

DATE: 6/19/98

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
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OFFICE OF THE ASSISTANT SECRETARY FOR LEGISLATION
HUMAN SERVICES LEGISLATION
ROOM 413 H HUMPHREY BUILDING

FROM:

TO : Melinda Haskins [XX] MARY M. BOURDETTE
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TOTAL PAGES
INCLUDING COVER) : 57

REMARKS: We're hoping to get Republican staff draft on Monday -- and to you -
- but per conversations with them, pretty sure it will look a lot like the
attached. Happy weekend reading...

Part III

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DISCUSSION DRAFT

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1 (i) by striking "shall carry out" and
2 all that follows through "maintain" and in-
3 serting "shall take steps to ensure, to the
4 maximum extent possible, that children
5 maintain";

6 (ii) by striking "developmental" and
7 inserting "developmental and educational";
8 and

9 (iii) by striking "to build" and insert-
10 ing "build";

11 (B) by striking paragraph (2); and

12 (C) by redesignating paragraphs (3)
13 through (5) as paragraphs (2) through (4), re-
14 spectively.

15 **SEC. 111. HEAD START TRANSITION.**

16 The Head Start Act (42 U.S.C. 9831 et seq.) is
17 amended by inserting after section 642 the following:

18 **"SEC. 642A. HEAD START TRANSITION.**

19 "Each Head Start agency shall take steps to coordi-
20 nate with the local educational agency serving the commu-
21 nity involved and with schools in which children participat-
22 ing in a Head Start program operated by such agency will
23 enroll following such program, including—

24 "(1) developing and implementing a systematic
25 procedure for transferring, with parental consent,

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DISCUSSION DRAFT

S.L.C.

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1 Head Start program records for each participating
2 child to the school in which such child will enroll;

3 "(2) establishing channels of communication be-
4 tween Head Start staff and their counterparts in the
5 schools (including teachers, social workers, and
6 health staff) to facilitate coordination of programs;

7 "(3) conducting meetings involving parents,
8 kindergarten or elementary school teachers, and
9 Head Start program teachers to discuss the devel-
10 opmental and other needs of individual children;

11 "(4) organizing and participating in joint tran-
12 sition-related training of school staff and Head Start
13 staff;

14 "(5) developing and implementing a family out-
15 reach and support program in cooperation with enti-
16 ties carrying out parental involvement efforts under
17 title I of the Elementary and Secondary Education
18 Act of 1965 (20 U.S.C. 6301 et seq.); and

19 "(6) assisting families, administrators, and
20 teachers in enhancing developmental continuity be-
21 tween Head Start services and elementary school
22 classes."

23 **SEC. 112. SUBMISSION OF PLANS TO GOVERNORS.**

24 The first sentence of section 643 (42 U.S.C. 9838)
25 is amended—

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DISCUSSION DRAFT

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1 (1) by striking "~~not been disapproved by such~~
2 ~~officer within 30 days~~" and inserting "~~been ap-~~
3 ~~proved by such officer~~ within ⁴⁵~~60~~ days"; and

4 (2) by striking "so disapproved" and inserting
5 "disapproved (for reasons other than failure to ^{comply with}
6 State health, safety, and child care ^{laws and regulations} standards, if
7 ~~any~~ ^{applicable to comparable c.c. programs.}

8 SEC. 113. PARTICIPATION IN HEAD START PROGRAMS.

9 Section 645(a)(1)(B) (42 U.S.C. 9840(a)(1)(B)) is
10 amended—

11 (1) by striking "that programs" and inserting
12 "that (i) programs"; and

13 (2) by striking the period and inserting the fol-
14 lowing: ", and (ii) entities carrying out the programs
15 shall give priority in enrollment for Head Start serv-
16 ices to children who have been enrolled in Head
17 Start services but whose families no longer meet the
18 low-income criteria."

19 SEC. 114. EARLY HEAD START PROGRAMS FOR FAMILIES
20 WITH INFANTS AND TODDLERS.

21 Section 645A (42 U.S.C. 9840a) is amended—

22 (1) in the section heading, by inserting "EARLY
HEAD START" before "PROGRAMS FOR";

(add re)

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DISCUSSION DRAFT

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1 (2) in subsection (a)(2), by striking "to entities
2 carrying out" and all that follows and inserting "and
3 evaluations for such programs.";

4 (3) in subsection (b)(5), by inserting "(includ-
5 ing programs for infants and toddlers with disabil-
6 ities)" after "community";

7 (4) in subsection (c)(2), by striking "3 (or
8 under" and all that follows and inserting "3:";

9 (5) in subsection (d)—

10 (A) by striking paragraph (2); and

11 (B) by redesignating paragraph (3) as
12 paragraph (2);

13 (6) by striking subsection (e);

14 (7) by redesignating subsections (f) and (g) as
15 subsections (e) and (f), respectively;

16 (8) in subsection (e) (as redesignated in para-
17 graph (7))—

18 (A) in the subsection heading, by striking
19 "OTHER"; and

20 (B) by striking "From the balance remain-
21 ing of the portion specified in section 640(a)(6),
22 after making grants to the eligible entities spec-
23 ified in subsection (e)." and inserting "From
24 the portion specified in section 640(a)(6)."; and
25 (9) by striking subsection (h).

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DISCUSSION DRAFT

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1 **SEC. 115. TECHNICAL ASSISTANCE AND TRAINING.**

2 Section 648(c) (42 U.S.C. 9843(c)) is amended—

3 (1) in paragraph (4)—

4 (A) by striking “developing” and inserting
5 “developing and implementing”; and6 (B) by striking “a longer day;” and insert-
7 ing the following: “the day, and assist the agen-
8 cies and programs in expediting the sharing of
9 information about innovative models for provid-
10 ing full-working-day, full calendar year services
11 for children.”;12 (2) in paragraph (7), by striking “; and” and
13 inserting a semicolon;14 (3) in paragraph (8), by striking the period and
15 inserting “; and”; and

16 (4) by adding at the end the following:

17 “(9) assist Head Start agencies in—

18 “(A) ensuring the school readiness of chil-
19 dren; and20 “(B) meeting the education performance
21 standards described in this subchapter.”.22 **SEC. 116. WAIVERS.**23 Section 648A(a)(2) (42 U.S.C. 9843a(a)(2)) is
24 amended to read as follows:25 “(2) **WAIVER.**—On request, the Secretary shall
26 grant a 180-day waiver of the requirements of para-

*add
services
to
promote
acq. of
Eng.
1 a yr*

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DISCUSSION DRAFT

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1 graph (1), for a Head Start agency that can dem-
 2 onstrate that the agency has unsuccessfully at-
 3 tempted to recruit an individual who has a creden-
 4 tial, certificate or degree described in paragraph
 5 (1), with respect to an individual who—

6 “(A) is enrolled in a program that grants
 7 any such credential, certificate, or degree; and

8 “(B) will receive such credential, certifi-
 9 cate, or degree under the terms of such pro-
 10 gram not later than 180 days after beginning
 11 employment as a teacher with such agency.”

12 **SEC. 117. RESEARCH AND EVALUATION.**

13 (a) IN GENERAL.—Section 649 (42 U.S.C. 9844) is
 14 amended by inserting after subsection (e) the following:

15 “(f) NATIONAL HEAD START IMPACT STUDY.—

16 “(1) IN GENERAL.—The Secretary shall enter

17 into a contract with an organization to conduct an

18 independent study that provides a national analysis

19 of the impact of Head Start programs. The Sec-

20 retary shall enter into the contract with an organiza-

21 tion with expertise in program evaluation, and re-

22 search, education, and early childhood programs.

23 “(2) DESIGNS AND TECHNIQUES.—The Sec-

24 retary shall ensure that the study uses rigorous

25 methodological designs and techniques, including

(more
expert
panels)

Research
After review of recs of
expert panel
grant or cooperative agcy

grant or coop. ag.

based on
recs of
expert panel

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DISCUSSION DRAFT

S.L.C

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1 longitudinal designs, control groups, nationally rec-
2 ognized standardized measures, and random selec-
3 tion and assignment, as appropriate. The Secretary
4 may provide that the study shall be conducted as a
5 single comprehensive assessment or as a group of co-
6 ordinated assessments designed to provide, when
7 taken together, a national analysis of the impact of
8 Head Start programs.

9 "(3) PROGRAMS.—The Secretary shall ensure
10 that the study focuses primarily on Head Start pro-
11 grams that operate in the 50 States or the District
12 of Columbia and that do not specifically target spe-
13 cial populations (such as migrant children, Indian
14 children, and pregnant women and their children).

PR

15 "(4) ANALYSIS.—The Secretary shall ensure
16 that the organization conducting the study—

17 "(A)(i) determines if, overall, the Head
18 Start programs have impacts consistent with
19 their primary goal of increasing the social com-
20 petence of children, by increasing the everyday
21 effectiveness of the children in dealing with
22 their present environments and future respon-
23 sibilities, and increasing their school readiness;

24 "(ii) considers whether the Head Start
25 programs—

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DISCUSSION DRAFT

S.L.C.

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1 (I) enhance the growth and develop-
2 ment of children in cognitive,
3 socioemotional, and physical health areas;

4 (II) strengthen families as the pri-
5 mary nurturers of their children; and

6 (III) ensure that children attain
7 school readiness; and

8 (iii) examines—

9 (I) the impact of the Head Start
10 programs on increasing access of children
11 to such services as educational, health, and
12 nutritional services, and linking children
13 and families to needed community services;
14 and

15 (II) how receipt of services described
16 in subclause (I) enriches the lives of chil-
17 dren and families participating in Head
18 Start programs;

19 (B) examines the impact of Head Start
20 programs on participants on the date the par-
21 ticipants leave Head Start programs, at the end
22 *Kindergarten and end?* ~~of first grade, and at the end of second grade,~~
23 by examining a variety of factors, including
24 educational achievement, referrals for special

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DISCUSSION DRAFT

S.L.C.

31

1 education or remedial course work, and absen-
2 teeism;

3 "(C) makes use of random selection from
4 the population of all Head Start programs de-
5 scribed in paragraph (3) in selecting programs
6 for inclusion in the study; and

7 "(D)(i) includes comparisons of individuals
8 who participate in Head Start programs with
9 control groups (including comparison groups)
10 composed of—

11 "(I) individuals who participate in
12 other early childhood programs (such as
13 preschool programs and day care); and

14 "(II) individuals who do not partici-
15 pate in any other early childhood program;
16 and

17 ~~"(ii) ensures that some of the comparisons~~
18 ~~make use of random assignment of participants~~
19 ~~to Head Start groups.~~

20 "(5) CONSIDERATION OF SOURCES OF VARI-
21 ATION.—In designing the study, the Secretary shall,
22 to the extent practicable, consider addressing pos-
23 sible sources of variation in impact of Head Start
24 programs, including variations in impact related to
25 such factors as—

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DISCUSSION DRAFT

S.L.C.

32

1 “(A) Head Start program operations;

2 “(B) Head Start program quality;

3 “(C) the length of time a child attends a
4 Head Start program;

5 “(D) the age of the child on entering the
6 Head Start program;

7 “(E) the type of organization (such as a
8 local educational agency or a community action
9 agency) providing services for the Head Start
10 program;

11 “(F) the number of hours and days of pro-
12 gram operation of the Head Start program
13 (such as whether the program is a full-working-
14 day, full calendar year program, a part-day pro-
15 gram, or a part-year program); and

16 “(G) other characteristics and features of
17 the Head Start program (such as geographic lo-
18 cation, location in an urban or a rural service
19 area, or participant characteristics), as appro-
20 priate.

21 “(6) EXPERT PANEL.—

22 “(A) IN GENERAL.—The Secretary shall
23 appoint an independent panel consisting of ex-
24 perts in program evaluation and research, edu-
25 cation, and early childhood programs—

*move
up to
beginning
off (F)*

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DISCUSSION DRAFT

S.L.C.

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1 (i) to review, and make recommenda-
2 tions on, the design and plan for the study,
3 within 1 year after the date of enactment
4 of the Human Services Reauthorization
5 Act of 1998;

6 (ii) to maintain and advise the Sec-
7 retary regarding the progress of the study;
8 and

9 (iii) to comment, if the panel so de-
10 sires, on the interim and final study re-
11 ports submitted under paragraph (7).

12 (B) TRAVEL EXPENSES.—The members
13 of the panel shall not receive compensation for
14 the performance of services for the panel, but
15 shall be allowed travel expenses, including per
16 diem in lieu of subsistence, at rates authorized
17 for employees of agencies under subchapter I of
18 chapter 57 of title 5, United States Code, while
19 away from their homes or regular places of
20 business in the performance of services for the
21 panel. Notwithstanding section 1342 of title 31,
22 United States Code, the Secretary may accept
23 the voluntary and uncompensated services of
24 members of the panel.

25 (7) REPORTS.—

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DISCUSSION DRAFT

S.L.C.

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1 “(A) SUBMISSION OF INTERIM REPORTS.—

2 The organization shall prepare and submit to
3 the Secretary 2 interim reports on the study.

4 The first interim report shall describe the de-
5 sign of the study, and the rationale for the de-
6 sign, including a description of how potential
7 sources of variation in impact of Head Start
8 programs have been considered in designing the
9 study. The second interim report shall describe
10 the status of the study and preliminary findings
11 of the study, as appropriate.

12 “(B) SUBMISSION OF FINAL REPORT.—

13 The organization shall prepare and submit to
14 the Secretary a final report containing the find-
15 ings of the study.

16 “(C) TRANSMITTAL OF REPORTS TO CON-
17 GRESS.—

18 “(i) IN GENERAL.—The Secretary
19 shall transmit, to the committees described
20 in clause (ii), the first interim report by
21 September 30, 1999, the second interim
22 report by September 30, 2001, and the
23 final report by September 30, 2003.

24 “(ii) COMMITTEES.—The committees
25 referred to in clause (i) are the Committee

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DISCUSSION DRAFT

S.L.C.

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1 on Education and the Workplace of the
2 House of Representatives and the Commit-
3 tee on Labor and Human Resources of the
4 Senate.

5 “(8) DEFINITION.—In this subsection, the term
6 ‘impact’, used with respect to a Head Start pro-
7 gram, means a difference in an outcome for a partic-
8 ipant in the program that would not have occurred
9 without the participation in the program.”.

10 (b) CONFORMING AMENDMENT.—Section 650(13)
11 (42 U.S.C. 9846(13)) is amended by striking “, dem-
12 onstration.”.

13 SEC. 118. CONFORMING AMENDMENTS.

14 (a) PREPARATION.—After consultation with the ap-
15 propriate committees of Congress and the Director of the
16 Office of Management and Budget, the Secretary of
17 Health and Human Services shall prepare recommended
18 legislation containing technical and conforming amend-
19 ments to reflect the changes made by this title.

20 (b) SUBMISSION TO CONGRESS.—Not later than 6
21 months after the date of enactment of this Act, the Sec-
22 retary shall submit to Congress the recommended legisla-
23 tion referred to under subsection (a).

LRM ID: MNB98

EXECUTIVE OFFICE OF THE PRESIDENT
OFFICE OF MANAGEMENT AND BUDGET
Washington, D.C. 20503-0001

Thursday, February 12, 1998

LEGISLATIVE REFERRAL MEMORANDUM

TO: Legislative Liaison Officer - See Distribution below
FROM: Janet R. Forsgren (for Assistant Director for Legislative Reference)
OMB CONTACT: Melinda D. Haskins
SUBJECT: PHONE: (202)395-3923 FAX: (202)395-6148
HHS Oversight Testimony on Early Head Start

DEADLINE: Noon Tuesday, February 17, 1998

In accordance with OMB Circular A-19, OMB requests the views of your agency on the above subject before advising on its relationship to the program of the President. Please advise us if this item will affect direct spending or receipts for purposes of the "Pay-As-You-Go" provisions of Title XIII of the Omnibus Budget Reconciliation Act of 1990.

COMMENTS: To follow is testimony to be delivered by HHS (Golden) before the Human Resources Subcommittee of House Government Reform and Oversight on Thursday, February 19.

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TESTIMONY OF OLIVIA GOLDEN
ASSISTANT SECRETARY
ADMINISTRATION FOR CHILDREN AND FAMILIES

before the

HUMAN RESOURCES SUBCOMMITTEE

of the

GOVERNMENT REFORM AND OVERSIGHT COMMITTEE

U.S. HOUSE OF REPRESENTATIVES

FEBRUARY 19, 1998

Good morning. I am Olivia Golden and I am pleased to testify today on the Early Head Start program, one of the most vital and promising early childhood initiatives of the Clinton Administration. This program was created in the May, 1994 bipartisan reauthorization of the Head Start Act to extend the benefits of Head Start's comprehensive quality services to pregnant women, infants and toddlers. In less than four years, this program has grown from an idea to a thriving network of 173 local programs serving 22,000 children and families in all 50 States, the District of Columbia and Puerto Rico. This year we plan to award \$120 million to fund new programs to serve an additional 17,000 children.

Designed with the help of a distinguished Advisory Committee of scholars and practitioners, Early Head Start reflects the expanding base of knowledge on how infants and toddlers grow and learn, on the rewards and key elements of successful prevention programs in the first years of life, and on the substantial and long-term costs of failing to support very young children and their families.

Certainly, the most astonishing component of this research is new revelations about the pathways and processes of brain development in infancy. We know more than ever about how very young children learn to understand and use language and how their early relationships with parents, family members and caregivers shape

their long-term social and emotional development. We are accumulating a solid picture of both the components of effective programs and the limited reach and variable quality of our existing system of services to our youngest children and their parents.

Based on this knowledge, Early Head Start is designed to foster three primary goals:

- To enhance children's physical, social, emotional and cognitive development;
- To enable parents to be better caregivers and teachers for their children; and
- To help parents meet their own goals, including improving their own education and economic self-sufficiency.

Each Early Head Start program carries out a locally-designed program of services, organized around the cornerstones of child development, family development, community building and staff development. Programs offer high quality child care and early education, family support services, home visits, parent education, comprehensive health and mental health services (including services for women prior to, during and after pregnancy) and nutrition.

From profiles of an initial set of 50 projects, we know that roughly one-half of Early Head Start families earn less than \$6,000 per year, one-third of the parents are employed full-time, one-fifth are enrolled in school or job training, and one-half are single parent households.

Local agencies receive grants to operate Early Head Start based on an open, national competitive process. School districts, non-profit community agencies, colleges and universities, local governments, mental health and health service organizations are among the organizations providing services. The two Early Head Start grantees in Connecticut are the Child Care Center of Stamford, Inc. in Stamford and The Access Agency, Inc. located in Willimantic.

My testimony today will focus on three core principles that embody our approach to managing the Early Head Start initiative. Based on more than 30 years of experience in guiding operations in regular Head Start agencies, we provide leadership by:

- Setting forth a comprehensive strategy to support, enhance and enforce high standards for program quality;
- Providing flexibility to local community agencies so they can design services to fit the changing needs of families

and take advantage of opportunities to partner with other local groups and resources; and

- Helping to stimulate the development of other State and local initiatives to serve very young children and parents, based on the Early Head Start model.

Safeguarding Quality

There is a special urgency to safeguarding the quality of Early Head Start programs. This program serves our most vulnerable and dependent children--they can't walk away or shield themselves from inadequate caregivers or unsafe environments.

Our commitment to program quality begins with the Head Start Program Performance Standards. As required in our last reauthorization, the Head Start Bureau completed a comprehensive revision of the Performance Standards that included, for the first time, creation of standards for serving infants, toddlers and pregnant women. Based on input from thousands of early childhood experts and practitioners, the Performance Standards set forth consistent, high quality expectations for program services, organization and management. For example, these standards require Early Head Start staff members to earn a nationally-recognized training credential, the Child Development Associate certificate; mandate that each teacher work with no more than four infants and toddlers (so they can build strong,

responsive relationships with each child), and require that each grantee establish a Policy Council to involve parents and community representatives in program planning and decision making.

We have learned that setting forth standards is only the first step in making quality a reality in a large national program. We must stand behind our standards in the way we fund programs, the way we inspect and hold agencies accountable for living up to our standards, and the way we offer training and technical assistance to help staff and programs rectify deficiencies in program quality.

A second element of our quality control strategy is to work with each local agency in a continuous process of program improvement. This year we are sending monitoring teams to review the services and management of 68 local programs that became fully operational last year. Each team includes experts in child development, health, parent involvement and program management. The team conducts a thorough on-site assessment of program strengths, weaknesses and compliance with the performance standards. We then work with each agency to create a quality improvement plan to rectify any deficiencies, including specific timelines and reporting requirements.

Third, we have created a strong system to support training of Early Head Start staff members and managers and provide technical assistance to local agencies. Program directors participate in Head Start's management training institute at the UCLA Anderson School of Business, which is funded in partnership with the Johnson and Johnson Corporation. Teachers, home visitors and other staff attend intensive national training institutes on infant and toddler development and receive ongoing support through local college and university programs and professional organizations. Technical assistance is provided by expert consultants in infant and toddler development, health and family services and other components of program services and management. Programs receive on-site assistance and telephone consultation, as well as access to the most up-to-date, research-based materials and resources to guide their implementation efforts. An Early Head Start web page links each program with the technical assistance network and allows agencies to exchange materials and successful strategies.

A final component of our quality strategy is a strong research initiative, to allow us to learn in a systematic way about the long-term outcomes of this program on children and families and to assess what mixtures of program strategies and services are most effective. We selected 17 programs from our first two years of funding to participate in a national evaluation that will include careful assessment of how agencies implement the Early

Head Start model and quality standards, and will track a range of program impacts on children, parents, and families. The national evaluation is based on an experimental design that involves random assignment of families to Early Head Start participation or a comparison group. Data collection will include a variety of measures of child development, video tapes of parent-child interaction, and interviews with mothers and fathers. This longitudinal national study will be complemented by a series of local research teams that will document local variations in program strategy and investigate issues of particular interest to local program managers and communities.

Supporting Local Flexibility

We balance strong requirements for program quality with a flexible stance on how communities design programs and use Early Head Start funds. Agencies have wide latitude in designing their program services to adapt to the needs of local families and to take advantage of opportunities to link with local community resources and partners. We expect grantees to continually reassess these factors and to make periodic adjustments in their staffing, budgets, and mix of services. For example, many agencies are restructuring their staffing and program designs in response to the impacts on Early Head Start families of new requirements in State welfare reform initiatives. Let me briefly share several examples of how local agencies mold services to fit family needs and community resources.

Child Development, Inc., a comprehensive non-profit early childhood agency serves families in rural Arkansas through a series of centers that provide quality child care, including services that accommodate the needs of parents who work evening and early morning shifts in the local poultry industry or who attend night classes at local universities and community colleges. United Cerebral Palsy of Washington, D.C. and Northern Virginia offers parents a choice among a home visitor service, a network of family child care homes, and a child care center. These options allow parents the flexibility to continue to participate in Early Head Start as their schedules change due to employment demands and education opportunities.

Stimulating New Initiatives

Two other agencies illustrate the potential of Early Head Start to mobilize additional community resources to complement federal funds. The University of Pittsburgh's program has mobilized unusual linkages to expand health services to its families and target neighborhoods. The University's Medical School supports a therapeutic child care center to serve infants and toddlers with severe disabilities. Other Early Head Start sites are linked with community health centers that offer comprehensive prenatal care, dental services and health care for families with infants and toddlers, funded with other State and community resources. These centers serve both Early Head Start families and the community as a whole.

The Brattleboro Town School District in Vermont provides a rich array of services including home visits, family literacy and substance abuse treatment, special outreach to fathers, and a child care center at the local high school. The program generates more than \$500,000 from State and local governments, local foundations and businesses, including a partnership with the First Vermont Bank which administers a revolving, low-interest loan fund to help families establish credit and progress toward economic self-sufficiency. In another new partnership venture in Brattleboro, Early Head Start serves as the local arm of Vermont's welfare reform and job training agencies. This arrangement reduces administrative costs and makes it easier for families to gain access to these State resources.

Since 1965 Head Start has blazed a trail for our Nation by showing the benefits of high quality, comprehensive early childhood services. Many States and communities have built on the example and principles of Head Start to create new public and private initiatives to serve preschool children and their families. Head Start has spread the word and shown the way through research, through national efforts to set standards and create materials, and through the everyday example of Head Start staff members making a difference in the lives of our most vulnerable children, families and neighborhoods.

I expect that Early Head Start will play a similar role in stimulating other public and private initiatives for infants and toddlers. Toward that end, we are beginning a new emphasis on partnerships with other public and private agencies involved in child care, health services, community development, and education reform. We are reaching out to work with State and local governments to stimulate others to invent their own ways to provide more young children with the opportunity for safe, healthy development and learning. For example, last month we announced the beginning of a five-year \$16 million public-private partnership with the Conrad N. Hilton Foundation to provide intensive training to local staff teams in working with infants and toddlers with disabilities and their families. This initiative will strengthen Early Head Start services as well as stimulate improvements in other local programs. We are also working closely with States such as Oklahoma, Kansas and Minnesota as they design State programs based on the Early Head Start model and performance standards.

I appreciate this opportunity to report on our accomplishments and the exciting efforts of local Early Head Start programs and look forward to answering your questions.

Preliminary Head Start Cost Estimates

Line 1 reflects the numbers contained in the FY99 budget. Lines 2 and 3 show the cost of meeting the participation goal of 1 million children (including 80,000 Early Head Start slots) by 2002 under OMB and HHS assumptions. Lines 3 and 4 show the cost of meeting the participation goal with full COLA and quality in the outyears under OMB and HHS assumptions.

OMB and HHS numbers diverge due to different assumptions regarding: (1) number of slots added in FY98 and FY99; and (2) use of the \$35 million transition money.

All dollars in millions.

	1999	2000	2001	2002	2003	5 Year
1) FY99 Budget	4,660	4,997	5,182	5,375	5,375	25,587
2) OMB: 1 million goal	4,660	4,886	5,111	5,332	5,332	25,321
Left over for Cola and Quality		110	71	43	43	266
3) HHS: 1 million goal	4,660	4,900	5,135	5,381	5,381	25,459
Left over for Cola and Quality		7	47	-6	-6	42
4) OMB: Full COLA and Quality	4,660	5,064	5,488	5,935	6,071	27,254
Increase over FY99 budget		67	306	560	696	1630
5) HHS: Full Cola and Quality	4,660	5,080	5,519	6,002	6,139	27,400
Increase over FY99 budget		84	337	628	764	1815

Jennifer L. Klein
03/19/98 06:31:34 PM

Record Type: Record

To: Bruce N. Reed/OPD/EOP, Elena Kagan/OPD/EOP

cc: Nicole R. Rabner/WHO/EOP

Subject: Head Start

I wanted to update the two of you on the Head Start quality set-aside. HHS and OMB are still arguing, and HHS is under significant pressure to brief the hill on our position on reauthorization. (Olivia is also testifying next week.) After about seven weeks of OMB's thinking about options, they have proposed: (1) removing the requirement that 50% of quality funds be used for salary and benefit improvements; (2) requiring HHS to do an evaluation of the quality set-aside; and (3) changing the structure of the research reserve. HHS is fine with 2 and 3, but adamantly opposes 1. I have been working with Barbara Chow and told her (after our conversation at the staff meeting, Elena) that DPC (and NEC, according to Chuck Marr) agrees with HHS because changing the salary and benefit requirement would provoke an unbelievable uproar from labor and children's advocates as well disturb the delicate balance on the hill that was reached during the last Head Start negotiations.

I have called Jack Lew to let him know that I think this really needs to be resolved as soon as possible and that it needs to be resolved in HHS' favor (although I haven't reached him yet). Nicole will follow this tomorrow.

TO: Hillary Rodham Clinton
cc: Melanne Verveer, Nicole Rabner
FROM: Pauline Abernathy
DATE: March 15, 1997
RE: Head Start standards [Can be read during your trip to Africa]

I spoke with Mike Smith, who said that it was clear early on in 1993 that our Advisory Committee on Head Start Quality and Expansion was not ready to support the type of standards you discussed and so he was unsure if there was anything to dust off. We are checking and I am getting a copy of Don Hirsch's proposed standards for preschool.

Our 1993 Advisory Committee did, however, recommend new Head Start performance standards. The Committee supported the use of program-level, rather than child-level, performance standards, indicators and measures. These new standards were to support developmentally appropriate curriculum, emergent literacy, and children's transition from Head Start to elementary school.

As the Advisory Committee recommended, new performance standards were included in the 1994 Reauthorization Act -- the first major revision of the standards in over 20 years. The final regulations implementing the standards were issued last November and go into effect in January 1998. [I have attached relevant sections of the Committee Report and final regulations.] The standards cover three categories: early child development, education, and health services; family and community partnerships; and program design and management. HHS consulted widely in developing these standards and reviewed nearly 15,000 comments on the proposed standards. Thus, many people in the Head Start community feel we just adopted strong, new Head Start standards.

The final standards require for pre-schoolers a curriculum that "supports each child's individual pattern of development and learning; provides for the development of cognitive skills by encouraging each child to organize his or her experiences to understand concepts; and to develop age appropriate literacy, numeracy, reasoning, problem solving and decision-making skills which form a foundation for school readiness and later school success." [page 57214 attached]

I will explore with DPC staff the current positions of various people on this issue and see what more we can do.

Have a wonderful trip!

Attachments: 1993 Advisory Committee Report excerpts
November 1996 final performance standards
Head Start Bulletin excerpts on the standards and efforts to improve child and parent literacy

Creating A 21st Century Head Start

**Final Report of the
Advisory Committee on Head Start
Quality and Expansion**

December 1993

**U.S. Department of Health and Human Services
Washington, D.C.**

Action: *Update the Head Start Performance Standards.*

Over the past 18 years Head Start's Program Performance Standards have defined the scope and quality of the services that local programs are expected to provide to all enrolled children and their families. Among other things, the Standards have helped to promote Head Start's fundamental concepts and goals; they have helped to sustain Head Start's stature as a national program with nationwide service requirements; they have served as the basis for the development of a relatively uniform system of federally and locally-conducted program assessments; and they have served as a model for emerging early childhood programs.

The Advisory Committee reaffirms the role and value of the Performance Standards. At the same time, they recommend that the standards and the guidance be reviewed and revised to reflect changing circumstances and problems facing Head Start children and families today, the evolution of best practices in the fields of family support and early childhood, the program's experience with the use of the Standards since 1975, and the anticipated expansion of the program over the coming years.

The Advisory Committee identified a number of key issues to be considered in the review and update of the Performance Standards. The Committee believes that the review should promote quality, respond to community needs, and strengthen as well as streamline standards. The following are among the specific issues the Committee recommends for review:

- ☐ Increasing the emphasis placed on the business practices of the Head Start program, including the development of performance standards in the area of financial management;
- ☐ Examining the adequacy of existing requirements in the area of management and administration and expanding these requirements to include, for example, minimal competencies for staff involved in financial and management related jobs;
- ☐ Including requirements on staffing levels and qualifications for key positions in each of Head Start's service components—education, health, social services, parent involvement, and disabilities;

- ☐ Including requirements and/or guidance supporting developmentally appropriate curriculum, emergent literacy, and transition of Head Start children to elementary school;
- ☐ Clarifying Head Start's immunization and other health requirements to ensure that there is consistency between the standards, reporting requirements, and best practices;
- ☐ Strengthening requirements (and providing resources) in the area of mental health to ensure that staff have access to the best practices about working with children with challenging behavior, that mental health services are seen as working collaboratively with Head Start family service and classroom staff, and that Head Start is linked with appropriate mental health providers and resources in the community;
- ☐ Ensuring that nutritional requirements meet the needs of children and families;
- ☐ Placing more emphasis on expectations related to the provision of family services and making it clear that Head Start programs have a responsibility for working with families proactively through the conduct of family needs assessments, the development of plans for meeting family goals, serving as case managers and ombudsmen, coordinating efforts with other service providers, and promoting basic skills and family literacy;
- ☐ Reinforcing the role of parents in the decisionmaking process;
- ☐ Finalizing regulations governing programs serving children from birth through age three;
- ☐ Developing regulations to assure that safe and effective transportation services are available; and
- ☐ Providing incentives to coordinate with other local, state, and federal programs.

Efforts to improve the Performance Standards should also take into account the quality standards and systems in other early childhood and family support programs, such as the NAEYC Center Accreditation System; work in education and human service programs in establishing outcome based accountability systems; and guiding principles of the National Performance Review to increase responsiveness to clients, empower front-line workers, and minimize regulations and paperwork.

In addition, any future revision of Head Start's Performance Standards should take into consideration the special needs and unique circumstances of programs serving Native Americans and migrant and seasonal farmworkers.

Action: *Develop performance measures to support strong outcomes.*

*HHS should
develop
performance
measures
specially tailored
to the Head Start
program.*

While there is considerable debate about the role of performance measures in general and outcome measures in particular in the early childhood field, the Advisory Committee believes that HHS should consider developing performance measures specially tailored to the Head Start program, in consultation with the Head Start and early childhood community. Performance measures assessed at the program level (not at the level of the individual child) can be effective as a management tool for increasing accountability, fostering a commitment to results that reduce red tape, and accomplishing program objectives more efficiently. The development of measures would be consistent with the requirements of the Government Performance and Results Act of 1993 and the recommendations of the National Performance Review.

The Advisory Committee recognizes and appreciates the current debate in the early childhood field regarding the desirability and reliability of current methods available to measure child outcomes. Our intention is not to require or encourage such **child-level** measures in Head Start programs but rather to begin a debate regarding the most useful **program-level** indicators and measures.

A wide variety of measures might be considered, addressing program quality, operational and fiscal effectiveness, and—to the extent possible—the experiences of children and families. Measures that currently are collected through monitoring reviews (such as the percent of programs meeting the key Performance Standards) and through the Program Information Report would provide a useful starting point while imposing a minimal burden, though the limitations of these data sources must be recognized. Possible measures include program characteristics such as caseload levels and class size; program results such as immunization levels, services provided to families, and family needs assessments completed; and qualitative assessments of child and family experiences. The array of performance measures should also address financial and overall program management in such areas as legitimate use of federal funds,

adequate documentation of expenditures, and appropriate internal controls.

Step 3: *Reengineering federal oversight to provide for greater accountability.*

To strengthen federal stewardship, to ensure that the federal government can live up to its responsibility to build capacity and support quality in local programs, and to restore the federal leadership capacity, the Advisory Committee recommends five specific actions:

Action: *Reassess and design the Head Start training and technical assistance system to support program quality and expansion.*

Training and technical assistance, whether provided by federal staff or by contracted providers, requires major attention as part of a quality strategy. Therefore, the Advisory Committee recommends that HHS consult with the Head Start community and respected external advisors to develop a training and technical assistance strategy that:

- ☐ Reflects the central priorities of this report;
- ☐ Retains sufficient flexibility beyond these central priorities to meet needs that emerge at the grantee, regional office, or central office level;
- ☐ Builds in ongoing feedback from all users, including Head Start grantees and regional office staff;
- ☐ Takes full advantage of new and emerging training technologies, such as interactive video;
- ☐ Allows for innovation in the structure of technical assistance (TA) where needed to link Head Start grantees to the best available expertise (for example, in health care or facilities financing);
- ☐ Links as effectively as possible to related technical assistance and training efforts, such as state early childhood initiatives;
- ☐ Builds on existing expertise within the Head Start community as well as outside it;
- ☐ Determines the right staffing size and mix to ensure adequate training and technical assistance;

Improving the Quality of the Head Start Program:

NEW PERFORMANCE STANDARDS

In May 1994, bipartisan Federal legislation was signed into law to amend the Head Start Act. This landmark legislation paved the way for Head Start to meet the current and future needs of America's children and families by both expanding and improving the Head Start program.

A cornerstone of the new law was the requirement to revise the Head Start Program Performance Standards, first published in 1975. As a result, the proposed revisions are easier and more flexible to use, integrate infants and toddlers into the program, promote collaboration with schools and other community programs, address family literacy needs, and draw on emerging research knowledge and medical expertise, in the following significant respects:

◆ FOR THE FIRST TIME, THE STANDARDS

reflect a combination of sound practice, research, and a focus on quality in working to enhance young children's development.

- ◆ THE STANDARDS WILL BE EASIER to use for training and for program management, and will support interdisciplinary collaboration. They outline Head Start functions in child development and health, family and community partnerships, and program design and management to improve overall accountability at the local level. The standards also eliminate unnecessarily rigid or prescriptive rules not essential to program quality.
- ◆ AGENCIES MUST IMPLEMENT a curriculum that includes goals and experiences for children, is con-

sistent with the Performance Standards, and is based on sound child development principles about how children grow and learn.

- ◆ THE STANDARDS CONTAIN A NEW section on community partnerships, reflecting the goal of Head Start agencies to work collaboratively with other community services. This includes the transition of children into and from Head Start.
- ◆ THE STANDARDS FOCUS ON CORRECTING deficiencies in Head Start programs. They require the development of a Quality Improvement Plan and the initiation of corrective actions within specified time periods.

DEVELOPING THE PERFORMANCE MEASURES

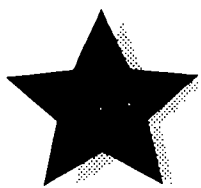
In May 1994, the reauthorization of the Head Start Act required the development by DHHS, on consultation with Head Start agencies and others, of methods and procedures for measuring, annually and over longer periods, the quality and effectiveness of programs operated by Head Start agencies. Section 641A.(b) of the Act states that the measures are to be designed to: (a) assess the various services provided by Head Start and administrative and fiscal practices of programs; and (b) be adaptable for use in self-assessment and

peer review by local Head Start programs. DHHS is to use the measures to: (a) identify strengths and weaknesses of Head Start, nationally and regionally; and (b) identify problem areas that require training and technical assistance resources.

The Head Start Bureau has committed to the following tasks over the next two years in implementing the measures:

- Collect and report annually on a core set of measures.
- Develop new and better measures of outcomes and quality.

- Improve ongoing Head Start data systems.
- Develop results-oriented partnerships with grantees to help refine measures and develop approaches for utilizing them to improve local program quality.
- Communicate about results with policy makers and external audiences.
- Develop capacity within ACF to use the measures initiative to improve quality in local programs.



Literacy and Head Start Quality

by Trellis Waxler, Program Specialist, Education Services Branch, Head Start Bureau

Research shows that exposing very young children to print, books, and reading aloud provides them with important concepts about print which prepare them to learn to read. As a result, the Advisory Committee on Head Start Quality and Expansion has encouraged Head Start to place a greater emphasis on the emerging literacy concept to prepare children for reading, and thereby ensure their school readiness.

Through its efforts to enhance literacy acquisition as a vital component of Head Start quality, Head Start has supported several specific literacy initiatives designed to assist local Head Start programs in developing multi-faceted literacy programs.

Special demonstration grants have been awarded to Head Start grantees for literacy enhancement efforts. These Family Service Centers (FSC's) include family literacy as a major component. Early findings show that Head Start grantees with FSC's have twice the rate of adult participation in GED programs as do grantees with no FSC programs.

Additionally, the Emergent Literacy Initiative has been established to design and implement strategies and approaches to support and strengthen the emergent literacy activities carried out by Head Start grantees. Under this demonstration, emergent literacy refers to activities that are conducted with young children during the period when they are beginning to become aware of print, to observe and experiment with reading and writing, and to understand the relationship between the written and spoken word. The cur-

rent emergent literacy grantees are University of Idaho, Moscow, Idaho; Western Illinois University, Macomb, Illinois; and the Children's Literacy Initiative, Philadelphia, Pennsylvania.

The Head Start/Library of Congress Interagency Agreement was developed to demonstrate in communities nationwide how libraries that serve young children can plan and work with Head Start grantees to enhance both learning and parent involvement in children's literacy and language development.

Head Start has also collaborated with Even Start since its inception, specifically with its adult literacy program. The Head Start Bureau has also developed a number of publications and materials for its grantees on recommended practices and resources designed to help programs develop and/or improve their family literacy programs.

Head Start programs have implemented a wide variety of activities to encourage the emergent literacy of the children they serve. These activities include:

- ◆ Integrating books into the daily curriculum and various learning center activities;
 - ◆ Creating an appropriate environment for quiet reading for both children and parents;
 - ◆ Displaying books in an attractive manner with props to attract children;
 - ◆ Providing books that are culturally and developmentally appropriate;
 - ◆ Making and using reading enhancements such as puppets and flannel boards;
 - ◆ Encouraging parents to read to their children and provide family literacy activities;
 - ◆ Training parents and staff to select appropriate books for their children;
 - ◆ Increasing the storytelling skills of staff and parents. Soon to be available from Head Start is a video and materials for "Stories Keep Us Connected" which encourages parents to support their children's growth and learning through shared stories and experiences. Available in English and Spanish; and
 - ◆ Encouraging staff and parents to become reading models for children.
- Additionally, Head Start grantees have played a key role in the family literacy movement by:
- Increasing Head Start families' access to materials, activities, and services which are essential to family literacy development, such as obtaining library cards;
 - Supporting parents in the role of being their child's first teacher by providing encouragement and direction to Head Start families in providing activities which stimulate and sustain their children's interest and potential for future independent success in literacy activities; and
 - Assisting parents as adult learners to recognize and address their own literacy needs by creating environments which are positive, supportive, and offer the promise of benefiting both them and their children.

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Administration for Children and Families

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES Administration on Children, Youth and Families

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3. Originating Office: Head Start Bureau

4. Key Word: Program Performance Standards

INFORMATION MEMORANDUM

TO: Head Start Grantee and Delegate Agencies

SUBJECT: Final Rule - Head Start Program Performance
Standards, 45 CFR Part 1304

LEGAL AND RELATED REFERENCES:

The authority for this final rule is sections 641(a) and (d), 642(b) and (d), 644(a) and (c), and 645(h)(2) of the Head Start Act, as amended (42 U.S.C. 9801 et. seq.). Pursuant to the 1994 Amendments to the Head Start Act, the final rule implements the requirements of the statute that the Secretary establish, by regulation, performance standards. The amendments also require that the Secretary establish standards for Early Head Start.

INFORMATION:

Attached for your information is the final version of the revised Head Start Program Performance Standards, as published in the Federal Register on November 5, 1996.

The Program Performance Standards define the services that Head Start programs are to provide to the children and families they serve. As such, they constitute the single most important statement of the expectations and requirements that grantee and delegate agencies must meet. This is the first comprehensive revision of the standards in more than 20 years.

We are pleased we have accomplished the major task of revising the Program Performance Standards for Head Start and integrating them with the new standards for infants and toddlers. These integrated standards are a significant milestone to assure that Head Start is a high quality program for the hundreds of thousands of children and families we serve.

The effective date of the standards is January 1, 1998. Grantee and delegate agencies may voluntarily implement these standards prior to the effective date.