1/25/10 DISCUSS: NEW EDUCATION THEORIES

A Center Report . . .

Expanding Educational Reform to Address Barriers to Learning:

Restructuring Student Support Services and Enhancing School-Community Partnerships

The center is co-directed by Howard Adelman and Linda Taylor and operates under the auspices of the School Mental Health Project, Dept. of Psychology, UCLA, Los Angeles, CA 90095-1563 Phone: (310) 825-3634.

Support comes in part from the U.S. Department of Health and Human Services, Public health Service, Health Resources and Services Administration, Maternal and Child Health Bureau, Office of Adolescent Health.

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Introduction

What the best and wisest parent wants for (his/her) own child that must the community want for all its children. Any other idea . . . is narrow and unlovely.
John Dewey

Question: *Do schools need to do more to address barriers to learning so all children succeed?*

Obvious answer: *Yes, BUT . . .*

The *Yes* reflects the fact that schools have long recognized that their mission's success requires that they play a role in dealing with factors that interfere with youngsters' learning and performance.

The *BUTs* are . . . *there's too much to do already and too little to do it with . . . . There's never enough money . . . . There's never enough staff to do what needs to be done, never enough space to house all we might want to do, and never enough time.*

These concerns are all real. AND, schools still must find ways to do more and better in order to enhance educational results. Vision and commitment to new directions is essential. Also essential is using existing school and community resources in better ways.

One major way schools have attempted to play a role in addressing youngsters' problems is through providing education support programs and services. A portion of these commonly are referred to as pupil "support" services and are the province of specialists such as school counselors, psychologist, social workers, school nurses, and others. Others services are offered as part of categorical programs for compensatory and special education and safe and drug free schools and various other specially funded projects. From the perspective of the school's mission, all this activity is necessary because of its potential for enhancing educational results. Another way schools attempt to address barriers to learning and promote healthy development is to connect with community resources. Ultimately, the focus should be on weaving together all school and community resources that are concerned with development and learning.

Question: *Is it worth the effort to pursue the difficulties invovled in doing all this restructuring?*

To do otherwise is to maintain a very unsatisfactory status quo.

The Center has developed policy reports, guidebooks, and other resources on the above matters. The purpose of this report is to provide a brief overview highlighting

- why policy makers should expand the focus of school reform to encompass a reframing and restructuring of education support programs/services and school-community partnerships
- ways to go about doing so.

Ask any teacher: *On most days, how many of your students come to class motivationally ready and able to learn?* We've asked that question in conversations across the country. The consistency of response is surprising. In urban and rural schools serving economically disadvantaged families, teachers tell us they're lucky if 10-15% of their students fall into this group. Suburban public school teachers usually say 75% fit that profile.

In too many schools, the educational mission is thwarted because of many factors that interfere with youngsters' learning and performance (see Figure 1). It is for this reason that schools invest in education support programs and services. Given that the investment is substantial, it is somewhat surprising how little attention educational policymakers and reformers give to rethinking this arena of school activity.

If schools are to ensure that *all* students succeed, designs for reform must reflect the full implications of *all*. Clearly, *all* includes more than students who are motivationally ready and able to profit from "high standards" demands and expectations. It must also include the many who aren't benefitting from instructional reforms because of a host of *external* and *internal* barriers interfering with their development and learning.

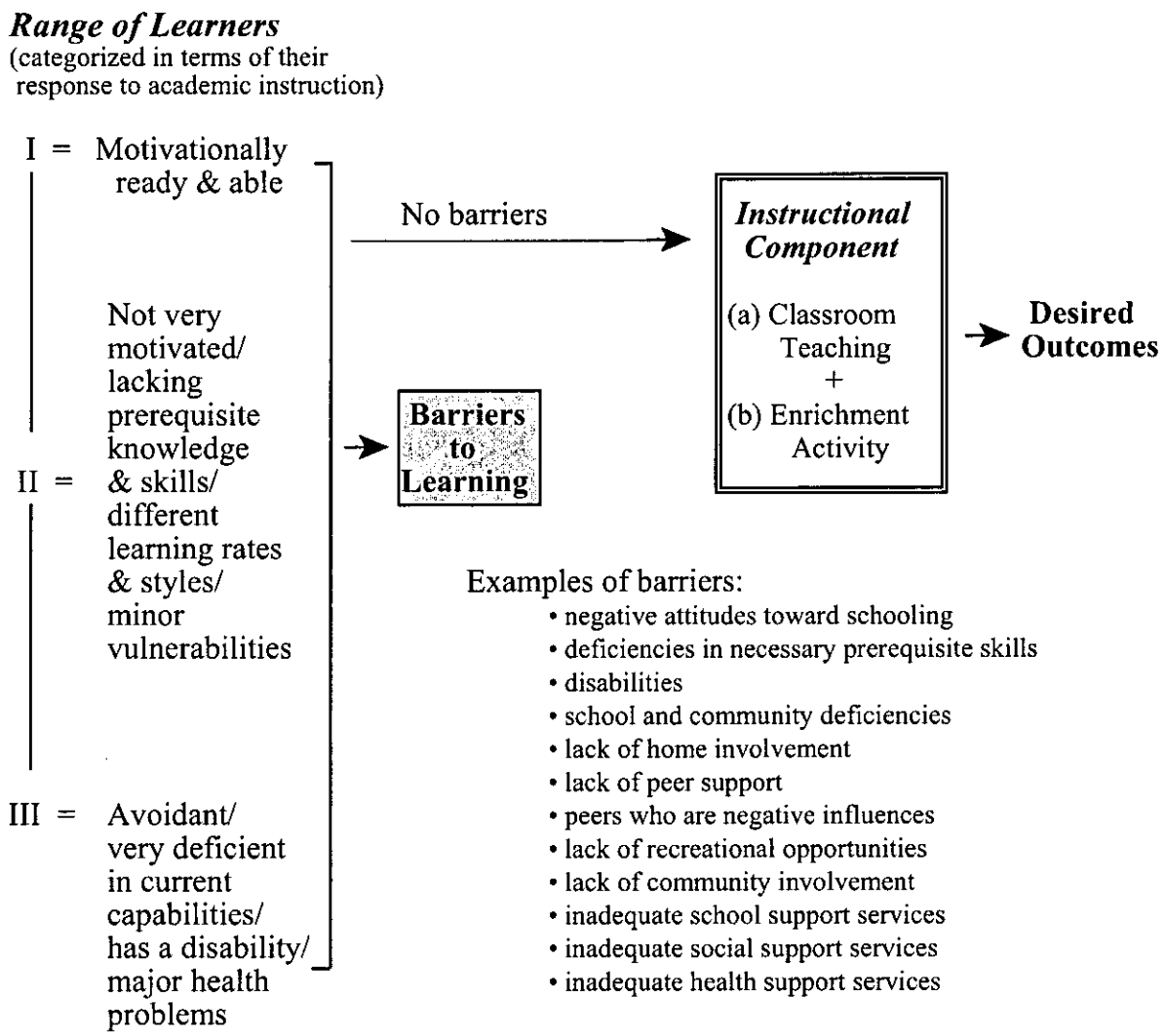
Most learning, behavior, and emotional problems seen in schools are rooted in failure to address external barriers and learner differences in a comprehensive manner. And, the problems are exacerbated as youngsters internalize the frustrations of confronting barriers and experience the debilitating effects of performing poorly at school.

How many are affected? Figures vary. An estimate from the Center for Demographic Policy suggests that 40% of young people are in bad educational shape and therefore will fail to fulfill their promise. The reality for many large urban schools is that well-over 50% of their students manifest significant learning, behavior, and emotional problems. For a large proportion of these youngsters, the problems are rooted in the restricted opportunities and difficult living conditions associated with poverty.

The litany of barriers to learning is all too familiar to anyone who lives or works in communities where families struggle with low income. In such neighborhoods, school and community resources often are insufficient to the task of providing the type of basic (never mind enrichment) opportunities found in higher income communities. The resources also are inadequate for dealing with such threats to well-being and learning as health problems, difficult family circumstances, gangs, violence, and drugs. Inadequate attention to language and cultural considerations and to high rates of student mobility creates additional barriers not only to student learning but to efforts to involve families in youngsters' schooling. Such conditions are breeding grounds for frustration, apathy, alienation, and hopelessness.

It would be a mistake, however, to think only in terms of poverty. As recent widely-reported incidents underscore, violence is a specter hanging over all schools. And, while guns and killings capture media attention, other forms of violence affect and debilitate youngsters at every school. Even though there isn't good data, those who study the many faces of violence tell us that large numbers of students are caught up in cycles where they are the recipient or perpetrator (and sometimes both) of physical and sexual harassment ranging from excessive teasing and bullying to mayhem and major criminal acts.

Figure 1. Barriers to Learning*



*Although a few youngster start out with internal problems and many others internalize negative experiences, there can be little doubt that external factors are primarily responsible for the majority of learning, behavior, and emotional problems encountered in schools.

Adapted from: H.S. Adelman & L. Taylor (1994). *On understanding intervention in psychology and education.* Westport, CT: Prager.

What Do Schools Do to Address Barriers to Learning?

School policy makers have a long-history of trying to assist teachers in dealing with problems that interfere with school learning. This includes providing a variety of school-owned counseling, psychological, and social service programs. It also includes enhancing school linkages with community service agencies and other neighborhood resources. Paralleling these efforts is a natural interest in promoting healthy development. Despite all this, it remains the case that too little is being done, and prevailing approaches are poorly conceived.

School-Owned Programs and Services

Almost all schools flirt with some forms of preventive and corrective activity focused on specific types of concerns, such as learning problems, substance abuse, violence, teen pregnancy, school dropouts, delinquency, and so forth. Some programs are provided throughout a school district, others are carried out at or linked to targeted schools. The interventions may be designed to benefit all students in a school, those in specified grades, and/or those identified as having special needs. The activities may be implemented in regular or special education classrooms and may be geared to an entire class, groups, or individuals; or they may be designed as "pull out" programs for designated students. They encompass ecological, curricular, and clinically oriented activities.

Most school-owned programs and services are offered by pupil services personnel. Federal and state mandates and special projects tend to determine how many pupil services professionals are employed. Governance of their daily practices usually is centralized at the school district level. In large districts, counselors, psychologists, social workers, and other specialists may be organized into separate units. Such units straddle regular, special, and compensatory education.

. . . few schools come close to being to do the job that is needed

On paper, it looks like a lot. It is common knowledge, however, that few schools come close to having enough. Most offer only bare essentials. Too many schools can't even meet basic needs. Primary prevention really is only a dream. Analyses of the situation find that programs are planned, implemented, and evaluated in a piecemeal manner. Not only are they carried on in relative isolation of each other, a great deal of the work is oriented to discrete problems and overrelies on specialized services for individuals and small groups. In some schools, a student identified as at risk for grade retention, dropout, and substance abuse may be assigned to three counseling programs operating independently of each other. Such fragmentation not only is costly, it works against good results.

School-Community Collaborations

In recent years, renewed interest in school-community collaborations has included a focus on enhancing health, mental health, and social services for students and their families. State-wide initiatives are being tested across the country. The work has fostered such concepts as *school linked services, coordinated and integrated services, wrap-around services, one-stop shopping, full service schools,* and *community schools.* Where initiatives have incorporated a wellness model, youth development concepts such as *promoting protective factors, asset-building,* and *empowerment* also are in vogue.

Not surprisingly, early findings primarily indicate how hard it is to establish collaborations. Still, a reasonable inference from available data is that school-community partnerships can be successful and cost effective over the long-run. By placing staff at schools, community agencies make access easier for students and families -- especially those who usually are underserved and hard to reach. Such efforts not only provide services, they seem to encourage schools to open their doors in ways that enhance recreational, enrichment, and remedial opportunities and greater family involvement. Analyses of these programs suggest better outcomes are associated with empowering children and families, as well as with having the capability to address diverse constituencies and contexts. Many families using school-based centers become interested in contributing to school and community. They provide social support networks for new students and families, teach each other coping skills, participate in school governance, and help create a psychological sense of community. At the same time, the problem of fragmentation is compounded in many locales as community services are brought to school campuses. This happens because the prevailing approach is to coordinate *community* services and *link* them to schools in ways that *co-locate* rather than integrate them with the ongoing efforts of school staff.

. . . the trend is to co-locate services at a school rather than integrating them with the ongoing efforts of school staff

And Everything is Marginalized!

Policymakers have come to appreciate the relationship between limited intervention efficacy and the widespread tendency for complementary programs to operate in isolation. Limited efficacy does seem inevitable as long as interventions are carried out in a piecemeal fashion. The call for "integrated" services clearly is motivated by a desire to reduce redundancy, waste, and ineffectiveness resulting from fragmentation.

Unfortunately, the focus on fragmentation ignores the overriding problem, namely that all efforts to address barriers to learning and promote healthy development are *marginalized* in policy and practice. Clearly, the majority of school counseling, psychological, and social service programs are viewed as supplementary -- often referred to as support or auxiliary services.

The degree to which marginalization is the case is seen in the lack of attention given such activity in school improvement plans and certification reviews. School policy makers deal with such programs on an ad hoc basis and continue to ignore the need for reform and restructuring in this arena. Community involvement also is a marginal concern at most schools.

In short, policies shaping current agendas for school and community reforms are seriously flawed. Although fragmentation is a significant problem, marginalization is the more fundamental concern. Yet concern about marginalization is not even on the radar screen of most policy makers.

Expanding School Reform

While higher standards and accountability are necessary ingredients in the final recipe for school reform, they are insufficient for turning around most schools that are in trouble. At such schools, overreliance on raising the bar and demands for rapid test score increases may even be counterproductive because they force attention away from addressing the multitude of overlapping factors that interfere with effective learning and teaching.

. . . short shrift is given to student support programs

The present situation is one where, despite awareness of the many barriers to learning, education reformers continue to concentrate *mainly* on improving *instruction* (efforts to directly facilitate learning) and the *management and governance* of schools. Then, in the naive belief that a few health and social services will suffice in addressing barriers to learning, they talk of "integrated health and social services." And, in doing so, more attention has been given to linking sparse community services to school sites than to restructuring school programs and services designed to support and enable learning. The short shrift given to "support" programs and services by school reformers continues to marginalize activity that is essential to improving student achievement.

. . . comprehensive, multifaceted approaches are needed to enable all students to benefit from high standards and improved teaching

Ultimately, addressing barriers to development and learning must be approached from a societal perspective and with fundamental systemic reforms. The reforms must lead to development of *a comprehensive, integrated continuum of programs*. Such a continuum must be multifaceted and woven into three overlapping school-community systems: systems of prevention; systems of early intervention to address problems as soon after onset as feasible; and systems of care for those with chronic and severe problems. All of this encompasses an array of programmatic activity that must effectively (a) enhance regular classroom strategies to improve instruction for students with mild-to-moderate behavior and learning problems, (b) assist students and families as they negotiate the many school-related transitions, (c) increase home and community involvement with schools, (d) respond to and prevents crises, and (e) facilitate student and family access to specialized services when necessary. While schools can't do everything needed, they must play a much greater role in developing the programs and systems that are essential if *all* students are to benefit from higher standards and improved instruction.

Establishment of a comprehensive, integrated approach to address barriers to development and learning effectively requires cohesive policy that facilitates the blending of resources. In schools, this includes restructuring to combine parallel efforts supported by general funds, compensatory and special education entitlements, safe and drug free school grants, and specially funded projects. In communities, the need is for better ways of connecting agency and other resources to each other and to schools. The aim is cohesive and potent school-community partnerships. With proper policy support, a comprehensive approach can be woven into the fabric of every school, and neighboring schools can be linked to share limited resources and achieve economies of scale.

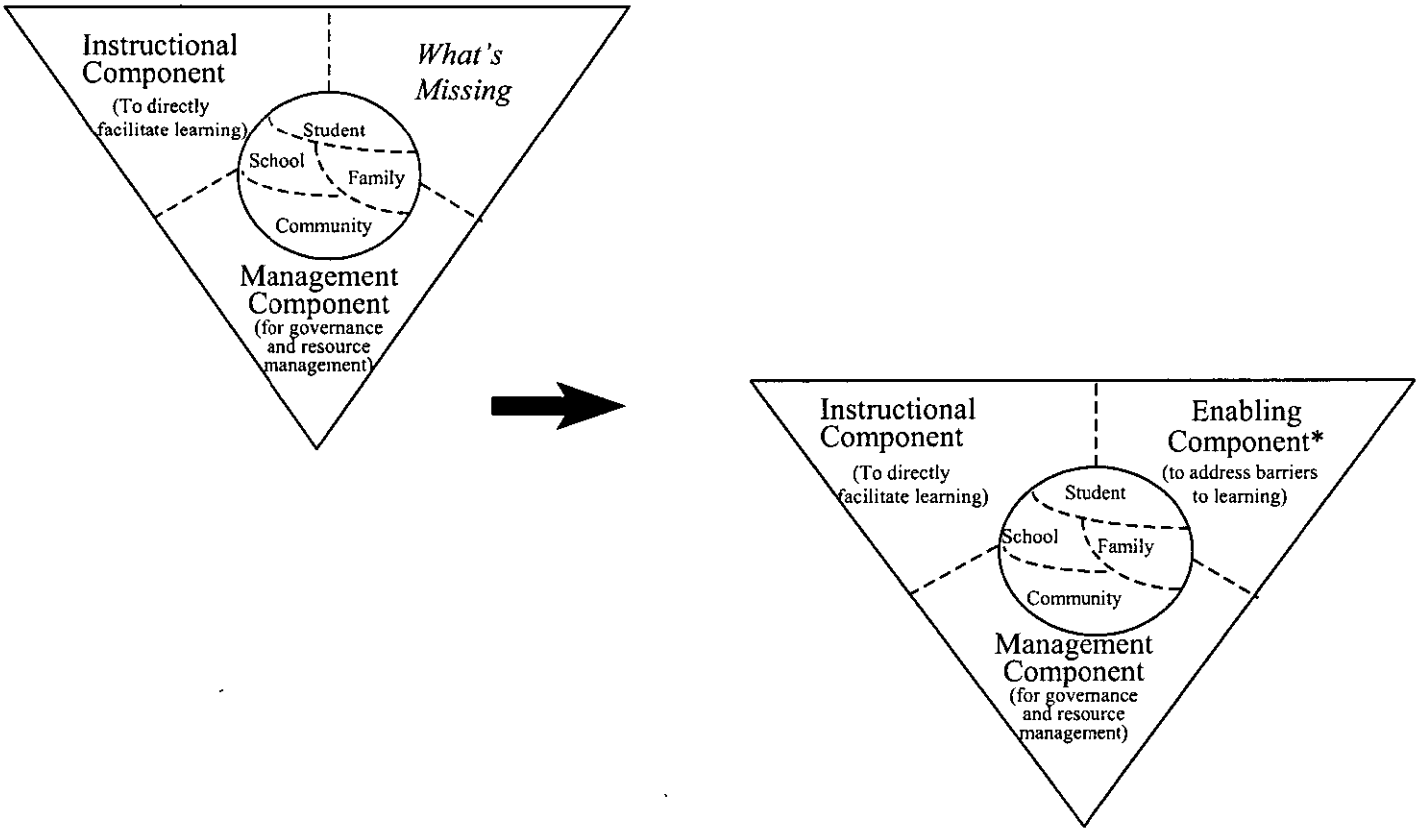
Restructuring Support Services is Key to
Enhancing Educational Results

Policy makers have yet to come to grips with the realities of addressing barriers to learning and teaching. Current initiatives must be rethought, and elevated in policy status so they are on a par with the emphasis on reforming the instructional and management components of schooling. Concentrating on matters such as curriculum and pedagogical reform, standard setting, decentralization, professionalization of teaching, shared decision making, and parent partnerships clearly is necessary but certainly is not sufficient given the nature and scope of barriers that interfere with school learning and performance among a large segment of students. As long as the movement to restructure education primarily emphasizes the instructional and management components, too many students in too many schools will not benefit from the reforms. Thus, the demand for significant improvements in achievement scores will remain unfulfilled.

Clearly, there is a policy void surrounding the topic of restructuring school-operated interventions that address barriers to teaching and learning. Current policy focuses primarily on linking community services to schools and downplays a new role for existing school resources. This perpetuates an orientation that over-emphasizes individually prescribed services and results in fragmented community-school linkages. All this is incompatible with efforts to develop a truly comprehensive, integrated approach to ameliorating problems and enhancing educational results.

It is time for reform advocates to expand their emphasis on improving instruction and school management to include a *comprehensive* component for addressing barriers to learning (see Figure 2). And in doing so, they must pursue this third component with the same level of priority they devote to the other two. That is, such an enabling (or learner support) component must be a primary and essential facet of school reform. This will require shifting policy to push school reform beyond the current tendency to concentrate mainly on instruction and management. School reformers like to say their aim is to ensure *all* children succeed. We think that this third component is the key to making *all* more than the rhetoric of reform.

Figure 2. Moving from a two to a three component model for reform and restructuring



*The third component (an enabling component) is established in policy and practice as primary and essential and is developed into a comprehensive approach by weaving together school and community resources.

What Are the Benefits of Enhancing the Focus on Addressing Barriers to Learning?

As with all school reform, the first and foremost concern is improving student academic performance and achievement. The reality is that the best instructional reforms cannot produce the desired results for a large number of students as long as schools do not have comprehensive approaches for addressing external and internal barriers to learning and teaching. And, it is evident that schools are not developing such approaches because current policy marginalizes and fragments the emphasis on these matters.

The most fundamental benefits to be accrued from increasing the focus on these concerns are enhanced educational results

Those who already have begun restructuring support services stress that the reforms contribute to

- formulation of a major policy framework and specific recommendations for ways to improve district efforts to address barriers to student learning and enhance healthy development
- ongoing monitoring of and pressure for progress related to district reforms for addressing barriers (e.g., early intervention as a key aspect for dealing with the problems of social promotion, expulsion, dropout, and growing numbers referred for special education)
- provision of a morale-boosting open forum for line staff and community to hear about proposed changes, offer ideas, and raise concerns
- connecting community agency resources to the district and sensitizing agency staff to district concerns in ways that contribute to improved networking among all concerned

...and there are other benefits as well

- regular access by board members and district staff, *without fees,* to an array of invaluable expertise from the community to explore how the district should handle complex problems arising from health and welfare reforms and the ways schools should provide learning supports
- expanding the informed cadre of influential advocates supporting district reforms

Some Models

Several reform initiatives already are exploring the power of moving from a two to a three component framework to ensure barriers to development and learning are addressed appropriately. Such an expanded approach is seen in the exciting work underway in the Memphis City Schools and in the break-the-mold design developed by the New American Schools' Urban Learning Centers (see Figure 3 and Exhibit A). These models provide a blueprint for how schools and communities can collaborate in developing a comprehensive, multifaceted component to address barriers to learning and promote healthy development.

Such pioneering efforts offer new hope to students, parents, and teachers. They can play a major role for society by creating caring and supportive learning environments that maximize achievement and well-being for all youngsters. They can also help strengthen neighborhoods and communities. There can be little doubt that prevailing approaches to school reform are insufficient. The next step must be a total restructuring of all education support programs and services -- including counseling, psychological, social services, special and compensatory education programs, safe and drug free school programs, student assistance programs, transition programs, some health education efforts, and more. To do any less is to maintain a very unsatisfactory status quo.

Addressing Barriers *and* Promoting Healthy Development

We hasten to stress that a focus on addressing barriers to development and learning is not at odds with the "paradigm shift" that emphasizes assets, strengths, protective factors, and resilience. The value of promoting healthy development and primary prevention is both evident and in need of continuous advocacy. At the same time, we know that too many youngsters are growing up and going to school in situations that not only do not promote healthy development but are antithetical to the process.

Commitment to enhancing child and youth development and improving instruction can help redress these conditions. But, effective prevention also requires direct and comprehensive action designed to remove or at least minimize the impact of barriers -- hostile environments, individual vulnerabilities, and true disabilities and disorders. Otherwise, such barriers will continue to interfere with youngsters benefiting from programs designed to promote development and provide the best possible instruction

In addressing barriers to learning at schools, much of the intervention focus must be on enhancing the school-wide and classroom environment, and also connecting with the community to prevent problems and enhance every youngster's strengths. At the same time, for the few individuals who need something more, schools and communities, separately and working together, must provide essential supports and assistance. No paradigm shift can afford to ignore these matters or assume that they will be rectified if only schools will make a greater commitment to youth development. It's not a matter of either/or. It's not about a positive vs. a negative emphasis (or excusing or blaming anyone). And, it's not about what's wrong vs. what's right with kids. It is about developing and building on assets, strengths, protective factors, resilience. It also is about continuing to face up to the reality of major extrinsic barriers, as well as problem conditions that are intrinsic to or have become internalized by some youngsters. We all share the responsibility of promoting healthy development *and* addressing barriers.

Figure 3. A model for an enabling component at a school site

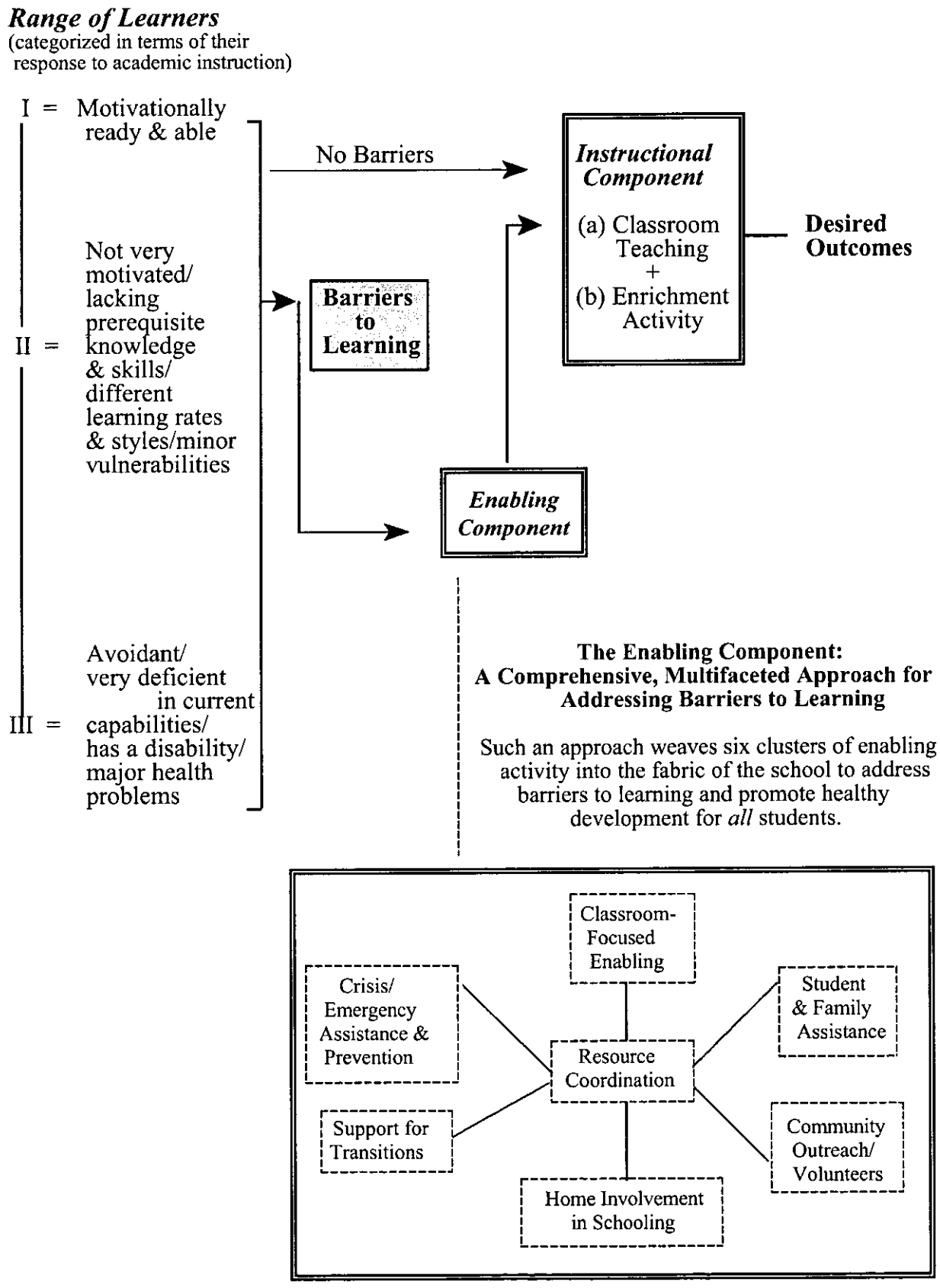


Exhibit A: School Improvement Expansion at the District Level

Having made good progress related to instruction and management concerns, districts must move on to expand the agenda for school improvement to encompass a third component to address factors interfering with students taking full advantage of academic improvements. This expansion is seen as especially critical in districts where the student population is characterized by high levels of poverty and family/community problems. In such districts, the majority of students are described as experiencing a myriad of social, economic, health, and environmental factors that present barriers to learning. As a result, too many begin school lacking necessary home supports and the emotional, social, and cognitive developmental readiness to take advantage of instructional and curricular improvements. And, with each passing day, too many manifest increasing skill deficits and negative attitudes that worsen their plight.

Recognizing the need to expand school reform, a district superintendent needs to establish a design team to develop a plan for restructuring the district's efforts to provide student and learning supports. This team can include community representatives. The task involves rethinking and reframing how internal and external resources can be restructured to help school sites develop a comprehensive, multifaceted and integrated component for dealing with factors interfering with student achievement.

An example from one district: In a plan, entitled *Adding Value, Enhancing Learning,* proposed major systemic changes build on the premise that, for all children to succeed, "... reform efforts must include the following three components: instruction, management, and enabling. Establishment of the enabling component is key to the vision of improved opportunities for students to overcome barriers to learning...."

The plan goes on to state: "...The need to ensure the success of the district's mission, goals, and on-going reforms makes it imperative that we move expeditiously to start a process of developing such a component at every school. By moving from fragmented and supplementary "support services" to a comprehensive, multifaceted and integrated component for addressing barriers to learning, schools can enhance the impact of instructional reforms and increase student achievement."

"Furthermore, for children to succeed:

- Whole communities must take responsibility for supporting families. School success must become the goal of every social system -- not just of the schools.
- Partnerships among schools, families, and community resources must support the efforts of teachers rather than create a new set of responsibilities and must also strengthen families and neighborhoods.
- Better linkages must be made between schools and all community resources in ways that foster mutual respect, flexibility, family and community focus, and attention to relationships."

As outlined in the plan: "Implementation of an enabling component to address barriers to student growth and development requires building an infrastructure which will bring resources to the school to meet the needs identified by the school staff and the community. ... Careful attention has been given to the role shift of central office from that of control to support."

The intent of such a plan, overtime, is to expand district school improvement policy, planning, and action to fully integrate development of a comprehensive system of learning supports with an enabling component at each school. The overriding aim of the systemic changes is to expedite the goals of school improvement – with the focus being, first and foremost, on fostering academic achievement, well-being, and success for **ALL** children.

Appendix A

Why Restructure Student Support Resources?*

Ultimately, there must be a focus on restructuring all school and community resources that aim at countering youngsters' learning, behavior, emotional, and health problems. From a practical perspective, restructuring the work of school-owned student support services and programs is the key to enhancing educational results. Therefore, we must begin by building around ideas for enhancing school reform policies and their relationship to initiatives to link community services to school sites.

As currently constituted school-owned support services and services in the community that are linked to schools reflect both strengths and weaknesses. Most school-based and linked services target specific types of problems, such as the need to make schools safe, disciplined, and drug free, the need to do something about youngsters who are failing or who may drop out of school, the need to provide special assistance for students who are diagnosed as exceptional children, the need to reduce teen pregnancy or assist pregnant and parenting minors to complete their education, and on and on. Such services have the potential to make things better for youngsters, their families, schools, neighborhoods, and society in general. However, this potential is undercut by serious shortcomings in prevailing policy and practice related to both arenas of activity.

*As an aid in pursuing such restructuring, the Center has developed a *Policymakers' Guide to Restructuring Student Support Resources to Address Barriers to Learning*. This guidebook is available upon request and for the cost of copying and handling.

To be specific:

Current models can't provide for the many in need

- In current practice, school-owned education supports tend to overemphasize use of individual and small group interventions and underemphasize school-wide approaches and community partner-ships. Thus, specialists only are able to assist a small proportion of the large number of youngsters in poor urban and rural schools who are experiencing barriers to learning.

  With so many youngsters experiencing problems, schools should be adopting new models that use support personnel and resources more effectively. Unfortunately, despite all the emphasis on school reform, this has not happened. Policy and practice related to school owned support services have gone relatively unchanged throughout the recent reform era. This might not be much of a problem if current school reforms effectively addressed barriers to learning and teaching. They do not. School policymakers must quickly move to embrace new school-wide and community-oriented models for dealing with factors that interfere with learning and performance. Then, schools must restructure use of existing education support personnel and resources in ways that ensure the new models are carried out effectively.

Co-located services are sparse and often do not connect with school-owned programs

- Because school-owned support services are unable to meet a school's needs when large numbers of youngsters are not doing well, there has been a tendency for some advocates to espouse school-linked services as a strategy to solve the problem. Co-locating community services on campuses can provide increased access. However, given how sparse such services are in poor communities, it is clear that this approach can benefit only a relatively few youngsters at a few schools.

  Moreover, in co-locating services, community agencies often do not take adequate steps to integrate with existing school programs. This results in a "parallel play" approach to providing services at school sites that generates a new form of intervention fragmentation. Even worse, in the long run the emphasis on school-linked services may reduce the total pool of resources by encouraging use of contracted services *in place of* school-owned services.

Efforts to Address Barriers to Learning are Marginalized

Underlying the shortcomings of current approaches and the problems of service fragmentation and access is an even more fundamental problem: the degree to which efforts to address barriers to learning are *marginalized* in policy and daily practice.

School reform initiatives primarily stress higher standards, higher expectations, assessment, better instruction, waivers, accountability, and no excuses. The irony is that it is widely recognized that these are insufficient considerations when a school has a large number of poorly performing youngsters . Some school reformers, albeit usually in passing, do cite the potential value of integrated health and social services and school-based centers. Nevertheless, in many districts, a school-by-school analysis will show most sites continue to have difficulty assisting more than a relatively small proportion of students. And, little serious attention is given to clarifying what is really necessary for addressing the various external and internal factors responsible for the majority of problems.

Given the marginalized status, it is not surprising that what most schools offer to address barriers to learning are discrete interventions and time-limited "soft" money projects -- often designed to respond to severe problems and crises. Early-after-onset interventions are rare. Prevention remains an unfulfilled dream. What a school needs is a *comprehensive, multifaceted, and integrated approach for addressing barriers to development, learning, parenting, and teaching.* Yet, almost no thought is given to restructuring current efforts and weaving school- and community-owned resources together to create such an approach. Most "reforms" in this arena do little more than co-locate a few community services at select schools.

As long as efforts to address barriers to learning and teaching are marginalized, reforms to reduce fragmentation and increase access are seriously hampered. Prevailing reforms are likely to produce additional piecemeal approaches, thereby exacerbating the situation. Moreover, the desired impact on learning and performance will not be achieved and desired increases in achievement test score averages will remain elusive.

Needed:
A Policy Framework for Addressing Barriers to Learning and Teaching

The bottom line is that most schools are devoting relatively little serious attention to restructuring their activity for addressing barriers and do not integrate such activity with school reforms. And, this is likely to remain the case as long as new directions for developing improved approaches continue to be a low priority in both policy and practice. A major problem, then, is how to elevate the level of priority policy makers assign to establishing and maintaining comprehensive, multifaceted, and integrated approaches to addressing barriers to learning and promoting healthy development.

Policy must foster a full continuum of integrated systems to enable learning

Related to this problem is the lack of an *explicit policy framework* outlining the nature of comprehensive approaches. Such a framework must be articulated and pursued as a primary and essential component of the reform agenda at the district level and at each school and must be well-integrated with ongoing strategies to improve instruction and management. It is needed to shape development of a continuum of intervention systems focused on individual, family, and environmental barriers. Such a continuum includes systems of prevention, systems of early intervention to address problems as soon after onset as feasible, and systems of care for those with chronic and severe problems. From this perspective, a policy emphasis on developing these systems and implementing them seamlessly is the key not only to unifying fragmented activity, but to using all available resources in the most productive manner.

Policy also must delineate basic areas for developing school-wide approaches for addressing barriers to learning

As should be clear by this point, developing comprehensive, multifaceted, and integrated approaches requires *more than* outreach to link with community resources (and certainly more than adopting a school-linked services model), *more than* coordinating school-owned services, *more than* coordinating school services with community services, and *more than* creating Family Resource Centers and Full Service Schools. None of these constitute school-wide approaches, and the growing consensus is that school-wide and, indeed, community-wide approaches are essential.

Unfortunately, when it comes to addressing barriers to learning, schools have no guidelines delineating basic areas around which to develop school and community-wide approaches. Thus, it is not surprising that current reforms are not generating potent, multifaceted, integrated approaches.

Getting From Here to There

Efforts to restructure how schools operate require much more than implementing demonstrations at a few sites. Improved approaches are only as good as a school district's ability to develop and institutionalize them at every school. This process often is called diffusion, replication, roll out, or scale-up.

In pursuing major systemic restructuring, a complex set of interventions is required. These must be guided by a sophisticated scale-up model that addresses substantive organizational changes at multiple levels. A scale-up model is a tool for systemic change. It addresses the question "How do we get from here to there?" Such a model is used to implement a vision of organizational aims and is oriented toward results.

Successful systemic change begins with a model that addresses the complexities of scale-up

The vision for *getting from here to there* requires its own framework of steps, the essence of which involves establishing mechanisms to address key phases, tasks, and processes for systemic change. These include creating an infrastructure and operational mechanisms for

- *creating readiness:* enhancing the climate/culture for change;
- *initial implementation:* adapting and phasing-in a prototype with well-designed guidance and support;
- *institutionalization:* ensuring the infrastructure maintains and enhances productive changes;
- *ongoing evolution*: creative renewal.

Restructuring Support Services from the school outward

The focus is first on what is needed at the school-level . . .

From a decentralized perspective and to maintain the focus on evolving a comprehensive continuum of programs/services at *every school site,* it is a good idea to conceive the process of restructuring from the school outward. That is, first the focus is on school level mechanisms related to the component to address barriers to learning and teaching. Then, based on analyses of what is needed to facilitate and enhance school level efforts, mechanisms are conceived that enable groups or "families" of schools to work together to increase efficiency and effectiveness and achieve economies of scale. Then, system-wide mechanisms can be (re)designed to support what each school and family of schools are trying to develop.

. . . then on what families of schools and system-wide resources can do to support each school's approach for addressing barriers to learning and teaching

An infrastructure of organizational and operational mechan-isms for a school, multiple school sites, and system-wide are required for oversight, leadership, resource development, and ongoing support. Such mechanisms provide ways to (a) arrive at decisions about resource allocation, (b) maximize system-atic and integrated planning, implementation, maintenance, and evaluation of enabling activity, (c) outreach to create formal working relationships with community resources to bring some to a school and establish special linkages with others, and (d) upgrade and modernize the component to reflect the best intervention thinking and use of technology. At each system level, these tasks require that staff adopt some new roles and functions and that parents, students, and other representatives from the community enhance their involve-ment. They also call for redeployment of existing resources, as well as finding new ones.

Key steps involved in restructuring and specific mechanisms needed at each level are discussed. At the school level, possible mechanisms include school-based program teams, a site resource coordinating team, a site administrative leader, and a staff lead. For a group of schools working together, the essential mechanism is a multisite resource coordinating council. System-wide the need is for a district leader for the component, a leadership group, and a resource coordinating group. A cadre of "organization facilitators" provide a unique mechanism for facilitating change throughout the system. From a policy perspective, it is recommended that the district's Board establish a standing committee focused specifically on the component to address barriers. Appended discussions expand on key points, and some resource tools also are included to aid those who undertake the reforms.

Awareness of the myriad political and bureaucratic difficulties involved in making major institutional changes, especially with limited financial resources, leads to the caution that the type of large-scale restructuring described is not a straight-forward sequential process. Rather, the changes emerge in overlapping and spiraling phases.

Appendix B

*School-Community Partnerships**

Recent years have seen an escalating expansion in school-community linkages. Initiatives are sprouting in a rather dramatic and ad hoc manner.

These efforts could improve schools, strengthen neighborhoods, and lead to a marked reduction in young people's problems. Or, such "collaborations" can end up being another reform effort that promised a lot, did little good, and even did some harm. It is time to document and analyze what has developed and move forward with a renewed sense of purpose and direction.

Why School-Community Partnerships?

Increasingly, it is evident that schools and communities should work closely with each other to meet their mutual goals. Schools find they can provide more support for students, families, and staff when they are an integral and positive part of the community. Reciprocally, agencies can make services more accessible to youth and families by linking with schools, and they can connect better with and have an impact on hard-to-reach clients. The interest in working together is bolstered by concern about widespread fragmentation of school and community interventions. The hope is that by integrating available resources, a significant impact can be made on "at risk" factors. In particular, appropriate and effective collaboration and teaming are seen as key facets of addressing barriers to development, learning, and family self-sufficiency.

Policy makers must realize that, as important as it is to reform and restructure health and human services, such services remain only one facet of a comprehensive, cohesive approach for strengthening families and neighborhoods.

While informal school-community linkages are relatively simple to acquire, establishing major long-term connections is complicated. They require vision, cohesive policy, and basic systemic reform. The difficulties are readily seen in attempts to evolve a comprehensive, multifaceted, and integrated continuum of school-community interventions. Such a comprehensive continuum involves more than connecting with the community to enhance resources to support instruction, provide mentoring, and improve facilities. It involves more than school-linked, integrated services and activities. It requires weaving school and community resources together in ways that can only be achieved through connections that are formalized and institutionalized, with major responsibilities shared.

*As an aid in pursuing such partnerships, the Center has developed a guidebook entitled; *School-Community Partnerships: A Guide.* This resources is available upon request and for the cost of copying and handling.

What are School-Community Partnerships?

School-community partnerships often are referred to as collaborations. Optimally, such partnerships formally blend together resources of at least one school and sometimes a group of schools or an entire school district with resources in a given neighborhood or the larger community. The intent is to sustain such partnerships over time. The range of entities in a community are not limited to agencies and organization; they encompass people, businesses, community based organizations, postsecondary institutions, religious and civic groups, programs at parks and libraries, and any other facilities that can be used for recreation, learning, enrichment, and support.

School-community partnerships can weave together a critical mass of resources and strategies to enhance caring communities that support all youth and their families and enable success at school and beyond. Strong school-community connections are critical in impoverished communities where schools often are the largest piece of public real estate and also may be the single largest employer. Comprehensive partnerships represent a promising direction for generating essential interventions to address barriers to learning, enhance healthy development, and strengthen families and neighborhoods. Building such partnerships requires an enlightened vision, creative leadership, and new and multifaceted roles for professionals who work in schools and communities, as well as for all who are willing to assume leadership.

In thinking about school-community partnerships, it is essential not to overemphasize the topics of coordinating community services and co-locating services on school sites. Such thinking downplays the need to also restructure the various education support programs and services that schools own and operate. And, it has led some policy makers to the mistaken impression that community resources can effectively meet the needs of schools in addressing barriers to learning. In turn, this has led some legislators to view the linking of community services to schools as a way to free-up the dollars underwriting school-owned services. The reality is that even when one adds together community and school assets, the total set of services in impoverished locales is woefully inadequate. In situation after situation, it has become evident that as soon as the first few sites demonstrating school-community collaboration are in place, community agencies find they have stretched their resources to the limit.

A Growing Movement

Projects across the country demonstrate how schools and communities connect to improve results for youngsters, families, and neighborhoods. Various levels and forms of school-community collaboration are being tested, including state-wide initiatives in California, Florida, Kentucky, Missouri, New Jersey, Ohio, and Oregon, among others. The aims are to improve coordination and eventually integrate many programs and enhance linkages with school sites. To these ends, projects incorporate as many health, mental health, and social services as feasible into "centers" (including school-based health centers, family and parent centers) established at or near a school. They adopt terms such as school-linked and coordinated services, wrap-around, one-stop shopping, full service schools, systems of care, and community schools. There are projects to (a) improve access to health and social services, (b) expand after school academic, recreation, and enrichment, (c) build systems of care, (d) reduce delinquency, (e) enhance transitions to work/career/post-secondary education, and (f) enhance life in school and community.

Such "experiments" have been prompted by diverse initiatives:

- some are driven by school reform
- some are connected to efforts to reform community health and social service agencies
- some stem from the youth development movement
- a few arise from community development initiatives.

For example, initiatives for school-linked services often mesh with the emerging movement to enhance the infrastructure for youth development. This growing youth development movement encompasses concepts and practices aimed at promoting protective factors, asset-building, wellness, and empowerment. Included are (a) some full service school approaches, (b) efforts to establish "community schools," (c) programs to mobilize community and social capital, and (d) initiatives to build community policies and structures to enhance youth support, safety, recreation, work, service, and enrichment. This focus on community embraces a wide range of stakeholders, including families and community based and linked organizations such as public and private health and human service agencies, schools, businesses, youth and faith organizations, and so forth. In some cases, institutions for postsecondary learning also are involved, but the nature and scope of their participation varies greatly, as does the motivation for the involvement. Youth development initiatives expand intervention efforts beyond services and programs. They encourage a view of schools not only as community centers where families can easily access services, but also as hubs for community-wide learning and activity. Increased federal funding for after school programs at school sites enhances this view by expanding opportunities for recreation, enrichment, academic supports, and child care. Adult education and training at neighborhood school sites also help change the old view that schools close when the youngsters leave. Indeed, the concept of a "second shift" at school sites is beginning to spread in response to community needs.

No complete catalogue of school-community initiatives exists. Examples and analyses suggesting trends are summarized in this document. A reasonable inference from available data is that school-community collaborations can be successful and cost effective over the long-run. They not only improve service access, they encourage schools to open their doors and enhance opportunities for recreation, enrichment, remediation and family involvement. However, initiatives for enhancing school-community collaboration have focused too heavily on integrated school-linked services. In too many instances, school-linked services result only in co-locating agency staff on school campuses. As these activities proceed, a small number of youngsters receive services, but little connection is made with school staff and programs, and thus, the potential impact on academic performance is minimized.

Recommendations to Enhance School-Community Partnerships

School-community partnerships must not be limited to linking services. Such partnerships must focus on using all resources in the most cost-effective manner to evolve the type of comprehensive, integrated approaches essential for addressing the complex needs of all youngsters, families, schools, and neighborhoods. This includes a blending of many public and private resources. To these ends, a high priority policy commitment at all levels is required that (a) sup-ports the strategic development of comprehensive approaches by weaving together school and community resources, (b) sustains partnerships, and (c) generates renewal. In communities, the need is for better ways of connecting agency and other resources to each other and to schools. In schools, there is a need for restructuring to combine parallel efforts supported by general funds, compensatory and special education entitlement, safe and drug free school grants, and specially funded projects. In the process, efficiency and effect-iveness can be achieved by connecting families of schools, such as high schools and their feeder schools.

School-community partnerships require a cohesive set of policies. Cohesive policy will only emerge if current policies are revisited to reduce redundancy and redeploy school and community resources that are used ineffectively. Policy must

- move existing *governance* toward shared decision making and appropriate degrees of local control and private sector involvement -- a key facet of this is guaranteeing roles and providing incentives, supports, and training for effective involvement of line staff, families, students, and other community members

- create *change teams and change agents* to carry out the daily activities of systemic change related to building essential support and redesigning processes to initiate, establish, and maintain changes over time

- delineate high level *leadership assignments* and underwrite essential *leadership/manage-ment training* re. vision for change, how to effect such changes, how to institutionalize the changes, and generate ongoing renewal

- establish institutionalized *mechanisms to manage and enhance resources* for school-community partnerships and related systems (focusing on analyzing, planning, coordin-ating, integrating, monitoring, evaluating, and strengthening ongoing efforts)

- provide adequate funds for *capacity building* related to both accomplishing desired system changes and enhancing intervention quality over time -- a key facet of this is a major investment in staff recruitment and development using well-designed, and technologically sophisticated strategies for dealing with the problems of frequent turnover and diffusing information updates; another facet is an investment in technical assistance at all levels and for all aspects and stages of the work

- use a sophisticated approach to *accountability* that initially emphasizes data that can help develop effective approaches for collaboration in providing interventions and a results-oriented focus on short-term benchmarks and that evolves into evaluation of long-range indicators of impact. (Here, too, technologically sophisticated and integrated management information systems are essential.)

Such a strengthened policy focus would allow personnel to build the continuum of interventions needed to make a significant impact in addressing the health, learning, and well being of all youngsters through strengthening youngsters, families, schools, and neighborhoods.

Guidelines and Strategies for Building and Maintaining School-Community Partnerships

Adopting a scale-up model. Establishing effective school-community partnerships involves major systemic restructuring. Moving beyond initial demonstrations requires policies and processes that ensure what often is called diffusion, replication, roll out, or scale-up. Too often, proposed systemic changes are not accompanied with the resources necessary to accomplish essential changes throughout a county or even a school-district. Common deficiencies include inadequate strategies for creating motivational readiness among a critical mass of stakeholders, assignment of change agents with relatively little specific training in facilitating large-scale systemic change, and scheduling unrealistically short time frames for building capacity to accomplish desired institutional changes. The process of scale-up requires its own framework of steps, the essence of which involves establishing mechanisms to address key phases, tasks, and processes for systemic change. These are described in Appendix E of this document. Fourteen steps for moving school-community partnerships from projects to wide-spread practice are outlined.

Building from localities outward. From a decentralized perspective and to maintain the focus on evolving a comprehensive continuum of programs/services that plays out in an effective manner in *every locality,* it is a good idea to conceive the process from localities outward. That is, first the focus is on mechanisms at the school-neighborhood level. Then, based on analyses of what is needed to facilitate and enhance efforts at a locality, mechanisms are conceived that enable several school-neighborhood collaborations to work together to increase efficiency and effectiveness and achieve economies of scale. Then, system-wide mechanisms can be (re)designed to provide support for what each locality is trying to develop.

Building capacity. An infrastructure of organizational and operational mechanisms at all levels are required for oversight, leadership, resource development, and ongoing support. With each of these functions in mind, specific mechanisms and their inter-relationship with each other and with other planning groups are explored. Key mechan-isms include change agents, administrative and staff leads, resource-oriented teams and councils, board of education subcommittees, and so forth. The proposed infrastructure provides ways to (a) arrive at decisions about resource allocation, (b) maximize system-atic and integrated planning, implementation, main-tenance, and evaluation of enabling activity, (c) outreach to create formal working relationships with community resources to bring some to a school and establish special linkages with others, and (d) upgrade and modernize the component to reflect the best intervention thinking and use of technology. At each level, these tasks require that staff adopt some new roles and functions and that parents, students, and other representatives from the community enhance their involvement. They also call for redeployment of existing resources, as well as finding new ones.

Appendix C

Rethinking a School Board's Current Committee Structure*

Most school boards do not have a standing committee that gives full attention to the problem of how schools address barriers to learning and teaching. This is not to suggest that boards are ignoring such matters. Indeed, items related to these concerns appear regularly on every school board's agenda. The problem is that each item tends to be handled in an ad hoc manner, without sufficient attention to the "Big Picture." One result is that the administrative structure in most districts is not organized in ways that coalesce its various functions (programs, services) for addressing barriers. The piecemeal structure reflects the marginalized status of such functions and both creates and maintains the fragmented policies and practices that characterize efforts to address barriers to student learning.

Analyzing How the Board's Committee Structure Handles Functions Related to Addressing Barriers

Given that every school endeavors to address barriers to learning and teaching, school boards should carefully analyze how their committee structure deals with these functions. Because boards already have a full agenda, such an analysis probably will require use of an ad hoc committee. This committee should be charged with clarifying whether the board's structure, time allotted at meetings, and the way the budget and central administration are organized allow for a thorough and cohesive overview of all functions schools pursue to enable learning and teaching. In carrying out this charge, committee members should consider work done by pupil services staff (e.g., psychologists, counselors, social workers, attendance workers, nurses), compensatory and special education, safe and drug free schools programs, dropout prevention, aspects of school readiness and early intervention, district health and human service activities, initiatives for linking with community services, and more. Most boards will find (1) they don't have a big picture perspective of how all these functions relate to each other, (2) the current board structure and processes for reviewing these functions do not engender a thorough, cohesive approach to policy, and (3) functions related to addressing barriers to learning are distributed among administrative staff in ways that foster fragmentation.

> *If this is the case, the board should consider establishing a standing committee that focuses indepth and consistently on the topic of how schools in the district can enhance their efforts to improve instruction by addressing barriers in more cohesive and effective ways.*

*This is excerpted from a Center policy report entitled: *Restructuring Boards of Education to Enhance a School's Effectiveness in Addressing Barriers to Student Learning.* The report is available upon request and for the cost of copying and handling.

What a Standing Committee Needs to Do

The primary assignment for the committee is to develop a comprehensive policy framework to guide reforms and restructuring so that *every school* can make major improvements in how it addresses barriers interfering with the performance and learning of its students. Developing such a framework requires revisiting existing policy with a view to making it more cohesive and, as gaps are identified, taking steps to fill them.

Mapping

Current policies, practices, and resources must be well-understood. This requires using the lens of addressing barriers to learning to do a complete mapping of all district owned programs, services, personnel, space, material resources, cooperative ventures with community agencies, and so forth. The mapping process should differentiate between (a) regular, long-term programs and short-term projects, (b) those that have the potential to produce major results and those likely to produce superficial outcomes, and (c) those designed to benefit all or most students at every school site and those designed to serve a small segment of the district's students. In looking at income, in-kind contributions, and expenditures, it is essential to distinguish between "hard" and "soft" money (e.g., the general funds budget, categorical and special project funds, other sources that currently or potentially can help underwrite programs). It is also useful to differentiate between long- and short-term soft money. It has been speculated that when the various sources of support are totaled in certain schools as much as 30% of the resources may be going to addressing barriers to learning. Reviewing the budget through this lens is essential in moving beyond speculation about such key matters.

Analysis

Because of the fragmented way policies and practices have been established, there tends to be inefficiency and redundancy, as well as major gaps in efforts to address barriers to learning. Thus, a logical focus for analysis is how to reduce fragmentation and fill gaps in ways that increase effectiveness and efficiency. Another aspect of the analysis involves identifying activities that have little or no effects; these represent resources that can be redeployed to help underwrite the costs of filling major gaps.

Formulation of a policy framework and specific proposals for systemic reforms

A framework offering a picture of the district's total approach for addressing barriers to learning should be formulated to guide long-term strategic planning. A well-developed framework is an essential tool for evaluating all proposals in ways that minimize fragmented and piecemeal approaches. It also provides guidance in outreaching to link with community resources in ways that fill gaps and complement school programs and services. That is, it helps avoid creating a new type of fragmentation by clarifying cohesive ways to weave school and community resources together.

Formulate specific proposals to ensure the success of systemic reforms

The above tasks are not simple ones. And even when they are accomplished, they are insufficient. The committee must also develop policy and restructuring proposals that enable substantive systemic changes. These include essential capacity building strategies (e.g., administrative restructuring, leadership development, budget reorganization, developing stakeholder readiness for changes, well-trained change agents, strategies for dealing with resistance to change, initial and ongoing staff development, monitoring and accountability). To achieve economies of scale, proposals can capitalize on the natural connections between a high school and its feeders (or a "family" of schools). Centralized functions should be redefined and restructured to ensure that central offices/units support what each school and family of schools is trying to accomplish.

Committee Composition

The nature and scope of the work call for a committee that encompasses

- one or more board members who chair the committee (all board members are welcome and specific ones are invited to particular sessions as relevant)
- district administrator(s) in charge of relevant programs (e.g., student support services, Title I, special education)
- several key district staff members who can represent the perspectives of principals, union members, and various other stakeholders
- nondistrict members whose jobs and expertise (e.g., public health, mental health, social services, recreation, juvenile justice, post secondary institutions) make them invaluable contributors to the tasks at hand .

To be more specific:

It helps if more than one board member sits on the committee to minimize proposals being contested as the personal/political agenda of a particular board member.

Critical information about current activity can be readily elicited through the active participation of a district administrator (e.g., a deputy/associate/assistant superintendent) responsible for "student support programs" or other major district's programs that address barriers to learning.

Similarly, a few other district staff usually are needed to clarify how efforts are playing out at schools across the district and to ensure that site administrators, line staff, and union considerations are discussed. Also, consideration should be given to including representatives of district parents and students.

Finally, the board should reach out to include members on the standing committee from outside the district who have special expertise and who represent agencies that are or might become partners with the district in addressing barriers to learning. For example, in the Los Angeles Unified School District, the committee included key professionals from post secondary institutions, county departments for health, and social services, public and private youth development and recreation organizations, and the United Way. The organizations all saw the work as highly related to their mission and were pleased to donate staff time to the committee.

Ensuring the Committee's Efforts Bear Fruit

The committee's efforts will be for naught if the focus of their work is not a regular topic on the board's agenda and a coherent section of the budget. Moreover, the board's commitment must be to addressing barriers to learning in powerful ways that enable teachers to be more effective -- as contrasted to a more limited commitment to providing a few mandated services or simply increasing access to community services through developing coordinated/integrated school-linked services.

Given the nature and scope of necessary changes and the limited resources available, the board probably will have to ask for significant restructuring of the district bureaucracy. (Obviously, the aim is not to create a larger central bureaucracy.) It also must adopt a realistic time frame for fully accomplishing the changes.

Lessons Learned

Based on work in this area, it seems worth underscoring a few key problems that should be anticipated. In doing so, we also suggest some strategies to counter them. Not surprisingly, the problems are rather common ones associated with committee and team endeavors. Since most could be minimized, it is somewhat surprising how often no plans are made to reduce their impact.

Agreement about the committee's goals and timeline

Although a statement of general purpose usually accompanies its creation, such committees tend to flounder after a few meetings if specific steps for getting from here to there are not carefully planned and articulated. In the longer run, the committee is undermined if *realistic* timelines are not attached to expectations regarding task accomplishments.

> Possible strategy: Prior to the first meeting a subgroup could draft a statement of long-term aims, goals for the year, and immediate objectives for the first few meetings. Then, they could delineate steps and timelines for achieving the immediate objectives and goals for the year. This "strategic plan" could then be circulated to members for amendment and ratification.

Agenda setting

Those who set the agenda control what is accomplished. Often such agendas do not reflect a strategic approach for major policy and systemic reforms. The more ambitious the goals, the more difficult it is to work in a systematic manner. Committees have difficulty doing first things first. For example, the first step is to establish a big picture policy framework; then specifics can be fleshed out. In fleshing out specifics, the first emphasis is on restructuring and redeploying poorly used resources; this work provides the context for exploring how to enhance resources.

> Possible strategy: The committee could delegate agenda setting to a small subgroup who are perceived as having a comprehensive understanding of the strategic process necessary for achieving the committee's desired ends.

Keeping on task

It is very easy to bog the committee's work down by introducing distractions and through poor meeting facilitation. Bogging things down can kill members' enthusiasm; conversely, well-run and productive meetings can generate long-term commitment and exceptional participation. Matters that can make the process drag along include the fact that committee members have a great deal to learn before they can contribute effectively. Nondistrict members often require an introductory "course" on schools and school culture. District members usually require a similar introduction to the ABCs of community agencies and resources. Staff asked to describe a program are inclined to make lengthy presentations. Also, there are a variety of immediate concerns that come to the board that fall under the purview and expertise of such a standing committee (e.g., ongoing proposals for programs and resource allocation, sudden crises).

> Possible strategy: The key to appropriately balancing demands is careful agenda setting. The key to meetings that effectively move the agenda forward is firm facilitation that is implemented gently, flexibly, and with good humor. This requires assigning meeting facilitation to a committee member with proven facilitation skills or, if necessary, recruiting a non committee member who has such skills.

Working between meetings

When committees meet only once a month or less often, it is unlikely that proposals for major policy and systemic reforms will be forthcoming in a timely and well-formulated manner.

> Possible strategy: Subgroups of the committee can be formed to work between meetings. These work groups can accomplish specific tasks and bring the products to the full committee for amendment and ratification. Using such a format, the agenda for scheduled committee meetings can be streamlined to focus on refining work group products and developing guidelines for future work group activity.

Avoiding Fragmentation

As Figure 3 highlights, the functions with which the committee is concerned overlap the work of board committees focusing on instruction and the governance and management of resources. Unless there are effective linkages between committees, fragmentation is inevitable.

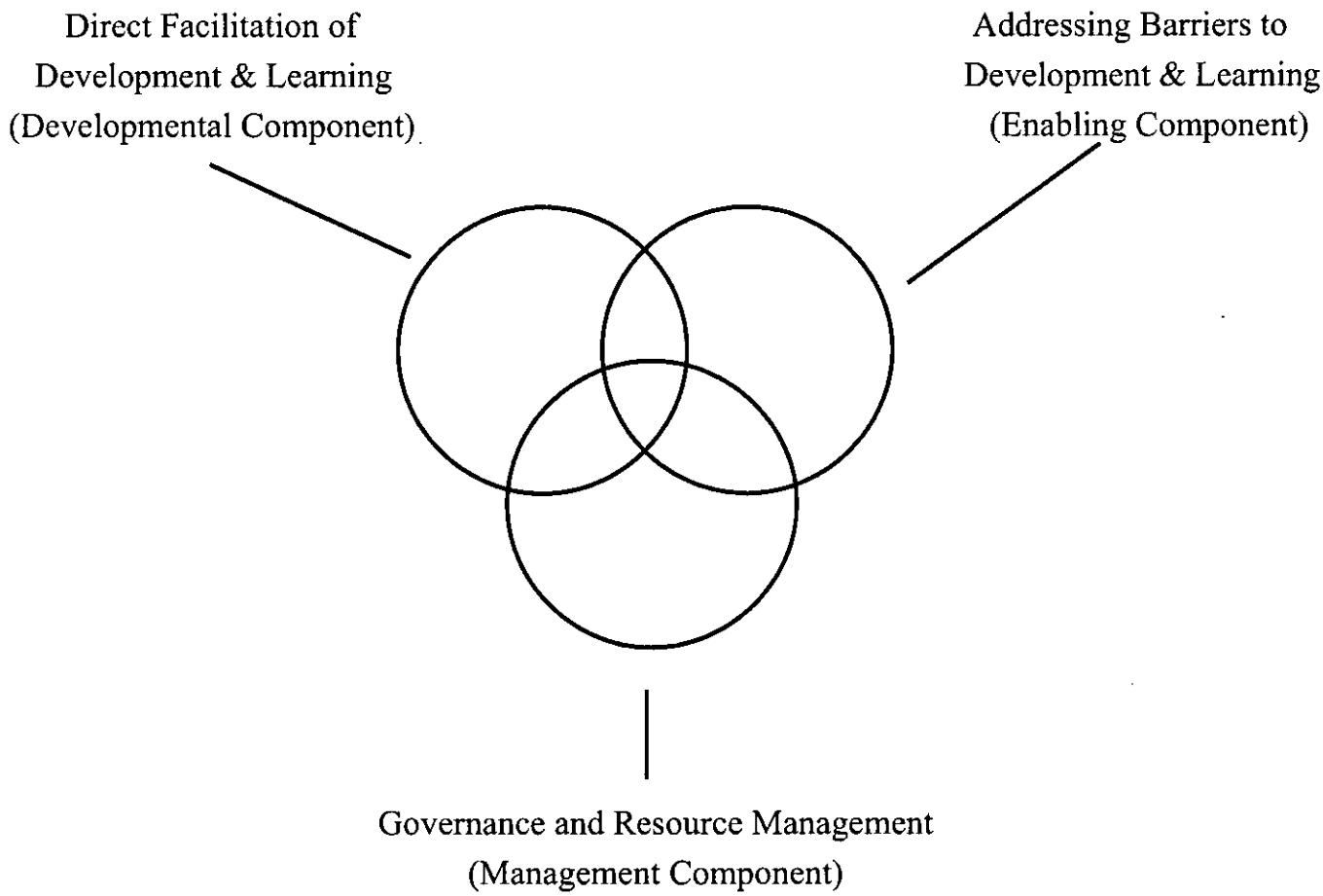
> Possible strategy: Circulating all committee agendas and minutes; cross-committee participation or joint meetings when overlapping interests are on the agenda.

Minimizing political and interpersonal machinations

Obviously, school boards are political entities. Therefore, besides common interpersonal conflicts that arise in most groups, differences in ideology and constituent representation can interfere with a committee accomplishing its goals.

Possible strategy: At the outset, it is wise to identify political and interpersonal factors that might undermine acceptance of the committee's proposals. Then steps can be taken to negotiate agreements with key individuals in order to maximize the possibility that proposals are formulated and evaluated in a nonpartisan manner.

Figure 3. Functional Focus for Reform and Restructuring



Concluding Comments

As school boards strive to improve schools, the primary emphasis is on high standards, high expectations, assessment, accountability, and no excuses. These are all laudable guidelines for reform. They are simply not sufficient.

It is time for school boards to deal more effectively with the reality that, by themselves, the best instructional reforms cannot produce desired results when large numbers of students are not performing well. It is essential to enhance the way every school site addresses barriers to learning and teaching. Each school needs policy support to help evolve a comprehensive, multifaceted, and well-integrated approach for addressing barriers and for doing so in ways that weave the work seamlessly with the school's efforts to enhance instruction and school management.

Progress along these lines is hampered by the marginalized status of programs and personnel whose primary focus is on enabling learning by effectively addressing barriers. Most school boards do not have a standing committee that focuses exclusively on this arena of policy and practice. The absence of such a structural mechanism makes it difficult to focus powerfully and cohesively on improving the way current resources are used and hinders exploring the best ways to evolve the type of comprehensive and multifaceted approaches that are needed to produce major gains in student achievement.

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*For an overview of all resources available from the Center or to request a specific resource, write c/o the Dept. of Psychology, UCLA, Box 951563, Los Angeles, CA 90095-1563 or call 310/825-3634 or use the internet to scan the website http://smhp.psych.ucla.edu

The Co-directors of the School Mental Health Project at UCLA and its
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Researchers Call SAT Alternative Better Predictor of College Success

By Sean Cavanagh

Everybody knows that a little creativity, wedded with a good amount of common sense, can go a long way in life, whether it's in a pickup basketball game or the thorniest corporate board meeting.

Yet those attributes aren't always easy to quantify—and they aren't measured with much success in today's most widely used college admissions test, according to a prominent scholar and team of researchers working out of Yale University.

Robert J. Sternberg, a professor of psychology at Yale who has probed the norms and nuances of intelligence and wisdom for years, has completed the first phase of a project he believes could produce an admissions test that is a stronger predictor of success in college, and fairer to underrepresented minorities.

His premise is the belief that the SAT, taken about 2.6 million times by students each year, measures primarily memory and analytical ability, rather than creative or practical skills—the latter of which is usually associated with common sense.

Creative and practical talents are important for determining an individual's success in college, and in life, Mr. Sternberg contends. He directs the study, called the Rainbow Project, which is financed by the College Board, the New York City-based nonprofit group that sponsors the SAT.

"The system fails to identify kids who might succeed in ways the [current SAT] doesn't suggest they will," said Mr. Sternberg, the director of the PACE Center at Yale in New Haven, Conn. He is also the president of the American Psychological Association.

For the project's first phase, researchers designed an alternative exam, one that Mr. Sternberg believes eventually could augment, rather than replace, the SAT. The new test was given to 1,007 student volunteers at two high schools, five community colleges, and eight four-year colleges across the country, mostly from April to June of 2001.

Because researchers sought to gauge the predictability of success in college, not high school, the first phase of the study primarily used the data collected from the 793 first-year college students among the group of volunteers. Elena Grigorenko, the deputy director of the PACE center, took the lead in coordinating much of the testing process.

New Sections

The exam evaluated students in three overall areas: analytical, practical, and creative skills. It used a combination of multiple-choice questions and performance-based sections, in which the participants worked out their own answers.

Some of the sections, such as one asking students to figure out word meanings in the context of written passages, bear a resemblance to the current version of the SAT. Many other sections, though, share little with today's model.

In one section, students were given cartoons, purchased from the archives of *The New Yorker*, and were asked to write captions for them. Test-takers were also asked to write two stories, taking 15 minutes each, based on a list of fictitious titles. A team of judges rated those stories on originality, evocativeness, complexity, and descriptiveness.

Other sections presented students with various troublesome situations they might encounter in everyday life and asked them to rate numerically the best solutions.

A supervisor has assigned you to work with an employee who is "rude, lazy, and rarely does a proper job," according to one sample on the "common sense" questionnaire. Students were then asked to rate the quality of different responses, such as telling the colleague off, or working with him in a businesslike manner.

The current SAT is a good predictor of college success, Mr. Sternberg asserts, but he believes the Rainbow Project's test does even better. He also says the new test showed smaller gaps between the scores of students from different racial and ethnic groups. In theory, the new exam could offer a college-admissions test that more accurately predicts postsecondary achievement, with fewer worries that the exam was biased in favor of one racial or ethnic group or another.

Diane F. Halpern, a professor of psychology at Claremont McKenna College, in Claremont, Calif., who assisted with the project, arranged to give the exams by computer to about 150

students at the campus where she used to work, California State University-San Bernardino. She saw value in the study.

With today's technology, students have the ability to access more information more quickly than ever, Ms. Halpern noted. But the challenge in college, and in life, she said, is approaching data critically and gauging what is most important.

College-admissions tests, she argues, need to reflect the demand for those skills.

Creativity in a Can

One researcher familiar with Mr. Sternberg's study, Paul R. Sackett of the University of Minnesota, disputes some of the project's conclusions, though he says he admires its broader goal.

By giving the test to first-year college students, the Rainbow Project was evaluating an overly restricted population of test-takers, said Mr. Sackett, a professor of psychology at the university's Twin Cities campus.

And in trying to gauge the success of the participating students in college, the Yale project did not go far enough in accounting for the differences in grading at the particular schools, Mr. Sackett contends.

Overall, while he sees merit in the study, Mr. Sackett believes that its claims about predicting college success, and reducing disparities between racial and ethnic groups, are overstated.

But Mr. Sternberg counters that his test-taking population was quite diverse, since it included high school and community college students, who might not get accepted or even choose to go to a four-year college at all. And he said adjustments had been made to account for college grading.

A central question, Mr. Sackett noted, is whether the project has any value for a broad swath of the college-going population. He had doubts: The ability to assess students' creative and practical abilities could suffer from college applicants' determination to manipulate and beat the system.

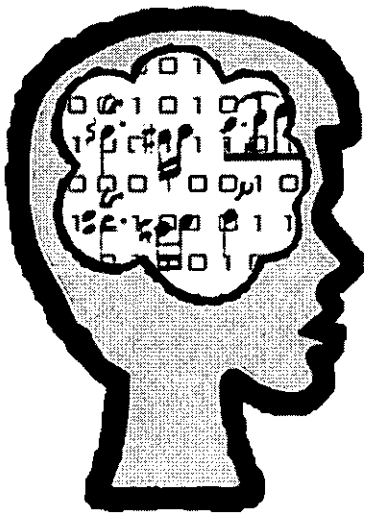
"Will it still measure creativity when people can go to two-day workshops aimed at writing cartoon captions?" Mr. Sackett said.

But Mr. Sternberg asserts that because sections of the test grade students on innovation and the novelty of their ideas, their scores would suffer if they were simply to repeat stale answers suggested by test-prep courses.

Rather than supplanting the SAT, Mr. Sternberg envisions that a portion of college-bound students could take the new test, either because certain colleges asked them to or because the students voluntarily signed up for it. The second phase of the project will focus on giving the test to a larger sample of students—anywhere between 5,000 and 10,000—and shortening its time from about three hours, among other improvements.

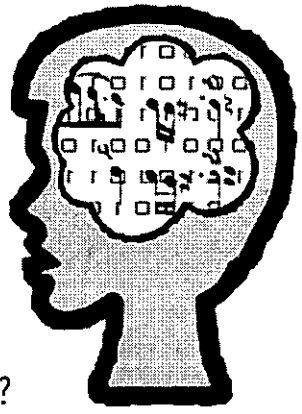
Mr. Sternberg is optimistic about where the project is headed.

"I'm very pleased," he said. "We see this as not just a project, but a step to transform education ... that will change the way we teach in the classroom."



A WHOLE NEW MIND

DISCUSSION GUIDE



FOR EDUCATORS

1. Does your classroom, school or school system promote L- or R- directed thinking? How? What is the proper balance?

2. How innate are the six abilities Pink talks about? Can these abilities be taught or strengthened in school? How?

3. What role does design have in your classroom or school? Do your students play any role in the actual design of their learning experience? Can it be incorporated into the curriculum in areas other than art class? How?

4. Is storytelling part of your curriculum? If not, should it be? How?

5. Can you teach empathy? Should you teach empathy? How?

6. Do you agree with what Pink argues about the importance of play for learning and creating? What can you do to include more play in your teaching and your students' learning?

7. Are your students learning to be symphonic thinkers? If so, how can we teach this capacity? Does the traditional means of organizing teaching by discipline interfere with students' and teachers' ability to think symphonically?

8. What do you think of the Charter High School for Art and Design (CHAD)? How could CHAD be used more broadly as a model for schooling? What are its strengths? Weaknesses?

9. Do you agree with Pink that videogames are important for developing skills like problem solving, visual perception and symphonic thinking?

10. How is Pink's notion of "meaning" a part of your teaching? Should we even broach this subject in a secular classroom? If so, how?

11. Pink talks about psychological androgyny and aligns R-directed thinking with one's feminine side. Do you agree? What do you observe in your own classroom or building?

12. How have your students been impacted by the SAT-ocracy and the culture of standardized testing that Pink describes? How has your teaching been impacted by these tests? Do these tests make it more difficult to have a whole-minded approach to teaching and learning?

13. What do you think of the Rainbow Project, the alternative SAT created by Yale Professor Robert Sternberg?

14. Is your school ready to embrace Pink's theories about R-directed thinking in the Conceptual Age? What about society as a whole? What are the consequences for students and educators if we do not?

15. What R-directed skills do you use in your work? Which of the six senses is a priority for teachers to develop? Why?

16. Which of the portfolio exercises from the book would you recommend for other educators? Which ones would you use with students?

17. How, if at all, should teacher training change in light of these ideas?

18. How do you imagine educators in Asia or other countries might react to the ideas presented in this book?

19. After reading A WHOLE NEW MIND, what is one change you would make in your classroom, school or school district? What challenges would you face in implementing this change? How would you plan to overcome those challenges?

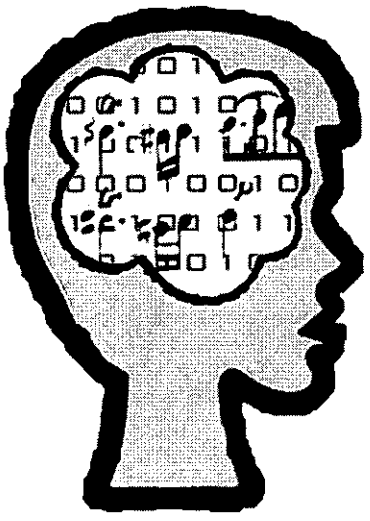
20. What in the book made you laugh? What made you angry?

Your own questions:

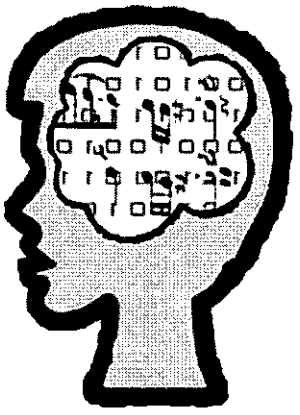
_____

_____

_____



A WHOLE NEW MIND
DISCUSSION GUIDE



FOR BUSINESS

1. In what ways does your current job involve R-directed thinking? Could your organization benefit from more R-directed thinking? Less?

2. How innate are the six abilities Pink discusses (Design, Story, Symphony, Empathy, Play and Meaning)? Which of them is your strongest? Weakest? Which is most important for your current job?

3. Consider the three questions Pink poses regarding your current work: Can someone overseas do it cheaper? Can a computer do it faster? Am I offering something that satisfies the nonmaterial, transcendent desires of an abundant age? Does your work pass this three-part test?

4. How will the three forces Pink describes be affected by the economic recession?

5. Did Pink convince you of the importance of design? In what ways could you and your colleagues instill design thinking in your organization?

6. What are the implications of Pink's argument for education? Are you yourself a product of the SAT-ocracy? If so, how did it help or hurt you?

7. What role does storytelling have in your work? What role could it have? Does your organization have a story to tell? Do your clients and customers know that story?

8. How do you use symphonic thinking in your job? How could this right-brain ability benefit your organization?

9. Is empathy an important part of your work? How could empathy be used in your organization to improve your offerings? How could empathy make your organization a better place to work?

10. What role do play and humor have in your workplace? Could play or humor improve your service to clients? Do you agree with Pink that a sense of humor can make someone a better manager? Why or why not?

11. What do you think of Pink's assertion that "meaning is the new money"? How does your organization create meaning for its customers? For its employees?

12. Does your current job pass the Collins 20-10 test that Pink outlines in the portfolio section of Chapter 9: If you had $20 million or knew that you had only 10 years to live, would you still be doing what you are doing now? What can your organization do to ensure that its employees' experiences pass this test?

13. What do you think of Pink's suggestion that spirituality should have a place in the workplace. What is your organization's approach to spirituality? Should it change?

14. Did you do any of the exercises Pink suggests in the book? Which ones would you recommend to others in your organization? Why?

15. What are some of the barriers to developing the six abilities Pink describes in your own organization?

16. How do you think workers in Asia would react to this book?

17. Pink talks about psychological androgyny and aligns R-directed thinking with one's feminine side. Do women have a comparative advantage over men in this world? Is this true in your organization? Why or why not?

18. Would you add any other abilities to Pink's list of six senses?

19. What in this book made you laugh? What made you angry. Why?

Your questions:

_____

_____

_____

Intelligence, Creativity, and Wisdom: Assessments of Abilities for the 21st Century

Robert J. Sternberg
Dean of the School of Arts and Sciences
Professor of Psychology
Tufts University

robert.sternberg@tufts.edu

Main Message

- Current tests used for assessing abilities are narrow and do an injustice to certain groups
- We can create and have created broader, more equitable, better assessments

Organization of Talk

- Context
- Theory of Successful Intelligence
- The Rainbow Project
- The Tufts Kaleidoscope Project
- Related Projects
- Conclusions

Theoretical Background:

The Augmented Theory of Successful Intelligence

Students are SUCCESSFULLY INTELLIGENT, according to the theory, when they have the abilities to succeed in life according to their own standards within their sociocultural context, by:

1. *Recognizing and capitalizing* on strengths;
2. *Recognizing and correcting* or *compensating* for weaknesses.

Theoretical Background

Capitalization and compensation enable people to balance:

1. *Adaptation* to existing environments;
2. *Shaping* environments to improve them;
3. *Selecting* new environments.

Theoretical Background

Via:

- Analytical abilities
- Creative abilities
- Practical abilities
- Wisdom-based abilities

Theoretical Background

Analytical skills are evoked when we

- analyze
- compare and contrast
- evaluate
- explain
- judge
- critique

Theoretical Background

Creative skills are evoked when we:

- create
- design
- invent
- imagine
- suppose

Theoretical Background

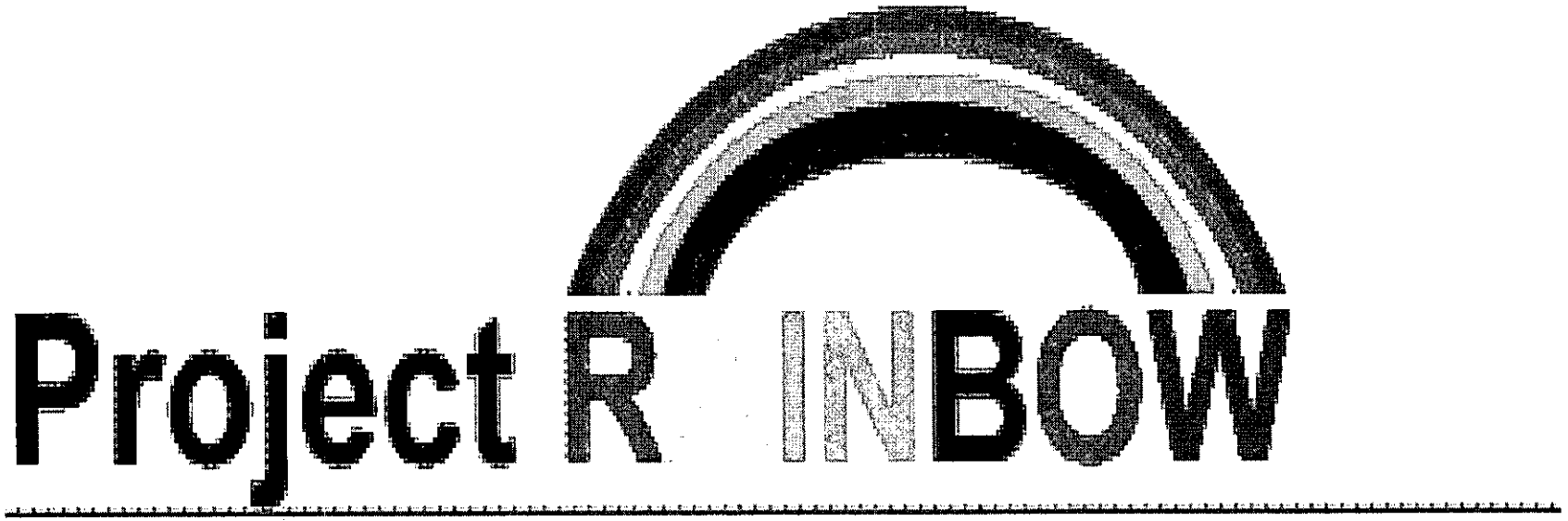
Practical skills are evoked when we:

- use
- apply
- implement
- employ
- contextualize

Theoretical Background

Wisdom-based skills are invoked when we:

- balance intrapersonal, interpersonal, and extra-personal interests
- over the long and short terms
- through the infusion of positive ethical values
- in search of a common good



Project R INBOW

The Rainbow Project: A Plan for Augmentation of the SAT

Robert J. Sternberg
And the Collaborators of the Rainbow Project

Project R INBOW

Overarching Goal

- To develop a battery assessing analytical, creative, and practical intellectual skills that is reliable and construct valid, increasing prediction of academic and life performance beyond that obtained from conventional "*g*-based" measures

Project R:INBOW

Method: Materials

- Outcome Variable (the criterion)
  - College GPA
- Baseline Materials
  - SAT-Verbal
  - SAT-Math
  - SAT-Total
  - ACT or PSAT scores if SAT scores were not available

Project R INBOW

Method: Materials

Analytical

15 multiple choice items

- Including verbal, quantitative, and figural content
- 4 response options per item

Project RAINBOW

Method: Materials

Practical

15 multiple choice items

Including verbal, quantitative, and figural

- 4 response options per item

Performance tasks – Tacit-knowledge inventories

- College Life (15 vignettes)
- General Workplace/Common Sense (15 vignettes)
- Everyday Situational Judgment - Movies (7 vignettes)

Project R INBOW

Vignette Sample Item

College Life Tacit-Knowledge Inventory

1	2	3	4	5	6	7
Not at all Characteristic			Neither Characteristic nor Uncharacteristic			Extremely Characteristic

You are enrolled in a large introductory lecture course. Requirements consist of three term-time exams and a final. Please indicate how characteristic it is of your behavior to spend time doing the following, if your goal is getting an *A* in the course.

___Attending class regularly.

___Attending optional weekly review sessions, if there are any, with the T.A.

___Reading assigned text chapters thoroughly.

___Taking comprehensive class notes.

___Speaking with the Professor after class and during office hours.

___Talking to students who took the course last year.

___Studying regularly instead of cramming in the night before exams.

___Doing the extra credit or optional reading assignments.

___Skimming the required reading in the morning before class.

Project RAINBOW

Vignette Sample Item

General Workplace/Common Sense Tacit-Knowledge Inventory

1	2	3	4	5	6	7
Extremely Bad	Very Bad	Somewhat Bad	Neither Bad Nor Good	Somewhat Good	Very Good	Extremely Good

You've been assigned to work on a project for a day with a fellow employee whom you really dislike. He is rude, lazy, and rarely does a proper job. What would be the best thing for you to do?

___Tell the worker that you think he is worthless.

___Warn the worker that, if he is not "on his toes" today, you will complain to the supervisor.

___Avoid all conversation and eye contact with the other worker.

___Be polite to the other worker and try to maintain as business-like a manner as possible so that hopefully he will follow your example for the day.

___Tell your supervisor that you refuse to work with this man.

___The project is going to be impossible to accomplish with this worker, so you may as well not even try--you can always blame your bad work partner.

___See if you can convince one of your friends to take your place and work with this employee.

___Demand a raise from your supervisor; you should not have to tolerate these conditions.

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Project R INBOW

Everyday Situational Judgment - Movies

- Examinees see seven digitized movies depicting various real-life situations that college students confront or may confront:
  - The Party: Entering a party where one does not know anyone
  - A Fair Portion: Discussing shares of rental payments for a flat
  - Professor's Dilemma: Asking for a letter of recommendation from a professor who does not know you very well

Project R INBOW

Everyday Situational Judgment – Movies, Contd.

- No Free Lunch: Having eaten a lunch and discovering that you do not have the money to pay for it
- The Unwanted Guest: Dealing with a friend in need of help at a time when you are just seeing your significant other for the first time in a long time
- Pressing Corporate Matter: Making a decision regarding proactive actions that can be taken before a wave of firings commences in your company
- Jerry's "Beauty-rest Sleeper": Organizing your friends to move your furniture to a new flat

Project RAINBOW

Method: Materials

Creative

15 multiple choice items (STAT – Level H)

- Including verbal, quantitative, and figural
- 4 response options per item

Performance tasks

- 2 written stories
- 2 oral stories
- 3 cartoon captions

Project RAINBOW

Written Stories

SHORT STORY TASK: TITLES

- "A Fifth Chance"
- "2983"
- "Beyond the Edge"
- "The Octopus's Sneakers"
- "It's Moving Backwards"
- "Not Enough Time"

Project R INBOW

Oral Stories

SHORT STORY TASK

The following task may at first seem somewhat novel; however, I am confident that you will have no difficulty doing it. You will be presented with several sheets of paper, each containing several images. You are to choose two of these pages and to formulate a short story for each. In order to expedite the process, rather than write out each of the stories, you will dictate them to a cassette recorder. When recording: please speak clearly; state your name; spell your name; and state the page number of each story. There is no limitation in the content of the story or the manner in which you decide to present it.

Do you have any questions?....

So, if there are no [more] questions as to what we are asking you to do, please get started.

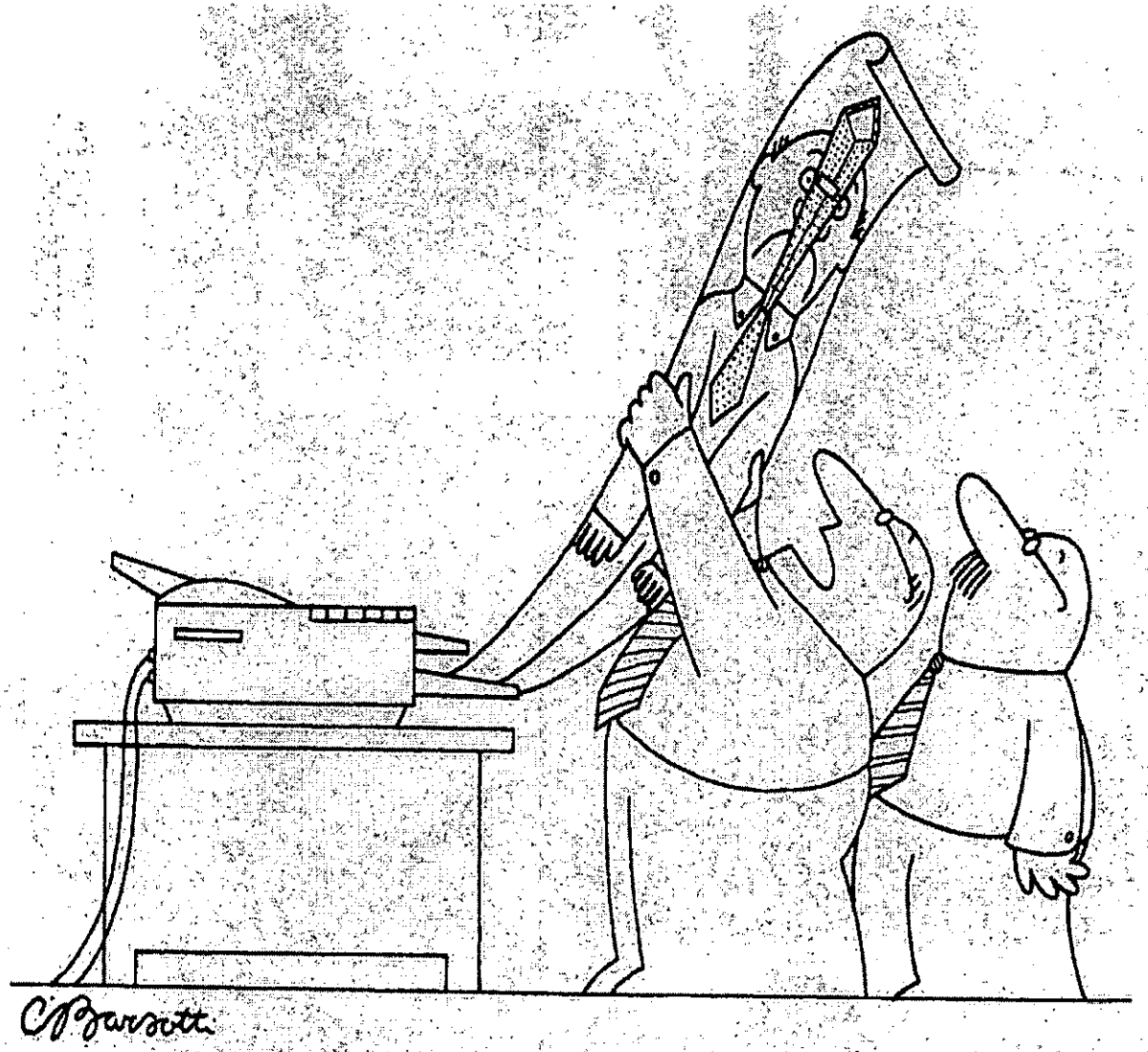
Project R INBOW

Project RAINBOW

Cartoon Titles

Examinees see five cartoons and need to provide titles for three of the five.

Project RAINBOW



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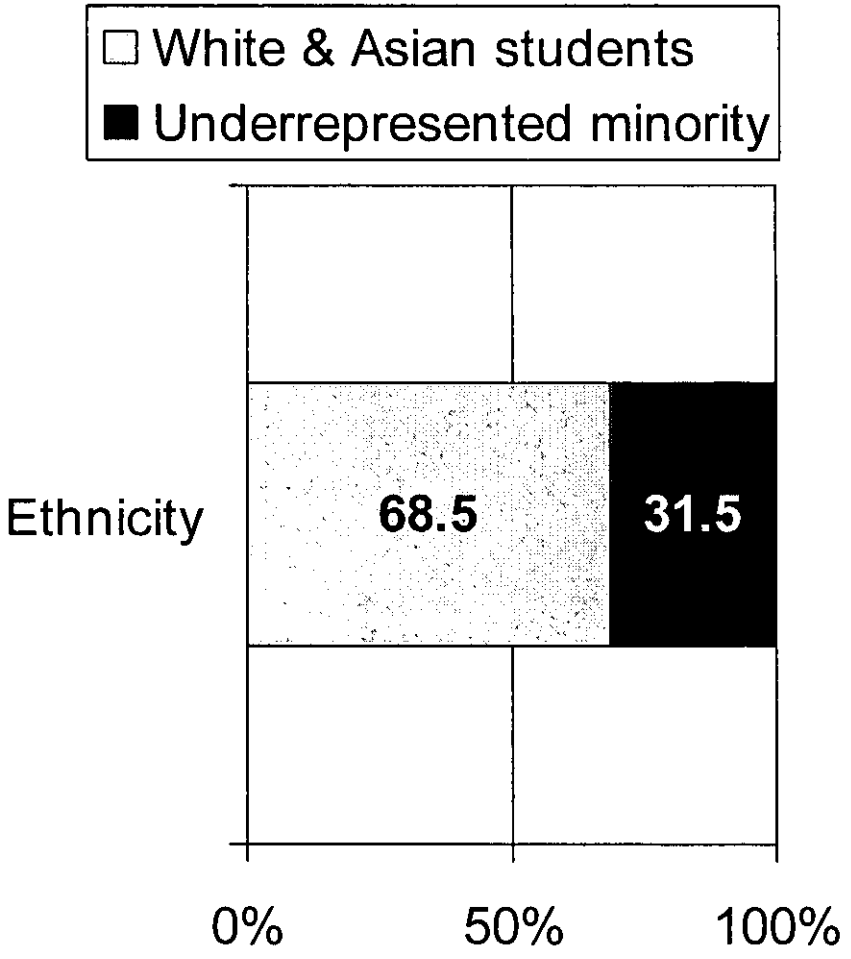
Project RAINBOW

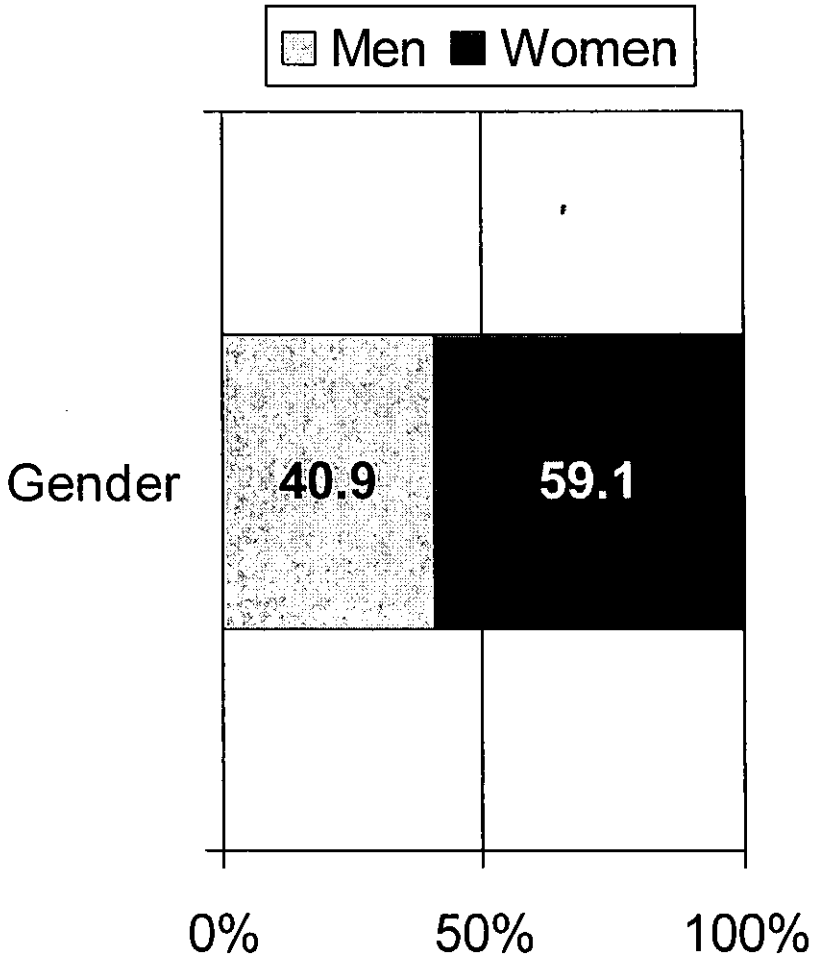
Method: Participants

- Total sample
  - Collected: n = 1013
  - Available for analyses: n = 990
  - Included in this presentation: n = 777
    - From 13 colleges and universities around the country

Project R INBOW

College Sample Composition





Project RAINBOW

Method: Design

- Incomplete randomized design (McArdle, 1994)
- Two forms:

1. Web-based (59% of students)
2. Paper-Pencil (41% of students)

All tests were proctored by university officials.

Project RAINBOW

Exploratory Factor Analysis: Rainbow Tasks

	Factor 1	Factor 2	Factor 3
Oral Stories	**0.57**	-0.06	-0.06
Written Stories	**0.79**	0.01	-0.02
Cartoons	**0.20**	**0.28**	-0.08
STAT-creative	0.00	**0.73**	0.09
STAT-analytic	-0.06	**0.80**	-0.04
STAT-practical	0.03	**0.81**	-0.02
Movies	0.12	0.05	**0.52**
College Life	-0.13	0.01	**1.00**
Common Sense	0.12	-0.01	**0.92**

Promax rotation: 62.8% variance explained

Project R INBOW

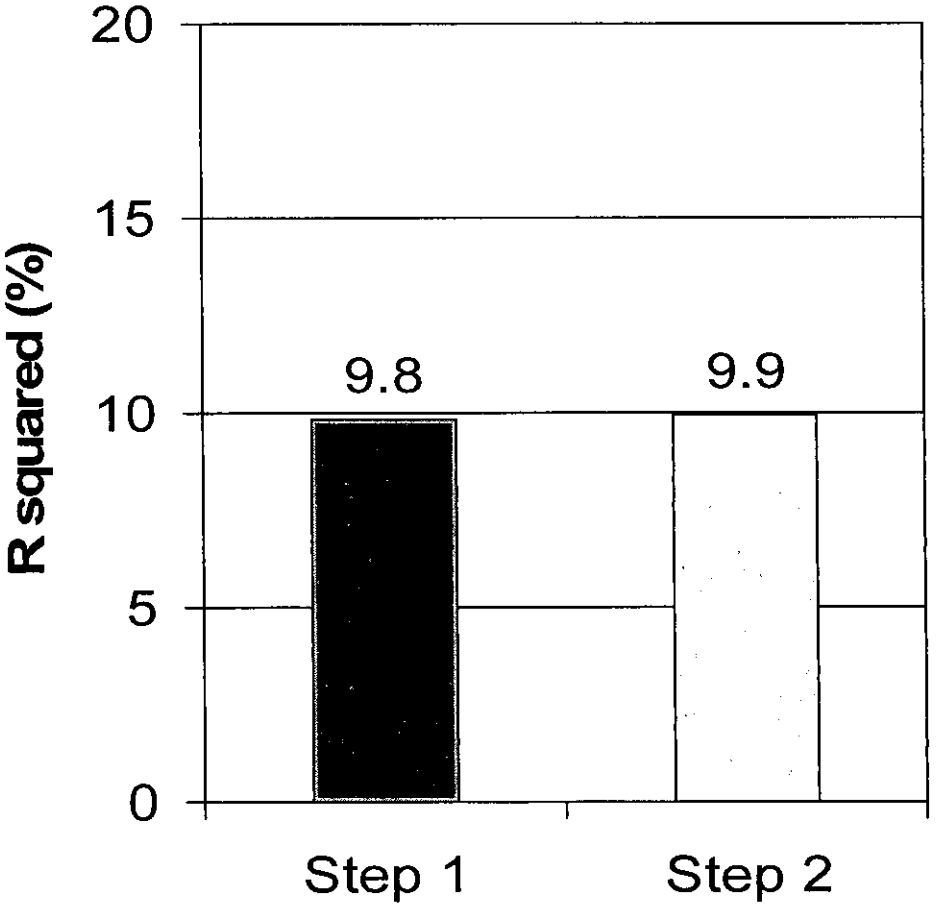
Predicting GPA: SAT + Analytical

Step 1:

SAT-Verbal, SAT-Math

Step 2:

Analytic (STAT)



Project RAINBOW

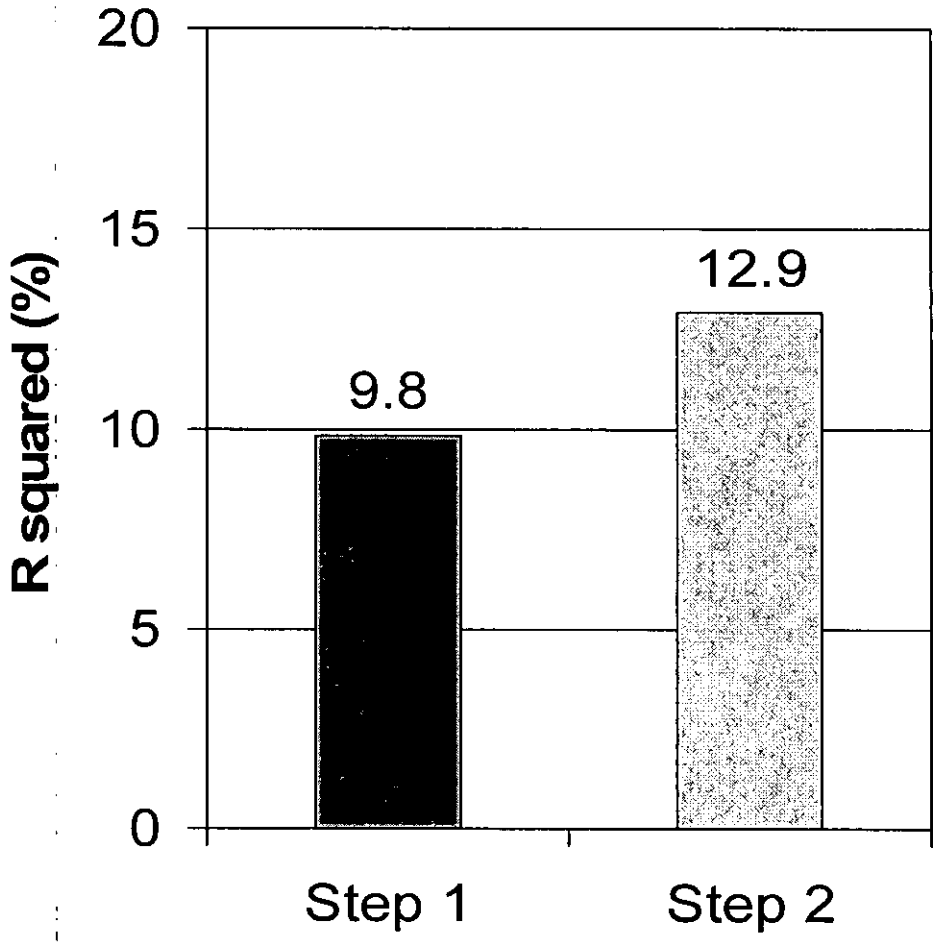
Predicting GPA: SAT + Practical

Step 1:

SAT-Verbal, SAT-Math

Step 2:

Practical (STAT + Separate Tasks)

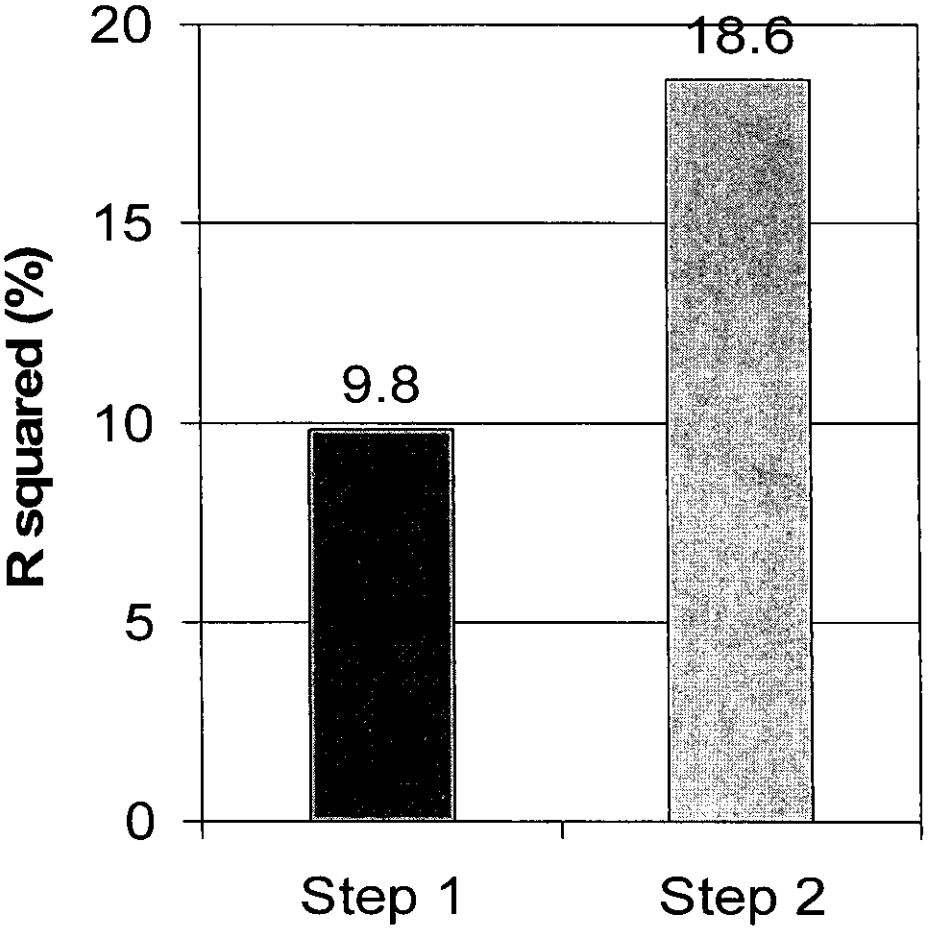


Project R INBOW

Predicting GPA: SAT + Creative

Step 1:
SAT-Verbal, SAT-Math

Step 2:
Creative (STAT + Separate Tasks)



Project RAINBOW

Predicting GPA:

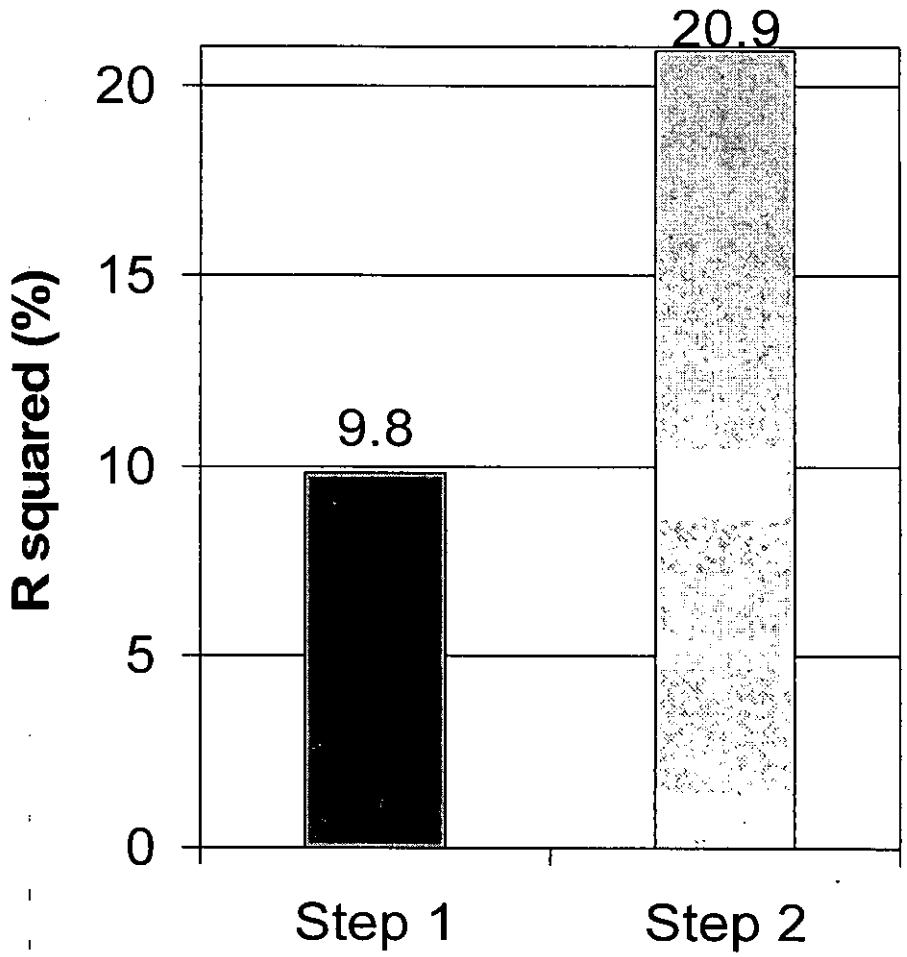
SAT + Analytic, Creative, Practical

Step 1:

SAT-Verbal, SAT-Math

Step 2:

All Rainbow Project Items
(STAT Analytic, Practical, Creative,
Practical Tasks,
Creative Tasks)



Project R INBOW

Predicting GPA:

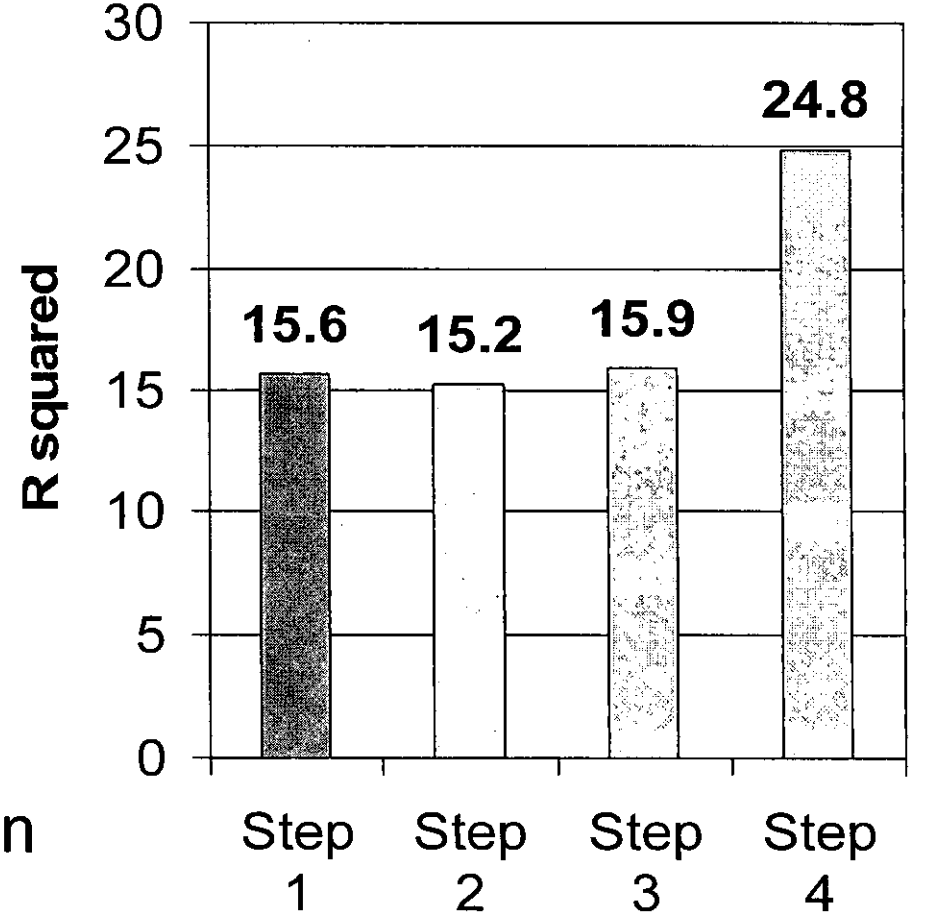
All measures (practical before creative)*

Step 1: SAT-M
SAT-V
HSGPA

Step 2: + Analytic

Step 3: + Practical

Step 4: + Creative



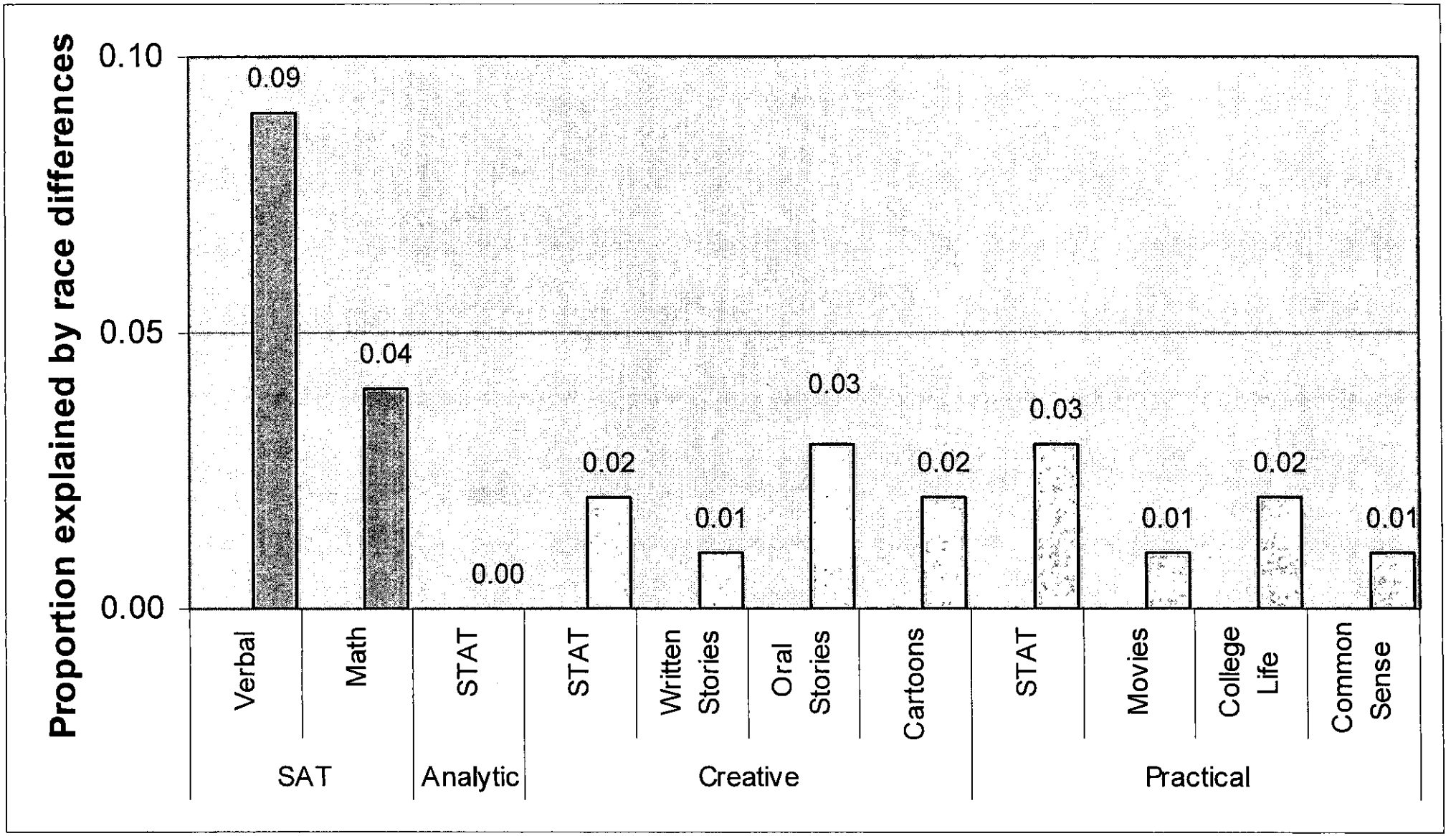
*Controlling for school quality in dependent variable

Regressions: In sum

- In the Rainbow sample,
  - Adding Rainbow measures over SAT roughly doubles prediction of college success
  - Adding Rainbow measures over SAT + High School GPA increases prediction by roughly half

Project R INBOW

Amount of Each Measure That Is Predicted by Racial / Ethnic Differences (ω^2)



Effect Sizes: Cohen's d with Whites as Reference Group

	Blacks	Latinos	Asians	Nat.Am.
• SAT-M	-0.7	-1.0	0.5	-1.0
• SAT-V	-0.7	-1.1	-0.2	-0.6
• SAT-T	-0.7	-1.1	0.0	-0.8

Effect Sizes: Cohen's d with Whites as Reference Group

	Blacks	Latinos	Asians	Nat.Am.
• STAT-A	-0.2	-0.4	0.3	-0.3
• STAT-C	-0.7	-0.5	-0.0	-1.2
• STAT-P	-0.5	-0.5	0.1	-0.7

Effect Sizes: Cohen's d with Whites as Reference Group

	Blacks	Latinos	Asians	Nat.Am.
• Movies	-0.5	-0.4	0.0	-0.8
• Common Sense	-0.9	-0.2	0.2	-0.4
• College Life	-0.7	-0.2	-0.2	0.2

Effect Sizes: Cohen's d with Whites as Reference Group

	Blacks	Latinos	Asians	Nat.Am.
• Cartoons	-0.2	-0.5	-0.2	-0.4
• Oral Stories	-0.1	-0.5	-0.5	0.5
• Written Stories	-0.3	-0.1	-0.2	0.0

Group Difference Analyses: In Sum

- In the Rainbow sample:
  - Rainbow measures reduce ethnic-group differences relative to the SAT alone
  - The new measures reduce differences because different ethnic groups show different average patterns
  - Differences are not eliminated, however

The Tufts Kaleidoscope Project Preliminary Results ('06-'08)

Robert J. Sternberg

and the Kaleidoscope Collaborators

Class of 2011

Goal

- Insert analytical, creative, practical as well as wisdom-based essays as part of the Tufts-specific admissions application in order to broaden the way we think about applicants
- Change categories for rating system of applicants

Tufts Admissions

- Tufts applicants complete the Common Application and (if they choose to) the Supplemental Application.
- Applications are rated on 4 dimensions:
  - Academic (AC),
  - Personal Quality (PQ),
  - Extracurricular (EX), and
  - Overall (OV).
- Final admission decision is made by a committee based on multiple criteria.

The Kaleidoscope Framework

- Kaleidoscope (Kscope) is a framework for evaluating applicants'
  - Creative (C),
  - Practical (P), and
  - Wisdom (W) skills.

- Applicants submitted optional essays.
- Admission officers were trained and asked to use a Kscope rubric to evaluate applicants.

Essay prompts

1. The late scholar James O. Freedman referred to libraries as "essential harbors on the voyage toward understanding ourselves." What work of fiction or non-fiction would you include in a **personal library**? Why?
2. An American adage states that "**curiosity** killed the cat." If that is correct, why do we celebrate people like Galileo, Lincoln, and Gandhi, individuals who thought about longstanding problems in new ways or who defied conventional thinking to achieve great results?
3. History's great events often turn on small moments. For example, **what if** Rosa Parks had given up her seat on that Montgomery bus in 1955? What if Pope John Paul I had not died in 1978 after a month in office? What if Gore had beaten Bush in Florida and won the 2000 U.S. Presidential Election? Using your knowledge of American or world history, choose a defining moment and imagine an alternative historical scenario if that key event had played out differently.

Essay prompts (cont.)

4. Create a short story using one of the following topics: a. The end of **MTV** b. Confessions of a Middle School **Bully** c. The **Professor** Disappeared d. The Mysterious **Lab**
5. Describe a moment in which you took a **risk** and achieved an unexpected goal. How did you persuade others to follow your lead? What lessons do you draw from this experience? You may reflect on examples from your academic, extracurricular or athletic experiences.
6. A high school curriculum does not always afford much **intellectual freedom**. Describe one of your unsatisfied intellectual passions. How might you apply this interest to serve the common good and make a difference in society?
7. Using an 8.5x11 inch sheet of paper, create an ad for a movie, design a house, make an object better, illustrate an ad for an object.

Creative Essay: "What if…"

- If the Trojans had heeded Laocoon's advice and thrown Odysseus' wooden horse into the sea, they would have defeated the Greeks at Troy. Aeneas would then never have had reason to flee the city, and he would never have ventured to Italy to found Rome. Without Rome, neither the Roman Republic nor a Roman Empire would have existed. Concrete, the arch, plumbing, and the sauna might never have been invented. The modern implications of Rome never having existed are indeed drastic. Lacking even concrete floors, people would resort to sleeping in the mud, and, without plumbing or saunas, they would be perpetually filthy and, generally, quite chilly. France could not have built the base of the Eiffel Tower without arches, so tourists would be unable to purchase miniature collectible Towers in Parisian convenience stores.

Good but Uncreative Essay: "What if…"

- What if the ratification of the nineteenth amendment did not pass and women were never given the right to vote? What would life for women, like me, be like in the United States? For one thing, I probably would not be writing this essay. If women were not given their right to vote, I probably would stop going to school after this year and it would be unlikely that I would receive a college education. Without suffrage, my career options would be limited, if a career were a possibility at all. My accepted practices would be limited to staying home and taking care of the family. Rather than being equals, women would be subservient to men. I might not drive, I might not dress in the way in which I choose to, and I might not be able to live my life the way that I can in the twenty-first century.

Kscope Pilot Study : Research Questions

- How do Kscope measures relate to other application information?
  - Academic, personal quality, extracurricular activity
- How do Kscope measure relate to admissions decision?

Data - Class of 2011

- 22% of the applicants received at least one Kscope rating (Creative, Practical and Wisdom)
- **K Group**- combined C, P, W scores
  - C = only low scores
  - B = only medium scores
  - A = one high score
  - A+ = two or three high scores

Correlations between admission measures

	Creative	Practical	Wisdom	K Group
Practical	0.41*			
Wisdom	0.34*	0.32*		
Academic	0.17*	0.06	0.11	0.10*
Personal	0.18*	0.22*	0.21*	0.25*
Extracurricular	0.45*	0.44*	0.41*	0.49*
SAT-V	0.14*	0.04	0.08	0.07*
SAT-M	0.05	-0.02	0.00	0.00
GPA	0.03	0.01	0.02	0.00

Pilot Study Data

- Kscope correlates with extracurricular and personal quality, but not with conventional academic measures.
- Kscope significantly improves post-hoc prediction of admission decisions over academic and personal quality measures.
- Interviewed admission officers and students supported the Kscope framework.

Pilot Study Data

- Number of applications rose
- Bottom third of old application pool greatly diminished; many more top applicants
- Average SATs rose slightly
- African-American applications up 25%, acceptances up 30%
- Hispanic-American applications and acceptances up 15%

Pilot Study Data

- There were no significant ethnic-group differences on Kaleidoscope
- Kaleidoscope correlated weakly with a composite academic rating (.11)
- Kaleidoscope correlated moderately with rated leadership/extracurricular activities (.44)
- First-semester GPAs did not differ significantly between Kaleidoscope A's and academically comparable students admitted for other reasons

Pilot Study Data

- Kaleidoscope A's engaged in more extracurricular and leadership activities than did others
- Greater customer satisfaction
- Message to students, parents, teachers, and counselors that Tufts is looking for more than just the high-SAT, high-GPA student

Related Projects

- Choate Rosemary Hall
- University of Michigan Business School Project
- Advanced Placement Project
- Aurora Project

Conclusions

- Traditional abilities tests are narrow and limited
- Our new measures can
  - Broaden the range of skills tested for educational purposes
  - Increase predictive validity
  - Decrease ethnic-group differences
  - Increase customer satisfaction

Contact

- Please feel free to contact me at robert.sternberg@tufts.edu with any questions or comments or ideas for collaboration

It's Never Too Late to Learn: The Necessity of Serving Adult Students

LEGISLATIVE ADVISORY COMMITTEE
ANNUAL MEETING

SEPTEMBER 28-29, 2009

BOULDER, CO

WCHE

What is an Adult Learner?

2

- Someone 25 years of age or older involved in postsecondary learning activities (Voorhees and Lingenfelter, 2003).
- Anyone "engaged in some form of instruction or educational activity to acquire the knowledge, information, and skills necessary to succeed in the workforce, learn basic skills, earn credentials, or otherwise enrich their lives" (National Center for Education Statistics, 1999).

WCHE

What is an Adult Learner?

3

- According to NCES (2002), nontraditional students exhibit one or more of seven characteristics:
  - have delayed enrollment into postsecondary education
  - attend part time
  - are financially independent of parents
  - work full time while enrolled
  - have dependents other than a spouse
  - are a single parent
  - lack a standard high school diploma

WICHE

Many Types of Adult Learners

4

Those who:

- Have a degree but no job (displaced workers)
- Are closing to having a degree (ready adults)
- Those with some college, but who aren't close to having a degree
- Those who have never gone to college
- Those who have not graduated from high school
- Those for whom English is their second language
- Are returning military personnel and veterans (2 million!)

WICHE

You MUST teach an old dog new tricks

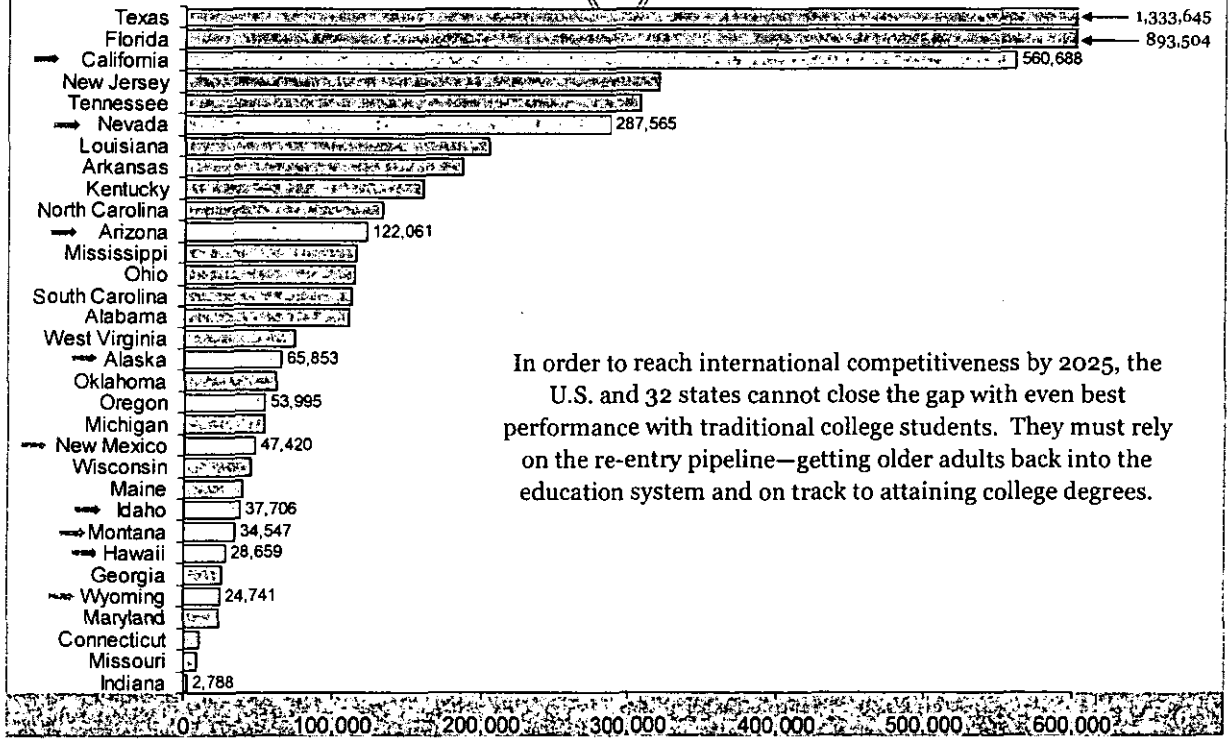
5

- **Adult learners are integral to remaining globally competitive**
  - 35 states cannot catch up to the educational attainment levels of the best performing countries by only serving traditional students
- **Adults make up a significant portion of the total postsecondary enrollments**
  - From 1970 to 2002, adult part-time enrollment at all institutions increased from 7% to 12%, and adult part-time enrollment at community colleges increased from 17 percent to 26 percent of all students.

Source: Council for Adult & Experiential Learning and National Center for Higher Education Management Systems, Adult Learning in Focus, 2008

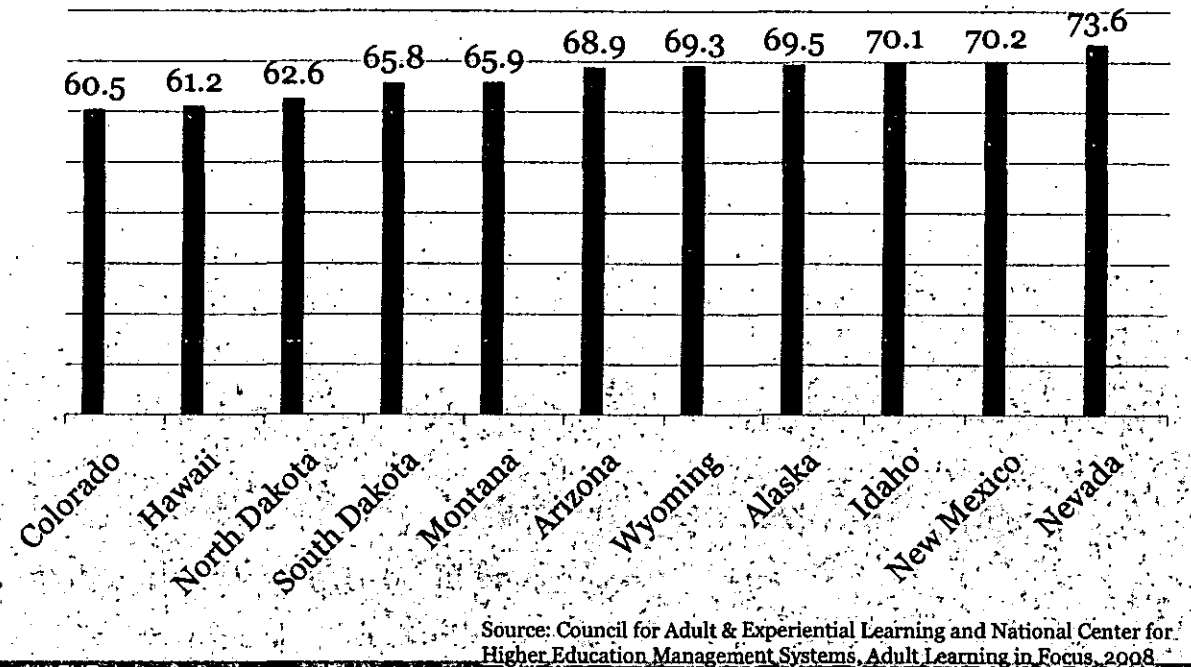
WICHE

Even Best Performance with Traditional College-Age Students at Each Stage of the Educational Pipeline Will Leave Gaps in More than 30 States



In order to reach international competitiveness by 2025, the U.S. and 32 states cannot close the gap with even best performance with traditional college students. They must rely on the re-entry pipeline—getting older adults back into the education system and on track to attaining college degrees.

Percentage of Working-Age Adults with No College Degree



Source: Council for Adult & Experiential Learning and National Center for Higher Education Management Systems, Adult Learning in Focus, 2008

WICHE

Non-traditional No More

- Two-year project funded by Lumina Foundation for Education
- To stimulate and guide policy and practice changes that will make it easier for "ready adults" – those who are just shy of having enough credits to obtain a degree but haven't yet returned to college – to earn their diplomas
- Working with Arkansas, Colorado, Nevada, New Jersey, and South Dakota
- Data, Financing/Financial Aid, Academic Affairs, Students Services, Communication

WICHE

What We We've Learned About Adult Learners

9

- You can't treat them like traditional students.
- They don't want to waste any time.
- They are often place-bound.
- They work so they can't go to class at traditional times.
- They often need child care.
- They need a place to park.
- Paying tuition in one-lump sum at the beginning of the semester is a barrier.
- They're anxious about math.

State-level Policy Issues for Consideration

10

- Conduct a state policy and practice audit.
- Consider policies that improve state data capabilities.
  - In many states, identifying adult learners (particularly those with some college and no degree) is challenging at best
- Incentivize institutions to better serve adult learners.
  - Targeted remediation
  - Transparent statewide articulation and transfer processes
  - Credit for prior learning (e.g., corporate and military)
  - Alternative modes of delivery (e.g., online learning)

State-level Policy Issues for Consideration

11

- Conduct institutional assessments of levels of adult-friendliness.
  - CAEL's Adult Learning Focused Institution
- Adjust financial aid policies to allow for part-time students and adult learners.
- Launch well-researched statewide marketing and communications efforts that are targeted to adult learners.
- Ensure that your state-level policies that affect adults are aligned with federal policy.

Discussion

12

- What is your state doing with respect to serving adult learners?
- Do you know who these students are and their characteristics?
- Are adult learners part of your current policy discussions?
- How are your institutions doing? Are the "friendly" toward adults? Do you really know?
- Is financial aid in your state available to adults?
- Has your state engaged in any statewide marketing efforts targeted toward adults?

For More Information

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The dreaded "P" word

An examination of productivity in public postsecondary education

By Patrick J. Kelly

Full report available — 33 pages.

Delta Cost Project white paper series

Supported by Making Opportunity Affordable, an initiative of Lumina Foundation for Education

About the author:

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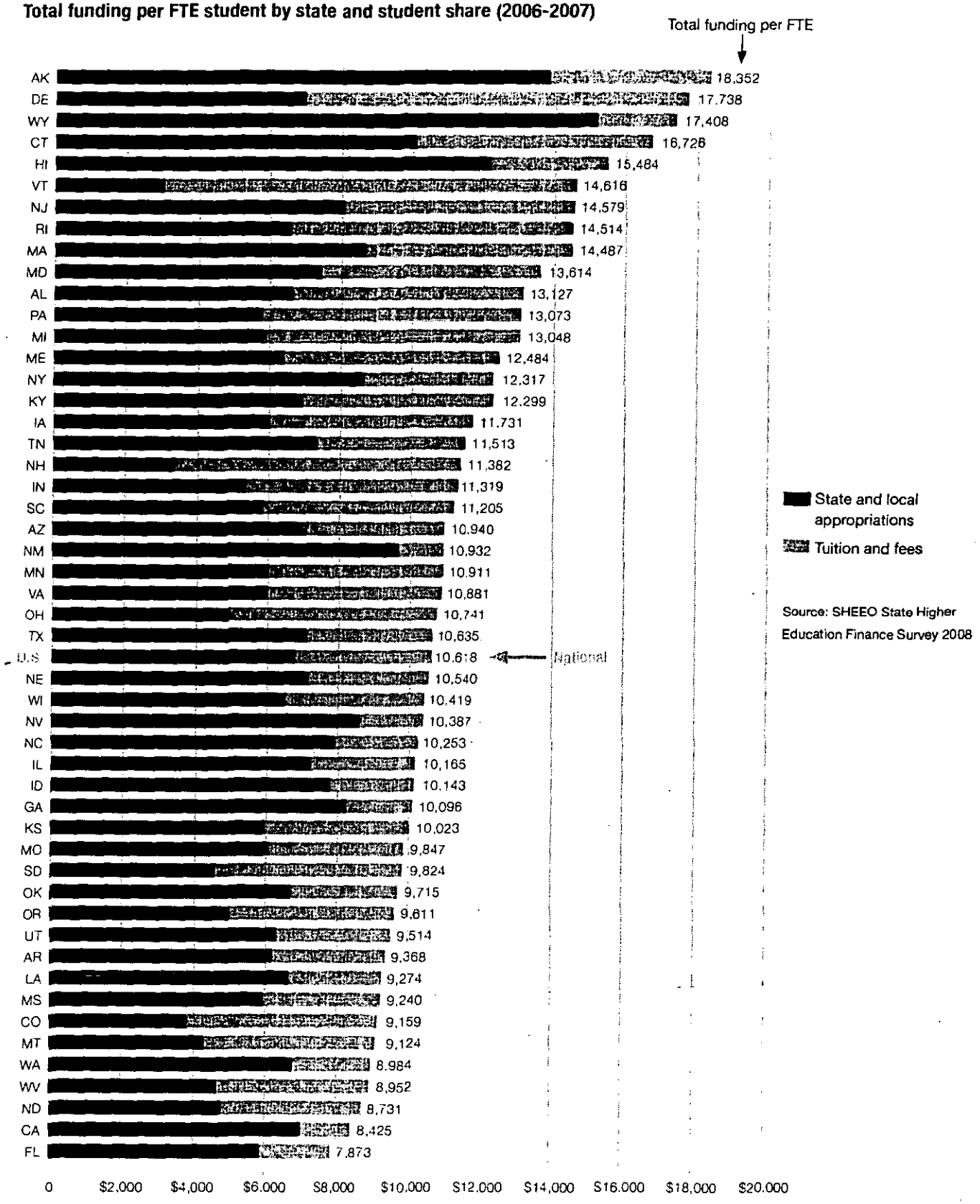
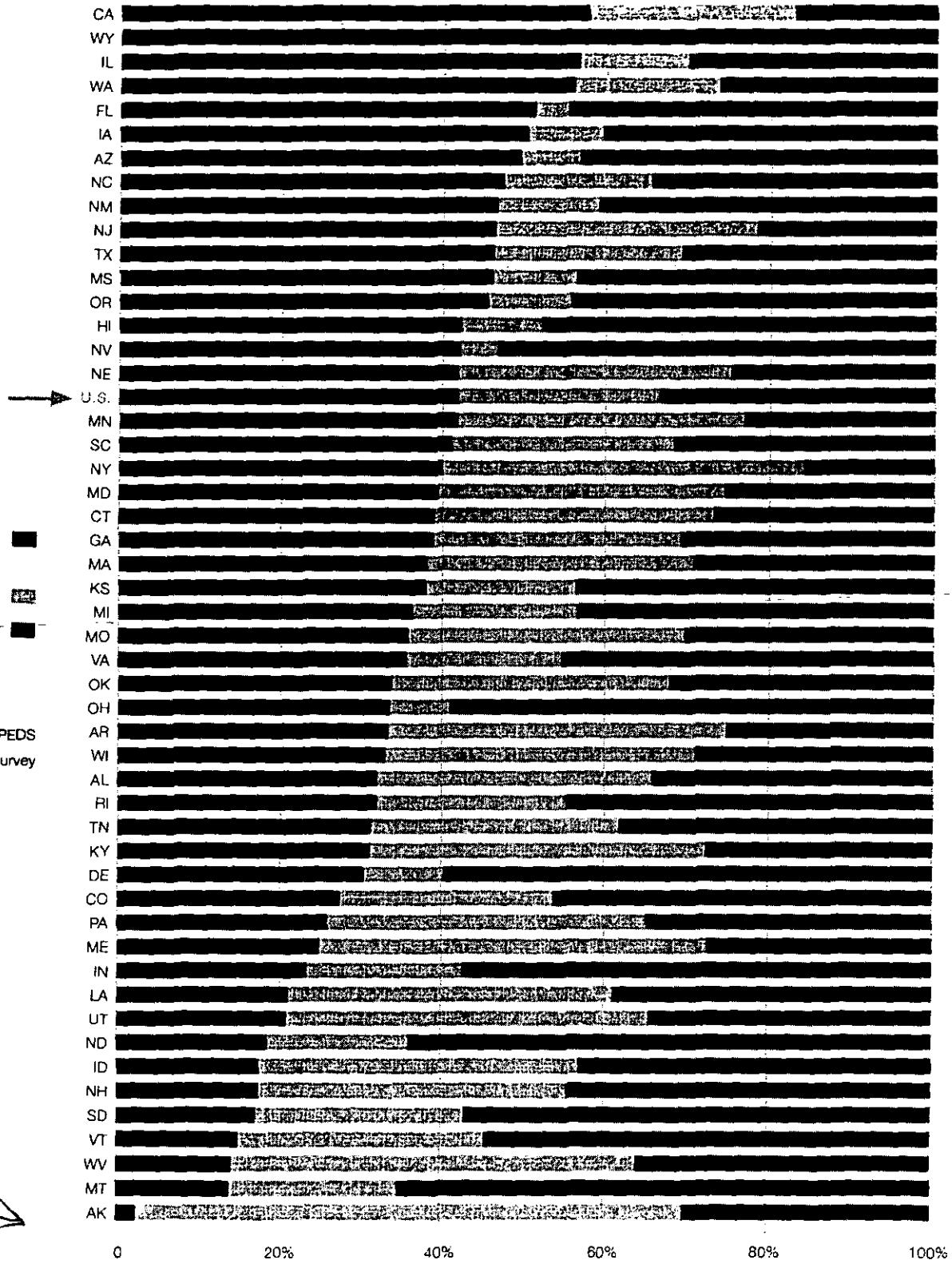
Email inquiries to: deltaproject@deltacostproject.org

Total funding per FTE student by state and student share (2006-2007)



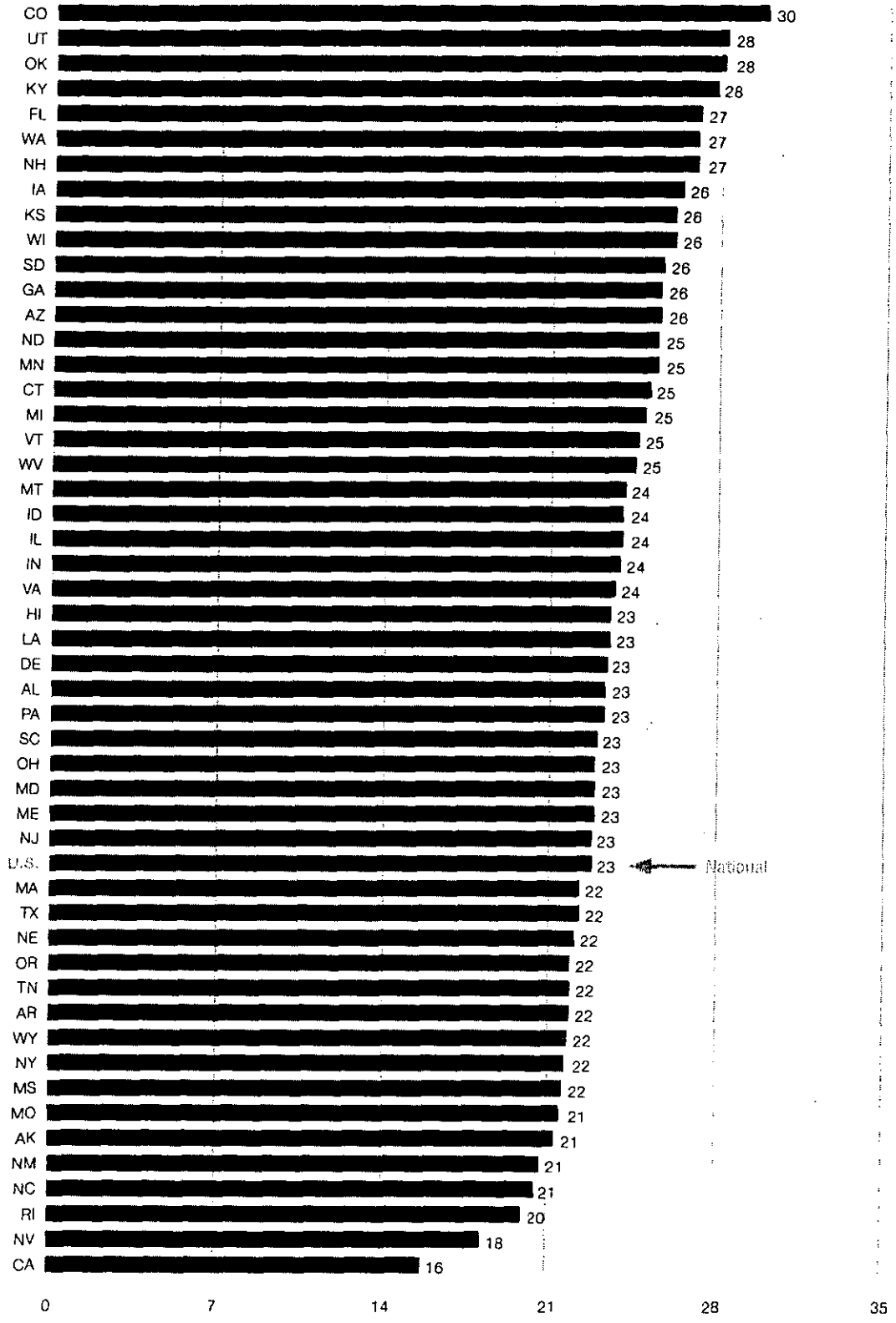
Source: SHEEO State Higher Education Finance Survey 2008

Annual FTE enrollment by public sector (2006-2007)



Source: NCES, IPEDS Fall Enrollment Survey

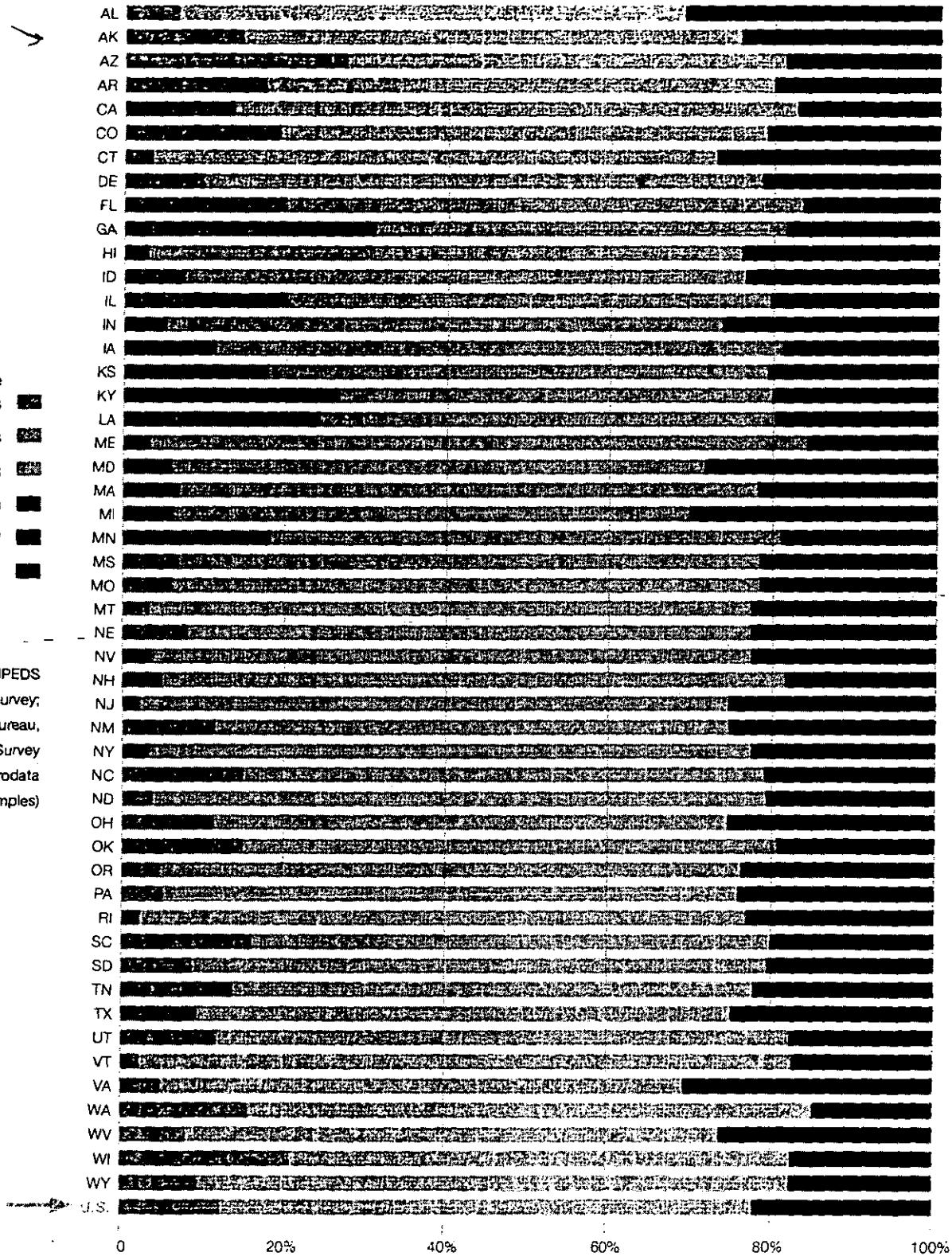
Degrees and certificates awarded (weighted)[3] per 100 FTE students (2006-2007)



Sources: SHEEO State Higher Education Finance Survey 2008; NCES, IPEDS Completions Survey; U.S. Census Bureau, American Community Survey (Public Use Microdata Samples)

[3] Adjusted for value of degrees and certificates in the state employment market (median earnings by award type and level).

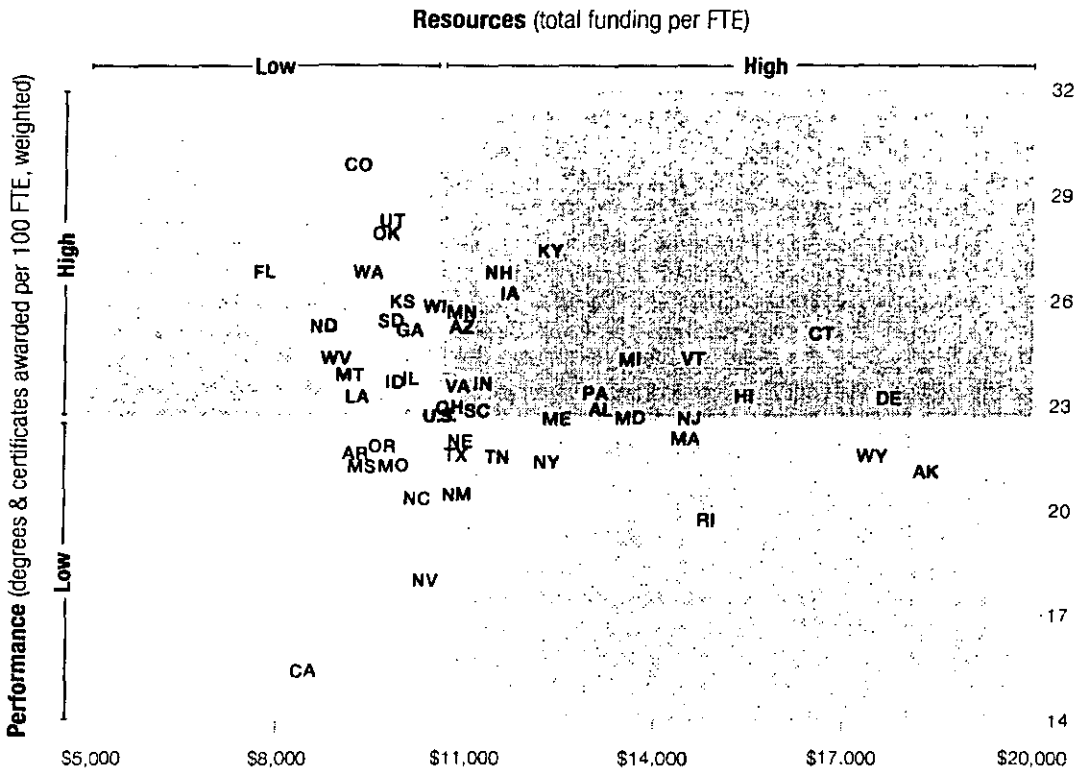
Degrees and certificates awarded (weighted)[4] by level (2006-2007)



Sources: NCES, IPEDS Completions Survey; U.S. Census Bureau, American Community Survey (Public Use Microdata Samples)

[4] Adjusted for value of degrees and certificates in the state employment market (median earnings by award type and level).

Productivity: Degrees and certificates awarded per FTE vs. total funding per FTE (2006-2007)

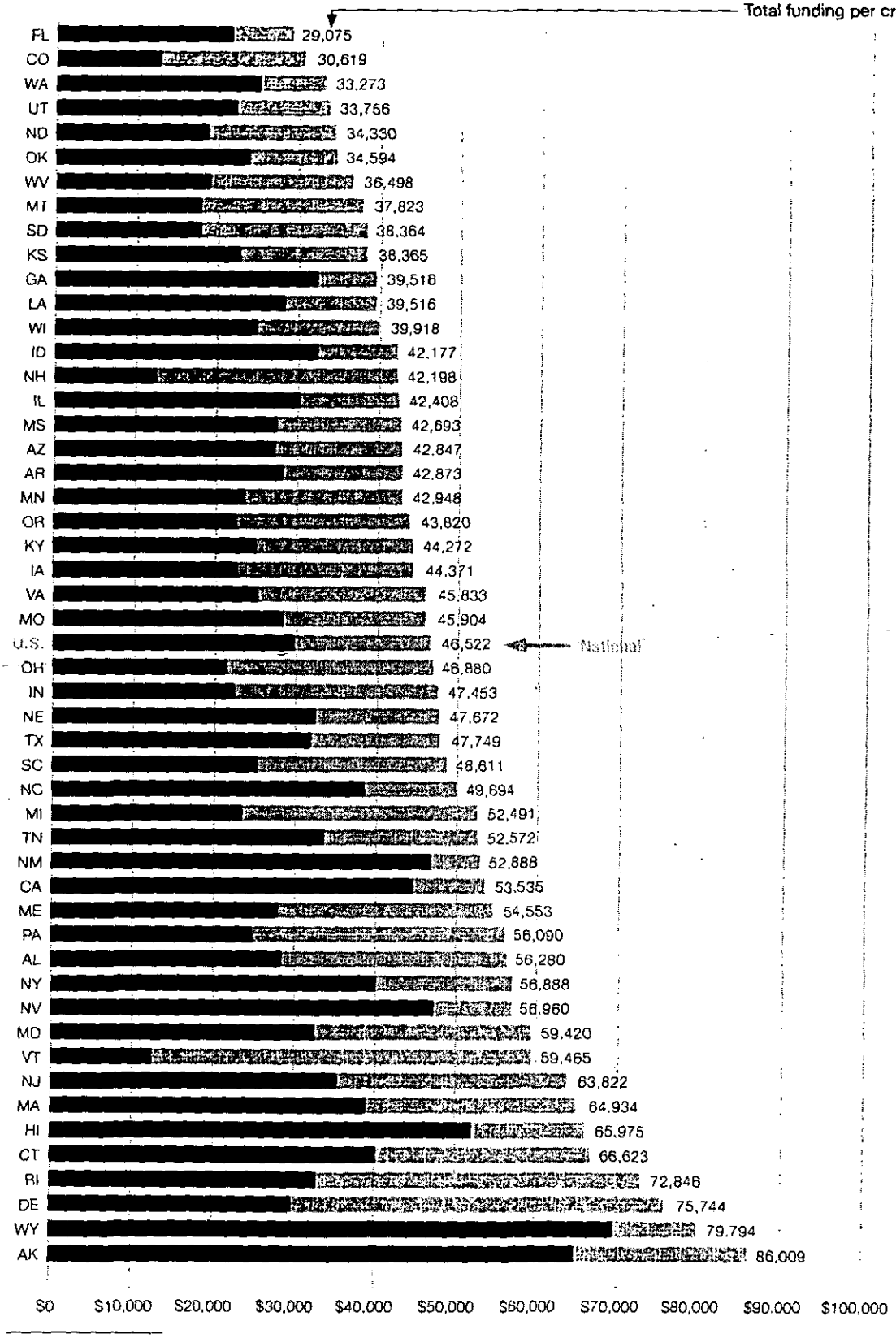


Source: SHEEO State Higher Education Finance Survey 2008; NCES IPEDS Completions Survey.

The combination of funding and certificate and degree production *(see Figure 10, next page)* is what drives the calculation of productivity: total funding per certificate/degree (weighted here by the value of various certificates and degrees). The costs per credential awarded are lowest in Florida, Colorado, Washington, Utah, and North Dakota. The least productive states—those with the highest cost per credential—are Alaska, Wyoming, Delaware, Rhode Island, and Connecticut. The differences between the weighted and the actual "total funding per certificate/degree" show that Indiana, New Hampshire, and Virginia benefit the most from weighting credentials by their market value, while Kentucky, Illinois, and Florida benefit the least *(see Appendix Figure A3, page 33)*.

To what extent do students and families directly invest in an unproductive system through the tuition and fees they pay? They contribute a great deal to the public systems in Delaware, Rhode Island, and Vermont—providing the bulk of revenues to high cost-per-degree institutions *(see Figure 10, next page)*. Conversely, the less productive systems in Alaska, Wyoming, and Hawaii are supported largely by state and local appropriations. At the opposite end of the spectrum, students and families provide a substantial portion of the revenues in the low cost-per-degree systems in Colorado, West Virginia, Montana, and South Dakota—systems that with so little state support probably have to rely on tuition and fee revenues to stay afloat.

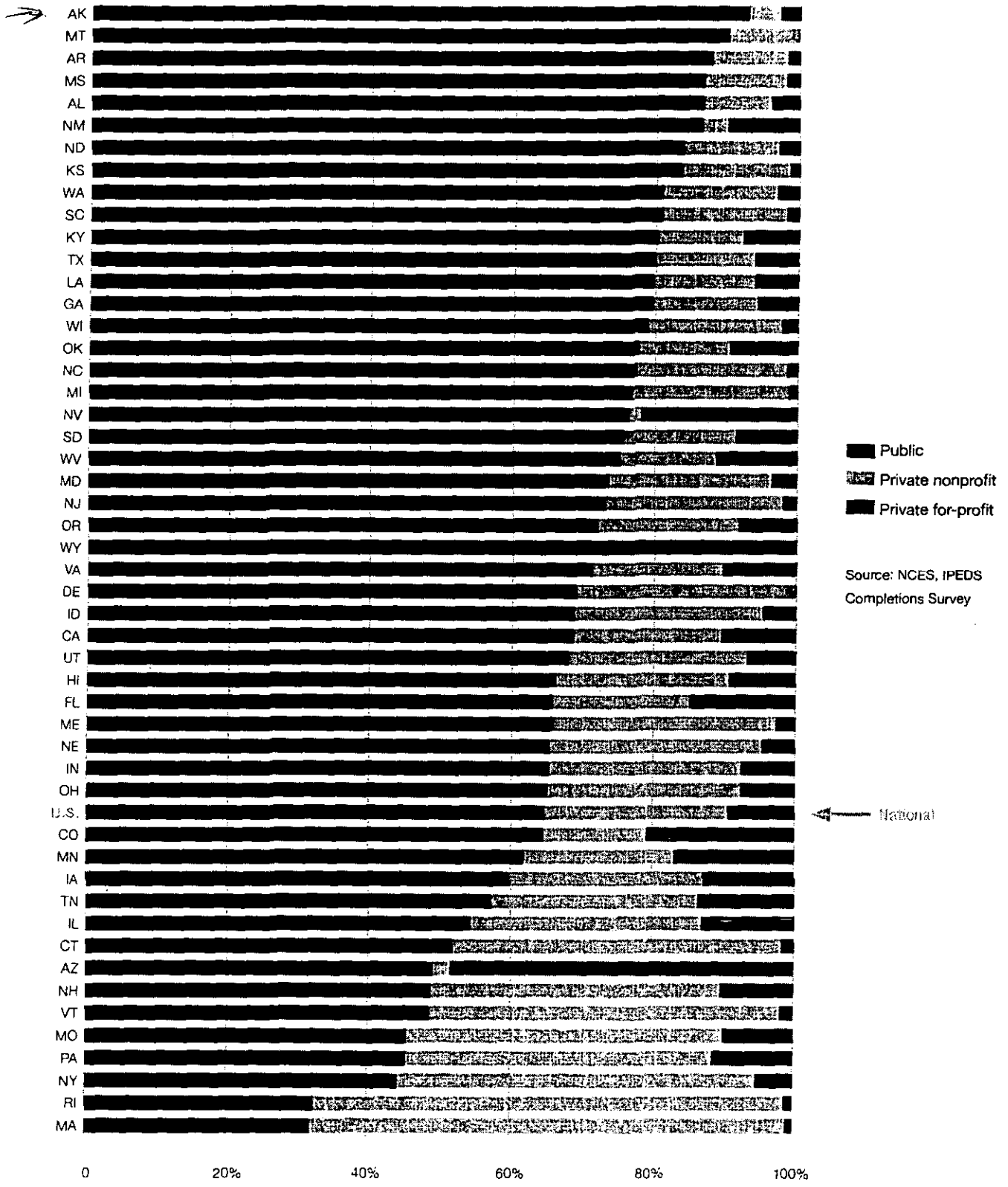
Productivity: Total funding per degree/certificate (weighted,[6] 2006–2007)



Sources: SHEEO State Higher Education Finance Survey 2008; NCES, IPEDS Completions Survey; U.S. Census Bureau, American Community Survey (Public Use Microdata Samples)

[6] Data are adjusted for value of degrees and certificates in the state employment market (median earnings by award type and level).

Annual certificates and degrees awarded (weighted) by control/sector (2006-2007)



Source: NCES, IPEDS Completions Survey

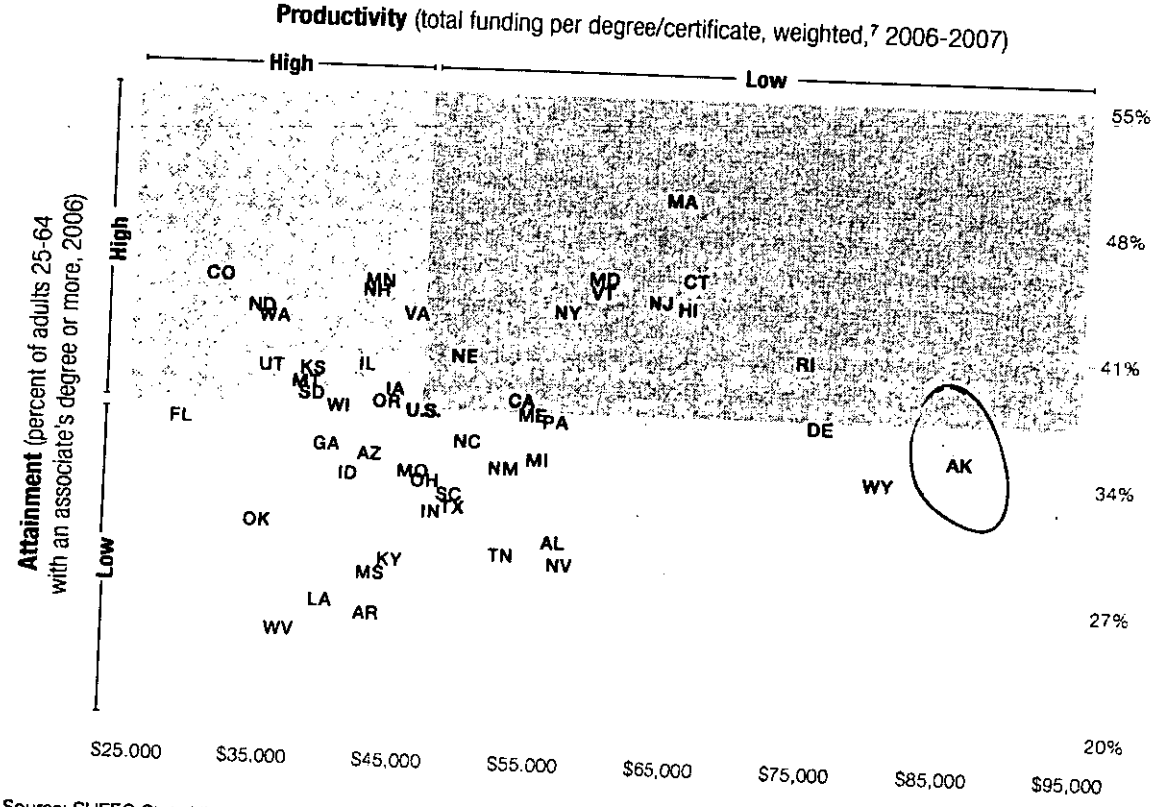
While it is impossible to draw the line precisely, some state systems need more resources in order to produce more certificates and degrees, while others need to produce more with the resources they already have. The extremes are on the top and bottom of Figure 10 respectively.

Other productivity considerations

Public systems of postsecondary education are of varying importance across states in producing the overall number of certificates and degrees *(see Figure 11, preceding page)*. In many of the New England states and New York, Pennsylvania, and Missouri, large portions of the states' production occur in the private sector. While this report does not address the productivity of private colleges and universities, many of these states have probably benefited from the contributions of the private sector to the educational attainment levels of their adult residents. However, because many private institutions are national and international in scope, the public sectors in many of these states serve the majority of in-state residents. So, the presence of highly selective private institutions does not diminish the importance of productivity within the public sector.

Figure 12

Productivity vs. educational attainment of the adult population



Source: SHEEO State Higher Education Finance Survey 2008; NCES IPEDS Completions Survey; U.S. Census Bureau, American Community Survey (Public Use Microdata Samples).

[7] Data are adjusted for value of degrees and certificates in the state employment market (median earnings by award type and level).

Overall levels of educational attainment in the young adult population are important considerations when gauging the productivity of public postsecondary education systems. States that have low levels of educational attainment can least afford to have less productive systems. Tennessee, Alabama, Nevada, Wyoming, and Alaska are states that fall into this category *(see Figure 12)*. Each has lower than average levels of educational attainment and produces relatively few degrees with the resources they have. Conversely, Colorado, North Dakota, Washington, Minnesota, and New Hampshire are among the best-educated states and exhibit high levels of productivity. Several of the least-educated states—West Virginia, Louisiana, Arkansas, Mississippi, and Kentucky—also produce large numbers of certificates and degrees relative to their resources.

One drawback associated with any approach to gauging productivity at the state and system level is the difficulty of accounting for extraneous factors that influence the level at which the state benefits from a productive postsecondary education enterprise. One of these is the state's ability to keep all of its graduates within its boundaries. While exploring factors like economic conditions, employment opportunities, tax structures, cost of living, and climate is beyond the scope of this report, the interstate movement of college degree holders is a good proxy for many of them. Figure 13 *(see next page)* presents the average annual migration rate of college-degree holders in each state from 2004-05 and 2005-06.

In recent years, Nevada, Arizona, and Washington experienced the largest rates of in-migration of college-educated adults. In these states, the pressure to produce large numbers of college graduates is somewhat alleviated by their ability to attract them from outside the state. However, policymakers in some states have relied on outside talent for decades. For example, policymakers in Colorado and Washington are beginning to realize the importance of doing a better job of educating their own residents. This realization is based partially on fairness—those who have contributed should share in the benefits—and partly arises from a concern that opportunities in historically out-migrant states will eventually reduce the flow of talent.

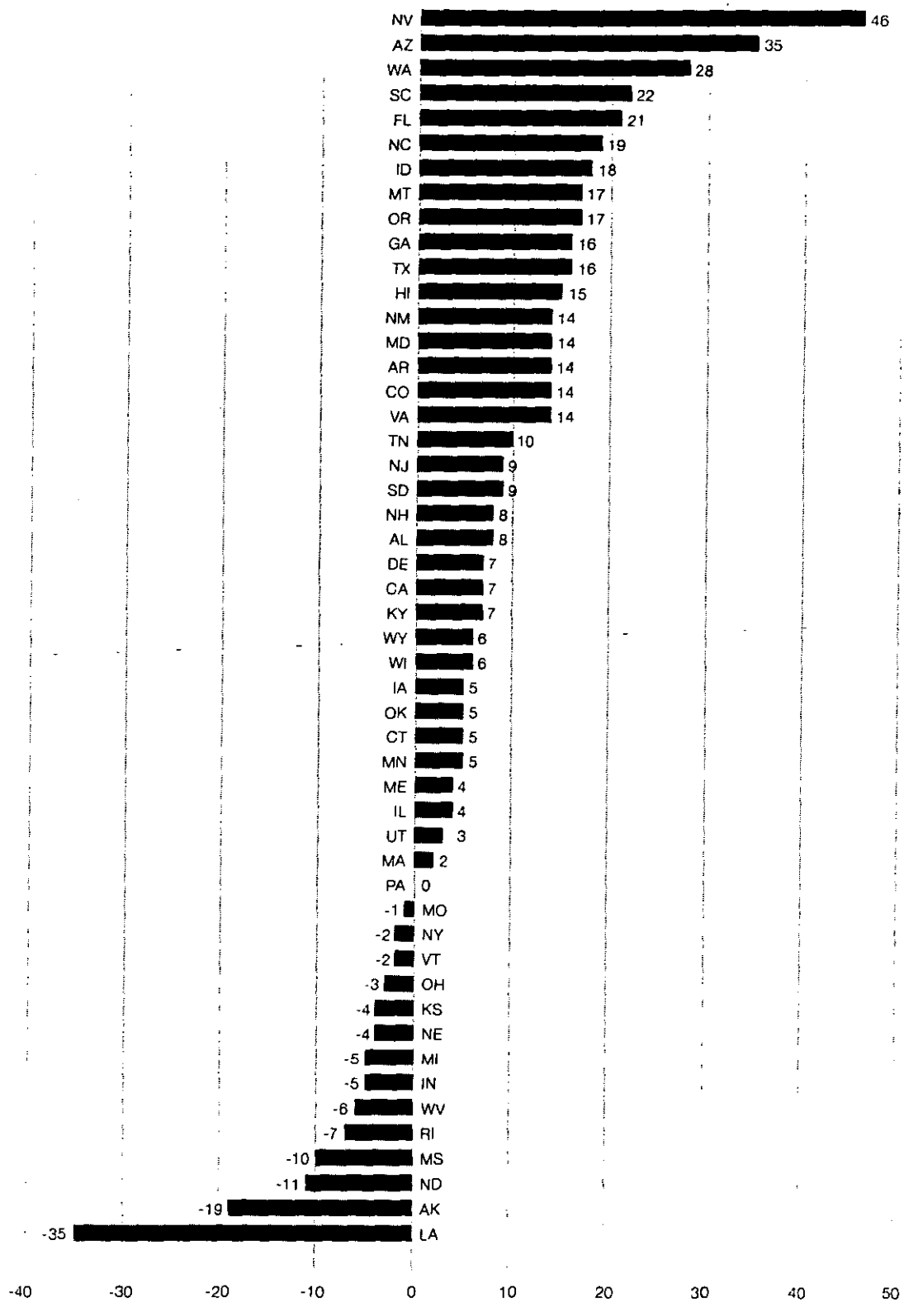
Despite producing a relatively large number of degrees with low levels of resources, North Dakota and West Virginia lose a substantial number of graduates to other states that have more vibrant economies. It is important to note that Louisiana's high migration rate was probably affected by hurricane Katrina. Also important to note is the fact that interstate migration has diminished in recent years with the waning economy and housing markets.[8]

Productivity in public bachelor's and master's institutions

This productivity analysis can also be applied to specific sectors within state postsecondary education systems. NCHEMS' previous work—using a slightly different methodology—has shown that certain sectors within states (e.g. two-year, bachelor's and master's, and research

[8] For more information on the migration of college-educated residents, visit www.higheredinfo.org.

Average annual migration rate[9] of college graduates aged 22 to 64 (2005-2006)



Sources: 2005 and 2006 American Community Surveys (Public Use Microdata Samples)

[9] Net migration of adults (entrants minus exits) with college degrees per 1,000 adults with college degrees in the population.

Alaska Profile of Adult Learners 2008

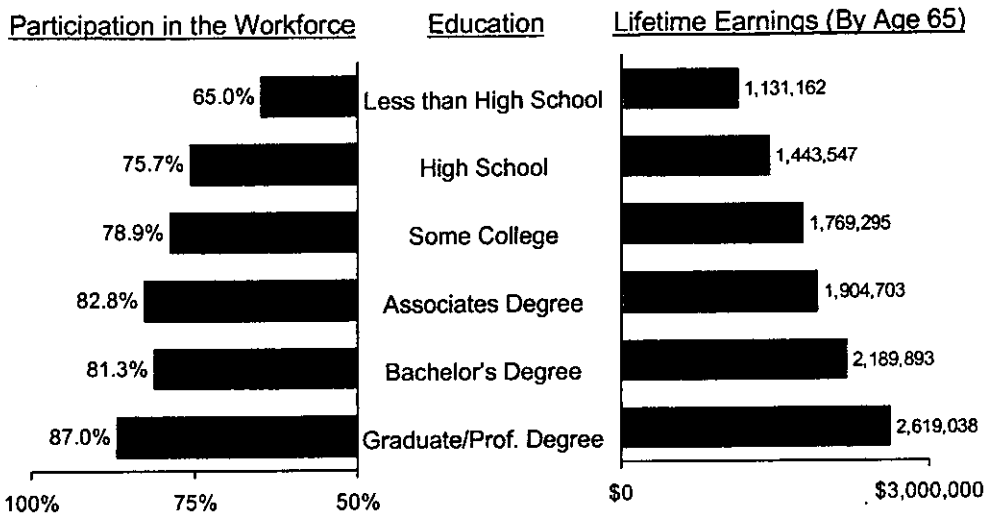
Adult Learning in Focus

How Does Education Pay Off for Alaska?

In Alaska:

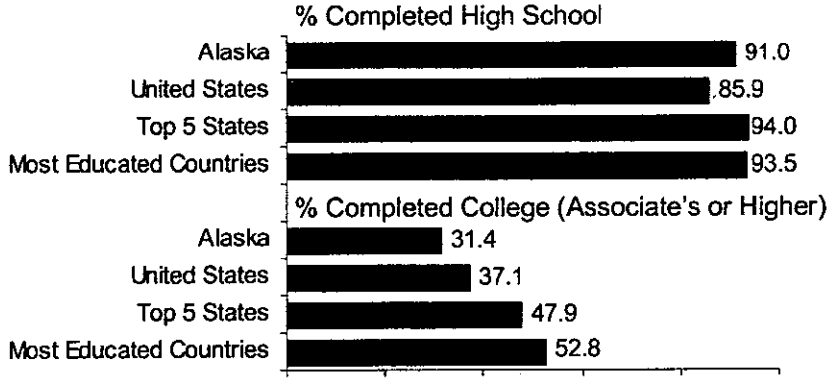
Working-age residents with college degrees are 25 percent more likely to participate in the workforce than those with less than a high school diploma.

And their earnings over a lifetime are about twice as much -- a substantial personal benefit as well as a benefit to the state with respect to more taxable resources, fewer health problems, lower rates of crime, and greater levels of civic engagement.



How Does Alaska Measure Up?

Alaska's Young Adults Compared to the U.S. and Best Performing Countries (Age 25 to 34)



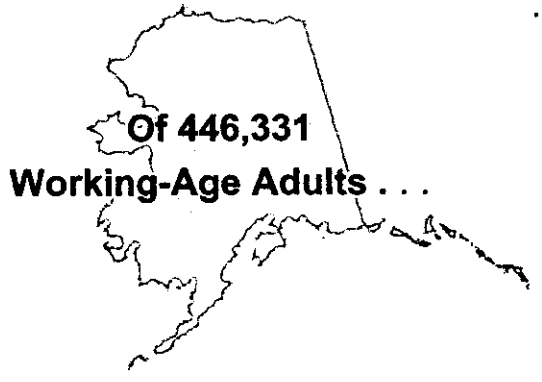
Note: The most educated countries in 2005 include Korea, Japan and Canada.

In Alaska:

A higher percentage of young adults have completed high school than the U.S. average, but lower than the top states and the most educated countries.

A lower percentage of young adults have earned college degrees than the U.S. average, and much lower than the top states and the most educated countries.

The Challenge: Alaska's Working-Age Adults (18 to 64) with No College Degree



... **310,077** have not completed college (associate's degrees or higher) — **69.5** percent of all working-age adults in Alaska. Of these:

46,885 have not completed high school (or equivalent)

135,887 have completed just a high school diploma but have not entered college

127,305 have completed some college but no degree

6,592 speak little or no English

56,210 are living in families whose combined incomes are less than a living wage (twice the level of poverty)

GETTING WHAT YOU PAY FOR

The Legislative Role in Improving Higher Education Productivity

Dennis Jones

November 2008

NATIONAL CONFERENCE of STATE LEGISLATURES
The Forum for America's Ideas

WICHE
Western Interstate Commission for Higher Education

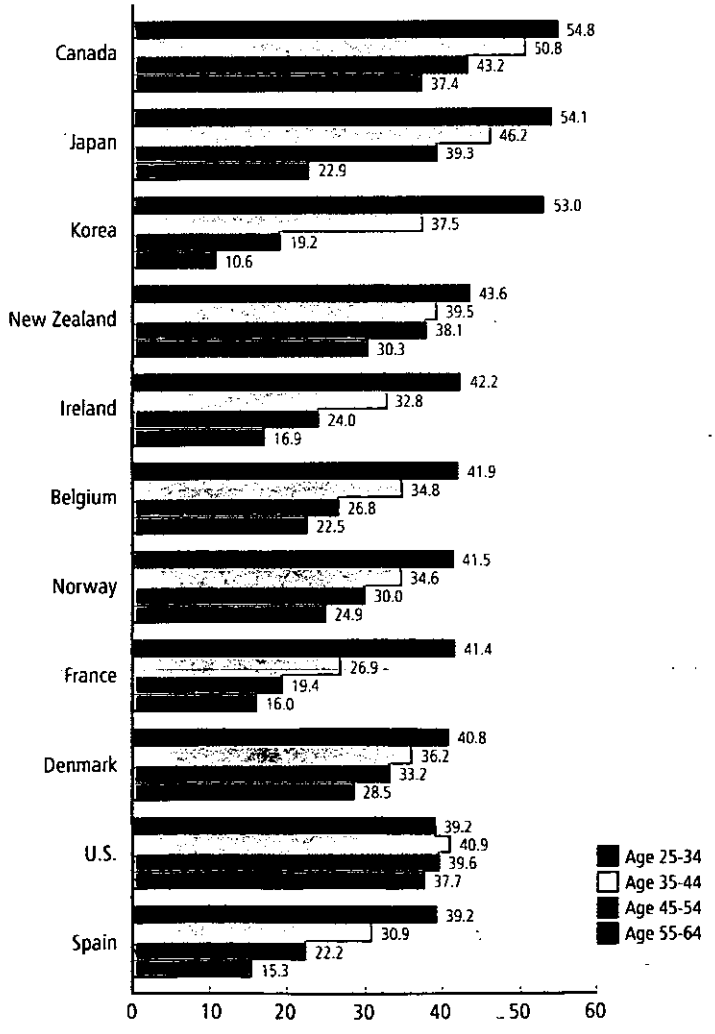
With support from

LUMINA FOUNDATION FOR EDUCATION

Introduction

There is now widespread acceptance of the fact that economic competitiveness in the global marketplace will largely be determined by the stock of educational capital embodied in a nation's workforce. Based on this yardstick, simply put, the U.S. is losing its competitive edge. While still having the second most highly educated workforce in the world (after Canada), this advantage is the result of the nation's head start in mass higher education. The edge is a function of the baby boomers attaining much higher levels of education than their counterparts elsewhere in the world. Among younger workers (ages 25-34), the picture is much different, with the U.S. lagging nine other countries in the proportion of its young workforce possessing at least an associate's degree (see Figure 1).[1] With the retirement of a highly educated portion of the workforce and their replacement with individuals who are, on average, less well educated, the U.S. will find itself in the unaccustomed position of lagging in the capital market that matters most: educational capital.

Figure 1. Percent of Adults with an Associate Degree or Higher by Age Group, U.S. and Leading OECD Countries

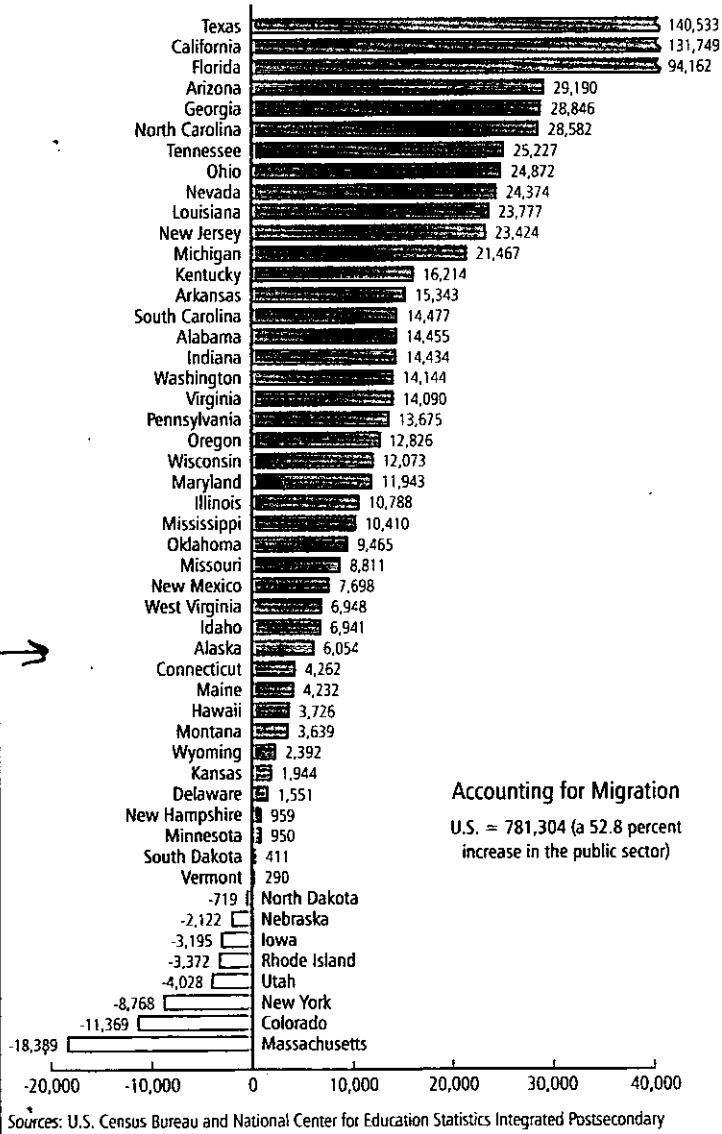


Source: OECD, Education at a Glance, 2008.

The magnitude of the challenge facing the U.S. is substantial. Estimates indicate that by 2025, 55 percent of the working-age population will need at least an associate's degree. If the nation's education enterprise continues to function as it does now – the same patterns of high school completion, college participation, and success – there will be a shortfall of about 16 million college graduates by 2025.[2] The shortfall will be even greater if the current levels of in-migration of college graduates are not sustained. This in-flow of educated talent cannot be guaranteed given the increasing opportunities now available in the countries from which talent has historically flowed.

Most states will share the problem faced by the nation. The majority will not achieve the 55 percent threshold doing business as usual. The shortfalls in the states vary dramatically (see Figure 2), but few will hit the target without a substantially increased output of degree-holders from their colleges and universities.

Figure 2. The "Gap" – Difference in Annual Degrees Produced and Annual Degrees Needed to Meet Benchmark



Sources: U.S. Census Bureau and National Center for Education Statistics Integrated Postsecondary Education Data System, 2005.

The costs of closing the gap are enormous. A rough estimate is that the states' collective support for higher education would have to increase by nearly 40 percent – an additional $32 billion on top of the $78 billion currently being invested. And this additional amount would have to be spent every year for the next 20 years; it is not a one-time infusion of operating funds that could be provided in a particularly robust economic environment. Given the health of the nation's and states' economies and the competing demands for state resources, it is impossible to envision a scenario in which this much money can be devoted to closing the education attainment gap.

The nation faces a dilemma – some would call it a crisis – regarding the demand for more graduates, and its institutions of higher education will be asked to respond to it. Since states, not the federal government, are responsible for higher education, the problem ultimately becomes one with which state legislatures must deal.

The task is vexing. States cannot reduce their expectations to meet the limitations of their budgets. Doing so would result in the equivalent of economic disarmament. Neither can they increase their budgets to meet their degree production requirements, given current institutional expenditure patterns. Taxpayers would revolt at the tax increases that would be required. If students were asked to foot the bill, so many would likely find college unaffordable that the required graduation numbers could not be achieved. So what is the solution?

Increasing Productivity

There is no single answer to this question. But a major part of the answer has to be increasing productivity – getting more output (degrees and certificates) produced for the resources being invested by states. Institutions will inevitably push back against this idea, arguing that they can't increase productivity without sacrificing quality. The evidence belies the argument. Figure 3 indicates that most state systems of higher education would

Figure 3. Undergraduate Credentials Awarded per 100 FTE Undergraduates, 2002-03

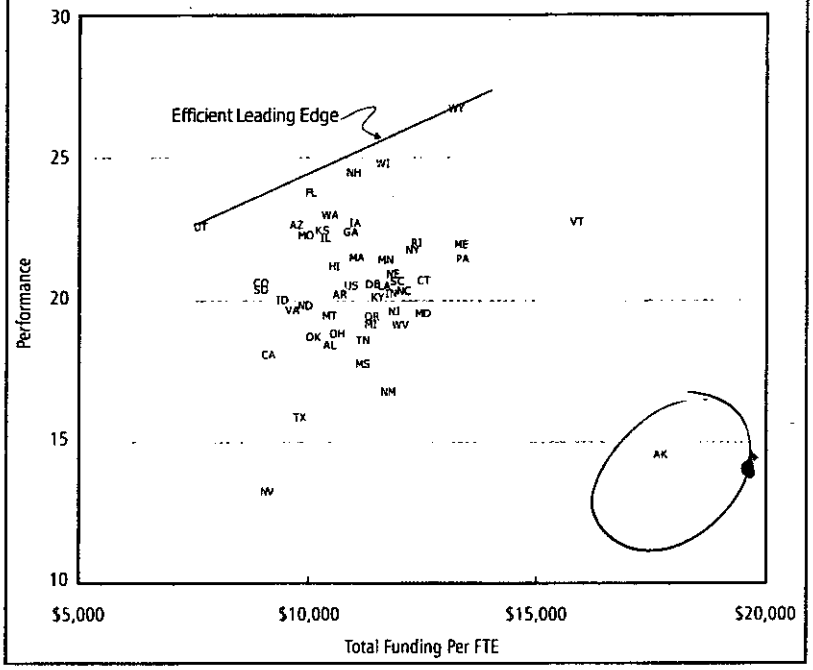
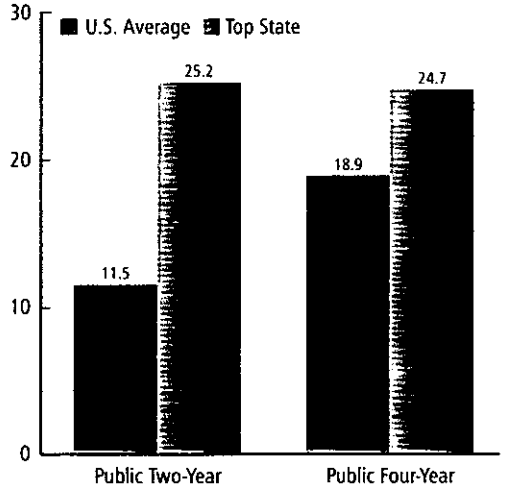


Figure 4. Undergraduate Degrees Awarded per 100 Full-Time Equivalent Students



Source: National Center for Education Statistics Integrated Postsecondary Education Data System, 2005.

have to produce many more degrees to be as cost-effective as those states that get the highest degree production for an equivalent investment (moving vertically on Figure 3 to a position on the "efficient leading edge").[3]

Figure 4 shows the relationships between degrees produced and college enrollments for the best performing state and the nation as a whole. The differences are substantial.

If state systems produced at the rate of the best-performing state, savings would be an estimated $38 billion, more than enough to cover the entire $32 billion needed. This level of performance by all states is unlikely; nevertheless, these calculations indicate that productivity improvement can make a large contribution to funding the output gap. In the end, achieving the globally competitive target will require additional investments, but it will also require legislatures to raise expectations regarding outcomes produced with the resources already in hand.

The Legislature's Role

Institutions of higher education operate within a policy environment established primarily at the state level. Therefore, one can argue that underperformance is at least partially due to the state policies and the way they are implemented. They either allow underperformance to continue or limit the extent to which performance can be enhanced. Legislatures would do well to call for a "policy audit" to identify those aspects of existing policy that negatively affect the pursuit of high productivity.

It also behooves legislators to better understand the ways in which their actions affect productivity enhancement. Legislative actions affect the productivity of a state's higher education system – both directly and indirectly.

Direct effects are most evident in decisions regarding the nature of the system of higher education created in the state. The most important contribution legislatures can make is to create a system of institutions that is inherently cost effective – investing in institutions that produce a lot of graduates relative to the investments made in them. This means investing in institutions that have instruction as their mission and that are encouraged to excel at this mission. This flies in the face of enormous pressure to invest in research universities, pressure from the institutions and their well-organized alumni groups, from communities that want their local campus to become one of the research university elite, and from legislators themselves who tend to perceive higher education through the lenses of the most prominent institutions in the state. The ability to resist such temptations and place a priority on funding institutions that can produce the most graduates for the money spent – not the institutions

with the best graduation rates but those with the best graduation rates per dollar – is ultimately the primary determinant of system productivity.

It is relatively easier to heed these admonitions in states that are growing rapidly. In such instances, it is possible to add necessary capacity by investing in those institutions that specialize in undergraduate education. This was the path taken by Nevada when it chose to create Nevada State rather than further expanding its research universities. The opposite strategy has been followed in California and Washington, where the capacity added has been in the highest cost systems and institutions in the state. Such decisions let local communities advertise the presence of the University of California or the University of Washington in their midst but do little to cost effectively serve a substantially larger number of students.

In states that are not growing, the strategies are more complicated – especially in light of political realities that make it nearly impossible to adjust capacity by closing institutions. The requirement is that all institutions be helped to enroll sufficient students so that they can operate at cost-effective levels. One approach is to engage in enrollment management at the system level – raise admissions standards at the most popular institutions to spread enrollments more evenly, for example. Another approach is to change the missions of one or more institutions so that they can serve audiences not currently being served (usually adults, but it could be high school students seeking courses that can't be offered by local schools, employees of certain types of companies, etc.).

Perhaps most important, institutions need to grow enrollments by reducing dropouts. This can't be directly affected by legislative action, but improvements in this arena can be assisted indirectly by the environment created by state policy.

The ways in which legislatures indirectly affect productivity are far too numerous to catalogue here. There are a limited number of tools that can be employed by state policymakers to influence the productivity equation (other than cutting funding and exhorting institutions to do more with less). The primary tool is financial – determining the rules by which funds are allocated to institutions. In almost all states, enrollments play a key role in determining funding levels; course and program completions seldom if ever become part of the equation. However, if degree attainment is the goal, then aligning all elements of financial policy – appropriations to institutions, tuition and fees, and financial aid – with this goal is obligatory. In funding institutions the emphasis on completion can be reinforced by funding on the basis of course completions rather than course enrollments or by putting a sizeable portion of the allocation into a performance pool that is distributed on the basis of degree completions. Tuition and fee policies can help to ensure affordability and create incentives for rapid progression through the system. The same is true for student financial aid policies.

Accountability mechanisms are another device for pushing the productivity agenda. For example, it is useful to track system productivity through use of such measures as:

- Degrees produced relative to enrollments benchmarked against best-performing states.
- Credits to a degree for transfer students versus native students (are there major inefficiencies in the transfer and articulation process?).
- Degrees produced relative to costs, for the system as a whole and for each of the sectors.

Asking the right questions is a critical legislative role. Asking questions not just about the money but about results obtained from the money spent is a necessary ingredient in enhancing productivity.

Asking the right questions is a critical legislative role.

Regulatory mechanisms are the other major tool available to state policymakers. While as likely to be revealed by a policy audit as barriers to productivity (by mandating that funds be used in specified ways or establishing one-size-fits-all procedures), some regulatory actions can help enhance productivity. These include:

- Putting a cap on credits required for a degree.
- Supporting dual credit and other forms of acceleration programs.
- Mandating acceptance of an A.A./A.S. as the first two years of a baccalaureate program.

The list could go on.[4]

These regulatory actions represent examples, not recommendations for action in any particular state. The intended message is twofold:

1. The accumulation of policies creates a policy environment that can either promote or detract from efforts to improve productivity. A thorough review of existing policy with an eye toward removing those that are detrimental is a very worthwhile endeavor.
2. As part of each future policy action, the question should be asked, "Can we do this differently, in a way that would promote the productivity of the system?"

Productivity either happens or doesn't happen at the campus level. But the actions of state policymakers play a critical role in determining whether institutions will (or can) rise to the occasion.

Conclusion

This brief document has sought to make three key points.

1. **Productivity improvement in higher education is a state and national imperative.** There is no way to reach competitive education attainment levels within the limits of constrained resources if a business-as-usual approach to higher education continues.
2. **Productivity improvements are possible.** Some state systems and sectors are much more productive than others. It's a matter of doing rather than knowing what to do.
3. **Much depends on legislative actions and the policies they create.** Lack of productivity can't be blamed solely on institutions.

About the Author

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Endnotes

[1] Organisation for Economic Co-operation and Development (OECD), *Education at a Glance 2008: OECD Indicators* (Paris: OECD, 2008).

[2] Travis Reindl, *Hitting Home: Quality, Cost, and Access Challenges Confronting Higher Education Today* (Boston: Making Opportunity Affordable Initiative, 2007).

[3] Patrick J. Kelly and Dennis P. Jones, *A New Look at the Institutional Component of Higher Education Finance: A Guide for Evaluating Performance Relative to Financial Resources* (Boulder, CO: National Center for Higher Education Management Systems, 2005/2007), 22.

[4] See Patrick M. Callan, Peter T. Ewell, Joni E. Finney, and Dennis P. Jones, *Good Policies, Good Practices: Improving Outcomes and Productivity in Higher Education – A Guide for Policymakers* for a much more robust set of ideas.

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GETTING WHAT YOU PAY FOR

The States and Student Financial Aid: A Mixed Bag with Mixed Results

David A. Longanecker

November 2008

NATIONAL CONFERENCE of STATE LEGISLATURES

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Introduction

Legislators face many difficult questions when considering what to do about state-supported student financial aid. The first question, of course, is whether to support it at all. After all, doesn't the federal government take care of that adequately through its Pell Grant and student loan programs? And whether it does or not, isn't it their (and not the states') responsibility? If the state does support financial aid, should it focus on grants, loans, savings, or work-study programs? And finally, should such aid be used to increase access for financially strapped students, reward meritorious academic accomplishment, attract and retain the best and brightest, or gratify the broad electorate?

All of these questions have been in play in most states in recent years. And the inevitable increases in tuition that appear to have become simply a matter of course in public higher education will continue to force such questions onto the public agenda. This policy brief provides information that is intended to be useful to legislators who want to find the right balance in policy discussions and actions.

Evolution of State-Based Grant Programs

In the 1960s, a number of states began to recognize that simply keeping tuition low was not a viable finance strategy for an egalitarian model of higher education. Too many students, particularly those from low- and moderate-income families, simply couldn't accumulate sufficient funds for tuition and related educational costs to send their children to college without exceptional sacrifice. This brought about the evolution of state-based grant programs, beginning with traditional need-based grants, which were followed by the advent of merit-based aid, and, eventually, the creation of blended aid programs, which consider both need and merit.

Traditional need-based grant programs. In response to the realization that low tuition was no longer the most effective way to finance higher education, a few states began to develop state need-based financial aid programs, providing state aid to assure that all capable students could afford college. This general strategy built on the new federal financial aid programs, particularly the Basic Educational Opportunity Grant (BEOG) Program, subsequently renamed the Pell Grant Program. But another federal program, the State Student Incentive Grant (SSIG) Program, recently renamed the Leveraging Educational Assistance Partnership (LEAP) Program, also increased state interest by providing matching funds for state investments in such programs.

In response, most states developed modest financial aid programs to capture the federal funds. A minority of states developed substantial programs, with a number of them balancing this policy move with a greater reliance on tuition revenue. Yet most states continued to rely principally on low tuition as their primary financial affordability tool.

To some extent these two differing philosophies – which became known as *high-tuition/high-aid* and *low-tuition/low-aid* – initially fell out along regional lines, with the Northeast and Midwest beginning to

move more toward the high-tuition/high-aid model and the South and West continuing to rely on a low tuition strategy. Over time, however, all states found it necessary to begin using tuition increases well above inflation as a way of expanding higher education. These increases were necessary, both to meet the increasing demand for higher education and to respond to increased operational costs, fueled in part by the expanding mission of many public institutions (see policy brief on mission creep). This left states in the South and the West at a distinct disadvantage in providing affordable higher education because most of them had very modest state need-based financial aid programs, which were insufficient to sustain true affordability. In the West, for example, only two states – California and Washington – had a strong tradition of providing adequate need-based financial aid. In the South, virtually no states had strong need-based programs.

Merit-based grant programs. In the early 1990s, a new financial aid philosophy began to catch hold, particularly in the Southern states. It focused on providing financial aid to all students who achieved at a high level academically, rather than relying on programs that only considered financial need, such as those that had evolved in the Northeast and Midwest. Georgia's HOPE Scholarship Program epitomized this movement. Although Louisiana's similar Tuition Assistance Program (TAP) predated the Georgia program, Georgia Governor Zell Miller's charismatic support of the program helped to popularize this new financial aid strategy. The program promised all high school students who achieved a 3.0 grade point average in high school (and maintained it in college) that the state would pay the students' tuition at any Georgia public college, technical institute, or university and provide an equivalent amount to any student selecting a private college or university in Georgia. Governor Miller believed that it was important to change the ethic of attending college in Georgia, which ranked relatively low in the share of high school graduates who went on to higher education and also lost many of its best and brightest students to private colleges and flagship public universities in bordering states.

The program almost immediately enhanced Governor Miller's popularity – a phenomenon easily recognized by other Southern governors – and within a very short period of time, other states began adopting the same idea. In addition to Louisiana and Georgia, Florida, Tennessee, South Carolina, Kentucky, West Virginia, Arkansas, and Mississippi adopted similar plans. Three Western states – Nevada, New Mexico, and South Dakota – followed suit.

Many policy analysts within the student aid community were quick to condemn these programs, arguing that they did little to expand educational opportunity, which many believed to be the core reason for providing student aid. Students from middle- and higher-income backgrounds disproportionately benefit from merit programs. These students attend better-resourced high schools and, on average, come from families with higher levels of education . In other words, merit programs disproportionately reward students who most likely can afford and will go to college anyway. In addition, many critics argue that providing merit aid erodes the funds available for need-based programs.

There are two problems with these often caustic castigations of merit programs. First, they presume that all financial aid programs should serve the singular purpose of expanding opportunity for the most financially needy students. While expanding opportunity is certainly the tradition of many student aid programs and is a worthy public purpose, it does not preclude a state from seeking other public benefits through the use of financial aid. Seeking to expand the ethic of college participation and inducing more of the best and brightest high school graduates to stay in their home states for college are also legitimate public purposes.

Second, the presumption that funding merit programs erodes funding for need-based programs has proven spurious. As mentioned earlier, virtually no Southern states had viable need-based programs, and most of the states that adopted significant merit-based programs were in the South. In fact, in only two states – New Mexico and West Virginia – is there any hard evidence that substantial increases in merit-based aid actually "eroded" need-based aid. While it is true that these increases could have been directed to the financially neediest student, no evidence suggests that these states had the inclination to provide substantial need-based aid. Furthermore, the neediest students did benefit considerably from these merit programs. While the merit awards didn't focus on financially needy students, many of these students did, in fact, qualify

for them. While the neediest students received a disproportionately small share of the merit awards, compared to their representation in the population, they still received substantially more than they had before the advent of the merit awards. In Georgia, for example, students with assessed financial need currently receive more than $50 million of the $350 million available through HOPE Scholarships. That is much more than the $2 million provided for need-based aid before the HOPE Scholarship Program began.

The more appropriate question is whether these merit programs achieve their intended purpose. In Georgia, the state goal was to increase overall participation and retain the best and brightest. Georgia is the only state in which a merit program has been seriously evaluated, and participation increased from 30 percent before the implementation of the HOPE Scholarship to 37 percent after five years. Prior to implementation only 23 percent of students scoring above 1500 on the SAT stayed in Georgia to attend college, whereas 76 percent were doing so five years later.

On the surface, therefore, it appears that merit scholars achieve their stated public purpose. Beware, though. Georgia had only a very modest ethic of college participation, so an initiative aimed at the middle-class made sense. In most states most middle-income and higher-income students already attend college, so merit programs are less likely to impact participation. In the language of economics, except for students from low-income backgrounds, there is very little "price elasticity of demand" for higher education.

Blended aid programs. About the same time that a number of states began adopting merit-aid programs, a small number of creative states developed another concept that wedded the principles of both the merit- and need-based programs. Indiana, through the 21st Century Scholars program, and Oklahoma, through its Oklahoma Higher Learning Access Program (OHLAP) (renamed Oklahoma's Promise), developed programs targeting low-income students in middle-school (8th grade) and promising them that the state would provide grants equal to tuition if they took a rigorous curriculum in high school, did reasonably well in that curriculum, and stayed out of trouble with the law.

These programs were designed to address two emerging realizations about the limitations of traditional financial aid programs. First, many prospective participants did not realize they would be eligible and thus abandoned higher education plans for fear of their costs. Second, many students were not succeeding once they got to college, not because of finances but because they simply were not well-prepared, due to the nonrigorous curriculum they had taken in high school. By combining a promise of state aid with a student commitment to study hard, these programs hoped to increase both awareness and preparedness for future success. Evaluations of these programs have suggested amazing success on both accounts. In both states the programs have required some adjustments, but the basic plan seems designed to address the states' purposes. As a result a number of other states have recently adopted this general concept, including Colorado and Washington.

Evolution of State-Based Student Loan Programs

Much like the state grant programs, state student loan programs have evolved primarily via federal leadership. One of the early features of the federal student loan program, known as the Stafford Federal Student Loan Program, was that the federal government would rely on state or nonprofit agencies to act as "the guarantor" for the loans. In truth, "guarantor" was a bit of a misnomer because these agencies weren't really guaranteeing the loan: the federal government provided the guarantee. These intermediaries represented the federal government in administering the guarantee on these loans. In essence, they helped banks provide and collect payment for the loans, assisted schools with managing the loans, and had primary responsibility for collecting on loans that eventually went into default. Some states chose not to establish state agencies but rather to contract for these services from nonprofit agencies. Over time, through consolidations and other actions, more and more states got out of the business of using a state agency to provide this service. In some instances, this was because a state agency was having difficulty providing good service and may have run into difficulties with the federal government. In other cases, it was because the state wanted to recoup substantial reserves that had accrued to these

agencies over the years by selling or closing them. As a result, today only 28 states actually retain state guarantee agencies, and many of these actually contract out much of the loan management function to third-party servicers. Eight states recognize a single national guarantor, USA Funds, as their designated state guarantor.

In addition to establishing state guarantee agencies, many states over the years have also established state student loan programs, which are actually involved in the lending rather than the guaranteeing of loans. Some of these programs act as lenders in the federal student loan program, acting either like a lending bank or providing a secondary market to assist banks in the state by purchasing loans from them once the loans have gone into repayment.

Other state loan programs, however, actually lend loans backed by the state to supplement the loans available through the federal government. One of the first such programs was Minnesota's Student Educational Loan Fund (SELF) Program, which in the mid-1980s took the reserves it had accumulated from participating in the federal program, officially left that program, and began a state program backed by those reserves. This program operates within a state agency, the Minnesota Higher Education Services Office, but requires no direct state funding, because the loans pay fully for the program's administrative and management costs.

These various loan programs have proven popular because they provide valuable services to the state and its citizens; accrue reserves because of the largess of the federal government; and generally cost the state nothing.

With recent changes at the federal level, however, the landscape has changed significantly for these businesses. Substantial reductions in federal subsidies to guarantee agencies and lenders have greatly reduced the financial viability of these state agencies. Furthermore, the tightening of the credit markets has made it increasingly difficult for state agencies to borrow sufficient student loan capital to continue lending to students in the same fashion they have in the past.

While these changes have not placed students who borrow through the federal programs at risk of not being able to borrow (because there remain sufficient numbers of large federal lenders, including the federal government itself), the reduced subsidies do jeopardize the future viability of many guarantee agencies. And current economic conditions clearly threaten access to nonfederal student loans.

Evolution of State-Based Savings Plans

The federal government also has enticed virtually every state to establish state-recognized agencies or related entities that provide opportunities to state residents to save for their children's or their own education. These plans, called Section 529 savings plans for the section of the federal tax code that provides for them, offer two ways for people to invest. One way is to prepay your college tuition up front – a sort of "futures" investment strategy, in which the investor buys tomorrow's college at today's prices. The second is simply to invest savings for college in a tax-deferred investment fund provided by the state.

These programs have proven popular to state government for much the same reasons as the state loan programs. Three dilemmas have evolved for these programs, however. First, the prepaid tuition plans, in several circumstances, have not yielded returns on investment sufficient to cover the actual increased costs of tuition, meaning that either the state has to supplement the funds or institutions are left on the hook to accept students with the amount provided, resulting in substantial loss of tuition dollars. Second, the prepaid tuition plan turns out quite well for the student who chooses the institution for whom the tuition plan was purchased, but students take a substantial loss if they ultimately choose to attend a different institution. Third, in the standard savings plans, administrative costs and risk-averse investment strategies often provide a yield that is less than the investor would have realized through an alternative savings strategy, even with the advantage of the tax deferral.

Modest State Efforts in College Work-Study

While the federal government has had a strong college work-study program since the inception of the Higher Education Act in 1965, only 14 states have developed such programs. And only five of them – in Colorado, Minnesota, New Mexico, Pennsylvania, and Washington – are very substantial. From a student's perspective, college work-study is hardly financial assistance. It generally involves hard work, often in less than ideal circumstances,

for modest wages. Yet research on the federal program demonstrates that college work-study can contribute substantially to student success. Given that more than three-quarters of all students are employed, the question isn't whether they should work or not but what kind of work best supports their needs. Research by the American Council on Education shows that students in work-study jobs, who work 15 hours or less per week, are much more likely to succeed in completing their education than students who work in other jobs, particularly off-campus jobs.[1]

A second type of college work study, cooperative work-study, in which students work for a company in their chosen field, has also proven very successful. No states have cooperative work-study programs, although Washington allows for students to participate in cooperative work-study jobs. A number of universities, however, have offered cooperative work-study opportunities. It is curious, given the strong work ethic of today's college students and the limited availability of public financial assistance, that this clearly prudent form of assisting students to finance their education has not entered the repertoire of more state financial assistance programs.

What Makes for Good State Financial Aid Policy Today?

Given this history of student financial aid and the panoply of programs, what makes sense in today's world? What should we keep from the past, and what needs to change? Six "principles" should help guide state legislators as they consider their financial aid policy.

Principle 1: Establish a clear philosophy and identify measureable goals. Every public policymaker knows this one, right? Well, not exactly, it turns out. A review of many state financial aid programs, be they grant, loan, or savings programs, suggest that it is not at all clear what their purpose is. Too often, state statute clearly details the operation of these programs but is less clear about the goals. In great part this is because so many programs evolved from incentives provided by the federal government. Thus, these programs may serve the federal government's purposes, but it is not clear that they are well-aligned with a state's public agenda.

It is important for the state – the governor, the legislature, and the higher education community – to periodically review just why the state is invested in financial aid. Are students the focus of these programs, and if so, is the purpose to advance access, to enhance student success in completing their education, or both? Are educational institutions the focus of these programs, and if so, is it to incentivize them to serve a more diverse student body or to attract a "higher caliber" of students? Are the state and its public agenda the focus of these programs? Or are the programs intended to address all of these, and if so, in what balance?

A clear philosophy can help a broader array of legislators better understand the value of these programs as it relates to achieving the state's agenda. Oregon, for example, was struggling a few years ago with a rather modest but long-standing traditional student grant program. It was a comfortable program for the state, but was losing ground financially over time, primarily because it was the "same old/same old." The assessment of funding needs was predicated on an outdated federal need assessment methodology, and the standard argument for support seemed to be "more is better, but never enough." This did not offer a compelling case. Through survey research, a group composed of various stakeholders – including the higher education community, the business community, the legislature, and the governor's office – discovered that Oregon lacked a transparent philosophy to support the state's investment in financial aid, particularly one that "fit" Oregon. They discovered that Oregonians believed everyone should be able to go to college but that students, as the principle beneficiaries of the education, should pay the lion's share of the cost. As a result, Oregon's Access and Affordability Working Group developed a concept, deemed "shared responsibility," that expects every student to contribute a reasonable amount from earnings, savings, and borrowing before expecting the state to contribute. Then, after also tapping out the student's parents and federal aid, "shared responsibility" calls on the state to fill in the gap, as it must do, if it truly believes in broad access. This shared responsibility philosophy hit a chord in Oregon, resulting in a nearly threefold increase in state need-based grants. In its first year of implementation, enrollment jumped 17 percent in the Oregon University System.

Principle 2: Align state financial aid programs with other state financing policies. It is not enough to have decent financial aid programs; these programs have to make sense in conjunction with the state's institutional financing policies and with tuition policy. Effective financial aid policies are strengthened if they are closely aligned with tuition policy. If tuition rises, on average, more than financial aid, access erodes. And percentages can be misleading in these comparisons. It is important to look at whether the net price (net price equals the gross price minus financial aid) for students is increasing or decreasing; that's the key to financial distress or redress. Furthermore, it does little good to provide a great financial aid system if institutions don't receive adequate financial support to provide a quality educational experience. Student access is a function of both demand and supply. Financial aid expands demand, as Oregon demonstrates. But the institutions must then be able to expand to serve this new demand, and that often requires additional resources.

Principle 3: Understand the significant partnership with the federal government in providing financial assistance. Many state financial aid programs evolved directly from federal incentives. Legislators need to understand the possibilities for building on these federal programs to achieve state objectives and to do so in the most cost-effective manner. For example, via the passage of the HOPE Scholarship and Lifetime Learning Credit in 1998, the federal government provided a substantial tuition tax credit for all middle-income families. But to receive a tuition tax credit, a family has to be paying tuition. Yet many states and public institutions continue to provide financial aid in the form of tuition waivers, particularly for merit scholarships, most of which go to middle-income students. Thus, many families who would be eligible for a tuition tax credit are receiving the equivalent value of this benefit at the expense of the state or institution rather than from the federal government. Simply changing the language of current policy – from "tuition waiver" to an "award" to defray a share of all educational costs – would provide an additional benefit to students' families, the institutions or states, or both. Aligning state and federal programs to better serve the states' objectives obviously makes sense.

Principle 4: Adopt clear metrics for measuring whether the goals established in Principle 1 are being achieved and assure that data is available to support these metrics. A clear guiding philosophy and accompanying goals, as described in Principle 1, are essential but not sufficient. You must also develop metrics to demonstrate movement toward accomplishing the goals. Texas, for example, has established a goal to "close the gap" in college participation and success for students of all colors within one generation.

To support good metrics, every state also needs to develop data systems that demonstrate whether the state as a whole, and the higher education institutions in it, are performing well or poorly in advancing the state's philosophy. Statewide databases are essential for achieving this objective because they are the only measurement tools that can demonstrate progress of students over time, thus allowing the state to clearly measure the consequences of performance.

Principle 5: As with all state programs, state financial aid programs must be both transparent and predictable. What exactly does this mean in the context of financial aid? Well, first it means that prospective students need to understand clearly what they are likely to be eligible to receive. Over and over, national and state surveys demonstrate that many students and their families have no idea how much college costs and how much student assistance they are likely to receive. And low-income families are the most uninformed. These prospective students and their families grossly overestimate the costs of college and greatly underestimate the likelihood of their receiving aid and the amount they're eligible to receive. Not surprisingly, many of these students presume they can't afford college and never seek to attend.

Step one is finding more effective communication and marketing strategies to help folks understand why and how the state invests in student aid. Equally important, however, is to have stable programs upon which people can rely. If funding is sometimes there and sometimes not, prospective students will assume that they cannot count on it. Similarly, colleges and universities need predictability so they can plan how to fill the financial gaps that always occur and how to expand or contract their offerings in response to the demand for higher education that financial aid drives.

Principle 6: Programs must be scalable. Many small successful aid programs seem to fail when taken to scale. This occurs for various reasons: the program may require a close community of support, which is difficult to maintain at the state level; the program may require a "champion," which may be unsustainable at the state level; the program may simply be too complex to manage when expanded, and so on. Therefore, it is extremely important to make sure that new state programs have either demonstrated capacity for expansion or a strong likelihood that they can expand, based on program plans. Certain conditions clearly contribute to being able to take an effective small program to scale:

- **The program needs to be based on a good prototype.** Too often, good ideas are adopted as broad programs before proof of concept has been established. Oregon could feel confident about its shared responsibility plan because it was built upon a similar concept that had worked exceptionally well in Minnesota for nearly 20 years. On the other hand, the federal government's relatively new Academic Competitiveness Grant Program, which supplements the Pell Grant for students who have taken a rigorous curriculum in high school, has suffered on implementation because though the idea was sound, the implementation plan was not, leaving much confusion amongst the institutions that had to certify student eligibility.
- **The program must be easy to administer.** If administration isn't simple and straightforward, not only will the administering agency or institutions have difficulty and face substantial cost associated when implementing the program, but those being served by the program will not have the transparency and predictability necessary to know what they need to know.
- **The program must have sufficient support within the state.** Strong support, especially from the legislature and the governor, is necessary for the program to be sustained beyond changes in leadership, particularly beyond the leadership of those who principally championed the idea.

Exemplars and Nonexemplars

There are several very effective state financial aid programs to build on, if a legislator or legislature is interested. There are also a lot of current ideas that are quite popular but seem not to meet the criteria established above. And there are some promising ideas, including some from other countries, that have not been tried in the U.S. but may well be worth exploring.

State Grant Programs. State grant programs, especially for the neediest students, remain critically important, especially now, given the rising costs borne by students and their families due to ever-increasing tuition and other higher education costs. Grant programs also provide an effective way to target funds to some students, without having to provide an equivalent subsidy to all students.

Traditional financial aid programs serve many states well, suggesting that not all states need to change just for the sake of changing. The programs in California, Washington, Minnesota, New York, Pennsylvania, and Illinois have a long tradition of serving the students in those states exceptionally well.

The various state merit aid programs certainly provide a great deal of financial aid that is assisting many students, but serious questions remain about how well these programs truly advance the states' long-term interests and how cost-effective these relatively untargeted programs are in efficiently distributing limited public funds.

Indiana's and Oklahoma's blended aid programs and the Oregon shared responsibility plans are innovative and effective new programs. They have proven effective because they target assistance to the specific public agenda of the states involved, they rest on strong philosophies, and they comfortably fit the political culture of the states in which they exist. They could easily meet the needs of other states: indeed, a number of states are already considering replicating them. Yet states should adopt the ideas of other states only if the conditions that led to the success of these programs match their own. Blended aid programs that guarantee financial aid for college if students prepare well in a rigorous high school course of study make a lot of sense in states that don't have a requirement that all students prepare well and those where low-income students are seriously underrepresented in college. These programs, however, obviously don't address the needs of older adults returning to college or of current college students who may be facing financial barriers to their continued success. The shared responsibility model, on the other hand, helps virtually all current

students, young or old, and can be designed to help middle- and high-school students better understand what will be available to them in the future. However, it does little to encourage more rigorous preparation in high school and may deter some low-income students because of the tough language about students making a significant contribution before expecting anyone else to do so. The bottom line: The culture and unique needs of various groups of students within a state should be taken into account when considering modifications to an existing grant program or the creation of a new one.

State Loan Programs. It is not clear that the traditional federal/state student loan partnership will survive the combination of recent reductions in federal subsidies and perturbations in access to credit capital in general.

In recent years, another partnership – loan forgiveness – has begun to evolve. This relationship is less reciprocally beneficial to both federal and state governments and not fully anticipated in the original federal programs. But it has become rather commonplace, with states agreeing to forgive students loans for service after graduation. A number of teaching, nursing, and other high-demand loan forgiveness programs have been created. They tend to be patterned after the original National Defense Service Loan (NDSL), which forgave federal loans for graduates who entered the field of teaching, and National Health Service loans, which forgive loans for medical services provided in medically underserved communities. These programs have intuitive appeal because they help graduates whose skills can benefit the state, and at the same time, students face less debt burden.

Unfortunately, there is little research to suggest that these programs successfully achieve their public purposes. The Lumina Foundation report *Workforce Contingent Financial Aid* examined the myriad state and federal loan forgiveness programs and found "... that very few studies evaluated the financial aid or the workforce aspects of these programs ... the growth of these programs seems to be based more on political appeal and appearances than on any real data demonstrating their effectiveness ..."[2]

While the recipients of loan forgiveness are clearly rewarded for providing a valued public service, it is not clear that the loan forgiveness was the reason these folks provided this service. Many students who receive loan forgiveness already have a predilection to serve in the field for which the loan is to be forgiven, and others end up serving the mininal requirement for loan forgiveness and then move on. What we don't know is how many actually enter the desired field and stay in that field because of loan forgiveness.

Some analysts have suggested that states should get into the business of helping students in loan repayment through programs akin to those in Australia, New Zealand, and England, in which students repay their loans through the state income tax system on an income-contingent basis. While this idea may have promise at the federal level, it would make no sense for individual states, both because state income tax structures are not well-suited for this type of scheme and because the mobility of college graduates would make it difficult to capture repayments from those who leave the state.

State Savings Programs. Recently, a clever idea has been suggested in the public policy literature, though no state has to date seriously explored it. The idea would be for the state to deposit funds into 529 savings accounts, on a matching basis, for students from low-income families; the amount would be similar to what would be provided in a blended aid grant program. This would provide a strong incentive for families to save for their children's education, even if their contributions were quite modest, and would also incent young people to stay on a college track; after all, they have savings to apply toward that college.

State College Work-Study Programs. It is surprising that more states haven't recognized the value of creating and supporting state-based college work-study programs. Perhaps the best such state program is Washington's, mentioned earlier, which helps subsidize employment for students on campus, in other public and nonprofit organizations, and in selected for-profit companies that tailor the jobs to be cooperative work-study positions. Cooperative work-study is a win/win for the state, the employer, and the student. The state benefits in a couple of ways. First, for a modest subsidy, the state can secure substantial private investment in funding the student's education. Second, because the student is getting experience in a local firm, they are less likely to migrate from the state upon graduation. The employer benefits because they receive highly capable and productive

college students and have the chance to develop a relationship they may wish to sustain after the student graduates, thus reducing their recruitment costs. The student benefits by gaining real world experience in their field of study and garnering the resources necessary to pay for their education. If a state moves into this arena, however, it must make sure that its other financial aid and financing policies work in sync with work-study. Today many financial programs, because of their lock-step allegiance to the antiquated federal need-analysis program, greatly penalize students for working.

Conclusion

This brief has described the history of state financial aid in the U.S., its strong relationship to federal financial aid, the recent evolution of new ideas, including blended aid programs and the shared responsibility concept.

As legislators contemplating the future of financial aid in your states, consider asking the following questions:

- Do you know what you want from a student financial aid program, and is that clearly reflected in the explicit goals and expectations embedded in state statute?
- Are all of the state finance policies aligned, so that financial aid policies complement the others and address state goals in a cost-effective manner?
- Do your grant, loan, savings, and work-study programs balance each other in a cogent way?
- Do current and prospective students and their families understand what it costs to go to college in your state and how they might benefit from the programs you offer?
- Do state financial aid policies take full advantage of federal programs, consistent with your state objectives?

When you can answer all of these questions in the affirmative, the future of financial aid in your state will have a much higher chance for success.

About the Author

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Endnotes

[1] Susan P. Choy, Access and Persistence: Findings from 10 Years of Longitudinal Research on Students (Washington, DC: American Council on Education, 2002).

[2] Rita Kirshstein, Andrea Berger, Elana Benatar, and David Rhodes, *Workforce Contingent Financial Aid: How States Link Financial Aid to Employment*, American Institutes for Research and the Lumina Foundation for Education (Washington, DC: February, 2005).

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