring Scale are adjusted for the youth's age and gender.

The tables below show the means, standard errors, and t-values.

1. Residential Mother

Residential mothers who were rated high on awareness by their youth were also more likely to be rated by their adolescent children as strict (vs. permissive).

Mean Score on Youth Report of Parental Strictness by Residential Mother's Awareness Level (Higher vs. Lower Awareness)

	Lower Awareness	Higher Awareness	T-Value
Youth Report of Residential Mother's Strictness (range: 0-1)	0.53 (0.01)	0.62 (0.01)	4.67***

p-levels are ≤ 0.10=+, ≤0.05=*, ≤0.01=**, ≤0.001=***
Note. From NLSY97 Codebook Supplement Main File Round 1. Appendix 9: Family Process and Adolescent Outcome Measures (p. 52), by Child Trends, Inc. and Center for Human Resource Research, The Ohio State University, 1999. Reprinted with permission.

Youth who had "high awareness" residential mothers reported greater parental limit-setting, although the mothers did not report a greater degree of limit setting.

Mean Score for Youth Report of Limit-Setting by Residential Mother's Awareness Level (Higher vs. Lower Awareness)

	Lower Awareness	Higher Awareness	T-Value
Youth Report of Parental Limit-Setting (range: 0-6)	3.03 (0.05)	3.66 (0.05)	9.02***

p-levels are ≤ 0.10=+, ≤0.05=*, ≤0.01=**, ≤0.001=***
Note. From NLSY97 Codebook Supplement Main File Round 1. Appendix 9: Family Process and Adolescent Outcome Measures (p. 52), by Child Trends, Inc. and Center for Human Resource Research, The Ohio State University, 1999. Reprinted with permission.

Mean Score for Parent Report of Limit-Setting by Residential Mother's Awareness Level (Higher vs. Lower Awareness)

	Lower Awareness	Higher Awareness	T-Value
Parent Report of Parental Limit-Setting (range: 0-6)	4.34 (0.05)	4.33 (0.04)	-0.15

p-levels are ≤ 0.10=+, ≤0.05=*, ≤0.01=**, ≤0.001=***
Note. From NLSY97 Codebook Supplement Main File Round 1. Appendix 9: Family Process and Adolescent Outcome Measures (p. 52), by Child Trends, Inc. and Center for Human Resource Research, The Ohio State University, 1999. Reprinted with permission.

"High awareness" residential mothers had youth who reported fewer instances of substance use, delinquency, and behavior problems. These mothers also reported that their youth had fewer behavior problems.

Mean Scores on Youth Behavior Problems by Residential Mothers Awareness Level (Higher vs. Lower Awareness)

	Lower Awareness	Higher Awareness	T-Value
Youth Report of Substance Use (range: 0-3)	1.03 (0.02)	0.49 (0.03)	-14.89***
Youth Report of Delinquency (range: 0-10)	1.76 (0.04)	0.65 (0.04)	-19.05***
Behavioral and Emotional Problems for Girls (Youth report) (range 0-8)	3.00 (0.06)	1.48 (0.05)	-18.70***
Behavioral and Emotional Problems for Boys (Youth report) (range 0-8)	2.65 (0.05)	1.62 (0.06)	-12.70***
Behavioral and Emotional Problems for Girls (Parent report) (range 0-8)	1.71 (0.08)	0.97 (0.06)	-7.51***
Behavioral and Emotional Problems for Boys (Parent report) (range 0-8)	2.23 (0.08)	1.43 (0.08)	-7.23***

p-levels are ≤ 0.10=+, ≤0.05=*, ≤0.01=**, ≤0.001=***
Note. From NLSY97 Codebook Supplement Main File Round 1. Appendix 9: Family Process and Adolescent Outcome Measures (p. 53), by Child Trends, Inc. and Center for Human Resource Research, The Ohio State University, 1999. Reprinted with permission.

2. Residential Father

Residential fathers who were rated high on awareness by their youth were also more likely to be rated by their adolescent children as strict (vs. permissive).

Mean Score on Youth Report of Parental Strictness by Residential Father's Awareness Level (Higher vs. Lower Awareness)

	Lower Awareness	Higher Awareness	T-Value
Youth Report of Residential Father's Strictness (range: 0-1)	0.59 (0.01)	0.65 (0.01)	2.72**

p-levels are ≤ 0.10=+, ≤0.05=*, ≤0.01=**, ≤0.001=***
Note. From NLSY97 Codebook Supplement Main File Round 1. Appendix 9: Family Process and Adolescent Outcome Measures (p. 54), by Child Trends, Inc. and Center for Human Resource Research, The Ohio State University, 1999. Reprinted with permission.

Youth who had "high awareness" residential fathers reported greater parental limit-setting, although the fathers did not report a greater degree of limit setting.

Mean Score for Youth Report of Limit-Setting by Residential Father's Awareness Level (Higher vs. Lower Awareness)

	Lower Awareness	Higher Awareness	T-Value
Youth Report of Parental Limit-Setting (range: 0-6)	3.12 (0.06)	3.65 (0.05)	6.79***

p-levels are ≤ 0.10=+, ≤0.05=*, ≤0.01=**, ≤0.001=***
Note. From NLSY97 Codebook Supplement Main File Round 1. Appendix 9: Family Process and Adolescent Outcome Measures (p. 54), by Child Trends, Inc. and Center for Human Resource Research, The Ohio State University, 1999. Reprinted with permission.

Mean Score for Parent Report of Limit-Setting by Residential Father's Awareness Level (Higher vs. Lower Awareness)

	Lower Awareness	Higher Awareness	T-Value
Parent Report of Parental Limit-Setting (range: 0-6)	4.32 (0.05)	4.31 (0.05)	-0.14

p-levels are ≤ 0.10=+, ≤0.05=*, ≤0.01=**, ≤0.001=***
Note. From NLSY97 Codebook Supplement Main File Round 1. Appendix 9: Family Process and Adolescent Outcome Measures (p. 54), by Child Trends, Inc. and Center for Human Resource Research, The Ohio State University, 1999. Reprinted with permission.

Youth who reported fewer instances of substance use, delinquency, and behavior problems also reported having parents who were "higher awareness." Likewise, "higher awareness" residential fathers reported that their adolescent children had fewer behavior problems.

Mean Scores on Youth Behavior Problems by Residential Father's Awareness Level (Higher vs. Lower Awareness)

	Lower Awareness	Higher Awareness	T-Value
Youth Report of Substance Use (range: 0-3)	1.01 (0.03)	0.48 (0.03)	-13.74***
Youth Report of Delinquency (range: 0-10)	1.69 (0.05)	0.61 (0.04)	-16.98***
Behavioral and Emotional Problems for Girls (Youth report) (range 0-8)	2.76 (0.06)	1.43 (0.06)	-15.15***
Behavioral and Emotional Problems for Boys (Youth report) (range 0-8)	2.71 (0.06)	1.58 (0.06)	-13.04***
Behavioral and Emotional Problems for Girls (Parent report) (range 0-8)	1.51 (0.07)	0.84 (0.07)	-6.78***
Behavioral and Emotional Problems for Boys (Parent report) (range 0-8)	2.27 (0.09)	1.36 (0.07)	-7.77***

p-levels are ≤ 0.10=+, ≤0.05=*, ≤0.01=**, ≤0.001=***
Note. From NLSY97 Codebook Supplement Main File Round 1. Appendix 9: Family Process and Adolescent Outcome Measures (p. 54), by Child Trends, Inc. and Center for Human Resource Research, The Ohio State University, 1999. Reprinted with permission.

3. Non-Residential Mother

The non-residential mother data followed the same trends for all of the residential parent t-tests, although none of the tests were statistically significant.

4. Non-Residential Father

Non-residential fathers rated by their children as strict were also more likely to be rated as "higher awareness." Youth of these fathers were less likely to use substances, be delinquent, and, for girls, exhibit fewer behavior problems. "High awareness" non-residential fathers also reported fewer behavior problems from their daughters.

Mean Score on Youth Report of Non-Residential Father's Strictness by Non Residential Father's Awareness Levels (Higher vs. Lower Awareness)

	Lower Awareness	Higher Awareness	T-Value
Youth Report of Non Residential Father's Strictness (range: 0-1)	0.36 (0.04)	0.59 (0.03)	4.76**

p-levels are ≤ 0.10=+, ≤0.05=*, ≤0.01=**, ≤0.001=***
Note. From NLSY97 Codebook Supplement Main File Round 1. Appendix 9: Family Process and Adolescent Outcome Measures (p. 55), by Child Trends, Inc. and Center for Human Resource Research, The Ohio State University, 1999. Reprinted with permission.

Mean Scores on Youth Behavior Problems by Non Residential Father's Awareness Level (Higher vs. Lower Awareness)

	Lower Awareness	Higher Awareness	T-Value
Youth Report of Substance Use (range: 0-3)	0.99 (0.07)	0.80 (0.07)	-1.88+
Youth Report of Delinquency (range: 0-10)	1.58 (0.13)	1.07 (0.12)	-2.91**
Behavioral and Emotional Problems for Girls (Youth report) (range 0-8)	2.43 (0.16)	1.87 (0.16)	-2.49*
Behavioral and Emotional Problems for Boys (Youth report) (range 0-8)	2.44 (0.17)	1.99 (0.16)	-1.92+
Behavioral and Emotional Problems for Girls (Parent report) (range 0-8)	2.15 (0.20)	1.38 (0.19)	-2.78**
Behavioral and Emotional Problems for Boys (Parent report) (range 0-8)	2.24 (0.28)	1.91 (.22)	-0.93

p-levels are ≤ 0.10=+, ≤0.05=*, ≤0.01=**, ≤0.001=***
Note. From NLSY97 Codebook Supplement Main File Round 1. Appendix 9: Family Process and Adolescent Outcome Measures (p. 56), by Child Trends, Inc. and Center for Human Resource Research, The Ohio State University, 1999. Reprinted with permission.

Other data suggesting validity include t-tests of youth reported parental awareness for two income groups, less than 50 percent of the poverty level and greater than 200 percent of the poverty level.

In all of the studied parental categories except for non-residential mothers, parents with incomes less than 50 percent below the poverty level were rated lower in awareness than those with incomes that were greater than 200 percent above the poverty level.

Mean Scores for Youth Report of Parents' Awareness by Income/Poverty Level (<50% vs. ≥200%)

	<50% Poverty Level	>200% of Poverty Level	T-Value
Youth Report of Residential Mother's Awareness (range: 0-16)	9.92 (0.11)	10.78 (0.09)	6.26***
Youth Report of Residential Father's Awareness (range: 0-16)	7.81 (0.19)	8.65 (0.11)	3.86***
Youth Report of Non Residential Mother's Awareness (range: 0-16)	6.87 (0.53)	5.87 (0.84)	-1.01
Youth Report of Non Residential Father's Awareness (range: 0-16)	3.42 (0.28)	4.48 (0.38)	2.25*

p-levels are ≤ 0.10=+, ≤0.05=*, ≤0.01=**, ≤0.001=***
Note. From NLSY97 Codebook Supplement Main File Round 1. Appendix 9: Family Process and Adolescent Outcome Measures (p. 57), by Child Trends, Inc. and Center for Human Resource Research, The Ohio State University, 1999. Reprinted with permission.

MISSING DATA

If a respondent answered fewer than three questions, then a score was not calculated for the scale, and thus coded as missing data.

Measure	N	N missing	Mean	SD
Youth Report of Residential Mother's Awareness	5240	3	10.24	3.30
Youth Report of Residential Father's Awareness	3971	1	8.19	4.00
Youth Report of Non-Residential Mother's Awareness	267	1	6.83	4.59
Youth Report of Non-Residential Father's Awareness	727	4	3.95	4.00

Note. From NLSY97 Codebook Supplement Main File Round 1. Appendix 9: Family Process and Adolescent Outcome Measures (p. 50), by Child Trends, Inc. and Center for Human Resource Research, The Ohio State University, 1999. Reprinted with permission.

Languages Available

The *Youth Questionnaire* can be administered in both English and Spanish.

Items Included

Items included from the NLSY97 round one Youth Questionnaire are as follows:

YSAQ-027 R03252.00
How much does he/she know about your close friends, that is, who they are?

YSAQ-028 R03253.00
How much does he/she know about your close friends' parents, that is, who they are?

YSAQ-029 R03254.00
How much does he/she know about who you are with when you are not home?

YSAQ-031 R03256.00
How much does she know about who your teachers are and what you are doing in school?

Responses were measured on a 5-point scale ranging from "knows nothing" (0) to "knows everything" (4).

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http://www.bls.gov/nls/

PARENTAL MONITORING/AWARENESS

NATIONAL LONGITUDINAL STUDY OF ADOLESCENT HEALTH

Measure: Item-level measures of parental awareness

Background

The items that could be used to assess parental monitoring or awareness in the National Longitudinal Study of Adolescent Health (Add Health) are found within both the In-Home Parent Questionnaire and the Adolescent In-Home Questionnaire. Because the current document makes a differentiation between "monitoring" (i.e., active pursuit of child information) and "awareness" (i.e., what parents know, devoid of details of how the information was obtained), the items included in Add Health are considered awareness. If parent or child items (or the conjunction of the two) can illustrate that the parent actively pursued the information, they may be considered monitoring, as defined for these purposes.

Because documentation on creating these items (and, therefore, their exact intent) was not readily available, the list of included items generally measure parental awareness or knowledge more broadly.

The primary funding of Add Health was from the National Institute of Child Health and Human Development. Seventeen other federal agencies also provided some funding. Quality Education Data, Inc., provided the database used to generate the random sample of U.S. schools. The National Opinion Research Center of the University of Chicago fielded Waves I and II of the study, while the Research Triangle Institute conducted the fieldwork for Wave III.

Population Assessed

Add Health is a nonexperimental, nationally representative, longitudinal study of students in grades 7 through 12 in the United States in the 1994–1995 school year. Data were collected from the youth, their parents, siblings, friends, romantic partners, fellow students, and school administrators through multiple data collection components, including an adolescent in-school survey, adolescent in-home interview, parent in-home interview, and school administrator survey. All instruments were fielded in Wave I. Wave II included an adolescent in-home interview as well as telephone updates from the school administrators. Wave III consisted of only a respondent in-home interview. Available data also include picture vocabulary test scores, an in-school friendship network dataset, and information on the geographic location of households within the communities.

In addition to the core sample, the study also oversampled students from several special subgroups, including disabled youth, Chinese, Cuban, and Puerto Rican adolescents, as well as Black youth from high socioeconomic status families. Families were considered to be of high socioeconomic status if at least one parent held a college degree. In addition, the study oversampled adolescents living together within one household. This group is referred to as the "genetic sample" and includes oversamples of twins, half- and step-siblings, and non-related pairs. Some of the adolescents selected from this oversampled group did not attend one of the

original 80 high schools or 52 middle schools, but were recruited because they resided with an adolescent that did attend one of those 132 schools.

The parent awareness items in both the In-Home Parent Questionnaire and Adolescent In-Home Questionnaire explore the level of parental awareness from both the adolescent and parent perspective.

Periodicity

All instruments were fielded in Wave I between September 1994 and December 1995. Wave II, fielded approximately 1 year later (during 1996), included an adolescent in-home interview as well as telephone updates from the school administrator. Wave III consisted of only a respondent in-home interview. It was fielded approximately 6 years after Wave II, during 2001–2002.

Subscales/Components

This information is not readily available.

Procedures for Administration

The parent awareness items were reported by both the parent and the adolescent. In-home adolescent questionnaires were administered by computer-assisted personal interviews, as well as computer-assisted self-interviews for more sensitive questions. Parent questionnaires were administered by an interviewer on a paper-and-pencil instrument, which was later scanned.

Psychometrics/Data Quality

This information is not readily available.

Languages Available

Information regarding availability in non-English materials is not readily available.

Items Included

The following items are from the Add Health questionnaires.

Items From the Parent In-Home Questionnaire

C10. The next questions are about [NAME]'s best [male/ female] friend. Do you know what school this friend goes to?

No
Yes
(He/she) doesn't go to school.

C11. Have you met this friend in person?

No
Yes

C12. Have you met this friend's parents?

No
Yes

C13. What kind of influence is [NAME]'s best friend—good, bad, or neither?

A good influence
A bad influence
Neither a good nor a bad influence

C14. Does [NAME] have one, special [girlfriend/boyfriend]?

No
Yes
Don't know

C15. Have you met [him/her] in person?

No
Yes

C16. Have you met [his/her] parents?

No
Yes

C17. Please think about all of [NAME]'s friends. How many parents of [NAME]'s friends have you talked to in the last four weeks?

0
1
2
3
4
5
6 or more

C35. In the past week, have you and [NAME] talked about [his/her] school work or grades?

No
Yes

C26. In the past week, have you and [NAME] talked about other things [he/she] is doing at school?

No
Yes

C27. Have you talked with any of [NAME]'s teachers about [his/her] school work this school year, either informally or in a regularly scheduled parent-teacher conference?

No
Yes

C43A. How much have you and [NAME] talked about [his/her] having sexual intercourse and the negative or bad things that would happen if [he got someone/she got] pregnant?

Not at all
Somewhat
A moderate amount
A great deal

B. the dangers of getting a sexually transmitted disease?

C. the negative or bad impact on [his/her] social life because [he/she] would lose the respect of others?

D. the moral issues of not having sexual intercourse?

C43B. How much have you talked to [NAME]:

A. about birth control?

Not at all
Somewhat
A moderate amount
A great deal

B. about sex?

C45. The next questions are about [NAME]'s social life. Do you think that [he/she] has ever gone out on a date?

No
Yes

C46. Do you think that [he/she] has ever kissed and necked?

C47. Do you think that [he/she] has ever had sexual intercourse?

Items From the Adolescent In-Home Questionnaire, Sections 12 (Non-resident biological mother) and 13 (Non-resident biological father)

12. Which of the following things have you done with your biological mother [or biological father] in the past four weeks?

Have you talked about someone you're dating, or a party you went to?

No
Yes

Have you had a talk about a personal problem you were having?

Have you talked about your school work or grades?

Have you worked on a project for school?

Have you talked about other things you're doing in school?

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V. Children's Socio-Emotional Development Options Documents

Domain: Children's Socio-Emotional Development

Construct: Internalizing/ Externalizing Behavior Problems

A ROAD MAP FOR THE CHILDREN'S SOCIO-EMOTIONAL DEVELOPMENT OPTIONS DOCUMENTS

This chapter presents information relevant to the construct of internalizing/externalizing behavior problems across the main ACF evaluations and the additional studies selected for the EDCP for which items related to internalizing/externalizing behavior problems are available (i.e., 5 of the 9 main ACF evaluations and 8 of the 13 additional studies selected for the EDCP). These evaluations and surveys, and the page number(s) on which they appear, follow:

Evaluation/Survey	Page Number(s)
Enhanced Services for the Hard to Employ Demonstration and Evaluation Project	V-12; V-16; V-19
Head Start Family and Child Experiences Survey (FACES)	V-22
Early Head Start Evaluation and Tracking Pre-K Followup (EHS and TPK)	V-34
National Head Start Impact Study	V-37; V-40; V-43; V-46; V-49; V-53; V-56
National Survey of Child and Adolescent Well-Being (NSCAW)	V-59; V-62; V-65; V-68; V-74; V-77; V-88
Panel Study of Income Dynamics, Child Development Supplement	V-91; V-95
National Survey of America's Families (NSAF)	V-98
National Longitudinal Survey of Youth, 1997 (NLSY97)	V-102
National Longitudinal Study of Adolescent Health	V-109; V-112
NICHD Study of Early Child Care and Youth Development	V-115; V-120
Early Childhood Longitudinal Study, Kindergarten Cohort (ECLS-K)	V-125
National Household Education Survey (NHES)	V-129
National Study of Child Care for Low-Income Families	V-132; V-134; V-137; V-139

Two tables are presented on the following pages, one for the ACF evaluations and one for the additional studies selected for the EDCP. These tables give an overview that shows the types of measures available for each evaluation and survey in this chapter and indicates the primary reporter for each measure.

For each evaluation and survey, a series of key information is described, including population assessed, periodicity, major components, procedures for administration, and a compilation of items that assess internalizing/externalizing behavior problems. Although all the items in this chapter are used to measure internalizing/externalizing behavior problems, the components of each evaluation or survey vary slightly in focus. For example, many of the

evaluations, such as Enhanced Services for the Hard to Employ, FACES, the National Head Start Impact Study, and the NSCAW, measure positive aspects of child behavior as well as behavior problems. Studies such as the National Head Start Impact Study and the NSCAW include a particularly rich array of socio-emotional child outcome measures. For instance, the National Head Start Impact Study includes relationship-oriented measures that assess children's closeness to and dependence on parents and teachers, and the NSCAW includes measures that specifically tap depression and the children's feelings about their social dissatisfaction and peer relationships. Some of the measures used in these evaluations, such as the various derivations of the Achenbach scales (e.g., Child Behavior Checklist; CBCL) and the Social Skills Ratings Scale used in the Enhanced Services for the Hard to Employ, FACES, and NSCAW studies, are applicable to a wide range of child ages. Others, such as the Infant Toddler Social and Emotional Assessment (ITSEA) used in the Enhanced Services for the Hard to Employ evaluation, have more restricted age ranges. The ITSEA, for instance, is appropriate for children between the ages of 12 and 48 months, whereas versions of the Achenbach scales can be used through adulthood. Many of the studies used multiple reporters in their measurement of socio-emotional outcomes (e.g., parent, teacher). In particular, the NSCAW used parent and teacher reports, as well as the self-reports of the children.

At this stage of the EDCP, no analysis and synthesis of items across evaluations and surveys have been attempted; rather the information is described separately for each evaluation and survey. Readers interested in developing items to assess internalizing/externalizing behavior problems are encouraged both to examine the items included here and to return to the original evaluations and surveys to ensure that they understand the items in context and to obtain full skip patterns, response options, and other important information.

Evaluation Data Coordination Project

Measures available from the Nine ACF Evaluations

Construct: Internalizing and Externalizing Behavior Problems

	Enhanced Services for the Hard to Employ Demo. & Eval.	Rural Welfare to Work Demo. & Eval.	Employment Retention & Advancement Project (ERA)	Building Strong Families	HS-Family &Child Experiences Survey (FACES)	Early Head Start Tracking Pre-K	Head Start Impact Study	National Survey of Adolescent Well-Being (NSCAW)	Eval. of Child Care Subsidy Strategies
Internalizing/ Externalizing Behavior Problems	Yes	No	NRA	NRA	Yes	Yes	Yes	Yes	NRA
Behavior and Emotional Problems Scale (part of CBCL[1])					T (A), P (A)		T (A), P (A)	P, T	
Aggression Scale of CBCL[1]						P			
Youth Self Report- CBCL[1]								C	
Social Skills Rating Scale (SSRS)	P (A)				T (A)			P	
ITSEA/BITSEA[2]	P								
Loneliness and Social Dissatisfaction Questionnaire for Young Children.								C (A)	

Evaluation Data Coordination Project

Measures available from the Nine ACF Evaluations (Continued)

Construct: Internalizing and Externalizing Behavior Problems

	Enhanced Services for the Hard to Employ Demo. & Eval.	Rural Welfare to Work Demo. & Eval.	Employment Retention & Advancement Project	Building Strong Families	HS-Family &Child Experiences Survey (FACES)	Early Head Start Tracking Pre-K	Head Start Impact Study	National Survey of Adolescent Well-Being (NSCAW)	Eval. of Child Care Subsidy Strategies
Trauma Symptom Checklist for Children								C	
Children's Depression Inventory (CDI)								C	
Adjustment Scale for Preschool Intervention (ASPI)							T		
Other [3]					D, P		P, T, D		

Key: C= child or youth report, P= parent or other primary caregiver report, T= teacher or primary child care provider report (A)= adaptation, D = Direct Observation, NRA=Not readily available; [1]CBCL = Child Behavior Checklist, [2](Brief) Infant Toddler Social and Emotional Assessment,

[3] "Other" include item-level measures, as well as related measures that did not directly measure the given construct.

Evaluation Data Coordination Project

Measures available from the 13 Additional Data Collection Efforts Relevant to EDCP Goals

Construct: Internalizing and Externalizing Behavior Problems

	Panel Study of Income Dynamics Child Development Supplement (PSID-CDS	National Survey of America's Families (NSAF)	National Longitudinal Survey of Youth, 1997 (NLSY97)	National Longitudinal Study of Adolescent Health (Add Health)	Fragile Families & Child Wellbeing (Fragile Families)	NICHD Study of Early Child Care & Youth Development (NICHD SECC)	Early Childhood Longitudinal Study – Kindergarten Cohort (ECLS K)	Early Childhood Longitudinal Study – Birth Cohort (ECLS B)	National Household Education Survey Program (NHES)	Current Population Survey (CPS)	Survey of Income and Program Participation (SIPP)	National Study of Child Care for Low-Income Families	National Child Care Staffing Study
Internalizing/ Externalizing Behavior Problems	Yes	Yes	Yes	Yes	No	Yes	Yes	NRA	Yes	No	No	Yes	No
Behavior Problems Index (BPI) of CBCL[1]	P												
Behavior and Emotional Problems Scale (part of CBCL[1])		P(A)	C(A), P(A)			T, P							
Social Skills Rating Scale (SSRS)						T, P	T(A), P(A)						
Center for Epidemiological Studies - Depression Scale (CES-D)				C									
Other [2]	P			C					P			RU	

Key: C= child or youth report, P= parent or other primary caregiver report, T= teacher or primary child care provider report
(A)= adaptation, D = Direct Observation, NRA=Not readily available, RU= Respondent unclear;
[1]CBCL = Child Behavior Checklist, [2] "Other" include item-level measures, as well as related measures that did not directly measure the given construct.

SOCIO-EMOTIONAL DEVELOPMENT
INTERNALIZING/EXTERNALIZING BEHAVIOR PROBLEMS
OPTIONS DOCUMENTS
DOMAIN AND CONSTRUCT DEFINITIONS AND JUSTIFICATION

Domain

Socio-Emotional Well-Being

Definition

For this project, socio-emotional well-being is defined as children's social behaviors (e.g., acting out and sharing) and their emotional status (e.g., adjustment). Socio-emotional development is an important feature of general child well-being, and research suggests that socio-emotional aspects in early childhood are related to a wide array of developmental outcomes, ranging from school success to future adult behavior (National Research Council & Institute of Medicine, 2000; Soares, Fremmer-Bombik, Grossman, & Silva, 2000). Socio-emotional well-being is a domain of inherent value to be included in any study or effort that hopes to address child development and is of particular relevance to this project because it is examined in eight of the nine EDCP evaluations. Although the domain is included in most evaluations and studies, the constructs and measurement of those constructs shows variation across studies. Because of this variation, this is an area in which measurement guidance is both needed and welcomed.

Construct

Internalizing/Externalizing Behavior Problems

Definition

Studies will vary in which types of socio-emotional outcomes that they choose to measure. Two of the most commonly measured constructs are internalizing (e.g., depression, anxiety) and externalizing (e.g., acting out) behaviors. The full definitions are listed below. These constructs are closely related, both conceptually and statistically, with some studies addressing them as separate constructs and others collapsing them under the broader heading of "Behavior Problems." For current purposes, we note all three conceptualizations, based on the level of detail used in the studies reviewed: internalizing and externalizing as separate constructs and behavior problems as the sum of the two.

Global Justification for Inclusion of Construct: Externalizing

Background:

At reasonable levels (which vary greatly by cultural context), anger and aggression contribute to survival through their self-regulation and social communication functions (Stenberg & Campos, 1990). But beginning in childhood, when anger and aggression exceed certain levels, they are linked with unfavorable developmental outcomes. Attention problems are often considered together with anger and aggression under the construct of externalizing because of

their high comorbidity rates. However, there is disagreement regarding causal relationships, etiology, and pathways through which each lead to unfavorable outcomes (Coie & Dodge, 1998).

Studies have shown that children exhibiting problems with noncompliance, discipline, and impulsivity in early childhood more often show a range of externalizing behavior problems in later childhood, including diagnosed conduct disorders (Campell & Ewing, 1990; Richman, Stevensen, & Graham, 1982). These associations have more often been documented for males than for females, though some have questioned whether this reflects the appropriateness of widely used measures of externalizing for girls. In addition, there is a growing set of longitudinal studies showing that aggression and conduct problems in middle childhood are related to delinquency and antisocial behavior in adolescence, as well as adulthood (Coie, Terry, Lenox, Lochman, & Hyman, 1995; Enron, Huesmann, Dubow, Romanoff, & Yarmel, 1987; Haapsalo & Tremblay, 1994). For males, this relationship has been linked with time of onset, with earlier onset of antisocial behavior predicting greater risk of the antisocial behavior continuing throughout the lifespan (Farrington, Loeber, & Van Kammen, 1990).

Correlates of Externalizing:

Research suggests a range of possible contributors to individual differences in aggression and antisocial behavior. Possible biological bases of individual differences include hormone and neurotransmitter activity, toxin exposure, and traits such as temperament, hyperactivity, and attention deficit. Aspects of children's care environments that have been found to be related to individual differences in aggression and antisocial behavior include family poverty, neighborhood characteristics, and family stress. Variation in parenting has also been extensively explored, with harsh and inconsistent discipline patterns and abuse found to be predictive of child aggression and antisocial behavior (Coie & Dodge, 1998).

Rather than a direct and simple causal pathway between any individual feature of children's environment and their antisocial and aggressive behavior, research suggests interactions among contributors (see Cicchetti & Lynch, 1993). It also cautions that the prevalence of antisocial and aggressive behaviors can function as an important defining feature of an environment, rather than serving as only an outcome *of* environments. For example, although violent neighborhoods predict aggressive outcomes, the more aggressive and antisocial individuals there are, the more violent the neighborhood will be. Externalizing is useful as both an explanatory mechanism and an outcome in itself.

Importance of Externalizing as a Construct:

Given the linkages between aspects of children's care environments and their aggressive and antisocial behavior, interventions that either aim to alter the care environments of children directly (for example, by seeking to improve the quality of child care) or that have the potential to alter care environments through other effects on the family (for example, by seeking to increase employment and income or by seeking to increase marital stability) have the potential to affect children's externalizing behavior problems.

Global Justification for Inclusion of Construct: Internalizing

Background:

Unlike externalizing, which is manifested by outward acts of aggression or "acting out" behavior, internalizing is manifested in internal reactions and states (Achenbach & Rescorla, 2000a). Frequently used measures of internalizing seek to capture symptoms of depression, anxiety, and somatization; and construct validation work is reported by Achenbach and Rescorla (2000a), LaFreniere and Dumas (1995), Reynolds and Kamphaus (1998), and Gresham and Elliott (1990).

Internalizing problems tend to co-occur with other disorders. For instance, 40 to 70 percent of depressed children/adolescents have been diagnosed with another disorder, with 20 to 50 percent showing two or more co-occurring disorders (Cicchetti & Toth, 1998). The most common concomitant disorders include anxiety disorders and substance abuse (Harington, Rutter, & Fombonne, 1996).

Internalizing and externalizing behaviors are correlated in both clinical and normative samples (Achenbach & Rescorla, 2000a; Greenbaum & Dedrick, 1998). Although they have differing behavioral manifestations, they are not mutually exclusive.

Like externalizing behavior problems, internalizing behaviors such as depression and anxiety can be seen as negative outcomes in themselves. They involve substantial suffering in the individual; are associated with occupational, interpersonal, and familial stress; and predict a higher risk of suicidal behavior (Cicchetti & Toth, 1998). The annual societal cost to address just depression is estimated at $43 billion. This figure reflects the cost of treatment, absenteeism from work, loss of productivity, and premature death (Hirshfield et al., 1997).

Both children and adults have been found to be undertreated for major depressive disorder (Beardslee, Keller, Lavori, Staley, & Sacks, 1993; Cicchetti & Toth, 1998; Hirshfield et al., 1997). There is evidence that the age of onset is related to future episodes (Kovacs, Akiskal, Gatsonis, & Parrone, 1994).

Correlates of Internalizing:

As with externalizing behavior problems, a range of factors have been shown to contribute to the extent of internalizing behaviors. These include factors related to physiological development (e.g., genetics, brain and neurological mechanisms, and child gender) and to the child's environment (e.g., parenting, family socioeconomic status, and neighborhood). As with externalizing, rather than operating separately, there appear to be interactions among the contributing factors. Evidence indicates that a number of these factors have links to internalizing throughout development (DeRosier, Kupersmidt, & Patterson, 1994; Harrington et al., 1993; Messman & Koot, 2000; Pittman & Chase-Lansdale, 2001; Smider et al., 2002; Weis, Dodge, Bates, & Pettit, 1992; Yazici et al., 1993).

The evidence points to a balancing of factors that make one susceptible to internalizing problems ("potentiating" factors) and resistant to them ("compensatory" factors; Cicchetti & Lynch, 1993; Cicchetti & Toth, 1998). For example, potentiating factors might include having both a genetic predisposition for depression as well as a parent who is depressed. A compensatory

factor might involve participation in high-quality child care, where the experiences support and secure attachment to caregivers.

Importance of Internalizing as a Construct:

In sum, the research points to a range of factors that can increase or decrease the risk of child internalizing behavior problems. The evaluation studies included in the EDCP project focus on programs that have the potential to affect a number of the potentiating and compensatory factors identified in the research. For example, Head Start and Early Head Start target parenting behavior and parental mental health, both of which have been found to be related to child internalizing behavior problems. The Head Start and child care subsidy evaluations have implications for the quality of the early care and education environments that children participate in, again factors found to be related to internalizing behavior problems. Likewise, the programs focusing on parental employment have the potential to affect the further contributing factors of family socioeconomic status and neighborhood. Evaluations of related welfare to work demonstration programs have found that they have the potential to affect child internalizing (and externalizing) behavior problems (McGroder, Zaslow, Moore, & LeMenestrel, 2000; Miller et al, 2000).

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INTERNALIZING/EXTERNALIZING BEHAVIOR PROBLEMS

ENHANCED SERVICES FOR THE HARD TO EMPLOY DEMONSTRATION AND EVALUATION PROJECT

Measure: Brief Infant-Toddler Social and Emotional Assessment

Background

The *Brief Infant-Toddler Social and Emotional Assessment* (BITSEA) (Briggs-Gowan & Carter, 2001) is a parent-report questionnaire concerning social/emotional difficulties in children ages 12 to 36 months. It is intended to be included in the Enhanced Services for the Hard to Employ Demonstration and Evaluation Project to assess problem behavior. In its entirety, BITSEA scales include externalizing (activity, aggression), internalizing (inhibition, separation, depression), dysregulation (sleeping, eating), maladaptive habits, fears, and competence (attention, compliance). The BITSEA contains 69 items, including 49 problem scale items and 11 competence scale items, selected from the more in-depth Infant Toddler Social Emotional Assessment (Carter & Briggs-Gowan, 2000).

The Enhanced Services for the Hard to Employ Demonstration and Evaluation Project is funded by the Administration for Children and Families and the Assistant Secretary for Planning and Evaluation in the U.S. Department of Health and Human Services, and the U.S. Department of Labor. MDRC carries it out in cooperation with the following partners: Urban Institute, The Lewin Group, and the California Institute for Mental Health.

Population Assessed

The respondents will be Temporary Assistance for Needy Families (TANF) recipients, former TANF recipients, or low-income individuals who are hard-to-employ from two of the six sites of the evaluation. Respondents to the BITSEA will be parents of designated focal children between the ages of 0 and 3. Specific sampling and design features of the study are not publicly available at this time.

Periodicity

This information is not readily available.

Subscales/Components

The full BITSEA will be administered in the one-child version of the main survey, and a modified BITSEA (omitting the subscale on competence) will be administered for two focal children in the two-child version.

Procedures for Administration

Reporters for the BITSEA, an interviewer-administered questionnaire, will be parents of designated focal children between the ages of 0 and 3. Information regarding how focal children will be selected is not publicly available at this time.

Psychometrics/Data Quality

Compared to longer, more-detailed parent-reported measures of child socio-emotional competence, the BITSEA detected similar clinical levels of problem behaviors 80 percent to 95 percent of the time, while maintaining acceptable rates of false-positive and false-negatives rates (Briggs-Gowan, Irwin, Cicchetti, Watchel, & Careter (in press). The BITSEA has illustrated its ability to differentiate children with potential emotional problems from normative children.

Languages Available

This instrument is available in English and Spanish.

Items Included

The following questions are taken from the BITSEA from the Baseline Child CAPI Instrument used for the Enhanced Services for the Hard to Employ Demonstration and Evaluation Project.

CH15: "The next questions describe feelings and behaviors of 1- to 3-year-old children. Many of these items describe normal feelings and behaviors but some can be problems. After I read each statement, please tell me how true it was for [FOCAL CHILD] in the last month."

Response categories:

Rarely
Sometimes
Often
Don't know
Refused

1. Your child shows pleasure when she/he succeeds, for example, claps for him/herself. (Would you say this was true):
2. Your child gets hurt so often that you can't take your eyes off her/him. (Would you say this was true):
3. Your child seems nervous, tense or fearful. (Is this true):
4. Your child is restless and can't sit still. (Is this true):
5. Your child follows rules. (Is this true):
6. Your child wakes up at night and needs help to fall asleep again. (Is this true):
7. Your child cries or has tantrums until he/she is exhausted. (Is this true):

8a. Your child is afraid of certain places, animals or things. (Is this true):
8b. What is [FOCAL CHILD] afraid of? Specify_____.

9. Your child has less fun than other children. (Is this true):
10. Your child looks for you (or other parent) when upset. (Is this true):
11. Your child cries or hangs on to you when you try to leave. (Is this true):
12. Your child worries a lot or is very serious. (Is this true):
13. Your child looks right at you when you say his or her name. (Is this true):
14. Your child does not react when hurt. (Is this true):
15. Your child is affectionate with loved ones. (Is this true):
16. Your child won't touch some objects because of how they feel. (Is this true):
17. Your child has trouble falling asleep or staying asleep. (Is this true):
18. Your child runs away in public places. (Is this true):
19. Your child plays well with other children, not including brothers or sisters. (Is this true):
20. Your child can pay attention for a long time, not including TV. (Is this true):
21. Your child has trouble adjusting to changes. (Is this true):
22. Your child tries to help when someone is hurt, for example, give a toy. (Is this true):
23. Your child often gets very upset. (Is this true):
24. Your child gags or chokes on food. (Is this true):
25. Your child imitates playful sounds when you ask him/her to. (Is this true):
26. Your child refuses to eat. (Is this true):
27. Your child hits, shoves, kicks, or bites children, not including brothers or sisters. (Is this true):
28. Your child is destructive, for example breaks or ruins things on purpose. (Is this true):
29. Your child points to show you something far away. (Is this true):
30. Your child hits, bites, or kicks you, or his/her other parent. (Is this true):
31. Your child hugs or feeds dolls or stuffed animals. (Is this true):
32. Your child seems very unhappy, sad, depressed or withdrawn. (Is this true):
33. Your child purposely tries to hurt you, or her/his other parent. (Is this true):
34. Your child, when upset, gets very still, freezes or doesn't move. (Is this true):

"The next several questions are about feelings and behaviors that can be problems for young children. Some of the questions may be a bit hard to understand, especially if you have never seen them in a child. Please do your best to answer them anyway."

35. Your child puts things in a special order, over and over. (Is this true):
36a. Your child repeats the same action or phrase over and other. (Is this true):
36b. What is it he/she says or does over and over? SPECIFY_____.
37. Your child repeats a particular movement, over and over, like rocking or spinning.
38. Your child "spaces out," is totally unaware of what's happening around her/him. (Is this true):
39. Your child does not make eye contact. (Is this true):
40. Your child avoids physical contact. (Is this true):
41a. Your child eats or drinks things that are not edible, like paper or paint. (Is this true):
41b. What types of non-edible things does she/he eat or drink? SPECIFY_____.
42a. Your child hurts himself/herself on purpose, for example, bangs her/his head. (Is this true):

43. How worried are you about your child's behavior, emotions and relationships? Are you:

Not at all worried
A little worried
Worried
Very worried
Don't know
Refused

44. How worried are you about your child's language development?

Not at all worried,
A little worried,
Worried, or
Very worried?
Don't know
Refused

References and Source Documents

No reference material is currently available for the users' guides, codebooks, and methodology reports.

Briggs-Gowan, M. J., Carter, A. S., Cicchetti, D. V., Wachtel, K., & Irwin, J. (in press). The Brief Infant-Toddler Social and Emotional Assessment: Screening for social-emotional problems and delays in competence. *Journal of Pediatric Psychology*.

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INTERNALIZING/EXTERNALIZING BEHAVIOR PROBLEMS

ENHANCED SERVICES FOR THE HARD TO EMPLOY DEMONSTRATION AND EVALUATION PROJECT

Measure: Behavior Problems and Positive Behavior: Children ages 4-5 Years

Background

The Behavior Problems and Positive Behavior measure for designated focal children between ages 4 and 5 is intended to be included in the Core Child Survey of the Hard to Employ Demonstration and Evaluation Project. The items include measures of problem behaviors (e.g. internalizing and externalizing), as well as positive behaviors (e.g. warmth, curiosity) and were adapted from the Social Skills Rating Scale (SSRS; Gresham & Elliot, 1990). Unlike the version of the SSRS used with families with one focal child (who will receive the full SSRS), the two-focal children assessments will include only the Internalizing and Externalizing scales. SSRS items differ slightly by age group (children 6 to 18 years of age).

The Enhanced Services for the Hard to Employ Demonstration and Evaluation Project is funded by the Administration for Children and Families and the Assistant Secretary for Planning and Evaluation in the U.S. Department of Health and Human Services, and the U.S. Department of Labor. MDRC carries it out in cooperation with the following partners: Urban Institute, The Lewin Group, and the California Institute for Mental Health.

Population Assessed

The respondents will be Temporary Assistance for Needy Families (TANF) recipients, former TANF recipients, or low-income individuals who are hard-to-employ from two of the six sites of the evaluation. Respondents to the Behavior Problems and Positive Behavior Measure will be parents of designated focal children between the ages of 4 and 5. Specific sampling and design features of the study are not publicly available at this time.

Periodicity

This information is not readily available.

Subscales/Components

Subscales of internalizing, externalizing, and positive behavior can be scored from these scales.

Procedures for Administration

The reporters for this measure were parents of designated focal children between the ages of 4 and 5. The measure will be administered as a questionnaire by an interviewer in a one-on-one setting. The measure is estimated to take between 8 and 14 minutes to administer.

Psychometrics/Data Quality

The Description of Baseline Survey Modules (written by the study authors) reported the SSRS internal reliabilities as being high: .71, .75, and .87 for the internalizing, externalizing, and total behaviors scales, respectively. Reported coefficient alphas were based on what was reported in the SSRS manual (Gresham & Elliot, 1990) and not the actual study sample. No information on validity was reported.

Languages Available

The instrument is available in English and Spanish.

Items Included

From the Behavior Problems and Positive Behavior measure for designated focal children ages 4 to 5 whose parents are respondents in the Enhanced Services for the Hard to Employ Demonstration and Evaluation Project.

Response Categories:

All of the time
Most of the time
Sometimes
Rarely
Never?
Don't know
Refused

CH17a. Different children have different personalities and different qualities. I will read some statements about various characteristics. Please tell me how often (FOCAL CHILD) acts this way. Is it all of the time, most of the time, sometimes, rarely, or never?

(FOCAL CHILD) is cheerful, happy. (Is it):

CH17b. (FOCAL CHILD) waits {his/her} turn in games or other activities. (Is it):
CH17c. (FOCAL CHILD) is warm, loving. (Is it):
CH17d. (FOCAL CHILD) has temper tantrums. (Is it):
CH17e. (FOCAL CHILD) is curious and exploring, likes new experiences. (Is it):
CH17f. (FOCAL CHILD) thinks before {he/she} acts, is not impulsive. (Is it):
CH17g. (FOCAL CHILD) gets along well with other children. (Is it):
CH17h. (FOCAL CHILD) fidgets or moves excessively. (Is it):

CH17i. (FOCAL CHILD) usually does what you tell [him/her] to do. (Is it):
CH17j. (FOCAL CHILD) can get over being upset quickly. (Is it):
CH17k. (FOCAL CHILD) is admired and well-liked by other children. (Is it):
CH17l. (FOCAL CHILD) argues with others. (Is it):
CH17m. (FOCAL CHILD) tries to do things for [him/her]self, is self-reliant. (Is it):
CH17n. (FOCAL CHILD) shows concern for other people's feelings. (Is it):
CH17o. (FOCAL CHILD) disturbs ongoing activities. (Is it):
CH17p. (FOCAL CHILD) can easily find something to do on [his/her] own. (Is it):
CH17q. (FOCAL CHILD) shows pride when [he/she] does something well or learns something new. (Is it):
CH17r. (FOCAL CHILD) says nobody likes [him/her]. (Is it):
CH17s. (FOCAL CHILD) is easily comforted when [he/she] gets angry. (Is it):
CH17t. (FOCAL CHILD) is able to concentrate or focus on an activity. (Is it):
CH17u. (FOCAL CHILD) appears lonely. (Is it):
CH17v. (FOCAL CHILD) is helpful and cooperative. (Is it):
CH17w. (FOCAL CHILD) is considerate and thoughtful of other children. (Is it):
CH17x. (FOCAL CHILD) is aggressive toward people or objects. (Is it):
CH17y. (FOCAL CHILD) tends to give, lend, and share. (Is it):
CH17z. (FOCAL CHILD) is obedient, follows rules. (Is it):
CH17aa. (FOCAL CHILD) is calm, easy-going. (Is it):
CH17bb. (FOCAL CHILD) shows anxiety about being with a group of children. (Is it):
CH17cc. (FOCAL CHILD) sticks with an activity until it is finished. (Is it):
CH17dd. (FOCAL CHILD) is eager to please. (Is it):
CH17ee. (FOCAL CHILD) disobeys rules or requests. (Is it):
CH17ff. (FOCAL CHILD) is patient if you are busy and {he/she} wants something. (Is it):
CH17gg. (FOCAL CHILD) sticks up for [him/her] self, is self-assertive. (Is it):
CH17hh. (FOCAL CHILD) acts sad or depressed. (Is it):
CH17ii. (FOCAL CHILD) tries to be independent, to do things [him/her] self. (Is it):

References and Source Documents

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Briggs-Gowan, M. J., Carter, A. S., Cicchetti, D. V., Wachtel, K., & Irwin, J. (in press). The Brief Infant-Toddler Social and Emotional Assessment: Screening for social-emotional problems and delays in competence. *Journal of Pediatric Psychology*.

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INTERNALIZING/EXTERNALIZING BEHAVIOR PROBLEMS

ENHANCED SERVICES FOR THE HARD TO EMPLOY DEMONSTRATION AND EVALUATION PROJECT

Measure: Behavior Problems and Positive Behavior: Children ages 6-18 Years

Background

The Behavior Problems and Positive Behavior measure for designated focal children between ages 6 and 18 is intended to be included in the Core Child Survey of the Enhanced Services for the Hard to Employ Demonstration and Evaluation Project. The 42 items include measures of problem behaviors (e.g., internalizing and externalizing), as well as positive behaviors (e.g., warmth, curiosity), and were adapted from the Social Skills Rating Scale (SSRS; Gresham & Elliot, 1990). Unlike the version of the SSRS used in with families with one focal child (who will receive the full SSRS), the two-focal children assessments includes only the Internalizing and Externalizing scales.

The Enhanced Services for the Hard to Employ Demonstration and Evaluation Project is funded by the Administration for Children and Families and the Assistant Secretary for Planning and Evaluation in the U.S. Department of Health and Human Services, and the U.S. Department of Labor. MDRC carries it out in cooperation with the following partners: Urban Institute, The Lewin Group, and the California Institute for Mental Health.

Population Assessed

The respondents to the Core Child Survey will be Temporary Assistance for Needy Families (TANF) recipients, former TANF recipients, or low-income individuals who are hard-to-employ from two of the six sites in the evaluation. Respondents to the Behavior Problems and Positive Behavior measure will be parents of designated focal children between the ages of 6 and 18. This measure is quite comparable to that used with the 4- to 5-year-old children, yet revolves its items around situations more relevant to an older-aged child.

Periodicity

This information is not readily available.

Subscales/Components

Subscales of internalizing problems, externalizing problems, and positive behavior can be scored from this scale.

Procedures for Administration

The reporters for this measure will be parents of designated focal children between the ages of 6 and 18. The measure will be administered as a questionnaire by an interviewer in a one-on-one setting. The measure is estimated to take between 8 and 14 minutes to administer.

Psychometrics/Data Quality

The Description of Baseline Survey Modules (written by the study authors) reported the SSRS internal reliabilities as being high: .71, .75, and .87 for the internalizing, externalizing, and total behaviors scales, respectively. Reported coefficient alphas were based on what was reported in the SSRS manual (Gresham & Elliot, 1990) and not the actual study sample. No information on validity was reported.

Languages Available

This instrument is available in English and Spanish.

Items Included

From the Behavior Problems and Positive Behavior measure for designated focal children 6 and 18 whose parents are respondents in the Enhanced Services for the Hard to Employ Demonstration and Evaluation Project.

Response Categories:

All of the time
Most of the time
Sometimes
Rarely
Never?
Don't know
Refused

CH18a. Different children have different personalities and different qualities. I will read some statements about various characteristics. Please tell me how often (FOCAL CHILD) acts this way. Is it all of the time, most of the time, sometimes, rarely, or never?

(FOCAL CHILD) is cheerful, happy. (Is it):

CH18b. (FOCAL CHILD) waits [his/her] turn in games or other activities. (Is it):
CH18c. (FOCAL CHILD) is warm, loving. (Is it):
CH18d. (FOCAL CHILD) fights with others. (Is it):
CH18e. (FOCAL CHILD) is curious and exploring, likes new experiences. (Is it):
CH18f. (FOCAL CHILD) thinks before [he/she] acts, is not impulsive. (Is it):
CH18g. (FOCAL CHILD) talks back to adults when corrected. (Is it):
CH18h. (FOCAL CHILD) gets along well with other children. (Is it):

CH18i. (FOCAL CHILD) usually does what you tell [him/her] to do. (Is it):
CH18j. (FOCAL CHILD) can get over being upset quickly. (Is it):
CH18k. (FOCAL CHILD) threatens or bullies others. (Is it):
CH18l. (FOCAL CHILD) is admired and well-liked by other children. (Is it):
CH18m. (FOCAL CHILD) argues with others. (Is it):
CH18n. (FOCAL CHILD) tries to do things for [him/her] self, is self-reliant. (Is it):
CH18o. (FOCAL CHILD) shows concern for other people's feelings. (Is it):
CH18p. (FOCAL CHILD) can easily find something to do on [his/her] own. (Is it):
CH18q. (FOCAL CHILD) shows pride when [he/she] does something well or learns something new. (Is it):
CH18r. (FOCAL CHILD) has low self-esteem. (Is it):
CH18s. (FOCAL CHILD) is easily calmed when [he/she] gets angry. (Is it):
CH18t. (FOCAL CHILD) is able to concentrate or focus on an activity. (Is it):
CH18u. (FOCAL CHILD) appears lonely. (Is it):)
CH18v. (FOCAL CHILD) is helpful and cooperative. (Is it):
CH18w. (FOCAL CHILD) has temper tantrums. (Is it):
CH18x. (FOCAL CHILD) is considerate and thoughtful of other children. (Is it):
CH18y. (FOCAL CHILD) tends to give, lend, and share. (Is it):
CH18z. (FOCAL CHILD) is easily embarrassed. (Is it):
CH18aa. (FOCAL CHILD) is obedient, follows rules. (Is it):
CH18bb. (FOCAL CHILD) is calm, easy-going. (Is it):
CH18cc. (FOCAL CHILD) shows anxiety about being with a group of children. (Is it):
CH18dd. (FOCAL CHILD) sticks with an activity until it is finished. (Is it):
CH18ee. (FOCAL CHILD) gets angry easily. (Is it):
CH18ff. (FOCAL CHILD) is eager to please. (Is it):
CH18gg. (FOCAL CHILD) is patient if you are busy and [he/she] wants something. (Is it):
CH18hh. (FOCAL CHILD) sticks up for [him/her] self, is self-assertive. (Is it):
CH18ii. (FOCAL CHILD) acts sad or depressed. (Is it):
CH18jj. (FOCAL CHILD) tries to be independent, to do things [himself/herself]. (Is it):

References and Source Documents

No reference material is currently available for the users' guides, codebooks, and methodology reports.

Briggs-Gowan, M. J., Carter, A. S., Cicchetti, D. V., Wachtel, K., & Irwin, J. (in press). The Brief Infant-Toddler Social and Emotional Assessment: Screening for social-emotional problems and delays in competence. *Journal of Pediatric Psychology*.

Gresham, F. M., & Elliot, S. N. (1990). *The Social Skills Rating System*. Circle Pines, MN: American Guidance Systems

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INTERNALIZING/EXTERNALIZING BEHAVIOR PROBLEMS

HEAD START FAMILY AND CHILD EXPERIENCES SURVEY

Measure: Item-level information regarding internalizing, externalizing, and/or behavior problems.

Source

The Head Start Family and Child Experiences Survey (FACES) is a national longitudinal study of the cognitive, social, emotional, and physical development of Head Start children; the characteristics, well-being, and accomplishments of their families; the observed quality of Head Start classrooms; and the characteristics, needs, and opinions of Head Start teachers and other program staff. The composition of scales based on items included in FACES that could be considered to reflect internalizing or externalizing behavior are not explicitly noted in currently available FACES documentation.

These constructs, though, appear to be tapped by items from various aspects of the FACES data collection, and it appears that behavior problems are a key construct underlying various FACES socio-emotional measures. The *Classroom Conduct Problems Scale* (FACES Research Team. Modified from Achenbach, 1992; FACES Research Team. Modified from Zill, 1976); the *Social Skills Rating Scale* (FACES Research Team. Modified from Elliott, 1988), the *Your Child's Behavior Scale* (FACES Research Team. Head Start Quality Research Consortium. Modified from Achenbach, unpublished), the *Assessment Behavior Scale* (FACES Research Team), and the *Teacher Feedback on Child's School Performance and Behavior Scale* (Zill, Loomis, & West, 1997) all have items that may tap behavior problems in some manner.

The FACES evaluation is sponsored by the U.S. Department of Health and Human Services, Administration for Children and Families. The project team for FACES 1997 included Westat (prime contractor), Abt Associates, Ellsworth Associates, and the CDM group. The project team for FACES 2000 included Westat (prime contractor), Xtria (formerly Ellsworth Associates), and the CDM group. The project team for FACES 2003 included Westat (prime contractor), Xtria, and the CDM group.

Population Assessed

Each cohort of FACES employs a nationally representative sample of Head Start programs, centers, classrooms, children, and parents. Each sample is stratified by three variables: region of the country (northeast, Midwest, south, or west); urbanicity (urban versus rural); and percentage of minority families in the program (50 percent or more versus less than 50 percent). Data collection methods included child assessments, parent interviews, teacher reports, staff interviews, and classroom observations. Since its inception, FACES has involved an initial field-test sample and three nationally representative cohorts: FACES 1997, FACES 2000, and FACES 2003.

FACES 1997 field test. FACES was field tested in spring 1997 with 2,400 3-, 4-, and 5-year-olds and their parents in a nationally stratified random sample of 40 Head Start programs. These children were followed up in spring 1998 when the children were in kindergarten.

FACES 1997. Data from the initial cohort for the main study of FACES 1997 was first collected in fall 1997 on 3,200 children and families from the same 40 Head Start programs employed in the field test. Data were collected on 1,200 3-year-olds new to Head Start; 1,280 4- and 5-year-olds new to Head Start; and 720 4- and 5-year-olds who were in the field-test study and returning for another year of Head Start. Data on these children were also collected in spring 1998 (spring of the Head Start year), spring 1999 (spring of the kindergarten year or spring of the Head Start year for those who were 3-years old in fall 1997), spring 2000 (spring of the first-grade year or spring of kindergarten for those who were 3-years old in fall 1997), and spring 2001 (spring of the first-grade year for those who were 3-years old in fall 1997).

FACES 1997 also included a validation substudy or embedded case study of 120 randomly selected families from the larger FACES sample. (NB. The embedded case study was not a part of FACES 2000 or FACES 2003). Data collection included in-person parent interviews, home and neighborhood observations, monthly telephone contacts for demographic updates, and community agency interviews regarding the amount and overall nature of collaboration between the agency and the Head Start program.

FACES 2000. A new national cohort of FACES was launched in fall 2000 (FACES 2000). Beginning in fall 2000, data from 2,800 children and families in a new nationally stratified random sample of 43 Head Start programs were collected to ascertain what progress was made in improving program performance. Data were collected in fall 2000, spring 2001, spring 2002 (when children were in kindergarten or in a second year of Head Start), and spring 2003 (when the children who were 3 years old in fall 2000 were in kindergarten).

FACES 2003. Data on a third national cohort (FACES 2003) were collected in fall 2003. Data from 2,700 children and families in a new nationally stratified random sample of 66 programs were collected in fall 2003 and will be collected in spring 2004, spring 2005 (when children are in kindergarten or in a second year of Head Start), and spring 2006 (when the children who were 3 years old in fall 2000 are in kindergarten).

Each cohort of FACES has approximately equal numbers of girls and boys and representative samples of white, African American, Hispanic, and children of other races.

Periodicity

The periodicity was not the same for all instruments involved in FACES. However, the periodicity was the same for the parent, teacher, and direct assessment instruments used to assess social skills and problem behavior (see the following tables for the data collection schedules for each cohort). Again, although the measures discussed here include items that could be seen as reflecting the internalizing and externalizing behavior constructs, the available documentation on FACES does not confirm the assignment of items to scales.

Field Test

	Spring 1997	Fall 1997	Spring 1998	Spring 1999	Spring 2000	Spring 2001
3,-, 4-, & 5-year-olds at end of Head Start	Child assessment; parent interview; teacher reports *N* = 2,400		Child assessment; parent interview; teacher reports *N* = 1,428			

FACES 1997

	Spring 1997	Fall 1997	Spring 1998	Spring 1999	Spring 2000	Spring 2001
3-year-olds		IN HS: Child assessment; parent interview; teacher reports *N* = 1,200	IN HS: Child assessment; parent interview; teacher reports *N* = 1,104	IN HS: Child assessment; parent interview; teacher reports *N* = 938	IN K: Child assessment; parent interview; Kteacher questionnaire *N* = 798	IN First Grade: Child assessment; parent interview; first-grade teacher questionnaire *N* = 678
4-year-olds		IN HS: Child assessment; parent interview; teacher reports *N* = 1,280	IN HS: Child assessment; parent interview; teacher reports *N* = 1,178	IN K: Child assessment; parent interview; K teacher questionnaire *N* = 1001	IN First Grade: Child assessment; parent interview; first-grade teacher questionnaire *N* = 678	
5-year-olds		IN HS: Child assessment; parent interview; teacher reports *N* = 720	IN HS: Child assessment; parent interview; teacher reports *N* = 662	IN K: Child assessment; parent interview; K teacher questionnaire *N* = 563	IN First Grade: Child assessment; parent interview; first-grade teacher questionnaire *N* = 678	

FACES 2000

	Fall 2000	Spring 2001	Spring 2002	Spring 2003
3-year olds new to program	IN HS: Child assessment; parent interview; teacher reports *N* = 1,175	IN HS: Child assessment; parent interview; teacher reports *N* = 1,000	IN HS: Child assessment; parent interview; teacher reports *N* = 850	IN K: Child assessment; parent interview; K teacher questionnaire *N* = 680
4- & 5-year olds new to program	IN HS: Child assessment; parent interview; teacher reports *N* = 1,650	IN HS: Child assessment; parent interview; teacher reports *N* = 1,402	IN K: Child assessment; parent interview; K teacher questionnaire *N* = 1,122	

FACES 2003

	Fall 2003	Spring 2004	Spring 2005	Spring 2006
3-year olds new to program	IN HS: Child assessment; parent interview; teacher reports *N* = 1,131	IN HS: Child assessment; parent interview; teacher reports *N* = 962	IN HS: Child assessment; parent interview; teacher reports *N* = 818	IN K: Child assessment; parent interview; K teacher questionnaire *N* = 695
4- & 5-year olds new to program	IN HS: Child assessment; parent interview; teacher reports *N* = 1,590	IN HS: Child assessment; parent interview; teacher reports *N* = 1,352	IN K: Child assessment; parent interview; K teacher questionnaire *N* = 1,082	

Teacher's Child Report Forms

Teachers rated each of their sampled children's behavior through instruments included in the Teacher's Child Report forms (TCR). Respondents were either the child's Head Start or elementary school teacher, depending on the child's age and the assessment point (see above tables for details).

The Social Skills Rating Scale (SSRS) measures various aspects of both positive and negative social functioning.

The Classroom Conduct Problems Scale is a 14-item scale that assesses child aggression, hyperactive, and/or depressed/withdrawn behavior over the past month.

In FACES 2003, a new measure was added to the teacher child-report form: Preschool Learning Behavior Scale (McDermott, Green, Francis, and Stott, 2000). Eighteen items were selected from the original scale. For each item, teachers are asked how true particular statements have been for the child over the previous month: "Not true," "Somewhat or sometimes true," or "Very true or often true."

Parent Rated

Parents of sampled children rated their child's behavior through instruments included in the parent interview. Respondents were the child's biological or adoptive mother or father, legal guardian, or the person who is most responsible for the child's care. Please refer to the above tables for details on the schedule of parent-interview data collection.

To rate their child's behavior, parents responded to the Your Child's Behavior Scale, a 19-item measure of both positive (e.g., prosocial behavior, approaches to learning) and negative constructs (e.g., aggression, hyperactive, depressed) over the previous month. Parents are presented with a series of statements about children's social behavior (e.g., makes friends easily, is disobedient at home) and are asked to rate how well the statements describe their child's usual behavior: "Very true," "Somewhat true," "Not true."

It is noted that a version of the Your Child's Behavior Scale used with parents of kindergarten children in the spring 1999 and 2000 differed slightly from the version used with parents of children who were in kindergarten in the spring of 1998.

The Your Child's Behavior Scale has been modified for FACES 2003. The response options are the same ("Very true," "Somewhat true," "Not true"), but nine new items have been added from either the FACES project team or adapted from the Preschool Learning Behavior Scale (McDermott, Green, Francis, and Stott, 2000).

Other parent-rated behavior measures included the Teacher Feedback on Child's School Performance Scale, which was administered to parents of kindergarteners and first graders only (spring 1998, 1999, 2000, and 2001 parent interviews). This parent rating assesses parent knowledge of what goes on in child's school and includes aspects of child behavior and discipline.

Observer Rated

The direct child assessors rated each assessed child on a wide array of behaviors, based on the child's activities during the FACES cognitive assessment, including aspects of attention, body movement, and task persistence. These may address some content generally included in measures of externalizing and behavior problems and are thus included in the listing of items below. The assessment behavior ratings are completed at the end of each direct child assessment and were therefore administered on the same schedule as the direct child assessment (refer to above tables for schedule of administration).

Subscales/Components

The most recent available FACES report *Head Start Faces 2002: A whole child perspective on program performance. The fourth progress report* (Zill et al., 2003) cites a Cooperative Classroom Behavior Scale, a Total Problem Behaviors scale, as well as Hyperactive, Withdrawn, and Aggressive subscales (Zill et al., 2003), but it is unclear which items from the measures listed above create these scales. Item-level information is presented below.

Procedures for Administration

Reporter varied by measure and assessment point (see periodicity for further details). The respondent for the teacher ratings was either the child's Head Start or kindergarten teacher (FACES 1997 also included teacher ratings by the first-grade teacher). The respondent for the parent ratings included birth or adoptive mothers or fathers, legal guardians, or some other primary caregiver. The parent interview includes a screening item that asks if the respondent is the person who is "most responsible for the child." The respondent for the assessment behavior ratings is the direct child assessors. The above measures were included in interview batteries used during parent and teacher interviews, save the *Assessment Battery Scale.* The *Assessment Behavior Scale* was part of the cognitive assessment given by the test administrator. Parent interview is typically conducted at the Head Start center.

Psychometrics/Data Quality

Reliability of the instruments with FACES 1997 data is located in the following table. Details are available in Technical Report II for FACES 1997.

Reliability of Fall 1997 and Spring 1998 FACES Social Measures Data

	Fall 1997			***Spring 1998***		
Scales	***Number of Items***	***Number of Cases***	***Cronbach Alphas***	***Number of Items***	***Number of Cases***	***Cronbach Alphas***
Teacher Ratings						
Social Skills	12	2,469	.88	12	2,192	.87
Behavioral Problems (Total)	14	2,432	.86	14	2,171	.85
Withdrawn	7	2,486	.77	7	2,201	.76
Aggressive	4	2,500	.83	4	2,201	.84
Hyperactive	3	2,492	.74	3	2,210	.72
Social Score Positive	7	2,411	.57	7	2,155	.61
Parent Ratings						
Behavior Problems Index (Total)	12	2,408	.72	12	2,142	.73
Behavior Problems (Aggressive)	4	2,430	.62	4	2,161	.62
Behavior Problems (Hyperactive)	3	2,427	.54	3	2,159	.59
Behavior Problems (Withdrawn)	5	2,417	.44	5	2,159	.46
Assessor Ratings						
Assessment Behavior (English Assessments only)	8	2,001	.84	8	2,003	.82

Details of the analyses of the predictive validity of the parent and teacher behavior ratings instruments with FACES 1997 data is available in the fourth progress report for FACES. These analyses assessed the ability of the parent and teacher behavior ratings at the end of the Head Start year (spring 1998) to predict behavior and cognitive measures at the end of the kindergarten year (spring 1999).

As an indicator of school adjustment and social competence, the parent and teacher behavior ratings demonstrate ability to predict kindergarten behaviors that promote learning and those that

impede learning. When the parent and teacher ratings were combined in a multiple regression, the model accounted for 18 percent of the variance in kindergarten teacher ratings of cooperative classroom behavior and 24 percent of the variance in kindergarten teacher ratings of total problem behavior.

Further, when the behavior ratings were combined in a multiple regression model, the model accounted for 8 percent of the variance in reading scale scores and 7 percent of the variance in general knowledge scale scores in kindergarten.

Scores from the FACES parent and teacher ratings of social behavior also both contribute to the prediction of teachers' practical decision of whether a child repeats kindergarten or is promoted to first grade, accounting for 11 percent of the variance in the kindergarten teachers' decision to promote the child to first grade.

Reliability of the instruments with FACES 2000 data is in the following table. Details can be found in the Fourth progress report for FACES.

	Fall 2000			***Spring 2001***		
Scales	***Number of Items***	***Number of Cases***	***Cronbach Alphas***	***Number of Items***	***Number of Cases***	***Cronbach Alphas***
Teacher Ratings						
Social Skills	12	2,522	.88	12	2,254	.88
Behavioral Problems (Total)	14	2,522	.86	14	2,254	.86
Withdrawn	7	2,522	.77	7	2,254	.76
Aggressive	4	2,522	.83	4	2,254	.85
Hyperactive	3	2,522	.72	3	2,254	.72
Parent Ratings						
Behavior Problems Index (Total)	12	2,485	.71	12	2,290	.75
Behavior Problems (Aggressive)	4	2,485	.59	4	2,290	.65
Behavior Problems (Hyperactive)	3	2,485	.55	3	2,290	.59
Behavior Problems (Withdrawn)	3	2,485	.36	3	2,290	.40
Assessor Ratings						
Interviewer Rating: Assessment Behavior	8	372	.77	8	353	.68

Predictive validity of the instrument with FACES 2000 data is not yet available.

Missing Data and Variability of Data

Response Rates are available for specific assessment points, but not at the item level.

Response rates for FACES 1997 are as follows.

Fall 1997: Of the 40 programs that participated, at least one classroom was observed in 180 out of 181 centers (n = 506), so classroom quality data were collected for 2,560 of the 3,006 children in the main study sample (85 percent). Assessment, parent, or teacher data were obtained on 2,657 of the 3,006 sample children (88 percent). Parent interviews were completed for 2,424of the 3,006 families selected for the sample (81 percent). Child assessments were completed for 2,451

out of 3,006 children (82 percent). Teacher report forms were obtained on 2,557 of the sample children (85 percent).

Spring 1998: Assessment, parent, or teacher data were obtained for 2,352 of the children (78 percent). A total of 480 classrooms were observed, so classroom quality data were obtained for 2,116 of the children (90 percent). Parent interviews were completed for 2,155 children (70 percent of the original sample). Spring child assessments were completed for 2,183 children (73 percent of the original sample). Teacher report forms were obtained for 2,234 children (74 percent of the original sample).

Spring 1999: Assessment, parent, or teacher data were obtained for 2,068 children (represented 81 percent of children targeted for follow-up, and 69 percent of original sample). Data were obtained on 1,067 kindergarten children (75 percent of those designated for follow-up) and 1,001 children in their second year of Head Start (88 percent of those designated for follow-up). Parent interviews were completed for 1,058 kindergarten children (75 percent) and 881 Head Start children (77 percent). Developmental assessments were completed for 989 kindergarten children (70 percent) and 965 Head Start children (84 percent). Teacher report forms were obtained for 786 kindergarten children (55 percent) and 851 Head Start children (74 percent).

Response rates for FACES 2000 are as follows:

- **Response rates for Fall 2000**
  - 2,508 child assessments were completed out of 2,790 (90 percent).
  - 2,488 parent interviews were completed out of 2,790 families selected for the sample (89 percent).
  - Teacher report forms were obtained on 2,532 of the sample children (91 percent).
  - Assessment, parent, and teacher data were obtained on 2,396 of the 2,790 sample children (86 percent).
  - 278 classrooms were observed out of 286 in the sample for a completion rate of 97 percent.
- **Response rates for Spring 2001**
  - 2,232 child assessments were completed out of 2,288, representing 98 percent of the children who remained in the program and 80 percent of the original sample (2,790).
  - 2,166 parent interviews were completed out of 2,288, representing 95 percent of the children who remained in the program and 78 percent of the original sample.
  - Teacher report forms were obtained on 2,236 of the sample children, representing 98 percent of the children who remained in the program and 80 percent of the original sample.
  - Assessment, parent, and teacher data were obtained on 2,115 of the 2,288 sample children who remained in the program (92 percent).
  - A total of 275 classrooms were observed out of 284 in the sample (97 percent).
- **Response rates for Spring 2002 (Kindergartners Only)**
  - 831 child assessments were completed out of 979, representing 85 percent of the children who were in kindergarten in spring, 2002.
  - 901 parent interviews were completed out of 979, representing 92 percent of the children who were in kindergarten in spring, 2002.
  - Teacher report forms were obtained on 681 of the children, representing 70 percent of the children who were in kindergarten in spring, 2002.

— Assessment, parent, and teacher data were obtained on 624 of the 979 children who were in kindergarten in spring, 2002 (64 percent).

Languages Available

Spanish and English.

Items Included

Children were rated by Head Start and elementary teachers on the Social Skills and Classroom Conduct Problems Scales (periodicity noted above). The Social Skills Rating Scale requires the respondent to note whether particular behaviors have occurred over the previous month, by responding as "Never, " "Sometimes," or "Very Often."

Social Skills Items:

1. Follows the teacher's directions
2. Makes friends easily
3. Does not get upset when teased by classmates
4. Joins an ongoing activity or group without being told to
5. Invites other to play in activities
6. Waits his/her turn in games and other activities
7. Helps in putting work materials or center property away
8. Gives compliments to classmates
9. Says nice things about himself/herself when appropriate
10. 10.) Follows the rules when playing games with others
11. 11.) Uses free time in acceptable ways
12. 12.) Accepts classmates' ideas for sharing and playing

Classroom Conduct Problems – each item is scored as Not True, Somewhat/Sometimes True, or Very/Often True

1. Acts too young for his or her age
2. Can't concentrate, can't pay attention for long
3. Disobeys rules or requests
4. Disrupts ongoing activities
5. Hard to understand what he or she is saying
6. Hits or fights with others
7. Keeps to himself/herself; tends to withdraw
8. Lacks confidence in learning new things or trying new activities
9. Is nervous, high-strung, or tense
10. 10.) Is very restless, fidgets all the time, can't sit still
11. 11.) Often seems sleepy or tired in class
12. 12.) Has temper tantrums or hot temper
13. 13.) Often seems unhappy, sad, or depressed
14. 14.) Worries about things for a long time

- New section added to FACES 2003: Preschool Learning Behavior Scale (McDermott, Green, Francis, and Stott, 2000). Teachers are asked how true particular statements have been over the previous month: "Not true," "Somewhat or sometimes true," or "Very true or often true."

  1. Pays attention to what you say
  2. Says tasks are too hard without making much effort to attempt it
  3. Is reluctant to tackle a new activity
  4. Sticks to an activity for as long as can be expected for a child of this age
  5. Adopts a don't care attitude to success or failure
  6. Seems to take refuge in helplessness
  7. Follows peculiar and inflexible procedures in tackling activities
  8. Show little desire to please you
  9. Is unwilling to accept help even when an activity proves too difficult
  10. Acts without taking sufficient time to look at the problem or work out a solution
  11. Cooperates in group activities
  12. Bursts into tears when faced with a difficulty
  13. Has enterprising ideas which often don't work out
  14. Is distracted too easily by what is going on in the room, or seeks distractions
  15. Cannot settle into an activity
  16. Gets aggressive or hostile when frustrated
  17. Is very hesitant in talking about his or her activity
  18. Shows little determination to complete an activity, gives up easily

- The Your Child's Behavior Scale has been modified for FACES 2003. The response options are the same, but there are 9 new items (in bold face) from either the FACES project team or adapted from the Preschool Learning Behavior Scale (McDermott, Green, Francis, and Stott, 2000):

  1. Makes friends easily
  2. **Waits her or his turn in games or other games or activities**
  3. Can't concentrate, can't pay attention for long
  4. Is very restless, and fidgets a lot
  5. Is unhappy, sad, or depressed
  6. Comforts or helps other
  7. **Follows the rules when playing games with others**
  8. Worries about things for a long time
  9. Accepts friends' ideas in sharing and playing
  10. Doesn't get along with other kids
  11. Feels worthless or inferior
  12. Has difficulty making changes from one activity to another
  13. is nervous high-strung, or tense
  14. **Helps you in putting away toys, clothes, or dishes**
  15. Is disobedient at home
  16. **Depends on adults for what to do, and does not take the initiative**
  17. **When faced with a difficulty, tends to burst into tears**
  18. **Is willing to be helped when needed**
  19. **Sticks to an activity for as long as can be expected for a child of his age**

20. **Acts without taking enough time to look at the problem or work out a solution**
21. **Doesn't achieve anything constructive when in a mopey or sulky mood**

Teacher Feedback on Child's School Performance – each item is scored as Yes or No

1. Has been doing really well in school
2. Has not been learning up to his/her capabilities
3. Doesn't concentrate or pay attention for long
4. Has been acting up in school or disrupting the class
5. Has often seemed sad or unhappy in class
6. Has been very restless, fidgets all the time, or doesn't sit still
7. Has been having trouble taking turns, sharing, or cooperating with other children
8. Gets along with other children and works well in a group
9. Is very enthusiastic and interested in a lot of things
10. Lacks confidence in learning new things or taking part in new activities
11. It's hard to understand what he/she is saying
12. Is often sleepy and tired in class
13. Likes to speak out and express his/her ideas
14. Is often bored in class

During the child cognitive assessments, test administrators were to assess aspects of the child's behavior while the assessment was being done. Test administrators rated children on a 4-point Likert-type scale for aspects such as attention span, body movement, and ease of relationship.

a.) Task Persistence
   1. Persists with tasks
   2. Attempts tasks briefly
   3. Attempts tasks after much encouragement
   4. Refuses

b.) Attention Span
   1. focuses attention voluntarily
   2. attends with assessor direction
   3. some distraction with noise of movement of others
   4. easily distracted

c.) Body Movement
   1. sits quietly
   2. some squirming
   3. much movement
   4. out of seat; body constantly in motion

d.) Attention to directions
   1. listens carefully to entire directions
   2. attends only to brief directions
   3. plunges ahead after hearing just a portion
   4. plunges ahead immediately

e.) Comprehension of directions
   1. rapid comprehension of most directions, given age expectations
   2. understands after several repetitions
   3. partial comprehension of directions

4. does not appear to comprehend most directions

f..) Verbalization

1. many spontaneous comments
2. occasional comments
3. responds only when spoken to
4. extremely reluctant to speak or inappropriate speech

g.) Ease of relationship

1. immediately friendly
2. friendly but reserved
3. shy
4. very reluctant and fearful

h.) Confidence

1. very sure of self
2. confident with things known; attempts new things with encouragement
3. reluctant to try new and difficult things
4. very uncertain; needs more encouragement

References and Source Documents

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INTERNALIZING/EXTERNALIZING BEHAVIOR PROBLEMS

EARLY HEAD START EVALUATION AND TRACKING PRE-KINDERGARTEN FOLLOW-UP

Measure: Child Behavior Checklist, Aggressive Behavior Subscale

Background

The Child Behavior Checklist (CBCL) is a widely used measure of internalizing and externalizing behavior problems, as well as smaller subscales that tap specific types of behavior (e.g., aggression, somatization). This two-phase national evaluation was launched to examine the impacts of the Early Head Start (EHS) program and used the Aggressive Behavior subscale of the CBCL to measure child behavior problems in their sample.

The current document includes measures information based on the first phase of the study (birth to three) because information regarding measures for the Tracking Pre-Kindergarten (TPK) phase of the study is not available.

These EHS evaluations are funded by the Administration for Children and Families, U.S. Department of Health and Human Services. The contractor for the evaluation is Mathematica Policy Research, Inc and the subcontractor is the Center for Children and Families at Columbia University, Teachers College. The TPK follow-up phase (2001-2004) is also funded by the Administration for Children and Families in the U.S. Department of Health and Human Services. Mathematica Policy Research, Inc is the contractor. In 1997, the National Institute of Child Health and Human Development (NICHD) provided funds (through ACYF) to add a major study of the fathers of EHS children.

Population Assessed

Of 68 EHS programs that received funding to run programs in 1995 and that agreed to participate in the impact study, 15 study centers were selected based on whether they could recruit twice as many families as they could serve, had a relationship with a research institution, and collectively represented various geographic locations and contexts that represent the wide variety of EHS setting in the United States. Two additional programs that were funded in 1996 were added later, for a total of 17 programs. The 17 EHS and follow-up TPK programs were located in all regions of the country (i.e., Russellville, Arkansas; Venice, California; Denver, Colorado [two programs]; Marshalltown, Iowa; Kansas City, Kansas; Jackson, Michigan; New York City, New York; Kansas City, Missouri; Pittsburgh, Pennsylvania; Sumter, South Carolina; McKenzie, Tennessee; Logan, Utah; Alexandria, Virginia; Kent, Washington; Sunnyside, Washington; and Brattleboro, Vermont). Programs offered center-based, home-based, and mixed-approach services. Because these programs were not randomly selected, results from EHS research should not be considered representative of all EHS programs.

Once the 17 EHS programs were selected for the evaluation, they went through their usual application process for families (e.g., including children with disabilities) and reported all applicants to the study team, where individual children were then randomly assigned to either experimental (i.e., accepted into EHS) or control (i.e., no EHS) groups. The families and children who participated in the evaluation were racially and ethnically diverse. Many of the children had parents who came from minority racial/ethnic groups, were single heads of households, did not speak English as their primary language, had relatively low educational attainment, and were receiving public assistance of some kind (e.g., Medicaid, WIC, food stamps, AFDC or TANF, and SSI benefits). There did not appear to be any significant differences between the experimental and control groups, other than group assignment (Love et al., 2002a).

Periodicity

Child behavior problems were assessed using items from the Child Behavior Checklist (Achenbach & Rescorla, 2000b) that address aggressive behavior. The items from the CBCL Aggressive Behavior subscale were included in the Parent Interview for all sites when children were 24 and 36 months old. The aggressive behavior scale was also included in the father interviews for the 12 father study sites carrying out the study of fathers when children were 24 and 36 months old (Love et al., 2002b). The same CBCL items were administered in the TPK interview when the children were, on average, 63 months old.

Subscales/Components

The Aggressive Behavior scale is a subscale of the CBCL, when the CBCL is given in its entirety. In the present context, because it is the only set of items from the CBCL used, it is referred to as a scale rather than as a subscale of the CBCL.

Procedures for Administration

At 24 and 36 months, in-person maternal interviews were conducted, when possible. Phone interviews were used in the rare instances in which an in-person interview could not be done. Fathers were interviewed in similar fashion in the 12 father study sites. The time needed to administer these items is not noted. However, given the time the author of the CBCL states that it takes to administer the entire measure, these items are estimated to take 2 to 5 minutes.

Psychometrics/Data Quality

All measures in the EHS evaluation were selected based on guiding principles that included psychometric strength. Measures were to (1) show relevance to the key goals and hypotheses of the study, (2) be appropriate to child age and developmental level, (3) be appropriate for EHS populations (i.e., low income, minority, language other than English), (4) show alpha coefficients of .70 or higher, (5) when possible, have been used in other large national studies, and (6) be low of cost and burden (Love et al., 2002b).

The CBCL manual reports strong evidence of convergent, discriminant, and predictive validity of the measure. This measure is useful in discriminating children with clinical levels of internalizing and externalizing problems from normative samples (Achenbach & Rescorla, 2000b). This includes clinical and normative levels of aggressive behavior, the aspect of behavior

problems focused upon in the present study. The CBCL is also a widely used measure of behavior problems and has been used in other large national studies looking at children of comparable age (e.g., NICHD Study of Early Child Care) and demographic groups (e.g., FACES).

The CBCL was included in the parent interview, which had a response rate of 70.3 percent at 36 months.

Languages Available

Interviews, including the items for the Aggressive Behavior Scale, were available in both English and Spanish.

Items Included

Item level information is not available for the EHS studies, but examples of CBCL aggressive behavior items include "Child has temper tantrums," "Child hits others," and "Child is easily frustrated." Parents rate their child as manifesting these behaviors within the past two months "often," "sometimes," or "never" (Love et al., 2002b).

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Love, J. M., Kisker, E. E., Ross, C. M., Schochet, P. Z., Brooks-Gunn, J., Paulsell, D., Boller, K., Constantine, J., Vogel, C., Fuligini, A. S., & Brady-Smith, C. (2002b). *Making a difference in the lives of infants and toddlers and their families: Volume II: Final Technical Report Appendixes*. Washington, DC: Department of Health and Human Services, Administration for Children and Families; Office of Planning, Research and Evaluation; Child Outcomes Research and Evaluation; Administration on Children, Youth, and Families; Head Start Bureau.

For other papers, please refer to the Early Head Start Collection of Consortium-Written Research Articles and Reports located at http://www.acf.dhhs.gov/programs/core/ongoing_research/ehs/ehs_papers.html

http://www.mathematica-mpr.com/3rdLevel/ehstoc.htm
http://www.acf.hhs.gov/programs/core/ongoing_research/ehs/ehs_intro.html

INTERNALIZING/EXTERNALIZING BEHAVIOR PROBLEMS

NATIONAL HEAD START IMPACT STUDY

Measure: Your Child's Behavior Scale

Background

The Your Child's Behavior Scale was first created by the Head Start FACES research team (originally adapted from the Child Behavior Checklist) to assess child internalizing and externalizing behavior problems, as reported by primary caregiver. Because FACES research established this measure's suitability for Head Start samples, it was also used in the Head Start Impact Study.

The Head Start Impact Study is funded by the Administration for Children and Families in the U.S. Department of Health and Human Services. Westat (prime contractor) conducts the study in collaboration with the Urban Institute, the American Institutes for Research, and Decisions Information Resources (subcontractors).

Population Assessed

The Head Start Impact Study involves 4,750 (2,829 treatment and 1,921 control) 3- and 4-year-old newly entering Head Start-eligible preschool children across 84 nationally representative grantees and delegate agencies in communities where there are more eligible children and families than can be served by the program. Of the 4,750 children selected for the study, approximately 42 percent are Hispanic; 27 percent, Black; 28 percent, White; and 3 percent, other. Sixty-six percent of the children speak English as their primary language, 31 percent speak Spanish, and 3 percent speak a language other than Spanish or English. Gender is evenly split on the child sample.

The sample selection process began by including all fiscal 1999–2000 Head Start grantees and delegate agencies in all 50 states, Washington, DC, and Puerto Rico. Programs that were very new, migrant, or tribal or that offered Early Head Start only were excluded. Geographic grantee clusters were developed using a minimum of eight grantees/delegate agencies per cluster, and the clusters were grouped into 25 strata using state pre-K and childcare policy, child race/ethnicity, and urban/rural location and region as stratifiers. One cluster was selected per strata with probability proportional to size (N = 261 grantees/delegate agencies). Next, the eligibility of grantees/delegate agencies in each cluster was determined. Those that were closed or merged and those that were saturated (have very few children in the community who are not served) were excluded. Remaining grantees/delegate agencies within the clusters were then stratified based on grantee/delegate agency characteristics including local contextual variables. Three grantees/delegate agencies were randomly selected from each cluster. These grantees/delegate agencies were contacted for participation in the study and the list of centers operating within these grantees/delegate agencies in 2002–2003 was compiled. Center eligibility was determined by excluding saturated centers and combining small centers with nearby centers to create center groups. Using the same stratification characteristics as used for the grantees/delegate agencies, approximately three centers were selected from each grantee/delegate agency based on

proportional probabilities (i.e., larger centers have greater chance of selection). The final sample included 378 centers within 84 grantees/delegate agencies. Once the centers were selected, random assignment of children within these centers resulted in 2,829 children in the treatment group and 1,921 children in the comparison group for a total of 4,750 children.

Children selected were considered part of one of two cohorts. Cohort one included children who were 3-years-old in the 2002–2003 school year. Cohort one will be followed through 2005–2006, when they will have reached first grade. Cohort two consists of children who were 4-years-old during the 2002–2003 school year, and thus are moving into kindergarten in the 2003–2004 school year. Cohort two will be followed through their first grade year in 2004–2005.

Periodicity

Your Child's Behavior Scale was included in both the fall 2002 and spring 2003 parent interview. It is proposed for inclusion in subsequent spring parent interviews.

Subscales/Components

The first year of data collection is complete, but subscales are not yet available. The Your Child's Behavior Scale is a 19-item measure of both positive (e.g., prosocial behavior, approaches to learning) and negative social behaviors (e.g., aggression, hyperactive, depressed) that the parent reports on for the previous month during a one-on-one interview

Procedures for Administration

The Your Child's Behavior Scale was included in the in-person, parent/primary caregiver interview. Respondents were most often, though not solely, the child's mother.

Psychometrics/Data Quality

Psychometric data for the study is not yet available.

Languages Available

Parent interview protocols are available in both Spanish and English. If the respondent does not speak English or Spanish, an interpreter translates the instrument into the respondent's native language.

Items Included

A full listing of items cannot be given because of copyright restraints. A sample item follows:

In general, thinking about [CHILD] now or over the past month, tell me how well the following statements describe [CHILD'S] usual behavior: For each one, tell me if it is very true, sometimes true, or not true.

Makes friends easily.
Enjoys learning.
Has temper tantrums or hot temper.

References and Source Documents

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http://www.acf.hhs.gov/programs/core/ongoing_research/hs/impact_intro.html

INTERNALIZING/EXTERNALIZING BEHAVIOR PROBLEMS

NATIONAL HEAD START IMPACT STUDY

Measure: Selected questions from the Developing Skills Checklist Home Inventory

Background

The Developing Skills Checklist home inventory is a 12-item measure of the child's relationship with others and ability to help himself/herself and others. This checklist is taken from the Developing Skills Checklist, a language and literacy program developed by McGraw-Hill.

The Head Start Impact Study is funded by the Administration for Children and Families in the U.S. Department of Health and Human Services. Westat (prime contractor) conducts the study in collaboration with the Urban Institute, the American Institutes for Research, and Decisions Information Resources (subcontractors).

Population Assessed

The Head Start Impact Study involves 4,750 (2,829 treatment and 1,921 control) 3- and 4-year-old newly entering Head Start-eligible preschool children across 84 nationally representative grantees and delegate agencies in communities where there are more eligible children and families than can be served by the program. Of the 4,750 children selected for the study, approximately 42 percent are Hispanic; 27 percent, Black; 28 percent, White; and 3 percent, other. Sixty-six percent of the children speak English as their primary language, 31 percent speak Spanish, and 3 percent speak a language other than Spanish or English. Gender is evenly split on the child sample.

The sample selection process began by including all fiscal year 1999–2000 Head Start grantees and delegate agencies in all 50 states, Washington, DC, and Puerto Rico. Programs that were very new, migrant, or tribal or that offered Early Head Start only were excluded. Geographic grantee clusters were developed using a minimum of eight grantees/delegate agencies per cluster, and the clusters were grouped into 25 strata using state pre-K and childcare policy, child race/ethnicity, urban/rural location and region as stratifiers. One cluster was selected per strata with probability proportional to size (N=261 grantees/delegate agencies). Next, the eligibility of grantees/delegate agencies in each cluster was determined. Those that were closed or merged and those that were saturated (have very few children in the community who are not served) were excluded. Remaining grantees/delegate agencies within the clusters were then stratified based on grantee/delegate agency characteristics including local contextual variables. Three grantees/delegate agencies were randomly selected from each cluster. These grantees/delegate agencies were contacted for participation in the study and the list of centers operating within these grantees/delegate agencies in 2002–2003 was compiled. Center eligibility was determined by excluding saturated centers and combining small centers with nearby centers to create center groups. Using the same stratification characteristics as used for the grantees/delegate agencies, approximately three centers were selected from each grantee/delegate agency based on proportional probabilities (i.e., larger centers have greater chance of selection). The final sample included 378 centers within 84 grantees/delegate agencies. Once the centers were selected,

random assignment of children within these centers resulted in 2,829 children in the treatment group and 1,921 children in the comparison group for a total of 4,750 children.

Children selected were considered part of one of two cohorts. Cohort one included children who were 3-years-old in the 2002–2003 school year. Cohort one will be followed through 2005–2006, when they will have reached first grade. Cohort two consists of children who were 4-years-old during the 2002–2003 school year, and thus are moving into kindergarten in the 2003–2004 school year. Cohort two will be followed through their first grade year in 2004–2005.

Periodicity

The Developing Skills Checklist home inventory was included in both the fall 2002 and spring 2003 parent interview. It is proposed for inclusion in subsequent spring parent interviews.

Subscales/Components

The first year of data collection is complete, but subscales are not yet available. The Developing Skills Checklist home inventory is a 12-item measure of the child's relationship with others and ability to help him/herself and others.

Procedures for Administration

The Developing Skills Checklist home inventory (CTB/McGraw-Hill, 1990) was included in the in-person, parent/primary caregiver interview. Respondents were most often, though not solely, the child's mother.

Psychometrics/Data Quality

Psychometric data for the study is not yet available.

Languages Available

Parent interview protocols are available in both Spanish and English. If the respondent does not speak English or Spanish, an interpreter translates the instrument into the respondent's native language.

Items Included

A full listing of items cannot be given because of copyright restraints. A sample item follows:

Now I'm going to read you a list of some activities and behaviors. Does [CHILD] do these things on a regular basis, or very rarely, or not at all?

Talks with familiar adults.
Enjoys having visitors.
Shares newly learned ideas.

References and Source Documents

CTB Macmillan/McGraw-Hill. (1990). *Developing Skills Checklist*. Monterey, CA: CTB/McGraw-Hill.

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INTERNALIZING/EXTERNALIZING BEHAVIOR PROBLEMS

NATIONAL HEAD START IMPACT STUDY

Measure: My Child's Relationship With Me Scale

Background

The My Child's Relationship With Me Scale (Pianta, 1992) is a 15-item, parent-reported measure of closeness, dependency, and conflict in the child's relationship with his/her parent/primary caregiver.

The Head Start Impact Study is funded by the Administration for Children and Families in the U.S. Department of Health and Human Services. Westat (prime contractor) conducts the study in collaboration with the Urban Institute, the American Institutes for Research, and Decisions Information Resources (subcontractors).

Population Assessed

The Head Start Impact Study involves 4,750 (2,829 treatment and 1,921 control) 3- and 4-year-old newly entering Head Start-eligible preschool children across 84 nationally representative grantees and delegate agencies in communities where there are more eligible children and families than can be served by the program. Of the 4,750 children selected for the study, approximately 42 percent are Hispanic; 27 percent, Black; 28 percent, White; and 3 percent, other. Sixty-six percent of the children speak English as their primary language, 31 percent speak Spanish, and 3 percent speak a language other than Spanish or English. Gender is evenly split on the child sample.

The sample selection process began by including all fiscal year 1999–2000 Head Start grantees and delegate agencies in all 50 states, Washington, DC, and Puerto Rico. Programs that were very new, migrant, or tribal or that offered Early Head Start only were excluded. Geographic grantee clusters were developed using a minimum of eight grantees/delegate agencies per cluster, and the clusters were grouped into 25 strata using state pre-K and childcare policy, child race/ethnicity, urban/rural location and region as stratifiers. One cluster was selected per strata with probability proportional to size (N=261 grantees/delegate agencies). Next, the eligibility of grantees/delegate agencies in each cluster was determined. Those that were closed or merged and those that were saturated (have very few children in the community who are not served) were excluded. Remaining grantees/delegate agencies within the clusters were then stratified based on grantee/delegate agency characteristics including local contextual variables. Three grantees/delegate agencies were randomly selected from each cluster. These grantees/delegate agencies were contacted for participation in the study and the list of centers operating within these grantees/delegate agencies in 2002–2003 was compiled. Center eligibility was determined by excluding saturated centers and combining small centers with nearby centers to create center groups. Using the same stratification characteristics as used for the grantees/delegate agencies, approximately three centers were selected from each grantee/delegate agency based on proportional probabilities (i.e., larger centers have greater chance of selection). The final sample included 378 centers within 84 grantees/delegate agencies. Once the centers were selected,

random assignment of children within these centers resulted in 2,829 children in the treatment group and 1,921 children in the comparison group for a total of 4,750 children.

Children selected were considered part of one of two cohorts. Cohort one included children who were 3-years-old in the 2002–2003 school year. Cohort one will be followed through 2005–2006, when they will have reached first grade. Cohort two consists of children who were 4-years-old during the 2002–2003 school year, and thus are moving into kindergarten in the 2003–2004 school year. Cohort two will be followed through their first grade year in 2004–2005.

Periodicity

The My Child's Relationship With Me Scale (Pianta, 1992) was included in the spring 2003 parent interview and is proposed for inclusion in subsequent spring parent interviews.

Subscales/Components

The first year of data collection is complete but subscales are not yet available.

Procedures for Administration

The My Child's Relationship With Me Scale (Pianta, 1992) was included in the in-person, parent/primary caregiver interview. Respondents were most often, though not solely, the child's mother.

Psychometrics/Data Quality

Psychometric data for the study is not yet available.

Languages Available

Parent interview protocols are available in both Spanish and English. If the respondent does not speak English or Spanish, an interpreter translates the instrument into the respondent's native language.

Items Included

A full listing of items cannot be given because of copyright restraints. A sample item follows:

For each of the following statements, please tell me how much it currently applies to your relationship with your child. Would you say definitely does not apply, not really, neutral or not sure, applies sometimes, or definitely applies.

I share an affectionate, warm relationship with my child.
My child and I always seem to be struggling with each other.
If upset, my child will seek comfort from me.

References and Source Documents

CTB Macmillan/McGraw-Hill. (1990). *Developing Skills Checklist*. Monterey, CA: CTB/McGraw-Hill.

FACES Research Team. Head Start Quality Research Consortium. from Achenbach, T. S. (unpublished). Discriminant analysis of Child Behavior Checklist for National Center of Health Statistics, 1996. Burlington, VT: Center for Children, Youth, and Families, Universities of Vermont.

Lutz, M.N., Fantuzzo, J.F., & McDermott, P. (2002). Multidimensional assessment of emotional and behavioral adjustment problems of low-income preschool children: development and initial validation. *Early Childhood Research Quarterly,* 17(3), 338–355.

Pianta, R. C. (2001). *Student-teacher relationship scale*. Lutz, FL: Psychological Assessment Resources, Inc.

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INTERNALIZING/EXTERNALIZING BEHAVIOR PROBLEMS

NATIONAL HEAD START IMPACT STUDY

Measure: Student-Teacher Relationship Scale

Background

The Student-Teacher Relationship Scale (Pianta, 2001) is a 15-item, teacher-reported measure of closeness, dependency, and conflict between child and teacher or caregiver.

The Head Start Impact Study is funded by the Administration for Children and Families in the U.S. Department of Health and Human Services. Westat (prime contractor) conducts the study in collaboration with the Urban Institute, the American Institutes for Research, and Decisions Information Resources (subcontractors).

Population Assessed

The Head Start Impact Study involves 4,750 (2,829 treatment and 1,921 control) 3- and 4-year-old newly entering Head Start–eligible preschool children across 84 nationally representative grantees and delegate agencies in communities where there are more eligible children and families than can be served by the program. Of the 4,750 children selected for the study, approximately 42 percent are Hispanic; 27 percent, Black; 28 percent, White; and 3 percent, other. Sixty-six percent of the children speak English as their primary language, 31 percent speak Spanish, and 3 percent speak a language other than Spanish or English. Gender is evenly split on the child sample.

The sample selection process began by including all fiscal year 1999–2000 Head Start grantees and delegate agencies in all 50 states, Washington, DC, and Puerto Rico. Programs that were very new, migrant, or tribal or that offered Early Head Start only were excluded. Geographic grantee clusters were developed using a minimum of eight grantees/delegate agencies per cluster, and the clusters were grouped into 25 strata using state pre-K and childcare policy, child race/ethnicity, urban/rural location and region as stratifiers. One cluster was selected per strata with probability proportional to size (N=261 grantees/delegate agencies). Next, the eligibility of grantees/delegate agencies in each cluster was determined. Those that were closed or merged and those that were saturated (have very few children in the community who are not served) were excluded. Remaining grantees/delegate agencies within the clusters were then stratified based on grantee/delegate agency characteristics including local contextual variables. Three grantees/delegate agencies were randomly selected from each cluster. These grantees/delegate agencies were contacted for participation in the study and the list of centers operating within these grantees/delegate agencies in 2002–2003 was compiled. Center eligibility was determined by excluding saturated centers and combining small centers with nearby centers to create center groups. Using the same stratification characteristics as used for the grantees/delegate agencies, approximately three centers were selected from each grantee/delegate agency based on proportional probabilities (i.e., larger centers have greater chance of selection). The final sample included 378 centers within 84 grantees/delegate agencies. Once the centers were selected,

random assignment of children within these centers resulted in 2,829 children in the treatment group and 1,921 children in the comparison group for a total of 4,750 children.

Children selected were considered part of one of two cohorts. Cohort one included children who were 3-years-old in the 2002–2003 school year. Cohort one will be followed through 2005–2006, when they will have reached first grade. Cohort two consists of children who were 4-years-old during the 2002–2003 school year, and thus are moving into kindergarten in the 2003–2004 school year. Cohort two will be followed through their first grade year in 2004–2005.

Periodicity

The Student-Teacher Relationship Scale (Pianta, 2001) was part of the self-administered Teacher/Care Provider Child Report forms given in the spring of 2003 and it is proposed for inclusion in subsequent spring surveys.

Subscales/Components

The first year of data collection is complete, but subscales are not yet available. The scale is a 15-item measure of closeness, dependency, and conflict.

Procedures for Administration

The Student-Teacher Relationship Scale is included within the self-administered surveys given to the child's teacher/care provider.

Psychometrics/Data Quality

Psychometric data for the study is not yet available.

Languages Available

Teacher/Care Provider Child Report forms are available in English and Spanish.

Items Included

A full listing of items cannot be given because of copyright restraints. A sample item follows:

Below is a series of statements about your relationship with this child. For each statement, please circle the number of the category (i.e., definitely does not apply, not really, neutral or not sure, applies sometimes, or definitely applies) that most applies to your relationship with him/her.

I share an affectionate, warm relationship with this child.
This child and I always seem to be struggling with each other.
If upset, this child will seek comfort from me.

References and Source Documents

CTB Macmillan/McGraw-Hill. (1990). *Developing Skills Checklist*. Monterey, CA: CTB/McGraw-Hill.

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INTERNALIZING/EXTERNALIZING BEHAVIOR PROBLEMS

NATIONAL HEAD START IMPACT STUDY

Measure: Adjustment Scale for Preschool Intervention

Background

The behavior scales generated from the Adjustment Scale for Preschool Intervention (ASPI; Lutz, Fantuzzo, & McDermott, 2002) can be used to tap aggressive or withdrawn/low energy behavior, social reticence, and oppositional and inattentive/hyperactive behavior problems. The ASPI uses the teacher/caregiver as the respondent.

The Head Start Impact Study is funded by the Administration for Children and Families in the U.S. Department of Health and Human Services. Westat (prime contractor) conducts the study in collaboration with the Urban Institute, the American Institutes for Research, and Decisions Information Resources (subcontractors).

Population Assessed

The Head Start Impact Study involves 4,750 (2,829 treatment and 1,921 control) 3- and 4-year-old newly entering Head Start–eligible preschool children across 84 nationally representative grantees and delegate agencies in communities where there are more eligible children and families than can be served by the program. Of the 4,750 children selected for the study, approximately 42 percent are Hispanic; 27 percent, Black; 28 percent, White; and 3 percent, other. Sixty-six percent of the children speak English as their primary language, 31 percent speak Spanish, and 3 percent speak a language other than Spanish or English. Gender is evenly split on the child sample.

The sample selection process began by including all fiscal year 1999–2000 Head Start grantees and delegate agencies in all 50 states, Washington, DC, and Puerto Rico. Programs that were very new, migrant, or tribal or that offered Early Head Start only were excluded. Geographic grantee clusters were developed using a minimum of eight grantees/delegate agencies per cluster, and the clusters were grouped into 25 strata using state pre-K and childcare policy, child race/ethnicity, urban/rural location and region as stratifiers. One cluster was selected per strata with probability proportional to size (N=261 grantees/delegate agencies). Next, the eligibility of grantees/delegate agencies in each cluster was determined. Those that were closed or merged and those that were saturated (have very few children in the community who are not served) were excluded. Remaining grantees/delegate agencies within the clusters were then stratified based on grantee/delegate agency characteristics including local contextual variables. Three grantees/delegate agencies were randomly selected from each cluster. These grantees/delegate agencies were contacted for participation in the study and the list of centers operating within these grantees/delegate agencies in 2002–2003 was compiled. Center eligibility was determined by excluding saturated centers and combining small centers with nearby centers to create center groups. Using the same stratification characteristics as used for the grantees/delegate agencies, approximately three centers were selected from each grantee/delegate agency based on proportional probabilities (i.e., larger centers have greater chance of selection). The final sample

included 378 centers within 84 grantees/delegate agencies. Once the centers were selected, random assignment of children within these centers resulted in 2,829 children in the treatment group and 1,921 children in the comparison group for a total of 4,750 children.

Children selected were considered part of one of two cohorts. Cohort one included children who were 3-years-old in the 2002–2003 school year. Cohort one will be followed through 2005–2006, when they will have reached first grade. Cohort two consists of children who were 4-years-old during the 2002–2003 school year, and thus are moving into kindergarten in the 2003–2004 school year. Cohort two will be followed through their first grade year in 2004–2005.

Periodicity

The ASPI (Lutz, Fantuzzo, & McDermott, 2002) was included as part of the self-administered Teacher/Care Provider Child Report forms given in the spring of 2003. It will be used in the spring of 1994 and is proposed for inclusion in subsequent spring surveys.

Subscales/Components

The first year of data collection is complete, but subscales are not yet available. The ASPI is a 24-item measure that assesses children's emotional and behavioral problems.

Procedures for Administration

The ASPI (Lutz, Fantuzzo, & McDermott, 2002) was included within the self-administered surveys given to the child's teacher/ care provider.

Psychometrics/Data Quality

Reported internal reliabilities are based on what was reported by the measure authors:

Aggressive behavior—0.92
Withdrawn/low energy—0.85
Socially reticent—0.79
Oppositional—0.78
Inattentive/hyperactive—0.79

Languages Available

Teacher/Care Provider Child Report forms are available in English and Spanish.

Items Included

A full listing of items cannot be given because of copyright restraints. Sample items follow:

After each question in bold print, there are several different descriptions of behavior. Circle the number for any description that fits the child over the past month or two. For each

question, circle as many descriptions as apply to the child. Please circle the number of the description even if only one example applies to the child.

How does this child greet you as the teacher/care provider?

Greets as most other children do.
Waits for you to greet him/her first.
Does not greet you even after you greet him/her.
Seems too unconcerned about people to greet.
Welcomes you loudly.
Responds with an angry look or turns away.
Clings to you.

Does this child pay attention in the classroom/child care setting?

Generally listens well.
Talks, gazes around, plays with things.
Sits so quietly you don't know if he/she is attending or not.
Lacks interest, "just sits".
Appears to live in a dream world.

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INTERNALIZING/EXTERNALIZING BEHAVIOR PROBLEMS

NATIONAL HEAD START IMPACT STUDY

Measure: Classroom Observation Record

Background

The Classroom Observation Record (COR; High Scope Educational Research Foundation, 1992) is a teacher rated, observational assessment of a wide array of normative child behavior (e.g., language, mathematics, social relations, creative representation, and music and movement). It is not used as a clinical tool for diagnosing behavior problems, but is a criterion-referenced assessment of normative social development, and low scores may be indicative of possible social problems.

The Head Start Impact Study is funded by the Administration for Children and Families in the U.S. Department of Health and Human Services. Westat (prime contractor) conducts the study in collaboration with the Urban Institute, the American Institutes for Research, and Decisions Information Resources (subcontractors).

Population Assessed

The Head Start Impact Study involves 4,750 (2,829 treatment and 1,921 control) 3- and 4-year-old newly entering Head Start-eligible preschool children across 84 nationally representative grantees and delegate agencies in communities where there are more eligible children and families than can be served by the program. Of the 4,750 children selected for the study, approximately 42 percent are Hispanic; 27 percent, Black; 28 percent, White; and 3 percent, other. Sixty-six percent of the children speak English as their primary language, 31 percent speak Spanish, and 3 percent speak a language other than Spanish or English. Gender is evenly split on the child sample.

The sample selection process began by including all fiscal year 1999–2000 Head Start grantees and delegate agencies in all 50 states, Washington, DC, and Puerto Rico. Programs that were very new, migrant, or tribal or that offered Early Head Start only were excluded. Geographic grantee clusters were developed using a minimum of eight grantees/delegate agencies per cluster, and the clusters were grouped into 25 strata using state pre-K and childcare policy, child race/ethnicity, urban/rural location and region as stratifiers. One cluster was selected per strata with probability proportional to size (N=261 grantees/delegate agencies). Next, the eligibility of grantees/delegate agencies in each cluster was determined. Those that were closed or merged and those that were saturated (have very few children in the community who are not served) were excluded. Remaining grantees/delegate agencies within the clusters were then stratified based on grantee/delegate agency characteristics including local contextual variables. Three grantees/delegate agencies were randomly selected from each cluster. These grantees/delegate agencies were contacted for participation in the study and the list of centers operating within these grantees/delegate agencies in 2002–2003 was compiled. Center eligibility was determined by excluding saturated centers and combining small centers with nearby centers to create center groups. Using the same stratification characteristics as used for the grantees/delegate agencies,

approximately three centers were selected from each grantee/delegate agency based on proportional probabilities (i.e., larger centers have greater chance of selection). The final sample included 378 centers within 84 grantees/delegate agencies. Once the centers were selected, random assignment of children within these centers resulted in 2,829 children in the treatment group and 1,921 children in the comparison group for a total of 4,750 children.

Children selected were considered part of one of two cohorts. Cohort one included children who were 3-years-old in the 2002–2003 school year. Cohort one will be followed through 2005–2006, when they will have reached first grade. Cohort two consists of children who were 4-years-old during the 2002–2003 school year, and thus are moving into kindergarten in the 2003–2004 school year. Cohort two will be followed through their first grade year in 2004–2005.

Periodicity

The COR (High Scope Educational Research Foundation, 1992) was part of the self-administered Teacher/Care Provider Child Report forms given in the spring of 2003. The same instrument will be used for the 3-year-old cohort in spring 2004.

Subscales/Components

The first year of data collection is complete, but subscales are not yet available. Five items in the COR are related to socio-emotional behavior.

Procedures for Administration

The teacher/care provider rated each child on five items related to socio-emotional behavior from COR (High Scope Educational Research Foundation, 1992). Two items are on problem solving and initiative and three items are on social relations. The same instrument will be used for the 3-year old cohort in spring 2004.

Psychometrics/Data Quality

Psychometric data for the study is not yet available.

Languages Available

Teacher/Care Provider Child Report forms are available in English and Spanish.

Items Included

A full listing of items cannot be given because of copyright restraints. Sample items follow:

Please circle the number below the one item that best describes how well the child solves problems. (Time frame is within the past week. A glossary of sample behaviors is provided.)

Child does not yet identify problems.

Child identifies problems, but does not try to solve them, turning instead to another activity.
Child uses one method to try to solve a problem, but if unsuccessful, gives up after one or two tries.
Child shows some persistence, trying several alternative methods to solve a problem.
Child tries alternative methods to solve a problem and is highly involved and persistent.

Please circle the number below the one item that best describes how well this child makes friends with other children. (Time frame is within the past week. A glossary of sample behaviors is provided.)

Child does not yet identify classmates or other children by name.
Child identifies some the children by name and occasionally talks about them.
Child identifies a classmate or another child as a friend.
Child is identified by a classmate or another child as a friend.
Child appears to receive social support form a friend and shows loyalty to the friend.

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INTERNALIZING/EXTERNALIZING BEHAVIOR PROBLEMS

NATIONAL HEAD START IMPACT STUDY

Measure: Assessor Ratings of Child

Background

Assessors rated child behavior during the individual child assessments for a wide array of behaviors, including aspects of measure persistence, attention span, body movement, attention to directions, and rapport, all possible indicators of aspects related to internalizing/externalizing.

The Head Start Impact Study is funded by the Administration for Children and Families in the U.S. Department of Health and Human Services. Westat (prime contractor) conducts the study in collaboration with the Urban Institute, the American Institutes for Research, and Decisions Information Resources (subcontractors).

Population Assessed

The Head Start Impact Study involves 4,750 (2,829 treatment and 1,921 control) 3- and 4-year-old newly entering Head Start–eligible preschool children across 84 nationally representative grantees and delegate agencies in communities where there are more eligible children and families than can be served by the program. Of the 4,750 children selected for the study, approximately 42 percent are Hispanic; 27 percent, Black; 28 percent, White; and 3 percent, other. Sixty-six percent of the children speak English as their primary language, 31 percent speak Spanish, and 3 percent speak a language other than Spanish or English. Gender is evenly split on the child sample.

The sample selection process began by including all fiscal year 1999–2000 Head Start grantees and delegate agencies in all 50 states, Washington, DC, and Puerto Rico. Programs that were very new, migrant, or tribal or that offered Early Head Start only were excluded. Geographic grantee clusters were developed using a minimum of eight grantees/delegate agencies per cluster, and the clusters were grouped into 25 strata using state pre-K and childcare policy, child race/ethnicity, urban/rural location and region as stratifiers. One cluster was selected per strata with probability proportional to size (N=261 grantees/delegate agencies). Next, the eligibility of grantees/delegate agencies in each cluster was determined. Those that were closed or merged and those that were saturated (have very few children in the community who are not served) were excluded. Remaining grantees/delegate agencies within the clusters were then stratified based on grantee/delegate agency characteristics including local contextual variables. Three grantees/delegate agencies were randomly selected from each cluster. These grantees/delegate agencies were contacted for participation in the study and the list of centers operating within these grantees/delegate agencies in 2002–2003 was compiled. Center eligibility was determined by excluding saturated centers and combining small centers with nearby centers to create center groups. Using the same stratification characteristics as used for the grantees/delegate agencies, approximately three centers were selected from each grantee/delegate agency based on proportional probabilities (i.e., larger centers have greater chance of selection). The final sample included 378 centers within 84 grantees/delegate agencies. Once the centers were selected,

random assignment of children within these centers resulted in 2,829 children in the treatment group and 1,921 children in the comparison group for a total of 4,750 children.

Children selected were considered part of one of two cohorts. Cohort one included children who were 3-years-old in the 2002–2003 school year. Cohort one will be followed through 2005–2006, when they will have reached first grade. Cohort two consists of children who were 4-years-old during the 2002–2003 school year, and thus are moving into kindergarten in the 2003–2004 school year. Cohort two will be followed through their first grade year in 2004–2005.

Periodicity

Child assessments were conducted in the fall and spring of the first year of the study and will be continued in the spring of each year through the child's first grade year. For cohort one, the duration of data collection is from the 2002–2003 school year when the children were in Head Start through the 2005–2006 year of first grade. Because cohort two children were a year older at the study's inception, the final child assessments will take place during the 2004–2005 school year.

Subscales/Components

The first year of data collection is complete, but subscales are not yet available.

Procedures for Administration

Assessors rated children on a variety of behaviors at the end of each child assessment, including attention, measure persistence, body movement, and rapport, which could be used to indicate possible behavior problems.

Psychometrics/Data Quality

Psychometric data for the study is not yet available.

Languages Available

Assessor Ratings are in English in all child assessment versions.

Items Included

A full listing of items cannot be given because of copyright restraints. Sample items follow:

Task persistence
- Persists with task
- Attempts task briefly
- Attempts task after much encouragement
- Refuses

Attention to directions

Listens carefully to entire direction
Attends only to brief directions
Plunges ahead after hearing only portion
Plunges ahead immediately

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INTERNALIZING/EXTERNALIZING BEHAVIOR PROBLEMS

NATIONAL SURVEY OF CHILD AND ADOLESCENT WELL-BEING

Measure: Youth Self Report-Syndrome and Total Problems Scale

Background

The Youth Self Report (YSR) was developed by Achenbach (1991c) and is similar to Achenbach's Child Behavior Checklist in structure and content, but is based on youth self-report rather than caregiver report.

The NSCAW was funded and administered by the Administration on Children, Youth, and Families and the U.S. Department of Health and Human Services. The study has been conducted through collaboration among staff at the Research Triangle Institute, the University of North Carolina at Chapel Hill, Caliber Associates, and the University of California at Berkeley.

Population Assessed

Children ages 11 and older were assessed using the YSR. Overall, the two NSCAW sample components are made up of 6,227 children; 5,501 of those children had contact with the child welfare system within the 15-month period beginning in October 1999. At the time of sampling, the children ranged in age from birth to 14 years old; infants, children who have been abused sexually, and children who are receiving services were oversampled. The results of the survey can be generalized to the population that comes in contact with the child welfare system in the United States. A total of 1,401 children were assessed with the YSR at Wave 1, and 1,466 children were assessed at Wave 3.

The child protective services and long-term foster care sample components were fairly evenly distributed across the various child age categories from birth to age 14. At the time of the Wave 1 interview, just under 30 percent of the children fell under age 2 Another 21.6 percent fell between the ages of 2and 5 Around 27 percent of the sample of children fell between the ages of 6and 10. And 22 percent of the child sample fell between the ages of 11 and 14 at the time of the initial interview.

The racial and ethnic make-up of the combined child sample was diverse. American Indians made up 6.2 percent of the sample; Asian, Hawaiian, or other Pacific Islanders made up 2.4 percent of the sample; 35.7 percent of the sample was African American or Black; 49.6 percent of the sample was White. Across these racial groups, 17.3 percent were classified as being of Hispanic ethnic background. (See survey description for more information on the population.)

Periodicity

Data for the YSR were collected at Wave 1 between November 15, 1999 and April 30, 2001, and for Wave 3, between April 1, 2001, and September 30, 2002. The YSR is also included in Wave 4 data collection, which should be complete by March 31, 2004.

Subscales/Components

NSCAW used the Syndrome and Total Problems scales of the YSR.

Procedures for Administration

The YSR-Syndrome and Total Problems Scale are administered to children ages 11 or older, with computer-assisted personal interview. Administration takes approximately 11 minutes.

Psychometrics/Data Quality

The psychometric information provided below is based on a normative sample of children ages 11 to 18 (see Achenbach, 1991c).

One-week test-retest reliabilities were as follows: .79 for Total Problems, .81 for Externalizing, and .80 for Internalizing.

The 7-month test-retest reliabilities were as follows: .56 for Total Problems, .49 for Externalizing, and .52 for Internalizing.

Cronbach's alpha ranged from .59 (for Withdrawn Syndrome) to .95 (for Total Problems).

Languages Available

The questionnaire module was administered in English and Spanish.

Items Included

Items are not provided due to copyright issues (see Achenbach, 1991c).

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Some of the references listed below were cited in source documents if they were not readily available.

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INTERNALIZING/EXTERNALIZING BEHAVIOR PROBLEMS

NATIONAL SURVEY OF CHILD AND ADOLESCENT WELL-BEING

Measure: Teacher Report Form on student behavior

Background

The Teacher Report Form (TRF) is used in the National Survey of Child and Adolescent Well-Being (NSCAW) to measure child behavior. The TRF is nearly identical to the Youth Behavior Checklist (Achenbach 1991a) and includes the same subscales of problem syndromes. However, the questions are re-worded for teachers, as opposed to caregivers, as respondents,.

The NSCAW was funded and administered by the Administration on Children, Youth, and Families and the U.S. Department of Health and Human Services. The study has been conducted through collaboration between staff at the Research Triangle Institute, the University of North Carolina at Chapel Hill, Caliber Associates, and the University of California at Berkeley.

Population Assessed

The Teacher Survey Instrument is administered to teachers of children in kindergarten through grade 12 (children ages 5 to 18) who were not home schooled. Overall, the two NSCAW sample components are made up of 6,227 children; 5,501 of those children had contact with the child welfare system within a 15-month period beginning in October 1999. At the time of sampling, the children ranged in age from birth to 14 years old; infants, children who have been abused sexually, and children who are receiving services were oversampled. The results of the survey can be generalized to the population that comes in contact with the child welfare system in the United States. Using the TRF, data were collected for 1,269 children at Wave 1 and 1,633 children at Wave 3.

The child protective services and long-term foster care sample components were fairly evenly distributed across the various child age categories from birth to age 14. At the time of the Wave 1 interview, just under 30 percent of the children fell under age 2. Another 21.6 percent fell between the ages of 2 and 5. Around 27 percent of the sample of children fell between the ages of 6 and 10. And 22 percent of the child sample fell between the ages of 11 and 14 at the time of the initial interview.

The racial and ethnic make-up of the combined child sample was diverse. American Indians made up 6.2 percent of the sample; Asian, Hawaiian, or other Pacific Islanders made up 2.4 percent of the sample; 35.7 percent of the sample was African American or Black; 49.6 percent of the sample was White. Across these racial groups, 17.3 percent were classified as being of Hispanic ethnic background. (See survey description for more information on the population.)

Periodicity

Data for the TRF were collected at Wave 1 between November 15, 1999, and April 30, 2001, and Wave 3, between April 1, 2001, and September 30, 2002. The TRF is also included in Wave 4 data collection, which should be complete by March 31, 2004.

Subscales/Components

The TRF is nearly identical to the Youth Report Form and includes the same subscales of problem syndromes. The Total Problems Scale is made up of eight subscales (syndromes), including Withdrawn, Somatic Complaints, Anxious/Depressed, Social Problems, Thought Problems, Attention Problems, Delinquent Problems, Aggressive Behavior, and Other Problems. Internalizing problems contain somatic complaints, anxiousness/depression, and withdrawn syndromes. Externalizing problems contain aggressive behavior and delinquent syndromes.

Procedures for Administration

Teachers completed TRFs for children ages 5 to 18 years. The TRF is a pencil and paper questionnaire that was mailed to K–12 teachers (excluding home-school instructors). Because it is a self-administered questionnaire, administration time is not available.

Psychometrics/Data Quality

The 15-day test-retest reliability was found to be high, using a sample of 44 children: .95 for Total Problems, .91 for Internalizing behaviors, and .92 for Externalizing behaviors.

Construct validity was also found to be good, with correlations ranging from .80 to .83 for a set of TRF subscales and similar Conners Revised Teacher Rating Scales.

Using a representative standardization sample of 1,391 children ages 5 to 18, the TRF was found to be of high quality. Test-retest reliability, for the total scale and various subscales, ranged from .87 (for internalizing) to .97 (for externalizing).

Languages Available

The TRF was provided only in English.

Items Included

The 112 items are not provided because of copyright issues.

Note: The TRF is nearly identical to the CBCL (which is copyrighted) and includes the same subscales of problem syndromes.

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Some of the references listed below were cited in source documents if they were not readily available.

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INTERNALIZING/EXTERNALIZING BEHAVIOR PROBLEMS

NATIONAL SURVEY OF CHILD AND ADOLESCENT WELL-BEING

Measure: Youth Behavior Checklist

Background

The Youth Behavior Checklist, developed by Achenbach (1991a, 1991b), is widely used to measure internalizing and externalizing behaviors, and problem behaviors more broadly. Two versions of the Youth Behavior Checklist are used in the National Survey of Child and Adolescent Well-Being (NSCAW), one for caregivers of children ages two to three and another for caregivers of children ages four to 18.

The NSCAW was funded and administered by the Administration on Children, Youth, and Families and the U.S. Department of Health and Human Services. The study has been conducted through collaboration between staff at the Research Triangle Institute, the University of North Carolina at Chapel Hill, Caliber Associates, and the University of California at Berkeley.

Population Assessed

The respondent to the Youth Behavior Checklist were the current caregivers for children ages two to three and for children ages four to 18. Overall, the two NSCAW sample components are made up of 6,227 children; 5,501 of those children had contact with the child welfare system within the 15-month period beginning in October 1999. At the time of sampling, the children ranged in age from birth to 14 years old; infants, children who have been abused sexually, and children who are receiving services were oversampled.. The results of the survey can be generalized to the population that comes in contact with the child welfare system in the United States. The number of caregiver reports obtained with the Youth Behavior Checklist varied by child age, with 759 and 715 2- to 3-year-old children being assessed at Wave 1 and Wave 3, respectively. For the older children, Wave 1 data were collected for 3,839 children between the ages of 4 and 18, and for Wave 3 data were collected for 2,939 children.

The child protective services and long-term foster care sample components were fairly evenly distributed across the various child age categories from birth to age 14. At the time of the Wave 1 interview, just under 30 percent of the children fell under age 2. Another 21.6 percent fell between the ages of 2 and 5. Around 27 percent of the sample of children fell between the ages of 6 and 10. And 22 percent of the child sample fell between the ages of 11 and 14 at the time of the initial interview.

The racial and ethnic make-up of the combined child sample was diverse. American Indians made up 6.2 percent of the sample; Asian, Hawaiian, or other Pacific Islanders made up 2.4 percent of the sample; 35.7 percent of the sample was African American or Black; 49.6 percent of the sample was White. Across these racial groups, 17.3 percent were classified as being of Hispanic ethnic background. (See survey description for more information on the population.)

Periodicity

Data for the Youth Behavior Checklist were collected at Wave 1 between November 15, 1999, and April 30, 2001, and Wave 3, between April 1, 2001 and September 30, 2002. The Youth Behavior Checklist is also included in Wave 4 data collection, which should be complete by March 31, 2004.

Subscales/Components

The Total Problems Scale is made up of eight subscales (syndromes), including withdrawn, somatic complaints, anxiousness/depression, social problems, thought problems, attention problems, delinquent problems, aggressive behavior, and other problems. Internalizing problems contain somatic complaints, anxiousness/depression, and withdrawn syndromes. Externalizing problems contain aggressive behavior and delinquent syndromes.

Procedures for Administration

Separate measures were administered to parents or current caregivers of children ages of 2 to 3, versus those 4 to 18. A 100-item checklist was used for parents or current caregivers of the younger group, while the caregivers of children between the ages 4 to 18 received a 113-item checklist. (The Behavior Problem Index [BPI] was administered at Wave 2 in place of the checklist). Administration time varied greatly between the two waves of collection in which it was used, around 11 to 12 minutes for Wave 1 and 3 to 6 minutes for Wave 3.

Psychometrics/Data Quality

The psychometric information provided below is based on a sample of 368 predominantly White children ages 2 to 3 who were representative of different social classes; psychometric information is also available based on a racially mixed sample of 2,368 children ages 4 to 18 (Achenbach, 1991a, 1991b).

Inter-rater reliability was found to be very high (.96) based on an intraclass correlation coefficient.

Construct validity was found to be fairly good with problem subscales correlating from .59 to .88 with similar scales measuring problem behaviors (such as the Parent Questionnaire, ACQ Behavior Checklist, and the Quay-Peterson Revised Behavior Problem Checklist).

Cronbach's alpha was .96 for the Total Problems scale.

Languages Available

The questionnaire modules were administered in English and Spanish.

Items Included

Items for the Youth Behavior Checklist are not provided due to copyright issues (Achenbach, 1991a, 1991b).

The BPI is administered at Wave 2 in place of the checklist. No further information about BPI items is provided in documentation readily available. However, a later options document for the Panel Study of Income Dynamics does contain documentation on the BPI.

References and Source Documents

Some of the references listed below were cited in source documents if they were not readily available.

Achenbach, T.M. (1991a). *Manual for the child behavior checklist 2–3 and 1991 profile*. Burlington: Department of Psychiatry, University of Vermont.

Achenbach, T. (1991b). *Manual for the child behavior checklist 4–18 and 1991 profile*. Burlington: Department of Psychiatry, University of Vermont.

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Asher, S., & Wheeler, V. (1985). Children's loneliness: A comparison of rejected and neglected peer status. *Journal of Consulting and Clinical Psychology, 53*(4), 500–505.

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INTERNALIZING/EXTERNALIZING BEHAVIOR PROBLEMS

NATIONAL SURVEY OF CHILD AND ADOLESCENT WELL-BEING

Measure: Children's Depression Inventory

Background

The Children's Depression Inventory (CDI) was designed to measure children's depression by asking about their experiences of having certain feelings, such as sadness, as well as their engagement in certain activities (Dowd et al., 2002; Kovacs, 1992).

The National Survey of Child and Adolescent Well-Being (NSCAW) was funded and administered by the Administration on Children, Youth, and Families and the U.S. Department of Health and Human Services. The study has been conducted through collaboration between staff at the Research Triangle Institute, the University of North Carolina at Chapel Hill, Caliber Associates, and the University of California at Berkeley.

Population Assessed

Children ages seven to 17 were assessed using the CDI. Overall, the two NSCAW sample components are made up of 6,227 children; 5,501 of those children had contact with the child welfare system within the 15-month period beginning in October 1999. At the time of sampling, the children ranged in age from birth to 14 years old; infants, children who have been abused sexually, and children who are receiving services were oversampled. The results of the survey can be generalized to the population that comes in contact with the child welfare system in the United States. The CDI was given to 2,663 children in Wave 1 and 2,533 children in Wave 3.

The child protective services and long-term foster care sample components were fairly evenly distributed across the various child age categories from birth to age 14. At the time of the Wave 1 interview, just under 30 percent of the children fell under age 2. Another 21.6 percent fell between the ages of 2 and 5. Around 27 percent of the sample of children fell between the ages of 6 and 10. And 22 percent of the child sample fell between the ages of 11 and 14 at the time of the initial interview.

The racial and ethnic make-up of the combined child sample was diverse. American Indians made up 6.2 percent of the sample; Asian, Hawaiian, or other Pacific Islanders made up 2.4 percent of the sample; 35.7 percent of the sample was African American or Black; 49.6 percent of the sample was White. Across these racial groups, 17.3 percent were classified as being of Hispanic ethnic background. (See survey description for more information on the population.)

Periodicity

Data for the CDI were collected at Wave 1 between November 15, 1999 and April 30, 2001, and Wave 3, between April 1, 2001, and September 30, 2002. The CDI is also included in Wave 4 data collection, which should be complete by March 31, 2004.

Subscales/Components

Five factors of depressive symptoms include negative mood, ineffectiveness, anhedonia, interpersonal problems, and negative self-esteem.

Procedures for Administration

Children ages 7 to 17 are assessed using the CDI. Computer-assisted personal interviewing is used to ask respondents a set of questions about certain feelings that they may have experienced and certain activities they have participated in. The CDI takes between 5 and 7 minutes to administer.

Psychometrics/Data Quality

The psychometric information provided below is based on a normative sample that was made up of children ages 7 to 16 from public high schools in Florida (Kovacs, 1992). Children falling at or above the 91st percentile for their gender and age group were classified as depressed using the CDI (Kovacs, 1992).

Based on a set of studies conducted from 1983 to 1991, internal consistency has been of good quality. Cronbach's alpha ranged from .71 to .86.

Cronbach's alpha for five subscales (factors)—negative mood, interpersonal problems, ineffectiveness, anhedonia, and negative self-esteem—were less robust, ranging from .59 to .68.

Test-retest reliability in this set of studies ranged from .38 to .87 depending on the sample and the time interval between tests.

Concurrent validity was established with the Coopersmith Self-Esteem Inventory (-.67 for boys; -.72 for girls).

Languages Available

The questionnaire module was administered only in English according to the publisher's requirements.

Items Included

Kids sometimes have certain feelings and ideas. Which one of these sentences comes closest to saying how you have felt in the past 2 weeks?

I am sad once in a while.
I am sad many times.
I am sad all the time.

Nothing will ever work out for me.
I am not sure if things will work out for me.
Things will work out for me o.k.

I do most things o.k.
I do many things wrong.
I do everything wrong.

I have fun in many things.
I have fun in some things.
Nothing is fun at all.

I am bad all the time.
I am bad many times.
I am bad once in a while.

I think about bad things happening to me once in a while.
I worry that bad things will happen to me.
I am sure that terrible things will happen to me.

I hate myself.
I do not like myself.
I like myself.

All bad things are my fault.
Many bad things are my fault.
Bad things are not usually my fault.

I do not think of killing myself.
I think about killing myself but I would not do it.
I want to kill myself.

Have you had these thoughts in the past 2 weeks?

Yes
No

Do you have a plan to carry out these thoughts?

Yes
No

I feel like crying every day.
I feel like crying many days.
I feel like crying once in a while.

Things bother me all the time.
Things bother me many times.
Things bother me once in a while.

I like being with people.
I do not like being with people many times.
I do not like being with people at all.

Things bother me all the time.
Things bother me many times.
Things bother me once in a while.

I like being with people.
I do not like being with people many times.
I do not want to be with people at all.

I cannot make up my mind about things.
It is hard to make up my mind about things.
I make up my mind about things easily.

I look o.k.
There are some bad things about my looks.
I look ugly.

I have to push myself all the time to do my schoolwork.
I have to push myself many times to do my schoolwork.
Doing schoolwork is not a big problem.

I have trouble sleeping every night.
I have trouble sleeping many nights.
I sleep pretty well.

I am tired once in a while.
I am tired many days.
I am tired all the time.

Most days I do not feel like eating.
Many days I do not feel like eating.
I eat pretty well.

I do not worry about aches and pains.
I worry about aches and pains many times.
I worry about aches and pains all the time.

I do not feel alone.
I feel alone many times.
I feel along all the time.

I never have fun at school.
I have fun at school only once in a while.
I have fun at school many times.

I have plenty of friends.
I have some friends but I wish I had more.
I do not have any friends.
My schoolwork is alright.

My schoolwork is not as good as before.
I do very badly in subjects I used to be good in.

I can never be as good as other kids.
I can be as good as other kids if I want to.
I am just as good as other kids.

Nobody really loves me.
I am not sure if anybody loves me.
I am sure that somebody loves me.

I usually do what I am told.
I do not do what I am told most times.
I never do what I am told.

I get along with people.
I get into fights many times.
I get into fights all the time.

References and Source Documents

Some of the references listed below were cited in source documents if they were not readily available.

Achenbach, T.M. (1991a). *Manual for the child behavior checklist 2–3 and 1991 profile*. Burlington: Department of Psychiatry, University of Vermont.

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INTERNALIZING/EXTERNALIZING BEHAVIOR PROBLEMS

NATIONAL SURVEY OF CHILD AND ADOLESCENT WELL-BEING

Measure: Social Skills Rating System

Background

The Social Skills Rating System (SSRS) is widely used to measure problem behaviors and other social or emotional behaviors (Gresham & Elliott, 1990). The SSRS was modified for use in the National Survey of Child and Adolescent Well-Being (NSCAW) to further define which version of the SSRS was appropriate for administration to children in ambiguous situations (e.g., 5-year-old child who is also attending kindergarten). Three versions of the SSRS were given, based on the age of the child: one for children between the ages of 3 and 5, another for children between the ages of 6 and 10, and a third for children 11 years and older.

The NSCAW was funded and administered by the Administration on Children, Youth, and Families and the U.S. Department of Health and Human Services. The study has been conducted through collaboration between staff at the Research Triangle Institute, the University of North Carolina at Chapel Hill, Caliber Associates, and the University of California at Berkeley.

Population Assessed

Teachers and parents were surveyed about children ages 5 to 18. Overall, the two NSCAW sample components are made up of 6,227 children; 5,501 of those children had contact with the child welfare system within the 15-month period beginning in October 1999. At the time of sampling, the children ranged in age from birth to 14 years old; infants, children who have been abused sexually, and children who are receiving services were oversampled. The results of the survey can be generalized to the population that comes in contact with the child welfare system in the United States. Of the children, 1,030 between the ages of 3 and 5 were assessed with the SSRS at Wave 1 and 656 were assessed at Wave 3. For children between the ages of 6 and 10, 1,757 were assessed with the SSRS at Wave 1 and 1,919 were assessed at Wave 3. For those children eleven and older, 1,420 were assessed at Wave 1 and 1,265 were assessed at Wave 3.

The child protective services and long-term foster care sample components were fairly evenly distributed across the various child age categories from birth to age 14. At the time of the Wave 1 interview, just under 30 percent of the children fell under age 2. Another 21.6 percent fell between the ages of 2 and 5. Around 27 percent of the sample of children fell between the ages of six and 10. And 22 percent of the child sample fell between the ages of 11 and 14 at the time of the initial interview.

The racial and ethnic make-up of the combined child sample was diverse. American Indians made up 6.2 percent of the sample; Asian, Hawaiian, or other Pacific Islanders made up 2.4 percent of the sample; 35.7 percent of the sample was African American or Black; 49.6 percent of the sample was White. Across these racial groups, 17.3 percent were classified as being of Hispanic ethnic background. (See survey description for more information on the population.)

Periodicity

Data for the SSRS were collected at Wave 1 between November 15, 1999, and April 30, 2001, and Wave 3, between April 1, 2001, and September 30, 2002. The SSRS is also included in Wave 4 data collection, which should be complete by March 31, 2004.

Subscales/Components

The Problem Behaviors Scale includes externalizing and internalizing subscales.

The Social Skills Scale includes responsibility, cooperation, assertive, self-control subscales.

Procedures for Administration

Computer-assisted personal interviewing was used to administer the age-appropriate versions of the SSRS to parents or current caregivers of children; administration times were generally between 6 and 7 minutes, across collection waves and child age.

Psychometrics/Data Quality

The SSRS has been found to be of high psychometric quality for measuring behaviors for children ages 5 and older. The psychometric information provided below is based on a standardization sample of 4,170 children school-age children, 1,027 parents, and 259 teachers.

The internal consistency ranged from .73-.95

The test-retest reliability ranged from .84-.93 for teacher ratings; .65-.87 for parent ratings; and .68 for student ratings.

Criterion related validity:

Correlations between the social skills scale and the Social Behavior Assessment ranged from -.15 to -.73, with total scale correlations at -.68. The correlation between the Harter Teacher Rating Scale and the social skills scale was .70. The correlation between the social skills scale and the Child Behavior Checklist-Parent Report Form was .58.

Convergent validity:

Teacher-parent ratings of the social skills subscales for preschool-aged children ranged from .16 to .25, with coefficients found to be significant at the .02 level.

Languages Available

The questionnaire module was administered in English and Spanish.

Items Included

Because of copyright issues, actual items need to be sought from the manual or publisher (Gresham & Elliot, 1990).

References and Source Documents

Some of the references listed below were cited in source documents if they were not readily available.

Achenbach, T.M. (1991a). *Manual for the child behavior checklist 2–3 and 1991 profile*. Burlington: Department of Psychiatry, University of Vermont.

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INTERNALIZING/EXTERNALIZING BEHAVIOR PROBLEMS

NATIONAL SURVEY OF CHILD AND ADOLESCENT WELL-BEING

Measure: Loneliness and Social Dissatisfaction Questionnaire for Young Children

Background

The Loneliness and Social Dissatisfaction Questionnaire for Young Children was used to measure internalizing behavior problems and relationships with peers for children in the National Survey of Child and Adolescent Well-Being (NSCAW; Asher and Wheeler, 1985). A slightly modified version of the scale was used to measure peer relations for the NSCAW, specifically (Dowd, 2002).

The NSCAW was funded and administered by the Administration on Children, Youth, and Families and the U.S. Department of Health and Human Services. The study has been conducted through collaboration between staff at the Research Triangle Institute, the University of North Carolina at Chapel Hill, Caliber Associates, and the University of California at Berkeley.

Population Assessed

Children between the ages of 5 and 7, and children 8 and older were assessed using separate, age-appropriate versions of the Loneliness and Social Dissatisfaction Questionnaire for Young Children. Overall, the two NSCAW sample components are made up of 6,227 children; 5,501 of those children had contact with the child welfare system within the 15-month period beginning in October 1999. At the time of sampling, the children ranged in age from birth to 14 years old; infants, children who have been abused sexually, and children who are receiving services were oversampled. The results of the survey can be generalized to the population that comes in contact with the child welfare system in the United States. Wave 1 collection of the Loneliness and Social Dissatisfaction Questionnaire for 5- to 7-year-old children included 917 children, and the Wave 3 collection of the same age group consisted of 778 children. For the Loneliness and Social Dissatisfaction Questionnaire for children 8 years of age and older, Wave 1 consisted of 2,283 children and Wave 3 included 2,194.

The child protective services and long-term foster care sample components were fairly evenly distributed across the various child age categories from birth to age 14. At the time of the Wave 1 interview, just under 30 percent of the children fell under age 2. Another 21.6 percent fell between the ages of 2 and 5. Around 27 percent of the sample of children fell between the ages of 6 and 10. And 22 percent of the child sample fell between the ages of 11 and 14 at the time of the initial interview.

The racial and ethnic make-up of the combined child sample was diverse. American Indians made up 6.2 percent of the sample; Asian, Hawaiian, or other Pacific Islanders made up 2.4 percent of the sample; 35.7 percent of the sample was African American or Black; 49.6 percent of the sample was White. Across these racial groups, 17.3 percent were classified as being of Hispanic ethnic background. (See survey description for more information on the population.)

Periodicity

Data for the Loneliness and Social Dissatisfaction Questionnaire for Young Children were collected at Wave 1 between November 15, 1999, and April 30, 2001, and Wave 3, between April 1, 2001, and September 30, 2002. The questionnaire is also included in Wave 4 data collection, which should be complete by March 31, 2004.

Subscales/Components

The components of the Loneliness and Social Dissatisfaction Questionnaire for Young Children are as follows: Loneliness, Social Adequacy, Peer Status, Satisfaction of Important Relationships. A modified version of the scale was used to measure peer relations of children ages 5 and older. Slightly different versions of the questionnaires were used for children ages 5 to 7 and for children ages 8 and older.

Procedures for Administration

The Loneliness and Social Dissatisfaction Questionnaire for Young Children was included in the computer-assisted personal interview with the child. Administration time for these items was around 3 minutes, across child ages and waves of data collection.

Psychometrics/Data Quality

The psychometric information provided below is based on a standardization sample (see Asher & Wheeler, 1985).

The item-to-total score correlation ranged from .26 to .55. The internal reliability was .79. Low scores for validity were found; the study authors hypothesized that this resulted from children providing socially desirable responses.

Languages Available

The questionnaire module was administered in English and Spanish.

Items Included

RELATIONSHIPS WITH PEERS (Children age 5-7)

>Y_RP0FC<

[# IF AGE < 5 OR AGE > 7, GO TO Y_RPEND. IF Y_CH4e = TAUGHT AT HOME OR NEITHER, GO TO Y_RPEND. ELSE, CONTINUE.]

>Y_RP1<

USE CARD 2. For this next set of questions, pick [r] **one** [n] answer from this card. You can pick yes, no, or sometimes.

Is it easy for you to make new friends at school? Would you say...

Yes
No
Sometimes

F5 = NOT APPLICABLE (IF VOLUNTEERED NOT IN SCHOOL OR "HOME-SCHOOLED") [# GOTO Y_RREND] @a

>Y_RP2<

USE CARD 2. Do you have other kids to talk to at school? Would you say...

Yes
No
Sometimes
@a

>Y_RP3<

USE CARD 2. Are you good at working with other kids at school? (Would you say yes, no or sometimes?)

Yes
No
Sometimes
@a

>Y_RP4<

USE CARD 2. Is it hard for you to make friends at school? (Would you say yes, no or sometimes?)

Yes
No
Sometimes
@a

>Y_RP5<

USE CARD 2. Do you have lots of friends at school? (Would you say yes, no or sometimes?)

Yes
No
Sometimes
@a

>Y_RP6<

USE CARD 2. Do you feel alone at school? (Would you say yes, no or sometimes?)

Yes
No
Sometimes
@a

>Y_RP7<

USE CARD 2. Can you find a friend at school when you need one? (Would you say yes, no or sometimes?)

Yes
No
Sometimes
@a

>Y_RP8<

USE CARD 2. Is it hard to get kids in school to like you? (Would you say yes, no or sometimes?)

Yes
No
Sometimes
@a

>Y_RP9<

USE CARD 2. Do you have kids to play with at school? (Would you say yes, no or sometimes?)

Yes
No
Sometimes
@a

>Y_RP10<

USE CARD 2. Do you get along with other kids at school? (Would you say yes, no or sometimes?)

Yes
No
Sometimes
@a

>Y_RP11<

USE CARD 2. Do you feel left out of things at school? (Would you say yes, no or sometimes?)

Yes
No
Sometimes
@a

>Y_RP12<

USE CARD 2. Are there kids at school that you can go to when you need help? (Would you say yes, no or sometimes?)

Yes
No
Sometimes
@a

>Y_RP13<

USE CARD 2. Is it hard for you to get along with the kids at school? (Would you say yes, no or sometimes?)

Yes
No
Sometimes
@a

>Y_RP14<

USE CARD 2. Are you lonely at school? (Would you say yes, no or sometimes?)

Yes
No
Sometimes
@a

>Y_RP15<

USE CARD 2. Do the kids at school like you? (Would you say yes, no or sometimes?)

Yes
No
Sometimes
@a

>Y_RP16<

USE CARD 2. Do you have friends at school? (Would you say yes, no or sometimes?)

Yes
No
Sometimes
@a

>Y_RPEND<

RELATIONSHIPS WITH PEERS (Children age 8+)

>Y_RR0FC<
[# IF AGE < 8, GOTO Y_RREND. IF Y_CH4e = TAUGHT AT HOME OR NEITHER, GO TO Y_RREND. ELSE, CONTINUE.]

>Y_RR0<

USE CARD 3. Now I am going to read you different sentences and for each one I want you to tell me how often these things are true about you. For each sentence, pick one answer from this card.

For example, suppose I read the sentence "I like to do homework" and then I ask you "How often is this true about you?" If you never like to do homework, you would tell me "never". If you hardly ever like it, tell me "hardly ever". If you sometimes like it, tell me "sometimes". If you like it most of the time, tell me "most of the time". If you always like to do homework, tell me "always".

Never
Hardly ever
Sometimes
Most of the time
Always

F5 = NOT APPLICABLE (IF VOLUNTEERED NOT IN SCHOOL OR "HOME-SCHOOLED") [# GOTO Y_RREND]

@a

>Y_RR1<

USE CARD 3. It's easy for me to make new friends at school. How often is this true about you? Would you say...

Never
Hardly ever
Sometimes

Most of the time
Always
@a

>Y_RR2<

USE CARD 3. I have nobody to talk to at school. How often is this true about you? Would you say...

Never
Hardly ever
Sometimes
Most of the time, or
Always
@a

>Y_RR3<

USE CARD 3. I'm good at working with other kids at school. (How often is this true about you? Would you say never, hardly ever, sometimes, most of the time, or always true?)

Never
Hardly ever
Sometimes
Most of the time
Always
@a

>Y_RR4<

USE CARD 3. It's hard for me to make friends at school. (How often is this true about you? Would you say never, hardly ever, sometimes, most of the time, or always true?)

Never
Hardly ever
Sometimes
Most of the time
Always
@a

>Y_RR5<

USE CARD 3. I have lots of friends at school. (How often is this true about you? Would you say never, hardly ever, sometimes, most of the time, or always true?)

Never
Hardly ever
Sometimes

Most of the time
Always
@a

>Y_RR6<

USE CARD 3. I feel alone at school. (How often is this true about you? Would you say never, hardly ever, sometimes, most of the time, or always true?)

Never
Hardly ever
Sometimes
Most of the time
Always
@a

>Y_RR7<

USE CARD 3. I can find a friend when I need one. (How often is this true about you? Would you say never, hardly ever, sometimes, most of the time, or always true?)

Never
Hardly ever
Sometimes
Most of the time
Always
@a

>Y_RR8<

USE CARD 3. It's hard to get kids in school to like me. (How often is this true about you? Would you say never, hardly ever, sometimes, most of the time, or always true?)

Never
Hardly ever
Sometimes
Most of the time
Always
@a

>Y_RR9<

USE CARD 3. I don't have anyone to play with at school. (How often is this true about you? Would you say never, hardly ever, sometimes, most of the time, or always true?)

Never
Hardly ever
Sometimes

Most of the time
Always
@a

>Y_RR10<

USE CARD 3. I get along with other kids at school. (How often is this true about you? Would you say never, hardly ever, sometimes, most of the time, or always true?)

Never
Hardly ever
Sometimes
Most of the time
Always
@a

>Y_RR11<

USE CARD 3. I feel left out of things at school. (How often is this true about you? Would you say never, hardly ever, sometimes, most of the time, or always true?)

Never
Hardly ever
Sometimes
Most of the time
Always
@a

>Y_RR12<

USE CARD 3. There are no kids at school that I can go to when I need help. (How often is this true about you? Would you say never, hardly ever, sometimes, most of the time, or always true?)

Never
Hardly ever
Sometimes
Most of the time
Always
@a

>Y_RR13<

USE CARD 3. I don't get along with other kids at school. (How often is this true about you? Would you say never, hardly ever, sometimes, most of the time, or always true?)

Never
Hardly ever
Sometimes

Most of the time
Always
@a

>Y_RR14<

USE CARD 3. I'm lonely at school. (How often is this true about you? Would you say never, hardly ever, sometimes, most of the time, or always true?)

Never
Hardly ever
Sometimes
Most of the time
Always
@a

>Y_RR15<

USE CARD 3. I am well liked by the kids at school. (How often is this true about you? Would you say never, hardly ever, sometimes, most of the time, or always true?)

Never
Hardly ever
Sometimes
Most of the time
Always
@a

>Y_RR16<

USE CARD 3. I don't have any friends at school. (How often is this true about you? Would you say never, hardly ever, sometimes, most of the time, or always true?)

Never
Hardly ever
Sometimes
Most of the time
Always
@a

>Y_RREND<

The response categories to questions about whether young children sometimes feel lonely, inadequate, etc. were "yes," "no," and "sometimes."

References and Source Documents

Some of the references listed below were cited in source documents if they were not readily available.

Achenbach, T.M. (1991a). *Manual for the child behavior checklist 2–3 and 1991 profile*. Burlington: Department of Psychiatry, University of Vermont.

Achenbach, T. (1991b). *Manual for the child behavior checklist 4–18 and 1991 profile*. Burlington: Department of Psychiatry, University of Vermont.

Achenbach, T.M. (1991c). *Manual for the youth self-report and 1991 profile*. Burlington: Department of Psychiatry, University of Vermont.

Asher, S., & Wheeler, V. (1985). Children's loneliness: A comparison of rejected and neglected peer status. *Journal of Consulting and Clinical Psychology, 53*(4), 500–505.

Briere, J. (1996). *Trauma Symptom Checklist for Children: Professional Manual*. Florida: Psychological Assessment Resources, Inc.

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Gresham, F.M., & Elliott, S.N. (1990). *Social Skills Rating System*. Circle Pines, MN: American Guidance Service.

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INTERNALIZING/EXTERNALIZING BEHAVIOR PROBLEMS

NATIONAL SURVEY OF CHILD AND ADOLESCENT WELL-BEING

Measure: Trauma Symptom Checklist for Children

Background

The Trauma Symptom Checklist for Children (TSCC) was used to measure internalizing behaviors associated with post-traumatic stress for children in the National Survey of Child and Adolescent Well-Being (NSCAW; Briere, 1989).

The NSCAW was funded and administered by the Administration on Children, Youth, and Families and the U.S. Department of Health and Human Services. The study has been conducted through collaboration between staff at the Research Triangle Institute, the University of North Carolina at Chapel Hill, Caliber Associates, and the University of California at Berkeley.

Population Assessed

Children ages 8 and older were administered the PTSD section of the TSCC. Overall, the two NSCAW sample components are made up of 6,227 children; 5,501 of those children had contact with the child welfare system within the 15-month period beginning in October 1999. At the time of sampling, the children ranged in age from birth to 14 years old; infants, children who have been abused sexually, and children who are receiving services were oversampled. The results of the survey can be generalized to the population that comes in contact with the child welfare system in the United States. Wave 1 consisted of 2,339 children being assessed with the TSCC. Wave 3 included 2,255 children.

The child protective services and long-term foster care sample components were fairly evenly distributed across the various child age categories from birth to age 14. At the time of the Wave 1 interview, just under 30 percent of the children fell under age 2. Another 21.6 percent fell between the ages of 2 and 5. Around 27 percent of the sample of children fell between the ages of 6 and 10. And 22 percent of the child sample fell between the ages of 11 and 14 at the time of the initial interview.

The racial and ethnic make-up of the combined child sample was diverse. American Indians made up 6.2 percent of the sample; Asian, Hawaiian, or other Pacific Islanders made up 2.4 percent of the sample; 35.7 percent of the sample was African American or Black; 49.6 percent of the sample was White. Across these racial groups, 17.3 percent were classified as being of Hispanic ethnic background. (See survey description for more information on the population.)

Periodicity

Data for the TSCC were collected at Wave 1 between November 15, 1999, and April 30, 2001, and Wave 3, between April 1, 2001, and September 30, 2002. The TSCC is also included in Wave 4 data collection, which should be complete by March 31, 2004.

Subscales/Components

The subscales include anxiety, depression, post-traumatic stress, sexual concerns, dissociation, and anger. Only the PTSD section was administered in NSCAW.

Procedures for Administration

The TSCC was included the computer-assisted personal interview with the child, and the average administration time for these items was around 2 minutes.

Psychometrics/Data Quality

The psychometric information provided below is based on a sample of 3,008 children from three ethnically diverse, nonclinical samples in Illinois, Minnesota, and Colorado.

Internal consistency was high, with alphas ranging from .82 to .89.

Concurrent validity was tested with the CBCL and was found to be high (.72 to .80).

Reliability (using a standardization sample of 3,000 children in IL, CO, and MN) was found to be high (.87).

Convergent validity was found to be of good quality. CBCL youth report correlated with the post traumatic stress subscale at .75 at a $p<.01$ level.

Languages Available

The questionnaire module was administered in English and Spanish.

Items Included

The items are not provided in the documentation, by agreement with the publisher.

References and Source Documents

Some of the references listed below were cited in source documents if they were not readily available.

Achenbach, T.M. (1991a). *Manual for the child behavior checklist 2–3 and 1991 profile*. Burlington: Department of Psychiatry, University of Vermont.

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INTERNALIZING/EXTERNALIZING BEHAVIOR PROBLEMS

PANEL STUDY OF INCOME DYNAMICS, CHILD DEVELOPMENT SUPPLEMENT

Measure: Behavior Problems Index (BPI)

Background

The Behavior Problems Index (BPI) that is used in the Panel Study of Income Dynamics (PSID) was developed by James Peterson and Nicholas Zill to measure the incidence and severity of child behavior problems in a survey setting (Peterson & Zill, 1986). Many of the items are from the Achenbach Behavior Problems Checklist (Achenbach & Edelbrock, 1981). The same set of items used in the NLSY79 and was used in the PSID Child Development Supplement (CDS) to maximize comparability between the two data sets, though the PSID-CDS asked the questions from children ages 3 and older while the NLSY began the questions at age 4. A subset of these questions is also included in NLSY97, Wave I, and in the National Survey of American Families, and has been used in the National Health Interview survey. The BPI was included in questionnaires and interviews directed at various respondents (i.e., Primary Caregiver, Other Caregiver, Father Outside of Home, Preschool/Daycare Teacher, and Elementary/ Middle School Teacher). The BPI slightly differs by child age and respondent, though, the underlying constructs, remain the same. Further details are provided in the Items included section below.

Funding for the Child Development Supplement was provided primarily by the National Institute of Child Health and Human Development. Additional funding was provided by the William T. Grant Foundation, the Annie E. Casey Foundation, the U.S. Department of Agriculture, and the U.S. Department of Education. The National Science Foundation, along with the Department of Health and Human Services and the National Institute on Aging, also provided financial support. The Survey Research Center at the University of Michigan Institute for Social Research completed data collection.

Population Assessed

The Child Development Supplement targeted 2,390 eligible families: 1,140 (46 percent) White families, 997 (41 percent) Black families, 158 (7 percent) non-White, non-Black Hispanic families, 46 (2 percent) Asian families, 12 (<1 percent) Native American families, and 29 (3 percent) families of other nationalities. Primary caregivers of 3,586 children were interviewed. There were approximately an equal number of boys and girls. The PSID-CDS sample is stratified and the individual strata are weighted to be nationally representative (Hofferth, 1997). The PSID-CDS used the BPI with children ages 3 to 12, though the versions differed slightly by age.

Periodicity

The sample for this project was drawn from the 1997 PSID interviews. As interviews were completed for the 1997 PSID, households with children who were Family Unit members under the age of 13 were identified for inclusion in the PSID-CDS. The CDS portion of the PSID was repeated in 2001, and comparable items to the 1997 BPI were included in the Primary Caregiver Interview.

Subscales/Components

The PSID-CDS divided behaviors into two subscales, a measure of externalizing, aggressive behavior, and a measure of internalizing, withdrawn or sad behavior. Scores provided are raw scores on the scales. The BPI was selected for use in the PSID based on its use in the NLSY, and the NLSY added several items to the original BPI for additional measurement of withdrawn behaviors. The NLSY adaptations were included in the BPI version used in the PSID-CDS. A Total Behavior Problems scale was created in the PSID-CDS by summing the scores on the raw items with direction of scoring reversed (i.e., higher scores mean more problem behaviors), using the 30 items for all children. Separate scores could also be assessed for two subscales within those 30 items, the Internal, or Withdrawn, scale (13 items) and the External, or Aggressive, scale (16 items).

The BPI can also be broken into six behavioral subscales: antisocial, anxious/depressed, headstrong, hyperactive, immature/dependency, and peer conflict/social withdrawal.

Procedures for Administration

The administration of the BPI varied based on respondent. Primary caregivers were interviewed with the questionnaire face to face unless logistics did not permit. In those cases, interviews were conducted by telephone. Fathers outside of the home were interviewed by telephone. Other caregivers, preschool/daycare teachers, and elementary/middle school teachers were assessed with a self-administered questionnaires. Although the amount of time is not expressly stated, the BPI is estimated to take between 4 and 6 minutes to administer.

Psychometrics/Data Quality

The Total Behavior Problems Scale and the Externalizing and Internalizing subscales each showed strong internal reliabilities, .90, .86, and, .81, respectively. It appears that the data in which these coefficients are based are from a parental report, but it is unclear whether they came from the Primary Caregiver, Other Caregiver, or Father Outside of the Home questionnaire. No validity information is readily available.

Languages Available

Questionnaires are available in both English and Spanish.

Items Included

Items included are from PSID-CDS questionnaire for the BPI from the Primary Caregiver, Other Caregiver, and Father Outside of House questionnaire.

Items marked with an "E" are included within the Externalizing subscale; those marked with an "I" are included in the Internalizing subscale. All items are included in the Total Behavior Problems scale.

For the next set of statements, decide whether they are often true, sometimes true, or not true, according to (CHILD)'s behavior.

a. (He/She) has sudden changes in mood or feeling.(E)
b. (He/She) feels or complains that no one loves him/her. (I)
c. (He/She) is rather high strung and nervous. (E)
d. (He/She) cheats or tells lies. (E)
e. (He/She) is too fearful or anxious. (I)
f. (He/She) argues too much. (E)
g. (He/She) has difficulty concentrating, cannot pay attention for long. (E)
h. (He/She) is easily confused, seems to be in a fog. (I)
i. (He/She) bullies or is cruel or mean to others. (E)
j. (He/She) is disobedient. (E)
k. (He/She) does not seem to feel sorry after (he/she) misbehaves. (E)
l. (He/She)has trouble getting along with other children. (E) (I)
m. (He/She) is impulsive, or acts without thinking. (E)
n. (He/She) feels worthless or inferior. (I)
o. (He/She) is not liked by other children. (I)
p. (He/She) has difficulty getting (his/her) mind off certain thoughts. (I)
q. (He/She) is restless or overly active, cannot sit still. (E)
r. (He/She) is stubborn, sullen, or irritable. (E)
s. (He/She) has a very strong temper and loses it easily. (E)
t. (He/She) is unhappy, sad or depressed. (I)
u. (He/She) is withdrawn, does not get involved with others. (I)
v. (He/She) breaks things on purpose or deliberately destroys (his/her) own or another's things. (E)
w. (He/She) clings to adults.
x. (He/She) cries too much. (E)
y. (He/She) demands a lot of attention. (E)
z. (He/She) is too dependent on others. (I)
aa. (He/She) feels others are out to get (him/her). (I)
bb. (He/She) hangs around with kids who get into trouble.
cc. (He/She)is secretive, keeps things to (himself/herself). (I)
dd. (He/She)worries too much. (I)

For children in school:

Please tell me whether the next two statements about (CHILD) are often true, sometimes true, or not true.

a. (He/She) is disobedient at school.
b. (He/She) has trouble getting along with teachers

The Educator/ Home-Based caregiver versions of the BPI slightly differ from the Primary Caregiver, Other Caregiver, and Father Outside of House versions mentioned above. There are also small item level differences between Educator/Home-Based versions.

Home-Based Caregiver:

Items are identical, save lack of item j.): (He/She) is disobedient.

Preschool/ Daycare Teacher:

Adds the additional item "ee.) Makes excessive demands for teacher's attention"

Elementary/Middle School Teacher:

Adds an additional five items:

ee.) Makes excessive demands for teacher's attention
ff.) Is an academic underachiever and does (his/her) work only when forced to.
gg.) Simply goes through the motions in class
hh.) Appears to have given up, withdrawn from class activities, and only participates when made to do so.
ii.) Acts up in class.

References and Source Documents

Achenbach, T., & Edelbrock, C. (1981). Behavioral problems and competencies reported by parents of normal and disturbed children aged four through sixteen. *Monographs of the Society for Research in Child Development*, 46(1). (No. 188.)

Hofferth, S., Davis-Kean, P., Davis J., & Finkelstein, J. (1997). *Child Development Supplement to the Panel Study of Income Dynamics: 1997 User Guide*. Retrieved June 6, 2003, from http://www.isr.umich.edu/src/child-development/usergd.html

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http://www.isr.umich.edu/src/child-development/home.html

INTERNALIZING/EXTERNALIZING BEHAVIOR PROBLEMS

PANEL STUDY OF INCOME DYNAMICS, CHILD DEVELOPMENT SUPPLEMENT

Measure: Item level information regarding problem behaviors.

Background

The purpose of the Child Development Supplement (CDS) to the Panel Study of Income Dynamics (PSID) is to provide researchers with a comprehensive, nationally representative, and longitudinal database of children and their families with which to study the dynamic process of early human capital formation.

In 1997, the Child Development Supplement was added as a supplement to the PSID, which is an ongoing longitudinal survey of a representative sample of American men, women, children, and the families in which they reside. Data on employment, wealth, income, housing, food expenditures, transfer income, and marital and fertility behavior have been collected by the PSID since 1968. Item-level information regarding problem behaviors is in both the Primary Caregiver, Preschool/Daycare Teacher and Elementary/Middle School Teacher questionnaires.

Funding for the CDS was provided primarily by the National Institute of Child Health and Human Development. Additional funding was provided by the William T. Grant Foundation, the Annie E. Casey Foundation, the U.S. Department of Agriculture, and the U.S. Department of Education. The National Science Foundation, along with the Department of Health and Human Services and the National Institute on Aging, also provided financial support. The Survey Research Center at the University of Michigan Institute for Social Research completed data collection.

Population Assessed

The Child Development Supplement targeted 2,390 eligible families: 1,140 (46 percent) White families, 997 (41 percent) Black families, 158 (7 percent) non-White, non-Black Hispanic families, 46 (2 percent) Asian families, 12 (<1 percent) Native American families, and 29 (3 percent) families of other nationalities. Primary caregivers of 3,586 children were interviewed. There were approximately an equal number of boys and girls. The PSID-CDS sample is stratified and the individual strata are weighted to be nationally representative (Hofferth, 1997). The PSID-CDS used the BPI with children ages 3 to 12, though the versions differed slightly, with the school-age children receiving an additional two items pertaining to problems that occur in school.

Periodicity

The sample for this project was drawn from the 1997 PSID interviews. As interviews were completed for the 1997 PSID, households with children who were Family Unit members under the age of 13 were identified for inclusion in the PSID-CDS. The CDS portion of the PSID was repeated in 2001, and comparable items to the 1997 were included in the 2001 update.

Subscales/Components

Not applicable.

Procedures for Administration

Items varied by respondent. Primary caregivers were interviewed with the questionnaire face to face unless logistics did not permit. In those cases interviews were done over the phone. Preschool/Daycare teachers, and elementary/middle school teachers were assessed with a self-administered questionnaires.

Psychometrics/Data Quality

This information is not readily available.

Languages Available

Questionnaires are available in both English and Spanish.

Items Included

Primary Caregiver questionnaire items are as follows:

A24. Had (CHILD) ever seen a psychiatrist, psychologist, doctor, or counselor about an emotional, mental or behavioral problems? (YES or NO)

A24a. When was the last time (CHILD) was seen by a psychiatrist, psychologist, doctor, or counselor about an emotional, mental or behavioral problem? (Open-ended)

From the Preschool/ Daycare and Elementary/Middle School questionnaires, respectively:

A22. Since September 1996, did (Target CHILD) have behavior discipline problems at this program which resulted in the target student's parents being sent a note or being asked to come and talk with the teacher or director?

A22a. Did this just happen once?;

A24. In this school year, did (Target CHILD) have behavior discipline problems at this program which resulted in the target student's parents being sent a note or being asked to come and talk with the teacher or director?

A24a. Did this just happen once?

References and Source Documents

Achenbach, T., & Edelbrock, C. (1981). Behavioral problems and competencies reported by parents of normal and disturbed children aged four through sixteen. *Monographs of the Society for Research in Child Development*, 46(1). (No. 188.)

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http://www.isr.umich.edu/src/child-development/home.html

INTERNALIZING/EXTERNALIZING BEHAVIOR PROBLEMS

NATIONAL SURVEY OF AMERICA'S FAMILIES

Measure: Child Behavior and Emotional Problems Scale

Background

The Child Behavior and Emotional Problems Scale within the Issues, Problems, Social Services section of the National Survey of America's Families (NSAF) interview, measures aspects of both internalizing and externalizing behaviors collectively and is thus considered a more general measure of behavior problems. The Child Behavior and Emotional Problems Scale consists of nine items selected from the original measure, the Child Behavior Checklist (CBCL; NHIS, 1997), an often-used, parent-rated measure of child and adolescent socio-emotional problems. Six items are used for each focal child.

These particular items were selected because they were used as the socio-emotional indicators for the National Health Interview Survey (NHIS) and were identified as "providing the best discrimination between demographically similar children referred and not referred for mental health services" (Ehrle & Moore, 1997, 4–2).

NSAF is a part of the Urban Institute's Assessing the New Federalism project and was developed and conducted in partnership with Child Trends, Inc. The first round of the study was funded by 16 different foundations, and data collection was administered by Westat.

Population Assessed

The NSAF is a representative survey of the noninstitutionalized, civilian population of persons under age 65 in the nation as a whole and in 13 states. Three of the nine behavior problem items were asked of all children under the age of 18, whereas two other three-question sets were age dependent. That is, parents of children in each age group of children (i.e., 6 to11 and 12 to17) were each asked six questions. The original scale in the NHIS used gender differentiated scoring. The NSAF did not make a gender differentiation and scored only by age.

Periodicity

Three rounds of data have been collected: 1997, 1999, and 2002.

Subscales/Components

This information is not readily available.

Procedures for Administration

The major mode of data collection was through one-on-one, computer-assisted telephone interviews (CATI). To ensure that those without phone-service were represented, a smaller sample of homes without phones was obtained, and phones were provided. The interview format required the "Most Knowledgeable Adult" (MKA) to respond to statements regarding specific child behaviors over the past month as being "often true," "sometimes true," or "never true." The time needed to administer these items is not expressly stated, but is estimated at 2 to 5 minutes, given the time needed for the full-length CBCL.

Psychometrics/Data Quality

Reliability

Internal reliability—Based on unweighted data, the scale had an alpha coefficient of .73 for children ages 6 to 11 and .75 for children ages 12 to 17.

Validity

Construct Validity—To access construct validity, the sample was broken into demographic groups that have been repeatedly associated with negative socioemotional outcomes for children and adolescents, and Child Behavior and Emotional Problems Scale scores were compared by group. For both age groups, the demographic groups' Child Behavior and Emotional Problems Scale scores differed substantially. Fourteen and 21 percent (6- to 11-year-old and 12- to 17-year-old age groups, respectively) of children of parents without a spouse and an income less than 50 percent of the poverty line showed high emotional/behavioral problem ratings, compared to 4 percent and 5 percent among children of married parents with incomes of at least 200 percent above the poverty line. Similarly, 16 percent and 30 percent of children whose parents did not have a high school diploma and who received welfare showed high levels of emotional/behavioral problems, for 6- to 11-year-old and 12- to 17-year-old age groups, respectively. Rates for children of parents with college degrees and not receiving welfare were much lower: 4 percent and 6 percent. This illustrates that this scale is concurrent with relationships generally found in the literature and warrants including in an intervention or environmental variation study that is interested in this outcome.

Missing Data and Variability of Data

Missing data was minimal at both the scale and item level. Scale scores could be derived for 98.2% of the sample of MKAs in the 6- to 11-year-old group, and individual item response rates ranged from 97.57 percent to 98.17 percent. This was similar for the MKAs within the 12- to 17-year-old group, with 97.4 percent of the sample earning a scale score. Item level response was also high, ranging from 97.02 percent to 98.16 percent.

The distribution was slightly skewed to the positive end. This is to be expected from a parent report measure.

Languages Available

The survey is available in Spanish and English.

Items Included

Items from the NSAF interview follow:

Survey Section: Issues, Problems, Social Services

To parent:

Q N3: I am going to read a list of items that sometimes describe children. For each item please tell me if it has been often true, sometimes, true, or never true for the child in the past month (children of both age groups).

- doesn't get along with other kids
- can't concentrate or pay attention for long
- has been unhappy, sad, or depressed

QN4: I am going to read a list of items that sometimes describe children. For each item please tell me if it has been often true, sometimes, true, or never true for the child in the past month (only 6- to 11-year-olds).

- feels worthless of inferior
- has been nervous, high strung, or tense
- acts too young for his/her age

QN5: I am going to read a list of items that sometimes describe children. For each item please tell me if it has been often true, sometimes, true, or never true for the child in the past month (only 12- to 17-year-olds).

- has trouble sleeping
- lies or cheats
- does poorly at school work

References and Source Documents

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INTERNALIZING/EXTERNALIZING BEHAVIOR PROBLEMS

NATIONAL LONGITUDINAL SURVEY OF YOUTH, 1997

Measure: Behavior and Emotional Problems Scale

Background

The measure of behavioral and emotional problems of the National Longitudinal Survey of Youth, 1997 (NLSY97) uses a set of six items developed as an indicator of children's mental health for the National Health Interview Survey (NHIS). Four were asked of or about girls and four asked of or about boys, with two items overlapping. The items have also been used in the National Survey of America's Families (NSAF), though in the NSAF, all items were asked of both genders (Ehrle & Moore, 1999). The items for the behavioral and emotional problems (NHIS and NSAF) indicator were selected from the Child Behavior Checklist, a standardized questionnaire used to obtain parent's ratings of their children's problems and competencies (Achenbach & Edelbrock, 1987).

The Bureau of Labor Statistics, U.S. Department of Labor, is the primary sponsor of the NLSY97. Additional funding was received from the U.S. Department of Defense, the U.S. Department of Justice, the U.S. Department of Education, and the National Institute of Child Health and Human Development.

Population Assessed

The NLSY97 baseline cohort has been weighted to be a nationally representative sample of youth between the ages of 12 and 16. Parents responded to items for youth within the entire age range of the cohort. Approximately, 89 percent of parents of participating youth were available to be interviewed. The sample was 51.2 percent male and 48.8 percent female. Blacks and Hispanics were oversampled for ethnic/racial variation, and many of the youth resided within the same household (e.g., were siblings).

Periodicity

The NLSY97 data collection is ongoing and fielded annually. The youth questionnaire is the primary questionnaire of the study and is continually fielded. The parent questionnaire was fielded only in the first round of data collection.

Subscales/Components

This information is not readily available.

Procedures for Administration

The items within the Behavioral and Emotional Problems Scale—Youth Report are part of the self-administered portion of the youth questionnaire. This portion used an audio computer-assisted self-interview. The e youth questionnaire takes approximately 1 hour to administer; however, only four brief questions are in the Behavioral and Emotional Problems Scale.

The items within the Behavioral and Emotional Problems Scale—Parent Report are part of the Child Family portion of the parent questionnaire. Reporters were youth respondents between the ages of 12 and 14 and their parents. The mode of administration for this portion of the questionnaire was computer-assisted personal interview. The setting is one on one, and the measure takes less than 1 minute to administer.

Psychometrics/Data Quality

The responses to the four scale items were summed. Higher scores indicate more frequent and/or numerous behavior and/or emotional problems.

The Behavioral and Emotional Problems Scale was created for each of the following four combinations of gender and respondent.

1. Behavioral and Emotional Problems Scale for Girls—Youth Report
2. Behavioral and Emotional Problems Scale for Boys—Youth Report
3. Behavioral and Emotional Problems Scale for Girls—Parent Report
4. Behavioral and Emotional Problems Scale for Boys—Parent Report

Each combination will be examined individually.

Reliability

Measure	Cronbach's Alpha
Behavioral and Emotional Problems Scale for Girls—Youth Report	0.53
Behavioral and Emotional Problems Scale for Boys—Youth Report	0.51
Behavioral and Emotional Problems Scale for Girls—Parent Report	0.57
Behavioral and Emotional Problems Scale for Boys—Parent Report	0.65

Note. From NLSY97 Codebook Supplement Main File Round 1. Appendix 9: Family Process and Adolescent Outcome Measures (pp. 127–135) by Child Trends, Inc., and Center for Human Resource Research, The Ohio State University, 1999. Reprinted with permission.

Validity

Construct Validity—Youth Report

T-tests compared mean scores, adjusted for youth's age and gender, on parent report of Behavioral and Emotional Problems for the top and bottom thirds of youth report of Behavioral and Emotional Problems.

Youth who reported more behavior problems also had parents who reported more behavior problems for their youth.

Means, standard errors, and t-values are reported in the following table.

Mean Score for Parent Report of Behavioral and Emotional Problems by Youth Report of Behavioral and Emotional Problems (More vs. Fewer Behavior Problems)

	Fewer Behavior Problems	More Behavior Problems	T-Value
Behavioral and Emotional Problems for Girls (Parent Report) (range: 0-8)	0.64 (0.07)	1.90 (0.06)	12.78***
Behavioral and Emotional Problems for Boys (Parent Report) (range: 0-8)	1.06 (0.09)	2.38 (0.06)	11.59***

p-levels are ≤ 0.10=+, ≤0.05=*, ≤0.01=**, ≤0.001=***
Note. From NLSY97 Codebook Supplement Main File Round 1. Appendix 9: Family Process and Adolescent Outcome Measures (pp. 127–135), by Child Trends, Inc., and Center for Human Resource Research, The Ohio State University, 1999. Reprinted with permission.

Construct Validity—Parent Report

T-tests compared mean scores, adjusted for youth's age and gender, on youth report of Behavioral and Emotional Problems for the top and bottom thirds of parent report of Behavioral and Emotional Problems.

Parents who reported "more behavior problems" had youth who reported more behavior problems.

Means, standard errors, and t-values are reported in the following table.

Mean Scores for Youth Report of Behavior and Emotional Problems by Parent Report Behavior and Emotional Problems (More vs. Fewer Behavior Problems)

	Fewer Behavior Problems	More Behavior Problems	T-Value
Behavioral and Emotional Problems for Girls (Youth Report) (range: 0-8)	1.44 (0.06)	3.09 (0.09)	15.51***
Behavioral and Emotional Problems for Boys (Youth Report) (range: 0-8)	1.56 (0.06)	2.83 (0.07)	13.40***

p-levels are ≤ 0.10=+, ≤0.05=*, ≤0.01=**, ≤0.001=***
Note. From NLSY97 Codebook Supplement Main File Round 1. Appendix 9: Family Process and Adolescent Outcome Measures (pp. 127–135), by Child Trends, Inc., and Center for Human Resource Research, The Ohio State University, 1999. Reprinted with permission.

Predictive Validity—Youth Report

T-tests compared means, adjusted for youth's age and gender, on the family process and adolescent outcome variables listed in the table below for the top and bottom thirds of youth report of Behavioral and Emotional Problems.

Youth who reported more behavior problems also reported higher instances of substance use and delinquency.

Means, standard errors, and t-values are reported in the following table.

Mean Score for Youth Behavior Problems
by Youth Report of Substance Abuse and Delinquency
(More vs. Fewer Behavior Problems)

	Fewer Behavior Problems	**More Behavior Problems**	**T-Value**
Youth Report of Substance Use (Girls) (range: 0-3)	0.27 (0.05)	1.10 (0.03)	15.28***
Youth Report of Delinquency (Girls) (range: 0-3)	0.24 (0.06)	1.38 (0.04)	15.20***
Youth Report of Substance Use (Boys) (range: 0-3)	0.40 (0.04)	1.05 (0.03)	12.17***
Youth Report of Delinquency (Boys) (range: 0-3)	0.59 (0.08)	2.12 (0.05)	15.74***

p-levels are ≤ 0.10=+, ≤0.05=*, ≤0.01=**, ≤0.001=***
Note. From NLSY97 Codebook Supplement Main File Round 1. Appendix 9: Family Process and Adolescent Outcome Measures (pp. 127–135), by Child Trends, Inc., and Center for Human Resource Research, The Ohio State University, 1999. Reprinted with permission.

Other evidence suggesting validity includes t-tests comparing means, adjusted for youth's age and gender, using the youth report of Behavioral and Emotional Problems for two poverty categories, less than 50 percent of the poverty level and greater than 200 percent of the poverty level.

Girls living in families with incomes greater than 200 percent of the poverty line reported fewer behavior problems than girls living in families with incomes less than 50 percent of the poverty line. Parents of youth living in families with incomes greater than 200 percent of the poverty line reported fewer behavior problems for youth than parents of families with incomes less than 50 percent of the poverty line. There is not strong evidence that youth report of behavior problems for boys differed by poverty level.

Mean Scores for Parent Report of Behavioral and Emotional Problems for Girls by Poverty Level (<50 percent vs. ≥200 percent)

	<50 percent Poverty Level	>200 percent of Poverty Level	T-Value
Behavioral and Emotional Problems for Girls (Youth report) (range: 0-8)	2.31 (0.07)	1.95 (0.06)	-3.79***
Behavioral and Emotional Problems for Boys (Youth report) (range: 0-8)	2.21 (0.07)	2.06 (0.06)	-1.69+
Behavioral and Emotional Problems for Girls (Parent report) (range: 0-8)	1.55 (0.08)	1.07 (0.07)	-4.69***
Behavioral and Emotional Problems for Boys (Parent report) (range: 0-8)	2.00 (0.09)	1.61 (0.07)	-3.42***

p-levels are ≤ 0.10=+, ≤0.05=*, ≤0.01=**, ≤0.001=***

Note. From NLSY97 Codebook Supplement Main File Round 1. Appendix 9: Family Process and Adolescent Outcome Measures (pp. 127–135), by Child Trends, Inc., and Center for Human Resource Research, The Ohio State University, 1999. Reprinted with permission.

Missing Data and Variability of Data

If a respondent answered less than three questions, then a score was not calculated for the scale and was thus coded as missing data.

Measure	N	N missing	Mean	SD
Behavioral and Emotional Problems for Girls (Youth report) (range: 0-8)	2620	10	2.16	1.61
Behavioral and Emotional Problems for Boys (Youth report) (range: 0-8)	2808	8	2.13	1.57
Behavioral and Emotional Problems for Girls (Parent report) (range: 0-8)	1588	2	1.31	1.41
Behavioral and Emotional Problems for Boys (Parent report) (range: 0-8)	1719	3	1.77	1.65

Note. From NLSY97 Codebook Supplement Main File Round 1. Appendix 9: Family Process and Adolescent Outcome Measures (pp. 127–135), by Child Trends, Inc,. and Center for Human Resource Research, The Ohio State University, 1999. Reprinted with permission.

Languages Available

The parent and youth questionnaires can be administered in both English and Spanish.

Items Included

From the NLSY 1997 Parent and Youth Questionnaires, Behavioral and Emotional Problems Scale for Girls:

Items and response categories:

1. Your [Your child's] school work is poor.
2. You [Your child] have/has trouble sleeping.
3. You [Your child] lie/lies or cheats.
4. You [Your child] are/is unhappy, sad or depressed.

Responses were measured on a 3-point scale:
0=Not True
1=Sometimes True
2=Often True

From the NLSY 1997 Parent and Youth Questionnaires, Behavioral and Emotional Problems Scale for Boys:

Items and response categories:

1. You [Your child] have/has trouble concentrating or paying attention.
2. You [Your child] don't/doesn't get along with other kids.
3. You [Your child] lie/lies or cheats.
4. You [Your child] are/is unhappy, sad or depressed.

Responses were measured on a 3-point scale:
0=Not True
1=Sometimes True
2=Often True

References and Source Documents

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INTERNALIZING/EXTERNALIZING BEHAVIOR PROBLEMS

NATIONAL LONGITUDINAL STUDY OF ADOLESCENT HEALTH

Measure: Feelings Scale

Background

The Feelings Scale is found within the Adolescent In-Home Questionnaire of the National Longitudinal Study of Adolescent Health (Add Health). Items used to assess internalizing, specifically depression, are comparable to those used in the Center for Epidemiological Studies – Depression Scale (Radloff, 1977).

The primary funding of Add Health was from the National Institute of Child Health and Human Development. Seventeen other federal agencies also provided some funding. Quality Education Data, Inc., provided the database used to generate the random sample of U.S. schools. The National Opinion Research Center of the University of Chicago fielded Waves I and II of the study, while the Research Triangle Institute conducted the fieldwork for Wave III.

Population Assessed

Add Health is a nonexperimental, nationally representative longitudinal study of students in grades 7 through 12 in the United States in the 1994–1995 school year. Data were collected from the youth, their parents, siblings, friends, romantic partners, fellow students, and school administrators through multiple data collection components, including an adolescent in-school survey, adolescent in-home interview, parent in-home interview, and school administrator survey. All instruments were fielded in Wave I. Wave II included an adolescent in-home interview as well as telephone updates from the school administrator. Wave III consisted of only a respondent in-home interview. Available data also include picture vocabulary test scores, an in-school friendship network dataset, and information on the geographic location of households within the communities.

In addition to the core sample, the study also oversampled students from several special subgroups, including disabled youth, Chinese, Cuban, and Puerto Rican adolescents, as well as Black youth from high socioeconomic status families. Families were considered to be of high socioeconomic status if at least one parent held a college degree. In addition, the study oversampled adolescents living together within one household. This group is referred to as the "genetic sample" and includes oversamples of twins, half- and step-siblings, and non-related pairs. Some of the adolescents selected from this over-sampled group did not attend one of the original 80 high schools or 52 middle schools, but were recruited because they resided with an adolescent that did attend one of those 132 schools.

Section 10 of the Adolescent In-Home Questionnaire, the Feelings Scale, was administered to all respondents to collect information about their current emotional state.

Periodicity

All instruments were fielded in Wave I, between September 1994 and December 1995. Wave II, fielded approximately 1 year later (during 1996) included an adolescent in-home interview as well as telephone updates from the school administrator. Wave III consisted only of a respondent in-home interview. It was fielded approximately 6 years after Wave II, during 2001–2002.

Subscales/Components

This information is not readily available.

Procedures for Administration

The Feelings Scale was reported by the adolescent. In-home adolescent questionnaires were administered by a computer-assisted personal interview. The Feelings Scale takes about 4 to 6 minutes to administer.

Psychometrics/Data Quality

This information is not readily available.

Languages Available

Information regarding availability in non-English materials is not readily available.

Items Included

Response categories for the full set of questions are as follows:

1. You were bothered by things that usually don't bother you.

0 never or rarely
1 sometimes
2 a lot of the time
3 most of the time or all of the time

2. You didn't feel like eating, your appetite was poor
3. You felt that you could not shake off the blues, even with help from your family and your friends.
4. You felt that you were just as good as other people.
5. You had trouble keeping your mind on what you were doing.
6. You felt depressed.
7. You felt that you were too tired to do things.

8. You felt hopeful about the future.
9. You thought your life had been a failure.
10. You felt fearful.
11. You were happy
12. You talked less than usual.
13. You felt lonely.
14. People were unfriendly to you.
15. You enjoyed life.
16. You felt sad.
17. You felt that people disliked you.
18. It was hard to get started doing things
19. You felt life was not worth living.

References and Source Documents

Radloff, L. S. (1977). The CES-D scale: A self-report depression scale for research in the general population. *Applied Psychological Measurement, 1*, 385-401.

Carolina Population Center (1998). *National Longitudinal Study of Adolescent Health: In School Questionnaire Code Book.* University of North Carolina at Chapel Hill.

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http://www.cpc.unc.edu/projects/addhealth/

INTERNALIZING/EXTERNALIZING BEHAVIOR PROBLEMS

NATIONAL LONGITUDINAL STUDY OF ADOLESCENT HEALTH

Measure: Suicide—Audio Computer Assisted Self-Interview

Background

The Suicide Audio Computer Assisted Self-Interview (CASI) is available within the Adolescent In-Home Questionnaire of the National Longitudinal Study of Adolescent Health (Add Health).

Population Assessed

Add Health is a nonexperimental, nationally representative longitudinal study of students in grades 7 through 12 in the United States in the 1994–1995 school year. Data were collected from the youth, their parents, siblings, friends, romantic partners, fellow students, and school administrators through multiple data collection components, including an adolescent in-school survey, adolescent in-home interview, parent in-home interview, and school administrator survey. All instruments were fielded in Wave I. Wave II included an adolescent in-home interview as well as telephone updates from the school administrator. Wave III consisted of only a respondent in-home interview. Available data also include picture vocabulary test scores, in-school friendship network dataset, and information on the geographic location of households within the communities.

In addition to the core sample, the study also oversampled students from several special subgroups, including disabled youth, Chinese, Cuban, and Puerto Rican adolescents, as well as Black youth from high socioeconomic status families. Families were considered to be of high socioeconomic status if at least one parent held a college degree. In addition, the study oversampled adolescents living together within one household. This group is referred to as the "genetic sample" and includes oversamples of twins, half- and step-siblings, and non-related pairs. Some of the adolescents selected from this over-sampled group did not attend one of the original 80 high schools or 52 middle schools, but were recruited because they resided with an adolescent that did attend one of those 132 schools.

Periodicity

All instruments were fielded in Wave I between September 1994 and December 1995. Wave II, fielded approximately 1 year later (during 1996) included an adolescent in-home interview as well as telephone updates from the school administrator. Wave III consisted of only a respondent in-home interview. It was fielded approximately 6 years after Wave II, during 2001–2002.

Subscales/Components

This information is not readily available.

Procedures for Administration

The Suicide scale was reported by the adolescent. In-home adolescent questionnaires were administered by computer-assisted personal interview. Sensitive information, including this measure of suicidality, was administered by audio CASI. This measure takes about 4 to 5 minutes to administer.

Psychometrics/Data Quality

This information is not readily available.

Languages Available

This information is not readily available.

Items Included

Response categories for the full set of questions are as follows:

1. During the past 12 months, did you ever seriously think about suicide?
2. During the past 12 months, how many times did you attempt suicide?
3. Did any attempt result in injury, poisoning or overdose that had to be treated by a doctor or nurse?
4. Have any of your friends tried to kill themselves in the past 12 months?
5. Have any of them succeeded?
6. Have any of your family members tried to kill themselves during the past 12 months?
7. Have any of them succeeded?
8. How honestly have you answered the questions?

References and Source Documents

Radloff, L. S. (1977). The CES-D scale: A self-report depression scale for research in the general population. *Applied Psychological Measurement, 1*, 385–401.

Carolina Population Center (1998). *National Longitudinal Study of Adolescent Health: In School Questionnaire Code Book.* University of North Carolina at Chapel Hill.

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INTERNALIZING/EXTERNALIZING BEHAVIOR PROBLEMS

NATIONAL INSTITUTE OF CHILD HEALTH AND HUMAN DEVELOPMENT

STUDY OF EARLY CHILD CARE AND YOUTH DEVELOPMENT

Measure: Behavior and Emotional Problems Scales (includes Internalizing, Externalizing, and Total Behavior Problems, as well as more behavior specific subscales)

Background

The National Institute of Child Health and Human Development Study of Early Child Care and Youth Development (NICHD SECC-YD) used the Achenbach Child Behavior Checklist (CBCL) to measure behavior problems (Total, Externalizing, and Internalizing) longitudinally. The CBCL is a much-used measure of negative child behavior and is widely considered reliable and valid in the field. Two versions of the CBCL were used. Children were assessed with the CBCL for ages 2 to 3 (CBCL/2-3) at 24 and 36 months, and then assessed at 54 months and during their kindergarten year with the CBCL for ages 4 to 18 (CBCL/4-18).

The NICHD SECC-YD was initiated by and is funded by the NICHD and is directed by a steering committee and advisory board. The research team comprises researchers from a variety of child development and policy disciplines and represents over 24 institutions in the United States and London.

Population Assessed

The NICHD SECC-YD is not a nationally representative sample. Participants were recruited shortly after the birth of a child, in 10 sites across the United States. Within selected 24-hour periods, all women who had given birth in specific hospitals were screened for willingness to participate and eligibility. The conditional sampling plan for inclusion was based on the creation of a sample where 60 percent of mothers planned to work or go to school full-time in the child's first year, 20 percent planned to go part-time in the child's first year of life, and 20 percent planned to stay at home with their child. Families were also selected to reflect demographic diversity of the sites (e.g., economic, educational, and ethnic), and both single- and two-parent families were included. Families in which mothers were less than 18 years of age, planned on leaving the study site within 3 years, or were not conversant in English were excluded from the study. Families with children who were born with obvious physical or mental disabilities or who remained at the hospital for more than 7 days were also excluded from the study.

Of the original 8,986 women who were first approached in the hospitals at the time of their respective child's birth, 5,416 met the criteria and agreed to be contacted 2 weeks later, as well as

met eligibility requirements (see above). From this number, 3,015 women were "conditionally, randomly" sampled to meet proposed sample specifications (see above), and 1,526 met eligibility requirements and agreed to participate. When contacted, 1,364 mothers participated in the first round of data collection (NICHD Early Child Care Research Network, 1996, 1997, 2003a). The original sample was diverse, including 24 percent minority children. Similarly, maternal characteristics showed some variability, with 11 percent of mothers not completing high school, and 14 percent of the sample being composed of single mothers. On average, families showed incomes of 3.24 times the poverty rate (i.e., 1.0 being poverty). Because the NICHD SECC-YD is an ongoing, longitudinal study, some attrition was expected. From the original sample of 1,364 when the child was 1 month old, the most recent NICHD SECC publication reports that 1,058 (NICHD Early Child Care Research Network, 2003a) families were still involved in the study once the children had reached kindergarten. The most current available sample data (children in kindergarten) significantly differed from the sample at the study's inception when children were 1 month old. Mothers remaining in the sample when the children reached kindergarten were found to be more educated, more likely to have a husband, and less likely to be Black, non-Hispanic than those in the original sample. The remaining sample also showed a higher income-to-needs ratio.[2]

Periodicity

Maternal reported and caregiver/teacher reported CBCL/2-3 (that is, CBCL for children ages 2 to 3) questionnaires were given in their entirety when the children were at the ages of 24 (1993) and 36 (1994) months. The CBCL/4-18 was given at three time points and used multiple reporters. At 54 months (1996) and during the child's first-grade year, both maternal and paternal, as well as teacher reported CBCL questionnaires, were given. Only mother-reported CBCL scales were collected during the children's kindergarten year.

Subscales/Components

Both age versions of the CBCL have multiple scales. The most relevant to this construct are the CBCL summary scales, Internalizing, Externalizing, and Total Problem Behaviors, but various other behaviorally specific subscales can be derived when the CBCL is given in its entirety (i.e., emotionally reactive, anxious/depressed, somatic complaints, withdrawn, and aggressive behavior; sleep problems; ;affective problems; anxiety problems; pervasive developmental problems; attention deficit/hyperactivity problems; and oppositional defiant problems). The CBCL ratings, for which each of these subscales can be derived, were assessed at 24, 36, and 54 moths and at kindergarten and first grade.

Because of copyright restrictions, item-level information regarding which CBCL items were used for the Internalizing, Externalizing, and Total Behavior Problems scales in the NICHD SECC-YD cannot be reproduced. The NICHD SECC-YD probably used the specific items in the configuration suggested by the authors, which are available in the CBCL manuals (Achenbach & Rescorla, 2000b). The CBCL is a widely used measure of these constructs and is regarded as a reliable and valid measure of these constructs. A detailed review of reliability and validity

[2] Current comparisons are based on the most recent available sample characteristics to the original (statements about specific study analyses that may have occurred between these two points should be directed to the sample characteristics at the actual time of analyses).

information for the CBCL 1½-5 (an updated version of the CBCL/2-3) is available in the work by Bridges and colleagues (2003).

Procedures for Administration

Each version of the CBCL includes approximately 100 items, in which the caregiver/teacher, mother, and/or father (depending upon assessment point, see periodicity above) are required to answer questions regarding characteristic behavior of the child over the past 2 months. The location in which the CBCL was administered differed by point in time and reporter. At 24 and 36 months, mothers responded in the lab, while caregivers responded from the child care environment. At 54 months, mothers responded in the home, fathers in the lab, and caregivers in child care. In first grade the venue for mothers and fathers reversed, with mothers responding in the lab and fathers from home. Caregivers responded from the after-school care environment. For the kindergarten collection, mother report of the CBCL was classified as being obtained at an "Other" location (NICHD Early Child Care Research Network, 2003c). Although the NICHD SECC-YD does not state the amount of time needed, the CBCL manual reports that the CBCL takes between 10 and 15 minutes to administer (Achenbach & Rescorla, 2000a).

Psychometrics/Data Quality

Because of copyright restrictions and restricted access data, study-level psychometrics are not publicly available for the CBCL (NICHD Early Child Care Research Network, 2003c, 2003d) . All psychometric information on the CBCL is based on information available from the CBCL technical manual.

Reliability

The CBCL, based on manual information provided by the NICHD SECC-YD authors shows strong test-retest reliability (.71 -.93), and inter-parent agreement (.63 at age 2, .60 at age 3) for the 2–3 year version of the measure (NICHD Early Child Care Research Network, 2003b). It is unclear whether the cited test-retest correlations are across all subscales or the Total, Externalizing, and Internalizing scales, or whether inter-parent ratings differed across scales. Psychometrics for children at older ages are not summarized in the NICHD SECC-YD Phase II Instrument document, but are reported to be strong by the NICHD SECC documentation (NICHD Early Child Care Research Network, 2003c, 2003d). Consulting the CBCL/4-18 manual confirms this, showing inter-parent agreement ranging from .57 to.71 for Internalizing, .70 to .86 for Externalizing, and .69 to.82 for Total Problem Behaviors, across ages. (Achenbach, 1991).

Validity

The CBCL is widely used and is a reportedly highly valid measure of internalizing, externalizing, and problem behaviors (as well as the more specific problems assessed in the detailed subscales). The CBCL manual (based on more recent version of CBCL) reports strong evidence of convergent, discriminant, and predictive validity of the measure and has been useful in discriminating clinical levels of internalizing and externalizing problems from nonclinical (Achenbach & Rescorla, 2000b). Validity information based on the NICHD SECC sample is unavailable.

Languages Available

Available NICHD SECC-YD documentation does not note whether the CBCL was administered in any language other than English. However, the CBCL has been used in over 700 cross-cultural studies, spanning many languages (Achenbach System of Empirically Based Assessment, 2003).

Items Included

The data are restricted.

References and Source Documents

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http://secc.rti.org

INTERNALIZING/EXTERNALIZING BEHAVIOR PROBLEMS

NATIONAL INSTITUTE OF CHILD HEALTH AND HUMAN DEVELOPMENT

STUDY OF EARLY CHILD CARE AND YOUTH DEVELOPMENT

Measure: Internalizing and Externalizing

Background

The National Institute of Child Health and Human Development Study of Early Child Care and Youth Development (NICHD SECC-YD) also used the Social Skills Ratings Scale (SSRS, Gresham & Elliot, 1990) to assess internalizing and externalizing behavior and included a composite scale for total behavior problems.

The NICHD SECC was initiated by and is funded by NICHD and is directed by a Steering Committee and Advisory Board. The research team is comprised of researchers from a wide variety of child development and policy disciplines and represents over 24 institutions in the U.S. and London.

Population Assessed

The NICHD SECC-YD is not a nationally representative sample. Participants were recruited shortly after the birth of a child, in 10 sites across the United States. Within selected 24-hour periods, all women who had given birth in specific hospitals were screened for willingness to participate and eligibility. The conditional sampling plan for inclusion was based on the creation of a sample where 60 percent of mothers planned to work or go to school full-time in the child's first year, 20 percent planned to go part-time in the child's first year of life, and 20 percent planned to stay at home with their child. Families were also selected to reflect demographic diversity of the sites (e.g., economic, educational, and ethnic), and both single- and two-parent families were included. Families in which mothers were less than 18 years of age, planned on leaving the study site within 3 years, or were not conversant in English were excluded from the study. Families with children who were born with obvious physical or mental disabilities or who remained at the hospital for more than 7 days were also excluded from the study.

Of the original 8,986 women who were first approached in the hospitals at the time of their respective child's birth, 5,416 met the criteria and agreed to be contacted 2 weeks later, as well as met eligibility requirements (see above). From this number, 3,015 women were "conditionally, randomly" sampled to meet proposed sample specifications (see above), and 1,526 met eligibility requirements and agreed to participate. When contacted, 1,364 mothers participated in the first round of data collection (NICHD Early Child Care Research Network, 1996, 1997, 2003a). The

original sample was diverse, including 24 percent minority children. Similarly, maternal characteristics showed some variability, with 11 percent of mothers not completing high school, and 14 percent of the sample being composed of single mothers. On average, families showed incomes of 3.24 times the poverty rate (i.e., 1.0 being poverty). Because the NICHD SECC-YD is an ongoing, longitudinal study, some attrition was expected. From the original sample of 1,364 when the child was 1 month old, the most recent NICHD SECC publication reports that 1,058 (NICHD Early Child Care Research Network, 2003a) families were still involved in the study once the children had reached kindergarten. The most current available sample data (children in kindergarten) significantly differed from the sample at the study's inception when children were 1 month of age. Mothers remaining in the sample when the children reached kindergarten were found to be more educated, more likely to have a husband, and less likely to be Black, non-Hispanic than those in the original sample. The remaining sample also showed a higher income-to-needs ratio

Periodicity

The SSRS was given to both mothers and fathers when the child was 54 months of age (1996) and again to both during the child's first-grade year. It was administered to only mothers during the child's kindergarten year. Only teachers rated children during the kindergarten years, and teachers and after-school caregivers both made ratings during the child's first-grade year. SSRS Internalizing, Externalizing, and Total Problem Behavior scores were assessed for only the mother- and father-rated versions of the SSRS at 54 months (NICHD Early Child Care Research Network, 2003d) because the CBCL was intended to be the main measure of problem behavior and kept to ensure an identical measure over time. Thus, only the positive behavior scales of the SSRS were calculated for the remaining assessment points.

Subscales/Components

Both age versions of the SSRS tap various constructs, including (in addition to the measures of Internalizing, Externalizing and Total Behavior Problems) measures of Cooperation, Assertiveness, Self-Control, and Responsibility. Only the Internalizing, Externalizing, and Total Behavior Problems are addressed here as relevant to this section.

The following lists the SSRS item numbers used to create the Internalizing, Externalizing, and Total Behavior problems scales in the NICHD SECC-YD[3]:

Parent Version (mother and father)
Internalizing: Sum of the following items—44, 45, 48, 49
Externalizing: Sum of the following items—40, 41, 42, 43, 44, 46, 47
Total Behavior Problems: Sum of the following items—40 through 49

Caregiver/Teacher Version
Internalizing: Sum of the following items—44, 45, 48, 49
Externalizing: Sum of the following items—40, 41, 42, 43, 44, 46, 47
Total Behavior Problems: Sum of the following items—40 through 49

[3] For copyright issues, only item numbers are provided. Further information about item content is available from Gresham and Elliot (1990).

Procedures for Administration

SSRS questionnaires were given to mothers, fathers, caregivers, and teachers, with the venue for collection varying by data collection period and respondent (see periodicity section). The time needed to assess children using the SSRS in the NICHD SECC-YD data collection was not stated in available documents, but the SSRS manual estimates 15 to 25 minutes to administer the full instrument for these ages.

Psychometrics/Data Quality

SSRS reliability data based on the NICHD sample are reported below.

Reliability

Internal reliabilities for relevant SSRS (based on the NICHD SECC-YD sample) are as follows:

Mother Reported Scales

Internalizing: Cronbach's alpha = .56
Externalizing: Cronbach's alpha = .69
Total Behavior Problems: Cronbach's alpha = .69

Father Reported Scales

Internalizing: Cronbach's alpha = .55
Externalizing: Cronbach's alpha = .69
Total Behavior Problems: Cronbach's alpha = .71

Validity

The SSRS is a reportedly highly valid measure of social skills and problem behavior. Detailed convergent and discriminant validity information is reported by the SSRS Manual (Gresham & Elliot, 1990), and the SSRS has been found to effectively discriminate children with social problems from those without. Validity information based on the NICHD sample is not available.

Missing Data and Variability of Data

Study level data is restricted and not available.

Languages Available

The SSRS is only available in English.

Items Included

Depending upon the respondent and the age of the child, the SSRS questionnaire consists of between 40 and 57 items in which the respondent answers questions regarding various aspects of the child's behavior. For the problem behavior scales (i.e., Internalizing, Externalizing, Total Behavior Problems), respondents are asked to note "How Often" child does the behavior (i.e., "never," "sometimes," "often"). For other SSRS scales (not problem behavior), respondents are also asked how important that behavior is for the child's development (i.e., not important, important, critical). At 54 months of age, mothers were given the SSRS questionnaire in the NICHD SECC laboratory. Fathers responded in the home.

Item numbers included within the SSRS constructs are provided above, under the *Subscales/Components* section. Because of copyright issues, actual items need to be sought from the manual or publisher (Gresham & Elliot, 1990).

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INTERNALIZING/EXTERNALIZING BEHAVIOR PROBLEMS

EARLY CHILDHOOD LONGITUDINAL STUDY—KINDERGARTEN COHORT

Measure: Internalizing, Externalizing, Impulsive/Overactive, and Sad/Lonely scales of the Social Rating Scale—an adaptation of the Social Skills Rating Scale (Gresham & Elliot, 1990).

Background

The Early Childhood Longitudinal Study: Kindergarten Cohort (ECLS-K) is a nonexperimental, longitudinal study that follows a representative sample of U.S. children enrolled in 1000 kindergarten programs (in 1998–1999) from kindergarten through fifth grade. The program includes both public and private kindergartens with full- and half-day programs. Information is collected about children's cognitive, social, emotional, and physical development from children, families, teachers, and schools. Information about the children's home environment, educational practices at home, the environment at school and in the classroom, and classroom curriculum and teacher qualifications is also collected (National Center for Education Statistics, 2003; West, Denton, & Reaney, 2000).

Internalizing and Externalizing Problem Behavior scales are included in the ECLS-K teacher questionnaires, and parent-rated Sad/Lonely and Impulsive/Overactive scales are included in the parent interview.

The ECLS-K is funded by the U.S. Department of Education's National Center for Education Statistics. Other sponsoring federal agencies that contributed to the ECLS-K are U.S. Department of Health and Human Services; U.S. Department of Agriculture; Office of Special Education Programs, U.S. Department of Education; Office of Bilingual Education and Minority Languages Affairs, U.S. Department of Education; and the National Institute of Child Health and Human Development. Westat fields the ECLS-K.

Population Assessed

Initial sampling steps included establishing 100 Primary Sampling Units (PSU), which consisted of counties or groups of comparable counties. Both public and private schools were selected from the 100 PSUs based on proportional probabilities of number of kindergartners within the school, and approximately 23 kindergarteners were selected from sampled schools within the PSUs. The oversampling of Asian children, private kindergartens, and private school kindergarteners was designed to support estimates of public and private school kindergartners, Black, White, Hispanic and Asian children, and children by socioeconomic status (West et al., 2000)

"A total of 944 of the 1,277 originally sampled schools participated during the base year of the study. [That] translated into a weighted response rate of 74 percent for the base year of the study. The school response rate during the spring of the base year (74.2%) was higher than during the fall (69.4%), due to some of the schools that originally declined to participate changing their minds and participating in the spring. Nearly all (99.4%) of the schools that participated in the fall of the base year also participated in the spring. The child base-year completion rate was 92 percent, i.e., 92 percent of the children were assessed at least once during kindergarten. The parent base-year completion rate was 89 percent (i.e., a parent interview was completed at least once during kindergarten). Thus, the overall base-year response rate for children was 68.1 percent (74% x 92%) and the base-year response rate for the parent interview was 65.9 percent (74% x 89%). About 95 percent of the children and 94 percent of the parents who participated in the fall of kindergarten also participated in the spring" (West, Denton, & Reaney, 2000, p. 28).

Periodicity

Parent interviews that contain the SRS scales were done in the fall of 1998 and the spring of 1999 when the children were in kindergarten; in the fall of 1999 and the spring of 2000 when sample children were in the first grade; and again in the spring of 2002, when the children were in third grade. Teacher reported versions of the SRS were assessed at the same time periods. It is noted that only a 25 percent subsample of the original sample was assessed at the fall 1999 data collection point intentionally to address questions of "summer loss" and children who transfer schools between their kindergarten and first-grade years. That is, the 25 percent does not represent attrition or response rates. The ECLS-K is projected to finish its final round of data collection (including parents and teacher rated SRS) in the spring of 2004 when the children have reached the end of their fifth-grade year.

Subscales/Components

The Problem Behavior scale of the SSRS (Gresham & Elliot, 1990), from which the SRS is adapted, includes three subscales: Internalizing, Externalizing, and Hyperactivity. The full Problem Behavior scale of the original SSRS is not used in the ECLS-K. The SRS adaptation yields Internalizing and Externalizing scales based on teacher report, and Impulsive/Overactive and Sad/Lonely scales based on parent report. The Internalizing Behavior Problems and Externalizing Behavior Problems scales of the SRS are two of five teacher-rated SRS scales. The other three tap positive aspects of child behavior.

Procedures for Administration

Teachers respond to the teacher version of the SRS via questionnaire. In its entirety, the teacher questionnaire has three distinct components: classroom characteristics (Part A), specific aspects of teaching ideology and school environment (Part B), and information regarding study-specific children (Part C). The SRS is located in Part C.

The parent version of the SRS is included within the parent interview. Whenever feasible, the parent interviews are done in-person using computer-assisted personal interview. When in-person interviews cannot be done, computer-assisted telephone interviews are carried out with the

parents. The respondent to the parent interview is generally the child's mother, but this is not a necessity. Fathers; step-, adoptive, and foster parents; grandparents; and other relatives also acted as respondents when mothers were not available. Criteria for being considered as a respondent for the parent interview (when the mother and other parent were not available) includes being 18 years old and living in the same household as the child.

Psychometrics/Data Quality

Reliability

Split-half reliabilities were assessed for the SRS for the data collected in the fall and spring of the children's kindergarten year (1998, 1999, respectively), as well as the spring of the children's first-grade year (2000). It is unclear if they were corrected for reduced scale length. Split-half reliabilities on the teacher-rated scales were high and ranged from .86 to .90 for Externalizing and .77 to .80 for Internalizing. Reliabilities on the parent-rated scales were notably lower than teacher reliabilities showing split-half reliabilities between .60 and .63 for the Sad/Lonely sale and .46 and .48 for the Impulsive/Overactive Scale.

Validity

Exploratory and confirmatory factor analyses were done to validate the placement of the items within the constructs for each scale. However, data such as factor loadings, cut-off criteria, and goodness-of-fit ratings for these analyses are not provided in available materials.

Descriptions of the patterns of intercorrelations among the behavior ratings (both the positive and negative behavior scales) provide some further indications of convergent and discriminant validity. The three SRS scales that tap positive behavior were more highly correlated with each other than the scales that tap negative child behavior. Further, parent-rated Impulsive/Overactive behavior was correlated -.40 with Self-Control.

The SSRS (Gresham & Elliot, 1990) is an often-used and reportedly highly valid measure of social skills and problem behavior. Detailed convergent and discriminant validity is reported by the SSRS Manual (Gresham & Elliot, 1990), and the SSRS has been found to effectively discriminate children with social problems from those without.

Languages Available

Interviews were carried out in English, Spanish, Chinese, Lakota, and Hmong.

Items Included

Specific items are not available because of copyright restrictions. The following gives an overview of the content of scales:

Teacher-Reported

The Externalizing Problem Behaviors scale of the SRS was included in Part C of the self-administered questionnaire given to the teachers and consists of five items regarding how the child acts out, argues, gets angry, acts impulsively, and disturbs ongoing activities. Teachers respond on a 4-point, Likert-type scale as to the frequency of these behaviors (i.e., "never," "sometimes," "often," "very often").

The Internalizing Problem Behavior scale of the SRS was also within Part C of the teacher questionnaire. For the Externalizing Problem Behavior scale, teachers respond with Likert-type ratings of the frequencies of behaviors. The four items for internalizing address behavior such as anxiety, loneliness, self-esteem, and sadness.

Parent-Reported

A parent version of the SRS was included in the parent interviews, yet the names of the relevant constructs and the items from which they are derived differ somewhat from the teacher version. The Impulsive/Overactive scale is most comparable to the Externalizing Problem Behavior scale used in the teacher version, tapping aspects of impulsivity and activity. But unlike the teacher version, the Impulsive/Overactive scale does not address child anger. Like the teacher version, parents respond on a 4-point, Likert-type scale regarding how often behaviors occur.

The Sad/Lonely scale of the parent SRS is very comparable to the Internalizing Behaviors scale used in the teacher SRS, addressing child sadness, self-esteem, acceptance by others, and loneliness. Like the teacher version, parents respond on a 4-point, Likert-type scale regarding how often behaviors occur.

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INTERNALIZING/EXTERNALIZING BEHAVIOR PROBLEMS

NATIONAL HOUSEHOLD EDUCATION SURVEY

Measure: Single item measuring presence of behavior problems in the school setting.

Background

The National Household Education Survey (NHES) comprises several topical modules assessing various aspects of the educational experience at different points in time. The single item that measures the presence of behavior problems in the school setting (see Items Included below) is repeated across these particular NHES modules: Before- and After-School Programs and Activities Survey (1999, 2000), Early Childhood Program Participation Survey (1999), Parent and Family Involvement in Education Survey (1996, 1999, 2003), and School Readiness Survey (1999).

The NHES is funded and conducted by the National Center for Education Statistics, U.S. Department of Education.

Population Assessed

The NHES is designed to survey a representative sample of the noninstitutionalized civilian population in the United States. A representative sample of between 45,000 and 60,000 households are sampled in the original screening. (The original screening helps test which households are appropriate for the surveys being conducted, and multiple surveys are given to households whenever possible to minimize costs.) Black and Hispanic minorities are oversampled in all surveys in an attempt to increase the reliability of the estimates produced for ethnic and racial groups.

The following table shows a breakdown of the target population in each time period/survey in which this item appears:[4]

Survey Module	Population Assessed	Date	Reporter
Before- and After-School Programs and Activities	children age 10 and younger	1999,2000	Most knowledgeable parent
Early Childhood Program Participation	children age 10 and younger	1991, 1995, 1999	Most knowledgeable parent
Parent and Family Involvement in Education	children age 3 through 12th grade	1996, 1999, 2000, 2003	Most knowledgeable parent
School Readiness	children age 3 through 7 and children age 8 or 9 still in second grade or below	1993 (diff items), 1999, 2003	Most knowledgeable parent

[4] It is noted that this measure was used with several samples.

Periodicity

See table above.

Subscales/Components

Not applicable.

Procedures for Administration

The modules are administered through random-digit-dialing, computer-assisted telephone interviews. See above table for information on respondents. This item takes less than 1 minute to assess.

Psychometrics/Data Quality

This information is not readily available.

Languages Available

The survey is available in both English and Spanish.

Item Included

The following is from the NHES: Before- and After-School Programs and Activities Survey (1999, 2000), Early Childhood Program Participation Survey (1999), Parent and Family Involvement in Education Survey (1996, 1999, 2003), and School Readiness Survey (1999).

"Have any of (CHILD)'s teachers or (his/her) school contacted you (or [CHILD]'s (mother, stepmother, foster mother, father, stepfather, foster father, grandmother, grandfather, aunt, uncle, cousin or [the] other adult[s] in your household) about any behavior problems (he/she) is having in school this year?"

YES.....1

NO.....2

References and Source Documents

U.S. Department of Education (1997, May). *National Household Education Survey An Overview of the National Household Education Survey: 1991, 1993, 1995, and 1996.* Washington, DC. (Located on the web at: http://nces.ed.gov/pubs97/97448.pdf).

Questionnaires and User's Guides are available at http://nces.ed.gov/nhes/Main/quex.asp

Reports are available at http://nces.ed.gov/pubsearch/getpubcats.asp?sid=004

INTERNALIZING/EXTERNALIZING BEHAVIOR PROBLEMS

NATIONAL STUDY OF CHILD CARE FOR LOW-INCOME FAMILIES

Measure: Item-level data from the Environmental Snapshot included in the observation battery of the In-Depth Study of Family Child Care

Background

The National Study of Child Care for Low-Income Families is a study of how states and communities implement policies and programs to meet the child care needs of low-income families, including those moving from welfare to work. The study examines how policies change over time and the effect of relationships between policies and other factors on the type, amount, and cost of care in communities. It also examines factors that affect the decisions low-income families make about child care and what role child care subsidies have on the families' decisions. The study also provides insights into the characteristics and functioning of family child care (a little studied type of care frequently used by low-income families) and the experiences of parents and their children with this form of care. For instance, the study will address the extent to which family child care meets parents' work-related and children's needs.

The study, funded through the Administration for Children and Families of the Department of Health and Human Services, is being conducted by Abt Associates in Cambridge, Massachusetts, and the National Center for Children in Poverty at Columbia University's Joseph Mailman School of Public Health in New York City.

The items taken from the Environmental Snapshot are one part of a multipart coding scheme of the child's family care environment. Wave 3 (the only instrument made available to the authors) indicates that 15 snapshots were made. The length of each observation is unclear from available information.

Population Assessed

The National Study of Child Care for Low-Income Families is a nonexperimental, longitudinal 5-year research effort in 25 communities within 17 states. "Information for the study is collected at three levels, with nested samples of communities within States and families and providers within communities. The first level is a sample of 25 communities in 17 States. The communities were selected to be a nationally representative sample of counties with child poverty rates above 14 percent, but these communities are not intended to be nationally representative of all 50 states" (Department of Health and Human Services, 2003).

At the family level, various samples were created to meet the needs of specific research questions. The sample in which this particular measure was used was a sample of 650 low-income

families who used family child care. These 650 families were selected from the total study sample (2,500 families from 25 communities) based on their use of family child care and having a child between the ages of 1 and 9. The total study sample was stratified by subsidy status and age of child. The sample considered here consisted of families who were all receiving subsidies, a group of 325 families with children between the ages of 1 and 5 and 325 with children between the ages of 6 and 9 (Department of Health and Human Services, 2000).

Periodicity

This information is not publicly available.

Subscales/Components

This information is not publicly available.

Procedures for Administration

The items relevant to behavior problems are within the Summary Rating of Environment section of the Environmental Snapshot observation instrument. Observers are required to answer questions regarding the activities of the focal child.

Psychometrics/Data Quality

This information is not publicly available.

Languages Available

This information is not publicly available.

Items Included

Observers are to note whether focal child behaviors occurred during the observation. Reponses are dichotomous, “yes” or “no.”

1. Focus child is crying or in distress.
2. Focus child is listless, detached, withdrawn.
3. Focus child fighting, arguing, disagreeing.
4. Focus child teasing or bullying other children.
5. Focus child interacting with peers.
6. Focus child asleep.

INTERNALIZING/EXTERNALIZING BEHAVIOR PROBLEMS

NATIONAL STUDY OF CHILD CARE FOR LOW-INCOME FAMILIES

Measure: Item-level information regarding problem behaviors might possibly be taken from items within the Emotion Regulation Checklist (Shields & Cicchetti, 1995—adapted by Abt Associates) [The exact nature of the adaptations by Abt to this measure are unclear. The validity of using regulation items as possible behavior problems items is also unclear]

Background

The National Study of Child Care for Low-Income Families is a study of how states and communities implement policies and programs to meet the child care needs of low-income families, including those moving from welfare to work. The study examines how policies change over time and the effect of relationships between policies and other factors on the type, amount, and cost of care in communities. It also examines factors that affect the decisions low-income families make about child care and what role child care subsidies have on the families' decisions. The study also provides insights into the characteristics and functioning of family child care (a little studied type of care frequently used by low-income families) and the experiences of parents and their children with this form of care. For instance, the study will address the extent to which family child care meets parents' work-related needs and children's needs.

The study, funded through the Administration for Children and Families of the Department of Health and Human Services, is being conducted by Abt Associates in Cambridge, Massachusetts, and the National Center for Children in Poverty at Columbia University's Joseph Mailman School of Public Health in New York City.

The measure discussed here, the Emotion Regulation Checklist, was adapted by Abt Associates from the original measure by Shields and Cicchetti (1995). The original measure did not purport to assess problem behaviors as a construct, but items on this scale may be seen as relevant to child problem behavior. Items from this measure could, perhaps, be used toward creating a problem behavior scale upon proper validation.

Population Assessed

The National Study of Child Care for Low-Income Families is a nonexperimental, longitudinal 5-year research effort in 25 communities within 17 States. "Information for the study is collected at three levels, with nested samples of communities within States and families and providers within communities. The first level is a sample of 25 communities in 17 states. The communities were selected to be a nationally representative sample of counties with child poverty rates above 14 percent, but these communities are not intended to be nationally representative of all 50 states" (Department of Health and Human Services, 2003).

At the family level, various samples were created to meet the needs of specific research questions. The sample in which this particular measure was used was a sample of 650 low-income families who used family child care . These 650 families were selected from the total study sample (2,500 families from 25 communities) based on their use of family child care and having a child between the ages of 1 and 9. The total study sample was stratified by subsidy status and age of child. The sample considered here consisted of families who were all receiving subsidies, a group of 325 families with children between the ages of 1 and 5 and 325 with children between the ages of 6 and 9 (Department of Health and Human Services, 2000).

Periodicity

This information is not readily available

Subscales/Components

Information given is for items from the Emotion Regulation Checklist. Information on scales used in the NSCCLIF is not publicly available. The original version of this measure did not contain scales of problem behavior. Original scales included Emotion Modulation, Flexibility/ Situational Appropriateness of Emotion, and Organization.

Procedures for Administration

The Emotion Regulation Checklist was administered via interview with both the focal child's parent and family caregiver. No other information is currently available.

Psychometrics/Data Quality

This information is not publicly available.

Languages Available

No information on versions in different languages is publicly available.

Items Included

Items are identical for both the parent and family caregiver versions of the interview. In both cases, respondents are asked to answer questions regarding the child's behavior or general demeanor on a 4-point Likert-type scale: 1 = "Rarely/Never," 2 = "Sometimes," 3 = "Often," 4 = "Almost Always." Items presented are from the adapted version of the Emotion Regulation Checklist.

1. Is a cheerful child.
2. Has wild mood swings (changes unexpectedly from a good to a bad mood).
3. Responds positively when adults approach him/her in a friendly or neutral way.

4. Moves easily from one activity to another; doesn't become angry, anxious, upset, or overly excited when changing activities.
5. Gets over it quickly when he/she is upset or unhappy (doesn't pout, remain sullen, anxious or sad after upsetting events).
6. Is easily frustrated.
7. Responds positively when another child approaches him/her in a friendly or neutral way.
8. Is likely to have an angry outburst or easily throws tantrums.
9. Is able to wait for what he/she wants.
10. Seeing others unhappy gives him/her pleasure (e.g., laughs when someone gets hurt or punished, enjoys teasing others).
11. Can keep his/her excitement under control (e.g., doesn't get "carried away" in high-energy play situations or overly excited when it is not appropriate).
12. Is whiny of clingy with adults.
13. Is likely to have outbursts of energy and exuberance (or excitement) that are disruptive.
14. Responds angrily when an adult sets limits.
15. Is able to say when he/she is feeling sad, angry or made, fearful or afraid.
16. Seems sad or without energy.
17. When [CHILD] tries to play with others, he/she is overly exuberant (overly-excited).
18. Seems unemotional (e.g., child's expression is vacant or inexpressive; child seems emotionally absent).
19. When another child attempts in a friendly or neutral way to get [CHILD] to play or join in, he/she responds negatively (e.g., may speak in angry tone of voice or respond fearfully).
20. Is impulsive; does things without thinking.
21. Shares in feelings of others; shows concern when others are upset or unhappy
22. Displays excitement or enthusiasm that upsets or intrudes on others.
23. When another child acts aggressively toward child, he/she reacts appropriately (e.g., expresses anger, fear, frustration distress but does not return aggression).
24. When [CHILD] tries to get others to play, he/she shows negative emotion (anger, fear, frustration, distress).

INTERNALIZING/EXTERNALIZING BEHAVIOR PROBLEMS

NATIONAL STUDY OF CHILD CARE FOR LOW-INCOME FAMILIES

Measure: Item-level data from the Environmental Snapshot included in the observation battery of the In-Depth Study of Family Child Care

Background

The National Study of Child Care for Low-Income Families is a study of how states and communities implement policies and programs to meet the child care needs of low-income families, including those moving from welfare to work. The study examines how policies change over time and the effect of relationships between policies and other factors on the type, amount, and cost of care in communities. It also examines factors that affect the decisions low-income families make about child care and what role child care subsidies have on the families' decisions. The study also provides insights into the characteristics and functioning of family child care (a little studied type of care frequently used by low-income families) and the experiences of parents and their children with this form of care. For instance, the study will address the extent to which family child care meets parents' work related and children's needs.

The study, funded through the Administration for Children and Families of the Department of Health and Human Services, is being conducted by Abt Associates in Cambridge, Massachusetts, and the National Center for Children in Poverty at Columbia University's Joseph Mailman School of Public Health in New York City.

The items taken from the Environmental Snapshot are one part of a multipart coding scheme of the child's family care environment. Wave 3 (the only instrument made available to the authors) indicates that 15 snapshots were made. The length of each observation is unclear from available information.

Population Assessed

The National Study of Child Care for Low-Income Families is a nonexperimental, longitudinal 5-year research effort in 25 communities within 17 states. "Information for the study is collected at three levels, with nested samples of communities within States and families and providers within communities. The first level is a sample of 25 communities in 17 States. The communities were selected to be a nationally representative sample of counties with child poverty rates above 14 percent, but these communities are not intended to be nationally representative of all 50 states" (Department of Health and Human Services, 2003).

At the family level, various samples were created to meet the needs of specific research questions. The sample in which this particular measure was used was a sample of 650 low-income families who used family child care. These 650 families were selected from the total study sample

(2,500 families from 25 communities) based on their use of family child care and having a child between the ages of 1 and 9. The total study sample was stratified by subsidy status and age of child. The sample considered here consisted of families who were all receiving subsidies, a group of 325 families with children between the ages of 1 and 5 and 325 with children between the ages of 6 and 9 (Department of Health and Human Services, 2000).

Periodicity

This information is not publicly available.

Subscales/Components

This information is not publicly available.

Procedures for Administration

The items relevant to behavior problems are within the Summary Rating of Environment section of the Environmental Snapshot observation instrument. Observers are required to answer questions regarding the activities of the focal child.

Psychometrics/Data Quality

This information is not publicly available.

Languages Available

This information is not publicly available.

Items Included

Observers are to note whether focal child behaviors occurred during the observation. Reponses are dichotomous, “yes” or “no.”

7. Focus child is crying or in distress.
8. Focus child is listless, detached, withdrawn.
9. Focus child fighting, arguing, disagreeing.
10. Focus child teasing or bullying other children.
11. Focus child interacting with peers.
12. Focus child asleep.

INTERNALIZING/EXTERNALIZING BEHAVIOR PROBLEMS

NATIONAL STUDY OF CHILD CARE FOR LOW-INCOME FAMILIES

Measure: Individual items from the Child-Focused Observation included in the observation battery of the In-Depth Study of Family Child Care

Background

The National Study of Child Care for Low-Income Families is a study of how states and communities implement policies and programs to meet the child care needs of low-income families, including those moving from welfare to work. The study examines how policies change over time, and the effect of relationships between policies and other factors on the type, amount, and cost of care in communities. It also examines factors that affect the decisions low-income families make about child care and what role child care subsidies have on the families' decisions. The study also provides insights into the characteristics and functioning of family child care (a little studied type of care frequently used by low-income families), and the experiences of parents and their children with this form of care. For instance, the study will address the extent to which family child care meets parents' work-related needs and children's needs.

The items taken from the Child-Focused Observation are one part of a multipart coding scheme that measures various aspects of the focal child's activities (e.g., language use, peer play, use of objects, prosocial behavior) within the family care environment. Wave 3 (the only instrument made available to the authors) indicates that 15 snapshots were made. The length of the observation is unclear from available information.

The study, funded through the Administration for Children and Families of the Department of Health and Human Services, is being conducted by Abt Associates in Cambridge, Massachusetts, and the National Center for Children in Poverty at Columbia University's Joseph Mailman School of Public Health in New York City.

Population Assessed

The National Study of Child Care for Low-Income Families is a nonexperimental, longitudinal 5-year research effort in 25 communities within 17 states. "Information for the study is collected at three levels, with nested samples of communities within States and families and providers within communities. The first level is a sample of 25 communities in 17 States. The communities were selected to be a nationally representative sample of counties with child poverty rates above 14 percent, but these communities are not intended to be nationally representative of all 50 states" (Department of Health and Human Services, 2003).

At the family level, various samples were created to meet the needs of specific research questions. The sample in which this particular measure was used was a sample of 650 low-income

families who used family child care. These 650 families were selected from the total study sample (2,500 families from 25 communities) based on their use of family child care and having a child between the ages of 1 and 9. The total study sample was stratified by subsidy status and age of child. The sample considered here consisted of families who were all receiving subsidies, a group of 325 families with children between the ages of 1 and 5 and 325 with children between the ages of 6 and 9 (Department of Health and Human Services, 2000).

Periodicity

This information is not publicly available.

Subscales/Components

This information is not publicly available.

Procedures for Administration

Items relevant to behavior problems are included within the Child-Focused Observation, and tap pro- and antisocial behaviors. Observers are required to note whether specific behaviors occurred during the observation. It appears that there were a total of 15 observations, though the length of each is not included in the information made available.

Psychometrics/Data Quality

This information is not publicly available.

Languages Available

This information is not publicly available.

Items Included

Observers are to note whether specific behaviors were exhibited by the focal child during each observation. For each observation, one of seven categorical descriptions is chosen to indicate the behavior of the child within that period.

1. No prosocial or antisocial.
2. Prosocial to peers.
3. Prosocial to adult.
4. Prosocial to peers and adult.
5. Antisocial to peers.
6. Antisocial to adult.
7. Antisocial to peers and adult.

APPENDICES

A. Descriptions of the Nine ACF Experimental and Non-Experimental Studies Appropriate to Our Domains

ENHANCED SERVICES FOR THE HARD TO EMPLOY DEMONSTRATION AND EVALUATION PROJECT

Purpose

The Enhanced Services for the Hard to Employ Demonstration and Evaluation Project assesses the effectiveness of programs that improve employment outcomes for current or former TANF recipients and other low-income parents who have had difficulty entering and sustaining employment. The project will both measure programmatic effects on adults' employment and earnings and evaluate family functioning, child well-being (from early childhood through adolescence), and two-generation programs, which provide employment services to adults and direct services to children or youth. The other issues and challenges to be examined are ways to implement and operate different approaches that promote employment among the hard-to-employ, the services included in these programs, the way the programs meet the needs of participants with many employment or family challenges, and the benefits and costs of programs studied.

The evaluation addresses the following questions:

- What are the issues and challenges in implementing and operating different approaches that promote employment among the hard-to-employ? What services are included in such programs? How do programs meet the needs of participants with multiple employment or family challenges? Are there unique challenges associated with more comprehensive models that provide a wider range of services?
- Are there specific challenges related to serving hard-to-employ parents and their children? What types of changes in program policies or operations are necessary to serve and adequately address the needs of hard-to-employ parents? How are the needs of younger children and teens addressed in the context of employment-focused programs for the hard-to-employ parents? How accurately and efficiently do different definitions and methods of assessment predict employment outcomes? Do different definitions and methods of assessment lead to different kinds of services or outcomes?
- What are the net impacts of different approaches to enhancing employment outcomes of the hard-to-employ parents on employment, earnings, income, and welfare dependence?
- What are the impacts on parental attitudes, parental mental health, parenting behavior, family formation including marriage status and stability, and access to and use of services and benefits such as Food Stamps, Medicaid, SCHIP, and other health insurance, physical health care, and child care?
- What are the impacts on child and youth well-being, including school attendance and performance, health and safety, and social and emotional adjustment (e.g., behavior problems, social competence)

- Which program designs work best for those with different characteristics? Are programs as effective for parents with more serious disadvantages or multiple barriers? Do the effects on children vary by age of child or other characteristics?
- What are the costs of different approaches to enhancing employment outcomes of the hard-to-employ parents? Do two-generation models incur different costs? What are the challenges of utilizing multiple funding sources within programs? What role does funding play in the provision of services? What are the costs and benefits of programs studied?

For more information:

http://www.acf.dhhs.gov/programs/opre/

Agencies/Institutions

The Enhanced Services for the Hard to Employ Demonstration and Evaluation Project is funded by the Administration for Children and Families and the Assistant Secretary for Planning and Evaluation (ASPE) in the U.S. Department of Health and Human Services, and the U.S. Department of Labor. MDRC carries out the project in cooperation with the following partners: the Urban Institute, the Lewin Group, and the California Institute for Mental Health.

Research/Survey Design

The Hard to Employ evaluation is a longitudinal study that uses an experimental design. The evaluation has three components:

- An implementation and process analysis will use on-site visits and interviews with program staff and administrators to look at how the programs operate.
- An impact analysis will use a rigorous research design to measure the programs' effects on employment, welfare use, and family functioning. Half the prospective participants in each site will be randomly assigned to the program group. These participants will be eligible for the special services provided by the program and subject to its requirements. The other half will be randomly assigned to a control group. These participants will be eligible for standard services. Public administrative records, surveys of study members, and site visits will be used to follow the outcomes for both groups over at least 3 years. A follow-up survey will be conducted 42 months after random assignment.
- A benefit-cost analysis will compare the financial costs and benefits of the interventions, from the perspective of both participants and government budgets.

For more information:

http://www.mdrc.org/

Date(s)/Periodicity

The Enhanced Services for the Hard to Employ Demonstration and Evaluation project began in September 2001 and is scheduled to conclude in September 2010.

Population/Sample

The respondents to the baseline survey are Temporary Assistance for Needy Families (TANF) recipients, former TANF recipients, or low-income individuals who are hard-to-employ from six states. HHS has granted approval for three sites (New York, Rhode Island, and Wisconsin). Pennsylvania is currently being explored as a potential site.

For more information:

http://www.acf.dhhs.gov/programs/opre

Content Covered

The project will cover content in a number of areas:

- Employment outcomes for low-income participants who have trouble entering and sustaining employment
- Family functioning
- Child well-being (early childhood through adolescence)
- Two-generation programs that provide employment services to adults and direct services to children or youth
- Issues and challenges in the implementation and operation of employment-related programs for hard-to-employ individuals
- Services in the programs
- How programs meet the needs of participants with multiple employment or family challenges
- Costs and benefits of programs

For more information:

http://www.acf.dhhs.gov/programs/opre

Availability of Data for Public Use

Data for public use is not yet available.

Reference List for Users' Guide, Codebooks, and Methodology Report(s)

No information is available about users' guides, codebooks, and methodology reports.

RURAL WELFARE TO WORK STRATEGIES DEMONSTRATION EVALUATION PROJECT

Purpose

The Rural Welfare to Work Strategies Demonstration Evaluation Project is a multiyear national evaluation designed to learn how best to help TANF and other low-income rural families move from welfare to work and to understand the challenges that rural residents face in achieving economic well-being. The evaluation will increase information on well-conceived rural welfare-to-work strategies (effective approaches for working with rural populations) to determine which rural strategies work best for different groups of welfare recipients and other low-income families to help them move from welfare to work. It will also provide lessons about the operational challenges, and the methods to address them, that state and local TANF agencies and others can use. For the initial phase of this initiative, 10 states have received planning grants and assistance to develop strategies for serving rural TANF populations. The evaluation seeks to answer the following questions:

- What types and packages of services are provided under the Rural Welfare-to-Work project? How do they compare with services already available under TANF or other funding?
- What are the issues and challenges associated with implementing and operating the service packages and policy approaches studied?
- What are the net impacts of selected approaches under the project on employment and on families' well-being?
- What are the net costs of the programs? Do the program's net benefits outweigh the costs?
- What strategies should policymakers and program managers consider in designing approaches to improve the efficacy of welfare-to-work strategies for families in rural areas?

For more information:

http://www.mathematica-mpr.com

http://www.acf.dhhs.gov/programs/opre/

Agencies/Institutions

The Rural Welfare to Work Strategies Demonstration Evaluation Project is funded by the Administration for Children and Families in the U.S. Department of Health and Human Services. Mathematica Policy Research, Inc. conducts the evaluation.

Research/Survey Design

The evaluation plan has three primary components: an in-depth process and implementation study, an impact study, and a cost-benefit study. The process analysis will primarily use data from two rounds of site visits. The study will identify implementation issues and challenges and provide details on how programs have achieved observed results. Follow-up data collected through surveys and administrative data will be used to analyze participants' activities in the programs and their employment outcomes. The rigorous impact evaluation will use random-assignment designs to determine what difference these interventions make in employment and family well-being outcomes. The impact study will draw on data from program sponsors, administrative data from human services programs, and baseline and comprehensive survey data collected in follow-up interviews at 18- and 30-months after random assignment into the evaluation's research sample. The evaluation will use data from the impact study, the implementation study, and published research to calculate estimates of net program cost-effectiveness.

For the process and implementation study, researchers will hold discussions with the administrators and staff of Welfare to Work programs and related agencies, convene focus groups with participants and control group members, and observe programs on-site. Data from surveys and program records will be examined to find out about sample members' participation in program activities and use of services. The impact study will use data from Welfare to Work program records, state welfare administrative records, and other state systems, and surveys.

For more information:

U.S. Department of Health and Human Services. (2002, October). *Rural Welfare-to-Work Strategies Demonstration Evaluation: A summary of the evaluation design and demonstration programs*. Washington, DC: Author. Available at **http://www.acf.dhhs.gov/programs/opre/rural_welfare/rural_title.html**

http://www.acf.dhhs.gov/programs/opre/

Mathematica Policy Research, Inc. (2002, October). *The Rural Welfare-to-Work Strategies Demonstration Evaluation, Supporting Statement for Request for OMB Approval of the 18-Month follow-up survey and site visit protocols.* Princeton, NJ: Mathematica Policy Research, Inc.

Mathematica Policy Research, Inc. (2003, October). *The Rural Welfare-to-Work Strategies Demonstration Evaluation, Revised Draft Supporting Statement for Request for OMB Approval of the 30-Month follow-up survey.* Princeton, NJ: Mathematica Policy Research, Inc.

Ponza, M., Meckstroth, A., & Burwick, A. (2003, January). *The Rural Welfare-to-Work Strategies Demonstration Evaluation Project Evaluation Design. Draft Report.* Princeton, NJ: Mathematica Policy Research, Inc.

Date(s)/Periodicity

The Rural Welfare to Work Evaluation began in September 2000 and is scheduled to end in September 2007.

Population/Sample

Two programs have been selected for the in-depth process and implementation study, the impact study, and the cost-benefit analysis: the Illinois Future Steps Program and the Building Nebraska Families program. A third program, the Tennessee First Wheels Program, has participated in only the evaluation's process study. All three programs serve both current and past TANF recipients and other low-income clients who receive government benefits (e.g., food stamps and Medicaid). The Illinois program began implementation in 2001; the other two programs began implementation in 2002. For the impact analyses, targeted sample sizes are 630 for Illinois (315 program, 315 controls) and 600 for Nebraska (330 program, 270 controls).

Each program offers individual, creative, and diverse services that promote employment and economic independence among the rural poor population. The states were chosen because they offer "substantial, intensive program services on a scale large enough to support a rigorous experimental study of impacts. …The Illinois Future Steps program offers intensive, employment-focused case management to prepare participants for work and help them get and keep good jobs. …The Building Nebraska Families program offers individualized, home-based education and mentoring to help participants develop life skills and overcome barriers, thus indirectly enhancing their employability. … The Tennessee First Wheels program provides no-interest car loans and offers individualized support to help participants maintain their vehicles and stay current in their loan payments" (DHHS, 2002, p. 2).

For more information:

U.S. Department of Health and Human Services. (2002, October). *Rural Welfare-to-Work Strategies Demonstration Evaluation: A summary of the evaluation design and demonstration programs*. Washington, DC: Author. Available at **http://www.acf.dhhs.gov/programs/opre/rural_welfare/rural_title.html**

Ponza, M., Meckstroth, A., & Burwick, A. (2003, January). *The Rural Welfare-to-Work Strategies Demonstration Evaluation Project Evaluation Design. Draft Report.* Princeton, NJ: Mathematica Policy Research, Inc.

Content Covered

The Rural Welfare to Work Strategies Demonstration Evaluation Project covers a number of employment-related areas for rural residents, including attitudes toward rural places and perceptions of rural changes; education and training; receipt of services; current housing arrangements; employment history; unearned income and income from household; total household income; child care arrangements; barriers to employment; confidence, control, and attitudes toward parenting, material hardship, support networks, and family well-being; and nonprogram car financing.

For more information:

U.S. Department of Health and Human Services. (2002, October). *Rural Welfare-to-Work Strategies Demonstration Evaluation: A summary of the evaluation design and demonstration programs*. Washington, DC: Author. Available at **http://www.acf.dhhs.gov/programs/opre/rural_welfare/rural_title.html**

Mathematica Policy Research, Inc. (2002, October). *The Rural Welfare-to-Work Strategies Demonstration Evaluation, Supporting Statement for Request for OMB Approval of the 18-Month follow-up survey and site visit protocols.* Princeton, NJ: Mathematica Policy Research, Inc.

Ponza, M., Meckstroth, A., & Burwick, A. (2003, January). *The Rural Welfare-to-Work Strategies Demonstration Evaluation Project Evaluation Design. Draft Report.* Princeton, NJ: Mathematica Policy Research, Inc.

Availability of Data for Public Use

Documentation and data files will be made available to the public at the end of the project, in September 2007.

Reference List for Users' Guide, Codebooks, Methodology Report(s)

Burwick, A., & Meckstroth, A. (2002, October). *Rural Welfare-to-Work Strategies Demonstration Evaluation, a summary of the Evaluation Design and Demonstration Programs. Final report.* Princeton, NJ: Mathematica Policy Research, Inc.

Markesich, J., Marsh, S., & Ponza, M. (2003, February). *The Rural Welfare-to-Work Strategies Demonstration Evaluation Project Implementation plan for the 18 and 30 month follow-up surveys. Final report.* Princeton, NJ: Mathematica Policy Research, Inc.

Mathematica Policy Research, Inc. (2002, October). The Rural Welfare-to-Work Strategies Demonstration Evaluation, Supporting Statement for Request for OMB Approval of the 18-Month follow-up survey and site visit protocols. Princeton, NJ: Mathematica Policy Research, Inc.

Mathematica Policy Research, Inc. (2003, October). The Rural Welfare-to-Work Strategies Demonstration Evaluation, Revised Draft Supporting Statement for Request for OMB Approval of the 30-Month follow-up survey. Princeton, NJ: Mathematica Policy Research, Inc.

Meckstroth, A., & Burwick, A. (2002, February). *Rural Welfare-to-Work Strategies Demonstration Evaluation Process and Implementation Study: Objectives, Data Collection Methods, and Site Visit Protocols. Final report.* Princeton, NJ: Mathematica Policy Research, Inc.

Ponza, M., Meckstroth, A., & Burwick, A. (2003, January). *The Rural Welfare-to-Work Strategies Demonstration Evaluation Project Evaluation Design. Draft Report.* Princeton, NJ: Mathematica Policy Research, Inc.

U.S. Department of Health and Human Services. (2002, October). *Rural Welfare-to-Work Strategies Demonstration Evaluation: A summary of the evaluation design and demonstration programs*. Washington, DC: Author. Available at **http://www.acf.dhhs.gov/programs/opre/rural_welfare/rural_title.html**

The data collected through the two rounds of follow-up surveys and from state and program administrative records and from the site visits will be incorporated in the series of evaluation reports. The impact analysis will be conducted in three rounds, each followed by some form of reporting. A short-term cost-benefit report will be prepared, and then a final impact and cost-benefit report will be prepared at the end of the project. Special topical papers, briefings, and public use data files are also part of the analysis and reporting phase.

Short-Term Impact Memoranda and Reports. We will conduct two rounds of interim, short-run analyses, with each drawing on increasing shares of the evaluation sample as it is enrolled over time, and on increasing periods of follow-up data. These findings will be reported in stages, separately by site. The first impact analysis "memoranda," which will report on short-term impacts based on analysis of administrative data, will be submitted in 2004 - 2005. These will be followed with site-specific reports on short-term impacts based on the 18-month survey data and additional quarters of administrative data, during 2005 - 2006.

Interim and Final Process Study Reports. We will follow a similar sequence of producing interim memoranda and report for the process study. An interim cross-site report on program implementation and operations will be submitted in fall 2003. Site-specific reports on program participation and experiences will be issued during 2005 - 2006.

Reports on Costs and Short-Term Cost-Benefits. Separately for each site, we will prepare a report on program costs, and short-term benefit-costs, submitting them in 2005 - 2006.

Final Reports. We will prepare the final reports as final data on the evaluation sample become available from the 30-month follow-up survey and analysis of additional administrative records data on sample members. Analysis of longer-term impacts and costs will be conducted in late 2006 and early 2007, drawing on the 30-month follow-up survey data. A draft overall final report on impacts and cost-benefits and implementation findings will be submitted in summer 2007, with revisions completed within two months of submission. In conjunction with the final report, we will prepare a brief synthesis report.

EMPLOYMENT RETENTION AND ADVANCEMENT PROJECT (ERA)

Purpose

The Employment Retention and Advancement (ERA) evaluation is a comprehensive effort to learn about effective strategies, including pre- and post-employment strategies for job retention and career advancement, employer initiatives, and other services to promote employment retention and advancement, among current and former welfare recipients and other low-wage workers. The design of ERA ensures that outcomes such as an increase in employment rates, employment stability, wage progression, family income, and other outcomes are realized as a result of the ERA programs.

The evaluation is designed to answer the following questions:

- What approaches are shown to be effective in improving job retention and advancement among current and former TANF recipients and other low-income people? To what extent do the programs improve employment retention, advancement, and other outcomes for participants and their children?
- What services are provided, how are they delivered, who receives them, and why? What problems are encountered when implementing the programs and how are they addressed?
- To what extent do the programs improve employment retention, advancement, and other key outcomes for participants and their children? Looking across programs, which approaches are most effective, and for whom?
- What are the costs of the programs? To what extent do their benefits outweigh their costs from the perspectives of program participants, taxpayers, employers, and society overall? How do these findings vary by type of program and participant characteristics?

For more information:

U.S. Department of Health and Human Services. (2002, February). *New strategies to promote stable employment and career progression: An introduction to the Employment Retention and Advancement Project*. Washington, DC: Author. Available at **http://www.mdrc.org/Reports2002/era_conferencerpt/era_2000_2001.pdf**

http://www.acf.dhhs.gov/programs/opre/

Agencies/Institutions

The ERA is funded by the Administration for Children and Families in the U.S. Department of Health and Human Services and by the U.S. Department of Labor. MDRC conducts the evaluation with technical assistance from the Lewin Group.

Research/Survey Design

The ERA has had three phases, one of which occurred before the formal evaluation began:

- Thirteen planning grants were awarded to states to work with a Federal technical assistance contractor (The Lewin Group) to develop retention and advancement programs.
- Once the evaluation contractor was chosen, implementation grants were awarded to states either deemed ready to fully implement and test their initiatives as part of a national evaluation or to states in earlier stages to allow them to continue development of an ERA project.
- A national, multi-site evaluation of selected program models analyzing program implementation and assessing program effectiveness in improving job retention and advancement among TANF recipients and other low-income workers.

The 15 ERA projects can be grouped according to their primary emphasis:

- Six advancement projects focus on strategies for promoting training and education to help low-income workers move to better jobs.
- Four placement and retention projects are primarily concerned with helping hard-to-employ workers find and keep jobs.
- Five projects with mixed goals focus on job placement, retention, and advancement—in that order—for welfare recipients looking for jobs.

The national evaluation uses a rigorous research design to analyze the process and implementation (e.g., operation of programs and the challenges they encounter), impact (e.g., extent to which the programs improve retention, advancement, and other outcomes), and cost-benefit of each program. In each site, individuals are randomly assigned to the treatment group (i.e., ERA programs) or the control group (i.e., services that do not include ERA programs) except in Cleveland, Ohio, where employers are assigned randomly.

The evaluation draws on administrative (e.g., TANF, food stamps, UI earnings) and fiscal records, surveys of participants (e.g., employment, income, service receipt, and family and child well-being), and field visits to the sites (e.g., observation, discussions, program documents, and case file reviews). Prior to studying any site, MDRC and the Lewin Group offer technical assistance to the site to develop and pilot test its demonstration projects and to develop random assignment and data collection procedures. Following random assignment, MDRC assesses the early implementation of the program to help the site refine and strengthen it.

For more information:

U.S. Department of Health and Human Services. (2002, February). *New strategies to promote stable employment and career progression: An introduction to the Employment Retention and Advancement Project.* Washington, DC: Author. Available at **http://www.mdrc.org/Reports2002/era_conferencerpt/era_2000_2001.pdf**

http://www.mdrc.org/

http://www.acf.dhhs.gov/programs/opre/

Date(s)/Periodicity

The evaluation will last for 8 years. It began in September 1999 and is scheduled to conclude in September 2007. Site development occurred from fall 1999 through winter 2003. Pilot assessments occurred from spring 2001 through 2003. Technical assistance and feedback have been ongoing through 2003. Random assignment and the collection of baseline data have been staggered, with the first sites starting in mid 2001 and the last site projected to conclude random assignment in March 2005. Post-random-assignment assessments occurred in 2002 and 2003. Implementation research will occur in 2002 through 2005. A 12-month survey in the field will occur during 2003 and 2005. The 36-month survey will begin in late 2005.

Population/Sample

Fifteen ERA programs are being implemented across eight states:

- California: Los Angeles County (two sites) and Riverside County (two sites)
- Illinois
- Minnesota
- New York: New York City
- Ohio
- Oregon: Medford, Eugene, and Salem
- South Carolina
- Texas: Corpus Christi, Houston, Ft. Worth

A majority of the ERA projects are in urban areas, and most are relatively large and enroll approximately 1,000 to 2,000 people during a 1- to 2-year period. The final expected sample size is more than 40,000 individuals. All programs target low-income individuals, especially current and former recipients of TANF.

For more information:

U.S. Department of Health and Human Services. (2002, February). *New strategies to promote stable employment and career progression: An introduction to the Employment Retention and Advancement Project.* Washington, DC: Author. Available at **http://www.mdrc.org/Reports2002/era_conferencerpt/era_2000_2001.pdf**

http://www.mdrc.org/

Content Covered

The ERA 12-month survey covers a number of areas: participation in employment-related and education activities, educational attainment, employment history, barriers to employment, program message and experiences of program, marital status, household size, and child care, transportation, health coverage, household income, health status, and an additional module for the "hard to employ" on physical and emotional health.

Availability of Data for Public Use

Data for public use is not yet available.

Reference List for Users' Guide, Codebooks, Methodology Report(s)

U.S. Department of Health and Human Services. (2002, February). New strategies to promote stable employment and career progression: An introduction to the Employment Retention and Advancement Project. Washington, DC: Author.

Reports about early impacts are expected beginning in mid 2004. The implementation and preliminary impacts are for an early cohort of enrollees for each site. ERA programs will be covered in separate interim reports in 2005 - 2006. Reports that explore specific topics from a cross-program perspective will be released periodically. A final report including impacts and cost-benefits is expected in 2007.

BUILDING STRONG FAMILIES

Purpose

The Building Strong Families evaluation will assess the effectiveness of interventions targeting low-income unwed parents at or near the birth of their child. Programs and services will focus on providing to interested unwed parents the skills and knowledge necessary to enter into and sustain healthy marriages, improve relationships and family functioning, and increase child and family well-being. Evaluators will work with state and local officials in up to six sites. The evaluation will include a process and implementation study as well as a random assignment impact study. The goals of the evaluation are to increase knowledge about policies, services and programs, and service delivery approaches that offer promise for improving child and parental well-being by increasing healthy marriage.

The study will address the following questions:

- What are the issues and challenges in designing, implementing, and operating programs to increase permanence and healthy marriages and thereby improve child well-being and family functioning among low-income unwed parents? What approaches are taken to provide, integrate, or add services to promote healthy marriages and build strong families? What are the characteristics of the program models and the context within which they are provided?
- What are the characteristics of couples targeted by programs? What are the strategies for outreach and engagement of participants? How do program designs relate to the characteristics of those targeted (i.e., how do targeting decisions affect program design decisions)?
- What are the net impacts on the attitudes and expectations of low-income parents regarding marriage?
- What are the net impacts on the rate of marriage, the level of relationship stability, and the quality of relationships among parents?
- What are the net impacts on measures of child well-being (e.g., cognitive, social, emotional, health) and parental well-being (e.g., emotional, health, economic)?
- What program designs work best? Do program effects vary for couples and families with different characteristics?
- In what ways can the experimental design be exploited to answer additional questions through non-experimental methods (e.g., what is the role of marriage in relation to other factors in the outcomes observed)?

For more information:

http://www.acf.dhhs.gov/programs/opre/

U.S. Department of Health and Human Services (2002). *Building Strong Families statement of work.* Washington, DC: Author.

http://www.buildingstrongfamilies.info

Agencies/Institutions

Building Strong Families is sponsored by the U.S. Department of Health and Human Services, Administration for Children and Families, and is being conducted by Mathematica Policy Research, Inc. and its subcontractors: Manpower Demonstration Research Corporation; The Urban Institute; Decision Information Resources, Inc.; and Public Strategies, Inc.

Research/Survey Design

The evaluation will be longitudinal and will include a process and implementation study and an impact study. The impact study will randomly assign couples to treatment and control groups in each site.

For more information:

http://www.acf.dhhs.gov/programs/opre/

Date(s)/Periodicity

The Building Strong Families evaluation began in September 2002 and is scheduled to end in September 2011. The team is currently building the program model and taking initial steps toward recruiting sites for the evaluation.

Population/Sample

The primary focus of the program intervention will be on low-income, unwed couples at or near the birth of their child. To most accurately measure the effects of different interventions and services, the evaluation will use randomization to assign couples to treatment and control groups. It is expected that programs to be evaluated will be comprehensive in the range of services provided; the services to be evaluated will be available to enrolled families over an extended period (perhaps 12–30 months). It is also expected that programs selected for the study will be able to enroll about1,000 mother-father pairs into the research sample (i.e., approximately 500 in the experimental group and 500 in the control group) over an 18-to-24-month period.

For more information:

U.S. Department of Health and Human Services (2002). *Building Strong Families statement of work.* Washington, DC: Author.

Content Covered

Measures have not yet been selected, but relationship quality will be included as a construct.

Availability of Data for Public Use

Data for public use is not yet available.

Reference List for Users' Guide, Codebooks, Methodology Report(s)

Users' Guides, Codebooks, and Reports are not yet available.

Updated information on the Building Strong Families evaluation can be found at: http://www.buildingstrongfamilies.info

HEAD START FAMILY AND CHILD EXPERIENCES SURVEY (FACES)

Purpose

The Head Start Family and Child Experiences Survey (FACES) is a national longitudinal study of the cognitive, social, emotional, and physical development of Head Start children; the characteristics, well-being, and accomplishments of their families; the observed quality of Head Start classrooms; and the characteristics, needs, and opinions of Head Start teachers and other program staff. The study began with a field-test sample in spring 1997. Data collection on the first cohort of the FACES main study (referred to as FACES 1997) began in fall 1997 and concluded in spring 2001. FACES 1997 also included a validation substudy or embedded case study to provide a more complete profile of Head Start families and children, their neighborhoods, and their interactions with Head Start. The FACES 1997 case study provides in-depth cross-sectional and longitudinal descriptive data, both qualitative and quantitative, over a 2-year period. This embedded case study is unique to FACES 1997 and was not a part of the subsequent FACES studies.

Since the conclusion of the study on this initial cohort of FACES, two new national cohorts of FACES were launched. The second national cohort of FACES was launched in fall 2000 (FACES 2000) and data collection concluded in spring 2003. Data on a third national cohort (FACES 2003) were collected in fall 2003 and will conclude in spring 2006.

FACES was designed to address the Head Start Program Performance Measures assessing the quality and effectiveness of Head Start programs. These Program Performance Measures are based on the ultimate goal of Head Start: to promote the school readiness of Head Start children.

- Does Head Start enhance children's development and school readiness?
- Does Head Start strengthen families as primary nurturers of their children?
- Does Head Start provide children with high-quality educational, health, and nutritional services?
- Does Head Start link children and families to needed community services?
- Does Head Start ensure well-managed programs that involve parents in decision making?

The following FACES report is available on the U.S. Department of Health and Human Services Web site at http://www.acf.hhs.gov/programs/core/pubs_reports/faces/PMC3rdReport.pdf :

U.S. Department of Health and Human Services. (2001, January). *Head Start FACES: Longitudinal findings on program performance, third progress report.* Washington, DC: Author.

For more information:

http://www.acf.hhs.gov/programs/core/index.html.

Agencies/Institutions

The FACES evaluation is sponsored by the U.S. Department of Health and Human Services, Administration for Children and Families. The project team for FACES 1997 included Westat (prime contractor), Abt Associates, Ellsworth Associates, and the CDM group. The project team for FACES 2000 included Westat (prime contractor), Xtria (formerly Ellsworth Associates), and the CDM group. The project team for FACES 2003 included Westat (prime contractor), Xtria, and the CDM group.

Research/Survey Design

FACES is a national, longitudinal, nonexperimental evaluation of children and families participating in the Head Start program. Each cohort of FACES employs a nationally representative sample of Head Start programs, centers, classrooms, children, and parents. Each sample is stratified by three variables: region of the country (northeast, Midwest, south, or west); urbanicity (urban versus rural); and percentage of minority families in the program (50 percent or more versus less than 50 percent). Data collection methods included child assessments, parent interviews, teacher reports, staff interviews, and classroom observations. Since its inception, FACES has involved an initial field-test sample and three nationally representative cohorts: FACES 1997, FACES 2000, and FACES 2003.

FACES 1997 field test. FACES was field tested in spring 1997 with 2,400 3-, 4-, and 5-year-olds and their parents in a nationally stratified random sample of 40 Head Start programs. These children were followed up in spring 1998 when the children were in kindergarten. Data were collected for 1,428 children.

FACES 1997. Data from the initial cohort for the main study of FACES1997 were first collected in fall 1997 on 3,200 children and families from the same 40 Head Start programs employed in the field test. Data were collected on 1,200 3-year-olds new to Head Start; 1,280 4- and 5-year-olds new to Head Start; and 720 4- and 5-year-olds who were in the field-test study and returning for another year of Head Start. Data on these children were also collected in spring 1998 (spring of the Head Start year), spring 1999 (spring of the kindergarten year or spring of the Head Start year for those who were 3 years old in fall 1997), spring 2000 (spring of first grade year or spring of kindergarten for those who were 3 years old in fall 1997), and then spring 2001 (spring of the first-grade year for those who were 3 years old in fall 1997).

FACES 1997 also included a validation substudy or embedded case study of 120 randomly selected families from the larger FACES sample to provide a more complete profile of Head Start families and children, their neighborhoods, and their interaction with Head Start. This case study provided in-depth, cross-sectional and longitudinal descriptive qualitative and quantitative data over a 2 year period. (NB. The embedded case study was not a part of FACES 2000 or FACES 2003). Data collection included in-person parent interviews, home and neighborhood observations, monthly telephone contacts for demographic updates, and community agency interviews regarding the amount and overall nature of collaboration between the agency and the Head Start program.

FACES 2000. A new national cohort of FACES was launched in fall 2000 (FACES 2000). Beginning in fall 2000, data from 2,800 children and families in a new nationally stratified random sample of 43 Head Start programs were collected to ascertain what progress was made in improving program performance. Data were collected in fall 2000, spring 2001, spring 2002 (when children were in kindergarten or in a second year of Head Start), and spring 2003 (when the children who were 3 years old in fall 2000 were in kindergarten).

FACES 2003. Data on a third national cohort (FACES 2003) were collected in fall 2003. Data from 2,700 children and families in a new nationally stratified random sample of 66 programs were collected in fall 2003 and will be collected in spring 2004, spring 2005 (when children are in kindergarten or in a second year of Head Start), and spring 2006 (when the children who were 3 years old in fall 2000 are in kindergarten).

For more information:

http://www.acf.hhs.gov/programs/core/index.html.

Date(s)/Periodicity

FACES 1997 had six phases of data collection and followed 3- and 4-year-old Head Start children from entry into Head Start, through 1 or 2 years of program participation, with follow-up in spring of kindergarten and spring of first grade. The FACES 1997 evaluation began in spring 1997 and concluded in spring 2001. The first phase was a spring 1997 field test. Phases two and three of FACES occurred in fall 1997 (Wave 1) and spring 1998 (Wave 2), which were the fall and spring of the children's first year of Head Start. Phase four occurred in spring 1999; phase five, in spring 2000; and phase six, in spring 2001.

A new national cohort of FACES was launched in fall 2000. FACES 2000 features four phases of data collection and follows 3- and 4-year-old Head Start children from program entry through spring of kindergarten. Data were collected in fall 2000, spring 2001, spring 2002, and spring 2003. The third national cohort of FACES, FACES 2003, also includes four phases of data collection, following 3- and 4-year-old Head Start children from program entry through spring of kindergarten: fall 2003, spring 2004, spring 2005, and spring 2006.

FACES 1997 involved data collection up until spring of the first-grade year. FACES 2000 and FACES 2003 involved data collection until spring of the kindergarten year. FACES 1997 also included a validation substudy, which was not included in FACES 2000 or FACES 2003.

For more information:

http://www.acf.hhs.gov/programs/core/index.html.

Population/Sample

FACES is a representative sample of 3,200 children who were 3 and 4 years old and their parents in a nationally, stratified random sample of 40 Head Start programs. The sample was

stratified by three variables: region of the country, urbanicity, and percentage of minority families in the program. Response rates for the first two cohorts of FACES are as follows.

FACES 1997

Fall 1997: Of the 40 programs that participated, at least one classroom was observed in 180 out of 181 centers (*n* = 506), so classroom quality data was collected for 2,560 of the 3,006 children in the main study sample (85 percent). Assessment, parent, or teacher data were obtained on 2,657 of the 3,006 sample children (88 percent). Parent interviews were completed for 2,424 out of the 3,006 families selected for the sample (81 percent). Child assessments were completed for 2,451 out of 3,006 children (82 percent). Teacher report forms were obtained on 2,557 of the sample children (85 percent).

Spring 1998: Assessment, parent, or teacher data were obtained for 2,352 of the children (78 percent). A total of 480 classrooms were observed, so classroom quality data were obtained for 2,116 of the children (90 percent). Parent interviews were completed for 2,155 children (70 percent of the original sample). Spring child assessments were completed for 2,183 children (73 percent of the original sample). Teacher report forms were obtained for 2,234 children (74 percent of the original sample).

Spring 1999: Assessment, parent, or teacher data were obtained for 2,068 children (81 percent of children targeted for follow-up and 69 percent of original sample). Data were obtained on 1,067 kindergarten children (75 percent of those designated for follow-up) and 1,001 children in their second year of Head Start (88 percent of those designated for follow-up). Parent interviews were completed for 1,058 kindergarten children (75 percent) and 881 Head Start children (77 percent). Developmental assessments were completed for 989 kindergarten children (70 percent) and 965 Head Start children (84 percent). Teacher report forms were obtained for 786 kindergarten children (55 percent) and 851 Head Start children (74 percent).

FACES 2000

A new national cohort of FACES was launched in fall 2000 with a national probability sample of 2,800 children entering Head Start in 43 new Head Start programs.

- **Response rates for Fall 2000:**

  — 2,508 child assessments were completed out of 2,790 (90 percent).
  — 2,488 parent interviews were completed out of 2,790 families selected for the sample (89 percent).
  — Teacher report forms were obtained on 2,532 of the sample children (91 percent).
  — Assessment, parent, and teacher data were obtained on 2,396 of the 2,790 sample children (86 percent).
  — 278 classrooms were observed out of 286 in the sample (97 percent).

- **Response rates for Spring 2001:**
  - 2,232 child assessments were completed out of 2,288, representing 98 percent of the children who remained in the program, and 80 percent of the original sample (2,790).
  - 2,166 parent interviews were completed out of 2,288, representing 95 percent of the children who remained in the program, and 78 percent of the original sample.
  - Teacher report forms were obtained on 2,236 of the sample children, representing 98 percent of the children who remained in the program and 80 percent of the original sample.
  - Assessment, parent, and teacher data were obtained on 2,115 of the 2,288 sample children who remained in the program (92 percent).
  - A total of 275 classrooms were observed out of 284 in the sample (97 percent).

- **Response rates for Spring 2002 (Kindergartners Only)**

  - 831 child assessments were completed out of 979, representing 85 percent of the children who were in kindergarten in spring, 2002.
  - 901 parent interviews were completed out of 979, representing 92 percent of the children who were in kindergarten in spring, 2002.
  - Teacher report forms were obtained on 681 of the children, representing 70 percent of the children who were in kindergarten in spring, 2002.
  - Assessment, parent, and teacher data were obtained on 624 of the 979 children who were in kindergarten in spring, 2002 (64 percent).

Each cohort of FACES has approximately equal numbers of girls and boys. Representative samples of white, African American, Hispanic, and children of other races were included.

The following FACES report is available on the U.S. Department of Health and Human Services Web site at http://www.acf.hhs.gov/programs/core/pubs_reports/faces/PMC3rdReport.pdf.

U.S. Department of Health and Human Services. (2001, January). *Head Start FACES: Longitudinal findings on program performance, third progress report.* Washington, DC: Author. Available at

For more information:

http://www.acf.hhs.gov/programs/core/index.html.

Content Covered

Data collection methods for the main samples included child assessments, parent interviews, staff interviews, and classroom instruments. Instruments for the FACES 1997, FACES 2000, and FACES 2003 studies have remained largely to ensure the comparability among the cohorts, with some minor revision based on field experiences and newly released versions of the instruments or as measures with acceptable psychometric properties become available.

The child assessment covered cognitive outcomes and socio-emotional outcomes, including children's language, literacy, and numeracy development, and their self-regulation and socio-emotional development. The parent interviews covered areas such as activities with the child,

disabilities, the child's activities, the child's behavior, household rules, the parent and family, employment and income, community services, child care, family health care, home safety, home and neighborhood characteristics, the parent's feelings, satisfaction with Head Start, and getting ready for kindergarten. Staff questionnaires included center director interviews, education coordinator interviews, classroom teacher interviews, family service worker interviews, and teacher self-administered surveys. These questionnaires included information about employment and educational background, parent involvement, curriculum and classroom activities, home visits, children's functioning and capabilities, in-service training, and case management. Classroom instruments were selected to assess the quality of the early childhood environment, such as caregiver's behavior toward the children, the schedule that the classroom follows, the developmental appropriateness of the classroom activities, and the ratio of staff to children.

Data collection methods for the validation substudy for FACES 1997 included home visit parent interviews, home and neighborhood observations, monthly telephone contacts with the family, and community agency telephone interviews. The home visit parent interviews were semi-structured, open-ended interviews conducted with Head Start parents regarding their families, their experiences with Head Start, and their neighborhoods. Home and neighborhood observations were reported by the interviewers and by the families during home visits. Monthly telephone contacts provided family updates on changes in household composition, child care arrangements, employment status, health status, and Head Start participation. Lastly, community agency telephone interviews were conducted to assess the amount and overall nature of collaboration between their agency and the Head Start program.

For more information:

http://www.acf.hhs.gov/programs/core/index.html.

Availability of Data for Public Use

Data for public use is not yet available.

Reference List for Users' Guide, Codebooks, Methodology Report(s)

A number of FACES reports are available on the U.S. Department of Health and Human Services Web site at http://www.acf.hhs.gov/programs/core/ongoing_research/faces/faces_pubs_reports.html.

The reports include the following:

U.S. Department of Health and Human Services. (2003, June). *Head Start FACES (2000): A whole child perspective on program performance, fourth progress report.* Washington, DC: Author.

U.S. Department of Health and Human Services. (2002, January). *A descriptive study of Head Start families: FACES technical report I.* Washington, DC: Author.

U.S. Department of Health and Human Services. (2001, January). *Head Start FACES: Reaching out to families: Head Start recruitment and enrollment practices.* Washington, DC: Author.

U.S. Department of Health and Human Services. (2001, January). *Head Start FACES (1997): Longitudinal findings on program performance, third progress report.* Washington, DC: Author.

U.S. Department of Health and Human Services. (2000, June). *FACES findings: New research on Head Start program quality and outcomes.* Washington, DC: Author.

U.S. Department of Health and Human Services. (1998, June). *Head Start FACES (Pilot): Program performance measures, second progress report.* Washington, DC: Author.

Information about presentations and papers is available at http://www.acf.hhs.gov/programs/core/ongoing_research/faces/faces_pres_papers.html.

More information about the validation substudy is available in the following paper:

Vaden-Kiernan, M., D'Elio, M. A., & Sprague, K. (n.d.). *The FACES embedded case study: Documenting the methodology and early findings.* Washington, DC: U.S. Department of Health and Human Services. Available at http://www.acf.hhs.gov/programs/core/ongoing_research/faces/hs_pdf/srcdvss3.pdf

EARLY HEAD START EVALUATION AND TRACKING PRE–K (TPK) FOLLOW-UP

Purpose

The Early Head Start (EHS) program is a comprehensive, two-generation program that provides intensive services that begin before children are born and focus on enhancing children's development and supporting families during the critical first 3 years of life. Early Head Start programs are designed to produce outcomes in children's development (including health, resiliency, social competence, and cognitive and language development); family development (including parenting and relationships with children, the home environment and family functioning, family health, parental involvement, and economic self-sufficiency); staff development (including professional development and relationships with parents); and community development (including enhanced child care quality, community collaboration, and integration of services to support families with young children). A two-phase national evaluation was launched to examine the impacts of the EHS program. The first phase (birth to 3; 1996–2001) involved five types of studies, including an impact study of children ages 0 to 3 and focused on child and family development outcomes. The second phase (pre-kindergarten follow-up; 2001–2004) involved the TPK longitudinal follow-up of the EHS study children and families from the program and control groups as the children were entering kindergarten to answer policy-relevant questions related to child experiences after EHS.

The EHS and TPK evaluations had two overarching goals:

- To understand the extent to which the EHS intervention can be effective for infants and toddlers and their low-income families
- To understand what kinds of programs and services can be effective for children and families with different characteristics living in varying circumstances and served by programs with varying approaches

To reach the goals of the evaluation, the study asked four key questions:

- How do EHS programs affect child, parent, and family outcomes?
- How do different program approaches and community contexts affect these outcomes?
- How do program implementation and services affect outcomes?
- How do the characteristics of children and families affect outcomes?

For more information:

U.S. Department of Health and Human Services. (2002, June). Making a difference in the lives of infants and toddlers and their families: The impacts of Early Head Start. Volume I: Final technical report. Washington, DC: Author. Available at **http://www.acf.hhs.gov/programs/core/ongoing_research/ehs/impacts_vol1/impacts_vol1.pdf; http://www.mathematica-mpr.com/; http://www.acf.hhs.gov/programs/core/index.html**

Agencies/Institutions

The birth-to-3 phase of the EHS evaluation (1996–2001) was funded by the Administration for Children and Families in the U.S. Department of Health and Human Services. The contractor for the evaluation is Mathematica Policy Research (MPR) and the subcontractor is the Center for Children and Families at Columbia University, Teachers College. The TPK follow-up phase (2001–2004) is also funded by the Administration for Children and Families in the U.S. Department of Health and Human Services. Mathematica Policy Research is the contractor. In 1997, the National Institute of Child Health and Human Development (NICHD) provided funds (through ACYF) to add a major study of the fathers of EHS children.

Research/Survey Design

The birth-to-3 phase (1996–2001) of the EHS evaluation included 3,001 families in 17 program sites randomly assigned to the EHS program or to a control group. The birth-to-3 EHS evaluation was a longitudinal study that included five types of studies:

- An ***implementation study*** examined service needs and service use for low-income families with infants and toddlers to assess program implementation, understand programs' theories of change, illuminate pathways to achieving quality, examine program contributions to community change, and identify and explore variations across sites. This study examined the level to which programs had implemented the Head Start Program Performance Measures by 1997 and 1999. Sources of data included three rounds of site visits, program documents, self-administered staff surveys, and application and enrollment forms. Round 1 site visits occurred in summer and fall 1996. Round 2 site visits occurred in fall 1997. Round 3 site visits occurred in summer 1999.
- An ***impact evaluation*** analyzed the effects of Early Head Start programs on children, parents, and families in depth, using an experimental design; descriptive analyses will assess outcomes for program staff and communities. The evaluation occurred in 17 sites purposively selected to reflect all EHS programs. From these sites, 3,001 families were randomly assigned to participate in Early Head Start or a control group. Control group families could use other services in the community. Data were collected from multiple sources to determine how participation in Early Head Start affects children and their families. There were direct child assessments, observations of the parent-child relationships and the home environment, parent interviews about child and family functioning, and

family service use information. A study of the fathers of EHS children was also included to study the development of fathers' roles, document the fathers' interactions with their children and with the children's mothers, and learn how fathers influence children's development.

- ***Local research studies*** were undertaken by local university-based researchers who partnered with EHS programs to learn more about the pathways to desired outcomes for infants and toddlers, parents and families, staff, and communities.
- ***Policy studies*** responded to information needs in areas of emerging policy-relevant issues, including welfare reform, fatherhood, child care, and children with disabilities.
- ***Formats for continuous program improvement*** guided all EHS programs in formative evaluation.

The pre-kindergarten follow-up phase (TPK; 2001–2004) is the longitudinal follow-up of the EHS children and their families from the program and control groups as the children were entering kindergarten. The outcome measures largely parallel the domains of children's development and parenting, fathers, and observations of child care and other program settings as assessed in the early years. During this phase, MPR is coordinating the data collection that 15 university research partners are conducting in the 17 sites, entering the data, and creating data files for the Early Head Start Research Consortium to use.

For more information:

U.S. Department of Health and Human Services. (2002, June). Making a difference in the lives of infants and toddlers and their families: The impacts of Early Head Start. Volume I: Final technical report. Washington, DC: Author. Available at **http://www.acf.hhs.gov/programs/core/ongoing_research/ehs/impacts_vol1/impacts_vol1.pdf; http://www.mathematica-mpr.com/; http://www.acf.hhs.gov/programs/core/index.html**

Date(s)/Periodicity

The birth-to-3 phase of the EHS evaluation began in October 1996 and concluded in September 2001. The TPK follow-up phase began in October 2001 and is scheduled to conclude in September 2004. Three sets of site visits occurred for the implementation study: Round 1 was in summer and fall of 1996; round 2 was in fall 1997; and Round 3 was in summer 1999. Direct child assessments, observations of parent-child relationships and the home environment, observations of nonmaternal child care settings, parent interviews, and family service use information were used for the impact study. The direct child assessments, observations of parent-child relationships and the home environment, observations of non-maternal child care settings, and parent interviews occurred when children were 14, 24, and 36 months old. Family service use, health status, and employment-related outcomes were assessed 7, 16, and 28 months after program intake and when families exited EHS. Father interviews and videotapes of father-child interactions occurred when the children were 24 and 36 months old.

For more information:

U.S. Department of Health and Human Services. (2002, June). *Making a difference in the lives of infants and toddlers and their families: The impacts of Early Head Start. Volume I: Final technical report.* Washington, DC: Author. Available at **http://www.acf.hhs.gov/programs/core/ongoing_research/ehs/impacts_vol1/impacts_vol1.pdf**

Population/Sample

The EHS and TPK follow-up was implemented in 17 EHS programs in all regions of the country. Programs offered center-based, home-based, and mixed-approach services. The families and children who participated in the evaluation were diverse. Many of the families were single-parent, were ethnically diverse (including Hispanic, African American, and white), did not speak English as their primary language, had relatively low educational attainment, and were receiving public assistance of some kind (e.g., Medicaid, WIC, food stamps, AFDC or TANF, and SSI benefits).

Response rates to the various data sources were as follows:

Data Source	Program Group	Control Group	Combined Sample
PSI* at 6 months	83.9	79.3	81.6
PSI at 15 months	76.1	74.4	75.2
PSI at 26 months	71.1	67.9	69.5
PI** at 14 months	79.1	77.1	78.1
PI 24 at months	73.9	70.4	72.2
PI 36 at months	73.2	67.4	70.3
Bayley at 14 months	64.2	61.2	62.7
Bayley at 24 months	61.5	57.1	59.4
Bayley at 36 months	58.1	52.4	55.3
VA*** at 14 months	66.5	65.2	65.8
VA at 24 months	62.2	57.5	59.9
VA at 36 months	57.8	52.7	55.3

*PSI = Parent Service Interview
**PI = Parent Interview
***VA = Video Assessment

For more information:

U.S. Department of Health and Human Services. (2002, June). Making a difference in the lives of infants and toddlers and their families: The impacts of Early Head Start. Volume I: Final technical report. Washington, DC: Author. Available at **http://www.acf.hhs.gov/programs/core/ongoing_research/ehs/impacts_vol1/impacts_vol1.pdf**

Content Covered

The data will provide a rich source of information on a wide range of topics of interest to policymakers, educators, and developmental psychologists. Topics that will be investigated and reported on include the use of services both in and out of Early Head Start; progress toward economic self-sufficiency; family health; children's health; children's development; child care; parental involvement; parenting processes; school readiness; family functioning; father-child relationship and the role of fathers in children's lives; and program characteristics.

For more information:

U.S. Department of Health and Human Services. (2002, June). Making a difference in the lives of infants and toddlers and their families: The impacts of Early Head Start. Volume I: Final technical report. Washington, DC: Author. Available at **http://www.acf.hhs.gov/programs/core/ongoing_research/ehs/impacts_vol1/impacts_vol1.pdf**

Availability of Data for Public Use

ACF will make the EHS evaluation data files available through two channels. ICPSR at the University of Michigan will have a public use file ready by early 2004, and a more complete data file will be available on a restricted-use basis through the Murray Center at Radcliffe College.

Reference List for Users' Guide, Codebooks, Methodology Report(s)

A number of reports are available on the U.S. Department of Health and Human Services website: **http://www.acf.hhs.gov/programs/core/ongoing_research/ehs/ehs_reports.html#briefs**

The reports include the following:

- U.S. Department of Health and Human Services. (2002, December). *Pathways to quality and full implementation in Early Head Start Programs.* Washington, DC: Author.
- U.S. Department of Health and Human Services. (2002, June). *Making a difference in the lives of infants and toddlers and their families: The impacts of Early Head Start. Executive summary.* Washington, DC: Author.

- U.S. Department of Health and Human Services. (2002, June). *Making a difference in the lives of infants and toddlers and their families: The impacts of Early Head Start. Volume I: Final technical report.* Washington, DC: Author.
- U.S. Department of Health and Human Services. (2002, June). *Making a difference in the lives of infants and toddlers and their families: The impacts of Early Head Start. Volume II: Final technical report appendixes.* Washington, DC: Author.
- U.S. Department of Health and Human Services. (2002, June). *Making a difference in the lives of infants and toddlers and their families: The impacts of Early Head Start. Volume III: Local contributions to understanding programs and their impacts.* Washington, DC: Author.
- U.S. Department of Health and Human Services. (2001, June). *Building their futures: How Early Head Start programs are enhancing the lives of infants and toddlers in low-income families. Volume I: Technical report.* Washington, DC: Author.
- U.S. Department of Health and Human Services. (2001, June). *Building their futures: How Early Head Start Programs are enhancing the lives of infants and toddlers in low-income families. Volume II: Technical report, appendixes.* Washington, DC: Author.
- U.S. Department of Health and Human Services. (2001, June). *Building their futures: How Early Head Start programs are enhancing the lives of infants and toddlers in low-income families. Summary report.* Washington, DC: Author.
- U.S. Department of Health and Human Services. (1999, December). *Leading the way: Characteristics and early experience of selected Early Head Start programs. Volume I: Cross-site perspectives.* Washington, DC: Author.
- U.S. Department of Health and Human Services. (2000, December). *Leading the way: Characteristics and early experience of selected Early Head Start programs. Volume II: Program profiles.* Washington, DC: Author.
- U.S. Department of Health and Human Services. (2000, December). *Leading the way: Characteristics and early experience of selected Early Head Start programs. Volume III: Program implementation.* Washington, DC: Author.
- U.S. Department of Health and Human Services. (2000, December). *Leading the way: Characteristics and early experience of selected Early Head Start programs. Executive summary, Volumes I, II, and III.* Washington, DC: Author.

For other papers, please refer to the Early Head Start Collection of Consortium-Written Research Articles and Reports located at: http://www.acf.dhhs.gov/programs/core/ongoing_research/ehs/ehs_papers.html

NATIONAL HEAD START IMPACT STUDY

Purpose

As part of Head Start's reauthorization in 1998, Congress mandated that the Department of Health and Human Services conduct a national study to determine the impact of Head Start on the children it serves, which led to the National Head Start Impact Study (HSIS). HSIS has two primary goals:

- To compare on a national basis the school readiness of children who are enrolled in Head Start with that of children who do not participate in the program
- To determine under which conditions Head Start works best and for which children

To reach these goals, the study asked two key questions:

- Does Head Start improve children's school readiness, including approaches to learning, language development and emergent literacy, mathematical ability, physical well-being, motor development, and social and emotional development? In addition, how does Head Start affect parental practices that contribute to children's school readiness and to what extent are these parental practices related to child development outcomes?
- Under which conditions does Head Start work best and for which children (e.g., differences among children attending Head Start, differences in children's home environments, different types of Head Start programs available, and availability and quality of other child care and preschool programs)?

For more information:

http://www.acf.dhhs.gov/programs/core/index.html

Agencies/Institutions

The National Head Start Impact Study is funded by the Administration for Children and Families in the U.S. Department of Health and Human Services. Westat (prime contractor) conducts the study in collaboration with the Urban Institute, the American Institutes for Research, and Decision Information Resources (the subcontractors).

Research/Survey Design

The National Head Start Impact Study is a longitudinal (Head Start through grade 1), experimental study. Data are collected from multiple sources, including individual child assessments, parent interviews, staff surveys, teacher reports, direct observation of the quality of care settings, and collection of community information. Please refer to the population/sample section below for information on sample selection.

For more information:

U.S. Department of Health and Human Services. (2001, March). *Building futures: The Head Start Impact Study research design plan* (updated version). Washington, DC: Author. Available at **http://www.acf.hhs.gov/programs/core/ongoing_research/hs/impact_reports.html#resrch**

http://www.acf.hhs.gov/programs/core/index.html

Date(s)/Periodicity

The Head Start Impact Study began in September 2000 and is scheduled to conclude in December 2006. A pilot test was conducted in 2001. The recruitment of Head Start programs for the full-scale study occurred in spring 2001, and the selection and random assignment of children occurred in the spring and fall 2002. Data collection for the full-scale study began in fall 2002. Data collection will continue through 2006. The data collection schedule is as follows:

School Year		02–03		03–04		04–05		05–06	
Pre-k yr/grade for C1		3 yr old pre-k		4 yr old pre-k		K		Gr. 1	
Pre-k yr/grade for C2		4 yr old pre-k		K		Gr. 1			
Data Source	**Cohort**	**Fall**	**Spring**	**Fall**	**Spring**	**Fall**	**Spring**	**Fall**	**Spring**
1	C1	X	X		X		X		X
	C2	X	X		X		X		
2	C1	X	X	X	X	X	X	X	X
	C2	X	X	X	X	X	X		
3	C1						X		X
	C2				X		X		
4	C1		X		X		X		X
	C2		X		X		X		
5	C1		X		X		X		X
	C2		X		X		X		

Legend:
1 = Children
2 = Primary Caregivers
3 = Administrative Records
4 = Program Staff/Other Care Providers and Elementary School Teacher
5 = Quality of Care Settings
C = Cohort

For more information:

U.S. Department of Health and Human Services. (2001, March). *Building futures: The Head Start Impact Study research design plan* (updated version). Washington, DC: Author. Available at **http://www.acf.hhs.gov/programs/core/ongoing_research/hs/impact_reports.html#resrch**

http://www.acf.hhs.gov/programs/core/index.html

Population/Sample

The Head Start Impact Study involves 4,750 (2,829 treatment and 1,921 control) 3- and 4-year-old newly entering Head Start–eligible preschool children across 84 nationally representative grantees and delegate agencies in communities where there are more eligible children and families than can be served by the program. Of the 4,750 children selected for the study, approximately 42 percent are Hispanic, 27 percent are Black, 28 percent are White, and 3 percent are other. Sixty-six percent of the children speak English as their primary language, 31 percent speak Spanish, and 3 percent speak a language other than Spanish or English. Gender is evenly split on the child sample.

The sample selection process began by including all FY 1999-2000 Head Start grantees and delegate agencies in all 50 states, Washington, DC, and Puerto Rico. Programs that were very new, migrant, tribal, or that offered Early Head Start only were excluded. Geographic grantee clusters were developed using a minimum of eight grantees/delegate agencies per cluster, and the clusters were grouped into 25 strata using state pre-K and childcare policy, child race/ethnicity, urban rural location and region as stratifiers. One cluster was selected per strata with probability proportional to size (N=261 grantees/delegate agencies). In the next step, the eligibility of grantees/delegate agencies in each cluster was determined. Those that were closed or merged and those that were saturated (have very few children in the community who are not served) were excluded. Remaining grantees/delegate agencies within the clusters were then stratified based on grantee/delegate agency characteristics including local contextual variables. Three grantees/delegate agencies were randomly selected from each cluster. These grantees/delegate agencies were contacted for participation in the study and the list of centers operating within these grantees/delegate agencies in 2002-2003 was compiled. Center eligibility was determined by excluding saturated centers and combining small centers with nearby centers to create center groups. Using the same stratification characteristics as used for the grantees/delegate agencies, approximately three centers were selected from each grantee/delegate agency based on proportional probabilities (i.e., larger centers have greater chance of selection). The final sample included 378 centers within 84 grantees/delegate agencies. Once the centers were selected, random assignment of children within these centers resulted in 2,829 children in the treatment group and 1,921 children in the comparison group for a total of 4,750 children.

Children selected were considered part of one of two cohorts. Cohort one included children who were 3-years-old in the 2002-2003 school year. Cohort one will be followed through 2005-2006, when they will have reached first grade. Cohort two consists of children who

were 4-years-old during the 2002-2003 school year, and thus moving into kindergarten in the 2003-2004 school year. Cohort two will be followed through their first grade year in 2004-2005.

For more information:

http://www.acf.dhhs.gov/programs/core/index.html

Content Covered

Information collected includes children's school readiness in various developmental areas (e.g., physical well-being, motor skills, socioemotional development, approaches to learning, language development and emerging literacy, and mathematical ability); child behavior problems, social skills and competencies; parental beliefs and attitudes toward children's learning; parenting practices; family resources and risk factors; demographic and socio-economic data; participation in and satisfaction with the program; family structure; the structure, process, and quality of Head Start, child care, and school settings; and community formal and informal family support services.

For more information:

http://www.acf.hhs.gov/programs/core/index.html

Availability of Data for Public Use

Data for public use is not yet available.

Reference List for Users' Guide, Codebooks, Methodology Report(s)

Research design documents are available at **http://www.acf.hhs.gov/programs/core/ongoing_research/hs/impact_reports.html#resrch**

Other available reports include the following:

- U.S. Department of Health and Human Services. (2003, March). *Building futures: Head Start Impact Study frequently asked questions*. Washington, DC: Author.
- U.S. Department of Health and Human Services. (2001, March). *Building futures: The Head Start Impact Study research design plan (updated version).*Washington, DC: Author.
- U.S. Department of Health and Human Services. (2001, January). *Building futures: The Head Start Impact Study research design plan.* Washington, DC: Author.
- U.S. Department of Health and Human Services. (2002, June). *National Head Start Impact research: Second report to Congress.* Washington, DC: Author.
- U.S. Department of Health and Human Services. (1999, October). *Evaluating Head Start: A recommended framework for studying the impact of the program.* Washington, DC: Author.

Ongoing and updated information about the study can be found at **http://www.acf.hhs.gov/programs/core/ongoing_research/hs/impact_intro.html**.

An interim report for the full-scale study is scheduled for spring/fall 2003. The final report is projected for December 2006. As interim findings and other information regarding the study become available, they will also be posted on the study website.

NATIONAL SURVEY OF CHILD AND ADOLESCENT WELL-BEING (NSCAW)

Purpose

The National Survey of Child and Adolescent Well-Being (NSCAW), a Congressionally mandated $44 million project, is the most comprehensive study of the child welfare system ever undertaken. NSCAW is the first national longitudinal study to examine the characteristics, needs, experiences, and outcomes of children and families who come in contact with the child welfare system. Its goal is to gain an understanding of the factors that contribute to those outcomes (e.g., child and family characteristics, system-level and service features). This study also provides information about crucial programs, policies, and practices of concern to the Federal government, state and local governments, and child welfare agencies. This is the first such study to relate child and family well-being to family characteristics, experience with the child welfare system, community environment, and other contextual and individual features. NSCAW was designed to answer three main questions:

- Who are the children and families who come into contact with the child welfare system?
- What pathways and services do children and families experience while in the child welfare system?
- What are short- and long-term outcomes for these children and families?

For more information:

Dowd, K., Kinsey, S., Wheeless, S., Thissen, R., Richardson, J., Suresh, R., Mierzwa, F., Biemer, P., Johnson, I., and Lytle, T. (2003, September). *National Survey of Child and Adolescent Well-Being: Combined Waves 1-3 data file user's manual.* Ithaca, NY: Cornell University, National Data Archive on Child Abuse and Neglect.

U.S. Department of Health and Human Services, Administration for Children, Youth, and Families. (2001, June). *National Survey of Child and Adolescent Well-Being: Local child welfare agency survey: Report.* Washington, DC: Author. Available at **http://www.acf.hhs.gov/programs/core/ongoing_research/afc/wellbeing_reports.html**

http://www.rti.org/

http://www.acf.dhhs.gov/programs/opre/

http://www.acf.hhs.gov/programs/core/index.html

Agencies/Institutions

NSCAW was funded and administered by the Administration on Children, Youth, and Families (ACYF) and the U.S. Department of Health and Human Services (DHHS). The study has been conducted through collaboration among staff at the Research Triangle Institute (RTI), the University of North Carolina at Chapel Hill (UNC), Caliber Associates (Caliber), and the University of California at Berkeley (UCB).

Research/Survey Design

NSCAW is a longitudinal study using a sample representative of the population of children and families who enter the child welfare system. It includes 6,227 children from 92 primary sampling units (PSUs) in 97 counties nationwide. At the time of sampling, the children were ages birth to 14 and had contact with the child welfare system within a 15-month period that began in October 1999. Infants, sexual abuse cases, and cases receiving ongoing services after investigation were oversampled. The NSCAW sample was selected with a two-stage stratified sample design. At Stage 1, the United States was divided into nine sampling strata. Eight strata were the eight states with the largest child welfare caseloads. The ninth stratum comprised the other 42 states and the District of Columbia. Within each stratum, PSUs (i.e., geographic areas that encompass the population served by a single CPS agency) were formed and randomly selected with a probability-proportionate-to-size (PPS) procedure. After deletion of children older than 14, children who were members of the same family as a previous selected child, and children who were investigated as perpetrators of the abuse, a simple random sample of children was selected from within each domain.

Data collection involved instruments for children, current caregivers, investigative caseworkers, teachers, and state and local agencies. Data were collected in four waves; the first round of data collection began in fall 1999 and was 4 months after the close of the investigation (COI) on average, with follow-up collections conducted 12 months, 18 months, and 36 months post-COI. Baseline included face-to-face interviews and assessments with children, their parents or other permanent caregivers, non-parent adult caregivers when applicable, teachers (school-aged children), and child welfare investigators. The 12-month follow-up included telephone or in-person interviews with the current caregiver (includes a brief child well-being module) and in-person face-to-face interviews with the services caseworker. The 18-month and 36-month follow-ups also included face-to-face interviews and assessments with the children, their parents or other permanent caregivers, non-parent adult caregivers when applicable, teachers (school-age children), and interviews with the child welfare worker. Interviews were conducted using computer-assisted person interviews (CAPI) and teachers were surveyed by mail. Both children who remained in the system and those who left were followed.

For more information:

Dowd, K., Kinsey, S., Wheeless, S., Thissen, R., Richardson, J., Suresh, R., Mierzwa, F., Biemer, P., Johnson, I., and Lytle, T. (2003, September). *National Survey of Child and Adolescent Well-Being: Combined Waves 1-3 data file user's manual.* Ithaca, NY: Cornell University, National Data Archive on Child Abuse and Neglect.

http://www.acf.dhhs.gov/programs/opre/

http://www.rti.org/

Date(s)/Periodicity

Wave 1 occurred between November 15, 1999, and April 30, 2001, and collected data from the child, the current caregiver, the investigator or services caseworker, and the teacher. Wave 2 occurred between October 1, 2000, and March 31, 2002, and collected data from the current caregiver and the services caseworker. Wave 3 occurred between April 1, 2001, and September 30, 2002, and collected data from the child, the current caregiver, the services caseworker, and the teacher. Wave 4 began October 1, 2002, and is scheduled for completion by March 31, 2004, and is collecting data from the child, the current caregiver, the services caseworker, and the teacher.

For more information:

Dowd, K., Kinsey, S., Wheeless, S., Thissen, R., Richardson, J., Suresh, R., Mierzwa, F., Biemer, P., Johnson, I., and Lytle, T. (2003, September). *National Survey of Child and Adolescent Well-Being: Combined Waves 1-3 data file user's manual.* Ithaca, NY: Cornell University, National Data Archive on Child Abuse and Neglect.

Population/Sample

NSCAW includes a sample representative of the population of children and families who entered the child welfare system within a 15-month period (from late 1999 through the end of 2000). It includes 6,227 children from a stratified random sample of 92 PSUs in 97 counties nationwide. At the time of sampling, the children were ages birth to 14. Specifically, the NSCAW sample consisted of two populations of children: (1) children who were the subjects of child abuse or neglect investigations conducted by Child Protective Service (CPS) agencies and who lived in states not requiring agency first contact (CPS sample, 5,501 children) and (2) children who had been in out-of-home care for approximately 1 year and whose placement had been preceded by an investigation of child abuse or neglect or by a period of in-home services and who lived in states not requiring agency first contact (Long Term Foster Care (LTFC) sample, 726 children).

The key respondent for the child and current caregiver interviews was the adult caregiver for children younger than 11 years of age and the child for children ages 11 to 14. A total of 8,961 children were sampled from CPS records; 2,115 children were the key respondents (23.6%) and 6,846 adult caregivers were the key respondents (76.4%). A total of 1,291 children were sampled

from LTFC records; 375 children were the key respondents (29.0%) and 916 adult caregivers were the key respondents (71.0%). Overall weighted response rates for key respondents were 64.2% for the CPS sample and 73.4% for the LTFC sample.

Final response rates for the key respondent interviews are as follows. For child and current caregiver interviews, key respondent interviews at Wave 1 were collected from 6,227 cases (5,5041 CPS and 726 LTFC). Children were the key respondents in 1,368 cases, and caregivers were the key respondents in 4,860 cases. In the CPS sample, full interviews were obtained from 5,449 current caregivers (99.0%) and 5,100 (92.7%) children. In the LTFC sample, full interviews were obtained from 722 current caregivers (99.3%) and 690 children (94.9%). For the investigative caseworker interview, 5,095 were completed for CPS cases (92.6%) and 669 were completed for LTFC cases (92.0%). Teacher interviews were attempted for 2,907 children in grades K–12 who were not home-schooled. Signed permission forms were received for only 2,236 of these children (76.9%), but consent forms were not always completed. As a result, teacher surveys were mailed to only 1,793 cases (80.2%). Complete interviews were received from 1,269 teachers for a response rate of 70.8%. Local agency director interviews were completed for 83 of the 92 PSUs (90.2%), and self-administered questionnaires were completed for 64 of the PSUs (69.6%). Weighted response rates were 96% and 85.8%, respectively. For state agencies, the discussion guide was completed with 46 of the 50 state representatives (92%).

For more information:

Dowd, K., Kinsey, S., Wheeless, S., Thissen, R., Richardson, J., Suresh, R., Mierzwa, F., Biemer, P., Johnson, I., and Lytle, T. (2003, September). *National Survey of Child and Adolescent Well-Being: Combined Waves 1-3 data file user's manual.* Ithaca, NY: Cornell University, National Data Archive on Child Abuse and Neglect.

U.S. Department of Health and Human Services, Administration for Children, Youth, and Families. (2001, June). *National Survey of Child and Adolescent Well-Being: Local child welfare agency survey: Report.* Washington, DC: Author. Available at **http://www.acf.hhs.gov/programs/core/ongoing_research/afc/wellbeing_reports.html**

http://www.acf.dhhs.gov/programs/opre/

http://www.rti.org/

Content Covered

- ***Children:*** Very young children were assessed to measure developmental, cognitive, and language skills. Physical measurements were taken for infants and toddlers (up to age 4). School-age children were interviewed regarding social competence and relationships, behavior regulation, exposure to violence, mental health, school engagement, socialization, and achievement, and service experience and satisfaction. Children age 11 and older experienced a longer interview that included questions on physical health, mental health, and assessments of cognitive development and academic achievement. It also covered such sensitive topics as

exposure to violence, substance abuse, sexual behavior, injuries and maltreatment, and risky behaviors and delinquency.

- ***Current Caregiver:*** The current caregiver instrument was administered to non-permanent and permanent caregivers. It included information about the child (e.g., social competence, health and disabilities, temperament, and child's service needs and experiences), the caregiver (e.g., physical and mental health, caregiving behavior, monitoring and discipline, substance abuse, criminal behaviors, domestic violence, and social support), experiences with the child welfare system, and contextual factors such as the home and community environment.
- ***Caseworker:*** The investigative caseworker instrument assessed the investigator's opinion of the level of risk to the child at the time he or she conducted the investigation, as well as the investigator's decision-making process during the investigation and information about the investigation of the report of maltreatment that led to the child's inclusion in the NSCAW and the level of risk to the child from the primary and secondary caregivers. In post-baseline waves, services caseworkers were asked about services to parents and children, adoption and permanency planning, history since the case report, court hearings, family progress, and agency involvement.
- ***Teacher:*** The teacher instrument collected data on the child's achievement and behavior in the school setting, social competence and relationships, school socialization and engagement, behavior problems, academic achievement, and school-based services.
- ***State Agency:*** The state agency discussion guide collected data from state agencies on a number of factors affecting the delivery of child welfare services (e.g., organization and structure; formal and informal collaborative agreements with agencies).
- ***Local Agency:*** The local agency director interview collected information from the agency director about agency characteristics and practices and the service environment.

For more information:

Dowd, K., Kinsey, S., Wheeless, S., Thissen, R., Richardson, J., Suresh, R., Mierzwa, F., Biemer, P., Johnson, I., and Lytle, T. (2003, September). *National Survey of Child and Adolescent Well-Being: Combined Waves 1-3 data file user's manual.* Ithaca, NY: Cornell University, National Data Archive on Child Abuse and Neglect.

Availability of Data for Public Use

Data obtained in the conduct of the NSCAW are available through licensing agreements with the National Data Archive on Child Abuse and Neglect (NDACAN) at Cornell University (www.ndacan.cornell.edu). Two levels of data access are specified in the licensing agreements: a **general release** data file and a **restricted release** data file. Both release versions contain the Child Protective Services (CPS) and Long Term Foster Care (LTFC) sample components. General release data are more accessible by researchers and can be obtained by completing the general release

application and providing the signed licensing agreement and her or his institution's Institutional Review Board's (IRB) approval for the proposed research. A restricted release data file is also available. This file has increased analysis potential and provides more flexibility in analysis. To obtain a licensing agreement for the restricted release, a researcher must complete an application and provide her or his institution's IRB's approval for the proposed research, a signed licensing agreement, a data security plan, signed confidentiality affidavits by research staff who will have access to the data, and a fee to cover administrative costs and a site visit to monitor compliance with the data security plan.

For more information:

www.ndacan.cornell.edu/NDACAN/Datasets/Abstracts/DatasetAbstract_92_NSCAW.html

Reference List for Users' Guide, Codebooks, Methodology Report(s)

Dowd, K., Kinsey, S., Wheeless, S., Thissen, R., Richardson, J., Suresh, R., Mierzwa, F., Biemer, P., Johnson, I., and Lytle, T. (2003, September). *National Survey of Child and Adolescent Well-Being: Combined Waves 1-3 data file user's manual.* Ithaca, NY: Cornell University, National Data Archive on Child Abuse and Neglect.

EVALUATION OF CHILD CARE SUBSIDY STRATEGIES

Purpose

The evaluation of child care subsidy strategies is a "seven-year evaluation of alternative State or local program and policy strategies related to subsidized child care that have implications for family economic advancement and for family and child stability and well-being. The overall goal for the evaluation of child care subsidy strategies is to ascertain the net or differential impacts in selected sites resulting from different programs or policies related to subsidized child care" **(http://www.acf.hhs.gov/programs/ccb/research/ccprc/eval/strategy.htm)**.

The evaluation is designed to answer five main research questions:

(1) What types of services or policy approaches are provided under the specific child care subsidy strategies? How do they compare with the regular services available?

(2) What are the net or differential impacts of selected programs or policies under the project on employment, use of welfare and supportive services, parents' child care choices and experiences, children's experiences in child care, parental well-being, and child well-being?

(3) What are the issues and challenges associated with implementing and operating the services and policy approaches studied?

(4) What are the costs of the child care strategies in the study? To the extent measurable, do the benefits of providing services or implementing child care subsidy programs or policies outweigh the costs of these initiatives?

(5) What strategies or elements should policymakers and program managers consider in designing approaches to improve the success of child care programs or policies for families and children?

For more information:

http://www.acf.hhs.gov/programs/ccb/research/ccprc/

Agencies/Institutions

The Evaluation of Child Care Subsidy Strategies is funded by the Child Care Bureau within the Administration for Children and Families, U.S. Department of Health and Human Services. Abt Associates is conducting the survey with assistance from its subcontractors, Manpower Demonstration Research Corporation, the National Center for Children in Poverty at Columbia University, and Moore and Associates.

Research/Survey Design

"The effects of various child care subsidy programs will be assessed in up to four sites. In each site, the evaluation will have three components: (1) the **implementation and process** analysis will examine how the programs operate, based primarily on site visits and interviews with program staff and administrators; (2) the **impact** analysis will use a random assignment research design to measure the interventions' effects on outcomes including employment, welfare use, and child well-being. Starting in 2003, half the prospective participants in each site will be randomly assigned to the program group, which will be eligible for the intervention and subject to its requirements, and the other half will be randomly assigned to a control or "as is" group. The outcomes for both groups will be measured over a 2-year period using public administrative records, surveys of study participants (and, where appropriate, observations of the care setting and child assessments); and, (3) the **benefit-cost** analysis will compare the financial costs and benefits of the interventions, both from the perspective of participants and the perspective of government budgets" **(http://www.mdrc.org/project_16_38.html)**.

Data will be collected using site visits, interviews with program staff and administrators, review of public administrative records, and surveys and interviews of study members.

For more information:

http://www.abtassociates.com

Date(s)/Periodicity

The Evaluation of Child Care Subsidy Strategies began in October 2002 and is scheduled to conclude in September 2009. The project is currently identifying state and county policies that could be studied in the random assignment impact experiments. Two study sites have been selected. One began implementing the experiment in November 2003; the other is scheduled to begin in January 2004.

Population/Sample

The focus of the study is on low-income families and their children. Up to four experiments will be implemented to increase our understanding of issues related to improving the quantity and quality of child care subsidy services for low-income families and their children.

For more information:

http://www.acf.hhs.gov/programs/ccb/research/ccprc/

Content Covered

Several child care subsidy strategies will be examined to determine their impact on low-income parents' employment outcomes, welfare use, their children's well-being, and the quality of the child care arrangement(s) in which they place their children. Program operations will also be studied.

For more information:

http://www.mdrc.org/

Availability of Data for Public Use

A public use dataset will be produced in the final year of the project.

Reference List for Users' Guide, Codebooks, Methodology Report(s)

Users' guides, codebooks, and methodology report(s) are not yet available.

B. Descriptions of 13 Additional Data Collection Efforts Relevant to Project Goals

PANEL STUDY OF INCOME DYNAMICS CHILD DEVELOPMENT SUPPLEMENT (PSID-CDS)

Purpose

The Child Development Supplement (CDS) to the Panel Study of Income Dynamics (PSID) provides researchers with a comprehensive, nationally representative, and longitudinal database of children and their families with which to study the dynamic process of early human capital formation.

In 1999, the Child Development Supplement was added as a supplement to the PSID, which is an ongoing longitudinal survey of a representative sample of U.S. men, women, and children and the families in which they reside. Since 1968, the PSID has collected data on employment, wealth, income, housing, food expenditures, transfer income, and marital and fertility behavior.

Agencies/Institutions

Funding for the Child Development Supplement was provided primarily by the National Institute of Child Health and Human Development (NICHD). Additional funding was provided by the William T. Grant Foundation, the Annie E. Casey Foundation, the U.S. Department of Agriculture, and the U.S. Department of Education. The National Science Foundation, along with the Department of Health and Human Services and the National Institute on Aging, also provided financial support. The Survey Research Center at the University of Michigan Institute for Social Research completed the data collection.

Research/Survey Design

The PSID Child Development Supplement (PSID-CDS) is a nonexperimental longitudinal study specifically designed to investigate how parental psychological characteristics, time, money, and parenting and teaching styles (at the family, school, and neighborhood levels) are linked to the cognitive and behavioral development of children. The study measures four basic categories: "(1) school progress, academic achievement and cognitive ability, including grade failure/progression, highest grade completed, verbal and math ability and literacy; (2) social well-being; (3) emotional well-being; and (4) health" (Hofferth et al., 1997).

The majority of respondents are from long-time PSID respondent families. Eligibility for the Child Development Supplement is based on the ages of the PSID family's children. If the family has a child age 12 or younger, the entire PSID Household Unit is eligible for the Child Development Supplement. Adult respondents are selected persons who have influence over the child's development. One or two children age 12 and younger per family unit are eligible for study inclusion. All eligible children must be members of the PSID sample.

The 1997 PSID sample comprised a combination of sampled groups. The first sample was a nationally representative core sample designed by the University of Michigan Survey Research Center (SRC). Predominantly black, low-income families make up the second portion of the PSID sample. These families were sampled from the Survey of Economic Opportunity. Also, to refresh

the PSID sample, more than 2,000 families of Mexican, Cuban, and Puerto Rican descent were interviewed from 1990 to 1995. This oversampling collected data from new U.S. residents who came to the country after the initial 1968 PSID sampling.

The 1997 PSID sample was originally stratified according to the distance from interviewing staff. The sample and budget used the following strata definitions:

- ***Stratum 1:*** Living in 1980 SRC primary area
- ***Stratum 2:*** Living in 1960/1970 SRC primary area (major concentration of 10 to 15+ households)
- ***Stratum 3:*** Clustered households: At least 1 day travel from the nearest SRC interviewer and 3+ households in the area
- ***Stratum 4:*** Remote households: At least 1 day travel from the nearest SRC interviewer and <3 households in the area

Households outside the continental United States were excluded from interviews and were coded as nonsample. All other households were included in the sample. The response rates were expected to be slightly lower in Strata 3 and 4 because it was easier for reluctant households to refuse to participate as a result of a telephone invitation.

The English PSID-CDS instrumentation comprised the following questionnaires:

- Primary Care Giver – Child Booklet
- Primary Care Giver – Household Booklet
- Child Questionnaires
- Time Diary
- Other Care Giver – Child Booklet
- Other Care Giver – Household Booklet
- Fathers Outside of the Home – Child Booklet
- Fathers Outside of the Home – Household Booklet
- Elementary/Middle School – Teacher Booklet
- Preschool/Daycare – Teacher Booklet
- Elementary/Middle School – Administrator Booklet
- Preschool/Daycare – Administrator Booklet
- Home-Based Care

Date(s)/Periodicity

Data collection for the PSID Child Development Supplement began in January 1997 and was completed in the field in November 1997. Production halted during July and August because the majority of schools were closed for the summer and resumed in September. This study is ongoing. Data from 2001 interviews of a younger subset of children are not yet available.

Population/Sample

The PSID now has more than 10,000 families, including more than 2,000 families of Cuban, Puerto Rican, and Mexican descent (Hofferth, Davis-Keane, Davis, & Finkelstein, 1997).

The number of PSID-CDS eligible households was 2,705 (2,458 from the core sample and 247 from the New Immigrant sample). From the eligible households, a total of 3,586 children from ages 0 to 12 were interviewed for the PSID-CDS from 2,394 households. The response rate was 88.2% (University of Michigan, n.d.). Because of initial PSID oversampling of low-income families and the addition of a recent sample of immigrant families, the unweighted PSID sample has a substantial number of black and other minority families. The Child Development Supplement targeted 2,390 eligible families: 1,140 (46%) white families, 997 (41%) black families, 158 (7%) non-white, non-black Hispanic families, 46 (2%) Asian families, 12 (less than 1%) Native American families, and 29 (3%) families of other nationalities. Primary caregivers of 3,586 children were interviewed. The numbers of boys and girls were approximately equal. The PSID-CDS sample is stratified and the individual strata are weighted to be nationally representative (Hofferth et al., 1997).

Content Covered

The PSID is a survey of a representative sample of U.S. men, women, children, and their families. Data on employment, income, wealth, income transfers, food expenditures, housing, marriage, and children have been collected annually since 1968.

The PSID Child Development Supplement aims to obtain information on the following: "(i) reliable, age graded assessments of the cognitive, behavioral, and health status of 3,600 children (including about 250 immigrant children) obtained from the mother, a second parent or parent-figure, the teacher or child care provider, and the child; (ii) a comprehensive accounting of parental and caregiver time inputs to children as well as other aspects of the way children and adolescents spend their time through the use of detailed time diaries; (iii) teacher-reported time use in elementary and preschool programs; and (iv) other-than-time use measures of other resources—for example, the learning environment in the home, teacher and administrator reports of school resources, and parent-reported measures of neighborhood resources" (Hofferth et al., 1997).

Availability of Data for Public Use

The main website for the PSID-CDS is **http://www.isr.umich.edu/src/child-development/home.html**.

Downloadable data is continually being added to the following website: **http://www.isr.umich.edu/src/child-development/Data.html.**

Reference List for Users' Guide, Codebooks, Methodology Report(s)

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NATIONAL SURVEY OF AMERICA'S FAMILIES (NSAF)

Purpose

The National Survey of America's Families (NSAF) monitors, documents, and explains state policy and family well-being changes during a time when the responsibility and authority for social programs are being transferred from the Federal government to the states.

Agencies/Institutions

NSAF is a part of the Urban Institute's Assessing the New Federalism project and was developed and conducted in partnership with Child Trends. The first round of the study was funded by 16 foundations. Data collection was administered by Westat.

Research/Survey Design

NSAF is a nonexperimental, cross-sectional study of the noninstitutionalized civilian population under the age of 65 in the United States. The NSAF sampling goal was to acquire data that would not only be representative of the United States as a whole but also be a resource for interstate comparisons. Beyond the general United States, representative samples were obtained for 13 states: Alabama, California, Colorado, Florida, Massachusetts, Michigan, Minnesota, Mississippi, New Jersey, New York, Texas, Washington, and Wisconsin. To thoroughly analyze the families at the lower end of the socioeconomic stratum, the study oversampled low-income families.

Inclusion criteria stipulated that at least one occupant of the household be under the age of 65 and that the number of unrelated household occupants be fewer than nine. Anyone institutionalized in any type of detention or rehabilitation facility, homeless, in temporary housing, in military barracks, or on a ship was excluded. The most knowledgeable adult in the household responded to the survey. Spouses were not contacted for survey information.

NSAF sampling used two separate components. Random-digit dialing (RDD) was used to conduct surveys in households with telephones. The second component targeted households without telephones in order to more accurately represent the disproportionately larger segment of low-income families that are without phone service, as indicated in the 1990 Census. Neighborhoods that had a high percentage of telephone households were excluded from the sampling. Interviewers screened neighborhood blocks for eligible non-telephone households.

In the RDD portion of the sampling, households were screened for whether they included children under the age of 18 and whether their previous year's household income was greater than 200% of the poverty line. Households without children under 18 or with an income greater than 200% of the poverty threshold were subsampled to reduce the cost of sampling. To relieve intrahousehold respondent burden, one or two children per family (one child under the age of 6 and one child between the ages of 6 and 17) were randomly designated focal children if multiple children in a family fell into these age categories.

Date(s)/Periodicity

Three waves of data have been collected: 1997, 1999, and 2003.

Population/Sample

The NSAF is a representative survey of the noninstitutionalized civilian population under age 65 in the nation as a whole and in 13 specific states: Alabama, California, Colorado, Florida, Massachusetts, Michigan, Minnesota, Mississippi, New Jersey, New York, Texas, Washington, and Wisconsin. The combined population of these states makes up more than one-half of the U.S. population. Study states represent a broad range of characteristics, such as fiscal policy, approaches to government, and child well-being indicators. They also vary in geographic location, size, and dominant political tradition.

In 1997, 50,355 phone and in-person interviews were done in 45,996 households. Interviews were conducted in 42,973 telephone households and in 1,488 nontelephone households (Dean Brick et al., 1999). Information was obtained for children under the age of 17. The national NSAF response rates for adults with at least one child and other sampled adults were 65.4% and 61.7%, respectively. The sample of focal children was 49% female; 34% of the children were under age 6 and 34% were between the ages of 6 and 11. The remaining children were adolescents ages 12 to 17. White children made up 66% of the sample. Black and Hispanic children made up 15% and 14% of the sample, respectively. According to weighted data, 43% of the children lived in households with incomes 200% below poverty level (Ehrle & Moore, 1999).

The sample was weighted to be representative of the country as a whole and the specific state in which the respondent lived.

"The overall response rate for children in the [1997] NSAF was 65.4 percent nationally (77.8 percent for the screening interview, multiplied by 84.1 percent for the extended interview). The extended interview completion rate varied by study area from 78.1 percent to 89.3 percent. For adults, ... the corresponding overall response rate was 61.7 percent nationally. The overall adult screener completion rate was 76.6 percent. The extended completion rate was 79.9 percent nationally, ranging from 73.5 percent to 85.7 percent. The overall response rate, calculated on this basis, was about 63 percent" (Kenny, Scheuren, & Wang, 1999, p. 6-5). Over the entire 1997 NSAF, the response rate was 70 percent.

Content Covered

The survey contains indicators to study change in child well-being over time (e.g., health status, behavior, school engagement, suspension, expulsion, and accidents and injuries), as well as measures for family well-being, employment, earnings and income, educational attainment, participation in training activities, economic hardship, family structure, housing arrangements and cost, health insurance coverage, access to and use of health services, health status, psychological well-being, participation in religious and volunteer activities, knowledge about availability of social services, and attitudes about work, welfare, health care, and childbearing.

Availability of Data for Public Use

NSAF data can be downloaded from the Assessing the New Federalism section of the Urban Institute website at **www.urban.org/anf**; registration is required.

Assessing the New Federalism
National Survey of America's Families
Urban Institute
2100 M St NW
Washington, DC 20037
nsaf@ui.urban.org

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NATIONAL LONGITUDINAL SURVEY OF YOUTH, 1997 (NLSY97)

Purpose

The National Longitudinal Survey of Youth, 1997 (NLSY97) continues under goals established by the U.S. Department of Labor with the initial 1966 National Longitudinal Survey (NLS), which was developed to study the experiences of diverse individuals in the U.S. labor market. With additional funding from other governmental departments, agencies, and institutions, data are collected on the cohort's health, attitudes, criminal activity, and other behaviors.

Agencies/Institutions

The Bureau of Labor Statistics, U.S. Department of Labor, is the primary sponsor of the NLSY97. Additional funding comes from the U.S. Department of Defense, the U.S. Department of Justice, the U.S. Department of Education, and the National Institute of Child Health and Human Development to fund portions of the questionnaires.

The Armed Services Vocational Aptitude Battery (ASVAB) and the Interest-Finder (I-F) were cosponsored by the U.S. Department of Defense and the U.S. Department of Labor. The ASVAB is a military-enlistment test and the *I-F* is a set of questions that assesses occupational interest. These assessments were administered only in Round 1.

The U.S. Department of Education and the U.S. Department of Labor funded the school survey through the National School-to-Work Office. This survey has questions about school characteristics and school staff within the neighborhoods of the respondents. The Office of Juvenile Delinquency of the Department of Justice sponsored the crime-related questions in the self-administered portion of the youth questionnaire. The National Institute of Child Health and Human Development also sponsored questions in the self-administered portion of the youth questionnaire.

The National Opinion Research Center (NORC) at the University of Chicago conducted the survey with the assistance of the Center for Human Resource Research (CHRR) at Ohio State University.

Research/Survey Design

The NLSY97 is a nonexperimental longitudinal survey of youth between the ages of 12 and 16. The primary respondent is the adolescent, although parent information was also included in Round 1 of data collection. The predetermined priority for the responding parent is that he or she is a biological parent, an adoptive parent, a step-parent, a guardian or relative, a foster parent with whom the youth lived for 2 or more years, another nonrelative with whom the youth lived for more than 2 years, a relative mother or father figure, or a nonrelative mother or father figure. Mothers have always been considered higher in respondent priority than fathers.

In Rounds 1 and 3, information was collected through school surveys in the NSLY97 participants' neighborhoods. In Round 3, students' transcripts were acquired. The youth questionnaire was administered in each round.

Two sampling methods were used to assemble the NLSY97 cohort. Inclusion criteria mandated that the child must live in a household within a primary sampling unit (PSU) as statistically determined by NORC using standardized area probability sampling methodology. Youth from the cross-sectional sample made up 75.1% of the cohort. In the cross-sectional sample, houses were selected from PSUs for survey screening on the basis of a NORC-developed probability sample that represented the general U.S. population. The response rate of eligible youth for the cross-sectional sample was 92.1% (U.S. Department of Labor, Bureau of Labor Statistics, National Longitudinal Survey of Labor Statistics, & National Longitudinal Survey Program, 2002).

The remaining participants were obtained from a supplemental sample of PSUs with greater concentrations of black and Hispanic residents to oversample for these racial and ethnic groups. The response rate of eligible youth in the supplemental sample was 90.2% (U.S. Department of Labor, Bureau of Labor Statistics, National Longitudinal Survey of Labor Statistics et al., 2002).

Date(s)/Periodicity

The survey was first administered in 1997. Thus far, five subsequent rounds of this ongoing survey have been administered yearly (1998, 1999, 2000, 2001, 2002).

Population/Sample

The NLSY97 cohort represents a sample of 8,984 U.S. youth between the ages of 12 and 16 from 6,819 households. Most of the youth who share households are siblings; however, the NLSY97 within-household data are not a generalizable sibling sample.

The cross-sectional sample had 6,748 respondents, with a response rate of 92.1%. The supplemental sample of 2,236 respondents had a slightly lower response rate at 90.2%. The Round 1 cohort showed racial and ethnic variability: 26.0% black; 21.3% Hispanic; 51.9% non-black/non-Hispanic; and 0.9% mixed race. The sample was 51.2% male and 48.8% female (U.S. Department of Labor, Bureau of Labor Statistics, National Longitudinal Survey of Labor Statistics et al., 2002).

The follow-up rounds have maintained an approximate 90% overall retention rate, with the sample being reweighted after each round of data collection to ensure that data from each round are representative of the national population (U.S. Department of Labor, Bureau of Labor Statistics, National Longitudinal Survey of Labor Statistics et al., 2002).

Content Covered

A significant portion of the youth questionnaire seeks detailed information on the youth's employment history and educational experiences. However, more sensitive information on the youth's relationships with (present and absent) parents, dating, sexual activity, marital and fertility histories, pubertal development, expectations, time use, and deviant behavior is also collected.

In the Round 1 parent questionnaire, data were collected on the family background of the target adolescent. Information on the history of the parents' marriage(s), relationships with a spouse or a partner, youth and parent health, and ethnic and religious backgrounds was collected. Questions yielding information on employment history, income and assets, participation in

government assistance programs, youths' early child-care and custody arrangements, and parental expectations for their child were also fielded.

Availability of Data for Public Use

Information on the NLSY97 project is available at **http://www.bls.gov/nls/nlsy97.htm.**

The data can be downloaded or received on a CD-ROM. Web addresses, phone numbers, and postal addresses follow:

The NLS Product Availability Center
http://www.nlsinfo.org/ordering/display_db.php3

Center for Human Resource Research
Ohio State University
921 Chatham Lane, Suite 100
Columbus, OH 43221-2418
(614) 442-7366 or (614) 442-7381
usersvc@postoffice.chrr.ohio-state.edu

Reference List for Users' Guide, Codebooks, Methodology Report(s)

Moore, W., Pedlow, S., Krishnamurty, P., & Wolter, K. (2000). *National Longitudinal Survey of Youth 1997 (NLSY97): Technical sampling report*. Columbus: Ohio State University, Center for Human Resource Research. Retrieved June 9, 2003, from **http://www.nlsinfo.org/ordering/display_db.php3**

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University of Michigan, I. f. S. R., Survey Research Center. (n.d.). *National Longitudinal Survey of Youth, 1997*. Retrieved June 9, 2003, from **http://www.isr.umich.edu/src/psid/inventory_table_links/nat_long_surv_youth_1997.htm**

NATIONAL LONGITUDINAL STUDY OF ADOLESCENT HEALTH (ADD HEALTH)

Purpose

The National Longitudinal Study of Adolescent Health (Add Health) determines the factors that contribute to the physical and mental well-being of adolescents. The survey covers multiple contexts, including family, friends, peers, school, neighborhood, and community.

Agencies/Institutions

The primary funding of Add Health was from the National Institute of Child Health and Human Development (NICHD). Seventeen other Federal agencies also provided some funding. Quality Education Data, Inc. (QED) provided the database used to generate the random sample of U.S. schools.

The National Opinion Research Center (NORC) of the University of Chicago fielded Waves I and II of the study; the Research Triangle Institute (RTI) conducted the fieldwork for Wave III.

Research/Survey Design

Add Health is a nonexperimental, nationally representative, longitudinal study of students in grades 7 through 12 in the United States in the 1994–1995 school year. Data were collected from the youth, their parents, siblings, friends, romantic partners, fellow students, and school administrators through multiple data collection components, including an adolescent in-school survey, an adolescent in-home interview, a parent in-home interview, and a school administrator survey. All instruments were fielded in Wave I. Wave II included an adolescent in-home interview as well as telephone updates from the school administrator. Wave III consisted only of a respondent in-home interview. Available data also include picture vocabulary test scores, an in-school friendship network dataset, and information on the geographic location of households within the communities.

The study used a multistage, cluster sampling design in which the school was the primary sampling unit (PSU). U.S. high schools were stratified into 80 clusters by school characteristics and were randomly sampled from schools in a QED database. The study design required a school to have students enrolled in grade 11 and a total population of at least 30 students. The stratification characteristics and categories can be found below:

- ***Region:*** Northeast, Midwest, South, West
- ***Urbanicity:*** urban, suburban, rural
- ***School size:*** 125 or fewer, 126–350, 351–775, 776 or more students
- ***School type:*** public, private, parochial
- ***Percent white:*** 0, 1 to 66, 67 to 93, 94 to 100
- ***Percent black:*** 0, 1 to 6, 7 to 33, 34 to 100

- ***Grade span of the school:*** K to 12, 7 to 12, 9 to 12, 10 to 12, vocational/technical, alternative, special education

If the selected high school did not include all targeted grades, its feeder middle school was also eligible for the study as long as the school had grade 7 students enrolled. In total, 80 high schools and 52 feeder middle schools were selected.

The in-school survey was administered to all students in the selected schools, provided they agreed to participate and were not absent the day the survey was conducted. A nationally representative core sample of 12,105 students who completed the initial in-school survey was targeted for follow-up in the in-depth Wave I in-home interviews. To determine the individual students who would make up the Wave I core sample cohort, approximately 200 students from each school pair, stratified by grade and sex, were targeted.

In addition to the core sample, the study also oversampled students from several special subgroups: disabled youth; Chinese, Cuban, and Puerto Rican adolescents; and black youth from high socioeconomic status families. Families were considered to be of high socioeconomic status if at least one parent held a college degree. In addition, the study oversampled adolescents living together within one household. This group is referred to as the "genetic sample" and includes oversamples of twins, half- and step-siblings, and nonrelated pairs. Some of the adolescents selected from this oversampled group did not attend one of the original 80 high schools or 52 middle schools but were recruited because they resided with an adolescent who did attend one of those 132 schools.

Oversampling occurred at the school level as well. Of the 132 schools, 2 large schools (enrollment greater than 3,300 students) and 16 smaller schools (enrollment fewer than 300 students) were selected as the "saturation sample" in which all students enrolled in these schools were asked to participate in the in-depth in-home interviews. Collecting detailed information from all students in the saturation sample allows a more thorough analysis of adolescents' social networks.

Date(s)/Periodicity

Wave I of the study was fielded between September 1994 and December 1995. Wave II of the study was fielded approximately 1 year later (1996), with Wave III following approximately 6 years later (2001–2002).

Population/Sample

More than 70% of the originally targeted high schools agreed to participate in the study. A replacement school was selected from the same stratum if a school declined to participate.

From school recruitment, 90,118 students responded to the in-school questionnaire. A subset of 20,745 respondents then completed the Wave I in-home questionnaire. This "nationally representative sample" from Wave I included a core sample of 12,105 teens and all the oversampled groups except the genetic sample. The full Wave I sample was weighted to be nationally representative of adolescents grades 7 through 12 in the United States in 1994–1995.

The supplemental sample of students with disabilities comprised about 2.8% of the total Wave I sample, and Chinese, Cuban, Puerto Rican, and high socioeconomic black youth (the ethnic oversample) comprised approximately 10.9% of this sample. Mexican-American, Nicaraguan, Japanese, South Korean, Filipino, and Vietnamese youth were also represented in the core sample.

In 1996, 14,738 students (71% of the Wave I respondents) completed the Wave II in-home questionnaire. The Wave II survey did not follow up on adolescents who were in grade 12 at Wave I. Thus, when only eligible respondents are considered, the Wave II response rate was 88.2%.

Wave III reinterviewed 15,197 of the original Wave I respondents (now ages 18–26) as they entered young adulthood. This survey excluded original participants who could not be located and those who were located but were living overseas or were in the military. The Wave III sample did include respondents who were incarcerated. In addition, the Wave III survey collected information from 1,507 relationship partners of the original respondents. These additional respondents were divided evenly among married, cohabiting, and dating partners.

Content Covered

Topics in the adolescent in-home questionnaire were daily activities, health status and access to health care, educational experiences, relationships with family and peers, romantic relationships, nonromantic sexual relationships, motivations for birth control, physical development, use of illicit substances, delinquency, joint occurrences of delinquent behavior with the use of illicit substances, fighting and violence, expectations, protective factors, employment, emotions, self-efficacy, suicidality, religion, and neighborhood characteristics. Questions were also asked about the youth's knowledge about sexual intercourse and contraception and perceptions about pregnancy, AIDS, and STD risk.

Parents were asked questions on their employment, income, health, marital history, and relationship with their current partner. In addition, parents were asked child-specific questions about the adolescents' social life (romantic and nonromantic), friends, and health experiences and conditions.

In Wave III, questions were asked about relationship, childbearing, educational, and employment histories, and the picture vocabulary test was readministered. Also, respondents were asked to provide saliva and urine specimens so that the prevalence of HIV and other sexually transmitted diseases among young adults could be studied.

Availability of Data for Public Use

The official Add Health website is **http://www.cpc.unc.edu/addhealth.**

Select data from one-half of the core sample and one-half of the high socioeconomic black student sample are available in a public-use dataset. Selected community contextual variables are also available.

An application and agreement for data use is available at **http://www.socio.com/agreepay.pdf.**

For more information:

Sociometrics Corporation
170 State Street, Suite 260
Los Altos, CA 94022
1-800-846-3475
socio@socio.com

Reference List for Users' Guide, Codebooks, Methodology Reports

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FRAGILE FAMILIES AND CHILD WELLBEING STUDY (FRAGILE FAMILIES)

Purpose

The main goals of the Fragile Families and Child Wellbeing Study (Fragile Families) are to investigate non-marital childbearing, the role of fathers, welfare reform, and relationships among these three areas. The initial phase of Fragile Families began in 1995, with data collection for the study beginning in 1998. The study is particularly interested in exploring the roles of fathers as caretakers and participants in the labor market. The investigators also are interested in the relationships between the parents and the factors that strengthen or weaken these relationships. Policy issues affecting the nature of the relationships between the parents, such as welfare regulations, paternity establishment, child support enforcement, and health care financing and delivery, are also a focus of the study.

Agencies/Institutions

Fragile Families is a collaborative project between the Center for Research on Child Wellbeing at Princeton University and the Social Indicators Survey Center at Columbia University's School of Social Work.

The National Institute of Child Health and Human Development and the Office of Population Research at Princeton University primarily fund the study. Additional funding is provided by the California HealthCare Foundation, the Center for Research on Religion and Urban Civil Society at the University of Pennsylvania, the Commonwealth Fund, the Ford Foundation, the Foundation for Child Development, the Fund for New Jersey, the William T. Grant Foundation, the Healthcare Foundation of New Jersey, the William and Flora Hewlett Foundation, the Hogg Foundation, the Christina A. Johnson Endeavor Foundation, the Kronkosky Charitable Foundation, the Leon Lowenstein Foundation, the John D. and Catherine T. MacArthur Foundation, the A.L. Mailman Family Foundation, the Charles Stewart Mott Foundation, the David and Lucile Packard Foundation, the Public Policy Institute of California, the Robert Wood Johnson Foundation, the St. David's Hospital Foundation, and St. Vincent Hospital and Health Services.

The National Opinion Research Center (NORC) at the University of Chicago conducted baseline interviews for 7 of the 20 cities in the study. Mathematica Policy Research (MPR) fielded the interviews in the other 13 cities.

Research/Survey Design

Fragile Families is a nonexperimental longitudinal study observing unmarried mothers and fathers and the children born to those parents. The broadest stage of sampling was at the city level. The research team sampled hospitals within these cities, and participants were chosen from births within these hospitals.

The study sampled from all 77 U.S. cities with populations of at least 200,000. The sample was stratified according to welfare generosity, the strength of the child support system, and labor market conditions. The indicators for welfare generosity were the dollar value of the monthly welfare payment for a family of four and the dollar value of the monthly payment divided by the median monthly rent in the city. The indicators used to stratify the strength of the child support system were the paternity establishment rate, the proportion of AFDC cases with child support awards, and the proportion of AFDC cases in which recipients received payments. Labor market strength was characterized by unemployment rates, job growth rates, and rates of population growth. Cities were divided according to their respective welfare and child support policies and labor market conditions through which they were characterized as having strong, weak, or moderate policies or markets.

From these indicators, the cities were further divided into nine strata. Cities were randomly selected within the strata for participation. Eight cities that maximized welfare and child support and eight cities that had a strong labor market were oversampled. These 16 cities composed the national sample. In the oversampled cities, the research team planned to sample 325 births. In the small-sample cities, the research team planned to sample 100 births.

Detroit, Milwaukee, Newark, and Oakland were sampled because they were of special interest of some of the supporting foundations. Therefore, although data are being collected from 20 cities across the country, the national report does not include the data from these four cities in the analysis.

At the hospital level, hospitals were selected to get a citywide representative sample of nonmarital births while still maintaining cost-effective sampling methods. Within the hospitals, marital and nonmarital births were randomly sampled until preset quotas of marital and nonmarital births were met.

During all the follow-up interviews, child health and development are assessed by means of interviews of the mother and father. In-home assessments of child well-being were planned to be conducted at when the child is 30 and 48 months old.

The interviewing exclusion criteria are as follows: the baby was planned to be placed for adoption; the father was not alive at the time of birth; the parents were not capable of completing the interview in English or Spanish; the mother or the child was too ill for the mother to complete the interview; the baby died before the interview took place; and (oftentimes) the parents were minors.

Fragile Families instruments were a Mother Questionnaire and a Father Questionnaire.

Date(s)/Periodicity

Baseline data were collected at the child's birth between 1998 and 2000. Data are also planned to be collected when the child reaches ages 1, 3, and 5 years.

Population/Sample

In the national sample of 2,659 unmarried couples, 44% of the unmarried new mothers are black, 35% are Hispanic, and 21% are classified as white or "other." The response rate for the fathers in the national sample is 76%. The racial distribution of the 2,021 responding fathers closely parallels that of the mothers; 47% of the fathers are black, 34% are Hispanic, and 19% are either white or "other" (McLanahan, 2003).

At the time the 1-year follow-up data were collected, the response rate was 90% for married and unmarried mothers and 70% for all fathers after ineligible baseline respondents were eliminated. The response rates for married and unmarried fathers were 81% and 67%, respectively (Reichman, 2001).

In the majority of the cities, the nonmarital birth sample is representative of nonmarital births in that city and not necessarily of the births of the city's actual residents. The data have been weighted so that the mother sample is representative of all 77 U.S. cities with populations greater than 200,000.

Content Covered

The mother and father questionnaires included information on child health and development, father-mother relationships, fatherhood, marriage attitudes, relationships with extended kin, environmental factors, government programs, health and health behaviors, demographic characteristics, education and employment, work activities, and income.

Availability of Data for Public Use

General information for Fragile Families is available at **http://crcw.princeton.edu/fragilefamilies/index.asp.**

Baseline and 1-year follow-up data are available for public use at **http://crcw.princeton.edu/fragilefamilies/data.asp** after registration. A schedule of subsequent data release dates can also be found on this site.

Reference List for Users' Guide, Codebooks, Methodology Report(s)

McLanahan, S., Garfinkel, I., Reichman, N., Teitler, J., Carlson, M., & Audigier, C. N. (2003). *The Fragile Families and Child Wellbeing Study baseline national report*. Princeton, NJ: Princeton University, Bendheim-Thoman Center for Research on Child Wellbeing. Retrieved June 6, 2003, from **http://crcw.princeton.edu/files/nationalreport.pdf**

Reichman, N., Teitler, J., Garfinkel, I., & McLanahan, S. (2001). Fragile Families: Sample and design. *Children and Youth Services Review, 23*(4/5), 303–326.

NICHD STUDY OF EARLY CHILD CARE AND YOUTH DEVELOPMENT

Purpose

The National Institute of Child Health and Human Development (NICHD) Study of Early Child Care and Youth Development (SECC) was initiated in1989 to help elucidate the many questions involving the relationships among child care experiences, family life, and children's developmental outcomes. Data collection began in 1991, enrolling children at birth, and it continues presently, with children now at age 12. The goal of the study is to provide empirical information useful for formulating policies that influence children and to expand basic understanding of developmental processes.

Agencies/Institutions

The NICHD SECC was initiated by NICHD and is directed by a Steering Committee and an Advisory Board. The research team comprises researchers from a wide variety of child development and policy disciplines and represents more than 24 institutions in the United States and London.

Data have been (and remain to be) collected from 10 sites across the United States by the following institutions: Temple University; University of Arkansas at Little Rock; University of California, Irvine; University of Kansas; University of Washington; University of Wisconsin; University of Virginia; University of Pittsburgh; Wellesley College; and Western Carolina Center.

Research/Survey Design

The NICHD SECC is a nonexperimental longitudinal study that investigates a wide array of variables measuring characteristics of child care and the family environment as well as larger, ecological contexts. The NICHD SECC is not a nationally representative sample. Participants were randomly selected from 10 sites across the United States and were sampled on the basis of a conditional random sampling plan. Conditions for inclusion were based on a sample in which 60% of mothers planned to work or go to school full time, 20% planned to work part time in the child's first year of life, and 20% planned to stay at home with the child. Families reflect the demographic diversity of the sites (e.g., economic, educational, and ethnic), and both single- and two-parent families are included. Families in which mothers were less than 18 years of age, planned to leave the study site within 3 years, or were not conversant in English were excluded from the study. Families with children who were born with obvious physical or mental disabilities, or who remained in the hospital from more than 7 days, were also excluded.

Information is obtained from a wide array of respondents, including mothers (biological), fathers (biological or non), and caregivers. Measurements are also obtained in various contexts that include the child's home, the child care situation, and the laboratory.

The individual instruments used in this study are expansive and cover a great many constructs (e.g., cognitive ability, aggression, prosocial behavior, attachment, parenting sensitivity, child care quality). When possible, instruments are used repeatedly over time. Depending on the construct, children, families, and caregivers are assessed when the child is 1, 6, 15, 24, 36, and 54 months of age, as well as during the child's kindergarten and grade 1 years. A complete list of NICHD SECC Phase I (1–36 months) data collection instruments and the time line are available at **http://secc.rti.org/instdoc.doc**. Phase II (54 months–grade 1) data collection instrument descriptions and the measurement timeline is available at **http://secc.rti.org/Phase2InstrumentDoc.pdf.**

Date(s)/Periodicity

Phase I of the study was conducted from 1991 to 1994. Phase II followed these same children from 1995 to 2000. The third phase of the study began fielding in 2001 and will continue through 2005 (NECCRN, 2003).

Population/Sample

Of the original 8,986 women who were approached in the hospital at the time of their child's birth, 5,416 met the criteria and agreed to be contacted 1 month later. When contacted, 1,364 mothers agreed to participate in the study (1997). The original sample was diverse: 24% minority children, 11% mothers who did not complete high school, 14% single mothers, and an average income 3.24 times the poverty rate (i.e., 1.0 being poverty). Because the NICHD SECC is an ongoing longitudinal study, some attrition is expected. From the original sample of 1,364 when the child was 1 month old, 1,058 NICHD SECC families were still involved in the study when the child reached kindergarten (2003). The most current available sample for which data are available (children in kindergarten) significantly differs from the sample at the study's inception when children were 1 month of age. For instance, current mothers are more educated, more likely to have a husband, and less likely to be non-Hispanic, black. The remaining sample also has a higher incomes-to-need ratio. (Current comparisons are based on the most recent available sample characteristics to the original; statements about specific study analyses that may have occurred between these two points should be directed to the sample characteristics at the actual time of analyses.)

Content Covered

Children have been (and continue to be) extensively assessed through parent, child, and caregiver questionnaires; home and child care visits; and laboratory observations. The specific content of what was and is covered in NICHD SECC is too expansive to be addressed here, but general categories span socioeconomic contexts, family and child care characteristics, and such child attributes as cognitive functioning and socioemotional health.

Availability of Data for Public Use

The NICHD SECC website is **http://secc.rti.org/home.cfm.**

Qualified researchers may apply for data according to the instructions available at **http://secc.rti.org/apply.cfm.**

Reference List for Users' Guide, Codebooks, Methodology Report(s)

NICHD Early Child Care Network. (1994). Child care and child development. In S. L. Friedman & H. C. Haywood (Eds.), *Developmental follow-up: Concepts, domains, and methods* (pp. 377–396). San Diego: Academic Press.

NICHD Early Child Care Network. (2003). *NICHD Study of Early Child Care and Youth Development*. Research Triangle Park, NC: Research Triangle Institute. Retrieved August, 8, 2003, from **http://secc.rti.org/summary.cfm**

NICHD Study of Early Child Care. (1997). Familial factors associated with characteristics of non-maternal care for infants. *Journal of Marriage and the Family, 59*, 389–408.

NICHD Study of Early Child Care. (2003). Does amount of time in child care predict socio-emotional adjustment during the transition to kindergarten? *Child Development, 74*, 976–1005.

EARLY CHILDHOOD LONGITUDINAL STUDY-KINDERGARTEN COHORT (ECLS-K)

Purpose

The ECLS-K is part of the National Center for Education Statistics' Early Childhood Longitudinal Study. It has both descriptive and analytic purposes. It provides descriptive data on a national basis of

- children's status at entry into school,
- children's transition into school, and
- their progression through grade 5.

The ECLS-K also provides a rich data set so that researchers can study how a wide range of family, school, community, and individual variables affect early school success. It addresses four key issues:

- School readiness
- Children's transitions to kindergarten, grade 1, and beyond
- The relationship between children's kindergarten experience and their elementary school performance
- Children's growth in mathematics, reading, and general knowledge (i.e., science and social studies) and progress through elementary school

For more information:

http://www.nces.ed.gov/ecls/

Agencies/Institutions

The ECLS-K is funded by the Department of Education's National Center for Education Statistics. Other sponsoring Federal agencies that contributed to the ECLS-K are the U.S. Department of Health and Human Services (DHHS), the National Institute of Child Health and Human Development (NICHD); the U.S. Department of Agriculture (USDA); and the U.S. Department of Education, Office of Special Education Programs (OSEP) and Office of Bilingual Education and Minority Languages Affairs (OBEMLA). Westat fields the ECLS-K.

Research/Survey Design

The ECLS-K is a nonexperimental, nationally representative longitudinal study that follows a representative sample of U.S. children enrolled in 1,000 kindergarten programs (in 1998–1999) from kindergarten through grade 5. The program includes both public and private kindergartens with full- and half-day programs. The sample represents different socioeconomic and racial-ethnic backgrounds. The oversampling of Asian children, private kindergartens, and private school kindergarteners was designed to support estimates of public and private school kindergartners; black, white, Hispanic, and Asian children; and children by socioeconomic status.

The ECLS-K uses a dual-frame, multistage sample. First, 100 primary sampling units (PSUs) were selected (PSUs are counties or groups of counties). From the PSUs, public schools were selected from a public school frame and private schools were selected from a private school frame. In fall 1998, approximately 23 kindergartners were selected from each sampled school.

Children, parents, teachers, and school administrators participate in the study at different steps along the way. In the initial year of the study, information was collected twice, once in the beginning of the school year and again at the end of the school year. In the 1999–2000 school year, as most of the children moved to grade 1, data were collected from a 25% subsample. The children are assessed personally and interviews are then conducted with their parents. In the spring, data are collected from the entire sample population, as well as from their parents, teachers, and administrators. Follow-up surveys were conducted in spring 2002 (grade 3) and are planned for spring 2004 (grade 5).

For more information:

http://nces.ed.gov/ecls/

Date(s)/Periodicity

The ECLS-K began in 1998 and will conclude in 2004. In 1998–1999 (the kindergarten year), data were collected in the fall from students, parents, and teachers and in the spring from students, parents, teachers, and schools. In 1999–2000 (grade 1 year), data were collected in the fall from students and parents and in the spring from students, parents, teachers, and schools. In 2001–2002 (grade 3 year), data were collected in the spring from students, parents, teachers, and schools. In 2003–2004 (grade 5 year), data will be collected in the spring from students, parents, teachers, and schools.

Population /Sample

The ECLS-K is a nationally representative sample of 22,782 children who were enrolled in the 1998–1999 school year in 1,277 public and private kindergartens that offered full- and half-day programs. The sample includes children from different racial/ethnic and socioeconomic backgrounds and oversamples Asian children, children in private kindergartens, and private school kindergartners.

Of the 1,277 originally sampled schools, 944 participated during the base year of the study, which translates into a weighted response rate of 74%. The school response rate during the spring of the base year (74.2%) was higher than during the fall (69.4%) because some schools that originally declined to participate changed their minds and participated in the spring. Nearly all (99.4%) of the schools that participated in the fall of the base year also participated in the spring. The child base-year completion rate was 92% (i.e., 92% of the children were assessed at least once during kindergarten. The parent base-year completion rate was 89% (i.e., a parent interview was completed at least once during kindergarten). Thus, the overall base-year response rate for children was 68.1% (74% x 92%), and the base-year response rate for the parent interview was 65.9% (74% x 89%). About 95% of the children and 94% of the parents who participated in the fall of kindergarten also participated in the spring.

For more information:

West, J., Denton, K., & Reaney, L. (2000, December). *The kindergarten year findings from the Early Childhood Longitudinal Study, kindergarten class of 1998–99.* Washington, DC: U.S. Department of Education, National Center for Education Statistics. Available at **http://nces.ed.gov/pubs2001/2001023.pdf**

Content Covered

Information is collected about children's cognitive, social, emotional, and physical development from children, families, teachers, and schools. Information about the children's home environment, educational practices at home, the environment at school and in the classroom, and classroom curriculum and teacher qualifications is also collected.

For more information:

http://nces.ed.gov/ecls/

Availability of Data for Public Use

A number of unrestricted data products are available at **http://nces.ed.gov/pubsearch/getpubcats.asp?sid=024**. Information about how to obtain restricted data sets is available at **http://nces.ed.gov/pubsearch/getpubcats.asp?sid=024**.

Data for grades 3 and 5 will be released in summer 2003 and summer 2005, respectively.

A number of specific data products are available at **http://www.nces.ed.gov/pubsearch/getpubcats.asp?sid=024**. The data products include the following:

- ECLS-K Longitudinal Kindergarten-First Grade Public-Use Data Files and Electronic Code Book NCES number: 2002148. Release date: April 30, 2002

- CD-ROM: ECLS-K First Grade Public-Use Data Files and Electronic Code Book NCES number: 2002134. Release date: February 19, 2002
- ECLS-K First Grade Restricted-Use Child File NCES number: 2002127. Release date: December 12, 2001
- ECLS-K Base Year Restricted-Use Salary and Benefits File NCES number: 2001014. Release date: April 24, 2001
- ECLS-K Base Year Restricted-Use Student Record Abstract File NCES number: 2001016. Release date: April 24, 2001
- ECLS-K Restricted-Use Base Year: Child File, Teacher File, and School File NCES number: 2000097. Release date: March 21, 2001
- ECLS-K Base Year Restricted-Use: Special Education Child File NCES number: 2001015. Release date: March 21, 2001
- ECLS-K Base Year Restricted-Use Head Start File NCES number: 2001025. Release date: March 15, 2001
- ECLS-K, Base Year Public-Use Data File, Kindergarten Class of 1998-99: Data Files and Electronic Code Book; (Child, Teacher, School Files): User's Manual NCES number: 2001029. Release date: December 1, 2000

Reference List for Users' Guide, Codebooks, Methodology Report(s)

The ECLS website is **http://nces.ed.gov/ecls/**. A number of reports, shorter publications, technical/methodological papers, and working papers are available at **http://nces.ed.gov/pubsearch/getpubcats.asp?sid=024**.

Specific reports include the following:

- Education Statistics Quarterly - Spring 2003 Issue NCES number: 2003607. Release date: July 11, 2003
- Young Children's Access to Computers in the Home and at School in 1999 and 2000 NCES number: 2003036. Release date: March 7, 2003
- Children's Reading and Mathematics Achievement in Kindergarten and First Grade NCES number: 2002125. Release date: March 7, 2002
- Digest of Education Statistics, 2001 NCES number: 2002130. Release date: March 1, 2002
- The Kindergarten Year NCES number: 2001023. Release date: December 1, 2000
- America's Kindergartners NCES number: 2000070. Release date: February 17, 2000

Specific shorter publications include the following:

- The Condition of Education 2003 in Brief NCES number: 2003068. Release date: June 17, 2003
- Schools' Use of Assessments for Kindergarten Entrance and Placement: 1998-99 NCES number: 2003004. Release date: March 24, 2003
- Findings from the Condition of Education 2000: Entering Kindergarten NCES number: 2001035. Release date: January 22, 2001

Specific technical/methodological papers include the following:

- User's Manual for the ECLS-K Longitudinal Kindergarten-First Grade Public-Use Data Files and Electronic Codebook NCES number: 2002149. Release date: April 30, 2002
- User's Manual for the ECLS-K First Grade Public-Use Data Files and Electronic Codebook NCES number: 2002135. Release date: February 19, 2002

Specific working papers include the following:

- Early Childhood Longitudinal Study - Kindergarten Class of 1998-99 (ECLS-K), Psychometric Report for Kindergarten Through First Grade NCES number: 200205. Release date: September 10, 2002
- Papers from the Early Childhood Longitudinal Studies Program Presented at the 2001 AERA and SRCD Meetings NCES number: 200106. Release date: July 30, 2001
- Measuring Father Involvement in Young Children's Lives: Recommendations for a Fatherhood Module for the ECLS-B NCES number: 200102. Release date: April 17, 2001
- Measures of Socio-Emotional Development in Middle Childhood NCES number: 200103. Release date: April 17, 2001
- Selected Papers on Education Surveys: Papers Presented at the 1998 and 1999 ASA and 1999 AAPOR Meetings NCES number: 200004. Release date: August 7, 2000
- A Birth Cohort Study: Conceptual and Design Considerations and Rationale NCES number: 199901. Release date: February 16, 1999
- Working Paper: Measuring the Quality of Program Environments in Head Start and Other Early Childhood Programs NCES number: 9736. Release date: November 7, 1997
- Formulating a Design for the ECLS: A Review of Longitudinal Studies NCES number: 9724. Release date: September 11, 1997
- Assessment of Social Competence, Adaptive Behaviors, and Approaches to Learning With Young Children NCES number: 9618. Release date: August 30, 1996
- How Accurate Are Teacher Judgments of Students' Academic Performance? NCES number: 9608. Release date: April 30, 1996

EARLY CHILDHOOD LONGITUDINAL STUDY-BIRTH COHORT (ECLS-B)

Purpose

The ECLS-B is part of the National Center for Education Statistics' Early Childhood Longitudinal Study. It provides information about children's development (cognitive, physical, social and emotional), health, and early care and education across multiple settings. The ECLS-B has both descriptive and analytic goals. The study provides descriptive data on

- children's health status at birth;
- children's experiences in the home, non-parental care, and school; and
- children's development and growth through grade 1.

The ECLS-B addresses four key areas:

- Children's health status at birth and at regular intervals during early childhood
- Children's growth and development in critical domains
- Children's transitions to child care and early childhood education programs, kindergarten, and beyond
- School readiness

For more information:

http://nces.ed.gov/ecls/

Agencies/Institutions

The ECLS-B is sponsored by the U.S. Department of Education, National Center for Education Statistics (NCES) in collaboration with several health, education and human services agencies, including the National Center for Health Statistics (NCHS), the National Institutes of Health (NIH), the Administration for Children, Youth, and Families (ACYF), the U.S. Department of Agriculture (USDA), the Office of Special Education Programs, the Maternal and Child Health Bureau (HRSA), the Office of the Assistant Secretary for Planning and Evaluation (ASPA), the Office of Indian Education, the Centers for Disease Control and Prevention, and the Office of Minority Health (OPHS).

Sponsoring institutes from NIH are the National Institute of Child Health and Human Development, the National Institute of Mental Health, the National Institute on Nursing Research, the National Institute on Aging, the National Institute of Deafness and Other Communication Disorders, the National Center on Minority Health Disparities, and the Office of Behavioral and Social Sciences Research.

Research/Survey Design

The ECLS-B is a longitudinal study of a nationally representative group of children born in calendar year 2001. Approximately 13,500 newborns were chosen through a random sampling of birth certificates. The sample includes children from different racial/ethnic and socioeconomic backgrounds. Twins and Asian, Pacific-Islander, Chinese, moderately low birth weight (1,500–2,500 grams), and very low birth weight (under 1,500 grams) children are oversampled.

Children are selected at birth and followed longitudinally through the end of grade 1. The first data collection occurs at 9 months of age. Future data collections are planned for when the children reach 24 months and 48 months and when they enter kindergarten and grade 1. Different contexts that may affect learning and development are studied, including homes, communities, schools, classrooms, teacher, health care, and early childhood education programs.

Birth certificates are used to gather information about parents' backgrounds, the Apgar test score of the child, and other health information. Parent or guardian interviews are conducted at each study point. Children are directly assessed once with an instrument appropriate for their age, the Bayley Short Form – Research Edition, an instrument based on the Bayley Scales for Infant Development (BSID-II) that was designed specifically for the ECLS-B. Child-care providers and preschool teachers are also interviewed. Once schooling begins, school administrators and teachers are interviewed. Fathers complete self-administered surveys addressing the role of the father in the child's life.

For more information:

http://nces.ed.gov/ecls/

Date(s)/Periodicity

The ECLS-B began in 2001 and is scheduled to conclude in 2008. The first data collection occurred during the base year (2001–2002) when the children were 9 months of age. Data collection includes an assessment of children, interviews with primary caregivers, a father self-administered questionnaire, and observations of parent-child interaction. Future data collections are planned for when the children reach 24 months (first follow-up in 2003) and 48 months (second follow-up in 2005) and when children enter kindergarten (third follow-up in 2006–2007) and grade 1 (fourth follow-up in 2007–2008). At 24 and 48 months of age, children are assessed, primary caregivers are interviewed, fathers complete a self-administered questionnaire, a parent-child interaction is videotaped, child care providers are interviewed, and some child care settings are observed. In the kindergarten and grade 1 years, children are assessed and parents, teachers, and school administrators are interviewed.

For more information:

http://nces.ed.gov/ecls/

Population/Sample

The ECLS-B is a nationally representative sample of approximately 13,500 children born in 2001. Children are followed from birth through grade 1. The sample consists of children from different racial/ethnic and socioeconomic backgrounds. The study also oversamples Asian children, Pacific Islander children, American Indian children, Chinese children, moderately low birth weight children (1,500–2,500 grams), very low birth weight children (under 1,500 grams), and twins. Information about the response rates and other population characteristics will be released with the first data set in fall 2003.

For more information:

http://nces.ed.gov/ecls/

Content Covered

The ECLS-B used children's birth certificates to collect information on date of birth, gender, parents' education, parents' race and ethnicity, and mother's marital status. The study also gathers information on the mother's pregnancy history, prenatal care, medical and other risk factors during this pregnancy, and complications during labor and birth. The children's health characteristics, such as congenital anomalies and abnormal conditions of the baby and the baby's Apgar score, are also collected. Parents or guardians are interviewed about children's early health and development and about their experiences with family members and others. Parents or guardians also provide key information about themselves as caregivers, the home environment, and their neighborhood. Children's developmental skills in the cognitive, social, emotional, and physical domains are also measured. Interviews with care providers and preschool teachers offer descriptive information about the structure of children's care arrangements and education programs, the quality of the programs, and the background and experience of the caregivers. School administrators and teachers are interviewed about a school's physical and organizational characteristics, learning environments, educational philosophies, and programs. Fathers complete questionnaires to determine their role in their child's development and well-being and their role as a caregiver.

For more information:

http://nces.ed.gov/ecls/

Availability of Data for Public Use

In fall 2003, the initial release of ECLS-B data will include the 9-month parent interview data, child assessment data, and father questionnaire data. Data on subsequent waves will follow approximately 1 year after data collection. The data, on CD-ROM, will include the raw data files, electronic codebooks (ECBs), user manuals, the survey instruments, and the record layouts.

For more information:

http://nces.ed.gov/ecls/

Reference List for Users' Guide, Codebooks, Methodology Report(s)

The ECLS website is **http://nces.ed.gov/ecls/**. A number of reports, shorter publications, technical/methodological papers, and working papers are available at **http://nces.ed.gov/pubsearch/getpubcats.asp?sid=024**.

Specific reports include the following:

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- *Young Children's Access to Computers in the Home and at School in 1999 and 2000* NCES number: 2003036. Release date: March 7, 2003
- *Children's Reading and Mathematics Achievement in Kindergarten and First Grade* NCES number: 2002125. Release date: March 7, 2002
- *Digest of Education Statistics, 2001* NCES number: 2002130. Release date: March 1, 2002
- The Kindergarten Year NCES number: 2001023. Release date: December 1, 2000
- *America's Kindergartners* NCES number: 2000070. Release date: February 17, 2000

Specific shorter publications include the following:

- *The Condition of Education 2003 in Brief* NCES number: 2003068. Release date: June 17, 2003
- *Schools' Use of Assessments for Kindergarten Entrance and Placement: 1998-99* NCES number: 2003004. Release date: March 24, 2003
- *Findings from the Condition of Education 2000: Entering Kindergarten* NCES number: 2001035. Release date: January 22, 2001

Specific technical/methodological papers include the following:

- *User's Manual for the ECLS-K Longitudinal Kindergarten-First Grade Public-Use Data Files and Electronic Codebook* NCES number: 2002149. Release date: April 30, 2002
- *User's Manual for the ECLS-K First Grade Public-Use Data Files and Electronic Codebook* NCES number: 2002135. Release date: February 19, 2002

Specific working papers include the following:

- *Early Childhood Longitudinal Study - Kindergarten Class of 1998-99 (ECLS-K), Psychometric Report for Kindergarten Through First Grade* NCES number: 200205. Release date: September 10, 2002
- *Papers From the Early Childhood Longitudinal Studies Program Presented at the 2001 AERA and SRCD Meetings* NCES number: 200106. Release date: July 30, 2001
- *Measuring Father Involvement in Young Children's Lives: Recommendations for a Fatherhood Module for the ECLS-B* NCES number: 200102. Release date: April 17, 2001
- *Measures of Socio-Emotional Development in Middle Childhood* NCES number: 200103. Release date: April 17, 2001
- *Selected Papers on Education Surveys: Papers Presented at the 1998 and 1999 ASA and 1999 AAPOR Meetings* NCES number: 200004. Release date: August 7, 2000
- *A Birth Cohort Study: Conceptual and Design Considerations and Rationale* NCES number: 199901. Release date: February 16, 1999
- *Working Paper: Measuring the Quality of Program Environments in Head Start and Other Early Childhood Programs* NCES number: 9736. Release date: November 7, 1997
- *Formulating a Design for the ECLS: A Review of Longitudinal Studies* NCES number: 9724. Release date: September 11, 1997
- *Assessment of Social Competence, Adaptive Behaviors, and Approaches to Learning With Young Children* NCES number: 9618. Release date: August 30, 1996
- *How Accurate Are Teacher Judgments of Students' Academic Performance?* NCES number: 9608. Release date: April 30, 1996

NATIONAL HOUSEHOLD EDUCATION SURVEY PROGRAM

Purpose

The National Household Education Surveys Program (NHES), a data collection system of the National Center for Education Statistics (NCES), addresses a wide range of education-related issues. It provides descriptive data on the educational activities of the U.S. population and offers policymakers, researchers, and educators a variety of statistics on the condition of education in the United States.

Although the primary purpose of the NHES is to measure the same phenomena at different times, the NHES also fields one-time surveys on topics of interest to the Department of Education, such as the 1993 School Safety and Discipline and the 1996 Household and Library Use surveys.

For more information:

http://www.nces.ed.gov/nhes/

Agencies/Institutions

The National Center for Education Statistics, U.S. Department of Education, funds and conducts the NHES.

Research/Survey Design

The NHES is a cross-sectional survey that studies a specific topic at various points in time. The interviewed households are chosen through random digit dialing, and CATI procedures collect the information. The targeted population of the survey is a representative sample of noninstitutionalized civilians in the United States. Depending on the topical survey being conducted, the respondent may be a child or an adult in the household. Areas with high black and Hispanic populations are oversampled in all surveys to provide accurate estimates for those populations.

The following table summarizes the targeted population and the respondent for each NHES survey topical module.

Survey Topic	Targeted Population	Respondent
Adult Education	Civilian adults ages 16 and over not enrolled in elementary or secondary school at time of interview	Adult
Before- and After-School Programs and Activities	Children age 10 and younger	Most knowledgeable parent
Civic Involvement	Children in grades 6–12 and their parents and civilian adults age 18 and over	Youth and parent
Early Childhood Program Participation	Children age 10 and younger	Most knowledgeable parent or guardian of child
Household Library Use	Noninstitutionalized civilian population in the United States	Adult household member
Parent and Family Involvement in Education	Children age 3 through grade 12	Most knowledgeable parent or guardian of child or youth
School Readiness	Children ages 3 through 7 and children ages 8 or 9 still in grade 2 or below	Most knowledgeable parent
School Safety and Discipline	Parents or guardians of children in grades 3 through 12 and children in grades 6 through 12	Parents and/or youth

For more information:

http://www.nces.ed.gov/nhes/

Date(s)/Periodicity

NHES surveys were conducted in spring 1991, 1993, 1995, 1996, 1999, 2001, and 2003. Each year, two or more surveys cover different topics. The most recent survey, in 2003, consisted of the Adult Education for Work-Related Reasons survey and the Parent and Family Involvement in Education survey. The 2005 survey, which is in the planning stage, will consist of three surveys: Adult Education and Lifelong Learning, Early Childhood Program Participation, and Before- and After-School Programs and Activities. Future surveys will also include topics studied in previous surveys.

For more information:

http://www.nces.ed.gov/nhes/

Population/Sample

The NHES surveys a representative sample of noninstitutionalized civilians in the United States. A representative sample of 45,000 to 60,000 households are sampled in the original screening. The original screening tests which households are appropriate for the surveys being conducted, and multiple surveys are given to households whenever possible to minimize costs. Black and Hispanic minorities are oversampled in all surveys to increase the reliability of the estimates produced for ethnic and racial groups. The survey population is nationally representative of the noninstitutionalized civilian population in the United States.

The following table summarizes the sample sizes and response rates for each NHES survey topical module.

Survey Topic and Year Fielded	Sample Size	Response Rates		
		Response Rate for Screener	Completion Rate	Overall Response Rate
Adult Education				
1991	12,568	81	88	72
1995	19,722	73	80	59
1999	6,697	74.1	84.1	62.3
2001	10,873	no data available		
Before- and After-School Programs and Activities				
1999	12,396	74	88	65
2001	9,583	no data available		
Civic Involvement				
Youth 1996	8,043	66.9	76.4	53.4
Adult 1996	2,250	66.9	84	59
Parent 1996	9,393	74.1	89.4	62.5
Youth 1999	7,913	74.1	78.1	57.9
Early Childhood Program Participation				
1991	13,892	81.1	94.5	77
1995	14,064	73.3	90.4	66.3
1999	6,939	74.1	90	66.7
2001	6,749	no data available		
Parent and Family Involvement in Education				
1996	20,792	69.9	89.4	62.5
1999	21,222	74.1	90	66.7

Survey Topic and Year Fielded	Sample Size	Response Rates		
School Readiness				
1993	10,888	82	90	74
1999	6,939	74.1	90	66.7
School Safety and Discipline				
Youth 1993	6,504	82	83	68
Parent 1993	12,680	82	90	74

For more information:

http://www.nces.ed.gov/nhes/

Content Covered

Each year the program is conducted, several surveys are given. NHES surveys have been conducted in spring 1991, 1993, 1995, 1996, 1999, 2001, and 2003. Surveys include Adult Education (1991, 1995, 1999, 2001, 2003); Before- and After-School Programs and Activities (1999, 2001); Civic Involvement (1996, 1999); Early Childhood Program Participation (1991, 1995, 1999, 2001); Household Library Use (1996); Parent and Family Involvement in Education (1996, 1999, 2003); School Readiness (1993, 1999); and School Safety and Discipline (1993).

For more information:

http://www.nces.ed.gov/nhes/

Availability of Data for Public Use

Data sets and products are available at **http://nces.ed.gov/pubsearch/getpubcats.asp?sid=004**

Please note that data from the 2003 surveys will be released in 2004. The NHES website is **http://nces.ed.gov/nhes/index.asp**.

Reference List for Users' Guide, Codebooks, Methodology Report(s)

Questionnaires and User's Guides are available at **http://nces.ed.gov/nhes/questionnaires.asp**.

Reports are available at **http://nces.ed.gov/pubsearch/getpubcats.asp?sid=004**.

U.S. Department of Education. (1997, May). *National Household Education Survey: An overview of the National Household Education Survey: 1991, 1993, 1995, and 1996* (technical report). Washington, DC: Author. Available at **http://nces.ed.gov/pubs97/97448.pdf**

CURRENT POPULATION SURVEY (CPS)

The survey background information for the CPS covers two surveys: 1) the basic monthly survey, administered each month to collect primarily labor force data, and 2) the Annual Demographic Survey (ADS), formerly known as the March CPS Income Supplement, conducted annually—mostly in March—to collect data on work experience, income, and migration.

Purpose

The Current Population Survey (CPS) of about 50,000 households has been conducted monthly by the Bureau of the Census for the Bureau of Labor Statistics for more than 50 years. It is the primary source of information on the characteristics of the U.S. labor force. The sample provides estimates for the nation as a whole and is part of model-based estimates for individual states and other geographic areas. Government policymakers and legislators use CPS data as important indicators of the U.S. economic situation and as a tool for planning and evaluating many government programs. The press, students, academics, and the general public also use CPS data.

The Annual Demographic Survey or March CPS supplement is the primary source of detailed information on income and work experience in the United States. Each year, the Bureaus of Labor Statistics and Census issue publications based on this survey. "A public-use microdata file is available for private researchers, who also produce many academic and policy-related documents based on these data. The Annual Demographic Survey is used to generate the annual Population Profile of the United States, reports on geographical mobility and educational attainment, and detailed analysis of money income and poverty status. The labor force and work experience data from this survey are used to profile the U.S. labor market and to make employment projections" (**http://www.bls.census.gov/cps/ads/adsdes.htm**).

For more information:

http://www.bls.census.gov/cps/

Agencies/Institutions

The CPS is cosponsored by the Bureau of Labor Statistics (BLS) and the U.S. Census Bureau. The Census Bureau administers the survey.

Research/Survey Design

The CPS uses a research design with both cross-sectional and longitudinal elements because households are interviewed over time before being replaced by other households. The nature of the rotation pattern allows 75% of sampled households of the basic CPS to remain the same month to month, with 50% of the sample in common between one month and the same month a year later.

Households for the CPS come from a probability sample of housing units in each state and the District of Columbia, updated after each Census and with measures taken to include newly constructed units. Counties in each state are divided into primary sampling units (PSUs) of one or

more contiguous counties; housing units are drawn from the most populous PSUs in each state as well as from PSUs randomly selected among PSUs in each state with similar characteristics. Following data collection, the weighting procedure includes steps that ensure that the proportion of people and households by state, age, sex, race, and Hispanic origin matches current Census projections.

One person (the household respondent) usually answers for all members of the household. However, telephone call-backs commonly occur to obtain certain types of information known only by someone else in the household.

For more information:

http://www.bls.census.gov/cps/

Date(s)/Periodicity

Respondents to the CPS are surveyed eight times: two periods of 4 consecutive months that are 1 calendar year apart. (There are thus 8 months between the fourth and fifth surveys of each household.) Questions in the ADS are asked once a year, primarily in March, although certain households in the expanded sample are interviewed in February or April. Different supplements are typically administered in other months. Administration of the CPS and ADS according to this regular schedule is ongoing.

For more information:

http://www.bls.census.gov/cps/

Population/Sample

"The CPS is the primary source of information on the labor force characteristics of the U.S. population. The sample is scientifically selected to represent the civilian noninstitutional population. Respondents are interviewed to obtain information about the employment status of each member of the household 15 years of age and older. However, published data focus on those ages 16 and over. The sample provides estimates for the nation as a whole and serves as part of model-based estimates for individual states and other geographic areas" **(http://www.bls.census.gov/cps/bovrvw1.htm)**. The basic monthly survey does not include members of the Armed Forces, but the ADS collects data for military personnel who are living with at least one civilian adult. Because the housing unit is the sampling unit, all people age 15 and over currently living in the housing unit are surveyed in later months, even if they are new to the housing unit. People who move out of the housing unit are no longer followed, so it is possible that the respondents to the survey one month are entirely different from the respondents in a later month in which the housing unit is still in the sample (if, for example, one family moves out and another moves in).

The basic CPS consists of a sample of 60,000 occupied housing units and all nonmilitary people 15 and over within them. If the original residents of a housing unit move out while that unit is still in rotation, the new residents of the unit will be surveyed in subsequent months. The ADS

surveys the 60,000 occupied housing units scheduled to receive the monthly survey in March as well as two additional groups of people: 4,500 Hispanic households identified the previous November (to improve Hispanic estimates of ADS constructs) and 34,500 households who form what is known as the State Children's Health Insurance Program (SCHIP) sample expansion. The latter expansion, designed to allow the ADS to better measure the number of children in each state without health insurance coverage, involves oversampling non-Hispanic non-white households, non-Hispanic white households with children younger than 19, and households in states whose estimates of children's health insurance coverage were the most unreliable. In total, then, the ADS sample includes about 99,000 households. Additional weighting is done to obtain estimates for households and families.

The response rate for the monthly survey is about 93% and for the ADS averages 80% to 82%.

"The effect of nonresponse cannot be measured directly, but one indication of its potential effect is the nonresponse rate. For the March 2002 basic CPS, the nonresponse rate was 8.3%. The nonresponse rate for the March supplement was an additional 8.6%, for a total supplement nonresponse rate of 16.2%" (U.S. Census Bureau, 2002, p. G-3). Nonresponse for the basic CPS in March 2002 was higher than normal, as the basic CPS usually enjoys a 93% response rate. Typically, about 55% to 60% of nonresponse owes to refusals, with noncontact taking up the vast majority of the remainder (BLS and Census, 2002, p. 16-3; **http://www.bls.census.gov/cps/basic/perfmeas/typea.htm).**

For more information:

http://www.bls.census.gov/cps/

Content Covered

The monthly CPS allows estimates of employment, unemployment, earnings, hours of work, and other indicators. These indicators are available by a variety of demographic characteristics, such as age, sex, race, marital status, and educational attainment, and by occupation, industry, and class of worker. Various other topics, including school enrollment, income, previous work experience, health, employee benefits, and work schedules, are estimated through supplemental questions.

The supplemental questions about previous work experience, income, and migration are asked in the Annual Demographic Survey. "Today, information is gathered [through the ADS] on more than 50 different sources of income, including noncash income sources such as food stamps, school lunch program, employer-provided group health insurance plan, employer-provided pension plan, personal health insurance, Medicaid, Medicare, CHAMPUS or military health care, and energy assistance. Comprehensive work experience information is given on the employment status, occupation, and industry of persons 15 years old and over" **(http://www.bls.census.gov/cps/ads/shistory.htm)**.

For more information:

http://www.bls.census.gov/cps/

Availability of Data for Public Use

Both the Census Bureau and the BLS regularly produce reports summarizing data from the CPS. The dataset can be searched or downloaded via FERRET (Census) and LABSTAT (BLS). See **http://www.bls.census.gov/cps/datamain.htm**.

The CPS website is **http://www.bls.census.gov/cps/cpsmain.htm**. The questionnaire for the Basic Monthly Survey is available at **http://www.bls.census.gov/cps/bqestair.htm**. The questionnaire for the 2002 Annual Demographic Survey is in Appendix D (D-1 to D-109) of the technical documentation for that survey, which is available at http://www.census.gov/apsd/techdoc/cps/cpsmar02.pdf.

Reference List for Users' Guide, Codebooks, Methodology Report(s)

Bureau of Labor Statistics & U.S. Census Bureau. (2002). *Current Population Survey: Design and methodology.* Technical Paper 63RV. Washington, DC: Authors. URL: **http://www.census.gov/prod/2002pubs/tp63rv.pdf**

Technical Paper 63 Revised (63RV), on the design and methodology of the CPS, was issued in March 2002 and is available at **http://www.census.gov/prod/2002pubs/tp63rv.pdf**.

Technical documentation specifically for the March 2002 Annual Demographic File (issued November 2002) is available at **http://www.census.gov/apsd/techdoc/cps/cpsmar02.pdf**.

U.S. Census Bureau. (2002). *Technical documentation: Current Population Survey. March 2002.* Washington, DC: Author. URL: **http://www.census.gov/apsd/techdoc/cps/cpsmar02.pdf**

A data dictionary for the March Income Supplement is available for household, family, and person variables; the dictionary, at **http://www.bls.census.gov/cps/ads/sdatadic.htm**, provides numeric codes for possible question responses and frequency distributions from the March 1995 survey.

Two different data dictionaries for the basic monthly survey are available online: one that provides variable descriptions by topic at **http://www.bls.census.gov/cps/bdatadic.htm** and one for the public use file that lists variables in a variety of ways at **http://www.bls.census.gov/cps/basic/datadict/199801/bdatdict.htm**. Neither data dictionary for the basic CPS includes frequency distributions.

SURVEY OF INCOME AND PROGRAM PARTICIPATION (SIPP)

Purpose

The Survey of Income and program participation (SIPP) collects "source and amount of income, labor force information, program participation and eligibility data, and general demographic characteristics to measure the effectiveness of existing federal, state, and local programs; to estimate future costs and coverage for government programs, such as food stamps; and to provide improved statistics on the distribution of income in the country" **(http://www.sipp.census.gov/sipp/overview.html)**.

Agencies/Institutions

The SIPP is sponsored by the U.S. Census Bureau and administered by the Demographics Survey Division of the U.S. Census Bureau. The Department of Health, Education, and Welfare developed the forerunner to the SIPP, the Income Survey Development Program (ISDP), and participated in early design work for the SIPP itself.

Research/Survey Design

"SIPP produces national-level estimates for the U.S. resident population and subgroups. Although the SIPP design allows for both longitudinal and cross-sectional data analysis, SIPP is meant primarily to support longitudinal studies. SIPP's longitudinal features allow the analysis of selected dynamic characteristics of the population, such as changes in income, eligibility for and participation in transfer programs, household and family composition, labor force behavior, and other associated events" **(http://www.sipp.census.gov/sipp/analytic.html)**.

The SIPP uses a multistage-stratified sample of the U.S. civilian noninstitutionalized population. The first stage involves selecting primary sampling units (PSUs) made up of one or more contiguous counties; the second stage samples addresses within the selected PSUs.

"All household members 15 years old and over are interviewed by self-response, if possible; proxy response is permitted when household members are not available for interviewing" **(http://www.sipp.census.gov/sipp/overview.html)**. Proxy interviewing occurs more often than the Census Bureau would like.

For more information:

http://www.sipp.census.gov/sipp/

Date(s)/Periodicity

In February 2001, a 3-year 2001 panel comprising 36,700 sample units (households) was introduced. These households will be interviewed in interviewing periods, called waves, from

February 2001 through January 2004. The SIPP uses a 4-month recall period. Approximately the same number of interviews are conducted in each month of the 4-month period for each wave.

For more information:

http://www.sipp.census.gov/sipp/

Population/Sample

The SIPP is a continual series of national panels, with sample size ranging from approximately 14,000 to 36,700 interviewed households. Each panel lasts from 2.5 to 4 years. The SIPP sample is a multistage-stratified sample of the U.S. civilian noninstitutionalized population. From 1984 to 1993, a panel of households was introduced each year in February. The 2001 panel comprises 36,700 households, which will be interviewed nine times from February 2001 through January 2004. The 2001 panel SIPP interviews use a computer-assisted interview (CAPI) on a laptop computer. Unlike the CPS, the SIPP excludes people living in military barracks from the sample. A survey is completed in Wave 1 for each member of the household age 15 or older; in succeeding waves, each of these original sample members is surveyed as well as all current residents 15 and older of the households in which original sample members currently live.

"The rate of sample loss in SIPP generally declines from one wave to the next. The total number of sample members lost, also known as total sample attrition, always increases over time. Wave 1 nonresponse rates for SIPP have been about 7.7 percent. There is usually a sizable sample loss at Wave 2, with a lower rate of additional attrition occurring at each subsequent wave. Prior to the 1992 Panel, SIPP lost roughly 20 percent of the original sample by the panel's completion. The sample loss rate for the 1996 Panel was 35.5 percent by the end of the 12th, or final, wave" **(http://www.sipp.census.gov/sipp/types_non.html)**.

Low-income housing units were oversampled in the 1990, 1996, and 2001 panels.

For more information:

http://www.sipp.census.gov/sipp/

Content Covered

The SIPP collects two categories of information: core and topical. The core content includes questions asked at every interview and covers demographic characteristics; labor force participation; program participation; amounts and types of earned and unearned income received, including transfer payments; noncash benefits from various programs; asset ownership; and private health insurance. Most core data are measured monthly, although a few core items are measured only once every 4 months, on the interview date.

Topical questions produce in-depth information on specific social and economic characteristics and personal histories, such as assets and liabilities, school enrollment, marital history, fertility, migration, disability, work history, child care, child support, wealth, program eligibility, taxes, and annual income. They are asked less often, are often found in topical modules

that usually follow the core content, and usually collect information on events in the past or characteristics that change slowly.

Availability of Data for Public Use

Data are periodically released in cross-sectional, topical module, and longitudinal reports. Public use files contain the core data on income recipiency and program participation. These files are available for all waves of the 1984 through 1996 panels, and Waves 1 through 4 longitudinal of the 2001 panel. Topical module files containing core and topical module data also are available for these panels for 1984 through 1988, and 1990 through the 1996 panels. Longitudinal files are also available for the 1984-1996 panels. For access to the data files, go to **http://www.sipp.census.gov/sipp/access.html**. More information is available at **http://www.sipp.census.gov/sipp/public.html**.

The SIPP website is **http://www.sipp.census.gov/sipp/**. The core questionnaire for the 2001 panel (and core and topical questionnaires for the 1993 and 1996 panels) is available at **http://www.sipp.census.gov/sipp/questionnaires.html**. (Wave 2 core questionnaires are also used in succeeding waves of the panel.) For questionnaires for the topical modules of the 2001 panel that have been completed so far, see **http://www.sipp.census.gov/sipp/top_mod/2001/top_mod_sched.html**.

Reference List for Users' Guide, Codebooks, Methodology Report(s)

The 2001 SIPP Users' Guide is available at **http://www.sipp.census.gov/sipp/usrguide/sipp2001.pdf**.

Technical documentation for the various data files of the 1993 and 1996 panels is available at **http://www.census.gov/apsd/techdoc/sipp/sipp.html**; the documentation for each file includes a data dictionary and source and accuracy statement.

For data quality information about all the SIPP panels, see **http://www.sipp.census.gov/sipp/source.html**.

A searchable SIPP bibliography containing both methodological papers and reports using SIPP data has also been prepared; it is available at **http://www.sipp.census.gov/sipp/aboutbib.html.**

NATIONAL STUDY OF CHILD CARE FOR LOW-INCOME FAMILIES

Purpose

The National Study of Child Care for Low-Income Families will provide Federal, state and local policymakers with information on how states and communities implement policies and programs to meet the child care needs of families moving from welfare to work (and other low-income families); how policies change over time; and the effect of relationships between policies and other factors on the type, amount, and cost of care in communities. That is, the effects of Federal, state, and local policies and programs on child care at the community level and on the employment and child care decisions of low-income families are being examined. Additionally, the study examines factors that affect the decisions that low-income families make about child care and what role child care subsidies have on the families' decisions. The study will also provide insights into the characteristics and functioning of family child care for a group of families (a little-studied type of care frequently used by low-income families) and the experiences of parents and their children with this form of care (e.g., the extent to which family child care meets parents' work-related needs and children's needs).

For more information:

U.S. Department of Health and Human Services. (2000, November). *National Study of Child Care for Low-Income Families: State and community substudy interim report.* Washington, DC: Author. Available at **http://abtassociates.com/reports/NSCCLIF.pdf**

http://www.acf.dhhs.gov/programs/opre/

Agencies/Institutions

The study is funded by the Administration for Children and Families in the U.S. Department of Health and Human Services. The study is being conducted by Abt Associates in Cambridge, Massachusetts, and the National Center for Children in Poverty at Columbia University's Joseph Mailman School of Public Health in New York City.

Research/Survey Design

The National Study of Child Care for Low-Income Families is a nonexperimental, longitudinal 5-year research effort in 25 communities in 17 states. The study consists of a three-level nested sample: communities within states and families and providers within communities. The communities are a nationally representative sample of counties with child poverty rates above 14% but are not nationally representative of all 50 states. Investigators are using state plans, surveys, and interviews over 3 years to examine state child care policies, practices, regulations, and resource allocations. Communities are being studied with similar methods, along with focus groups and site observations.

The family level of the study includes several samples. For example, 2,500 low-income families (under 200% of poverty) with working parents who use nonparental child care for at least one child under age 13 are part of a random-digit dialing telephone survey. Other samples include 650 low-income parents who are receiving, or are eligible for, child care subsidies and are using family child care at the start of the study and their family child care providers. Investigators are documenting the family child care market through surveys, interviews, focus groups, and observations in the child's home and child care setting. A one time survey of 25 low-income families will gather information from families, and multiple studies will be conducted over 2.5 years to gather more detailed family information and to follow changes.

In 5 of the 25 communities, in-person interviews were conducted with low-income parents who received or were eligible for a child care subsidy and who chose family child care at the beginning of the study. Additionally, in-person interviews with family child care providers and observations in the family child care setting were provided.

For more information:

U.S. Department of Health and Human Services. (2000, November). *National Study of Child Care for Low-Income Families: State and community substudy interim report.* Washington, DC: Author. Available at **http://abtassociates.com/reports/NSCCLIF.pdf**

http://www.acf.dhhs.gov/programs/opre/

Date(s)/Periodicity

The study began in September 1997 and ended in June 2003. Information for the study was collected twice for the states, once in 1999 and again in 2001. Information about the communities was collected three times from 1999 to 2001. Information about the family child care setting was collected once.

For more information:

http://www.acf.dhhs.gov/programs/opre/

Population/Sample

"Information for the study is collected at three levels, with nested samples of communities within states and families and providers within communities. The first level is a sample of 17 states containing 25 communities that were selected from a national sampling frame to be as close as possible to a representative sample of counties with child poverty rates above 14 percent. At the family level, the study includes several samples: a random sample of 2,500 low-income families (with incomes under 200% of federal poverty guidelines) with working parents and at least one child under age thirteen for whom they use non-parental child care in the 25 communities (100 per community); a sample of 650 low-income parents who are receiving, or are eligible for, child care subsidies, and who are using family child care at the start of the study; and a sample of the 650

family child care providers linked to these 650 families" (DHHS, 2000, p. 9). The sample is not nationally representative of all 50 states.

For more information:

U.S. Department of Health and Human Services. (2000, November). *National Study of Child Care for Low-Income Families: State and community substudy interim report.* Washington, DC: Author. Available at **http://abtassociates.com/reports/NSCCLIF.pdf**

Content Covered

Research questions have been included that pertain to the following areas:

- Child care regulatory and monitoring policy
- Child care quality, support and coordination efforts
- Child care subsidy policies and practices
- Changes in child care policies and services over time
- Community involvement in child care and community-level child care issues
- Factors that shape the child care decisions of low-income families
- Role of family child care in helping families manage the competing demands of family child care and work
- Character of providers of family child care
- Children's experience in family child care and other care arrangements

Availability of Data for Public Use

Data for public use is not yet available.

Reference List for Users' Guide, Codebooks, Methodology Report(s)

U.S. Department of Health and Human Services. (2000, November). *National Study of Child Care for Low-Income Families: State and community substudy interim report.* Washington, DC: Author. Available at **http://www.abtassoc.com/reports/NSCCLIF.pdf**

NATIONAL CHILD CARE STAFFING STUDY (NCCSS)

The National Child Care Staffing Study (NCCSS) is a longitudinal study of child care centers conducted in 1988, 1992, and 1997. The description of the study provided here focuses on the original (1988) study. See the reference section for a comparison of the three waves.

Purpose

The 1988 National Child Care Staffing Study (NCCSS) explored how child care teaching staff and their working conditions influenced the quality of center-based child care available in the United States. To address gaps in the child care literature, the NCCSS addressed four major policy questions:

- Who teaches in America's child care centers?
- What do they contribute to the quality of care provided?
- Do centers that meet or fail to meet nationally established quality guidelines, that operate under different financial and legal auspices, and that serve families from different socioeconomic backgrounds also differ in the quality of care offered to children or the work environments offered to their staff?
- How have center-based child care services changed from 1977 to 1988?

For more information:

Whitebook, M., Howes, C., & Phillips, D. (1990). Who cares? Child care teachers and the quality of care in America. Final report: National Child Care Staffing Study. Oakland, CA: Child Care Employee Project.

Agencies/Institutions

"The [1988] National Child Care Staffing Study was coordinated by the staff of the Child Care Employee Project and funded by a consortium of foundations including the Carnegie Corporation of New York, Ford Foundation, the Foundation for Child Development, the A.L. Mailman Family Foundation, and the Spunk Fund, Inc." (Whitebook, Howes, & Phillips, 1990, p. ii). Marcy Whitebook, Carollee Howes, and Deborah Phillips, the principal investigators of the NCCSS, worked (at the time of the 1988 study) at the Child Care Employee Project, the University of California at Los Angeles, and the University of Virginia, respectively. The sponsor of the study, the Child Care Employee Project, changed its name to the Center for the Child Care Workforce (CCW) in 1997. (CCW was known as the National Center for the Early Childhood Work Force between 1994 and 1997.) In November 2002, CCW became a program within the American Federation of Teachers Educational Foundation (AFTEF).

Research/Survey Design

NCCSS was conducted longitudinally, beginning in 1988with a cross-section of 227 child care centers in Atlanta, Boston, Detroit, Phoenix, and Seattle. These metropolitan areas were selected because they varied greatly in four characteristics: "(1) the level of quality (low to high) required by each state's child care regulations, (2) geographic region, (3) relative distributions of for-profit and non-profit child care centers, and (4) the attention accorded child care staffing issues in state and local policy initiatives. Our interest in tracking trends in center-based child care since the National Day Care Study was conducted in 1977 also influenced our selection of sites. …A two-part strategy was used in each Study site to generate a sample of child care centers serving low-, middle-, and high-income families in urban and suburban neighborhoods. …First, the eligible pool of centers was identified from updated lists of licensed child care centers. …The final sample of participating centers was selected from the eligible pool using a stratified, random sampling strategy. …In each center, three classrooms were randomly selected to be observed, one each from among all infant, toddler, and preschool classrooms. …Two staff members—one teacher or teacher director…and one assistant or aide…—from each participating classroom were randomly chosen to be interviewed and observed" (Whitebook et al., 1990, pp. 13, 16, 19, 20).

The NCCSS focused only on center-based programs that served children through 5 years of age, operated at least 11 months a year for a minimum of 6 hours a day, served a minimum of 15 children, and employed no fewer than six staff members. It did not provide a nationally representative sample of all child care centers but instead "sought to capture the diversity of the nation's centers in numbers approximating their distribution in the five Study sites" (Whitebook et al., 1990, p. 13). Data collection for the original study consisted of classroom observation and interviews with center directors and teaching staff. In Atlanta, children's socioemotional, language, and cognitive development were also assessed.

For more information:

Whitebook, M., Howes, C., & Phillips, D. (1990). Who cares? Child care teachers and the quality of care in America. Final report: National Child Care

Date(s)/Periodicity

Data were collected between February and August 1988, with follow-ups in 1992 and 1997.

Population/Sample

The original study sample consisted of 227 child care centers in five metropolitan areas; within these 227 centers, researchers observed 643 classrooms and interviewed 1,309 teaching staff (including both teachers and assistant teachers). The response rate for centers averaged 61%, and nearly all the sampled teachers at the participating sites agreed to be interviewed and observed. "In summary, there is some potential for bias in the sample given the higher participation rates for non-profit than for-profit centers, centers serving low-income families, and centers that may offer somewhat higher quality care than is typical in the Study sites [metropolitan areas]. However, as a result of the stratified, replacement sampling strategy, the final sample of centers closely matches

the distribution of centers across Census tracts and urban and suburban residential areas" (Whitebook et al., 1990, p. 19).

Because of the decision to focus on five metropolitan areas, the NCCSS did not provide a nationally representative sample of all child care centers but instead "sought to capture the diversity of the nation's centers in numbers approximating their distribution in the five Study sites. …The participating sites [metropolitan areas], as planned, are highly diverse with respect to their economic contexts, demographics, and regulatory climates" (Whitebook et al., 1990, pp.13, 14).

The five metropolitan areas were ethnically diverse, with a variety of racial and ethnic groups represented. Blacks were the largest minority group in Atlanta and Detroit, Hispanics were the largest in Phoenix, and Asians and Native Americans formed the greatest portion of the minority population in Seattle. About one-third of teaching staff in the 1988 sample belonged to racial or ethnic minorities, and in all metropolitan areas, the percentage of minorities was larger in the teaching staff than in the area as a whole. The NCCSS selected centers that served children through 5 years of age, and "across all participating centers, the research team observed 643 classrooms [in 1988]: 85 (13%) infant, 151 (23%) toddler, 313 (49%) preschool, and 94 (15%) mixed-age classrooms" (Whitebook et al., 1990, p. 19). In Atlanta, the sample of 255 children consisted of 36% infants, 22% toddlers, and 42% preschoolers.

For more information:

Whitebook, M., Howes, C., & Phillips, D. (1990). Who Cares? Child Care Teachers and the Quality of Care in America. Final Report: National Child Care Staffing Study. Oakland, CA: Child Care Employee Project.

Content Covered

In the original study, "classroom observations and interviews with center directors and staff provided data on center characteristics and program quality, and on staff qualifications, commitment, and compensation. In Atlanta, child assessments were also conducted to examine the effects on children of such center and staff attributes as program quality and staff training" (Whitebook et al., 1990, p. 11). The instruments used in 1988 in all metropolitan areas included a director interview protocol, a teaching staff interview protocol, the Early Childhood Environment Rating Scale (ECERS; Harms & Clifford, 1980), the Infant-Toddler Environment Rating Scale (ITERS; Harms & Clifford, 1986), a classroom structure measure, and the Arnett scale of teacher sensitivity (Arnett, 1989). The measures are described in detail on pages 21 through 28 of Whitebook, Howes, and Phillips (1990). Pages 25 to 28 of that report discuss the additional measures employed in the Atlanta sample.

The following constructs were measured by the 1988 NCCSS:

- ***Child development environment:*** developmentally appropriate activity, ratio, group size, grouping of children, staffing patterns
- ***Adult work environment:*** wages, benefits, working conditions, job satisfaction, budget allocations for personnel, sources of income
- ***Teacher characteristics:*** formal education, early childhood education, experience in child care
- ***Teacher child interaction:*** appropriate caregiving (sensitivity, harshness, detachment)
- ***Children's development:*** attachment security, sociability, communication skills, picture vocabulary test, time with peers, aimless wandering (assessed socio-emotional, language, and cognitive development of all children in Atlanta sample)
- ***Teacher turnover:*** 12-month director's report and 6-month staff report

For more information:

Whitebook, M., Howes, C., & Phillips, D. (1990). Who cares? Child care teachers and the quality of care in America. Final report: National Child Care Staffing Study. Oakland, CA: Child Care Employee Project.

Availability of Data for Public Use

Data sets for the NCCSS are not available on the Internet. The NCCSS does not currently have a website, but the website for the sponsoring organization, the Center for the Child Care Workforce (CCW), is **http://www.ccw.org/home/**. Contact information for CCW is as follows:

Center for the Child Care Workforce
A Project of the AFT Educational Foundation
555 New Jersey Avenue, NW
Washington, DC 20001
Phone: 202-662-8005
Fax: 202-662-8006
Email: **ccw@aft.org**

Reference List for Users' Guide, Codebooks, Methodology Report(s)

The final reports for the 1988 study and its two follow-ups are available for purchase from the CCW website, although they should soon be available for free on the site itself.

Descriptions of the three waves for the longitudinal NCCSS follow: The original study, *Who Cares? Child Care Teachers and the Quality of Care in America* (1990), "profiled the demographic characteristics, professional preparation, quality, turnover, pay and working conditions of center-based child care workers in the United States." For the first follow-up, *The National Child Care Staffing Study—Revisited Four Years in the Life of Center-Based Child Care* (1993), the NCCSS research team "returned [in 1992] to the original staffing study sites to assess changes in wages, benefits, and turnover. Through interviews with 225 center directors across the nation, this follow-up study found meager improvement in teaching staff wages, identified in the original findings as the most important predictor of child care services." The most recent wave in the NCCSS, *Worthy Work, Unlivable Wages: The National Child Care Staffing Study, 1988–1997* (1998), was conducted in 1997. "Nine years after the original National Child Care Staffing Study, we interviewed directors at the centers still in operation to assess changes in wages, benefits and turnover; whether increases in public investment for child care have benefited the child care workforce; and the extent to which former welfare recipients are employed in center-based child care" **(http://www.ccw.org/tpp/pubs/studies.html)**.

Arnett, J. (1989). Caregivers in day-care centers: Does training matter? *Journal of Applied Developmental Psychology, 10*, 541–552.

Harms, T., & Clifford, R. (1980). *Early childhood Environment Rating Scale*. New York: Teachers College Press, Columbia University.

Harms, T., & Clifford, R. (1986). *Infant-Toddler Environment Rating Scale*. Unpublished document, University of North Carolina Chapel Hill.

Whitebook, M., Howes, C., & Phillips, D. (1990). *Who cares? Child care teachers and the quality of care in America. Final report: National Child Care Staffing Study*. Oakland, CA: Child Care Employee Project.

C. CONSTRUCT GRID

Legend
X = Primary Construct
0 = Secondary Construct
1 = High Confidence
2 = Lower Confidence

Domain -->	ECONOMIC WELL-BEING/SELF-SUFFICIENCY									
Construct -->	Characteristics of Employment (e.g. retention, stability, number of hours, job advancement)	Income	Earnings	Poverty Variables	Barriers to Employment (e.g. transportation)	Job Skills and Work Experience	Welfare Receipt (e.g. TANF, SSI, Food Stamps)	Economic Hardship (e.g. food insecurity)	Other	Other
[WG INSERTED COMMENTS]		these three are bracketed together			child care					
Building Strong Families	O1	O1	O1	O1	O1		O1	O1		
Rural Welfare to Work Strategies Demonstration and Evaluation Project	X1	X1	X1	X1	X1	O1	X1	X1		
Evaluation of Child Care Subsidy Strategies (I)	X1	X1	X1	X1	X1					
Evaluation of Child Care Subsidy Strategies (II)										
Enhanced Services for the Hard-to-Employ Demonstration and Evaluation	X1	X1	X1	X1	X1	X1	X1	X1		
Employment Retention and Advancement Project	X1	X1	X1	X1	X1					
National Head Start Impacts Study	O2	O2	O2	O2			O2			
Head Start Family and Child Experiences Survey (FACES)	X1	X1	X1	X1			X1			
Early Head Start (0-3)	O1	O1	O1				O1			
Early Head Start Tracking Pre-K										
National Survey of Child and Adolescent Well-Being		O2	O2		O2		O1	O2		

Domain -->	PROGRAM IMPLEMENTATION					RECEIPT OF SERVICES				
Construct -->	Faithfulness	Program Design	Service Delivery	Other	Other	Benefits (e.g. Food Stamps, SSI, Medicaid, TANF, Child Care Subsidies	Comprehensive Services For Children	Child Care	Child Welfare Services (e.g. child protective services, permanency services)	Other services (e.g. health, juvenile court, mental health)
[WG INSERTED COMMENTS]										
Building Strong Families	X2					O1		O1	O1	
Rural Welfare to Work Strategies Demonstration and Evaluation Project	X2					X1	O	O1		
Evaluation of Child Care Subsidy Strategies (I)	X1					X1	O1	Type of care, hrs/wk, cost X1		
Evaluation of Child Care Subsidy Strategies (II)	X1					X	X	Hours per week in care		
Enhanced Services for the Hard-to-Employ Demonstration and Evaluation	X1	X1				X1	X2	X1		X1
Employment Retention and Advancement Project	X2	Participation X1 Dosage X1				X2		O1		X1
National Head Start Impacts Study						O2	X2	X2		
Head Start Family and Child Experiences Survey (FACES)						O2	X1	O2		
Early Head Start (0-3)	X1	X1	X1			X1	X1	X1	O2	O2
Early Head Start Tracking Pre-K								X1		
National Survey of Child and Adolescent Well-Being			X1			O2	X1	O1	X1	X1

Domain -->	FAMILY FUNCTIONING									
Construct -->	**Marriage Quality (e.g. cooperation, stability)**	**Father Involvement**	**Household Structure**	**Conflict in the Family**	**Violence**	**Out of wedlock childbearing**	**Home environment**	**Permanency Outcomes (e.g. adoption, guardianship)**	**Other**	**Other**
[WG INSERTED COMMENTS]	**relationship quality**	**in and out of households intact and absent**		**these two are bracketed together**						
Building Strong Families	**X2**	**X1**	**X1**	**X1**	**X1**	**O1**	**X1**			
Rural Welfare to Work Strategies Demonstration and Evaluation Project	**02**	**O1**	**X1**	**O1**	**O1**	**X1**	**O1**			
Evaluation of Child Care Subsidy Strategies (I)	**O1**	**O**	**O1**				**O?**			
Evaluation of Child Care Subsidy Strategies (II)										
Enhanced Services for the Hard-to-Employ Demonstration and Evaluation		**X1**	**O1**		**O1**		**O1**			
Employment Retention and Advancement Project	**O1**		**O1**		**O1**					
National Head Start Impacts Study			**X1**		**O2**					
Head Start Family and Child Experiences Survey (FACES)		**O2**	**X1**		**O2**					
Early Head Start (0-3)		**X1**	**X1**	**X1**			**X1**			
Early Head Start Tracking Pre-K		**X1**	**X1**	**X1**			**X1**			
National Survey of Child and Adolescent Well-Being	**O1**	**X2**	**X1**	**X1**	**X2**	**X1**	**X2**	**X1**		

Domain -->	ADULT/PARENTAL FUNCTIONING									
Construct -->	**Mental Health**	**Substance Use**	**Criminal Behavior**	**Parent/Child Interaction (e.g. activities, quality, parenting styles)**	**Physical Health**	**Efficacy/Control**	**Parental Cognitive Ability**	**Parental Educational Attainment**	**Self-management, Improved personal life skills**	**Other**
[WG INSERTED COMMENTS]				**primary caregiver, move to family functioning**						
Building Strong Families	**O1**	**O1**		**X1**	**O1**	**X1**		**O1**	**O2**	
Rural Welfare to Work Strategies Demonstration and Evaluation Project	**X1**	**X1**	**O1**	**O1**	**X1**	**X1**			**X2**	
Evaluation of Child Care Subsidy Strategies (I)										
Evaluation of Child Care Subsidy Strategies (II)										
Enhanced Services for the Hard-to-Employ Demonstration and Evaluation	**X1**	**X1**	**X1**	**O1**	**O1**			**X1**		
Employment Retention and Advancement Project	**O1**	**O1**			**O1**			**X1**		
National Head Start Impacts Study	**X2**	**O2**	**O2**	**X1**	**O2**	**O2**	**O2**	**X1**	**O2**	
Head Start Family and Child Experiences Survey (FACES)	**X2**	**O2**	**O2**	**X1**	**O2**	**O2**	**O2**	**X1**	**O2**	
Early Head Start (0-3)	**X2**	**O2**		**X1**				**X1**		
Early Head Start Tracking Pre-K	**X2**	**O2**		**X1**				**X1**		
National Survey of Child and Adolescent Well-Being	**X2**	**X2**	**X2**	**X1.5**	**O2**	**O2**		**O2**	**X2**	

Domain -->	COMMUNITY CONTEXT								
Construct -->	**Availability of other services to families and kids (e.g. health, mental health, special ed)**	**Local Policies (e.g. availability of pre-K, agency/systems)**	**Linkages Across Services and Partnerships**	**Community Violence**	**Other neighborhood measures (e.g. perceived safety)**	**Rural/Urban**	**Economic Development/ Availability of Jobs**	**Other**	**Other**
[WG INSERTED COMMENTS]									
Building Strong Families	X2	O2	X2	O2	O2	O1	X1		
Rural Welfare to Work Strategies Demonstration and Evaluation Project	X1	O2	X2	O2		X1	X1		
Evaluation of Child Care Subsidy Strategies (I)	X1	X1				O1	O1		
Evaluation of Child Care Subsidy Strategies (II)	X1	X1							
Enhanced Services for the Hard-to-Employ Demonstration and Evaluation									
Employment Retention and Advancement Project	O1		O1			O1	O1		
National Head Start Impacts Study	X2	O2	O2	O2	O2				
Head Start Family and Child Experiences Survey (FACES)	O2		O2	O2	O2				
Early Head Start (0-3)	X1	X2			O2	O2			
Early Head Start Tracking Pre-K	O2				O2	O2			
National Survey of Child and Adolescent Well-Being	X1	O2	O1	O2	O2	O1			

Domain -->	QUALITY OF CARE/SCHOOL ENVIRONMENT											
Construct -->	Teacher/ Caregiver Qualification	Quality of Curriculum--both at child and caregiver level	Curriculum Implementation	Stability of Care	Class Size/Ratio	Parent Involvement in School or Care Setting	Parent-Teacher/Provider Relationship	After-School Activities/ Programs	Teacher Individualizing	Teacher Sensitivity	Teacher Salaries	Other
[WG INSERTED COMMENTS]												
Building Strong Families												
Rural Welfare to Work Strategies Demonstration and Evaluation Project	O			O	O	O	O	O				
Evaluation of Child Care Subsidy Strategies (I)				X1								
Evaluation of Child Care Subsidy Strategies (II)	X1	X1/?	X1	X1	X1	O1	O1/?					
Enhanced Services for the Hard-to-Employ Demonstration and Evaluation	O1			O1	O1			O1				
Employment Retention and Advancement Project				O1								
National Head Start Impacts Study	X1	X2	O2	O2	X1	O1	X1		X1	X1	X1	
Head Start Family and Child Experiences Survey (FACES)	X1	X1	X2	O1	X1	X2	X2		X1	X1	X1	
Early Head Start (0-3)	X1	X1	X1	X2	X1	X2	X2		X1	X2		
Early Head Start Tracking Pre-K	X1	X1	X1	X2	X1	X2	X2					
National Survey of Child and Adolescent Well-Being				O1	O2	O2	O2	O2				

Domain -->	CHILD WELL-BEING AND DEVELOPMENT [WHOLE CHILD PERSPECTIVE]									
Construct -->	Health Outcomes	Motor Development	Language and Literacy	Social and Emotional Well-Being	Direct Assessments	Children of Different Ages	Numeracy	Academic Achievement	Other	Other
[WG INSERTED COMMENTS]		Gross/fine		Possibly Divide	[Crossed out]	[Crossed out]	Cognitive Dev.	Cognitive Dev.	Risk Behavior	
Building Strong Families	X1	X1	X1	X1	X1					
Rural Welfare to Work Strategies Demonstration and Evaluation Project	O1	O1	O1	O1	O1	O1				
Evaluation of Child Care Subsidy Strategies (I)	O1			O?						
Evaluation of Child Care Subsidy Strategies (II)			X1	O?	X1					
Enhanced Services for the Hard-to-Employ Demonstration and Evaluation	X1		X1	X1	X1	X1		X1		
Employment Retention and Advancement Project										
National Head Start Impacts Study	X2	X1	X1	X2			X1	X1		
Head Start Family and Child Experiences Survey (FACES)	X2	X1	X1	X1?	X1		X1	X1		
Early Head Start (0-3)	X2		X1	X1?	X1	X1				
Early Head Start Tracking Pre-K			X1	X1?	X1	X1	X1	X1		
National Survey of Child and Adolescent Well-Being	X2	X1	X1	X1?	*	*	X1	X2		

D. SUMMARY OF VOTES

Domain/Construct	Number of Work Group Votes
Socio – Emotional Development	12
Parent Child Interactions	8
Cognitive Development	8
Language and Literacy	7
Characteristics of Employment, Skill Requirements of Job	7
Welfare Receipt	6
Income/Poverty/Earnings	6
Home Environment	6
Child Care Receipt	6
Conflict in the family (and violence...including child abuse and neglect)	5
Comprehensive/other services for children (receipt/activities/need)	5
Father Involvement	5
Life Skills	4
Quality of Curriculum	4
Parent Involvement in School	4
Relationship Quality	4
Stability of Care	3
Substance Use	3
Mental Health	3
Barriers to Employment	3
Job Skills and Work Experience	3
Implementation/faithfulness	3
Household Structure	3

E. ACF MEMORANDUM

AMERICAN INSTITUTES FOR RESEARCH

Child TRENDS

MEMORANDUM

To: Alan Yaffe, ACF
From: AIR and Child Trends EDCP Team
Date: April 9, 2003
Re: Proposed Domains and Products

Purpose: During the Work Group meeting on March 20, 2003, the Work Group members prioritized a number of domains and constructs by using dots to indicate their "votes." In addition to listing their priorities, they requested more direction from EDCP and ACF staff on priorities, products, and scope of the project. The purpose of this memorandum is for the EDCP team to suggest key domains and constructs on which to focus, and propose products to address these domains and constructs. We look forward to feedback from ACF staff on our suggested priority domains and constructs, and our proposed products.

Key Domains and Constructs: Key domains and constructs that the Work Group identified (with number of "votes" in parentheses) include:

- Socio-emotional development (12)
- Parent child interaction (8)
- Cognitive development (8)
- Language and literacy (7)
- Characteristics of employment, skill requirements of job, income, poverty, earnings (7)
- Child care receipt (6)
- Conflict in the family (and violence...including child abuse and neglect) (5)
- Father involvement (5)
- Parent involvement in school (4)
- Stability of care (3)
- Mental health (3)
- Barriers to employment (3)
- Job skills and work experience (3)

Ideally, we would pursue all of these domains and constructs and create measurement modules for each. However, this is beyond the scope of the current contract. Therefore, we propose to begin with the following four key domains, based on the priorities identified in the March 20th meeting and on an internal discussion among EDCP staff:

1. Children's socio-emotional development
2. Economic well-being/self sufficiency
3. Parent child interactions
4. Child care

We suggest beginning with these four domains for several reasons. First and foremost, all of these issues are critically important to ACF. Moreover, EDCP members indicated that these four domains should have a high priority. The domains all fall within the scope of the nine

evaluation projects; they are constructs identified in the conceptual models for the participating evaluations. Additionally, they match the expertise, strengths, and interests of the EDCP Work Group. Lastly, work in these four areas will not duplicate work by outside groups.

Children's socio-emotional development

For the purposes of this project, socio-emotional development is defined as children's social behaviors (e.g., cooperation and sharing) and their emotional status (e.g., adjustment). Socio-emotional development is an important feature of child well-being, and research suggests that it impacts a child's success in school and later life. This domain is also important to include within the scope of this project because it is examined in eight of the nine EDCP evaluations and there is little consensus around how to measure it. That is, this is an area for which measurement guidance is both needed and welcomed.

In addition to the EDCP projects, we will draw on external surveys for measures, including:

- Early Childhood Longitudinal Study, Kindergarten and Birth cohorts (ECLS, K and B)
- National Longitudinal Survey of Youth, 1997 (NLSY97)
- National Survey of Adolescent Health (Add Health)
- National Household Education Surveys (NHES)
- Panel Study of Income Dynamics (PSID), Child Supplement
- National Survey of Children's Health, part of CDC's State and Local Integrated Telephone Survey (SLAITS)

Economic well-being/self sufficiency

For the purposes of this project, we define this domain to include constructs such as characteristics of employment (e.g., retention, number of hours worked), income, earnings, job skills and work experience, and economic hardship. Economic well-being and self sufficiency is a construct that cuts across the nine evaluations and has a critical impact on the well-being of all family members. This domain is well aligned with the expertise, strengths, and interests of the Work Group.

In addition to the EDCP evaluations, we will draw on external large-scale surveys including:

- Panel Study of Income Dynamics (PSID)
- National Household Education Survey
- Current Population Survey
- National Longitudinal Survey of Youth 1997 (NLSY, 1997)
- Survey of Income and Program Participation (SIPP)
- National Survey of America's Families (NSAF)

Parent child interactions

For the purposes of this project, we define this domain to include shared parent-child activities (e.g., routines), the quality of the parent-child relationship (e.g., emotional expression), and parenting styles (e.g., discipline style). Seven of the EDCP evaluation projects consider parent child interactions as an important construct to measure and examine. Appropriate measures differ by age of child, and their specific function in conceptual models may also differ depending on child age.

In addition to the nine EDCP projects, we will draw on external surveys including:

- National Longitudinal Survey of Youth, 1997
- National Survey of Adolescent Health (Add Health)
- National Household Education Survey (NHES)
- Panel Study of Income Dynamics (PSID), Child Supplement

- Early Childhood Longitudinal Study, Kindergarten and Birth cohorts (ECLS, K and B)

Child care

For the purposes of this project, we define this domain to include constructs such as quality, stability, number of arrangements, hours, type, cost, and availability. Child care is a critical domain for the nine evaluations. In some of the evaluations, child care is a part of the intervention designed to have a positive impact on the child and the family (e.g., Evaluation of Child Care Subsidy Strategies). In other evaluations, child care—though not part of the intervention—is important to consider when studying child and family well-being (e.g., Rural Welfare to Work Strategies). As a cross-cutting issue, this domain is well aligned with the expertise, strengths, and interests of the Work Group.

In addition to the EDCP evaluations, we will draw on external large-scale surveys including:

- National Child Care Staffing Study
- Early Childhood Longitudinal Study, Kindergarten and Birth cohorts (ECLS, K and B)
- Panel Study of Income Dynamics (PSID), Child Supplement
- Current Population Survey (CPS)
- Survey of Income and Program Participation (SIPP)
- National Survey of America's Families (NSAF)
- National Household Education Survey (NHES)

Products: When we met with the Work Group, we described four different products: (1) options documents; (2) guidance documents; (3) measurement modules; and, (4) some combination of these three options. At the meeting on March 20, a comprehensive "warehouse" product was also suggested. To some extent, the choice of domain and construct influence the type of product. For example, a less well-developed domain (e.g., socio-emotional development) may require an options document or a guidance document because there is little consensus around the best way to measure this domain. On the other hand, a domain like economic well-being/self sufficiency may lend itself well to a measurement module because the measurement properties are well established.

Within the scope of the EDCP, we propose beginning with options or guidance documents for less well-developed domains. The purpose of the guidance documents would be to compile measures that ACF projects and other relevant projects have used or are planning to use; to share information on psychometric properties and data quality of the measures; to note problems, concerns, and gaps in measurement; and to evaluate the information we have compiled and make recommendations to researchers who are designing new evaluations. An options document would simply bring together examples of different measures.

Our goal prior to the second Work Group meeting would be to complete the compilation of measures and the information regarding psychometrics and data quality, and ask Work Group members to review our work.[5] Our goal during the second Work Group meeting would be to gather information about the problems, concerns, and gaps in measurement, as well as possible new directions for measure development.

Guidance documents in these four domains, in which we collect and evaluate the extensive work that already has taken place, would serve as a valuable resource to all researchers. Our ultimate goal

[5] For the purposes of this project, we plan to focus on measures that are appropriate for large sample sizes. Often this will mean an emphasis on "short" measures—a priority that several Work Group members voiced at the meeting on March 20.

would be to develop measurement modules for all of these domains, but this would require resources beyond the scope of the current contract.

Summary: The EDCP staff value the input of the Work Group and ACF in shaping the priorities and products for this project. Although we have provided our suggestions, we seek input from ACF to ensure that these proposed priority domains and products meet the government's current needs. Once ACF has made this determination, we will revise and share the recommendations with the Work Group and begin developing products.

F. PRODUCT TEMPLATES

EDCP Options Document: Overall Strategy Template

I. Introduction to the project

- ✓ History of the EDCP
  - o Benefits
  - o Challenges
- ✓ EDCP Purpose/Goals
  - o Options Documents
  - o Memoranda for public-use data sets and key elements to report
- ✓ Name the ACF evaluations that form basis of the project
- ✓ Explanation of Options Document layout/strategy
  - o Name domains
  - o Name constructs
  - o Brief discussion of how arrived at those domains and constructs
  - o Somehow discuss what this document is not? (I'm thinking here about things like only 1 construct per domain; not at the measurement module level, etc) [Mainly noting this is not an exhaustive list]
- ✓ Explanation of Memoranda (separate from this document)
- ✓ Definition of key terms (evaluation, study, survey, domain, construct, measure, scale, subscale, index, item etc.)

II. Descriptions of the Nine ACF Experimental and Non-experimental Studies Appropriate to our Domains

(Note: Lead organization for developing description in parentheses)

A. Rural Welfare to Work Strategies (AIR)

B. Enhanced Services for the Hard to Employ (AIR)

C. Employment Retention and Advancement Project (AIR)

D. Building Strong Families (AIR)

E. National Head Start Impact Study (AIR)

F. Early Head Start Tracking Pre-K (AIR)

G. Head Start FACES (AIR)

H. Evaluation of Child Care Subsidy Strategies (AIR)

I. National Survey of Child and Adolescent Well-Being (AIR)

- ✓ Study/Evaluation Descriptions and Survey/Measure Descriptions
  - o Use Background Information Template (separate document)

III. Descriptions of Additional Data Collection Efforts Relevant to Project Goals (Note: Some of these are surveys, and others are studies with surveys embedded within them. Be sure to describe both the study/evaluation and the survey/measure where applicable)

Note: Lead organization for developing description in parentheses

A. Child Development Supplement to the Panel Study of Income Dynamics (Child Trends)

B. National Survey of American Families (Child Trends)

C. National Longitudinal Survey of Youth, 1997 (Child Trends)

D. National Survey of Adolescent Health (Add Health) (Child Trends)

E. National Survey of Children's Health (SLAITS) (Child Trends)

F. Fragile Families (Child Trends)

G. NICHD Study of Early Child Care (Child Trends)

H. Early Childhood Longitudinal Study, K and B (AIR)

I. National Household Education Survey (AIR)

J. Current Population Survey (AIR)

K. Survey of Income and Program Participation (AIR)

L. National Study of Low-Income Child Care (AIR)

M. National Child Care Staffing Study (AIR)

- ✓ Study/Evaluation Descriptions and/or Survey/Measure Descriptions
  - o Use Background Information Template (separate document)

IV. Domain: Children's Socio-emotional Development

- *Construct: Internalizing/Externalizing Behavior Problems*

1. Appropriate surveys/measures from the 9 ACF evaluations
2. Appropriate additional surveys, most likely:
   a. Child Development Supplement to the Panel Study of Income Dynamics
   b. National Survey of America's Families
   c. Early Childhood Longitudinal Study, K and B
   d. National Survey of Adolescent Health (Add Health)
   e. National Household Education Survey
   f. National Survey of Children's Health, part of CDC's State and Local Integrated Telephone Survey (SLAITS) [if available]
   g. National Longitudinal Survey of Youth, 1997
   h. Fragile Families
   i. NICHD Study of Early Child Care

j. National Study of Low-Income Child Care

k. National Child Care Staffing Study

V. Domain: Parenting

- *Construct: Parental Monitoring/Awareness*
  1. Appropriate surveys/measures from the 9 ACF evaluations
  2. Appropriate additional surveys, most likely:
     a. National Longitudinal Survey of Youth, 1997
     b. National Survey of Adolescent Health (Add Health)
     c. National Household Education Survey
     d. Panel Study of Income Dynamics (PSID), Child Supplement
     e. Early Childhood Longitudinal Study, K and B
     f. Fragile Families
     g. NICHD Study of Early Child Care
     h. National Study of Low-Income Child Care
     i. National Child Care Staffing Study

VI. Domain: Child Care

- *Construct: Child Care Quality*
  1. Appropriate surveys/measures from the 9 ACF evaluations
  2. Appropriate additional surveys, most likely:
     a. National Child Care Staffing Study
     b. Early Childhood Longitudinal Study, K and B
     c. Panel Study of Income Dynamics (PSID), Child Supplement
     d. Current Population Survey
     e. Survey of Income and Program Participation
     f. National Survey of America's Families
     g. National Household Education Survey
     h. Possibly others that are already under review for other constructs

VII. Domain: Economic well-being

- *Constructs: Income and Earnings*
  1. Appropriate surveys/measures from the 9 ACF evaluations
  2. Appropriate additional surveys, most likely:
     a. Panel Study of Income Dynamics
     b. National Household Education Survey

c. Current Population Survey

d. National Longitudinal Survey of Youth, 1997

e. Survey of Income and Program Participation

f. National Survey of America's Families

g. Possibly others that are already under review for other constructs

VIII. Appendices

1. Items

   ✓ Place the items within the options document if that was manageable, and use a web-link if there are too many items to place in the options document.

2. Useful Methodological Papers

   ✓ Include papers that might be useful (only include those easily found; i.e., this is a secondary goal)

EDCP Background Information Template for Evaluations, Studies, and Surveys

This corresponds to Parts II and III of our Overall Strategy Template

1. Name of survey or study
2. Purpose
3. Agencies/Institutions
    - Who funds/sponsors the survey?
    - Who designs/fields the survey?
4. Research/Survey Design
    - Experimental or non-experimental design
    - Cross sectional, longitudinal study
    - Sampling methodology (e.g., random digit dialing, stratified random sample)
    - Who was the targeted population for the study? (Identify eligibility requirements for participation in the study, including location, parent status, most knowledgeable adult, gender, age or other specifications)
        - Who is the reporter (e.g., who is(are) the survey respondent(s)?: adults, children, teachers)
        - Oversampling, if applicable (e.g., for low-income people, minority populations)
5. Date(s)/Periodicity
6. Population/Sample
    - What is the composition of the population/sample?
        - Sample size, with response rate (final number of families interviewed)
        - Race(s)/Ethnicity(ies) represented in study
        - Age range of children represented
    - What are the general characteristics of the actual sample (e.g., nationally representative sample; welfare recipients in a particular city?)
7. Content covered
8. Availability of data for public use
    - Include information about public and/or restricted data sets
    - Contact information (e.g., survey website if available, or mailing address; also include information for survey distributor if it differs)
9. Reference list for users' guide, codebooks, methodology report(s)

EDCP Options Document Template

This corresponds to Parts IV-VII of our Overall Strategy Template

1. Identify domain
    a. Definition of domain
    b. Rationale for inclusion
    c. Refer to constructs that could be here but aren't
    d. Identify construct that we chose with very brief note on importance (i.e., we've chosen to include X, which is important for A and B).

2. Identify construct
    a. Definition of construct
    b. Rationale/global justification for inclusion of construct

3. Identify Survey/Measure
    a. Source
        i. Who developed the survey/measure?
        ii. Where has it been used if not developed for a specific evaluation?
    b. Population assessed (redundancy between this and survey background information is okay—have this context in both places. Could refer reader to section XXX for further detail about population)
        i. Age
        ii. Gender
        iii. Race/ethnicity
        iv. Specialized population
        v. Etc.
    c. Periodicity [Can vary by construct within a given survey; certain sub-topics may not be covered each time the survey is administered]
    d. Subscales/components
        i. Item, or
        ii. Index, or
        iii. Scale
            1. Subscales
    e. Procedures for administration (can vary by construct)
        i. Reporter
            1. Who completes the survey/measure?
            2. Who is the source of the information?
        ii. Mode of data collection (e.g., SAQ, CAPI, CATI, observation, etc.)
        iii. Time needed to assess
        iv. Setting (1 on 1, group, etc)

f. Psychometrics/data quality (to be completed at the construct level or the scale/index level, if available)
    i. Reliability
    ii. Validity
    iii. Missing Data
    iv. Number of "don't knows"
    v. Distribution information (i.e., variability, as indicated by standard deviation or frequency distribution, skew)
    vi. Norming/Standardization
        1. If normed: criterion or norm?
    vii. Use with other populations and adaptations for other populations/subgroups
    viii. How does the study population compare to other populations on this measure (e.g., comparison of distributions or means; differences in reliability/validity for different subgroups)? (If easily available, include this information)
g. Languages available
h. Items included (List items in a text box.)
    i. Include actual items if reasonable number and if not copyrighted
        1. Lead in with attribution such as "Items included from the …" (add citation)
    ii. Include website link if items are too numerous
i. References
    i. Citation for original measure
    ii. Citation for adapted measure, if applicable
    iii. Citations used in the rationale
j. Source documents
    i. Codebooks
    ii. User's Guide
    iii. Methodology Report

    (Include web links for data sources as well, whenever available online)

4. Repeat Step 3 for all surveys/measures to be used for this construct

Notes:

1. *We will only examine national level surveys from the 9 evaluations involved in the EDCP as well as the other named surveys in the ACF domains and products document*
2. *We will only include information that is "readily available" at this point because these documents can be built upon.*

G. ADDITIONAL REFERENCES

Additional References

This appendix offers additional information that the Evaluation Data Coordination Project team gathered during the project and considers useful to researchers as they develop evaluation surveys.

- *Early Childhood Measures Profiles* is a collection of reviews of the early childhood assessments most often used in child care research. The child assessments profiled address children's cognitive, socio-emotional, language, literacy, and mathematics development. The compendium also profiles teacher assessment methods that are linked with specific early childhood curricula and ongoing classroom planning activities. The reviews were commissioned by the Science and the Ecology of Early Development consortium of federal agencies with work focusing on early childhood development. The compendium aims (1) to provide a resource for researchers engaged in evaluations of early childhood program effectiveness and (2) to facilitate discussion specific to the Head Start national child outcome reporting system. Additions to the compendium are underway. The full compendium will be available on the National Institute of Child Health and Human Development Web site.

  Reference:
  Bridges, L. J., Berry, D. J., Calkins, J., Zaslow, M. J., Margie, N. G., Cochran, S. W., & Ling, T. J. (2003). Early Childhood Measures Profiles. In D. J. Berry, L. J. Bridges, & M. J. Zaslow (Eds.), *Early childhood measures profiles*. Washington, DC: Child Trends.

- The Health and Human Services Child Care Bureau has awarded a 5-year cooperative agreement to operate the Child Care Research Collaboration and Archive (CCRCA) to the National Center for Children in Poverty (NCCP), with the Inter-University Consortium for Political Science and Social Research at the University of Michigan as a subcontractor. NCCP expects to have the CCRCA Web site on early child care and early education research—and its companion site, housing research data sets for secondary analysis—available to the public by early spring 2004.

  Reference:
  Forthcoming

- In the article, "The Long and Short of Asking Questions about Income, Wealth, and Labor Supply," Greg J. Duncan and Eric Peterson argue that the economic characteristics of households are an important component of their socioeconomic environment. The article provides useful advice on the challenges involved in asking survey questions about economic characteristics and proposes solutions to overcoming them. Duncan and Peterson propose different sets of income questions that can be used for different purposes.

  Reference:
  Duncan, G., & Peterson, E. (2001). The long and short of asking questions about income, wealth, and labor supply. *Social Science Research, 30,* 248–263

- Previous studies have identified possible shortcomings in the Survey of Income and Program Participation (SIPP) data on wealth, raising concerns about using these data for research purposes. The report, "Survey Estimates of Wealth: A Comparative Analysis and Review of the Survey of Income and Program Participation" (Czajka, Jacobsen, & Cody, 2003), compares

recent SIPP estimates of wealth with those derived from the Survey of Consumer Finances and the Panel Study of Income Dynamics. The report also identifies both the strengths and weaknesses of SIPP data and recommends a number of improvements that the Census Bureau should undertake.

Reference:
Available in print only; call 609-275-2350 to purchase a copy.

- The Panel Study of Income Dynamics (PSID) is a nationally representative longitudinal study, ongoing since 1968, of nearly 8,000 U.S. families and individuals. The PSID collects data on economic, health, and social behavior. The PSID Web site provides a link to its new Data and Documentation Center that contains all waves of PSID data from 1968 to 2001 and Child Development (CDS-I) data along with full codebooks for each new wave of data. Features of the new Data and Documentation Center include the following:
    - Automatic merging of multiple waves of PSID and PSID-CDS data with a choice of merging options
    - Customized codebooks in PDF, HTML, XML, and more
    - Easy-to-use data shopping cart system
    - Numerous optional output formats, including Excel, SAS, STATA, and SPSS
    - Ability to save data sets for sharing with others or for updating
    - Search and browse variables

  Reference:
  http://psidonline.isr.umich.edu (Home Page)
  http://simba.isr.umich.edu (Data and Documentation Center)

- Susanne Denham, a professor of psychology at George Mason University, specializes in research focusing on the basic processes of social-emotional development, social cognition, and social competence, particularly in young children. The following attachment includes a chapter from a book she co-authored with Rosemary Burton, *Social and Emotional Prevention and Intervention Programming for Preschoolers.* An important aspects of describing the development of groups of children, evaluating programming, or making decisions about individual children is developmentally appropriate and comprehensive assessment. In this chapter, Denham and Burton propose a framework for meeting these needs for assessing social and emotional development in young children.

  Reference:
  Denham, S. A., & Burton, R. (2004). *Social and emotional prevention and intervention programming for preschooler*s. New York: Kluwer-Plenum.

ATTACHMENT

12

ASSESSING EMOTIONAL AND SOCIAL COMPETENCE DURING PRESCHOOL YEARS

12.1. INTRODUCTION

Why do we need to assess preschoolers' emotional and social competence? We have made clear throughout the previous chapters that we see universal social-emotional programming as a prime goal, so that every preschooler might be exposed to the salutary effects of their caregivers' efforts to promote secure attachments, emotion knowledge, emotion regulation, and social problem-solving abilities. Nonetheless, we also urgently wish to reach those children who need us most. To meet both goals, psychometrically excellent assessment tools are important assets; that is, for all children it is important to document the changes wrought by social-emotional programming; as we related in earlier chapters on programming, evaluation research is often still needed. Further, when endeavoring to ameliorate risk processes and augment resilience processes of children already exhibiting social and emotional deficits, assessment is essential. Whenever possible, we must know the strengths as well as the weaknesses of each child, so that we may intervene appropriately.

We need to put these mandates into a broader perspective, however; the overall issue of assessment during early childhood, and its relation to school readiness and other decisions, is currently widely debated. Horton and Bowman (2002) have reported on expert opinion and state trends in preprimary assessment in general. They note that assessment during early childhood crucially needs scrutiny. Expanding early childhood education and child care enrollments, better scientific knowledge about early childhood development, and decisions about public spending, all oblige persons working with young children, and their parents, to carefully consider which assessment tools to use, as well as why and when to use them. We need to utilize assessments that yield the most-needed, developmentally grounded information, most economically and most ethically in terms of teacher, parent, and child time, effort, and attention.

Thus, in concert with NAEYC developmentally appropriate practice (Bredekamp & Copple, 1997), assessment should be integrated with the curriculum, beneficial to all parties, often based on ongoing teacher observation, primarily reliant on the child's everyday activities, and pertinent to all learning and developmental domains. Data emanating from such assessment should, however, not be used for high stakes decisions, such as retention in kindergarten. Instead, assessment is performed to meet the needs of screening individual children to understand their strengths and weaknesses, to promote improved, individualized instruction, and to evaluate programming. Furthermore, no assessment tool can meet all of these needs, so that several tools are likely to be needed (Muenchow, undated).

The experts queried in Horton and Bowman's (2002) Erikson Institute study suggested the following guidelines for preprimary assessment:

- Assessment couched within the program curriculum or, in anecdotal records, can and should occur almost daily. We want to know how children with whom we work are doing on a frequent basis so that we may seamlessly tailor and individualize our work with them.
- On a weekly basis, assessment can take place via teacher meetings, in which teachers discuss their unique views on children's progress, and portfolios for each child, in which exemplars of this progress (or its lack) are documented.
- Parent evaluations and teacher checklists can be very useful if used on a quarterly basis.
- Individualized screening for disabilities and delays should be done yearly.
- Consultants, in the case of our concerns here, mental health consultants, can provide their important perspectives as needed.
- Standardized assessment tools completed by the children themselves are never indicated at this age level

Accordingly, better social and emotional assessment tools are sorely needed, to fit both the mandates we have put forward and the guidelines suggested in Horton and Bowman's (2002) report. In 1996, we decried the then-current lack of assessment tools for measuring social and emotional development in preschoolers (Denham et al., 1996). Not only has there historically been a dearth of assessment tools, but also, those that do exist have often been hampered by a number of deficiencies. Some, like the Denver Developmental Screening Test-Revised, are severely enough limited in coverage to render them almost useless; others, like the Vineland Social-Emotional Early Childhood Scales (SEEC; Sparrow, Balla, & Cicchetti, 1998) are seriously lacking because, although they may include many important aspects of emotional and social functioning, they ultimately are too limited and include some very odd skills.

Nonetheless, as with programming, we consider that there are some "best bets" for assessment (see also Raver & Zigler, 1997). Coincident with the newfound interest in social and emotional competence and recently unearthed evidence of their value, a number of new, potentially useful SEL assessment tools have been developed or improved. We review these tools here, closely paralleling our earlier breakdowns of emotional and social tasks of early childhood, dividing them into those specifically addressing emotional competence, social competence, a combination of the two, or especially targeting screening for the presence of behavior problems. In our evaluation of

each assessment tool, we consider whether important, salient issues and central developmental tasks in the social and emotional domains are appropriately captured. Finally, we make an initial effort at imagining "best practice" in preschool SEL assessment, considering in particular the fit of instruments reviewed here within Horton and Bowman's (2002) guidelines.

12.2. EMOTIONAL COMPETENCE ASSESSMENT

Within the domain of emotional competence, our goals for assessment would be to understand group change and individual differences in the following:

- *Attachment to caregivers*: We would like to know the quality of children's relationships with their caregivers—including, if possible, qualities of security, dependency, and conflict
- *Emotional expressiveness*: We would like to know the child's enduring patterns of emotional expressiveness—does s/he exhibit a range of expressed emotions, or a smaller set, and with what frequency?
- *Emotion knowledge*: We would like to know how well the child has come to understand the names for emotions, the expressions corresponding to these names, and situations in which these emotions are common. We would also like to know whether the child is beginning to understand that others may have emotional reactions that differ from one's own. Other aspects of emotion knowledge, such as of display rules and ambivalent emotions, are probably just emerging during the preschool age range, so that their assessment would not be too useful.
- *Emotion regulation*: We would like to know whether the child generally is able to regulate emotional expressiveness and experience, in order to continue activity and interaction with others. It would also be useful to be able to know which strategies a particular child uses for such regulation.

As well, all assessment tools should, as much as possible: (a) involve parents; (b) be culturally appropriate and able to accommodate linguistic needs of children from major language groups; (c) take developmental status of young children into account; (d) incorporate data from different sources over time; and (e) be easy to administer and easily understood (Muenchow, undated). Thus, in the discussion to follow, we attempt to converge upon a collection of assessment methods that will allow us to tap into these important domains in a developmentally appropriate manner.

12.2.1. Attachment To Caregivers

Three available measures of attachment to caregivers appear to have both psychometric and practical utility in highlighting the quality of adult-child relationships during this age period, from differing perspectives and viewpoints: (a) the Student-Teacher Relationship Scales; (b) the Attachment Q-Sort; and (c) attachment-related Narrative Story Stem Completions. We review each of these in turn.

12.2.1.1 Student-Teacher Relationship Scales

Pianta's Student-Teacher Relationship scales (STRS; Pianta, 1997; Pianta & Nimetz, 1991; Pianta et al., 1995) provide benchmarks on teachers' self-reported closeness, conflict, and dependency experienced with/from particular children. Psychometric properties are good, and the scales are quick for teachers to complete.

These relationship qualities persist across time and to some extent across teachers, also providing preschoolers, as noted in Chapter 3, with relationship stability they may not have built with their parent (Howes et al., 2000; Mitchell-Copeland et al., 1997). Thus, it could be important to document qualities of children's relationships with their daycare or preschool teachers. In recent research, STRS scales were negatively related to externalizing behaviors in preschoolers; that is, children with whom teachers report closeness showed less aggression and other out-of-control behavior (Ramos-Marcuse & Arsenio, 2001).

We consider that, along with yielding information about a particular child's status vis á vis attachment issues, this measure can be helpful to teachers in reflecting on their contributions to an affective relationship with the child. As a companion measure, the Teacher Relationships Interview (Stuhlman & Pianta, 2001) could be administered to teachers by mental health consultants, so that the caregiver/teacher could come to understand their own views of themselves as a secure base for children's attachment, disciplinarian, teacher, and caretaker. Such information about both adult and child can be useful for ongoing program planning, as well as for yearly "status reports."

Table 12.1. Example Items from the Student-Teacher Relationship Scale

STRS Scale	Example Items
Closeness	I share an affectionate, warm relationship with this child; this child shares information about himself
Conflict	This child and I always seem to be struggling with each other; despite my best efforts, I am uncomfortable with how this child and I have gotten along
Dependency	This child reacts strong to separation from me; this child is overly dependent on me

Note. Item content quoted with special permission of Publisher, Psychological Assessment Resources, Inc., 16204 North Florida Ave., Lutz, FL 33549, from the Student-Teacher Relationship Scale, by Robert C. Pianta, Ph.D. Copyright 2001, by PAR, Inc. Further reproductions prohibited without permission of PAR, Inc..

12.2.1.2. Attachment Q-Sort (AQS)

It is also useful to view the child's attachment to parents, teachers, and caregivers, especially from an objective observer's point of view. The Attachment Q-Sort is essentially an extended rating scale, using q-methodology (Waters & Deane, 1985), suitable for examining attachment-relevant child behaviors. That is, raters (either the adult in question—parent, teacher, or caregiver—or an independent observer) sort cards, upon which statements about children's possible behaviors are written, into a fixed distribution of piles, depending on their similarity to the actual behaviors of the child in

question. Measurement theory suggests that distinct advantages exist for rating scales—especially that raters can average their observations across contexts, with a commensurate decrease in error variance—resulting in scores that can be quite trustworthy. Further, q-sorts have special status even among rating systems, in that several errors that may afflict other types of rating scales, such as errors of leniency or central tendency, are alleviated by the force distributions required (see Figure 12.1).

There are two means of generating scores from this measure. In the first, the score distribution of all sorted cards describing the child in question is correlated with sorted cards describing "the optimally secure child" (as in Mitchell-Copeland et al., 1997; Waters & Deane, 1985). Criterion sorts exist for security, dependency, and sociability. In the second, scores for specific behaviors (with each card's rating varying from 1 to 9, from "least like" to "most like" the child in question) are summed into scales to create categories of attachment organization that are conceptually consistent with organizational categories derived from other attachment assessments (Howes & Ritchie, 1999).

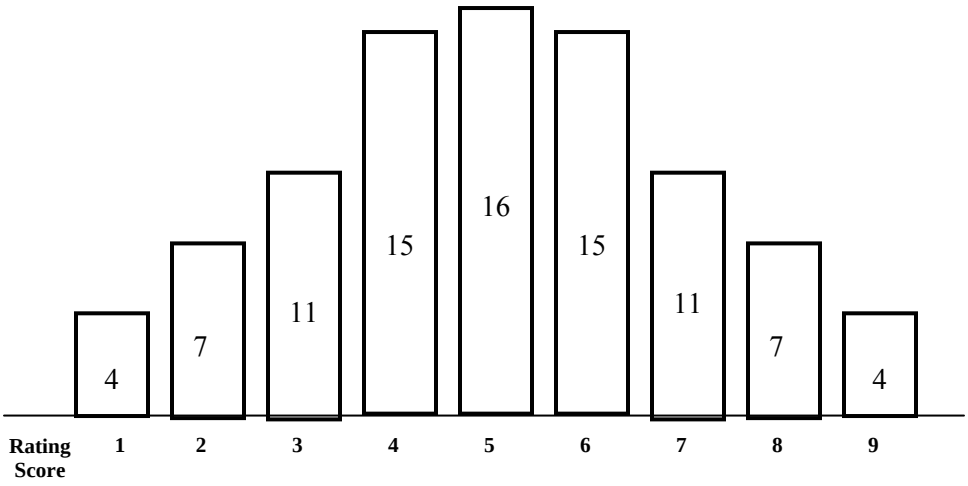

Figure 12.1. Attachment Q-sort Distribution (number of items per pile designated)

To complete this measure, raters first become familiar with descriptions of attachment behaviors by reviewing the computer-based Attachment Q-Set Advisor (Waters, Posada & Vaughn 1994). Typically, training includes coding videotaped examples of visits with parents and young children, in order to assure interrater reliability. Then, observers generally observe the child and parent or caregiver for up to six hours, during which caregivers are encouraged to go about their usual activities and to treat the visitor as they would a visiting friend, neighbor, or helper. Observers make extensive notes during and after each visit and complete the AQS after the final visit.

Sample items include: "Child keeps track of adult's location," "If adult reassures, child will approach," and "Child actively goes after adult if upset." For security of

attachment with teachers and caregivers, several items do not pertain; a subset of the 90-item Attachment Q-Sort can be used to describe children's relationships with nonparental adults. Several items are not relevant to teacher attachment (e.g., those referring to bedtimes), so that these are omitted when observing nonparental attachment figures.

These subscales and organizational categories are reliable and valid, and can be used adequately for preschoolers. In various studies (e.g., DeMulder, Denham, Schmidt, & Mitchell, 2000), AQS scores have been associated in theoretically meaningful ways with measures of behavior problems, social competence with peers, and teacher perceptions of child-teacher relationships. Thus, use of the AQS could give teachers, parents, and mental health consultants a picture of how the child compares to securely attached children on metrics that appear to be directly associated with SEL outcomes in the preschool classroom. Item analysis of important attachment-relevant behavioral exemplars on which a particular child scored low (e.g., keeping track of the presence of the adult) could yield specific behavior objectives for individual program planning. Thus, the AQS' central value seems to lie in its use in individualizing programming, as well as in summarizing pre- and post-programming status, and in screening for insecure attachments. One dual disadvantage might be the need for training and the amount of time required for observation.

12.2.1.3 Narrative Story Completions: Children's Views of Their Own Relationships

In this measure, trained experimenters administer six narrative story completions involving attachment themes, along with a warm-up story (Bretherton et al., 1990). The stories include, for example, separations from parents and child transgressions (e.g., spilling juice). Family figures and props are present for each narrative story. Codes for both structure (e.g., security) and content (e.g., aggression) are useful in evaluating narrative story completions. Each individual code is scored as present or absent for each story. A total score for each code is computed by taking the sum of its individual scores across all stories.

Initial use of this battery has indicated a potential for clinical usefulness (Oppenheim, Emde, & Warren, 1997); children with more negative parental representations in their narratives were rated as having more behavior problems, and their mothers rated themselves as having more psychological problems. Warren, Oppenheim, and Emde (1996) also found a positive relation between aggressive/emotionally negative narrative themes and ratings of children's behavior problems; Ramos-Marcuse and Arsenio (2001) found a positive relation between children's positive view of their attachment relationships and their social competence.

In another study (Denham, Blair, et al., 2002), 3-year-olds' narrative story completion scores fit well enough with their AQS scores for security of attachment to mother, and to teacher, to form one "mega-composite" that was associated with emotional competence when interacting with peers. Children who scored as "more secure" on the mega-composite were more able to understand emotions of others, less likely to show anger toward peers, and more able to manage emotionally stressful events; they were also considered more socially competent by teachers and peers two years later, in kindergarten. As with the AQS, advantages of the narrative story completions are its

use in individualizing programming, as well as in summarizing pre- and post-programming status, and in screening for insecure attachments. One disadvantage might be the need for highly trained testers/coders, and the need to videotape the administration of the measure.

12.2.2. Emotional Expressiveness

Two available measures of children's emotional expressiveness appear to have both psychometric and practical utility, from differing perspectives and viewpoints:
(a) Denham's FOCAL Observation System; and (b) the Child Behavior Questionnaire (Rothbart, Ahadi, & Hershey, 1994). We review each of these.

12.2.2.1. Observed Emotional Expressiveness

Denham's (1986) FOCAL Observation System accesses children's happiness, sadness, anger, tension/fear, tenderness, and "other" emotions, and can be coded live to examine the emotions expressed by children during play. In this observational coding system, emotions are operationally defined by facial, vocal, and motor indices (Denham, 1986; Denham et al., 1990; Denham et al., 1997). Use of the measure is marked by good interobserver reliability. Both frequency and duration metrics are available.

Observation systems are expensive in terms of personnel time needed for implementation, but they can be invaluable. They can be utilized as follows: through observing a child for 12 or more 5-minute intervals across several weeks' time, a profile of either the amount of time the child spends expressing each emotion, or the relative frequency of each. Is Tomas' predominant emotion anger? Does Jimmy hardly ever show emotion except for the tension evidenced by his thumb chewing? Knowing these aspects of the children's social and emotional functioning can aid teachers in tailoring their SEL programming. Further, the observational system could be used in pre- and post-programming documentation.

12.2.2.2. Rated Emotional Expressiveness: Temperament

Three higher-order temperament factors pertinent to the assessment of emotional expressiveness and regulation have been isolated: (a) negative affectivity, (b) surgency; and (c) effortful control (Rothbart et al, 1994). Taken together, these factors comprise a child's constitutional, individual pattern of self-regulation and reactivity, and are considered relatively enduring biological predispositions that are influenced over time by both maturation and experience (Rothbart et al, 1994).

How do these temperament dimensions map onto the construct of interest here—emotional expressiveness? Many children high on the temperament dimension of negative affectivity are easily angered in many situations. Others high on this temperament dimension are also anxious, fearful in new situations, and easily saddened. It is easy to see how this potent combination could make interacting with both peers and adults problematic.

Surgency is an aspect of temperament associated with extraversion, approach to novel stimuli, positive emotional expressiveness, activity, and high level pleasure. Hence, a child high on this dimension of temperament might be a lot of fun to be around-

eagerly initiating contact with others, finding interesting things to do, sharing positive affect. On the other hand, there could be "too much of a good thing," with children high on such a dimension possibly seen as irritatingly active and boisterous, risk-taking, and impulsive (Rothbart & Ahadi, 1994; Rothbart, Ahadi, & Evans, 2000).

For usage of the Child Behavior Questionnaire (Rothbart et al., 1994), we would choose parental report, in accordance with the conclusions of Rothbart and Bates (1998), because: (1) parents see a wide range of behavior; (2) recent measurement advances allow their reports even greater objective validity; and (3) most importantly, the social relationship aspects of child temperament are best captured in parental reports.

The CBQ is an instrument that assesses temperamental characteristics of children aged 3-8 years. Parents rate, on seven-point scales, how "true" 195 specific descriptive behaviors have been of their child over the past six months. The option of indicating that any item is "not applicable" to the child is also available.

The 15 CBQ scales yield the following temperament groups referring to emotional expressiveness (Rothbart et al, 1994): 1) negative affectivity and 2) surgency. Negative affectivity items involve discomfort experienced in over-stimulating situations, frustration, anger, and inability to soothe oneself, fearfulness, and sadness. The Surgency dimension includes active, approach, pleasure, and smiling scales. Internal consistency reliability is good for these scales, as is test-retest reliability. Their use can add to both parents' and teachers' knowledge of children's expressiveness across many everyday contexts.

It is important to note that, although temperament is assumed to have a strong bio-behavioral component, it is not immune to modification via maturational, environmental, or relational means. As such, these scales, or internally consistent abbreviations thereof, could be useful perhaps on a quarterly basis for program planning and progress reporting, as well as at the beginning and ending of programming for evaluation purposes.

12.2.3. Emotion Knowledge

Denham's Affective Knowledge Test (AKT; 1986) utilizes puppets to measure preschoolers' developmentally appropriate understanding of emotional expressions and situations. Children's understanding of emotion is assessed using puppets with detachable faces that depict happy, sad, angry, and afraid expressions. First, children are asked to both verbally name the emotions depicted on these faces, and then to nonverbally identify them by pointing. This procedure taps into their ability to recognize expressions of emotion.

Then, in two subtests of emotion situation knowledge, the puppeteer makes standard facial and vocal expressions of emotions while enacting emotion-laden stories, such as fear during a nightmare, happiness at getting some ice cream, and anger at having a block tower destroyed. Children place on the puppet the face that depicts the puppet's feeling in each situation (Denham, 1986; Denham & Couchoud, 1990a; Denham et al., 1994). In eight situations, the puppet feels emotions that would be common to most people, such as those mentioned above. Finally, children are asked to make inferences of emotions in nonsterotypical, equivocal situations. This subtest measures how well children identify others' feelings in situations where the "other" feels differently than the child. All the situations that the puppeteer depicts during this section of the measure could easily elicit

one of two different emotions in different people, as in feeling happy or afraid to get into a swimming pool. Before the assessment, children's parents report, via forced-choice questionnaire, how their children would feel; these responses determine the emotions expressed by the puppet. For example, if the parent reports that the child would be happy to come to preschool, the puppet is depicted feeling sad. Internal consistency and test-retest reliabilities are good (Denham, Caverly, et al., 2002; Denham & Couchoud, 1990a, 1990b; see also Dunn, Slomkowski, et al., for AKT relations with later indices of emotion knowledge at age six).

This measure appears to be especially ecologically valid, as it requires little verbalization and is performed during play. Scores on the AKT are slightly to moderately related to other indices of SEL. For example, researchers have found that children's concurrent AQS attachment ratings are related to scores on the measure (Denham, Caverly, et al., 2002; Laible & Thompson, 1998); more secure children perform better on the AKT. Moreover, predominantly happier, less angry children also tend to perform better (Denham, 1986; Denham et al., 1990; Denham et al, 2003). Furthermore, AKT scores are related to other indices of SEL, such as moral sensibility and decision-making (Dunn, Brown, & Maguire, 1995), conflicts and interactions with friends (Dunn & Cutting, 1999; Dunn & Herrera, 1997). Finally, AKT scores are both concurrently and longitudinally related to peers' and teachers' evaluations of children's social competence (Denham et al., 1990; Denham et al., 2003). Thus, knowing a child's status on this measure can help teachers not only in knowing about his or her emotion knowledge, but also to prognosticate about skills to which the AKT is related. The AKT is easy to learn and to administer, children enjoy it, and it takes only about 20 minutes to perform. We consider it a useful assessment tool to document status and change in emotion knowledge as a key aspect of SEL; it has already demonstrated its usefulness in this role (Domitrovich et al., 2002; Shields et al., 2001).

12.2.4.1. Emotion Regulation

What do we need to know about young children's abilities to regulation their emotions? We need to know at least two aspects of their emotion regulation: (a) the "end product": do children have difficulty with regulating their emotions, leaving them vulnerable to extreme, long-lasting, and/or difficult to calm positive or negative emotions? and (b) the "process": in their efforts to regulate either positive or negative emotions, what exactly do children do? What are their strategies? Developmentalists and early childhood educators vary on their focus when examining emotion regulation. In our review of instruments, we found one combined process and product assessment task, and two product questionnaires.

12.2.4.1. Emotion Regulation as Process and Product: An Analogue Task

Raver et al. (1999) have had success in using a modification of Mischel's self-regulation task (Mischel, Shoda, & Rodriguez, 1989) with Head Start youngsters. In this task, children are asked to wait to open a tempting gift, until the examiner returns from retrieving something s/he forgot to bring to the testing room. The child's behaviors are coded along continua reflecting their ability to regulate emotions, and the strategies that

they use to do so (i.e., both "product" and "process" as indicated above). In Raver et al's study, children's use of self-distraction predicted peer and teacher reports of children's social competence.

The ease of administration and coding of this assessment tool, its ecological validity, and its apparent power in describing emotion regulation process and product (not only during preschool, but predictively to adolescence; see Mischel et al., 1989), make it a viable candidate to include in our armamentarium. We see it as potentially useful for ongoing assessment during programming, as well as pre- and post-programming evaluation.

12.2.4.2. Rated Emotion Regulation as Product: Teacher Ratings

Shields and colleagues (Shields & Cicchetti, 1997; Shields et al., 2001) also have a 24-item Emotion Regulation Checklist that taps *both* prevalent emotional expressiveness and the product aspect of emotion regulation; that is, it targets processes central to emotionality and regulation, including affect lability, intensity, valence, flexibility, and contextual appropriateness of expressiveness. Internal consistency for the emotion regulation and lability/negativity subscales is excellent (Shields et al., 2001). In terms of validity, the measure distinguishes well regulated from dysregulated children (Shields & Cicchetti, 1997). More specifically, with preschoolers, Shields et al. (2001) also found that overall emotion regulation at the start of the preschool year was associated with school adjustment at year's end, whereas early emotional lability/negativity predicted poorer outcomes. Thus, we see this tool as potentially extremely useful for ongoing assessment during programming, as well as pre- and post-programming evaluation.

Table 12.2. Example Items from the Emotion Regulation Checklist

Emotion Regulation Checklist Scale	Example Items
Lability/Negativity	Exhibits wide mood swings; is easily frustrated; is prone to angry outbursts
Emotion Regulation	Is a cheerful child; responds positively to neutral or friendly overtures by adults; can say when s/he is feeling sad, angry or mad, fearful or afraid

Note. Item content quoted with permission of author.

12.2.4.3.1. Rated Emotion Regulation as Process: Parent Ratings

Effortful control is an aspect of temperament associated with sensitivity to the emotional experiences of peers, which can lead to empathic and other prosocial responses, as well as to inhibition of aggressive impulses (Kochanska, 1993; Rothbart et al., 1994). More specifically, regulatory abilities in attention, in particular the ability to focus and shift attention voluntarily, and the ability to disengage attention from one's own perspective to attend to another's, are hallmarks of prosocial development

(Kochanska, 1993; Rothbart et al, 1994). Thus, we would expect children higher on the effortful control dimension to be seen by teachers, observers, and peers alike as more socially competent.

The CBQ also yields this aspect of temperament (Rothbart et al, 1994). Effortful control encompasses scales measuring inhibitory control; maintenance of attentional focus during tasks; pleasure experienced during low intensity situations (e.g., looking at picture books); and perceptual sensitivity and awareness of external cues. Again, as for negative affectivity and surgency, internal consistency reliability is good for these scales, as is test-retest reliability. The instructions are generally clear and useful to raters, although the scales include many items and take some time to complete. As noted for the CBQ's measurement of emotional expressiveness, its scales related to emotion regulation, or internally consistent abbreviations thereof, could be useful perhaps on a quarterly basis for program planning and progress reporting, as well as at the beginning and ending of programming for evaluation purposes.

12.2.4.4. Rated Emotion Regulation as Process: Strategies Reported by Parents or Teachers

Children's coping behavior when faced with emotional situations with peers can be assessed with items developed by Eisenberg, Fabes, Nyman, Bernzweig, and Pinuelas (1994). Informants indicate on a 7-point scale, with 1 indicating "never" and 7 indicating "usually," how often the child would engage in each of 12 general types of coping behavior when confronted with a problem situation. Item content reflects: Instrumental Coping (e.g., taking action to improve a situation), Instrumental Aggression (e.g., hitting), Emotional Intervention (e.g., crying to elicit help), Avoidance (e.g., leaving a problem), Distraction (e.g., keeping busy), Venting (e.g., crying to release frustration), Emotional Aggression (e.g., aggressing to release frustration), Cognitive Restructuring (e.g., saying "I don't care"), Cognitive Avoidance (e.g., not thinking about the problem), Instrumental Intervention (e.g., getting help), Instrumental Support (e.g., talking to someone about the problem), and Denial (e.g., saying nothing happened). Based on the work of Eisenberg and colleagues (1994), data can be reduced to three summary scales:

- Emotional Venting (e.g., cries to release feelings/get help, solves problems/releases feelings through aggression).
- Constructive Strategies (e.g., getting emotional support or pragmatic assistance with the problem; solving the problem)
- Avoidant Strategies (e.g., using distraction, denying the problem)

Research suggests that parent's completion of these scales is related to teacher's evaluations of young children's social competence (Denham & Blair, 2002).

These scales are very quick and easy for either teachers or parents to complete. They yield a snapshot of the child's emotional coping strategies, and would thus be useful for individualizing programming as well as pre- and post-programming measurement.

12.3.1. SOCIAL COMPETENCE ASSESSMENT

Within the domain of social competence, our goals for assessment would be to understand group change and individual differences in children's effectiveness in interaction, at the middle level of our model (see Figure 10.1). That is, we would like to know from varying perspectives—those of teachers, parents, and other children—whether some or all of the skills (i.e., those for which we can find assessment tools) at the lowest level of the model are attained.

Three available measures of preschoolers' social competence appear to have both psychometric and practical utility, from teachers' or peers perspectives and viewpoints: (a) the Social Competence/Behavior Evaluation; (b) the Penn Interactive Preschool Play Scales; and (c) peer sociometrics as tailored for use with preschoolers. We review each of these in turn.

12.3.1.1. Teacher Evaluations

12.3.1.1. Social Competence/Behavior Evaluation Short Form

The Social Competence/Behavior Evaluation (SCBE; LaFreniere & Dumas, 1996), which has been extensively normed with stratified samples of French Canadian and American preschoolers, is one possibility. It has internally consistent subscales for Externalizing, Internalizing, and Cooperation/Sensitivity. As such, it taps many of the components of social competence already outlined here (see also Denham et al., 1997). The measure also has been translated into Spanish.

Table 12.3. Example Items from the Social Competence/Behavior Evaluation (SCBE)

SCBE Scale	Sample Items
Aggression	Gets into conflicts with other children; opposes the teacher
Withdrawal	Doesn't talk or interacting during group activities; avoids new situations
Cooperation/Sensitivity	Negotiates solutions to conflicts (note social problem-solving content); cooperates with other children

Note. Item content quoted with permission of publisher.

The SCBE does, however, include many items that might be considered more purely "emotional" rather than "social" in nature. When these items are omitted, "purer" social competence scores can be obtained; Denham has created one overall score in her research by subtracting aggression and withdrawal scores from social sensitivity and cooperation scores. The "purer" scales are still associated with elements of children's earlier emotional competence, including attachment, emotional expressiveness, emotion knowledge, and emotion regulation (Denham et al., 2003), and are extremely highly correlated with the original SCBE scales. Thus, we consider this measure to be an

excellent candidate for yearly—or even quarterly—screening or ratings, as well as pre- and post-programming group results.

12.3.1.2. Penn Interactive Preschool Play Scales

"Play is an important vehicle for children's social, emotional, and cognitive development, as well as a reflection of their development" (Bredekamp & Copple, 1997 p. 6). Consonant with this view, one measure that derives information on young children's social competence, *in context*, is the Penn Interactive Preschool Play Scale (PIPPS; Fantuzzo, Sutton-Smith, Coolahan, Manz, Canning, & Debnam, 1995; McWayne, Sekino, Hampton, & Fantuzzo, 2002). This relatively new assessment tool has much to support it.

In this measure, informants, whether teachers/caregivers or parents, report on the rate of occurrence of developmentally appropriate behaviors within concrete, observable contexts in which preschoolers are actively engaged: their various play environments. The PIPPS offers an advantage to both teachers and parents: because young children's play is so salient a part of their daily activities, informants have ample opportunities to observe it, and are likely to have the skills to understand and reliably complete a measure grounded in this phenomenon. Thus, informants are not required to list or describe behaviors—processes that are open to social desirability and other errors, both systematic and nonsystematic.

The PIPPS yields three overarching scales: (1) Play Interaction—i.e., how creative, cooperative, and helpful children are during play; (2) Play Disruption—i.e., how aggressively and antisocially they behave during play; and (3) Play Disconnection—how withdrawn and avoidant children are in contexts where engaged play is more normative. These scales are internally consistent for both teachers and parents, and appear equally appropriate for low-income children of varying ethnicities, including African American and Hispanic (Fantuzzo, Coolahan, Mendez, McDermott, Canning, & Debnam, 1998; Fantuzzo & McWayne, 2002). In terms of validity, parents' PIPPS scales are related to teacher PIPPS scales. As well, positive learning styles, the Social Skills Rating System, conduct problems, emotion regulation, and sociometric acceptance are also related in theoretically expected ways to the scales.

Because of these qualities and distinct advantages, we also recommend the PIPPS for yearly, or even quarterly screening or ratings, as well as pre- and post-programming group results. Whether the SCBE-30 or PIPPS is "better" is, however, something of a moot question. Both use simple vocabulary; both yield very similar subscales. Thus, the choice may be at the discretion of the user; we would recommend consideration of the PIPPS especially for the subpopulations whose needs were considered when it was developed.

12.3.1.2. Peer Evaluations

Even at an early age, it is important to consider how peers view the effectiveness of their classmates' social interactions; their perspective is unique. Neither teachers nor parents can possibly see all social interactions in which children participate; furthermore,

even if they could it remains important to get the point of view of those to whom the interactions are directed.

Sociometric measurement is a very robust indicator of peers' assessments of preschoolers' likeability (Denham & Holt, 1993; Denham et al., 1990; Howes, 1988). In these techniques, as used with preschoolers, children are asked to examine photographs of their classmates, and to indicate via a pictorial scale whether they "like a lot" "kinda like" or "don't like" each person in the group of photographs. There also are other modifications possible in using the technique with preschoolers, including using only ratings of likeability rather than including "don't like" ratings (e.g., Lemerise, 1997). In any case, the results of this process, summed across children, show how well liked the rated child is, overall.

Alternatively, preschoolers can nominate children who fit specific categories, although there is somewhat lower reliability for such assessments (Denham & McKinley, 1993; cf. Hymel, 1983). For example, to capture overall social status in each group, children can be asked to name an unlimited number of children who they "like a lot" and who they "don't like very much." As well, to identify aggression in their peers, they can be asked to name children who "start fights," "yell and call other kids mean names," "hit and push other kids." From such nominations, social preference (number of times mentioned as liked), social impact (number of times mentioned), overt aggression (number of times mentioned as a fighter, etc.), and relational aggression (number of times mentioned as a name-caller) can be determined. Other positive qualities, such as "is fun to play with" can also be used for nominations. Many developmental studies in the last two decades support the reliability and validity of these procedures.

Despite some parents' and teachers concerns, participation in sociometric measures involves no more risk (e.g., of "telling"—how one rated another in a mean way) than it does in children's everyday social life. Researchers (e.g., Bell-Dolan, Foster, & Christopher, 1992; Bell-Dolan, Foster, & Sikora, 189; Bell-Dolan, Foster, & Tishelman, 1989) have found, following administration of sociometrics measures, no increase in negative interactions with unpopular peers, no increase of social withdrawal in less accepted children, and no expression of unhappiness or loneliness after participation in studies with sociometric measures. Most children appear to enjoy considering such issues and do not change their behavior, and may in fact benefit from discussion of such issues with researchers.

From the results of research on the use of sociometrics measures, Bell-Dolan and colleagues (see also Hayvren & Hymel, 1994, Ratiner, Weissberg, & Caplan, 1986) make the following recommendations for the administration of sociometric measurement:

- Use a distracter task after the sociometrics measure, for example, nomination of favorite songs or TV characters.
- Embed sociometrics within another task, so that the questions are not overemphasized.
- Do not administer right before times when children would be more likely to discuss their ratings or nominations—e.g., lunch, free time, or dismissal for the day.
- Carefully monitor effects of the measurement on children.

Sociometric techniques have much potential use in evaluating from the perspectives of the "consumers," so to speak, pre- and post-programming results, as well as preschoolers' yearly or semi-yearly social status. One way to assuage potential concerns that important adults in children's lives may have about such measures would be to better educate them on the true nature of the measure, its ecological validity, and the importance of social status to concurrent and later functioning (Roff, 1990; Roff & Ricks, 1970). Such education should be embedded within better communication about SEL, and ways to attain it.

12.3.2. SOCIAL COMPETENCE/EMOTIONAL COMPETENCE "COMBINED ASSESSMENT"

Some assessment tools, notably many teacher checklists and/or curriculum- or programming-specific measures, tap constructs of both emotional and social competence in their comprehensive views of the child's SEL. Five available "combined measures of children's emotional expressiveness appear to have both psychometric and practical utility: (a) The Devereux Early Childhood Assessment; (b) the Battelle Developmental Inventory-2; (c) the Infant Toddler Social-Emotional Assessment; (d) the Minnesota Preschool Affect Checklist; and (e) "authentic" assessment tools, such as the Hawaii Early Learning Profile Preschool Assessment Strands. All are teacher and/or parent checklists, except for (d). We now review each.

12.3.2.1. The Devereux Early Childhood Assessment (DECA)

The DECA (LeBuffe & Naglieri, 1999; Yonamine, 2000) is a newly developed standardized, norm-referenced measure of resilience, completed by parents and teachers in a collaborative and supportive partnership. This measure is theoretically and psychometrically sound; subscales on initiative, attachment, self-control, and behavioral concerns are rated on a 5-point scale varying from "never" to "very frequently". We like the DECA's subscale demarcation, closely mirroring as it does our notions of SEL. Furthermore, its utility is being demonstrated. For example, the total resilience score (i.e., Initiative + Attachment + Self-control) is related to school readiness, as assessed by the Learning Accomplishment Profile-D cognitive and language scales (Devereux Early Childhood Initiative, 2001b).

The developers of the measure suggest that it be administered three times per year, with frequent updating allowing for periodic reviews of children's progress. Teacher and parents complete the DECA Record Form to create a complete picture of the child. DECA results are shared and discussed with parents, and parents are included when planning strategies to help their child build protective factors and address behavior concerns. Teachers also can use these results to evaluate the effectiveness of strategies in supporting development of protective factors and minimizing or eliminating challenging behaviors. The DECA is already being used to document pre- and post-programming change (Devereux Early Childhood Initiative, 2001a, 2001c).

Another part of the DECA assessment system is the Reflective Checklist. The Reflective Checklists focus on the environment, daily programming, activities and experiences, supportive interactions, and partnerships with parents. In other words,

teachers note what is working, or not, with each child and with groups of children. Strategies that foster childhood resilience are developed from the reflective checklists and DECA rating scales for both individual children and for the group. This process also supports the development of a partnership between the early childhood professional and parent working together to enhance the social and emotional health of the child.

Finally, classroom staff also are encouraged to reflect and improve upon their own skills in working with families by using strategies such as: (a) learning about each child's family, culture and community; (b) using children's home languages at the program; (c) establishing an ongoing system for exchanging information about each child with his or her family; and (d) giving families information about typical developmental skills and behaviors of young children.

Table 12.3.1 Example Items from the Devereux Early Childhood Assessment

DECA Subscales	Sample Items
Initiative	Try or asks to try new things or activities
Attachment	Trust familiar adults and believe what they say; seek help from children/adults when necessary
Self-Control	Keep trying when unsuccessful (act persistent); calm herself/himself down when upset
Behavioral Concerns	Destroy or damage property, fight with other children

Note. Item content quoted with permission of the publisher, the Devereux Foundation.

12.4.2. Battelle Developmental Inventory (BDI)

This promising norm-referenced, standardized instrument (Newborg, Stock, & Wnek, 1984) has a new revision under way, for which Denham was a consultant on the Personal-Social Domain, which includes social/emotional items. Tracking of individual progress and evaluation of instructional programs, our foci in this chapter, are both included in the BDI's purposes.

The BDI's comprehensiveness, standardized test scores, empirically based age placement of its approximately 130 items, behaviorally anchored item descriptions, and improved, easier administration and scoring, all maximize its usefulness. Each skill item chosen for the new revision for the Personal-Social (and all other domains) has gone through a rigorous process of judgment on how critical or important it is to a child's development. The BDI is designed to be used by teachers, diagnosticians, and multidisciplinary teams. Its authors consider it useful for screening and or for more in-depth assessment of specific nonhandicapped or handicapped children's strengths and weaknesses for programming, as well as to help demonstrate the effects of programming. Use of a transdisciplinary assessment format also is possible.

Items on adult interaction, expression of feelings/affect, self-concept, peer interaction, coping, and social role are included. For example, topic areas include showing appropriate affection toward people, pets, or possessions, using adults appropriately to help resolve peer conflict, recognizing the feelings of others, and recognizing the basic similarities of all children. Excellent reliability data for the last

version (before the current revision) are reported, with very small standard errors of measurement and high test-retest reliabilities.

Because some items can be scored via interview or observation methods, or structured format items can be corroborated via these methods, it behooves the examiner to gather all possibly relevant data on Personal-Social items before scoring. The examiner also must apply, when there are disagreements among these sources of data, a standard set of decision rules.

12.4.3. Infant Toddler Social-Emotional Assessment (ITSEA)

The ITSEA is a new adult-report measure for 12- to 36-month-olds. As such, it applies only to the lower ages in the range upon which we are reporting here, but it is nonetheless very promising as a tool to identify important aspects of SEL. For the age range with which we are concerned here, scales for Attention, Compliance, Prosocial Behavior, Peer Interaction, Empathy, Emotional Positivity, Task Mastery, and Emotional Awareness are included, all rated on a 3-point scale. Contrasting Externalizing Behavior (e.g., Activity, Peer Aggression, Aggression/Defiance, and Negative Emotionality Scales) and Internalizing Behavior (e.g., Inhibition/Separation Difficulties, Depression/ Withdrawal Scales) factors are also included. For all, internal consistency and test-retest reliabilities are good to excellent. Validity evidence is also encouraging (Briggs-Gowan & Carter, 1998; Carter & Briggs-Gowan, 1993; Carter, Briggs-Gowan, & Kogan, 1999). For example, relations with dimensions of temperament, attachment, emotion regulation, and coping, as well as age and gender, are as expected.

In short, the ITSEA relates as expected to several of the SEL constructs discussed here, such as attachment, emotional expressiveness and emotion regulation. In this respect it is capturing much that interests us in furthering the SEL of the younger preschoolers in the age range we cover in this volume. It should be of value for summarizing pre- and post-programming status, and to screen for possible delays.

Table 12.5. Example Items from the Infant Toddler Social-Emotional Assessment (ITSEA)

ITSEA Scale	Subscale	Example Items
Social-Emotional Competence	Attention	Can sit for 5 minutes while you read a story; can pay attention for a long time (not including TV)
	Compliance	Follows rules; is easy to take care of
	Prosocial Peer Interaction	Is liked by other children; shares toys and other things
	Emotional Positivity	Laughs easily or a lot; is affectionate with loved ones
	Empathy	Is worried or upset when children cry; tries to help when someone is hurt
	Emotional Awareness (2-year-olds only)	Talks about own feelings; is aware of other people's feelings

ITSEA Scale	Subscale	Example Items
	Mastery Motivation (2-year-olds only)	Wants to do things for self; is curious about new things
Externalizing Behavior Problems	Activity	Is restless and can't sit still; goes from toy to toy faster than other children his/her age.
	Aggression/Defiance	Acts aggressive when frustrated; is disobedient or defiant
	Peer Aggression	Fights with other children; is mean to other children on purpose
	Emotional Negativity	Often gets very upset; cries a lot
Internalizing Behavior Problems	Inhibition/Separation	Is very clingy; is shy with new people
	Depression/Social Withdrawal	Seems withdrawn; seems very unhappy, sad, or depressed.

Note. Item content quoted with permission of the authors.

12.4.4. Minnesota Preschool Affect Checklist

The Minnesota Preschool Affect Checklist observation schedule was first presented in Sroufe et al. (1984). This instrument, adapted by Denham and colleagues for Denham and Burton (1996), includes 53 items organized into "mega"-scales for positive and negative affect, inappropriate affect, positive and negative involvement (e.g., impulsivity, aggression, wandering, social isolation), peer skills, and empathy/prosocial behavior. Thus, many elements of emotional competence discussed in this volume, as well as some elements of social problem solving (e.g., deals with frustration by verbalizing the problem), and numerous relationship skills (as considered here in the model of social competence), are tapped by the MPAC.

Table 12.6. Items from the Minnesota Preschool Affect Checklist (MPAC)

MPAC Scales	Exemplars of behaviors observed
Expression and regulation of positive affect	Displays positive affect in any manner—facial, vocal, bodily; shows ongoing high enjoyment (30 sec. or more)
Expression and regulation of negative affect	Uses negative affect to initiate contact, to begin a social interaction with someone; uses face or voice very expressively to show negative affect
Inappropriate affect	Expresses negative affect to another child in response to the other's neutral or positive overture; takes pleasure in another's distress
Productive involvement in purposeful activity	Engrossed, absorbed, intensely involved in activity; independent—involved in an activity that the child organizes for himself
Unproductive, unfocused use of personal energy	Wandering; listless; tension bursts

MPAC Scales	Exemplars of behaviors observed
Lapses in impulse control	Context-related, physical, interpersonal aggression; inability to stop ongoing behavior; becomes withdrawn
Positive management of frustration	Promptly expresses, in words, feelings arising from problem situation, then moves on; shows ability to tolerate frustration well even if does not verbalize
Skills in peer leading and joining	Successful leadership; inept attempts at leadership; smoothly approaches an already ongoing activity
Isolation	No social interaction continuously for 3 minutes or more
Hostility	Unprovoked, physical, interpersonal aggression; hazing, teasing, or other provocation or threat
Prosocial response to needs of others	Interpersonal awareness—behavior reflecting knowledge or awareness about another person; helping behavior

Note. General item content adapted from Denham, Zahn-Waxler, et al. (1991), and Sroufe et al. (1984).

Trained observers watch children's behaviors for 5-minute intervals, noting the presence of items. Previous research has shown good interobserver reliability for "mega"-scales, and concurrent validity with other indices of young children's SEL (Denham, Zahn-Waxler, et al., 1991; Sroufe et al., 1984). Although training for observation using the MPAC is somewhat time-consuming, the detailed description of the child's SEL across as few as four five-minute periods makes it a worthy candidate for use as pre- and post-programming assessment. For example, in Denham and Burton (1996), several of these scales, notably skills in peer leading and joining, showed change across pre-program to post-program periods, with those showing pre-measure deficits especially benefiting from the program.

12.4.5. "Authentic Assessment"

Although the field of developmental/school psychology still leans toward norm-referenced assessment (which may have its place when appropriate norms are available), criterion-referenced assessment can be preferable for many objectives (Bagnato, Neisworth, & Munson, 1997). After all, in the classroom or at home we probably care whether a child attains a certain social-emotional objective, perhaps more so than how that child compares to others. In any case, the key is to link assessment and programming. Each community, program, and child serve as their own controls, with previous performance as the point of reference to construct slopes of expected and actual performance profiles. Such assessment can be intimately tied to the lessons and curricula being used.

12.4.5.1 The Hawaii Early Learning Profile

The HELP Strands Preschool Version is an example of social and emotional authentic assessment tools (Vort Corporation, 1999) that can enable us to plan for intervention. This criterion-referenced assessment tool includes important criterion-referenced objectives on social-emotional scales for attachment/separation/autonomy, development of self, expression of emotions and feelings, learning rules and expectations, social interactions and play, social language, and personal welfare/safety.

One of HELP's most applauded features is its high number of specific skills and allied intervention strategies. The HELP Strands report qualitative descriptions of emotional and social competence areas, along with approximate developmental age levels, which can be utilized to substantiate need for intervention, but is not equivalent to a score on a norm-referenced scale. The density of skills represented helps families and educators with curriculum planning, identification of strengths and weakness, and monitoring of children's progress in small, incremental steps.

All of the items appear to have excellent content validity. Level, style, ability to interaction, customary behaviors, unique description of child and planning objectives as well as specific and detailed connections to classroom practices and family involvement. The assessment takes advantage of the child's spontaneous behavior (e.g., reaction to new places and people, parent-child interaction, behavior during transitions between activities). Credit codes are well differentiated.

Thus, the HELP strands are designed for use with young children who are delayed, have disabilities, or are considered at risk. However, the skills it enumerates are listed in chronological order within the age at which the skills are generally acquired, so that the scale may also be of use to track the ongoing progress of nonhandicapped preschoolers, both individually and for groups. Our main concern with this assessment tool is the weight given to developmental milestones that do not "fit" within the emphases communicated in this volume. Of course, it was not the authors' goal to do so! However, we would like to see more specific assessment goals pertaining to emotional expressiveness, emotion knowledge, emotion regulation, social problem solving, and relationship skills. This said, it should be noted (see Table 12.7) that the HELP Strands Preschool Version in fact includes some very good exemplars of these domains.

Table 12.7. Exemplary item content from the HELP Strands-Preschool

HELP Strand	Example skills
Attachment/adaptive skills	○ Plays with another child – shares, settles own disputes verbally, takes turns; may exclude others ○ Tries again when a change or disappointment occurs -–after a proper length of time has lapsed ○ Independently tries out new activities
Responsibility/Rules	○ Quiets down after an active period – sits down, remains seated, stops talking loudly, refrains from physical play ○ Conforms to group decisions – at least three children involved; may initially protest the decision, but does what other group members do (as long as it does not conflict with health/safety rules) ○ Controls temper well; verbalizes feelings in appropriate manner
Social Interactions and Play	○ Looks at person when speaking ○ Participates in cooperative play – goals of the play should be shared by all the children involved and child will help lead the group to the goals ○ Comforts playmates in distress ○ Apologizes when reminded

12.4.5.2.1. DECI Strategies

The DECA Program can also be seen as a comprehensive means of authentic assessment for both social and emotional competence. In implementing the DECI program, early childhood teachers and care providers are urged to conduct running record observations of the children in their classrooms, for several reasons. This type of observation provides accurate, objective and complete information without including the observer's judgments or biases. These observation recordings can provide data on specific aspects of attachment, emotional expressiveness and emotion regulation, as well as initiative and behavioral concerns, which can be shared with parents and used by professionals and specialists from different disciplines. The following guidelines are suggested by the Devereux Foundation (Devereux Early Childhood Initiative, 2001d) for such running record observations (see also Chapter 5):

1. Conduct several 10 to 15 minute observations, rather than observing for 20 to 30 minutes at a time.
2. Observe several children at a time while they are engaged in small group activities.

3. Target one child per day.
4. Arrange the environment to create clear observation paths.
5. Wear an "observation hat" to let children know you are busy for a few minutes.
6. Plan time into your daily schedule to observe. Note the observer, target child(ren), time and place.
7. Develop and use a shorthand system so you can write quickly and capture more detail.
8. Plan for more adult support (aides, volunteers, parents) during observation periods. Provide on-going training on conducting running records.

12.5. ASSESSMENT OF BEHAVIORAL PROBLEMS

Even though we heavily emphasize the development of the positive in this volume, it is nonetheless true that, as a particular child's ratio of resilience to risk processes decreases, more and more we need to fully examine and document his/her behavioral difficulties in detail. Thus, we need to explore assessment tools for behavioral problems—both internalizing and externalizing—as well as those for the emotional and social competence aspects of SEL. Overt behavioral problems have important bearing on whether and how children can acquire both emotional and social competence.

A number of possibilities exist to evaluate evidence of the intensity of preschoolers' challenging behaviors (i.e., externalizing, internalizing, or "other"): (a) the Child Behavior Checklist (CBCL)/2-3 (Achenbach, 1987); (b) Feil, Walker, and Severson's (1998) Early Screening Project (ESP); (c) Hresko, Miguiel, Sherbenou, and Burton's (1994) Developmental Observation Checklist System (DOCS); (d) Merrell's Preschool and Kindergarten Behavior Scale, 1994; and (e) Sinclair, Del-Homme, and Gonzalez's, (1993) measure, for example. Feil et al. (1998) and Sinclair et al. use gating procedures, in which presence of a criterion number of screening items scored "present" leads to further assessment, and finally to the specified need for services. The Feil, Walker, Severson, and Ball (2000) measure has been shown to be appropriately applicable to the multicultural milieu of Head Start. As well, the ITSEA, SCBE, DECA, MPAC all address the issue of behavior problems.

However, although these measures all appear to have good psychometric qualities and some practical utility, if teachers or program administrators deemed a separate behavior problems scale necessary and potentially useful, we would advocate the use of the Adjustment Scales for Preschool Intervention (ASPI; Fantuzzo, Bulotsky, McDermott, Mosca, & Lutz, 2002; Lutz, Fantuzzo, & McDermott, 2002). These scales are based on contextualized items actually developed with preschool early childhood teachers. Caregivers are directed to choose contextual descriptions of behaviors (if any) that have applied to the child within a time period of one month.

For example, for a question "How does this child cope with new learning tasks?" choices include "won't even attempt it if he/she senses a difficulty," "approaches new tasks with caution, but tries"; for a question "How is this child at free play/individual choice?" choices include "engages in appropriate activities, "rather loud but not disruptive," "disturbs others' fun." Thus, the rater does not have to consider the child's behavior out of context. Other contexts include how the child helps with classroom jobs, answers questions, talks with the teacher, takes part in games with other children,

behaves in the classroom, respects other people's belongs, and who the child has as companions. Contextualizing the actual behaviors of children within specific situations helps early childhood teachers to accurately report behavioral difficulties, which they sometimes are reluctant to do for fear of unfairly labeling ones so young.

Items yield five internally consistent major problem scales across their contexts—aggression (22 items), withdrawn-low energy (18 items), socially reticent (12 items), oppositional (10 items), and inattentive/hyperactive (11 items). A secondary factor analysis has yielded two overarching undercontrol and overcontrol scales, which coincide well with current diagnostic thinking. The original five scales show good concurrent validity with the PIPPS. For example the two tests form robust aggregates of interpersonal disruption (a combination of the ASPI aggression and PIPPS play disruption scales), under active disconnection (a combination of the ASPI withdrawn, reticent with PIPPS play disconnection and lack of play interaction scales), and oppositional disconnection (a combination of ASPI oppositional and PIPPS play disconnection scales). Thus, if particular pressing needs for using a behavior problems scale exist within a program, this measure would be our recommendation. Given our predilection for promoting SEL rather than focusing on problems, and the ASPI's relationship with the PIPPS, it is also possible that its use would be sufficient.

12.6. SUMMARY AND CONCLUSIONS: RECOMMENDATIONS ABOUT PRESCHOOL SOCIAL-EMOTIONAL ASSESSMENT

How should all this information be integrated? In Table 12.8 we made an initial attempt to consider how teachers, parents, and mental health consultants can work together as a team to focus on each child's SEL. Columns of this table represent the divisions we have created in this chapter to capture the elements of SEL—attachment, emotional expressiveness, emotion knowledge, emotion regulation, social competence as evaluated by peers and adults, combined social-emotional assessment, "authentic" assessment, and behavior problems. Rows of the table correspond loosely to the usage of assessment tools mentioned by Horton and Bowman (2002), from daily observation of the child and her/his attainments in SEL programming, to weekly teacher meetings and child portfolios, to quarterly teacher and parent checklists, and yearly screening and program evaluation. Rows are also included for potential mental health consultant's contributions, and to indicate those assessment tools that are research-based in nature. We have filled the cells of the table with those tools mentioned in this chapter that appear to fit each row-column intersection. Entries within each cell include those assessment tools that we consider would fit each goal.

It is not our desire to dictate what measures can or should be used. Much flexibility is built into this table. We would, however, prescribe the following:

- Teachers and caregivers should become attuned to each child's way of demonstrating attachment, emotional expressiveness, emotion knowledge, emotion regulation, social competence, and possible behavior problems. This attunement includes knowing what to look for, remaining observant, and taking note of everyday occurrences in the preschool classroom. Thus, we recommend completion of the HELP Strands Preschool Assessment Tool, as well as making

careful anecdotal records or journals about each child, most likely by utilizing the DECA system for running records or something very close to it.

- Sometimes other measurement schemes can also be useful on a daily basis. For example, even if FOCAL observations of emotion were not routinely completed for an entire classroom, the teacher who knows the general system can note in her/his journal or running record that "Andy showed much anger today, but was very tender toward Becca when she fell of the swing."
- At weekly teacher meetings and for inclusion in children's portfolios, the HELP Strands Preschool Assessment Tool and the aforementioned anecdotal/running records also form important part of such conferencing. Also, the BDI and/or DECA could be informally completed and compared to earlier versions to show a snapshot of current SEL functioning.
- On a quarterly basis, more structured input may be secured, via, for example, the BDI, DECA, ITSEA, SCBE-30 or PIPPS, and questionnaires on the process of emotion regulation and on behavior problems. The AKT could be administered
- quarterly, as well, perhaps by a mental health consultant.
- For yearly or semi-yearly assessment, basically the same mix of measures could be used, with the addition of Feil's ESP as a screener for behavior problems. The point here is for teachers and early childhood administrators to choose a full complement of measures, which meet their needs and the needs of the children.
- We add notes on where a mental health consultant, whose participation is becoming more common in Head Start and elsewhere, could add his/her expertise. For example, where needed this professional could administer the Teacher Relationships Interview, and the contribution of the mental health consultant could be considerable in completing measures requiring more time than already-busy teachers might have, such as the AQS, Narrative Story Completions, FOCAL Observations, AKT, Raver's Delay of Gratification Task, and sociometrics.
- Finally, we acknowledge which measures are mostly as yet research-based.

We are cognizant of the needs of teachers and parents, and do not wish to overburden them, even in the service of something as pressing as children's social-emotional development; such encumbrances could potentially backfire. With the National Board for Professional Teaching Standards (NBPTS), we agree that any assessment should be administratively feasible, professionally acceptable, publicly credible, legally defensible, and economically affordable.

However, this potential system of record keeping need not be too onerous. Observation and use of the HELP Strands could be merged seamlessly with the daily activities of a classroom. Quarterly questionnaires for both parents and teachers could take no more than 60 minutes per child; for teachers, we would advocate choosing the DECA, BDI, PIPPS, SCBE *or* ITSEA, or at most a pair of these tools, depending on how they fit within the programming and philosophy of the classroom/center. The ASPI or ESP might be added if more extensive data on behavioral problems were needed than

supplied by the DECA[6], and the Shields and Eisenberg emotion regulation material would take no more than ten minutes each. Parents could complete the temperament scales and the DECA on a quarterly basis.

In sum, we have found one or more assessment measures for each aspect of SEL that we have considered so important in this volume. We encourage teachers, parents, and others to view these measures together and decide what combination can best be tailored for the needs of the children in their care and the programs they are implementing. Thus, with some effort, we can learn much about young children and move toward maximizing their emotional and social competence.

[6] The new DECA-C (available as of March 2003) includes more coverage on behavioral concerns.

Table 12.8. Use of Social and Emotional Assessment Tools

Type of Assessment	Attachment	Emotional Competence Assessment			Social Competence Assessment			Behavior Problems
		Emotional Expressiveness	Emotion Knowledge	Emotion Regulation	Peer Evaluation	Teacher Evaluation	Combined/ Authentic Social/Emotional	
Daily- Via Curriculum Or Anecdotal Records	HELP Strands; DECA Running Records	HELP Strands; DECA Running Records; Coding "FOCAL" during daily observations and interactions	HELP Strands	HELP Strands; DECA Running Records; Coding "FOCAL" during daily observations and interactions	Teacher Anecdotal Records of Peer Interaction (DECA Running Records?)	HELP Strands	DECA Running Records	Teacher Anecdotal Records (DECA Running Records?)
Weekly-Teacher Meetings or Portfolio	HELP Strands; shared anecdotes or journals (DECA Running Records?)							
Quarterly-Parent and/or Teacher Checklist	STRS	CBQ: Negativity and Surgency Scales, BDI, ITSEA	BDI, ITSEA	PRODUCT: CBQ: Effortful Control Scales; PROCESS: Shields et al., Eisenberg et al.	—-	PIPPS or SCBE	BDI, DECA (ITSEA if age level more appropriate)	ASPI or Portions of ITSEA, SCBE, DECA
Yearly-Screening or Pre-Post Program Evaluation	AQS	Shields' Emotion Regulation Checklist Liability/ Negativity, BDI, ITSEA	AKT, BDI, (ITSEA if age level more appropriate	PRODUCT: Shields et al.	Sociometric Ratings Twice Yearly	PIPPS or SCBE	BDI, DECA (ITSEA if age level more appropriate)	ESP, ASPI
Mental Health Consultant	AQS, Teacher Relationship Interview, Narrative Story Completions	FOCAL Observations; MPAC	AKT (Quarterly or bi-annually)	PROCESS AND PRODUCT: Raver's Delayed Gratification Task; MPAC	Sociometric Ratings Twice Yearly	—-	—-	ASPI Possibly CBCL 2/5 or Feil's ESP, MPAC
Research-Based Assessment Tools	AQS, Narrative Story Completions	FOCAL Observations; MPAC	AKT	PROCESS AND PRODUCT: Raver's Delayed Gratification Task, MPAC	Sociometric Ratings	—-	MPAC	MPAC