



**RESEARCH REPORT**

# Early Implementation of the Head Start Designation Renewal System: Volume II

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*September 2016*

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# Overview

The appendices included in this volume are the technical companions to the *Early Implementation of the Head Start Designation Renewal System: Volume I* (Derrick-Mills et al. 2016) report. This volume supplements volume I by providing additional details about the overall approach and methods employed in the study, data collection procedures, and data quality assurances. It also provides additional details on the study sample, recruitment, response rates, sampling weights, and supplemental analyses. This information is discussed for each research question (as appropriate) and organized as follows:

Appendix A: How to Use this Document and Study Overview

Appendix B: Differentiating Quality in Grantees Designated for Competition versus Not-Designated (RQ2) Technical Information

Appendix C: Understanding Grantee Quality Improvement Efforts and Perceptions (RQ1 and RQ3) Technical Information

Appendix D: Competition and Award (RQ4 and RQ5) Technical Information

Appendix E: Instruments and Description of Measures

# Appendix A: How to Use this Document and Study Overview

# Overview

*Early Implementation of the Head Start Designation Renewal System: Volume II* is the technical companion document to *Early Implementation of the Head Start Designation Renewal System: Volume I* (Derrick-Mills et al. 2016) which contains the study findings and discussion. Some of the information from volume I is repeated in volume II for clarity. As the technical companion, it provides additional details about the overall approach and methods, data collection procedures, and data quality assurances. It also provides information about sampling, recruitment, response rates, sampling weights, and supplemental analyses. This companion document is organized by the two lines of inquiry as shown in figure A.1: *Incentivizing Quality Improvement through Monitoring and Assessment* and *Introducing Competition to Improve Quality*. As organized in the figure, technical information relevant to research question 2 is presented first in appendix B, technical information relevant to research question 1 and research question 3 is presented next in appendix C, and then technical information relevant to research questions 4 and 5 follows in appendix D. All instruments and instrument descriptions are provided in appendix E. Thus, this document is laid out as follows:

Appendix A: How to Use this Document and Study Overview

Appendix B: Differentiating Quality in Grantees Designated for Competition versus Not-Designated (RQ2) Technical Information

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Appendix D: Competition and Award (RQ4 and RQ5) Technical Information

Appendix E: Instruments and Description of Measures

## Evaluation Approach

The evaluation of the Head Start Designation Renewal System (DRS) was designed based on an assumption that DRS has two primary mechanisms for improving quality: (1) incentivizing all grantees to improve quality in an effort to avoid designation for competition, and (2) in communities identified as providing lower quality services, introducing grant competitions through which applicants propose quality improvements to be competitive. The study team sought to examine these mechanisms by describing the early implementation of the DRS in terms of how well the conditions of DRS differentiate between grantees providing lower and higher quality services, the types of quality improvement activities grantees engage in before or during the quality assessment process, the extent to which competition exists for Head Start grants, and the quality improvement efforts introduced through the competitive process. Specifically, the evaluation was designed to address five research questions:

1. **How do grantees perceive the DRS and prepare for their monitoring and assessment in terms of efforts to improve program quality?** How do they respond to the DRS conditions and prepare for monitoring and assessment in terms of their efforts to improve quality?
2. **Does the DRS differentiate higher versus lower quality programs?** Do grantees designated for competition score lower than not-designated grantees on measures of classroom (i.e., teacher-child interactions) and program quality? In addressing this question, we examined the two DRS conditions that have led to almost all designations for competition (deficiencies and CLASS scores). We also explored additional psychometric properties of the CLASS as a measure of program-level quality, as it is used for the purpose of DRS.
3. **How do grantees perceive and experience the monitoring, assessment, and DRS designation processes in terms of their efforts to improve program quality?** What is their perception of how the DRS conditions are assessed and applied to their program? How do they perceive and respond to their designation status, once learned, and to what extent is quality improvement considered as they decide whether to compete?
4. **What does competition look like? How much competition is generated by DRS?** Who applies for Head Start grants associated with DRS? How do applicants respond in terms of proposing quality improvements?
5. **How do grantees experience the negotiation, award, and transition processes in terms of preparing them to implement quality improvements to existing services?** What are the outcomes of the competitive process? How do both incumbent grantees and new awardees perceive the negotiation and award process in terms of preparing them to implement quality improvements to existing services?

To address these questions, the evaluation used a mixed-methods design that integrates quantitative observational assessments, surveys, and administrative data with qualitative interviews. In figure A.1, we display our overall approach to the evaluation. Additional details about the sampling frame, sample, measures, and methods by research question are summarized below and described in greater detail throughout the appendices included in this volume.

To examine how well the DRS differentiates higher and lower quality programs (RQ2), we used a variety of quantitative methods measuring the quality of preschool classrooms, teacher-child interactions, health and safety practices, family engagement, program operations and governance, and fiscal management and compared how the evaluation's assessments of quality align with OHS's assessments of quality in DRS. A random sample of 71 grantees (35 designated for competition, 36 not designated for competition) participated in the on-site quality assessments. Much of this sample was drawn from among grantees receiving their Triennial Monitoring Review visit during the time of the evaluation (during the 2013-2014 monitoring year; Monitoring Cohort 4). Because of low response rates, however, the evaluation had to draw

some of its sample from the previous monitoring year (2012-2013; Monitoring Cohort 3).<sup>1</sup> One of the quality assessments, the financial vulnerability assessment, used a separate sample of 216 nonprofit grantees. See appendix B of this volume for technical information related to the sample, methods, and measures.

To understand how programs perceive and respond to the monitoring and assessment process applying the DRS conditions (RQ1 and RQ3), we conducted a survey of Head Start directors regarding their professional development and technical assistance practices, as well as qualitative interviews with staff at multiple levels of the Head Start organization to explore programs' experience with the monitoring and assessment process. Directors from the 71 grantees participating in the quality assessments (RQ2) were invited to participate in the survey; 66 directors completed it. From among them, 35 directors were purposively selected for telephone interviews and 15 grantees were purposively selected for on-site qualitative interviews with multiple staff and stakeholders. See appendix C of this volume for technical information related to the sample, methods, and measures.

To examine competition (RQ4 and RQ5), the evaluation conducted a survey of applicants for Head Start grants to understand their proposed plans, analyzed administrative and secondary data to examine applicant and awardee characteristics, and conducted qualitative interviews with key staff at a sample of awardee agencies to understand how the competitive process may relate to quality improvements in Head Start. The sample for this part of the evaluation was drawn from among grantees in DRS Cohort 3 and applicants for the 2014 Funding Opportunity Announcements (FOAs). The evaluation obtained administrative data on the characteristics of all 105 grantees designated for competition in DRS Cohort 3 and 177 of 182 applicants for the 2014 FOAs. Additionally, 120 applicants completed a survey of the program features and services described in their grant applications. Finally, nine grantees who received an award resulting from the 2014 FOAs were purposively selected for qualitative interviews with staff at multiple levels of the organization to explore their experience with the competition, award and transition process. See appendix D of this volume for technical information related to the sample, methods, and measures.

Across the five research questions, sample recruitment and data collection for this study took 24 months, from January 2014-December 2015. Figure A.2 displays the time period for recruitment and data collection by instrument for each research question. It illustrates the sequencing of data collections, which were timed to align closely with the phase of DRS of interest (e.g., observational quality assessments were to occur shortly following grantees' monitoring visits; grantees that had recently received a grant award resulting from DRS competitions were recruited to participate in the awardee interviews). Additional details are provided in appendices B-D.

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<sup>1</sup> Of the 71 grantees, 61 grantees (29 designated) were from the 2013-2014 monitoring year and 10 grantees (6 designated) were from the 2012-2013 monitoring year.

FIGURE A.1.

Early Implementation of the Head Start Designation Renewal System Study Approach

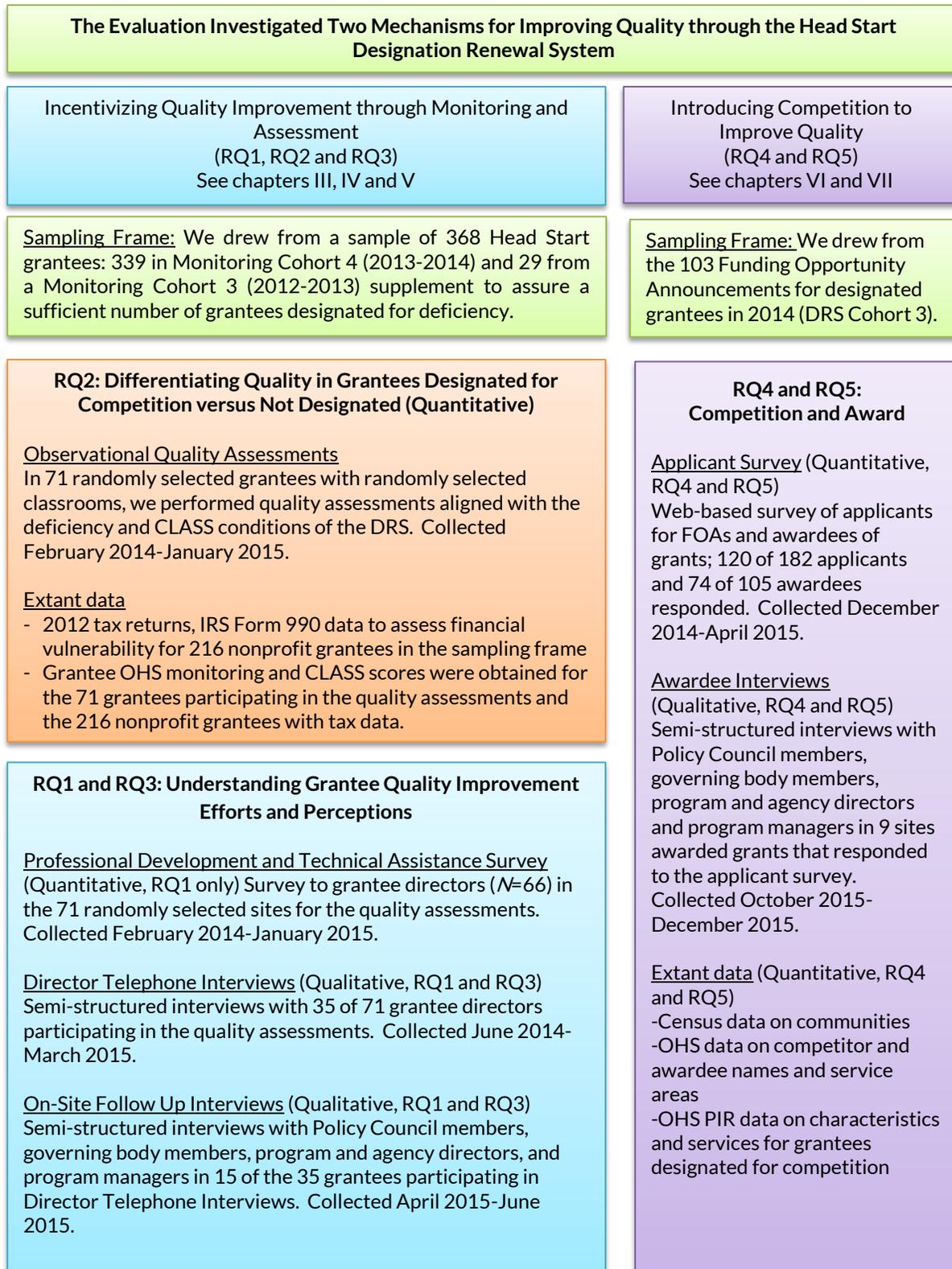


FIGURE A.2.

Timing of Recruitment and Data Collection for the Early Implementation Evaluation of the Head Start Designation Renewal System

	Calendar Year 2014												Calendar Year 2015											
	J	F	M	A	M	J	J	A	S	O	N	D	J	F	M	A	M	J	J	A	S	O	N	D
Differentiating Quality in Grantees Designated for Competition versus Not-Designated (RQ2)																								
Observational Quality Assessments	R	R	R	R	R	R	R	R	R	R														
	D	D	D	D	D	D	D	D	D	D	D	D												
Understanding Grantee Quality Improvement Efforts and Perceptions (RQ1 and RQ3)																								
Professional Development and Technical Assistance Survey <sup>a</sup>	R	R	R	R	R	R	R	R	R	R														
	D	D	D	D	D	D	D	D	D	D	D	D												
Director Telephone Interviews			R	R	R	R	R	R	R	R	R	R												
						D	D	D	D	D	D	D	D											
On-Site Follow-Up Interviews															R	R	R							
																D	D	D						
Competition and Award (RQ4 and RQ5)																								
Applicant Survey													R	R	R	R	R							
													D	D	D	D	D							
Awardee Interviews																			R	R	R			
																					D	D	D	

Source: Evaluation team data collection.

Notes: Shaded cells with an “R” represent recruitment months. Shaded cells with a “D” represent data collection months.

<sup>a</sup> PDATA Surveys were collected on the same site visits as the Quality Assessments.

# Appendix B: Differentiating Quality in Grantees Designated for Competition versus Not-Designated (RQ2)

## Technical Information

# Overview

In this part of the evaluation, we sought to answer the following questions:

**Does the DRS differentiate higher versus lower quality programs?** Do grantees designated for competition score lower than not-designated grantees on measures of classroom (i.e., teacher-child interactions) and program quality?

In addressing this question, we examined the two DRS conditions that have led to almost all designations for competition (deficiencies and CLASS scores). We also explored additional psychometric properties of the CLASS as a measure of program-level quality, as it is used for the purpose of the DRS. The evaluation team used a quantitative approach including use of multiple quality assessment instruments to examine these issues. In this appendix, we provide information on the sampling, recruitment, data collection, and analytical issues for this part of the study. Descriptions of data collection instruments are included in appendix E.

## Sampling

### The Sampling Frame

The grantee sampling frame for this portion of the evaluation is primarily constituted from Monitoring Cohort 4, which includes grantees receiving monitoring reviews between October 2013 through September 2014. It is supplemented by grantees in Monitoring Cohort 3 (grantees receiving monitoring visits between October 2012 and September 2013) that had been designated for competition based on deficiency by December 31, 2013, and a matching number of Monitoring Cohort 3 grantees that had not been designated for competition as of December 31, 2013.

The sampling frame assembled 368 grantees from two Monitoring Cohorts:

- 339 from Monitoring Cohort 4, and
- 29 from Monitoring Cohort 3.

The evaluation team's original intention was to sample only from Monitoring Cohort 4. However, a lower than anticipated number of grantees being designated for deficiencies and higher than expected rates of refusal to participate in the study meant Monitoring Cohort 4 did not have a sufficient number of grantees to attain the desired sample size of grantees designated for competition. Thus, we drew a small

sample of grantees from Monitoring Cohort 3, including grantees designated for competition and not designated to preserve balance in the sample.

In the study design phase, we discussed the sampling frame in terms of the pros and cons of studying grantees in one cohort or across multiple cohorts. Our primary sampling goal was to ensure data for the evaluation were collected in close proximity to when participating grantees were experiencing the stage of DRS under study (i.e., monitoring/assessment, competition, award). For example, we sought to gather our quality assessments and grantee perceptions of the process close in time to when OHS monitoring occurred and to assess the competitive process soon after award of new grants. At the time we were designing the evaluation, Monitoring Cohort 3 (i.e., grantees monitored October 2012-September 2013) was already in their monitoring and assessment process, but if we focused solely on Monitoring Cohort 4 (i.e., grantees monitored October 2013-September 2014), the data collection period would have to span over at least a three year time period (from the start of a monitoring year for a given cohort through award and implementation of new grants). A focus on DRS Cohort 3 (i.e., grantees designated for competition in the FOAs released in September and November 2014) to study the competition and award process and Monitoring Cohort 4 to study monitoring and assessment allowed us to limit the bias that occurs in time lags for both quality assessments and respondent recall.<sup>2</sup>

## Exclusions from the Sample

In the design exploration, we also discussed the focus of the evaluation in terms of the types of Head Start programs or delivery designs that should or should not be included. We decided not to include Early Head Start only programs, home-based only programs, or Migrant and Seasonal Head Start (MSHS) programs in the examination of how DRS incentivizes quality improvement through monitoring and assessment (research questions 1-3). Early Head Start only programs and home-based only programs were excluded because the assessment process is different for them than other grantees (i.e., they are not assessed using the CLASS and there are different monitoring protocols for Head Start and Early Head Start grantees). Classrooms serving children younger than three years and home-based programs also would require use of different assessment instruments by the evaluation team and a substantial increase in the sample size. Similarly, we did not include MSHS programs in this part of the study because of measurement limitations (i.e., the validity of quality measures for use with this population is unknown). We included Early Head Start,

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<sup>2</sup> Because of a lower than anticipated rate of response among grantees in Monitoring Cohort 4, the sampling frame was supplemented with a few (29) grantees from Monitoring Cohort 3 to ensure sufficient representation of grantees designated due to deficiencies. For these 29 grantees, the time lag between OHS's monitoring and the evaluation team's quality assessment averaged 1 year, compared to an average of 1.2 months for grantees in the rest of the sample. However, follow up analyses suggested time-lag between assessments was not related to differences in scores and bias associated with response rate was addressed using weights (see volume II, appendix B).

home based only and MSHS programs in the examination of the competition and award process (research questions 4 and 5) because the mechanisms for competition and award are the same and measurement issues were not a barrier to inclusion in this part of the study. American Indian Alaskan Native Head Start grantees are not included in any portion of the evaluation because they are subject to a different process in DRS (i.e., tribal programs participate in government-to-government consultation to establish a quality improvement plan prior to being designated for competition). Grantees located outside the continental United States were excluded because of the costs of traveling to those locations.

## Using Predictive Sampling

Because the evaluation team sought to conduct its assessments of program quality before designation status was known while ensuring our sample included an equal number of grantees designated for competition and not designated, we used preliminary monitoring findings to try to statistically predict which grantees were likely to be designated for competition and which were not in our sampling procedure. For example, grantees in monitoring cohort 4 received their triennial monitoring reviews between October 1, 2013 and September 30, 2014. Designation status for grantees in that cohort was announced in December 2014. If we had waited for designation status to be announced then the evaluation data collection would have occurred more than a year after OHS assessments for most grantees. OHS agreed to give the evaluation team access to the monitoring and assessment data as it was available from the field and before it underwent OHS's review process to expedite the sampling and recruitment processes. This allowed us to conduct our quality assessments closely behind the OHS monitoring visits.

Thus, sampling was conducted on the basis of data arriving directly from the monitoring and assessment teams (provided by Mobile Audit and arranged by Office of Head Start). Based on those data, the evaluation team classified grantees into either likely designated due to CLASS, likely designated due to deficiency or likely not-designated categories. Grantees were classified as likely designated due to deficiency if the monitoring data indicated they were going to receive a deficiency. Grantees were designated as likely designated due to CLASS if one of their CLASS domain scores was below the absolute threshold or if their score was likely to be in the bottom 10 percent; we began the sampling process using the lowest 10 percent threshold scores from the previous year, but as we gathered data about the CLASS domain scores for the current year, we adjusted the threshold. Throughout the possible designation period, the evaluation team monitored the data about the grantees and adjusted the classification of the grantees.

Twelve of the grantees in our sample of 71 switched from the originally predicted designation status. Five changed from the predicted not designated for competition category to the actually designated for competition category. Seven changed from the predicted designated for competition category to the not

designated for competition category. Because the switches in designation status went in both directions and in relatively similar proportions, we still ended with the balanced sample needed for our analyses of interest.

## Type of Sampling to Answer the Question

In order to support our examination of whether the DRS differentiates higher and lower quality programs, we had to construct a sample where half of the grantees would be designated for competition and half of the grantees would be not designated. This required an over-sampling of designated grantees; in other words, there are a higher proportion of grantees designated for competition in our sample than in the Head Start population as a whole. For example, during the Cohort 4 Monitoring Year (FY 2014), a total of 544 grantees received some type of OHS monitoring with 404 of those receiving CLASS assessments; 88 of those grantees were designated for competition (16 percent).<sup>3</sup> In the study sample, 49 percent were designated. Thus, this is not a nationally representative sample.

The sample is a stratified probability sample. Our target sample size, as determined by power analyses (indicated reasonable power at 80 percent or more to detect standardized mean differences of .26 at the classroom level, .34 at the center level, and .56 at the grantee level), was 70 grantees (35 designated for competition and 35 not designated) and approximately 560 classrooms (an average, of about 8 classrooms per grantee). We needed 14 grantees designated by deficiency to analyze designation due to deficiencies separately from designation due to CLASS scores.

The sampling plan focused first on selecting a random stratified sample of Head Start grantees to obtain equal allocation on likely designation status. For grantee level data collections we sought a sample of 70 grantees, with 35 likely designated for competition and 35 likely not-designated. We sampled all grantees from Monitoring Cohort 4 that were likely designated for competition either for having a deficiency or a low CLASS score. Hence, likely-designated grantees were sampled with certainty. When grantees were likely designated for both CLASS and deficiencies, they were counted in the deficiencies category for sampling purposes (analyses include them in different ways depending on the type of analysis; see chapter IV in volume I). The likely not-designated grantees were sampled using a stratified random sampling procedure with stratification done by the grantee's census region (4 categories) and size of the grantee (3 categories based on ACF funded enrollment) with a sampling rate of 1 out of every 4.

We divided the sample into seven waves based on when in the year grantee Triennial Monitoring visits were expected for Monitoring Cohort 4. In this way, we could be sure that our sample would include

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<sup>3</sup> Office of Head Start. "Report to Congress on Head Start Monitoring, Fiscal Year 2014." Washington, DC: Administration for Children and Families, U.S. Department of Health and Human Services. <http://eclkc.ohs.acf.hhs.gov/hslc/data/rc/fy-2014-head-start-monitoring-report.pdf>

grantees monitored throughout the year. When we first began sampling, we thought we would have fewer waves because we had planned to stop sampling in May to allow data collection to conclude before the start of the summer when many grantees closed. Because of low participation rates through May, however, we added more waves to continue the sampling process to the conclusion of the monitoring year (September 30, 2014).

Grantees from Monitoring Cohort 3 were added in during sampling wave four (of seven waves). At this point, we were half-way through sampling, and based on low response rates coupled with lower levels of grantees designated for a deficiency, it was clear that we would not reach our target numbers of grantees designated due to deficiency without supplementing from the previous year. We sampled both designated and not-designated grantees from Monitoring Cohort 3. Twenty-nine grantees (17 designated for deficiencies and 12 not-designated) were added to the sampling frame from Monitoring Cohort 3 (six grantees designated for deficiency and four not-designated grantees participated in the study). OHS provided administrative data on the grantees from Monitoring Cohort 3 to help us in our evaluation planning process. We used those data to identify grantees eligible for participation in the evaluation. We sampled all the grantees with deficiencies. The number of non-designated grantees that were sampled was chosen to keep the expected proportions of designated and non-designated grantees in the final sample roughly equal.<sup>4</sup>

Once grantees agreed to participate, we randomly sampled classrooms within the grantee serving 3-5 year olds in centers. Grantees were sent a list of classrooms based on current Head Start Enterprise System data and asked to indicate which classrooms would not be eligible for the study based on study criteria (e.g. home-based, Early Head Start). Classrooms were stratified by center so that the likelihood of a center being in the sample was proportionate to the number of classrooms it had. We used an algorithm that was similar to the algorithm used by the OHS Monitoring Team for randomly sampling classrooms based on the number of eligible classrooms within a grantee: selecting all classrooms in grantees with 8 or fewer classrooms, and randomly selecting 8 classrooms for grantees with 9 to 42 classrooms, 9 classrooms for grantees with 43 to 100 classrooms, and 10 classrooms for grantees with more than 100 classrooms. We expected that about 560 classrooms would be in our sample.

We did not sample at the center level, but center-level information was collected when centers were included in the study by virtue of participation of one of their classrooms. We discuss this more later in this appendix in relation to collection of the data through the Program Administration Scale (PAS) instrument.

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<sup>4</sup> Our criteria for the not-designated group was that they were not designated at the time of sampling and did not have any outstanding noncompliances, so that they were unlikely to eventually become designated due to failure to correct a noncompliance.

When grantees declined to participate, we replaced them in the sample with a grantee in the same stratum. As grantees likely designated for competition were sampled with certainty, all replacements for those grantees were already in the sample. Sampling for grantees likely not-designated included sampling for the prime grantee and replacement grantees at the same time, but replacement grantees were not released for recruitment until the protocol had been followed for recruitment of the prime (as described in the next section of this appendix). Thus, although our response rate for this portion of the study is 46 percent at the grantee level, we did still achieve the sample needed for the analyses—71 grantees compared to our 70 targeted. See the discussion later in appendix B about analyses performed to examine the extent of biases created by the nonresponse.

## Recruitment

Recruitment for this portion of the study (See figure A.2 for a recruitment overview of the whole evaluation) began in January 2014 two weeks after OMB approval to start the study, and ended October 2014. We conducted the recruitment in seven waves following the release of the sample. The recruitment process consisted of two stages. First, we contacted sampled grantees. If the sampled grantees agreed to participate, we then recruited sampled classrooms through their centers. The process for grantee and classroom recruitment is detailed below (and a visual depiction is provided in this appendix).

At the start of the evaluation, we had expected to complete data collection before grantees closed for the summer. However, recruitment and data collection were extended into the fall of the 2014. Due to low response rates we needed additional recruitment and data collection time to obtain our target sample size. This extension allowed sampling to continue throughout the OHS triennial monitoring cycle (ending September 30, 2014).<sup>5</sup> It also allowed recruiters to attempt to re-recruit the nine grantees that had declined because they could not accommodate a visit before they closed for the season.<sup>6</sup> To encourage participation, incentives were provided at \$25 for each teacher and \$50 for each participating Head Start center within a grantee up to a total of \$500 (10 centers). Incentives were given in the form of gift cards either on-site upon completion of data collection or mailed from the Frank Porter Graham Child Development Institute at the University of North Carolina at Chapel Hill (FPG).

The sampling team at the Urban Institute and the recruitment team at FPG worked closely together on a daily basis to facilitate the recruitment process. The evaluation team kept the sampling and recruitment processes separate to maintain study integrity. Because data collection for this portion of the study closely

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<sup>5</sup> The extension also allowed us to sample some grantees that closed early as a result of decisions programs made to handle sequestration-related budget cuts that year.

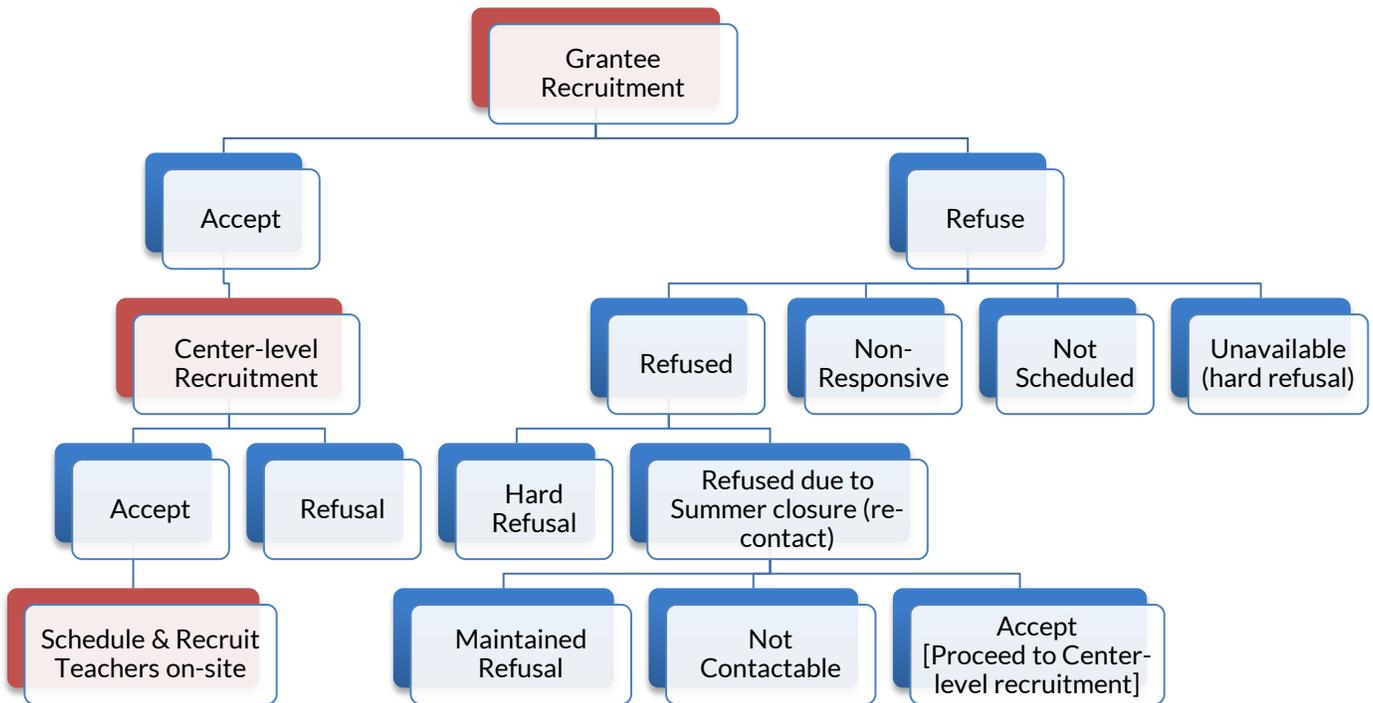
<sup>6</sup> We could only re-recruit grantees if a sampled replacement had not already accepted participation.

followed the OHS Triennial Monitoring visits, the sampling team received weekly data from Mobile Audit, the firm hired by OHS to track and maintain the monitoring visit data as it came in from the field data collectors. Thus, the process throughout recruitment followed the pattern indicated below (See figure B.1 for a visual representation):

1. Sampling Team transmitted the grantee information to the Recruitment Coordinator at FPG.
2. Recruitment Team contacted each sampled grantee by email.
3. An FPG Recruitment Specialist answered any questions and continued to attempt to contact the grantee by phone and email until protocol thresholds were met.
4. An FPG Recruitment Specialist recorded grantee as refused, unresponsive, unavailable, or accepted.
5. If the grantee accepted, an FPG Recruitment Specialist contacted the grantee with a list of classrooms obtained from the Head Start Enterprise System to confirm eligible classrooms for the evaluation.
6. FPG Recruitment Specialist communicated the eligible classroom list to the Sampling Specialist at Urban.
7. Sampling team supplied the Recruiting Team with randomly sampled classrooms within 24 hours.
8. FPG recruiters recruited centers where sampled classrooms were located following a protocol similar to recruitment at the grantee level.
9. FPG Recruitment Specialist recorded centers as refused, unresponsive, unavailable, or accepted.
10. When refusals occurred at either the grantee or center level, the Urban Sampling Team provided replacements for likely not-designated grantees (all likely-designated grantees were recruited).

FIGURE B.1.

Recruitment Outcome Tree for the Quality Assessments



## Study Participation

Table B.1 shows the results of the recruitment efforts for this portion of the study at both the grantee (top half of the table) and classroom levels (bottom half of the table). The rows labeled as “sampled” show how many grantees and classrooms were sampled to achieve the number that eventually participated. A total of 71 Head Start grantees participated of which 24 were designated due to CLASS scores,<sup>7</sup> 14 were designated for a deficiency, and 36 were not designated; 554 classrooms within those grantees agreed to participate (see table B.1). Grantees categorized as nonresponsive are grantees that did not respond to any of our attempts to reach them or were in a group of grantees where we began recruitment, but did not persist because we had achieved our sampling goal (See table B.2, category called not scheduled). Grantees categorized as refusing to participate actively declined the invitation to the study in correspondence with a recruitment specialist.

**TABLE B.1.**  
**Sampling and Response for the Quality Assessments**

Sample Count	All Grantees	Designated for CLASS <sup>a</sup>	Designated for Deficiency <sup>a</sup>	Not Designated for Competition
<b>Grantees</b>				
Number of grantees sampled	153	55	33	75
Number of grantees participated	71	24	14	36
Number of grantees nonresponsive	32	11	4	18
Number of grantees refused to participate	50	26	17	24
<b>Classrooms</b>				
Number of classes sampled	570	190	119	288
Number of classes completed	554	187	115	279
Number of primary classes used	499	172	106	244
Number of replacement classes used	55	15	9	35
Number of replacements attempted	70	21	5	44

**Source:** Evaluation team data collection.

<sup>a</sup>Grantees that are designated for both CLASS and deficiency appear in both of these columns.

The overall response rate was 46.4 percent. This low response rate is a limitation of the study and raises questions about whether the sample may be biased (i.e., whether the sampled grantees that participated in this early implementation evaluation differ from the overall population; see below for nonresponse bias

<sup>7</sup> Three grantees were designated for both CLASS and deficiency and are included in both counts.

analysis). Reasons for nonparticipation are provided in table B.2. The “nonresponsive” category refers to grantees that we were never able to reach. The “not scheduled” category refers to programs where recruitment began, but was not finished because we had obtained the number of programs required for the sample. When grantee directors declined, we attempted to obtain a reason from them, but some directors did not provide one.

**TABLE B.2.**  
**Nonparticipation Reasons for the Quality Assessments**

Status (M)	Reason Rejected (n)	Description	n
Not Designated (39)	Refused or Unavailable (25)	Concern with DRS	1
		Too much time	5
		Inconvenient/Time of Year	6
		Not Interested	1
		Declined, no reason given	12
	Non-Responsive (11)	Reached recruitment limit	11
	Not Scheduled (3)	Sample no longer needed	3
Designated (43)	Refused or Unavailable (25)	Concern with DRS	1
		Too busy	2
		Too much time	5
		Inconvenient	4
		Program closed for season	2
		Received competition letter	1
	Declined, no reason provided	10	
	Non-Responsive (12)	Reached recruitment limit	12
Not Scheduled (6)	Sample no longer needed	6	

**Source:** Evaluation team data collection.

Table B.3 shows the CLASS scores that were collected by the OHS monitors on the recruited grantees, and compares the scores for the designated and not-designated grantees that participated in the evaluation study. Results show designated grantees had substantially lower OHS CLASS scores on average than the not-designated grantees. These findings are reassuring, indicating that our sampling process produced a sample that reflects the differences between designated and not-designated grantees on the designation criteria that were reported for the entire monitoring cohort.

TABLE B.3.

Comparing Quality Measures of Grantees by Designation Status—OHS Monitoring Data

Quality Measure	Designation Group Means						t-test	
	Not Designated			Designated for Competition			P	Effect Size <sup>b</sup>
	N	Mean	SD	N	Mean	SD		
<b>OHS CLASS Subscale<sup>a</sup></b>								
Emotional Support	35	6.13	0.23	35	5.77	0.31	***	1.32
Instructional Support	35	2.90	0.48	35	2.46	0.52	***	0.88
Classroom Organization	35	5.88	0.31	35	5.43	0.40	***	1.26

**Source:** OHS monitoring data.

**Notes:** Analyses compared the designated and not-designated groups for differences on quality scores aggregated to the grantee level in analyses that were weighted to account for low response rate in sampling and included multiple imputation for missing data.

Significance noted as: \*\*\*  $p < .001$ .

<sup>a</sup> CLASS Scores were not available for one of the not-designated grantees.

<sup>b</sup> Effect sizes computed as the difference between the means divided by the sample standard deviation.

## Data Collection

The Quality Assessments data collectors were recruited from around the country to facilitate shorter flights from their home base to the sites sampled around the country. Upon hiring, all of the data collectors were brought to the Frank Porter Graham Child Development Institute at the University of North Carolina at Chapel Hill for several days of training on the evaluation project as a whole and the particular instruments they would be administering.

Teams of two to three data collectors spent 4 to 5 days per grantee observing sampled classrooms and conducting structured interviews with center and grantee directors. The number of days on-site depended on the number of classrooms selected for review and the distance between classrooms (classroom locations depend on the geographic area served by the grantee and the number of sites they operate to serve the children).

Each data collector conducted particular sets of observations. Data collector 1 (see figure B.2 below) collected ECERS-R, ECERS-E and the Health and Safety Checklist, while data collector 2 collected the CLASS and the TSRS. If one of these members was trained in the PAS they collected that also. If not, a third team member joined for the PAS.

FIGURE B.2.

Sample Quality Assessments Data Collection Daily Schedule

	CENTER 001/CLASS001		
	Data Collector 1	Data Collector 2	PAS Data Collector
7:30am	Arrival/Check-in/Consent		
8am	<ul style="list-style-type: none"> <li>■ ECERS-R</li> <li>■ ECERS-E</li> <li>■ Health and Safety Checklist</li> </ul>	<ul style="list-style-type: none"> <li>■ CLASS</li> <li>■ Teacher Styles Rating Scale</li> </ul>	<ul style="list-style-type: none"> <li>■ Center Program Administration Scale and Interview</li> </ul>
9am			
10am			
11am			
12pm	Lunch		
1pm			
2pm	<ul style="list-style-type: none"> <li>■ Center Checklist and Interview</li> </ul>	<ul style="list-style-type: none"> <li>■ Distribute teacher(s) incentives as needed</li> </ul>	<ul style="list-style-type: none"> <li>■ Grantee Program Administration Scale</li> <li>■ Grantee Professional Development and Technical Assistance Survey (PDTA)</li> </ul>
3pm			
4pm	Data cleaning and back-up/upload		
5pm	Plan for next day and departure		

## Participation by Instrument

We observed 549 classrooms using the Teaching and Interaction score (Pianta, La Paro, and Hamre 2008) from the Early Childhood Environment Rating Scale-Revised (ECERS-R; Harms, Clifford, and Cryer 2005) to reflect teacher sensitivity as measured by the CLASS Emotional Support domain, the Academic Activities Scale from the Early Childhood Environment Rating Scale-Extension (ECERS-E; Sylva, Siraj-Blatchford, and Taggart 2003) to reflect teacher sensitivity as measured by the CLASS Instructional Support domain, and the Teacher Styles Rating Scale (TSRS Adapted; Raver et al. 2012) Classroom Structure and Management Subscale to reflect classroom management as measured by the CLASS Classroom Organization domain. In addition, CLASS<sup>8</sup> scores were collected to allow us to compare the evaluation’s CLASS data to OHS’s CLASS data.

The Health and Safety Checklist and the Program Administration Scale (PAS) Subscales were administered to center directors where classrooms were randomly chosen (375 centers) to participate in

<sup>8</sup> The Classroom Assessment Scoring System (CLASS; Pianta, La Paro, and Hamre 2008) provides an assessment of the quality of teacher-child interactions. Its ten dimensions are organized into three domains: Emotional Support, Classroom Organization, and Instructional Support.

the study. The PAS is a structured interview consisting of 25 items grouped into 10 subscales that measure leadership, management, and administrative practices of center-based early childhood programs. PAS subscales measuring parent involvement, staff qualifications, governance and fiscal management and the Health and Safety Checklist were selected to reflect Head Start Performance Standards that could result in deficiencies. As table B.4 shows, the level of PAS participation at the center level is a concern with 135 of the 375 possible centers completing the PAS. This participation level is reflective of a decision made about half-way through recruitment to allow grantees to restrict PAS data collection to only one center,<sup>9</sup> and to select the center where that data collection would take place. This decision was made because grantees were concerned about the amount of time completing the PAS would take and the evaluation team was concerned that not allowing grantees to restrict the number of centers where PAS was collected could further reduce grantee-level response rates. See below for a discussion of follow-up analyses conducted to examine whether this decision introduced bias in the data.

**TABLE B.4.**

**Participation by Quality Measurement Instrument**

Quality Measure (collected by evaluation team)	Possible Range	Total Complete <i>N</i>	DRS Designation Status	
			Not Designated for Competition <i>N</i>	Designated for Competition <i>N</i>
<b>Classroom Quality</b>				
CLASS Emotional Support	1-7	549	270	279
CLASS Instructional Support	1-7	549	270	279
CLASS Classroom Organization	1-7	549	270	279
ECERS-R Interaction	1-7	536	271	265
ECERS-E Quality of academic activities	1-7	536	271	265
TSRS Class Structure & Management	1-5	544	274	270
<b>Center Quality<sup>a</sup></b>				
PAS Staff Qualifications	1-7	135	65	70
PAS Personnel Cost/Allocation	1-7	135	65	70
PAS Child Assessment	1-7	135	65	70
PAS Fiscal Management	1-7	135	65	70
PAS Family Partnerships	1-7	135	65	70
PAS Governance and Management	1-7	135	65	70
Health and Safety Checklist: Indoor	0-1	375	179	196
Health and Safety Checklist: Outdoor	0-1	368	177	191

**Source:** Evaluation team data collection.

**Note:** Multiple imputation was used to account for missing data.

<sup>a</sup> Center directors were refusing the PAS interview based on its need for extensive documentation to prepare for the interview. It was decided to allow directors to opt out, with the goal to obtain at least one PAS from a center director per grantee. This goal was not achieved in all grantees.

<sup>9</sup> The center had to be among those corresponding to the randomly chosen classrooms, but the grantee indicated their preferred center for inclusion in the study.

The Professional Development and Technical Assistance Survey (PDTA) was also administered during the data collection for the quality assessments. This instrument was administered at the grantee level. Sixty-six of the 71 participating grantees completed this instrument.

## Analytic Issues

### Examining Nonresponse at the Grantee Level

The final grantee-level recruitment rate for the Quality Assessments is 46 percent. Given this low level of response, the evaluation team performed a number of nonresponse analyses to determine the extent to which nonresponse potentially introduces bias into our comparison of grantees designated and not designated for competition. These analyses include (1) comparing the distribution of characteristics between participating grantees and those in our sampling frame (separately by designation status) (table B.5), (2) assessing whether response rates were significantly different for different types of grantee characteristics (including by designation status) (table B.6), and (3) comparing the characteristics of participating and not participating grantees (table B.7). We observe only a few statistically significant differences (at the .05 level) as described below.

Overall the characteristics of our sample of grantees look similar to the sampling frame characteristics (table B.5). The only significant differences are between Monitoring Cohort 4 and Monitoring Cohort 3 and the grantee's designation status, which are expected given our sample design.

Among participating grantees (table B.6) significant differences are observed in the response rates of grantees from Monitoring Cohort 3 and grantees with delegates compared to the overall response rate. A few subgroups of grantees that were designated for deficiencies (specifically, those with more than 1000 enrolled, those that were private/public non-profit, and those providing both EHS and Head Start) had response rates that were higher than the overall response rate for their subgroup, and Head Start only grantees that were designated for deficiencies had a significantly lower response rate than for Head Start grantees as a whole. Response rates are higher in the South for grantees not designated for competition but lower in the South for grantees designated for competition. Overall, this evidence suggests that differential nonresponse will lead to only minor differences in the distribution of observable characteristics relative to our intended sample.

Comparing participating versus nonparticipating grantees (table B.7) all three CLASS sub-scores collected by the DRS—Classroom Organization, Emotional Support, and Instructional Support were lower

for the non-participating grantees, but none of these differences are statistically significant. Not-designated grantees with delegates were less likely to participate. The participation rates were significantly higher for grantees designated for competition that operated both a Head Start and Early Head Start program. Grantees designated for competition with lower child-to-teacher ratios were less likely to participate, while grantees not designated for competition with lower child-to-teacher ratios were more likely to participate. The most striking differences relate to region. Participation rates were significantly higher amongst grantees designated for competition in the Midwest and West Census regions with lower participation occurring in the South. In contrast the participation rates for grantees not designated for competition were significantly higher in the South and Midwest census regions with a lower participation rate occurring in the Northeast region.

TABLE B.5.

### Comparing Characteristics of Sampled and Participating Grantees to the Sampling Frame

Grantee Characteristic	Sampling Frame	Grantees Sampled	Grantees Participated
Total Number of Grantees	368	153	71
<b>Agency Type</b>			
Community Action Agency	45.1%	43.8%	42.3%
Government Agency	7.6%	7.8%	8.5%
Private/Public Non-Profit	28.3%	26.1%	25.4%
School System	19.0%	22.2%	23.9%
<b>Grantee Has Delegates</b>			
No	92.7%	90.2%	93.0%
Yes	7.3%	9.8%	7.0%
<b>Monitoring Cohort</b>			
Cohort 3	7.9%	19.0%	14.1%*
Cohort 4	92.1%	81.0%	85.9%*
<b>Program Type</b>			
Head Start Only	44.3%	46.4%	40.0%
Both EHS and Head Start	55.7%	53.6%	60.0%
<b>Share of Teachers that have a BA</b>			
Zero to 60%	48.5%	47.7%	53.5%
Above 60%	51.5%	52.3%	46.5%
<b>Head Start Child-to-Teacher Ratio</b>			
18 or less	54.4%	52.9%	49.3%
More than 18	44.6%	47.1%	50.7%
<b>ACF Funded Enrollment</b>			
0-300 enrolled	36.1%	35.9%	31.0%
301-600 enrolled	32.6%	31.4%	33.8%
601-1,000 enrolled	13.3%	13.1%	14.1%
More than 1,000 enrolled	17.9%	19.6%	21.1%
<b>Census Region</b>			
Northeast	17.7%	16.8%	12.7%
Midwest	26.6%	27.9%	33.8%
South	37.2%	42.2%	39.4%
West	18.8%	13.0%	14.1%
<b>Designation for Competition Status<sup>a</sup></b>			
Designated for CLASS	15.8%	35.9%	33.8%*
Designated for Deficiency	11.7%	21.5%	19.7%*
Not Designated	75.5%	49.0%	50.7%*

**Sources:** Head Start Program Information Report, OHS DRS designation status data, and evaluation team information on sampling and response.

**Note:** \* indicates that the distribution of a particular characteristic is significantly different for the sampled grantees compared to the sampling frame at the .05 level.

<sup>a</sup> Grantees that are designated for both CLASS and Deficiency appear in both rows so numbers will not sum to 100.

TABLE B.6.

## Response Rates at the Grantee Level by Program Characteristics

Program Characteristic	Percent of Grantees Responding (sample size) <sup>a</sup>			
	All Sampled Grantees	Designated for CLASS <sup>b</sup>	Designated for Deficiency <sup>b</sup>	Not Designated for Competition
Overall response rate	46.4% (153)	43.6% (55)	42.4% (33)	48.0% (75)
<b>Agency Type</b>				
Community Action Agency	44.8% (67)	37.0% (27)	40.0% (15)	51.6% (31)
Government Agency	50.0% (12)	66.7% (3)	50.0% (2)	42.9% (7)
Private/Public Non-Profit	45.0%(40)	46.2% (13)	66.7% (6)*	39.1% (23)
School System	50.0%(34)	50.0% (12)	33.3% (9)	53.3% (15)
<b>Grantee has Delegates</b>				
No	47.8% (138)	45.1% (51)	39.3% (28)	50.7% (67)
Yes	33.3% (15)+	25.0% (4)	60.0% (5)	25.0% (8)
<b>Monitoring Cohort</b>				
Cohort 3	34.5% (29)+	20.0% (5)	35.3% (17)	33.3% (12)
Cohort 4	49.2% (124)	46.0% (50)	50.0% (16)	50.8% (63)
<b>Program Type</b>				
Head Start Only	40.8% (71)	33.3% (27)	21.4% (14)*	50.0% (34)
Both EHS and Head Start	51.2% (82)	53.6% (28)	57.9% (19)*	46.3% (41)
<b>Share of Teachers that have BA</b>				
Zero to 60%	52.1% (73)	48.1% (27)	46.7% (15)	56.8% (34)
Above 60%	41.3% (80)	39.3% (28)	38.9% (18)	39.5% (41)
<b>Head Start Child-to-Teacher Ratio</b>				
18 or Less	43.2% (81)	39.3% (28)	29.4% (17)	50.0% (42)
More than 18	50.0% (72)	48.1% (27)	56.3% (16)	45.5% (33)
<b>ACF Funded Enrollment</b>				
0-300 enrolled	40.0% (55)	47.4% (19)	37.5% (8)	34.5% (29)
301-600 enrolled	50.0% (48)	40.0% (15)	33.3% (9)	57.7% (26)
601-1,000 enrolled	50.0%(20)	44.4% (9)	25.0% (8)	71.4% (7)
More than 1,000 enrolled	50.0%(30)	41.7% (12)	75.0%(8)*	46.2% (13)
<b>Census Region</b>				
Northeast	36.0% (25)	50.0% (6)	37.5% (8)	25.0% (12)
Midwest	55.8% (43)	57.9% (19)	57.1% (7)	55.0% (20)
South	43.1% (65)	29.6% (27)*	31.3%( 16)	57.1% (28)*
West	50.0% (20)	66.7% (3)	100.0% (2)	40.0% (15)

**Sources:** Head Start Program Information Report, OHS DRS designation status data, and evaluation team information on sampling and response.

**Notes:** + in column 1 indicates that grantees with a specific characteristic have different response rates (at the .05 level) from the overall sample response rate.

\* in columns 2-4 indicates that the stratum subgroup has a significantly different response rate (at the .05 level) than the overall subgroup rate.

<sup>a</sup> In the Response Rate by Strata columns, the subgroup response rates by strata have been compared to the subgroup response rates overall.

<sup>b</sup> Grantees designated for both CLASS and deficiency appear in both of these columns.

TABLE B.7.

Comparison of Characteristics of Participating Grantees Versus Nonparticipating Grantees by Designation Status

Grantee Characteristic	All Grantees	Designated for Competition		Not Designated for Competition	
	(N=153)	Participating (N=35)	Non-participating (N=43)	Participating (N=36)	Non-participating (N=39)
<b>Average DRS CLASS Score<sup>a</sup></b>					
Classroom Organization	5.65 (.41)	5.46 (.38)	5.40 (.35)	5.95 (.31)	5.81 (.33)
Emotional Support	5.95 (.32)	5.83 (.30)	5.75 (.30)	6.17 (.23)	6.08 (.22)
Instructional Support	2.67 (.52)	2.50 (.50)	2.40 (.44)	2.97 (.51)	2.84 (.42)
<b>Agency Type</b>					
Community Action Agency	43.8%	40.0%	51.2%	44.4%	38.5%
Government Agency	7.8%	8.6%	4.7%	8.3%	10.3%
Private/Public Non-Profit	26.1%	25.7%	20.9%	25.0%	33.3%
School System	22.2%	25.7%	23.3%	22.2%	17.9%
<b>Grantee has Delegates</b>					
No	90.2%	91.4%	90.7%	94.4%*	84.6%*
Yes	9.8%	8.6%	9.3%	5.6%*	15.4%*
<b>Monitoring Cohort</b>					
Cohort 3	19.0%	17.1%	25.6%	11.1%	20.5%
Cohort 4	81.0%	82.9%	74.4%	88.9%	79.5%
<b>Program Type</b>					
Head Start Only	46.4%	34.3%*	58.1%*	47.2%	43.6%
Both EHS and Head Start	53.6%	65.7%*	41.9%*	52.8%	56.4%
<b>Share of Teachers that have BA</b>					
Zero to 60%	47.7%	48.6%	44.2%	58.3%*	41.0%*
Above 60%	52.3%	51.4%	55.8%	41.7%*	59.0%*
<b>Head Start Child-to-Teacher Ratio</b>					
18 or Less	52.9%	40.0%*	58.1%*	58.3%	53.8%
More than 18	47.1%	60.0%*	41.9%*	41.7%	46.2%
<b>ACF Funded Enrollment</b>					
0-300 enrolled	35.9%	34.3%	32.6%	27.8%	48.7%
301-600 enrolled	31.4%	25.7%	30.2%	41.7%	28.2%
601-1,000 enrolled	13.1%	14.3%	18.6%	13.9%	5.1%
More than 1,000 enrolled	19.6%	25.7%	18.6%	16.7%	17.9%
<b>Census Region</b>					
Northeast	16.3%	17.1%	16.3%	8.3%*	23.1%*
Midwest	28.1%	37.1%*	23.3%*	30.6%	23.1%
South	42.5%	34.3%*	58.1%*	44.4%*	30.8%*
West	13.1%	11.4%*	2.3%*	16.7%	23.1%

**Sources:** Head Start Program Information Report, OHS DRS designation status data, and evaluation team information on sampling and response.

**Note:**\* indicates that the distribution of characteristics is different for participating and non-participating grantees within designation status at the .05 level.

<sup>a</sup>These CLASS scores were collected during the OHS monitoring visits. The standard deviation is provided in parentheses.

## Examining Nonresponse at the Classroom Level

The response rate is the total number of classes observed divided by the total number of primary classes sampled plus the number of replacements attempted. Table B.8 also shows the completions and response rates broken down by designation status: designated for CLASS (92 percent and 85.8 percent); designated for deficiency (92.2 percent and 92.7 percent); and not designated (87.5 percent and 84.0 percent). Given the high completion rate and the low percentage of replacement classes (10 percent) used to get the completions we feel that potential bias from nonresponse at the classroom level is quite small.

TABLE B.8.

Response Rate at the Classroom Level by Sampling Stratum

Response Rate Type	All Grantees	Designated for CLASS <sup>a</sup>	Designated for Deficiency <sup>a</sup>	Not Designated
Percent of completed from the primary sampled classrooms	90.1%	92.0%	92.2%	87.5%
Percent of completed from replacement classrooms	10.1%	8.0%	7.8%	12.5%
Overall classroom response rate <sup>b</sup>	86.6%	85.8%	92.7%	84.0%

**Sources:** Head Start Enterprise System, OHS designation data, and evaluation sampling and participation tracking data.

<sup>a</sup> Grantees designated for both CLASS and Deficiency appear in both of these columns.

<sup>b</sup> The proportion of classrooms that participated divided by the number of classrooms that we tried to recruit. The reason for the higher response rate in the third column is because we were much more successful at getting participation from the replacement classrooms in the designated for deficiency stratum.

## Response Bias Analyses: Missing Center-level Data

The issues discussed above with data collection on the Program Administration Scale (PAS) raised concerns about the robustness of our findings for that measure. We compared the observed PAS scores for grantees participating in the spring versus grantees participating in the fall, and found scores were significantly higher in the fall on four of the five examined scales (table B.9). This raises concerns that the change in protocol may have produced biases in our PAS scores, and perhaps findings from the PAS should be interpreted cautiously.

TABLE B.9.

Comparing Grantee PAS Scores by Data Collection Season

	Spring			Fall			<i>P</i>
	<i>N</i>	Mean	<i>SD</i>	<i>N</i>	Mean	<i>SD</i>	
Staff Qualifications	23	2.40	0.90	42	3.03	0.97	*
Child Assessment	23	5.23	2.10	42	6.81	0.47	***
Fiscal Management	23	2.89	2.07	42	4.72	2.15	**
Family Partnerships	23	3.86	1.44	42	5.35	1.09	***
Governance and Management	23	2.78	1.01	42	3.77	0.94	***

Source: Evaluation team data collection.

Note: Significance noted as: \*  $p < .05$ ; \*\*  $p < .01$ ; \*\*\*  $p < .001$ .

The next set of analyses tested whether change in the PAS protocol appeared to change findings. We compared the grantee-level PAS scores collected in the spring for all centers (as planned under the original protocol) with the PAS scores collected in the fall from a single center per grantee. Results shown below in table B.10 suggest that this change in the protocol was problematic. Specifically, the spring PAS scores were significantly higher than the fall PAS scores regardless of whether analyses also included designation status of the grantee. These findings demonstrate that missing data on the PAS due to changes in the protocol is problematic and must be taken into account when PAS data are analyzed. Thus we rely on the results that impute for missing data to draw our conclusions.

TABLE B.10.

Comparing PAS Scores by Completeness of Data Collection

PAS Subscale	Complete PAS data						<i>t</i> -test <i>P</i>
	Yes			No			
	<i>N</i>	Mean	<i>SD</i>	<i>N</i>	Mean	<i>SD</i>	
Staff Qualifications	21	2.43	0.86	44	2.96	1.00	*
Child Assessment	21	5.50	1.97	44	6.52	1.09	**
Fiscal Management	21	2.55	2.01	44	4.72	2.09	***
Family Partnerships	21	4.00	1.58	44	5.14	1.17	**
Management	21	3.01	1.08	44	3.56	1.03	+

Source: Evaluation team data collection.

Note: Significance noted as: +  $.1 > p > .05$ ; \*  $p < .05$ ; \*\*  $p < .01$ ; \*\*\*  $p < .001$ .

## Analytical Weighting

Because of the low response rate, we created an analytic survey weight that compensates for potential nonresponse bias. This survey weight seeks to reduce bias by adjusting our sample so that the weighted sample of respondents reflects the distribution of the original sample based on characteristics on salient variables (i.e., especially variables that are likely to be related to quality). The key to a good nonresponse

adjustment is to identify subgroups in a way that differentiates both the nonresponse propensity as well as the average quality measures.

## Evaluating the Variables for the Nonresponse Adjustment

We used regression analyses to evaluate variables that can potentially feed into the final nonresponse adjustment. We ran six specifications of a logistic regression estimating the probability of designation for competition using data available from the PIR and OHS monitoring, so that we could assess variables that are correlated with our outcomes variable, designation status. As seen in table B.11, we used the following variables (specified as) (\*indicates statistical significance in at least one specification):

- \*Cohort 4 (1/0 Dummy Indicator)
- \*South (South vs. All Other Regions)
- Teacher Turnover
- \*Share of Teachers with a BA
- \*Child-to-Teacher Ratios
- \*School System (versus other type of agency)
- ACF Funded Enrollment
- \*Head Start only (versus Head Start and Early Head Start)
- \*High CLASS Score by domain (1/0 dummy for CLASS score above the mean)

TABLE B.11.

## Logistic Regression of the Probability of Designation for Competition

	(1)	(2)	(3)	(4)	(5)	(6)
Variable	2013 & 2014	2013 & 2014	2014 Only	2014 Only	2013 Only	2013 Only
Monitoring Cohort 4	0.0810** (0.0271)	0.00930 (0.0299)				
South	0.00775 (0.0286)	0.0862** (0.0314)	-0.00293 (0.0411)	0.0746 (0.0454)	0.0187 (0.0405)	0.0967* (0.0438)
Teacher Turnover	0.106 (0.0862)	0.146 (0.0977)	0.0517 (0.139)	0.145 (0.155)	0.157 (0.112)	0.149 (0.124)
Share of Teachers with a BA School System	-0.0428 (0.0483)	-0.0931+ (0.0551)	0.0200 (0.0724)	0.00225 (0.0825)	-0.0980 (0.0658)	-0.170* (0.0726)
ACF Funded Enrollment	0.0602+ (0.0349)	0.0342 (0.0393)	0.0770 (0.0492)	0.0543 (0.0556)	0.0504 (0.0494)	0.0157 (0.0554)
Head Start Child - Teacher Ratio	-3.09e-06 (1.71e-05)	1.29e-05 (1.35e-05)	1.18e-06 (1.94e-05)	1.08e-05 (1.52e-05)	-1.00e-05 (2.98e-05)	1.56e-05 (3.15e-05)
Head Start Only	0.000852 (0.00278)	0.00556+ (0.00285)	0.00111 (0.00359)	0.00665+ (0.00371)	0.000561 (0.00443)	0.00388 (0.00455)
High CLASS (ES)	0.0217 (0.0296)	0.0394 (0.0323)	0.00733 (0.0407)	-0.00443 (0.0455)	0.0305 (0.0436)	0.0827+ (0.0475)
High CLASS (CO)	-0.142** (0.0355)		-0.122** (0.0429)		-0.187** (0.0700)	
High CLASS (IS)	-0.164** (0.0366)		-0.149** (0.0438)		-0.208** (0.0754)	
Observations	-0.165** (0.0309)		-0.161** (0.0407)		-0.165** (0.0485)	
Pseudo R2	667	667	339	339	328	328
	0.237	0.0285	0.233	0.0210	0.257	0.0520

**Sources:** Data are from the Head Start Program Information Report, but CLASS scores are from OHS Monitoring visits. Data years included are noted in the column headings.

**Notes:** Standard errors in parentheses.

Significance noted as: +  $p < .10$ ; \*  $p < .05$ ; \*\*  $p < .01$ ; \*\*\*  $p < .001$ .

Each column represents a logistic regression where the dependent variable is designation for competition. Variables included are those the team had found to be significantly different in previous analyses or variables that tend to be associated with quality and therefore were thought likely to be significant.

Nonresponse weight adjustments were computed independently for the three sample domains (designated for deficiency, designated for CLASS, and not designated for competition). As such, the resulting analytic weight should be used for comparisons between these groups (including comparison between grantees designated and not designated for competition) as well as for separate subgroup analyses of any one of the three domains. Because grantees designated for competition were oversampled relative to grantees not designated for competition this weight should not be used for analyses that combine all three sample groups, i.e., for overall estimates of grantees regardless of designation status.

The table B.12 below indicates the nonresponse subgroups within which independent weight adjustments were calculated. The elements of the table show whether the response rate for a specific subcategory was higher or lower.

TABLE B.12.

**Adjustments for Nonresponse Subgroups by Reason for Designation for Competition**

Subgroup	Reason for Designation for Competition		Not Designated for Competition
	CLASS	Deficiency	
Head Start Only	-	-	+
Lower than Average Child-to-Teacher Ratio	-	-	+
Lower than Average Percent of Teachers with a BA	+	-	+
South	-	-	+
Midwest	+	+	+
West	+	+	-
Northeast	+	+	-
OHS CLASS-Classroom Organization (lower than average)	-	+	-
OHS CLASS-Emotional Support (lower than average)	-	-	-
OHS CLASS-Instructional Support (lower than average)	+	-	-

**Sources:** Head Start Program Information Report, OHS DRS designation status data, OHS CLASS scores, Census data, and evaluation team information on sampling and response.

**Note:** + indicates higher response rate; - indicates lower response rate.

The independent weight for each subcategory is simply the reciprocal of the response rate. The final “WEIGHT” was then normalized within sample group so that the sum of the weights equaled the sample size of participating grantees ( $N=71$ ).

## Using Design Effects for Statistical Inference

While survey weights reduce potential bias they typically increase the variance of survey estimates and, as a result, both detectable differences in significance tests and confidence intervals are increased to some degree. The usual variance estimates derived from standard statistical software packages that assume simple random sampling will be too low, which can lead to overstated significance levels and overly narrow confidence intervals, and thus potentially incorrect inferences. The impact of the survey weight on variance estimates is measured by the design effect and is explained in more detail below.

When using survey weights, variance estimation requires estimating the survey design effect associated with the weighted estimate in order to take into account the increased variability associated with the

weighting adjustments. The term ‘design effect’ is used to describe the variance of a weighted sample estimate relative to the variance of an estimate that assumes a simple random sample.

In a wide range of situations—typically in the estimation of proportions (percentages) and averages—a design effect can be used to adjust the standard error of a statistic that was calculated assuming a simple random sample design, i.e., using the typical output from a statistical package that assumes a simple random sample design. Making such an adjustment is simple when the design effects are available: one simply multiplies the usual “simple random sample” standard error by the square root of the design effect (deft). For instance, the formula for computing the 95 percent confidence interval around a proportion  $p$  is:

$$\hat{p} = \left( deft \times 1.96 \sqrt{(\hat{p} \times (1 - \hat{p}) / n)} \right)$$

Where  $\hat{p}$  is the sample estimate,  $n$  is the unweighted number of sample cases used in the computation of  $p$ , and **deft** is the square root of the design effect.

The average square roots of the design effects (defts) for the survey weight are shown in table B.13:

**TABLE B.13.**

**Average Square Roots of Design Effects (Defts) for Survey Weight**

Type of Analysis	Deft
For measures that are based on the full sample of not-designated grantees	1.11
For measures that are based on full sample of designated grantees	1.20
For measures based on the full sample of grantees designated due to CLASS score	1.24
For measures based on the full sample of grantees designated due to a deficiency	1.05

Thus, to get a more accurate estimate of the standard errors associated with the weighted estimate one would multiply the unweighted standard error by the appropriate “Deft” value shown in the table above.

## Multiple Imputation

Because of the extensive missing PAS at the center level, we conducted multiple imputations. Using all of the center and classroom quality data, the missing data were imputed iteratively using a regression approach (Schafer 1999) in which each variable is regressed onto all other variables, predicted values for missing data are computed using that regression model, random variability is added to the predicted values. This process is repeated until imputed values and variances are almost identical across iterations. We created 40 imputation data sets, and then conducted analyses using each of the 40 datasets. The coefficients and standard errors from those analyses were combined to preserve variability within and across the analyses of the 40 imputed datasets. Use of multiple imputation should address some of this bias, but the amount of missing data (over 50 percent) makes it more difficult to feel confident in drawing conclusions even when imputing should address

concerns related to missing data (Allison 2000; Sterne et al. 2009). Analyses were conducted with and without the imputed datasets, and the results based on imputed data were interpreted as being less biased (Allison 2000).

## Sensitivity Analyses

We conducted some sensitivity analyses to determine the robustness of the quantitative findings reported in chapter IV. The analyses reported here include:

1. Multi-level analyses of classroom and center data to test whether designated grantees had lower quality than non-designated grantees;
2. Analyses examining whether the time lag between CLASS observations by OHS monitors and evaluation data collectors accounted for large differences in their grantee-level scores;
3. Correlations among classroom quality scores collected by separate data collectors; and
4. Specifications of the Tuckman-Chang financial vulnerability ratios

### Analysis of Quality Data at the Level at Which the Data Were Collected

In chapter IV, we reported analyses of grantee-level measures of quality. These measures of classroom quality were collected from multiple classrooms in all grantees and of center quality in multiple centers in some grantees. An alternative approach to analyzing these data involves representing these multiple levels of sampling in the analysis to increase precision. Those analyses were conducted as a sensitivity analysis.

Hierarchical linear models (HLM) were conducted to test whether the grantees designated for competition scored lower on the selected quality measures than the grantees not designated for competition by analyzing the data at the level at which the data were collected. Analyses of classroom quality measures involved 3-level HLM models that took into account the nesting of classrooms within centers, and centers within grantees. Analyses of center quality measures involved 2-level HLM models that took into account the nesting of centers within grantees. In both models, data were weighted to account for differential response rates. Table B.14 displays the results from descriptive analysis on the left side—showing the sample sizes, means, and standard deviations for each of the two designation groups, and from the HLM analyses on the right side—listing the p-values and effect sizes from the comparisons of the designated and not-designated groups. As with the analyses of the grantee-level mean scores, no evidence of significant differences between grantees designated and not designated for competition emerged in these comparisons of the classroom and center-level data. Thus, these analyses provide further support that the grantees designated for competition do not provide lower quality services than the grantees not designated for competition.

TABLE B.14.

## Comparing Quality of Classrooms and Centers by Designation Status

Quality Measure (collected by evaluation team)	Possible range	Designation for Competition Status						Comparisons	
		Not Designated			Designated			(HLM)	
		<i>N</i>	Mean <sup>b</sup>	SD	<i>N</i>	Mean <sup>b</sup>	SD	<i>P</i>	Effect Size <sup>c</sup>
<b>Classroom Quality</b>									
CLASS Emotional Support	1-7	279	5.32	0.75	270	5.34	0.77	ns	0.04
CLASS Instructional Support	1-7	279	2.49	1.14	270	2.64	1.22	ns	-0.07
CLASS Classroom Organization	1-7	279	4.62	1.06	270	4.64	1.04	ns	0.07
ECERS-R Interaction	1-7	271	5.15	1.19	265	5.20	1.09	ns	0.03
ECERS-E Quality of Academic Activities	1-7	271	2.98	0.85	265	3.17	0.94	ns	-0.10
TSRS Class Structure & Management	1-5	274	3.72	0.88	270	3.82	0.81	ns	-0.01
<b>Center Quality<sup>a</sup></b>									
PAS Staff Qualifications	1-7	65	2.96	1.10	70	2.38	1.16	+	0.44
PAS Child Assessment	1-7	65	5.63	1.84	70	5.74	2.09	ns	-0.02
PAS Fiscal Management	1-7	65	3.41	2.28	70	3.07	2.31	ns	-0.14
PAS Family Partnerships	1-7	65	4.31	1.27	70	4.41	1.79	ns	-0.05
PAS Governance and Management	1-7	65	3.19	1.10	70	3.06	1.12	ns	0.01
Health and Safety Checklist: Indoor	0-1	179	0.86	0.09	196	0.85	0.09	ns	0.13
Health and Safety Checklist: Outdoor	0-1	177	0.80	0.17	191	0.78	0.15	ns	0.11

Source: Evaluation team data collection.

Note: Significance noted as: + .1 >  $p > .05$ ; \*  $p < .05$ ; \*\*  $p < .01$ ; \*\*\*  $p < .001$ ; ns=not significant.

<sup>a</sup> Center directors were refusing the PAS interview based on its need for extensive documentation to prepare for the interview. It was decided to allow directors to opt out, with the goal to obtain at least one PAS from a center director per grantee. This goal was not achieved in all grantees. Whether data were collected in fall or spring was included in analyses.

<sup>b</sup> The sample means and standard deviations were computed without taking nesting of classrooms in grantees into account.

<sup>c</sup> Effect sizes computed as the difference between the adjusted means from the multi-level models divided by standard deviation of the not-designated group.

The next set of analyses compared the grantees not designated for competition with the grantees designated for competition due to low CLASS scores and grantees designated for competition due to deficiencies in separate analyses. Again, 3-level HLMs tested for group differences on the classroom quality measures and 2-level HLMs tested for group differences on the center quality measures. Data were weighted to account for differential response rates. The table below shows the sample sizes, means, and standard deviations for each the two designation groups on the left side and the p-value and effect sizes from the designation group comparisons in the HLM on the right side. As with the grantee-level analyses, the grantees designated for competition due to CLASS were not different from the grantees not designated for competition on any quality variable. Unlike the prior analyses in which the grantees designated for competition due to deficiencies were reliably different from the grantees not designated for competition on several PAS measures, no reliable differences emerged in these analyses.

TABLE B.15.

## Comparing Quality of Classrooms and Centers by Designation Condition

Quality Measure (collected by evaluation team)	DRS Designation for Competition Status												
	Not Designated			Designated–Low CLASS					Designated–Deficiencies				
	<i>N</i>	Mean	SD	<i>N</i>	Mean	SD	<i>P</i>	Effect size <sup>c</sup>	<i>N</i>	Mean	SD	<i>P</i>	Effect size <sup>c</sup>
<b>Classroom Quality</b>													
CLASS Emotional Support	279	5.32	0.75	185	5.36	0.79	ns	0.07	112	5.16	0.71	ns	0.08
CLASS Instructional Support	279	2.49	1.14	185	2.56	1.24	ns	-0.00	112	2.76	1.09	ns	-0.19
CLASS Classroom Organization	279	4.62	1.06	185	4.62	1.12	ns	0.14	112	4.51	0.88	ns	0.05
ECERS-R Interactions	271	5.15	1.19	179	5.15	1.11	ns	0.06	113	5.30	0.97	ns	-0.02
ECERS-E Acad. Activities	271	2.98	0.85	179	3.08	0.93	ns	-0.02	113	3.23	0.93	ns	-0.12
TSRS Class Management	274	3.72	0.88	185	3.84	0.88	ns	0.01	112	3.77	0.58	ns	-0.06
<b>Center Quality<sup>a</sup></b>													
PAS Staff Qualifications	65	2.96	1.10	39	2.41	0.83	+	0.44	34	2.35	1.46	ns	0.35
PAS Child Assessment	65	5.63	1.84	39	6.36	1.35	ns	-0.11	34	4.99	2.49	ns	0.18
PAS Fiscal Management	65	3.41	2.28	39	3.68	2.43	ns	0.05	34	2.09	1.83	+	0.56
PAS Family Partnerships	65	4.31	1.27	39	4.58	1.52	ns	-0.03	34	4.18	2.02	ns	-0.24
PAS Management	65	3.19	1.10	39	3.37	0.94	ns	0.01	34	2.58	1.15	ns	0.25
Health and Safety Checklist													
Indoors	179	0.86	0.09	135	0.85	0.09	ns	0.11	84	0.87	0.09	ns	0.01
Outdoors	177	0.80	0.17	130	0.79	0.14	ns	0.10	84	0.79	0.16	ns	0.02

Source: Evaluation team data collection.

Note: Significance noted as: + .1 >  $p > .05$ ; \*  $p < .05$ ; \*\*  $p < .01$ ; \*\*\*  $p < .001$ ; ns = not significant.

<sup>a</sup> Center directors were refusing the PAS interview based on its need for extensive documentation to prepare for the interview. It was decided to allow directors to opt out, with the goal to obtain at least one PAS from a center director per grantee. This goal was not achieved in all grantees. Whether data were collected in fall or spring was included in analyses.

<sup>b</sup> The sample means and standard deviations were computed without taking nesting of classrooms in grantees into account.

<sup>c</sup> Effect sizes computed as the difference between the adjusted means from the multi-level models divided by standard deviation of the not-designated group.

## Analysis of Differences in CLASS Scores between OHS Monitors and Evaluation Data Collectors

In chapter IV, volume I, we reported large differences and very modest correlations in the CLASS scores as collected by the OHS monitors and the evaluation data collectors. One possible explanation involved the time that elapsed between the initial data collection by the OHS monitors and our data collectors (Mean 1.2 months, but ranged up to a year for 10 percent of sample). We examined the time-lag in sensitivity analyses.

We explored whether these discrepancies in CLASS scores between the two teams of observers could reflect changes in CLASS scores that occurred between the time the OHS monitors and the evaluation team collected their data. We sought to minimize the time between the OHS and evaluation teams' data collection,

but there was considerable variability across grantees. We estimated the extent to which the difference in CLASS scores by the two assessments teams were correlated with the amount of time between the two sets of assessments. On average, our data collectors observed grantee classrooms 1.2 months later than did the OHS data collectors, but the gap was about a year for about 10 percent of the sample. Table B.16 shows the correlations between the time between OHS monitoring and evaluation and three sets of CLASS score measures: (1) scores collected by the OHS Monitoring team, (2) scores collected by the evaluation team, and (3) the difference between CLASS scores collected by the OHS and the evaluation teams. The results suggest that the grantees with the longest time lags tended to have lower CLASS scores according to both rating teams as reflected by negative correlations in the first and second columns in table B.16. This may be because of the sampling strategy that required including designated grantees from Monitoring Cohort 3 when most grantees in this sample were from Monitoring Cohort 4. However, none of the correlations between differences in the CLASS score and the time lag reported in column three are significant, suggesting that the amount of time between CLASS assessments was not related to larger (or smaller) differences between the grantee-level ratings by the two teams. Thus, no evidence emerged suggesting that the time-lag contributes or accounts for the discrepancies in the scores between the two assessment teams.

**TABLE B.16.**

**Correlations between Grantee-level CLASS Measures and Time between OHS Monitoring and Evaluation Team CLASS Assessments**

<b>CLASS Subscale</b>	<b>OHS Monitoring CLASS &amp; Time Lag<sup>a</sup></b>	<b>Evaluation Team CLASS &amp; Time Lag<sup>a</sup></b>	<b>Change Over Time in CLASS<sup>b</sup> &amp; Time Lag<sup>a</sup></b>
Emotional Support	-.30*	-.35**	-.13
Instructional Support	-.28*	.04	.21
Classroom Organization	-.24*	-.17	.00

**Sources:** Evaluation team CLASS scores were collected for this study and DRS CLASS scores were provided by Office of Head Start ( $N=70$ ).

**Note:** Significance noted as: + .1 >  $p > .05$ ; \*  $p < .05$ ; \*\*  $p < .01$ ; \*\*\*  $p < .001$ .

<sup>a</sup> Time lag computed as number of days between the OHS Monitoring CLASS visits and the Evaluation team CLASS visits.

<sup>b</sup> Change over time in CLASS computed as the difference between the evaluation team CLASS scores and the OHS Monitoring CLASS scores.

### **Correlations among Classroom Quality Scores Collected by Separate Data Collectors: Analysis of Quality Data at the Level at Which the Data Were Collected**

In chapter IV, volume I, we reported analyses that indicate considerable variability among raters, with rater variability accounting for up to 45 percent of variance in the classroom level scores. Another indicator of rater effects is to examine the correlations among the quality measures that were collected by the same or different raters. Stronger correlations among measures assessing the same or similar constructs as rated by different

raters in the same classrooms would suggest limited rater effects, but stronger correlations among measures assessing different constructs by the same rater would suggest substantial rater effects. Those correlations are reported below as a sensitivity analysis.

Each team of data collectors in the evaluation study included one rater to administer the CLASS and the TSRS and a separate rater to administer the ECERS-R and ECERS-E. We had picked the ECERS-R Interactions scale to measure teacher responsiveness to align with constructs measured by CLASS Emotional Support, ECERS-E Academic scale to measure instruction to align with CLASS Instructional Support, and TSRS Classroom Structure to measure classroom management to align with CLASS Classroom Organization. Accordingly, we anticipated moderate to high correlations among these scores (italicized below), and lower correlations among measures from different instruments measuring different quality constructs (e.g., TSRS Classroom Structure and CLASS Emotional Support, ECERS-E and ECERS-R). Instead, as shown in table B.17, we saw the highest correlations among measures collected by the same rater, indicated by numbers in bold and italicized. The correlation between the ECERS-E Academic and CLASS Instructional Support ( $r = .49$ ) was the only moderate to large correlation of measures of the same construct that was collected by different raters. Accordingly, these results are consistent with substantial rater variability.

**TABLE B.17.**  
**Correlations among Classroom Quality Measures**

	CLASS Emotional Support	CLASS Instructional Support	CLASS Classroom Organization	TSRS Classroom Structure	ECERS-R Interactions	ECERS-E Academic Activities
<b>Rater 1</b>						
CLASS Emotional Support		<b><i>.52***</i></b>	<b><i>.78***</i></b>	<b><i>.66***</i></b>	<i>.24***</i>	<i>.21***</i>
CLASS Instructional Support			<b><i>.62***</i></b>	<b><i>.58***</i></b>	<i>.41***</i>	<b><i>.49***</i></b>
CLASS Classroom Organization				<b><i>.85***</i></b>	<i>.27***</i>	<i>.18***</i>
TSRS Classroom Structure					<b><i>.30***</i></b>	<i>.10*</i>
<b>Rater 2</b>						
ECERS-R Interactions						<b><i>.60***</i></b>
ECERS-E Academic Activities						

**Sources:** Evaluation team data collection.

**Note:** Significance noted as: \*  $p < .05$ ; \*\*  $p < .01$ ; \*\*\*  $p < .001$ .

## Calculating the Financial Vulnerability Ratios

Data for the analysis of financial vulnerability were obtained from the National Center for Charitable Statistics (NCCS) FY2012 Core Files.<sup>10</sup> The Core Files include approximately 60 financial variables from the Form 990-series (Form 990, Form 990-EZ, Form 990-PF) for those organizations required to file by the Internal Revenue Service. The data for government grants and administrative expenses were keypunched from the PDF Forms 990 of the grantees in the sample. If data from 2012 were not available, we used data from the most recent year available. The four ratios include: equity ratio, revenue concentration, administrative cost ratio, and operating margin. They are calculated as indicated in table B.18.

TABLE B.18.

**Tuckman and Chang Financial Ratios for Financial Vulnerability**

Ratio Type	Computation	Purpose
<b>Equity Ratio</b> (A higher score is better.)	$\frac{\text{Net Assets}}{\text{Total Revenues}}$	Equity is necessary for organizations to borrow funds, so if an organization experiences a shock to its fiscal environment, organizations with inadequate equity balances will be less likely to secure funds if necessary to keep the organization operating.
<b>Revenue Concentration</b> (A lower score is better.)	$\sum \left( \frac{\text{Revenue Sources}_j}{\text{Total Revenues}} \right)^2$	An organization is thought to be more vulnerable when its revenue is limited to one or few sources. Should something happen to that stream of funding, there are limited options for the organization to rely on to replace lost revenues.
<b>Administrative Cost Ratio*</b> (A higher score is better.)	$\frac{\text{Administrative Expenses}}{\text{Total Expenses}}$	If an organization faces an immediate financial threat, it can reallocate its administrative costs towards its operating costs. In order for organizations to shift administrative costs to operating costs, an organization must have a high administrative costs compared to other expense categories.
<b>Operating Margin</b> (A higher score is better.)	$\frac{(\text{Revenue} - \text{Expenses})}{\text{Revenue}}$	Operating margins are calculated by subtracting expenses from revenue and dividing that amount by revenue. This percentage is the surplus or deficit of revenues earned during the year. The larger the surplus, the more resources an organization has to draw on should revenue decline.

\* Not all nonprofit literature agree that a high administrative cost ratio is preferable.

In their original study, Tuckman and Chang calculated revenue concentration from five revenue components: revenues from contracts, gifts or grants; program service revenue; membership dues; sales of

<sup>10</sup> Because of lags in data processing, FY2012 was the most recent data available when the analysis began.

unrelated goods; and investment income. Because of changes in form 990, and because of the need to distinguish government grants and contracts as a unique revenue stream, we chose to calculate our revenue concentration index from five sources of revenue:

- Program service revenue + gross profit from sales of inventory
- Non-government contributions (from individuals and other organizations)
- Government grants
- Income from investment and asset sales
- Other income

We also estimated the revenue concentration index using three and ten sources of revenue. However, the five-source revenue concentration index proved to be more discerning than the three-source index. This is because government grants, the biggest source of revenue for most nonprofit Head Start grantees, are separated from other types of contributions in the five-source version. For the ten source index, income from investments, securities, sale of assets, and inventory profits were separated. Most nonprofit Head Start grantees do not have much income from these sources, so the ten source estimation was indistinguishable from the five source option. Negative investment income values were reset to zero for the calculation of the revenue concentration index to avoid distortion. As with the original Tuckman-Chang analysis, high values of the index indicate heavy reliance on a single source of income, which places the organization at higher risk of financial jeopardy.

# Appendix C: Understanding Grantee Quality Improvement Efforts and Perceptions (RQ1 and RQ3) Technical Information

# Overview

In this part of the evaluation, we sought to answer the following questions:

1. **How do grantees perceive the DRS and prepare for their monitoring and assessment in terms of efforts to improve program quality?** How do they respond to the DRS conditions and prepare for monitoring and assessment in terms of their efforts to improve quality?
2. **How do grantees perceive and experience the monitoring, assessment, and DRS designation processes in terms of their efforts to improve program quality?** What is their perception of how the DRS conditions are assessed and applied to their program? How do they perceive and respond to their designation status, once learned, and to what extent is quality improvement considered as they decide whether to compete?

The DRS is designed to encourage all grantees to improve their quality in an effort to avoid designation for competition and receive automatic renewal of grant funding at the end of the 5-year grant cycle. Thus, these research questions investigate: the activities grantees were undertaking to improve quality before and after their designation status was known; how they understood, perceived, and experienced the DRS conditions and processes; and how those experiences may have shaped grantees' efforts to improve quality in response to DRS. It is important to understand both the actions the grantees are taking and the circumstances they are responding to when taking them. The first question was addressed through a mixed-methods approach drawing from a quantitative Professional Development and Technical Assistance Survey and two qualitative interview components (the Director Telephone Interview and On-Site Follow Up Interviews) described here. The second research question was exploratory in nature and drew from the qualitative interviews with directors and other program leaders. Following, we describe the three data collections used to answer these two research questions:

1. **Professional Development and Technical Assistance Survey:** We deployed the Professional Development and Technical Assistance Survey (PDTA Survey) during the Observational Quality Assessments data collection in 71 grantee sites. Head Start directors in 66 sites completed the survey.
2. **Director Telephone Interviews:** We conducted telephone interviews to explore grantee understanding, perceptions, and actions related to the DRS; 35 Head Start directors who had engaged in the PDTA Survey participated in these semi-structured interviews.
3. **On-Site Follow Up Interviews:** We conducted interviews with leadership and staff at 15 of the sites where the Head Start director had participated in the telephone interviews. Interviews were conducted with 17 program directors (including 15 Head Start directors), 9 agency or executive directors, 41 program managers, and 61 Policy Council or governing body members.

## Recruitment Timeline

Each of the three data collections supporting these two research questions was conducted separately and therefore recruitment for each was performed separately as shown in figure A.2. Recruitment began in January 2014 upon receipt of OMB approval to begin the study and concluded in May 2015. The PDTA Survey was part of a larger data collection effort as described in appendix B. The Director Telephone Interview sampling and recruitment occurred in three waves following behind the data collection for the PDTA survey to assure that grantees were selected from throughout the monitoring year in case that had any bearing on their perceptions and understanding. Finally, the on-site interview grantees were recruited following the conclusion of the telephone interviews and some preliminary examination of the information collected in those interviews.

## Characteristics of Participating Grantees

The characteristics of grantees participating in each of the three data collections are presented in table C.1. The On-Site Follow-Up Interview grantees are a subset of the Director Telephone Interview grantees which are in turn a subset of the PDTA Survey grantees. These proportions over-represent grantees designated for competition to ensure that a wide variety of perspectives among grantees designated for competition and grantees not designated can be explored.

TABLE C.1.

## Profile of Participating Grantees for Understanding Grantee Quality Improvement Efforts and Perceptions

Grantee Characteristic	PDTA Survey (N= 66 grantees) (# by characteristic)		Director Telephone Interviews (N=35 grantees) (# by characteristic)		On-Site Follow-Up Interviews (N=15 grantees) (# by characteristic)	
	Designated for Competition (N=33)	Not (N=33)	Designated for Competition (N=18)	Not (N=17)	Designated for Competition (N=7)	Not (N=8)
<b>Designation Reason</b>						
For Deficiency	11	N/A	6	N/A	3	N/A
For CLASS	19	N/A	10	N/A	3	N/A
For Both	3	N/A	2	N/A	1	N/A
<b>Region</b>						
Northeast	6	3	3	3	1	1
South	11	16	5	8	2	4
Midwest	12	8	7	4	3	2
West	4	6	3	2	1	1
<b>Funded enrollment size</b>						
Up to 300	12	9	5	5	2	2
301-600	8	14	5	7	3	4
More than 600	13	10	8	5	2	2
<b>Type of Agency</b>						
CAA	13	14	7	7	2	3
Other	8	9	5	4	2	3
<b>Nonprofit</b>						
Government	3	3	2	1	1	1
School System	9	7	4	5	2	1
For profit	0	0	0	0	0	0
<b>Urbanicity</b>						
Rural	9	9	5	5	3	3
Urban	24	24	13	12	4	5

**Sources:** Data on grantee characteristics come from the Head Start Program Information Report. Designation status and reason come from other Office of Head Start data.

# Understanding Grantee Quality Improvement Efforts and Perceptions Recruitment and Data Collection Procedures

## Recruitment Procedures

### PDTA SURVEY

See appendix B for discussion of recruitment for the *Quality Assessment*.

### TELEPHONE AND ON-SITE INTERVIEWS

The procedures for recruitment of the telephone interviews and for the on-site interviews were the same. For each of these recruitment efforts, the Head Start Director was the primary point of contact, and they were reminded of their participation in the previous stage of the study. No incentives were offered for participation in this part of the study. The recruitment procedure had six primary steps as described below. The Urban Institute Recruitment Coordinator:

1. Sent the approved recruitment letter to the Head Start Director by email.
2. Followed up with directors that had not responded. Within two weeks of the original email, sent another email invitation. Continued to try to reach the Head Start director via telephone and email until they had called four different days/times AND received confirmation that they had the correct contact information.
3. Recorded recruitment attempts in the database including the dates and times of each attempted contact, who the recruiter reached, if a message was left and with whom, and what type of follow up was required.
4. Responded to questions of invited participants once reached.
5. Connected invitees with hesitations to speak with the Project Director to receive answers to additional questions or to receive further assurances about confidentiality.
6. Scheduled the interview.

If an invited grantee refused or did not respond after the required number of attempts, the grantee was referred to the Project Director. The Project Director attempted to contact the grantee and to relay the importance of the study with the hope of securing participation. If the Project Director was successful, then she connected the grantee with the Recruitment Coordinator to finish the scheduling process. If the grantee refused or did not respond and had to be replaced by another grantee, then a grantee with the most similar characteristics was chosen for recruitment.

## Data Collection Procedures

### PDTA SURVEY

The PDTA Survey was collected as part of the Quality Assessments visits to the 71 grantees. The data collectors who administered the PAS instrument also administered the PDTA Survey. The PDTA Survey was programmed into a tablet from which the data collector read the questions and entered the answers provided by the Head Start director. The survey was programmed with automatic skip patterns based on the answers provided.

### TELEPHONE AND ON-SITE INTERVIEWS

About two weeks before each data collection, the Project Director provided the interview teams with an overview of the project (including its purpose and significance) and training on the protocols (including the informed consent process and the purpose of each question), data security, and post-interview procedures. Both junior and senior interview team members were included in the trainings, and separate trainings were conducted for the telephone and on-site interviews.

Teams of two experienced qualitative researchers (one senior researcher and one junior researcher) conducted the interviews. Telephone interviews were conducted in a private office at the Urban Institute. On-site interviews occurred in individual's offices or in conference rooms where the interview team could meet with the interviewees privately. During each interview, the lead researcher obtained written consent and conducted the interview. The junior researcher took verbatim notes of the interview and, if participants gave permission, recorded the interview to fill in notes later.

- The telephone interviews were up to 75 minutes each. They were conducted with the person who served in the role of Head Start director.
- The on-site interviews were scheduled for 60-90 minutes each. Agency directors and Head Start directors were interviewed separately. Program manager interviews were typically scheduled as a group interview, although we met with some individually to facilitate scheduling. Policy Council members typically met as groups of two to three individuals. Typically one governing body member met with us. Site visit interviews were scheduled over a one- to two-day period.

## Analytic Approach

### PDTA SURVEY

We generated descriptive statistics, examined strategies by designation status, and used *t*-tests to examine the significance of differences between grantees designated for competition and those not designated. We report findings across all grantees regardless of designation status because no statistical differences were found. Population weights are used to combine the grantees designated and not designated for competition in the analysis.

### Conducting Analyses that Combines All Three Sample Groups

Because grantees designated for competition were oversampled relative to grantees not designated for competition, a special weighting adjustment must be used for analyses that combine all three sample groups generating overall estimates of grantees regardless of designation status. This weighting adjustment simply adjusts the value of the analytical weight so that each sample domain ends up with the same proportion of grantees that exists in the sampling frame (i.e. 75.2 percent not designated for competition; 12.8 percent designated due to CLASS; 8.9 percent designated due to deficiency; and 3.0 percent designated due to CLASS and deficiency). Since the purpose of this weight is to look at the combined full population of grantees, we call this the population weight. This population weight has been applied to all analyses of the PDTA survey.

### TELEPHONE AND ON-SITE INTERVIEWS

We discuss the qualitative approach used to conduct the interviews, code, and analyze the data in volume I, chapter 2. The coding structure is provided in figure C.1.

FIGURE C.1.

#### *A Priori* and Emergent Codes for Head Start Director Telephone Interviews and On-Site Follow Up Interviews

Codes	Head Start Director Telephone Interviews	On-Site Follow Up Interviews
<b>Program Characteristics</b> <ul style="list-style-type: none"> <li>- Head Start Director background</li> <li>- Other types of early childhood programs besides Head Start</li> <li>- Single/Multipurpose</li> <li>- Years offering Head Start</li> <li>- Competition (other providers)</li> <li>- Community Needs</li> <li>- Other</li> </ul>	<i>A priori</i>	<i>A priori</i>
<b>Understanding of DRS</b> <ul style="list-style-type: none"> <li>- General purpose</li> <li>- DRS conditions</li> <li>- Competition process</li> <li>- Not-designated status</li> </ul>	<i>A priori</i> for primary code and emergent for subcodes	<i>A priori</i>

Codes	Head Start Director Telephone Interviews	On-Site Follow Up Interviews
<b>Perceptions of/Experiences with the DRS</b> <ul style="list-style-type: none"> <li>- Impressions (first and over time)</li> <li>- How first learned about DRS</li> <li>- Aspects of program quality captured well by DRS</li> <li>- Aspects of program quality not captured well by DRS</li> <li>- Problematic aspects of DRS               <ul style="list-style-type: none"> <li>o Conditions</li> <li>o Structure</li> <li>o Implementation</li> <li>o Timing of communications</li> <li>o Relationships with OHS TA and Regional Offices</li> <li>o Other negative effects</li> </ul> </li> <li>- Beneficial aspects of DRS</li> </ul>	<i>A priori</i> for primary code and subcodes except for detail on “problematic aspects of DRS” – subcodes emerged from the coding process	<i>A priori</i>
<b>Responses to DRS</b> <ul style="list-style-type: none"> <li>- Professional Development and Technical Assistance</li> <li>- Governance/Management/Staff Changes</li> <li>- Classroom approaches</li> <li>- Organization</li> <li>- Preparing for Monitoring Review</li> <li>- Resources/supports needed by staff</li> <li>- No impact</li> <li>- Other</li> </ul>	<i>A priori</i>	<i>A priori</i>
<b>DRS Review Experience</b> <ul style="list-style-type: none"> <li>- Waiting for status</li> <li>- Comments on reviewers</li> <li>- Other</li> </ul>	NA	Primary code <i>a priori</i> ; subcodes emergent
<b>Trade-Offs</b>	NA	<i>A priori</i>
<b>Professional Development and Technical Assistance</b> (details on where they obtain it, whether they think it is enough and how it related to DRS preparation)	NA	<i>A priori</i>
<b>Resources Needed to Respond to DRS</b>	NA	<i>A priori</i>
<b>Suggestions for Improving DRS</b>	NA	<i>A priori</i>
<b>Cross-coding by Position</b>	NA	<i>A priori</i>
<b>DRS Designation Status Announcement Responses</b> <ul style="list-style-type: none"> <li>- Internal communication about</li> <li>- Stress related to</li> <li>- Reaction to CLASS results</li> <li>- Professional Development and Technical Assistance</li> <li>- Expected changes to service delivery</li> <li>- Costs and opportunities</li> <li>- Community relationships</li> <li>- Competition</li> </ul>	NA	Emergent
<b>Challenges Related to Maintaining Quality</b> <ul style="list-style-type: none"> <li>- Staff turnover</li> <li>- Agency structure/management</li> <li>- Competition for children from pre-K in locality/state</li> </ul>	NA	Emergent

# Appendix D: Competition and Award (RQ4 and RQ5) Technical Information

# Overview

In this part of the evaluation, we sought to answer the following questions:

1. **What does competition look like? How much competition is generated by DRS? Who applies for Head Start grants associated with DRS? How do applicants respond in terms of proposing quality improvements?**
2. **How do grantees experience the negotiation, award, and transition processes in terms of preparing them to implement quality improvements to existing services? What are the outcomes of the competitive process? How do both incumbent grantees and new awardees perceive the negotiation and award process in terms of preparing them to implement quality improvements to existing services?**

The evaluation team examined these research questions through a mixed-methods approach including a survey, extant data, and interviews with awardees. This part of the study sought to assess levels of competition, characteristics of applicants and awardees, predictors of competition levels and awards, probabilities of winning, the ways that competition and awards may improve quality, and to understand grantee experiences with and perceptions of the competition, negotiation and award processes and how those processes and experiences may influence Head Start quality.

We developed one survey and three tailored interview guides: the Applicant Survey, and Awardee interview guides tailored by position: agency and program director, program managers, and Policy Council and governing body members. The interview guides were further tailored based on whether the organization was an incumbent or new awardee. The new awardee protocols were even further tailored to account for whether the new awardee had been an existing organization or was an organization newly formed to obtain the grant. None of the awardee organizations for DRS Cohort 3 were organizations newly formed to seek the grant so that version of the protocol was not ultimately used for collecting data (and therefore is not included here). The Applicant Survey and the Awardee Interview protocols may be found in appendix E.

The evaluation team obtained Office of Head Start administrative data, Program Information Report (PIR) data, Census data and monitoring data for 105 grantees designated in 2014 (DRS Cohort 3), the 182 applicants (including 54 percent who were incumbents)<sup>11</sup> for the competition, and 105 awardees for the competition. The Office of Head start administrative data provided a list of applicants and awardees for each FOA. We examined 2013 PIR data in order to determine whether applicants had recent experience with Head Start either as a Head Start grantee or delegate in the same service area or a different service area. The PIR describes the characteristics and services of all funded grantees and was accessed to describe the grantees

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<sup>11</sup>We only have data on 177 of the 182 applicants.

designated for competition and any applicant that was already a Head Start grantee. We focus on PIR data to describe the current enrollment, number of teachers, and qualifications of teachers. The Census data provides community level characteristics on the service areas of Head Start, including population, region, and density. The monitoring data provides information on why grantees were designated for competition. Web-sites were accessed to supplement these data sources when information was missing.

1. **Applicant Survey:** We deployed a web-based survey through Checkbox with 16 closed-ended questions. All applicants ( $N=182$ ) responding to the DRS Cohort 3 Funding Opportunity Announcements were invited to participate; 120 applicants responded.
2. **Awardee On-Site Interviews:** We conducted interviews with leadership and staff at 9 sites that completed the Applicant Survey and were awarded grants: four incumbent awardees who were re-awarded their grants and five new awardees. This included interviews with 9 agency directors, 17 program directors (9 Head Start directors and 8 other directors with Head Start responsibilities), 16 program managers, and 17 Policy Council and governing body members.

## Applicant Survey

### Site Selection for the Applicant Survey

The survey was offered to the population of organizations that responded to the 2013 Funding Opportunity Announcements ( $N=182$ ) soliciting applications for grants that had been designated for competition. No applicants were excluded. No sampling was performed. As shown in table D.1,

- 103 FOAs were posted—characteristics of the incumbent organizations are shown in the far left column
- 182 applicants responded to the FOA, but we only have data on 177 of them (96 incumbents and 81 new competitors) as shown in the middle columns
- 120 organizations responded to the Applicant Survey (63 incumbents and 57 new competitors) as shown in the two far right columns
- Information about awardees is presented in table D.2 later in this appendix.

TABLE D.1.

### Profiles of Incumbent Grantees Where an FOA was Released, Applicants for Those FOAs, and Applicant Survey Respondents

Characteristic	Incumbent Grantee for which FOA was Posted (N=103 <sup>‡</sup> )		All Applicants for the 2013 FOAs (N=177 <sup>†</sup> )				Applicant Survey Respondents (N=120)			
	Incumbent	New Competitor	Incumbent	New Competitor	Incumbent	New Competitor	Incumbent	New Competitor		
<b>Total</b>	103	%	96	%	81	%	63	%	57	%
<b>Region</b>										
Northeast	19	18%	17	18%	16	20%	13	21%	13	23%
South	48	47%	46	48%	45	56%	26	41%	29	51%
Midwest	20	19%	18	19%	12	15%	15	24%	9	16%
West	14	14%	13	14%	7	9%	9	14%	5	9%
Puerto Rico	2	2%	2	2%	1	1%	0	0%	1	2%
<b>Enrollment</b>										
Up to 300	39	38%	36	38%	18	22%	22	35%	14	25%
301-600	32	31%	29	30%	21	26%	20	32%	14	25%
More than 600	32	31%	31	32%	42	52%	21	33%	29	51%
<b>Organization Type</b>										
Community Action Agency	48	47%	46	48%	11	14%	28	44%	5	9%
Government Agency (Non-CAA)	9	9%	7	7%	6	7%	4	6%	6	11%
Private/Public Non-Profit (Non-CAA)	31	30%	29	30%	51	63%	19	30%	33	58%
School System	15	15%	14	15%	4	5%	12	19%	4	7%
For-Profit Organization	0	0%	0	0%	8	10%	0	0%	8	14%
<b>Current Head Start Grantee</b>										
No	0	0%	0	0%	39	48%	0	0%	30	53%
Yes	103	100%	96	100%	42	52%	63	100%	27	47%
<b>Number of Applicants</b>										
1	60	58%	54	56%	6	7%	37	59%	4	7%
2	20	19%	19	20%	20	25%	12	19%	16	28%
3+	23	22%	23	24%	55	68%	14	22%	37	65%
<b>FOA Type</b>										
Head Start	7	7%	6	6%	3	4%	3	5%	2	4%
Early Head Start	1	1%	1	1%	2	2%	0	0%	2	4%
Birth to Five	95	92%	88	92%	70	86%	59	94%	47	82%

**Sources:** Data for the incumbent grantee are from OHS Program Information Report and OHS administrative data. Data on applicants comes from OHS Program Information Report, OHS administrative data, publicly available information.

**Notes:** <sup>†</sup> Data was unavailable for 5 of the new competitors who did not fill out the survey and had no PIR or publicly available data.

<sup>‡</sup>For grantees whose service area was merged, we present the combination of their characteristics.

## Recruitment Procedures

In December 2014, Office of Head Start provided the name and email address of the point of contact listed on the application responding to the 2013 Funding Opportunity Announcements for the grantees designated for competition. In March 2015, OHS provided additional names and email addresses for the Funding Opportunity Announcements held later in the year. There were five steps in the recruitment process. The Urban Institute Recruitment Coordinator:

1. Sent the approved recruitment email letter with web-survey link to all points of contact provided by OHS.

2. Followed up with points of contact that had not responded. Sent emails and called the point of contact—a minimum of two times per method.
3. Recorded recruitment attempts in the database including the dates and times of each attempted contact, who the recruiter reached, if a message was left and with whom, and what type of follow up was required.
4. Responded to questions of invited participants once reached.
5. Completed survey via phone if requested by the point of contact.

## Data Collection Procedures

The Applicant Survey was administered through a web-based survey platform called Checkbox. The survey consisted of 16 questions (See appendix E for a copy of the survey questions). The survey was open for responses between December 12, 2014 and April 30, 2015. Informed consent information was included within the survey and completion of the survey indicated that consent had been given. Respondents could skip any question. If respondents indicated in their reminder recruitment calls that they preferred assistance in completing the survey, then the recruiter completed the survey for the respondent as a phone survey.

## Analytic Approach

*Applicant Survey and Administrative Data.* There were several key questions regarding competition which we attempted to answer via the quantitative analysis. Specifically we wanted to know:

1. Was there competition?
2. What predicted competition?
3. How did new competitors compare to incumbents?
4. How did awardees compare to non-awardees?
5. What predicted award?

In order to answer the first question, we used administrative data provided by the Office of Head Start with the list of all applicants for each FOA. We then calculated the number of applicants per FOA. We merged this data with PIR data on the incumbent in order to determine which applicants were the incumbents as well as the characteristics of the existing grant.

For the second question, we used a combination of Office of Head Start data on the applicants, PIR data on the existing grant, and Census data in order to test whether the characteristics of the service area or incumbent grantee would influence the level of competition. Specifically, we ran the following regression

model predicting competition at the FOA level:

$$Y_i = \alpha + \beta X_i + \varepsilon_i$$

Where  $Y_i$  is a dummy variable indicating whether there was more than one applicant for each FOA,  $i$ ;  $\alpha$  is a constant;  $X_i$  is a vector of characteristics of the existing grant or the service area; and  $\varepsilon_i$  is the error term.

For the third question, we broke this analysis into two parts. The first part analyzed how the characteristics of new competitors compared to that of incumbents in general. For this we used a combination of PIR data, Office of Head Start data, survey data, and publically available data. For five of the new competitors there was no publically available information that could be used to determine their characteristics so they were excluded from the analysis. We used this data to do a  $t$ -test comparison of the characteristics of the new competitors and the incumbents. The second part analyzed how the proposed services differed between the two groups. This data was only available in the survey, therefore only survey respondents were included in this analysis. We used the survey data on proposed service delivery using a paired  $t$ -test to compare the differences in characteristics.

For the fourth question, we again broke this analysis into two parts. The first part analyzed how the characteristics of awardees compared to that of non-awardees in general. For this we used a combination of PIR data, Office of Head Start data, survey data, and publically available data. For five of the new competitors there was no publically available information that could be used to determine their characteristics so they were excluded from the analysis. We used this data to do a  $t$ -test comparison of the characteristics of the new competitors and the incumbents. The second part analyzed how the proposed services differed between the two groups. This data was only available in the survey, therefore only survey respondents were included in this analysis. We used the survey data on proposed service delivery using a paired  $t$ -test to compare the differences in characteristics.

Finally, we used a combination of Office of Head Start data on the applicants and awards, PIR data on the existing grant, and survey data in order to test whether the characteristics of an applicant or their proposed services would influence the level of competition. Specifically, we ran the following regression model predicting competition at the FOA level:

$$Y_i = \alpha + \beta X_i + \varepsilon_i$$

Where  $Y_i$  is a dummy variable indicating whether there was more than one applicant for each FOA,  $i$ ;  $\alpha$  is a constant;  $X_i$  is a vector of characteristics of the existing grant or the service area; and  $\varepsilon_i$  is the error term. We restricted this regression analysis to those applicants to FOAs with competition.

# Sampling: Awardee Interviews

## Site Selection

Awardee Interview organizations were purposively selected from among the respondents to the Applicant Survey who were awarded grants ( $N=74$ ); see middle set of columns in table D.2. We used observable characteristics that may create different organizational experiences and different responses as the basis for the purposive site selection. These characteristics included incumbent or new awardee status, whether the new awardee was new to Head Start or just new to the grant, region of the country, ACF enrollment of the incumbent organization, type of agency, urbanicity, number of applicants for the FOA, FOA type (e.g. Head Start only, Early Head Start only or Birth to Five), and proposed service mix as indicated on their Applicant Survey response.

As shown in table D.2., of the grantees participating in the Awardee Interviews (set of columns on the right-hand side of the table), four are incumbents (were re-awarded their old grant) and five are new awardees; of the five new awardees, three had Head Start grants in other communities and two had not been Head Start grantees before. In studies such as these it is common to report at a greater level of detail for the specific sites participating in the qualitative interviews. We do not do so in this study because of the extra confidentiality protections that we assured grantees.

TABLE D.2.

## Awardee Interview Purposive Sampling Matrix (# by characteristic)

Characteristic	Awardees for 2013 Competition (N=105)				Applicant Survey Respondents among Awardees (N=74)				Awardee Interview Participants (N=9)			
	Incumbent		New Competitor		Incumbent		New Competitor		Incumbent		New Competitor	
Total	80	%	25	%	55	%	19	%	4	%	5	%
<b>Region</b>												
Northeast	16	20%	3	12%	12	22%	2	0.11	0	0%	1	20%
South	35	44%	11	44%	21	38%	9	0.47	1	25%	2	40%
Midwest	17	21%	7	28%	14	25%	6	0.32	2	50%	1	20%
West	10	13%	4	16%	8	15%	2	0.11	1	25%	1	20%
<b>Enrollment</b>												
Up to 300	34	43%	5	20%	21	38%	5	0.26	1	25%	1	20%
301-600	23	29%	6	24%	17	31%	3	0.16	1	25%	1	20%
More than 600	23	29%	14	56%	17	31%	11	0.58	2	50%	3	60%
<b>Organization Type</b>												
CAA	38	48%	3	12%	24	44%	1	0.05	2	50%	0	0%
Other Nonprofit	21	26%	13	52%	15	27%	9	0.47	2	50%	2	40%
Government	7	9%	5	20%	4	7%	5	0.26	0	0%	1	20%
School System	14	18%	2	8%	12	22%	2	0.11	0	0%	1	20%
For profit	0	0%	2	8%	0	0%	2	0.11	0	0%	1	20%
<b>Current Head Start Grantee</b>												
No	0	0%	9	36%	0	0%	8	0.42	0	0%	3	60%
Yes	80	100%	16	64%	55	100%	11	0.58	4	100%	2	40%
<b>Number of Applicants</b>												
1	51	64%	5	20%	36	65%	3	0.16	1	25%	2	40%
2	15	19%	7	28%	10	18%	6	0.32	2	50%	1	20%
3+	14	18%	13	52%	9	16%	10	0.53	1	25%	2	40%
<b>Grant Split at Award</b>												
No	73	91%	13	52%	49	89%	10	0.53	3	75%	3	60%
Yes	7	9%	12	48%	6	11%	9	0.47	1	25%	2	40%
<b>FOA Type</b>												
Head Start	6	8%	1	4%	3	5%	1	0.05	0	0%	1	20%
Early Head Start	1	1%	0	0%	0	0%	0	0	0	0%	0	0%
Birth to Five	73	91%	24	96%	52	95%	18	0.95	4	100%	4	80%
<b>Proposed Services<sup>†</sup></b>												
Head Start Only	-	-	-	-	21	38%	7	0.37	1	25%	2	40%
Early Head Start Only	-	-	-	-	0	0%	2	0.11	0	0%	0	0%
Both	-	-	-	-	32	58%	9	0.47	3	75%	3	60%

Sources: Data on awardees comes from OHS PIR Data, OHS administrative data, publicly available information and the survey.

Notes: † Data only available for those who took the survey. One awardee "survey responder" did not complete the section on proposed services and thus has missing information on proposed services.

## Recruitment Procedures

The starting point of contact was the person who responded to the Applicant Survey, but they sometimes referred us to another individual for awardee interview recruitment. No incentives were offered for participation in this part of the study. The recruitment procedure had six primary steps as described below. The Urban Institute Recruitment Coordinator:

1. Sent the approved recruitment letter to the Point of Contact by email.
2. Followed up with point of contact that had not responded. Within one week of the original email, sent another email invitation. Continued to try to reach the point of contact via telephone and email until they had called four different days/times AND received confirmation that they had the correct contact information.
3. Recorded recruitment attempts in the database including the dates and times of each attempted contact, who the recruiter reached, if a message was left and with whom, and what type of follow up was required.
4. Responded to questions of invited participants once reached.
5. Connected invitees with hesitations to speak with the Project Director to receive answers to additional questions or to receive further assurances about confidentiality.
6. Scheduled the interview.

If an invited participant refused or did not respond after the required number of attempts, the point of contact was referred to the Project Director. The Project Director attempted to contact the point of contact and to relay the importance of the study with the hope of securing participation. If the Project Director was successful, then she connected the point of contact with the Recruitment Coordinator to finish the scheduling process. If the organization refused or did not respond and had to be replaced by another organization, then an organization with the most similar characteristics was chosen for recruitment.

Two of the awardee organizations that had been invited to participate did not do so. One of them could not be reached despite multiple attempts. The other refused because of concerns with the time commitment (a day of on-site interviews).

The point of contact within each selected awardee either coordinated the scheduling and identification of individuals to participate or designated an individual to assist with the process. Sometimes it was the person identified as the Head Start director and sometimes it was not. Due to the changing nature of the organizations to either deliver Head Start services for a new grant award or to reconfigure services, it was necessary to do a pre-screening with the point of contact or designee to determine who the appropriate individuals for the on-site interviews would be. For example, most of the questions related to the decision to apply and the application process; therefore, it was important that the individuals available for the interview

be the ones that had participated in the process. Sometimes the individuals starting up the new services were not the same as the ones involved in the application process. Thus, the recruitment and scheduling of particular individuals had to be tailored for each site. No individuals who had been selected by their point of contact to participate in the interviews declined to participate. Two Policy Council members had to cancel their interviews and we were not able to reschedule them by phone.

## **Data Collection Procedures**

Prior to data collection, the interview teams received training from the Project Director on topics such as an overview of the project including its purpose and significance, a discussion of the protocols including the informed consent process and the purpose of each question, a discussion of data security, and instructions on post-interview procedures. Both junior and senior interview team members were included in the trainings. In the trainings, staff were reminded of the importance of conducting the interviews in a private space and of considerations around which interviews are appropriately held as groups and which interviews should be conducted individually.

On-site interviews were scheduled for 45 minutes to 90 minutes depending on the interviewee. Agency directors and program directors were scheduled for 75 minutes, program manager interviews were scheduled for 90 minutes if conducted in groups but less time if conducted individually, and Policy Council and governing body interviews were scheduled for 45 to 60 minutes depending on how many individuals were planning to participate in the interview at once. The Policy Council and governing body members were scheduled for less time than originally planned for two reasons: (1) in the earlier on-site data collection for Research Questions 1 and 3, we found that Policy Council and governing body members typically did not have much to say and (2) the longer time period had been designed for meetings with multiple members, but multiple members did not always participate. In the new awardee sites that had not previously administered Head Start grants, we did not speak to Policy Council members because they had not been part of the organization when the decision to apply had been made or when the application process had taken place.

Teams of two experienced, qualitative researchers (one senior researcher and one junior researcher) conducted the interviews. On-site interviews occurred in individual's offices or in conference rooms where the interview team could meet with the interviewees privately. During each interview, the lead researcher obtained written consent and conducted the interview. The junior researcher took verbatim notes of the interview and recorded the interview to fill in notes later.

## Analytic Approach

Following each site visit to the 9 awardees, the field team conducted a debriefing and began cleaning and organizing interview notes. Each field team developed a brief site visit summary that captured key information about the program visited, what occurred on the site visits and any deviations from protocols or planned interviews, and emergent themes. The larger evaluation team met twice during the course of data collection to share and discuss field experiences. The team debriefings served both as checks of the research protocol, allowing an opportunity to adjust field procedures as necessary, and as an opportunity to discuss emergent themes across sites.

### INTERVIEW CODING AND ANALYSIS

We used the same techniques for coding and analyzing the interview data collected throughout the evaluation. See description in appendix C for more detailed information about the process. In this appendix, we only provide information that is different from that described in appendix C.

An initial qualitative coding structure included a mix of *a priori* codes—which captured the key topic areas and subtopics identified in the research questions and the interview guides—and emergent codes identified during the team debriefings and in the site visit summaries. Since the data coding for the *Understanding Grantee Quality Improvement Efforts and Perceptions* portion of the study had already occurred, the award site visit team reviewed those codes for the ones that would be applicable. We found that only the Program Characteristics codes and the Perceptions of/Experiences with the DRS codes were relevant. Some other *a priori* codes came from the literature that served as the basis for interview questions including the decision to apply, relationships with partners, and relationships with the community. Additional *a priori* codes came from what we expected to learn from the interview including reactions and implications within the organization for being designated for competition (if they were an incumbent who had won back their grant). Each grantee was also coded based on whether they were an incumbent or a new awardee. Emergent codes included those related to the negotiation and grant award process, and the transition into the new grant; these two topics were not an intended focus of the interviews but grantees had a substantial amount they wanted to tell us about these processes, probably because that was the most recent stage they had experienced. See figure D.1 below for *a priori* and emergent theme coding.

FIGURE D.1.

#### *A Priori* and Emergent Codes for Awardee Interviews

Codes	Awardee Interviews
<b>Program Characteristics</b> <ul style="list-style-type: none"> <li>- Director background</li> <li>- Other types of early childhood programs besides Head Start</li> <li>- Single/Multipurpose</li> </ul>	<i>A priori</i>

Codes	Awardee Interviews
<ul style="list-style-type: none"> <li>- Years offering head start</li> <li>- Competition (other providers)</li> <li>- Community Needs</li> <li>- Other</li> </ul>	
<p><b>Perceptions of/Experiences with the DRS</b></p> <ul style="list-style-type: none"> <li>- Impressions (first and over time)</li> <li>- How first learned about DRS</li> <li>- Aspects of program quality captured well by DRS</li> <li>- Aspects of program quality not captured well by DRS</li> <li>- Problematic aspects of DRS               <ul style="list-style-type: none"> <li>o Conditions</li> <li>o Structure</li> <li>o Implementation</li> <li>o Timing of communications</li> <li>o Relationships with OHS TA and Regional Offices</li> <li>o Other negative effects</li> </ul> </li> <li>- Beneficial aspects of DRS</li> </ul>	<i>A priori</i>
<p><b>Reactions to Competition</b></p> <ul style="list-style-type: none"> <li>- How first learned of designation/that former grantee had been designated</li> <li>- Organization's reaction</li> <li>- Community reaction</li> <li>- Staff reaction</li> <li>- Policy Council and governing body reaction</li> </ul>	<i>A priori</i>
<p><b>Decisions to Apply</b></p> <ul style="list-style-type: none"> <li>- Respondent's role</li> <li>- Timing of FOA release</li> <li>- Timing of decision to apply</li> <li>- Considerations in deciding</li> <li>- Internal decision-making process</li> <li>- Organization's strengths related to decision to apply</li> <li>- Assessment of competition               <ul style="list-style-type: none"> <li>o Intentions of former grantee</li> </ul> </li> </ul>	Primary code and most subcodes are <i>a priori</i> ; subcodes of Timing of FOA release and Timing of decision to apply were emergent themes
<p><b>Application Process</b></p> <ul style="list-style-type: none"> <li>- Process               <ul style="list-style-type: none"> <li>o Time</li> <li>o Effort</li> <li>o Stress</li> <li>o External help</li> <li>o Resources</li> </ul> </li> <li>- Partnerships developed or changed</li> <li>- Challenges in the process</li> <li>- Proposed changes to service delivery</li> <li>- Proposed changes to organizational structure</li> <li>- Why respondent thinks they were successful</li> <li>- Other</li> </ul>	Primary code and sub-themes about time, external help, proposed changes to service delivery, and reason for success are <i>a priori</i> codes. The remaining subcodes are emergent.
<p><b>Relationships with Other Funders (Not including Head Start)</b></p> <ul style="list-style-type: none"> <li>- Other important sources of funding other than Head Start</li> <li>- Funders awareness of designation/application (publicity)</li> <li>- Reaction (concern, support)</li> <li>- Competition's effect on relationships</li> <li>- Level of funds from funders other than HS now (more,</li> </ul>	<i>A priori</i>

Codes	Awardee Interviews
less, the same as before)	
<b>Relationships with Community</b> <ul style="list-style-type: none"> <li>- Strength (pre-competition)</li> <li>- Community awareness of designation/application (publicity)</li> <li>- Competition's effect on relationships (either from grantee side or community side)</li> <li>- Reaction (concern, support)</li> <li>- Strength (present)</li> <li>- Changes in community partnerships/relationships</li> </ul>	<i>A priori</i>
<b>Looking Ahead [FUTURE]</b> <ul style="list-style-type: none"> <li>- Organizational Strengths (that will help provide high quality HS)</li> <li>- Importance of partnerships</li> <li>- Importance of non-Head Start funding</li> <li>- How to be invited to apply noncompetitively</li> </ul>	<i>A priori</i>
<b>Negotiation/Grant Award Process</b> <ul style="list-style-type: none"> <li>- Negotiations <ul style="list-style-type: none"> <li>o Changes required in negotiation process</li> <li>o Timing</li> <li>o Communication</li> <li>o Effort</li> <li>o Stress</li> <li>o Other challenges with grant award/negotiation process</li> </ul> </li> <li>- Award notification and Receipt (timing, stress, communication)</li> <li>- Did/will make changes (programmatic and/or operational) based on award</li> <li>- Other</li> </ul>	Emergent
<b>Transition [POST]</b> <ul style="list-style-type: none"> <li>- Interactions with former grantee</li> <li>- Space and inventory (transition from former grantee, if new awardee)</li> <li>- External support for transition <ul style="list-style-type: none"> <li>o Support from Regional or National OHS staff</li> <li>o Support from OHS T/TA staff</li> <li>o Support from consultants or others outside of OHS formal system</li> </ul> </li> <li>- Interruption of services</li> <li>- Staffing</li> <li>- Challenges</li> <li>- Other</li> </ul>	Emergent
<b>Suggestions for Improving DRS</b>	<i>A priori</i>
<b>Cross-coding by Position</b>	<i>A priori</i>
<b>Cross-coding by Prior Status (Incumbent or New)</b>	<i>A priori</i>

# Appendix E: Instruments and Description of Measures

# Examining How the DRS Differentiates Higher versus Lower Quality Grantees: Research Question 2

E.1 Observational Quality Assessment Measures

E-3

## E.1 Observational Quality Assessments

The Quality Assessments component of the evaluation focused on answering the question, “Does the DRS differentiate higher versus lower quality?” The quality assessment instruments were selected to measure quality constructs represented in the Head Start Performance Standards and the DRS conditions at the time the evaluation was designed. Table E.1 provides a cross-walk of the Head Start Performance Standards with the DRS conditions and the instruments the evaluation used to measure them.

We conducted quality assessments at the program level using the Health and Safety Checklist (a checklist we constructed combining the National Association for the Education of Young Children (NAEYC) Childcare Health and Safety Checklist and the California Childcare Health Program Health and Safety Checklist), the Program Assessment Rating Scales (PAS), and the Tuckman-Chang Financial Ratios (an analysis of extant IRS data; See appendix B for the analysis description). We conducted quality assessments at the classroom level using the Classroom Assessment Scoring System (CLASS), the Early Childhood Environment Rating Scale-Revised (ECERS-R), the Early Childhood Environment Rating Scale-Enhanced (ECERS-E), and the Teacher Style Rating Scale-Adapted (TSRS-Adapted). A brief description of each instrument is provided below the table.

**TABLE E.1.**

**Crosswalk of Quality Constructs, DRS Conditions, and Independent Measures**

Quality Construct	DRS Conditions	Independent Measures
<b>Child Health and Safety</b> <ul style="list-style-type: none"> <li>• Access to health and dental care</li> <li>• Screening and referrals</li> <li>• Safe physical environments</li> <li>• Healthy practices and routines</li> <li>• Appropriate group sizes</li> <li>• Transportation and supervision</li> <li>• Nutrition, provision of meals</li> </ul>	<ul style="list-style-type: none"> <li>• Monitoring Deficiency</li> <li>• Licensing Revocation</li> </ul>	<ul style="list-style-type: none"> <li>• NAEYC Childcare Health and Safety Checklist</li> <li>• California Childcare Health Program Health and Safety Checklist</li> <li>• Observation Coversheet - recording of child-staff ratio and group size</li> </ul>
<b>Family and Community Engagement</b> <ul style="list-style-type: none"> <li>• Partnerships with families</li> <li>• Supporting family needs</li> <li>• Parent-child relationships</li> <li>• Parents as their child’s educators</li> <li>• Family literacy</li> <li>• Supporting parents in children’s transitions</li> <li>• Community partnerships</li> </ul>	<ul style="list-style-type: none"> <li>• Monitoring Deficiency</li> <li>• School Readiness Goal Requirement Noncompliance</li> </ul>	<ul style="list-style-type: none"> <li>• PAS Family Partnerships Subscale</li> </ul>
<b>Child Development and Education</b> <ul style="list-style-type: none"> <li>• Setting and using school readiness goals</li> <li>• Curriculum selection and implementation</li> </ul>	<ul style="list-style-type: none"> <li>• Monitoring Deficiency</li> <li>• School Readiness Goal</li> </ul>	<ul style="list-style-type: none"> <li>• PAS Child Assessment Subscale</li> <li>• Observation Coversheet - report of use of curriculum</li> </ul>

Quality Construct	DRS Conditions	Independent Measures
<ul style="list-style-type: none"> <li>Individualizing</li> <li>Support for children with disabilities</li> <li>Culturally, linguistically responsive</li> <li>Teacher/staff qualifications</li> </ul>	<ul style="list-style-type: none"> <li>Requirement Noncompliance</li> </ul>	
<b>Classroom Quality</b> <ul style="list-style-type: none"> <li>Emotional Support</li> <li>Classroom Organization</li> <li>Instructional Support</li> </ul>	<ul style="list-style-type: none"> <li>Monitoring Deficiency</li> <li>Low CLASS Scores</li> </ul>	<ul style="list-style-type: none"> <li>CLASS</li> <li>ECERS-R</li> <li>ECERS-E</li> <li>Adapted TSRS</li> <li>PAS Staff Qualification Subscale</li> </ul>
<b>Management, Operations and Governance Systems</b> <ul style="list-style-type: none"> <li>Program planning</li> <li>Ongoing monitoring</li> <li>Human Resources</li> <li>Communication</li> <li>ERSEA (Eligibility, Recruitment, Selection, Enrollment and Attendance)</li> <li>Record keeping and reporting</li> <li>Data driven decision making</li> <li>Governing Board and Policy Council</li> </ul>	<ul style="list-style-type: none"> <li>Monitoring Deficiency</li> <li>License Revocation</li> <li>ACF Grant Suspension</li> </ul>	PAS Subscales: <ul style="list-style-type: none"> <li>Program Planning and Evaluation</li> <li>Center Operations</li> <li>Human Resources Development</li> <li>Marketing and Public Relations</li> <li>Personnel Cost &amp; Allocation</li> </ul>
<b>Financial Integrity / Vulnerability</b> <ul style="list-style-type: none"> <li>Financial management systems</li> <li>Accounting practices</li> <li>Appropriate expenditures, costs and purchasing</li> <li>Failure to maintain a going concern</li> </ul>	<ul style="list-style-type: none"> <li>Monitoring Deficiency</li> <li>ACF Grant Suspension</li> <li>Federal Funding Debarment or Disqualification</li> <li>Audit Finding</li> </ul>	<ul style="list-style-type: none"> <li>PAS Fiscal Management Subscale</li> <li>Tuckman and Chang (1991) Financial Ratios using IRS Form 990 data</li> </ul>

## Health and Safety Checklist

The Health and Safety Checklist was adapted from The Childcare Health and Safety Checklist and The California Childcare Health Program Health and Safety Checklist (California Childcare Health Program 2005). The Childcare Health and Safety Checklist was developed by the National Association for the Education of Young Children and is described in *Healthy Young Children: A Manual for Programs*. The manual was first published in 1988 and has been extensively reviewed and updated. The current fifth edition reflects the most current recommendations from health professionals available at the time of writing for keeping children healthy and safe in group care (Aronson 2012). The manual was originally a handbook, *Health Power*,

developed for Head Start. The California Childcare Health Program Health and Safety Checklist (California Childcare Health Program 2005) is an 82-item measure that assesses the following areas: indoor and outdoor physical environment, healthy practices, supervision, and routines. This measure also includes specific practices for infant and toddler care. Data collectors were trained by the master coder at FPG. For this study the overall alpha for the Health and Safety Checklist was .86.

## **Program Administration Scale (PAS)**

The PAS contains 25 items grouped into 10 subscales that measure leadership, management, and administrative practices of center-based early childhood programs. The current study included 20 items across nine subscales: Family Partnership; Child Assessment; Staff Qualifications; Programming, Planning and Evaluation; Center Operations; Human Resources Development; Marketing and Public Relations; Personnel Cost and Allocation; and Fiscal Management. Observers will rate each item on a scale from 1 to 7 with higher scores indicating higher quality. This instrument is proprietary. More information can be found at <http://store.tpress.com/0807752452.shtml>. PAS data collectors were selected from those certified by the McCormick Center for Early Childhood Leadership. The alphas for the PAS at the center level ranged from .77 to .97 for this study.

## **Classroom Observational Instruments**

The four classroom observational instruments are the Classroom Assessment Scoring System (CLASS), an abbreviated version of the Early Childhood Environmental Rating Scale Revised (ECERS-R), the Early Childhood Environmental Rating Scale Extension (ECERS-E), and classroom management items from the Adapted Teacher Style Rating Scale (Adapted TSRS). As the CLASS, ECERS-R, and ECERS-E are proprietary, and the Adapted TSRS is unpublished, we provide descriptions of the instruments and how they were used rather than copies of the instruments.

### **CLASSROOM ASSESSMENT SCORING SYSTEM (CLASS)**

The CLASS (Pianta, La Paro, and Hamre 2008) provides an assessment of the quality of teacher-child interactions. Its ten dimensions are organized into three domains. The Emotional Support domain includes positive climate, negative climate, teacher sensitivity, and regard for student perspectives. The Classroom Organization domain includes behavior management, productivity, and instructional learning formats. The Instructional Support domain includes concept development, quality of feedback, and language modeling. Observers scored each dimension within all three domains on a scale from 1 to 7 with higher scores indicating

higher quality. This instrument is proprietary. More information can be found at <http://www.teachstone.org/about-the-class/>. Data collectors were trained by Teachstone. They attained reliability by viewing and coding on-line videos, in which 80 percent of codes must be within one of the master code, and within each dimension, at least 2 (out of 5) codes must be within one of the master code. The CLASS domain scores scored high internal consistency (.92 < alpha < .96; Hatfield et al. 2016).

Measures of internal consistency computed based on the data for this study:

- a. CLASS
  - i. emotional support alpha = .92
  - ii. classroom organization alpha = .93
  - iii. instructional support alpha = .96

#### EARLY CHILDHOOD ENVIRONMENT RATING SCALE-REVISED (ECERS-R)

The ECERS-R measures programs' structure, provisions for learning, and teaching and interactions. The full scale includes subscales in the areas of: (1) Space and Furnishing, (2) Personal Care Routines, (3) Listening and Talking, (4) Activities, (5) Interaction, (6) Program Structure, and (7) Parents and Staff. The current study will use an abbreviated version that includes 22 items across two subscales: Interaction and Space and Furnishing (also used in FACES 2009 (West et al. 2011)). Observers score each item on a scale from 1 to 7 with higher scores indicating higher quality. This instrument is proprietary. More information can be found at <http://ers.fpg.unc.edu/>.

#### EARLY CHILDHOOD ENVIRONMENT RATING SCALE-EXTENSION (ECERS-E)

The ECERS-E was developed to supplement the environmental rating scales and to measure practices in preschool classrooms specifically related to Literacy, Mathematics, Science and Environment, and Diversity (the four subscales of the measure). The instrument includes 15 items which observers rate on a scale from 1 to 7 with higher scores indicating higher quality. This instrument is proprietary. More information can be found at <http://store.tcpspress.com/0807751502.shtml>.

The ECERS scales have good inter-rater reliability and validity, thus making them suitable for research and program evaluation, as well as program improvement efforts. The total scale has good internal consistency ( $r = .92$ ; Harms, Clifford, and Cryer 2005) and validity in terms of associations with child outcomes (see Burchinal et al., 2015 for review). Raters must meet the criterion of at least 85 percent agreement within one point on ratings during training with one of the developers and their designated trainers. ERS data collectors were trained through a train-the-trainer model by a trainer certified by the Environment Rating Scales Institute (ERSI). Each observer was required to meet a reliability criterion of 85 percent agreement, which is calculated by dividing the number of items that were within one scale point of the gold standard score by the total number of items.

Measures of internal consistency computed based on the data for this study:

- a. ECERS-R (shortened version) total alpha = .90
  - i. Provisions score alpha = .85
  - ii. Interactions scale alpha = .83
- b. ECERS-E all academic items alpha = .83

#### ADAPTED TEACHER STYLE RATING SCALE (ADAPTED TSRS)

Bierman et al. (2008) used the original TSRS as a compliment to the CLASS in the Head Start REDI program because it focuses on the behavior of a specific teacher. In the REDI study the TSRS was coded for the lead teacher and the assistant teacher after the observers completed and scored four 20 minute CLASS cycles. Observer reliability was documented by having four observers complete two sets of the TSRS (presumably one for the lead teacher and one for the assistant teacher) and comparing those scores to the scores of the master CLASS coder. Agreement within 1 point occurred 93 percent of the time. An adapted version of the TSRS instrument incorporating additional subscales was created for The Head Start CARES study (Raver et al. 2012). The Adapted TSRS, used for this evaluation, consists of 45 items which assess teaching style across 15 domains: consistency/routine, preparedness, classroom awareness, positive behavior management, negative behavior management, emotion modeling, emotion expression, emotion regulation, social awareness, social problem solving, provision of interpersonal support, attention/engagement, scaffolding dramatic play, scaffolding peer interaction, and talk aloud (Raver et al. 2012). The current study used the domains related to classroom structure and management only. Data collectors were trained by Cybele Raver and were required to attain a reliability level of .85. Observers rated each item on a scale from 1 to 5 with higher scores indicating higher quality. The computed alpha for this study was .96.

# Understanding Grantee Quality Improvement Efforts and Perceptions

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## E.2 Professional Development and Technical Assistance Survey

[Note to reader: The Professional Development and Technical Assistance Survey was deployed through a web-based application. Thus, the formatting here does not appear exactly as it was deployed.]

### INTRODUCTION:

Thank you for your willingness to participate in the research study titled *the Evaluation of the Head Start Designation Renewal System*. The study is being conducted for the Office of Planning, Research and Evaluation (OPRE) in the U.S. Department of Health and Human Services by researchers at the Frank Porter Graham Child Development Institute at the University of North Carolina at Chapel Hill and the Urban Institute. The purpose of the evaluation is to understand if the Head Start Designation Renewal System is working as intended, as a valid, reliable, and transparent method for identifying high-quality programs that can receive continuing five-year grants without competition, and as a system that encourages overall quality improvements over time. We are going to do some observation and then ask you some questions about administration and training and technical assistance. The training and technical assistance questions are designed to help us understand the types of professional development and technical assistance supports that your program used to help in preparing for the monitoring visit you just had. You should include all types of professional development and technical assistance even if it was paid for with funds other than your Head Start allocation or if the services are freely available in your community. There are no right or wrong answers. We know that all programs handle their professional development and technical assistance needs differently, and we are just trying to understand how your program does it. Do you have any questions about the study before we get started? Ok, let's begin.

1. We know that each Head Start agency conducts professional development (PD) and technical assistance (TA). Please describe the types of PD and TA your programs received during the past year (Interviewer will check all that apply.)
  - a. We did not provide or organize any professional development or technical assistance for staff in our Head Start programs during the last 12 months. [*Note to interviewer: If this is the answer provided, then you will only complete questions 3, 6, and 7.*]
    - Type of PD/TA
    - Workshops
    - Seminars or classes on site
    - Coursework toward obtaining a degree
    - Coaching/consultation with a professional coach
    - Other—please specify \_\_\_\_\_
  - b. Which centers participated (select one)
    - 1=All centers
    - 2=Centers opted in
    - 3=Centers identified due to ongoing concerns
    - 4=It varies
  - c. Who participated
    - Teaching staff

- Family support staff
  - Directors and coordinators
  - Other staff \_\_\_\_\_
- d. Content of PD/TA
- Child health and safety
  - PD on curriculum being implemented.

If selected, please indicate curriculum:

- Creative Curriculum
  - High Scope
  - OWLS
  - Other—please list \_\_\_\_\_
- PD to improve teacher-child interactions.
- If selected, please indicate content:
- MyTeachingPartner
  - Partners for Inclusion or other models linked to Environmental Rating Scales
  - Other—please list \_\_\_\_\_
  - Family engagement
  - Family referral
  - Enrollment
  - Other PD/TA—please list \_\_\_\_\_

2. We know that professional development and technical assistance is part of a regular routine in Head Start centers, regardless of the year you receive a Head Start monitoring visit. Did your program do anything differently in regard to professional development or technical assistance in the 12 months leading up to this monitoring visit?

1=Yes, we focused differently on professional development

2=Yes, we focused differently on technical assistance

3=Yes, we focused differently on both professional development and technical assistance

4=No, we did not focus our professional development or technical assistance efforts any differently

3. Please tell me a little bit about how your professional development and technical assistance decisions are made in your Head Start program.

1=Decisions are made centrally by the Head Start Program Director.

2=Each delegate agency decides on what is needed for the sites that they operate.

3=Each center makes decisions about what they need.

4=Another approach, please explain: \_\_\_\_\_

4. Please tell me a little bit about the professional development that your staff engaged in during the last 12 months. I am going to read some statements. After each statement, please tell me if this describes one of the strategies that your program used.

### Teaching Staff

I will begin with questions related to teaching staff.

- Each teaching staff member has an individual plan to meet his/her training and educational needs. Each teaching staff member took some classes based on his/her current skill level to improve.

Additional Notes: \_\_\_\_\_

- We brought in someone to perform a mock-CLASS assessment so that we could see what areas we needed to improve on.

Additional Notes: \_\_\_\_\_

- A workshop was offered on improving the quality of teacher-child interactions.

Additional Notes: \_\_\_\_\_

- A workshop was offered on improving health and safety practices in the classroom and on the playground.

Additional Notes: \_\_\_\_\_

- Teachers were coached with the goal of improving the quality of teacher-child interactions.

Additional Notes: \_\_\_\_\_

4a. I'm going to ask about particular kinds of training you might have arranged for teaching and supervision staff. Please tell me whether or not your program conducted these kinds of training, and whether or not you held the training for groups of teaching staff or if you sent individual staff to existing workshops.

*[Interviewer: please mark appropriate boxes]*

Types of Training	Teaching Staff		Supervisory Staff, Coordinators, Managers	
	Internal Group Training	External Individual Training	Internal Group Training	External Individual Training
Organized training on one or more topics to help improve CLASS scores?	0=No 1=Yes	0=No 1=Yes	0=No 1=Yes	0=No 1=Yes
Organized training on one or more topics where we have had previous noncompliance in a monitoring visit? Types of topics (Complete for any "yes" in the row):__	0=No 1=Yes	0=No 1=Yes	0=No 1=Yes	0=No 1=Yes
Types of teaching topics where supervisors have identified staff weaknesses, but not necessarily related to monitoring visits?	0=No 1=Yes	0=No 1=Yes	0=No 1=Yes	0=No 1=Yes
Sent members of our staff to get the official CLASS certification at Teachstone?	0=No 1=Yes	0=No 1=Yes	0=No 1=Yes	0=No 1=Yes
Coursework toward obtaining a degree?	0=No 1=Yes	0=No 1=Yes	0=No 1=Yes	0=No 1=Yes
Did you conduct other types of training for teaching staff or supervisory staff? If yes, what other types of training did you conduct? <i>[Interviewer places each different type of training on its own line and then indicates through the "yes/no" by column to whom the training was offered and in what format.]</i>	0=No 1=Yes	0=No 1=Yes	0=No 1=Yes	0=No 1=Yes

### Financial Staff

Now I will ask some questions related to financial staff.

Types of Training	Financial Staff	
	Internal Group Training	External Individual Training
Training to better understand general accounting procedures?	0=No 1=Yes	0=No 1=Yes
Training to better understand federal grants management and reporting procedures?	0=No 1=Yes	0=No 1=Yes
Training to improve practices cited as problematic in previous monitoring review or other interactions with Office of Head Start?	0=No 1=Yes	0=No 1=Yes
Did you conduct other types of training for financial staff? If yes, what other types of training did you conduct? [Interviewer places each different type of training on its own line and then indicates through the “yes/no” by column to whom the training was offered and in what format.]	0=No 1=Yes	0=No 1=Yes

### Governance and Policy Council

Now I will ask some questions related to the governing board and policy council members.

Types of Training	Policy Council Members		Governing Board Members	
	Internal Group Training	External Individual Training	Internal Group Training	External Individual Training
Training to better understand Head Start responsibilities?	0=No 1=Yes	0=No 1=Yes	0=No 1=Yes	0=No 1=Yes
Training to understand new requirements of the DRS, and what the DRS means for our organization?	0=No 1=Yes	0=No 1=Yes	0=No 1=Yes	0=No 1=Yes
Training to understand the CLASS?	0=No 1=Yes	0=No 1=Yes	0=No 1=Yes	0=No 1=Yes
Training to understand the new Head Start School Readiness Goals requirements?	0=No 1=Yes	0=No 1=Yes	0=No 1=Yes	0=No 1=Yes
Did you conduct other types of training for governing board and policy council members? If yes, what other types of training did you conduct? [Interviewer places each different type of training on its own line and then indicates through the “yes/no” by column to whom the training was offered and in what format.]	0=No 1=Yes	0=No 1=Yes	0=No 1=Yes	0=No 1=Yes

4b. Were there other kinds of training that you wanted to obtain for your staff, but could not?

1= Yes 0= No

If yes, why couldn't you provide the training?

We could not afford all of the training we wanted to provide.

We could not find all of the training we wanted to provide.

5. Please tell me a little bit about the technical assistance your program sought and used during the last 12 months. I am going to read some statements. After each statement, please tell me if your program used any of the following strategies: phone TA, on-site TA, mentoring, or coaching.

We sought and used the following types of technical assistance:

Technical Assistance Topics	Phone TA	On-Site TA	Mentoring	Coaching
Preparing for the CLASS	1= None 2= 1 time 3= Ongoing	1= None 2= 1 time 3= 2-4 times 4= 5+ times	1= Yes 0= No	1= Yes 0= No
Improving health and safety practices	1= None 2= 1 time 3= Ongoing	1= None 2= 1 time 3= 2-4 times 4= 5+ times	1= Yes 0= No	1= Yes 0= No
Improving school readiness goal-setting and use for planning	1= None 2= 1 time 3= Ongoing	1= None 2= 1 time 3= 2-4 times 4= 5+ times	1= Yes 0= No	1= Yes 0= No
Improving family engagement practices	1= None 2= 1 time 3= Ongoing	1= None 2= 1 time 3= 2-4 times 4= 5+ times	1= Yes 0= No	1= Yes 0= No
Improving family referral and follow up practices	1= None 2= 1 time 3= Ongoing	1= None 2= 1 time 3= 2-4 times 4= 5+ times	1= Yes 0= No	1= Yes 0= No
Improving enrollment and tracking practices	1= None 2= 1 time 3= Ongoing	1= None 2= 1 time 3= 2-4 times 4= 5+ times	1= Yes 0= No	1= Yes 0= No

Did you seek or use any other types of technical assistance? If yes, what other types did you seek or use? [Interviewer places each different type of technical assistance on its own line and then indicates through the "yes/no" by column which strategy was used.]	Phone TA	On-Site TA	Mentoring	Coaching
	0=No 1=Yes	0=No 1=Yes	0=No 1=Yes	0=No 1=Yes

6. Were there other types of technical assistance that you wanted but you could not obtain for your program?

Yes, we could not afford all of the technical assistance we felt like we needed

Yes, but we could not find all of the kinds of technical assistance that we felt like we needed

No, we got all of the technical assistance that we thought we needed.

7. Is there anything else you would like to tell us about the kind of PD and TA that you obtained or tried to obtain for your program?

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## E.3 Head Start Director Telephone Interview Protocol

Public reporting burden for this collection of information is estimated to average 75 minutes per response, including the time for reviewing the instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. This information collection is voluntary. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to: Reports Clearance Officer (Attn: OMB/PRA 0970-0443), Administration for Children and Families, Department of Health and Human Services, 370 L'Enfant Promenade, S.W., Washington, D.C. 20447.

### EVALUATION OF THE HEAD START DESIGNATION RENEWAL SYSTEM

#### HEAD START DIRECTOR TELEPHONE INTERVIEWS

(75 MINUTES)

## INTRODUCTION

Hello, this is [*insert interviewer name*], calling from the Urban Institute. May I please speak with [*insert respondent name*]? I am calling to conduct the telephone interview about the Head Start Designation Renewal System that we scheduled (*insert yesterday, a few days ago, last week, a few weeks ago, etc.*). Is this still a good time?

*If no.* I understand. When would be a good time to reschedule? (*set new date/time*).

*If yes,* Great. Just to confirm, you can talk with me until about (*insert time*)?

## INFORMED CONSENT

Terrific. As I explained when we spoke before, The Urban Institute and Frank Porter Graham Child Development Institute have received funding from the Office of Planning, Research and Evaluation (OPRE) in the U.S. Department of Health and Human Services to conduct a research study titled *Evaluation of the Head Start Designation Renewal System*, or DRS. The purpose of the evaluation is to understand if the DRS is working as intended, as a valid, reliable, and transparent method for identifying high-quality programs that can receive continuing five-year grants without competition and as a system that encourages overall quality improvement over time. The purpose of these phone interviews is to learn from Head Start (*if applicable* and Early Head Start) programs like yours about their experiences with—and responses to—the DRS. We want a range of perspectives so we are speaking to all types of grantees, including those that have had some direct involvement with the DRS and those that have not. Before I begin my questions, I want to explain our study procedures and your rights as a participant.

The information you share in this telephone interview will be kept private. That means your individual answers will not be shared with anyone outside the research staff working on the study, except as required by child abuse and neglect reporting law. When we report our findings, information from all people we interview will be put together and presented so that no individual's answers can be identified. Also, we will not use your name, the name of your program, your specific location or any other identifying information in any of our reports.

We especially want to make sure that you freely consent to participate in this phone interview and that, except for losing the opportunity to share your views, you understand there won't be any consequences to you or your program if you choose not to participate or not to answer some of the survey questions. Participating in the study will not have any bearing on your Head Start grant. Do you consent to participate in the telephone interview?

*(If yes, note time. If no, address concerns and explore possibility of participation.)*

Because we value your time and information you will share with us today, we want to make sure we accurately capture all the details. So, we would also like your permission to record the conversation. The recording will serve as a back-up tool to ensure we capture all your comments in as close to your words as possible and will be kept secure in the same way as I described our security procedures before. It will also help us move through the discussion more quickly because we will not have to pause to be sure we have documented your answers thoroughly. Once the project is complete, all recordings will be destroyed. During the discussion, we can also stop the recording while you make a particular comment. Do you give permission for us to record the conversation?

*(If yes, note time. If no, do not record.)*

Now, this is a government-sponsored research project, so I have to read the following statement to comply with the Paperwork Reduction Act. Public reporting burden for this collection of information is estimated to average 75 minutes per response, including the time for reviewing the instructions, searching existing data sources, gathering the data needed, and compiling and reviewing the collection of information. This information collection is voluntary. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number. The OMB control number for this study is OMB/PRA 0970-0443. You can send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden to ACF. Would you like that address? [Reports Clearance Officer (Attn: OMB/PRA 0970-0443) Administration for Children and Families, Department of Health and Human Services, 370 L'Enfant Promenade, S.W. Washington, DC 20447.]

Before we begin, do you have any questions about the study, our organization, or this interview?

Okay, I have one final point to make. Our goal today is to hear your perspectives as clearly and as comprehensively as possible. So I will be doing a lot of listening, and asking follow-up questions, but I won't really respond directly to your comments and sometimes, I may need to change the subject abruptly so we can cover all the topics in the time we have.

## INTERVIEW QUESTIONS

1. To start, would you please tell me your official job title, how long you've worked in this position, and about any past positions you've held in Head Start or Early Head Start?

2. And could you give me an overview of your organization?

a) Is your program part of a single-purpose or a multi-purpose organization? What other services does the organization provide?

b) What is your approximate total annual budget? (For organization as a whole and, if different, specifically for Head Start or early childhood education services)

c) Do you operate any other types of early childhood programs besides Head Start (*if applicable* and Early Head Start)? (*If yes, Tell me about how those programs operate and funding sources.*)

*(Clarification, if necessary: A single purpose organization only provides Head Start and Early Head Start services, a multi-purpose organization operates other programs in addition to Head Start and Early Head Start).*

d) What roles are represented on your management team?

3. Do you have any delegate agencies or Head Start slots through child care partnerships?

*Probe if necessary: Tell me a little bit about those agencies/partnerships.*

*(Interviewer note: Review PIR in advance to obtain preliminary information about delegates/child care partnerships.)*

4. Now, I'd like to hear a little bit about the history of your organization as a Head Start grantee.

a) How many years have you been offering Head Start?

- b) What is your Head Start service area?
  - c) What do you see as the primary needs of young children in the community (communities) you serve?
5. Our conversation today will center on your perceptions and experiences with the Head Start Designation Renewal System or the DRS. Do you recall when you first heard about the DRS?  
*(Interviewer note: Pause to allow respondent to volunteer first thoughts about the DRS before probing.)*
- a) How did you first hear about it?
  - b) What did you think of the DRS when you first heard about it?
  - c) Have your impressions changed at all over time? How so?
6. If you had to explain what the DRS is to someone who is not familiar with it, what would you tell them?  
(Building on response, probe for understanding of DRS implementation and related rules. For example, What would you tell them is the purpose of the DRS? How would you explain the conditions that trigger competition? What would you say is involved in competing for a grant? What happens to programs that are not designated for competition?)  
(Optional clarification: One of the things we want to understand in this study are the parts of the DRS that are confusing and parts that are easy to understand, so we're interested in your sense of what the DRS involves.)
- a) Are there aspects of the DRS that you find confusing or would like to know more about?
7. Now thinking (more) specifically about the DRS conditions, what do you think of those 7 conditions?  
(Clarify if necessary: The 7 conditions that OHS uses to identify grantees eligible for noncompetitive five-year grants and to identify grantees that will have to compete for ongoing funding).  
(Clarify if needed: The conditions include deficiencies on monitoring reviews, CLASS scores, requirements around school readiness goals, certain audit findings, licensing status, and others.)
- a) Are there certain conditions you see as more problematic than others?
  - b) *If yes*, Which conditions and why?
  - c) *If no*, Is that because you view all the conditions as problematic (explain how) or because you don't view any of them as problematic?

*(Interviewer note: We are interested in "problematic" in whatever way the respondent defines it, whether in terms of areas their program may have difficulty meeting or in terms of being invalid or unreliable measures of quality in general, or some other definition.)*

8. One goal of the DRS is to identify high quality programs that are eligible for non-competitive five-year grant awards. Are there aspects of your program's quality that you feel are not well-captured by the DRS? Aspects of your program quality that you feel are well-captured by the DRS?
9. I want to change topics just a little bit now. Can you tell me about the ways the DRS has affected your program?

Interviewer note: The goal of this question is to get first, broad brush impressions of how DRS may be affecting programs, without pushing to specifics elements affected and how. If it is too abstract and difficult to answer, try the sub-questions but move on if not much fruitful discussion is generated.

Alternatively, this question may lead to discussion of topics shown under question 11 below. If so, it is okay to finish out question 11 here and omit it later in the interview.

- a) Has the DRS made you think differently about your program or your approach to service delivery? What are you thinking about differently and why?
- b) What kinds of positive effects, if any, has the DRS had on your program?
- c) What kinds of negative effects, if any, has the DRS had on your program?

10. Grantees may have different perspectives on the DRS depending on how their program has performed in the past or how concerned they are about being designated for competition. Where do you think your program fits?

*Optional probe:* What do you see as your program's strengths and weaknesses?

If not covered in previous responses, probe for any concerns about meeting particular conditions, whether program is concerned about being designated for competition.

11. Some communities we've seen have a large number of early care and education providers that could potentially apply for available Head Start funding. In other communities, few eligible providers or organizations exist. What are your thoughts on your community? *(Probe: Are there other organizations in your area that you think might apply for Head Start funding if it becomes available? What do you think of these providers/organizations?)*

12. Thinking back to before the DRS was implemented to now, how, if at all, has your program changed? *Optional probe:* Have you made any changes to your classroom operations or staffing, training, management, or governance activities as a result of the DRS? Tell me about those changes.

- a) Can you provide a few specific examples of the changes made? *(Probe: professional development, attention to specific performance standards, other service delivery changes, management approach/activities, governance activities, community partnerships, working with consultants)*
- b) Would you say the changes you described are related or unrelated to the DRS? Can you tell me more about that?
- c) Are you planning any other changes for the near future that are in response to the DRS? What changes, and why?
- d) *(If unclear)* How, if at all, do you think these changes are related to your program quality?
- e) Is there anything special you do to prepare for monitoring visits because of the role those findings play in the DRS? *(Probe for details if necessary.)*

13. Tell us about the types of training or technical assistance your program has received during the past few years since the DRS was implemented. *(Probe type of T/TA provider, content and recipient of T/TA, occurrence and frequency, cost. If available, review and build probes on information collected during "quality" field work.)*

- a) Why did you decide to seek training or technical assistance on those topics?

14. *Optional/time permitting:* From your perspective, what other kinds of resources or support do you and your staff need to improve or maintain program quality?

15. Those are almost all of my questions. Before we wrap up, I want to ask you about two things. Overall, for the broad Head Start community, what do you think is the most problematic aspect of the DRS and what do you think is the most beneficial? (*Probe for both beneficial and problematic aspects*).

## CONCLUSION

I don't have any additional questions for you. Is there anything I didn't ask that you want to tell me about the DRS?

This has been a really great discussion. Thank you very much for your time.

## E.4a On-Site Follow-Up Interview Protocol: Program Director

Public reporting burden for this collection of information is estimated to average 60 minutes per response, including the time for reviewing the instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. This information collection is voluntary. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to: Reports Clearance Officer (Attn: OMB/PRA 0970-0443), Administration for Children and Families, Department of Health and Human Services, 370 L'Enfant Promenade, S.W., Washington, D.C. 20447.

### EVALUATION OF THE HEAD START DESIGNATION RENEWAL SYSTEM

#### ON-SITE FOLLOW-UP INTERVIEW PROTOCOL PROGRAM DIRECTOR

(90 MINUTES)

## INTRODUCTION

Thank you again for agreeing to meet with us today. I'm [INTERVIEWER NAME] and this is my colleague [ASSISTANT NAME], and we're researchers from the Urban Institute, a non-profit policy research organization in Washington, DC. We are (or are not the same individuals) you spoke with on the phone earlier this year (provide month). It is so nice to meet you in person.

As you know, the goal of this visit is to learn more about grantees' perceptions of the Head Start Designation Renewal System, or DRS. This visit is another component of the study funded by the Office of Planning Research and Evaluation in the U.S. Department of Health and Human Services to evaluate the DRS. In this phase of the research, we are visiting 15 of the Head Start grantees from across the country that we spoke to on the phone earlier this year. We will combine the information we gather across programs to inform the Office of Head Start about how Head Start programs are responding to the DRS and what their strengths and needs are.

Our meeting with you today will last about 90 minutes. The structure will be rather open-ended, meaning we have a list of specific questions to cover but we welcome any responses you may have. We will be following up on some of the items we asked you about on the phone, and asking some new questions. During our visit to your program, we will also be talking to governing body, policy council, and other management staff of your program.

There are no right or wrong answers. The purpose of the interview is to learn about your interpretation and reactions to the DRS. You should answer based on what it means to you, your program, and your community.

I have one final point to make. Our goal today is to hear your perspectives as clearly and as comprehensively as possible. So I will be doing a lot of listening, and asking follow-up questions, but I won't really respond directly to your comments and sometimes, I may need to change the subject abruptly so we can cover all the topics in the time we have.

*(Note to Researchers: Participants may mention sequestration. Sequestration and the DRS are not connected to each other, but obviously they are experiencing the effects at the same time. You should note all of what is said, but you should clarify that the DRS and sequestration are not part of the same initiative.)*

## INFORMED CONSENT

Before I begin my questions, I'd like to give you a copy of a consent form that describes our study procedures and your rights as a participant. If you agree to the study procedures, I'll ask you to sign and date your copy.

[NOTES TO FACILITATORS: Give copy of consent form to participant. Participant must sign and return one copy and may keep the second copy.]

- I'll point out that your participation in this study is completely voluntary. You may choose to not answer any question and may stop the interview at any time.
- Everyone who works on this study has signed a *Staff Confidentiality Pledge* prohibiting disclosure of anything you say during the interview that would allow someone outside the research team, including government staff and officials, to identify you. The only exception is a researcher may be required by law to report suspicion of immediate harm to yourself, children, or others.
- Your name and other identifying information, such as the program's name and specific location, will be removed from the notes we take during the conversation.

- We value the time and information you will share with us today and want to make sure we accurately capture all the details. With your permission, we will audio record the session and take notes (written and/or on a laptop computer). Those notes will not include your name. The recording will serve as a back-up tool to ensure we capture all your comments in as close to your words as possible. Once the project is complete, all recordings will be destroyed. During the discussion, if you would like to stop the recording while you make a particular comment, please let us know and we will do so.

Before we get started, do you have any questions about the study, our study procedures, or the Urban Institute?

[If anyone objects to recording the discussion, the researcher who is not leading the interview will need to take thorough notes.]

1. To start, what are some of the key needs your program serves in your community and how has that evolved over time?
2. What do you see as the key strengths of your Head Start program?
3. What are some of the areas you are currently targeting or plan to target for improvement?
  - a) Probe why targeting these areas? (Probe if decision connected to DRS in any way)
  - b) If decision connected to DRS probe specific connection (i.e., whether their program was designated, they know of other programs designated for this reason, their monitoring report indicated they need improvement in this area, etc.)
4. *ASK if program was not designated for competition:* As you know, late last year the Office of Head Start announced the next cohort of grantees eligible for noncompetitive five year grants and the next cohort of grantees that will have their grants released for open competition. We understand that your program is eligible for a noncompetitive five-year grant, do you think your organization will apply?
  - a) *If yes ASK*, What is your sense of what will be involved in that application process?
  - b) *Probe:* to what extent is the process the same as or different than the application process your Head Start program used to have?
  - c) What are your concerns, if any, about that process?
  - d) If no concerns ASK, Why not?
  - e) Are you planning to make any changes related to the types of services your program offers?
5. *ASK if program was designated for competition:* As you know, late last year the Office of Head Start announced the next cohort of grantees that will have their grants released for open competition. We understand that your program was designated for competition. Will your organization apply?
  - a) *If yes ASK*, What is your sense of what will be involved in that application process?
  - b) *Probe:* to what extent is the process the same as or different than the application process your Head Start program used to have?
  - c) *Probe:* to what extent is this process the same or different than the noncompetitive five year grants?
  - d) What are your concerns, if any, about that process?
  - e) If no concerns ASK, Why not?
  - f) Are you planning to make any changes related to the types of services your program offers?

6. As you know, the Office of Head Start released the DRS rules in fall 2011. We would like to learn more about programmatic or administrative changes you have made since that time. We are especially interested in activities you specifically selected to help reduce the chance that your program would be designated for competition. *Interviewer, wait for response and after getting an overview, probe for specific types of activities.*
  - a) How about in relation to the CLASS assessment criteria? Have you taken any measures that you think might improve your scores on the CLASS? Describe.
  - b) How about fiscal controls? Have you made any changes to your fiscal processes?
  - c) Administrative structure?
  - d) Your provisions and procedures for meeting Head Start Performance standards related to health and safety?
  - e) Record keeping practices?
  - f) Community partnerships or funding opportunities from sources other than Head Start?
  - g) Types of technical assistance or training you seek out?
  - h) Are there any other changes you have made in relation to the DRS, either in terms of administrative practices or in terms of making improvements to classroom quality?
7. *[If not covered in question #6 ASK]* How, if at all, has the DRS affected your program's relationships with community partners and/or other funders?
8. (Prior to interview PDTA (TAT) survey data will be provided so that interviewers can learn about the professional development and T/TA activities in which this program engaged in the year prior.) Tell us about the professional development, training or technical assistance your program received in the last year, prior to learning your DRS status.
  - a) Why did you decide to seek this type of professional development or T/TA?
  - b) Who conducted the activities? (Probe if internal staff member or if program used external/outside consultants, HS professionals, etc. If they used an external entity, get a name of a firm or the specific type of OHS TA person)
  - c) What impact did this/these activities have on your program? (Possible probes: if they felt the T/TA made a difference (why or why not), if they feel they should have focused on other areas (if so, what other areas and why), if they should have used a different facilitator (why or why not), etc.)
  - d) To what extent do you feel you have to make trade-offs between Head Start requirements and state requirements?
9. The Office of Head Start triennial monitoring review plays a large part informing designation of programs under the DRS. Will you please talk about the steps you take to prepare for a monitoring review?
  - a) What was different, if anything, between your preparation for this last review and the one you had before that?
10. One of the things we are interested in understanding is whether the DRS motivates grantees to work toward improving quality. You have talked about some of the changes you made since the DRS was implemented. I would also like to hear your thoughts on whether and how, overall, the DRS motivates grantees to improve quality. Will you share your opinion about that?
11. Most public policies like the DRS have both positive and negative implications for the organizations they target. What do you see as some of the positive/negative implications of the DRS for your program and for Head Start programs generally? *(Ask about positive if conversation has been generally negative and ask about negative if conversation has been generally positive.)*

12. *ASK programs designated for competition*: Earlier, we talked briefly about your program being designated for competition. Do you think there will be a lot of other applicants?
  - a) *If yes*: Please tell me about the organizations that you think would apply. *Probe for*: Strengths and weaknesses, number of organizations, types of organizations likely to compete.
  - b) *If no*: Why not?
13. Those are almost all my questions. Before we wrap up, though, I would like to hear your thoughts on the kinds of technical assistance and support that could help Head Start programs like yours better navigate the DRS process.
14. Finally, do you have any suggestions for the Office of Head Start for improving the DRS so that it can be an effective tool for supporting high quality in Head Start nationwide?
  - a) *Probe*: Do you have suggested changes regarding how OHS might consider adjusting the rules regarding the seven conditions that can trigger competition?
    1. If respondents suggests weighting the conditions then ask which conditions would carry the most/least weight and why.

I don't have any additional questions for you.

15. Is there anything I didn't ask that you want to tell me about the DRS?

This has been a really great discussion. Thank you very much for your time.

## Evaluation of the Head Start Designation Renewal System Informed Consent for Participation

- You are being invited to participate in a research study called “Evaluation of the Head Start Designation Renewal System,” conducted by the Urban Institute, a non-profit research organization in Washington, D.C, and the Frank Porter Graham Child Development Institute at the University of North Carolina, a project subcontractor. This study is funded by the U.S. Department of Health and Human Services, Administration for Children and Families.
- The purpose of this study is to understand if the Head Start Designation Renewal System is working as intended, as well as how the system is working, the circumstances in which it works more or less well, and the contextual, demographic, and program factors and program actions associated with how well the system is working.
- Participation in this study is completely voluntary. You may choose to not answer any question and may stop the interview at any time. There are no consequences for choosing not to participate or not to answer any question.
- Interviews with Head Start Program Directors and small group interviews will last about 90 minutes, and interviews with Agency Directors will last approximately 60 minutes.
- Although you may not benefit directly from this study, your participation will help us understand the experiences of Head Start programs, which may inform future Head Start policies and technical assistance efforts.

The research team will take the following steps to protect your privacy:

- Everyone who works on this study has signed a confidentiality agreement prohibiting disclosure of anything you say during the interview that would allow someone outside the research team, including government staff and officials, to identify you. The only exception is a researcher may be required by law to report suspicion of immediate harm to yourself, to children, or to others.
- Your name and other identifying information, such as the program’s name and specific location, will be removed from the data to protect your privacy.
- The researchers plan to publish the results of this study in a final report and research briefs, and present the results during several government briefings and national conferences. Your answers will be kept private, meaning your identity will never be revealed in the results.
- With your permission, we will audio record the session. The recording will serve as a back-up tool to ensure that we capture all your comments in our notes in as close to your words as possible. The digital recording will be kept in secured files accessible only to project staff and subcontractors. Once the project is complete, all recordings will be destroyed.

If you have questions about this study, you may contact Co-Principal Investigator Teresa Derrick-Mills at the Urban Institute, 2100 M Street NW Washington, DC 20037, at (202) 261-5731 or [tderrick-mills@urban.org](mailto:tderrick-mills@urban.org).

Signing this consent form indicates that you understand the study procedures and are willing to participate in this interview.

\_\_\_\_\_  
Respondent’s Name (PLEASE PRINT)

\_\_\_\_\_  
Respondent’s Signature

\_\_\_\_\_  
Date

- Checking this box indicates that you agree to have the interview audio recorded.

You will be given a copy of this form for your records.

## E.4b On-Site Follow-Up Interview Protocol: Multi-Purpose Agency Director

Public reporting burden for this collection of information is estimated to average 60 minutes per response, including the time for reviewing the instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. This information collection is voluntary. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to: Reports Clearance Officer (Attn: OMB/PRA 0970-0443), Administration for Children and Families, Department of Health and Human Services, 370 L'Enfant Promenade, S.W., Washington, D.C. 20447.

### EVALUATION OF THE HEAD START DESIGNATION RENEWAL SYSTEM

#### ON-SITE FOLLOW-UP INTERVIEW PROTOCOL MULTI-PURPOSE AGENCY DIRECTOR

(60 MINUTES)

## INTRODUCTION

Thank you for agreeing to meet with us today. I'm [INTERVIEWER NAME] and this is my colleague [ASSISTANT NAME], and we're researchers from the Urban Institute, a non-profit policy research organization in Washington, DC.

As part of a research study funded by the Office of Planning Research and Evaluation in the U.S. Department of Health and Human Services, we are visiting 15 Head Start grantees from across the country. The goal of these visits is to learn about grantees' perceptions of the Head Start Designation Renewal System, or DRS. We will combine the information we gather across programs to inform the Office of Head Start about how Head Start programs are responding to the DRS and what their strengths and needs are.

During our visit to your program, we will be meeting with program leaders and members of your policy council and governing body to get different perspectives. Our meeting with you today will last about 60 minutes. The structure will be rather open-ended, meaning we have a list of specific questions to cover but we welcome any responses you may have.

There are no right or wrong answers. The purpose of the interview is to learn about your interpretation and reactions to the DRS. You should answer based on what it means to you, your program, and your community.

I have one final point to make. Our goal today is to hear your perspectives as clearly and as comprehensively as possible. So I will be doing a lot of listening, and asking follow-up questions, but I won't really respond directly to your comments and sometimes, I may need to change the subject abruptly so we can cover all the topics in the time we have.

*(Note to Researchers: Participants may mention sequestration. Sequestration and the DRS are not connected to each other, but obviously they are experiencing the effects at the same time. You should note all of what is said, but you should clarify that the DRS and sequestration are not part of the same initiative.)*

## INFORMED CONSENT

Before I begin my questions, I'd like to give you a copy of a consent form that describes our study procedures and your rights as a participant. If you agree to the study procedures, I'll ask you to sign and date your copy.

*[NOTES TO FACILITATORS: Give copy of consent form to participant. Participant must sign and return one copy and may keep the second copy.]*

- I'll point out that your participation in this study is completely voluntary. You may choose to not answer any question and may stop the interview at any time.
- Everyone who works on this study has signed a *Staff Confidentiality Pledge* prohibiting disclosure of anything you say during the interview that would allow someone outside the research team, including government staff and officials, to identify you. The only exception is a researcher may be required by law to report suspicion of immediate harm to yourself, children, or others.
- Your name and other identifying information, such as the program's name and specific location, will be removed from the notes we take during the conversation.
- We value the time and information you will share with us today and want to make sure we accurately capture all the details. With your permission, we will audio record the session and take notes (written and/or on a laptop computer). Those notes will not include your name. The recording will serve as a back-up tool to ensure we capture all your comments in as close to your words as possible. Once the project is complete, all recordings will be destroyed. During the discussion, if you would like to stop the recording while you make a particular comment, please let us know and we will do so.

Before we get started, do you have any questions about the study, our study procedures, or the Urban Institute?

*[If anyone objects to recording the discussion, the researcher who is not leading the interview will need to take thorough notes.]*

1. To start, would you please tell me your official job title, how long you've worked in this position, and a little bit about your organization?
  - a) Tell me about the ways in which you are involved in managing your Head Start Program.
2. What do you see as the key strengths of your Head Start program?
3. Our conversation today will center on your perceptions and experiences with the Head Start Designation Renewal System, or DRS. As you may know, Head Start programs that meet certain conditions are now required to compete for renewed funding. Are you familiar with this new approach to Head Start grants? *(If no, give brief summary of DRS and adjust questions accordingly).*
  - a) How did you first learn about the DRS?
  - b) What did you think of the DRS when you first heard about it?
  - c) Have your impressions changed at all over time? How so?
  - d) What are your primary sources of information for learning about and understanding the DRS?
4. Are there aspects of the DRS that you find confusing or would like to know more about?
5. How has the DRS affected your Head Start program?
  - a) Has the DRS made you think differently about your program or your approach to service delivery? What are you thinking about differently and why?
  - b) What kinds of positive effects, if any, has the DRS had on your program?
  - c) What kinds of negative effects, if any, has the DRS had on your program?
6. How, if at all, has the DRS affected your relationships with community partners?
7. Late last year the Office of Head Start announced the next cohort of grantees eligible for noncompetitive five year grants and the next cohort of grantees that will have their grants released for open competition. Prior to this announcement how concerned were you that your program might meet one of the conditions for competition?
  - a) *Probe if not covered by response:* Which DRS criterion or criteria were you most worried might cause your program to be designated for competition and why?
8. Since OHS announced the most recent designation cohort what are some of the areas you are currently targeting or plan to target for improvement?
  - a) Probe why targeting these areas? (Probe if decision connected to DRS in any way)
  - b) If decision connected to DRS, probe specific connection (i.e., whether their program was designated, they know of other programs designated for this reason, their monitoring report indicated they need improvement in this area, etc.)
9. Some communities we've seen have a large number of early care and education providers that could potentially apply for available Head Start funding. In other communities, few eligible providers or

organizations exist. What are your thoughts on your community? *(Probe: Are there other organizations in your area that you think might apply for Head Start funding if it becomes available? What do you think of these providers/organizations?)*

10. The Office of Head Start released the DRS rules in Fall 2011. Thinking back to before the DRS was implemented to now, what kinds of changes, if any, have you made in response to the DRS? *Optional probe: Have you made any changes to your classroom operations or staffing, management, or governance activities as a result of the DRS? Tell me about those changes.*
  - a) Can you provide a few specific examples of the changes made? (Probe: professional development, attention to specific performance standards, other service delivery changes, management approach/activities, governance activities, community partnerships, working with consultants)
  - b) Are you planning any other changes for the near future that are in response to the DRS? What changes, and why?
  - c) How, if at all, do you think these changes are related to your Head Start program quality?
11. From your perspective, what kinds of resources or support does your program need to improve or maintain program quality? (Probe both for things they have that they need to continue to have and for additional things that they need.)
12. Those are almost all of my questions. Before we wrap up, I want to ask you about two things. Overall, for the broader Head Start community, what do you think is the most problematic aspect of the DRS and what do you think is the most beneficial? *(Probe for both beneficial and problematic aspects).*

I don't have any additional questions for you. Is there anything I didn't ask that you want to tell me about the DRS?

This has been a really great discussion. Thank you very much for your time.

## Evaluation of the Head Start Designation Renewal System Informed Consent for Participation

- You are being invited to participate in a research study called “Evaluation of the Head Start Designation Renewal System,” conducted by the Urban Institute, a non-profit research organization in Washington, D.C, and the Frank Porter Graham Child Development Institute at the University of North Carolina, a project subcontractor. This study is funded by the U.S. Department of Health and Human Services, Administration for Children and Families.
- The purpose of this study is to understand if the Head Start Designation Renewal System is working as intended, as well as how the system is working, the circumstances in which it works more or less well, and the contextual, demographic, and program factors and program actions associated with how well the system is working.
- Participation in this study is completely voluntary. You may choose to not answer any question and may stop the interview at any time. There are no consequences for choosing not to participate or not to answer any question.
- Interviews with Head Start Program Directors and small group interviews will last about 90 minutes, and interviews with Agency Directors will last approximately 60 minutes.
- Although you may not benefit directly from this study, your participation will help us understand the experiences of Head Start programs, which may inform future Head Start policies and technical assistance efforts.

The research team will take the following steps to protect your privacy:

- Everyone who works on this study has signed a confidentiality agreement prohibiting disclosure of anything you say during the interview that would allow someone outside the research team, including government staff and officials, to identify you. The only exception is a researcher may be required by law to report suspicion of immediate harm to yourself, to children, or to others.
- Your name and other identifying information, such as the program’s name and specific location, will be removed from the data to protect your privacy.
- The researchers plan to publish the results of this study in a final report and research briefs, and present the results during several government briefings and national conferences. Your answers will be kept private, meaning your identity will never be revealed in the results.
- With your permission, we will audio record the session. The recording will serve as a back-up tool to ensure that we capture all your comments in our notes in as close to your words as possible. The digital recording will be kept in secured files accessible only to project staff and subcontractors. Once the project is complete, all recordings will be destroyed.

If you have questions about this study, you may contact Co-Principal Investigator Teresa Derrick-Mills at the Urban Institute, 2100 M Street NW Washington, DC 20037, at (202) 261-5731 or [tderrick-mills@urban.org](mailto:tderrick-mills@urban.org).

Signing this consent form indicates that you understand the study procedures and are willing to participate in this interview.

\_\_\_\_\_  
Respondent’s Name (PLEASE PRINT)

\_\_\_\_\_  
Respondent’s Signature

\_\_\_\_\_  
Date

- Checking this box indicates that you agree to have the interview audio recorded.

You will be given a copy of this form for your records.

## E.4c On-Site Follow-Up Interview Protocol: Program Managers

Public reporting burden for this collection of information is estimated to average 90 minutes per response, including the time for reviewing the instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. This information collection is voluntary. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to: Reports Clearance Officer (Attn: OMB/PRA 0970-0443), Administration for Children and Families, Department of Health and Human Services, 370 L'Enfant Promenade, S.W., Washington, D.C. 20447.

### EVALUATION OF THE HEAD START DESIGNATION RENEWAL SYSTEM

#### ON-SITE FOLLOW-UP INTERVIEW PROTOCOL PROGRAM MANAGERS

(90 MINUTES)

## INTRODUCTION

Thank you for agreeing to meet with us today. I'm [INTERVIEWER NAME] and this is my colleague [ASSISTANT NAME], and we're researchers from the Urban Institute, a non-profit policy research organization in Washington, DC.

As part of a research study funded by the Office of Planning Research and Evaluation in the U.S. Department of Health and Human Services, we are visiting 15 Head Start grantees from across the country. The goal of these visits is to learn about grantees' perceptions of the Head Start Designation Renewal System, or DRS. We will combine the information we gather across programs to inform the Office of Head Start about how Head Start programs are responding to the DRS and what their strengths and needs are.

During our visit to your program, we will be meeting with program leaders and members of your policy council and governing body to get different perspectives. Our meeting with you today will last about 90 minutes. The structure will be rather open-ended, meaning we have a list of specific questions to cover but we welcome any responses you may have.

There are no right or wrong answers. The purpose of the interview is to learn about your understanding of and reactions to the DRS. You should answer based on what it means to you, your program, and your community.

I have one final point to make. Our goal today is to hear your perspectives as clearly and as comprehensively as possible. So I will be doing a lot of listening, and asking follow-up questions, but I won't really respond directly to your comments and sometimes, I may need to change the subject abruptly so we can cover all the topics in the time we have.

(Note to Researchers: Participants may mention sequestration. Sequestration and the DRS are not connected to each other, but obviously they are experiencing the effects at the same time. You should note all of what is said, but you should clarify that the DRS and sequestration are not part of the same initiative.)

## INFORMED CONSENT

Before I begin my questions, I'd like to give you a copy of a consent form that describes our study procedures and your rights as a participant. If you agree to the study procedures, I'll ask you to sign and date your copy.

*[NOTES TO FACILITATORS: Give copy of consent form to participant. Participant must sign and return one copy and may keep the second copy.]*

- I'll point out that your participation in this study is completely voluntary. You may choose to not answer any question and may stop the interview at any time.
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- Your name and other identifying information, such as the program's name and specific location, will be removed from the notes we take during the conversation.
- We value the time and information you will share with us today and want to make sure we accurately capture all the details. With your permission, we will audio record the session and take notes (written and/or on a laptop computer). Those notes will not include your name. The recording will serve as a back-up tool to ensure we capture all your comments in as close to your words as possible. Once the

project is complete, all recordings will be destroyed. During the discussion, if you would like to stop the recording while you make a particular comment, please let us know and we will do so.

Before we get started, do you have any questions about the study, our study procedures, or the Urban Institute?

*[If anyone objects to recording the discussion, the researcher who is not leading the interview will need to take thorough notes.]*

1. Let's start by having each of you introduce yourself. Please tell us your role in this Head Start program, how long you have been in your role, and what you see as your most important responsibility.
2. What do you see as the key strengths of this Head Start program?
3. Our conversation today will center on your perceptions and experiences with the Head Start Designation Renewal System, or DRS. As you may know, Head Start programs that meet certain conditions are now required to compete for renewed funding. Are you familiar with this new approach to Head Start grants?
  - a) *If yes*, How did you first learn about the DRS?
  - b) *If some nos*, Maybe those of you who are familiar with the DRS could give a brief explanation of it to your colleagues?
  - c) What did you think of the DRS when you first heard about it?
  - d) Have your impressions changed at all over time? How so?
  - e) What are your primary sources of information for learning about and understanding the DRS?
4. If you had to explain what the DRS is to someone who is not familiar with it, what would you tell them?
  - a) Are there aspects of the DRS that you find confusing or would like to know more about?
5. Now thinking (more) specifically about the DRS conditions, what do you think of those 7 conditions? (Clarify if necessary: The 7 conditions that OHS uses to identify grantees eligible for noncompetitive five-year grants and to identify grantees that will have to compete for ongoing funding. If needed: The conditions include deficiencies on monitoring reviews, CLASS scores, certain audit findings, licensing status, and others.)
  - a) Are there certain conditions you see as more problematic than others for your program?
  - b) *If yes*, Which conditions and why?
  - c) *If no*, Is that because you view all the conditions as problematic (explain how) or because you don't view any of them as problematic?

*(Interviewer note: We are interested in "problematic in whatever way the respondent defines it, whether in terms of areas their program may have difficult meeting or in terms of being invalid or unreliable measures of quality in general, or some other definition.)*

6. One goal of the DRS is to identify high quality programs that are eligible for non-competitive five-year grant awards. Are there aspects of your program quality that you feel are not well-captured by the DRS? Aspects of your program quality that you feel are well-captured by the DRS?

7. I want to change topics just a little bit now. Can you tell me about how the DRS is affecting your work and your program? (*Probe for both effects on individual roles and program*)
  - a) *Optional probe:* What kinds of positive effects, if any, has the DRS had on your work or your program?
  - b) *If probe is asked:* What kinds of negative effects, if any, has the DRS had on your work or your program?
  - c) How, if at all, has the DRS affected the work of the staff you supervise such as teachers and family service workers?
8. How, if at all, has the DRS affected relationships with community partners?
9. Late last year the Office of Head Start announced the next cohort of grantees eligible for noncompetitive five year grants and the next cohort of grantees that will have their grants released for open competition. Prior to this announcement how concerned were you that your program might meet one of the conditions for competition?
  - a) *Probe if not covered by response:* Which DRS criterion or criteria were you most worried might cause your program to be designated for competition and why?
10. Some communities we've seen have a large number of early care and education providers that could potentially apply for available Head Start funding. In other communities, few eligible providers or organizations exist. What are your thoughts on your community? (*Probe: Are there other organizations in your area that you think might apply for Head Start funding if it becomes available? What do you think of these providers/organizations?*)
11. The Office of Head Start released the DRS rules in Fall 2011. Thinking back to before the DRS was implemented to now, what kinds of changes, if any, have been made in this program in response to the DRS? *Optional probe: Have you made any changes to your classroom operations or staffing, management, or governance activities as a result of the DRS? Tell me about those changes.*
  - a) Can you provide a few specific examples of the changes made? (*Probe: professional development, attention to specific performance standards, other service delivery changes, management approach/activities, governance activities, community partnerships, working with consultants*)
  - b) Are you aware of any other changes planned for the near future that are in response to the DRS? What changes, and why?
  - c) How, if at all, do you think these changes are related to your program quality?
12. (Prior to interview PDTA (TAT) survey data will be provided so that interviewers can learn about the professional development and T/TA activities in which this program engaged in the year prior.) Tell us about the professional development, training or technical assistance your program received in the last year, prior to learning your DRS status.
  - a) Why did you decide to seek this type of development or T/TA?
  - b) Who conducted the activities? (*Probe if internal staff member or if program used external/outside consultants, HS professionals, etc.*)
  - c) What impact did this/these activities have on your program? (*Possible probes: if they felt the T/TA made a difference (why or why not), if they feel they should have focused on other areas (if so, what other areas and why), if they should have used a different facilitator (why or why not), etc.*)

13. From your perspective, what kinds of resources or support does your program need to improve or maintain program quality? *(Probe both for things that they currently have that they need to continue to have and for additional things that they need.)*

14. Those are almost all of my questions. Before we wrap up, I want to ask you about two things. Overall, for the broader Head Start community, what do each of you think is the most problematic aspect of the DRS and what do you think is the most beneficial? *(Probe for both beneficial and problematic aspects).*

I don't have any additional questions for you. Is there anything I didn't ask that you want to tell me about the DRS?

This has been a really great discussion. Thank you very much for your time.

## Evaluation of the Head Start Designation Renewal System Informed Consent for Participation

- You are being invited to participate in a research study called “Evaluation of the Head Start Designation Renewal System,” conducted by the Urban Institute, a non-profit research organization in Washington, D.C, and the Frank Porter Graham Child Development Institute at the University of North Carolina, a project subcontractor. This study is funded by the U.S. Department of Health and Human Services, Administration for Children and Families.
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- Participation in this study is completely voluntary. You may choose to not answer any question and may stop the interview at any time. There are no consequences for choosing not to participate or not to answer any question.
- Interviews with Head Start Program Directors and small group interviews will last about 90 minutes, and interviews with Agency Directors will last approximately 60 minutes.
- Although you may not benefit directly from this study, your participation will help us understand the experiences of Head Start programs, which may inform future Head Start policies and technical assistance efforts.

The research team will take the following steps to protect your privacy:

- Everyone who works on this study has signed a confidentiality agreement prohibiting disclosure of anything you say during the interview that would allow someone outside the research team, including government staff and officials, to identify you. The only exception is a researcher may be required by law to report suspicion of immediate harm to yourself, to children, or to others.
- Your name and other identifying information, such as the program’s name and specific location, will be removed from the data to protect your privacy.
- The researchers plan to publish the results of this study in a final report and research briefs, and present the results during several government briefings and national conferences. Your answers will be kept private, meaning your identity will never be revealed in the results.
- With your permission, we will audio record the session. The recording will serve as a back-up tool to ensure that we capture all your comments in our notes in as close to your words as possible. The digital recording will be kept in secured files accessible only to project staff and subcontractors. Once the project is complete, all recordings will be destroyed.

If you have questions about this study, you may contact Co-Principal Investigator Teresa Derrick-Mills at the Urban Institute, 2100 M Street NW Washington, DC 20037, at (202) 261-5731 or [tderrick-mills@urban.org](mailto:tderrick-mills@urban.org).

Signing this consent form indicates that you understand the study procedures and are willing to participate in this interview.

\_\_\_\_\_  
Respondent’s Name (PLEASE PRINT)

\_\_\_\_\_  
Respondent’s Signature

\_\_\_\_\_  
Date

- Checking this box indicates that you agree to have the interview audio recorded.

You will be given a copy of this form for your records

## E.4d On-Site Follow-Up Interview Protocol: Head Start Policy Council or Governing Body

Public reporting burden for this collection of information is estimated to average 90 minutes per response, including the time for reviewing the instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. This information collection is voluntary. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to: Reports Clearance Officer (Attn: OMB/PRA 0970-0443), Administration for Children and Families, Department of Health and Human Services, 370 L'Enfant Promenade, S.W., Washington, D.C. 20447.

### EVALUATION OF THE HEAD START DESIGNATION RENEWAL SYSTEM

#### ON-SITE FOLLOW-UP INTERVIEW PROTOCOL HEAD START POLICY COUNCIL OR GOVERNING BODY

(90 MINUTES)

## INTRODUCTION

Thank you for agreeing to meet with us today. I'm [INTERVIEWER NAME] and this is my colleague [ASSISTANT NAME], and we're researchers from the Urban Institute, a non-profit policy research organization in Washington, DC.

As part of a research study funded by the Office of Planning Research and Evaluation in the U.S. Department of Health and Human Services, we are visiting 15 Head Start grantees from across the country. The goal of these visits is to learn about grantees' perceptions of the Head Start Designation Renewal System, or DRS. We will combine the information we gather across programs to inform the Office of Head Start about how Head Start programs are responding to the DRS and what their strengths and needs are.

During our visit to your program, we will be meeting with program leaders and members of your policy council and governing body to get different perspectives. Our meeting with you today will last about 90 minutes. The structure will be rather open-ended, meaning we have a list of specific questions to cover but we welcome any responses you may have.

There are no right or wrong answers. The purpose of the interview is to learn about your understanding of and reactions to the DRS. You should answer based on what it means to you, your program, and your community.

I have one final point to make. Our goal today is to hear your perspectives as clearly and as comprehensively as possible. So I will be doing a lot of listening, and asking follow-up questions, but I won't really respond directly to your comments and sometimes, I may need to change the subject abruptly so we can cover all the topics in the time we have.

*(Note to Researchers: Participants may mention sequestration. Sequestration and the DRS are not connected to each other, but obviously they are experiencing the effects at the same time. You should note all of what is said, but you should clarify that the DRS and sequestration are not part of the same initiative.)*

## INFORMED CONSENT

Before I begin my questions, I'd like to give you a copy of a consent form that describes our study procedures and your rights as a participant. If you agree to the study procedures, I'll ask you to sign and date your copy.

*[NOTES TO FACILITATORS: Give copy of consent form to participants. Each participant must sign and return one copy and may keep the second copy.]*

- I'll point out that your participation in this study is completely voluntary. You may choose to not answer any question and may stop the interview at any time.
- Everyone who works on this study has signed a *Staff Confidentiality Pledge* prohibiting disclosure of anything you say during the interview that would allow someone outside the research team, including government staff and officials, to identify you. The only exception is a researcher may be required by law to report suspicion of immediate harm to yourself, children, or others.
- Your name and other identifying information, such as the program's name and specific location, will be removed from the notes we take during the conversation.
- We value the time and information you will share with us today and want to make sure we accurately capture all the details. With your permission, we will audio record the session and take notes (written and/or on a laptop computer). Those notes will not include your name. The recording will serve as a back-up tool to ensure we capture all your comments in as close to your words as possible. Once the

project is complete, all recordings will be destroyed. During the discussion, if you would like to stop the recording while you make a particular comment, please let us know and we will do so.

Before we get started, do you have any questions about the study, our study procedures, or the Urban Institute?

*[If anyone objects to recording the discussion, the researcher who is not leading the interview will need to take thorough notes.]*

1. Let's start by having each of you introduce yourself. Please tell us your role in this Head Start program and what you see as your most important responsibility in that role. (Policy council: And if you are a parent of a child in Head Start or Early Head Start, please tell us how old your child is and how long she or he has been in the program.)
2. What do you see as the key strengths of this Head Start program?
3. Our conversation today will center on your perceptions and experiences with the Head Start Designation Renewal System, or DRS. As you may know, Head Start programs that meet certain conditions are now required to compete for renewed funding. Are you familiar with this new approach to Head Start grants?
  - a) *If yes*, How did you first learn about the DRS?
  - b) *If some nos*, Maybe those of you who are familiar with the DRS could give a brief explanation of it to your colleagues? (*Note: Researcher will note approximate proportion of yes/no.*)
  - c) What did you think of the DRS when you first heard about it?
  - d) Have your impressions changed at all over time? How so?
  - e) What are your primary sources of information for learning about or understanding the DRS?
4. If you had to explain what the DRS is to someone who is not familiar with it, what would you tell them?
  - a) Are there aspects of the DRS that you find confusing or would like to know more about?
5. How has the DRS affected your Head Start program?
  - a) Has the DRS made you think differently about your program or your approach to service delivery?
  - b) What kinds of positive effects, if any, has the DRS had on your program?
  - c) What kinds of negative effects, if any, has the DRS had on your program?
6. How, if at all, has the DRS affected the work of the policy council/governing body?
  - a) What kinds of discussions has the policy council/governing body had about the DRS?
  - b) Has the policy council/governing body made any specific decisions in response to the DRS? Explain.
7. Late last year the Office of Head Start announced the next cohort of grantees that will have their grants released for open competition. Prior to this announcement where how concerned were you that your program might meet one of the conditions for competition?
  - b) *Probe if not covered by response*: Which DRS criterion or criteria were you most worried might cause your program to be designated for competition and why?

8. Since OHS announced the programs designated for competition, what are some of the steps, if any, the policy council/governing body are taking and why?
  - a) Probe why targeting these areas? (Probe if decision connected to DRS in any way)
  - b) If decision connected to DRS probe specific connection (i.e., whether their program was designated, they know of other programs designated for this reason, their monitoring report indicated they need improvement in this area, etc.)
  
9. Some communities we've seen have a large number of early care and education providers that could potentially apply for available Head Start funding. In other communities, few eligible providers or organizations exist. What are your thoughts on your community? *(Probe: Are there other organizations in your area that you think might apply for Head Start funding if it becomes available? What do you think of these providers/organizations?)*
  
10. The Office of Head Start released the DRS rules in Fall 2011. Thinking back to before the DRS was implemented to now, what kinds of changes, if any, have been made in response to the DRS? *Optional probe: Have you made any changes to your classroom operations or staffing, management, or governance activities as a result of the DRS? Tell me about those changes.*
  - a) Can you provide a few specific examples of the changes made? (Probe: professional development, attention to specific performance standards, other service delivery changes, management approach/activities, governance activities, community partnerships, working with consultants)
  - b) Are you planning any other changes for the near future that are in response to the DRS? What changes, and why?
  - c) How, if at all, do you think these changes are related to your program quality?
  
11. From your perspective, what kinds of resources or support does your program need to improve or maintain program quality? (Probe on both items that they have and need to keep doing and items they don't have but feel they need.)
  
12. Those are almost all of my questions. Before we wrap up, I want to ask you about two things. Overall, for the broader Head Start community, what do each of you think is the most problematic aspect of the DRS and what do you think is the most beneficial? *(Probe for both beneficial and problematic aspects).*

I don't have any additional questions for you. Is there anything I didn't ask that you want to tell me about the DRS?

This has been a really great discussion. Thank you very much for your time.

## Evaluation of the Head Start Designation Renewal System Informed Consent for Participation

- You are being invited to participate in a research study called “Evaluation of the Head Start Designation Renewal System,” conducted by the Urban Institute, a non-profit research organization in Washington, D.C, and the Frank Porter Graham Child Development Institute at the University of North Carolina, a project subcontractor. This study is funded by the U.S. Department of Health and Human Services, Administration for Children and Families.
- The purpose of this study is to understand if the Head Start Designation Renewal System is working as intended, as well as how the system is working, the circumstances in which it works more or less well, and the contextual, demographic, and program factors and program actions associated with how well the system is working.
- Participation in this study is completely voluntary. You may choose to not answer any question and may stop the interview at any time. There are no consequences for choosing not to participate or not to answer any question.
- Interviews with Head Start Program Directors and small group interviews will last about 90 minutes, and interviews with Agency Directors will last approximately 60 minutes.
- Although you may not benefit directly from this study, your participation will help us understand the experiences of Head Start programs, which may inform future Head Start policies and technical assistance efforts.

The research team will take the following steps to protect your privacy:

- Everyone who works on this study has signed a confidentiality agreement prohibiting disclosure of anything you say during the interview that would allow someone outside the research team, including government staff and officials, to identify you. The only exception is a researcher may be required by law to report suspicion of immediate harm to yourself, to children, or to others.
- Your name and other identifying information, such as the program’s name and specific location, will be removed from the data to protect your privacy.
- The researchers plan to publish the results of this study in a final report and research briefs, and present the results during several government briefings and national conferences. Your answers will be kept private, meaning your identity will never be revealed in the results.
- With your permission, we will audio record the session. The recording will serve as a back-up tool to ensure that we capture all your comments in our notes in as close to your words as possible. The digital recording will be kept in secured files accessible only to project staff and subcontractors. Once the project is complete, all recordings will be destroyed.

If you have questions about this study, you may contact Co-Principal Investigator Teresa Derrick-Mills at the Urban Institute, 2100 M Street NW Washington, DC 20037, at (202) 261-5731 or [tderrick-mills@urban.org](mailto:tderrick-mills@urban.org).

Signing this consent form indicates that you understand the study procedures and are willing to participate in this interview.

\_\_\_\_\_  
Respondent’s Name (PLEASE PRINT)

\_\_\_\_\_  
Respondent’s Signature

\_\_\_\_\_  
Date

- Checking this box indicates that you agree to have the interview audio recorded.

You will be given a copy of this form for your records.

# Examining How the DRS Introduces Competition to Improve Quality

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## E.5 Applicant Survey

[Note to reader: The Professional Development and Technical Assistance Survey was deployed through a web-based application. Thus, the formatting here does not appear exactly as deployed.]

Public reporting burden for this collection of information is estimated to average 9 minutes per response, including the time for reviewing the instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. This information collection is voluntary. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to: Reports Clearance Officer (Attn: OMB/PRA0970-0443), Administration for Children and Families, Department of Health and Human Services, 370 L'Enfant Promenade, S.W., Washington, D.C. 20447.

Name of Organization Applying:	
Service Area of Head Start/Early Head Start Application (e.g. Neighborhood, Town, County):	
Date of Application:	
Headquarters Location:	
Funding Opportunity Number:	

Instructions: This coversheet should be completed and attached at the top of your Head Start/Early Head Start application. All questions should be answered by all Head Start/Early Head Start applicants, except for those questions that are explicitly for former Head Start/Early Head Start grantees.

This questionnaire must be completed in one sitting; you cannot begin the survey, save it, and come back to it later. There are 16 questions with one question on each page. Total time to complete is approximately 9 minutes. Please continue answering questions and scrolling down until you see the "next" button. Click on "next" to move to the next page. You may click the "back" button to revisit a previous page. When you are finished, click "finish."

The data collected in this questionnaire are being used for a research study titled *Evaluation of the Head Start Designation Renewal System*, conducted by the Urban Institute and the Frank Porter Graham Child Development Institute at the University of North Carolina-Chapel Hill on behalf of the Office of Planning, Research and Evaluation in the Administration for Children and Families, U.S. Department of Health and Human Services. The information collected will not be used by the Office of Head Start to determine the results of your application. Failure to complete the questionnaire will not impact eligibility to submit an application and will not disqualify an application from competitive review.

1. Indicate Your Organization Type: (Check the category that best matches your organization.)

- Private Child Care
- Provider Small Business
- Other For Profit Corporation
- Public School or School District
- Native American Tribal Governments
- Public Housing Authorities
- Local Government Organization
- State Government Organization
- Private Institutions of Higher Education
- Faith-Based Organization
- Community Action Agency
- Other Non-Profit Organization
- Other, specify: \_\_\_\_\_

2. Indicate Your Organization Auspice:

- For Profit Non-Profit Public
- Other, specify: \_\_\_\_\_

3. How many years has your organization been in business?

- 0-1 Year
- 2-4 Years
- 5-10 Years
- 11+ Years

4. What ages do you currently serve? (Check all that apply)

- Do not currently serve children
- 0-3 Years Old
- 3-5 Years Old
- 6-12 Years Old
- 12+ Years Old

5. How many states do you serve? \_\_\_\_\_

6. Please list the state and zip code(s) in which you serve your current clients (if more than 3, list the 3 closest zip codes to the county for which you are applying for a Head Start/Early Head Start Grant).

Check all that apply:		State Name	Zip Code 1:	Zip Code 2:	Zip Code 3:
<input type="checkbox"/>	State 1:				
<input type="checkbox"/>	State 2:				
<input type="checkbox"/>	State 3:				

7. Is your organization partnering with any other organizations or entities on this grant application?  
 Please indicate all organization types with which you are partnering, as well as whether it is a new or a continuing partnership. (Check all that apply)

Partner With	New	Continuing
<input type="checkbox"/> Private Child Care Provider	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Health Care Providers	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> IDEA Part B 619, Part C Providers	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Small Business	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Other For Profit Corporation	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Public School or School District	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Native American Tribal Governments	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Public Housing Authorities	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Child Welfare, Protective Services, Family Preservations Services and Agencies	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Local Government Organization	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Private Institutions of Higher Education	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Other educational institutions (e.g. libraries)	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Religious Organization	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Community Action Agency	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Other Non-Profit Organizations	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Other, specify: _____	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Not Partnering	<input type="checkbox"/>	<input type="checkbox"/>

8. For this Head Start grant, will this organization provide services directly to children and families?

Please select one	Number of Delegates	If some or all, please specify number of delegates. If none, leave blank.
<input type="radio"/>	None	_____
<input type="radio"/>	Some (please specify number)	_____
<input type="radio"/>	All (please specify number)	_____

9. What level of match or cost-share is your organization proposing?

- More than the required 20%
- 20% Required 20%
- Less than required 20% (waiver submitted)

10. Please indicate the sources for the match/cost-share and whether the resources will be provided as cash or in-kind:

	Please specify source:	Cash	In-kind
Source:	_____	<input type="checkbox"/>	<input type="checkbox"/>
Source:	_____	<input type="checkbox"/>	<input type="checkbox"/>
Source:	_____	<input type="checkbox"/>	<input type="checkbox"/>

11. Proposed Enrollment: For each applicable box please fill out the proposed enrollment.

	Head Start		Early Head Start	
	Part Day	Full Day	Part Day	Full Day
Center-Based				
Home-Based				
Combination				
FCC				
Total				

12. Proposed Number of Teachers: For each applicable box please fill out the proposed number of teachers.

	Head Start		Early Head Start	
	Part Day	Full Day	Part Day	Full Day
Center-Based				
Home-Based				
Combination				
FCC				
Total				

13. Percentage of the Teaching staff with BA's/AA's in early childhood education or related field: \_\_\_\_\_

14. Please indicate during what part of the year each type of service will be delivered.

	Year Round	During the school year	Other	N/A
Center-Based	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Home-Based	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Combination	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
FCC	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

15. Have you ever applied for or held a Head Start/Early Head Start grant? (Check all that apply)

- Current Head Start Grantee (This Service Area)
- Current Head Start Grantee (Other Service Area)
- Former Head Start Grantee
- Applied for Head Start Previously, but Never Received Grant
- Previously/Current Head Start Delegate
- Never Applied for Head Start Grant before

16. If you are a Head Start grantee: which kind of Head Start Grant do you currently have? (Check all that apply)

- Head Start
- Early Head Start
- Migrant/Seasonal Head Start
- American Indian/Alaska Native Head Start

Thank you for completing the survey. If you haven't completed all of the questions, please use the "back" button to do so now. Once you click "finish," you cannot edit your responses.

## Awardee Interview Protocols

Protocols varied by whether the organization awarded the grant had been the incumbent organization or was a new awardee. Protocols also varied by the type of individual within an organization that was participating in the interview. Thus, six protocols follow.

## E.6a Incumbent Interview Protocol: Agency and Program Director

Public reporting burden for this collection of information is estimated to average 75 minutes per response, including the time for reviewing the instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. This information collection is voluntary. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to: Reports Clearance Officer (Attn: OMB/PRA 0970-0443), Administration for Children and Families, Department of Health and Human Services, 370 L'Enfant Promenade, S.W., Washington, D.C. 20447.

EVALUATION OF THE HEAD START DESIGNATION RENEWAL SYSTEM

AWARDEE EXPERIENCES INTERVIEW: AGENCY AND PROGRAM DIRECTOR

INCUMBENT

(75 MINUTES)

## INTRODUCTION

Thank you for agreeing to meet with us today. I'm [INTERVIEWER NAME] and this is my colleague [ASSISTANT NAME], and we're researchers from the Urban Institute, a non-profit policy research organization in Washington, DC.

As part of a research study funded by the Office of Planning, Research and Evaluation (OPRE) in the U.S. Department of Health and Human Services, we are visiting 9 organizations from across the country that were awarded Head Start grants through the competitive process. Some of these organizations are incumbent grantees that had to reapply for their grants competitively, and some are new awardees. The goal of these visits is to better understand the Head Start Designation Renewal System (DRS) competitive process through the experiences of your organization and the others we are interviewing including how it affected your relationships with Head Start and partners in your community, the challenges you expected and experienced, changes you made, and how your organization arrived at the decision to compete for [FOA NAME & NUMBER]. We will combine the information we gather across programs to understand how the competitive process of the DRS affects Head Start at the community level.

During our visit to your program, we will be meeting with program leaders and members of your policy council and governing body to get different perspectives. Our meeting with you today will last about 75 minutes. The structure will be rather open-ended, meaning we have a list of specific questions to cover but we welcome any responses you may have.

There are no right or wrong answers. The purpose of the interview is to learn about your experience with the competitive process of the DRS and your organization's decision to compete. You should answer based on what it means to you, your program, and your community.

## INFORMED CONSENT

Before I begin my questions, I'd like to give you a copy of a consent form that describes our study procedures and your rights as a participant. If you agree to the study procedures, I'll ask you to sign and date your copy.

*[NOTES TO FACILITATORS: Give copy of consent form to participants. Each participant must sign and return one copy and may keep the second copy.]*

- I'll point out that your participation in this study is completely voluntary. You may choose to not answer any question and may stop the interview at any time. Participation in this study will have no bearing on your Head Start grant.
- Everyone who works on this study has signed a *Staff Confidentiality Pledge* prohibiting disclosure of anything you say during the interview that would allow someone outside the research team, including government staff and officials, to identify you. The only exception is a researcher may be required by law to report suspicion of immediate harm to yourself, children, or others.
- Your name and other identifying information, such as the program's name and specific location, will be removed from the notes we take during the conversation.
- We value the time and information you will share with us today and want to make sure we accurately capture all the details. With your permission, we will audio record the session and take notes (written and/or on a laptop computer). Those notes will not include your name. The

recording will serve as a back-up tool to ensure we capture all your comments in as close to your words as possible. Once the project is complete, all recordings will be destroyed. During the discussion, if you would like to stop the recording while you make a particular comment, please let us know and we will do so.

Before we get started, do you have any questions about the study, our study procedures, or the Urban Institute?

*[If anyone objects to recording the discussion, the researcher who is not leading the interview will need to take thorough notes.]*

*[NOTE TO INTERVIEWER: Use the version of this protocol that is relevant to the organization you are visiting. There are two versions of this protocol: (A) incumbent organizations that had this Head Start grant before and after competition and (B) new awardees that existed as organizations prior to application for award but had not previously administered the grant for [name of Head Start program]. This is the protocol for the incumbent.]*

*Remember that new awardees may have been affiliated with Head Start or even this grant in the past. You will know their status prior to the interview by reviewing responses to the Competition Data Capture Sheet (CDCS) that they completed when they applied for the grant.*

*You will meet individually with the Agency Director and the Head Start Program Director, if the organization has both kinds of directors; in some organizations the Agency Director and the Head Start Program Director will be the same individual. These interviews should be conducted prior to meeting with the Policy Council and Governing Board or the Program Managers. The responses of the Agency and Head Start Program Director will help you to tailor the questions you ask of the other groups.]*

1. To start, would you please tell me your official job title, how long you've worked in this position, and a little bit about your organization?
  - a) Tell me about the ways in which you are involved in managing your Head Start Program.
2. And could you give me an overview of your organizational structure?
  - a) Is your program part of a single-purpose or a multi-purpose organization? What other services does the organization provide? For early childhood programs or services, tell me about how those programs operate and funding sources.  
*(Clarification, if necessary: A single purpose organization only provides Head Start and Early Head Start services, a multi-purpose organization operates other programs in addition to Head Start and Early Head Start).*
    - a) What roles are represented on your management team?
      - i. Are these the same as they were before the competitive process?
3. Do you have any delegate agencies or Head Start slots through child care partnerships? Are these the same as they were before the competitive process?  
*Probe if necessary: Tell me a little bit about those agencies/partnerships.*

*[Interviewer note: Review PIR in advance to obtain preliminary information about delegates/child care partnerships.]*

4. Now, I'd like to hear a little bit about the history of your organization as a Head Start grantee.
  - a) How many years have you been offering Head Start?
  - b) What is your Head Start service area?
    - ii. Is this the same as it was before you entered the competitive process?
  - c) What do you see as the primary needs of young children and families in the community (communities) you serve?

Our conversation today will focus on how your organization experienced designation for a competitive 5-year grant, the reactions your organization and community had when you found out you had to competitively apply, the decisions your organization made leading up to the application submission, and what you think may be different about your program and your role now than before the designation process.

5. Remembering back to when you first learned your organization would have to apply competitively, how and when did you learn that status of [name of Head Start program]? *[Note to Interviewer: Pause to see if they will tell you a story. If not, then use the following probes.]*
  - a) Did you understand what it meant that your organization had been designated for a competitive application process?
    - i. What was your primary source of information for understanding the competition requirements?
  - b) Was the news about the competition a surprise to you or did you have a sense that it was coming?
    - i. [IF DEFICIENCY PROBE CIRCUMSTANCES] Did you have a sense that you would be designated? Do you know why you were designated?
    - ii. Did the announcement come out when you expected?
    - iii. If you thought it was coming, why?
6. Remembering back to when the community you serve first learned that [name of Head Start program] would have to apply competitively to keep the grant, what was the initial community reaction? *[Note to Interviewer: Pause to see if they will tell you a story. If not, then use the following probes.]*
  - a) How did your community find out?
    - i. Was it in the news?
  - b) About how much time did you need to spend engaging with the community to help them understand the competitive application process?

Were there particular reactions that required you to do some strategic trouble-shooting?
7. Remembering back to when the staff of [name of Head Start program] first learned that your organization would have to apply competitively to keep the grant, what were their initial reactions? *[Note to Interviewer: Pause to see if they will tell you a story. If not, then use the following probes.]*
  - a) How did your staff find out?
  - b) About how much time did you need to spend engaging with the staff to help them understand the competitive application process?

- c) Were there particular reactions that required you to do some strategic troubleshooting?
8. Remembering back to when the Policy Council and Governing Body of [name of Head Start program] first learned that your organization would have to apply competitively to keep the grant, what were their initial reactions? [*Note to Interviewer: Pause to see if they will tell you a story. If not, then use the following probes.*]
- a) How did the Policy Council and Governing Body find out?
  - b) About how much time did you need to spend engaging with the staff to help them understand the competitive application process?
  - c) Were there particular reactions that required you to do some strategic troubleshooting?

Now I am going to ask you some questions about how the designation process affected relationships with community partners. When I ask you these questions, think about partners that are NOT funders.

9. Prior to learning that your organization had to reapply competitively to maintain its Head Start grant, do you think your organization had a strong set of community partners?
- a) Which organizations did your organization partner with most consistently?
10. How, if at all, did the announcement that your organization would have to apply competitively to keep its Head Start grant affect your community partnerships?  
[*Note to Interviewer: Pause to see if they will tell you a story. If not, then use the following probes.*]
- a) How and when did your community partners learn that your organization would have to compete to keep its Head Start grant?
  - b) To what extent were your existing partners supportive?
    - i. Did they maintain the same level of supportiveness or increase?
  - c) What kinds of concerns did your partners express?
  - d) To what extent did new community partners come forward and volunteer to support you for the first time?
    - i. Did any community partners who had supported you in the early years, but had drifted away come back to support you again?
11. How strong are your community partnerships now?
- a) Are these the same partners your organization had before the designation announcement?
  - b) To what extent did they help you through the competition process?

Now we are going to ask you some questions about how the competitive process affected funding from entities other than Head Start.

12. Prior to learning that your organization needed to compete to maintain your Head Start grant, what other funds were most important to supporting your Head Start program?
  
13. How did your funders learn that your organization would have to competitively apply to keep [name of Head Start program]?
  - a) Did it depend on the type of funder or level of funding they provided to your organization?
  
14. How, if at all, did the announcement that your organization would have to competitively apply to keep its Head Start grant affect the other funding your organization was receiving to support [name of Head Start program]?  
[Note to Interviewer: Pause to see if they will tell you a story. If not, then use the following probes.]
  - a) To what extent were your existing funders supportive?
    - i. Did they maintain the same level of supportiveness or increase?
  - b) To what extent did existing funders express concerns?
  - c) To what extent did new funders come forward and volunteer to support you for the first time?
    - i. Did any funders who had supported you in the early years, but had drifted away come back to support you again?
  
15. Is the level of other funds you are receiving to support your Head Start program greater or less than it was before your organization learned it had to competitively apply?
  - a) Do you think this change in funding levels is directly related to your organization's designation for competitive application?
  
16. How, if at all, did the announcement that your organization would have to competitively apply to keep its Head Start grant affect the other funding your organization was receiving that was not related to the Head Start program (if applicable)?  
[Note to Interviewer: Pause to see if they will tell you a story. If not, then use the following probes.]
  - a) To what extent were your existing funders supportive?
    - i. Did they maintain the same level of supportiveness or increase?
  - b) To what extent did existing funders express concerns?

Now I'm going to ask you a few questions about the decision to apply to maintain your Head Start funding for [name of Head Start Program].

17. Some communities we've seen have a large number of early care and education providers that could potentially apply for available Head Start funding. In other communities, few eligible providers or organizations exist. When your organization decided to apply, about how much competition did you think that you would have?
  - a) Why did you think that?
  - b) What chance did you think that you had in being awarded the grant?
  - c) Did you ever find out about the other competitors? How?

[Note to Interviewer: You are not trying to get an exact number. You are trying to determine if they thought they'd have none, a few, a lot, etc. You are also trying to determine how they thought they knew, and how good a chance they thought they had.]

18. What role did you play in the decision to apply competitively to keep [name of Head Start program]?
19. Walk us through that decision process a little bit. [Note to Interviewer: Pause to see if they will tell you a story. If not, then use the following probes.]
  - a) Was the FOA what you expected?
    - i. Was the FOA released when you expected?
    - ii. Did your plan for the application change once the FOA was released?
  - b) Did your organization know right away that you wanted to apply?
    - i. Who participated in the decision-making process?

[Interviewer Note: Probe specifically for the roles of the Policy Council, Governing Board, and other management team members to inform your future interviews.]

  - c) What were your key considerations in deciding whether or not to apply?
  - d) What did you think were your organization's key strengths?
  - e) What were the particular challenges that you saw facing the community, and why did you think your organization was well-positioned to meet them?
  - f) What were the challenges you faced in applying?
    - i. [IF FORMER HEAD START GRANTEE] how did this differ from the former renewal process?
20. Please talk to us about the particular changes your organization made to demonstrate that it is the best one to continue serving the community. [Note to Interviewer: Pause to see if they will tell you a story. If not, then use the following probes.] e.g. changes to the number of teachers? Quality of teachers?
  - a) What enabled your organization to make those changes?
  - b) How well do you think you will be able to sustain those changes?
  - c) Have you had to make any trade-offs to accommodate those changes?
21. Did you have a role in assembling the application? About how much time do you think it took to put it all together (thinking about all individuals involved)? Did you seek professional assistance in assembling the application?
  - a) Would you mind telling us what kinds of resources that required, and how that experience was?
22. Why do you think your application was successful?
  - a) What do you think that your organization was able to uniquely offer?
  - b) What are the greatest strengths of your organization?

Now I'm going to ask you to think ahead to the future about what you think your organization will need to successfully maintain the grant for [name of Head Start program] that you have been awarded.

23. What organizational strengths do you think your organization has that will help it provide high quality Head Start services now and in the future?

24. How important to your organization's future Head Start success is maintaining the partnerships that helped your organization apply for this grant (if applicable)?
25. How important to your organization's future Head Start success is maintaining the non-Head Start sources of funding that are supporting your program (if applicable)?
26. What do you think are the most important things that your organization can do to be invited to apply for your grant noncompetitively in the future?

Those are almost all of my questions. Before we wrap up, I want to ask you about two things.

27. Now that your organization has competed and been awarded a grant through the competitive process, overall, for the broader Head Start community, what do each of you think is the most problematic aspect of the DRS competitive process and what do you think is the most beneficial? (*Probe for both beneficial and problematic aspects*).
  - a) Have there been any interruptions in service as a result of the competitive process?
  - b) Has the competitive process caused a need to hire or replace staff?
  - c) Did the DRS impose additional burden on your organization?

I don't have any additional questions for you.

28. Is there anything I didn't ask that you want to tell us about your organization's experience with the DRS?

This has been a really great discussion. Thank you very much for your time.

## E.6b Incumbent Interview Protocol: Policy Council/Governing Body

Public reporting burden for this collection of information is estimated to average 90 minutes per response, including the time for reviewing the instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. This information collection is voluntary. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to: Reports Clearance Officer (Attn: OMB/PRA 0970-0443), Administration for Children and Families, Department of Health and Human Services, 370 L'Enfant Promenade, S.W., Washington, D.C. 20447.

### EVALUATION OF THE HEAD START DESIGNATION RENEWAL SYSTEM

#### AWARDEE EXPERIENCES INTERVIEW: POLICY COUNCIL/GOVERNING BODY

INCUMBENT

(90 MINUTES)

## INTRODUCTION

Thank you for agreeing to meet with us today. I'm [INTERVIEWER NAME] and this is my colleague [ASSISTANT NAME], and we're researchers from the Urban Institute, a non-profit policy research organization in Washington, DC.

As part of a research study funded by the Office of Planning, Research and Evaluation (OPRE) in the U.S. Department of Health and Human Services, we are visiting 9 organizations from across the country that were awarded Head Start grants through the competitive process. Some of these organizations are incumbent grantees that had to reapply for their grants competitively, and some are new awardees. The goal of these visits is to better understand the Head Start Designation Renewal System (DRS) competitive process through the experiences of your organization and the others we are interviewing including how it affected your relationships with Head Start and partners in your community, the challenges you expected and experienced, changes you made, and how your organization arrived at the decision to compete for [FOA NAME AND NUMBER]. We will combine the information we gather across programs to understand how the competitive process of the DRS affects Head Start at the community level.

During our visit to your program, we will be meeting with program leaders and members of your policy council and governing body to get different perspectives. Our meeting with you today will last about 90 minutes. The structure will be rather open-ended, meaning we have a list of specific questions to cover but we welcome any responses you may have.

There are no right or wrong answers. The purpose of the interview is to learn about your experience with the competitive process of the DRS and your organization's decision to compete. You should answer based on what it means to you, your program, and your community.

## INFORMED CONSENT

Before I begin my questions, I'd like to give you a copy of a consent form that describes our study procedures and your rights as a participant. If you agree to the study procedures, I'll ask you to sign and date your copy.

*[NOTES TO FACILITATORS: Give copy of consent form to participants. Each participant must sign and return one copy and may keep the second copy.]*

- I'll point out that your participation in this study is completely voluntary. You may choose to not answer any question and may stop the interview at any time. Participation in this study will have no bearing on your Head Start grant.
- Everyone who works on this study has signed a *Staff Confidentiality Pledge* prohibiting disclosure of anything you say during the interview that would allow someone outside the research team, including government staff and officials, to identify you. The only exception is a researcher may be required by law to report suspicion of immediate harm to yourself, children, or others.
- Your name and other identifying information, such as the program's name and specific location, will be removed from the notes we take during the conversation.
- We value the time and information you will share with us today and want to make sure we accurately capture all the details. With your permission, we will audio record the session and take notes (written and/or on a laptop computer). Those notes will not include your name. The

recording will serve as a back-up tool to ensure we capture all your comments in as close to your words as possible. Once the project is complete, all recordings will be destroyed. During the discussion, if you would like to stop the recording while you make a particular comment, please let us know and we will do so.

Before we get started, do you have any questions about the study, our study procedures, or the Urban Institute?

*[If anyone objects to recording the discussion, the researcher who is not leading the interview will need to take thorough notes.]*

*[NOTE TO INTERVIEWER: Use the version of this protocol that is relevant to the organization you are visiting. There are two versions of this protocol: (A) incumbent organizations that had this Head Start grant before and after competition and (B) new awardees that existed as organizations prior to application for award but had not previously administered the grant for [name of Head Start program]. This is the protocol for the incumbent.]*

*Remember that new awardees may have been affiliated with Head Start or even this grant in the past. You will know their status prior to the interview by reviewing responses to the Competition Data Capture Sheet (CDCS) that they completed when they applied for the grant.*

*Prior to meeting with the Policy Council/Governing Board, you will meet with the Agency and Program Directors. They will provide you with some additional insight into the role of the Policy Council and Governing Board as it relates to the interview topics. You may find you need to tailor the questions asked to conform to the information gained in the Agency and Program Director interviews.]*

1. Let's start by having each of you introduce yourself. Please tell us your role in [name of Head Start program], about how long you've been in that role, and what you see as your most important responsibility in that role. (*Policy council: And if you are a parent of a child in Head Start or Early Head Start, please tell us how old your child is and how long she or he has been in the program.*)
2. Please provide us with a short history of [name of Head Start program], and how this organization came to be the one running the program originally.

Our conversation today will focus on how your organization experienced designation for a competitive 5-year grant, the reactions your organization and community had when you found out you had to competitively apply, the decisions your organization made leading up to the application submission, and what you think may be different about your program and your role now than before the designation process.

3. Remembering back to when you first learned your organization would have to apply competitively, how and when did you learn that status of [name of Head Start program]? [*Note to Interviewer: Pause to see if they will tell you a story. If not, then use the following probes.*]
  - a) Did you understand what it meant that your organization had been designated for a competitive application process?



- a) Are these the same partners your organization had before the designation announcement?
- b) To what extent did they help you through the competition process?

Now we are going to ask you some questions about how the competitive process affected funding from entities other than Head Start.

- 9. Prior to learning that your organization needed to compete to maintain your Head Start grant, what other funds were most important to supporting your Head Start program?
  
- 10. How did your funders learn that your organization would have to competitively apply to keep [name of Head Start program]?
  - a) Did it depend on the type of funder or level of funding they provided to your organization?
  
- 11. How, if at all, did the announcement that your organization would have to competitively apply to keep its Head Start grant affect the other funding your organization was receiving to support [name of Head Start program]?  
[Note to Interviewer: Pause to see if they will tell you a story. If not, then use the following probes.]
  - a) To what extent were your existing funders supportive?
    - i. Did they maintain the same level of supportiveness or increase?
  - b) To what extent did existing funders express concerns?
  - c) To what extent did new funders come forward and volunteer to support you for the first time?
    - i. Did any funders who had supported you in the early years, but had drifted away come back to support you again?
  
- 12. Is the level of other funds you are receiving to support your Head Start program greater or less than it was before your organization learned it had to competitively apply?
  - a) Do you think this change in funding levels is directly related to your organization's designation for competitive application?

Now I'm going to ask you a few questions about the decision to apply to maintain your Head Start funding for [name of Head Start Program].

- 13. Some communities we've seen have a large number of early care and education providers that could potentially apply for available Head Start funding. In other communities, few eligible providers or organizations exist. When your organization decided to apply, about how much competition did you think that you would have?
  - a) Why did you think that?
  - b) What chance did you think that you had in being awarded the grant?

*[Note to Interviewer: You are not trying to get an exact number. You are trying to determine if they thought they'd have none, a few, a lot, etc. You are also trying to determine how they thought they knew, and how good a chance they thought they had.]*

14. What role, if any, did you play in the decision to apply competitively to keep [name of Head Start program]?
  
15. Ask only if at least one member indicated that they had a role in the decision. Walk us through that decision process a little bit. *[Note to Interviewer: Pause to see if they will tell you a story. If not, then use the following probes.]*
  - a) Was the FOA what you expected?
    - i. Was the FOA released when you expected?
    - ii. Did your plan for the application change once the FOA was released?
  - b) Did your organization know right away that you wanted to apply?
  - c) What were your key considerations in deciding whether or not to apply?
  - d) What did you think were your organization's key strengths?
  - e) What were the particular challenges that you saw facing the community, and why did you think your organization was well-positioned to meet them?
  - f) What were the challenges you faced in applying?
    - i. *[IF FORMER HEAD START GRANTEE]* how did this differ from the former renewal process?
  
16. Please talk to us about the particular changes your organization made to demonstrate that it is the best one to continue serving the community. *[Note to Interviewer: Pause to see if they will tell you a story. If not, then use the following probes.]*
  - a) What enabled your organization to make those changes?
  - b) How well do you think you will be able to sustain those changes?
  
17. Did you have a role in assembling the application? About how much time do you think it took to put it all together? Did you seek professional assistance in assembling the application?
  - a) Would you mind telling us what kinds of resources that required, and how that experience was?
  
18. Why do you think your application was successful?
  - a) What do you think that your organization was able to uniquely offer?
  - b) What are the greatest strengths of your organization?

Now I'm going to ask you to think ahead to the future about what you think your organization will need to successfully maintain the grant for [name of Head Start program] that you have been awarded.

19. What organizational strengths do you think your organization has that will help it provide high quality Head Start services now and in the future?
  
20. How important to your organization's future Head Start success is maintaining the partnerships that helped your organization apply for this grant (if applicable)?

21. How important to your organization's future Head Start success is maintaining the non-Head Start sources of funding that are supporting your program (if applicable)?
22. What do you think are the most important things that your organization can do to be invited to apply for your grant noncompetitively in the future?

Those are almost all of my questions. Before we wrap up, I want to ask you about two things.

23. Now that your organization has competed and been awarded a grant through the competitive process, overall, for the broader Head Start community, what do each of you think is the most problematic aspect of the DRS competitive process and what do you think is the most beneficial? (*Probe for both beneficial and problematic aspects*).

I don't have any additional questions for you.

24. Is there anything I didn't ask that you want to tell us about your organization's experience with the DRS?

This has been a really great discussion. Thank you very much for your time.

## E.6c Incumbent Interview Protocol: Program Managers

Public reporting burden for this collection of information is estimated to average 90 minutes per response, including the time for reviewing the instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. This information collection is voluntary. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to: Reports Clearance Officer (Attn: OMB/PRA 0970-0443), Administration for Children and Families, Department of Health and Human Services, 370 L'Enfant Promenade, S.W., Washington, D.C. 20447.

### EVALUATION OF THE HEAD START DESIGNATION RENEWAL SYSTEM

#### AWARDEE EXPERIENCES INTERVIEW: PROGRAM MANAGERS

##### INCUMBENTS

(90 MINUTES)

## INTRODUCTION

Thank you for agreeing to meet with us today. I'm [INTERVIEWER NAME] and this is my colleague [ASSISTANT NAME], and we're researchers from the Urban Institute, a non-profit policy research organization in Washington, DC.

As part of a research study funded by the Office of Planning, Research and Evaluation (OPRE) in the U.S. Department of Health and Human Services, we are visiting 9 organizations from across the country that were awarded Head Start grants through the competitive process. Some of these organizations are incumbent grantees that had to reapply for their grants competitively, and some are new awardees. The goal of these visits is to better understand the Head Start Designation Renewal System (DRS) competitive process through the experiences of your organization and the others we are interviewing including how it affected your relationships with Head Start and partners in your community, the challenges you expected and experienced, changes you made, and how your organization arrived at the decision to compete for [FOA NAME & NUMBER]. We will combine the information we gather across programs to understand how the competitive process of the DRS effects Head Start at the community level.

During our visit to your program, we will be meeting with program leaders and members of your policy council and governing body to get different perspectives. Our meeting with you today will last about 90 minutes. The structure will be rather open-ended, meaning we have a list of specific questions to cover but we welcome any responses you may have.

There are no right or wrong answers. The purpose of the interview is to learn about your experience with the competitive process of the DRS and your organization's decision to compete. You should answer based on what it means to you, your program, and your community.

## INFORMED CONSENT

Before I begin my questions, I'd like to give you a copy of a consent form that describes our study procedures and your rights as a participant. If you agree to the study procedures, I'll ask you to sign and date your copy.

*[NOTES TO FACILITATORS: Give copy of consent form to participants. Each participant must sign and return one copy and may keep the second copy.]*

- I'll point out that your participation in this study is completely voluntary. You may choose to not answer any question and may stop the interview at any time. Participation in this study has no bearing on your Head Start grant.
- Everyone who works on this study has signed a *Staff Confidentiality Pledge* prohibiting disclosure of anything you say during the interview that would allow someone outside the research team, including government staff and officials, to identify you. The only exception is a researcher may be required by law to report suspicion of immediate harm to yourself, children, or others.
- Your name and other identifying information, such as the program's name and specific location, will be removed from the notes we take during the conversation.

- We value the time and information you will share with us today and want to make sure we accurately capture all the details. With your permission, we will audio record the session and take notes (written and/or on a laptop computer). Those notes will not include your name. The recording will serve as a back-up tool to ensure we capture all your comments in as close to your words as possible. Once the project is complete, all recordings will be destroyed. During the discussion, if you would like to stop the recording while you make a particular comment, please let us know and we will do so.

Before we get started, do you have any questions about the study, our study procedures, or the Urban Institute?

[If anyone objects to recording the discussion, the researcher who is not leading the interview will need to take thorough notes.]

[NOTE TO INTERVIEWER: Use the version of this protocol that is relevant to the organization you are visiting. There are two versions of this protocol: (A) incumbent organizations that had this Head Start grant before and after competition and (B) new awardees that existed as organizations prior to application for award but had not previously administered the grant for [name of Head Start program]. This is the protocol for the incumbent.

Remember that new awardees may have been affiliated with Head Start or even this grant in the past. You will know their status prior to the interview by reviewing responses to the Competition Data Capture Sheet (CDCS) that they completed when they applied for the grant.

You will meet as a group with selected agency Head Start managers. This interview should be conducted after meeting with the Agency and Head Start Program directors. The responses of the Agency and Head Start Program directors will help you to tailor the questions you ask of the other groups.]

1. To start, would each of you please tell me your official job title, how long you've worked in this position, and a little bit about your history with the organization?
  - a) Tell me about the ways in which you are involved in managing your Head Start Program.
2. And could you give me an overview of your organizational structure?

- a) Is your program part of a single-purpose or a multi-purpose organization? What other services does the organization provide? For early childhood programs or services, tell me about how those programs operate and funding sources.

*(Clarification, if necessary: A single purpose organization only provides Head Start and Early Head Start services, a multi-purpose organization operates other programs in addition to Head Start and Early Head Start).*

- a) What roles are represented on your management team?
  - i. Are these the same as they were before the competitive process?

3. Do you have any delegate agencies or Head Start slots through child care partnerships? Are these the same as they were before the competitive process?

*Probe if necessary: Tell me a little bit about your roles in managing those agencies/partnerships.*

[Interviewer note: Review PIR in advance to obtain preliminary information about delegates/child care partnerships.]

4. What do you see as the primary needs of young children and families in the community (communities) you serve?

Our conversation today will focus on how your organization experienced designation for a competitive 5-year grant, the reactions your organization and community had when you found out you had to competitively apply, the decisions your organization made leading up to the application submission, and what you think may be different about your program and your role now than before the designation process.

5. Remembering back to when you first learned your organization would have to apply competitively, how and when did you learn that status of [name of Head Start program]? *[Note to Interviewer: Pause to see if they will tell you a story. If not, then use the following probes.]*
  - a) Did you understand what it meant that your organization had been designated for a competitive application process?
    - i. What was your primary source of information for understanding the competition requirements?
  - b) Was the news about the competition a surprise to you or did you have a sense that it was coming?
    - i. If you thought it was coming, why?
6. Remembering back to when the community you serve first learned that [name of Head Start program] would have to apply competitively to keep the grant, what was the initial community reaction? *[Note to Interviewer: Pause to see if they will tell you a story. If not, then use the following probes.]*
  - a) How did your community find out?
  - b) About how much time did you need to spend engaging with the community to help them understand the competitive application process?
  - c) Were there particular reactions that required you to do some strategic troubleshooting in your specific positions?
7. Remembering back to when the staff of [name of Head Start program] first learned that your organization would have to apply competitively to keep the grant, what were their initial reactions? *[Note to Interviewer: Pause to see if they will tell you a story. If not, then use the following probes.]*

- a) How did your staff find out?
- b) About how much time did you need to spend engaging with the staff to help them understand the competitive application process?
- c) Were there particular reactions that required you to do some strategic troubleshooting in your specific positions?

Now I am going to ask you some questions about how the designation process affected relationships with community partners. When I ask you these questions, think about partners that are NOT funders.

8. Prior to learning that your organization had to reapply competitively to maintain its Head Start grant, do you think your organization had a strong set of community partners?
- a) Were you/are you involved in managing any of those relationships?

9. *Ask only if at least one had some involvement in managing community relationships.* How, if at all, did the announcement that your organization would have to apply competitively to keep its Head Start grant affect your community partnerships?  
[Note to Interviewer: Pause to see if they will tell you a story. If not, then use the following probes.]

- a) How and when did your community partners learn that your organization would have to compete to keep its Head Start grant?
- b) To what extent were your existing partners supportive?
  - i. Did they maintain the same level of supportiveness or increase?
- c) What kinds of concerns did your partners express?
- d) To what extent did new community partners come forward and volunteer to support you for the first time?
  - i. Did any community partners who had supported you in the early years, but had drifted away come back to support you again?

10. Ask only if appropriate given their previous answers about community relationships. How strong are your community partnerships now?
- a) Are these the same partners your organization had before the designation announcement?
  - b) To what extent did they help you through the competition process?

Now I'm going to ask you a few questions about the decision to apply to maintain your Head Start funding for [name of Head Start Program].

11. Did any of you have a role in your organization's decision to apply competitively to keep [name of Head Start program]? If yes, what role did you play in the decision to apply competitively to keep [name of Head Start program]?
12. Walk us through that decision process a little bit. [Note to Interviewer: Pause to see if they will tell you a story. If not, then use the following probes.]
- a) Was the FOA what you expected?
    - i. Was the FOA released when you expected?
    - ii. Did your plan for the application change once the FOA was released?
  - b) Did your organization know right away that you wanted to apply?
    - i. Who participated in the decision-making process?
  - c) What were your key considerations in deciding whether or not to apply?

- d) What did you think were your organization's key strengths?
  - e) What were the particular challenges that you saw facing the community, and why did you think your organization was well-positioned to meet them?
  - f) What were your primary concerns?
  - g) What were the challenges you faced in applying?
    - i. [IF FORMER HEAD START GRANTEE] how did this differ from the former renewal process?
13. Please talk to us about the particular changes your organization made to demonstrate that it is the best one to continue serving the community. [*Note to Interviewer: Pause to see if they will tell you a story. If not, then use the following probes.*]
- a) What enabled your organization to make those changes?
  - b) How well do you think you will be able to sustain those changes?
14. Did you have a role in assembling the application? About how much time do you think it took to put it all together (thinking about all individuals involved)? Did you seek professional assistance in assembling the application?
- a) Would you mind telling us what kinds of resources that required, and how that experience was?
15. Why do you think your application was successful?
- a) What do you think that your organization was able to uniquely offer?
  - b) What are the greatest strengths of your organization?
16. What are the key things that you think your organization will need to keep doing to avoid having to apply competitively to keep your Head Start grant in the future?

Now I'm going to ask you to think ahead to the future about what you think your organization will need to successfully maintain the grant for [name of Head Start program] that you have been awarded.

17. What organizational strengths do you think your organization has that will help it provide high quality Head Start services now and in the future?
18. What are the key things that you think your organization will need to keep doing to successfully provide high quality Head Start services?
- a) If your organization was providing Head Start services prior to receiving this award, what do you think your organization needs to do differently, if any, to maintain high quality services now that you have this new award?
  - b) How does it change your roles, if at all?
19. What do you think are the most important things that your organization can do to be invited to apply for your grant noncompetitively in the future?

Those are almost all of my questions. Before we wrap up, I want to ask you about two things.

20. Now that your organization has competed and been awarded a grant through the competitive process, overall, for the broader Head Start community, what do each of you think is the most problematic aspect of the DRS competitive process and what do you think is the most beneficial? (*Probe for both beneficial and problematic aspects.*)

I don't have any additional questions for you.

21. Is there anything I didn't ask that you want to tell us about your organization's experience with the DRS?

This has been a really great discussion. Thank you very much for your time.

## E.6d New Awardee Interview Protocol: Agency and Program Director

Public reporting burden for this collection of information is estimated to average 75 minutes per response, including the time for reviewing the instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. This information collection is voluntary. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to: Reports Clearance Officer (Attn: OMB/PRA 0970-0443), Administration for Children and Families, Department of Health and Human Services, 370 L'Enfant Promenade, S.W., Washington, D.C. 20447.

### EVALUATION OF THE HEAD START DESIGNATION RENEWAL SYSTEM

#### AWARDEE EXPERIENCES INTERVIEW: AGENCY AND PROGRAM DIRECTOR

##### NEW AWARDEE

(75 MINUTES)

## INTRODUCTION

Thank you for agreeing to meet with us today. I'm [INTERVIEWER NAME] and this is my colleague [ASSISTANT NAME], and we're researchers from the Urban Institute, a non-profit policy research organization in Washington, DC.

As part of a research study funded by the Office of Planning, Research and Evaluation (OPRE) in the U.S. Department of Health and Human Services, we are visiting 9 organizations from across the country that were awarded Head Start grants through the competitive process. Some of these organizations are incumbent grantees that had to reapply for their grants competitively, and some are new awardees. The goal of these visits is to better understand the Head Start Designation Renewal System (DRS) competitive process through the experiences of your organization and the others we are interviewing including how it affected your relationships with Head Start and partners in your community, the challenges you expected and experienced, changes you made, and how your organization arrived at the decision to compete for [FOA NAME & NUMBER]. We will combine the information we gather across programs to understand how the competitive process of the DRS effects Head Start at the community level.

During our visit to your program, we will be meeting with program leaders and members of your policy council and governing body to get different perspectives. Our meeting with you today will last about 75 minutes. The structure will be rather open-ended, meaning we have a list of specific questions to cover but we welcome any responses you may have.

There are no right or wrong answers. The purpose of the interview is to learn about your experience with the competitive process of the DRS and your organization's decision to compete. You should answer based on what it means to you, your program, and your community.

## INFORMED CONSENT

Before I begin my questions, I'd like to give you a copy of a consent form that describes our study procedures and your rights as a participant. If you agree to the study procedures, I'll ask you to sign and date your copy.

*[NOTES TO FACILITATORS: Give copy of consent form to participants. Each participant must sign and return one copy and may keep the second copy.]*

- I'll point out that your participation in this study is completely voluntary. You may choose to not answer any question and may stop the interview at any time. Participation in this study will have no bearing on your Head Start grant.
- Everyone who works on this study has signed a *Staff Confidentiality Pledge* prohibiting disclosure of anything you say during the interview that would allow someone outside the research team, including government staff and officials, to identify you. The only exception is a researcher may be required by law to report suspicion of immediate harm to yourself, children, or others.
- Your name and other identifying information, such as the program's name and specific location, will be removed from the notes we take during the conversation.
- We value the time and information you will share with us today and want to make sure we accurately capture all the details. With your permission, we will audio record the session and take notes (written and/or on a laptop computer). Those notes will not include your name. The

recording will serve as a back-up tool to ensure we capture all your comments in as close to your words as possible. Once the project is complete, all recordings will be destroyed. During the discussion, if you would like to stop the recording while you make a particular comment, please let us know and we will do so.

Before we get started, do you have any questions about the study, our study procedures, or the Urban Institute?

*[If anyone objects to recording the discussion, the researcher who is not leading the interview will need to take thorough notes.]*

*[NOTE TO INTERVIEWER: Use the version of this protocol that is relevant to the organization you are visiting. There are two versions of this protocol: (A) incumbent organizations that had this Head Start grant before and after competition and (B) new awardees that existed as organizations prior to application for award but had not previously administered the grant for [name of Head Start program]. This is the protocol for the new awardee.*

*Remember that new awardees may have been affiliated with Head Start or even this grant in the past. You will know their status prior to the interview by reviewing responses to the Competition Data Capture Sheet (CDCS) that they completed when they applied for the grant.*

*You will meet individually with the Agency Director and the Head Start Program Director, if the organization has both kinds of directors; in some organizations the Agency Director and the Head Start Program Director will be the same individual. These interviews should be conducted prior to meeting with the Policy Council and Governing Board or the Program Managers. The responses of the Agency and Head Start Program Director will help you to tailor the questions you ask of the other groups.]*

1. To start, would you please tell me your official job title, how long you've worked in this position, and a little bit about your organization?
  - a) If your organization was operating a Head Start program prior to the application for [name of Head Start program], tell me about the ways in which you had been involved in managing that Head Start Program.
    - i. Will your role in managing the newly awarded Head Start program be approximately the same? If no, how will it differ?
2. Please provide us with a short history of your organization's role in the community prior to applying for and winning the grant to run [name of Head Start program], including the historical relationship your organization had, if any, with the organization that used to run [name of Head Start program].
3. Now, I'd like to hear a little bit about the history of your organization as a Head Start grantee. [Note to Interviewer: Ask only if they had been involved in delivery of Head Start services prior to applying for the newly awarded Head Start grant.]
  - a) How many years have you been offering Head Start?
  - b) What is your Head Start service area?
    - i. Is this the same as it was before you entered the competitive process?
    - ii. What do you see as the primary needs of young children and families in the community (communities) you serve?

4. And could you give me an overview of your organizational structure? Start with your organizational structure prior to the application for the new Head Start program. Then tell me how that structure has changed with the addition of [name of Head Start program].
  - a) Is your program part of a single-purpose or a multi-purpose organization? What other services does the organization provide? For early childhood programs or services, tell me about how those programs operate and funding sources.  
*(Clarification, if necessary: A single purpose organization only provides Head Start and Early Head Start services, a multi-purpose organization operates other programs in addition to Head Start and Early Head Start).*
  - b) What roles are represented on your management team?
    - i. Are these the same as they were before the competitive process?

5. Do you have any delegate agencies or Head Start slots through child care partnerships? Are these the same as they were before the competitive process?

*Probe if necessary:* Tell me a little bit about those agencies/partnerships.

Our conversation today will focus on how your organization experienced this new competitive grant award process that is part of the Head Start Designation Renewal System, particularly in relationship to the application your organization submitted and won to administer [name of Head Start program].

6. How and when did your organization learn about the Head Start Designation Renewal System?
7. How and when did you learn that [name of Head Start program] would be subject to a competitive grant application process? *[Note to Interviewer: Pause to see if they will tell you a story. If not, then use the following probes.]*
  - a) Did you understand what it meant that the organization currently running the program would have to compete to keep the grant?
    - i. What was your primary source of information for understanding the competition requirements?
  - b) Was the news about the competition a surprise to you or did you have a sense that it was coming?
    - i. If you thought it was coming, why?
8. Remembering back to when the community served by [name of Head Start program] learned that the organization would have to apply competitively to keep the grant, what was the initial community reaction? *[Note to Interviewer: Pause to see if they will tell you a story. If not, then use the following probes.]*
  - a) How did the community find out?
  - b) What was your organization's role in the community at that time?

Now I'm going to ask you to reflect on your organization's decision to apply for the grant to operate [name of Head Start program], and the roles that community partners and funders played in that decision-making.

9. What role did you play in your organization's decision to apply for the grant for [name of Head Start program]?

10. Walk us through that decision process a little bit. [Note to Interviewer: Pause to see if they will tell you a story. If not, then use the following probes.]
- a) Was the FOA what you expected?
    - i. Was the FOA released when you expected?
    - ii. Did your plan for the application change once the FOA was released?
  - b) Did your organization know right away that you wanted to apply?
    - i. Who participated in the decision-making process?
  - c) What were your key considerations in deciding whether or not to apply?
  - d) What did you think were your organization's key strengths?
  - e) What were the challenges you faced in applying?
    - i. [IF FORMER HEAD START GRANTEE] how did this differ from the former renewal process?

11. What were the particular challenges that you saw facing the community, and why did you think your organization was well-positioned to meet them?

12. Some communities we've seen have a large number of early care and education providers that could potentially apply for available Head Start funding. In other communities, few eligible providers or organizations exist. When your organization decided to apply, about how much competition did you think that you would have?
- a) Why did you think that?
  - b) What chance did you think that you had in being awarded the grant?

[Note to Interviewer: You are not trying to get an exact number. You are trying to determine if they thought they'd have none, a few, a lot, etc. You are also trying to determine how they thought they knew, and how good a chance they thought they had.]

13. When your organization decided to apply, did you know the application intentions of the organization currently running [name of Head Start program]? What concerns, if any, did your organization have in competing against the current Head Start operator?
14. To what extent did your organization partner with other organizations to develop a competitive Head Start option for the community? Could you talk to us about how that evolved?
15. When your organization applied for funding, did you obtain the help of any kind of professional grant-writer? Would you mind telling us what kinds of resources that required, and how that experience was?
16. Had your organization talked with other organizations prior to the competition announcement about the possibility of partnering to provide these Head Start services in the community?
- a) If so, tell us a little bit about how that came about.
  - b) If not, talk to us about how the partnerships formed.
17. Prior to your decision to compete for this Head Start grant, did your organization have other funders that either supported your decision or expressed concern about your decision to compete? Please talk about your experience with existing funders.

18. Had your organization talked with other potential funders prior to the competition announcement about the possibility of supporting these Head Start services in the community?
  - a) If so, tell us a little bit about how that came about.
  - b) Are these funders you had worked with in the past or are they brand new funders?
19. Had any of these funders been supporting the incumbent grantee, but now they are supporting your organization instead? How did that come about?
20. Did/will your organization take over any of the space that [name of incumbent organization] had been using to provide Head Start services? Tell us a little bit about how those arrangements were made and how the process went.
  - a) What resources are you using in the community?
  - b) What challenges have you faced starting a head start program?
21. How many of the staff who were providing services through the incumbent organization will be/have been hired to help your organization provide services through the newly awarded Head Start grant?
  - a) Did you or others in your organization have any concerns about hiring these staff?
  - b) Please walk us through the process of how this hiring process worked/is working.

Now I'm going to ask you to think ahead to the future about what you think your organization will need to successfully maintain the grant for [name of Head Start program] that you have been awarded.

22. What organizational strengths do you think your organization has that will help it provide high quality Head Start services now and in the future?
23. How important to your organization's future Head Start success is maintaining the partnerships that helped your organization apply for this grant (if applicable)?
24. How important to your organization's future Head Start success is maintaining the non-Head Start sources of funding that are supporting your program (if applicable)?
25. What do you think are the most important things that your organization can do to be invited to apply for your grant noncompetitively in the future?

Those are almost all of my questions. Before we wrap up, I want to ask you about two things.

26. Now that your organization has competed and been awarded a grant through the competitive process, overall, for the broader Head Start community, what do each of you think is the most problematic aspect of the DRS competitive process and what do you think is the most beneficial? (*Probe for both beneficial and problematic aspects*).

I don't have any additional questions for you.

27. Is there anything I didn't ask that you want to tell us about your organization's experience with the DRS and the competitive grant award process?

This has been a really great discussion. Thank you very much for your time.

## E.6e New Awardee Interview Protocol: Policy Council/Governing Body

Public reporting burden for this collection of information is estimated to average 90 minutes per response, including the time for reviewing the instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. This information collection is voluntary. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to: Reports Clearance Officer (Attn: OMB/PRA 0970-0443), Administration for Children and Families, Department of Health and Human Services, 370 L'Enfant Promenade, S.W., Washington, D.C. 20447.

### EVALUATION OF THE HEAD START DESIGNATION RENEWAL SYSTEM

#### AWARDEE EXPERIENCES INTERVIEW: POLICY COUNCIL/GOVERNING BODY

NEW AWARDEE

(90 MINUTES)

## INTRODUCTION

Thank you for agreeing to meet with us today. I'm [INTERVIEWER NAME] and this is my colleague [ASSISTANT NAME], and we're researchers from the Urban Institute, a non-profit policy research organization in Washington, DC.

As part of a research study funded by the Office of Planning, Research and Evaluation (OPRE) in the U.S. Department of Health and Human Services, we are visiting 9 organizations from across the country that were awarded Head Start grants through the competitive process. Some of these organizations are incumbent grantees that had to reapply for their grants competitively, and some are new awardees. The goal of these visits is to better understand the Head Start Designation Renewal System (DRS) competitive process through the experiences of your organization and the others we are interviewing including how it affected your relationships with Head Start and partners in your community, the challenges you expected and experienced, changes you made, and how your organization arrived at the decision to compete for [FOA NAME AND NUMBER]. We will combine the information we gather across programs to understand how the competitive process of the DRS affects Head Start at the community level.

During our visit to your program, we will be meeting with program leaders and members of your policy council and governing body to get different perspectives. Our meeting with you today will last about 90 minutes. The structure will be rather open-ended, meaning we have a list of specific questions to cover but we welcome any responses you may have.

There are no right or wrong answers. The purpose of the interview is to learn about your experience with the competitive process of the DRS and your organization's decision to compete. You should answer based on what it means to you, your program, and your community.

## INFORMED CONSENT

Before I begin my questions, I'd like to give you a copy of a consent form that describes our study procedures and your rights as a participant. If you agree to the study procedures, I'll ask you to sign and date your copy.

*[NOTES TO FACILITATORS: Give copy of consent form to participants. Each participant must sign and return one copy and may keep the second copy.]*

- I'll point out that your participation in this study is completely voluntary. You may choose to not answer any question and may stop the interview at any time. Participation in this study will have no bearing on your Head Start grant.
- Everyone who works on this study has signed a *Staff Confidentiality Pledge* prohibiting disclosure of anything you say during the interview that would allow someone outside the research team, including government staff and officials, to identify you. The only exception is a researcher may be required by law to report suspicion of immediate harm to yourself, children, or others.
- Your name and other identifying information, such as the program's name and specific location, will be removed from the notes we take during the conversation.
- We value the time and information you will share with us today and want to make sure we accurately capture all the details. With your permission, we will audio record the session and take notes (written and/or on a laptop computer). Those notes will not include your name. The

recording will serve as a back-up tool to ensure we capture all your comments in as close to your words as possible. Once the project is complete, all recordings will be destroyed. During the discussion, if you would like to stop the recording while you make a particular comment, please let us know and we will do so.

Before we get started, do you have any questions about the study, our study procedures, or the Urban Institute?

*[If anyone objects to recording the discussion, the researcher who is not leading the interview will need to take thorough notes.]*

*[NOTE TO INTERVIEWER: Use the version of this protocol that is relevant to the organization you are visiting. There are two versions of this protocol: (A) incumbent organizations that had this Head Start grant before and after competition and (B) new awardees that existed as organizations prior to application for award but had not previously administered the grant for [name of Head Start program]. This is the protocol for the new awardee.*

*Remember that new awardees may have been affiliated with Head Start or even this grant in the past. You will know their status prior to the interview by reviewing responses to the Competition Data Capture Sheet (CDCS) that they completed when they applied for the grant.*

*Prior to meeting with the Policy Council/Governing Board, you will meet with the Agency and Program Directors. They will provide you with some additional insight into the role of the Policy Council and Governing Board as it relates to the interview topics. You may find you need to tailor the questions asked to conform to the information gained in the Agency and Program Director interviews.]*

1. Let's start by having each of you introduce yourself. Please tell us your role in [name of Head Start program], about how long you've been in that role, what you see as your most important responsibility in that role, and if you had a role in this organization prior to it winning the grant for [name of Head Start program]. (*Policy council: And if you are a parent of a child in Head Start or Early Head Start, please tell us how old your child is and how long she or he has been in the program.*)
2. Please provide us with a short history of your organization's role in the community prior to applying for and winning the grant to run [name of Head Start program], including the historical relationship your organization had, if any, with the organization that used to run [name of Head Start program].

Our conversation today will focus on how your organization experienced this new competitive grant award process that is part of the Head Start Designation Renewal System, particularly in relationship to the application your organization submitted and won to administer [name of Head Start program].

3. How and when did your organization learn about the Head Start Designation Renewal System?
4. How and when did you learn that [name of Head Start program] would be subject to a competitive grant application process? *[Note to Interviewer: Pause to see if they will tell you a story. If not, then use the following probes.]*
  - a) Did you understand what it meant that the organization currently running the program would have to compete to keep the grant?

- i. What was your primary source of information for understanding the competition requirements?
  - b) Was the news about the competition a surprise to you or did you have a sense that it was coming?
    - i. If you thought it was coming, why?
5. Remembering back to when the community served by [name of Head Start program] learned that the organization would have to apply competitively to keep the grant, what was the initial community reaction? [*Note to Interviewer: Pause to see if they will tell you a story. If not, then use the following probes.*]
  - a) How did the community find out?
  - b) What was your organization's role in the community at that time?

Now I'm going to ask you to reflect on your organization's decision to apply for the grant to operate [name of Head Start program], and the roles that community partners and funders played in that decision-making.

6. What role did you play in your organization's decision to apply for the grant for [name of Head Start program]?
7. Ask only if at least one member indicated that they had a role in the decision. Walk us through that decision process a little bit. [*Note to Interviewer: Pause to see if they will tell you a story. If not, then use the following probes.*]
  - a) Was the FOA what you expected?
    - i. Was the FOA released when you expected?
    - ii. Did your plan for the application change once the FOA was released?
  - b) Did your organization know right away that you wanted to apply?
  - c) What were your key considerations in deciding whether or not to apply?
  - d) What did you think were your organization's key strengths?
  - e) What were the challenges you faced in applying?
    - i. [IF FORMER HEAD START GRANTEE] how did this differ from the former renewal process?
8. What were the particular challenges that you saw facing the community, and why did you think your organization was well-positioned to meet them?
9. Some communities we've seen have a large number of early care and education providers that could potentially apply for available Head Start funding. In other communities, few eligible providers or organizations exist. When your organization decided to apply, about how much competition did you think that you would have?
  - a) Why did you think that?
  - b) What chance did you think that you had in being awarded the grant?

[*Note to Interviewer: You are not trying to get an exact number. You are trying to determine if they thought they'd have none, a few, a lot, etc. You are also trying to determine how they thought they knew, and how good a chance they thought they had.*]

10. When your organization decided to apply, did you know the application intentions of the organization currently running [name of Head Start program]? What concerns, if any, did your organization have in competing against the current Head Start operator?
11. To what extent did your organization partner with other organizations to develop a competitive Head Start option for the community? Could you talk to us about how that evolved?
12. When your organization applied for funding, did you obtain the help of any kind of professional grant-writer? Would you mind telling us what kinds of resources that required, and how that experience was?
13. Had your organization talked with other organizations prior to the competition announcement about the possibility of partnering to provide these Head Start services in the community?
  - a) If so, tell us a little bit about how that came about.
  - b) If not, talk to us about how the partnerships formed.
14. Prior to your decision to compete for this Head Start grant, did your organization have other funders that either supported your decision or expressed concern about your decision to compete? Please talk about your experience with existing funders.
15. Had your organization talked with other potential funders prior to the competition announcement about the possibility of supporting these Head Start services in the community?
  - a) If so, tell us a little bit about how that came about.
  - b) Are these funders you had worked with in the past or are they brand new funders?
16. Had any of these funders been supporting the incumbent grantee, but now they are supporting your organization instead? How did that come about?

Now I'm going to ask you to think ahead to the future about what you think your organization will need to successfully maintain the grant for [name of Head Start program] that you have been awarded.

17. What organizational strengths do you think your organization has that will help it provide high quality Head Start services now and in the future?
18. How important to your organization's future Head Start success is maintaining the partnerships that helped your organization apply for this grant (if applicable)?
19. How important to your organization's future Head Start success is maintaining the non-Head Start sources of funding that are supporting your program (if applicable)?
20. What do you think are the most important things that your organization can do to be invited to apply for your grant noncompetitively in the future?

Those are almost all of my questions. Before we wrap up, I want to ask you about two things.

21. Now that your organization has competed and been awarded a grant through the competitive process, overall, for the broader Head Start community, what do each of you think is the most problematic aspect of the DRS competitive process and what do you think is the most beneficial? (*Probe for both beneficial and problematic aspects*).

I don't have any additional questions for you.

22. Is there anything I didn't ask that you want to tell us about your organization's experience with the DRS and the competitive grant award process?

This has been a really great discussion. Thank you very much for your time.

## E.6f New Awardee Interview Protocol: Program Managers

Public reporting burden for this collection of information is estimated to average 90 minutes per response, including the time for reviewing the instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. This information collection is voluntary. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to: Reports Clearance Officer (Attn: OMB/PRA 0970-0443), Administration for Children and Families, Department of Health and Human Services, 370 L'Enfant Promenade, S.W., Washington, D.C. 20447.

### EVALUATION OF THE HEAD START DESIGNATION RENEWAL SYSTEM

#### AWARDEE EXPERIENCES INTERVIEW: PROGRAM MANAGERS

#### NEW AWARDEES

(90 MINUTES)

## INTRODUCTION

Thank you for agreeing to meet with us today. I'm [INTERVIEWER NAME] and this is my colleague [ASSISTANT NAME], and we're researchers from the Urban Institute, a non-profit policy research organization in Washington, DC.

As part of a research study funded by the Office of Planning, Research and Evaluation (OPRE) in the U.S. Department of Health and Human Services, we are visiting 9 organizations from across the country that were awarded Head Start grants through the competitive process. Some of these organizations are incumbent grantees that had to reapply for their grants competitively, and some are new awardees. The goal of these visits is to better understand the Head Start Designation Renewal System (DRS) competitive process through the experiences of your organization and the others we are interviewing including how it affected your relationships with Head Start and partners in your community, the challenges you expected and experienced, changes you made, and how your organization arrived at the decision to compete for [FOA NAME & NUMBER]. We will combine the information we gather across programs to understand how the competitive process of the DRS effects Head Start at the community level.

During our visit to your program, we will be meeting with program leaders and members of your policy council and governing body to get different perspectives. Our meeting with you today will last about 90 minutes. The structure will be rather open-ended, meaning we have a list of specific questions to cover but we welcome any responses you may have.

There are no right or wrong answers. The purpose of the interview is to learn about your experience with the competitive process of the DRS and your organization's decision to compete. You should answer based on what it means to you, your program, and your community.

## INFORMED CONSENT

Before I begin my questions, I'd like to give you a copy of a consent form that describes our study procedures and your rights as a participant. If you agree to the study procedures, I'll ask you to sign and date your copy.

[NOTES TO FACILITATORS: Give copy of consent form to participants. Each participant must sign and return one copy and may keep the second copy.]

- I'll point out that your participation in this study is completely voluntary. You may choose to not answer any question and may stop the interview at any time. Participation in this study has no bearing on your Head Start grant.
- Everyone who works on this study has signed a *Staff Confidentiality Pledge* prohibiting disclosure of anything you say during the interview that would allow someone outside the research team, including government staff and officials, to identify you. The only exception is a researcher may be required by law to report suspicion of immediate harm to yourself, children, or others.
- Your name and other identifying information, such as the program's name and specific location, will be removed from the notes we take during the conversation.
- We value the time and information you will share with us today and want to make sure we accurately capture all the details. With your permission, we will audio record the session and take notes (written and/or on a laptop computer). Those notes will not include your name. The

recording will serve as a back-up tool to ensure we capture all your comments in as close to your words as possible. Once the project is complete, all recordings will be destroyed. During the discussion, if you would like to stop the recording while you make a particular comment, please let us know and we will do so.

Before we get started, do you have any questions about the study, our study procedures, or the Urban Institute?

*[If anyone objects to recording the discussion, the researcher who is not leading the interview will need to take thorough notes.]*

*[NOTE TO INTERVIEWER: Use the version of this protocol that is relevant to the organization you are visiting. There are two versions of this protocol: (A) incumbent organizations that had this Head Start grant before and after competition and (B) new awardees that existed as organizations prior to application for award but had not previously administered the grant for [name of Head Start program]. This is the protocol for the new awardee.*

*Remember that new awardees may have been affiliated with Head Start or even this grant in the past. You will know their status prior to the interview by reviewing responses to the Competition Data Capture Sheet (CDCS) that they completed when they applied for the grant.*

*You will meet as a group with selected agency Head Start managers. This interview should be conducted after meeting with the Agency and Head Start Program directors. The responses of the Agency and Head Start Program directors will help you to tailor the questions you ask of the other groups.]*

1. To start, would each of you please tell me your official job title, how long you've worked in this position, and a little bit about your history with the organization?
  - a) Tell me about the ways in which you are involved in managing your Head Start Program.
  
2. Please provide us with a short history of your organization's role in the community prior to applying for and winning the grant to run [name of Head Start program], including the historical relationship your organization had, if any, with the organization that used to run [name of Head Start program].
  
3. And could you give me an overview of your organizational structure?
  - a) Is your program part of a single-purpose or a multi-purpose organization? What other services does the organization provide? For early childhood programs or services, tell me about how those programs operate and funding sources.  
*(Clarification, if necessary: A single purpose organization only provides Head Start and Early Head Start services, a multi-purpose organization operates other programs in addition to Head Start and Early Head Start).*
  - b) What roles are represented on your management team?
    - i. Are these the same as they were before the competitive process?

4. Do you have any delegate agencies or Head Start slots through child care partnerships? Are these the same as they were before the competitive process?

*Probe if necessary:* Tell me a little bit about your roles in managing those agencies/partnerships.

*[Interviewer note: Review PIR in advance to obtain preliminary information about delegates/child care partnerships.]*

5. What do you see as the primary needs of young children and families in the community (communities) you serve?

Our conversation today will focus on how your organization experienced this new competitive grant award process that is part of the Head Start Designation Renewal System, particularly in relationship to the application your organization submitted and won to administer [name of Head Start program].

6. How and when did you learn about the Head Start Designation Renewal System?
7. How and when did you learn that [name of Head Start program] would be subject to a competitive grant application process? *[Note to Interviewer: Pause to see if they will tell you a story. If not, then use the following probes.]*
  - a) Did you understand what it meant that the organization currently running the program would have to compete to keep the grant?
    - i. What was your primary source of information for understanding the competition requirements?
  - b) Was the news about the competition a surprise to you or did you have a sense that it was coming?
    - i. If you thought it was coming, why?

Now I'm going to ask you to reflect on your organization's decision to apply for the grant to operate [name of Head Start program], and the roles that community partners and funders played in that decision-making.

8. Did any of you have a role in your organization's decision to apply competitively to keep [name of Head Start program]? If yes, what role did you play in the decision to apply competitively to keep [name of Head Start program]?
9. Walk us through that decision process a little bit. *[Note to Interviewer: Pause to see if they will tell you a story. If not, then use the following probes.]*
  - a) Was the FOA what you expected?
    - i. Was the FOA released when you expected?
    - ii. Did your plan for the application change once the FOA was released?
  - b) Did your organization know right away that you wanted to apply?
    - i. Who participated in the decision-making process?
  - c) What were your key considerations in deciding whether or not to apply?
  - d) What did you think were your organization's key strengths?
  - e) What were your primary concerns?
  - f) What were the challenges you faced in applying?
    - i. *[IF FORMER HEAD START GRANTEE]* how did this differ from the former renewal process?

10. What were the particular challenges that you saw facing the community, and why did you think your organization was well-positioned to meet them?
  - a) What did you think would be the primary challenges in meeting them?
11. Did you have a role in assembling the application? About how much time do you think it took to put it all together (thinking about all individuals involved)? Did you seek professional assistance in assembling the application?
  - a) Would you mind telling us what kinds of resources that required, and how that experience was?
12. Why do you think your application was successful?
  - a) What do you think that your organization was able to uniquely offer?
  - b) What are the greatest strengths of your organization?
13. Did/will your organization take over any of the space that [name of incumbent organization] had been using to provide Head Start services? If you were involved in making those arrangements, please tell us a little bit about how those arrangements were made and how the process went.
  - a) What resources are you using in the community?
  - b) What challenges have you faced starting a head start program?
14. Did your organization hire staff who were providing services through the incumbent organization to help your organization provide services through the newly awarded Head Start grant?
  - a) Did you or others in your organization have any concerns about hiring these staff?
  - b) In what ways does bringing on these staff change your roles?

Now I'm going to ask you to think ahead to the future about what you think your organization will need to successfully maintain the grant for [name of Head Start program] that you have been awarded.

15. What organizational strengths do you think your organization has that will help it provide high quality Head Start services now and in the future?
16. What are the key things that you think your organization will need to keep doing to successfully provide high quality Head Start services?
  - a) If your organization was providing Head Start services prior to receiving this award, what do you think your organization needs to do differently, if any, to maintain high quality services now that you have this new award?
  - b) How does it change your roles, if at all?
17. What do you think are the most important things that your organization can do to be invited to apply for your grant noncompetitively in the future?

Those are almost all of my questions. Before we wrap up, I want to ask you about two things.

18. Now that your organization has competed and been awarded a grant through the competitive process, overall, for the broader Head Start community, what do each of you think is the most problematic aspect of the DRS competitive process and what do you think is the most beneficial? (*Probe for both beneficial and problematic aspects*).

I don't have any additional questions for you.

19. Is there anything I didn't ask that you want to tell us about your organization's experience with the DRS and the competitive grant award process?

This has been a really great discussion. Thank you very much for your time.

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**H. Elizabeth Peters** is the director of the Center on Labor, Human Services, and Population at the Urban Institute. Her research focuses on family economics and family policy, specifically addressing topics related to child and family well-being, father involvement, family formation and dissolution, child support policy, child care choice and child care policy, work-family balance, and family decision-making. Her work has appeared in peer-reviewed journals in economics, demography, and public policy, and she is the co-editor of *From Welfare to Childcare: What happens to Infants and Toddlers when Single Mothers Exchange Welfare for Work* (2006). She has a Ph.D. in economics from the University of Chicago.





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