SB 197

<TARGET><BILL>SB 197</BILL><SUBJECT>SB 197</SUBJECT><COMM>SEDC27</COMM></TARGET>

ALASKA STATE LEGISLATURE

SENATOR JOE THOMAS

SB 197

"An Act establishing a grant program in the Department of Education and Early Development for achieving excellence in public schools."

Improving academic performance in our schools is a complicated process, and there is no one approach that will fix all our problems. Commitment to positive change requires a variety of initiatives, which must often be uniquely designed to work within specific districts.

Senate Bill 197 provides districts with the tools they need to make substantial progress toward improving student achievement by providing competitive grants for schools that have innovative programs for raising the bar.

The grants must address known causes of low academic performance in a school, and must apply research-based solutions based on best practices. The programs that are funded must have measurable goals. The districts will have to demonstrate that the programs will be sustainable beyond the initial grant period, and they will have to supply on-going progress reports.

If a program is not producing desired results that lead to improvements in student achievement, the program will be discontinued. There are allowances for successful programs to continue to receive funding, but they must show proven, measurable results first.

If a district chooses to use their grant to run a pre-kindergarten program, they have to maintain the same standards as the pilot pre-k program currently run by the department.

Total funding for the grant is based on the number of dropouts in the state. As the number of dropouts decreases, the amount of money in the grant fund also decreases.

I urge your support of SB 197.

January – May: State Capitol – Juneau, Alaska 99801 – (907) 465-2327 – 1 (800) 336-7383 – Fax (907) 465-5241
June – December: 1292 Sadler Way Ste 203 – Fairbanks, Alaska 99701 – (907) 456-8161 – Fax (907) 456-8163
Senator.Joe.Thomas@legis.state.ak.us

27-LS1168\I
Kirsch/Mischel
2/28/12

CS FOR SENATE BILL NO. 197( )

IN THE LEGISLATURE OF THE STATE OF ALASKA

TWENTY-SEVENTH LEGISLATURE - SECOND SESSION

BY

Offered:
Referred:

Sponsor(s): SENATOR THOMAS

A BILL

FOR AN ACT ENTITLED

"An Act establishing a grant program in the Department of Education and Early Development for achieving excellence in public schools."

BE IT ENACTED BY THE LEGISLATURE OF THE STATE OF ALASKA:

*** Section 1.** AS 14.17 is amended by adding a new section to read:

Sec. 14.17.485. Achieving excellence grant program. (a) A grant program is established in the department for the purpose of awarding competitive grants to achieve excellence in public schools that have been designated as low performing under AS 14.03.123. The program is subject to appropriation. Total annual awards may not exceed an amount equal to the number of students who drop out of school in the fiscal year in which the grants are awarded, multiplied by $400.

(b) A school district may apply for a project grant under this section on a form approved by the department. The district shall provide a matching cash amount equal to not less than 10 percent or more than 40 percent of the total project cost from any source of funds available to the district. The department shall annually determine the

percentage for the match required for all districts on the basis of the availability of state funding for the program so that a higher match will result from lower state funding.

(c) The department may not approve a grant application for a proposed grant project unless the district provides persuasive evidence that the project

(1) addresses known causes for designation of a school in the district as low performing under AS 14.03.123;

(2) applies best practices that are research-based;

(3) will be sustainable beyond the grant funding period;

(4) establishes locally determined and measurable goals for success that include improvements in student achievement, academic interest, attendance, and graduation rates;

(5) includes a process for providing regular evaluations and reporting to the department.

(d) A grant to a district under (c) of this section may include a grant for a pre-elementary program. If the department awards a grant under this section for a pre-elementary program, the program must

(1) utilize the Alaska Early Learning Guidelines;

(2) demonstrate, based on testing by the department, improvement in specific child outcomes in all developmental domains;

(3) be certified as a pre-elementary school under AS 14.07.020; and

(4) prioritize family and community engagement and involvement.

(e) The department shall review the progress of a grant project funded under this section at least once every two years. A project that the department determines is making sufficient progress toward the short-term and long-term goals established for the project may, at the discretion of the department, be continued for not more than two additional years on request of the grantee. Thirty days after notice to the grantee, the department shall discontinue a project that is failing to make sufficient progress toward the short-term and long-term goals established for the project.

(f) The department may provide grant funding beyond an initial four-year grant period if the district reapplies and the department determines the project is

demonstrating significant success.

(g) If appropriations are insufficient to fund all qualified grant projects in a year, the department shall allocate annual appropriations to the program established under this section to qualified grant projects on a pro rata basis.

*** Sec. 2.** The uncodified law of the State of Alaska is amended by adding a new section to read:

ACHIEVING EXCELLENCE GRANT PROGRAM; FIRST YEAR. Notwithstanding the maximum amount established for annual grant awards under AS 14.17.485, added by sec. 1 of this Act, the maximum cumulative grants awarded by the Department of Education and Early Development for the first year of the program shall be calculated by multiplying the number of students who drop out of school each year, averaged over the 10 years preceding the effective date of this Act, by $4,800. If insufficient money is appropriated for the first year of the program to meet the number of qualified grant projects, the department shall allocate the awards on a pro rata basis.

FISCAL NOTE

STATE OF ALASKA cost ≠ codes
2012 LEGISLATIVE SESSION

Bill Version **SB197**
Fiscal Note Number
Publish Date

Identifier (file name) SB197-EED-TLS-2-29-12
Title "An Act establishing a grant program in the Department of Education and Early Development for achieving ..."
Sponsor Senator Thomas
Requester Senate Education

Dept. Affected Education & Early Development
Appropriation Teaching and Learning Support
Allocation Student & School Achievement
OMB Component Number 2796

Expenditures/Revenues (Thousands of Dollars)

Note: Amounts do not include inflation unless otherwise noted below.

	FY13 Appropriation Requested	Included in Governor's FY13 Request	Out-Year Cost Estimates				
OPERATING EXPENDITURES	**FY13**	**FY13**	**FY14**	**FY15**	**FY16**	**FY17**	**FY18**
Personal Services	92.0		95.0	98.0	101.0	104.0	107.0
Travel	6.0		6.0	6.0	6.0	6.0	6.0
Services							
Commodities							
Capital Outlay							
Grants, Benefits	11,898.0	3,900.0	1,112.0	1,112.0	1,112.0	1,112.0	1,112.0
Miscellaneous							
TOTAL OPERATING	**11,996.0**	**3,900.0**	**1,213.0**	**1,216.0**	**1,219.0**	**1,222.0**	**1,225.0**

FUND SOURCE		(Thousands of Dollars)						
1002	Federal Receipts							
1003	GF Match							
1004	GF	11,996.0	3,900.0	1,213.0	1,216.0	1,219.0	1,222.0	1,225.0
1005	GF/Prgm (DGF)							
1037	GF/MH (UGF)							
1178	temp code (UGF)							
TOTAL		**11,996.0**	**3,900.0**	**1,213.0**	**1,216.0**	**1,219.0**	**1,222.0**	**1,225.0**

POSITIONS							
Full-time	**1.0**		1.0	1.0	1.0	1.0	1.0
Part-time							
Temporary							

CHANGE IN REVENUES							

Estimated SUPPLEMENTAL (FY12) operating costs _____ *(separate supplemental appropriation required)*
(discuss reasons and fund source(s) in analysis section)

Estimated CAPITAL (FY13) costs _____ *(separate capital appropriation required)*
(discuss reasons and fund source(s) in analysis section)

Why this fiscal note differs from previous version (if initial version, please note as such)

Not applicable, initial version.

Prepared by Paul R. Prussing, Deputy Director — Phone 465-8721
Division Teaching and Learning Support — Date/Time 2/29/12 2:30 PM
Approved by Mike Hanley, Commissioner — Date 2/29/2012

(Revised 8/17/2011 OMB)

FISCAL NOTE

STATE OF ALASKA
2012 LEGISLATIVE SESSION

BILL NO. SB197

Analysis

Sec. 1 This bill repeals the Quality Schools Grant money under AS 14.17.480 and establishes a new program, "Achieving Excellence Grant Program," for the purpose of awarding grants to achieve excellence to public schools that have failed to meet adequate yearly progress (AYP). The annual awards would be based on the number of students who drop out of school multiplied by $400. Under the current Quality Schools Grant program, all school districts are eligible for funding which is calculated by multiplying a school district's ADM by $16.

School districts who have public schools that failed to meet AYP can apply for a project under this grant. School districts would then need to provide a matching cash amount equal to not less than 10 percent or more than 40 percent of the total project cost. The department would annually determine the percentage for the match required from all school districts based on the availability of state funding for this program. Under the current Quality Schools Grant program, there is no matching cash requirement.

The bill prescribes the uses of the grant funds and requires the department to competitively award funds and review granted project's progress at least once every two years, which is more oversight than required under the current Quality Schools Grant program. Therefore, 1 FTE Education Specialist II would be needed to provide program oversight= 92,378. Travel 6 trips at $1,000 per trip= 6,000; **Total: $98,378**

The total available funding for school districts under this new program would be $1.1 million. This amount is calculated using the most current statewide drop out counts (2,779), from the 2010-2011 , multiplied by $400. Drop out counts from the 2011-2012 school year are not available until November 2012, so grants awarded under this program would need to be based on the prior year data. 2,779 x $400= **Total $ 1,111,6000**

Section 2 of the bill establishes the maximum cumulative grants for the first year of the program, which is calculated by multiplying the number of students who drop out of school each year, averaged over the 10 years preceding the effective date of the Act, by $4,800. Currently, the 10 year average is 3,295 students; 3295 x $4,800= $15,816,000 - $3,918,495 in repealed QSI funding **Total: $11,898,505** for the first year.

CS FOR SENATE BILL NO. 197(EDC)

IN THE LEGISLATURE OF THE STATE OF ALASKA

TWENTY-SEVENTH LEGISLATURE - SECOND SESSION

BY THE SENATE EDUCATION COMMITTEE

Offered:
Referred:

Sponsor(s): SENATOR THOMAS

A BILL

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(e) The department shall review the progress of a grant project funded under this section at least once every two years. A project that the department determines is making sufficient progress toward the short-term and long-term goals established for the project may, at the discretion of the department, be continued for not more than two additional years on request of the grantee. Thirty days after notice to the grantee, the department shall discontinue a project that is failing to make sufficient progress toward the short-term and long-term goals established for the project.

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27-LS1168\D
Mischel
3/12/12

CS FOR SENATE BILL NO. 197( )

IN THE LEGISLATURE OF THE STATE OF ALASKA

TWENTY-SEVENTH LEGISLATURE - SECOND SESSION

BY

Offered:
Referred:

Sponsor(s): SENATOR THOMAS

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FISCAL NOTE
DRAFT

STATE OF ALASKA
2012 LEGISLATIVE SESSION

Bill Version: **CSSB 197**
Fiscal Note Number:
() Publish Date:

Identifier (file name): CSSB 197
Title: An act establishing a grant program in the Department of Education and Early Development for achieving excellence in public schools
Sponsor:
Requester:

Dept. Affected:
Appropriation:
Allocation:
OMB Component Number: 783

Expenditures/Revenues (Thousands of Dollars)

Note: Amounts do not include inflation unless otherwise noted below.

	FY13 Appropriation Requested	Included in Governor's FY13 Request	Out-Year Cost Estimates				
OPERATING EXPENDITURES	**FY13**	**FY13**	**FY14**	**FY15**	**FY16**	**FY17**	**FY18**
Personal Services	92.0		95.0	98.0	101.0	104.0	107.0
Travel	6.0		6.0	6.0	6.0	6.0	6.0
Services							
Commodities							
Capital Outlay							
Grants, Benefits	5,931.0		1,112.0	1,112.0	1,112.0	1,112.0	1,112.0
Miscellaneous							
TOTAL OPERATING	**6,029.0**	**0.0**	**1,213.0**	**1,216.0**	**1,219.0**	**1,222.0**	**1,225.0**

FUND SOURCE		(Thousands of Dollars)						
1002	Federal Receipts							
1003	GF Match							
1004	GF							
1005	GF/Prgm (DGF)							
1037	GF/MH (UGF)							
1178	temp code (UGF)							
TOTAL		**0.0**	**0.0**	**0.0**	**0.0**	**0.0**	**0.0**	**0.0**

POSITIONS							
Full-time	**1.0**		1.0	1.0	1.0	1.0	1.0
Part-time							
Temporary							

CHANGE IN REVENUES							

Estimated SUPPLEMENTAL (FY12) operating costs _____ *(separate supplemental appropriation required)*
(discuss reasons and fund source(s) in analysis section)

Estimated CAPITAL (FY13) costs _____ *(separate capital appropriation required)*
(discuss reasons and fund source(s) in analysis section)

Why this fiscal note differs from previous version (if initial version, please note as such)

Draft Note Only

Prepared by: Murray Richmond — Phone: 465-6443
Division: — Date/Time: 3/13/12 8:45am
Approved by: — Date: 3/13/2012

(Revised 1/17/2012 OMB)

SENATE COMMITTEE REPORT
First Committee of Referral

DATE: 2/10/12

FURTHER: Finance

Date of 5-Day Notice: 2/29/12
(in accordance with Uniform Rule 23)

DATE TURNED IN TO OFFICE: 3/14/12

Education Committee considered SENATE BILL NO. 197

SB 197-GRANT PROGRAM FOR SCHOOLS

"An Act establishing a grant program in the Department of Education and Early Development for achieving excellence in public schools."

and recommends:

[✓] be **replaced** with **CS** SB 197 (EDC) *[ ] Same Title [ ] New Title*

[ ] adopt **previous CS** ___ SCS/CS- Forthcoming (_____) *[ ] Same Title [ ] New Title*

[ ] attached amendment(s)

[ ] adopt _____ Letter of Intent

[ ] further referral to _____ Committee

Dept Abbr.	
ADM	LEG
CED	LAW
COR	LWF
CRT	MVA
EED	DNR
DEC	DPS
DFG	REV
GOV	DOT
DHS	UA

+

NEW FISCAL NOTE(S)				
Dept.	Fiscal	Indet.	Zero	FN #
EED				#1
Fiscal Info Forthcoming				

PREVIOUS FISCAL NOTE(S)				
Dept.	Fiscal	Indet.	Zero	FN #

[ ] **APPROPRIATION - no fiscal note**

SIGNATURES AND RECOMMENDATIONS:	PRINTED LAST NAME	DO PASS	DO NOT PASS	NO REC	AMEND
	French	✓			
	Stevens	X			
CO-CHAIR:	Thomas	✓			
CO-CHAIR:	Meyer	✓			

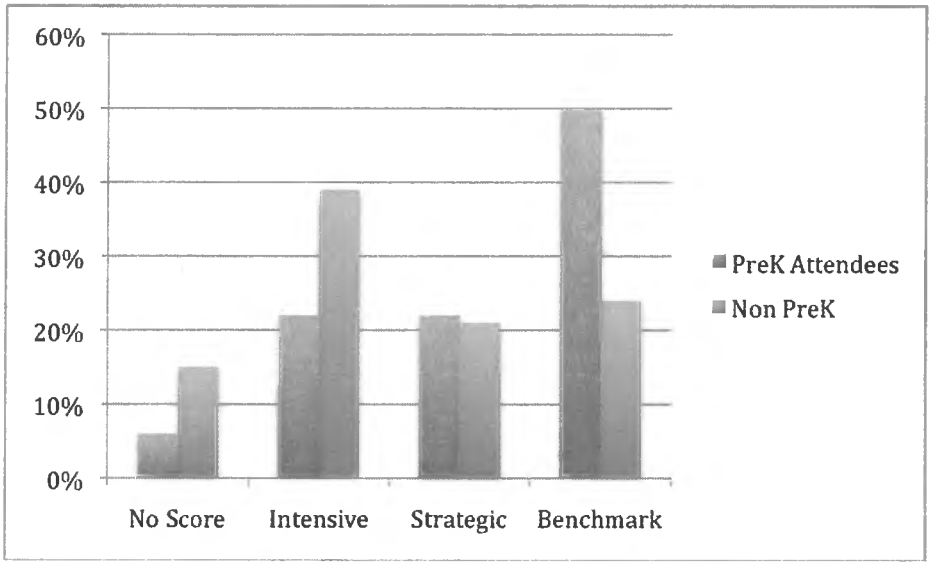
Nome Public Schools

Mike Brawner
PO Box 131
Nome, AK 99762

Superintendent
(907) 443-2231
mbrawner@nomeschools.com

Comparison of Kindergarten Students
Pre K Attendees
To
Non Pre K Attendees

The 2010-2011 school year was the second year of the Nome Public Schools Pre K Pilot Grant. Nearly 50% of students entering Kindergarten had participated in the Pilot Pre-K Program. The remaining students entering Kindergarten had attended either a pre-school program, a home preschool program or no preschool. At the beginning of the 2011-2012 school year, students entering Kindergarten received a DIBELS assessment measuring academic readiness. Provided below are the scores of PreK Attendees compared to Non PreK Attendees.



Score Descriptions:
No Score = students scored too low to be measurable
Intensive = the lowest score measurable indicating intense need of supports
Strategic = the mid-level score indicating extra supports needed
Benchmark = the on grade level score

Nome Public Schools

Mike Brawner
PO Box 131
Nome, AK 99762

Superintendent
(907) 443-2231
mbrawner@nomeschools.com

Comparison of Kindergarten Students
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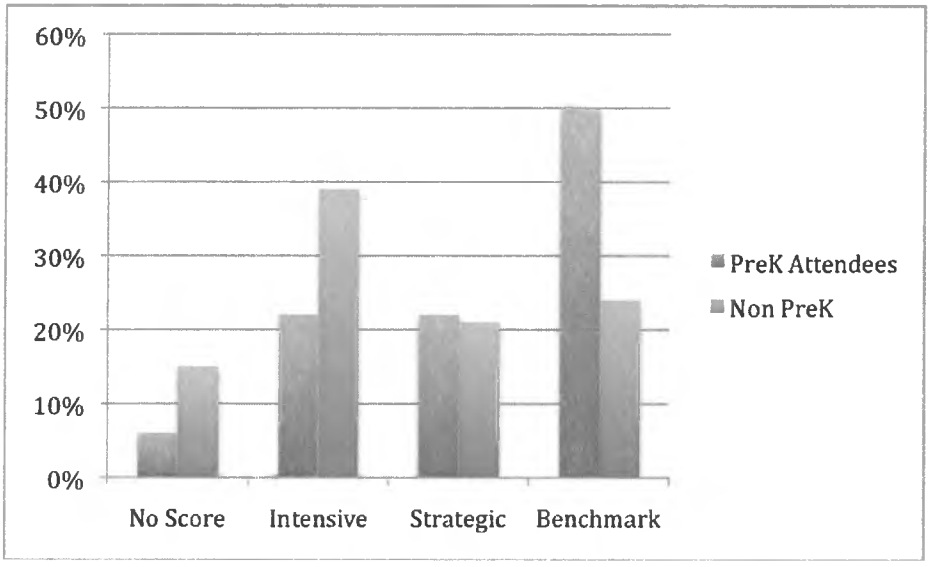

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Intensive = the lowest score measurable indicating intense need of supports
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Benchmark = the on grade level score

The Condition of Education 2011

Indicator 19
Public High School Graduation Rates

The indicator and corresponding tables are taken directly from *The Condition of Education 2011.* Therefore, the page numbers may not be sequential.

Additional information about the survey data and supplementary notes can be found in the full report. For a copy of *The Condition of Education 2011,* visit the NCES website (http://nces.ed.gov/pubsearch/pubsinfo.asp?pubid=2011033) or contact ED Pubs at 1-877-4ED-PUBS.

Suggested Citation:
Aud, S., Hussar, W., Kena, G., Bianco, K., Frohlich, L., Kemp, J., Tahan, K. (2011). *The Condition of Education 2011* (NCES 2011-033). U.S. Department of Education, National Center for Education Statistics. Washington, DC: U.S. Government Printing Office.

NCES 2011-033
U.S. DEPARTMENT OF EDUCATION

ies NATIONAL CENTER FOR EDUCATION STATISTICS
Institute of Education Sciences

Indicator 19

Public High School Graduation Rates

In 2007–08, about three-quarters of public high school students graduated on time with a regular diploma.

This indicator examines the percentage of public high school students who graduate on time with a regular diploma. To do so, it uses the *averaged freshman graduation rate*—an estimate of the number of regular diplomas issued in a given year divided by an estimate of the averaged enrollment base for the freshman class four years earlier. For each year, the averaged freshman enrollment count is the sum of the number of 8th-graders 5 years earlier, the number of 9th-graders 4 years earlier (when current-year seniors were freshmen), and the number of 10th-graders 3 years earlier, divided by 3. The intent of this averaging is to account for the high rate of grade retention in the freshman year, which adds 9th-grade repeaters from the previous year to the number of students in the incoming freshman class each year.

Among public high school students in the class of 2007–08, the averaged freshman graduation rate was 74.7 percent; that is, 3 million students graduated on time (see table A-19-1). Wisconsin had the highest graduation rate, at 89.6 percent. Sixteen other states had rates of 80 percent or more (ordered from high to low): Vermont, Minnesota, Iowa, New Jersey, South Dakota, North Dakota, Nebraska, New Hampshire, Pennsylvania, Missouri, Connecticut, Montana, Massachusetts, Maryland, Illinois, and Idaho. The District of Columbia had the lowest rate, at 56.0 percent. Nine other states had graduation rates below 70 percent (ordered from high to low): Alaska, Alabama, Florida, New Mexico, Georgia, Mississippi, Louisiana, South Carolina, and Nevada.

The overall averaged freshman graduation rate was higher for the graduating class of 2007–08 (74.7 percent) than it was for the graduating class of 2001–02 (72.6 percent). However, from 2004–05 to 2005–06, the overall averaged freshman graduation rate decreased from 74.7 percent to 73.4 percent. Looking at changes by state, there was an increase in the graduation rate in 40 states from school year 2001–02 to 2007–08; in 8 of these states (Alabama, Missouri, New Hampshire, New York, Oregon, South Dakota, Tennessee, and Vermont) rates increased by more than 5 percentage points. The graduation rate decreased in 11 states (Arizona, California, Louisiana, Nebraska, Nevada, New Jersey, New Mexico, North Dakota, Texas, Utah, and Washington) and the District of Columbia, with decreases of greater than 5 percentage points observed in Utah (6 percent), the District of Columbia (12 percent), and Nevada (16 percent).

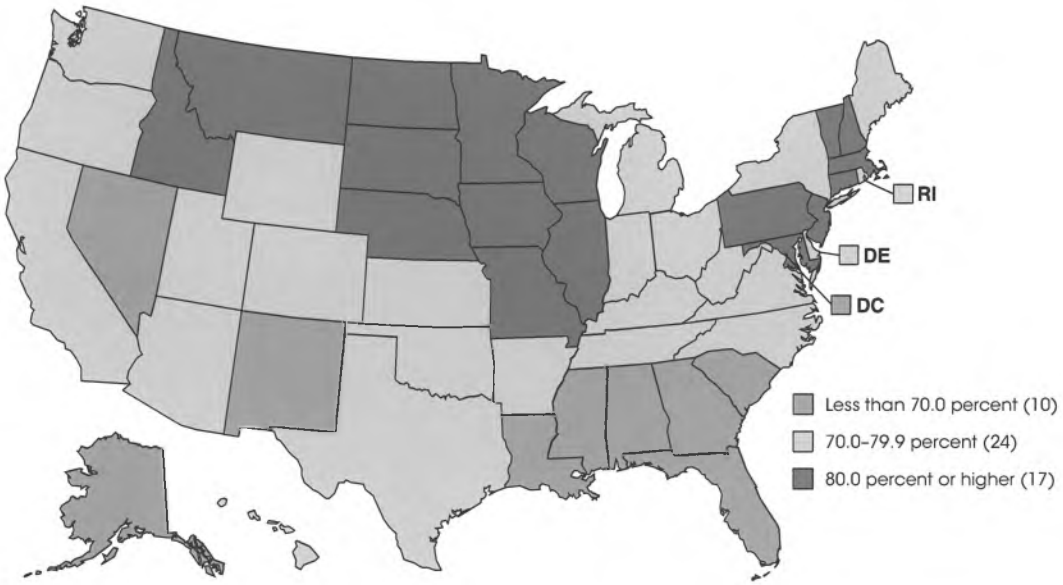
For more information: *Table A-19-1*
Glossary: *High school, High school diploma, Public school*

Technical Notes

Ungraded students were allocated to individual grades proportional to each state's enrollment in those grades. Graduates include only those who earned regular diplomas or diplomas for advanced academic achievement (e.g., honors diploma) as defined by the state or jurisdiction. The 2003–04 national estimates include imputed data for New York and Wisconsin.

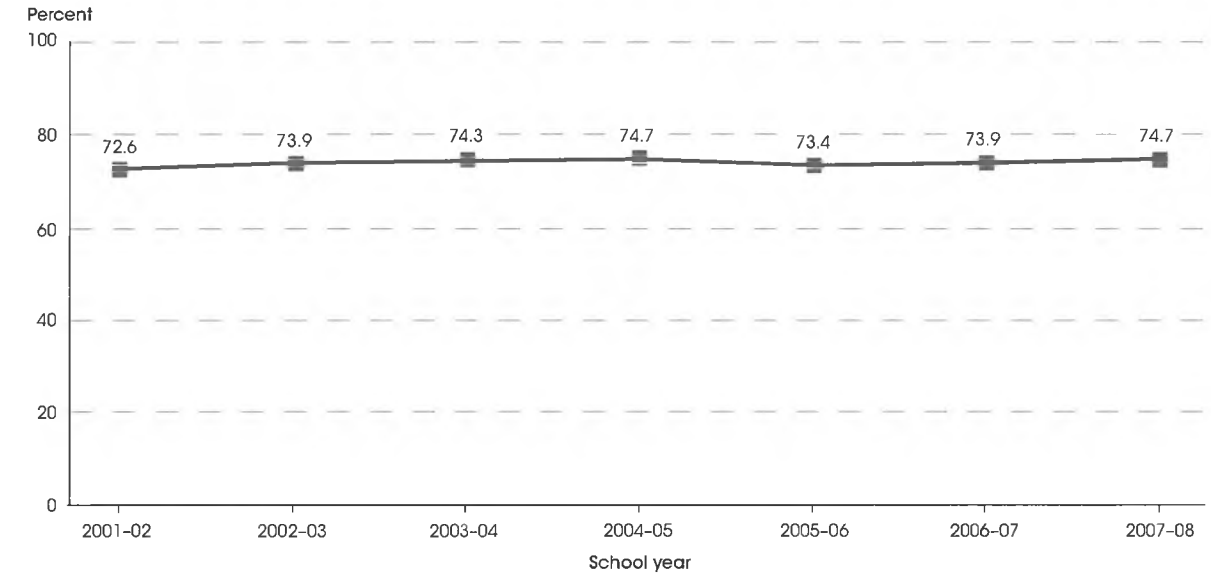
The 2005–06 national estimates include imputed data for the District of Columbia, Pennsylvania, and South Carolina. The 2007–08 estimate includes graduates of semi-private schools in Maine. For more information on the Common Core of Data (CCD), see *supplemental note 3*. For more information on measures of student progress and persistence, see *supplemental note 6*.

Figure 19-1. Averaged freshman graduation rate for public high school students, by state or jurisdiction: School year 2007–08



NOTE: The rate is the number of graduates divided by the estimated freshman enrollment count 4 years earlier. This count is the sum of the number of 8th-graders 5 years earlier, the number of 9th-graders 4 years earlier, and the number of 10th-graders 3 years earlier, divided by 3. Ungraded students were allocated to individual grades proportional to each state's enrollment in those grades. The estimate for Maine includes graduates of semi-private schools. For more information on the Common Core of Data (CCD), see *supplemental note 3*. For more information on measures of student progress and persistence, see *supplemental note 6*.
SOURCE: U.S. Department of Education, National Center for Education Statistics, Common Core of Data (CCD), "NCES Common Core of Data State Dropout and Completion Data File," school year 2007–08, version 1a.

Figure 19-2. Averaged freshman graduation rate for public high school students: School years 2001–02 through 2007–08



NOTE: The rate is the number of graduates divided by the estimated freshman enrollment count 4 years earlier. This count is the sum of the number of 8th-graders 5 years earlier, the number of 9th-graders 4 years earlier, and the number of 10th-graders 3 years earlier, divided by 3. Ungraded students were allocated to individual grades proportional to each state's enrollment in those grades. The 2003–04 national estimates include imputed data for New York and Wisconsin. The 2005–06 national estimates include imputed data for the District of Columbia, Pennsylvania, and South Carolina. The 2007–08 estimate includes graduates of semi-private schools in Maine. For more information on the Common Core of Data (CCD), see *supplemental note 3*. For more information on measures of student progress and persistence, see *supplemental note 6*.
SOURCE: U.S. Department of Education, National Center for Education Statistics, Common Core of Data (CCD), "NCES Common Core of Data State Dropout and Completion Data File," school year 2007–08, version 1a; and "State Nonfiscal Survey of Public Elementary/Secondary Education," 2002–03, Version 1b; 2003–04, Version 1b; 2004–05, Version 1b; 2005–06, Version 1b; and 2006–07, Version 1b.

Supplemental Table to Indicator 19

Public High School Graduation Rates

Table A-19-1. Averaged freshman graduation rate for public high school students and number of graduates, by state or jurisdiction: School years 2001–02 through 2007–08

State or jurisdiction	Averaged freshman graduation rate						
	2001–02	2002–03	2003–04	2004–05	2005–06	2006–07	2007–08
United States	**72.6**	**73.9**	**74.3**[1]	**74.7**	**73.4**[1]	**73.9**	**74.7**[1]
Alabama	62.1	64.7	65.0	65.9	66.2	67.1	69.0
Alaska	65.9	68.0	67.2	64.1	66.5	69.0	69.1
Arizona	74.7	75.9	66.8	84.7	70.5	69.6	70.7
Arkansas	74.8	76.6	76.8	75.7	80.4	74.4	76.4
California	72.7	74.1	73.9	74.6	69.2	70.7	71.2
Colorado	74.7	76.4	78.7	76.7	75.5	76.6	75.4
Connecticut	79.7	80.9	80.7	80.9	80.9	81.8	82.2
Delaware	69.5	73.0	72.9	73.0	76.3	71.9	72.1
District of Columbia	68.4	59.6	68.2	66.3	65.4	54.8	56.0
Florida	63.4	66.7	66.4	64.6	63.6	65.0	66.9
Georgia	61.1	60.8	61.2	61.7	62.4	64.1	65.4
Hawaii	72.1	71.3	72.6	75.1	75.5	75.4	76.0
Idaho	79.3	81.4	81.5	81.0	80.5	80.4	80.1
Illinois	77.1	75.9	80.3	79.4	79.7	79.5	80.4
Indiana	73.1	75.5	73.5	73.2	73.3	73.9	74.1
Iowa	84.1	85.3	85.8	86.6	86.9	86.5	86.4
Kansas	77.1	76.9	77.9	79.2	77.5	78.8	79.0
Kentucky	69.8	71.7	73.0	75.9	77.2	76.4	74.4
Louisiana	64.4	64.1	69.4	63.9	59.5	61.3	63.5
Maine	75.6	76.3	77.6	78.6	76.3	78.5	79.1
Maryland	79.7	79.2	79.5	79.3	79.9	80.0	80.4
Massachusetts	77.6	75.7	79.3	78.7	79.5	80.8	81.5
Michigan	72.9	74.0	72.5	73.0	72.2	77.0	76.3
Minnesota	83.9	84.8	84.7	85.9	86.2	86.5	86.4
Mississippi	61.2	62.7	62.7	63.3	63.5	63.5	63.9
Missouri	76.8	78.3	80.4	80.6	81.0	81.9	82.4
Montana	79.8	81.0	80.4	81.5	81.9	81.5	82.0
Nebraska	83.9	85.2	87.6	87.8	87.0	86.3	83.8
Nevada	71.9	72.3	57.4	55.8	55.8	54.2	56.3
New Hampshire	77.8	78.2	78.7	80.1	81.1	81.7	83.3

See notes at end of table.

Table A-19-1. Averaged freshman graduation rate for public high school students and number of graduates, by state or jurisdiction: School years 2001–02 through 2007–08—Continued

State or jurisdiction	Number of graduates						
	2001–02	2002–03	2003–04	2004–05	2005–06	2006–07	2007–08
United States	**2,621,534**	**2,719,947**	**2,753,438**[1]	**2,799,250**	**2,815,544**[1]	**2,892,351**	**2,999,508**[1]
Alabama	35,887	36,741	36,464	37,453	37,918	38,912	41,346
Alaska	6,945	7,297	7,236	6,909	7,361	7,666	7,855
Arizona	47,175	49,986	45,508	59,498	54,091	55,954	61,667
Arkansas	26,984	27,555	27,181	26,621	28,790	27,166	28,725
California	325,895	341,097	343,480	355,217	343,515	356,641	374,561
Colorado	40,760	42,379	44,777	44,532	44,424	45,628	46,082
Connecticut	32,327	33,667	34,573	35,515	36,222	37,541	38,419
Delaware	6,482	6,817	6,951	6,934	7,275	7,205	7,388
District of Columbia	3,090	2,725	3,031	2,781	3,150	2,944	3,352
Florida	119,537	127,484	131,418	133,318	134,686	142,284	149,046
Georgia	65,983	66,890	68,550	70,834	73,498	77,829	83,505
Hawaii	10,452	10,013	10,324	10,813	10,922	11,063	11,613
Idaho	15,874	15,858	15,547	15,768	16,096	16,242	16,567
Illinois	116,657	117,507	124,763	123,615	126,817	130,220	135,143
Indiana	56,722	57,897	56,008	55,444	57,920	59,887	61,901
Iowa	33,789	34,860	34,339	33,547	33,693	34,127	34,573
Kansas	29,541	29,963	30,155	30,355	29,818	30,139	30,737
Kentucky	36,337	37,654	37,787	38,399	38,449	39,099	39,339
Louisiana	37,905	37,610	37,019	36,009	33,275	34,274	34,401
Maine	12,593	12,947	13,278	13,077	12,950	13,151	14,350
Maryland	50,881	51,864	52,870	54,170	55,536	57,564	59,171
Massachusetts	55,272	55,987	58,326	59,665	61,272	63,903	65,197
Michigan	95,001	100,301	98,823	101,582	102,582	111,838	115,183
Minnesota	57,440	59,432	59,096	58,391	58,898	59,497	60,409
Mississippi	23,740	23,810	23,735	23,523	23,848	24,186	24,795
Missouri	54,487	56,925	57,983	57,841	58,417	60,275	61,717
Montana	10,554	10,657	10,500	10,335	10,283	10,122	10,396
Nebraska	19,910	20,161	20,309	19,940	19,764	19,873	20,035
Nevada	16,270	16,378	15,201	15,740	16,455	17,149	18,815
New Hampshire	12,452	13,210	13,309	13,775	13,988	14,452	14,982

See notes at end of table.

Public High School Graduation Rates

Table A-19-1. Averaged freshman graduation rate for public high school students and number of graduates, by state or jurisdiction: School years 2001–02 through 2007–08—Continued

State or jurisdiction	Averaged freshman graduation rate						
	2001–02	2002–03	2003–04	2004–05	2005–06	2006–07	2007–08
United States	**72.6**	**73.9**	**74.3**[1]	**74.7**	**73.4**[1]	**73.9**	**74.7**[1]
New Jersey	85.8	87.0	86.3	85.1	84.8	84.4	84.6
New Mexico	67.4	63.1	67.0	65.4	67.3	59.1	66.8
New York	60.5	60.9	60.9	65.3	67.4	68.9	70.9
North Carolina	68.2	70.1	71.4	72.6	71.8	68.6	72.8
North Dakota	85.0	86.4	86.1	86.3	82.2	83.1	83.8
Ohio	77.5	79.0	81.3	80.2	79.2	78.7	79.0
Oklahoma	76.0	76.0	77.0	76.9	77.8	77.8	78.0
Oregon	71.0	73.7	74.2	74.2	73.0	73.8	76.7
Pennsylvania	80.2	81.7	82.2	82.5	83.5	83.0	82.7
Rhode Island	75.7	77.7	75.9	78.4	77.8	78.4	76.4
South Carolina	57.9	59.7	60.6	60.1	61.0	58.9	62.2
South Dakota	79.0	83.0	83.7	82.3	84.5	82.5	84.4
Tennessee	59.6	63.4	66.1	68.5	70.7	72.6	74.9
Texas	73.5	75.5	76.7	74.0	72.5	71.9	73.1
Utah	80.5	80.2	83.0	84.4	78.6	76.6	74.3
Vermont	82.0	83.6	85.4	86.5	82.3	88.5	89.3
Virginia	76.7	80.6	79.3	79.6	74.5	75.5	77.0
Washington	72.2	74.2	74.6	75.0	72.9	74.8	71.9
West Virginia	74.2	75.7	76.9	77.3	76.9	78.2	77.3
Wisconsin	84.8	85.8	85.8	86.7	87.5	88.5	89.6
Wyoming	74.4	73.9	76.0	76.7	76.1	75.8	76.0

See notes at end of table.

Table A-19-1. Averaged freshman graduation rate for public high school students and number of graduates, by state or jurisdiction: School years 2001–02 through 2007–08—Continued

State or jurisdiction	Number of graduates						
	2001–02	2002–03	2003–04	2004–05	2005–06	2006–07	2007–08
United States	**2,621,534**	**2,719,947**	**2,753,438**[1]	**2,799,250**	**2,815,544**[1]	**2,892,351**	**2,999,508**[1]
New Jersey	77,664	81,391	83,826	86,502	90,049	93,013	94,994
New Mexico	18,094	16,923	17,892	17,353	17,822	16,131	18,264
New York	140,139	143,818	142,526	153,203	161,817	168,333	176,310
North Carolina	65,955	69,696	72,126	75,010	76,710	76,031	83,307
North Dakota	8,114	8,169	7,888	7,555	7,192	7,159	6,999
Ohio	110,608	115,762	119,029	116,702	117,356	117,658	120,758
Oklahoma	36,852	36,694	36,799	36,227	36,497	37,100	37,630
Oregon	31,153	32,587	32,958	32,602	32,394	33,446	34,949
Pennsylvania	114,943	119,933	123,474	124,758	127,830	128,603	130,298
Rhode Island	9,006	9,318	9,258	9,881	10,108	10,384	10,347
South Carolina	31,302	32,482	33,235	33,439	34,970	35,108	35,303
South Dakota	8,796	8,999	9,001	8,585	8,589	8,346	8,582
Tennessee	40,894	44,113	46,096	47,967	50,880	54,502	57,486
Texas	225,167	238,111	244,165	239,717	240,485	241,193	252,121
Utah	30,183	29,527	30,252	30,253	29,050	28,276	28,167
Vermont	7,083	6,970	7,100	7,152	6,779	7,317	7,392
Virginia	66,519	72,943	72,042	73,667	69,597	73,997	77,369
Washington	58,311	60,435	61,274	61,094	60,213	62,801	61,625
West Virginia	17,128	17,287	17,339	17,137	16,763	17,407	17,489
Wisconsin	60,575	63,272	62,784	63,229	63,003	63,968	65,183
Wyoming	6,106	5,845	5,833	5,616	5,527	5,441	5,494

[1] The 2003–04 national estimates include imputed data for New York and Wisconsin. The 2005–06 national estimates include imputed data for the District of Columbia, Pennsylvania, and South Carolina. The 2007–08 estimate for Maine includes graduates of semi-private schools.
NOTE: The averaged freshman graduation rate is the number of graduates divided by the estimated freshman enrollment count 4 years earlier. This count is the sum of the number of 8th-graders 5 years earlier, the number of 9th-graders 4 years earlier, and the number of 10th-graders 3 years earlier, divided by 3. Ungraded students were allocated to individual grades proportional to each state's enrollment in those grades. Graduates include only those who earned regular diplomas or diplomas for advanced academic achievement (e.g., honors diploma) as defined by the state or jurisdiction. For more information on the Common Core of Data (CCD), see *supplemental note 3*. For more information on measures of student progress and persistence, see *supplemental note 6*.
SOURCE: U.S. Department of Education, National Center for Education Statistics, Common Core of Data (CCD), "NCES Common Core of Data State Dropout and Completion Data File," school year 2007–08, version 1a; and "State Nonfiscal Survey of Public Elementary/Secondary Education," 2002–03, Version 1b; 2003–04, Version 1b; 2004–05, Version 1b; 2005–06, Version 1b, and 2006–07, Version 1b.

Sectional Analysis

Section One: Establishes the Achieving Excellence Grant

a) For low performing schools (currently schools that do not meet AYP), annual funding based on the dropout rate
b) Mandates a local match of between 10 and 40 percent.
c) The grants must
    a. Address known causes for low performance
    b. Be research based and apply best practices
    c. Be sustainable beyond the grant period
    d. Have measureable goals for evaluation that pertain to student achievement.
    e. Include process for providing regular evaluation and reporting
d) Pre-K grants must conform to standards already set in the Pilot Pre-K project.
e) Grant program are evaluated every two years. If they are successful, they may continue another two years. If not, they are shut down.
f) If a grant is successful, they may apply for a continuation beyond the four years.
g) Grants may be allocated on a pro-rata basis.

Section 2. Establishes the fund amount for the first year of the grant.

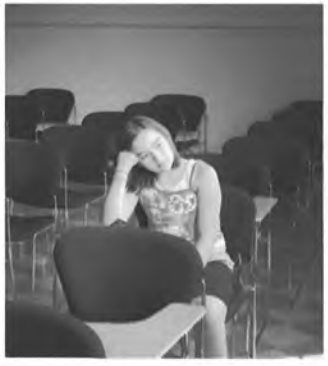
Prepared by the office of Senator Joe Thomas

Determining the Initial Amount of the Excellence in Schools Grant Fund

Billy in in his senior year. He has not yet passed the HSQGE and is planning to drop out. Billy counts as one dropout. Alaska invests $400 in Billy,

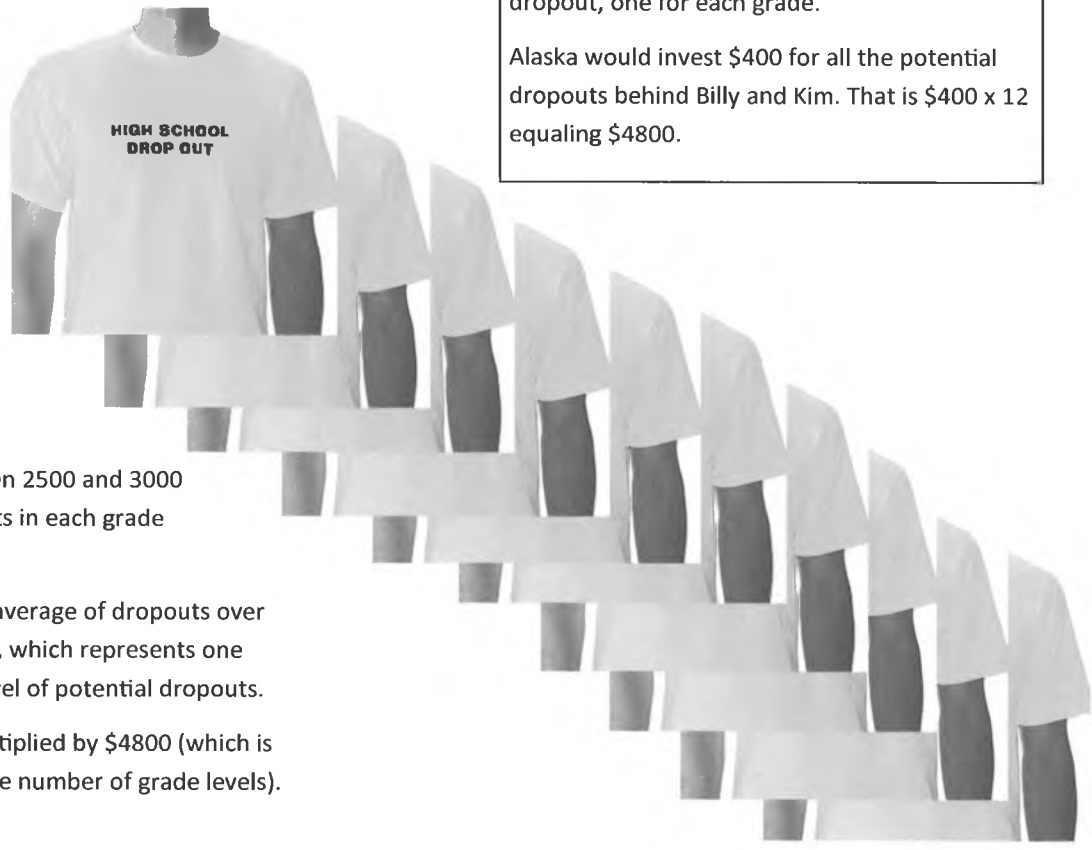
Behind Billy is Kim in the eleventh grade. Kim has not dropped out yet. But she is heading that way.

Alaska invests $400 based on Kim.



Behind Billy and Kim are ten other potential dropout, one for each grade.

Alaska would invest $400 for all the potential dropouts behind Billy and Kim. That is $400 x 12 equaling $4800.



There are between 2500 and 3000 potential dropouts in each grade cohort.

Alaska takes the average of dropouts over the last ten years, which represents one average grade level of potential dropouts.

That figure is multiplied by $4800 (which is $400 times 12, the number of grade levels).

If there are an average of 2500 dropouts then the formula would be:

($400 x 4800) x 2500

SB 197: Calculating the Initial Amount of the Grant Fund

	As calculated in SB 197	If looked at on a year by year basis
1	$400 for each potential dropout in the First Grade	2500 potential dropouts x $400 =$1,000,000
2	$400 for each potential dropout in the Second Grade	2500 potential dropouts x $400=$1,000,000
3	$400 for each potential dropout in the Third Grade	2500 potential dropouts x $400=$1,000,000
4	$400 for each potential dropout in the Fourth Grade	2500 potential dropouts x $400=$1,000,000
5	$400 for each potential dropout in the Fifth Grade	2500 potential dropouts x $400=$1,000,000
6	$400 for each potential dropout in the Sixth Grade	2500 potential dropouts x $400=$1,000,000
7	$400 for each potential dropout in the Seventh Grade	2500 potential dropouts x $400=$1,000,000
8	$400 for each potential dropout in the Eighth Grade	2500 potential dropouts x $400=$1,000,000
9	$400 for each potential dropout in the Ninth Grade	2500 potential dropouts x $400=$1,000,000
10	$400 for each potential dropout in the Tenth Grade	2500 potential dropouts x $400=$1,000,000
11	$400 for each potential dropout in the Eleventh Grade	2500 potential dropouts x $400=$1,000,000
12	$400 for each potential dropout in the Twelfth Grade	2500 potential dropouts x $400=$1,000,000
	$4800 for each potential dropout in the system	$12,000,000

$4800 x 2500 = $12,000,000

Taking Stock

Evaluating the Impact of Education Grants

MEMBER BRIEFING
November 14-15, 2007

grantmakers for education

grantmakers for education

Grantmakers for Education is philanthropy's knowledge source for achieving results in education. Our mission is to strengthen philanthropy's capacity to improve educational outcomes for all students, which we achieve by:

- Sharing successful grantmaking strategies, best practices, and lessons learned that exemplify responsive and responsible grantmaking in education.
- Creating venues to collaborate on projects, share knowledge, develop leadership, advocate for change and debate strategies with other education grantmakers.
- Interpreting data, illustrating trends, and conducting research to improve the effectiveness of education grantmaking and to highlight innovative educational approaches.

Our efforts are informed by eight *Principles for Effective Education Grantmaking*, designed both to guide funders in increasing their impact and to ensure GFE's services and programs help funders accomplish their goals for change.

ACKNOWLEDGEMENTS

Taking Stock

Evaluating the Impact of Education Grants

CONTENTS

grantmakers education

In today's climate of accountability, many grantmakers struggle to determine the impact of the activities they support. This report seeks to summarize and make available much of the information from a special member briefing Grantmakers for Education organized to help funders—especially those from foundations with modest budgets—confront this challenge.

Held in November 2007, the program provided tools and framework for how funders can make the best use of evaluation to match their objectives and resources. Although the unique learning format of the event and the give-and-take among participants are difficult to capture in a written document, we've endeavored to organize this report to capture key lessons and advice for grantmakers.

The program—and this report as well—was designed to meet the following learning objectives, identified through a survey of GFE members:

- Understand why and when to evaluate—including calibrating evaluation costs with the scope of a project and a funder's ability to pay—and how to frame useful evaluation questions.
- Help participants determine what counts as persuasive evidence and how to gather and use it.
- Explore different approaches for evaluating the results of grants to understand the trade-offs associated with them.
- Offer advice on how to talk with foundation boards to clarify expectations about what an evaluation can tell them and how long it will take to see results.
- Share strategies on how to identify and select a good evaluator, manage costs and determine who is the "client" of the evaluation.

The program was not designed as a technical seminar focused on methodologies, but as a practical seminar to help frame grantmakers' evaluation options and provide a disciplined way to think about whether and how to evaluate initiatives in light of their foundation's resources.

The sessions followed a variety of formats, including formal presentations, panel discussions, small-group analysis of case scenarios and a "fishbowl" conversation in which the group observed an evaluator interviewing a grantmaker about her evaluation needs. What made the briefing unusual, participants agreed, was the high level of candor among the grantmakers and evaluators who attended.

It was a rare opportunity to learn about the practical side of evaluation, its strengths and limits, and its potential to sharpen grantmakers' thinking.

To help readers navigate the report and to probe topics where they want to learn more, each section of this report opens with a set of key questions to be answered and includes sidebars or text sub-heads to clearly flag suggested advice to grantmakers.

WHAT IS A THEORY OF CHANGE?

In framing questions for funders about what and how to evaluate, several speakers pointed to the importance of a "theory of change."

Simply, a theory of change is a statement or flowchart or plan that explains how an organization's intended impact will actually happen—the cause-and-effect logic by which organizational and financial resources will be converted into desired social results. For a grantmaker, a theory of change makes clear what "success" looks like and the assumptions behind how certain grants will lead to certain impacts.

Used often by funders as a way of clarifying their grantmaking strategy and to help drive choices about strategic trade-offs, speakers said a theory of change also was an essential tool for making decisions about evaluations.

RESOURCES

More information about what a theory of change is and how to craft one is described in the section of the report beginning on page 16.

In addition, grantmakers may find the following resources helpful:

ActKnowledge and the Aspen Institute Roundtable on Community Change.
In an ongoing partnership, the two organizations have assembled an extensive online library of materials, tools, and background reading on theory of change and strategic planning. See www.theoryofchange.org.

[illegible] a Theory of Change to Guide [illegible]
This brief guide from GrantCraft explains how grantmakers can use a theory of change approach in their work, with grantees and inside their foundations. Available for purchase or free download at www.grantcraft.org.

[illegible]
This report from Grantmakers for Education summarizes discussions during a special program track at the GFE annual conference in 2006 on crafting a theory of change and using it to increase strategic clarity and impact. See www.edfunders.org.

opened the meeting with a primer on key questions and concepts to understand in deciding when and how to evaluate an effort. His observations are summarized in this chapter.

Bangser's presentation identified the questions that every grantmaker should ask up front—before deciding to evaluate—to make sure that evaluation findings are useful and scarce resources are used wisely. What kinds of evaluation approaches are most commonly used, and which are best suited to which purposes? When does it make sense not to evaluate?

Bangser is a consultant who is a former senior vice president of MDRC and former president of the Hartford Foundation for Public Giving.

Simply, evaluation is learning with a purpose.

And, specifically, it is a structured, cost-effective process that produces reliable answers to important questions and then uses those answers to help make better decisions. Ideally, funders should consider each of these components of this definition when they develop an evaluation plan.

Evaluation should be a *structured process*—one that starts at the beginning and not at the end.

All foundations process information—anecdotal or otherwise—before they make decisions. It only makes sense to think about how to collect, process and analyze information in a structured and purposeful way. Timing also is important; funders should think of this issue from the outset, embedding a clear timeframe into their grantmaking decisions and their discussions with grantees.

Evaluation should answer *important questions.*

As American humorist James Thurber once said, "It's better to know some of the questions than all of the answers." Some of the questions that need to be answered include:

Individual grants? Clusters of grants? The entire portfolio? Non-grant aspects of the funder's operations, such as its role in advocacy or convening?

Since grantmakers often have multiple goals, they need to clarify at the outset what they truly want to learn and how they will define success. Here are possible—sometimes complementary, but very different—goals for an evaluation to learn about needs and opportunities, to figure out whether or not advocacy efforts

affected public policy; to gauge the effectiveness of specific program interventions or policy changes; to improve program operations (see sidebar for more information).

Some questions aren't readily measured or quantified. "Not everything that counts can be counted," said physicist Albert Einstein, "and not everything that can be counted counts." Be wary of the tendency to evaluate what's most measurable rather than what's most important. For example, evaluations often measure activity levels or outputs rather than outcomes or impacts.

Evaluation should yield *reliable answers.*

According to the journalist Janet Malcolm, "Almost everything we know, we know incompletely." Yet it's important to distinguish between incomplete information that is nonetheless informative and incomplete information that is misleading and therefore counterproductive. Here again, a few questions can bring things into focus:

To distinguish important information (and gaps) from unimportant ones, grantmakers need to be clear about what they think will cause the change they want to see. And then there's the counterfactual: Might the change have occurred anyway, absent the intervention?

By articulating a theory about how the change is likely to happen, grantmakers can increase the chances that an evaluation will consider the right indicators at the right points of time (see report chapter beginning on page 16 for more information about a theory of change).

Are high-quality, reliable data available? How will the foundation (or someone else) gather and store them?

Grantmakers need to be rigorous about the significance of findings—and also distinguish among types of significance. Results that are significant statistically might not be significant in terms of policy. It's also important to manage one's own expectations, remain aware of uncertainty and consider the importance of looking at subgroups. Avoid the "lure of simplicity," evaluator Patti Patrizi has warned, but don't get bogged down in technicalities.

Evaluation should lead to *better decisions.*

Of course better decisions are good, but it also pays to ask about the importance of the decisions at hand and the consequences of getting them wrong. Is an evaluation a diversion of resources from other work, or is it a means to strengthen grantmaking? Think of an evaluation as the beginning rather than the end of the discussion; use the evaluation to frame questions, choices and areas for improvement rather than (necessarily) providing definitive answers. Questions that lead to better decisions include:

Will the funder's board or staff use the evaluation to improve grantmaking decisions? Or is the evaluation really aimed at grantees, policymakers or practitioners?

What evidence will be persuasive to the intended audience? How reliable and timely do the findings need to be? Is the project "mature" enough to draw firm conclusions? Will the audience base decisions on research evidence, or does it need other sorts of information as well?

DIFFERENT EVALUATIONS FOR DIFFERENT QUESTIONS

- **Monitoring grantee performance: Did grantees do what they said they'd do?**
- **Formative or process evaluation: Did grantees implement the project effectively and as intended? Can the implementation be improved?**
- **Summative or outcome evaluation: Did grantees achieve the impacts they intended? Why or why not?**
- **Cost analyses: How much did the project cost financially? What about the opportunity costs?**
- **Synthesizing previous evaluations: Can we learn what we need to know by looking at existing data in a new way?**

Are the findings generalizable?

How relevant are the findings to other locations or conditions?

If an evaluation is going to influence decisions, people need to know the results. Make a point of developing a communications strategy early in the evaluation process.

Evaluation should be *cost-effective.*

Certain factors affect both the cost of an evaluation and its ultimate value. A lot depends on who carries out the tasks associated with the evaluation. Foundation staff? Evaluators? Grantees? Other questions include:

Consider the cost of the evaluation in relation to the size and importance of the grant, how it fits within the foundation's overall grantmaking portfolio and the importance of the decisions to be made.

Engaging grantees in the evaluation is good, but it's also good to do so without unreasonably shifting the evaluation costs onto them.

Is it necessary to involve an independent evaluator? Or can the grantee or foundation carry out the necessary work? What about increasing ongoing capacity to "think evaluatively" within the foundation and among grantees?

LESSONS LEARNED

The challenges associated with evaluation are real, but they're closely related to the challenges of grantmaking itself. These simple lessons are worth remembering, according to Bangser:

- **Ask the right questions, even if they can't be answered definitively.**
- **Appropriate short-term and intermediate outcomes can be useful, even if partial, measures of success.**
- **Know what you don't know.**
- **Do selected evaluations well rather than many evaluations poorly.**

Applying the right evaluation questions to different situations

To apply general observations about evaluation to the kinds of situations grantmakers confront regularly, participants examined and discussed three typical scenarios. Questions about evidence lie at the heart of every evaluation: How good does the evidence have to be for the kinds of questions you're trying to answer?

In each scenario, a grantmaker is faced with a decision about whether, and how, to support evaluation. Working in small groups, participants at the briefing analyzed each scenario. This section captures their collective advice about how best to navigate each situation and find a path forward.

, vice president of The Spencer Foundation, , president of the William T. Grant Foundation, and , deputy director of Grantmakers for Education, designed and led the session.

Summarized on the following pages are the scenarios and a set of suggested opening questions a grantmaker could use to work through the choices at hand.

SCENARIO 1:

THE BOTTOM-LINE BOARD

This scenario rang true to many participants. "It reflects reality!" one exclaimed. "Boards want information like this, and they want it now." Indeed, several grantmakers had dealt with similar situations in their organizations. The group suggested that a grantmaker in this position start by working through a handful of initial questions:

> What does the board really want to know? What sort of data will answer their questions?
>
> Could a tighter logic model help align the foundation's resources with the board's expectations?
>
> If the foundation ultimately decides to commission an evaluation of its work, who would be the primary client? The whole board? The board and staff?
>
> What information would be collected in any evaluation? What information would be necessary, and what information would be "nice" to collect?
>
> How can the foundation create a reasonable match between the direct and opportunity costs of the evaluation and the decisions on the table?

A grantmaker who recently received a similar request from her board explained that she and her colleagues developed five "impact target areas" that board members care about. She and her colleagues are now figuring out where and how to get information that shows impact in those areas.

SCENARIO 2:

FANTASTIC FINDINGS

In this case, the group zeroed in immediately on a key question: What does 95 percent really mean? Getting a firm answer to that question—a necessary step before making any funding decisions—would probably mean digging deeper in the following areas:

> Which students are served, and how selective is the program? The more selective and voluntary it is, the less likely it is that the outcomes represent the program's true effects.
>
> What does the intervention entail, and what is its logic model? Do program activities match program goals and the target population? In other words, is there a logical connection between the program's services (inputs) and results (outputs)?
>
> How can we know the program is making a difference? What is the benchmark for comparison? How strong is that benchmark given concerns about selectivity?

Beyond those questions, participants said they'd want to know more about certain subjective issues regarding the organization and the model. To many, the grantseeker's extravagant claims and thin evidence suggested a need for caution.

SCENARIO 3:

SIGNIFICANT STAKES

As they began to discuss this scenario, participants found that they would need much more information about the intervention itself before they could move to replication and scale-up issues. They also realized that good decisions would depend on having answers to some key background questions: Who are the teachers? What are the schools like?

Assuming a grantmaker could get answers to those questions, they imagined planning an evaluation with a series of further questions that might look something like this:

- The project's logic model says the intervention will increase teachers' knowledge. How will we know if that has actually happened?
- How will we measure change in student achievement? How much change will be necessary to call the program a success?
- What are the classrooms like after teachers go through the program? What will have changed, and how do those changes raise student achievement?
- How much will it cost? $5,000 per teacher? $10,000? How much does it cost to make a significant difference? Do high-cost and low-cost models yield significantly different results?

A lot could be learned from a formal evaluation of a program like this, they concluded, and advice from a researcher would be enormously helpful in clarifying what data can be gathered and assessed and how any data should be judged. Also, it's important to ask rigorously how much you would really need to know to justify replication of the program and ongoing expenditure by the school district—maybe more than initially appears to be the case, maybe less.

CLOSING ADVICE:

WHAT DECISIONS ARE ACTUALLY AT STAKE?

Robert Granger summed up the session with thoughts about clarifying initial questions. "It's helpful," he said, "to keep in mind what's actually at stake. Figure out what decision is actually on the table."

To do that, he advised, find out what key people really want to know—and do it "in a low-stakes environment." Check in privately with your board, your staff, potential grantees, educators and school-district officials before putting them together with an evaluator: "People don't want to feel stupid publicly," he said, "but in fact they rarely want to know as much as an evaluator thinks they do."

Granger closed with an observation about evaluation as a tool for policy advocacy. "People in Washington say you need a big research study to communicate with policymakers," he explained, but it's not true. "In my experience," Granger said, "people in government have low standards of evidence. They want to know fairly simple things about what works, where it works and how much it's going to cost." Formal evaluation can help answer those questions, but only if the evaluation fits within a wider effort to have an effect on policy.

2 Navigating practical evaluation challenges: A discussion between a grantmaker, grantee and evaluator

Designing an evaluation is clearly a lot of work. Using a roundtable-discussion format, program participants got to listen in as three people who approach evaluation from different perspectives—a program officer, a grantee and an evaluator—described the nuts and bolts of the process. Their advice covered selecting an evaluator, estimating costs, establishing relationships and handling controversial findings.

We've summarized highlights from this discussion in this chapter. The section headings in boldface flag the key take-aways and the speakers' advice to grantmakers.

Roundtable participants included [redacted], director of BTW informing change, [redacted], program director of The Cleveland Foundation, and [redacted], executive director of the Consortium on Chicago School Research. [redacted] moderated the discussion.

Choose the right evaluator.

[redacted] Helen, you're a grantmaker. What are some of the factors that go into your decision to use an external evaluator?

[redacted] Using an external evaluator is a huge investment, so you need to be clear about what value an evaluation is going to add to the process and what you hope to accomplish. Evaluators add value in three major ways: first, they bring credibility to the process and the results; second, they have expertise and knowledge that's relevant to the field; and third, they do the work so the grantee doesn't have to. If you're going to capitalize on that value, it helps to be clear from the start that you're going to be willing to accept the results of the evaluation and take it to the next level. There's no point in funding a report that just sits on the shelf.

[redacted] How do you choose an evaluator?

[redacted] I look at evaluation reports in the relevant field to see how different evaluators are reporting and framing the issues. I also talk with people who are networked with evaluators to see what they think. After that, I choose two or three potential evaluators and talk with them systematically about the scope of work and what the foundation wants. Then I invite proposals. I involve others in reviewing the proposals, including the grantee, some of my colleagues at the foundation and other funders.

[redacted] Helen, have you ever done an RFP for an evaluation?

[redacted] We did one for a study of charter schools. It worked out all right because there's not a huge universe of people out there who are capable of the sort of work we wanted. We figured out the universe and sent letters of inquiry. Another idea is to do an RFP but don't ask for full proposals. Specify clearly what you

want to learn and ask for a two-to-three-page letter. It doesn't take too much of an evaluator's time to respond, and what they send is useful to you and to them.

What are some things you ask about an evaluator's qualifications?

I ask for references from funders and from grantees. I also want to know specifically who from the firm will do the work. And I check into their communication skills. Are they going to come in and say, "I'm the expert"?

I think it makes sense to do interviews. Talk to as many people as possible and find out about their people skills.

What about an initiative with other funders involved?

We did one project that involved three funders. Our first job was to put them on the same page. My advice is to look for an evaluator who can occasionally recognize the need to stop and get things straight. Sometimes that means standing up to the funder.

Agree on clear expectations for what is being evaluated.

Lande, imagine you've been chosen by Helen to evaluate a project. What's in your mind? Are you and Helen thinking alike, or is there tension between your points of view?

There might be some tensions or differences at the beginning. I need to get those out in the open so we can discuss them and come to agreement. So, for me, the big "E" is expectations. I try to use our first conversation to frame those. We're both looking for defensible results. We can agree on that. Then there might be divergence in how we're thinking about time and resources. Sometimes a foundation doesn't want to invest time up front. They're often eager to get results too soon, and we need to address that. The objective is to "right size" the project up front, to ensure it's the right scale and scope for the information the funders needs. If you want to build the field, you need a lot of investment on the front end. Also, you'll want to be mindful that, later on, there might be tension about disseminating the results, especially if we uncover unflattering findings.

What are the key drivers of cost?

The biggest item is data collection—and it almost always takes more money to get defensible results than funders want to pay or can pay. Interviews, for example, are always much more expensive than funders think they're going to be because there are a lot of steps: you need to design the instrument, conduct the interviews, report on them, analyze your findings. It adds up.

Figure out the right measurements.

When we talk about evaluation, there's a tendency to look for numbers. People want to go to the quantitative side, but sometimes qualitative methods go deeper. Lande, how do you talk with clients about what to emphasize?

Quantitative and qualitative methods produce different information. Do both, if you can. We ask our clients, "What do you want?" Very often, the answer is "a good story and data to back it up." Does that mean a data set? Ongoing analysis? Maybe. It depends on so many factors. Recently, everyone has been saying that their board wants a "dashboard." Personally, I have a preference for really well-done case studies. You can get a lot of data into a case study. You can present a wealth of nuanced information from many perspectives.

- **Get clarity about what you want to learn and what you will do with the results.**
- **Find an evaluator with both technical and people skills.**
- **Get the relationships right. Who's the client—the foundation, the grantee or policymakers?**
- **Clarify expectations about time and resources. Make sure you and your evaluator are on the right page. Look closely at the work plan to "right size" the project, if needed.**
- **Recognize that qualitative and quantitative methods produce different information; think about ways of collecting both types of data.**
- **Talk in advance about how findings will be reviewed and reported. What happens if the results are negative or controversial?**

Establish trust—especially when the results are negative.

John, you're in an interesting spot because you're an evaluator and a grantee. How do the parties involved in an evaluation develop trust and relationships, given power differentials?

Funders want successful grantees, so there's a basis for trust right there. But it can be very hard if there's an us vs. them dynamic between the funder and the grantee. The relationship between funder and grantee builds over time. It's harder to establish if you're a one-time, short-term funder, easier if you do multiple grants over a longer period. It's also helpful if future funding doesn't hinge on the outcome of the evaluation.

Can you talk a little about establishing trust?

The main thing is to be clear from the start about who the client is, whether it's the grantee or the foundation or someone else. We try hard to define the client up front. We ask the funder, "Is it you? Are you the client? Or is it the grantee?" We don't allow dual clients. In one case, a funder gave grantees 10 percent of the amount of their project grants and told them to choose an evaluator from a list of three. One organization chose us, and we had a conversation about what the grantee wanted to know. The arrangement put the grantee firmly in the role of client.

As a funder, you need a "contract" up front with grantees about what you want to know and how it will be used. We've had grantees who have been funded for years without any questions from us about things we'd like to know. When we change that pattern by suggesting an evaluation, they sometimes see it as changing the game. It's not always easy.

How do you handle controversial findings?

We try to adhere to a "no surprises" rule. We agree in advance that we won't put out a study until top leadership has seen it. We also get lots of input from constituencies that matter—the school district, parents, the funders—before we release a report. We require a very careful review, but we have a firm policy that the author has the final say. If an author chooses not to make a suggested change, we require a written explanation of why not.

I was involved in the release of one controversial report, and we realized that we needed to get buy-in during the review process. We drafted the report and got feedback from all parties. It seemed like a long vetting process: it took about three months. But people needed a chance to look at our findings closely and say, "We think this is wrong." That gave us a chance to go back to the data and say, "We know you think it's wrong. But it's right, and here's why." The situation can get tricky earlier than that if the evaluator sees a big problem. Sometimes we shift from being the evaluator to being an organizational coach if we see very devastating stuff.

Many education grantmakers ultimately aim to increase achievement gains, but measuring student achievement in an evaluation is anything but straightforward. To help participants understand different ways of measuring achievement and interpreting any results, the program included an exchange between researchers [redacted], executive director of the Consortium on Chicago School Research, and [redacted], co-director of Stanford University's Center for Research on the Context of Teaching. Easton works primarily with quantitative methods, while Talbert works mainly with qualitative approaches.

At the program, these two leading researchers talked about different approaches for measuring achievement, the kinds of information those approaches yield and how to interpret the results. The speakers also looked at the question of persuasive evidence: How much information, and what kind, is sufficient to make a difference in important practical decisions?

This section summarizes their observations and suggestions for grantmakers.

Be clear about how resources link to results.

To measure change in a meaningful way, it's important to ask by what mechanisms we think student achievement will go up. What's our theory of change? The assumptions are often implicit, not stated, and evaluators need to work with stakeholders to clarify those assumptions as part of the research. What's the theory? Is it tight? Or, if an intervention is not successful, where did it break down?

Why, for example, do people think small schools will make a difference? The theory of change for small schools goes something like this:

Small schools have some autonomy and freedom.

↓

Kids get to know teachers; teachers work together.

↓

Instruction and student engagement improve.

↓

Student achievement increases.

We did a study of small schools and found that they got better attendance but no change in student achievement. A theory of change lets us look for measures at each step, to see what activities are making a difference or not.

We tend to focus on how to measure that last step. In John's framework, we ask, "What changes in student achievement do we expect to see as a result of better instruction and improved student engagement? And how can we measure those changes?"

One thing we look at is the quality of implementation. Interventions that are implemented in a lot of schools (10 or more) are inevitably implemented unevenly. It's possible to look at variations in implementation and connect those to student outcomes.

Another possibility is to look at measures from sources other than tests. For example, we sometimes identify relevant indicators from national studies and surveys. In one case, we used a survey with items about student effort and attitudes that we could compare with national norms. The data were soft, but people actually care a lot about those outcomes. The funders were also pleased to see comparisons with national norms.

Determine the best—and most realistic—experimental design.

As an evaluator, you need to have a way of knowing what would have happened without the intervention. Randomized-control designs (often called the "gold standard" of research because they test the efficacy of an intervention or treatment by randomly assigning them to some subjects and not others) are very unusual in education. There are serious questions about feasibility, cost effectiveness and ethics. You also need to ask if the "treatment" will be stable enough to study it and make no refinements.

But there are some other, less intensive, less expensive evaluation designs that can add very useful insights into how a program is affecting student achievement:

If you have good measures of the things you care about, you can often look at matched pairs of schools and compare the results. This works best if you have lots of cases—20 or so—to gauge whether students are learning more.

You can also look at change over time, as long as you have consistent data over time. In California, for example, the data systems have changed numerous times, which limits our work. As evaluators often say, "If you want to measure change, don't change the measures."

You can also look repeatedly at a single point in the continuum. One study looked at fifth-graders each year for several years. This can be a good alternative to following one cohort, and it's sometimes easier to get reliable data.

Every two years, we do a survey of all Chicago teachers and students in many grades. It helps us see the effects of interventions, even if we don't learn about ultimate outcomes. But early survey results suggest that we can expect future growth in student achievement.

The truth is, there's always a "tortured link" between an intervention and student achievement, but survey information can tell you things with real policy implications. For example, teacher surveys can give important feedback about how much teachers trust each other and their schools. The results help foundation leaders see the value of actions designed to strengthen the professional community.

Decide what's good enough: How much change is enough change?

You need to think about the long term. Is change at this rate likely to get us where we want to go? You also need to think about the quality of the measures. In Chicago, test scores have gone up. Is that a victory? Maybe, maybe not. They're lousy tests.

Only a fully rounded portrait can answer that question. You need statistical evidence, and you also need case studies. A successful case lets you look at how forces come together when an intervention works well. If you can describe what it took in that successful case, you can then ask how likely it is that those components can be replicated or spread. What if it takes a strong principal? How many strong principals are out there? Can you grow enough principals to support the intervention?

Use results to improve the program.

If you're a funder and you've invested a lot in an intervention, evaluation can validate the resources you've already spent. But the field has changed. No one wants an evaluation report at the end of the process anymore. More evaluation is being done earlier, when it can affect the intervention.

It seems as if a shift has taken place in how we think about evaluation. We used to ask, "Is the intervention working?" Now, we're more likely to ask, "How well is the intervention working?" and "Can it work outside a certain narrow set of conditions?"

4

[illegible]
How to gather useful information when you can't afford an evaluation

Recognizing that many meeting participants come from smaller organizations with no or limited evaluation budgets, another session offered ideas for how grantmakers can use their grant-reporting process—a process already in place at most foundations—to answer questions about performance and results. [illegible], director of BTW informing change, provided key frameworks and ideas—all summarized in this section.

Key questions covered by Ajose included: How can you learn from your grantmaking if your foundation doesn't have an evaluation budget? How do you capture meaningful information regarding small grants when an independent evaluation would cost more than the grant?

Identify the challenge and get clear about expectations.

The session opened with participants naming some of the evaluation challenges they face as grantmakers, especially in smaller foundations, including:

> As a new foundation, we didn't have specific reporting requirements, so we didn t get back useful results.
>
> Our trustees are impatient. They expect too much, too quickly.
>
> It's hard to find a balance so you can get enough information but don't spend too much time on evaluation.
>
> We have different values about evaluation among our staff and between our staff and board. It seems as if leadership is comfortable making decisions based on gut instinct.
>
> We'd like to find a way to measure the cumulative impact of small grants made over many years.
>
> It's hard to find appropriate evaluation techniques when your organization makes small one-year grants.

The group confirmed that expectations are the main issue in most of the challenges they mentioned. It's important, they agreed, to try to clarify expectations and align the scope of your evaluative efforts with the resources available and the stakes involved. It's also important to be sure expectations are clear both among staff members and between the staff and the board.

As part of this session, speaker Lande Ajose reviewed the components of a sample theory of change with participants (see figure 1 below), noting that the exact components of a theory can vary; at its simplest level, a theory of change should show how resources a nd activities will yield specific results and outcomes. She then showed how one foundation had filled in this framework for its arts program (see figure 2 below) and other programs. In addition, she discussed how the foundation finally aggregated its individual program strategies to develop a single theory of change to guide the foundation's entire approach; the goal was to cut across silos to see if the foundation's approach was consistent.

Articulate the outcomes you expect to see.

Having a clear theory of change is at the heart of taking an evaluative approach to your work, even if you don't have the funds for an independent evaluation. A theory of change enables a foundation to articulate the outcomes it seeks.

The byproduct is more clarity about what you're doing and what you shouldn't be doing. It becomes a valuable planning tool. A funder can develop a theory of change for an individual grant, an initiative or an entire program area. When developing a theory of change, defining the problems to be addressed, or the purpose statement, is a crucial first step, according to Ajose. Evaluators typically spend more time on the purpose statement than on any other part of a theory of change. The purpose statement usually looks a lot like the desired ultimate result: the neighborhood or community impacts toward which the foundation is aiming.

Also, often board members focus on indicators rather than on broader social impacts. This is understandable: indicators help them define what they're trying to accomplish, and they're hungry for data. But a board's job is not to identify indicators; it's to identify outcomes. Getting the board to name the problems the foundation is trying to address and the ultimate results it wants to advance can help clarify the distinction between outputs and outcomes. It's all right for a foundation's stated desired outcomes to be broad: no single foundation can achieve ultimate results; at best, those will be accomplished through the efforts of many organizations.

Link your theory of change with grant reporting.

For a foundation, linking the theory of change with grant-reporting requirements has several benefits. First, it communicates the foundation's broader goals to its grantees. It also helps the foundation get more information about how a specific grant is contributing to a foundation's desired impact.

One foundation created a brief checklist that grantees and program officers use as a tool to gather qualitative data on how grants contribute to the foundation's intended outcomes. Without overburdening grantees, the reporting tool generates data on how the foundation's investments are influencing individual young people, schools, community organizations and the community as a whole.

Speaker Lande Ajose shared this example of one foundation's efforts to link its theory of change to a grantee report. In this report, grantees are asked to reflect on how their work is affecting individual, organizational and community outcomes that the foundation has identified in its theory of change.

Supplemental Grantee Reporting Form

Arts Program Investment

This profile is to be completed by each grantee as a supplement to their Grant Reporting form.

Name of Organization and/or Grant: _____

Grant Number: _____ **Date Completed:** ___/___/___ (mm dd yy)

Period of Review: _____

1. Did this grant achieve the following individual-level results? *(check one box for each result)*

a. Low income children had expanded access to quality arts and arts education	❑	❑	❑
b. Youth were more connected to each other and to community arts institutions	❑	❑	❑
c. Individuals were more connected to their cultural heritage	❑	❑	❑
d. Individuals were more aware and appreciative of the cultures of others	❑	❑	❑
e. Relationships formed that crossed familiar lines of age, culture or socio-economic status	❑	❑	❑

*If your program did not intend to achieve this result, please check this box.

2. Did this grant achieve the following organizational-level results? *(check one box for each result)*

a. Schools and community organizations grew capable of and positioned to use the arts as a means of building new or stronger connections among people with shared cultural backgrounds	❑	❑	❑
b. Schools and community organizations were capable of and positioned to use the arts as a means of building new or stronger connections across cultural divides	❑	❑	❑

*If your program did not intend to achieve this result, please check this box

c. Schools and community organizations grew better positioned to sustain arts education	❑	❑	❑
d. Organizational relationships were sustained and evolve over time	❑	❑	❑

*If your program did not intend to achieve this result, please check this box.

3. Did this grant achieve the following community-level results? *(check one box for each result)*

a. Arts programs serving low-income children were actively supported by the community	❑	❑	❑
b. Artists and arts organizations became part of community and neighborhood improvement efforts	❑	❑	❑
c. Cross-cultural social networks began to be built	❑	❑	❑

*If your program did not intend to achieve this result, please check this box

To tease out and model the sorts of question a funder might consider when deciding whether or not to embark on an evaluation of a particular project, the program created a "fishbowl" conversation between seasoned evaluator [redacted], co-director of the Center for Research on the Context of Teaching at Stanford University, and trustee [redacted] of the Steans Family Foundation in Chicago.

Looking at the Steans Family Foundation's education portfolio, they considered opportunities for meaningful evaluation and examined the trade-offs involved in terms of cost, effort and possible impact, using a matrix Talbert distributed to session participants. The conversation was wide-ranging, approximating the sort of initial interview Talbert might have with a prospective client.

In this section, we've captured highlights from their conversation that offer especially practical advice for how to make decisions about evaluation.

Profile: The Steans Family Foundation and North Lawndale

The Steans Family Foundation is a small family foundation that has concentrated for the past dozen years on improving the quality of life in North Lawndale, a low-income Chicago neighborhood. The foundation has worked across sectors, but much of its support has focused on education.

The North Lawndale neighborhood includes 27 schools, most of which struggle with the problems that typically beset urban schools: high student mobility (60 percent in some high schools), high teacher turnover and a concentration of the least experienced teachers in the school system. The neighborhood has high rates of violence, unemployment and other challenging factors that influence children's lives. Eighty percent of men have some contact with the criminal justice system, and only four percent of adults have been to college. The foundation sees the value of stabilizing the school environment to benefit children who are subject to many negative, destabilizing forces.

The foundation is supporting three education initiatives that might warrant evaluation:

- A program based in a charter high school that provides students with more consistent, sustained attention from school guidance counselors.
- The Umoja Program, located in a large public high school that is designed to increase student engagement, improve school culture and help students prepare for college.
- The Building Bridges project (which the foundation sponsors with two other funders in collaboration with Chicago's Juvenile Protective Association) that places trainee mental-health counselors in participating schools.

Evaluation Purpose	Evaluation Questions	Evaluation Design	Considerations/ Issues*
Measure impact of the initiative; summative evaluation.	To what extent did the target group(s) benefit from the initiative? Was the design effective on the whole?	Use one of three general approaches: - experimental (randomized control group) - quasi-experimental (comparison group; trend analysis) - non-experimental (statistical estimation)	How well are the outcomes measured (beyond state tests)? Is it feasible to obtain a control or comparison group? Is selection bias controlled?
Monitor grantee performance.	Are the grantees doing what they said they would do? Is the work high-quality?	Measure and report all facets of the program design (quantity and quality indicators).	Do grantees have reliable mechanisms for tracking their work? How well is quality being assessed?
Test assumptions of the initiative; build knowledge to inform future initiatives.	Did the assumed cause-effect relationships hold up? Under what context conditions; through what processes? What were unintended outcomes?	Develop logic model linking design to outcomes. Measure each fact of the model and evaluate expected relationships. Document processes within and across diverse cases.	Do stakeholders agree on the model? Are all facets of the model measured well, over time? Is there sufficient breadth and depth of longitudinal data?
Ensure ongoing feedback to improve the project.	Are participants experiencing the project in the intended way? Does this vary across participants/ sites?	Monitor participant responses to facets of the program. Develop and use "warning indicators."	How reliable and predictive is short-term information? What structures and norms support ongoing learning?

SOURCE: Joan E. Talbert, November 15, 2007. Distributed at the Grantmakers For Education briefing on evaluation, Chicago, Illinois.

* Considerations of cost and feasibility apply across the evaluation types.

After a quick analysis, Talbert and Steans zeroed in on Building Bridges, which seemed most ripe for evaluation and most likely to produce lessons of value to the foundation and others.

Originally based in three elementary schools and recently expanded to four, Building Bridges places trainee mental-health counselors in participating schools for extended residencies supervised by senior counselors. The schools get the benefit of the additional services; the Juvenile Protection Association gets entrée to schools and training opportunities. The association believes that families underuse mental-health services and that the project could increase access.

Throughout the discussion, Talbert and Steans checked their thinking about a possible evaluation against a matrix of evaluation types that Talbert distributed to session participants.

Before conducting an evaluation, a funder needs to build consensus on three issues: Why evaluate? What would we evaluate? And how would we evaluate, or what would we hope to learn?

Here's why we might be interested in evaluating Building Bridges. We know there's not enough money in the system to put more counselors into elementary schools. So, does the counselor-and-intern combination make a difference? It stretches dollars, but do we get traction? What accounts for variation among schools? And how do we know if we're having an impact? The schools are so troubled, and the kids so needy, but does the program raise student achievement?

The Juvenile Protection Association probably has questions, too. Staff there might want to know if they get more reach into communities and with families, but those are not necessarily the outcomes that interest you. One might want to know about how the counselors influence classroom environment. What comes first, classroom change or kids' resilience and capacity? You'd need to work out a detailed logic model. What about teachers' capacity to reach kids? Is that part of the model?

Teachers seem to be weaving things from the project into their classrooms. That wasn't built into the grant, but it seems to be happening anyway. We're encouraging them to make that aspect of the work more intentional. Now that the Juvenile Protection Association has a presence in the schools, it's doing things like offering workshops for teachers or providing interventions after a child dies. Teachers are going to the counselor's office to talk about their own issues. This sort of development was expected and hoped for, but it wasn't planned for.

This is a perfect example of an important lesson: Leave room for unanticipated outcomes.

It sounds as if some of the preconditions for evaluation are present with this project. The grantee is capable and well-equipped. There's an appetite for learning among the partners. There seems to be a safe learning space. The grantee is probably already collecting some data, although they might not know much about why changes are happening. They might want better information on their training program.

Here are two ideas for what might be possible and valuable with relatively little money:

First, an evaluator might look at things that are at a distance from the actual intervention—things that would be hard for the grantee to see on its own, such as partnerships that allow the program to

work in different schools. An evaluator could look at student data across schools to get a better picture of preconditions in the range of schools.

An evaluator might also look for "warning indicators" that show when an intervention is in danger of running into trouble. This could be very helpful if you're interested in replicating the project. In one formative evaluation, for example, we identified signs that an implementation was beginning to play out in bad ways. We helped the district develop a tracking system that focused on translation problems that people at the top rarely think about. For example, do teachers see counselors as the solution to all their problems? Do they concede responsibility? Your story about teachers seeking counselors out for their own therapeutic issues sounds good to me; but, on second thought, what does it really mean? You probably also have questions about impact. Are there schools in comparable situations that aren't doing this?

There are also variations among the schools in the project. All of them have similar demographics, but there are large variations in environment. How do you explain that?

You might want to look across schools to learn from those variations without trying to assess student achievement outcomes. For example, you might see a connection between school climate and kids' social-emotional data or on-the-ground developmental outcomes. You might find some test-score outcomes that seem relevant, but in fact those would be pretty far down the logic chain.

Is there an affordable way for us to sustain a dialogue with an evaluator and also conduct a useful evaluation?

It's important not to lose track of the importance of developing the capacity of grantees to measure their own work—partly because that capacity can improve their work, and partly because of cost. For example, if we wanted to do good case studies of the four Building Bridges schools—even if the evaluator were based in Chicago and had no travel expenses and even if the researchers were simply interviewing principals, counselors, and association staff and doing little or no classroom observation—the project would cost about $90,000 for one year.

With a project budget of $180,000, $90,000 seems very expensive. The evaluation would need to be much more valuable than what we get from site visits by the program officer. Is the difference worth $90,000?

Projects tend to be perceived in terms of personalities, but it does sound as if this model could be operationalized. A case study could be helpful at capturing what needs to be part of the principal's job, what needs to be part of the counselor's job, what resources are necessary and other factors that would need to be in place for replication.

6 Parting thoughts

At the close of the program, participants came up with this compelling list of observations and pieces of advice for funders on evaluation:

Ask the right questions even if you can't get the answers.

Ask two big questions upfront: What should we measure? And how do we define success?

Be aware of trade-offs in terms of time, money and buy-in.

Theories of change and logic models have come of age. Look past the jargon to see what's helpful, probing "What are we trying to do? With what resources? How will we follow what happened over time?" The time dimension is crucial and needs to be connected to the evaluation.

Integrating evaluation within grantmaking strategy helps frame your decision-making. Or, looked at from the other direction, the more you go down the path of evaluation, the more impact it will have on your grantmaking.

Implementation matters. It's common to expect results too early, which can compromise quality. There's a tendency to think that the sites with the smoothest implementation will have the best outcomes. That may be the case, but it's not always true—especially if smooth implementation occurs because the program avoids serving challenging students.

Even if you can't afford to evaluate, learn from other evaluations. Could larger foundations do more to fund learning for the field?

Costs are variable. Some foundations assign flat percentages of their grantmaking to evaluation, but that doesn't always fit the need.

Keep plugging away. Integrate evaluation into your work where you can.

Response to AS 14.03.078 Report (7) A description of intervention efforts by each school district and school for students who are not meeting state education performance standards.						
School District	**2010-2011 Grant Allocations**	**Before and After School Tutoring**	**Summer School**	**New Software and Computers**	**Curriculum Alignment**	**Supplemental Instructional Staff/Support**
Alaska Gateway	**20,273**					
Aleutians East	**15,746**					
Anchorage	**1,177,964**	**X**		**X**		**X**
Annette Island	**10,285**				**X**	
Bering Strait	**99,563**					
Copper River	**19,602**				**X**	
Cordova	**12,254**					**X**
Craig	**15,347**			**X**		
Delta/Greely	**29,220**					**X**
Denali	**16,924**			**X**		
Dillingham	**18,421**					
Fairbanks	**412,969**					
Galena	**55,803**	**X**				
Haines	**11,924**		**X**			
Iditarod Area	**15,004**					
Juneau	**143,320**					
Kashunamiut	**14,218**					
Kenai Peninsula	**263,359**	**X**	**X**			
Ketchikan Gateway	**62,997**			**X**		
Kodiak Island	**80,389**					**X**
Kuspuk	**21,257**					
Lake & Peninsula	**26,159**					
Lower Kuskokwim	**197,002**	**X**	**X**			
Lower Yukon	**105,900**					
Mat-Su	**441,717**					**X**
Nenana	**19,386**					
Nome	**24,546**					**X**
North Slope	**75,416**					
Northwest Arctic	**92,484**					
Petersburg	**19,146**					
Sitka	**41,727**					**X**
Southeast Island	**11,154**	**X**				
Southwest Region	**34,382**					
Unalaska	**15,374**					
Valdez	**21,367**					
Wrangell	**11,662**			**X**		
Yukon Flats	**21,134**			**X**		
Yukon/Koyukuk	**33,503**	**X**				
Yupiit	**24,114**					
Mt. Edgecumbe	**10,652**	**X**				
TOTALS:	**3,743,664**					

*Please note data from districts receiving less than $10,000 in Quality School Funds in not included in this year's report due to changes in the Quality Schools reporting regulation. Districts receiving less than $10,000 are no longer required to complete End of the Year Reports.

Appendix 2. A Comparison of State-Level Graduation Rate Statistics

State	2001–2002					2002–2003				2003–2004		
	National Center for Education Statistics (NCES) Four-Year High School Completion Rates[1]	**State-Reported Rate for NCLB**[2]	**Averaged Freshman Graduation Rate (AFGR)** National Center for Education Statistics[3]	**Adjusted Completion Ratio (ACR)** Manhattan Institute for Policy Research[4]	**Cumulative Promotion Index (CPI)** Urban Institute[5^]	**State-Reported Rate for NCLB**[6]	**AFGR**[7]	**ACR**[8]	**CPI**[9]	**State-Reported Rate for NCLB**[10]	**AFGR**[11]	**CPI**[12]
Alabama	81.7%	—	62.1%	58%	60.0%	—	64.7%	60%	60.7%	—	65%	61.4%
Alaska	73.4%	85%	65.9%	59%	63.1%	67%	68.0%	60%	63.6%	61.2%	67.2%	64.2%
Arizona	67.7%	71%	74.7%	70%	62.7%	74%	75.9%	71%	70%	76.8%	66.8%	67.3%
Arkansas	79.4%	85%	74.8%	72%	72.6%	82%	76.6%	74%	71.8%	81.3%	76.8%	70.5%
California	‡	87%	72.7%	67%	68.9%	87%	74.1%	65%	71%	85.3%	73.9%	68.9%
Colorado	‡	82%	74.7%	72%	69.8%	84%	76.4%	72%	72.5%	82.3%	78.7%	69.0%
Connecticut	87.2%	87%	79.7%	79%	76.9%	89%	80.9%	82%	79.3%	89.8%	80.7%	77.0%
Delaware	81.8%	83%	69.5%	63%	60.2%	83%	73.0%	65%	60.7%	81.6%	72.9%	64.3%
District of Columbia	—	64%	68.4%	NC	61.1%	—	59.6%	NC	58.9%	71.9%	68.2%	65.2%
Florida	—	65%	63.4%	59%	57.3%	66%	66.7%	61%	57.5%	68.7%	66.4%	53.0%
Georgia	72.7%	62%	61.1%	56%	57.1%	63%	60.8%	56%	56.3%	65.4%	61.2%	55.5%
Hawaii	78.9%	79%	72.1%	63%	65.9%	80%	71.3%		63.7%	80.0%	72.6%	66.0%
Idaho	79.3%	77%	79.3%	75%	76.8%	81%	81.4%	74%	77.8%	83.9%•	81.5%	79.6%
Illinois	77.8%	85%	77.1%	74%	70.1%	86%	75.9%	73%	76.3%	86.6%	80.3%	75.0%
Indiana	—	91%	73.1%	72%	76.8%	91%	75.5%	74%	73%	90.0%	73.5%	72.4%
Iowa	89.4%	89%	84.1%	85%	79.3%	90%	85.3%	85%	82.5%	89.8%	85.8%	78.2%
Kansas	—	85%	77.1%	78%	74.7%	86%	76.9%	76%	75%	87.8%	77.9%	74.1%
Kentucky	80.7%	81%	69.8%	68%	72.1%	79%	71.7%	69%	69.7%	81.5%	73%	65.3%
Louisiana	67.1%	—	64.4%	63%	64.3%	—	64.1%	63%	60.6%	—	69.4%	64.5%
Maine	86.0%	86%	75.6%	75%	73.5%	87%	76.3%	74%	74%	—••	77.6%	72.1%
Maryland	83.9%	85%	79.7%	77%	76.1%	85%	79.2%	75%	74.4%	84.3%	79.5%	75.3%
Massachusetts	—	—	77.6%	75%	70.9%	—	75.7%	72%	72.1%	96.2%•••	79.3%	71.0%
Michigan	‡	86%	72.9%	78%	72.7%	85%	74.0%	77%	66.4%	88.7%	72.5%	74.0%
Minnesota	83.3%	88%	83.9%	84%	79.8%	88%	84.8%	84%	79%	88.9%	84.7%	78.9%
Mississippi	80.2%	72%	61.2%	60%	60.6%	81%	62.7%	59%	60.8%	84.0%	62.7%	58.0%
Missouri	82.1%	83%	76.8%	76%	76.9%	84%	78.3%	76%	74.7%	85.5%	80.4%	72.9%
Montana	84.0%	84%	79.8%	78%	76.5%	84%	81.0%	76%	75.8%	82.9%	80.4%	77.1%
Nebraska	84.1%	84%	83.9%	83%	77.7%	86%	85.2%	84%	77.8%	86.9%	87.6%	77.3%
Nevada	75.1%	64%	71.9%	68%	55.6%	75%	72.3%	67%	55.9%	67.0%	57.4%	54.7%
New Hampshire	—	85%	77.8%	78%	76.8%	85%	78.2%	79%	77.7%	84.8%	78.7%	73.9%
New Jersey	88.6%	89%	85.8%	89%	82.8%	89%	87.0%	88%	84.5%	90.6%	86.3%	86.3%
New Mexico	75.4%	77%	67.4%	65%	61.5%	89%	63.1%	59%	56.7%	78.8%	67%	61.2%
New York	80.9%	75%	60.5%	64%	59.8%	76%	60.9%	58%	62.5%	77.0%	—	61.4%
North Carolina	—	92%	68.2%	67%	64.7%	97%	70.1%	69%	66.2%	95.7%	71.4%	63.5%
North Dakota	90.7%	91%	85.0%	85%	81.2%	91%	86.4%	85%	83.1%	91.5%	86.1%	79.5%
Ohio	—	83%	77.5%	78%	73.8%	84%	79.0%	79%	76.5%	85.9%	81.3%	70.7%
Oklahoma	79.7%	69%	76.0%	79%	71.5%	86%	76.0%	72%	71%	85.1%	77%	69.8%
Oregon	778.8%	80%	71.0%	71%	70.7%	81%	73.7%	70%	69%	80.6%	74.2%	73.6%
Pennsylvania	84.9%	86%	80.2%	80%	77.7%	87%	81.7%	81%	79.1%	87.7%	82.2%	75.5%
Rhode Island	781.6%	71%	75.7%	74%	72.8%	81%	77.7%	75%	72.3%	82.8%	75.9%	73.5%
South Carolina	—	—	57.9%	53%	52.2%	78%	59.7%	54%	52.5%	78.0%	60.6%	50.7%
South Dakota	84.0%	97%	79.0%	76%	76.9%	96%	83.0%	79%	74.5%	92.3%	83.7%	79.4%
Tennessee	81.6%	76%	59.6%	57%	59.0%	76%	63.4%	60%	62.2%	75.7%	66.1%	57.5%
Texas	—	83%	73.5%	68%	66.6%	84%	75.5%	69%	66.8%	84.6%	76.7%	65.0%
Utah	84.4%	86%	80.5%	78%	80.5%	85%	80.2%	77%	76.7%	84.0%	83%	78.3%
Vermont	83.1%	82%	82.0%	78%	78.4%	84%	83.6%	78%	81.2%	86.0%	85.4%	77.9%
Virginia	85.1%	85%	76.7%	74%	73.8%	82%	80.6%	75%	74.9%	79.9%	79.3%	73.8%
Washington	—	79%	72.2%	72%	67.6%	66%	74.2%	69%	68.2%	70.1/74%••••	74.6%	62.6%
West Virginia	82.7%	—	74.2%	76%	72.5%	83%	75.7%	76%	72.8%	84.0%	76.9%	70.7%
Wisconsin	—	91%	84.8%	85%	77.5%	92%	85.8%	85%	80.6%	91.2%	—	78.2%
Wyoming	77.4%	77%	74.4%	73%	72.2%	77%	73.9%	70%	74%	79.2%	76%	72.4%
National	NC	not relevant	72.6%	71%	68.7%	not relevant	73.9%	70%	69.6%	not relevant	75%	68.0%

Appendix E

The Matrix of Prevention Programs

The Matrix of Prevention Programs

(Created by: Sharon Mihalic, Blueprints for Violence Prevention, 11/02/05)

	Matrix of Programs (Updated 11/02/2005)	American Youth Policy Forum (1)	Blueprints for Violence Prevention (2)	Center for Mental Health Services-Greenberg et al. (3)	Center for Substance Abuse Prevention (CSAP) (4)	Department of Education-Safe Schools (5)	Communities That Care-Developmental Research and Programs (6)	Mihalic & Aultman-Bettridge (2004) (7)	National Institute of Drug Abuse (NIDA) (8)	Sherman et al. (1997) (9)	Strengthening America's Families (10)	Surgeon General's Report (2001) (11)	Title V (OJJDP) (12)
	Academic Tutoring and Social SkillsTraining												Effective
	Accelerating Language Development Through Picture Book Reading						Effective						
	Across Ages				Model		Effective	Favorable					Exemplary
	Adolescent Alcohol Prevention Trial (AAPT)				Promising		Effective		Effective				
	Adolescent Portable Therapy												Promising
	Adolescent Transitions Program			Effective			Effective		Effective		Exemplary 2		Exemplary
	Aggression Replacement Training					Promising				Effective			Promising
	Aggressors, Victims & Bystanders: Thinking & Acting to Prevent Violence					Promising							
	Al's Pals: Kids Making Healthy Choices				Model	Promising		Favorable					Exemplary
	Albuquerque Victim-Offender Mediation Program												Promising
	Alcohol Misuse Prevention						Effective						Effective
	All Stars				Model	Promising	Effective						Effective

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	American Indian (Zuni) Life Skills				Effective								Effective
	Anchorage Youth Court												Effective
	Anger Coping Program			Effective				Favorable		Effective			Effective
	Asian Youth Alliance				Promising								
	Assertiveness Training Program									Effective			
	Athletes Training and Learning to Avoid Steroids (ATLAS)		Promising		Model	Exemplary	Effective	Favorable	Effective				Exemplary
	Baby Safe (Substance Abuse Free Environment) Hawaii				Promising								
	Baltimore Choice Program												Promising
	BASIS									Effective			
	Baton Rouge Partnership for the Prevention of Juvenile Gun Violence												Effective
	Be A Star				Promising								Promising
	Behavioral Monitoring and Reinforcement Program (Formerly Preventive Intervention - Bry)		Promising		Promising			Promising		Effective		Promising 2	Effective

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	Behaviorally-Based Prevention Program						Effective						
	Bereiter-Engleman/DISTAR Model						Effective						
	Bethesda Day Treatment										Promising		Promising
	Bethlehem Police Family Group Conferencing Project												Exemplary
	Bicultural Competence Skills Approach						Effective						Exemplary
	Big Brothers Big Sisters of America	Effective	Model	Effective			Effective			Effective			Exemplary
	Bilingual/Bicultural Counseling and Support Services				Promising								
	Book Lending Library						Effective						
	Border Binge Drinking Reduction Program				Model								
	Boston Gun Project	Effective											
	Boys and Girls Club	Effective								Effective			Effective
	Boys and Girls Club Educational Enhancement												Effective

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	Boys and Girls Club Gang Prevention Through Targeted Outreach												Promising
	Brainpower Program			Effective	Promising								
	Brief Alchohol Screening and Intervention for College Students				Model								Exemplary
	Brief Strategic Family Therapy (BSFT)	Effective	Promising		Model		Effective				Exemplary 2		Exemplary
	Brookline Early Education Project (BEEP)						Effective						
	Buddy System						Effective						
	Bullying Prevention Program (BPP)	Effective	Model	Effective	Model		Effective	Exemplary		Effective		Promising 2	Effective
	California Smoker's Helpline				Effective								
	Canberra Reintegrative Shaming Experiments												Exemplary
	Capital and Violent Offender Program (Formerly Capital Offenders Program)	Effective											Promising
	CAPSLE							Favorable					

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	Career Academy												Exemplary
	Career Beginnings												Effective
	Carolina Abecedarian Project						Effective	Favorable					
	CASASTART		Promising		Model	Exemplary						Promising 1	Exemplary
	CEDEN Family Resource Center										Model		
	Challenging College Alcohol Abuse (CCAA)				Model								
	Chicago Alternative Policing Strategy												Effective
	Chicago Child-Parent Center and Expansion Program (CPC)							Favorable					Effective
	Child Development and Community Policing Model												
	Child Development Project			Effective	Model	Promising	Effective	Favorable		Effective			Effective
	Children in the Middle				Model								Exemplary
	Children of Divorce Intervention Program			Effective	Effective		Effective						Effective
	Children of Divorce Parenting Program			Effective									

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Chronic Truancy Initiative												Promising
Class Action (Part of Project Northland)				Model								
Classroom Organizational Strategies						Effective						
Clayton County Restitution Program												Exemplary
Club Hero				Promising								Promising
Coca-Cola Valued Youth Program							Favorable					
Cognitive-Behavioral Intervention for Trauma in Schools (CBITS)				Promising								Promising
Cognitive-Behavioral Therapy for Child and Adolescent Stress (CBT-CATS)												Exemplary
Cognitive-Behavioral Therapy for Child Sexual Abuse (CBTCSA)				Model								Exemplary
Colorado Youth Leadership Project				Promising								
Comer School Development Program							Favorable					
Commit to Quit				Effective								

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	Communities in Schools (Formerly Cities in Schools)												Promising
	Communities Mobilizing for Change on Alcohol				Model								Exemplary
	Communities That Care						Effective						
	Community Laws and Policies Related to Weapons						Effective						
	Community of Caring					Promising							
	Community Policing Strategies						Effective						
	Community/School Policies						Effective						
	Community Trials Intervention to Reduce High-Risk Drinking (RHRD)				Model								Effective
	Comprehensive Gang Strategy (Little Village Gang Reduction Program)									Effective			Effective
	Computer-Assisted Instruction						Effective						
	Consistency Management & Cooperative Discipline (CMDC)							Favorable					Effective

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	Continuous Progress Instruction						Effective						
	Cooperative Learning Programs						Effective						
	Coping Power			Promising	Effective								Exemplary
	Coping With Stress Course			Effective									
	Coping with Work and Family Stress				Model								
	Counselors CARE and Coping and Support Training			Effective									
	Creating Lasting Family Connections				Model	Promising	Effective				Model		Exemplary
	Dando Fuerza a la Familia				Promising								
	DARE To Be You Program				Model						Model		Effective
	Delaware Juvenile Drug Court Diversion Program												Promising
	Depression Prevention Program			Effective									
	Detention Diversion Advocacy Program	Effective											Promising
	Dialectical Behavior Therapy Program for Incarcerated Female Juvenile Offenders												Promising

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Dona Ana County (NM) Teen Court												Promising
Earlscourt Social Skills Group Program			Effective				Favorable					
Early Detection and Treatment of Postnatal Depression						Effective						
Early Intervention for Preterm Infants Project						Effective						
Early Risers Skills for Success Program				Model				Effective				Effective
East Texas Experiential Learning Center				Effective								Promising
Effective Black Parenting			Effective							Model		Effective
Eight Percent Program	Effective											
Enough Snuff				Effective								
Enterprise Zones									Effective			
Extended-Service Schools Initiative												Promising
Facing History and Ourselves					Promising							Promising
Faith Based Prevention				Promising								

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	Families and Schools Together (FAST)			Promising	Model						Model		Exemplary
	Families in Action												Exemplary
	Family Bereavement Program			Effective									
	Family Effectiveness Training (FET)				Model								Effective
	Family Health Promotion				Promising								Promising
	Family Literacy Program						Effective						
	Family Matters				Model								Exemplary
	FAN (Family Advocacy Network) Club				Effective								
	FAST Track		Promising	Effective			Effective	Promising				Promising 2	Effective
	Field Interrogations						Effective						
	First Step to Success			Effective			Effective	Favorable					Effective
	Focus on Families				Promising		Effective		Effective		Model		Effective
	Friendly PEERsuasion				Effective								
	Functional Family Therapy (FFT)	Effective	Model				Effective				Exemplary 1	Model 1	Exemplary

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Gang Prevention Curricula						Effective						
Gang Resistance Education and Training (G.R.E.A.T.)												Effective
Gang Resistance is Paramount (GRIP)												Promising
Gatekeeper Case Finding and Response System				Promising								
Gentreaux Program									Effective			
Get Real About Violence				Promising								Promising
Girl's Circle												Promising
Good Behavior Game	Effective	Promising	Effective	Effective		Effective	Promising				Promising 2	Effective
Great Body Shop				Promising								Promising
Growing Healthy					Promising	Effective						Effective
Guiding Good Choices (Formerly Preparing for the Drug Free Years)		Promising		Model	Promising	Effective	Promising			Exemplary 1	Promising 2	Exemplary
Hardcore Gang Investigators Unit -- LA County DA's Office												Effective

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	HeadOn: Substance Abuse Prevention for Grades 6-8				Promising								
	Head Start												Promising
	Healthy Families America										Model		Promising
	Healthy for Life						Effective						
	Healthy Workplace				Model								
	Helping the Noncompliant Child				Effective						Exemplary 1		Promising
	Home-Based Behavioral Systems Family Therapy				Effective								
	Home Instruction Program for Preschool Youngsters (HIPPY)										Model		
	HOMEBUILDERS										Model		
	Houston Parent-Child Development Center		Promising		Effective		Effective	Promising		Effective		Promising 2	
	I Can Problem Solve (Formerly Interpersonal Cognitive Problem Solving)		Promising	Effective	Promising	Promising	Effective	Promising				Promising 2	Effective
	Impact of Drinking Age Law				Effective								

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	Improving Social Awareness-Social Problem Solving			Effective			Effective	Favorable					
	The Incredible Years	Effective	Model		Model		Effective	Exemplary		Effective	Exemplary 1	Promising 2	Exemplary
	Independence Youth Court (IYC)												Promising
	Indianapolis Restorative Justice Project												Effective
	Individual Placement and Support				Effective								
	Infant Health and Development												Promising
	Intensified Motorized Patrol						Effective						
	Intensive Probation Supervision (Cleveland)												Promising
	Intensive Protective Supervision Project (IPSP)											Promising 1	
	Intensive Supervision Juvenile Probation Program (Peoria, IL)												Promising
	Jefferson County Juvenile Gun Court												Promising
	Job Corps									Effective			Effective

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	Job-Loss Recovery Program				Promising								
	JOBS Program				Model								
	Jobstart						Effective						
	Kansas City Gun Experiment												Effective
	Keep A Clear Mind (KACM)				Model								Effective
	Keepin' it REAL (Refuse, Explain, Avoid, Leave)				Model								Exemplary
	Kentucky Adolescent Tobacco Prevention Project				Effective								Promising
	Keys to Caregiving Videotape Series						Effective						
	Kids Intervention with Kids in School (KIKS)				Promising								
	Know Your Body						Effective	Favorable					Promising
	Last Chance Ranch	Effective											
	Leadership and Resiliency Program (LRP)				Model								Promising
	Legal Blood Alcohol Level (Effect of Maine's .05% Limit)				Effective								

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Let Each One Touch One Mentor Program				Promising	Promising							Promising
Life Skills '95												Effective
Life Skills Training (LST)		Model		Model	Exemplary	Effective	Exemplary	Effective	Effective		Model 2	Exemplary
Linking the Interests of Families and Teachers (LIFT)		Promising	Effective	Promising	Promising		Promising				Promising 2	Exemplary
Lions-Quest Skills for Adolescence				Model	Promising							Effective
Lions-Quest Working Toward Peace					Promising							Promising
Maine Juvenile Drug Treatment Court												Promising
Make Parenting a Pleasure										Promising		
Mass Media Smoking Prevention Program							Favorable					
Massachusetts Tobacco Control Program				Promising								
MELD										Model		
Mendota Juvenile Treatment Center												Effective
Metropolitan Area Child Study						Effective						

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	Michigan Model for Comprehensive School Health Education					Promising		Favorable					Promising
	Michigan State Diversion Project												Promising
	Midwestern Prevention Project (Project STAR)		Model		Effective	Promising	Effective	Exemplary	Effective			Model 2	Effective
	Minimal Intervention Approach to Problem Gambling				Promising								
	Minneapolis Center for Victim-Offender Mediation												Promising
	Minnesota Smoking Prevention Program					Promising							Promising
	Mother-Child Program of Verbal Interaction Project						Effective						
	Movimiento Ascendencia												Promising
	Multidimensional Family Therapy (MDFT)	Effective			Effective						Exemplary 2		Effective
	Multidimensional Treatment Foster Care -OSLC	Effective	Model		Effective	Exemplary					Exemplary 1	Model 1	Exemplary
	Multimodal Substance Abuse Prevention				Promising								Promising

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Multisystemic Therapy (MST)	Effective	Model		Model						Exemplary 1	Model 1	Exemplary
National Council of Teachers of Mathematics (NCTM) Standards-Based Intervention						Effective						
Native American Prevention Project Against AIDS/Substance Abuse (NAPPASA)												Promising
NICASA Parent Project										Model		
North Karelia							Favorable					
N-O-T on Tobacco				Effective								Effective
Nurse-Family Partnership (Formerly Prenatal and Infancy Home Visitation by Nurses)		Model		Model		Effective			Effective	Exemplary 2	Model 1	Exemplary
Nurturing Parenting Program				Promising						Model		Promising
Nurturing Program for Families in Substance Abuse Treatment and Recovery										Promising		
Oakland Beat Health Program												Promising

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	Oakland Victim-Offender Reconciliation Program												Promising
	Open Circle Curriculum					Promising		Favorable					Promising
	Operation Ceasefire												Promising
	Orange County Juvenile Substance Abuse Treatment Court												Promising
	Parent-Child Assistance Program (P-CAP)				Promising								Effective
	Parent-Child Development Center												Exemplary
	Parent-Child Interaction Training						Effective					Promising 2	
	Parenting Partnership				Promising								Promising
	Parenting Wisely				Model						Exemplary 2		Promising
	Parenting with Love and Limits												Exemplary
	Parents Anonymous										Promising		
	Parents as Teachers										Model		Promising
	Parents Who Care						Effective				Model		

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	Participate and Learn Skills (PALS)	Effective					Effective			Effective			
	Partnership for Health				Effective								
	Pathways to Change				Effective								
	Peace Works												Promising
	PeaceBuilders	Effective			Promising	Promising	Effective	Favorable					Exemplary
	Peaceful Conflict Resolution and Violence Prevention Curriculum							Favorable					
	Peacemakers Program (Grades 4-8)				Promising	Promising							Effective
	Peer Assistance and Leadership Program (PAL)				Promising								
	Peer Coping Skills Training			Effective				Favorable					
	Peer-Assisted Learning Strategies (PALS)						Effective						
	Peers Making Peace				Promising	Promising							
	Perinatal Care Program				Promising								
	Perry Preschool Program/High Scope	Effective	Promising		Model		Effective	Promising		Effective		Promising 1	Exemplary

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	Philadelphia Youth Violence Reduction												Promising
	Phoenix House												Effective
	Physicians Counseling Smokers				Effective								
	Plan a Safe Stategy (PASS) Program				Promising								
	Positive Action				Model	Promising		Favorable					
	Positive Youth Development Program			Effective				Favorable		Effective			
	Preparing for School Success (PFSS)						Effective						
	Preventing School Vandalism and Disruptive Behavior							Favorable		Effective			
	Prevention and Relationship Enhancement Program (PREP)						Effective						
	Prevention Dimensions Program				Promising								
	Preventive Alcohol Education Program				Promising								Promising
	Preventive Treatment Program (Montreal Longitudinal Experimental Study)	Effective	Promising	Effective			Effective	Promising		Effective		Promising 1	Exemplary

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Primary Mental Health Project			Effective		Promising							Promising
Proactive Classroom Management						Effective						
Program Development Evaluation (PDE) Method						Effective			Effective			
Project ACHIEVE				Model								Promising
Project ALERT		Promising		Model	Exemplary	Effective	Favorable		Effective			Exemplary
Project Back-on-Track												Promising
Project BASIS				Promising								
Project Break Away				Promising								
Project Care							Favorable		Effective			
Project CRAFT												
Project EX				Model								Effective
Project Family								Effective				
Project Link				Promising								Effective
Project Northland		Promising		Model	Exemplary	Effective	Promising					Exemplary
Project PACE				Promising								Promising

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	Project PATHE (Positive Action Through Holistic Education)												Promising
	Project Prince									Effective			
	Project RAISE									Effective			
	Project SEEK										Model		
	Project SUCCESS				Model								
	Project Toward No Drug Abuse (Project TND)		Model		Model								Exemplary
	Project Towards No Tobacco Use (TNT)				Model	Exemplary	Effective						Exemplary
	Project Venture				Model								
	Prolonged Exposure Therapy for Posttraumatic Stress Disorders				Model								Exemplary
	Promoting Action Through Holistic Education (Project PATHE)		Promising					Promising		Effective			
	Promoting Alternative Thinking Strategies (PATHS)		Model	Effective	Model	Promising	Effective	Exemplary		Effective		Promising 2	Exemplary

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	Promotion of the Use of Front-Pack Infant Carriers						Effective						
	Protecting You/Protecting Me				Model								Effective
	Quantum Opportunities Program (QOP)	Effective					Effective	Exemplary				Promising 2	
	Queensland Early Intervention and Prevention of Anxiety Project			Effective			Effective						
	Raising a Thinking Child						Effective				Exemplary 2		Effective
	Reading Recovery						Effective						
	Reconnecting Youth				Model			Favorable	Effective				
	Reducing the Risk						Effective						
	Repeat Offender Prevention Program												Promising
	Residential Student Assistance Program (RSAP)				Model								Effective
	Resolving Conflict Creatively Program (RCCP)	Effective			Effective								Effective
	Responding in Peaceful and Positive Ways (RIPP)				Model	Promising							Exemplary

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	Responsive Classroom												Promising
	Richmond Comprehensive Homicide Initiative												Effective
	Richmond Youth Against Violence Project: Responding in Peaceful and Positive Ways (RIPP)			Effective			Effective						
	Rockford Enhanced EAP				Effective								
	Rural Education Achievement Project				Effective								Promising
	Safe Dates				Model			Favorable					Exemplary
	SAFE-T												Effective
	San Diego County Breaking Cycles												Effective
	Saving Lives				Promising								Promising
	Say It Straight (SIS)				Promising	Promising							Promising
	SCARE Program					Promising							Promising
	School Development Program						Effective						
	School Safety Program							Favorable		Effective			

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School Transitional Environment Program (STEP)		Promising	Effective			Effective	Promising		Effective		Promising 1	Effective
School Violence Prevention Demonstration Program				Effective								Effective
School-Based and Home-Based Tutoring for Transfer Students						Effective						
School-based Smoking Prevention Program							Favorable					
Schools and Families Education Children (SAFE Children)				Model								Effective
Second Step: A Violence Prevention Curriculum			Effective	Model	Exemplary	Effective						Promising
Sembrando Salud				Effective								Effective
SISTERS				Promising								Promising
SMART Leaders (Booster program for Boys and Girls Clubs of America's Stay SMART & SMART Moves)				Effective								Effective

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	SMART Team (Students Managing Anger and Resolution Together) (Formerly SMART Leaders)				Model	Promising							Effective
	Smoking Cessation Mass Media Intervention				Effective								
	SOAR (Skills, Opportunities, and Recognition) (Formerly Seattle Social Development Project)	Effective	Promising	Effective	Effective	Promising	Effective	Promising	Effective	Effective		Model 1	Effective
	Social Competence Promotion Program for Young Adolescents (SCPPYA)				Effective								Effective
	Social Decision-Making & Problem Solving					Promising							Promising
	Social Relations Program			Effective			Effective						
	Socio-moral Reasoning Development Program							Favorable					
	SOS: Signs of Suicide				Promising								Promising
	Spit Tobacco Intervention				Promising								Effective
	Star Model						Effective						

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	Start Taking Alcohol Risks Seriously (STARS) for Families				Model								Effective
	Stopping Teenage Addiction to Tobacco (STAT)				Effective								Effective
	Storytelling for Empowerment				Promising								
	Strengthening Families Program				Model		Effective		Effective		Exemplary 1		Exemplary
	Strengthening Families Program for Parents and Youth 10-14 (Formerly Iowa Strengthening Families Program)		Promising		Model	Exemplary		Promising			Exemplary 2	Promising 2	
	Strengthening Hawaii Families				Promising						Model		
	Strengthening Multi-Ethnic Families and Communities Program										Promising		
	Strengthening the Bonds of Chicano Youth and Families				Promising								Promising
	Stress Innoculation Training			Effective									
	Structured Playground Activities						Effective						
	Student Training Through Urban Strategies (STATUS)							Promising		Effective			

The Matrix of Prevention Programs

(Created by: Sharon Mihalic, Blueprints for Violence Prevention, 11/02/05)

	Matrix of Programs (Updated 11/02/2005)	American Youth Policy Forum (1)	Blueprints for Violence Prevention (2)	Center for Mental Health Services-Greenberg et al. (3)	Center for Substance Abuse Prevention (CSAP) (4)	Department of Education-Safe Schools (5)	Communities That Care-Developmental Research and Programs (6)	Mihalic & Aultman-Bettridge (2004) (7)	National Institute of Drug Abuse (NIDA) (8)	Sherman et al. (1997) (9)	Strengthening America's Families (10)	Surgeon General's Report (2001) (11)	Title V (OJJDP) (12)
	Students Helping Others Understand Tobacco (SHOUT)						Effective						
	Success for All						Effective	Favorable					
	Success in Stages												Effective
	Support for At-Risk Children				Effective								
	Supporting Adolescents with Guidance and Education (SAGE)												Promising
	Syracuse Family Development Research Program (FDRP)	Effective			Effective		Effective	Promising		Effective		Promising 1	Effective
	Teaching Students to be Peacemakers				Model								Promising
	Team Awareness				Model								
	Teams-Game-Tournament Alcohol Prevention				Promising								Effective
	Teen Outreach Program						Effective						
	Teenage Health Teaching Modules				Promising	Promising							Promising
	Therapeutic Workplace				Promising								

The Matrix of Prevention Programs

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	Matrix of Programs (Updated 11/02/2005)	American Youth Policy Forum (1)	Blueprints for Violence Prevention (2)	Center for Mental Health Services-Greenberg et al. (3)	Center for Substance Abuse Prevention (CSAP) (4)	Department of Education-Safe Schools (5)	Communities That Care-Developmental Research and Programs (6)	Mihalic & Aultman-Bettridge (2004) (7)	National Institute of Drug Abuse (NIDA) (8)	Sherman et al. (1997) (9)	Strengthening America's Families (10)	Surgeon General's Report (2001) (11)	Title V (OJJDP) (12)
	Think Time Strategy					Promising							
	Tinkham Alternative High School				Promising								
	Tobacco Policy and Prevention (TPP)				Effective								
	Too Good For Drugs (TGFD)				Model								Promising
	Too Good For Violence (TGFV)				Effective								Exemplary
	Trauma-Focused Cognitive-Behavioral Therapy (TF-CBT) (Formerly Cognitive Behavioral Therapy for Child and Adolescent Traumatic Stress)				Model								Exemplary
	Tri-Agency Resource Gang Enforcement Team												Effective
	TRIBES												Promising
	Truant Recovery Program												Promising
	Tutoring Programs						Effective						
	Urban Woman Against Substance Abuse (UWASA)				Promising								Promising
	Valued Youth Partnership Program						Effective						

The Matrix of Prevention Programs

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Matrix of Programs (Updated 11/02/2005)	American Youth Policy Forum (1)	Blueprints for Violence Prevention (2)	Center for Mental Health Services-Greenberg et al. (3)	Center for Substance Abuse Prevention (CSAP) (4)	Department of Education-Safe Schools (5)	Communities That Care-Developmental Research and Programs (6)	Mihalic & Aultman-Bettridge (2004) (7)	National Institute of Drug Abuse (NIDA) (8)	Sherman et al. (1997) (9)	Strengthening America's Families (10)	Surgeon General's Report (2001) (11)	Title V (OJJDP) (12)
Violence Prevention Curriculum for Adolescents												Promising
Violent Juvenile Offender Program	Effective											
VisionQuest												Effective
Washington (DC) Community Violence Prevention Program									Effective			
Washington, DC, Restitution Program												Promising
Wayne County Intensive Probation Program												Promising
Weed and Seed												Promising
Wellness Outreach Program: A Step-by-Step Guide				Effective								
Woodrock Youth Development Project				Promising		Effective						Promising
Wraparound Milwaukee	Effective											Promising
Yale Child Welfare Project							Promising		Effective		Promising 2	

References for The Matrix of Prevention Programs

(Created by: Sharon Mihalic, Blueprints for Violence Prevention, 11/02/05)

Notes

(1) American Youth Policy Forum: Less Hype, More Help: Reducing Juvenile Crime, What Works-and What Doesn't by Richard A. Mendel. American Youth Policy Forum, Washington, DC, 2000. Programs are categorized as "effective" (refer to www.aypf.org).

(2) Blueprints for Violence Prevention. Programs are divided into "model" and "promising" (refer to www.colorado.edu/cspv/blueprints).

(3) Center for Mental Health Services, US Department of Health and Human Services, Prevention Research Center for the Promotion of Human Development. Programs are divided into "effective" and "promising" (refer to www.prevention.psu.edu).

(4) Center for Substance Abuse Prevention, Substance Abuse and Mental Health Services Administration, Department of Health and Human Services, National Registry of Effective Programs. Programs are divided into "model," "promising," and "effective" (refer to www.modelprograms.samhsa.gov).

(5) Department of Education: Safe and Drug Free Schools. Programs are divided into "exemplary" and "promising" (refer to www.ed.gov/admins/lead/safety/exemplary01/panel.html)

(6) Communities that Care: Posey, Robin, Wong, Sherry, Catalano, Richard, Hawkins, David, Dusenbury, Linda, & Chappell, Patricia (2000). Communities That Care Prevention Strategies: A Research Guide to What Works. Programs are categorized as "effective" (refer to www.preventionscience.com/ctc/CTC.html; Developmental Research and Programs, Inc., Seattle, WA).

(7) Mihalic & Aultman-Bettridge (2004): A Guide to Effective School-Based Prevention Programs. Programs are divided into "exemplary", "promising" and "favorable" (refer to William L. Turk, (Ed.), *Policing and School Crime*, Englewood Cliffs, NJ: Prentice Hall Publishers, 2003).

(8) National Institute of Drug Abuse. Programs are categorized as "effective" (refer to National Clearinghouse for Alcohol and Drug Information, #734 at 1-800-729-6686).

(9) Sherman et al (1998): Preventing Crime: What Works, What Doesn't, What's Promising. University of Maryland Department of Criminology and Criminal Justice. NCJ 165366. Programs are categorized as "effective" (refer to www.ncjrs.org/works/wholedoc.htm or www.preventingcrime.org).

(10) Strengthening America's Families. Programs are divided into "exemplary 1," "exemplary 2," "model," and "promising" (refer to www.strengtheningfamilies.org).

(11) Youth Violence: A Report of the Surgeon General. Programs are divided into "model" and "promising": level 1-violence prevention; level 2-risk prevention (refer to www.surgeongeneral.gov/library/youthviolence).

(12) Title V (OJJDP): Effective & Promising Programs Guide. Washington, D.C.: Office of Juvenile Justice and Delinquency Prevention, Office of Justice Programs, U.S. Dept. of Justice. Programs are divided into "exemplary," "effective," and "promising" (refer to www.dsgonline.com).

Table created by: Sharon Mihalic, Blueprints Director, Updated 11/02/05.

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(Created by: Sharon Mihalic, Blueprints for Violence Prevention, 11/02/05)

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Exhibit 1

Supplemental Table to Indicator 19

Public High School Graduation Rates

Table A-19-1. Averaged freshman graduation rate for public high school students and number of graduates, by state or jurisdiction: School years 2001–02 through 2007–08

State or jurisdiction	Averaged freshman graduation rate						
	2001–02	2002–03	2003–04	2004–05	2005–06	2006–07	2007–08
United States	**72.6**	**73.9**	**74.3**[1]	**74.7**	**73.4**[1]	**73.9**	**74.7**[1]
Alabama	62.1	64.7	65.0	65.9	66.2	67.1	69.0
Alaska	65.9	68.0	67.2	64.1	66.5	69.0	69.1
Arizona	74.7	75.9	66.8	84.7	70.5	69.6	70.7
Arkansas	74.8	76.6	76.8	75.7	80.4	74.4	76.4
California	72.7	74.1	73.9	74.6	69.2	70.7	71.2
Colorado	74.7	76.4	78.7	76.7	75.5	76.6	75.4
Connecticut	79.7	80.9	80.7	80.9	80.9	81.8	82.2
Delaware	69.5	73.0	72.9	73.0	76.3	71.9	72.1
District of Columbia	68.4	59.6	68.2	66.3	65.4	54.8	56.0
Florida	63.4	66.7	66.4	64.6	63.6	65.0	66.9
Georgia	61.1	60.8	61.2	61.7	62.4	64.1	65.4
Hawaii	72.1	71.3	72.6	75.1	75.5	75.4	76.0
Idaho	79.3	81.4	81.5	81.0	80.5	80.4	80.1
Illinois	77.1	75.9	80.3	79.4	79.7	79.5	80.4
Indiana	73.1	75.5	73.5	73.2	73.3	73.9	74.1
Iowa	84.1	85.3	85.8	86.6	86.9	86.5	86.4
Kansas	77.1	76.9	77.9	79.2	77.5	78.8	79.0
Kentucky	69.8	71.7	73.0	75.9	77.2	76.4	74.4
Louisiana	64.4	64.1	69.4	63.9	59.5	61.3	63.5
Maine	75.6	76.3	77.6	78.6	76.3	78.5	79.1
Maryland	79.7	79.2	79.5	79.3	79.9	80.0	80.4
Massachusetts	77.6	75.7	79.3	78.7	79.5	80.8	81.5
Michigan	72.9	74.0	72.5	73.0	72.2	77.0	76.3
Minnesota	83.9	84.8	84.7	85.9	86.2	86.5	86.4
Mississippi	61.2	62.7	62.7	63.3	63.5	63.5	63.9
Missouri	76.8	78.3	80.4	80.6	81.0	81.9	82.4
Montana	79.8	81.0	80.4	81.5	81.9	81.5	82.0
Nebraska	83.9	85.2	87.6	87.8	87.0	86.3	83.8
Nevada	71.9	72.3	57.4	55.8	55.8	54.2	56.3
New Hampshire	77.8	78.2	78.7	80.1	81.1	81.7	83.3

See notes at end of table.

9th 10th 10th 6th 8th 12th 10th

Public High School Graduation Rates

Table A-19-1. Averaged freshman graduation rate for public high school students and number of graduates, by state or jurisdiction: School years 2001–02 through 2007–08—Continued

State or jurisdiction	Averaged freshman graduation rate						
	2001–02	2002–03	2003–04	2004–05	2005–06	2006–07	2007–08
United States	**72.6**	**73.9**	**74.3**[1]	**74.7**	**73.4**[1]	**73.9**	**74.7**[1]
New Jersey	85.8	87.0	86.3	85.1	84.8	84.4	84.6
New Mexico	67.4	63.1	67.0	65.4	67.3	59.1	66.8
New York	60.5	60.9	60.9	65.3	67.4	68.9	70.9
North Carolina	68.2	70.1	71.4	72.6	71.8	68.6	72.8
North Dakota	85.0	86.4	86.1	86.3	82.2	83.1	83.8
Ohio	77.5	79.0	81.3	80.2	79.2	78.7	79.0
Oklahoma	76.0	76.0	77.0	76.9	77.8	77.8	78.0
Oregon	71.0	73.7	74.2	74.2	73.0	73.8	76.7
Pennsylvania	80.2	81.7	82.2	82.5	83.5	83.0	82.7
Rhode Island	75.7	77.7	75.9	78.4	77.8	78.4	76.4
South Carolina	57.9	59.7	60.6	60.1	61.0	58.9	62.2
South Dakota	79.0	83.0	83.7	82.3	84.5	82.5	84.4
Tennessee	59.6	63.4	66.1	68.5	70.7	72.6	74.9
Texas	73.5	75.5	76.7	74.0	72.5	71.9	73.1
Utah	80.5	80.2	83.0	84.4	78.6	76.6	74.3
Vermont	82.0	83.6	85.4	86.5	82.3	88.5	89.3
Virginia	76.7	80.6	79.3	79.6	74.5	75.5	77.0
Washington	72.2	74.2	74.6	75.0	72.9	74.8	71.9
West Virginia	74.2	75.7	76.9	77.3	76.9	78.2	77.3
Wisconsin	84.8	85.8	85.8	86.7	87.5	88.5	89.6
Wyoming	74.4	73.9	76.0	76.7	76.1	75.8	76.0

See notes at end of table.

9th 10th 10th 6th 8th 12th 10th

Exhibit 2

Why Students Drop Out

Bridgeland, DiIulio, and Morison (2006) interviewed high school dropouts to find out why they didn't finish school.

Percentage of NELS:88 8th to 10th grade dropouts who reported that various reasons for dropping out of school applied to them.

Reason	Total	Male	Female
School Related:			
Did not like school	51.2	57.8	44.2
Could not get along with teachers	35.0	51.6	17.2
Could not get along with students	20.1	18.3	21.9
Was suspended too often	16.1	19.2	12.7
Did not feel safe at school	12.1	11.5	12.8
Was expelled	13.4	17.6	8.9
Felt I didn't belong	23.2	31.5	14.4
Could not keep up with school work	31.3	37.6	24.7
Was failing school	39.9	46.2	33.1
Changed school, didn't like new one	13.2	10.8	15.8
Job Related:			
Couldn't work and go to school at same time	14.1	20.0	7.8
Had to get a job	15.3	14.7	16.0
Found a job	15.3	18.6	
Family Related:			
Had to support family	9.2	4.8	14.0
Wanted to have family	6.2	4.2	8.4
Was pregnant	31.0		31.0
Became pregnant	13.6	5.1	22.6
Got married	13.1	3.4	23.6
Had to care for family member	8.3	4.6	12.2
Other:			
Wanted to travel	2.1	2.5	1.7
Friends dropped out	14.1	16.8	11.3

DATA SOURCE: U.S. Department of Education, National Center for Education Statistics, National Education Longitudinal Study of 1988 (NELS:88) First Followup Study, 1990.

Reference

Bridgeland, J.M., DiIulio, J.J., & Morison, K.B. (2006). *The silent epidemic.*

Exhibit 3

ALLIANCE FOR EXCELLENT EDUCATION

FactSheet

Updated September 2010

High School Dropouts in America

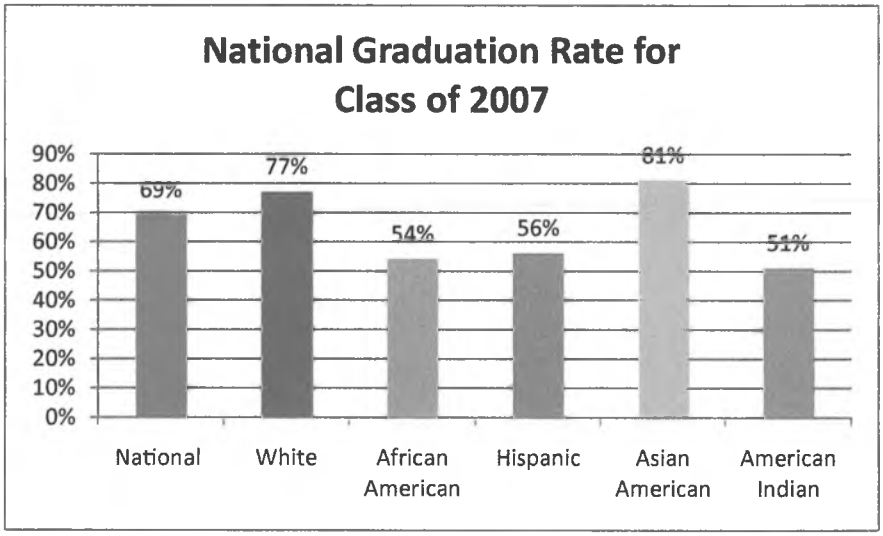
Nationwide, about seven thousand students drop out every school day. This statistic may not have been noticed fifty years ago, but the era during which a high school dropout could earn a living wage has ended in the United States. By dropping out, these individuals significantly diminish their chances to secure a good job and a promising future. Moreover, each class of dropouts is responsible for substantial financial and social costs to their communities, states, and country in which they live.

Although graduation rates are a fundamental indicator of how schools are ultimately performing, only recently have those rates been rigorously scrutinized, revealing the extent of the crisis in America's high schools. For decades, schools and districts published misleading or inaccurate graduation rates, and as a result, the American public knew little of the scope and gravity of the problems faced by far too many of the nation's high schools. Reputable, independent research has exposed alarmingly low graduation rates that were previously hidden behind inaccurate calculations and inadequate data.

Who Is Dropping Out?

Overall, far too many students are not graduating on time with a regular diploma; low-income and students of color fare the worst in the dropout epidemic.

- Each year, approximately **1.3 million students** fail to graduate from high school; more than half are students of color.[1] The graduation rate among students of color is as much as twenty-five percentage points below their white peers.
- A student within the age range of sixteen to twenty-four years old who comes from the lowest quartile of family income is about **seven times more likely** to have dropped out of high school than his/her counterpart who comes from the highest quartile.[2]



Source: Editorial Projects in Education, "Diplomas Count 2010: Graduating by the Number: Putting Data to Work for Student Success," special issue, *Education Week* 29, no. 34 (2010).

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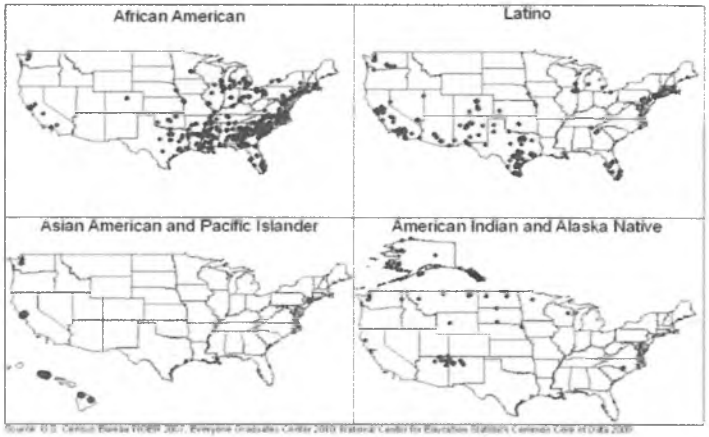
Where Are Students Dropping Out?

A relatively small number of chronically underperforming high schools are responsible for more than half of the nation's dropouts.

- Approximately two thousand high schools (about 12 percent), known as the nation's lowest performing high schools, produce nearly half of the nation's dropouts. In these schools, the number of seniors enrolled is routinely 60 percent or less than the number of freshmen three years earlier.[3]

- The nation's lowest-performing high schools produce 58 percent of all African American dropouts and 50 percent of all Hispanic dropouts, compared to 22 percent of all white dropouts.[4]

Geographic Location of Lowest-Performing High Schools By Largest Student Subgroup



Why Do Students Drop Out?

While there is no single reason for why students drop out, research indicates that difficult transitions to high school, deficient basic skills, and a lack of engagement all serve as prominent barriers to graduation.

- **Low attendance or a failing grade can identify future dropouts, and in some cases as early as sixth grade.**[5] Most dropouts are already on the path to failure in the middle grades and engage in behaviors that strongly correlate to dropping out in high school. Various researchers have identified low attendance or a failing grade as specific risk factors.

- **Up to 40 percent of ninth-grade students in cities with the highest dropout rates repeat ninth grade; only 10 to 15 percent of those repeaters go on to graduate.**[6] Ninth grade serves as a bottleneck for many students who begin their first year only to find that their academic skills are insufficient for high school-level work.

- **Over one third of all dropouts are lost in ninth grade.**[7] Academic success in ninth-grade coursework is highly predictive of eventual graduation; this is even more so than demographic characteristics or prior academic achievement.[8] Unfortunately, many students are not given the extra support they need to make a successful transition to high school and are lost in ninth grade.

- **The six million secondary students who comprise the lowest 25 percent of achievement are twenty times more likely to drop out of high school than students in the top-performing quartile.**[9] Among high school students whose test scores were in the top quartile of their senior class, less than one percent dropped out. Among the high school students whose test scores were in the bottom quartile of their senior class, twenty percent dropped out.

- **Research shows that a lack of student engagement is predictive of dropping out even after controlling for academic achievement and student background.**[10] Both academic and social engagement are integral components of successfully navigating the education pipeline.

What Are the Costs of Dropping Out of High School?

Dropouts suffer from reduced earnings and lost opportunities; there are also significant social and economic costs to the rest of the nation.

- Over the course of his or her lifetime, a high school dropout earns, on average, about **$260,000 less** than a high school graduate.[11]
- Dropouts from the Class of 2010 alone will cost the nation more than **$337 billion** in lost wages over the course of their lifetimes.[12]
- If the United States' likely dropouts from the Class of 2006 had graduated, the nation could have saved more than **$17 billion** in Medicaid and expenditures for uninsured health care over the course of those young people's lifetimes.[13]
- If U.S. high schools and colleges were to raise the graduation rates of Hispanic, African American, and Native American students to the levels of white students by 2020, the potential increase in personal income would add more than **$310 billion** to the U.S. economy.[14]
- Increasing the graduation rate and college matriculation of male students in the United States by just 5 percent could lead to combined savings and revenue of almost **$8 billion** each year by reducing crime-related costs.[15]

Endnotes

[1] Editorial Projects in Education, "Diplomas Count 2010: Graduating by the Number: Putting Data to Work for Student Success," special issue, *Education Week* 29, no. 34 (2010).
[2] U.S. Department of Education, National Center for Education Statistics, *Digest of Education Statistics 2009* (NCES 2010-013) (Washington, DC: U.S. Government Printing Office, 2010).
[3] T. Tucci, "Prioritizing the Nation's Lowest-Performing High Schools," (Washington, DC: Alliance for Excellent Education, 2010).
[4] Ibid.
[5] C. Jerald, "Dropping Out is Hard to Do," (Washington, DC: The Center for Comprehensive School Reform and Improvement, 2006).
[6] R. Balfanz and N. Legters, "Closing 'Dropout Factories': The Graduation Rate Crisis We Know and What Can Be Done About It," *Education Week* 25, no. 42 (2006): 42–43.
[7] Editorial Projects in Education, "Diplomas Count 2007: Ready for What? Preparing Students for College, Careers, and Life After High School," special issue, *Education Week* 26, no. 40 (2007).
[8] E. Allensworth and J. Easton, *What Matters for Staying On-Track and Graduating in Chicago Public High Schools: A Close Look at Course Grades, Failures and Attendance in the Freshman Year* (Chicago, IL: Consortium on Chicago School Research at the University of Chicago, University Publications Office, 2007).
[9] A. Carnevale, *Help Wanted...College Required. ETS Leadership 2000 Series* (Princeton, NJ: Educational Testing Service, 2001).
[10] R. Rumberger, "Why Students Drop Out of School," in *Dropouts in America: Confronting the Graduation Rate Crisis* ed. G. Orfield, 131–155 (Cambridge, MA: Harvard Education Press, 2004).
[11] C. Rouse, "Labor Market Consequences of an Inadequate Education," paper prepared for the symposium on the Social Costs of Inadequate Education," October 24, 2005, New York.
[12] Alliance for Excellent Education, "The High Cost of High School Dropouts: What the Nation Pays for Inadequate High Schools," (Washington, DC: Author, 2008).
[13] ———, "Healthier and Wealthier: Decreasing Health Care Costs by Increasing Educational Attainment," (Washington, DC: Author, 2006).
[14] ———, "Demography as Destiny: How America Can Build a Better Future," (Washington, DC: Author, 2006).
[15] ———, "Saving Futures, Saving Dollars: The Impact of Education on Crime Reduction and Earnings," (Washington, DC: Author, 2006).

Exhibit 4

California Dropout Research Project
An Affiliated Project of the University of California Linguistic Minority Research Institute
UC Santa Barbara | Gevirtz Graduate School of Education

POLICY BRIEF 15 October 2008

Why Students Drop Out of School: A Review of 25 Years of Research

Russell Rumberger and Sun Ah Lim

Highlights:

- **Dropping out is more of a process than an event—a process that, for some students, begins in early elementary school.**
- **Poor academic achievement, as early as elementary school, is one of the strongest predictors of dropping out.**
- **Preschool improves school readiness and early school success, positively affecting student outcomes, including high school completion.**
- **Grades are more consistent than test scores in predicting which students will leave school without graduating.**
- **Several behaviors both in and out of school—including absenteeism, delinquency, and substance abuse—are strong indicators of dropping out.**
- **A stable home environment and access to social and financial resources strongly influence the likelihood that a student will graduate.**

California and the nation are facing a dropout crisis. About one-quarter of all students who enter the ninth grade fail to earn a diploma four years later. To address this crisis requires a better understanding of why students drop out.

Dropouts themselves report a variety of reasons for leaving school (*see CDRP Statistical Brief 2*), but these reasons do not reveal the underlying causes. Multiple factors in elementary or middle school may influence students' attitudes, behaviors, and performance in high school prior to dropping out.

To better understand the underlying causes behind students' decisions for dropping out, we reviewed the past 25 years of research on dropouts. The review was based on 203 published studies that analyzed a variety of national, state, and local data to identify statistically significant predictors of high school dropout and graduation. Although in any particular study it is difficult to demonstrate a causal relationship between any single factor and the decision to quit school, a large number of studies with similar findings does suggest a strong connection.

The research review identified two types of factors that predict whether students drop out or graduate from high school: factors associated with ***individual characteristics*** of students, and factors associated with the ***institutional characteristics*** of their families, schools, and communities.

Individual Predictors

Individual factors that predict whether students drop out or graduate from high school fall into four areas: (1) educational performance, (2) behaviors, (3) attitudes, and (4) background.

Educational Performance. Several aspects of educational performance have been widely identified in the research literature as strong predictors of dropping out or graduating:

- test scores and grades in high school;
- academic achievement in both middle and elementary school (with grades a more consistent predictor than test scores);
- non-promotional school changes (student mobility) during middle and high school; and,
- retention (being held back one or more grades), in elementary, middle, and high school.

Read the full report at: *lmri.ucsb.edu/dropouts*

Behaviors. A wide range of behaviors both in and out of school have been shown to predict dropout and graduation. One of the most important is student engagement, which includes students' active involvement in academic work (e.g., coming to class, doing homework) and the social aspects of school (e.g., participating in sports or other extracurricular activities).

Research consistently finds that high absenteeism—one specific indicator of engagement—is associated with higher dropout rates. Misbehavior in high school and delinquent behavior outside of high school are both significantly associated with higher dropout and lower graduation rates. In addition, drug or alcohol use during high school is associated with higher dropout rates. Teenage parenting and childbearing increase the odds of dropping out. Having friends who engage in criminal behavior or friends who have dropped out also increases the odds of dropping out, with such associations appearing as early as the seventh grade.

Finally, a number of studies have found that students who work more than 20 hours a week are significantly more likely to drop out.

Attitudes. Although a substantial body of research has explored the relationship between student achievement and a wide range of student beliefs, values, and attitudes, far less research has explored the links between these factors and dropping out. The dropout literature has generally focused on a single indicator—educational expectations (how far in school a student expects to go)—and has found that higher levels of educational expectations are associated with lower dropout rates.

Background. A number of student background characteristics—including demographics and past experiences—are linked to whether students drop out or graduate. Dropout rates are generally higher for males than for females, and they are higher for Blacks, Hispanics, and Native Americans than for Asians and Whites; yet these differences may be related to other characteristics of students as well as characteristics of their families, schools, and communities.

Some studies have found that second generation students (one parent foreign-born), especially Latino students, have higher graduation rates than either first generation (foreign-born) or third generation (native-born students and parents). Higher English language proficiency also lowers the odds of dropping out.

One past experience—participation in preschool—has been the subject of extensive, rigorous research and has been shown to not only improve school readiness and early school success, but also to affect a wide range of adolescent and adult outcomes, including high school completion, crime, welfare, and teen parenting.

Institutional Predictors

Research on dropouts has identified a number of factors within students' families, schools, and communities that predict dropping out and graduating.

Families. Three aspects of families predict whether students drop out or graduate: (1) family structure, (2) family resources, and (3) family practices.

Students living with both parents have lower dropout rates and higher graduation rates, compared to students living in other family arrangements. More important, changes in family structure, along with other potentially stressful events (such as a family move, illness, death, adults entering and leaving the households, and marital disruptions) increase the odds of dropping out.

Students in homes with more family resources—as measured by parental education, parents' occupational status, and family income—are less likely to drop out of school. A number of parenting practices—sometimes referred to as *social resources* or *social capital*—have been shown to reduce the odds of dropping out, including:

- having high educational aspirations for their children;
- monitoring their children's school progress;
- communicating with the school; and,
- knowing the parents of their children's friends.

Finally, students are more likely to drop out if they have a sibling who dropped out.

Schools. Although student and family characteristics account for most of the variability in dropout rates, about 20 percent can be attributed to four characteristics of schools: (1) the composition of the student body, (2) resources, (3) structural features, and (4) policies and practices.

Research finds that the odds of dropping out are lower in schools

with more advantaged students, but the effects appear to be indirect, through the association with other school characteristics.

Research does not find that school size has a consistent effect on dropout and graduation rates.

Attending a Catholic high school improves the odds of graduating; yet studies have also found that Catholic and other private schools lose as many students as public schools because students attending private schools typically transfer to public schools instead of dropping out.

Relatively few studies found significant effects of school resources on dropout and graduation rates, at least in high school. But there is strong evidence that small classes (15:1) in grades K-3 improve high school graduation rates.

School policies and practices in high school do matter. Students are less likely to drop out if they attend schools with a stronger academic climate, as measured by more students taking academic courses and doing homework. On the other hand, students are more likely to drop out in schools with a poor disciplinary climate, as measured by student disruptions in class or in school.

There does not appear to be a consistent effect of exit exams on dropout rates, although more recent high school exams appear to lower high school completion rates.

Additionally, requiring students to attend school beyond age 16 leads to lower dropout and higher completion rates.

Communities. Communities play a crucial role in adolescent development along with families, schools, and peers. Population characteristics of communities are associated with dropping out, but not in a straightforward manner: living in a high-poverty neighborhood is not necessarily detrimental to completing high school, but rather living in an affluent neighborhood is beneficial to school success. This suggests that affluent neighborhoods provide more access to community resources and positive role models from affluent neighbors.

Summary and Implications

As interest in the topic of dropping out has grown, so has the research literature, especially in the last 10 years; yet most research studies focus only on specific aspects of the problem. In contrast, this review of the research—the most comprehensive to date—examines *all* the factors that have been studied over the last 25 years, from individual factors to institutional factors in families, school and communities.

The review yielded valuable insights:

1) No single factor can completely account for a student's decision to continue in school until graduation. Just as students themselves report a variety of reasons for quitting school, the research literature also identifies a number of factors that appear to influence the decision.
2) The decision to drop out is not simply a result of what happens in school. Clearly students' behavior and performance in school influences their decision to stay or leave, but students' activities and behaviors outside of school—particularly engaging in deviant and criminal behavior—also influences their likelihood of remaining in school.
3) Dropping out is more of a process than an event; for many students, the process begins in early elementary school. A number of long-term studies that tracked groups of students from preschool or early elementary school through the end of high school were able to identify early indicators that could significantly predict whether students were likely to drop out or finish high school. The two most consistent indicators were early academic performance and academic and social behaviors.
4) Contexts matter. The research literature has identified a number of factors within families, schools, and communities that affect whether students are likely to drop out or graduate from high school. They include access to not only fiscal and material resources, but also social resources in the form of supportive relationships in families, schools, and communities.

One implication of this review is that there are a variety of leverage points for addressing the problem of high dropout rates. Intervention in preschool and early elementary school is clearly warranted. Rigorous experimental evaluations of high quality preschool programs and small classes in early elementary school have proven to improve high school graduation rates. Such programs are also cost-effective—they generate two to four dollars in economic benefits for every dollar invested.

But there are other leverage points as well. Even high school is not too late—both targeted programs serving a limited number of high-risk students and comprehensive school reform models have been proven to increase graduation rates and are also cost-effective.

Research Reports and Policy Briefs in Print

1. The Economic Losses from High School Dropouts in California *(August 2007)*
2. The Return on Investment for Improving California's High School Graduation Rate *(August 2007)*
3. Does State Policy Help or Hurt the Dropout Problem in California? *(October 2007)*
4. Can Combining Academic and Career-Technical Education Improve High School Outcomes in California? *(November 2007)*
5. Student and School Predictors of High School Graduation in California *(December 2007)*
6. California Schools that Beat the Odds in High School Graduation *(December 2007)*
7. Alternative Pathways to High School Graduation: An International Comparison *(January 2008)*
8. Giving a Student Voice to California's Dropout Crisis *(March 2008)*
9. Building System Capacity for Improving High School Graduation Rates in California *(April 2008)*
10. Improving California's Student Data Systems to Address the Dropout Crisis *(May 2008)*
11. Struggling to Succeed: What Happened to Seniors Who Did Not Pass the California High School Exit Exam? *(June 2008)*
12. Can Middle School Reform Increase High School Graduation Rates? *(June 2008)*
13. Middle School Predictors of High School Achievement in Three California School Districts *(June 2008)*
14. What Factors Predict High School Graduation in the Los Angeles Unified School District? *(June 2008)*
15. Why Students Drop Out: A Review of 25 Years of Research *(October 2008)*

All of the above Research Reports and Policy Briefs, as well as Statistical Briefs, are available at www.lmri.ucsb.edu/dropouts

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The California Dropout Research Project is an affiliated project of the University of California Linguistic Minority Research Institute and the UC Santa Barbara Gevirtz Graduate School of Education

Murray Richmond

From: William Mcleod <wmcleod@dlgsd.org>
Sent: Tuesday, March 13, 2012 10:55 AM
To: Murray Richmond
Cc: Kim Williams; Michael Smith; Danny Frazier; Marilyn Rosene; Donald Frashier
Subject: Re: SB 197

Hi Murray,

Thank you for the updated explanation of SB 197 and how it is projected to be funded and implemented that you shared with me today. Please share the following views I am submitting to Senator Thomas and his committee members scheduled to meet this Wednesday. I strongly encourage a funding mechanism that focuses on specific schools that have accountability challenges, are of high need for improvement, and can access an in state funding initiative that will help address their needs. Characteristics that will facilitate this process would be:

1. An in state funded mechanism such as SB 197 that is focused on schools in need.
2. A competitive application process that will enable Alaska school districts to identify local needs and a means to address them.
3. Funding on scale that encourages districts to make an application.
4. A process that is easy, simple, and has some user friendly templates to follow.
5. A process that smaller districts with limited staffing for grant writing can access with state (DEED) technical support.
6. A process that allows "home grown" plans, based off current best practices and research that a district can develop to specifically address what they identify as an area of high need and sustainability.
7. A state review committee that is representative of Alaska citizens that understand the challenges of rural Alaska specifically and our unique needs state wide to determine the quality of the applications and the awarding of grants.

A wide variety of good grants will be submitted under an initiative with these features. Grants that might address areas such as early childhood intervention for literacy, attendance issues, drop out prevention, additional academic supports to help non-proficient kids to "get back on track" as fast as possible, implementing model programs to improve curriculum, professional staff development, assessment and interventions for success to mention a few. I applaud this effort and look forward to an opportunity to submit a grant when it is passed by the legislature and signed off by the governor.

Sincerely,

Bill McLeod,
Superintendent DCSD

National Center for Education Statistics

Table 1. Public high school number of graduates, Averaged Freshman Graduation Rate (AFGR), and estimated first-time 9th-graders, by state or jurisdiction: School year 2008–09

State or jurisdiction	2008–09 school year		Estimated first-time 9th-graders in 2005–06[1]			
	Number of graduates	AFGR[2]	Average	8th-grade enrollment base, 2004–05	9th-grade enrollment base, 2005–06	10th-grade enrollment base, 2006–07
Total[3]	**3,039,015** [4]	**75.5** [4]	**4,024,345**	**3,851,398**	**4,316,179**	**3,905,449**
Nevada	19,904 [5]	56.3 [5]	35,336	32,516	39,518	33,973
Mississippi	24,505	62.0	39,536	40,155	42,195	36,258
District of Columbia	3,517	62.4	5,635	5,533	6,653	4,720
New Mexico	17,931	64.8	27,675	26,211	30,026	26,787
South Carolina	39,114	66.0	59,274	56,641	66,201	54,981
Louisiana	35,622	67.3	52,954	60,194	53,087	45,580
Georgia	88,003	67.8	129,797	122,432	145,243	121,715
Florida	153,461	68.9	222,578	209,559	245,587	212,588
Alabama	42,082	69.9	60,169	59,286	65,357	55,864
California	372,310 [5]	71.0 [5]	524,273	503,027	551,379	518,412
Arizona	62,374	72.5	85,984	78,952	99,058	79,943
Alaska	8,008	72.6	11,034	10,857	11,405	10,839
New York	180,917	73.5	245,982	226,482	267,615	243,848
Delaware	7,839	73.7	10,634	10,494	11,638	9,770
Washington	62,764	73.7	85,123	80,918	90,091	84,361
Arkansas	28,057	74.0	37,912	37,447	39,013	37,277
North Carolina	86,712	75.1	115,487	109,979	128,333	108,148
Indiana	63,663	75.2	84,649	82,728	88,563	82,655
Wyoming	5,493	75.2	7,307	6,985	7,509	7,427
Hawaii	11,508	75.3	15,292	14,439	17,184	14,254
Michigan	112,742	75.3	149,640	141,599	161,219	146,102
Rhode Island	10,028	75.3	13,313	12,783	14,193	12,964
Connecticut	34,968	75.4	46,374	45,072	49,070	44,980
Texas	264,275	75.4	350,368	329,214	394,739	327,151
Oregon	35,138	76.5	45,944	44,886	46,351	46,594
West Virginia	17,690	77.0	22,983	22,582	24,712	21,654
Oklahoma	37,219	77.3	48,143	47,618	50,367	46,444
Tennessee	60,368	77.4	77,980	74,379	82,641	76,920
Colorado	47,459	77.6	61,162	59,397	63,818	60,272
Kentucky	41,851	77.6	53,909	51,591	58,196	51,940
Illinois	131,670	77.7	169,361	162,227	179,742	166,115
Virginia	79,651	78.4	101,607	96,540	110,021	98,259
Utah	30,463	79.4	38,366	37,674	38,628	38,795
Ohio	122,203	79.6	153,528	147,161	165,999	147,424
Maine	14,093 [4]	79.9 [4]	16,166	16,850	16,088	15,559
Maryland	58,304	80.1	72,759	69,567	79,788	68,921
Kansas	30,368	80.2	37,847	37,083	39,665	36,794
Pennsylvania	130,658	80.5	162,243	151,746	165,003	169,979
Idaho	16,807	80.6	20,850	20,299	21,564	20,688
South Dakota	8,123	81.7	9,943	9,715	10,314	9,799
Montana	10,077	82.0	12,291	12,045	12,803	12,024
Nebraska	19,501	82.9	23,522	22,267	24,953	23,346
Missouri	62,969	83.1	75,801	73,619	80,473	73,311
Massachusetts	65,258	83.3	78,386	76,831	82,861	75,465
New Hampshire	14,757	84.3	17,510	17,293	18,323	16,914
New Jersey	95,085	85.3	111,411	109,253	115,100	109,880
Iowa	33,926	85.7	39,571	38,097	41,059	39,556
Minnesota	59,729	87.4	68,329	66,016	69,339	69,631
North Dakota	7,232	87.4	8,270	8,127	8,484	8,199
Vermont	7,209	89.6	8,048	7,864	8,337	7,944
Wisconsin	65,410	90.7	72,089	67,168	76,674	72,425

Table 1. Public high school number of graduates, Averaged Freshman Graduation Rate (AFGR), and estimated first-time 9th-graders, by state or jurisdiction: School year 2008–09—Continued

State or jurisdiction	2008–09 school year		Estimated first-time 9th-graders in 2005–06[1]			
	Number of graduates	AFGR[2]	Average	8th-grade enrollment base, 2004–05	9th-grade enrollment base, 2005–06	10th-grade enrollment base, 2006–07
Department of Defense dependents schools, Bureau of Indian Education, and other jurisdictions						
DoDDS: DoDs Overseas[6]	—	—	4,207	4,712	4,476	3,433
DDESS: DoDs Domestic[6]	—	—	997	1,409	975	607
Bureau of Indian Education	—	—	—	3,707	4,888	—
American Samoa	—	—	1,184	1,119	1,315	1,119
Guam	—	—	—	2,372	3,164	—
Commonwealth of the Northern Marianas Islands	—	—	913	840	1,045	855
Puerto Rico	29,286	67.2	43,594	44,767	43,328	42,686
U.S. Virgin Islands	940	63.1	1,490	1,302	1,911	1,256

— Not available. State or jurisdiction did not report diploma count.

[1] The enrollment base for estimated first-time 9th-graders for the rate was estimated as the average of student membership in grades 8, 9, and 10 in 3 consecutive years.

[2] AFGR is an estimate of the percentage of an entering freshman class graduating in 4 years. For 2008–09, it equals the total number of diploma recipients in 2008–09 divided by the average membership of the 8th-grade class in 2004–05, the 9th-grade class in 2005–06, and the 10th-grade class in 2006–07.

[3] Totals include the 50 states and the District of Columbia.

[4] Maine reported 1,169 diplomas that were awarded to students attending private high schools that received a majority of their funding from public sources. These 1,169 diplomas were included in the Maine and the Total counts but were not included in the AFGR calculations for Maine and for the Total AFGR. The diploma counts used to calculate the AFGR for Maine and for the reporting states were 12,924 and 3,036,757, respectively.

[5] Due to item non-response, data for California and Nevada were imputed based on prior year reported data.

[6] DoDDS and DDESS are the Department of Defense Overseas Dependent Elementary and Secondary Schools and the Department of Defense Domestic Dependent Elementary and Secondary Schools, respectively.

NOTE: Ungraded students were allocated to individual grades proportional to each state's enrollment in those grades.

SOURCE: U.S. Department of Education, National Center for Education Statistics, Common Core of Data (CCD), "NCES Common Core of Data State Dropout and Completion Data File," School Year 2008–09, Version 1a; "State Nonfiscal Survey of Public Elementary/ Secondary Education," 2004–05, Version 1f; 2005–06, Version 1b; 2006–07, Version 1c.