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Report to the Chairman, Subcommittee on Oversight of Government Management, Restructuring and the District of Columbia, U.S. Senate

April 2000

EARLY EDUCATION AND CARE

Overlap Indicates Need to Assess Crosscutting Programs

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GAO/HEHS-00-78

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Abbreviations

BIA	Bureau of Indian Affairs
CCDF	Child Care Development Fund
Education	Department of Education
GPRA	Government Performance and Results Act
HHS	Department of Health and Human Services
Interior	Department of the Interior
SSBG	Social Services Block Grant
TANF	Temporary Assistance to Needy Families

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United States General Accounting Office
Washington, D.C. 20548

Health, Education, and
Human Services Division

B-283427

April 28, 2000

The Honorable George V. Voinovich
Chairman, Subcommittee on Oversight of
Government Management, Restructuring and
the District of Columbia
Committee on Governmental Affairs
United States Senate

Dear Mr. Chairman:

Over the last two decades, a nationwide emphasis on better preparing children for school, understanding how children learn, and improving the educational and social outcomes for all children has focused attention on early childhood education and care. In response to these issues, a number of federal programs have been created that focus either directly or indirectly on early childhood education and care. In 1999, we testified that the large number of programs creates the potential for inefficient service delivery and difficulty accessing services.[1] Because of your interest in the early learning experiences of children, you asked us to update our 1994 report on multiple early childhood programs.[2] Specifically, you asked us to enumerate the federally funded programs that provide education, child care, or services supporting education or child care for children under age 5, by agency (excluding Department of Defense programs and tax credits) and, for programs that provide education and care as a program purpose, to answer the following questions:

- In fiscal year 1999, what portion of the budget authority for these programs was used for education and care for children under age 5 and how many children in this age group participated in these programs?
- What types of children are these programs targeting and what services are provided to children participating in the programs?
- What information would be needed to assess whether the current array of federal programs is duplicative and what issues should be considered

[1] *Results Act: Using Agency Performance Plans to Oversee Early Childhood Programs* (GAO/T-HEHS-99-93, Mar. 25, 1999).

[2] *Early Childhood Programs: Multiple Programs and Overlapping Target Groups* (GAO/HEHS-95-4FS, Oct. 31, 1994).

in developing options to improve the overall efficiency of federal early childhood education and care programs?

To address your request, we electronically searched the June 1999 Catalog of Federal Domestic Assistance using key words associated with early childhood education and care.[3] We analyzed the Catalog's descriptions of these programs to determine whether they (1) directly fund or support education and/or child care, (2) provide these services to children under age 5, and (3) deliver services in an educational or child care setting. We classified those programs that met all three criteria as early childhood education and care programs.

On the basis of the Catalog's descriptions, we also identified a subset of programs that provided education and care to children under age 5 and whose purpose included education and care. We included Temporary Assistance to Needy Families (TANF) in this subset, although education and care is not a TANF program purpose, because TANF is a significant funding source for child care activities. We contacted agency officials for clarification in a few cases where we could not determine from the Catalog's descriptions whether providing education or child care was a program purpose or whether the program provided services to children under age 5. Using a short questionnaire sent to agency officials, we obtained the following additional information on this subset of programs: fiscal year 1999 budget authority, target population and number of children receiving services, services provided, and the proportion of program participants served who were under age 5.[4] We did our work in accordance with generally accepted government auditing standards between July 1999 and April 2000.

[3]We used the Catalog's federal program number as our unit of analysis when enumerating programs. In some cases the Catalog assigns a single number to a set of related programs. For example, Head Start has a single program number that includes related programs such as Migrant, Native American, and Early Head Start. In other cases, related programs have separate program numbers. For example, Migrant and Indian Even Start programs each have program numbers distinct from the basic Even Start program.

[4]To provide information about the proportion of children under age 5 served, program officials used various data sources, such as discussions with grantees and state officials, monitoring visit reports, performance reports, and anecdotal information.

Results in Brief

Sixty-nine federal programs provided or supported education and care for children under age 5 in fiscal year 1999. Nine different federal agencies and departments administered these programs, though the Departments of Education (Education) and Health and Human Services (HHS) operated most of them. Among the 69 programs, education and care was a program purpose (for example, the Child Care Development Fund (CCDF)), an allowable activity (for example, the Native American Employment and Training Program), or was facilitated in some way by the program (for example, the National School Lunch Program). Twenty-nine of these programs, or about 40 percent, provided education and care as a program purpose, but the extent to which they focused on education and care and on children under age 5 varied. For example, Head Start focused almost exclusively on providing education and care for children under age 5, while this was a more minor focus for the Social Services Block Grant (SSBG), where child care was one of many allowable activities. Education administered 22 of the 29 programs, HHS administered 6, and the Department of the Interior (Interior) administered 1.

Spending on early childhood education and care varied widely among the 29 programs. Of the 21 programs that provided data, about half spent a significant proportion of their budget authority, 40 percent or more, on education and care for children under age 5. The other programs that provided data spent 13 percent or less of their budgets for this purpose. The remaining eight programs could not provide an estimate. Programs spending lesser proportions of their budgets on education and care for children under age 5 spent program funds on other activities or other age groups. The 29 programs spent at least $9 billion to provide education and care to children under age 5 in fiscal year 1999. Three HHS programs—Head Start, CCDF, and TANF—together accounted for approximately $8 billion of the $9 billion total.

The 29 programs targeted three major groups of children—the economically disadvantaged, those with special needs, and members of certain native populations. The three largest programs, in terms of spending on children under age 5, targeted the economically disadvantaged. Some of the smaller programs focused on narrower groups, such as children with disabilities. The programs were generally allowed to provide a broad range of services: health, dental, mental health, social, parental, and nutritional services; speech and hearing assessments; and disability screening. Only four programs actually provided most of these services to a high proportion of the participants under age 5. For the most

part, the remaining programs provided services to a smaller proportion of participants under age 5.

When multiple agencies manage multiple early childhood education and care programs, mission fragmentation and program overlap occur. This in turn creates the potential for duplication and service gaps. Though sometimes necessary to meet federal priorities, mission fragmentation and program overlap can create an environment in which programs do not serve participants as efficiently and effectively as possible. To address inefficiencies that may arise under these circumstances, policymakers could choose to coordinate, integrate, or consolidate programs. In order to identify the best method for addressing inefficiencies among fragmented and overlapping programs, policymakers need to know, among other things, whether programs are (1) fulfilling a unique role, (2) unnecessarily redundant, or (3) being administered in the most effective way to meet program as well as federal strategic goals. Information required by the Government Performance and Results Act (GPRA) should provide answers to some of these questions and ultimately help to guide consideration of different options for addressing potential problems among the current configuration of early childhood education and care programs for young children.

Background

In 1994, GAO reported that the federal government administered more than 90 early childhood programs, of which 34 had education or child care as a primary mission.[5] These 34 programs delivered a variety of social, health, and educational services and targeted many of them to economically disadvantaged young children. Historically, child care programs and early childhood education programs have existed separately with separate goals. Child care programs, generally administered by HHS, subsidized the cost of child care for low-income parents who were working or engaged in work-related activities. In contrast, early childhood education programs, generally administered by Education, focused on preparing young children for school.[6] More recently, the distinction between these two types of programs has blurred as policymakers seek to make educationally enriching care available to young children.

[5]GAO-HEHS-95-4FS.

[6]*Education and Care: Early Childhood Programs and Services for Low-Income Families* (GAO/HEHS-00-11, Nov. 15, 1999).

Our past work has documented both mission fragmentation and program overlap among federal early childhood education and care programs.[7] Both occur when more than one federal agency (or more than one bureau within an agency) is involved in the same broad area of need. Fragmentation can create inefficient service delivery and administrative complexity because various agencies are administering similar programs serving similar groups of children. In addition, mission fragmentation makes coordination among agencies administering these programs necessary.[8] Program overlap creates the potential for duplication—which occurs when programs have the same goals, the same activities or strategies to achieve them, or the same targeted recipients. However, a certain amount of redundancy among programs may be necessary to improve service delivery, or it may indicate that a certain program is related to a number of areas.

Many Programs Provide or Support Education and Care, but Less Than Half Have This as a Program Purpose

In fiscal year 1999, nine federal agencies or departments administered 69 programs that provided or to some degree supported education and care for children under age 5. Of these, 29, or about 40 percent, provided education and care as a program purpose. However, the extent to which these programs focused on education and care and on children under age 5 varied.

Sixty-Nine Federal Programs Provide or Support Education and Care for Children Under Age 5

Nationally, 69 federal programs provided or supported education and care for children under age 5 in fiscal year 1999 (see fig. 1 and app. I). Among these programs, education and care was a program purpose, or an allowable activity, or the program in some way facilitated the education and care of young children. For example, the purpose of CCDF is to provide child care for children age 0 to 13, and the purpose of the Even Start programs is to provide education and family literacy services to children age 0 to 8 and their parents in low-income families. For some of the programs, providing education and care was an allowable activity. The

[7]See, for example, *Managing for Results: Using the Results Act to Address Mission Fragmentation and Program Overlap* (GAO/AIMD-97-146, Aug. 29, 1997) and GAO/HEHS-95-4FS.

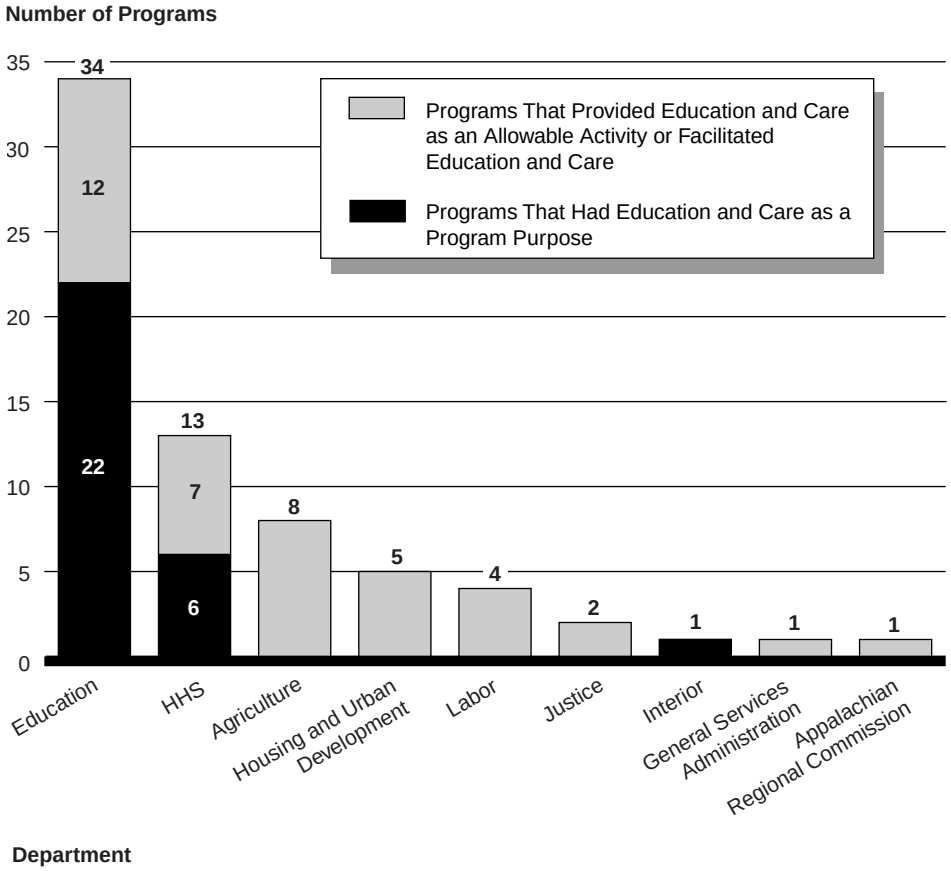
[8]*Observations on the Department of Education's Fiscal Year 2000 Performance Plan* (GAO/HEHS-99-136R, July 31, 1999) and GAO/T-HEHS-99-93.

Native American Employment and Training Program and TANF—a program designed to help welfare recipients move into the workforce—are allowed to provide child care for working parents. Two Department of Agriculture programs, the National School Lunch Program and the Child and Adult Care Food Program, facilitate education and child care by subsidizing the cost of serving meals to children in child care centers and schools. Education administered 34 and HHS administered 13 of the 69 programs.

Twenty-Nine Programs Provide Education and Care as a Program Purpose

Within the group of 69 programs, 29 (about 40 percent) provided education and care as a program purpose and could provide services to children under age 5 (see fig. 2). TANF also fell into this group because it was a significant source of funding for child care. However, the extent to which these 29 programs focused on education and care varied. For example, Head Start and Special Education–Grants for Infants and Families with Disabilities focused exclusively on providing education and care for young children. In contrast, SSBG and the bilingual education programs focused in a more minor way on these activities or this age group. In the SSBG program, child care was one of many social services provided; and for the bilingual education programs, preschool was one of several grade levels that could be served.

Figure 1: Number of Federal Programs That Provide or Support Education and Care for Children Under Age 5, by Department or Agency



Programs also differed in how services were delivered and how funds flowed to the programs. For example, under Education's Indian Education–Grants to Local Educational Agencies program, grantees provided educational services directly, whereas CCDF provided vouchers to parents to purchase child care services. HHS provided funds directly to local Head Start grantees, whereas Education's Title I program provided grants through state education departments to eligible school districts.[9] The districts then decided which preschool programs would be funded from their Title I allocation.

Three federal departments administered the 29 programs. In fiscal year 1999, five offices in Education administered 22 programs that, for example, provided educational services to young children and their parents, disabled children, economically disadvantaged children, and children with limited English proficiency. Two HHS offices administered six programs: Head Start, CCDF, TANF, SSBG, and two programs that provided grants for residential treatment for substance-abusing women and their infants. The Department of Interior administered one program that provided education and care and served children under age 5—the Indian Child and Family Education program.

[9] *Early Childhood Programs: Characteristics Affect the Availability of School Readiness Information* (GAO/HEHS-00-38, Feb. 28, 2000).

Figure 2: Federal Programs With a Program Purpose of Providing Education and Care That Serve Children Under Age 5, by Federal Department and Office

Department of Education

Office of Elementary and Secondary Education

- Title I Grants to Local Educational Agencies
- Education for Homeless Children and Youth
- Even Start–State Educational Agencies
- Reading Excellence
- Twenty-First Century Community Learning Centers
- Alaska Native Home-Based Education for Preschool Children
- Indian Education–Grants to Local Educational Agencies
- Even Start–Indian Tribes and Tribal Organizations
- Demonstration Grants for Indian Children
- Even Start–Migrant Education
- Native Hawaiian Family-Based Education Centers
- Migrant Education–Basic State Grant Program

Office of Bilingual Education and Minority Languages Affairs

- Bilingual Education
  - Program Development and Implementation Grants
  - Program Enhancement Grants
  - Comprehensive School Grants
  - Systemwide Improvement Grants
- Immigrant Education

Office of Special Education and Rehabilitative Services

- Special Education
  - Preschool Grants (IDEA)
  - Grants for Infants and Families With Disabilities
  - Grants to States

Office of Educational Research and Improvement

- Ready-To-Learn Television

Office of Postsecondary Education

- Child Care Access Means Parents in School

Department of Health and Human Services

Administration for Children and Families

- CCDF
- Head Start
- TANF
- SSBG

Substance Abuse and Mental Health Services Administration

- Grants for Residential Treatment Programs for Pregnant and Postpartum Women
- Demonstration Grants for Residential Treatment for Women and Their Children

Department of Interior

Bureau of Indian Affairs

- Indian Child and Family Education (FACE)

Spending on Education and Care for Children Under Age 5 Varied Widely

About half of the programs that provided data on the proportion of budget authority they spent on education and care for children under age 5 spent a significant amount, more than 40 percent, for this purpose. The other programs that provided data spent 13 percent or less on education and care for children under age 5. Agencies estimated that their programs spent at least a total of $9 billion to provide education and care to children under age 5 in fiscal year 1999 (see table 1).[10] HHS administered the three programs that accounted for most of this amount: Head Start ($4.4 billion), CCDF ($2.2 billion), and TANF ($1.3 billion) together spent approximately $8 billion of the total $9 billion.

Agencies were able to provide the budget authority data we requested for 21 of the 29 programs. About half of the programs that provided data estimated that their programs spent 40 percent or more of their fiscal year 1999 budget authority on education and care for children under age 5 (see table 1). Agency estimates showed, of the 21 programs

- 5 spent at least 90 percent,
- 6 spent between 40 and 70 percent, and
- 10 spent 13 percent or less.

Eight programs could not provide us with the proportion of funding used for children under age 5, although several of these programs are recognized as important funding sources for education and care for young children. These programs include Title I, Even Start–State Educational Agencies, and Twenty-First Century Community Learning Centers.

Programs spending lesser proportions of their budgets on education and care for children under age 5 devoted resources to other program activities or focused resources on another age group. For example, the SSBG program funded child care and other program activities, such as care for disabled adults. The bilingual education programs estimated spending between 1 and 10 percent of their 1999 budget authority on education and care for children under age 5. Because these programs funded children in preschool through grade 12, children under age 5 represented only a small portion of their budgets.

[10]Eight programs were unable to provide an estimate for the amount spent on program participants under age 5.

Agencies were able to report estimates of the number of participants under age 5 who were served by 24 of the 29 programs in fiscal year 1999. The numbers ranged from 102 to over 2 million children. SSBG, Twenty-First Century Community Learning Centers, and CCDF each reported serving over 1 million children in this age group. In contrast, six programs reported serving 500 or fewer children. (See table 2.) However, the number of children participating in a program is not the same as the number of children eligible for the program. HHS officials reported that CCDF provided child care subsidies to only 15 percent of eligible families in 1998. HHS officials also reported that Head Start served approximately 38 percent of its eligible children nationwide.[11]

Because program officials used various methods to estimate the number of participants under age 5 in their programs and, as we discuss later, the amount and intensity of services provided vary, tables 1 and 2 cannot be combined to obtain meaningful per-child costs.

Table 1: Federal Spending on Education and Care of Children Under Age 5, Fiscal Year 1999

		Amount for children under age 5	
Program	**FY 1999 budget authority**	**Estimated amount**	**Percentage of total budget authority**
Head Start	$4,658,151,448	$4,378,662,000	94
CCDF	3,166,000,000	2,216,200,000	70
TANF	17,052,515,000	1,278,938,625	7.5
Special Education–Grants for Infants and Families With Disabilities	370,000,000	370,000,000	100
Special Education–Grants to States	4,310,700,000	258,642,000	6
SSBG	1,900,000,000	209,000,000	11
Special Education–Preschool Grants (IDEA)	373,985,000	205,692,000	55
Ready-To-Learn Television	11,000,000	11,000,000	100
Indian Child and Family Education (FACE)	5,471,000	5,197,450	95
Child Care Access Means Parents in School	5,000,000	4,750,000	95
Alaska Native Home-Based Education for Preschool Children	10,000,000	4,343,359	43.4

Continued

[11]See GAO/HEHS-00-11.

Program	FY 1999 budget authority	Amount for children under age 5	
		Estimated amount	Percentage of total budget authority
Native Hawaiian Family-Based Education Centers	7,200,000	4,000,000	55-60
Demonstration Grants for Residential Treatment for Women and Their Children	7,880,208	3,152,083	40
Grants for Residential Treatment Programs for Pregnant and Postpartum Women	2,810,973	1,124,389	40
Bilingual Education–Program Development and Implementation Grants	10,800,000	1,080,000	10
Bilingual Education–Program Enhancement Grants	10,000,000	1,000,000	10
Bilingual Education–Comprehensive School Grants	90,900,000	909,000	1
Bilingual Education– Systemwide Improvement Grants	42,100,000	421,000	1
Indian Education–Grants to Local Educational Agencies	62,000,000	248,000	0.4
Demonstration Grants for Indian Children	1,265,000	75,900	6
Migrant Education–Basic State Grant Program	354,689	46,110	13
Title I Grants to Local Educational Agencies	7,700,000,000	[a]	[a]
Immigrant Education	150,000,000	[a]	[a]
Education for Homeless Children and Youth	28,800,000	[a]	[a]
Even Start–State Educational Agencies	125,250,000	[a]	[a]
Even Start–Migrant Education	4,050,000	[a]	[a]
Twenty-First Century Community Learning Centers	200,000,000	[a]	[a]
Reading Excellence	241,100,000	[b]	[b]
Even-Start–Indian Tribes and Tribal Organizations	2,025,000	[a]	[a]
Total	**$40,549,358,318**	**$8,954,481,916**	

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[a]Agency officials were unable to estimate the amount spent on children under age 5 on our data collection instrument.

[b]This is a new program. Monies were awarded to the states in August 1999 for elementary school children in grades K-3. States are now in the process of awarding the first subgrants to schools.

Table 2: Estimated Number of Participants Under Age 5 in Fiscal Year 1999, by Program

Program	Agency	Estimated number of participants under age 5[a]
SSBG	HHS	2,320,067[b]
Twenty-First Century Community Learning Centers	Education	1,760,000

Continued

Program	Agency	Estimated number of participants under age 5[a]
CCDF	HHS	1,260,000
Head Start	HHS	780,200
Special Education–Grants to States	Education	574,713
TANF	HHS	350,000[c]
Title I Grants to Local Educational Agencies	Education	300,000
Special Education–Preschool Grants (IDEA)	Education	316,000
Special Education–Grants for Infants and Families With Disabilities	Education	186,819
Migrant Education–Basic State Grant Program	Education	69,251
Even-Start–State Educational Agencies	Education	25,500
Native Hawaiian Family-Based Education Centers	Education	2,100
Indian Education–Grants to Local Educational Agencies	Education	2,000
Indian Child and Family Education (FACE)	Interior	1,800
Bilingual Education–Program Development and Implementation Grants	Education	1,000
Bilingual Education–Program Enhancement Grants	Education	1,000
Bilingual Education– Systemwide Improvement Grants	Education	1,000
Even Start–Migrant Education	Education	940
Bilingual Education–Comprehensive School Grants	Education	500
Even Start–Indian Tribes and Tribal Organizations	Education	240
Demonstration Grants for Residential Treatment for Women and Their Children	HHS	235
Demonstration Grants for Indian Children	Education	150
Alaska Native Home-Based Education for Preschool Children	Education	120
Grants for Residential Treatment Programs for Pregnant and Postpartum Women	HHS	102
Child Care Access Means Parents in School	Education	[d]
Education for Homeless Children and Youth	Education	[d]
Immigrant Education	Education	[d]
Reading Excellence	Education	[d]
Ready-To-Learn Television	Education	[e]

Continued from Previous Page

[a]We did not compute a total because children may have participated in more than one of the programs listed. For example, a 3-year-old with a disability may have received services under Education's Special Education–Preschool Grants as well as under its Special Education–Grants to States program.

[b]Agency officials do not collect participation data for children under age 5. The reported estimate includes all children receiving day care, a high proportion of whom are assumed to be under age 5.

[c]This number is based on monthly enrollment.

[d]Agency officials were not able to provide an estimate of the number of children under age 5 who participated in the program in fiscal year 1999.

[e]The agency reported that 4,827,540 children ages 3 to 8 participated in the program in fiscal year 1999, but was not able to provide an estimate for the number of children under age 5 who participated in the program.

Programs Target Particular Groups and Provide Some of the Same Types of Services

The 29 programs that provided education and care to children under age 5 targeted three major groups of children. Most programs were allowed to provide a broad range of services such as health, mental health, and nutritional services. Four programs provided most of these services to a large proportion of the participants under age 5.

Programs Targeted Three Groups

The 29 federal programs that provided education and care to children under age 5 generally targeted children who

- were economically disadvantaged,
- had special needs, or
- were members of certain native populations.[12]

During fiscal year 1999, 10 programs (including Head Start, CCDF, and TANF—the three largest programs in terms of spending for children under age 5) targeted economically disadvantaged children. Thirteen programs targeted children with various special needs, such as disabilities or limited English proficiency, as well as migrant or immigrant children. Six programs targeted native populations, including Native American Indians, Alaskans, and Hawaiians (see table 3).

The specific eligibility criteria for the 29 programs included a child's age, family income, and other factors. Age criteria varied and often overlapped among programs serving similar target groups. For example, eligibility for three Native American programs included children age 0 to 7, 0 to 8, and 4 through 18. Among programs serving disabled children, one targeted applicants age 0 to 21 while another covered preschoolers age 3 to 5. A third program provided early intervention services to disabled infants and toddlers under age 3 and their families or, at state option, infants and toddlers at risk of needing special education and related services. Likewise, family income eligibility criteria varied, with the federal government, states, and school districts defining "low income" differently for different programs, resulting in overlap of income criteria. For example, income eligibility criteria for TANF are set by each state, within certain federal guidelines. However, Title I funds are allocated among states and schools

[12]Target groups are not necessarily mutually exclusive.

based on formulas that take into account the number of children whose family income is below the federal poverty line.

While programs may serve the same target group, specific eligibility requirements limit the number of children eligible to receive services. For example, an economically disadvantaged child may not be eligible for both CCDF and Head Start—two programs that target this type of child—because of differences in income eligibility requirements. CCDF provides child care subsidies for families with children under age 13 whose family income does not exceed 85 percent of the state median income.[13] Head Start primarily targets preschool children from families whose income is under the federal poverty line.[14] A child could only be eligible for both programs if that child was of kindergarten age or younger, as required by Head Start, and if family income was at or below the lower of federal poverty line or the CCDF income level set by the state.

In some cases, participation in more than one program may be beneficial. For example, because Head Start is usually a part-day program, working parents might need both the preschool education of Head Start and the child care of CCDF to ensure that their children are taken care of for a full day while the parents are at work.

Table 3: Federal Programs That Provide Education and Care to Children Under Age 5, by Target Group

Program	Program description	Beneficiary eligibility criteria
Economically disadvantaged		
CCDF	Grants to states for subsidizing the child care costs of eligible families and to improve the overall quality and availability of child care services. Some CCDF funds are subject to matching requirements.	Children up to age 13 who reside with a family whose income does not exceed 85% of the state median income. Parent(s) must be working or in education or training, or the child must be in need of protective services. States set eligibility within federal rules.[a]

Continued

[13]States set eligibility rules within this federal guideline. In practice, many states set eligibility at lower levels.

[14]Ninety percent of Head Start participants must have family income below the federal poverty line.

Program	Program description	Beneficiary eligibility criteria
Title I Grants to Local Educational Agencies	Formula grants through states to local educational agencies for supplementary educational and related services to educationally disadvantaged children living in relatively low-income areas	Children aged pre-kindergarten to 21 who are failing or at risk of failing state academic standards who live in low-income areas
Education for Homeless Children and Youth	Formula grants to the states to ensure that homeless children have equal access to the education programs available to other children, including preschool-aged children	Homeless children and youth in preschool, elementary, and secondary schools or who should be enrolled in school but are not
Even Start–State Educational Agencies	Formula grants to states for discretionary subgrants to partnerships between local educational agencies and nonprofit entities to improve the educational opportunities of low-income families through family literacy programs that integrate early childhood education, adult basic education, and parenting education	Children aged birth to 8 years, who come from low-income families, and whose parents have basic literacy needs
Child Care Access Means Parents in Schools	Grants to institutions of higher learning to support the participation of low-income parents in postsecondary education through the provision of campus-based child care services	Low-income students in postsecondary programs who themselves have children and require child care services
Reading Excellence	Grants to states to provide children with the readiness skills and support they need to learn to read once they enter school or by the end of third grade	Children in grades pre-kindergarten through third grade, who are enrolled in schools with a high concentration of poverty[b]
TANF	Block grants to states for temporary income assistance to needy families with children. States may spend block grants for child care and other purposes consistent with the law	Families who have a child living with a parent or other adult relative and are needy, or who meet CCDF eligibility standards for states that transfer TANF funds to CCDF
Head Start	Grants to agencies to provide comprehensive early childhood developmental, educational, health, nutritional, social, and other services to primarily low-income children and their families	Children from birth through kindergarten age; 90% must be from families whose income is below the poverty line or families who are eligible for public assistance
SSBG	Block grants to states to provide social services, including child day care, at the states' discretion	States decide which services benefit children and the criteria for eligibility
Twenty-First Century Community Learning Centers	Discretionary/competitive grants to individual rural or inner-city schools, or consortia of such schools, for activities that benefit the educational, health, social services, cultural, and recreational needs of their community	Residents of all ages in selected rural and inner city communities, in particular, young children
Special needs		
Disabled children		
Special Education–Grants to States	Grants to states to assist them in providing a free appropriate public education to all children with disabilities	Children, aged 0 through 21, with a disability who need special education and related services in public schools

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Program	Program description	Beneficiary eligibility criteria
Special Education–Preschool Grants (IDEA)	Grants to assist states in providing special education and related services to preschool-aged children with disabilities who are in need of special education. At state option, children experiencing developmental delays may also be considered disabled.	Children aged 3 to 5 who have a disability, and at a state's discretion, 2-year-old children with disabilities who will turn 3 years old during the school year and need special education and related services
Special Education–Grants for Infants and Families with Disabilities	Formula grants to help states develop and implement a statewide comprehensive, coordinated, multidisciplinary, interagency system to provide early intervention services for infants and toddlers with disabilities and their families	Infants or toddlers under 3 years of age with a disability who need early intervention services because of developmental delays or at states' option, at-risk infants and toddlers
Children with limited English proficiency		
Bilingual Education–Program Development and Implementation Grants	Grants to local education agencies to implement new comprehensive bilingual programs	Limited English proficient children who are enrolled in preschool through grade 12
Bilingual Education–Program Enhancement Grants	Grants to local education agencies to expand or enhance existing bilingual programs	Limited English proficient children who are enrolled in preschool through grade 12
Bilingual Education–Comprehensive School Grants	Grants to local education agencies (in which schools have at least 25% limited English proficiency enrollment) for reforming all relevant bilingual programs	Limited English proficient children who are enrolled in preschool through grade 12
Bilingual Education–Systemwide Improvement Grants	Grants to local education agencies or local education agencies' consortia (with more than 1,000 or 25% limited English proficiency enrollment) for reforming districtwide bilingual programs	Limited English proficient children who are enrolled in preschool through grade 12
Ready-To-Learn Television	Grants to develop educational programming for preschool and early elementary school children and their families to increase school readiness, with an emphasis on the needs of children in limited English proficient households and to increase family literacy	All children generally and children in limited English proficient households, their parents, child care providers, and Head Start programs
Migrants		
Migrant Education–Basic State Grant Program	Grants to the states for providing supplemental education and related services for migratory children of migrant agricultural workers and migrant fishers	Children and youth aged 0 to 21 who are, or whose parent, spouse, or guardians are, migratory workers or migratory fishers
Even Start–Migrant Education	Discretionary grants to state educational agencies, local education agencies, and nonprofit organizations to improve the educational opportunities of migrant families through family literacy programs that integrate early childhood education, adult literacy or adult basic education, and parenting education	Children of migratory agriculture workers or migratory fishers and their parents. Children must be 0 to 8 years old and come from low-income families; parents must have basic literacy needs

Continued from Previous Page

Program	Program description	Beneficiary eligibility criteria
Immigrants		
Immigrant Education	Formula grants to states for educational services and costs for immigrant children enrolled in elementary and secondary public and nonpublic schools. States provide funding to local education agencies with at least 500 or 3 percent immigrant enrollment	Immigrant children in grades pre-kindergarten through 12 who have been enrolled in U.S. schools for less than 3 years
Substance-abusing women with children		
Demonstration Grants for Residential Treatment for Women and Their Children[c]	Grants to states for alcohol and other drug abuse treatment services delivered in a residential setting coupled with primary health, mental health, and social services (including child care and educational development services for children with exposure to alcohol and other drugs) for parenting women and their children	Children aged 1 to 10 whose mothers have substance abuse problems and are enrolled in a residential treatment program
Grants for Residential Treatment Programs for Pregnant and Postpartum Women[c]	Grants to states for alcohol and other drug abuse treatment services delivered in a residential setting coupled with primary health, mental health, and social services (including child care and developmental services for infants and other children with intrauterine and environmental exposure to alcohol and other drugs) for women, their infants, and other children	Children aged 0 to 1 whose mothers have substance abuse problems or suffer from substance abuse problems themselves
Native populations		
Native American Indian		
Indian Child and Family Education (FACE)	Grants to Indian tribal governments and tribal organizations to begin educating Native American children at an early age through parental involvement, increase high school graduation rates among Indian parents, and encourage life-long learning	Native American parents and their children, aged 0 to 8 years, who live on a reservation within boundaries of a Bureau of Indian Affairs (BIA)-funded school
Indian Education–Grants to Local Educational Agencies	Grants to local education agencies that enroll at least 10 Indian children or in which Indians constitute at least 25% of the total enrollment to reform elementary and secondary school programs that serve Indian students in order to ensure that programs are based on standards that are used for all students	Native American Indian children enrolled in BIA-funded or -operated local educational agencies
Demonstration Grants for Indian Children	Grants to provide financial assistance to projects to develop, test, and demonstrate the effectiveness of services and programs to improve the educational opportunities and achievement of preschool, elementary, and secondary school Indian children	Native American Indian preschool, elementary, and secondary children

Continued from Previous Page

Program	Program description	Beneficiary eligibility criteria
Even Start–Indian Tribes and Tribal Organizations	Discretionary grants to federally recognized Indian tribes and tribal organizations for family literacy programs that integrate early childhood education, adult basic education, and parenting education	Native American Indian children aged 0 to 8 years who come from low-income families, and whose parents have basic literacy needs
Native Hawaiian		
Native Hawaiian Family-Based Education Centers	Grants to Native Hawaiian organizations in Hawaii for the operation of centers whose activities include parent-infant programs for the prenatal period through age 3, preschool programs to serve 4- to 5-year-olds, research and development, and project assessments	Hawaiian infants up to age 3 and Hawaiian preschoolers aged 4 to 5
Alaskan Natives		
Alaska Native Home-Based Education for Preschool Children	Grants to Alaskan Native organizations or educational entities to implement home instruction programs for Alaskan Native preschool youngsters	Alaskan Native children aged 0 through 5

Continued from Previous Page

[a]Although CCDF primarily serves low-income families, states may serve families who earn up to 85 percent of the state median income.

[b]According to agency officials, while this program can provide services to pre-kindergartners, the priority for fiscal year 2000 is kindergarten through grade 3.

[c]According to agency officials, no new grants were to be awarded in fiscal year 2000.

Some Programs Provided Some of the Same Types of Services

In addition to providing early childhood education and care, most of the 29 programs were allowed to provide a broad range of supplemental services, including health, dental, mental health, social, parental, and nutritional services; speech and hearing assessments; and disability screening. Four programs—Head Start, Even Start–Migrant Education, and the two residential treatment programs for substance-abusing mothers and their children—provided the widest range of services, with each providing 9 of the 10 services we asked about to all or most children participating in the program. All four reported providing the same seven services to all or most children under age 5 participating in the program: early childhood education, health services, speech and hearing assessments, disability screening, social services, parental services, and nutritional services.

Most programs reported providing supplemental services to a small proportion of program participants under age 5 or were unable to provide estimates. For example, the Migrant Education–Basic State Grant Program estimated that it provided early childhood education, health services, and services to parents to “some” children; dental and nutritional services to a

"few" children; and social services to "about half" of the program participants under age 5. The Twenty-First Century Community Learning Centers program estimated that it provided early childhood education to some children and child care, health, dental, social, and mental health services; speech or hearing assessments; and disability screening to a few of the program participants under age 5. Two of the four programs targeting Native American children—Indian Child and Family Education, administered by Interior, and Even Start–Indian Tribes and Tribal Organizations, administered by Education—reported providing early childhood education, parental, and nutritional services to all or most of the Native American children and their parents participating in their programs (see table 4). Several programs, including the Special Education–Preschool Grants, Child Care Access Means Parents in School, and SSBG programs, were not able to report the number of children under age 5 served for many of the services about which we asked. (See app. II for the proportion of each programs' participants who received each service.)

Table 4: Programs Targeting Native American Children—Proportion of Participating Children Under Age 5 Receiving Services

	Service									
Program	**Early childhood education**	**Child care**	**Health services**	**Dental services**	**Mental health services**	**Speech and hearing assessments**	**Disability screening**	**Social services**	**Parental services**	**Nutritional services**
Indian Child and Family Education (FACE)	All or nearly all	[a]	[a]	[a]	[a]	All or nearly all	All or nearly all	[a]	All or nearly all	All or nearly all
Even-Start–Indian Tribes and Tribal Organizations	All or nearly all	Most	Most	Some	Some	Some	Some	All or nearly all	All or nearly all	All or nearly all
Indian Education–Grants to Local Educational Agencies	Few	None	Few	Few	Few	Few	Few	Few	Few	Few
Demonstration Grants for Indian Children	Some	Some	Some	Some	Few	Few	Few	Few	Some	Some

[a]Program was not allowed to provide this service.

Similarly, programs targeting children with limited English proficiency delivered some of the same types of services to children under age 5 participating in these programs. Four bilingual education programs—Program Development and Implementation Grants, Program Enhancement Grants, Comprehensive School Grants, and Systemwide Improvement Grants—reported providing early childhood education and parental services to all or most of their participants under age 5. In addition, all four programs reported providing social services to some participants under age 5. Two of the programs also reported providing child care to some of the participants in this age group.

Ten programs that targeted economically disadvantaged children provided some of the same types of services. For example, 7 of the 10 programs provided parental services and 5 programs provided nutritional services to all or most children participating in their programs (see app. II). Five of the 10 programs reported providing early childhood education to a high proportion of participants under age 5. The remaining programs provided early childhood education and care to a small proportion of participants in this age group or could not provide an estimate.

Additional Data Needed to Determine If Inefficiencies Result From Overlap

When multiple agencies manage multiple early childhood education and care programs, mission fragmentation and program overlap occur. Though sometimes necessary to meet federal priorities, mission fragmentation and overlapping programs can create an environment in which participants are not served as efficiently and effectively as possible.[15] Policymakers could choose to coordinate, integrate, or consolidate programs to address inefficiencies that may arise; however, information beyond the scope of this report would be needed to identify the degree of program inefficiencies and the best method for addressing any inefficiencies. Policymakers need to ask, among other things, whether programs are fulfilling a unique role or effectively meeting program as well as federal strategic goals. Information required by GPRA should provide answers to some of these questions and ultimately help to guide this effort.

Mission fragmentation was evident among the 29 early childhood education and care programs we examined. These programs were administered by eight offices in three federal departments. In addition, many of the 29

[15] *Managing for Results: Barriers to Interagency Coordination* (GAO/GGD-00-106, Mar. 29, 2000) and GAO/T-HEHS-99-93.

programs provided similar services to the same target groups. Overlap was evident among programs serving young Native American and limited English proficient children. For example, all four programs serving Native American children, administered by Education and Interior, provided educational, parental, and nutritional services; speech and hearing assessments; and disability screening to participants, and although each could serve children of various ages, some participants were under age 5. Education's four bilingual education programs all provided early childhood education, parental services, and social services to young children with limited English proficiency.

Past GAO work has shown that program overlap increases the likelihood that inefficiencies such as duplicative programs—those providing identical services to identical target groups—will result. Duplicative programs can waste administrative resources and confuse those seeking services. Program overlap can also increase the chance of gaps in services. One way service gaps can occur is when all members of a target population are not being served by existing programs because differing program eligibility requirements unintentionally exclude them. Gaps in services may also result when programs do not provide adequate coverage to fully meet participant needs. For example, children in low-income families may not be eligible for both Head Start and CCDF, which could make it difficult for parents to work or attend school full-time. Collaborative arrangements between Head Start, generally a part-day program, and programs such as CCDF may be needed to provide full day care in order to prevent service gaps so parents can work full-time.

To address inefficiencies such as program duplication and service gaps that can arise from mission fragmentation and program overlap, one of several approaches could be taken: coordination, integration, or consolidation. Policymakers could direct responsible agencies to better coordinate programs with other agencies that share the same program mission. Responsible agencies could also integrate program services from one program into others to more effectively serve certain target groups. Service integration activities range from providing services from several agencies at one location to creating state and local interagency service planning and budgeting functions. Policymakers and responsible agencies could also decide that the only way to eliminate duplicative programs is to consolidate several into one. However, to determine the most appropriate method of addressing problems created by mission fragmentation and program overlap, policymakers would need to consider, among other things, whether

- overlapping programs fulfill unique roles or are unnecessarily duplicative,
- some programs are more effective at meeting program and federal strategic goals than others, and
- whether some other configuration of programs might better serve participants.

To learn whether specific programs play unique roles or are unnecessarily duplicative, policymakers would need to know the means used to accomplish program goals and the specific services the programs provide. Further study of these program features may highlight important differences among programs that appear to be duplicative. Data on the type and quality of services delivered and the number of children receiving similar services from more than one program would also help to identify programs that meet unique needs and serve unique populations and would be useful in determining the extent of duplication among programs. For example, four programs reported providing dental services to economically disadvantaged young children in fiscal year 1999; however, one may have provided screenings whereas another may have provided more comprehensive dental services including preventive care and treatment.

Assessing whether programs are effective at achieving their program goals requires information on program performance and program evaluations. GPRA requires agencies to collect this type of information and report on it in annual performance plans. Program performance data can be used to assess progress toward established goals. Evaluation results, where available, can provide information about how effective programs are at achieving desired outcomes. With this information, the Congress and the administration may be able to identify some programs that are more effective than others at achieving overall federal goals in the early childhood education and care area. Finally, decisions made about coordinating, integrating, or consolidating programs could affect participants differently and have administrative and budgetary effects on state and local governments, especially if service delivery mechanisms change.

The Congress and agencies have begun to address problems that result from overlapping early childhood education and care programs through improved coordination and integration and program consolidation.[16] For example, in 1996, Congress consolidated funding for four child care programs into one—CCDF. The Congress also created the Federal Interagency Coordinating Council to focus on issues related to young children (birth through age 5) who have or are at risk of disabilities. Agencies have also begun to address problems that result from overlapping programs. For example, as we reported in March 1999, HHS and Education are coordinating Head Start and Even Start programs with one another to improve the quality of family literacy for disadvantaged families with young children through joint training activities. Moreover, Even Start programs are required to build on existing services to minimize potential duplication and sometimes rely on the Head Start program to provide the early childhood education component for Even Start participants ages 3 and 4. In addition, HHS' Head Start Bureau has instituted a number of initiatives among relevant agencies to facilitate collaboration and thus avoid inefficiencies that can be caused by mission fragmentation and program overlap of early childhood education and care programs. For example, HHS has begun to promote collaboration by requiring some Head Start grantees to use collaborative planning processes in order to compete for funds. To compete for Head Start Collaboration Grants, these grantees must provide full-day, full-year services for Head Start, ensure a collaborative planning process with community programs and providers, and combine Head Start funds with available state, local, and private sector funding for child care, pre-kindergarten, and special education services.

Agency Comments

We provided Education, HHS, and Interior an opportunity to review this report; responses from Education and HHS are reprinted in app. III and IV. Interior officials stated that they had no comments.

In its comments, Education said that the report provides a comprehensive overview of federal programs providing education and care for children under age 5 and that some programs have overlapping purposes and target populations. HHS said that the report provides a useful conceptual framework for thinking about the services that are available to young children and their families. However, while Education agreed that some of

[16]See GAO/T-HEHS-99-93 and GAO/HEHS-99-136R.

the programs we report on have overlapping purposes, it was concerned that we be explicit that overlap does not necessarily result in redundancy. HHS also expressed concerns that the report draws unsupported conclusions about mission fragmentation and program overlap.

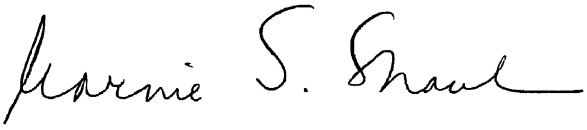
From their comments, it appears that Education and HHS attribute different meanings to the terms “overlap,” “fragmentation,” and “duplication.” We defined mission fragmentation as the involvement of multiple agencies in the same programmatic area; early education and care programs clearly fall under this definition. We pointed out that fragmentation can lead to overlapping programs and can create the potential for inefficiencies such as duplication. We also pointed out that various programs overlapped because they served the same populations and offered similar services. However, we did not conclude that overlap had resulted in duplication and inefficiency, but only that the potential for duplication and inefficiency exists. We also concluded that the agencies’ GPRA reports might be useful for evaluating the effectiveness of programs in meeting their goals.

Education and HHS expressed concern that we had not adequately discussed their coordination efforts, so we added some information about ongoing agency efforts to address issues raised by overlapping programs through improved coordination and service integration. Education and HHS also provided technical comments, which we incorporated where appropriate.

We are sending copies of this report to the Honorable Donna E. Shalala, Secretary of the Department of Health and Human Services; the Honorable Richard W. Riley, Secretary of the Department of Education; the Honorable Bruce Babbitt, Secretary of the Interior; and appropriate congressional committees. We will also make copies available to others upon request.

If you or your staff have any questions about this report, please contact me or Karen Whiten on (202) 512-7215. Martha Elbaum and Karen Brown made key contributions to this report.

Sincerely yours,



Marnie S. Shaul
Associate Director, Education, Workforce, and
Income Security Issues

Federal Programs That Provided or Supported Education and Care for Children Under 5 Years of Age, Fiscal Year 1999

CFDA number[a]	Program name
Agriculture	
10.550	Food Distribution Program
10.553	School Breakfast Program
10.555	National School Lunch Program
10.556	Special Milk Program for Children
10.558	Child and Adult Care Food Program
10.559	Summer Food Service Program for Children
10.564	Nutrition, Education and Training Program
10.565	Commodity Supplemental Food Program
Housing and Urban Development	
14.218	Community Development Block Grants/Entitlement Grants
14.219	Community Development Block Grants/Small Cities Program
14.231	Emergency Shelter Grants Program
14.235	Supportive Housing Program (transitional housing)
14.870	Resident Opportunity and Supportive Services
Interior	
15.043	Indian Child and Family Education (FACE)
Justice	
16.201	Cuban and Haitian Entrant Resettlement Program
16.730	Reduction and Prevention of Children's Exposure to Violence (Safe Start)
Labor	
17.211	Job Corps
17.247	Migrant and Seasonal Farmworkers
17.251	Native American Employment and Training Program
17.255	Workforce Investment Act
Appalachian Regional Commission	
23.002	Appalachia–Supplements to Federal Grant-in-Aid (area development)
General Services Administration	
39.003	Donation of Federal Surplus Personal Property
Education	
84.010	Title I Grants to Local Educational Agencies (basic, concentration, and targeted grants)
84.011	Migrant Education–Basic State Grant Program
84.027	Special Education–Grants to States
84.041	Impact Aid
84.060	Indian Education–Grants to Local Educational Agencies

Continued

CFDA number[a]	Program name
84.162	Immigrant Education
84.173	Special Education–Preschool Grants (IDEA)
84.181	Special Education–Grants for Infants and Families with Disabilities
84.186	Safe and Drug-Free Schools and Communities—State Grants
84.196	Education for Homeless Children and Youth
84.209	Native Hawaiian Family Based Education Centers
84.213	Even Start–State Educational Agencies
84.214	Even Start–Migrant Education
84.258	Even Start–Indian Tribes and Tribal Organizations
84.276	Goals 2000–State and Local Education Systemic Improvement
84.282	Charter Schools
84.287	Twenty-First Century Community Learning Centers
84.288	Bilingual Education–Program Development and Implementation Grants
84.289	Bilingual Education–Program Enhancement Grants
84.290	Bilingual Education–Comprehensive School Grants
84.291	Bilingual Education–Systemwide Improvement Grants
84.295	Ready-To-Learn Television
84.296	Native Hawaiian Community-Based Education Learning Centers
84.298	Innovative Education Program Strategies
84.299	Demonstration Grants for Indian Children
84.303	Technology Innovation Challenge Grants
84.310	Goals 2000: Parental Assistance Program
84.318	Technology Literacy Challenge Fund Grants
84.321	Alaska Native Home-Based Education for Preschool Children
84.323	Special Education–State Program Improvement Grants for Children With Disabilities
84.327	Special Education–Technology and Media Services for Individuals With Disabilities
84.332	Comprehensive School Reform Demonstration
84.335	Child Care Access Means Parents in School
84.338	Reading Excellence
HHS	
93.101	Grants for Residential Treatment Programs for Pregnant and Postpartum Women
93.102	Demonstration Grants for Residential Treatment for Women and Their Children
93.125	Mental Health Planning and Demonstration Projects
93.558	Temporary Assistance for Needy Families (TANF)
93.566	Refugee and Entrant Assistance–State-Administered Programs
93.571	Community Services Block Grant Discretionary Awards–Community Food and Nutrition

Continued from Previous Page

CFDA number[a]	Program name
93.575	Child Care Development Fund (discretionary fund of the child care development fund, mandatory, and matching funds)
93.576	Refugee and Entrant Assistance–Discretionary Grants
93.583	Refugee and Entrant Assistance–Wilson/Fish Programs
93.584	Refugee and Entrant Assistance–Targeted Assistance
93.600	Head Start
93.645	Child Welfare Services–State Grants
93.667	Social Services Block Grant

Continued from Previous Page

[a]Catalog of Federal Domestic Assistance.

Proportion of Children Receiving Services From Education and Care Programs, by Target Group

Agency	Program name	Estimated number of children under age 5 participating[a]	Proportion of children under age 5 receiving: Early childhood education	Child care	Health services
Economically disadvantaged					
HHS	CCDF	1,260,000	Some	All or nearly all	Some
Education	Title I Grants to Local Educational Agencies	300,000	All or nearly all	Few	Some
Education	Education for Homeless Children and Youth	Don't know	All or nearly all	Don't know	Some
Education	Even-Start–State Educational Agencies	25,500	All or nearly all	Some	Some
Education	Child Care Access Means Parents in School	Don't know	All or nearly all	All or nearly all	Don't know
Education	Reading Excellence	Don't know	Don't know	Don't know	Don't know
HHS	TANF	350,000[c]	Don't know	Most	[b]
HHS	Head Start	780,200	All or nearly all	Some	All or nearly all
HHS	SSBG	2,320,067[d]	Don't know	Don't know	Don't know
Education	Twenty-First Century Community Learning Centers	1,760,000	Some	Few	Few
Special needs					
Disabled Children					
Education	Special Education–Grants to States	574,713	All or nearly all	[b]	Don't know
Education	Special Education–Preschool Grants (IDEA)	316,000	All or nearly all	[b]	Don't know
Education	Special Education–Grants for Infants and Families With Disabilities	186,819	Most	None	Some
Children with limited English proficiency					
Education	Bilingual Education–Program Development and Implementation Grants	1,000	All or nearly all	Some	[b]
Education	Bilingual Education–Program Enhancement Grants	1,000	All or nearly all	Some	[b]
Education	Bilingual Education–Comprehensive School Grants	500	All or nearly all	[b]	[b]
Education	Bilingual Education–Systemwide Improvement Grants	1,000	All or nearly all	[b]	[b]
Education	Ready-To-Learn Television	Don't know[e]	Most	[b]	[b]

Proportion of children under age 5 receiving						
Dental services	Mental health services	Speech or hearing assessments	Disability screening	Social services	Services to parents	Nutritional services
Few	Few	Some	Some	Some	Most	All or nearly all
Few	Few	Some	Some	Some	All or nearly all	Some
Some	Some	Some	Some	Some	Some	Some
Few	Few	Few	Some	Most	All or nearly all	All or nearly all
Don't know	Don't know	Don't know	Don't know	Don't know	All or nearly all	Most
Don't know	Don't know	Don't know	Don't know	Don't know	Don't know	Don't know
Don't know	Some	Some	Some	Some	Most	Don't know
All or nearly all	All or nearly all	All or nearly all	All or nearly all	All or nearly all	All or nearly all	All or nearly all
Don't know	Don't know	Don't know	Don't know	Don't know	Don't know	Don't know
Few	Few	Few	Few	Few	Most	Most
[b]	Don't know	All or nearly all	All or nearly all	Don't know	Don't know	Don't know
[b]	Don't know	All or nearly all	All or nearly all	Don't know	Don't know	Don't know
None	Few	Most	All or nearly all	Some	Most	Few
[b]	[b]	[b]	[b]	Some	All or nearly all	[b]
[b]	[b]	[b]	[b]	Some	All or nearly all	[b]
[b]	[b]	[b]	[b]	Some	Most	[b]
[b]	[b]	[b]	[b]	Some	Most	[b]
[b]	[b]	[b]	[b]	[b]	All or nearly all	[b]

Agency	Program name	Estimated number of children under age 5 participating[a]	Proportion of children under age 5 receiving		
			Early childhood education	Child care	Health services
Migrants					
Education	Migrant Education–Basic State Grant Program	69,251	Some	Few	Some
Education	Even Start–Migrant Education	940	All or nearly all	All or nearly all	Most
Immigrants					
Education	Immigrant Education	Don't know	Don't know	Don't know	[b]
Substance-abusing women with children					
HHS	Demonstration Grants for Residential Treatment for Women and Their Children	235	All or nearly all	All or nearly all	All or nearly all
HHS	Grants for Residential Treatment Programs for Pregnant and Postpartum Women	102	All or nearly all	All or nearly all	All or nearly all
Native populations					
Native American Indians					
Interior	Indian Child and Family Education (FACE)	1,800	All or nearly all	[b]	[b]
Education	Indian Education–Grants to Local Educational Agencies	2,000	Few	None	Few
Education	Demonstration Grants for Indian Children	150	Some	Some	Some
Education	Even Start–Indian Tribes and Tribal Children	240	All or nearly all	Most	Most
Native Hawaiians					
Education	Native Hawaiian Family-Based Education Centers	2,100	Most	Don't know	None
Alaska Natives					
Education	Alaska Native Home-Based Education for Preschool Children	120	All or nearly all	Don't know	None

Proportion of children under age 5 receiving						
Dental services	Mental health services	Speech or hearing assessments	Disability screening	Social services	Services to parents	Nutritional services
Few	Few	Few	Few	About half	Some	Few
All or nearly all	Few	All or nearly all	All or nearly all	All or nearly all	All or nearly all	All or nearly all
[b]	[b]	Don't know	Don't know	[b]	Don't know	[b]
Some	Most	Most	All or nearly all	All or nearly all	All or nearly all	All or nearly all
Some	Most	Most	All or nearly all	All or nearly all	All or nearly all	All or nearly all
[b]	[b]	All or nearly all	All or nearly all	[b]	All or nearly all	All or nearly all
Few	Few	Few	Few	Few	Few	Few
Some	Few	Few	Few	Few	Some	Some
Some	Some	Some	Some	All or nearly all	All or nearly all	All or nearly all
None	Don't know	Don't know	Don't know	Don't know	All or nearly all	Don't know
None	Don't know	Some	Some	Don't know	All or nearly all	Don't know

[a]We did not compute a total because children may have participated in more than one of the programs listed. For example, a 3-year-old with a disability may have received services under Education's Special Education–Preschool Grants as well as under its Special Education–Grants to States program.

[b]Program was not allowed to provide this service.

[c]This number is based on monthly enrollment.

[d]Agency officials do not collect participation data for children under age 5. The reported estimate includes all children receiving day care, a high proportion of whom are assumed to be under age 5.

[e]The agency reported that 4,827,540 children ages 3 to 8 participated in the program in fiscal year 1999, but was not able to provide an estimate for the number of children under 5 that participated in the program.

Comments From the Department of Education

UNITED STATES DEPARTMENT OF EDUCATION

OFFICE OF ELEMENTARY AND SECONDARY EDUCATION

THE ASSISTANT SECRETARY

Ms. Cynthia Fagnoni
Director
Education, Workforce, and
Income Security Issues
U.S. General Accounting Office
Washington, DC 20548

APR 20 2000

Dear Ms. Fagnoni:

This is in response to your letter dated April 10, 2000 to Secretary Richard W. Riley that requests the Department of Education's comments on the draft report, Early Education and Care: Overlap Indicates Need to Assess Crosscutting Programs (GAO/HEHS-00-78). Thank you for the opportunity to provide comments.

The report presents a comprehensive overview of Federal programs providing early education and care for children under the age of five. Some of the programs included have broad authority, and early education and care is only one allowable activity that grantees have the flexibility to provide. Many of the programs also have coordination and integration requirements in the authorizing legislation that promote efficiency. Overall, although the Government Accounting Office correctly points out that some of the programs have overlapping purposes and target populations, it does not provide data to support a conclusion that the overlap results in fragmentation, or redundancy. It would be appropriate if the report made this point explicitly.

In addition to the above comment, we have enclosed a marked-up version of the report with minor edits and technical corrections. We have also enclosed, as promised during the exit conference, some examples of programs that integrate and coordinate services for young children and their families. If I can be of any further assistance, please don't hesitate to contact me at (202) 401-0113.

Sincerely,

Michael Cohen

Enclosures

400 MARYLAND AVE., S.W. WASHINGTON, D.C. 20202-6100

Comments From the Department of Health and Human Services

DEPARTMENT OF HEALTH & HUMAN SERVICES

Office of Inspector General

Washington, D.C. 20201

Apr 27 2000

Ms.Cynthia Fagnoni
Director, Education, Workforce,
and Income Security Issues
United States General
Accounting Office
Washington, D.C. 20548

Dear Ms. Fagnoni:

Enclosed are the Department's comments on your draft report, "Early Education and Care: Overlap Indicates Need to Assess Crosscutting Programs." The comments represent the tentative position of the Department and are subject to reevaluation when the final version of this report is received.

The Department also provided extensive technical comments directly to your staff.

The Department appreciates the opportunity to comment on this draft report before its publication.

Sincerely,

Michael Mangano
for June Gibbs Brown
Inspector General

Enclosure

The Office of Inspector General (OIG) is transmitting the Department's response to this draft report in our capacity as the Department's designated focal point and coordinator for General Accounting Office reports. The OIG has not conducted an independent assessment of these comments and therefore expresses no opinion on them.

COMMENTS OF THE DEPARTMENT OF HEALTH AND HUMAN SERVICES ON THE U.S. GENERAL ACCOUNTING OFFICE'S DRAFT REPORT, "EARLY EDUCATION AND CARE: OVERLAP INDICATES NEED TO ASSESS CROSSCUTTING PROGRAMS" (GAO/HEHS-00-78)

The Department appreciates the opportunity to review and comment on the above-captioned report. The report provides a useful conceptual framework for thinking about the services that are available to young children and their families. In particular, we are encouraged that the report supports the use of information required by the Government Performance and Results Act to provide answers to some of the questions raised about service effectiveness. However, we are concerned that GAO's report draws conclusions about mission fragmentation and program overlap that are not supported by the findings of the report. In fact, the report acknowledges that more information is needed in order to assess whether programs are effective at achieving their program goals. We believe that before conclusions can be made about fragmentation and duplication in these programs, further analysis would need to be conducted on achievement of each program's goals. The Department's Administration for Children and Families (ACF) is very proud of the advances that have been made in providing early education and care services. We note especially the consolidation of multiple child care funding streams under the Child Care and Development Fund (CCDF) and the high priority that has been placed on full-day, full-year Head Start services—all toward improving the lot of less advantaged families.

General Comments

Child Care and Development Fund. With regard to the programs administered through the Department, we believe it is important to note that the CCDF, created under the Personal Responsibility and Work Opportunity Reconciliation Act (PRWORA) of 1996, was a major step forward in allowing for a more integrated approach to the administration of child care assistance for low income working families. Under PRWORA, welfare-related child care programs, including Job Opportunities and Basic Skills, Transitional, and At-Risk, were combined in a single block grant subject to the provisions of the Child Care and Development Block Grant (CCDBG) Act. This brought these funding streams under a single set of regulations and eased the burden on States, Territories, and Tribes wishing to operate a single subsidy program across family eligibility categories. In addition, by allowing grantees to transfer up to 30 percent of Temporary Assistance for Needy Families (TANF) dollars into the CCDF, grantees are encouraged to operate a single child care program as opposed to separate TANF and CCDF child care programs.

Collaboration. As was noted in October 26, 1999 comments by the Assistant Secretary for Children and Families in response to an earlier GAO report, "Education and Care: Early Childhood Programs and Services for Low Income Families," Head Start and CCDF are complementary in mission and design, and ACF recognizes the importance of coordination and collaboration between these programs to ensure that the needs of children and families are met. This is especially important as more and more Head Start parents are in the labor force and have child care needs that are not met by part-day, part-year Head Start programs. The ACF has made an ongoing commitment to focusing all Head Start expansion efforts on serving children in program models that meet the needs of working low income families.

As delineated in ACF's October response, ACF's Child Care and Head Start Bureaus are actively

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engaged in a number of collaborative efforts, including a training and technical assistance initiative, "Quality in Linking Together: Early Education Partnerships" (QUILT). The QUILT is working with States toward developing strategic approaches that support and foster early education partnerships at the local level. Together, the Child Care and Head Start Bureaus have sponsored workshops and leadership forums designed to support State and local collaboration, including a Head Start/Child Care/Pre-Kindergarten meeting in October 1999 that involved teams from 21 States. In addition, the Bureaus have joined in providing written technical assistance to grantees on ways to collaboratively blend funds for full-day, full-year services and to correct misinterpretations of rules that may be barriers to partnerships.

The Child Care Bureau has provided guidance to reinforce State flexibility in establishing eligibility periods and to prevent unwarranted problems in audits of agencies that use funding from different Federal programs. The Child Care Bureau has also adopted regulations that require States to describe their efforts to coordinate child care with education, TANF, public health, Head Start, and a number of other programs in their biennial child care plans.

The Head Start Bureau has instituted a number of initiatives among relevant agencies to facilitate collaboration and thus avoid fragmentation and overlap of early childhood and care programs. Examples of such initiatives include:

- The most recent Program Instruction to Head Start Grantees and Delegate Agencies entitled, "Head Start Funding Increase for Fiscal Year 2000" (Log # ACYF-PI-HS-00-02; Issuance Date, 2/15/00). One of two distinct competitions in this instruction is for the provision of funds to increase the number of children in existing Head Start enrollment slots that are provided full-year, full-day services designed to meet the needs of working families. In order for Head Start grantees to be funded for this competition, they must present an acceptable plan to: provide full-day, full-year services for Head Start children; ensure a collaborative planning process with community child care and early childhood programs and providers; and utilize available opportunities to combine Head Start funds with significant resources from other early childhood programs or funding streams, including State, local and private sector funding for child care, pre-kindergarten and special education services.

- An Information Memorandum (IM) to Head Start Grantees and Delegate Agencies, "Improving Head Start Collaboration with Programs Funded through the Child Care and Development Block Grant, (Log #: ACYF-IM-HS-99-10; Issuance Date: 6/29/99). This memorandum supports the development of consistent eligibility periods among Head Start programs and CCDBG-supported programs, in order to eliminate an obstacle to collaboration. A similar memorandum was also sent to CCDF grantees by the Child Care Bureau.

- The Head Start-State Collaboration Offices that have been funded in every State and the District of Columbia and the Commonwealth of Puerto Rico. These programs serve as catalysts for promoting collaboration between Head Start and a wide range of programs across a State (that is, primarily programs that involve coordination of Head Start services with health care, welfare, child care, education and community service activities, family literacy activities, activities relating to children with disabilities, and services for homeless children). A draft descriptive study of the collaboration offices by

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an independent contractor points to their overall success in the formation or enhancement of numerous partnerships with health and welfare, child care and education agencies.

The ACF's Head Start/Child Care work group includes membership from both the Head Start and Child Care Bureaus, as well as from ACF's regional offices. The work group meets periodically to discuss methods to facilitate collaboration among Head Start and child care programs.

In addition, there are considerable efforts across ACF to coordinate and collaborate relative to child care. For example, the Office of Family Assistance (OFA), which administers TANF, holds regular audio and video conferences across the Nation which include a focus on child care topics. In addition, child care workshops were included in a series of Promising Practices Conferences held over the period of September 1998 to April 1999 in five different cities. Finally, OFA sponsors the Welfare Peer Technical Assistance Network (Network) to facilitate linkages between organizations serving welfare recipients and their partners at the community level. The Network's September 1999 conference, "Building Rural Partnerships," held in St. Paul, Minnesota, emphasized the importance of developing partnerships with the child care community.

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