



**U.S. Department of Health and Human Services  
Administration for Children and Families  
Office of Head Start**



**REPORT TO CONGRESS  
ON  
AMERICAN INDIAN AND ALASKA NATIVE  
HEAD START FACILITIES  
FY 2015**

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## Executive Summary

This report is provided in response to a mandate by Congress in the Head Start Act, §650(b), as amended on December 12, 2007. The Act requires that the Secretary of the U.S. Department of Health and Human Services submit a report on the facilities of Indian Head Start agencies to the Committee on Education and the Workforce of the House of Representatives and the Senate Committee on Health, Education, Labor and Pensions at least once during every five-year period. The report is required to provide the condition, location, and ownership of facilities used or available to be used by Indian Head Start agencies (including Alaska Native Head Start agencies) and Native Hawaiian Head Start agencies. This report focuses solely on American Indian and Alaska Native (AI/AN) Head Start agencies providing AI/AN Head Start services since the Office of Head Start (OHS) did not provide funding to agencies designated as Native Hawaiian during Fiscal Year (FY) 2015.

To promote school readiness, OHS provided funding for comprehensive health, education, nutrition, socialization, and other developmental services to more than 22,000 children and pregnant women in AI/AN Head Start programs during the 2014-2015 program year.<sup>1</sup> This funded enrollment includes 18,700 Head Start preschool children, 3,400 Early Head Start infants and toddlers, and 230 pregnant women. Funded enrollment for AI/AN children represents 2.4 percent of the total number of children served by Head Start.

Head Start centers are facilities used primarily to provide Head Start services to children and their families, and these centers may include administrative offices overseeing operations. A facility, or Head Start center, may consist of one classroom or multiple classrooms for one age group or for different age groups. For the purposes of this report, the terms facility and center are used interchangeably.

There are 506 AI/AN Head Start centers or facilities located throughout the United States. Out of the 506 AI/AN centers, 439 participated in a facility assessment conducted in preparation for this report (87 percent).

## Methodology

To collect information regarding the location, ownership, and condition of AI/AN Head Start centers, we used the following data sources:

1. The Head Start Enterprise System (HSES), which maintains data on the location and ownership of all programs including AI/AN Head Start centers as reported by AI/AN programs.
2. The FY 2015 Region XI AI/AN Environmental Health & Safety Assessment, which was used to assess the condition of AI/AN Head Start centers in preparation for this report. This assessment is an abridged version of the FY 2015 OHS Environmental Health & Safety Protocol used in the monitoring system.

Facility specialists and/or persons knowledgeable about Head Start visited AI/AN centers and filled out the assessment during the visit. Specifically, the assessment consisted of 1 question to capture general impressions of the condition of the facilities, 51 yes or no questions, written explanations for concerns observed in a facility, and photographs to substantiate the observations. The questions were grouped in 10 categories: the general condition of the facility;

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<sup>1</sup> This information on funded enrollment is from the 2014-2015 Program Information Report (PIR).

environmental hazards; electrical and lighting; accessibility; restroom conditions; fire safety, playground safety; cleanliness; classroom safety; and the condition of heating, ventilation, and air conditioning (HVAC) units. Because the age of facilities is an important factor when considering the severity of a concern observed in a facility and the size of the facility when estimating costs, this form was also used to obtain the original date of construction and square footage. The ownership of the building was captured on the form to supplement the existing ownership information from HSES.

OHS reviewed the data submitted by a facilities expert and conducted analyses of each facility to determine if the facilities were suitable, sustainable, and functioning as expected in each category. OHS also identified the most common concerns found during the assessments for each category. Any problems that posed a health and safety risk were either addressed at the time of the assessment or brought to the attention of the program to ensure that problem areas were inaccessible to staff and children. OHS will followup to ensure the problems are addressed in a timely manner.

## **Results**

### *Location*

One hundred and fifty-one AI/AN grantees provided services across 26 states within 506 AI/AN Head Start centers in the 2014-2015 program year. There were 147 AI/AN grantees eligible to participate in the facility assessment during the period it was conducted. Of the four grantees ineligible to participate, two only offered home-based services, one was operated by an interim grantee, and one was a new Early Head Start-Child Care Partnership grantee.

### *Ownership*

According to the information in the HSES provided by AI/AN programs, about 44 percent of the 506 AI/AN Head Start centers, or 223 centers, were owned by the grantee. The remaining 283 centers, or 56 percent, were rented or leased from other entities.

### *Conditions*

Overall, most AI/AN Head Start centers appear to be suitable, sustainable, and functional. Of the centers that raised concerns, age and severe weather were the primary catalysts. Age and weather pose challenges, including weatherization, deterioration, structural deficits, maintenance of playground safety, and accessibility.

Due to the age of centers and the exposure to severe weather, it is expected that the concerns observed in the conditions of centers will worsen over time. The average year in which a center was built was 1989. Twenty-five percent of the centers will reach the age of 40 years since the original date of construction within the next 5 years. Additional funding for maintenance and repair, renovation, and some new construction would support AI/AN grantees' efforts to maintain centers suitable for providing AI/AN Head Start services.

Based on the conditions observed, the estimated cost nationwide to renovate, maintain, or repair the 506 AI/AN centers is approximately \$69.64 million. However, this does not take into account centers that may need to be rebuilt instead of renovated. Rebuilding centers would result in significantly higher costs.

## Preface

This report is provided in response to the mandate by Congress in the Head Start Act, §650(b), as amended on December 12, 2007. The Act requires that the Secretary of the U.S. Department of Health and Human Services (HHS) submit to the Committee on Education and the Workforce of the U.S. House of Representatives and the Committee on Health, Education, Labor and Pensions of the U.S. Senate, at least once during every five-year period:

*a report concerning the condition, location, and ownership of facilities used or available to be used, by Indian Head Start agencies including Alaska Native Head Start agencies and Native Hawaiian Head Start agencies.*

Tribes have the legal right to manage their own affairs, govern themselves internally, and engage in legal and political relationships with the federal government and states. As sovereign governments, the tribes have the power to do the following: determine their own form of government; define the conditions of membership in the tribes; regulate domestic relations among tribal members; prescribe rules of inheritance; levy taxes on members and persons doing business with members or on tribal lands; control entry to tribal lands; regulate the use and distribution of tribal property; and administer justice among tribal members.

Federally recognized American Indian tribes and Alaska Native villages have legal government-to-government relationships with the United States of America. This unique relationship has been substantiated through treaties, legislation, Supreme Court decisions, and Executive Orders. There are 565 federally recognized tribes according to the Department of the Interior, Bureau of Indian Affairs. The tribes have a combined service population of approximately 1.9 million American Indians and Alaska Natives.<sup>2</sup>

Tribes in the United States have their own distinctive cultures, languages, and identities. No single federal or tribal criterion establishes a person's identity as an American Indian or Alaska Native. Rather, tribal membership is determined by the enrollment criteria of the tribe from which Indian blood may be derived. Tribal enrollment criteria are set forth in tribal constitutions, articles of incorporation or ordinances and vary from tribe to tribe.<sup>3</sup>

Presently, none of the six Head Start or Early Head Start grantees in Hawaii are designated as Native Hawaiian organizations. Some are community action agencies and others are private, non-profit organizations.<sup>4</sup> As a result, this report will not refer to the condition, location, or ownership of facilities in Hawaii. The Head Start grantees in Hawaii provide services to eligible children without distinction of Hawaiian or any other ancestry.

Section 640(1)(4) of the Head Start Act also requires HHS to conduct Tribal Consultation sessions. The sessions are conducted in accordance with the Department's Tribal Consultation Policy.<sup>5</sup> In 2015, OHS planned six Tribal Consultation sessions for the purpose of better meeting the needs of AI/AN children and families and for discussing funding allocations, distribution formulas, and other issues that were affecting the delivery of Head Start services.

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<sup>2</sup> This information is from the U.S. Department of the Interior website: <https://www.doi.gov/tribes/>.

<sup>3</sup> Ibid.

<sup>4</sup> This data was collected from grantees through the 2014-2015 Head Start Program Information Report.

<sup>5</sup> The U.S. Department of Health and Human Services Tribal Consultation Policy is available at: <http://www.hhs.gov/sites/default/files/iea/tribal/tribalconsultation/hhs-consultation-policy.pdf>.

At the consultations, tribal-elected officials and other authorized representatives of tribal governments had the opportunity to provide input on the development of policies or regulations, the interpretation of existing regulations, and other policies or procedures that affected Indian tribes. In 2015, consultations were held on the following dates and locations:

Table 1: 2015 Tribal Consultations

Date	Location
March 16, 2015	Albuquerque, New Mexico
June 16, 2015	Sacramento, California
July 30, 2015	Tulsa, Oklahoma
August 17, 2015	Billings, Montana
October 13, 2015	Anchorage, Alaska
October 28, 2015	Choctaw, Mississippi

Based on the Tribal Consultations listed above, six reports were developed to reflect comments and recommendations of AI/AN leaders and representatives, comments and responses from OHS, and areas for follow-up. At all consultations in 2015, tribal representatives mentioned that tribes would like to receive additional funds to support their efforts to maintain, update, and repair facilities for the purpose of creating quality learning environments for young children. In some cases, the representatives noted that new construction is the best alternative because existing buildings cannot be adequately restored.

Many tribes are contributing to efforts to build or restore buildings. However, they stated a need for additional funding to retrofit for technology and to provide high quality classrooms to support school readiness in accordance with the *Head Start Program Performance Standards*, Section 1304.53 (a).

Reports on the 2015 consultations are available online at the Early Childhood Learning and Knowledge Center at: <http://eclkc.ohs.acf.hhs.gov/hslc/states/aian/tc>.

## Introduction

### Background on Head Start

The Head Start program is authorized by the Head Start Act (the Act), as amended by *The Improving Head Start for School Readiness Act of 2007* (P.L. 110-134) on December 12, 2007 (42 U.S.C. 9801 *et seq.*). Head Start is a national program within HHS and the Administration for Children and Families (ACF) that serves primarily low-income children ranging in ages from birth to five and their families. To help promote school readiness, Head Start provides children with comprehensive health, nutrition, education, and family support services.

Head Start programs are required to provide opportunities for parents of enrolled children to be active participants in the program. Parents receive training and education that foster their understanding of and involvement in the development of their children. They contribute to the development, conduct, and governance of local programs through participation in policy councils and parent groups. All Head Start services are designed to promote the development of children, to enable parents to fulfill their role as their children's first teachers and primary care givers, and to support the family toward self-sufficiency.

### Background on AI/AN Head Start

AI/AN Head Start programs were first funded in 1965 with 43 grantees across 14 states. AI/AN Head Start programs are grouped in Region XI, which is based and administered in Washington, D.C. Presently, there are 151 AI/AN grantees in Region XI spanning 26 states. The total funding received by these tribes (AI/AN Head Start programs) was approximately \$222.7 million in FY 2015, not including funds for training and technical assistance.

The Act and Head Start regulations allow for up to 10 percent of the children enrolled in non-AI/AN Head Start programs to come from families that exceed the low-income guidelines. The Head Start regulations provide an exception for AI/AN Head Start grantees, allowing them to enroll more than 10 percent of the children from families whose incomes exceed the low-income guidelines under specified conditions.<sup>6</sup> The Head Start Act, 42 U.S.C. § 9837, Section 640(d)(1) requires that not less than 10 percent of the total number of children actually enrolled by each Head Start agency are children with disabilities. These children participate in the full range of Head Start activities with their peers and receive needed special education and related services.

To promote school readiness, OHS provided funding for programs to provide comprehensive health, education, nutrition, socialization and other developmental services to more than 22,000 children and pregnant women in AI/AN Head Start programs during the 2014-2015 program year.<sup>7</sup> This funded enrollment includes 18,700 Head Start preschool children, 3,400 Early Head Start infants and toddlers, and 230 pregnant women. The funded enrollment for AI/AN children represents 2.4 percent of the total number of children in Head Start.

AI/AN Head Start programs varied in size from 15 children to over 2,100 children. The annual funding level for program operations per grantee ranged from \$193,000 to \$22,269,000; this amount does not include training and technical assistance. As of March 2015, the average center-based preschool classroom size of an AI/AN Head Start program was 17 children; and the average classroom size was seven children for AI/AN Early Head Start programs.

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<sup>6</sup> Refer to 45 CFR §1305.4(b)(2) and (b)(3)(iv).

<sup>7</sup> This data on funded enrollment is from the 2014-2015 Program Information Report (PIR).



The diversity of languages, traditions, and heritage existing in AI/AN cultures are reflected and encouraged in Head Start. Information Memorandum *Native Language Revitalization, Restoration, and Maintenance in Head Start and Early Head Start Program*, ASCF-IM-HS-15-02, clarifies OHS's support for language revitalization and addresses common concerns and questions about its implementation, including staffing. Over 400 children served in AI/AN Head Start or Early Head Start programs primarily speak a language other than English at home.

### AI/AN Head Start Centers

Head Start centers are facilities used primarily to provide Head Start services to children and their families, and these centers may include administrative offices overseeing operations. There are 506 AI/AN Head Start centers located throughout the United States. Virtually all facilities with the title Head Start center include at least one classroom where children participate in center-based activities or home-based socialization services. In this report, the term center will be used interchangeably with the term facilities.

At the time of the assessment, a classroom was required to operate for a minimum of three and one-half hours a day. In the 2014-2015 program year, many grantees offered six or more hours per day based on the needs of the families in their service area. All Head Start programs had to provide a minimum of 32 weeks of scheduled classroom days over an eight- or nine-month period in the 2014-2015 program year. Some grantees provided services year round, frequently by using additional funding from ACF and other sources such as state-subsidized child care.

The physical environment of a Head Start center must be conducive to learning and adapted to the different stages of development of children. Grantees must ensure their centers are welcoming, accessible, comfortable, and safe for all children, including those with disabilities, to ensure their full participation in Head Start. Section 1304.53(a)(7) of the Head Start regulations requires grantees to ensure they provide for the maintenance, repair, safety, and security of their facilities, materials, and equipment.

The interior and exterior architectural design of Head Start centers varies. However, all centers must have at least 35 square feet of usable indoor space per child, and at least 75 square feet of usable outdoor space per child. Safety inspections must be conducted at least annually to ensure that each facility's indoor and outdoor environments are consistent with the health, safety, and developmental needs of children.<sup>8</sup>

Title 45 CFR Part 92 establishes uniform administrative rules for Federal grants and cooperative agreements and subawards to state local and Indian tribal governments. Under 45 CFR Part 92.31(a), title to real property acquired under a grant or subgrant are vested upon acquisition to the grantee or subgrantee. Ownership of AI/AN Head Start centers is vested in the grantee who acquires the centers, subject to the condition that the grantee use the center for the authorized purpose of the program. The grantee may not dispose of or encumber the title except as provided under Federal statutes. Grantees that own or operate a Head Start center must comply with tribal requirements as well as any applicable state and local licensing requirements. If federal funds are used to purchase or renovate centers, including leased centers, grantees must file a Notice of Federal Interest.<sup>9</sup>

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<sup>8</sup>Refer to 45 CFR §1304.53.

<sup>9</sup> Refer to 45 CFR §1309.21.

## AI/AN Early Head Start-Child Care Partnerships

In March 2015, 14 AI/AN Early Head Start-Child Care Partnership (EHS-CCP) grantees were awarded \$15 million to serve 506 partnership slots and 266 expansion slots. Of the 14 EHS-CCP grantees, 1 agency was completely new to Head Start and 13 had an existing Head Start grant. These 14 partnership sites are located in 10 states and are listed in table 2 below.

Table 2: EHS-CCP Grantees

EHS-CC Grantee Name	State
Cook Inlet Tribal Council	AK
Kawerak, Inc.	AK
Metlakatla Indian Community (new to Head Start)	AK
Gila River Indian Community	AZ
Owens Valley Board of Trustees	CA
Pinoleville Pomo Nation	CA
Bois Forte Reservation Business Committee	MN
Confederated Salish & Kootenai Tribes	MT
Fort Belknap Indian Community	MT
Winnebago Tribe of Nebraska	NE
Santa Clara Pueblo Tribe	NM
Choctaw Nation of Oklahoma Education Department	OK
Rosebud Sioux Tribe	SD
Nisqually Indian Tribe	WA

The EHS-CCP grants are not included in this report because partnerships and expansions were in the process of being established at the time of data collection. In November 2015, these grantees were conducting one or more of the following activities: remodeling classrooms in existing Head Start facilities; installing modular facilities to provide EHS services; providing EHS services in partnership with existing child care facilities; and providing EHS services to children in temporary facilities. No major concerns have been reported about the condition of these facilities.

## Methodology

### Instrument and Method of Assessment

The FY 2015 Region XI AI/AN Environmental Health & Safety Assessment dated December 10, 2014 (Appendix A) is an abridged version of the FY 2015 Office of Head Start Environmental Health & Safety Protocol in use by the OHS Aligned Monitoring System. The abridged form focuses primarily on the condition of the facility and also captures the original date of construction, ownership, and square footage of the AI/AN Head Start centers.

The 52 question form was completed in the field to gather information regarding the overall condition, integrity, and function of each facility used by Head Start programs. There is an initial open-ended question about the general condition of the facility followed by 51 specific questions with “Yes” and “No” responses. See Appendix A for a copy of the assessment.

The form is organized into two *Health & Safety Key Indicators*:

- Indicator #1—*Safe and Clean Facilities*— includes 43 questions. The first question captures the overall impressions of the condition, safety and setting, including valuable information about the surrounding location, setting, environment, and overall upkeep of the facility. The remaining 42 targeted questions address health and safety requirements for facilities, compliance with evacuation requirements, air quality, sanitation, emergency alert systems and fire safety, general safety and wellness, evacuation routes and emergency procedures, Life Safety Code standards,<sup>10</sup> air quality and overall sanitation, and occupancy requirements. Responses to these questions provided data to inform OHS about the safety and cleanliness of grantee facilities.
- Indicator #2—*Healthy Learning Environments*— includes nine questions focused on the provision of safe, clean, and appropriate indoor and outdoor learning environments and compliance with the *Head Start Program Performance Standards* (2009). See Appendix B for a copy of the performance standards. The questions address absence of dirt and debris, pets, provisions for children with disabilities, space, hazards, age-appropriate toys, furnishings, sleeping arrangements for infants, playground design and equipment, and storage of toxic substances.

### Data Collection

OHS deployed a cadre of qualified contractors, alongside federal staff, who collected data in the field, using the Environmental Health & Safety Assessment form. Federal staff and contractors recorded any issues regarding the overall condition of the centers, took photographs, and made notes on the assessment form. Photographs with corresponding text described issues like cracked walls, settling foundations, broken windows and problems with playground equipment.

A representative from the grantee was requested to be present during the assessment. The representative was often a lead teacher or a member of the maintenance staff. These staff members answered questions regarding the age of the building, ownership, maintenance and repair history, and provided documents to respond to questions. A facilities expert conducted a

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<sup>10</sup> The Life Safety Code developed by the National Fire Protection Association is the most widely used source for strategies to protect people based on building construction, protection, and occupancy features that minimize the effects of fire and related hazards. It covers life safety in both new and existing structures. Refer to: <http://www.nfpa.org/codes-and-standards/document-information-pages?mode=code&code=101>.

supplementary review of all the completed assessment forms and was able to follow up with federal staff and the contractors as needed.

## Scoring

Key documented observations were grouped into 10 categories. Each facility could receive a score ranging from 0 to 10 for each category. A score of 0 indicated no concerns were observed; a score of 10 indicated a severe condition existed that would be costly to repair. Since there were 10 categories, the minimum score a facility could receive was 0, indicating no concern, and the maximum score a facility could receive was 100, indicating a severe concern.

The ten categories were as follows:

1. Location/Facility Condition
2. Environmental Hazards
3. Heating, Ventilating, and Air Conditioning (HVAC)
4. Fire Safety
5. Electrical/Lighting
6. Cleanliness
7. Accessibility
8. Classroom Safety
9. Restroom Condition
10. Playground Safety

OHS reviewed each centers' assessment alongside their scores to determine the percent of facilities that appeared to be suitable, sustainable, and functional by category. For the remaining facilities, the most common problems were identified. Any problems that posed a health and safety risk were either addressed at the time of assessment or brought to the attention of the program to ensure staff and children were not exposed to such risks. OHS worked with the centers to ensure the problems were addressed in a timely manner.

## Scope of Data

There were 151 AI/AN grantees in 26 states in FY 2015. However, only 147 participated in the facility assessment of their location, condition, and ownership during the assessment period.

Four grantees were not included for the following reasons:

- Council of Athabascan Tribal Governments were funded solely for home-based services and did not operate centers.
- The Tulalip Tribes provided Head Start services in a brand new facility.
- Due to a recent transition in Head Start services for Hualapai Tribe, an extensive facility assessment was conducted in the building used to provide Head Start services and it was found that the building was in good condition. The Hualapai Tribe owns the building used to provide Head Start services and there is no federal interest in the building. Owens Valley Board of Trustees, providing service near Death Valley in California, did not participate due to the timing of data collection. At the time of the assessment, the grantee had just been awarded their first Head Start grant, specifically a EHS-CC Partnership grant.

Table 3 displays the 147 AI/AN grantees that were assessed, by program type.

Table 3: Grantees and Programs

Programs	Number of Grantees
Head Start only	54
Head Start and Early Head Start	92
Early Head Start only	1
Total	147

The assessment collected a great deal of data and the scope was nationwide. All 147 grantees had at least one of their centers reviewed. Of the 147 grantees, 118 (80.2 percent) received assessments of all of their centers. The sample included 439 centers representing almost 87 percent of the 506 AI/AN centers in 26 states. Considering the significant coverage of centers assessed, we are confident the findings of this report are representative of the conditions of AI/AN centers.

## Results

### Location

The Head Start Enterprise System (HSES) maintains data collected from the 147 AI/AN Head Start grantees that operated 506 Head Start centers. As presented in Table 4, these centers included Head Start programs serving children 3-5 years old and Early Head Start programs serving infants, toddlers, and expectant mothers. The Head Start centers were located in 26 States. The vast majority of the AI/AN centers were located in the West. Alaska, Arizona, and Oklahoma had the greatest number of centers with 65 – 71 centers in each of these states.

Table 4: AI/AN Head Start Center Locations

State	EHS only	HS only	HS/EHS	Total
Alaska	2	46	17	65
Arizona	1	59	5	65
California	0	14	4	18
Colorado	0	1	1	2
Idaho	1	2	2	5
Kansas	0	0	2	2
Maine	0	3	0	3
Michigan	0	4	8	12
Minnesota	0	9	12	21
Mississippi	1	2	4	7
Montana	4	27	5	36
North Carolina	0	1	1	2
North Dakota	3	16	1	20
Nebraska	0	3	0	3
New Mexico	2	40	4	46
Nevada	0	14	0	14
New York	0	3	0	3
Oklahoma	7	57	7	71
Oregon	1	7	1	9
South Carolina	0	1	0	1
South Dakota	5	35	3	43
Texas	0	1	0	1
Utah	0	6	0	6
Washington	3	18	6	27
Wisconsin	2	12	4	18
Wyoming	2	3	1	6
<b>Grand Total</b>	<b>34</b>	<b>384</b>	<b>88</b>	<b>506</b>

Source: Head Start Enterprise System (HSES)

Figure 1: Continental United States and Alaska

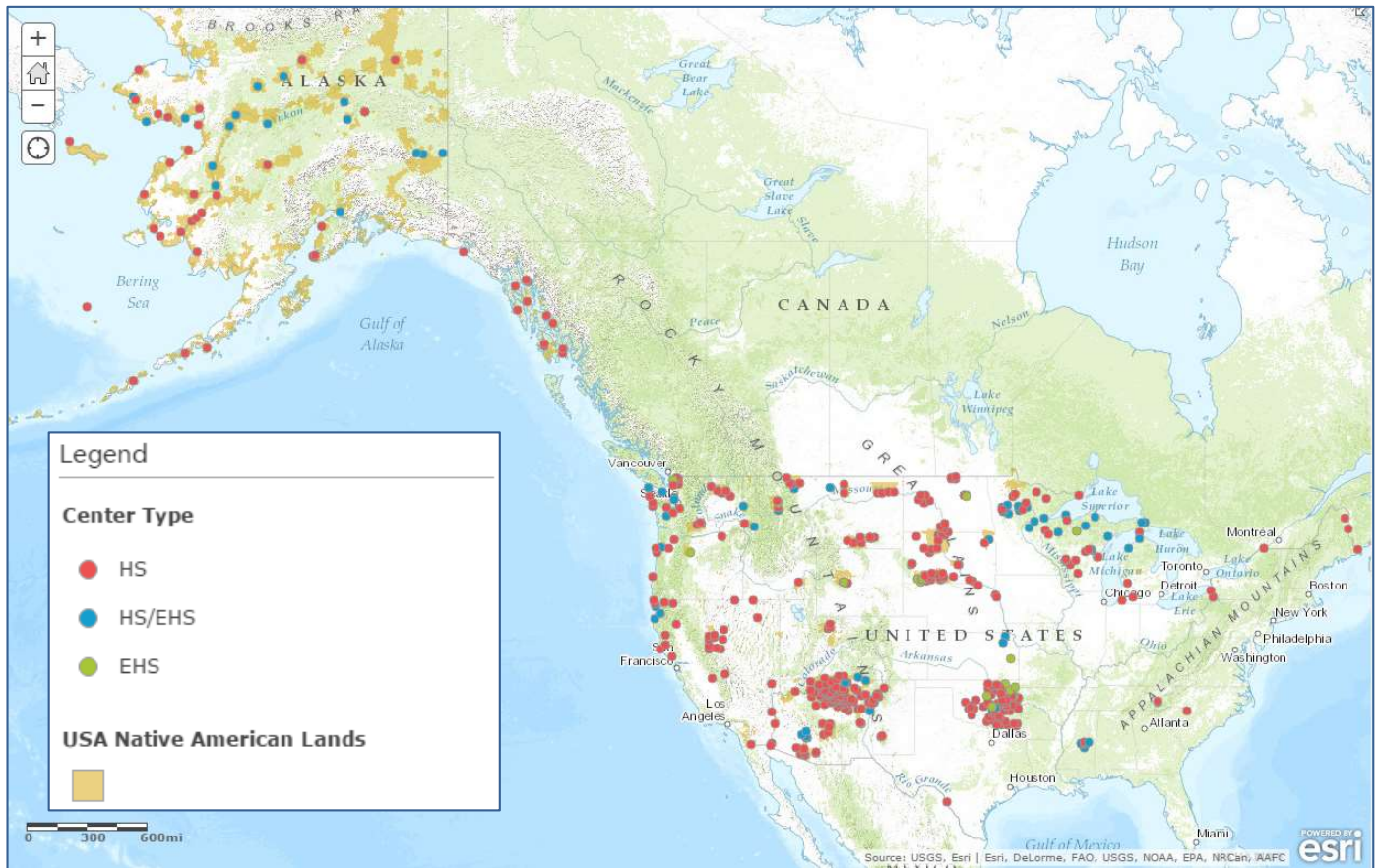


Figure 1 above displays the location of the 506 Head Start centers operated by the 147 AI/AN Head Start grantees.<sup>11</sup> The dataset used for the maps covers the continental U.S., Alaska, and Hawaii. Hawaii is not displayed on the map because in FY 2015, there were no native Hawaiian Head Start or Early Head Start grantees in Hawaii. See Appendix C for a closer look into the above map and for maps of states and areas with a high number of centers including Alaska, Arizona, Oklahoma, and the Great Plains region.

<sup>11</sup> The map features were extracted from the Protected Areas Database of the United States (PAD-US).

The number of enrollment slots per center type is summarized in Table 5.

Table 5: Enrollment in AI/AN Centers<sup>12</sup>

Center type	Number of Centers	Total Slots
Head Start	384	13,920
Head Start and Early Head Start	88	6,298
EHS	34	979
Total	506	21,197

Table 6 shows that the majority of slots, 85 percent, are for Head Start preschoolers and 15 percent are for EHS.

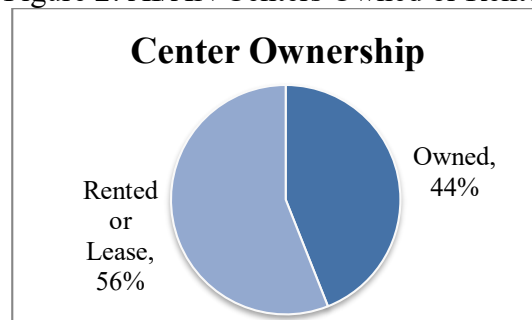
Table 6: AI/AN Enrollment Slots Dedicated to Head Start and Early Head Start<sup>13</sup>

Center Type	Enrollment Slots	Percent
Head Start	17,980	85%
Early Head Start	3,217	15%
Total	21,197	100%

### Ownership

Head Start grantees report ownership type for Head Start centers through the online Office of Head Start Enterprise System (HSES). In FY 2015, 44 percent or 223 centers out of 506 centers were owned by grantees. The remaining 283 centers, 56 percent, were rented or leased from other entities, such as a state public school or church (Figure 2).

Figure 2: AI/AN Centers Owned or Rented



<sup>12</sup> This enrollment was reported at the center level in HSES and did not always reflect the funded enrollment of the entire program

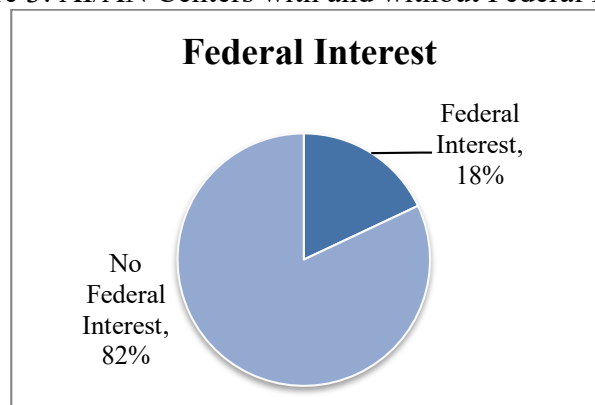
<sup>13</sup> Ibid.



## Federal Interest in AI/AN Centers

Of the 506 AI/AN centers, 91 centers, or 18 percent, have federal interest. The majority of centers, 415 centers or 82 percent, do not have federal interest (Figure 3). Under 45 CFR 1309.21, there must be a Notice of Federal Interest whenever grant funds are used to purchase, construct or make major renovations to a facility. A lease/purchase agreement, also referred to as a capital lease or a lease with a bargain purchase option, is considered the equivalent of a purchase.<sup>14</sup> Major renovations to properties that are leased with federal funds also require federal approval.

Figure 3: AI/AN Centers with and without Federal Interest



## Conditions

### Assessment Results

This report includes qualitative and quantitative data collected during the assessments of 439 centers. As explained in the Methodology section, OHS analyzed data in 10 broad categories covered by the assessment. The information below summarizes the assessment results in each category. Sections of the *Program Performance Standards*, issued in 2009, applicable to each category are included for reference. Appendix B lists all the standards used to assess the condition of facilities.

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<sup>14</sup> This information is from the OHS Program Instruction issued on December 8, 2009: ACF-PI-HS-09-10.

## Results by Category

### 1. Location/Facility Condition: Q1, Q46<sup>15</sup>

#### **§ 1304.53 Facilities, materials, and equipment**

(a) Head Start physical environment and facilities.

(1) Grantee and delegate agencies must provide a physical environment and facilities conducive to learning and reflective of the different stages of development of each child.

(2) Grantee and delegate agencies must provide appropriate space for the conduct of all program activities (see 45 CFR 1308.4 for specific access requirements for children with disabilities).

(3) The center space provided by grantee and delegate agencies must be organized into functional areas that can be recognized by the children and that allow for individual activities and social interactions.

(4) The indoor and outdoor space in Early Head Start or Head Start centers in use by mobile infants and toddlers must be separated from general walkways and from areas in use by preschoolers.

(5) Centers must have at least 35 square feet of usable indoor space per child available for the care and use of children (i.e., exclusive of bathrooms, halls, kitchen, staff rooms, and storage places) and at least

(7) Grantee and delegate agencies must provide for the maintenance, repair, safety, and security of all Early Head Start and Head Start facilities, materials and equipment.

Based on the general impressions of the facility and the measuring of each classroom to ensure each provides at least 35 square feet of usable indoor space per child (excluding bathrooms, halls, kitchens, staff rooms, and storage space), 64 percent of facilities appeared to be suitable, sustainable, and functioning properly. Based on observations, most of these centers were modern and up-to-date, while some were older facilities considered in good condition. These facilities appeared to be clean and safe. Thirty six percent of the remaining facilities had documented concerns including worn interiors, cracked ceilings, poor insulation and overall deterioration due to the impact of adverse weather conditions. For example, some centers had exterior cracks and water damage on the sides of buildings, sidewalks, and foundations that were shifting. Many older buildings had archaic fixtures and electrical systems. In some cases, the location of the facility raised concerns. For example, facilities located on major rivers were prone to flooding. Most concerns were about the age of the building, building materials, and the loss of structural integrity over time.

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<sup>15</sup> Question numbers refer to the questions in the assessment form included as Appendix A.

## 2. Environmental Hazards: Q2, Q21, Q23, Q52

### § 1304.53 Facilities, materials, and equipment

(a) Head Start physical environment and facilities.

(8) Grantee and delegate agencies must provide a center-based environment free of toxins, such as cigarette smoke, lead, pesticides, herbicides, and other air pollutants as well as soil and water contaminants. Agencies must ensure that no child is present during the spraying of pesticides or herbicides. Children must not return to the affected area until it is safe to do so.

(10) Grantee and delegate agencies must conduct a safety inspection, at least annually, to ensure that each facility's space, light, ventilation, heat, and other physical arrangements are consistent with the health, safety and developmental needs of children. At a minimum, agencies must ensure that: (ix) Paint coatings on both interior and exterior premises used for the care of children do not contain hazardous quantities of lead

Sixty-three percent of facilities were observed to be suitable and free of potential environmental hazards. Thirty-seven percent of the remaining centers had concerns related to building materials and conditions, such as mold, primarily resulting from severe weather conditions on older buildings. Other common issues were leaks and flooding in or near the centers also caused by weather conditions. Some facilities experienced odors from gas or sewage due to proximity of septic tanks.

## 3. HVAC: Q7, Q12

### 1304.53 Facilities, materials, and equipment

(a) Head Start physical environment and facilities.

(10) Agencies must ensure that:

(i) In climates where such systems are necessary, there is a safe and effective heating and cooling system that is insulated to protect children and staff from potential burns

Eighty-five percent of centers were observed to have HVAC systems that were suitable and effectively functioning and presented no imminent health and safety concerns. Fifteen percent of the remaining centers had improperly ventilated HVAC systems. Additionally, many of these buildings experienced difficulty regulating temperature. Some centers used alternatives such as window air conditioners and space heaters. These alternatives drained the electrical system and were costly. (This category overlaps with *Cleanliness* and *Fire Safety*.)

4. Fire Safety: Q13, Q14, Q15, Q18, Q19, Q20, Q32, Q34, Q36, Q38, Q4, Q6, Q41, Q42, Q25, Q30

**1304.53 Facilities, materials, and equipment**

- (a) Head Start physical environment and facilities.
- (10) Agencies must ensure that:
  - (ii) No highly flammable furnishings, decorations, or materials that emit highly toxic fumes when burned are used
  - (v) Approved, working fire extinguishers are readily available
  - (vi) An appropriate number of smoke detectors are installed and tested regularly
  - (vii) Exits are clearly visible and evacuation routes are clearly marked and posted so that the path to safety outside is unmistakable.

Eighty-seven percent of facilities either had no concerns about fire safety and appeared to be suitable, sustainable, and functioning properly, or had minor concerns presenting opportunities to improve fire safety. An area of concern was the lack of panic hardware on the doors and windows that would be more conducive to escape and rescue. For example, some windows did not open, others had metal bars on the exterior, and some were too high for evacuation. Overall, most facilities had fully functioning fire detectors, but some needed to be adjusted to automatically alert the fire department in an emergency. Similarly, some pull boxes could be adjusted automatically to alert the fire department when pulled. Almost all of the facilities that did not have automated sprinkler systems had working fire extinguishers. In some cases, sprinkler systems were not required by local building codes.

5. Electrical Lighting: Q8, Q11

**§ 1304.53 Facilities, materials, and equipment**

- (a) Head Start physical environment and facilities.
- (10) Agencies must ensure that:
  - (iv) Rooms are well lit and provide emergency lighting in the case of power failure

Eighty-four percent of centers' electrical lighting were observed to be fully functioning, suitable for a Head Start center, and sustainable for the long term. Of the remaining centers, a common concern was poor lighting. Some facilities relied heavily on natural light, which lit the building on sunny days, but presented problems on cloudy days. In many cases, the light fixtures were archaic and could not be repaired or replacement bulbs could not be located for the fixtures. In addition, there were concerns about overloading outlets and improper use of extension cords when the number of outlets was insufficient.

6. Cleanliness: Q43, Q44

**§ 1304.53 Facilities, materials, and equipment**

- (a) Head Start physical environment and facilities.
- (10) Agencies must ensure that:
  - (viii) Indoor and outdoor premises are cleaned daily and kept free of undesirable and hazardous materials and conditions

Eighty-two percent of facilities were observed to be clean and suitable. In facilities that had concerns, the most common problem was evidence of rodents and pests. Such problems were likely the result of gaps in buildings caused by aging and the structures settling. Severe weather, wind, and lack of weatherization also caused dust and dirt to enter buildings because it is difficult to seal and weatherize older buildings.

7. Accessibility: Q45

**§ 1304.53 Facilities, materials, and equipment**

- (a) Head Start physical environment and facilities.
- (10) Agencies must ensure that:
  - (xvii) Adequate provisions are made for children with disabilities to ensure their safety, comfort, and participation

Eighty-four percent of the centers appeared to ensure accessibility and the safety, comfort, and participation of children with physical disabilities. Most of the remaining centers were not serving children with physical disabilities. However, among those centers with problems, the most common was providing accessible bathrooms. In these cases, some bathrooms did not have handicap rails, and the sinks were too high. Although a good portion of the centers with problems had handicap ramps, many of the ramps were not usable due to instability and the effects of bad weather. Another common problem was that most walkways around the facilities were dirt paths posing accessibility issues. A number of centers indicated that accessibility to the buildings was dangerous during inclement weather. One assessment indicated that the steps and sidewalks were steep and covered with snow and ice during the assessment. Another facility had a canopy that dropped snow and ice at the end of the walkway.

## 8. Classroom Safety: Q9, Q10, Q47, Q48, Q49, Q50

### **§ 1304.53 Facilities, materials, and equipment**

- (a) Head Start physical environment and facilities.
  - (10) At a minimum, agencies must ensure that:
    - (iii) Flammable and other dangerous materials and potential poisons are stored in locked cabinets or storage facilities separate from stored medications and food and are accessible only to authorized persons.
    - (xi) Electrical outlets accessible to children prevent shock through the use of child-resistant covers, the installation of child-protection outlets, or the use of safety plugs
    - (xii) Windows and glass doors are constructed, adapted, or adjusted to prevent injury to children
- (b) Head Start equipment, toys, materials, and furniture.
  - (1) Grantee and delegate agencies must provide and arrange sufficient equipment, toys, materials, and furniture to meet the needs and facilitate the participation of children and adults. Equipment, toys, materials, and furniture owned or operated by the grantee or delegate agency must be:
    - (iii) Age-appropriate, safe, and supportive of the abilities and developmental level of each child served, with adaptations, if necessary, for children with disabilities;
    - (vi) Safe, durable, and kept in good condition; and
    - (vii) Stored in a safe and orderly fashion when not in use.
  - (2) Infant and toddler toys must be made of non-toxic materials and must be sanitized regularly.
  - (3) To reduce the risk of Sudden Infant Death Syndrome (SIDS), all sleeping arrangements for infants must use firm mattresses and avoid soft bedding materials such as comforters, pillows, fluffy blankets or stuffed toys.

Sixty-four percent of centers' classrooms appeared to be suitable for Head Start services and sustainable for the long term. Of the remaining facilities, the assessments indicated that the furnishings were old and worn. A common problem in classrooms was the lack of safe storage space. As a result, storage bins were on the floor and/or blocked exits and egress routes. Another common problem was the condition of the windows. Windows lacked cranks required to open and close the windows, or the cranks were broken. Other assessments noted large trees or limbs hovering over facilities that presented a hazard in strong winds or when covered with snow and ice.

## 9. Restroom Condition: Q3, Q24

### **1304.53 Facilities, materials, and equipment**

- (a) Head Start physical environment and facilities.
  - (10) Agencies must ensure that:
    - (xiv) Toilets and hand washing facilities are adequate, clean, in good repair, and easily reached by children. Toileting and diapering areas must be separated from areas used for cooking, eating, or children's activities;
    - (xvi) All sewage and liquid waste is disposed of through a locally approved sewer system, and garbage and trash are stored in a safe and sanitary manner

Eighty-six percent of the restrooms appeared to be age-appropriate, sustainable for the long term, and functioning properly. Of the remaining restroom facilities, the most common problem was that they were designed for adults instead of children. For example, the toilets and sinks were too tall for children. They had to use a stepstool in order to use the facilities. Most of these

restrooms designed for adults did not have rails for children to hold while using stepstools. Another common problem was a low ratio of restrooms to children in the building. For example, one assessment indicated that the center had two toilets and served 34 children. Another center had two toilets for 72 children. A few assessments raised concerns about restrooms with sewage problems. In a few cases, poor overall conditions were identified such as missing tiles, unsuitable bathroom doors, missing toilet tank covers, and detached sinks.

## 10. Playgrounds: Q51

### **1304.53 Facilities, materials, and equipment**

(a) Head Start physical environment and facilities.

(9) Outdoor play areas at center-based programs must be arranged so as to prevent any child from leaving the premises and getting into unsafe and unsupervised areas. In route to play areas, children must not be exposed to vehicular traffic without supervision.

(10) Agencies must ensure that:

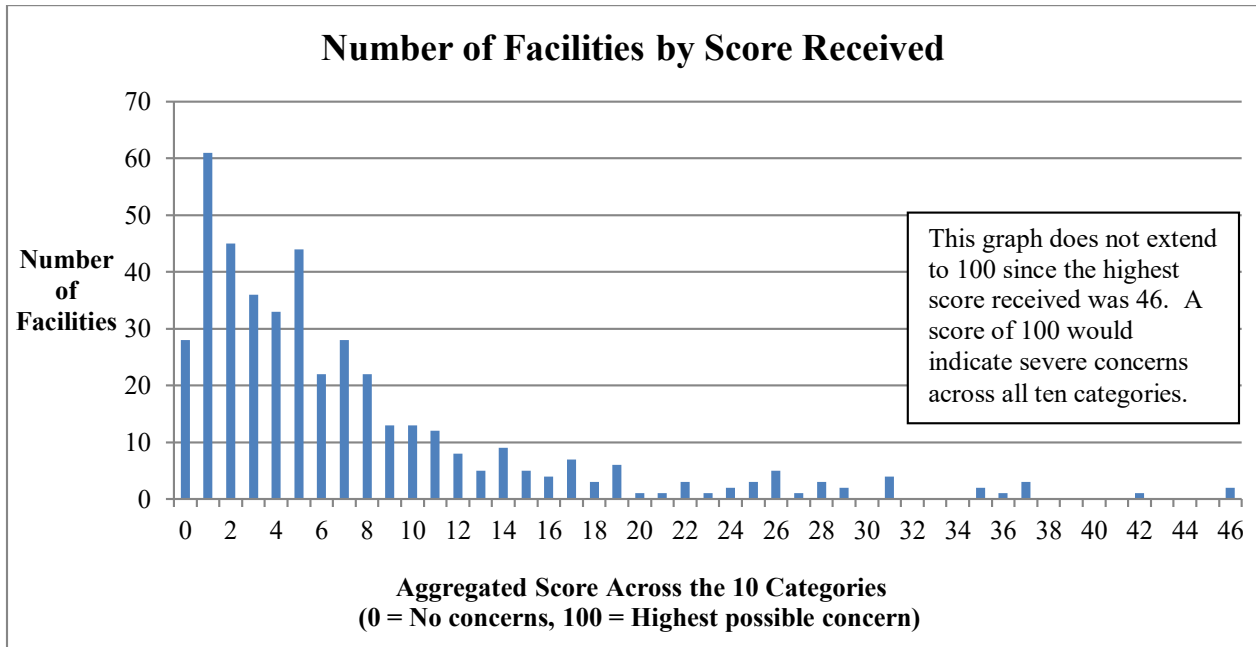
(x) The selection, layout, and maintenance of playground equipment and surfaces minimize the possibility of injury to children

Ninety-three percent of the playgrounds either appeared to have no concerns and were suitable, sustainable, and functioning properly, or evidenced minor concerns such as area fence in poor condition. Another common issue was the lack of suitable shock absorbent surfacing underneath climbing structures. In addition, some playground equipment did not appear properly anchored. Some assessments indicated that older playground equipment had rust and some had loose or unstable pieces. These situations often were the result of harsh weather conditions.

## **Scoring Results**

As previously discussed, observations were grouped into ten categories and each category received a score ranging from 0, no concerns, to 10, severe concerns. The aggregate score for each center ranged from 0 and 100, with scores at or around 0 indicating little to no concern and those at or around 100 indicating severe concerns across all ten categories. The average score across all facilities was between 7 and 8. As shown in Figure 4 below, there were 247 facilities that scored 5 points or less (half of these points reflected concerns about fire safety). No facility scored at or around 100. The highest aggregate score was 46, received by two facilities.

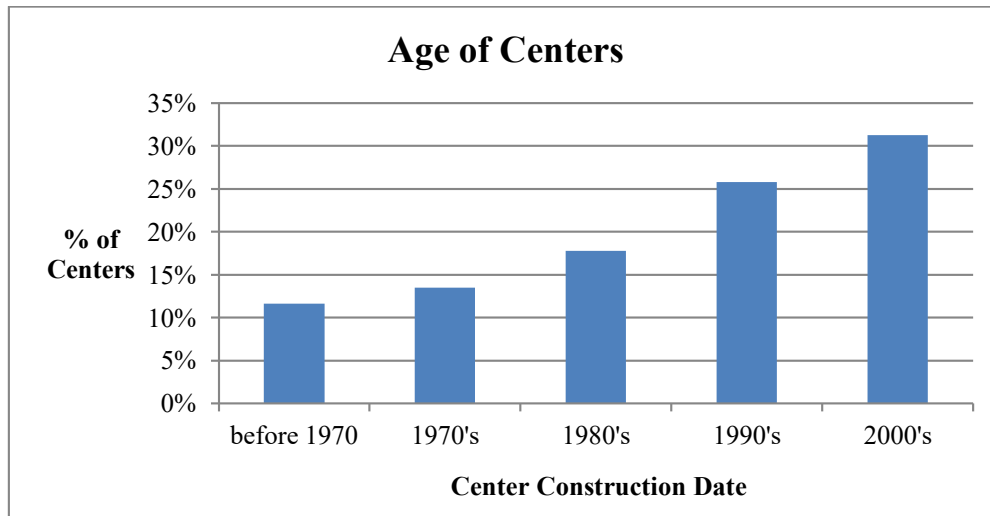
Figure 4: Number of Centers and Scores



### Age of AI/AN Center Facilities

A total of 326, or 74 percent of the 439 AI/AN centers assessed, reported the age of their facility. At the time of the assessment, slightly less than half of the centers reported that they were built before 1990. The average year a center was built was 1989. The assessment did not report which centers were renovated after construction. Figure 5 below displays the percent of the 326 centers built in each decade.

Figure 5: Percent of Facilities Built by Decade





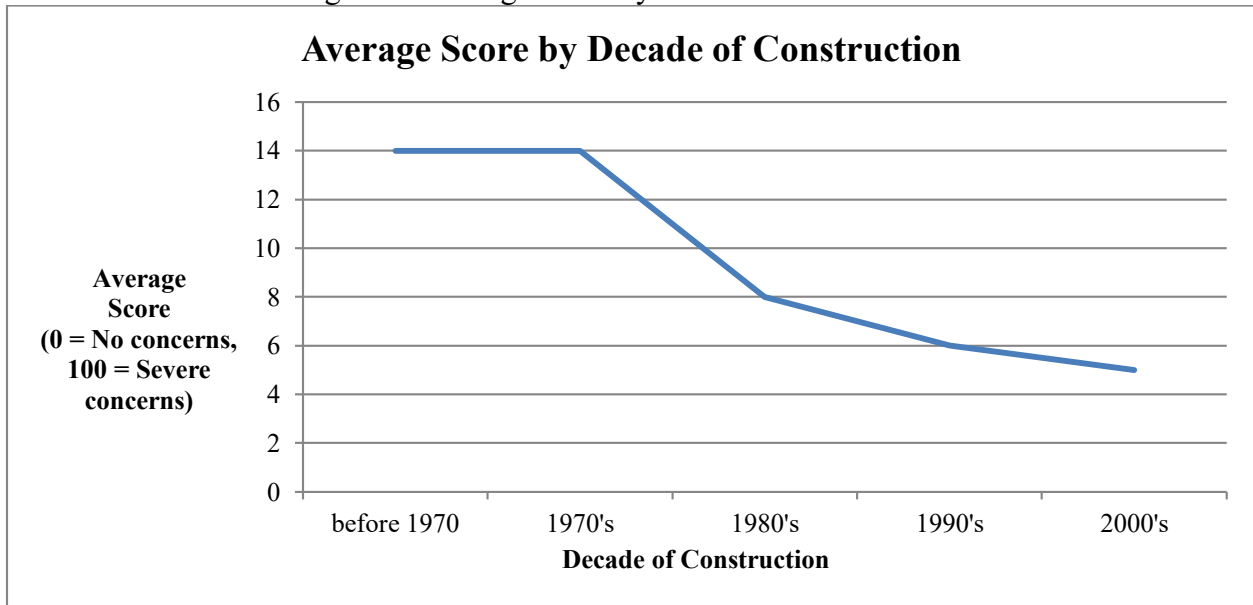
## Discussion and Conclusions

### Findings

There were common concerns raised across the facility assessment related to weather and climate conditions, age, structure, and location of the centers.

It is important to consider the age of centers when assessing their conditions, as age and condition appear to be correlated. For example, as illustrated in Figure 6, the oldest centers were observed to have the most severe conditions. In fact, severe condition scores for the oldest buildings are nearly double those of centers built in the 1980s and later.

Figure 6: Average Score by Decade of Construction



As shown in Figure 6, older buildings scored higher on the assessment, indicating more severe conditions, as did centers located in areas with harsh environments where weatherization was more challenging. Climate can affect the structural integrity of buildings by damaging roofs, foundations, and systems.

Assessments conducted on centers affected by environmental conditions included comments such as those below:

*Due to the rainy environment and the type of material used for impact absorption, the outdoor covered playground has an abundance of black mold.*

*The groundwater beneath the facility creates moisture issues within the building. This condition can undermine structural integrity and create mold.*

*Water running off the roof creates a skating rink of ice around the entire building.*

*The entryways in and out of this facility are hazardous due to drifting snow, ice, and dilapidated entryways.*

*The rear emergency classroom exit is covered with a canopy that collects large amounts of snow that dumps in front of the rear exit stairs.*

*There are questionable electrical issues due to the age of existing wiring.*

*Treacherous snow drifts leading to entryways cause hazards throughout the winter.*

The condition of windows raised concerns across the *Fire Safety* and *Classroom Safety* categories. The windows were deteriorating or inoperable in many cases as a result of the age and structure of the facilities and weather conditions. Similarly, there were concerns of possible exposure to asbestos and lead in older buildings. These materials raise concerns in the *Environmental Hazards* and *Location/Facility Condition* categories. In addition, archaic lighting and fixtures were observed in some centers, which raised concerns in the *Fire Safety* category.

Weather and climate-related damage also raised concerns in assessments of *Playgrounds*. The assessments revealed poor surfacing and lack of proper anchoring of playground equipment, which often caused by severe weather. Weather and climate also raised concerns across the *Location/Facility Condition* and *Classroom Safety* categories because wind and water damage from flooding and snowstorms resulted in structural damage to buildings and led to hazardous conditions entering and exiting buildings.

The location of some facilities also raised concerns. For example, in the *Environmental Hazard* category, there was a concern about the proximity of the facility to fuel and septic tanks. A concern in the *Playground* category was hazardous items in and around the play area, such as tree limbs, vandalized fencing, and conduits. It appears that in some cases, concerns might require renovation of existing facilities to address health and safety issues or relocation.

In addition, the facility assessments highlighted facility issues related to accessibility. For example, assessments cited the following concerns: sinks that were too large for children, not enough toilets to serve the numbers of children, and a lack of accessibility for children with physical disabilities.

## **Cost Estimates**

### *Summary*

The total cost to renovate or perform outstanding maintenance and repair of the 506 centers nationwide is estimated to be \$69.64 million. (Refer to Appendix D.) Note that this total includes an estimate for the cost to repair or renovate 67 facilities that did not receive an assessment; the estimate for this work is \$2.39 million and is part of the total cost.

Of the 439 centers assessed, 192 required renovations; the costs of these renovations spanned a broad range depending on location, severity of conditions, and climate. Note of the 192 that require renovation, a small number of centers might require rebuilding. A more thorough assessment of their condition and age is required before making a final determination. Two hundred and nine centers needed funds for maintenance and repair only and 28 did not require any funds for repair because they were in excellent condition.

### *Highlights:*

- *Require renovations — 192 of 439 centers assessed*
- *Require maintenance and repair — 219 of 439 centers assessed*
- *No work needed — 28 of 439 centers assessed*

- *Estimated cost for renovating or maintaining 506 centers (439 assessed plus 67 not assessed) — \$69.64 million*

The average cost to renovate and repair the 506 AI/AN centers nationwide is \$137,600 per center. However, the average cost per center within a state can vary. For example, five of the six centers in Utah were built in the 1990s and these centers were determined to be in good condition. Therefore, the average cost per center in Utah is \$68,000. In contrast, centers in Alaska endure severe weather conditions, and some are in remote locations. The average cost per center in that state is \$152,420, which is higher than the average cost nationwide.

Six centers had estimated costs over \$1 million per center. They are located in Alaska, Arizona, Montana (2), New Mexico, and Oregon. As discussed earlier in the report, centers are affected by severe weather and older centers are often in worse condition.

*Highlights:*

- *Average cost to renovate and repair a center — \$137,600 per center*
- *Six centers received estimates over \$1 million; this estimate includes estimates for full rebuilding costs for two centers.*
- *These cost estimations do not take into account centers beyond the two mentioned above that should be rebuilt rather than renovated after further considerations of the age and condition of the facilities. Additional rebuilding would increase the total estimated cost provided in Appendix D.*

*Methodology for Estimating Costs*

RSMeans data,<sup>16</sup> estimates that it would cost \$194.57 per square foot, as a national average, to rebuild an entirely new day care center. OHS relied on RSMeans data in part to calculate estimates in Appendix D.

The RSMeans estimate of \$194.57 per square foot is based on a building model that assumes basic components and uses prevailing wages for a 10,000 square foot day care center as the standard.

The square foot estimate is calculated by RSMeans in the following manner:

- Materials: \$142.80 per square foot
- Contractor fees: Add 25 percent to cover this cost
- Architectural fees: Add nine percent for architectural fees using national average costs as estimates<sup>17</sup>

OHS has developed a final estimate of \$ 252.94 per square foot for rebuilding an AI/AN Head Start center. This figure includes an additional 30 percent to the \$194.57 cost per square foot estimate. The additional 30 percent includes an amount for paying Davis Bacon Wages<sup>18</sup> for

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<sup>16</sup> The 2013 RSMeans cost data was used to determine national average costs. RSMeans develops construction cost data and is updated throughout the year for more than 900 cities in the US and Canada. The data is used for construction budgeting and estimating for both new building and renovation projects.

<sup>17</sup> Ibid.

<sup>18</sup> The Davis-Bacon and Related Acts, apply to contractors and subcontractors performing on federally funded or assisted contracts in excess of \$2,000 for the construction, alteration, or repair (including painting and decorating) of public buildings or public works. Davis-Bacon Act and Related Act contractors and subcontractors must pay their laborers and mechanics employed under the contract no less than the locally prevailing wages and fringe benefits for corresponding work on similar projects in the area.

work performed, addresses the cost of special HS/EHS requirements related to complying with the Program Performance Standards, and includes an adjustment for the high cost of construction in remote areas. OHS' rebuilding and renovation efforts with Hurricane Sandy helped inform this estimate.

*Highlight:*

- *The final estimate for rebuilding an AI/AN Head Start center —\$252.94 per square foot*

*Considerations*

OHS took into consideration the square footage of the existing center when estimating the costs for each center using measures provided during the FY 2015 assessment. If a center was not measured during the FY 2015 assessment (67 centers were not visited and a few that were visited were not measured), then the square footage for a facility was estimated using the number of square feet required per child.<sup>19</sup> In addition, the condition of the center was considered when determining the cost to renovate or perform outstanding maintenance and repair. The scores assigned reflecting the condition of the center (refer to averages cited in Figure 6) were used to adjust the cost data.

Twenty-five percent of the centers assessed will be 40 years of age within the next 5 years. It is important to consider that some centers may have systemic problems requiring major renovations and a few may require rebuilding. This expense has not been included in the cost estimates. Furthermore, older centers were more likely to have problems that would be more costly to correct than newer buildings, such as leaky roofs, old boilers, and structural issues.

Due to the age of centers and the fact that some problems are compounded by exposure to severe weather, it is expected that conditions will worsen over time. Additional funding for overdue maintenance, renovation, and some new construction would support AI/AN grantees in maintaining centers suitable for providing AI/AN Head Start services to the communities they serve.

### **Future Implications**

The age and condition of AI/AN Head Start facilities have serious implications for the future. Many buildings require major renovations, and a few centers may require new construction rather than renovation. The estimated cost nationwide to renovate, maintain, or repair the AI/AN centers is approximately \$69.64 million (Appendix D). The cost will increase if a more thorough assessment reveals that a facility needs rebuilding rather than renovation.

Due to age and exposure to severe weather, some centers are reaching a point where frequent repairs and replacement of equipment are necessary. Twenty-five percent of the centers will have an age of 40 years since the original date of construction within the next 5 years.

Investing in short term maintenance and repairs rather than renovations or new construction designed for the long-term lends itself to inefficient spending – this inefficient spending would be multiplied for centers that are unsuited to withstand the surrounding weather, are rapidly deteriorating due to old age, and/or have a major structural issue. These conditions are likely

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<sup>19</sup> According to section 1304.53(a)(5) of the Head Start Program Performance Standards, centers must have at least 35 square feet of usable indoor space per child available for the care and use of children.

contributing to other patterns such as underenrollment, a higher cost per child, and issues AI/AN programs encounter when expanding services and partnering with child care providers.

Tribes have repeatedly testified during consultations that Tribal Councils often have to contribute their own funds to support maintenance of facilities. However, due to the expense of facility upkeep and construction, the tribes have stated that they need additional funding to ensure compliance with federal regulations, tribal, state and local requirements, and building codes.

### **Available Technical Assistance for Grantees**

Head Start takes steps to provide grantees with technical support for their efforts to create safe and healthy physical environments conducive to learning and adapted to the stages of children's development.

The Early Childhood Learning and Knowledge Center (ECLKC) (<http://eclkc.ohs.acf.hhs.gov/hslc>) offers online support to grantees considering construction projects including advice about design, documentation, bidding, negotiation, and construction administration. In addition, technical guides about design, information about renting or leasing facilities, information about safe playgrounds, and tip sheets about facilities assessments and other aspects of facilities management are available through this site.

OHS also supports a National Center devoted to Program Management and Fiscal Operations (NCPMFO) operated through a new cooperative agreement awarded in FY 2015 as part of its Training and Technical Assistance (TTA) system. NCPMFO disseminates clear, consistent messages on OHS priorities for the development and implementation of sound management systems and strong internal controls. NCPMFO is retaining a facility consultant who will be available to grantees to develop and post materials regarding facilities on the ECLKC. In addition, the Regional TTA staff are available to address grantees' facility issues in partnership with the Regional Offices' expert facility staff.



Appendix A — FY 2015 Region XI AI/AN Environmental Health & Safety Assessment

**December 10, 2014**

**Grantee Name** \_\_\_\_\_

**Grantee Number** \_\_\_\_\_

**Center Name** \_\_\_\_\_

**Square Footage of Center** \_\_\_\_\_

**Year Built** \_\_\_\_\_

**Ownership of the Building** \_\_\_\_\_

**Any Federal Interest?**

Yes	No
<input type="checkbox"/>	<input type="checkbox"/>



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## Environmental Health & Safety

### Environmental Health & Safety Key Indicator #1—Safe and Clean Facilities

	<b>Compliance Measures</b>	<b>Federal Regulation</b>
1.1	The program ensures all facilities are healthy and safe for children, families, and staff.	1304.53(a)(7) 1304.53(a)(8) 1304.53(a)(10) 1304.53(a)(10)(i) 1304.53(a)(10)(ii) 1304.53(a)(10)(iv) 1304.53(a)(10)(v) 1304.53(a)(10)(vi) 1304.53(a)(10)(xiv) 1304.53(a)(10)(xvi) 1306.35(b)(2)(i) 1306.35(b)(2)(ii) 1306.35(b)(2)(vii) 1306.35(b)(2)(viii)
1.2	Evacuation routes are clearly marked and emergency procedures are posted for all facilities.	1304.22(a)(1) 1304.22(a)(3) 1304.53(a)(10)(vii) 1306.35(b)(1)
1.3	All facilities comply with State and local licensing requirements including, but not limited to, child care licensing, fire and building inspections, and occupancy permits.  <i>Targeted Questions related to Life Safety Codes are used to collect data to inform the Office of Head Start of the quality of safety in grantee facilities.</i>	1306.30(c) 1306.35(d)





Targeted Questions

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Environmental Scan

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*EnvHS 1.1*

1. Please document notes based on your first impressions of the setting you are observing.

Note

Classroom Observations

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**Healthy and Safe Facilities**

*Air Quality and Overall Sanitation—EnvHS 1.1*

2. Is the environment free of air pollutants, including mold, smoke, lead, pesticides, asbestos, and herbicides, as well as soil and water pollutants?

Yes	No	If no, then please explain
<input type="checkbox"/>	<input type="checkbox"/>	



3. Are toileting and diapering areas separated from areas used for cooking, eating, and children's activities?

Yes	No	If no, then please explain
<input type="checkbox"/>	<input type="checkbox"/>	

*Emergency Alert Systems and Fire Safety—EnvHS 1.1*

4. Is there a smoke detector system?

Yes	No	If no, then please explain
<input type="checkbox"/>	<input type="checkbox"/>	

5. Was the smoke detector system tested within the last 12 months?

Yes	No	If no, then please explain
<input type="checkbox"/>	<input type="checkbox"/>	

6. Are smoke detectors located in all of the following areas:

Area	Yes	No	If any no, then please explain
Each story, in front of doors to the	<input type="checkbox"/>	<input type="checkbox"/>	
Corridors on all floors	<input type="checkbox"/>	<input type="checkbox"/>	
Lounges and recreation	<input type="checkbox"/>	<input type="checkbox"/>	
Sleeping rooms	<input type="checkbox"/>	<input type="checkbox"/>	



*General Safety and Wellness—EnvHS 1.1*

7. Is the heating-and-cooling system designed to prevent injury to children and adults?

Yes	No	If no, then please explain
<input type="checkbox"/>	<input type="checkbox"/>	

8. Are electrical outlets accessible to children designed to prevent shock through the use of covers, installation of child-protection outlets (e.g., tamper-resistant outlets), or use of safety plugs?

Yes	No	If no, then please explain
<input type="checkbox"/>	<input type="checkbox"/>	

9. Are windows and glass doors constructed, secured, and adjusted to prevent children’s injury and escape?

Yes	No	If no, then please explain
<input type="checkbox"/>	<input type="checkbox"/>	

10. Are facilities, materials, and equipment free of any hazards that may cause harm to children, families, or staff?

Yes	No	If no, then please explain
<input type="checkbox"/>	<input type="checkbox"/>	



11. Is lighting bright enough so children and adults can clearly see activities, materials, and pathways?

Yes	No	If no, then please explain
<input type="checkbox"/>	<input type="checkbox"/>	

12. Are any unvented fuel-fired heaters present?

Yes	No	If <b>yes</b> , then please explain
<input type="checkbox"/>	<input type="checkbox"/>	

*Evacuation Routes and Emergency Procedures—EnvHS 1.2*

13. Are exits clearly visible?

Yes	No	If no, then please explain
<input type="checkbox"/>	<input type="checkbox"/>	

14. Are exit signs illuminated?

Yes	No	If no, then please explain
<input type="checkbox"/>	<input type="checkbox"/>	

15. Are evacuation routes clearly marked?

Yes	No	If no, then please explain
<input type="checkbox"/>	<input type="checkbox"/>	



16. Are emergency procedures posted in this setting?

Yes	No	If no, then please explain
<input type="checkbox"/>	<input type="checkbox"/>	

*Life Safety Code Requirements—EnvHS 1.3*

17. Are all classroom doors within 100 feet of the nearest exit?

Yes	No	If no, then please explain
<input type="checkbox"/>	<input type="checkbox"/>	

18. Are all classroom doors within 50 feet of any point in the classroom?

Yes	No	If no, then please explain
<input type="checkbox"/>	<input type="checkbox"/>	

19. Does the classroom have an exit that leads directly to the outside?

Yes	No	If no, then please explain
<input type="checkbox"/>	<input type="checkbox"/>	

20. Does the classroom have at least one outside window for emergency rescue or ventilation?

Yes	No	If no, then please explain
<input type="checkbox"/>	<input type="checkbox"/>	



*Inspections—EnvHS 1.1*

21. Does the grantee conduct safety inspections of all facilities, including all indoor and outdoor learning environments?

Yes	No	If no, then please explain
<input type="checkbox"/>	<input type="checkbox"/>	

22. Review the results of the most current safety inspection for the setting you are observing. Are there any issues that have yet to be addressed?

Yes	No	If yes, then please explain
<input type="checkbox"/>	<input type="checkbox"/>	

*Air Quality and Overall Sanitation—EnvHS 1.1*

23. Is all sewage and liquid waste disposed of so as not to expose children and adults?

Yes	No	If no, then please explain
<input type="checkbox"/>	<input type="checkbox"/>	

24. Are toilets and handwashing facilities clean, adequate in number, in good repair, and easily accessible by children?

Yes	No	If no, then please explain
<input type="checkbox"/>	<input type="checkbox"/>	



*Emergency Alert Systems and Fire Safety—EnvHS 1.1*

25. Is a fire extinguisher available?

Yes	No	If no, then please explain
<input type="checkbox"/>	<input type="checkbox"/>	

26. Is the extinguisher easily accessible?

Yes	No	If no, then please explain
<input type="checkbox"/>	<input type="checkbox"/>	

27. Is there a service date on the fire extinguisher showing it has been updated at least annually?

Yes	No	If no, then please explain
<input type="checkbox"/>	<input type="checkbox"/>	

*Life Safety Code & Occupancy Requirements—EnvHS 1.3*

28. Does the center have an occupancy load of more than 50 persons?

Yes	No	If over capacity, then please describe
<input type="checkbox"/>	<input type="checkbox"/>	

29. Does the center have an occupancy load of more than 100 persons?

Yes	No	If over capacity, then please describe
<input type="checkbox"/>	<input type="checkbox"/>	



30. Does the building have an automatic fire-sprinkler system?

Yes	No	If no, then please explain
<input type="checkbox"/>	<input type="checkbox"/>	

31. Do children or staff occupy the basement level of the building?

Yes	No	If yes, then please explain
<input type="checkbox"/>	<input type="checkbox"/>	

32. Are all doors used for entry and exit between 32 and 48 inches wide?

Yes	No	If no, then please explain
<input type="checkbox"/>	<input type="checkbox"/>	

33. Are all corridors that lead to an exit a minimum of 36 inches wide?

Yes	No	If no, then please explain
<input type="checkbox"/>	<input type="checkbox"/>	

34. Is every exit door equipped with panic hardware?

Yes	No	If no, then please explain
<input type="checkbox"/>	<input type="checkbox"/>	





35. Do any exit doors have more than one locking or latching device?

Yes	No	If no, then please explain
<input type="checkbox"/>	<input type="checkbox"/>	

36. Does each floor of the center have a minimum of two exits that lead to the outside?

Yes	No	If no, then please explain
<input type="checkbox"/>	<input type="checkbox"/>	

*Life Safety Code & Occupancy Requirements—EnvHS 1.3 (continued)*

37. Does the center have any dead-end corridors that exceed 20 feet in length?

Yes	No	If <b>yes</b> , then please explain
<input type="checkbox"/>	<input type="checkbox"/>	

38. Does the center have any dead-end corridors that exceed 50 feet in length?

Yes	No	If <b>yes</b> , then please explain
<input type="checkbox"/>	<input type="checkbox"/>	

39. Are all stairways a minimum of 44 inches wide? *Applies only to buildings with more than 50 occupants*

Yes	No	N/A	If no, then please explain
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	



40. Are all stairways a minimum of 36 inches wide? *Applies only to buildings with fewer than 50 occupants*

Yes	No	N/A	If no, then please explain
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

41. Is there a fire-alarm system that includes all of the following?

	Included	Not Include	If any not included, then please explain
Manual means of initiation (e.g., pull boxes)	<input type="checkbox"/>	<input type="checkbox"/>	
Connection to the smoke detector system	<input type="checkbox"/>	<input type="checkbox"/>	
Use of both audio and visual signals when activated	<input type="checkbox"/>	<input type="checkbox"/>	
Automatic alert to fire department	<input type="checkbox"/>	<input type="checkbox"/>	

42. Was the fire-alarm system tested within the last 12 months?

Yes	No	N/A	If no, then please explain
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	



## Environmental Health & Safety

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### Environmental Health & Safety Key Indicator #2—Healthy Learning Environments

	<b><i>Compliance Measures</i></b>	<b><i>Federal Regulation</i></b>
2.1	The program provides safe, clean, and appropriate indoor and outdoor learning environments.	1304.53(a)(5) 1304.53(a)(7) 1304.53(a)(8) 1304.53(a)(10)(viii) 1304.53(a)(10)(x) 1304.53(a)(10)(xvii) 1304.53(b)(1)(iii) 1304.53(b)(3) 1306.35(b)(2)(v) 1306.35(b)(2)(vi)



Targeted Questions

Classroom Observations

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*Safety and Cleanliness of Indoor and Outdoor Space—EnvHS 2.1*

43. Are the following areas clean and free of dirt and debris?

Area	Yes	No	If any no, then please explain
Carpets	<input type="checkbox"/>	<input type="checkbox"/>	
Floors	<input type="checkbox"/>	<input type="checkbox"/>	
Furniture	<input type="checkbox"/>	<input type="checkbox"/>	
Toys	<input type="checkbox"/>	<input type="checkbox"/>	
Materials	<input type="checkbox"/>	<input type="checkbox"/>	
Counters and shelves	<input type="checkbox"/>	<input type="checkbox"/>	

44. Is there evidence of pests?

Yes	No	If <b>yes</b> , then please explain
<input type="checkbox"/>	<input type="checkbox"/>	

45. Were provisions made to ensure the safety, comfort, and participation of children with disabilities?

Yes	No	If no, then please explain
<input type="checkbox"/>	<input type="checkbox"/>	

46. Does the classroom provide at least 35 square feet of usable indoor space per child (excluding bathrooms, halls, kitchens, staff rooms, and storage space)?

Yes	No	If no, then please explain
<input type="checkbox"/>	<input type="checkbox"/>	



47. Are there any tip-over or tripping hazards in the room?

Yes	No	If <b>yes</b> , then please explain
<input type="checkbox"/>	<input type="checkbox"/>	

48. Are toys, materials, and furniture age-appropriate?

Yes	No	If <b>no</b> , then please explain
<input type="checkbox"/>	<input type="checkbox"/>	

49. Are furnishings in the room sturdy and in good repair?

Yes	No	If <b>no</b> , then please explain
<input type="checkbox"/>	<input type="checkbox"/>	

50. Does the program ensure that sleeping arrangements for infants (e.g., cribs, playpens, bassinets) are free of soft bedding materials (e.g., soft mattresses, pillows, stuffed animals, fluffy blankets, comforters)? *Applies only to programs serving infants and toddlers*

Yes	No	N/A	If <b>no</b> , then please explain
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	



*Safety and Cleanliness of Indoor and Outdoor Space—EnvHS 2.1*

51. Does the design of the playground and equipment promote the safety of children, including:

	Yes	No	If any not included, then please explain
Appropriate height and accessibility?	<input type="checkbox"/>	<input type="checkbox"/>	
No openings that could entrap a child's head or	<input type="checkbox"/>	<input type="checkbox"/>	
Equipment on shock- absorbing	<input type="checkbox"/>	<input type="checkbox"/>	
Absence of sharp edges, rust, choking and/or strangulation hazards, garbage, and hazardous material (e.g., glass,	<input type="checkbox"/>	<input type="checkbox"/>	
Equipment is stable and/or secured to the	<input type="checkbox"/>	<input type="checkbox"/>	

52. Are toxic substances stored in a safe and secure manner in a locked room or cabinet fitted with a child-resistant lock and inaccessible to children?

Yes	No	If no, then please explain
<input type="checkbox"/>	<input type="checkbox"/>	

## Appendix B — Program Performance Standards Relevant to the Head Start Facilities Assessment

### 45 CFR Chapter XIII

SUBCHAPTER A—OFFICE OF HUMAN DEVELOPMENT SERVICES, GENERAL PROVISIONS [RESERVED] SUBCHAPTER B—THE ADMINISTRATION FOR CHILDREN, YOUTH AND FAMILIES, HEAD START PROGRAM

PART 1300 [RESERVED]

#### § 1304.53 Facilities, materials, and equipment

(a) Head Start physical environment and facilities.

(1) Grantee and delegate agencies must provide a physical environment and facilities conducive to learning and reflective of the different stages of development of each child.

(2) Grantee and delegate agencies must provide appropriate space for the conduct of all program activities (see 45 CFR 1308.4 for specific access requirements for children with disabilities).

(4) The indoor and outdoor space in Early Head Start or Head Start centers in use by mobile infants and toddlers must be separated from general walkways and from areas in use by preschoolers.

(5) Centers must have at least 35 square feet of usable indoor space per child available for the care and use of children (i.e., exclusive of bathrooms, halls, kitchen, staff rooms, and storage places) and at least 75 square feet of usable outdoor play space per child.

(7) Grantee and delegate agencies must provide for the maintenance, repair, safety, and security of all Early Head Start and Head Start facilities, materials and equipment.

(8) Grantee and delegate agencies must provide a center-based environment free of toxins, such as cigarette smoke, lead, pesticides, herbicides, and other air pollutants as well as soil and water contaminants. Agencies must ensure that no child is present during the spraying of pesticides or herbicides. Children must not return to the affected area until it is safe to do so.

(9) Outdoor play areas at center-based programs must be arranged so as to prevent any child from leaving the premises and getting into unsafe and unsupervised areas. Enroute to play areas, children must not be exposed to vehicular traffic without supervision.

(10) Grantee and delegate agencies must conduct a safety inspection, at least annually, to ensure that each facility's space, light, ventilation, heat, and other physical arrangements are consistent with the health, safety and developmental needs of children. At a minimum, agencies must ensure that:

(i) In climates where such systems are necessary, there is a safe and effective heating and cooling system that is insulated to protect children and staff from potential burns;

- (ii) No highly flammable furnishings, decorations, or materials that emit highly toxic fumes when burned are used;
  - (iii) Flammable and other dangerous materials and potential poisons are stored in locked cabinets or storage facilities separate from stored medications and food and are accessible only to authorized persons. All medications, including those required for staff and volunteers, are labeled, stored under lock and key, refrigerated if necessary, and kept out of the reach of children;
  - (iv) Rooms are well lit and provide emergency lighting in the case of power failure;
  - (v) Approved, working fire extinguishers are readily available;
  - (vi) An appropriate number of smoke detectors are installed and tested regularly;
  - (vii) Exits are clearly visible and evacuation routes are clearly marked and posted so that the path to safety outside is unmistakable (see 45 CFR 1304.22 for additional emergency procedures);
  - (viii) Indoor and outdoor premises are cleaned daily and kept free of undesirable and hazardous materials and conditions;
  - (ix) Paint coatings on both interior and exterior premises used for the care of children do not contain hazardous quantities of lead;
  - (x) The selection, layout, and maintenance of playground equipment and surfaces minimize the possibility of injury to children;
  - (xi) Electrical outlets accessible to children prevent shock through the use of child-resistant covers, the installation of child-protection outlets, or the use of safety plugs;
  - (xii) Windows and glass doors are constructed, adapted, or adjusted to prevent injury to children;
  - (xiii) Only sources of water approved by the local or State health authority are used;
  - (xiv) Toilets and handwashing facilities are adequate, clean, in good repair, and easily reached by children. Toileting and diapering areas must be separated from areas used for cooking, eating, or children's activities;
  - (xv) Toilet training equipment is provided for children being toilet trained;
  - (xvi) All sewage and liquid waste is disposed of through a locally approved sewer system, and garbage and trash are stored in a safe and sanitary manner; and
  - (xvii) Adequate provisions are made for children with disabilities to ensure their safety, comfort, and participation.
- (b) Head Start equipment, toys, materials, and furniture.



## **Appendix B**

(1) Grantee and delegate agencies must provide and arrange sufficient equipment, toys, materials, and furniture to meet the needs and facilitate the participation of children and adults. Equipment, toys, materials, and furniture owned or operated by the grantee or delegate agency must be:

(iii) Age-appropriate, safe, and supportive of the abilities and developmental level of each child served, with adaptations, if necessary, for children with disabilities;

(vi) Safe, durable, and kept in good condition; and

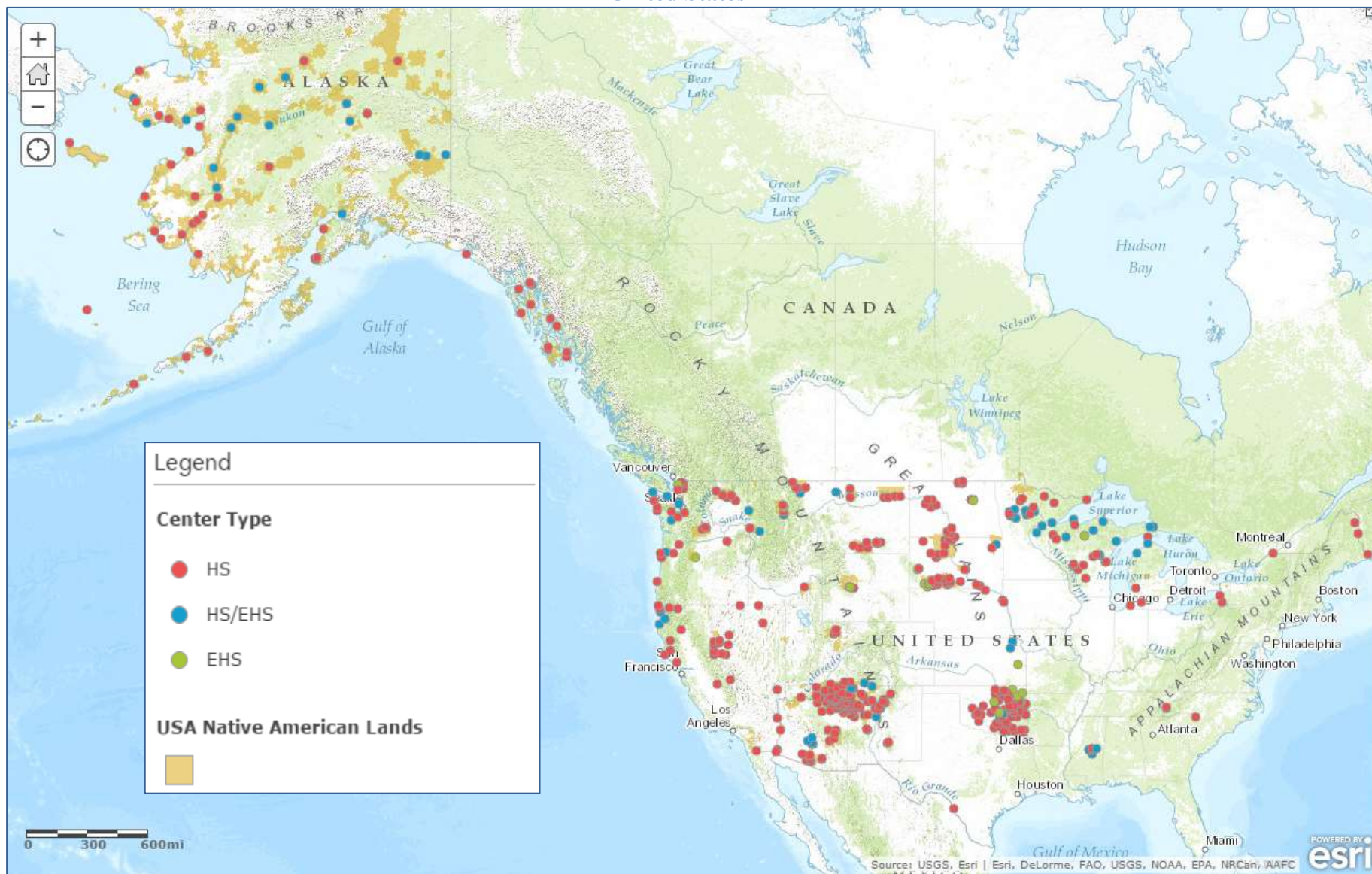
(vii) Stored in a safe and orderly fashion when not in use.

(2) Infant and toddler toys must be made of non-toxic materials and must be sanitized regularly.

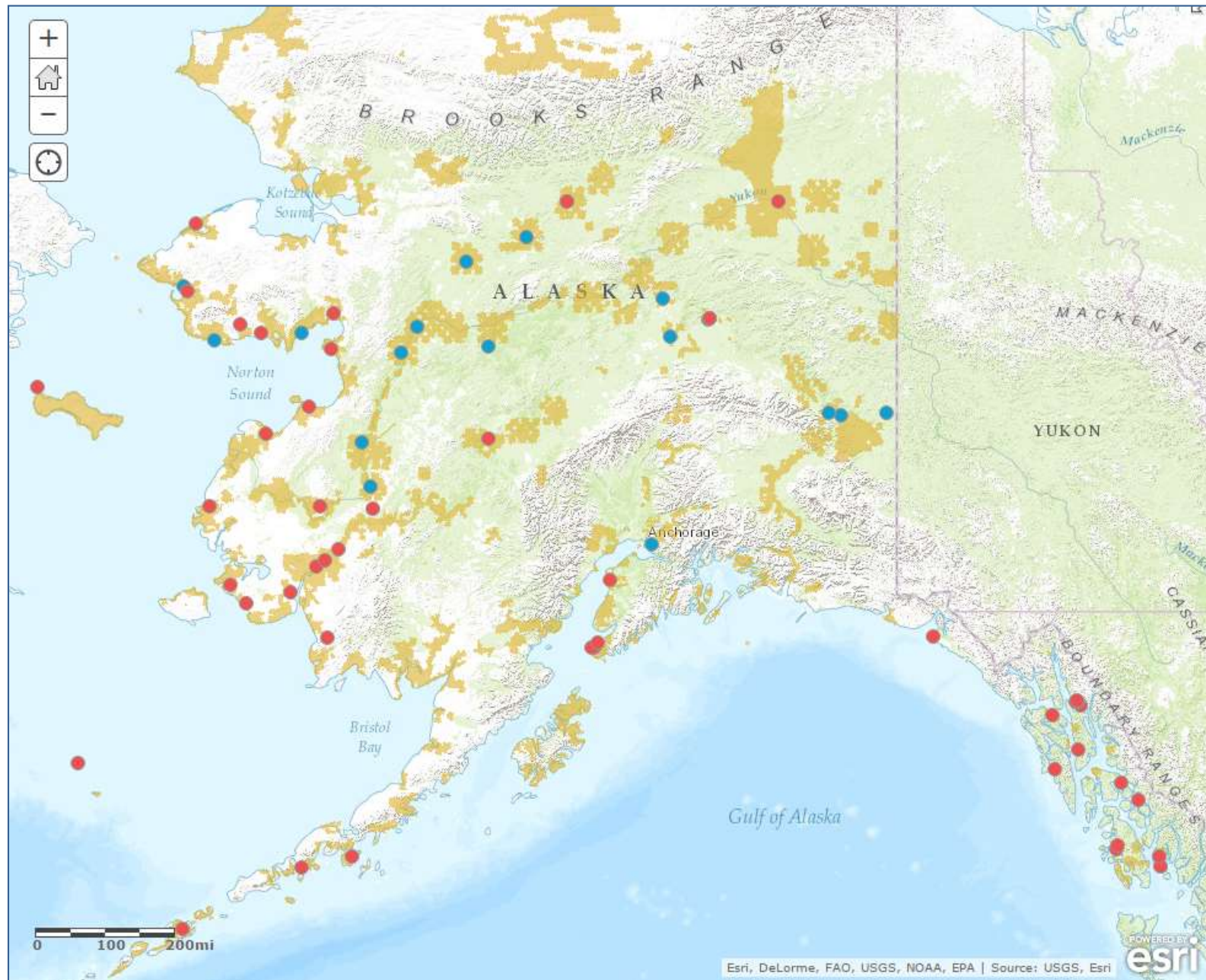
(3) To reduce the risk of Sudden Infant Death Syndrome (SIDS), all sleeping arrangements for infants must use firm mattresses and avoid soft bedding materials such as comforters, pillows, fluffy blankets or stuffed toys.

Appendix C – Maps of AI/AN Centers

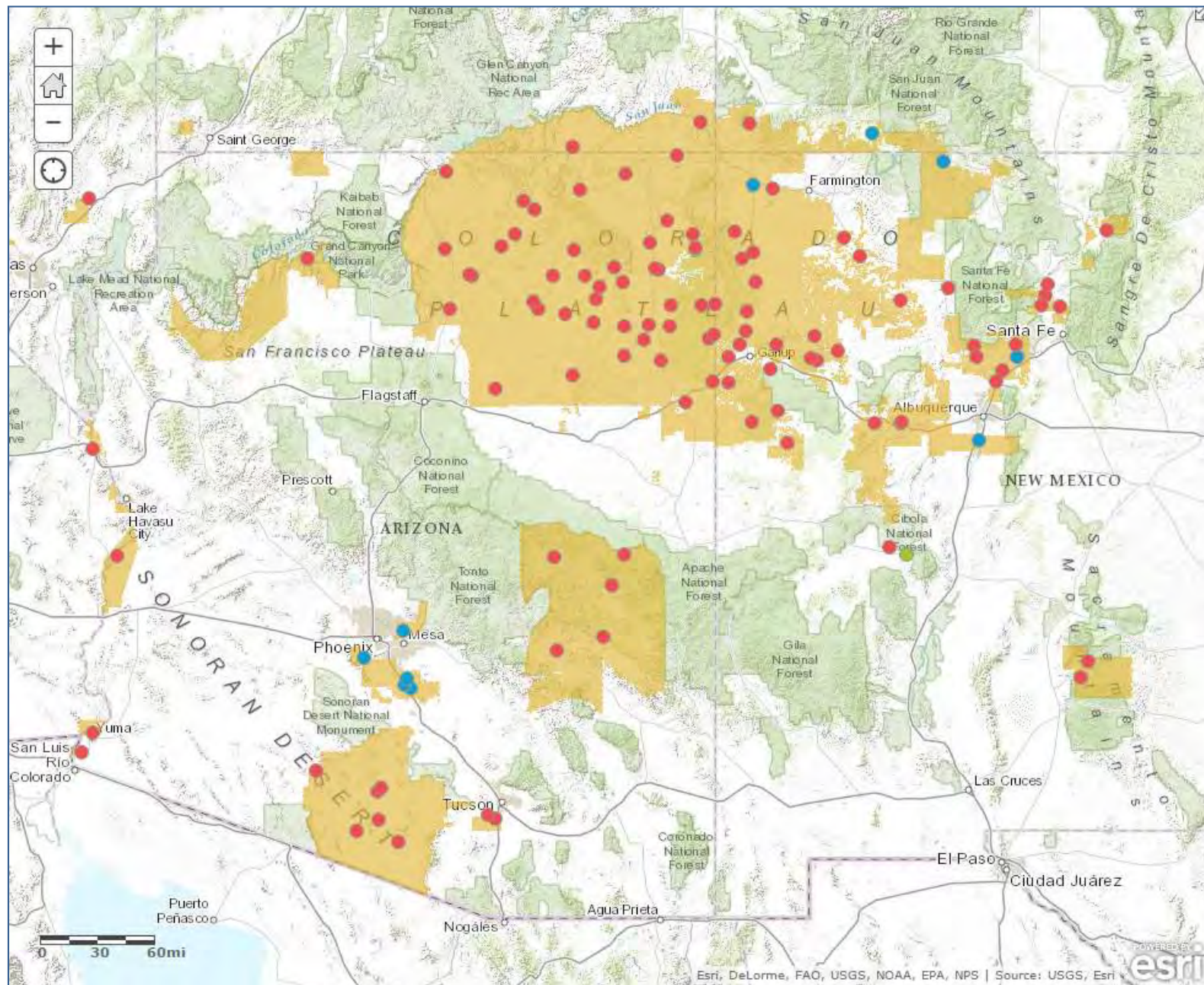
United States



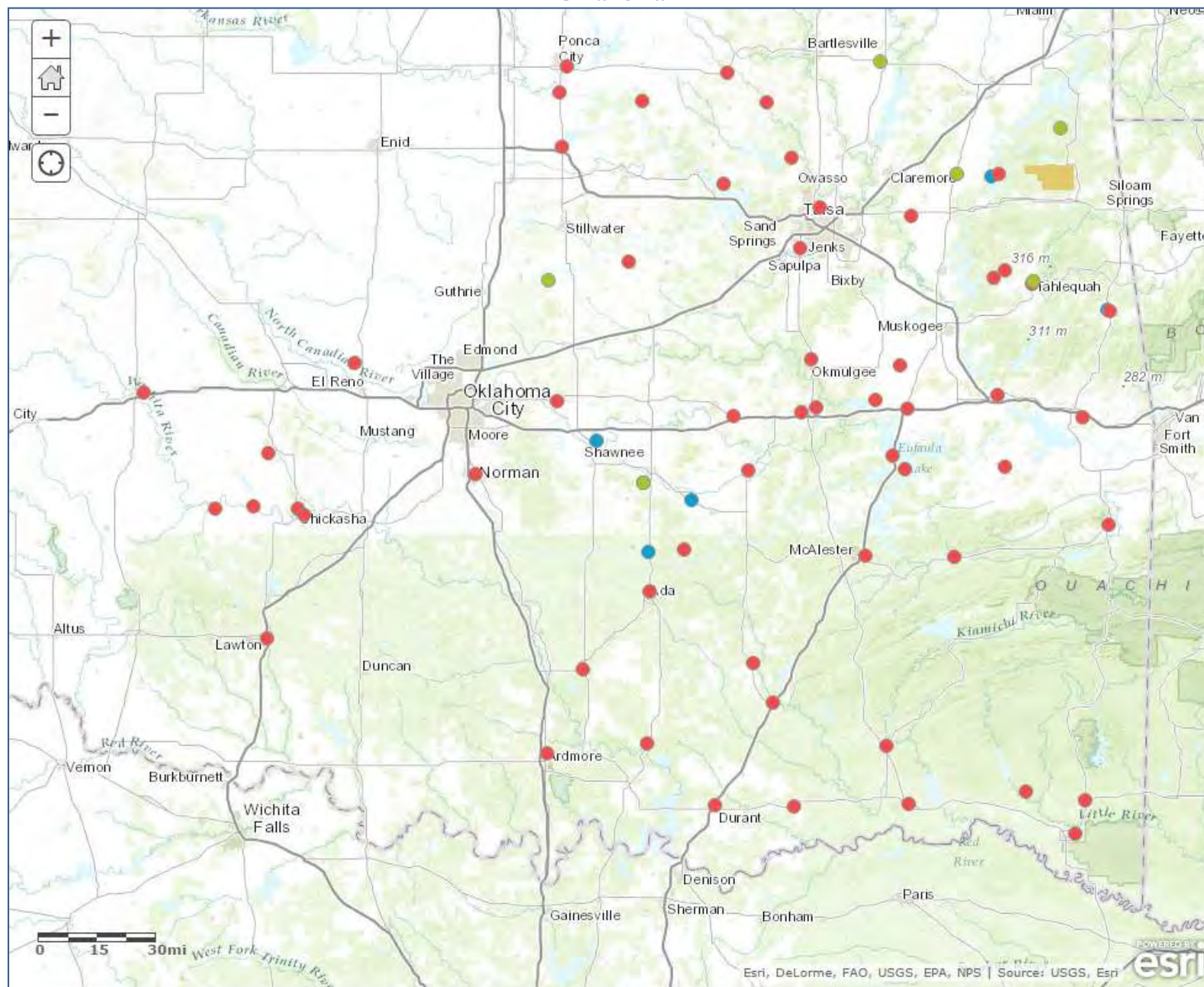
Alaska



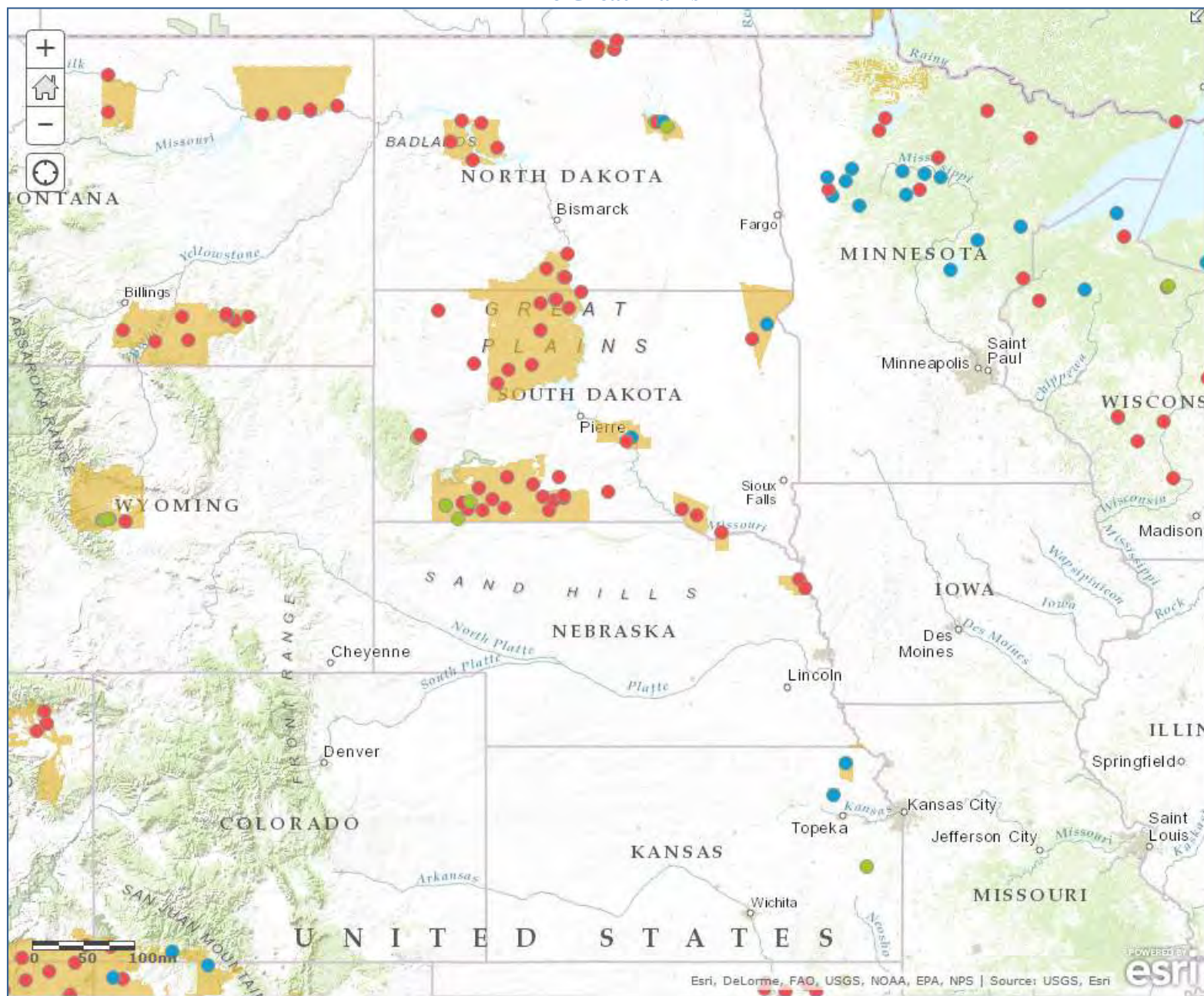
Arizona



### Oklahoma



### The Great Plains



## Appendix D– Region XI AI/AN Estimated Cost Data

## Estimated Costs by State to Renovate, Maintain, or Repair Centers

State	Estimated Costs in Millions	Centers
AK	\$ 9,907,300	65
AZ	\$ 7,365,700	65
CA	\$ 1,462,300	18
CO	\$ 89,700	2
ID	\$ 977,800	5
KS	\$ 29,700	2
ME	\$ 127,000	3
MI	\$ 1,506,400	12
MN	\$ 2,657,800	21
MS	\$ 445,300	7
MT	\$ 8,084,800	36
NC	\$ 8,500	2
ND	\$ 1,717,200	20
NE	\$ 885,300	3
NM	\$ 10,768,500	46
NV	\$ 723,000	14
NY	\$ 252,000	3
OK	\$ 9,455,000	71
OR	\$ 1,773,800	9
SC	\$ 56,300	1
SD	\$ 5,804,500	43
TX	\$ 40,000	1
UT	\$ 407,800	6
WA	\$ 3,551,400	27
WI	\$ 1,470,700	18
WY	\$ 75,100	6
<b>Totals</b>	<b>\$69,642,900</b>	<b>506</b>

Note: These estimates do not take into account centers that may need to be rebuilt instead of renovated. Rebuilding centers would result in higher costs.