Measuring Performance: A Guidance Document for Promise Neighborhoods on Collecting Data and Reporting Results

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Executive Summary

What Every Promise Neighborhood Implementation Grantee Needs to Know About Data

Promise Neighborhoods is a federal place-based initiative intended to turn neighborhoods of concentrated poverty into neighborhoods of opportunity. The Promise Neighborhoods Initiative model has a strong commitment to and reliance on results-based planning and improvement using real-time data.

This guidance document is designed to provide clarity on the U.S. Department of Education's required *Government Performance and Results Act (GPRA)* indicators. Promise Neighborhood implementation grantees must report on these measures as one of the requirements of their federal funding.

In addition, this document recommends data collection strategies, sources, and methods for the Promise Neighborhood community at large, including the collection and tracking of demographic, family, and service delivery characteristics. These recommendations, while not formal requirements, are intended to guide Promise Neighborhoods on the best ways to collect information that they can use to improve the quality of their programs and services, to evaluate the success of their initiatives, and most importantly, to achieve better results.

This executive summary boils down the top 10 items every Promise Neighborhood grantee needs to know. The remainder of the summary describes each step in more detail.

TOP 10 RECOMMENDED STEPS FOR DATA COLLECTION AND REPORTING

1. Recognize the need for multiple types and sources of data.
2. Calculate baseline population counts and penetration rates.
3. Develop the Promise Neighborhood data system structure.
4. Collect and report the *Government Performance and Results Act* (GPRA) indicators.
5. Set up a case management system collecting four types of data.
6. Enroll children and families in a case management data system.
7. Collect, store, and use identified individual-level data.
8. Conduct a neighborhood survey every other year.
9. Conduct a school climate survey every year.
10. Compile summary school- and neighborhood-level data.

Step 1: Recognize the Need for Multiple Types and Sources of Data (Chapter 2)

Promise Neighborhoods need to collect a wide variety of data at different levels of observation (e.g., individual-, school-, and neighborhood-level data) and from different sources for *GPRA* reporting, as well as for their own internal performance management and evaluation. Promise Neighborhoods also need to establish processes for data planning, data systems, collecting and tracking indicators, and identifying the most useful and feasible populations for data collection.

At a minimum, Promise Neighborhoods should:

1. Establish a list of indicators to be tracked (including required *GPRA* indicators) and identify for each indicator its target population, data collection level, data source and frequency of collection, and calculation of the indicator.
2. Create a system for compiling, storing, and reporting data.
3. Collect, track, and review indicators.

Step 2: Calculate the Baseline Population Counts and Penetration Rates (Chapter 2)

A core expectation of Promise Neighborhoods is that each community will see a substantial increase the number of youth and families served over time. In order to calculate the Promise Neighborhood's penetration rate, Promise Neighborhoods should determine their baseline population counts. Exhibit 1 provides sample population planning tools that Promise Neighborhoods can use for both neighborhood-wide and program-specific population tracking.

Once Promise Neighborhoods have identified their populations, they can then calculate their specific program penetration rates. Exhibit 2 provides sample penetration rate tables. To calculate a penetration rate, the total number of people participating in an intervention who fall into the target population is divided by the total number of people in the target group.

Exhibit 1—Sample Population Planning Tool

Data sources: (a) and (b) are student counts from the early childhood partner(s) or school district; (c) are population counts from the U.S. Census Bureau, 2010 decennial census; other cells are calculated as shown.

Population 0 to 4 years old

	Total	Living in Promise Neighborhood	Living outside Promise Neighborhood
Total	*(c) + (b)*	*(c)*	*(b)*
Enrolled in early childhood partner program	*(a) + (b)*	*(a)*	*(b)*
Not enrolled in early childhood partner program	*(c) – (a)*	*(c) – (a)*	

Population 5 to 17 years old

	Total	Living in Promise Neighborhood	Living outside Promise Neighborhood
Total	*(c) + (b)*	*(c)*	*(b)*
Enrolled in target school	*(a) + (b)*	*(a)*	*(b)*
Not enrolled in target school	*(c) – (a)*	*(c) – (a)*	

Population 18 to 24 years old

	Total	Living in Promise Neighborhood	Living outside Promise Neighborhood
Total	*(c) + (b)*	*(c)*	*(b)*
Enrolled in target school	*(a) + (b)*	*(a)*	*(b)*
Not enrolled in target school	*(c) – (a)*	*(c) – (a)*	

Exhibit 2—Sample Program Penetration Table

Population 12 to 15 years old

Persons	**Total**	Living in Promise Neighborhood	Living outside Promise Neighborhood
Total	*100*	*75*	*25*
Enrolled in target school	*100*	*75*	*25*
Not enrolled in target school			

Program: Middle school tutoring program
Target population: 12 to 15 years old

Number of participants	**Total**	Living in Promise Neighborhood	Living outside Promise Neighborhood
Total	*30*	*20*	*10*
Enrolled in target school	*30*	*20*	*10*
Not enrolled in target school			

Penetration rate (%)	**Total**	Living in Promise Neighborhood	Living outside Promise Neighborhood
Total	*30%*	*27%*	*40%*
Enrolled in target school	*30%, calculated by* *30 enrolled/100 in target school*	*27%, calculated by* *20 enrolled/75 in target school*	*40%, calculated by* *10 enrolled/25 in target school*
Not enrolled in target school			

Step 3: Determine the Promise Neighborhood Data System Structure (Chapter 3)

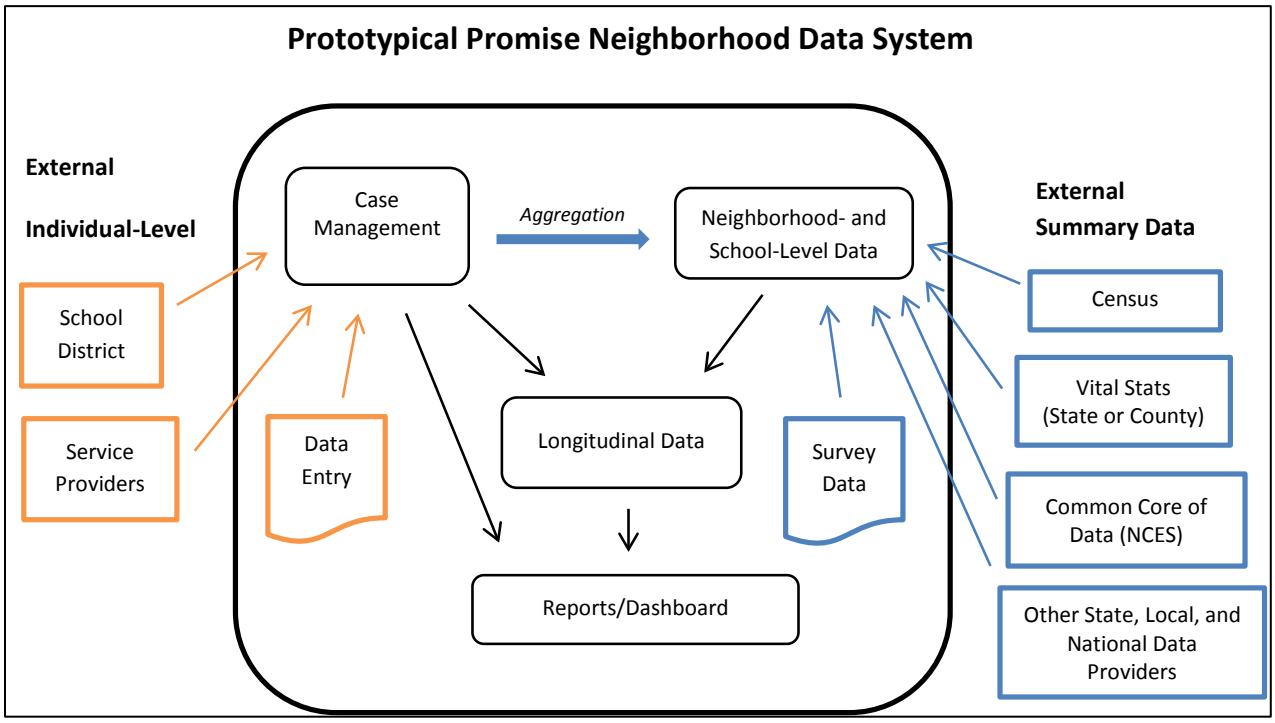
Promise Neighborhoods are expected to collect and track key program and outcome data for their participating and targeted children, youth, and families. Because the data collection requirements are extensive, this guidance document describes a recommended data system (i.e., one or more related databases with appropriate data entry, storage, and reporting functionality) that can store and organize the various types and levels of data that Promise Neighborhoods will need to collect and track.

The four main components of the data system are:

1. A *case management system* to track program interactions and outcomes for individual children and adults participating in Promise Neighborhood programming.
2. A *neighborhood- and school-level data system* to store data not collected in the case management system.
3. A *longitudinal data system* to track outcome measures and other performance indicators over time.
4. A component often referred to as a "dashboard" able to produce *summary reports* that can be viewed by a wide array of stakeholders.

Exhibit 3 shows examples of the types of data entered into each component and the interaction between components.

Exhibit 3—Prototypical Promise Neighborhood Data System



Step 4: Collect and Report the Government Performance and Results Act Indicators (Chapter 4)

Under the *Government Performance and Results Act* (*GPRA*), agencies must establish performance goals and performance indicators for programs. Accordingly, Promise Neighborhood grantees must collect and report data on 15 distinct performance measures specified by the Department. Exhibit 4 summarizes the *GPRA* measures, data sources, target populations, and storage and collection system types (i.e., neighborhood-level data system, school-level data system, case management data system).

Exhibit 4—*Government Performance and Results Act* (*GPRA*) Indicators for Promise Neighborhoods

***GPRA* measure**	**Data Source**	**Target Population**	**Age/Grade Category**	**Level of Data Collection**	**Data Storage**
GPRA 1. Number and percent of children birth to kindergarten entry who have a place where they usually go, other than an emergency room, when they are sick or in need of advice about their health.	Neighborhood survey conducted years 1, 3, and 5	Children living in Promise Neighborhood	Ages 0–5	Individual level	Neighborhood-level data system
GPRA 2: Number and percent of three-year-olds and children in kindergarten who demonstrate at the beginning of the program or school year age-appropriate functioning across multiple domains of early learning as determined using developmentally-appropriate early learning measures.	Administrative data collected annually	Children participating in targeted early learning program(s)	Ages 3 and in kindergarten	Age and grade level	School-level data system
GPRA 3. Number and percent of children, from birth to kindergarten entry, participating in center-based or formal home-based early learning settings or programs, which may include Early Head Start, Head Start, child care, or publicly-funded preschool.	Neighborhood survey conducted years 1, 3, and 5	Children living in Promise Neighborhood	Ages 0–5	Individual level	Neighborhood- level data system
GPRA 4. Number and percent of students at or above grade level according to State mathematics and English language arts assessments in at least the grades required by the ESEA (3rd through 8th and once in high school).	Administrative data collected annually	Children attending target schools	3rd through 8th and once in high school	Grade level	School-level data system
GPRA 5. Attendance rate of students in 6th, 7th, 8th, and 9th grade as defined by average daily attendance.	Administrative data collected annually	Children attending target schools	6th, 7th, 8th, and 9th	Grade level	School-level data system

Exhibit 4—*Government Performance and Results Act* (*GPRA*) Indicators for Promise Neighborhoods, continued

***GPRA* measure**	**Data Source**	**Target Population**	**Age/Grade Category**	**Level of Data Collection**	**Data Storage**
GPRA 6. Graduation rate (as defined in the notice).	Administrative data collected annually	Children attending target schools	High school	School level	School-level data system
GPRA 7. Number and percent of Promise Neighborhood students who a) enroll in a two-year or four-year college or university after graduation, b) matriculate to an institution of higher education and place into college-level mathematics and English without need for remediation; c) graduate from a two-year or four-year college or university or vocational certification completion; and d) earn industry-recognized certificates or credentials.	7a and 7c: Private third party that tracks high school graduates into post-secondary education collected annually 7b and 7d: Survey of Promise Neighborhood high school graduates collected annually	7a-7d: Graduates from target Promise Neighborhood high schools	Graduates from target schools	7a and 7c: School level 7b and 7d: Individual level	7a and 7c: School-level data system 7b and 7d: Case management system
GPRA 8-9. Number and percent of children who participate in at least 60 minutes of moderate to vigorous physical activity daily; and consume five or more servings of fruits and vegetables daily.	School climate survey collected annually	Children attending target schools	Middle and high school students	Individual level	School-level data system

Exhibit 4—*Government Performance and Results Act* (*GPRA*) Indicators for Promise Neighborhoods, continued

***GPRA* measure**	**Data Source**	**Target Population**	**Age/Grade Category**	**Level of Data Collection**	**Data Storage**
GPRA 10. Number and percent of students who feel safe at school and traveling to and from school, as measured by a school climate needs assessment.	School climate survey collected annually	Children attending target schools	Middle and high school students	Individual level	School-level data system
GPRA 11. Student mobility rate (as defined in the notice).	Administrative data collected annually	Children attending target schools	Elementary, middle, and high school students	School level	School-level data system
GPRA 12. For children birth to kindergarten entry, the number and percent of parents or family members who report that they read to their children three or more times a week.	Neighborhood survey conducted years 1, 3, and 5	Children living in Promise Neighborhood	Ages 0–5	Individual level	Neighborhood- level data system
GPRA 13. For children in the kindergarten through 8th grades, the number and percent of parents or family members who report encouraging their child to read books outside of school.	Neighborhood survey conducted years 1, 3, and 5	Children living in Promise Neighborhood	Kindergarten through 8th graders	Individual level	Neighborhood- level data system
GPRA 14. For children in the 9th to 12th grades, the number and percent of parents or family members who report talking with their child about the importance of college and career.	Neighborhood survey conducted years 1, 3, and 5	Children Living in Promise Neighborhood	9th through 12th graders	Individual level	Neighborhood- level data system
GPRA 15. Number and percent of students who have school and home access (and percent of the day they have access) to broadband internet and a connected computing device.	School climate survey collected annually	Children attending target schools	Middle and high school students	Individual level	Neighborhood- level data system

Step 5: Set Up a Case Management System Collecting Four Types of Data (Chapter 5)

Collecting consistent, individual-level data in a case management system will allow programs to determine which solutions are most effective and make adjustments in the continuum of solutions over time. A multi-purpose case management system should typically include the following types of information.

- ***Demographic*** information about the children and families who enroll in the program.
- ***Family roster*** data to better understand who lives with the client being served, the various relationships of family members present and socio-economic information about the family.
- ***Implementation*** data, which will allow Promise Neighborhoods to track how often children and families participate in Promise Neighborhood programs and services and the types of programs and services they use. Examples of implementation indicators are the number of times a client participates in each program and the duration of client participation (e.g., differentiating between a 20-minute coaching session and an all-day workshop). Implementation data will most often be collected at the point of service to capture the details of the types of activities and services received, the amount of service, dates of enrollment, participation, completion, and termination.
- ***Outcomes*** data such as participants' assessment scores, other academic performance information, and program milestones achieved can also be recorded in a case management system. At a minimum, the data should include specific *GPRA* data elements.

The table below displays recommended data elements to be collected and stored for a case management system. The table is a summary of Exhibits 5.1 and 5.2 in Chapter 5.

Exhibit 5—Recommended Data Elements of the Case Management System

Demographic and Socioeconomic

1. Promise Neighborhood ID
2. Name
3. Address
4. Years at current residence
5. Date of birth
6. Gender
7. Race
8. Hispanic ethnicity
9. Primary language
10. English as a second language
11. School enrollment status
12. Grade level
13. School name
14. Current or highest grade completed
15. Eligible for free or reduced price lunch
16. Special education or learning disability
17. Date of high school graduation or GED
18. Diagnosed medical condition
19. Current caregiver setting

Family Roster

1. Promise Neighborhood ID
2. Family ID
3. Name
4. Date of birth
5. Gender
6. Relation to parent or guardian
7. Employment status
8. Annual income (prior year)
9. Primary language spoken
10. Highest grade level completed

Implementation Data

1. Client name and Promise Neighborhood ID
2. Name of service provider
3. Enrollment or start date with service provider
4. Type of service
5. Activity or service description
6. Expected level of participation
7. Dates of participation for each activity or service received
8. Duration of participation for each session
9. Exit date from service provider
10. Exit reason

Step 6: Enroll Children and Families in the Case Management System (Chapter 5)

Given the breadth of the initiative and the range of data elements recommended for Promise Neighborhoods, use of a centralized enrollment or intake approach would help simplify and streamline data entry into the case management system. While this may be difficult for some Promise Neighborhoods to accomplish because they do not have their own case management staff, creating a centralized intake approach and assigning staff to collect the information from families would ensure the appropriate data are collected and help Promise Neighborhoods reach eligible and interested families, youth, and children. This approach also minimizes paperwork and other barriers for families when they sign up for programs and activities.

To implement a centralized enrollment or intake process, Promise Neighborhoods would need to take the following steps:

1. Determine who should administer the enrollment or intake process.
2. Establish a procedure for assigning a unique Promise Neighborhood identifier (ID number) for each individual enrolled in the initiative.
3. Design the intake process, which will most likely include explaining the Promise Neighborhood initiative to families and individuals, requesting consent for data sharing, collecting demographic information, and populating a family roster.
4. Determine how, where, and when intake should take place. (Chapter 5 discusses the option for Promise Neighborhoods to designate a minimum threshold for service use before performing a full intake process for families and individuals.)
5. Determine whether pre-populating the case management system with basic information about certain potentially eligible individuals (e.g., using information available through school directory information) would streamline the enrollment process.

Step 7: Collect, Store, and Use Identified Individual-Level Data (Chapter 6)

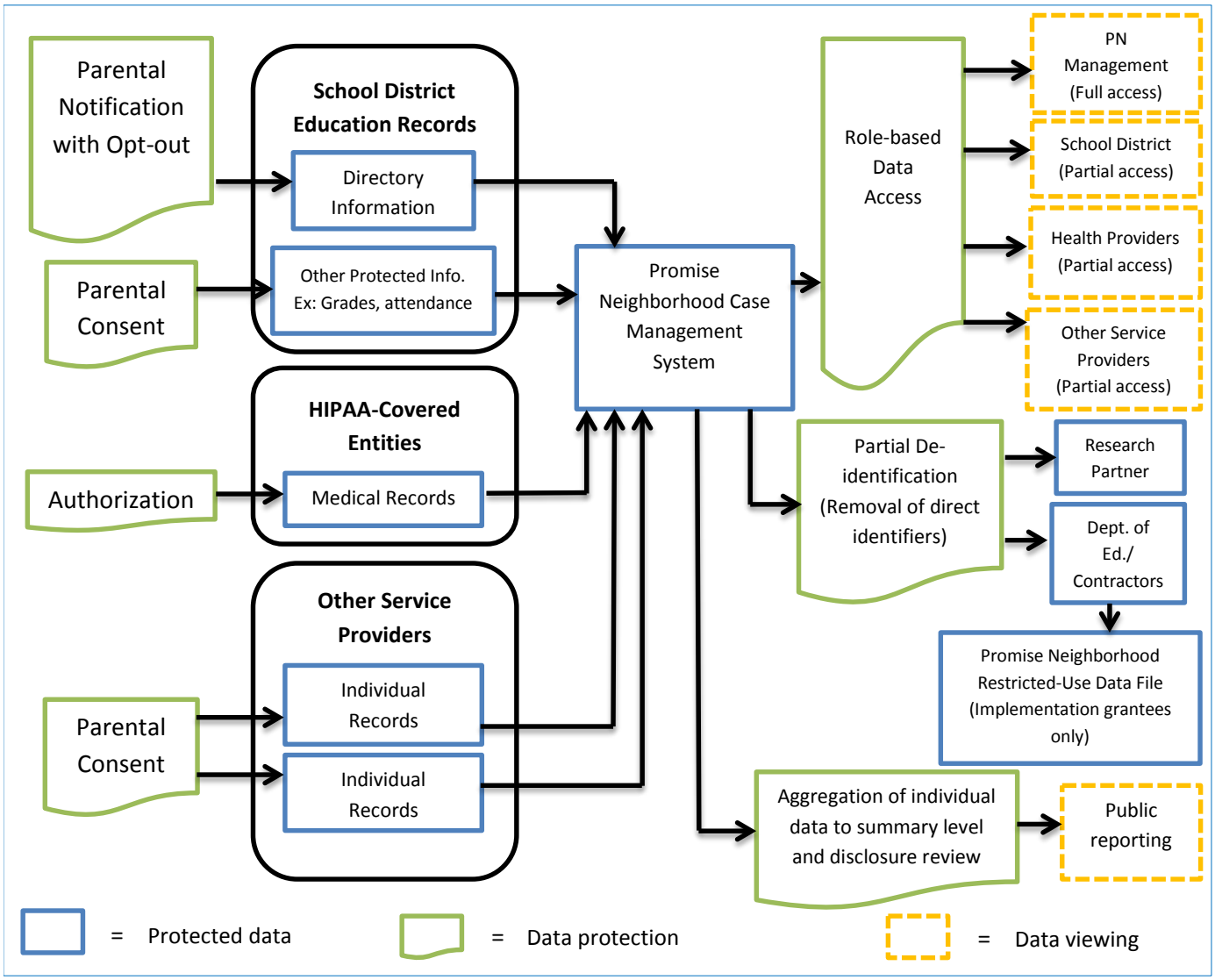
Promise Neighborhoods will need to collect, store, and use identified individual-level data and other personally identifiable information, including information on children who are enrolled in Promise Neighborhood programs or who attend Promise Neighborhood target schools (or both), as well as information on family members, such as parents or siblings. Some of these data may already be available from Promise Neighborhood partners in existing administrative data systems, while other data may need to be collected through direct interactions with program participants or through surveys.

The checklist below is one tool that grantees can use for collecting, storing, and handling personally identifiable information by Promise Neighborhoods. As indicated in the checklist and Exhibit 6, sharing of personally identifiable information with the Promise Neighborhood will require, in almost all cases, obtaining prior written consent or written authorization. In the case of education records and medical records, two federal laws, the *Family Educational Rights and Privacy Act* (*FERPA*) and the *Health Insurance Portability and Accountability Act* (*HIPAA*), set protections for individuals on the disclosure and use of personal information that include explicit requirements for obtaining written consent (for education information protected by *FERPA)* and written authorization (for health information protected by *HIPAA*) before such data can be released to the Promise Neighborhood. The guidance given in Chapter 6 of this document is intended to help grantees in working with their partners to comply with *FERPA* and *HIPAA* requirements.

Data Security Checklist

- ✓ Identify needed data and sources for those data.
    - Data sources include school districts, health care providers, and other Promise Neighborhood service providers.
- ✓ Obtain written consent or authorization to allow partners to disclose personally identifiable information to the Promise Neighborhood.
    - Set up procedures to obtain written consent/authorization (e.g., during global enrollment process, at the start of school year, when program services are delivered).
    - For education data protected by *FERPA,* provide school districts with written consent from a parent or an eligible student (i.e., a student 18 years or older or enrolled in a post-secondary institution).
    - For health information protected by *HIPAA,* provide *HIPAA*-covered entities (e.g., health care providers) with written authorization from an individual or an individual's personal representative (i.e., someone authorized under state or other applicable law to act on behalf of the individual in making health-care-related decisions).
    - For other service providers, obtain written consent to disclose identified individual-level data as a best practice, even if not required by law.
- ✓ Negotiate data sharing agreements with service partners for data to be shared with the Promise Neighborhood.
    - Establish a role-based data access system to restrict data access and usage to only what is needed by each user.
    - Negotiate agreements with service partners, researchers, and evaluators that outline terms of access to case management and other Promise Neighborhood data.
- ✓ Institute data security and governance structures to protect private and confidential data
    - Establish a data security plan.
    - Create a framework of policies and procedures (i.e., a data governance plan) that direct the handling of data from acquisition to disposal.
        - Appoint a Promise Neighborhood data manager.
        - Establish a Promise Neighborhood Data Governance Board.
    - Train Promise Neighborhood and partner staff on data security procedures.
        - Require staff to sign a confidentiality statement.

Exhibit 6—Data Sharing Overview: Identified Individual-Level Data and Personally Identifiable Information



Note: For *FERPA*-protected education records, eligible students may give their own consent in place of parental consent. *HIPAA* requires authorization from an adult individual or from a minor's parent or personal representative.

Step 8: Conduct a Neighborhood Survey Every Other Year (Chapter 7)

Because this information is likely not available from other sources, Promise Neighborhoods should use a neighborhood survey to collect data for five of the *GPRA* indicators.

- *GPRA* 1. Number and percent of children birth to five years old who have a place where they usually go, other than an emergency room, when they are sick or in need of advice about their health.
- *GPRA* 3. Number and percent of children, from birth to kindergarten entry, participating in center-based or formal home-based early learning settings or programs, which may include Early Head Start, Head Start, child care, or publicly-funded preschool.
- *GPRA* 12. For birth to kindergarten entry, number and percent of parents who report reading to their children at least three times a week.
- *GPRA* 13. For children in K through 8th grade, the number and percent of parents who report encouraging their children to read books outside of school
- *GPRA* 14. For children in the 9th to 12th grade, the number and percent of parents who report talking with their child about the importance of college and career.

Conducting a robust and reliable neighborhood survey is a significant task, and Promise Neighborhoods should hire a survey firm or other survey research experts to help design and field the survey.

The process of collecting and preparing survey data generally follows these steps, which are discussed further in Chapter 7.

1. *Determine the indicators to be collected for different survey populations.* For the *GPRA* indicators, the populations are specified in Chapter 4 but Promise Neighborhoods may want data on additional subpopulations (e.g., racial or gender groups) or for other non-*GPRA* indicators that are measured for different populations.
2. *Choose survey method.* Surveys can be administered in different ways. Choosing the best method for the population to be surveyed and the type of information to be collected is a critical decision in designing a successful survey. This guidance document recommends in-person interviewing for the neighborhood survey and a self-administered school climate survey.
3. *Create and test the survey questionnaire.* Chapter 4 includes wording for survey questions for the appropriate *GPRA* indicators. These questions were taken from nationally-recognized, validated surveys and should be used "as is" in most cases. Experts in survey methodology and compilations of previously used questions could be useful in finding questions for additional,

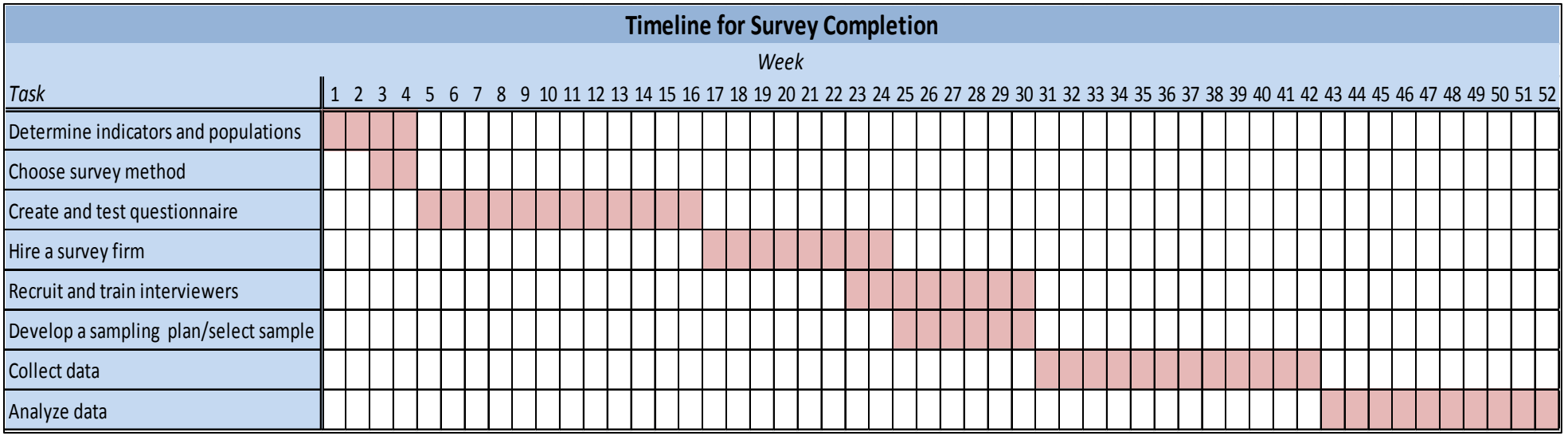
non-*GPRA* indicators that are of interest to the Promise Neighborhood. Survey questions should be tested to ensure that the questions are understandable to the population to be surveyed and will elicit accurate and reliable responses.

4. *Write a scope of work and engage a survey firm.* Using the information in the first three steps, the Promise Neighborhood should prepare a work plan for a survey firm that presents all of the requirements for conducting the survey and reporting survey results. This scope of work should clearly lay out whether the Promise Neighborhood wants the survey firm to assist with certain steps (e.g., recruiting and training interviewers), or be responsible for completing certain steps entirely. The scope of work should also include any resident incentives for participating in the survey, such as gift cards or raffle tickets.
5. *Recruit and train interviewers.* For surveys that are not self-administered, it is essential to recruit and train interviewers on the proper administration of the survey. Survey firms usually perform these functions. Promise Neighborhoods opting to collect data themselves may decide to recruit interviewers from the community or, in some cases, may be able to hire free-lance professional interviewers.
6. *Develop a sampling plan.* The Promise Neighborhood, with help from a survey firm, will need to determine the optimal sample size to obtain reliable data from the survey that is capable of measuring meaningful differences between subpopulations and over time. In general, a larger sample will produce more precise estimates with lower sampling error, but may also increase the difficulty and cost of the survey. Development of the final sampling plan is best done by a survey firm.
7. *Select the survey sample.* Depending on the sampling plan, the Promise Neighborhood may need to collect additional data (such as names and addresses) to select an appropriate sample. For some sample designs, the interviewers may need to play a role in sample selection.
8. *Collect and analyze data.* Data should be collected from the sample population, attempting to get completed questionnaires from as high a share of the sample as possible. If response rates are low, interviewers should follow-up with non-respondents to achieve an acceptable response level. Initial response rates from community surveys range from very low to as high as 80 percent. Additional efforts may be needed to achieve this high a rate but response rates much lower than 80 percent risk producing data that lead to biased results. Incentives such as gift cards and prepaid cash cards can help encourage residents to participate and increase the response rate. When analyzing survey data and reporting differences in indicators derived from sample data, issues of sample size and design need to be taken into account. For this reason, Promise Neighborhoods should work with researchers who have experience analyzing survey data.

For any particular Promise Neighborhood, the exact order of these steps might be different, and some steps might occur at the same time. Regardless, each of the steps is necessary and most should be done with the help of appropriate experts.

Conducting a neighborhood survey can be an involved and complicated process, so it is important to allow sufficient time to achieve high-quality results. Exhibit 7 provides an example timeline for fielding a survey within an expected timeframe of twelve months (52 weeks).

Exhibit 7—Example Twelve Month Neighborhood Survey Timeline



Step 9: Conduct an Annual School Climate Survey (Chapter 7)

Four of the *GPRA* indicators for which Promise Neighborhoods will need to collect data should be collected using a school climate survey. Those *GPRA* indicators include:

- *GPRA* 8-9. Number and percent of children who participate in at least 60 minutes of moderate to vigorous physical activity daily and consume five or more servings of fruits and vegetables daily.
- *GPRA* 10. Number and percent of students who feel safe at school and traveling to and from school, as measured by a school climate needs assessment.
- *GPRA* 15. Number and percent of students who have school and home access (and percent of the day they have access) to broadband internet and a connected computing device.

At a minimum, Promise Neighborhoods should:

1. In partnership with the school district and education authorities, conduct a school climate survey of all students at the target middle and high schools every year.
2. Use the recommended questions from nationally-recognized, validated surveys described in Chapter 4 and compiled in Appendix 4.1.
3. Translate the survey instrument into other languages, as needed, to accommodate the different linguistic groups among the population to be surveyed. Translations should be done by professional translators and a double-translation method is recommended.
4. Pre-test the survey instrument on students of appropriate ages. If the survey will be conducted in multiple languages, it is also important that the pre-test be conducted in all languages.
5. Provide a questionnaire to students to collect the survey information.
6. Have a minimum standard of 80 percent for survey response rates.

Step 10: Collect Summary School- and Neighborhood-Level Data (Chapter 8)

Promise Neighborhoods are place-based initiatives, so it is critical for sites to understand what changes occur with residents over time. Promise Neighborhoods should compile and track consistently-measured indicators for the target schools and neighborhood in longitudinal data files. Such data will be useful for informing programmatic decisions such as where to target a service as well as helping determine if the Promise Neighborhood initiatives are associated with neighborhood-wide trends. Recognizing that Promise Neighborhood initiatives are

already complex and require extensive data tracking, the recommended additional indicators come from nationally or locally available secondary data sources.

The school-level summary data file should include basic information to help inform the initiative (and future researchers) about the target Promise Neighborhood schools. Seven educational *GPRA* indicators should already be derived from school-level summary data (i.e., *GPRA* 2 age-appropriate functioning, *GPRA* 4 math and English language arts assessments, *GPRA* 5 attendance rates, *GPRA* 6 graduation rates, *GPRA* 7a enroll in post-secondary or vocation programs, *GPRA* 7c graduate from post-secondary or vocation programs, and *GPRA* 11 student mobility rates).

At a minimum, Promise Neighborhood initiatives should collect the following eight additional summary statistics about the target school(s). They include:

1. Address (street, city, and ZIP code) of the school,
2. Grades enrolled (minimum and maximum),
3. Number of students enrolled,
4. Number and share of students in each race/ethnicity category,
5. Number and share of students receiving free and reduced lunch,
6. Number and share of students in special education,
7. Number and share of students who are English Learners, and
8. Number and share of students testing in each proficiency category for the statewide assessment test for the pertinent grades (e.g., below basic, basic, proficient, or advanced).

Promise Neighborhoods should also collect and track data that describe populations living in the entire neighborhood. At a minimum, Promise Neighborhoods are encouraged to collect the following 15 summary statistics about the targeted neighborhood:

1. Population
2. Percent distribution of population by age/gender
3. Percent distribution of population by race/ethnicity
4. Percent of population by foreign born
5. Percent distribution of households by household type (e.g., female headed with children under age 18, male headed with children under age 18, and married with children under age 18)
6. Unemployment rate
7. Percent working residents age 16 and over and employed
8. Median household income
9. Percent of persons below poverty
10. Homeowners as percent of households
11. Percent households moved in last five years
12. Number of births
13. Percent births with adequate prenatal care

14. Violent crimes per 100,000 residents
15. Property crimes per 100,000 residents

Chapter 1

Introduction

This chapter:

- Reviews the requirements of the Promise Neighborhood implementation grantees.
- Describes the organization of the guidance document.

Promise Neighborhoods is a federal place-based initiative intended to turn neighborhoods of concentrated poverty into neighborhoods of opportunity by providing a continuum of school readiness, academic services, and family and community supports for children from early childhood through college. The initiative seeks to improve kindergarten readiness, proficiency in core subjects, high school graduation rates, and the chance of obtaining a post-secondary degree. It also focuses on and works to improve an array of related outcomes such as health, safety, family stability, access to learning technology, and increased family engagement in children's learning. This initiative, originally based on the Harlem Children's Zone, is funded and administered by the U.S. Department of Education (the Department) and is one of the core strategies of the White House's Neighborhood Revitalization Initiative. In Fiscal Years (FYs) 2010 and 2011, the Department awarded a total of 36 planning grants and five implementation grants to communities across the country to undertake Promise Neighborhood activities.

The Promise Neighborhoods model has a strong commitment to and reliance on results-based planning and improvement using real-time data. In order to continually track the progress of interventions, recruiting efforts, and results for children and their neighborhoods, Promise Neighborhoods will need to collect a substantial amount of data addressing a wide range of topics. Promise Neighborhoods will collect and track these data on an on-going basis to help manage improvement efforts, make mid-course corrections, and ultimately to determine which strategies are most effective in improving outcomes for children, youth, and families being served.

This guidance document is designed to provide clarity on the Department's required *Government Performance and Results Act* (*GPRA*) indicators. Promise Neighborhood implementation grantees must report on these measures as a requirement of their federal funding.

In addition, this document recommends data collection strategies, sources, and methods for the Promise Neighborhood community at large, including the collection and tracking of demographic, family, and service delivery characteristics. These recommendations, while not formal requirements, are intended to guide Promise Neighborhoods on the best ways to collect information for improving the quality of their programs and services, to evaluate the success of their initiatives, and, most importantly, to achieve better results.

Overall, the purpose of this guidance is to help Promise Neighborhoods collect and assemble indicators to benchmark and track progress over time and to enable Promise Neighborhoods, the Department, researchers, and policymakers to better understand the initiative, and to ensure that future funding opportunities are as effective as possible in providing opportunity for children and their communities.

Promise Neighborhoods Data Technical Assistance

The Department recognizes that the Promise Neighborhoods have an enormous and complex task ahead of them and will need substantial support and capacity-building assistance to accomplish their ambitious goals. The Department contracted with the Urban Institute, a non-partisan, non-profit public policy research group based in Washington, D.C., to develop this guidance document and provide technical assistance to the five Promise Neighborhoods FY 2011 implementation grantees to help them develop their longitudinal data systems and define, collect, and share data. In addition, the Urban Institute will collect de-identified individual-level data from the implementation grantees to produce the Promise Neighborhood restricted-use data files, containing implementation data, *GPRA* indicators, and supplemental measures for future evaluation and research efforts.

This guidance document is a key piece of the data technical assistance. To ensure that this guidance document and other technical assistance is useful, practical, and includes the current best thinking from the field, the Urban Institute incorporated feedback from the five Promise Neighborhoods implementation grantees, as well as experts from inside and outside of the Department. The Urban Institute convened a technical working group consisting of seven experts who met to review and discuss the draft guidance document. (See Appendix 1.1 for a list of the technical working group members.)

Requirements for Promise Neighborhoods Implementation Grantees

As described in the FY 2011 funding notice, the Department requires Promise Neighborhood implementation grantees to collect and track key programmatic and outcome data for participating and targeted children, youth, and families. To do this, Promise Neighborhoods will need to do the following,

1. Create and maintain an individual-level longitudinal data system, capable of tracking individual participation, progress, and outcomes over time. As discussed further in this document, Promise Neighborhoods will need to build and maintain data systems with several different components, including a case management system to track individual participation as well as performance measurements and results for programs in the continuum of solutions.

2. Track the data elements forming the *Government Performance and Results Act* (*GPRA*) indicators listed in the Promise Neighborhoods implementation funding notice. The *GPRA* indicators include both academic measures and family and community support measures. A table listing these measures is in Appendix 4.1.

3. Use data (including demographic, family, and service delivery characteristics) to manage program and project performance (focusing on the *GPRA* outcome indicators) and to report progress and outcomes to the Department, key stakeholders, and the community.

4. Work with the national evaluator. While the Department has not yet selected a specific national evaluator, implementation grantees have been asked to provide individual-level, school-level, and neighborhood-level data to the Urban Institute to include in the Promise Neighborhood restricted-use data files, which will be made available to selected researchers for future evaluation and research efforts.

This document provides technical guidance to Promise Neighborhoods in fulfilling these requirements. As noted above, the document draws upon the advice and experience of a broad range of experts, as well as the latest information on research and best practices in education, community development, and other areas. In some cases, research or best practice may indicate a very clear choice of methods or approaches, while in other situations there may be more than one equally valid option. For the former, the document provides specific guidance. For the latter, the document explains the different options with the understanding that Promise Neighborhoods will need to make choices that best suit their particular situations.

The goal of this document is to provide practical advice that will guide the collection and use of data in implementing Promise Neighborhoods. By drawing upon the

experiences of the current implementation grantees, the document intends to recommend approaches that represent best practice but can also be implemented by the wide community of Promise Neighborhood practitioners. To achieve a broad level of consensus, this means that the absolute best approach may not be the one that is recommended here. For example, to measure food consumption, the most accurate method is to have families complete detailed daily food diaries. This would likely be very burdensome on program participants, however, making this method difficult for many Promise Neighborhoods. This document, therefore, recommends a less demanding method for collecting data on food consumption. The intent is not to prevent individual Promise Neighborhoods from using more sophisticated methods if they so choose, but rather to provide a solid, credible set of standards that all Promise Neighborhoods can meet.

Organization of this Document

This guidance document is organized into eight chapters, including this chapter 1 introduction.

Chapter 2, Overview of Promise Neighborhood Data Collection and Use, gives a general overview of the data that Promise Neighborhoods will need to collect and the processes they will need to put in place around data planning, data systems, collecting and tracking indicators, and identifying the population.

Chapter 3, Structure of a Promise Neighborhood Data System, describes the key components and functions of a Promise Neighborhood data system, which includes case management, school- and neighborhood-level, and longitudinal data systems.

Chapter 4, Government Performance and Results Act Indicators for Promise Neighborhoods, defines and describes the 15 required *GPRA* indicators, recommends data sources and data collection tools to measure the indicators, and provides detailed instruction on how to calculate the indicators. In addition, this chapter includes related data elements that Promise Neighborhoods are encouraged to collect and store in case management files for the individuals participating in their initiatives.

Chapter 5, Core Elements of the Case Management System, describes additional family and child characteristics and program participation data that Promise Neighborhoods should collect in order to assess their progress and impact over time. To ensure that Promise Neighborhoods are able to collect and access these case management data, this chapter includes guidance on creating family rosters for program participants, as well as enrollment and intake strategies.

Chapter 6, Ensuring Confidentiality and Data Security, describes different types of individual-level data that Promise Neighborhoods will need to collect, and provides guidance on obtaining consent for disclosure of identified individual-level data, writing and negotiating data sharing agreements, and establishing data security and governance procedures.

Chapter 7, Neighborhood and School Climate Surveys, gives an overview of the basic steps for conducting surveys needed to collect some *GPRA* indicators and discusses the issues to consider when designing and conducting a survey. This chapter also provides guidance on what Promise Neighborhoods should anticipate regarding the time and resources needed to conduct a survey and standards for the quality of survey results.

Chapter 8, School- and Neighborhood-Level Data, describes aggregate-level data that Promise Neighborhoods should compile and track, and provides guidance on how to structure school- and neighborhood-level summary data files. This chapter also includes guidance on matching neighborhood geographies and census tract-level data.

Chapter 2

Overview of Promise Neighborhood Data Collection and Use

This chapter:

- Discusses the rationale for identifying and linking various performance indicators and data sources.
- Discusses and provides detailed procedures for calculating baseline population counts and penetration rates.
- Provides an overview of various levels of data collection (i.e., individual, school, and neighborhood).

DEFINITIONS

Continuum of solutions— *A continuum of solutions include programs, policies, and supports that result in improving educational and developmental outcomes for children from cradle through college to career; are based on the best available evidence; are linked and integrated seamlessly; and include both education programs and family and community supports.*

Performance indicator—*A measure of current status, activity, or change for an individual, group, or organization.*

Implementing a Promise Neighborhood is a demanding and complicated undertaking. To address the pervasive and extensive set of issues that contribute to the root causes of persistently low educational attainment and high rates of poverty in communities, Promise Neighborhoods need to design and put in place a comprehensive continuum of solutions, spanning cradle-to-career. Solutions will typically address factors such as parental development and support, school readiness, academic performance, health care access, physical fitness, nutrition, and safety. These solutions will need to be implemented by a network of local partners, whose activities and results must be coordinated and tracked by the Promise Neighborhood.

In accomplishing this vision, the Promise Neighborhood model requires a strong use of data to measure results, direct program improvement, and inform overall decision-making. Since the partnerships and programming for Promise Neighborhoods are extensive and complex, the supporting data collection and use will be similarly comprehensive and complicated. Extensive data, including required and supplemental program implementation and *performance indicators*, will need to be collected on children and families that are part of the Promise Neighborhood. These data must be tracked consistently over time and reported to the Promise Neighborhood leadership, program partners, funders, and participants. The data will support a *results-based accountability* framework to produce real-time enhancements to the cradle-to-career continuum of solutions.

Consequently, creating a comprehensive data plan is essential for the success of the Promise Neighborhood.

DEFINITION

Results-based accountability—*A management tool providing clear, common language for assessing outcomes, indicators, and performance measures. It encourages people to think about how they can together work to achieve shared outcomes.*

IMPORTANT

The purpose of this document is to provide Promise Neighborhoods with basic tools and guidance on developing systems for collecting and using data effectively. Using data effectively means determining the specific indicators and data elements that will 1) be most helpful in guiding local improvement efforts and 2) help identify gaps in information sources. By identifying indicators and finding pertinent data sources, Promise Neighborhoods will be able to determine the connections between programs activities, services, level of effort, and various outcomes or results achieved. Some Promise Neighborhoods are likely to discover insufficient gains on an important indicator and that additional resources need to be mobilized and directed to achieve the desired level of success. A strong data system will provide information to help programs make necessary adjustments along the way, thus maximizing the chances of making a difference in the lives of the children and families served through the Promise Neighborhood.

Identifying Indicators and Data Sources

DEFINITION

Results—*The outcomes of a Promise Neighborhood initiative and/or its component programs. In this document, results and outcomes are used interchangeably.*

Promise Neighborhoods are expected to achieve certain *results* or *outcomes* in their communities, which relate to the complicated set of issues that contribute to the root causes of persistently low educational attainment and high rates of poverty. The FY2011 federal notice of funding availability (NOFA) for Promise Neighborhood implementation grantees specifies several of these results (. For example, Promise Neighborhoods are expected to ensure that children enter kindergarten ready to succeed in school and that students are proficient in core academic subjects. Promise Neighborhoods may also identify other results they wish to achieve beyond those required in the NOFA.

To attain each of the expected results, Promise Neighborhoods must implement one or more specific solutions, which consist of various activities collectively intended to move the appropriate population toward the desired goal.[1] The activities and solutions must also have associated indicators; that is, specific data measures that can be used to track progress toward achieving the result. The federal NOFA also specifies certain *Government Performance and Results Act* (*GPRA*) indicators that are required to measure progress toward particular results. For example, the NOFA specifies that the Promise Neighborhood must track the "number and percent of three-year-olds and children in kindergarten who demonstrate at the beginning of the program or school year age-appropriate functioning across multiple domains of

[1] Note that Promise Neighborhoods are not required to propose solutions for all of the results specified in the federal NOFA.

early learning as determined using developmentally-appropriate early learning measures" (page 39619). As with the specification of results, the fact that the NOFA requires particular *GPRA* indicators does not prevent the Promise Neighborhood from also tracking other indicators for those same results, or for other results of its own choosing.

Chapter 4 discusses the *GPRA* indicators as well as other recommended indicators for Promise Neighborhoods to track for participants included in their case management system. Chapter 8 discusses additional recommended data indicators that Promise Neighborhoods should collect regarding the targeted neighborhood and schools on a neighborhood-wide or school-wide level (to be collected through a survey, administrative sources, or other public data sources).

IMPORTANT

Ultimately, the indicators tracked by each Promise Neighborhood should align with its theory of change. The Aspen Institute defines a theory of change as "an explanation of how a group of stakeholders expects to reach a commonly understood long-term goal" (Anderson 2005). Individual Promise Neighborhoods will very likely need to identify additional indicators above and beyond the *GPRA* indicators to track more specific or targeted goals. Promise Neighborhoods are strongly encouraged to build a data system that reflects, as completely as possible, local community conditions, priorities, and desired results.

Regardless of the measures identified, the following pieces of information should be specified for each indicator that the Promise Neighborhood intends to track:

1. Target population. For which specific population(s) are data to be collected?
2. Data collection level. Are data for the indicator to be collected at the individual, school, or neighborhood level? Will individual-level data be identified (i.e., linked to identifiable information for a specific person) or de-identified (i.e., anonymous)?
3. Data source and frequency. From what source(s) are the data for the indicator to be collected and how often will the data be updated?
4. Calculation of the indicator. How is the specific indicator calculated?

As part of its data planning process, Promise Neighborhoods should create a table that lists each indicator and the responses to the above questions. An example of how such a table might look can be found in the executive summary.

Target Population for Programming and Data Collection

DEFINITIONS

Place-based initiative—*A program or set of programs that focuses activities and seeks to produce results within a specific geographic area or at a particular location. Promise Neighborhood is an example of a federal place-based initiative.*

Target school—*Schools that have a formal relationship with the Promise Neighborhood to provide services.*

Outcomes—*Changes in people's knowledge, behavior, health, emotions, attitudes, social conditions or relationships expected to result from a program activity or intervention. In this document,* outcomes *and* results *are used interchangeably.*

Penetration rate—*A measure of the extent to which the implemented solutions and activities are reaching the relevant populations in the neighborhood or target schools. The penetration rate is calculated by dividing the number of persons participating in a program or activity by the total number of persons whom that program or activity is intended to reach.*

Promise Neighborhoods is a *place-based* initiative, in that it aims to produce results in specific geographic areas (i.e., each of the Promise Neighborhoods). Promise Neighborhoods must therefore identify the specific target population(s) served by the continuum of solutions and activities. Promise Neighborhoods also must specify one or more *target schools*, which may be located within the designated neighborhood or serve children who live in that neighborhood. Certain Promise Neighborhood solutions and activities may be directed toward students attending the target schools, which may encompass children and families who live outside the neighborhood. Therefore, Promise Neighborhoods will want to establish an overall target for the entire Promise Neighborhood (e.g., all children who either live in the Promise Neighborhood or attend a target school), as well as separate population targets for specific solutions (e.g., an afterschool program that serves students attending a Promise Neighborhood middle school).

Similarly, Promise Neighborhoods need to be clear about the populations for which data will be collected and tracked. Ideally, these data target populations will align with the program target populations. If a program is intended to provide services and improve results for a specific population, then the data on implementation and *outcomes* related to that program should be collected for that same population. In practice, however, this may be difficult for some solutions. For instance, a Promise Neighborhood might implement a program through a partnering health clinic intended to improve health outcomes for babies born to all mothers living in the Promise Neighborhood. However, unless the Promise Neighborhood can get access to appropriate data (such as vital statistics records for all mothers living in the neighborhood) it may only be possible to collect data on health outcomes for the mothers who actually visit the clinic. These data would not be able to track changes in the outcome indicators for the entire population of mothers in the neighborhood, which was the program goal, but instead track just the portion of the population receiving services.

Carefully defining the populations for data collection will also allow the Promise Neighborhood to report and track program *penetration rates* over time, and to measure, report, and build on program and project outcomes in a consistent manner. (Penetration rates are discussed later in this chapter.) The Promise Neighborhood needs to be clear about the populations for all of its data collection and tracking activities.

Many school districts now have school choice policies (e.g., out-of-school enrollments, public charters, or Title I public school choice) allowing students to enroll in public schools other than their neighborhood public school. That means that students living in Promise Neighborhood footprints may attend other schools beyond the target schools. Due to this complexity, Promise Neighborhoods need to further refine their target populations to identify who they will track.

IMPORTANT

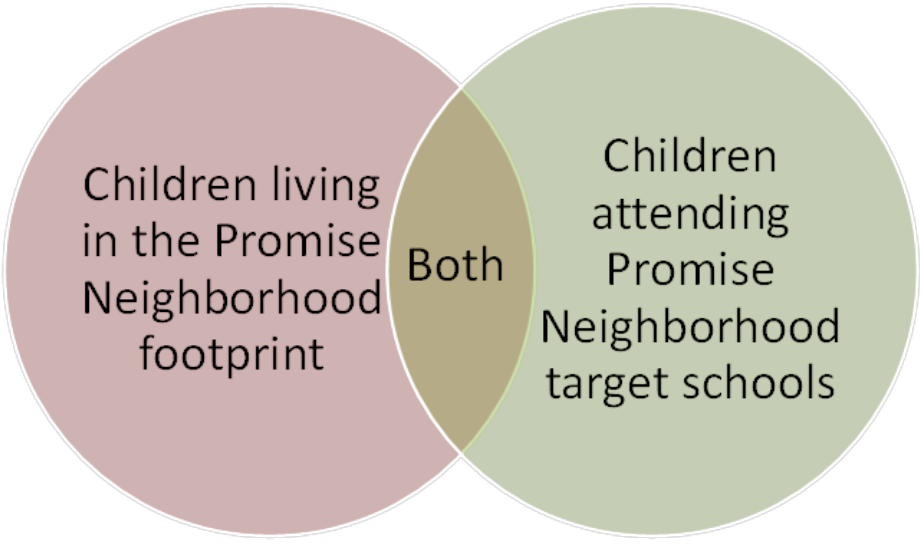
Targeting the broader population of children and families within the neighborhood or attending target schools will help Promise Neighborhoods affect and track change on a neighborhood or school level.

Exhibit 2.1 illustrates the populations of interest to Promise Neighborhoods. For each Promise Neighborhood, the target population for services and tracking may include,

1. Children who live in the Promise Neighborhood, regardless of whether they attend a target school (the left full circle in Exhibit 2.1),
2. Children who attend a Promise Neighborhood target school, regardless of where they live (the right full circle),
3. Children who both live in the neighborhood and attend a target school (the double-shaded overlapping area in the center), or
4. Some other combination of the previous three groups.

At a minimum, Promise Neighborhoods should target and track population 3—those children who both live in the neighborhood and attend a target school. Depending on the local school choice policies and decisions made by families, however, this population may represent a very small share of either the children living in the Promise Neighborhood or the children attending target schools (or both). In this case, having such a limited target population would make it very difficult for the Promise Neighborhood to affect measurable change in either the (1) neighborhood or (2) school populations. To address this, the Promise Neighborhood may want to work with its partners to try to increase the number of families living in the Promise Neighborhood who choose to attend a target school, thereby increasing the size of (3) the overlapping population. But the Promise Neighborhood may also need to consider expanding its target population beyond (3) to include at least some children who either (1) live in the Promise Neighborhood or (2) attend a target school, but not both.

Exhibit 2.1—Promise Neighborhood Potential Populations of Interest



Population Planning Tool

Exhibit 2.2 shows a sample population planning tool that can be used by Promise Neighborhoods for both overall and program-specific population tracking. The tool consists of a series of two-by-two tables that display population totals for persons in particular age categories who live in the Promise Neighborhood and who attend a target school. The population groups shown in the sample tool are 0 to 4 years (infant and pre-school), 5 to 17 years (kindergarten through high school), and 18 to 24 years (post-secondary school). These age groups can be adjusted as necessary. For instance, one might want to provide further age breakdowns for the 5 to 17 years old group, to correspond to elementary, middle, and high school populations or extend the ages of the high school population if students are typically older when they graduate.

DEFINITION

Baseline data—*Data on the site, including information on its schools and residents, before implementation of the Promise Neighborhood initiative.*

The population table can be used to display *baseline* population counts that can be used for program planning and tracking of program penetration. Baseline population counts should be calculated using the 2010 decennial census.

Exhibit 2.2—Sample Population Planning Tool

Data sources (a) and (b) are student counts from the early childhood partner(s) or school district. Promise Neighborhoods should rely on the school district's "official" enrollment date that they use to report to their state education offices. Data source (c) is a population count from the U.S. Census Bureau, 2010 decennial census. Other cells are calculated as shown.

Population 0 to 4 years old

	Total	Living in Promise Neighborhood	Living outside Promise Neighborhood
Total	*(c) + (b)*	*(c)*	*(b)*
Enrolled in early childhood partner program	*(a) + (b)*	*(a)*	*(b)*
Not enrolled in early childhood partner program	*(c) – (a)*	*(c) – (a)*	

Population 5 to 17 years old

	Total	Living in Promise Neighborhood	Living outside Promise Neighborhood
Total	*(c) + (b)*	*(c)*	*(b)*
Enrolled in target school	*(a) + (b)*	*(a)*	*(b)*
Not enrolled in target school	*(c) – (a)*	*(c) – (a)*	

Population 18 to 24 years old

	Total	Living in Promise Neighborhood	Living outside Promise Neighborhood
Total	*(c) + (b)*	*(c)*	*(b)*
Enrolled in target school	*(a) + (b)*	*(a)*	*(b)*
Not enrolled in target school	*(c) – (a)*	*(c) – (a)*	

How to complete the population table (illustrated in Exhibit 2.2)

To complete the table, the Promise Neighborhood would obtain population counts from different sources.

First, the early childhood partners and school district would need to provide data on the numbers of children in the specified age groups who are enrolled in early childhood programs and attend a target school(s), separating those who live inside and outside the Promise Neighborhood. These data are used to fill in the cells labeled (a) and (b), respectively.

Next, data from the 2010 decennial census (or an updated source of population data) would be used to fill in the number of persons in each age group who live in the Promise Neighborhood, which are the cells labeled (c).[2] Other cells in the table can then be calculated from (a), (b), and (c), as shown.

[2] While it is recommended that Promise Neighborhoods start by using the 2010 decennial census for population counts, these data will become outdated over time. Tracking changes in population counts for small areas, like neighborhoods, is extremely challenging. While the American Community Survey provides updated population characteristic in post-census years, the Census Bureau does not recommend relying on population counts from the ACS. A number of commercial vendors produce updates of the census data for future years, but these also can be subject to inaccuracies depending on the methods and the underlying demographic changes in the area.

At a minimum, Promise Neighborhoods will implement solutions and track results for school-aged children who both live in the neighborhood and attend a target school [(a)], who are also represented by the double-shaded area in the center of Exhibit 2.1 (above). Some Promise Neighborhoods may set the goal of serving and tracking everyone living in the neighborhood [(c)] or all those living in the neighborhood or attending a target school [(c) + (b)].

Certainly, for some solutions and age groups the population definition will expand beyond just students in target schools. For example, certain groups would likely receive services and/or be tracked by the Promise Neighborhood:

- Infants and young children who are not old enough for school;
- Children attending a non-target school (including public, charter, private, parochial, or home-schooled children);
- Children who have dropped out of school entirely; and
- Children and youth who have completed high school or are post-high school age but are still the subject of the Promise Neighborhood's cradle-to-career solutions or results tracking.

Regardless, having the full population information in the planning tool provides the Promise Neighborhood with a clear description of the population sizes that might be involved in different solutions and activities. The tool also provides a baseline for calculating detailed program penetration rates (discussed in the section on collecting, tracking, and using data). For this purpose, population tables should be completed to correspond to the program target populations for different solutions.

Level of Data Collection

DEFINITIONS

Direct identifiers—*Data collected about people that can be used to directly identify an individual (e.g., name, address, social security number, or other information).*

Individual-level data—*Data collected on an individual child or adult.*

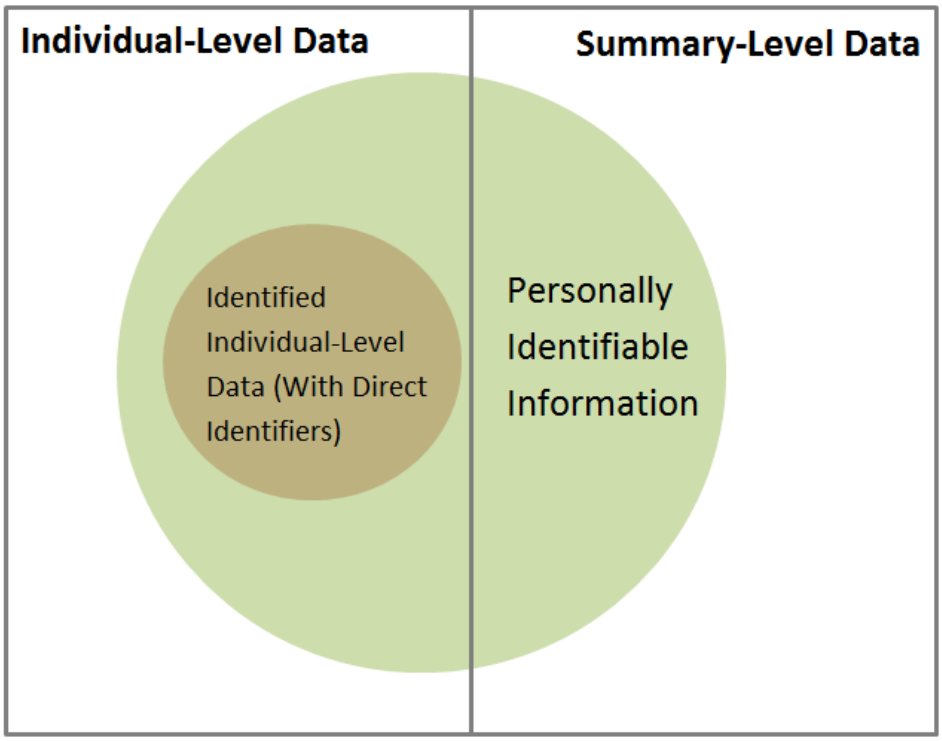
Identified individual-level data—*Individual-level data with direct identifiers, such as name or address, that would allow one to relate the data to a specific person.*

For each indicator, the Promise Neighborhood should determine the level at which data will be collected. Collecting identified individual-level data for tracking program participation and outcomes for specific persons over time would be the ideal situation. Such information would be entered into a case management system (discussed in chapters 3 and 5). Other data may be collected on individuals who live in the Promise Neighborhood or go to a target school, but not tracked through identifiable means. Still other data may only be collected and tracked at an aggregate level, such as for an entire school or neighborhood. Each of these situations is discussed briefly below. More detail on data levels for *GPRA* and other indicators is presented in chapters 4 and 8.

Data can be divided into different categories depending on its level of specificity and identifiability; that is, whether and how easily the information can be linked to a specific person. Exhibit 2.3 illustrates three overlapping categories of data. The first, *individual-level data*, includes information collected on an individual child or adult. As discussed below, individual-level data that have *direct identifiers*, such as name and address, that allow the information to be linked to a specific person. Data

entered into a case management system is identified individual-level data. But, individual-level data can also include information that does not include any direct identifiers, such as responses from an anonymous survey.

Exhibit 2.3—Level and Identifiability of Data



DEFINITIONS

Personal identifiable information (PII)— *Information that, either alone or when combined with other information, can be used to identify a specific individual.*

Aggregated data— *Information that has been summed, averaged, or otherwise combined from lower-level records.*

A third category of data is *personally identifiable information (PII)*. PII is information that, either alone or when combined with other information, can be used to identify a specific individual. While all identified individual-level data would be considered PII, PII can also include individual-level data *without* direct identifiers as well as aggregated data, if those data can be used to determine information about a specific person. For example, school-level tabulations of test scores could be considered to be PII if the combination of characteristics can be used to determine information about a specific student. A very obvious example would be if there were only one student of a reported race and sex in a particular grade. Aggregated data can be PII even in cases where there are not unique combinations of characteristics reported, however, if other information can be used to identify individual students.

As a matter of good practice, Promise Neighborhoods should protect the privacy of its participants by putting in place systems and procedures for handling all PII securely. Furthermore, for education and health information, federal law provides specific protections for individuals against the unauthorized disclosure of their PII. These issues are discussed more thoroughly in Chapter 6.

Individual-level Data

To carry out their work, Promise Neighborhoods need to collect a large amount of data on individuals who are either living in the Promise Neighborhood, attending target schools, or both. These data can include information about personal characteristics (e.g., date of birth, race, school attended), participation in different programs or services, and specific outcomes that the Promise Neighborhood is tracking.

DEFINITIONS

Case management system—*The core of the Promise Neighborhood data system that will track participation and results for identifiable individuals (children and adults) served by the Promise Neighborhood schools and programs.*

Intake/enrollment—*The process of collecting initial information about a child or family who lives in or is participating in the Promise Neighborhood.*

Longitudinal data system—*A system with the capability of storing and tracking longitudinal data. Longitudinal data is Information on the same subjects (e.g., individuals, schools, neighborhoods) that can be collected and tracked consistently over time.*

Whenever possible, Promise Neighborhoods should collect identified individual-level data about children and other family members to accurately determine who they are serving, how they are serving these children and families, and any progress or outcomes the children and families may be experiencing. These data would be stored in a *case management system* and be continually updated, tracked, and analyzed. The identified individual-level data from the case management system would also be used as part of a *longitudinal data system* to track results over time. (Case management and longitudinal data systems are discussed in detail in Chapter 3.)

Collecting identified individual-level data is essential to effective case management for Promise Neighborhoods. The value of case management and data sharing in achieving better outcomes for children and families has been discussed extensively in recent years[3] and is intrinsic to the Promise Neighborhood model. Tracking the exact use of services by Promise Neighborhood participants and connect those services to specific results and outcomes is essential to measuring and demonstrating successes and to instituting program improvements on an ongoing basis. Furthermore, to achieve the level of program integration required, Promise Neighborhood partners must have access to essential and up-to-date information that links together the experiences of individuals in the service continuum.

Promise Neighborhoods can collect identified individual-level data in one of two ways once the appropriate consent procedures are fulfilled (see Chapter 6 for a review of consent and confidentiality procedures).

Option 1: The first method is through direct interactions with program participants. This can involve Promise Neighborhoods and their partners collecting information from children and their families through an initial global *enrollment or intake process*, making a concerted effort to reach out to persons with whom the Promise Neighborhood wishes to engage. In addition, Promise Neighborhoods can collect individual-level data from people as they interact with different programs and services. In either case, when individuals or families first connect with the Promise Neighborhood and after their consent is received, key household, demographic, and socio-economic information can be collected directly from the family. In most cases, information about the entire family can only be collected from direct interactions with the program participants.

[3] See Morino 2011 and Carlson et al. 2012.

DEFINITIONS

Administrative data—*Data obtained from records collected and maintained by government entities, service providers, partner agencies, or schools for managing programs, providing services, or monitoring performance.*

De-identified individual-level data—*Individual-level data without personal identifiable information (PII) such as name or address. Data without PII may not be considered de-identified, however, if some combination of non-PII information can be used to identify a specific person in the data.*

Neighborhood- and school-level summary data—*Distinct from individual-level data that are aggregated to the neighborhood or school level, these data are only available as summary statistics.*

Option 2: The second method for collecting identified individual-level data involves obtaining data from administrative records, collected and maintained separately by partner agencies, service providers, or local schools. A prime example of this would be students' educational records maintained by school districts. (Educational records can include information about the students such as their name and address, home address, demographic characteristics, grades and assessment tests, disciplinary actions, and attendance.) The chief advantage of using *administrative data* is that they can include information that may be difficult or impossible to obtain through other means. Depending on the type of information and the way it was collected, administrative records may also be more reliable than data obtained through secondary sources. For example, one might get more accurate measures of student attendance from school system records than by asking students or parents to provide this information. Nonetheless, there can be disadvantages to using administrative data that Promise Neighborhoods need to be aware of. The issues with and barriers to acquiring individual-level administrative data may be substantial and are addressed further in Chapter 6.

The Promise Neighborhood may also need to collect de-identified individual level data, that is, individual level data that contains no direct identifiers. An example of such data would be responses collected from a school climate survey or a neighborhood survey. Because the data are not identified, they would not be stored in a case management system but rather in a longitudinal survey data system. As discussed earlier, however, this type of individual-level data can still include PII, even if direct identifiers are not present. For that reason, it should still be protected against unauthorized or improper disclosure.

Neighborhood- and School-Level Data

In addition to individual-level data, Promise Neighborhoods will also need to collect aggregated *neighborhood- and school-level summary data*. Distinct from individual-level data aggregated to the neighborhood or school level, these data are only available as summary statistics. Examples include indicators for a target school, such as tracking the school graduation rate over time, and longitudinal data on the Promise Neighborhood as a whole, such as the poverty rate. To track progress over time, it is important to base these summary measures on consistent geographies or populations. These data are often publicly available and more easily obtained than individual-level data.

Neighborhood-level data can cover a wide variety of topics, including poverty rate, demographics, average household size, and birth rates. Promise Neighborhoods can collect summary data about their neighborhoods from state and local agencies and organizations as well as federal sources, such as the decennial census and the American Communities Survey. Outside organizations and agencies may not be able to provide data specific to the Promise Neighborhood geography, but they may

DEFINITION

Penetration rate—*A measure of the extent to which the implemented solutions and activities reach the relevant populations in the neighborhood or target schools. The penetration rate is calculated by dividing the number of persons participating in a program or activity by the total number of potential participants.*

provide block-level or census tract-level data that can be reconfigured to produce estimates for the appropriate neighborhood. This process is described in more detail in Chapter 8.

School-level data, like neighborhood-level data, allows Promise Neighborhoods to track progress in target schools over time. These measures may replicate some of the *GPRA* and other indicators collected individually, such as absenteeism, school-wide graduation rates, and test scores. In most cases, the schools or the school districts provide these data on the school level. School-level administrative data are also often available through state and local sources, such as the state board of education and the National Center for Education Statistics Common Core of Data.

Further discussion of neighborhood- and school-level indicators and sources is included in Chapter 8.

Collecting, Tracking, and Using Data

Once the indicators and data sources are identified and data systems are put into place, Promise Neighborhoods can begin collecting and tracking data. For Promise Neighborhoods to implement a results-based accountability framework, they will need to collect, track, and analyze data over time, including implementation and results indicators for individuals, as well as overall changes in the neighborhood and target schools. Two key challenges at this stage are calculating penetration rates for different programs and dealing with complications in long-term tracking of persons who move.

Calculating Penetration Rates

One of the basic measures of performance that Promise Neighborhoods are required to track are *penetration rates*, which measure the extent to which the implemented solutions and activities are reaching the relevant populations in the neighborhood or target schools. To calculate a penetration rate, the total number of people participating in an intervention who fall into the target population is divided by the total number of people in the target group. In other words, if a specific intervention aims to prevent middle school students from dropping out of school by enrolling them in a tutoring program, the penetration rate will be the number of middle school students participating in the tutoring program divided by the total number of middle school students living in the neighborhood or attending the target school.

An example is shown in Exhibit 2.4. First, the number of program participants ages 12 to 15 would be entered into the first table, distinguishing between those who

live inside and outside the Promise Neighborhood. To calculate the penetration rates, the numbers of participants in each cell would be divided by the corresponding population totals from a previously completed population table (Exhibit 2.2) for the same age group. Note that some cells in this version of the table (when compared to Exhibit 2.2) are crossed out. This is because the cells for persons not enrolled in a target school do not apply to this program, which is only available in the target school. This also means that the population totals should be adjusted accordingly to omit persons who do not attend the target school.

For example, suppose a Promise Neighborhood enrolled 30 middle school students (ages 12 to 15) from their target school in their tutoring program, of which 20 students lived in the Promise Neighborhood and 10 lived outside the Promise Neighborhood. If there were 100 middle school students in the target population, of which 75 lived in the Promise Neighborhood and 25 lived outside the Promise Neighborhood, the total penetration rate would be 30 percent (30/100). Similarly, the penetration rate for students living in the Promise Neighborhood would be 27 percent (20/75) and the penetration rate for students living outside the Promise Neighborhood would be 40 percent (10/25).

Exhibit 2.4—Sample Program Penetration Table

Population 12 to 15 years old

Persons	**Total**	Living in Promise Neighborhood	Living outside Promise Neighborhood
Total	*100*	*75*	*25*
Enrolled in target school	*100*	*75*	*25*
Not enrolled in target school			

Exhibit 2.4—Sample Program Penetration Table, continued

Program: Middle school tutoring program
Target population: 12 to 15 years old

Number of participants	**Total**	Living in Promise Neighborhood	Living outside Promise Neighborhood
Total	*30*	*20*	*10*
Enrolled in target school	*30*	*20*	*10*
Not enrolled in target school			

Penetration rate (%)	**Total**	Living in Promise Neighborhood	Living outside Promise Neighborhood
Total	*30%*	*27%*	*40%*
Enrolled in target school	*30%, calculated by 30 enrolled/100 in target school*	*27%, calculated by 20 enrolled/75 in target school*	*40%, calculated by 10 enrolled/25 in target school*
Not enrolled in target school			

DEFINITIONS

Data universe—*The group(s) of people on which data are collected or used in a specific instance. For example, this may include all children within the Promise Neighborhood, all children attending a specific school, or all households within the Promise Neighborhood.*

Mobility—*Movement of individuals or households over time. For Promise Neighborhoods, mobility often refers to how many households move in and/or out of the Promise Neighborhood footprint during a given period of time.*

Long-Term Tracking of Individuals

For most Promise Neighborhoods, the most challenging group to track will be children who lived in the Promise Neighborhood after the start of program but have since moved away. While these children may no longer live in the Promise Neighborhood or participate in its programming, the Promise Neighborhoods model aims to produce lasting changes in the lives and opportunities of the participants. In addition, this mobility itself may be an outcome (e.g., gaining more tools and positive examples which may bring a family or youth to move to a place where they can take advantage of additional opportunities). If these individuals are not part of the *data universe*, the Promise Neighborhood will not be able to track this kind of success. Finally, following these individuals allows the Promise Neighborhoods to track residential *mobility*, an important component of neighborhood change. Increases (or decreases) in mobility may be a direct or indirect result of the Promise Neighborhoods programming and may necessitate changes to the continuum of solutions model.

For Promise Neighborhoods that have the goal of tracking all children who have lived in the footprint, the reality of data collection when children and families are mobile and can exercise choice to attend a wide variety of schools beyond the target schools will need to temper expectations. Tracking individuals and families

over many years is difficult and can be costly. At a minimum, Promise Neighborhoods should document these changes to track progress in outcomes and recruitment, as well as changes in the neighborhood itself.

References

Anderson, Andrea A. 2005. *The Community Builder's Approach to Theory of Change: A Practical Guide to Theory Development*. Washington, DC: The Aspen Institute.

Morino, Mario. 2011. *Leap of Reason: Managing to Outcomes in an Era of Scarcity.* Washington, DC: Venture Philanthropy Partners.

Chapter 3

Structure of a Promise Neighborhood Data System

This chapter:

- Describes the Promise Neighborhoods data systems and components, such as case management system, longitudinal systems, and systems for storing aggregate neighborhood- and school-level data.
- Explains the basic options for data system software.
- Provides process recommendations to ensure data quality and consistency.
- Explains case identification numbers, why they are necessary, and their potential uses.

As discussed throughout this document, the types and levels of data that need to be collected and tracked by Promise Neighborhoods are extensive and complex. Storing and organizing this information requires a similarly complex data system. This section provides an overview of the functions of a prototypical Promise Neighborhoods data system, highlighting the main components and how they interact. While the details of each local system will vary, the basic structure will consist of a number of components with particular functionality that will be needed to meet the data requirements for operating and evaluating a Promise Neighborhood.

IMPORTANT

There are four components of the Promise Neighborhood data system:
1. Case management data system,
2. Neighborhood- and school-level data system,
3. Longitudinal data system, and
4. Summary reports.

The core of the Promise Neighborhood data system will be a *case management system* to track program interactions and outcomes for individual children and adults who are part of the Promise Neighborhood programming. As discussed in chapters 2 and 4, not every program or outcome will be tracked at the individual level or recorded in the case management system. Nevertheless, some of the most vital and informative data will be collected and maintained in the case management system.

Neighborhood- and school-level data systems will need to store data not collected in the case management system. These components will contain summary statistics that will likely largely draw upon data from external administrative sources, but may also include aggregated information from the case management system. This part of the system may also store individual-level data, such as vital statistics records or responses from neighborhood or school surveys, that would be summarized at the

DEFINITIONS

Longitudinal data system—*A system capable of storing and tracking longitudinal data. Longitudinal data is information on the same subjects (e.g., individuals, schools, neighborhoods), collected and tracked consistently over time.*

Neighborhood- and school-level data system—*A system capable of storing and tracking neighborhood-level and school-level data.*

Summary reports—*Part of a data system drawing on data from the other components to produce timely and essential information on overall and specific program results.*

school or neighborhood level but that cannot be tied to identifiable persons and so would not be stored in the case management system.

A third major component is a *longitudinal data system* to track outcome measures and other performance indicators over time. The key function of this system is to consistently track common measurements over time in order to assess whether initiatives are achieving key program goals. Information stored in the longitudinal data system is invaluable for analysis and evaluation of the Promise Neighborhood and its programs. The longitudinal data system should be seen as a separate functionality from the other components—the case management, school, and neighborhood data systems—because it will draw data from all three of them. Furthermore, some case management software may have limited capacity for tracking and analyzing the same measures over time, requiring the longitudinal data to be stored separately.

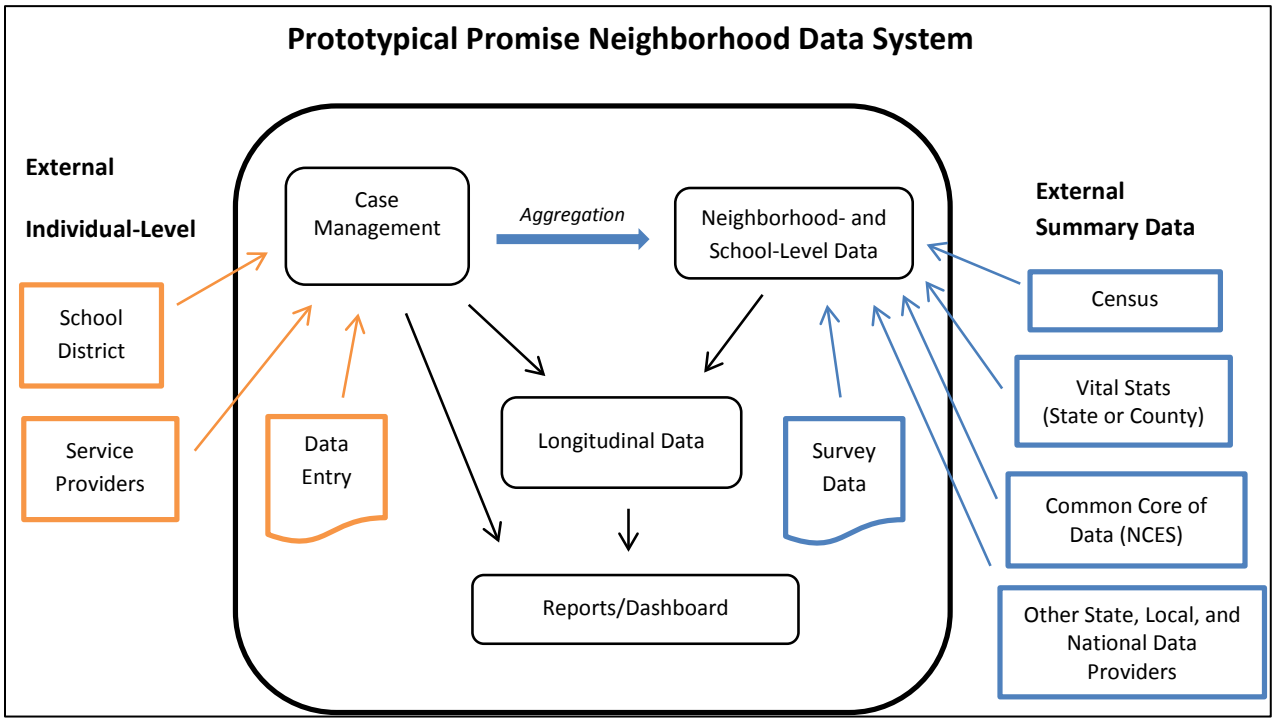
Finally, a Promise Neighborhood data system will likely include a component that is capable of generating *summary reports* that can be viewed by a wide array of stakeholders. Sometimes referred to as a "dashboard," this part of the system will also draw upon data from the other components to produce timely and essential information on overall and specific program results.

Exhibit 3.1 gives an overview of the prototypical Promise Neighborhood data system. Each of these components will be discussed in more detail in the sections below. The different components (e.g., case management, longitudinal data) in the exhibit are meant to represent particular functionalities of the system, rather separate pieces software. The actual configuration of the software and hardware needed to implement these functions will be determined by the Promise Neighborhood.

Case Management System

The core of the Promise Neighborhood data system will be a robust case management system capable of tracking data for individuals who are participating in programming, attending target schools, or otherwise belonging to a Promise Neighborhood. The Promise Neighborhood leadership and the different partners who provide any services will need to contribute data to—and access—the case management system, with appropriate levels of access based on their individual roles and responsibilities.

Exhibit 3.1—Prototypical Promise Neighborhood Data System



Defined simply, a case management system is data management software that allows users to enter, view, and generate reports on individual-level information regarding program participation and outcomes. The case management system may include different modules for separate program types, such as parental education programs, after-school programs, and home visitation programs. The system would allow Promise Neighborhoods to enroll individuals into the system and collect baseline data (such as name, address, and school attended). As individuals participate in different programs, program staff would enter data on their participation (such as minutes of classes attended or numbers of home visits) into the system, as well as measures of specific program outcomes (such as earning a high school diploma). Depending on the level of access required, different Promise Neighborhood partners and staff members would be able to view or modify particular types of data in the case management system. This is particularly important for confidential or sensitive data, for which access will need to be limited to only those persons who need to see such information. While the Promise Neighborhood data manager and other staff with oversight and leadership responsibilities must access all of the data in the case management system, most partners will have only limited access based on their responsibilities.

The value of effective case management and data sharing for achieving better outcomes for children and families has been discussed extensively in recent years[4] and is intrinsic to the Promise Neighborhoods model. Tracking precisely the use of

[4] See Morino 2011 and Carlson et al. 2012.

services by Promise Neighborhood participants and connecting those services to specific results and outcomes is critical to measuring and demonstrating successes and improving programs on an ongoing basis. Furthermore, to achieve the level of program integration required, Promise Neighborhood partners must have access to essential and up-to-date information linking the experiences of individuals in the service continuum.

Software Options

Case management software is available from commercial vendors. The advantage of purchasing existing case management software is that much of the development work, which normally takes years, has already been done. In addition, if an existing solution is already being used by Promise Neighborhood partner agencies, that would facilitate the integration of data across providers and reduce the learning curve required to acclimate to a new system. Nevertheless, it is likely that any existing case management system will require some modification to meet the specific requirements of a particular Promise Neighborhood.

Alternatively, the Promise Neighborhood can develop its own case management software. This might involve starting completely from scratch or (perhaps more likely) building extensions upon an existing system that already contains some of the data that the Promise Neighborhood needs to track. Because of the complexity of developing a case management system, the Promise Neighborhood would most likely need to hire a specialized firm to create a custom solution. Although this approach might initially be more expensive and increase the start-up time, the advantages are that the Promise Neighborhood would have more control over the design of the system and be able to customize it to meet its particular needs. For Promise Neighborhoods that decide to pursue this option, the Statewide Longitudinal Data Systems Grant Program Best Practices Brief, *Vendor Engagement: Tips from the States,* has valuable guidance on hiring and working with a data project vendor.

Data in the case management system will come from one of two sources: 1) the data entered directly into the Promise Neighborhood case management system by staff at partner agencies and service providers, or 2) the data drawn from existing administrative or case management systems being operated by those partners. For the latter, data sharing agreements and protocols will be required to allow the transfer of appropriate data. For each data element obtained from a remote system, it will need to be determined whether those data can be modified through the Promise Neighborhood case management system (read and write access) or only viewed (read-only access) and who can access those data and under which circumstances.

Tips for Ensuring Data Quality and Consistency

While a full discussion of the details of designing and using a case management system goes beyond the scope of this document, a number of salient points are

DEFINITION

Data quality—*The reliability or accuracy of data collected, stored, or shared.*

worth mentioning. A good case management system would include custom data entry screens for particular service providers or programs that would display only information that is relevant to that solution. For example, a screen for an after-school program might have fields for entering data from an intake form for that program, the dates when the student attended the program, and the number of minutes the student was there on each day. The data screen might also allow the staff of the after-school program to see (but not modify) the student's grades, school absences, and other educational indicators that are relevant to providing individualized assistance.

The case management system should have protections in place to prevent staff from entering invalid or inconsistent data. For example, responses for fields like age or income should be restricted to valid ranges. Coded responses (such as codes for types of services) should be checked against a list of predetermined entries. And users should be alerted when inconsistent information is entered, such as if a male student is coded as being pregnant.

Although built-in protections are important, it is also essential that staff entering information into the case management system receive proper and thorough training. This helps ensure that the data will be as complete and as accurate as possible. Training should cover how to create a new client record, explanations of different data fields, what to do if data are incomplete, and requirements for protecting sensitive or confidential information. The Promise Neighborhood data manager should periodically review data entered into the system to look for problematic or incomplete information. These issues should be discussed with program staff to address any problems that might be occurring at the point of data entry.

Case Identification Numbers

In any case management system, each individual record has an identification number (ID) that uniquely identifies each person in the system. This ID must be attached to every record that contains data on this person, and must be consistent across multiple programs and over time. Each program partner and service provider will need to use the ID when entering data about that person in the system. One of the key challenges in effectively using a case management system is making sure that individuals are tracked correctly.

Each individual tracked in the case management system should be assigned a unique number, a Promise Neighborhood ID, which all program partners and service providers will use when entering data about that person. Most case management software has the capability to generate unique IDs for each new client added to the system. Care must be taken that different service providers do not enter the same individual with different ID numbers, so that data can be properly linked across programs. Part of the training for staff using the case management system should include instruction on the different types of IDs used by the Promise Neighborhood

and how to determine if individuals are already in the system and, if not, whether and how to create a new case record.

In addition to the main Promise Neighborhood ID, additional IDs may be needed to link information from other systems.[5] The most important one would be the IDs assigned to students by the school district, needed to link education records with the information in the case management system. Most school districts have done considerable work developing longitudinal data systems that allow them to track student data over time. Including the student ID as a separate field in the Promise Neighborhood case management system will make it possible to link program and service data to educational data. Student IDs can be included in the Promise Neighborhood case management system only when appropriate consent procedures have been put in place and written consent for a student has been obtained (see Chapter 6).

Neighborhood- and School-Level Data System

Promise Neighborhoods should track consistently-measured indicators for the target schools and neighborhood in longitudinal data files. Such data is useful for informing programmatic decisions, such as where to target a service as well as helping determine if the Promise Neighborhood initiatives have any impact on a broader level. Therefore, Promise Neighborhoods are encouraged to collect and analyze additional neighborhood- and school-level data above and beyond the required *GPRA* measures.

Data collection can be at the aggregated level (either neighborhood or school), so the indicators are more likely to be publicly available and more easily obtained than identified individual-level data. Aggregated data about the neighborhood and target schools should be stored in a summary-level longitudinal data system rather than a case management system. Data should be routinely collected (depending on the data source) and appended to the summary data files so that a longitudinal data system is developed.

Chapter 8 describes in the detail the issues related to collecting, maintaining, and organization longitudinal neighborhood- and school-level summary data files, and the chapter includes a list of recommended indicators for Promise Neighborhoods to collect that come from nationally or locally available secondary data sources.

[5] It is generally not recommended that Promise Neighborhoods use social security numbers as IDs because of the complications with obtaining and storing them, and the high level of risk involved if they are improperly disclosed.

Longitudinal Data System

According to the National Center for Analysis of Longitudinal Data in Education Research, a longitudinal data set is one that "tracks the same type of information on the same subjects at multiple points in time."[6] A longitudinal data system for Promise Neighborhoods includes individual-level from the case management system and summary-level data from the schools and neighborhood data systems that are stored with consistently defined and named data fields that allow the Promise Neighborhood to compare measures of program participation and results over time. For example, longitudinal data would be used to determine whether high school graduation rates are increasing or whether students participating in a particular program are making progress in achieving better outcomes.

It is essential that Promise Neighborhoods have a solid collection of longitudinal data for tracking and reporting their successes, and for analyzing and evaluating programs. The longitudinal data may be stored as part of the same software as other components (such as the case management system) if they have that functionality, or it may be a separate component. Regardless of the software configuration, a system for storing and tracking longitudinal data is essential for a Promise Neighborhood to measure its progress.

As indicated in Exhibit 3.1, the longitudinal data system will draw information from the case management system and the neighborhood and school summary data systems. The case management data will be at the individual level and should be downloaded from the system at regular intervals, perhaps quarterly. It might not be that all of the case management fields are needed, but in general it is better to archive too much data than too little since it may be difficult or impossible to recover the information later. Once exported from the case management system, a new field should be added to the records, indicating the date and time that the data were downloaded. Adding the date and time stamp to each record both provides documentation of when the extract was carried out, as well as makes it easier to append these data to earlier extracts while still being able to track the point in time that they represent.

The neighborhood- and school-level data system should have data stored longitudinally already, that is, data from different periods should be kept separately either by having individual data tables for storing data for distinct points in time, or by including fields for each data record that indicate the time period. Some of these data might be at the individual level initially (e.g., the responses from a neighborhood survey or individual birth records) and then aggregated to the school and neighborhood level, while other data might be already summarized at the school or neighborhood level (e.g., education statistics published by the school district).

[6] http://www.caldercenter.org/longdata.cfm

The software for storing the longitudinal data may be different than that used for the case management system, as one will want greater flexibility in manipulating, summarizing, and analyzing the longitudinal data than case management systems typically allow. While the longitudinal data tables might be stored in a spreadsheet program, this type of software is not recommended for storing and analyzing more complicated data. Similar software as is used for the neighborhood- and school-level data system could be used for the longitudinal data system as well, such as database or statistical software. The statistical software has the advantage of providing strong analytical functionality and usually includes the ability to generate tables and charts.[7]

Summary Reporting System

The final component of the data system is a reporting system to generate reports for sharing results with the Promise Neighborhood leadership, partners, and the community. This component can also include a "dashboard" system of key indicators that display up-to-date measures of progress toward key results and facilitate information-based decision-making.

A reporting system should display information on different result measures, comparing a starting baseline to current status and a desired goal. Both neighborhood-level and program-level results should be included. For example, it should be possible to see the status toward improvement on the different *GPRA* measures at the neighborhood level, the program (solution) level, or both, where appropriate. The system should be capable of producing both visual representations of the results (such as line charts to show trends over time) as well as tabular data. Where possible, the data should be segmented by relevant subpopulations, such as different age groups. This will give more clarity on how to structure solutions and fine-tune programs.

Finally, to make the reports as useful as possible, Promise Neighborhoods should spend time thinking about what information needs to be viewed by different Promise Neighborhood stakeholders. Program managers, for instance, may need to see very detailed information around the results produced by their specific solution, whereas advisory board members will want to see higher-level data that shows results across the entire continuum of solutions. In all reporting, emphasis should be placed on the information that is most actionable by different audiences.

[7] An extensive list of available statistical software, including free and open-source systems, is available on http://en.wikipedia.org/wiki/List_of_statistical_packages.

Resources

Vendor Engagement: Tips from the States—
http://nces.ed.gov/programs/slds/pdf/brief3.pdf

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Chapter 4

Government Performance and Results Act Indicators for Promise Neighborhoods

This chapter:

- Describes the 15 *Government Performance and Results Act (GPRA)* indicators, including their definitions, data sources, and calculations for reporting to the U.S. Department of Education.
- Recommends using similar methods to collect performance management information specifically about children and families enrolled in the Promise Neighborhood initiative and stored in the case management system.

DEFINITIONS

Government Performance and Results Act (GPRA) indicators—*Specific indicators that are required to measure progress toward particular desired results. For the Promise Neighborhoods, there are 15 distinct GPRA indicators.*

Project indicators—*Indicators used to measure the implemented strategies of Promise Neighborhood grantees collected at the individual-level and tracked in the site's longitudinal data system.*

Program indicators—*Indicators that the Department will use only for research and evaluation purposes and for which an applicant is not required to propose solutions.*

This chapter identifies and defines the data required for Promise Neighborhoods to meet their *Government Performance and Results Act* (*GPRA*) indicator reporting requirements. Under the *GPRA*, agencies must establish performance goals and performance indicators for programs. Accordingly, Promise Neighborhood implementation grantees must collect and report data on 15 distinct performance indicators specified by the Department. The Department will report these indicators, aggregated across implementation sites, to the U.S. Congress on an annual basis during the duration of the grants and the Department will use the site-specific information in annual grantee performance reviews.

The Department identified seven academic *project indicators* and eight family community-support *program indicators* to be included in annual *GPRA* reporting (see Appendix 4.1 for a list of these 15 *GPRA* indicators). Promise Neighborhoods can also collect unique family and community support project indicators that measure their particular initiative's strategy and goals.

GPRA indicators are used by the Department to assess the progress of the initiative as a whole, so it is best for Promise Neighborhood implementation grantees to collect data consistently and uniformly. Ideally, all Promise Neighborhoods would capture information using similar methods and assessment tools. At the least, individual Promise Neighborhoods should coordinate data methods and assessment efforts within their organization and among their service providers and partner organization. For example, if a Promise Neighborhood has multiple target schools in its footprint, the school climate surveys implemented in the target schools should be consistent.

Data collection can be challenging and requires focused effort and dedicated staff responsible for collecting and managing it (Chapter 6 describes the role of the data manager). The Department recognizes that each site has access to different data sources and data collection methods, depending on the data collected and shared by local agencies and the strength of specific cross-agency relationships. Therefore, the recommendations included here are based on the most commonly available data sources and data collection methods in most jurisdictions. The recommendations included in this document are intended to be feasible, sustainable, and not overly burdensome to the Promise Neighborhoods. This document does not typically include examples of sophisticated data measurement tools that require extensive time, effort, and resource investments, but instead recommends the best option for efficient, high quality data collection. For instance, this document recommends neighborhood surveys using representative samples instead of the "Cadillac" version of a panel neighborhood survey, which tracks the same representatively sampled households from year to year. In another instance, this guidance document recommends collecting youth self-reports about their activities through surveys to measure physical activity, instead of measuring the individual's demonstrated physical activity through a pedometer study.

IMPORTANT

The recommended GPRA *data sources and methods for collection are intended to be feasible, sustainable, and not overly burdensome to the Promise Neighborhoods.*

How to Use this Chapter

The remainder of this chapter describes each of the 15 Promise Neighborhood *GPRA* indicators in detail. For each *GPRA* indicator, there is a brief definition of the indicator (sometimes providing more detail than what was provided in the Promise Neighborhood notice), as well as a recommended data source, target population, calculation, and frequency for data collection. Exhibit 4.1 summarizes the key information.

Definition. Each *GPRA* indicator is precisely defined so that Promise Neighborhoods understand what is necessary to measure and track. In some cases, the definition provides more detail than what was included in the Promise Neighborhood implementation notice. In other cases, the definition revises the original definition.

Data source and measurement: The recommended source (or sources) of data are described for each *GPRA* indicator. The possible data sources include 1) summary-level administrative data, 2) de-identified neighborhood survey data, 3) de-identified school climate survey data, and 4) identified survey data about high school graduates.

For the **neighborhood survey**, Promise Neighborhoods should collect a random sample of adult primary caregivers (either parents, guardians, or other adult caregivers) and administer a survey asking them about their children. This guidance document does not recommend that the survey responses be linked to children and families tracked in the Promise Neighborhood's case management system (as described in Chapter 3); however, Promise Neighborhoods can choose to do so if this benefits their initiative. (See Chapter 7 for a description of survey methods and sampling.) The neighborhood survey will be stored separately as part of the Promise Neighborhood's longitudinal data.

In most cases, in-person surveys are preferable to mail or telephone surveys because they produce higher response rates and minimize selection bias (leading to more accurate and

useful information about the population). However, the sites should decide what is possible in relation to the number of people, geographic size of the neighborhood, and the resources available. For instance, rural communities may encompass multiple counties, making in-person surveying very difficult. Neighborhood surveys should be implemented at years 1, 3, and 5 of the implementation contract.

Promise Neighborhoods should conduct **school climate surveys** to all high school and middle school students attending the Promise Neighborhood target schools. School climate surveys should be implemented annually. Like the neighborhood survey, the school climate surveys should not be linked to students included in the case management system. The survey responses should be kept separately as school climate survey files.

IMPORTANT

Appendix 4.2 compiles together all of the recommended survey instrument questions.

When the recommended data collection method involves a neighborhood or school climate survey, this guidance document recommends survey questions from nationally validated surveys. See Appendix 4.2 for a compilation of all the recommended survey questions and their sources. Chapter 7 provides more detailed recommendations on how to conduct the neighborhood and school climate surveys.

Target population: Ultimately, the Promise Neighborhoods initiative aims to serve all children living in the Promise Neighborhoods. While this is the goal, the Department recognizes that serving and tracking all children living in the neighborhood can be challenging, as sites may not have substantial penetration rates in the early years of the grant (i.e., have not reached a large share of the children living in the neighborhood) and because many urban school districts allow students to attend public schools outside of their neighborhood catchment area. In addition, collecting data on certain *GPRA* indicators for all children living in the footprint may be extremely challenging because active informed consent is required to collect individual, identified school administrative data. Therefore, this chapter recommends a different target population for each *GPRA* indicator, depending on the likely feasibility of collecting data for some populations. In some cases, the target population is all of the students enrolled in the target schools. In other cases, the target population is all children living in the neighborhood.

Calculation for GPRA measure: This section describes how Promise Neighborhoods should calculate and report the specific *GPRA* data indicators to the Department. Ultimately, the Department will use the information provided from the sites to report just one summarized statistic for each of the *GPRA* indicators to congress.

Frequency of data collection and reporting: The source of the data will determine the frequency at which the data are collected, updated, and reported. Typically, it is practical to collect administrative data annually. Because of the burden of implementing a robust, randomly sampled in-person neighborhood survey, the guidance document recommends collecting *GPRA* indicators requiring neighborhood surveys during program years 1, 3, and 5 of the Promise Neighborhood implementation grant period. *GPRA* indicators relying on a school climate survey should be collected and reported annually.

Data storage: Depending on the source of the *GPRA* indicator, the data elements can be stored in one of three types of data files: neighborhood-level data system, school-level data system, case management data system. Summary school files (for aggregated school-

level or early childhood partner administrative data) and school climate survey files would be saved in the school-level data system and neighborhood survey files would be saved in the neighborhood-level data system. Chapter 3 describes the different recommended data systems, and Chapter 8 describes the school summary files in more detail.

Data Collection for Children Enrolled in Case Management System

Promise Neighborhoods will need to use identified individual-level data to construct only one of the *GPRA* indicators (*GPRA* 7, parts 7b and 7d). Nevertheless, Promise Neighborhoods are strongly encouraged to collect, through the case management system, the same information as the *GPRA* indicators directly from individuals and families enrolled in the Promise Neighborhood. In other words, *GPRA* indicators and component data elements collected from summary school data, neighborhood surveys, and school climate surveys also be collected specifically for the children and families enrolled in the Promise Neighborhoods and tracked in the case management system. Promise Neighborhoods are encouraged to collect this information above and beyond what is required for the *GPRA* indicators.

Individual-level information on *GPRA* indicators will be instrumental for Promise Neighborhood's internal performance management and formative evaluation purposes. While collecting data through surveys will be helpful to measure overall trends in the neighborhood and the target schools, having individual data for participants in the case management system will allow better tracking of outcomes in relation to specific activities in the Promise Neighborhood's continuum of solutions.

Promise Neighborhoods should negotiate memorandums of understanding with school districts and get parental consent in order to collect identified individual-level administrative education data. Promise Neighborhoods should also conduct primary data collection about the children and families during the initiative's enrollment process or through partners who typically interact with families and children. The sites should update this additional information annually thereafter. (Chapter 5 provides recommendations for enrollment processes and elements to include in the case management system; Chapter 6 discusses consent and privacy issues related to collecting personally identifiable information.)

Toward these goals, this chapter also includes an additional performance measures in the case management section following each *GPRA* indicator. The case management sections include the following types of information:

Performance Measures in the Case Management Data System

Data collection. Sites are encouraged to collect individual-level data either from the Promise Neighborhood partners' administrative sources (e.g., school districts or early childcare providers) or directly from the parents/guardians/caregivers and youth about the data elements being described for the *GPRA* indicators using the same questions as the *GPRA* indicator. The individual-level data collected and stored in the case management system track those children and families directly involved in the initiative and should be

used for the Promise Neighborhood's internal performance management purposes. Eventually, these data will also be included in the Promise Neighborhood restricted-use data file, which the U.S. Department of Education will make available to selected researchers for future research on the Promise Neighborhood Initiative.

Frequency. Promise Neighborhoods should collect identified individual-level administrative data annually. Promise Neighborhoods can first collect their primary data during the enrollment process of families into the Promise Neighborhood initiative (see Chapter 5 for a discussion of the recommended enrollment process) and sites should update the information annually thereafter.

Data system. Data that is collected directly from the families by Promise Neighborhoods should be included in the case management system.

Exhibit 4.1 summarizes the *GPRA* indicators, and the following sections describe each *GPRA* indicator and the possible additional case management information to be collected in detail.

Exhibit 4.1—Government Performance and Results Act (GPRA) Indicators for Promise Neighborhoods

***GPRA* measure**	**Data Source and Frequency**	**Target Population**	**Age/Grade Category**	**Level of Data Collection**	**Data Storage**
GPRA 1. Number and percent of children birth to kindergarten entry who have a place where they usually go, other than an emergency room, when they are sick or in need of advice about their health.	Neighborhood survey conducted years 1, 3, and 5	Children living in Promise Neighborhood	Ages 0-5	Individual level	Neighborhood-level data system
GPRA 2: Number and percent of three-year-olds and children in kindergarten who demonstrate at the beginning of the program or school year age-appropriate functioning across multiple domains of early learning as determined using developmentally-appropriate early learning measures.	Administrative data collected annually	Children participating in targeted program(s)	Ages 3 and in kindergarten	Age and grade level	School-level data system
GPRA 3. Number and percent of children, from birth to kindergarten entry, participating in center-based or formal home-based early learning settings or programs, which may include Early Head Start, Head Start, child care, or publicly-funded preschool.	Neighborhood survey conducted years 1, 3, and 5	Children living in Promise Neighborhood	Ages 0-5	Individual level	Neighborhood-level data system
GPRA 4. Number and percent of students at or above grade level according to State mathematics and English language arts assessments in at least the grades required by the ESEA (3rd through 8th and once in high school).	Administrative data collected annually	Children attending target schools	3rd through 8th and once in high school	Grade level	School-level data system
GPRA 5. Attendance rate of students in 6th, 7th, 8th, and 9th grade as defined by chronic absenteeism	Administrative data collected annually	Children attending target schools	6th, 7th, 8th, and 9th	Grade level	School-level data system

Exhibit 4.1—*Government Performance and Results Act* (*GPRA*) Indicators for Promise Neighborhoods, continued

***GPRA* measure**	**Data Source**	**Target Population**	**Age/Grade Category**	**Level of Data Collection**	**Data Storage**
GPRA 6. Graduation rate (as defined in the notice).	Administrative data collected annually	Children attending target schools	High school	School level	School-level data system
GPRA 7. Number and percent of Promise Neighborhood students who a) enroll in a two-year or four-year college or university after graduation, b) matriculate to an institution of higher education and place into college-level mathematics and English without need for remediation; c) graduate from a two-year or four-year college or university or vocational certification completion; and d) earn industry-recognized certificates or credentials.	7a and 7c: Private third party that tracks high school graduates into post-secondary education collected annually 7b and 7d: Survey of Promise Neighborhood high school graduates collected annually	7a-7d: Graduates from target high schools	Graduates from target schools	7a and 7c: School level 7b and 7d: Individual level	7a and 7c: School-level data system 7b and 7d: Case management system
GPRA 8-9. Number and percent of children who participate in at least 60 minutes of moderate to vigorous physical activity daily; and consume five or more servings of fruits and vegetables daily.	School climate survey collected annually	Children attending target schools	Middle and high school students	Individual level	School-level data system
GPRA 10. Number and percent of students who feel safe at school and traveling to and from school, as measured by a school climate needs assessment.	School climate survey collected annually	Children attending target schools	Middle and high school students	Individual level	School-level data system
GPRA 11. Student mobility rate (as defined in the notice).	Administrative data collected annually	Children attending target schools	Elementary, middle, and high school students	School level	School-level data system

Exhibit 4.1—*Government Performance and Results Act* (*GPRA*) Indicators for Promise Neighborhoods, continued

***GPRA* measure**	**Data Source**	**Target Population**	**Age/Grade Category**	**Level of Data Collection**	**Data Storage**
GPRA 12. For children birth to kindergarten entry, the number and percent of parents or family members who report that they read to their children three or more times a week.	Neighborhood survey conducted years 1, 3, and 5	Children living in Promise Neighborhood	Ages 0-5	Individual level	Neighborhood-level data system
GPRA 13. For children in the kindergarten through 8th grades, the number and percent of parents or family members who report encouraging their child to read books outside of school.	Neighborhood survey conducted years 1, 3, and 5	Children living in Promise Neighborhood	Kindergarten through 8th graders	Individual level	Neighborhood-level data system
GPRA 14. For children in the 9th to 12th grades, the number and percent of parents or family members who report talking with their child about the importance of college and career.	Neighborhood survey conducted years 1, 3, and 5	Children Living in Promise Neighborhood	9th through 12th graders	Individual level	Neighborhood-level data system
GPRA 15. Number and percent of students who have school and home access (and percent of the day they have access) to broadband internet and a connected computing device.	School climate survey collected annually	Children attending target schools	Middle and high school students	Individual level	Neighborhood-level data system

GPRA 1. Number and percent of children birth to kindergarten entry who have a place where they usually go, other than an emergency room, when they are sick or in need of advice about their health.

DEFINITION

Medical home—*A place (e.g., hospital, clinic, NGO) where families have an on-going relationship with a physician or group of physicians.*

There is little available secondary administrative data measuring whether a child has a medical home. Therefore, Promise Neighborhoods should collect this information using a survey of a random sample of residents from the neighborhood. As discussed earlier, the Promise Neighborhood's case management system should not store survey results. Rather, survey results should be stored in a separate neighborhood survey database.

Definition. This indicator measures whether children have a medical home. Medical homes are typically described as places where families have an ongoing relationship with a physician who provides continuous and comprehensive care coordinated (and can be integrated) with other services.

Data source: Promise Neighborhoods should implement a neighborhood survey based on a random sample using three questions from the National Survey of Children's Health 2011 to determine whether children ages 0 to 5 have access to a medical home. Promise Neighborhoods should collect the information about every child ages 0 to 5 (under 6) from the parent or guardian for *GPRA* purposes. If the Promise Neighborhood judges that this will be too burdensome to the respondent, however, the interviewers could randomly select a single child from this age range. (See Chapter 7 for more details about conducting a neighborhood survey, which includes random sampling and response rate.)

The following are three recommended questions that Promise Neighborhoods should include in their neighborhood survey.

Q1. Is there a place that [CHILD] USUALLY goes when [he/she] is sick or you need advice about [his/her] health?

(1) YES
(2) NO [STOP]
(3) THERE IS MORE THAN ONE PLACE
(77) DON'T KNOW
(99) REFUSED

Q2. IF Q1 = 1, SAY "What kind of place is it?"
IF Q1 = 3, SAY "What kind of place does [CHILD] go to most often?"

Is it a doctor's office, emergency room, hospital outpatient department, clinic, or some other place?

(1) DOCTOR'S OFFICE
(2) HOSPITAL EMERGENCY ROOM
(3) HOSPITAL OUTPATIENT DEPARTMENT
(4) CLINIC OR HEALTH CENTER
(5) RETAIL STORE CLINIC OR MINUTE CLINIC
(6) SCHOOL (NURSE, ATHLETIC TRAINER, ETC.)
(7) FRIEND/RELATIVE

(8) MEXICO/OTHER LOCATIONS OUT OF U.S.
(9) SOME OTHER PLACE [RECORD VERBATIM RESPONSE]
(10) DOES NOT GO TO ONE PLACE MOST OFTEN
(77) DON'T KNOW
(99) REFUSED

Q3. A personal doctor or nurse is a health professional who knows your child well and is familiar with your child's health history. This can be a general doctor, a pediatrician, a specialist doctor, a nurse practitioner, or a physician's assistant. Do you have one or more persons you think of as [CHILD]'s personal doctor or nurse?

(1) YES, ONE PERSON
(2) YES, MORE THAN ONE PERSON
(3) NO
(77) DON'T KNOW
(99) REFUSED

DEFINITIONS

American Community Survey (ACS)—*An annual survey of households and housing units conducted by the U.S. Census Bureau. The ACS data are available at the census tract level using 5-year averages of the survey.*

Weighting (also sample weighting)—*Using information about the size and composition of an entire population to transform sample data into estimated data for the entire population.*

Target population: The target population should be children ages 0 to 5 who live in the Promise Neighborhood. The information will be collected from the parents and caregivers of the children ages 0 to 5.

Calculation for GPRA indicator: Promise Neighborhoods should report both a number and a percent of children ages 0 to 5 with a medical home. The percent can be calculated using survey data, but in order to weight the number of children up to the neighborhood population, additional data are needed.

For the percent of children ages 0 to 5 with a medical home, respondents need to select a series of specific answers from questions 1, 2, and 3:

1. Calculate the number of children with the answer of a) options 1 or 3 to Question 1, b) options 1, 4, or 5 for Question 2, and c) option 1 or 2 for Question 3 to be identified as having a medical home. This is the numerator.
2. Calculate the number of children ages 0 to 5 years who gave valid answers to Questions 1, 2, or 3. (Valid answers do not include "refuse" or "don't know.") This is the denominator.
3. Divide the numerator from step 1 by the denominator from step 2.
4. Multiply this ratio by 100 to get the percent of children ages 0 to 5 with a medical home.

Equation 1.a

$$\text{Percent of Children Ages 0 to 5 With a Medical Home} = \frac{\text{Number of children ages 0-5 with appropriate answers for Questions 1, 2, and 3}}{\text{Number of children ages 0-5 with valid answers for Questions 1, 2, and 3}} \times 100$$

In order to calculate the number of children ages 0 to 5 with a medical home, survey responses need to be weighted to represent the whole target population:

1. Calculate the number of children ages 0 to 5 living in the Promise Neighborhood footprint using data from the decennial census, the American Community Survey (ACS), or other sources (as discussed in Chapter 2). The number used should correspond to the same (or as similar as possible) time frame as the survey collection.
2. Multiply the ratio calculated in Equation 1.a above by the number of children ages 0 to 5 living in the footprint (step 1). This is the estimate of the number of children ages 0 to 5 in the neighborhood with a medical home.

Equation 1.b

$$Number\ \ of\ Children\ With\ a\ Medical\ Home$$
$$= \left(\frac{Number\ of\ children\ ages\ 0\ to\ 5\ with\ appropriate\ answers\ for\ Questions\ 1, 2, and\ 3}{Number\ \ of\ children\ ages\ 0\ to\ 5\ with\ valid\ answers\ for\ Questions\ 1, 2, and\ 3} \right) \times \left(Total\ Number\ \ of\ Children\ Ages\ 0\ to\ 5\ living\ in\ the\ PN\ footprint \right)$$

Frequency of data collection and reporting: Due to the intensity of conducting a random-sample neighborhood survey, data should be collected and reported in year 1 and every other year thereafter (i.e., year 1, year 3, year 5).

Data storage: Neighborhood survey responses should be stored separately from the Promise Neighborhood's case management system and not linked to individual respondents. Promise Neighborhoods should store neighborhood survey data files securely in a separate data system, keeping track of the years collected.

Performance Measures in the Case Management Data System

Understanding whether the children enrolled in the Promise Neighborhood have access to a medical home is also a key piece of information that sites need for their own evaluation purposes. Promise Neighborhoods should ask their families once a year about their children's access to a medical home and document their answers in the case management system.

Data collection. Sites should ask parents/guardians/caregivers if their children have a medical home using the same three questions from the National Survey of Children's Health, as listed above. Because this information is important for children of all ages, sites should also ask this of parents with children older than five years old.

Frequency. Sites can ask the three questions during the enrollment process, and sites should update this information annually. Sites should update all participant records during one standard period of time per year.

Data system. The Promise Neighborhood's case management system should include this information.

GPRA 2. Number and percent of three-year-olds and children in kindergarten who demonstrate at the beginning of the program or school year age-appropriate functioning across multiple domains of early learning as determined using developmentally-appropriate early learning measures.

Definition. Early childhood providers may use a wide variety of valid assessment tools to assess the five dimensions of early learning development and skills identified by the National Education Goals Panel (i.e., language and literacy development, cognition and general knowledge, approaches toward learning, physical well-being and motor development including adaptive skills, and social and emotional development). Promise Neighborhoods should work with their early childhood partners to ensure they are using either the school readiness assessment recognized by their state or local school district, or they are using a nationally recognized assessment tool or set of tools for their program that measures age-appropriate functioning across the multiple domains. Partners should implement those assessments at the beginning of the programmatic or school year.

For more information about early childhood developmental outcomes and a review of the validated assessment tools, see the following:

- Head Start Development and Early Learning Framework at http://eclkc.ohs.acf.hhs.gov/hslc/tta-system/teaching/eecd/Assessment/Child%20Outcomes/HS_Revised_Child_Outcomes_Framework(rev-Sept2011).pdf
- Catherine E. Snow and Susan B. Van Hemel, editors (2008). *Early Childhood Assessment: Why, What, and How*. The Committee on Developmental Outcomes and Assessments for Young Children. National Research Council: Washington, DC.
- Early Childhood Outcome Center at http://projects.fpg.unc.edu/~eco/index.cfm

Data source. Promise Neighborhoods should first learn what developmental assessment(s) their early childhood partners who serve three-year-olds and kindergarten students use. Providers sometimes use just one assessment that may measure one or more recognized domains; other providers may use multiple types of assessments to assess multiple domains. Promise Neighborhoods need to understand what assessments their partners use and what domains the instruments assess. Promise Neighborhoods should be prepared to describe the assessments used and domains measured to the Department for annual performance reporting purposes.

Schools' and centers' assessments should be conducted in a manner consistent with the recommendations from the Committee on Developmental Outcomes and Assessments for Young Children on early childhood assessment (see Snow and Hemel 2008). Promise Neighborhoods should not attempt to collect this data through a neighborhood survey due to the complexity of the assessments. Trained early childhood professionals are best equipped to determine whether children are reaching their developmental milestones (or exhibit age appropriate skills and abilities).

Promise Neighborhoods should collect aggregated assessment data from their early child care providers for the three year olds and kindergarten students attending the targeted

early learning centers or target schools. Promise Neighborhoods should be sure to collect the aggregated scores for each assessment used. Promise Neighborhoods should collect data disaggregated by domains assessed if at all possible, but at a minimum they should collect the overall score for each assessment and understand what domains it measures.

The aggregated assessment data should include the number and percent of children that met or exceeded age-appropriate expectations for criterion-referenced assessments, or who are at or above age equivalency for norm-referenced assessments (or some other comparable category). At a minimum, Promise Neighborhoods should collect this aggregated information for each assessment even if the assessment measures multiple domains. If the scores for the individual domains can be disaggregated, Promise Neighborhoods should provide the information in this format as well.

Target population. Children ages three and in kindergarten who participate in the Promise Neighborhood's early childhood programs and target schools.

Calculation for GPRA indicator. Promise Neighborhoods should report the number and percent of three-year olds and kindergarten students who exhibit age-appropriate development measured for each assessment given by the early childcare service providers or elementary schools. If assessments can be disaggregated by domains, grantees should provide that as well. Grantees should report the aggregate number and share of students who meet the categorical threshold of age appropriate functioning for each of the types of assessment tool(s) providers use. When reporting to the Department, grantees should document the types of assessments used by the providers and what domains they assess.

For the number and percent of three-year olds demonstrating age-appropriate functioning, Promise Neighborhoods should identify the number and type of assessments used by Promise Neighborhood partners to assess the three-year olds. Promise Neighborhoods should then make the following calculation for each assessment tool used:

1. Calculate the total number of three-year olds attending targeted programs or schools and who were assessed at the beginning of the early childhood program or school and demonstrated age-appropriate functioning (i.e., met the categorical threshold). This number should be calculated for each specific assessment tool used. If multiple providers used the same assessment tool, the number of three-year-olds who demonstrated age-appropriate functioning should be totaled across all providers using that tool. This is the numerator.
2. Calculate the total number of three-year olds participating in the Promise Neighborhood's early childhood programs who were assessed using the same type of assessment tool. This summary number should include only those three-year-olds who were measured using the same assessment tool. This is the denominator.
3. Divide the numerator from step 1 by the denominator from step 2.
4. Multiply this ratio by 100 to get the percent of three-year olds demonstrating age appropriate functioning for the specific assessment used.
5. Repeat for all other assessment tools used.

Equation 2.a

Percent of 3-Year-Olds With Age-Appropriate Functioning or Met Expected Criterion

$$= \frac{\left(\begin{array}{c}Number\ of\ 3\text{-}year\text{-}olds\ with\ age\text{-}appropriate \\ functioning\ using\ a\ specific\ assessment\ tool\end{array}\right)}{\left(Number\ of\ 3\text{-}year\text{-}olds\ \ assessed\ using\ a\ specific\ assessment\ tool\right)} \times 100$$

Repeat the same steps to calculate the number and percent of kindergarten students demonstrating age-appropriate functioning. Promise Neighborhoods should identify the number and type of assessments used by Promise Neighborhood partners to assess kindergarten students. Promise Neighborhoods should then make the following calculation for each assessment tool used.

1. Calculate the total number of kindergarteners who were enrolled in target schools and were assessed at the beginning of kindergarten and demonstrated age-appropriate functioning (i.e., met the categorical threshold). This number should be calculated for each specific assessment tool used. If multiple schools used the same assessment tool, the number of kindergarten students should be totaled across all schools using that tool. This is the numerator.
2. Calculate the total number of kindergarteners participating in all of the Promise Neighborhood's target schools who were assessed using the same assessment tool. This summary number should include only those kindergarteners who were measured using the same assessment tool. This is the denominator.
3. Divide the numerator from step 1 by the denominator from step 2.
4. Multiply this ratio by 100 to get the percent of kindergarteners demonstrating age appropriate functioning for the specific assessment used.
5. Repeat for all other assessment tools used.

Equation 2.b

Percent of Kindergarteners with Age-Appropriate Functioning or Who Met Expected Criterion

$$\frac{\left(\begin{array}{c}Number\ of\ kindergarteners\ with\ age\text{-}appropriate \\ functioning\end{array}\right)}{\left(\begin{array}{c}Number\ of\ kindergarteners\ assessed\ using\ a \\ specific\ assessment\ tool\end{array}\right)} \times 100$$

Frequency of data collection and reporting: Annually.

Data storage: Aggregated age-appropriate assessment data from each provider should be stored in the neighborhood- and school-level file.

Performance Measures in the Case Management Data System

Understanding whether the children enrolled in the Promise Neighborhood are meeting age-appropriate benchmarks is important for sites' own evaluation purposes. Promise Neighborhoods need to work with their partners to receive the identified individual-level assessment data for each three-year old and kindergarten student from the footprint who also attends targeted early childcare programs or schools. Promise Neighborhoods will need to collect consent from parents or guardians before gaining access to the assessment data. (Chapter 6 describes the consent procedures in detail.) All individual-level data should be stored in the case management system.

Data collection. After obtaining parental consent, sites should receive individual-level assessment data from the early child providers or schools. The identified assessment data should include the categorical score that identifies whether or not the child meets or exceeds age-appropriate expectations for criterion-referenced assessments, or is at or above age equivalency for norm-referenced assessments (or some other comparable category). Sites are also encouraged to collect the absolute assessment scores in order to track improvements over time.

While the *GPRA* indicator requires that Promise Neighborhoods report whether three-year-olds and kindergarteners meet age-appropriate benchmarks, Promise Neighborhoods are encouraged to also collect information about four-year olds as well, or those children who are typically in pre-kindergarten.

Frequency. Sites should collect this information annually.

Data system. The Promise Neighborhood's case management system should include this information.

GPRA 3. Number and percent of children, from birth to kindergarten entry, participating in center-based or formal home-based early learning settings or programs, which may include Early Head Start, Head Start, child care, or publicly-funded preschool.

Promise Neighborhoods typically have early childhood partners to implement their ready-for-kindergarten strategies. However, in most cases, these partners enroll a relatively small share of the children ages 0 to 5 living in the neighborhood. Therefore, the *GRPA* indicator should be reported using a survey of a random sample of residents from the neighborhood. While not used for *GPRA* purposes, Promise Neighborhoods should also collect information in order to identify whether children in the case management system participate in early childhood programs as well. Promise Neighborhoods can use this information for their own performance management and evaluation purposes.

Definition. Examples of center-based early learning settings and programs include Early Head Start, Head Start, community center-based care, and publicly-funded preschool or prekindergarten classes (i.e., PK3, PK4). There is no nationally recognized definition of "formal home-based early learning settings." In some cases, formal home-based early learning settings are defined as home settings that meet state standards for licensure so unlicensed family, friend, and neighbor care would not qualify as "formal." However, families may not recognize the distinction between licensed and unlicensed home-based early child care settings.

Since Promise Neighborhoods will be collecting children's early childhood participation via self-reports from a neighborhood survey, for the purposes of this *GPRA* indicator, Promise Neighborhoods should separately report the 1) number and share of children who participate in center-based early learning settings at least 10 hours per week and the 2) number and share of children who are cared for by either a relative or nonrelative outside the home in conjunction with other children for at least 10 hours a week. Promise Neighborhoods should not try to specifically identify formal home-based care settings.

Data source: Promise Neighborhoods should implement a neighborhood survey based on a random sample of parents with children ages 0 to 5. (See Chapter 7 for more details about conducting a neighborhood survey, which includes random sampling and response rate.)

The recommended series of questions are a subset of questions from the Early Childhood Longitudinal Study Birth Cohort National 9-Month parent questionnaire. The technical assistance team adapted some of the questions.

The recommended questions include:

I'd like to talk about the people who regularly care for (CHILD) and any child care programs you are currently using. I would like to know if (CHILD) is being cared for on a regular basis by someone other than you and (HIS/HER) other parent or guardian while you work, go to school, or participate in some regular activity.

Q1. Does anyone else beside the parent/guardian take care of (CHILD) for at least 10 hours per week?
1 YES
2 NO (Stop)
66 REFUSED
77 DON'T KNOW

Q2. Now I want to ask you about child care centers (CHILD) may attend. Such centers include early learning centers, nursery schools, day care centers, and other preschools or kindergarten. Is (CHILD) now regularly attending a child care center more than 10 hours per week?
1 YES
2 NO
66 REFUSED
77 DON'T KNOW

Now I'd like to ask you about other care (CHILD) receives outside of a childcare center from either a relative or nonrelative other than a parent or guardian. A relative could include grandparents, brothers or sisters, or any other relative. A nonrelative could include home child care providers, regular sitters, or neighbors. It does not include child care centers or preschools as described in Question 2.

Q3. Let's talk about whether the child receives care outside of a childcare center from either a relative or nonrelative other than a parent or guardian. Is (CHILD) currently receiving care from a relative or nonrelative other than a parent on a regular basis more than 10 hours per week?
1 YES
2 NO (Stop)
66 REFUSED
77 DON'T KNOW

Q4. How many children are usually cared for together, in the same group at the same time, by (PROVIDER IN QUESTION 3), counting (CHILD)?
ENTER NUMBER OF CHILDREN __
66 REFUSED
77 DON'T KNOW

Calculation for GPRA indicator: Promise Neighborhoods will need to report the number and percent of 0 to 5 year olds who attend center-based childcare, those who attend home-based childcare, and those who attend both.

For the percent of children ages 0 to 5 (under 6) attending center-based childcare:

1. Calculate the number of children with a "yes" to Question 2.

2. Calculate the number of children ages 0 to 5 years who gave valid answers to Question 2. (Valid answers do not include "refuse" or "don't know.") This is the denominator.
3. Divide the numerator from step 1 by the denominator from step 2.
4. Multiply this ratio by 100 to get the percent of children ages 0 to 5 participating in center-based or home-based early learning settings or programs.

Equation 3.a

$$\textit{Percent of Children Ages 0 to 5 Attending Center-Based Childcare} = \frac{\textit{Number of children with answers of "Yes" to Question 2}}{\textit{Number of children ages 0 to 5 with valid answers to Question 2}} \times 100$$

For the number of children ages 0 to 5 attending center-based childcare, the number must be weighted to the population of the neighborhood:

1. Calculate the number of children ages 0 to 5 living in the Promise Neighborhood footprint using data from the decennial census, the American Community Survey (ACS), or other sources (as discussed in Chapter 2). The number used should correspond to the same (or as similar as possible) time frame as the survey collection.
2. Multiply the ratio calculated in Equation 3.a by the number of children ages 0 to 5 living in the footprint (step 1). This is the estimate of the number of children ages 0 to 5 attending center-based care.

Equation 3.b

$$\textit{Number of Children Ages 0 to 5 Attending Center-Based Childcare} = \left(\frac{\textit{Number of children with answers of "yes" to Question 2}}{\textit{Number of children ages 0 to 5 with valid answers to Question 2}}\right) \times \left(\textit{Total number of children ages 0 to 5 living in the PN footprint}\right)$$

For the percent of children ages 0 to 5 participating in home-based early learning settings or programs:

1. Calculate the number of children with a "yes" to Question 3 and an answer of two or more in Question 4.
2. Calculate the number of children ages 0 to 5 years who gave valid answers to Questions 3 and 4. (Valid answers do not include "refuse" or "don't know.") This is the denominator.
3. Divide the numerator from step 1 by the denominator from step 2.
4. Multiply this ratio by 100 to get the percent of children ages 0 to 5 participating in home-based early learning settings or programs.

Equation 3.c

$$\textit{Percent of Children Ages 0 to 5 Attending Home-Based Childcare} = \frac{\textit{Number of children with answers of "yes" to Question 3 and a number greater than 2 to Question 4}}{\textit{Number of children ages 0 to 5 with valid answers for Questions 3 and 4}} \times 100$$

For the number of children ages 0 to 5 participating in home-based early learning settings or programs:

1. Calculate the number of children ages 0 to 5 living in the Promise Neighborhood footprint using data from the decennial census, the American Community Survey (ACS), or other sources (as discussed in Chapter 2). The number used should correspond to the same (or as similar as possible) time frame as the survey collection.
2. Multiply the ratio calculated in Equation 3.c by the number of children ages 0 to 5 living in the footprint (step 1). This is the estimate of the number of children ages 0 to 5 attending home-based child care.

Equation 3.d

$$\textit{Number of Children Ages 0 to 5 Attending Home-Based Childcare} = \left(\frac{\textit{Number of children with answers of "yes" to Question 3 and a number greater than 2 to Question 4}}{\textit{Number of children ages 0 to 5 with valid answers to Questions 3 and 4}}\right) \times \left(\textit{Total number of children ages 0 to 5 living in the PN footprint}\right)$$

For the percent of children ages 0 to 5 participating in *both* home-based and center-based early learning settings or programs:

1. Calculate the number of children with a "yes" to Question 2, with a "yes" to Question 3, and an answer of two or more in Question 4.
2. Calculate the number of children ages 0 to 5 years who gave valid answers to Questions 2, 3, and 4. (Valid answers do not include ""refuse" or ""don't know"".) This is the denominator.
3. Divide the numerator from step 1 by the denominator from step 2.
4. Multiply this ratio by 100 to get the percent of children ages 0 to 5 participating in center-based or home-based early learning settings or programs.

Equation 3.e

$$\textit{Percent of Children Ages 0 to 5 Attending Center-Based and Home-Based Childcare} = \frac{\textit{Number of children with answers of "yes" to Questions 2 and 3 and a number greater than 2 to Question 4}}{\textit{Number of children ages 0 to 5 with valid answers for Questions 2, 3, and 4}} \times 100$$

For the number of children ages 0 to 5 participating in home-based and center-based early learning settings or programs:

1. Calculate the number of children ages 0 to 5 living in the Promise Neighborhood footprint using data from the decennial census, the American Community Survey (ACS), or other sources (as discussed in Chapter 2). The number used should correspond to the same (or as similar as possible) time frame as the survey collection.
2. Multiply the ratio calculated in Equation 3.e by the number of children ages 0 to 5 living in the footprint (step 1). This is the estimate of the number of children ages 0 to 5 attending center-based and home-based child care.

Equation 3.f

$$\textit{Number of Children Ages 0 to 5 Attending Center-Based and Home-Based} = \left(\frac{\textit{Number of children with answers of "yes" to Questions 2 and 3 and a number greater than 2 to Question 4}}{\textit{Number of children ages 0 to 5 with valid answers to Questions 2, 3, and 4}}\right) \times \left(\textit{Total number of children ages 0 to 5 living in the PN footprint}\right)$$

Frequency of data collection and reporting: Due to the intensity of conducting a random-sample neighborhood survey, data should be collected and reported in year 1 and every other year thereafter (i.e., year 1, year 3, and year 5).

Data storage: Neighborhood survey responses should be stored separately from the Promise Neighborhood's case management system and not linked to individual respondents. Promise Neighborhoods should store neighborhood survey data files securely in a separate data system, keeping track of the years collected.

Performance Measures in the Case Management Data System

Promise Neighborhoods should track the children enrolled in their early childcare partners' programs. Recognizing which children are attending an early childcare program is a key piece of information sites need for their own evaluation purposes. This can include information on where the child is enrolled, enrollment time period (e.g., date of first enrollment, withdraw, and transfer), and the amount of time per week the child attends.

Data source. Promise Neighborhood early childhood partners should have administrative data that identifies children enrolled in their programs who also live in the neighborhood. Promise Neighborhood data managers will ensure unique student IDs are included if they are available.

Frequency of data collection and reporting: Annually.

Data storage: Identified information about early childhood enrollment should be included in the case management system.

GPRA 4. Number and percent of students at or above grade level according to State mathematics and English language arts assessments in at least the grades required by the ESEA (3rd through 8th and once in high school).

Definition. This *GPRA* indicator measures the number and share of students who test proficient or advanced (or comparable categories for each site's state assessments) for the math assessment and separately for the English language arts assessments for students in grades 3 through 8 and once in high school. Promise Neighborhoods should rely on the high school grade identified by their school district.

Data source. Local school districts should calculate the number and share of students from each grade attending the target schools who test proficient or advanced in the math and the English language arts assessments and share these statistics with the Promise Neighborhoods. For initiatives that have multiple target schools, Promise Neighborhoods will aggregate the number and share testing proficient or advanced across the schools by grade and report these statistics to the Department for annual performance reporting.

Target population. The number and share of students testing proficient or advanced in math and English language arts should be for all students tested attending the target schools, which will include both those students living in the Promise Neighborhood and those living outside the neighborhood.

Calculation for GPRA indicator. School districts should calculate the number and share of students for each of the target schools who were proficient or advanced (or use comparable categories) for math and English language arts for 3rd through 8th grade plus one high school grade. Promise Neighborhoods will want the information about each of their target schools. However, Promise Neighborhoods should report an aggregated number and share of students across all target schools for each grade to the Department to meet the *GRPA* requirements.

For the number and percent of students testing proficient or advanced in mathematics for each required grade from all of the target schools:

1. Across all target schools, calculate for each grade the number of students who were tested in mathematics. This will be the denominator.
2. Of the students included in step 1, calculate the number of students in that grade across all the schools who tested proficient or advanced (or use comparable categories) in mathematics. This will be the numerator in step 3.
3. Divide the numerator calculated in step 2 by the denominator calculated in step 1.
4. Multiply by 100.
5. Repeat for each of the grades tested.

Equation 4.a

$$\text{Percent of Students in Grade Y Testing Proficient or Advanced in Math} = \left(\frac{\text{Number of students in grade Y who tested proficient or advance in math}}{\text{Number of students in grade Y attending targeted schools}} \right) \times 100$$

For the number and percent of students testing proficient or advanced in English language arts for each required grade from all of the target schools:

1. Separately calculate for each grade the number of students who attend the target schools and were tested in English language arts. This will be the denominator.
2. Of the students included in step 1, calculate the number of students in that grade across all the schools who tested proficient or advanced (or use comparable categories) in English language arts. This will be the numerator in step 3.
3. Divide the numerator calculated in step 2 by the denominator calculated in step 1.
4. Multiply by 100.
5. Repeat for each of the grades tested.

Equation 4.b

$$\text{Percent of Students in Grade Y Testing Proficient or Advanced in English Language Arts} = \left(\frac{\text{Number of students in grade Y who tested proficient or advance in English language arts}}{\text{Number of students in grade Y attending targeted schools}} \right) \times 100$$

Frequency of data collection and reporting: Data should be collected annually in the fall for the previous school year.

Data storage: Aggregated school-level data should be stored in a separate longitudinal school-level data file system.

Performance Measures in the Case Management Data System

Promise Neighborhoods will want to collect individual-level test score data for the students enrolled in their Promise Neighborhood initiative for evaluation purposes. Promise Neighborhoods will need to work with their school or district partners to receive the identified individual-level test score data. Promise Neighborhoods will need to collect consent from parents or guardians before accessing the assessment data and setting up data sharing agreements with their school districts. (Chapter 6 describes the consent procedures in more detail.) All individual-level data should be stored in the case management system.

Data source. After securing parental consent, Promise Neighborhoods should collect individual-level test score data with unique student ID for all students in the target schools and who live in the footprint from the local school districts. Promise Neighborhoods should upload the individual level test-score data into their case management system making sure to match the data to the student's unique

student ID previously existing in the case management system (see Chapter 5). Test score data should include both raw scores (actual absolute score) and the categorical score (e.g., below basic, basic, proficient, or advanced).

Frequency of data collection and reporting: Annually.

Data storage: Individual-level test score data should be included in the case management system.

GPRA 5. Attendance rate of students in 6th, 7th, 8th, and 9th grade.

Definition. *Average daily attendance* (ADA) is typically used by school districts to measure school attendance and it is required under the *No Child Left Behind Act of 2001*. However, researchers have recently identified that *chronic absenteeism*, or those students who miss 10 percent or more of school days is a strong predictor for academic risk and school dropout (Sanchez 2012). Therefore for *GPRA* 5, Promise Neighborhoods should at a minimum collect the average daily attendance rates for 6th, 7th, 8th, and 9thgrades. Promise Neighborhoods are also encouraged to work with their school districts to measure the chronic absenteeism rate for each grade in each of the target Promise Neighborhood schools, if local school districts are not measuring this already. This would be calculated by counting the number and share of students from the Promise Neighborhood schools who are absent for excused or unexcused reasons for 10 percent or more of the available school days.

For more information about chronic absenteeism and the impact of chronic absenteeism see the following:

- Balfanz, R., Durham, R., & Plank, S. (2008). "Lost Days: Patterns and Levels of Chronic Absenteeism Among Baltimore City Public School Students 1999—00 to 2005—06," *Absenteeism Issue Brief*. Baltimore, MD: Baltimore Education Research Consortium.
- Bruner, C., Discher, A., and Hedy, C. (2011). "Chronic Elementary Absenteeism: A Problem Hidden in Plain Sight" Attendance Works and Child & Family Policy Center http://www.edweek.org/media/chronicabsence-15chang.pdf.
- Chang, H. N., & Romero, M. (2008). "Present, Engaged, and Accounted For: The Critical Importance of Addressing Chronic Absence in the Early Grades." New York, NY: National Center for Children in Poverty.
- Sanchez, Monica Sanchez (2012). "Truancy and Chronic Absence in Redwood City." Youth Data Archive Issue Brief. John W. Gardener Center for Youth and their Communities.

Data source. Local school districts should calculate the average daily attendance for each of the grades required and provide the statistics to the Promise Neighborhoods. Promise Neighborhoods are also encouraged to work with their school districts to calculate a chronic absenteeism rate using local attendance data, relying on both excused and unexcused absences. School districts should provide the grade-level aggregated number and percent of students for the target schools to Promise Neighborhood sites for their reports to the Department.

Target population. Average daily attendance and chronic absenteeism rates should be calculated for students in each grade from the target Promise Neighborhood schools, which will include both those students living in the Promise Neighborhood and those living outside the neighborhood. The *GPRA* indicator requires that average daily attendance for grades 6th through 9th are reported to the Department; however, Promise Neighborhoods should collect information about all the grades to determine where focused strategies and improvements are needed.

Calculation for GPRA indicator. Average daily attendance is calculated by aggregating the number of days of attendance of all students during a school year divided by the number of days each school is in session during that year.

For each grade in each target school, the school district will need to:

1. Calculate the aggregate number of days of attendance of all students during the school year. This is the numerator.
2. Calculate the total number of days school is in session that year, and multiply the total number of days in attendance by the total number of students. This is the denominator.
3. Divide step 1 by step 2.
4. Multiply by 100.
5. Repeat for each grade in the target school.

Equation 5.1

$$Average\ Daily\ Attendance\ = \left(\frac{Total\ number\ of\ days\ in\ attendance\ of\ all\ students}{Total\ number\ of\ days\ school\ is\ in\ session\ X\ \ total\ number\ of\ students}\right) \times 100$$

For chronic absenteeism, school districts will need to identify the number of students in each grade who were absent for 10 percent or more of the available school days during which they were enrolled in the school. These are the students who were chronically absent. The Promise Neighborhood should work with their school district to calculate the absenteeism rate for each student separately in order to take into account students who enroll later in the school year.

1. For each student enrolled in a target school, calculate the percent of days absent:
    a. Calculate the number of days absent.
    b. Calculate the number of days enrolled in the school.
    c. Divide the number of days absent by the number of days enrolled in the school.

Equation 5.2a

$$Percent\ of\ Days\ Absent\ = \left(\frac{Number\ of\ days\ absent}{Number\ of\ days\ enrolled}\right) \times 100$$

2. For each grade, calculate the number of students absent 10 percent or more of the days enrolled at the target school. This is the numerator.
3. Calculate the number of students enrolled in the target school for each grade. This is the denominator.
4. Divide the numerator calculated in step 2 by the denominator calculated in step 3.
5. Multiply by 100.
6. Repeat for each of the grades in the target school.

Equation 5.2b

$$Rate\ of\ Chronic\ Abenteeism\ for\ Grade\ Y = \left(\frac{Number\ of\ students\ in\ grade\ Y\ absent\ ten\ percent\ or\ more\ of\ days\ enrolled}{Number\ of\ students\ enrolled\ in\ grade\ Y} \right) \times 100$$

Frequency of data collection and reporting: Data should be collected annually in the fall for the prior school year.

Data storage: Aggregated school-level data should be stored in a separate longitudinal school-level data file system.

Performance Measures in the Case Management Data System

Chronic absenteeism has been found to be a good predictor for future academic outcomes, so while an aggregated grade-level average daily attendance or chronic absenteeism rate is sufficient to meet the *GPRA* requirement, Promise Neighborhoods should also collect individual-level absenteeism data for students from all grades (K-12th). Information about chronic absenteeism will assist sites in determining if it is an explanatory or mediating factor for other outcomes. Chronic absenteeism data can also contribute to an early warning system in order to target interventions.

Data collection. Local school districts collect the excused and unexcused absences in their student-level administrative data systems.

Frequency. Promise Neighborhoods should receive monthly attendance information about the students. Optimally, Promise Neighborhoods would have access to daily attendance rates—or real time attendance rates—that school districts collect. However, in some cases, this may be too difficult to negotiate or manage. It will be the responsibility of the Promise Neighborhoods to identify those students who meet the threshold of chronic absenteeism.

Data system. The Promise Neighborhood's case management system should include this information.

GPRA 6. Graduation rate (as defined in the notice).

As of 2009, the *No Child Left Behind Act* (24 CFR 200.19(b)(1)) requires all states and school districts to calculate a four-year adjusted cohort graduation rate. The adjusted cohort graduation rate is recognized as an accurate and uniform way to compare graduation rates across all states.

Definition. School districts must calculate a four-year adjusted cohort graduation rate. The four-year adjusted cohort rate is defined in 34 CFR 200.19 (b)(1) as:

> "The number of students who graduate in four years with a regular high school diploma divided by the number of students who form the adjusted cohort for that graduating class. For those high schools that start after grade 9, the cohort must be calculated based on the earliest high school grade. The term ''adjusted cohort'' means the students who enter grade 9 (or the earliest high school grade) and any students who transfer into the cohort in grades 9 through 12 minus any students removed from the cohort. The term ''students who transfer into the cohort'' means the students who enroll after the beginning of the entering cohort's first year in high school, up to and including in grade 12. To remove a student from the cohort, a school or LEA must confirm in writing that the student transferred out, emigrated to another country, or is deceased.
>
> "To confirm that a student transferred out, the school or LEA must have official written documentation that the student enrolled in another school or in an educational program that culminates in the award of a regular high school diploma. A student who is retained in-grade, enrolls in a General Educational Development (GED) program, or leaves school for any other reason may not be counted as having transferred out for the purpose of calculating graduation rate and must remain in the adjusted cohort. The term ''students who graduate in four years'' means students who earn a regular high school diploma at the conclusion of their fourth year, before the conclusion of their fourth year, or during a summer session immediately following their fourth year. The term ''regular high school diploma'' means the standard high school diploma that is awarded to students in the State and that is fully aligned with the State's academic content standards or a higher diploma and does not include a GED credential, certificate of attendance, or any alternative award.
>
> "In addition to calculating a four-year adjusted cohort graduation rate, a State may propose to the Secretary for approval an ''extended-year adjusted cohort graduation rate.'' An extended-year adjusted cohort graduation rate is defined as the number of students who graduate in four years or more with a regular high school diploma divided by the number of students who form the adjusted cohort for the four-year adjusted cohort graduation rate, provided that the adjustments account for any students who transfer into the cohort by the end of the year of graduation being considered minus the number of students who transfer out, emigrate to another country, or are deceased by the end of that year."

Data source. Due to the complexity of tracking a 9th grade cohort, Promise Neighborhoods should collect the four-year or extended-year adjusted cohort graduation rate calculated by the school district for each target high school.

Target population. The population includes students in the target Promise Neighborhood high school's 9th grade adjusted cohort rate, which will include both those students living in the Promise Neighborhood and those living outside the neighborhood.

Calculation for GPRA indicator. The four-year adjust cohort graduation rate will be calculated by the school district using the official definition above.

Frequency of data collection and reporting: Annually in the fall, collected for the prior school year.

Data storage: Aggregated school-level data should be stored in a separate longitudinal school-level data file system.

Performance Measures in the Case Management Data System

In addition to collecting the adjusted cohort graduation rates for the target Promise Neighborhood high schools, Promise Neighborhoods should also track whether Promise Neighborhood participants included in the case management system graduate from high school. Those in the case management system may include students in the target schools, as well as those students who live in the Promise Neighborhood but attend other high schools in the school district. Promise Neighborhoods should know how many of their students graduate from high school for their own records and assessments.

Data collection. Promise Neighborhoods should receive an individual-level identified file of the students who graduated from both the target high schools and for those students who live in the footprint but attend other public high schools in the school district. The individual level data should have the unique student ID, so Promise Neighborhoods can merge the information to their case management records.

Frequency. Data should be collected annually in the fall, collected for the prior school year.

Data system. The Promise Neighborhood's case management system should include this information.

GPRA 7. Number and percent of Promise Neighborhood students who graduate with a regular high school diploma and obtain postsecondary degrees, vocational certificates, or other industry-recognized certifications or credentials without the need for remediation.

This *GPRA* indicator requires the collection and tracking of multiple data elements, some of which are particularly challenging to obtain from administrative data sources. Therefore, for simplicity, the *GPRA* indicator should be separated into four data elements and reported to the Department as four separate measures. They include the number and share of students who a) enroll in a two-year or four-year college or university after graduation; b) matriculate to an institution of higher education and place into college-level mathematics and English without need for remediation; c) graduate from a two-year or four-year college or university or obtain vocational certification completion; and d) earn industry-recognized certificates or credentials. All four are described below.

Definitions. Promise Neighborhoods should disaggregated *GRPA* 7 into four separate elements that measure:

a. Enrollment in a two-year or four-year college or university after high school graduation. High school graduates from the target high schools should be tracked for up to 16 months post their high school graduation to determine whether they enrolled in community colleges, associate's programs, or four-year colleges or universities.
b. College enrollment without English and math remediation. This includes the number and percentage of Promise Neighborhood students who matriculate to an institution of higher education and place into college-level mathematics and English without need for remediation. Remedial classes are basic math or English classes for students who are significantly behind the expected level for a class. Remedial classes do not typically qualify toward graduation credits.
c. College, university, and vocational certification completion. This includes the number and percentage of former high school graduates from the target high schools who graduated from their post-secondary institutions (i.e., community college or associate's programs, four-year college and universities, and technical or vocational programs held separate from colleges or universities) within 100 and 150 percent of traditional completion time. The traditional length of time for associate's degrees is two years after first enrolling (or 100 percent time). Students that complete in 150 percent of time are enrolled for three years. For four-year colleges and universities, 100 percent traditional completion time is within four years and completing with 150 percent translates into graduating six years after entering. For vocational and technical programs and certificates, the traditional length of time depends on the particular program.
d. The number and percentage of participants earning industry-recognized certificates or credentials. Industry-recognized certificates and credentials are typically defined as a professional, industry, employer organization, or product manufacturer using a valid and reliable assessment of an individual's knowledge,

skills, and abilities for a particular industry skill set. This measure tracks the number and percentage of Promise Neighborhood students who earn one of these certificates or credentials.

Data source. There are two data sources for *GPRA* 7 depending on the data element**.** For *GPRA* 7a (first-time enrollment in college or university) and 7c (college, university, and vocational certification) the recommended data source is privately operated post-secondary tracking services. These types of organizations track high school seniors who matriculated from participating high schools, and identify whether they enrolled in public and private two- and four-year colleges and universities as well as trade and vocational programs. Promise Neighborhoods should ensure that their target high schools participate with these private tracking services, and that the primary two- and four-year colleges and universities where the majority of Promise Neighborhood students continue for their post-secondary educations participate as well. The post-secondary tracking services can provide aggregated reports about the enrollment and matriculation of high school cohorts.

Data elements *GPRA* 7b (college enrollment without English and math remediation) and 7d (industry certification and credentials) are more difficult to collect because there is no national or commonly available local administrative data source. Therefore, Promise Neighborhoods should track high school graduates enrolled in the Promise Neighborhood initiative and collect information directly from the high school alumni about whether the students had to enroll in English or math remediation courses during their first year at college, and whether the students obtained an industry credential or certification. Any information collected directly by Promise Neighborhoods should be added to their case management systems.

Another potential source of data for *GPRA* 7 data elements are the Statewide Longitudinal Data Systems (SLDS). The purpose of the SLDS is to integrate the data systems that track educational attainment for children in early learning programs through youth who enter the workforce by integrating preschool, K12, and higher education data systems into one P—20 data system. These data systems include individual student records. Promise Neighborhoods should contact their state education offices or contact the National Center for Education Statistics to learn about the status of the systems in their state. At the time of this publication, few states had operational SLDS so it could not be included as a recommended data source.

Target population. The target population is high school graduates from the target high schools. For data elements 7a and 7c, the data tracking services can provide aggregated reports about the high school cohort. For data elements 7b and 7d, Promise Neighborhoods will have to track these high school graduates specifically and get their consent to include the information in the case management system.

Calculation for GPRA indicator. The four elements of the *GPRA* indicator should be calculated separately.

For enrollment in a two-year or four-year college or university after high school graduation (*GPRA* 7a):

1. Calculate the number of high school graduates from each graduation cohort at the target high school who enrolls in a community college, associate's programs, or four-year college or university within the 16 months of graduating. This is the numerator.
2. Calculate the number of high school students who graduated from the target high school graduating cohort. This is the denominator.
3. Divide the numerator calculated in step 2 by the denominator calculated in step 3.
4. Multiply by 100.

Equation 7.a

$$Percent\ of\ Students\ Who\ Enrolled\ in\ College\ or\ University = \left(\frac{Number\ of\ students\ who\ enrolled\ in\ college\ or\ university}{Number\ of\ students\ in\ graduating\ cohort} \right) \times 100$$

For college enrollment without English and math remediation (*GPRA* 7b):

1. Calculate the number of high school graduates from each graduation cohort at the target high school who enrolls in a community college, associate's programs, or four-year college or university within the 16 months of graduating.
2. Identify the students who took English or math remediation courses within their first year and subtract them from the number enrolled in post-secondary programs calculated in step 1. This is the number of students who enrolled in college without remediation. This is the numerator.
3. Calculate the number of high school students who graduated from the target high school included in the graduation cohort. This is the denominator.
4. Divide the numerator calculated in step 2 by the denominator calculated in step 3.
5. Multiply by 100.

Equation 7.b

$$Percent\ of\ Students\ Who\ Enrolled\ in\ College\ Without\ Remediation = \left(\frac{Number\ of\ students\ who\ enrolled\ in\ college\ without\ remediation}{Number\ of\ students\ in\ graduating\ cohort} \right) \times 100$$

For college, university, and vocational certification completion (*GPRA* 7c):

Promise Neighborhoods should calculate separately for those students who graduated from a community college, associate's program, or four-year college or university and those who graduate from a vocational program. For each, separate calculations should be done for completion within the traditional 100 percent completion time and the 150 completion time.

For community college, associate's program, or four-year college or university graduation within the traditional 100 percent completion time:

1. Calculate the number of high school graduates from each graduation cohort who graduated from a community college or associate's programs within two years.
2. For those who did not attend community college or an associate's program, calculate the number of high school graduates from each graduation cohort who graduated from a college or university within four years.
3. Sum the number who graduate from community college/associate's program within two years (step 1) and the number who graduate from a four-year college or university within four years (step 2). This is the number of students who obtained a post-secondary degree within the traditional 100 percent completion time. This is the numerator.
4. Calculate the number of high school students who graduated from the high school graduating cohort. This is the denominator.
5. Divide the numerator calculated in step 3 by the denominator calculated in step 4.
6. Multiply by 100.

Equation 7.c

$$Percent\ of\ Students\ Who\ Graduated\ Within\ Traditional\ 100\ Percent\ Completion\ Time = \left[\frac{\left(\begin{matrix}Number\ of\ students\ graduating\\ with\ AA\ in\ two\ years\end{matrix}\right) + \left(\begin{matrix}Number\ of\ students\ graduating\\ with\ BA\ or\ BS\ in\ four\ years\end{matrix}\right)}{Number\ of\ students\ in\ graduating\ cohort}\right] \times 100$$

For community college, associate's program, or four-year college or university graduation within the traditional 150 percent completion time:

1. Calculate the number of high school graduates from each graduation cohort who graduated from a community college or associate's programs within three years.
2. For those who did not attend community college or an associate's program, calculate the number of high school graduates from each graduation cohort who graduated from a college or university within six years.
3. Sum the number who graduate community college/associate's program within two years (step 1) and the number who graduate from a four-year college or university within four years (step 2). This is the number of students who obtained a post-

secondary degree within the traditional 150 percent completion time. This is the numerator.

4. Calculate the number of high school students from graduated from the high school graduating cohort. This is the denominator.

5. Divide the numerator calculated in step 3 by the denominator calculated in step 4.
6. Multiply by 100.

Equation 7.d

$$Percent\ of\ Students\ Who\ Graduated\ Within\ Traditional\ 150\ Percent\ Completion\ Time$$

$$= \left[\frac{\left(\begin{matrix} Number\ of\ students\ graduating \\ with\ AA\ in\ three\ years \end{matrix} \right) + \left(\begin{matrix} Number\ of\ students\ graduating \\ with\ BA\ or\ BS\ in\ six\ years \end{matrix} \right)}{Number\ of\ students\ in\ graduating\ cohort} \right] \times 100$$

For students who graduated from vocational programs within the traditional 100 percent completion time:

1. For those who attended vocational programs, calculate the number of high school graduates from each graduation cohort who graduated within the traditional 100 percent completion time. The traditional 100 percent completion time will vary depending on the vocational program. This is the numerator.
2. Calculate the number of high school students who graduated from the target high school included in the graduation cohort. This is the denominator.
3. Divide the numerator calculated in step 3 by the denominator calculated in step 4.
4. Multiply by 100.

Equation 7.e

$$Percent\ of\ Students\ Who\ Graduated\ Within\ Traditional\ 100\ Percent\ Completion\ Time$$

$$= \left(\frac{\begin{matrix} Number\ students\ graduated\ from\ vocational \\ programs\ within\ 100\ percent\ completion\ time \end{matrix}}{Number\ \ of\ students\ in\ graduating\ cohort} \right) \times 100$$

For students who graduated from vocational programs within the traditional 150 percent completion time:

1. For those who attended vocational programs, calculate the number of high school graduates from each graduation cohort who graduated within the traditional 150 percent completion time. The traditional 150 percent completion time will vary depending on the vocational program. This is the numerator.
2. Calculate the number of high school students who graduated from the target high school included in the graduation cohort. This is the denominator.
3. Divide the numerator calculated in step 3 by the denominator calculated in step
4. Multiply by 100.

Equation 7.f

$$Percent\ \ of\ Students\ Who\ Graduated\ Within\ Traditional\ 150\ Percent\ Completion\ Time$$

$$= \left(\frac{\begin{matrix} Number\ students\ graduated\ from\ vocational \\ programs\ within\ 150\ percent\ completion\ time \end{matrix}}{Number\ \ of\ students\ in\ graduating\ cohort} \right) \times 100$$

For students who obtained industry-recognized certificates or credentials (*GPRA* 7d):

1. For those who obtained industry-recognized certificates or credentials, calculate the number of high school graduates from each graduation cohort who obtain the certificate or credential.
2. Calculate the number of high school students from graduated from the high Calculate the number of high school students who graduated from the target high school included in the graduation cohort. This is the denominator.
3. Divide the numerator calculated in step 3 by the denominator calculated in step 4.
4. Multiply by 100.

Equation 7.g

$$Percent\ of\ Students\ Who\ Obtained\ Industry\ Certificate = \left(\frac{Number\ students\ who\ obtained\ certificate}{Number\ \ of\ students\ in\ graduating\ cohort}\right) \times 100$$

Frequency of data collection and reporting: Promise Neighborhoods should collect these data annually.

Data storage: Promise Neighborhoods should store the individual-level data in their case management system matched to the appropriate student record.

Performance Measures in the Case Management Data System

In addition to collecting the aggregated reports about college and university enrollment and graduation, Promise Neighborhoods should also track whether individual Promise Neighborhood participants included in the case management system enroll in post-secondary institutions, need remediation, and graduate from post-secondary institutions. Promise Neighborhoods should track the post-secondary progress of their students for their own records and assessments.

Data collection. For data elements 7a and 7c, Promise Neighborhoods should receive an individual-level identified file from the privately operated post-secondary tracking service. The individual level data should have enough identifying information so that the post-secondary records can be merged to the Promise Neighborhood student case management records. For data elements 7b and 7d, Promise Neighborhoods will track the information directly from the high school alumni.

Frequency. Data should be collected annually.

Data system. The Promise Neighborhood's case management system should include this information.

GPRA 8–9. Number and percent of children who participate in at least 60 minutes of moderate to vigorous physical activity daily and consume five or more servings of fruits and vegetables daily.

This *GPRA* indicator requires the collection and tracking of data measuring two different indicators: moderate to vigorous physical activity (*GPRA* 8) and fruits and vegetables consumption (*GPRA* 9). The two indicators are described separately in this document. Because these two measures are not available via secondary administrative data sources, data should be collected directly from students. Since Promise Neighborhoods will need to implement a school climate survey to collect information for *GPRA* 10 (school safety) and many schools implement a school climate survey already, the questions for *GPRA* 8 and 9 should be included in the school climate survey for the target Promise Neighborhood middle and high schools. A school climate survey is recommended instead of a neighborhood survey because the information should be collected directly from the youth.

For the school climate survey, a census of students (all students) from all grades is recommended over a sample of students because conducting a census is relatively straightforward to implement. The following questions are from the 2011 Youth Risk Behavioral Survey. Survey responses will be collected for individual students, but their responses will be confidential and not be linked in the case management system. The first section describes the physical activity measure in detail. This is followed by a detailed description of the fruits and vegetables measure.

GPRA 8: Number and percent of children who participate in at least 60 minutes of moderate to vigorous physical activity daily.

Definition. The Centers for Disease Control (CDC) and U.S. Health and Human Services identified three types of physical activity that contribute to a healthy lifestyle: aerobic activity, muscle strengthening activity, and bone strengthening activity. The CDC recommends that aerobic activity make up the bulk of children's physical activity which includes brisk walking (moderate intensity) or running (vigorous intensity). Muscle strengthening activities include push-ups and gymnastics, and bone strengthening activities include running and jumping rope. Children can participate in organized sports to meet the activity levels, but also playtime during and after school counts. Some physical activities fall under multiple categories. For instance, running qualifies as both aerobic and bone strengthening activities.

The CDC also describes moderate and vigorous activity by judging whether the activity rates as a 5 or above on a 0 to 10 scale where sitting qualifies as a 0 and the highest level of activity is a 10. Moderate-intensity activity is typically identified as a 5 or 6 on the scale and a child's heart beat and breath will be faster and harder than normal. Vigorous-intensity activity is a 7 or 8 on the scale and the child's heart beat will be much faster than normal and their breath will be much harder than usual.

The CDC recommends that children participate in moderate physical activity every day and vigorous physical activity at least three days a week. For further information, see the CDC website at http://www.cdc.gov/physicalactivity/everyone/guidelines/children.html and a list of possible physical activities and their corresponding level of activity at: http://www.cdc.gov/physicalactivity/everyone/guidelines/what_counts.html. The U.S. Department of Health and Human Services also provides guidelines: ftp://ftp.cdc.gov/pub/data/yrbs/2011/YRBS_2011_National_User_Guide.pdf.

Data source. Promise Neighborhood target middle and high schools should conduct a school climate survey that includes a question about physical activity from the 2011 Youth Risk Behavioral Survey (YRBS).

Question 1 should be collected and reported to the Department for *GPRA* 8 purposes.

> **Q1. During the past 7 days, on how many days were you physically active for a total of at least 60 minutes per day?** (Add up all the time you spent in any kind of physical activity that increased your heart rate and made you breathe hard some of the time.)
> A. 0 days
> B. 1 day
> C. 2 days
> D. 3 days
> E. 4 days
> F. 5 days
> G. 6 days
> H. 7 days

Promise Neighborhoods should also consider collecting other information that relates to physical activity such as amount of time a student exercises, whether the student participates in physical education classes at school, whether the student participates in organized sports teams, and how often the child is sedentary watching TV or playing video games. For examples of these types of questions and the rational of why they are asked, see the YRBS survey 2011 documentation at http://www.cdc.gov/healthyyouth/yrbs/pdf/questionnaire/2011_standard_itemrationale.pdf.

Target population: All middle and high school students enrolled in the target Promise Neighborhood middle and high schools.

GPRA calculation: Promise Neighborhoods will need to report the total number and percent of middle and high school students from all the target schools who report doing moderate or vigorous physical activity seven days a week.

1. Calculate the number of students who answer “7 days” or option H to Question 1 for each target school. This is the numerator.
2. Calculate the number of students who gave valid answers to Question 1 in each of the schools. (Valid answers do not include “refuse” or “don’t know.”) This is the denominator.

3. Divide the numerator from step 1 by the denominator from step 2.
4. Multiply this ratio by 100 to get the percent of students who participate in daily moderate or physical activity.

Equation 8

$$Percent\ of\ \ Students\ Who\ Participate\ in\ at\ Least\ 60\ minutes\ of\ Physical\ Activity, 7\ Days\ a\ Week$$

$$= \left(\frac{\begin{array}{c} Number\ students\ answering\ 7\ \text{days}\ or \\ Option\ H\ to\ Question\ 1 \end{array}}{\begin{array}{c} Number\ of\ students\ students\ with\ valid\ answers \\ to\ Question\ 1\ in\ target\ schoool \end{array}} \right) \times 100$$

Frequency: Promise Neighborhoods should collect the information via a school climate survey conducted in either the fall or spring of every school year.

Performance Measures in the Case Management Data System

Promise Neighborhoods will want to track the physical activity of the children and youth involved in the Promise Neighborhood initiative. Therefore, the same question included in the school climate survey about physical activity should be asked directly of the youth. Youths' responses will be included in the case management system.

Data collection. Sites should ask middle school and high school students the same question about physical activity included in the data source for *GPRA* 8 above. Promise Neighborhoods may want to include additional questions discussed in the data source section as well.

Frequency. The series of questions can be asked during the enrollment process, and sites should update this information annually. Sites should update all participant records during one standard period of time per year.

Data system. The Promise Neighborhood's case management system should include this information.

GPRA 9: Number and percent of children who consume five or more servings of fruits and vegetables daily.

Definition. The Youth Risk Behavior Survey (YRBS) contains a nationally validated set of survey questions about fruit/vegetable consumption for youth. However, it asks about the number of times a day each youth consumed fruits and vegetables during the previous week rather than the number of daily servings (as the original *GPRA* was written). Due to the relative ease for Promise Neighborhoods to implement the YRBS questions in a school climate survey, Promise Neighborhoods should collect information about the number of times a day middle and high school students at the target Promise Neighborhood schools consumed fruits and vegetables during the past seven days instead of determining whether students consumed at least five servings of fruits and vegetables daily.

For a complete description of the rational for the YRBS questions, see the 2011 documentation at http://www.cdc.gov/healthyyouth/yrbs/pdf/questionnaire/2011_standard_itemrationale.pdf.

Data source. The following six questions are from the 2011 YRBS survey and should be included in the middle and high school climate surveys. All six questions are required because they are necessary to use in the YRBS methodology for creating a composite score.

> *The next six questions ask about food you ate or drank during the past 7 days. Think about all the meals and snacks you had from the time you got up until you went to bed. Be sure to include food you ate at home, at school, at restaurants, or anywhere else.*
>
> **Q1. During the past 7 days, how many times did you drink 100% fruit juices such as orange juice, apple juice, or grape juice?** (Do not count punch, Kool-Aid, sports drinks, or other fruit-flavored drinks.)
> A. I did not drink 100% fruit juice during the past 7 days
> B. 1 to 3 times during the past 7 days
> C. 4 to 6 times during the past 7 days
> D. 1 time per day
> E. 2 times per day
> F. 3 times per day
> G. 4 or more times per day
>
> **Q2. During the past 7 days, how many times did you eat fruit? (Do not count fruit juice.)**
> A. I did not eat fruit during the past 7 days
> B. 1 to 3 times during the past 7 days
> C. 4 to 6 times during the past 7 days
> D . 1 time per day
> E. 2 times per day
> F. 3 times per day
> G. 4 or more times per day

Q3. During the past 7 days, how many times did you eat green salad?

A. I did not eat green salad during the past 7 days
B. 1 to 3 times during the past 7 days
C. 4 to 6 times during the past 7 days
D. 1 time per day
E. 2 times per day
F. 3 times per day
G. 4 or more times per day

Q4. During the past 7 days, how many times did you eat potatoes? (Do not count french fries, fried potatoes, or potato chips.)

A. I did not eat potatoes during the past 7 days
B. 1 to 3 times during the past 7 days
C. 4 to 6 times during the past 7 days
D. 1 time per day
E. 2 times per day
F. 3 times per day
G. 4 or more times per day

Q5. During the past 7 days, how many times did you eat carrots?

A. I did not eat carrots during the past 7 days
B. 1 to 3 times during the past 7 days
C. 4 to 6 times during the past 7 days
D. 1 time per day
E. 2 times per day
F. 3 times per day
G. 4 or more times per day

Q6. During the past 7 days, how many times did you eat other vegetables? (Do not count green salad, potatoes, or carrots.)

A. I did not eat other vegetables during the past 7 days
B. 1 to 3 times during the past 7 days
C. 4 to 6 times during the past 7 days
D. 1 time per day
E. 2 times per day
F. 3 times per day
G. 4 or more times per day

Calculation: YRBS has a standardized method for calculating whether youth have eaten fruits and vegetables five or more times per day on average during the past seven days (ftp://ftp.cdc.gov/pub/data/yrbs/2011/YRBS_2011_National_User_Guide.pdf).

For the percent of children who consumed fruits or vegetables and average of 5 or more times per day during the past week:

1. Calculate for each student in each target school the total number of times per day during the past week that students consumed 100% fruit juice.

a. If the student answered A to Question 1, then the student consumed 100% fruit juice 0 times per day.
b. If the student answered B to Question1, then the student consumed 100% fruit juice 2/7 times per day.
c. If the student answered C to Question 1, then the student consumed 100% fruit juice 5/7 times per day.
d. If the student answered D to Question 1, then the student consumed 100% fruit juice 1 time per day.
e. If the student answered E to Question 1, then the student consumed 100% fruit juice 2 times per day.
f. If the student answered F to Question 1, then the student consumed 100% fruit juice 3 times per day.
g. If the student answered G to Question 1, then the student consumed 100% fruit juice 4 times per day.

2. Repeat step 1a–1g for consumption of fruits, green salads, potatoes, carrots, and other vegetables (Questions 2 through 6).
3. Sum the calculated number of times per day during the past week that the student consumed 100% fruit juice, fruits, green salads, potatoes, carrots, and other vegetables from steps 1 and 2 to get the average number of times per day during the past week that the student consumed fruits and vegetables.
4. Calculate the number of students who consumed five or more fruits and vegetables per day in the past 7 days. This will be the numerator for the percent.
5. Calculate the number of students surveyed. This is the denominator.
6. Divide the numerator calculated in step 4 by the denominator calculated in step 5.
7. Multiply by 100.

See Exhibit 4.2 for an example set of responses to Questions 1 through 6 and how to calculate them based on the steps 1 through 4 above:

Exhibit 4.2——Sample of Survey Responses and Calculations for *GPRA 9*

Questions Recommended to Measure *GPRA* 9	Sample Survey Responses	*Steps 1-2.* Calculated Value
Q1. Fruit juice	F	3
Q2. Fruit	D	1
Q3. Green salad	A	0
Q4. Potatoes	C	$\frac{5}{7}$
Q5. Carrots	B	$\frac{2}{7}$
Q6. Other Vegetables	B	$\frac{2}{7}$
Step 3. Summed value of Q1-Q6		$3 + 1 + 0 + \frac{5}{7} + \frac{2}{7} + \frac{2}{7} = 5$
Step 4. Does the student consume 5 or more fruits and vegetables per day?		5 → Yes. Count the sample student.

Equation 9

$$Percent\ of\ Students\ Who\ Consume\ Five\ or\ More\ Fruits\ and\ Vegetables\ Per\ Day$$

$$= \left(\frac{Number\ students\ who\ consume\ five\ or\ more\ fruits\ and\ vegetables\ per\ day}{Number\ of\ students\ with\ valid\ answers} \right) \times 100$$

Frequency: Promise Neighborhoods should collect the information via a school climate survey conducted in either the fall or spring of every school year.

Performance Measures in the Case Management Data System

Promise Neighborhoods will want to track the fruit and vegetable consumption of the children and youth involved in the Promise Neighborhood initiative. Therefore, the same questions included in the school climate survey about healthy eating should be asked directly to the youth involved with the Promise Neighborhood initiative. Youths' responses will be included in the case management system.

Data collection. Sites should ask middle school and high school students involved with the Promise Neighborhood initiative the same series of fruit and vegetable consumption questions as included in the data source for *GPRA* 9 above.

Frequency. The series of questions can be asked during the enrollment process, and sites should update this information annually. Sites should update all participant records during one standard period of time per year.

Data system. The Promise Neighborhood's case management system should include this information.

GPRA 10. Number and percent of students who feel safe at school and traveling to and from school, as measured by a school climate needs assessment.

Definition. Perceptions of student safety at school and traveling to and from school should be asked directly of students and reported to the Department for *GPRA* 10.

Data source. Target middle and high schools should administer a school climate survey including the two questions below. Question 1 is from the Safe Schools/Healthy Students National Evaluation School Climate Survey, a collaborative grant program supported by the U.S. Department of Health and Human Services, the U.S. Department of Education, and the U.S. Department of Justice. The technical assistance team developed Question 2 based on Question 1. See Chapter 7 for more details about school climate surveys.

How much would you say that you agree with the following statements?

Q1. This school is a safe place for students.
A. Strongly agree
B. Agree
C. Disagree
D. Strongly disagree
E. Don't know

Q2. I am safe when traveling to and from school.
A. Strongly agree
B. Agree
C. Disagree
D. Strongly disagree
E. Don't know

Promise Neighborhoods should also consider collecting additional information to better understand students' perceptions safety at school. Promise Neighborhoods can include additional questions to measure whether students are missing school due to feeling unsafe, as well as questions that measure incidences of school-related violence and bullying behaviors. For examples of these types of questions, see the 2011 Youth Risk Behavior Surveillance Questionnaire at http://www.cdc.gov/healthyyouth/yrbs/pdf/questionnaire/2011_hs_questionnaire.pdf.

Calculation for GPRA measure: Using the recommended Questions 1 and 2, Promise Neighborhoods should report the number and share of student who feel safe at school, who feel safe traveling to and from school, and who feel safe both in school and traveling to and from school. The two aspects of school safety should be reported separately because they measure different qualities of school safety, and they should be reported together because that is the required GPRA indicator. If a school climate survey was conducted in multiple schools, the statistics should be aggregated when reported to the Department.

To calculate the percent of students who believe the school is safe for students:

1. Calculate the number of students in the target school(s) who answer either "strongly agree" or "agree" to Question 1. This is the number of students who feel safe at school, and will be the numerator in the calculation for percent of students.
2. Calculate the number of students gave valid answers to Question 1. (Valid answers do not include "refuse" or "don't know.") This is the denominator.
3. Divide the numerator (step 1) by the denominator (step 2).
4. Multiply by 100.

Equation 10.a

$$Percent\ of\ Students\ Who\ Believe\ the\ School\ Is\ Safe\ for\ Students$$

$$= \left(\frac{Number\ students\ who\ agree\ or\ strongly\ agree\ for\ Question\ 1}{Number\ of\ students\ with\ valid\ answers} \right) \times 100$$

To calculate the percent of students who feel safe traveling to and from school:

1. Calculate the number of students in the target school(s) who answer either "strongly agree" or "agree" to Question 2. This is the number of students who feel safe traveling to and from school, and will be the numerator in the calculation for percent of students.
2. Calculate the number of students gave valid answers to Question 2. (Valid answers do not include "refuse" or "don't know.") This is the denominator.
3. Divide the numerator (step 1) by the denominator (step 2).
4. Multiply by 100.

Equation 10.b

$$Percent\ of\ Students\ Who\ Believe\ Traveling\ To\ and\ From\ School\ Is\ Safe$$

$$= \left(\frac{Number\ students\ who\ agree\ or\ strongly\ agree\ for\ Question\ 2}{Number\ of\ students\ with\ valid\ answers} \right) \times 100$$

To calculate the percent of students who believe the school is safe for students and who believe traveling to and from school is safe:

1. Calculate the number of students in the target school(s) who answer either "strongly agree" or "agree" to Question 1 and the number of students from the target school(s) who answer "strongly agree" or "agree" to Question 2. This is the number of students who feel safe at school and traveling to and from school, and will be the numerator in the calculation for percent of students.
2. Calculate the number of students gave valid answers to Questions 1 and 2. (Valid answers do not include "refuse" or "don't know.") This is the denominator.
3. Divide the numerator (step 1) by the denominator (step 2).
4. Multiply by 100.

Equation 10.c

$$Percent\ of\ Students\ Who\ Believe\ the\ School\ and\ \ Traveling\ To\ and\ From\ School\ Is\ Safe$$

$$= \left(\frac{Number\ students\ who\ agree\ or\ strongly\ agree\ for\ Questions\ 1\ and\ 2}{Number\ of\ students\ with\ valid\ answers} \right) \times 100$$

Frequency of data collection and reporting: School climate surveys should be collected annually in either the fall or early spring.

Data storage: School climate survey responses should be stored separately from the Promise Neighborhood's case management system and not linked to individual respondents. The school climate survey should not include any identifying information that could directly link students' responses to the information in the case management system (i.e., names, social security numbers, unique school ID). Aggregated school climate data are not part of the Promise Neighborhood's case management system. Promise Neighborhoods should store school climate survey data files securely in a separate data system keeping track of the schools and years collected.

Performance Measures in the Case Management Data System

Promise Neighborhoods will want to track individual Promise Neighborhood students' perceived safety in school and traveling to and from school. Therefore, the same questions included in the school climate survey about safety should be asked directly to the youth involved with the Promise Neighborhood initiative. Youths' responses will be included in the case management system.

Data collection. Sites should ask middle school and high school students involved with the Promise Neighborhood initiative the two questions about safety as included in the data source for *GPRA* 10 above.

Frequency. The series of questions can be asked during the enrollment process, and sites should update this information annually. Sites should update all participant records during one standard period of time per year.

Data system. The Promise Neighborhood's case management system should include this information.

GPRA 11. Student mobility rate (as defined in the notice).

Definition. The student mobility rate is defined as the number of student entries and withdraws at target Promise Neighborhood schools, from the first day of official enrollment is collected until the end of the academic school year, divided by the first official enrollment count of the academic year. The student mobility rate should be an aggregated statistic to include all the target Promise Neighborhood schools.

Data source. For each of the target schools, local school districts should provide Promise Neighborhoods with the number of student entries and withdraws between the time of the official count and the end of the school year as well as the official student count for the school year.

Calculation of GPRA indicator. Promise Neighborhoods should calculate the student mobility rate as an aggregated number for all the target schools:

1. Calculate the number of student entries and withdraws between the time of the official count (usually taken in early October) and the end of the school year for each target school. Sum the number of entries and number of withdraws for all of the target schools together. This is the numerator.
2. The denominator is the official student count for the school year from all the target schools.
3. Divide the numerator (step 1) by the denominator (step 2).
4. Multiply by 100.

Equation 11

$$Student\ Mobility\ Rate = \left(\frac{Number\ of\ student\ entries\ and\ withdraws}{Number\ of\ students\ in\ the\ official\ count}\right) \times 100$$

Frequency. Annually in the fall, collected for the prior school year.

Data storage: Promise Neighborhoods should store aggregated school data files in a separate school-level data system keeping track of the schools and years collected.

Performance Measures in the Case Management Data System

Promise Neighborhoods will want to determine whether their students are switching schools within the school year or between school years (which is broader than the *GPRA* indicator) for their own records and assessments. Therefore, Promise Neighborhoods should be sure to track students' school enrollments over time.

Data collection: During the intake process and during regular interaction with students, Promise Neighborhoods should verify where students attend school. Promise Neighborhood staff should verify any school administrative record they

receive from the local school districts, as well as document when students change schools. Promise Neighborhoods may want to capture why students change schools as well.

Frequency: At a minimum, Promise Neighborhoods should verify the student's school annually. Sites should also consider updating the students' records should students switch schools mid-year.

Data system. Promise Neighborhoods should update the information about the youth in their case management system.

GPRA 12. For children birth to kindergarten entry, the number and percent of parents or family members who report reading to their children three or more times a week.

Research shows that reading to children in the early years leads to better literacy and cognitive development outcomes later for children. (For more information, see Helen H. Raikes et al., 2006. "Mother-child book reading in low-income families: Correlates and outcomes during the first three years of life." Child Development, Vol. 77, Issue 4.) There is little available administrative data that measures whether parents read to their children from birth until they enter kindergarten. Therefore, Promise Neighborhoods should collect this information using a survey of a random sample of residents from the neighborhood. As discussed earlier, survey results should not be tracked in the Promise Neighborhood's case management system but stored separately and anonymously.

Definition. This indicator measures whether parents or family members read to their children from birth until kindergarten at least three times a week.

Data source: Promise Neighborhoods should implement a neighborhood survey based on a random sample using questions from the Early Childhood Longitudinal Study (ECLS) Birth Cohort National 9-Month parent questionnaire. Survey responses will be collected by the Promise Neighborhood for individual adults, but their responses will be confidential and not be linked in the case management system. Promise Neighborhoods should collect information about the children ages 0 to 5 for whom the parent is responsible or at least one child randomly sampled from this age range. (See Chapter 7 for more details about conducting a neighborhood survey, which includes random sampling and response rate.)

The neighborhood survey should include the following question for parents and guardians responsible for each child ages 0 to 5 (under 6):

> **Q1. In a typical week, how often do you or any other family members read books to (CHILD)?**
> Would you say not at all, once or twice, 3-6 times, or every day?

Promise Neighborhoods should also consider collecting other information that relates to child cognitive development and literacy such as how long parents read to their children and whether parents and caregivers sing songs, tell stories, and discuss books with children. For examples of these types of questions, see the ECLS National Birth Cohort Questionnaires conducted for different ages at http://nces.ed.gov/ecls/birthinstruments.asp.

Target population: The target population is parents or guardians of children from birth through kindergarten who live in the Promise Neighborhood (defined as children under age 6). The information will be collected from the parents and caregivers of the infants and children from the appropriate age and grade range.

Calculation for GPRA indicator: Promise Neighborhoods should calculate the number of parents or guardians of children ages 0 to 5 who are read to "3-6 times" or "every day" to meet the requirement that parents read to their child at least 3 times a week .

1. Calculate the number of parents of children ages 0 to 5 who are read to "3-6 times" or "every day" for Question 1.
2. Calculate the number of parents of children ages 0 to 5 who gave valid answers to Question 1. (Valid answers do not include "refuse" or "don't know.")
3. Divide the numerator (step 1) by the denominator (step 2).
4. Multiply by 100.

Equation 12.a

$$Percent\ of\ Parents\ of\ Children\ Ages\ 0\ to\ 5\ Who\ Read\ to\ Their\ Children\ at\ Least\ Three\ Times\ Per\ Week$$

$$= \left(\frac{\begin{array}{c} Number\ of\ parents\ of\ children\ ages\ 0\ to\ 5 \\ who\ are\ read\ to\ three\ or\ more\ times\ per\ week \end{array}}{\begin{array}{c} Number\ of\ parents\ of\ children \\ ages\ 0\ to\ 5\ with\ valid\ answers \end{array}} \right) \times 100$$

In order to calculate the number of parents of children ages 0 to 5 who are read to three or more times per week, survey responses need to be weighted up to represent the whole target population:

1. Calculate the number of parents of children ages 0 to 5 living in the Promise Neighborhood footprint using data from the decennial census, the American Community Survey (ACS), or other sources (as discussed in Chapter 2). The number used should correspond to the same (or as similar as possible) time frame as the survey collection.
2. Multiply the ratio calculated in Equation 12.a by the number of parents of children ages 0 to 5 living in the footprint (step 1). This is the estimated number of parents who have children ages 0 to 5 in the neighborhood who are read to three or more times a week.

Equation 12.b

$$Number\ \ of\ Parents\ of\ Children\ Ages\ 0\ to\ 5\ Who\ Read\ to\ Their\ Children\ at\ Least\ 3\ Times\ Per\ Week$$

$$= \left(\frac{\begin{array}{c} Number\ of\ parents\ of\ children \\ ages\ 0\ to\ 5\ \ who\ are\ read\ to \\ three\ or\ more\ times\ per\ week \end{array}}{\begin{array}{c} Number\ of\ parents\ of\ children \\ ages\ 0\ to\ 5\ with\ valid\ answers \end{array}} \right) \times \left(\begin{array}{c} Total\ number\ of\ parents\ of \\ children\ ages\ 0\ to\ 5 \\ living\ in\ the\ PN\ footprint \end{array} \right)$$

Frequency of data collection and reporting: Due to the intensity of conducting a random-sample neighborhood survey, data should be collected and reported in year 1 and every other year thereafter (i.e., year 1, year 3, and year 5).

Data storage: Neighborhood survey responses should be stored separately from the Promise Neighborhood's case management system and not linked to individual

respondents. Promise Neighborhoods should store neighborhood survey data files securely in a separate data system keeping track of the years collected.

Performance Measures in the Case Management Data System

Understanding whether children enrolled in the Promise Neighborhood are read to frequently is a key piece of information sites need for their own evaluation purposes. Promise Neighborhoods should ask their families once a year about whether they read to their children and document their answers in the case management system.

Data collection. Sites should ask parents/guardians/caregivers the same question from the Early Childhood Longitudinal Study (ECLS) survey to determine whether parents read to their children.

Frequency. This question can be asked during the enrollment process and sites should update this information annually. Sites should update all participant records during one standard period of time per year.

Data system. The Promise Neighborhood's case management system should include this information.

GPRA 13. For children in kindergarten through 8th grades, the number and percent of parents or family members who report encouraging their children to read books outside of school.

Definition. Measuring whether parents encourage their children to read outside of school can be determined by asking parents of children in kindergarten through 8th grade about whether they read to children or whether their children read to themselves or others outside of school. Parents should either report reading to their child at least three times a week or report that their child read to themselves or others at least three times in the past week in order to meet the criteria for this indicator.

Data source. As with *GPRA* 12, this information should be collected using a neighborhood survey. Promise Neighborhoods should implement a neighborhood survey based on a random sample of parents/guardians using questions from the Early Childhood Longitudinal Study Kindergarten Class of 1998-99. Survey responses will be collected by the Promise Neighborhood for individual adults, but their responses will be confidential and not be linked in the case management system. (See Chapter 7 for more details about conducting a neighborhood survey, which includes random sampling and response rate.)

The recommended survey questions are:

> **Q1. In a typical week, how often do you or any other family members read books to (CHILD)?**
> Would you say not at all, once or twice, 3-6 times, or every day?
>
> **Q2. In the past week, how often did (CHILD) read to (himself/herself) or to others outside of school?**
> Would you say:
> Never..... 1
> Once or twice a week 2
> Three to six times a week, or..... 3
> Every day?..... 4
> REFUSED 7
> DON'T KNOW 9

Promise Neighborhoods should also consider collecting other information that also relates to whether families support their children's reading. This includes information on whether there are children's books in the home, either owned by the child or family or borrowed from the library. For examples of these types of questions, see the ECLS National Birth Cohort Questionnaires conducted for different ages at http://nces.ed.gov/ecls/birthinstruments.asp.

Target population: The target data population is parents or guardians of kindergarteners through 8th graders who live in the Promise Neighborhood. The information will be collected from the parents and caregivers of the children and youth from the appropriate grade.

Calculation of GPRA indicator. To determine whether parents and caregivers support their kindergarten through 8th grade child reading outside of school, parents must have read to their child three times in the last week or their child has read to themselves or others in the past week.

For the percent of parents who report that they encourage reading outside of school:

1. Calculate the number of parents of children who report having read to their children or their children read to themselves or others at least three times in the past week (answer "3-6 times" or "everyday" to Questions 1 or 2). This is the numerator.
2. Calculate the number of parents with children in kindergarten through 8th grade who gave valid answers to Questions 1 or 2. (Valid answers do not include "refuse" or "don't know.") This is the denominator.
3. Divide the numerator (step 1) by the denominator (step 2).
4. Multiply by 100.

Equation 13.a

$$Percent\ of\ Parents\ Who\ Encourage\ Children\ in\ Kindergarten\ Through\ 8th\ Grade\ to\ Read$$

$$= \left(\frac{Number\ of\ parents\ who\ meet\ the\ criteria\ for\ supporting\ reading}{Number\ of\ parents\ of\ K-8\ students\ with\ valid\ answers} \right) \times 100$$

In order to calculate the number of parents of children grades K-8 who support reading outside of school, survey responses need to be weighted up to represent the whole target population:

1. Calculate the number of parents of children grades K-8 living in the Promise Neighborhood footprint using data from the decennial census, the American Community Survey (ACS), or other sources (as discussed in Chapter 2). The number used should correspond to the same (or as similar as possible) time frame as the survey collection.
2. Multiply the ratio calculated in step 3 above by the number of parents of children grades K-8 living in the footprint (step 1). This is the estimate of the number of parents of children grades K-8 who support reading outside of school.

Equation 13.b

$$Number\ of\ Parents\ of\ Children\ Grades\ K-8\ Who\ Support\ Reading$$

$$= \left(\frac{Number\ of\ parents\ who\ meet\ the\ criteria\ for\ supporting\ reading}{Number\ of\ parents\ of\ K-8\ students\ with\ valid\ answers} \right) \times \left(Total\ Number\ of\ Parents\ of\ K-8\ students\ living\ in\ the\ PN\ footprint \right)$$

Frequency of data collection and reporting: Due to the intensity of conducting a random-sample neighborhood survey, data should be collected and reported in year 1 and every other year thereafter (i.e., year 1, year 3, and year 5).

Data storage: Neighborhood survey responses should be stored separately from the Promise Neighborhood's case management system and not linked to individual respondents. Promise Neighborhoods should store neighborhood survey data files securely in a separate data system keeping track of the years collected.

Performance Measures in the Case Management Data System

Understanding whether parents support their children's reading is a key piece of information that sites need for their own evaluation purposes. Promise Neighborhoods should ask their families once a year about their children's reading habits and document their answers in the case management system.

Data collection. Sites should ask parents/guardians/caregivers the same two questions from the Early Childhood Longitudinal Study Kindergarten Class of 1998-99 survey to determine whether parents read to the child or if the child reads to himself or others. Sites could also collect additional information about whether there are children's books in the house and children use the library.

Frequency. The two questions can be asked during the enrollment process, and sites should update this information annually. Sites should update all participant records during one standard period of time per year.

Data system. The Promise Neighborhood's case management system should include this information.

GPRA 14. For children in the 9th to 12th grades, the number and percent of parents or family members who report talking with their child about the importance of college and career.

Collecting whether parents and caregivers talk to their high school students about the importance of college and career should be collected through surveying a random sample of residents from the neighborhood. Survey results should not be tracked in the Promise Neighborhood's case management system, but instead stored separately and anonymously.

Definition. This indicator is intended to measure whether parents and guardians discuss the importance of college and career with their high school children.

Data source: Promise Neighborhoods should implement a neighborhood survey based on a random sample using Question 1 from the National Center for Education Statistics' Educational Longitudinal Survey (2002) to determine whether parents discuss the importance of college and career with their high school children. The technical assistance team modified the response options slightly, based on discussions with current Promise Neighborhoods grantees. (See Chapter 7 for more details about conducting a neighborhood survey, which includes random sampling and response rate.)

> **Q1. In the first semester or term of this school year, how often have you and/or your spouse/partner provided advice or information about the following to your high school student?**
> Options: Never, sometimes, often
> a. Selecting courses or programs at school
> b. Plans and preparation for college entrance exams such as ACT, SAT, or ASVAB
> c. Applying to college or other schools after high school
> d. Specific jobs your high school student might apply for after completing or leaving high school.

Promise Neighborhoods should also consider including additional questions in the neighborhood survey to determine parents' expectations about whether their child will go on to attend college and how they have prepared to pay for college. These questions are not required for GPRA purposes but may help inform Promise Neighborhood's strategies and efforts. For examples of these types of questions, see the National Center for Education Statistics' Educational Longitudinal Survey (http://nces.ed.gov/surveys/els2002/) and the Institute for Higher Education Policy's survey of middle school parents for the Kids to College (K2C) program (http://www.thesalliemaefund.org/smfnew/pdf/From_Aspiration_to_Action.pdf).

Target population: The target population is parents and guardians of 9th through 12th graders who live in the Promise Neighborhood. The information will be collected from the parents and caregivers of the youth from the appropriate grade ranges.

Calculation for GPRA indicator: Promise Neighborhoods should calculate the number of parents with children in 9th through 12th grade who answered either "often" or "sometimes" to Question 1c (applying to college) and Question 1d (specific jobs). The frequencies of Question 1c and Question 1d should be reported separately as well as summarized for *GPRA* purposes.

For number and percent of parents who talk to their high school age child about college:

1. Calculate the number of parents who answered "often" or "sometimes" to Question 1c. This is the numerator.
2. Calculate the number of parents who gave valid answers to Question 1c. (Valid answers do not include "refuse" or "don't know.") This is the denominator.
3. Divide the numerator (step 1) by the denominator (step 2).
4. Multiply by 100.

Equation 14.a

$$Percent\ \ of\ Parents\ Who\ Talk\ to\ Children\ About\ College$$

$$= \left[\frac{\begin{pmatrix} Parents\ of\ 9th-12th\ graders\ who\ answered \\ "often"\ or\ "sometimes"\ to\ Question\ 1c \end{pmatrix}}{Parents\ of\ 9th-12th\ graders\ with\ valid\ answers\ to\ Question\ 1c} \right] \times 100$$

For number and percent of parents who talk to their high school age child about their careers:

1. Calculate the number of parents who answered "often" or "sometimes" to Question 1d. This is the numerator.
2. Calculate the number of parents who gave valid answers to Question 1d. (Valid answers do not include "refuse" or "don't know.") This is the denominator.
3. Divide the numerator (step 1) by the denominator (step 2).
4. Multiply by 100.

Equation 14.b

$$Percent\ \ of\ Parents\ Who\ Talk\ to\ Children\ About\ Their\ Careers$$

$$= \left[\frac{\left(\begin{matrix} Parents\ of\ 9th-12th\ graders\ who\ answered \\ "often"\ or\ "sometimes"\ to\ Question\ 1d \end{matrix} \right)}{Parents\ of\ 9th-12th\ graders\ with\ valid\ answers\ to\ Question\ 1d} \right] \times 100$$

For number and percent of parents who talk to their high school age child about college and career:

1. Calculate the number of parents who answered "often" or "sometimes" to Question 1c and who answered "often" or sometimes" to Question 1d. This is the numerator.
2. Calculate the number of parents who gave valid answers to Questions 1c and 1d. (Valid answers do not include "refuse" or "don't know.") This is the denominator.
3. Divide the numerator (step 1) by the denominator (step 2).
4. Multiply by 100.

Equation 14.c

$$Percent\ \ of\ Parents\ Who\ Talk\ to\ Children\ About\ College\ and\ Career$$

$$= \left[\frac{\left(\begin{matrix} Parents\ of\ 9-12th\ graders\ who\ answered\ "often"\ or\ "sometimes"\ \ for\ Question\ 1c \\ and\ "often"\ or\ "sometimes"\ to\ Question\ 1d \end{matrix} \right)}{Parents\ of\ 9-12th\ graders\ with\ valid\ answers\ to\ Questions\ 1c\ and\ 1d} \right] \times 100$$

Frequency of data collection and reporting: Due to the intensity of conducting a random-sample neighborhood survey, data should be collected and reported in year 1 and every other year thereafter (i.e., year 1, year 3, and year 5).

Data storage: Neighborhood survey responses should be stored separately from the Promise Neighborhood's case management system and not linked to individual respondents. Promise Neighborhoods should store neighborhood survey data files securely in a separate data system keeping track of the years collected.

Performance Measures in the Case Management Data System

Understanding whether parents discuss the importance of college and career with their high school children is a key piece of information sites need for their own evaluation purposes. Promise Neighborhoods should survey their families using the same question listed above once a year to collect this information.

Data collection. Sites should ask parents/guardians/caregivers the same question from the Educational Longitudinal Survey. Sites could consider including additional questions about this topic from other pertinent surveys, such as the Institute for Higher Education Policy's survey of middle school parents for the Kids to College (K2C) program.

Frequency. Promise Neighborhoods should ask participants the identified question(s) during the Promise Neighborhood enrollment process, and sites should update this information annually. Sites should update all participant records during one standard period of time each year.

Data system. The Promise Neighborhood's case management system should include this information.

GPRA 15. Number and percent of students who have school and home access (and percent of the day they have access) to broadband internet and a connected computing device.

Information about students' access to the internet and a connected computing device at home and school is not typically available through administrative data sources. Promise Neighborhoods should collect this information via a school climate survey given to all middle and high school students in target Promise Neighborhood schools. A school climate survey is preferable to a neighborhood survey because this information should be collected directly from the children and youth, rather than from their parents or guardians. (See Chapter 7 for more details about school climate surveys.) Promise Neighborhoods should collect survey responses from individual students, but the students' responses will be confidential and not linked to their records in the case management data system.

Definition. Students can have access to the internet via computing devices like desktops or laptops provided in a computer lab or during their regular English class. Students could also have access to the internet at school or at home using tablets (e.g., iPads), cell phones or smart phones (i.e., Wi-Fi or 3G/4G mobile device), and through video game systems like the Wii, TV/cable packages, e-readers, and MP3 players. For the purposes of this *GPRA* indicator, students who have access through any of these types of technologies both at home and at school qualify as having access.

Data Source. Target middle and high schools should administer a school climate survey that asks students about access to the internet at home and at school and about what type of technology students use to access the internet. The following survey questions were adapted from school surveys developed by Project Tomorrow, a nonprofit organization that supports innovative uses of science, math, and technology in the classroom. Project Tomorrow has surveyed students across the country via their Speak Up project since 2003. The survey questions included here are a subset of the full survey offered to school districts participating in the national project. For more information about Project Tomorrow, see www.tomorrow.org.

*This set of questions is about whether you have access to the internet at home. Please check "yes" or "no" to indicate whether you have access to the internet **at home** in the following ways:*

Q1. During a typical week, I have access to the internet **at home** in the following ways:			
Response	**INTERNET ACCESS AT HOME**		
	Yes	**NO**	**DON'T KNOW**
1a. Through my home computer (i.e., desktop or laptop) that has slow or dialup internet access	☐	☐	☐
1b, Through my home computer (i.e., desktop or laptop) that has fast internet access (e.g., DSL, Broadband, or cable)	☐	☐	☐
1c. Through my Wi-Fi or 3G/4G mobile device	☐	☐	☐
1d. Through my digital reader or tablet (e.g., iPad or Kindle)	☐	☐	☐
1e. Through my music or video device (e.g., MP3 player, iPod or iPod Touch)	☐	☐	☐
1f. Through my handheld game (e.g., GameBoy, Nintendo DS)	☐	☐	☐
1g. Through my video gaming system (e.g., Xbox, Playstation, Wii)	☐	☐	☐
1h. Another way: [fill in the blank]_____	☐	☐	☐

*This set of questions is about whether you have access to the internet at school. Please check "yes" or "no" to indicate whether you have access to the internet **at school** in the following ways:*

Q2. During a typical school day, I have access to the internet **at school** in the following ways:			
Response	**INTERNET ACCESS AT SCHOOL**		
	Yes	**NO**	**DON'T KNOW**
2a. During a school computer lab or computer class	☐	☐	☐
2b During an academic class other than computer lab or computer class such as English or math class	☐	☐	☐
2c. Through school library computers	☐	☐	☐
2d. Through my own laptop that I bring to school	☐	☐	☐
2e. Through my own tablet computer (such as an iPad) that I bring to school	☐	☐	☐
2f. Through my Wi-Fi or 3G/4G mobile device that I bring to school	☐	☐	☐
2g. Another way: [fill in the blank]_____	☐	☐	☐

Calculation for GPRA indicator: Promise Neighborhoods should calculate the number and share of students for four separate categories: (1) those who have access to the internet only at home (through any of the ways listed), (2) those who have access to the internet only at school, (3) those who have access to the internet at home and school, and (4) those who have neither access at home nor access at school.

For the percent of students who have access to the internet only at home, respondents need to have access to the internet at home through at least one way listed in 1a through 1h in Question 1 and have indicated that they do not have any access to the internet at school through any of the ways listed in Questions 2a through 2g in Question 2.

1. Calculate the number of students who answered 1) at least one "yes" for Questions 1a through 1h in Question 1 and 2) answered only "no" for Questions 2a through 2g in Question 2. For Questions 2a through 2g, students cannot have selected any "yes" answers. This is the numerator.
2. Calculate the number of students who gave valid answers to Questions 1 and 2. (Valid answers do not include "refuse" or "don't know.") This is the denominator.
3. Divide the numerator from step 1 by the denominator from step 2.
4. Multiply this ratio by 100 to get the percent of students with access to the internet only at home.

Equation 15.a

$$\textit{Percent of Students with Access to the Internet Only at Home} = \frac{\begin{array}{c}\textit{Number of students who gave at least one "yes" for Question 1}\\ \textit{and only "no" for Question 2}\end{array}}{\begin{array}{c}\textit{Number of students who gave valid answers to}\\ \textit{Questions 1 and 2}\end{array}}$$

For the percent of students who have access to the internet only at school, respondents need to have access to the internet at school through at least one way listed in 2a through 2g in Question 2 and have indicated that they do not have any access to the internet at home through any of the ways listed in Questions 1a through 1h in Question 1.

1. Calculate the number of students who answered 1) at least one "yes" for Questions 2a through 2g in Question 2 and 2) answered only "no" for Questions 1a through 1h in Question 1. For Questions 1a through 1h, students cannot have selected any "yes" answers. This is the numerator.
2. Calculate the number of students who gave valid answers to Questions 1 and 2. (Valid answers do not include "refuse" or "don't know."). This is the denominator.
3. Divide the numerator from step 1 by the denominator from step 2.
4. Multiply this ratio by 100 to get the percent of students with access to the internet only at school.

Equation 15.b

$$\text{Percent of Students with Access to the Internet Only at School} = \frac{\text{Number of students who gave at least one "yes" for Question 2 and only "no" for Question 1}}{\text{Number of students who gave valid answers for Questions 1 and 2}}$$

For the percent of students who have access to the internet both at home and at school, respondents need to have access to the internet at home through at least one way listed in 1a through 1h in Question 1 as well as have access to the internet at school through at least one way listed in 2a through 2g in Question 2.

1. Calculate the number of students who answered 1) at least one "yes" for Questions 1a through 1h in Question 1 as well as 2) answered at least one "yes" for Questions 2a through 2g in Question 2. Students must have answered at least one "yes" answer for both sets of questions. This is the numerator.
2. Calculate the number of students who gave valid answers to Questions 1 and 2. (Valid answers do not include "refuse" or "don't know.") This is the denominator.
3. Divide the numerator from step 1 by the denominator from step 2.
4. Multiply this ratio by 100 to get the percent of students with access to the internet both at home and at school.

Equation 15.c

$$\text{Percent of Students with Access to the Internet Both at Home and School} = \frac{\text{Number of students who answered at least one "yes" to Questions 1 and 2}}{\text{Number of students with valid answers to Questions 1 and 2}}$$

For the percent of students who do not have access to the internet at home or school, respondents need to have indicated that they do not have any access to the internet at home through any of the ways listed in Questions 1a through 1h in Question 1 nor do they have access to the internet at school through any of the ways listed in Questions 2a through 2g in Question 2.

1. Calculate the number of students who 1) answered only "no" for Questions 1a through 1h in Question 1 and who also 2) answered only "no" for Questions 2a through 2g in Question 2. For Questions 1a through 1h and Questions 2a through 2g, students cannot have selected any "yes" answers. This is the numerator.

2. Calculate the number of students who gave valid answers to Question 1 and Question 2. (Valid answers do not include “refuse” or “don’t know.”)This is the denominator.
3. Divide the numerator from step 1 by the denominator from step 2.
4. Multiply this ratio by 100 to get the percent of students without access to the internet at home or at school.

Equation 15.d

$$\textit{Percent of Students without Access to the Internet at Home or School} = \frac{\textit{Number of students who answered "no" for Questions 1 and 2}}{\textit{Number of students with valid answers to Questions 1 and 2}}$$

Frequency of data collection and reporting: Promise Neighborhoods should collect the information via a school climate survey conducted in either the fall or spring of every school year.

Data storage: Promise Neighborhoods should store the school climate survey responses separately from the Promise Neighborhood’s case management system and not linked to individual respondents. Promise Neighborhoods should store school climate survey data files securely in a separate data system keeping track of the schools and years collected.

Performance Measures in the Case Management Data System

Sites should determine if the youth participating in the Promise Neighborhood initiative also have access to the internet for their own performance management and evaluation purposes.

Data collection. Sites should ask youth the same set of questions as listed above.

Frequency. The questions can be asked during the enrollment process and sites should update this information annually. Sites should update all participant records during one standard period of time per year.

Data system. The Promise Neighborhood’s case management data system should include this information.

Chapter 5

Core Elements of the Case Management System

This chapter:

- Reviews the purpose and general content of the case management system.
- Introduces recommended enrollment and intake strategies.
- Outlines the demographic and socio-economic data to be included in the case management system.
- Outlines the data elements to include in a family roster (including a sample family roster).
- Outlines recommended implementation (i.e., program and service) data to include in the case management system.
- Summarizes the *GPRA* data elements to include in the case management system.

Case Management

Promise Neighborhoods can use a case management system for a variety of purposes. Most commonly, it helps caseworkers track information about program participation, services received, background or baseline data, and progress toward specific goals. A second important use of a case management system is to coordinate and communicate between programs and solutions on behalf of an individual or family. Ultimately, collecting consistent, individual-level data in a case management system will allow the program to determine which solutions are most effective or most popular and make adjustments in the constellation of solutions over time.

A case management system will typically include the following types of information.

DEFINITION

Family Roster—*A table with information on the composition of a family and how each member is related to a reference individual. This roster may also include other information such as the names, birthdate, and employment status.*

- Basic **demographic** information about the children and their families who enroll in the program.
- ***Family roster*** data to better understand who lives with the client being served, the various relationships of family members present and socio-economic information about the family.
- ***Implementation data***, which allows Promise Neighborhoods to track the frequency that children and families participate in programs and what types of programs they use. Examples of implementation indicators are the number of times a client participates in each program and the duration of client participation (e.g., differentiating between a 20-minute coaching session and an all-day workshop). Implementation data will most often be collected at the point of service to capture

DEFINITIONS

Implementation data—*Data that tracks individual participation in and interaction with programs, activities, and initiatives, including frequency of participation.*

Outcomes—*Changes in people's knowledge, behavior, health, emotions, attitudes, social conditions or relationships expected to result from a program activity or intervention.*

the details of the types of activities and services received, dates of enrollment, participation, and termination.

- ***Outcomes*** data on results or accomplishments of individuals served are often recorded in a case management system (e.g., assessment scores, program milestones achieved, academic performance). At a minimum, specific *GPRA* data elements should be included. (These are detailed at the end of the chapter.)

These demographic, socio-economic, and implementation information are critically important in helping sites to evaluate their interim progress, make mid-course corrections, or change approaches and strategies for reaching the longer term outcomes articulated in the Promise Neighborhood NOFA. These data will also allow sites to determine whether outcomes differ by subgroups (i.e., segmentation analysis), and help Promise Neighborhoods target services to eligible participants.

Enrollment and Intake Strategies

Each Promise Neighborhood will determine how and when to collect the demographic and socio-economic data about the children and their family members in the case management system. Given the breadth of the initiative and the range of data elements recommended, Promise Neighborhoods should consider implementing a centralized or global intake approach to simplify and streamline data entry. While this may be difficult for Promise Neighborhoods without their own Promise Neighborhood case management staff, creating a centralized intake approach and assigning staff to collect the information from families will ensure the appropriate data are collected and will help ensure that Promise Neighborhoods can reach eligible and interested families and individuals. This approach also minimizes paperwork and other barriers for families when they sign up for programs and activities. A selection of centralized intake methods is described below.

A Centralized Enrollment Process

IMPORTANT

Promise Neighborhoods should adopt a centralized enrollment for their intake process.

The recommended intake process for Promise Neighborhoods is centralized enrollment. In a centralized enrollment process, Promise Neighborhood staff would actively enroll target participants and households in the Promise Neighborhood and its associated services and activities. This process would require that program staff explain the initiative, services, and activities available to families and ask to enroll individuals or families in the initiative as a whole. This enrollment would be conducted in the family's home or in a Promise Neighborhood or community partner office. This method is likely to produce a complete set of information about the whole family and allows the Promise Neighborhood to collect important indicators (as described in the 'Case Management' section of Chapter 3). It also can increase community awareness of Promise Neighborhood services and make it easier for children and families to participate in activities without filling out paperwork at the start of the activity. For example, centralized enrollment will often mean that the service provider just needs to check a few boxes in the case management system rather than make the prospective participant fill out paperwork and obtain parental permission.

Staged Approach to Centralized Enrollment

Because a centralized enrollment process can be resource intensive, Promise Neighborhoods can institute a staged approach to centrally enrolling children, youth, and families to make the process more manageable. This is done by gathering information from an initial priority set of families and then expanding the process to additional families. The example below illustrates a staged enrollment for a Promise Neighborhood with a goal of eventually reaching a target population that includes all families who either live in the neighborhood, have a child attend a target school, or both.

- **Priority 1**: Families of students identified in school district directory information (explained below in '*Pre-Populating the Case Management System*') who live in the Promise Neighborhood and attend a Promise Neighborhood target school. At minimum, each Promise Neighborhood will serve this set of individuals.
- **Priority 2**: Families of students identified in directory information who live in the Promise Neighborhood but who do not attend a target school.
- **Priority 3**: Families of students identified in directory information who do not live in the Promise Neighborhood, but attend a target school.
- **Priority 4**: Other families who live in the Promise Neighborhood, including families of young children and infants, post school-age youth, school-aged children who are not in the public school system for one reason or another (e.g., dropouts), and families that have moved to the neighborhood recently.

Pre-Populating the Case Management System Using School District Information

Once Promise Neighborhoods have selected their case management data systems, the Promise Neighborhood staff will enter data. One option is to pre-populate the case management system with basic information from the school district on children who live in the Promise Neighborhood and attend the target schools. To identify children living in the Promise Neighborhood, the school district will need to work with the Promise Neighborhood to geocode the student addresses and determine whether each address is inside or outside the neighborhood boundary. School districts are allowed, under federal law, to disclose basic "directory information" without obtaining parental consent, provided the district has notified parents of the intent to share such information and provided them with an opportunity to opt-out. (Data sharing requirements are discussed in the *FERPA* Requirements section of Chapter 6.)
Directory information includes only a small fraction of what Promise Neighborhoods will collect at intake. Directory information can include the following.

- name, address, telephone listing, electronic mail address;
- date and place of birth;
- participation in officially recognized activities and sports;
- field of study;
- enrollment status (full-, part-time, undergraduate, graduate);
- degrees & awards received;
- dates of attendance; and
- most recent previous school attended.

This sort of information will go a long way toward helping Promise Neighborhoods collect basic personal and education information, but further data collection will be required to obtain all of the intake information needed as well as to collect data on other Promise Neighborhood participants not enrolled in the school system, such as adults, preschool age children and children and youth who have dropped out of school, attend a private or parochial school, or have recently moved into the school system. To gather this additional information, it is recommended that Promise Neighborhoods use a centralized enrollment process, as described above.

Enrollment and Intake through Partner Organizations

IMPORTANT

The Promise Neighborhood should generate a unique ID number ('Promise Neighborhood ID') for each person in the case management system. The 'Case Identification Number' section of Chapter 3 explains the ID number in more detail.

Promise Neighborhoods using the centralized enrollment process (described above) may need to supplement their collection of information on target populations and their families by having community partners collect intake information as well. This would also be a viable method of supplementing pre-populated information for Promise Neighborhoods that are unable to conduct a centralized enrollment process. This method would work via the first contact that an individual or family has with the Promise Neighborhoods initiative. In other words, every time a child or family participates in the Promise Neighborhood activity, program, or service, the service provider would enter basic identifiers (e.g., name and school attended) to check whether the participant is already in the Promise Neighborhood's case management system (from a previous contact with the initiative); if the participant is not in the case management system, then the service provider would enter the participant's

IMPORTANT

A key decision point for whether or not to use this enrollment at first point of contact method is whether the Promise Neighborhood can develop and implement a centralized intake process through a shared case management system accessible to all service providers. This would require a web-based interface and that all service providers are given basic credentials and guidance to log into the system.

information. This could include a standard procedure of conducting intake for all students in the Promise Neighborhood target schools near the beginning of the initiative and when new students enroll in the schools. A key factor for whether or not to use this enrollment at first point of contact method is whether the Promise Neighborhood can develop and implement a centralized intake process through a shared case management system accessible to all service providers. This would require a web-based interface and would require that all service providers are given basic credentials and guidance to log into the system.

Using a Threshold for Full Enrollment

Some Promise Neighborhoods may wish to use a cut-off or threshold of participation before conducting a full intake with each participant. For example, the participant (or his/her family) might not be asked to provide intake information until after he or she has attended a pre-determined number of sessions, or when he or she first participates in certain types of programs. After this initial threshold is reached, the Promise Neighborhood would collect full intake information, including demographics, family roster, and data tracking consent. Prior to reaching this threshold, service providers would only collect very basic sign-in information (e.g., name, date of birth, school, and event attended) on each participant for the first few times he or she attended a Promise Neighborhood activity.

Alternatively, Promise Neighborhoods might choose to designate the types of service providers (e.g., providers of more formal services, such as healthcare, formal counseling, or education programs) that would collect the full intake data and others that would not (e.g., volunteer service providers running a pick-up basketball game). This method may be complicated given the coordination with service providers it would require, but it would ensure that children and families trying out one of the Promise Neighborhood's programs for the first time are not scared away by too much paperwork. In some cases, this method could actually be simpler than having all service providers collect intake information at first contact with Promise Neighborhoods, because it would limit the types of providers with which the Promise Neighborhood would need to coordinate.

DEFINITION

Full Intake—*Includes administration of consent forms and collecting demographic and family roster information.*

Individual-level Data in the Case Management System

IMPORTANT

Four types of data should be included in the case management system:

1. demographic and socio-economic characteristics of children and their family members,

2. family roster, and

3. implementation indicators, and

4. outcomes.

This section describes the data elements that Promise Neighborhoods should include in their identified individual-level case management system. These data include demographic and socio-economic characteristics of the children and family, the family roster, and implementation indicators.

Demographic and Socio-Economic Characteristics

Exhibit 5.1 outlines specific demographic and socio-economic data elements to collect for each child and family member, within a household, who is enrolled in the Promise Neighborhood initiative. These data should be collected on all participants in the Promise Neighborhood, regardless of whether they are children/youth in the target population or parents/guardians of the target population. For example, parents participating in training to support their babies or young children, through programs

such as the Harlem Children's Zone's "Baby College," would be entered as adult participants.

Having complete information on a child's age, race/ethnicity, gender, school attended, grade at school, residential address, and other key information both at the beginning of the initiative and updated over time will be crucial to tracking progress of that child. For consistency, sites should include the response options indicated in the table as part of their data collection. However, in some instances, sites may wish to include a greater level of specificity by adding additional codes, such as for Asian subgroups.

Exhibit 5.1—Recommended Demographic and Socioeconomic Data included in Case Management System

#	Data element	Response options	Frequency	Notes/Other
1.	Promise Neighborhood ID		At intake/enrollment	
2.	Name	Last name, First name, Middle initial	At intake/enrollment; update as needed (e.g., name change)	
3.	Address	Street number, street name, city, state, zip code	At intake/ enrollment; verify/update at 6 month intervals, or sooner as necessary	
4	Years at current residence	Number of years (see note)	At intake or enrollment; update annually	If less than 1 year, record in months.
5.	Date of birth	Month, Day, Year	At intake/enrollment	
6.	Gender	Male Female Other	At intake/enrollment	

Exhibit 5.1—Recommended Demographic and Socioeconomic Data included in Case Management System, continued

#	Data element	Response options	Frequency	Notes/Other
7.	Race	American Indian or Alaska Native Asian Black or African American Native Hawaiian or Other Pacific Islander White	At intake/enrollment	Add other categories as appropriate; document in local data dictionary.
8.	Hispanic ethnicity	Hispanic non-Hispanic	At intake/enrollment	
9.	Primary language		At intake/enrollment	
10.	English as a second language	Yes No	At intake/enrollment	
11.	School enrollment status	Attending regular school (public or private, magnet, or charter) Home schooled Attending court or alternative school Graduated from high school GED completed Dropped out Post high school (vocational, community college, college)	At intake/enrollment; update annually.	
12.	Grade level	Kindergarten First through twelfth grades (1st, 2nd, 3rd, etc.) GED Ungraded setting Not enrolled in school grades K-12	At intake/enrollment; update annually.	
13.	School name	Name of school	At intake/enrollment; update annually.	It would be best to provide a drop-down menu for this field. This can be full name of school or an abbreviation, but should be standardized for everyone using the case management system.

Exhibit 5.1—Recommended Demographic and Socioeconomic Data included in Case Management System, continued

#	Data element	Response options	Frequency	Notes/Other
14.	Current or highest grade completed	Record corresponding grade number	At intake/enrollment; update annually.	Sites should note highest grade completed if youth dropped out of school.
15.	Eligible for free or reduced price lunch	Yes No	At intake/enrollment; update at start of school year.	A challenge with collecting this information from parents or students is that they might not be aware of their eligibility status. Sites should also collect or verify with administrative sources.
16.	Special education or learning disability	Yes No	At intake/enrollment; update annually.	
17.	Date of high school graduation or GED.	Month, Year	At intake/enrollment; update annually until date is available.	Report for youth who report having graduated or obtained GED.
18.	Diagnosed medical condition	Yes (specify) No	At intake/enrollment; update annually.	
19.	Current Caregiver Setting	Two-parent home (including step-parent) Single mother, responsible for care of dependent children Single father, responsible for care of dependent children Joint custody Kinship care Foster care (includes youth living with relatives if this is a formal home placement) Group home Residential treatment Incarcerated setting Runaway or homeless/street youth	At intake/enrollment; update annually.	

Family Roster

IMPORTANT

The parent or guardian of the participant should serve as the reference point for specifying other familial relationships in the housing unit. If two or more families live in the same housing unit and have participants in Promise Neighborhoods, then separate rosters should be enumerated, each with a unique family ID.

Promise Neighborhoods should also include family roster data in the case management system for all families of enrolled Promise Neighborhood participants. A family roster consists of a list of all participant and non-participant family members (i.e., family members not enrolled in Promise Neighborhoods) living in the household with a person who is receiving Promise Neighborhood services. The family roster would include the names and relationship of each person in the child's family. In addition, Promise Neighborhoods could collect critical information about the child's parent(s)/guardian(s), including education attainment, employment status, and income for evaluation purposes.

Family roster information provides important context for understanding a participant's home situation, which could have a big impact on the child's observed outcomes or participation and success in particular programs. For example, a parent's education level has been shown to be an important factor in a child's future educational success.

The roster information will most likely need to be provided by an adult who lives with the child being served, preferably the child's parent or legal guardian. Data collection for the family roster can be combined with procedures for obtaining parental consent (either to participate in the program at all or to permit Promise Neighborhoods to access administrative records on behalf of the child being served as described in Chapter 6.)

Unique identification numbers should be assigned to each enrolled child and adult, as well as a unique family identification number for all members in the family. (This is described in greater detail in Chapter 3.) Family roster information should be updated annually. Exhibit 5.2 describes the types of data to be collected for the family roster.

Exhibit 5.2—Data in the Family Roster

Data element	Response options	Notes
Promise Neighborhood ID		Use existing PN IDs that are generated by the case management system for children, youth, and parents already enrolled. Generate new ID for other family members
Family ID		Generate for family. Number will be the same for all family members
Name		-
Date of birth	Date of birth	-
Gender	Male/Female/Other	-
Relationship to parent or guardian	May include: wife, husband, mother, father, daughter, son, brother, sister, step-daughter, step-son, grand-son, grand-daughter, half-brother, half-sister, step-brother, step-sister, cousin, niece, nephew	-
Primary language spoken	Language	-
Highest grade level completed	Highest grade K-12, high school diploma, GED, some college, associate's degree (2 year), college degree (4 year)	-
Employment status	Full-time (at least 35 hours per week), Part time (less than 35 hours per week), TANF work requirement, Occasionally (seasonal or irregular work; summer job), Not employed, Not in the labor force	-
Annual income (prior year)	Annual income last year (U.S. dollars)	-

A parent or guardian of the participant in Promise Neighborhoods should serve as the reference person for specifying familial relationships within the household. Only members of the family should be included in the roster. Individuals unrelated to the participant or guardian should not be included in the roster. If there are two families living in the same housing unit, each with a Promise Neighborhood participant, then separate rosters should be enumerated for both families, and each should be assigned a unique family ID number.

Exhibit 5.3a shows a sample, completed family roster (based on the data elements listed in Exhibit 5.2). In this example, Paula is an 11th grader participating in the Promise Neighborhood and Krista is her mother. The mother, Krista, provided the family roster details and all family relationships are reported relative to her. Two other family members live in the household with Paula and Krista: Paula's brother, Timmy, and her and grandmother, Carly. Since the family relationships are expressed in relation to Paula's mother (her principal guardian), Timmy is identified as Krista's *son* and Carly as Krista's *mother*.

Exhibit 5.3a—Sample Family Roster

Promise Neighborhood ID	Family ID	Name	Date of Birth	Gender	Relationship to Parent or Guardian	Primary Language Spoken	Current or Highest Grade Level	Employment Status	Prior Year Annual Income
PN00001	12118	Krista	4/10/1970	Female	Self	English	HS Diploma	Part-time	28,000
PN00002	12118	Paula	7/1/1995	Female	Daughter	English	11	Occasional	2,500
PN00003	12118	Timmy	10/6/2004	Male	Son	English	3	Not in Labor Force	0
PN00004	12118	Carly	11/3/1943	Female	Mother	English	8	Not in Labor Force	0

Exhibit 5.3b illustrates a slightly more complicated family roster—one that includes multiple generations. In this example, Jose is the Promise Neighborhood participant. He lives with his mother (Maria) and his sister (Maya). Two of Maria's grandchildren live with them as well. Based on the current information provided, however, one cannot know for sure if Johan and Gabi are children of Maya or perhaps some other mother or father not living at the same residence. If this information is deemed important, the local case management system could include case notes to capture this additional information.

Exhibit 5.3b—Sample Family Roster

Promise Neighborhood ID	Family ID	Name	Date of Birth	Gender	Relationship to Parent or Guardian	Primary Language Spoken	Current or Highest Grade Level	Employment Status	Prior Year Annual Income
PN00011	14525	Maria	3/19/1954	Female	Self	Spanish	10	Disabled	12,000
PN00012	14525	Jose	2/4/1996	Male	Son	English	10	Occasionally	4,500
PN00013	14525	Maya	9/26/1987	Female	Daughter	English	HS Diploma	Full-time	37,000
PN00014	14525	Johan	4/10/2002	Male	Grandchild	English	4	Not in Labor Force	0
PN00015	14525	Gabi	8/25/2009	Female	Grandchild	English	0	Not in Labor Force	0

Implementation data

To understand whether and how Promise Neighborhood initiatives and services are effective, it is important that the Promise Neighborhoods collect and track, at an individual level, information on the type, quantity, and duration of services delivered to participants. This will require describing and categorizing different types of services and solutions (e.g., case management, wrap around care, drop-in program), recording individual treatment data (e.g., who participated in using the services), and dosage (e.g., when services started and ended, frequency, and duration). Each Promise

IMPORTANT

Collecting data about children and family participation in the Promise Neighborhood programs is critical. At a minimum, Promise Neighborhoods should collect at least the 11 implementation data fields listed below.

Neighborhood should document this information in its case management system for every participant.

Implementation data will help individual service providers and the Promise Neighborhood better understand what services or combination of services are associated with various client outcomes or improvements. These data will also help sites or service providers determine if there is a minimum threshold of service that is associated with more positive outcomes for clients. For example, a review of the data may reveal that students who receive at least 40 hours of tutoring assistance show noticeable gains in test scores, while those with less than 40 hours show no change. Sites may also use these data to differentiate which among a group of related programs are realizing better success with clients, and then choose to restructure the mix of services offered.

At a minimum, the implementation data section of the case management system should include the following fields to enable service providers to accurately record the implementation data recommended in this document.

Recommended Implementation Data Fields

1. Promise Neighborhood ID.
2. Client name (individual receiving services).
3. Name of service provider (as with services and activities, consider developing a local code or drop-down menu of each organization providing services in the neighborhood).
4. Enrollment or start date with service provider (not the date of first contact with Promise Neighborhood Initiative).
5. Type of service (e.g., academic assistance, skills development, mentoring, case management) .
6. Activity or service description (open field for service provider to write a more specific description of the activity or service delivered, since the generic activity label or service code might be operationalized differently from service provider to service provider).
7. Expected level of participation.
8. Dates of participation for each activity or service received (record each date individually).
9. Duration of participation for each session (in hours or minutes).
10. Exit date from service provider (not each individual service).
11. Exit reason (e.g., completed the service(s), transferred to another service-provider, dropped out, terminated for cause, ineligible to continue).

To document types of activities or services (item 5), activity or service descriptions (item 6), and details about the expected level of participation (item 7), each Promise Neighborhood should create a service typology categorizing the types of services and activities offered as part of the Promise Neighborhood initiative.

Appendix 5.1 offers a sample service typology to help sites envision the wide array of activities and services that may be offered. Sites should use or adapt such a listing and

incorporate it into their case management software, perhaps in the form of a drop-down menu, so that all service providers are drawing from the same list of activities and services. The service descriptions may vary from provider to provider and these variations can be detailed and documented in the case management system. Depending on the complexity of the service typology, sites may wish to assign alpha or numeric codes to create a natural hierarchy or logical grouping of activities, based on how the program is structured in each site.

Whenever possible, the service typology should include details about what constitutes expected level of participation (item 7). This information is important to help service providers and others better interpret whether participation levels are contributing to various outcomes. For example if a counseling program consists of ten, one-hour sessions and a client only attends four, this could provide important insight regarding the progress attained. There is likely to be wide variety across programs and Promise Neighborhood with regard to these expected levels. For some service or activities (e.g., drop-in programs, pick-up sports programs, or transportation services) defining an expected level of effort will not be practical.

The local service typology will serve as a data dictionary to help researchers (and, in some cases, Promise Neighborhood case managers) better understand how programs are structured and help them to interpret implementation data related to participation, dosage, and duration.

Exhibit 5.4 shows a sample activity log for a hypothetical participant that would be recorded in the case management system. Exhibit 5.5 shows a summary table of activity over the course of a reporting period, which is the level of data expected to be reported in the longitudinal data.

Exhibit 5.4—Sample Services and Activities Log for a Single Client

ABC Boys and Girls Club Activity Log

Name: Paula Higgins
PN ID: PN00002
Start Date: 10/15/12
Exit Date:
Reason for Exit:

Type of Service	Date of Service	# minutes
College Guidance	10/20/12	60
College Test Preparation	11/1/12	120
Sports: Basketball	11/4/12	60
Sports: Basketball	11/5/12	60
Sports: Basketball	11/6/12	60
College Guidance	11/20/12	60
College Test Preparation	12/21/12	120
Sports: Basketball	12/5/12	45
Sports: Basketball	12/6/12	45
Sports: Basketball	12/7/12	45
Sports: Basketball	12/12/12	45
Sports: Basketball	12/13/12	45
Sports: Basketball	12/14/12	45
College Guidance	12/20/12	60

Exhibit 5.5—Sample Summary Log of Services and Activities for a Single Client

Client Summary of Services

Provider: ABC Boys and Girls Club
PN ID: PN00002
Reporting Period: 10/1/12 - 12/31/12

Service Type	# Sessions	Total Minutes
College Guidance	3	180 minutes
Sports Basketball	9	450 minutes
College Test Preparation	2	120 minutes

Promise Neighborhoods, in conjunction with the school partners and other organization partners, may implement school- and neighborhood-based strategies as well that do not lend themselves to individual-level tracking. For example, the Promise Neighborhood may host a college fair for high school students, but only record total attendance, rather than identifying individuals who take part. This information should still be collected and tracked, but it would be stored with other neighborhood- or school-level data, as appropriate.

GPRA Indicators in the Case Management System

As discussed in Chapter 4, virtually all of the *GPRA* indicators will rely on summary school-level data, neighborhood surveys, and school climate surveys as their data source. Only one *GPRA* indicator, *GPRA* 7 (parts b and d), requires that Promise Neighborhoods use identified individual-level data saved in the case management system.

GPRA 7b (remediation for math and English) and 7d (industry certification) requires that the Promise Neighborhoods collect information directly from Promise Neighborhood high school graduates and save the identified information in the case management system. Chapter 4 describes these *GPRA* indicators in detail, and the section on *GPRA* 7 provides definitions, methodology, and formulas to construct these indicators.

While most of the *GPRA* indicators do not require information from the case management system for reporting to the Department, Promise Neighborhoods are strongly encouraged to collect the same information as the other *GPRA* indicators directly from individuals and families enrolled in the Promise Neighborhood. In other words, *GPRA* indicators and component data elements collected from summary school data, neighborhood surveys, and school climate surveys (with the exception school safety data) should also be collected specifically from the children and families enrolled in the Promise Neighborhoods, and tracked in the case management system. Promise Neighborhoods are encouraged to collect this information above and beyond what is required for the *GPRA* indicators.

Individual-level information on *GPRA* indicators will be instrumental for Promise Neighborhood's internal performance management and formative evaluation purposes. While collecting data through surveys will be helpful to measure overall trends in the neighborhood and the target schools, individual measures in the case management system will allow better tracking of outcomes in relation to specific activities in the Promise Neighborhood's continuum of solutions.

Descriptions of this additional data to be included in the case management system are provided in the case management sections at the end of each full *GPRA* indicator description in Chapter 4.

Chapter 6

Ensuring Confidentiality and Data Security

This Chapter:

- Provides an overview of data sharing for Promise Neighborhoods.
- Describes and provides examples of data sharing agreements and how to obtain individual consent and authorization for collecting personal data.
- Explains the procedures for ensuring data security and good data governance.

As discussed in Chapters 4 and 5, Promise Neighborhoods need to track information individually for the children, related family members, and others who are enrolled in or affected by the services provided by the Promise Neighborhood. This individual-level data would include information on selected program and project indicators tracked by all Promise Neighborhood grantees, as well as implementation indicators on the use of particular programs and services by children or families in the Promise Neighborhood.

IMPORTANT

Promise Neighborhoods should develop and put in place the necessary consent and data security processes before collecting any personally identifiable information.

This chapter discusses issues related to collecting, storing, using, and disclosing personally identifiable information by Promise Neighborhoods. This includes electronic records for children who are enrolled in Promise Neighborhood programs or attend Promise Neighborhood target schools (or both), and also includes records on these children's family members, such as parents or siblings. Some of these data may already be collected by Promise Neighborhood partners in existing administrative data systems, which might then be imported into the Promise Neighborhood data system. Other data may need to be collected by the Promise Neighborhood through direct interactions with program participants or through surveys.

DEFINITION

Personally identifiable information—*Information that, either alone or when combined with other information, can be used to identify a specific individual.*

This chapter includes guidance on obtaining and integrating personally identifiable information into a Promise Neighborhood data system. Proper handling of personally identifiable information requires obtaining written consent and authorization to collect and share such information and then carefully following procedures that protect the privacy of individuals during data collection, storage, and reporting. Rigorous protections increase the confidence of partners and participants that their personal information will remain protected; a lack of such protections could result in the mishandling of confidential data, causing possible harm to children and families, putting at risk future Promise Neighborhood data collection efforts, and potential violation of federal laws.

DEFINITION

Data security plan—*A written set of procedures and rules for how an organization, group, or initiative will collect, store, and report information.*

The first section of this chapter discusses the terminology used to describe different types of protected information in this chapter. The next section provides an overview of the types of individual-level data sharing arrangements across partners and service providers that must be in place for Promise Neighborhoods to have access to the information they need to track program implementation and measure results. Subsequent sections discuss steps for writing and negotiating data sharing agreements with partners, obtaining consent from participants to collect and share data, developing a data security plan for storing and handling confidential data, and creating a data governance structure.

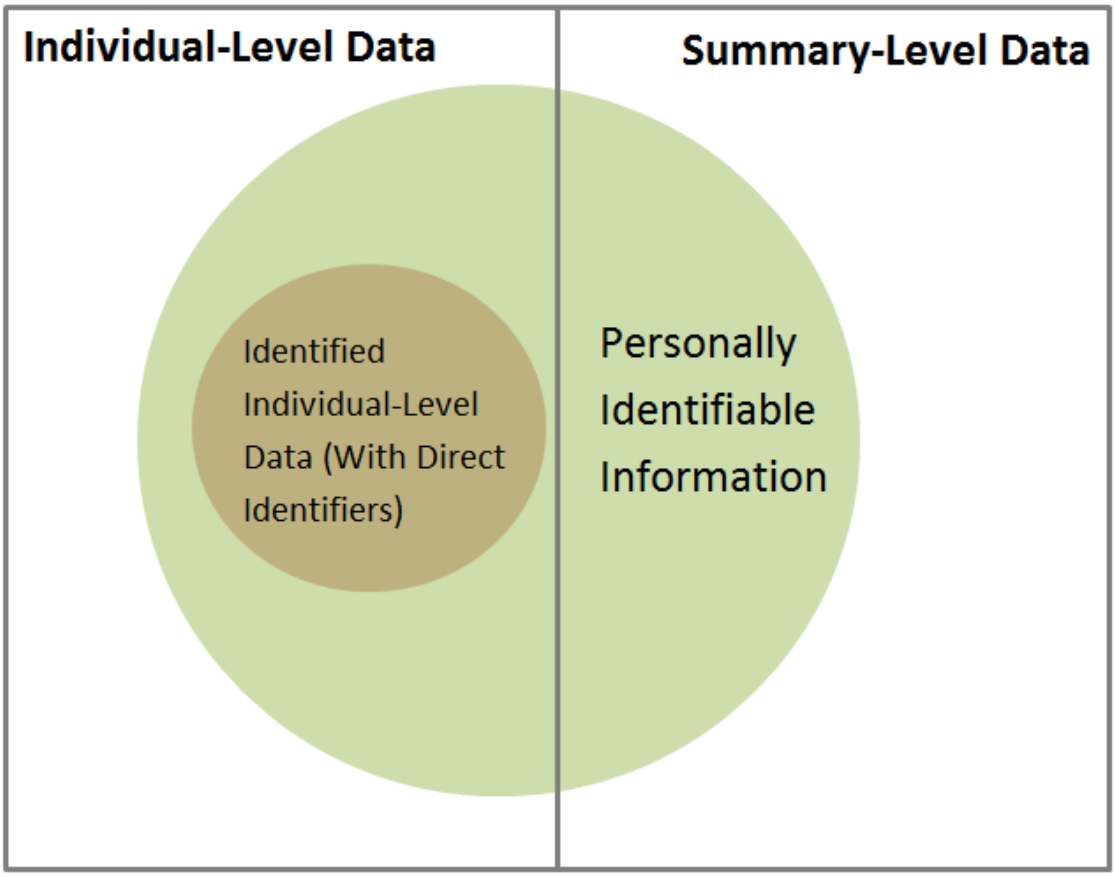
Data Security Checklist

- ✓ Identify data that are needed and sources for those data.
- ✓ Negotiate data sharing agreements with service partners for data to be shared with the Promise Neighborhood.
- ✓ Obtain written consent and authorization for sharing personally identifiable information.
- ✓ Institute data security and governance structures to protect private and confidential data.

Identified and Identifiable Data

Privacy issues can arise when the Promise Neighborhood or one of its partners collects, handles, or discloses information linked to a particular person. This chapter refers to different types of data and information which may be subject to protections to safeguard individuals' privacy. Understanding the specific terminology describing protected data will help Promise Neighborhoods to better comprehend and apply the guidance in this chapter.

Exhibit 6.1 Level and Identifiability of Data



DEFINITIONS

Individual-level data— *Data collected for a specific child or adult.*

Summary-level data— *Information that has been summed, averaged, or otherwise combined from lower-level records.*

Identified individual-level data—*Individual-level data with direct identifiers, such as name or address, that would allow one to connect the data to a specific person.*

Exhibit 6.1 illustrates the distinction between identified, identifiable, and other data. All data can be categorized as either individual level or summary level. Individual-level data are data collected for a specific child or adult. These data might include a person's age, the number of days he has been absent from school, or whether she participates in an early learning program. Summary-level data, also referred to as aggregated data, is information that has been summed, averaged, or otherwise combined from lower-level records. For example, average school-wide test scores compiled from individual student test results are summary-level data.

Within both individual-level and summary-level data is a subset of data referred to as personally identifiable information, which is data that, either alone or when combined with other information, can be used to identify a specific individual. The most obvious type of personally identifiable information is identified individual-level data, that is, individual-level data that include direct identifiers (such as name or address) that would allow one to connect the data to a specific person. When Promise Neighborhoods collect program participation and outcome information through a case management system these data would be considered identified individual-level data, since each record would be tied to a specific child or adult. Such data need to be protected and

may be subject to consent, authorization, and other legal requirements, as described further in this chapter.

It is important to understand, however, that individual-level data without direct identifiers, or even some summary-level data, can also be personally identifiable information and is therefore subject to privacy protections. For example, individual-level data from a school climate survey that does not collect students' names or other identifiers may still be considered personally identifiable information if some combination of other information (such as grade, sex, and race) could be used to identify a particular student in the data. Similarly, if summary tabulations of test scores broken down by other personal characteristics (such as grade, sex, and race) results in information that can be attributed to specific students, these summary data would also be personally identifiable information.

Promise Neighborhoods can and must take steps to protect both individual-level and summary-level personally identifiable information and prevent inappropriate or illegal disclosures of such information. Further details are provided in this chapter.

Data Sharing Overview

Promise Neighborhoods will need to collect an extensive set of information on children and adults to be able to track program activities and report results. As discussed in the previous chapter on data systems, some of these data will include identified individual-level data and other personally identifiable information on children, adults, and families that will be stored in and accessed through the Promise Neighborhood case management system. Having detailed data on specific individuals will allow Promise Neighborhoods to track participation in activities and services and relate that participation to particular results and outcomes.

The flowchart in Exhibit 6.2 provides an overview of the sharing of identified individual-level data and other personally identifiable information likely needed to operate and manage a typical Promise Neighborhood. Identified individual-level education data from school districts, identified protected health information from *HIPAA*-covered entities (such as health care providers), and identified data from other service providers would flow into the Promise Neighborhood case management system. These data would be linked internally in the case management system (such as through a common Promise Neighborhood identification number) so that information on the same identified individual from different sources are connected. Promise Neighborhoods should have *data sharing agreements* in place with the different entities that will be providing or accessing identified individual-level data and other personally identifiable information.

As indicated in the flowchart, sharing of personally identifiable information with the Promise Neighborhood will require, in almost all cases, obtaining prior written consent or written authorization. In the case of education records and medical records, two federal laws, the *Family Educational Rights and Privacy Act* (*FERPA*) and the *Health*

DEFINITION

HIPAA-*covered entity*— *Health plans, health care clearinghouses, and health care providers who conduct certain transactions in electronic form are considered covered entities under* HIPAA. *The* HIPAA Privacy Rule *dealing with protected health information applies to all covered entities.*

Data sharing agreement– *An agreement between the providers and recipients or users of data on which data can be shared, under what circumstances, and for which purposes as well as how data will be used, handled, aggregated, and disseminated.*

DEFINITION

Protected health information (PHI)— *Individually identifiable health information held or transmitted by a* HIPAA-*covered entity (e.g. health care provider) or its business associate. PHI is information, including demographic data, relating to a person's past, present, or future physical or mental health, to the provision of health care to a person, or to payments for the provision of health care.*

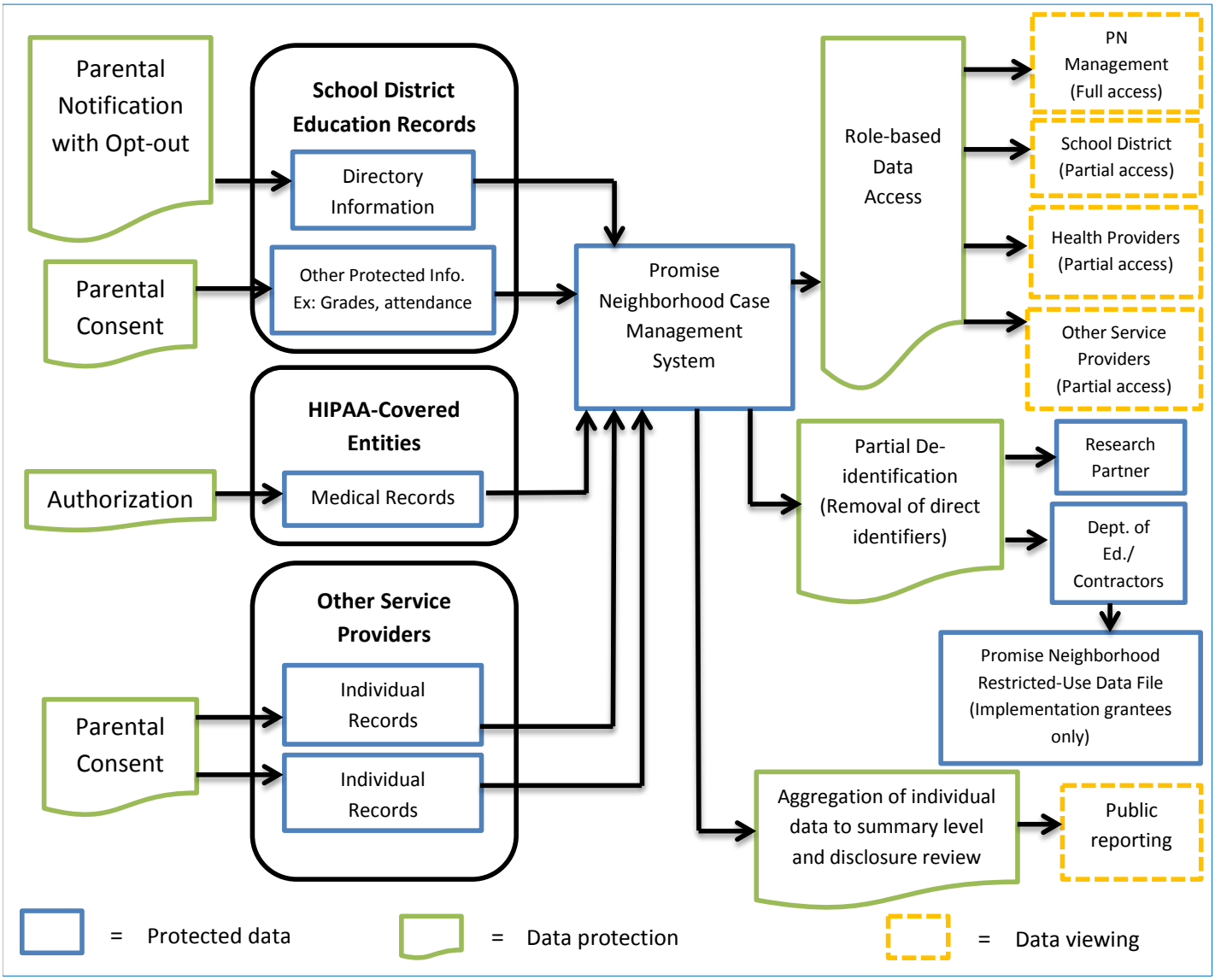
Insurance Portability and Accountability Act (*HIPAA*), set protections for individuals on the disclosure and use of personal information that include explicit requirements for obtaining written consent (for education information protected by *FERPA)* and written authorization (for health information protected by *HIPAA*) before such data can be released to the Promise Neighborhood. Further details on obtaining consent and authorization are provided in the next section and a more complete discussion of both laws is available in Appendix 6.2. The guidance given in this document regarding data sharing is intended to help grantees work with their partners to comply with *FERPA* and *HIPAA* requirements.

For other data not subject to the protections established by *FERPA* or *HIPAA*, there may be state laws or regulations that require obtaining consent or authorization for data sharing. Regardless, it is recommended best practice for Promise Neighborhoods to obtain written consent whenever sensitive data or personally identifiable information will be collected or shared. This will help ensure that Promise Neighborhood participants are fully informed as to how their personal information will be disclosed and used and, hopefully, will help develop a more transparent and trusting relationship between the Promise Neighborhood and the families it is serving.

What are FERPA and HIPAA?

The *Family Educational Rights and Privacy Act* (*FERPA*) and the *Health Insurance Portability and Accountability Act* (*HIPAA*) are federal laws that provide protections and disclosure requirements for student data maintained by schools (for *FERPA)* and information on patients collected by covered health care providers (for *HIPAA*). Both laws define particular types of information that are protected and specify restrictions on the disclosure of this information. The guidance on data sharing in this document was written to assist grantees in working with school districts, *HIPAA*-covered entities, and other partners to conform to the requirements of *FERPA* and *HIPAA* when sharing education data or protected health information. A more complete discussion of both laws is provided in Appendix 6.1.

Exhibit 6.2 Data Sharing Overview: Identified Individual-Level Data and Personally Identifiable Information



Note: For *FERPA*-protected education records, eligible students may give their own consent in place of parental consent. *HIPAA* requires authorization from an adult individual or from a minor's parent or personal representative.

DEFINITION
Eligible students— *Students 18 years or older, students enrolled in college (of any age) who are legally able to give their own consent for sharing their personal data.*

Education records from school districts are an important source of data for Promise Neighborhoods. As discussed in Chapter 4, school administrative data can directly inform the reporting on several of the *Government Performance and Results Act* (*GPRA*) academic and family support and community indicators for Promise Neighborhoods, specifically,

- *GPRA* 4. Number and percent of students at or above grade level according to State mathematics and English language arts assessments.
- *GPRA* 5. Attendance rate of students in 6th, 7th, 8th, and 9th grade.

- *GPRA* 6. Graduation rate.
- *GPRA* 11. Student mobility rate.

As noted above, *FERPA* protects identified individual-level data and other personally identifiable information from students' education records maintained by educational agencies or institutions. *FERPA* generally requires that parents of students, or eligible students themselves, give written consent to allow the disclosure of personally identifiable information maintained by schools and school districts. There are numerous exceptions to the consent requirement, one of which is the "directory information" exception, which allows schools and school districts to disclose certain personally identifiable information from education records without consent through parental notification and opt out. Directory information may include the following items, if designated by the school district,

- name, address, telephone listing, electronic mail address;
- date and place of birth;
- photographs;
- participation in officially recognized activities and sports;
- field of study;
- weight and height of athletes;
- enrollment status (full-, part-time, undergraduate, graduate);
- degrees and awards received;
- dates of attendance (i.e., academic years attended; does not include daily attendance records);
- most recent previous school attended; and
- grade level.

School districts may disclose directory information including any of the above items if they have given prior public notice to parents of students (or, for eligible students, to the students themselves) of the intent to disclose this information. A model notice is provided in Appendix 6.2 for illustration. The school district's notice must tell parents and eligible students that they have the right to opt out, which would prevent the school district from disclosing any or all types of student data as directory information. The announcement may also specify that the school district has adopted a limited directory information policy (if it has done so) allowing for the disclosure of directory information to specific parties, for specific purposes, or both. For more information on the *FERPA* directory information exception, please see 34 CFR § 99.3 (definition of "Directory information"), 99.31(a)(11), and 99.37.

Many school districts already have directory information policies and notification/opt-out processes in place. In this situation, the Promise Neighborhood should discuss with the school district whether sharing directory information with the Promise Neighborhood is possible within current policy or if changes will need to be made first. For example, the model notice in Appendix 6.2 includes additional language to inform parents of the school district's intent to and purpose in disclosing directory information to the Promise Neighborhood. While not required by *FERPA*, school districts may want

to consider adding this or similar language to their current notice for better transparency regarding the disclosure of student data.

> In addition, because this [**School District**] is a partner in the **[Promise Neighborhood name]**, student directory information will also be shared with other partners to help identify students and families who may benefit from services provided by the **[Promise Neighborhood name]**.

While not all of the items in the list of allowable directory information will be of interest to Promise Neighborhoods, as was discussed in Chapter 5, directory information may be most useful to prepopulate a case management system with basic data on all students who either live in the Promise Neighborhood, attend target schools, or both. Of course, directory information for students whose parents have opted out of disclosing such data (or for eligible students who have themselves opted out) may not be shared with the Promise Neighborhood and used for this purpose.

While data from school districts are an important source of information for *GPRA* education indicators and other measures, Promise Neighborhoods may need to obtain access to other administrative data to be able to fully track *GPRA* non-education indicators, as well as other data on the implementation and outcomes, for the full pipeline of services provided. These may include data from health care providers and other Promise Neighborhood service providers. As noted above, individually identifiable health information maintained by certain health care providers is protected by *HIPAA* regulations, which require authorization from an adult individual, a minor's parent, or personal representative before this information can be disclosed to the Promise Neighborhood.

The data sharing flowchart in Exhibit 6.2 also shows the different ways that information will flow out of the case management system to different partners and constituencies of the Promise Neighborhood. Some entities, such as the Promise Neighborhood management team and service providers, would need access to identified individual-level data to perform their roles of providing coordinated services to persons and families and for monitoring program performance and results. The extent of access would be limited according to the roles of the specific entity, based on policies put in place by the Promise Neighborhood and agreed to by the data providers. For example, the Promise Neighborhood management team will need to have full access to all of the data in the system to properly manage and monitor the overall Promise Neighborhood effort, while individual service providers may need a more limited set of data specific to the needs of the programs that they are operating. These role-based data access requirements would be spelled out in the data sharing agreements and the Promise Neighborhood's data security plan.

The Promise Neighborhood management and service providers would have the ability to view data in the case management system, but individual data would not be stored permanently on the computer systems of these entities. For Promise Neighborhoods working with research or evaluation partners, however, it will likely be necessary to

IMPORTANT

Promise Neighborhoods must perform a disclosure review before releasing any data to ensure that personally identifiable information are not disclosed.

transmit individual-level data and other personally identifiable information to be stored and manipulated by analysts. The disclosure of personally identifiable information to research or evaluation partners must be included in the data sharing agreements and written consent to disclose these data, as appropriate. Since data for research and evaluation purposes do not need to be identified, the Promise Neighborhood should remove all direct identifiers (such as names, social security numbers, and addresses) before transmitting the data to the research partner.[1] Doing so eliminates some, but not all, of the risks of disclosing personally identifiable information. Someone may, for example, be able to connect data to a particular individual through some combination of characteristics (age, race, and sex, for example) or by using other sources of information. Therefore, data provided to research partners in this form should still be considered as personally identifiable information and adhere to the same consent, privacy, and security restrictions on all protected information handled by the Promise Neighborhood.

Promise Neighborhood implementation grantees will also need to provide individual-level data, with direct identifiers removed, to the U.S. Department of Education (or one of the Department's contractors). These data will be used to create a special restricted-use data files for future research on Promise Neighborhoods.

What are the Promise Neighborhood restricted-use data files?

The *Promise Neighborhood restricted-use data files* will contain individual-level data on Promise Neighborhood programs and participants. The *data files* will be created by the Department of Education from data provided by implementation grantees and will be made available to selected researchers for conducting future studies on Promise Neighborhoods. Data will include information on the characteristics of persons who live in the Promise Neighborhood or participate in Promise Neighborhood programs, the types and amounts of services they received, and selected results measures (e.g., *GPRA* indicators). While all direct identifiers (such as names and addresses) will be removed before these data are transmitted to the Department of Education, these data will still be considered confidential and will only be accessible to approved researchers under a data use agreement with the Department.

Finally, the Promise Neighborhood will need to produce summary measures from the individual-level data used in reports created for other audiences, such as the Promise Neighborhood Advisory Board, funders, and the public. Since these data will be aggregated to summary statistics, such as for the entire neighborhood or all the students in a school, the risk of revealing any personal information about individuals is greatly diminished. Nevertheless, Promise Neighborhoods must perform a disclosure review of all data before they are released to ensure that individuals cannot be identified in the data and, if necessary, take steps to conceal or protect any information that poses a disclosure risk. The National Center for Education Statistics has published a technical brief on statistical methods for protecting personally identifiable information in summary data (http://nces.ed.gov/pubsearch/pubsinfo.asp?pubid=2011603).

The remainder of this chapter provides more detail on the key steps needed to implement the data sharing arrangements describe above, including obtaining written consent and authorization from participants for data sharing, writing, and negotiating data sharing agreements, and putting in place data security and data governance structures.

Consent and Authorization Procedures

When a Promise Neighborhood collects identified individual-level data and other personally identifiable information, it needs to obtain written consent or authorization. As noted in the overview of individual-level data sharing earlier in this chapter, obtaining consent/authorization may be required in certain circumstances, such as when schools or school districts share *FERPA*-protected education data or when certain health care providers share *HIPAA*-protected health information with the Promise Neighborhood. As a best practice, however, obtaining written consent/authorization whenever personally identifiable information will be shared assures that individuals understand the uses to which their personal information will be put and can knowledgeably and voluntarily decide whether to participate and share their information. The person giving consent/authorization should have the legal capacity to do so, be in a situation to exercise free power of choice, and have sufficient knowledge about the data to be disclosed, the purpose of the disclosure, and the identities of the parties to whom the data will be disclosed.

Who Can Grant Consent or Authorization?

FERPA and *HIPAA* have different terminology and requirements regarding the obtaining of permission from individuals for disclosure of their personal information. Under *FERPA*, a parent, or student if 18 years or older or enrolled in a post-secondary institution (as an eligible student), can provide written consent for the school to disclose identifiable information from the student's education records. If consent was originally obtained from a parent for a student under 18 years old, this consent stops being valid once the student becomes an eligible student. Information previously obtained under the original parental consent does not need to be returned or destroyed, but any new disclosures would have to be preceded by a consent provided by the eligible student.

HIPAA-covered entities can disclose protected health information after obtaining written authorization from an individual or an individual's personal representative. A personal representative is someone authorized (under state or other applicable law, e.g., tribal or military law) to act on behalf of the individual in making health-care-related decisions. For unemancipated minors, a parent, guardian, or other person given authority to act in *loco parentis* may grant authorization under *HIPAA* as a personal representative. An individual of legal age can also designate a personal representative to have the right to access or authorize disclosure of their protected health information. Once a *HIPAA* authorization expires or is revoked, a new, valid authorization from the individual or personal representative must be obtained before a covered entity may make any further or additional disclosures of protected health information. However, the expiration or revocation of an authorization is not effective on actions a covered entity took in reliance on the valid authorization. For example, protected health information disclosed to a Promise Neighborhood by a covered entity does not have to be returned or shielded from further disclosure when the authorization expires or is revoked. But, the covered entity must have a new, valid authorization in place before additional information can be disclosed to the Promise Neighborhood.

The language in the consent and authorization forms should be clear, unambiguous, and appropriate for a person's age and education. Forms should be provided in the appropriate languages for populations served by the Promise Neighborhood. A signature on a consent or authorization form indicates that the individual has been informed about the disclosure of personal information (i.e., the specific information that may be disclosed, the parties to whom the information may be disclosed, and the purpose of the disclosure and uses to which the information may be put) and agrees to allow the information to be disclosed.

A model consent form for disclosing education records and other information and a model authorization form for disclosing protected health information are provided in Appendices 6.4 and 6.5, respectively. While a *FERPA*-compliant consent form may be combined with consent for disclosing other types of non-education information (such as from other Promise Neighborhood service providers), *HIPAA* requires a separate authorization form that is specific and exclusive to the disclosure of protected health information by *HIPAA*-covered entities. This *HIPAA* authorization form should list all covered entities that will either be disclosing or accessing health care information as

part of the Promise Neighborhood. In the data sharing model described earlier (Exhibit 6.2), it is possible for *HIPAA*-covered entity *A*, after receiving proper written authorization, to disclose protected health information on an individual to the Promise Neighborhood and enter or transmit the information into the Promise Neighborhood case management system. Once the protected health information is provided to the Promise Neighborhood, it is no longer protected by the *HIPAA* Privacy Rule. If, however, a second *HIPAA*-covered entity, *B,* accesses this health information through the case management system (as permitted by their role-based data access) *HIPAA* protections would then reapply to this information and require *B* to protect this health information in the same way as *A*. Therefore, to avoid possible complications from this reapplication of *HIPAA* protections, Promise Neighborhoods should list all *HIPAA*-covered entities on the authorization form and provide copies of the signed forms to all of these covered entities.

What if the Promise Neighborhood Grantee is a HIPAA-Covered Entity?

It is possible that the Promise Neighborhood grantee itself may be a *HIPAA*-covered entity because of other, non-Promise Neighborhood activities in which it is engaged. In this case, the Promise Neighborhood grantee organization would need to be listed as one of the *HIPAA*-covered entities on the authorization form (Appendix 6.5). In addition, covered entities are subject to more stringent rules regarding the proper handling of protected health information than have been described in this document. More information on these requirements is available at http://www.hhs.gov/ocr/privacy/.

It is also possible that a grantee organization that was not previously a *HIPAA*-covered entity may become one as a result of its Promise Neighborhood activities. For example, if the Promise Neighborhood is creating and administering a health care plan for participants that meets certain criteria, then it could be considered a covered entity under *HIPAA*. Simply paying for health care services is not, in itself however, sufficient to be a covered entity.

The Centers for Medicare and Medicaid Services have provided resources for helping organizations determine whether they are *HIPAA*-covered entities. Promise Neighborhoods can refer to these materials if they have any questions regarding their covered-entity status. http://www.cms.gov/Regulations-and-Guidance/HIPAA-Administrative-Simplification/HIPAAGenInfo/AreYouaCoveredEntity.html

IMPORTANT

All HIPAA-*covered entities that are Promise Neighborhood service providers should be listed on the* HIPAA *authorization form (Appendix 6.5).*

When to Obtain Written Consent or Authorization to Share Data

Promise Neighborhoods and their partners may obtain consent and authorization to share data as part of global enrollment process, such as from all parents at the start of the school year. Alternatively, consent or authorization can be obtained when program services are delivered. For the latter, the Promise Neighborhood and its partners should establish criteria for when consent and authorization must be obtained. For example, it may not be necessary or desirable, to try to obtain data sharing consent from someone who attends a single session of a drop-in evening basketball program. Obtaining consent

and authorization may be advised, however, when someone enrolls in a regular class provided by the Promise Neighborhood.

Any Promise Neighborhood or service provider representative can collect signed consent and authorization forms from eligible participants. The appropriate entity sharing the protected information must receive a copy of the signed consent/authorization form, however, before it discloses any protected information. For example, a school district must receive a copy of a parent's or eligible student's signed consent form before disclosing protected education information and a *HIPAA*-covered entity must receive a copy of a signed authorization form before disclosing protected health information.

In addition, a copy of the consent or authorization form should be given to the individual as a reference and reminder of the information provided, as well as kept on file with the Promise Neighborhood. The Promise Neighborhood should enter the date when the consent/authorization was obtained in its case management system, as well record any subsequent status changes, such as if a parent later revokes consent or authorization.

If Consent or Authorization to Share Data Is Not Granted

If written consent or authorization to share personal data is not granted, the participating individuals may still receive services, but service providers may not be able to disclose data on them to the Promise Neighborhood. The service provider may still need to collect certain confidential data to provide the services, however, and Promise Neighborhood data systems handling this information, including the case management system, will need to control access to data based on whether consent/authorization was given.

For example, even if an individual does not give consent to share childcare records with the Promise Neighborhood, the service partner providing childcare services will still need to collect personal information from the child's parent or guardian, such as any allergies or medical conditions the child may have, the parent or guardian's schedule, contact information, and possibly even income, to be able to provide the appropriate services. (The service provider may need to obtain a separate, more limited consent that does not authorize data sharing with the Promise Neighborhood in this situation.) If the service partner has its own data system connected to the Promise Neighborhood case management system, then transmittal of information on individuals who do not give data sharing consent to the Promise Neighborhood system must be blocked. If, on the other hand, the service partner is using the Promise Neighborhood case management system directly to track services provided, then access to information on individuals who have not given data sharing consent must be restricted to only these who require access to provide the requested services.

It may still be possible for school districts to release aggregated data for individuals for whom data-sharing consent has not been granted, provided that the release would result in identifying specific students. For example, school districts can release summary

data on *GPRA* indicators or other measures for individual schools or other subpopulations of students (such as all of the students who live in the Promise Neighborhood) as long as these data contain insufficient detail, either independently or linked with other data, to identify individual students. Such data would be a valuable supplement to information on individuals for which data sharing consent has been given.

Writing and Negotiating Data Sharing Agreements

A *data sharing agreement* is a written agreement between the Promise Neighborhood and a service provider that covers important aspects of information sharing between the two parties. Although it may not always be required or necessary to have a formal data sharing agreement to get access to certain data, it is a recommended best practice for Promise Neighborhoods to use data sharing agreements with all partners and data providers, especially those sharing identified individual-level data and other personally identifiable information. A data sharing agreement establishes concrete expectations as to which data will be shared, how often, and for what purposes. It also makes clear the responsibilities of all parties regarding the use and handling of information. Nonetheless, while data sharing agreements are a recommended best practice, they are not a substitute for obtaining individual consent or authorization for disclosure of protected data and information, as discussed in the previous section.

Promise Neighborhoods should negotiate data sharing agreements to formalize the terms and conditions under which they can obtain access to educational, health, and other administrative data that may be needed to track *GPRA* indicators and additional measures regarding progress and outcomes. The data sharing agreements should enumerate the specific data to be shared on particular populations, the means and frequency of sharing the data, the conditions to be met before data on individuals can be shared (such as obtaining written consent or authorization), the requirements for storing and protecting confidential data, and means of governance and oversight of the agreement terms. All data sharing agreements should be consistent with *FERPA, HIPAA,* and any other relevant federal and state statutes.

IMPORTANT

While a data sharing agreement is a recommended best practice, it is not a substitute for obtaining individual consent or authorization for disclosure of protected data and information.

It is expected that Promise Neighborhoods will execute data sharing agreements with service partners who provide services as part of the continuum of solutions and with researchers and evaluators who may not interact directly with program participants, but need access to confidential or private data to conduct analysis for the Promise Neighborhood, funders, or the U.S. Department of Education. All data sharing agreements that include the disclosure of identified individual-level data and other personally identifiable information must follow the terms of the consent/authorization under which the Promise Neighborhoods originally collected the information. If original consent did not grant the right to disclose these data to third parties, the Promise Neighborhoods will not be able to share these data with partners.

Data Sharing Agreements with Service Partners

Specific requirements for data agreements between Promise Neighborhoods and school districts, health care providers, and other service partners should include access by partners to certain case management data, as needed, to provide services and report on progress to the Promise Neighborhood. If the service partner will be using Promise Neighborhood's case management system, or, if the service partner's own case management system data will transmit data or information to the Promise Neighborhood case management system, the data agreement should clearly delineate specific responsibilities and levels of role-based access to the data (discussed below). As discussed in the previous section, proper consent or authorization will need to be obtained before protected information can be entered or transmitted into the case management system by Promise Neighborhood service partners.

The data sharing agreements should take into account the need for different Promise Neighborhood partners to view and enter data. The data manager for the service partner will require full access to the data, to enter, edit, and view identified individual-level data and other personally identifiable information, and to assign access levels within the organization. To maintain longitudinally-linked records and protect data quality, the Promise Neighborhood's data manager will also need access to personally identifiable information. Evaluators, data analysts, and other data users may have more restricted access, with some or all personally identifiable information hidden, or data viewable at an aggregate level only. The level of access granted to individuals outside the service provider organization will be a key negotiating point. A careful consideration of the needs of users, so that no one has more access than necessary, will help establish confidence in the Promise Neighborhood's approach to data security.

Furthermore, any provisions for sharing de-identified data with researchers and evaluators, including the Department of Education or its contractors, should be included in the detailed rules for data handling and release. Service partners should be aware of, and agree to, the sharing of their information with third parties.

Data Sharing Agreements with Researchers and Evaluators

Promise Neighborhoods should also negotiate data sharing agreements with any third parties receiving individual-level or confidential data, such as external researchers or evaluators. The agreement will likely contain many of the same provisions as those executed with a service partner organization, including assurances that the researcher agrees to follow all rules mandated by the Promise Neighborhood, as well as any relevant federal or state statutes. Note that the acceptable uses of personally identifiable information specified in the data sharing agreement with researchers and evaluators should be consistent with the terms in the agreements with the data providers (such as school districts) and the written consent/authorization signed by parents and eligible students.

Promise Neighborhoods should use the data sharing agreement to establish precisely what data is transferred and how it is to be handled and used by the recipient. The Promise Neighborhood's own data security plan is a good starting point for determining the standards that should be required of a third party. (More detail on data handling and storage standards is provided in the 'Data Security Procedures' section, below.) To negotiate an agreement on the transfer of de-identified data, prepare a matrix of fields to specify which will be transferred so that both parties understand and agree on what will be included.

As discussed earlier, research data may need to be stored and manipulated by analysts outside of the Promise Neighborhood data system. The use of data for research and evaluation purposes would need to be included in the data sharing agreements with service providers and the participant written consent to disclose these data. Research partners should not be allowed to release any summary data related to the Promise Neighborhood without having gone through a disclosure review process, similar to the one discussed in the 'Data Sharing Overview' section.

Model Data Sharing Agreement

A model data sharing agreement is included as Appendix 6.3.

The elements of the agreement are:

1. **Purpose and intended use of data sharing**—This section sets out in general terms the data to be shared, the organizations involved, and how the data are to be used. This language must be consistent with the consent agreement.
2. **Period of agreement**—This specifies the term for which the data sharing agreement is valid. For Promise Neighborhoods, which intend to track outcomes from cradle to career, the agreement should be in effect as long as the Promise Neighborhood is operating. Individual parties to the data sharing agreement would have the right to terminate their participation with adequate notice, however.
3. **Description of data**—This provides a more precise description of the data to be shared, with the exact fields listed in an attachment. For consistency's sake, the list of fields should match the description of data to be shared in the written consent agreement.
4. **Timing and frequency of updates**—As data are to be provided on an ongoing basis, it is important to specify when new data should be shared.
5. **Custodial responsibility and data stewardship**—This section establishes the responsibility for maintenance of data security. Section 7 provides more detail on how the data may be used. If there are special circumstances regarding data access (as there are in this example regarding access by students or parents) they can be specified here.
6. **Roles and responsibilities**—This section specifies the individuals in the organizations with responsibility for the data. These roles will have been defined in the data security plan (described later in this section).

7. **Permissible data use, linking and sharing under this agreement**—The exact rules for use of the data by the receiving organization, including access rights and sharing of data with other organizations. Data sharing agreements between Promise Neighborhoods and service providers will need to include language allowing the transfer of individual-level data to the U.S. Department of Education and its contractors for creating the Promise Neighborhood restricted-use data files. Any sharing of protected data under these agreements should be consistent with the terms of the consent agreement under which the data was initially collected by the Promise Neighborhood.
8. **Resources and costs of data sharing and data management**—If necessary, the agreement can stipulate that particular organizations will be responsible for specific data sharing costs.
9. **No warranty for data or linkage quality**—This section provides protection for the Promise Neighborhood, which commits to make reasonable efforts to promote data quality, but does not guarantee any specific standard.
10. **Indemnification**—This clause provides that in the case of legal claims against any of the parties to the agreement, normal legal rules and principles will apply, and states that if one party becomes aware of a claim against the other, they should inform the other party in a timely manner.
11. **Publication and dissemination of results**—This clause provides for review of any results to be disseminated, including review to make sure that third party researchers protect the confidentiality of individuals when publishing findings. Such restrictions should not allow arbitrary or unwarranted suppression of data, but be limited to protecting the privacy rights of individuals.
12. **Termination and modification of this agreement**—It is helpful to include the conditions under which the agreement can be terminated. Note that this clause also includes direction on how data are to be disposed of after termination.

Negotiating a Data Sharing Agreement

While the above model for a data sharing agreement is a good starting point for Promise Neighborhoods, it is likely that the specific terms of the final agreement with service providers will need to be the result of a negotiation process. Negotiating data sharing agreements, particularly where sensitive or confidential data are concerned, can be time-consuming and difficult. Community Research Institute (CRI) at Grand Valley State University recently published *Developing a Master Data Sharing Agreement: Seeking Student-level Evidence to Support a Collaborative Community Effort in Education,* which describes the process of negotiating the data agreement described in the previous section. The section discussing the process of developing and negotiating the agreement identifies eight elements that were particularly important in the development of the agreement:

1. **Creating a modular document**— An agreement which allows for mutually-agreed upon expansion or other changes to the scope of the data collection as revisions to the attachments will save having to negotiate an entirely new agreement in the future.

2. **Creating a data access matrix**—Early in the process, CRI identified different access levels for specific items in the data, which provided reassurance to Grand Rapids Public Schools (GRPS) that the agreement could protect the security of sensitive fields. (This is discussed further in the section on Role-Based Data Access, below.)
3. **Defining the scope of data access for records**—GRPS and CRI negotiated the agreement to limit the population of students for whom data was collected to what was strictly necessary for the research. For Promise Neighborhoods, the data sharing agreement could include students who live in the designated neighborhood and students who attend the target schools.
4. **Narrowing the scope of inquiry**—The agreement specified that the data was to be used only for the research stated, and not to be data mined for other purposes. GRPS was also granted right of review over any results to be disseminated. For Promise Neighborhoods, the data sharing agreement should cover the sharing of individual-level data on program participants among service providers and Promise Neighborhood management; linking of data across sources and service providers; and creating, tracking, and reporting summary-level outcome measures (such as the GPRA indicators).
5. **Clarifying modes of data access**—Collected data belonged to two conceptually separate categories, program and site management vs. research and evaluation, but until different procedures were established for the two categories there were frequent misunderstandings.
6. **Supplying personnel support to GRPS**—CRI recognized that the tasks involved in data handling required time and technical expertise of GPRS, and convinced GPRS that data-system support could be provided without compromising GRPS control over its information, allowing CRI's database administrator to perform data de-identification and other tasks for preparing the data for research, rather than having that burden fall on the school district. Similarly, Promise Neighborhoods may need to offer data support to its partners to facilitate data collection, processing, sharing, and reporting.
7. **Paying special attention to consent**—As explained below, developing proper individual consent procedures for data sharing required extensive planning, testing, revision and training. Promise Neighborhoods will similarly need to develop consent procedures for its program participants.
8. **Iterating patiently with legal advice**—The data sharing agreement is a legal document, and legal counsel for all parties involved had advice and concerns. CRI revised and resubmitted the agreement multiple times, until all parties were satisfied.

While several of these issues are discussed further in this guidance document, reviewing the *Developing a Master Data Sharing Agreement* brief should be very helpful and informative for Promise Neighborhoods needing to negotiate similar agreements. Copies of CRI's final agreement and supporting documents are also available on their web site (see the 'Resources' section at the end of this chapter).

Role-Based Data Access

As discussed in the overview at the beginning of this chapter, establishing and managing a role-based data access system is a central element in the handling of identified individual-level data and other personally identifiable information in a case management system. The Promise Neighborhood will exchange information with partners and service providers on a regular basis, and best practice dictates that access to personal data be carefully restricted to only what is needed by each user. This level of need will vary depending upon the roles of the various parties. For instance, teachers will need to see grades and other student performance measures, but may not require access to health information. A service provider running an after-school tutoring program, however, may need access to school performance data, such as test scores and attendance, to be able to deliver appropriate help to individual students.

The Promise Neighborhood should determine, in consultation with its partners, the different roles and levels of data access needed to support the data sharing required for managing and tracking the different activities and programs. The manager of the case management system will translate the levels of access into the specific data elements accessible for each class of user, and determine whether access includes data entry or modification or is restricted to viewing the data only. Exhibit 6.3 provides broad examples of types of users and how access can vary by function. For example, the top level of access will allow a very limited number of users to read and write to all fields in all records in the database. Only those directly responsible for database management or security should have this level of access. Similar access can be granted to allow users to view all the fields, but not edit them. This could be useful for school administrators. Lower levels of access can be designed to permit users to view only certain fields or records. Finally, some users may be permitted to view only summary information derived from aggregated records. This data can still be considered confidential if the database manager does not use statistical procedures to protect the identity of students in table cells with low counts.

The physical location of data access may also be controlled, with some access limited to particular locations, or other locations barred from access to particular data.

Exhibit 6.3 Role-Based Data Access

Organization	Role	Access Level	Functions
Promise Neighborhood Management	Database Manager	Full records, including personally identifiable information (PII), view and edit	• Data access • Data security • Management of student records from all sources
	Software Provider	Limited PII, view and edit	• Case management system implementation and maintenance
School District	Administrator	Student records, including PII, some restrictions on health and survey data, view only	• Implementation of school programs
	Teacher	Limited PII, restrictions on student records, health and survey data, view only	• Academic instruction
	Database Manager	Student records, including PII, some restrictions on health and survey data, view and edit	• Management of student records • Data access • Data security
Service Providers	Program administrator	Limited PII, restrictions on survey data, data from other sources, view and edit	• Program implementation • Reporting
Department of Education/contractors	Urban Institute database manager	Full data with PII removed	• Production of restricted-use data files
	Department of Education	Full data with PII removed and risk disclosure	• Ownership of restricted-use data files for research
Public Reporting		Aggregated summary data only	• Public information

If the provider of the case management software has access to the data, as part of a system management function, for example, their role and restrictions on access must also be incorporated into the data access plan, as well as the data sharing agreements, consent procedures, and data security plan.

Just as external partners have varying levels of need for access to data, employees of the Promise Neighborhood will not all need full privileges to view and edit the data. Based on job description, employees should be classified into categories of users, like the external partners, and access granted appropriately. For example, caseworkers in schools may need full access to certain school-related information fields and contact information, depending on their roles with regard to participants. A parent liaison may only need access to contact information, or may not need access to any identified individual-level data at all. All users should receive training in the handling of confidential information and the data system being used, and be required to sign a confidentiality agreement.

> ***Role-Based Data Access***
> The U.S. Department of Education has created a useful guide to data stewardship, which includes a section on role-based data access.
>
> http://nces.ed.gov/pubsearch/pubsinfo.asp?pubid=2011602.

Data Security Procedures

Before collecting or receiving any identified individual-level data or other personally identifiable information, Promise Neighborhoods should develop an approved data security plan, which specifies the procedures for handling the data at every step in which the data is in the organization's possession. At a minimum, the data security plan should be submitted to the Promise Neighborhood's advisory board for approval. In some situations, Promise Neighborhood organizations, such as those based in universities, may have to submit their data security plans to an institutional review board or privacy Board as well. All of these entities should review the data security plan, make suggestions for modifications, if necessary, and give final approval before any individual-level or confidential data are collected.

Sample Data Security Plan

A sample data security plan is provided in Appendix 6.6. A data security plan should include the following elements:

1. *The specific pieces of individual-level or confidential information to be collected, from what sources, and for what purposes*—This description should be as detailed as possible. For example, "Student directory information for students whose parents (or they) did not opt out enrolled in *ABC* school will be obtained from the *XYZ* school district. These data will include student name, home

address, grade, and month and year of birth. The data will be used to pre-populate the case management system."

2. *The secure means of transmission that will be used to transmit specific individual-level or confidential data between the Promise Neighborhood data system and other partners or third parties*—For example, "Student directory information will be transmitted by secure internet connection (secure sockets layer 3.0) from the *XYZ* school district to the Promise Neighborhood on a quarterly basis." Other acceptable forms of data transmission include secure file transport protocol and traceable delivery of data on encrypted (advanced encryption standard 256 bits) electronic media (e.g., CD, DVD, or removable hard drive). Furthermore, any time a Promise Neighborhood exports its data to third parties, such as the U.S. Department of Education or an external evaluator, it should log the date and description of that data delivery.
3. *The acceptable methods for storing individual-level and confidential data*—Electronic records should be stored on password-protected, encrypted storage devices. Strong encryption (advanced encryption standard 256 bits) should be used. The Promise Neighborhood should put in place a strong password policy—every individual should have his or her own password; passwords must not be shared; passwords must have a minimum length and level of complexity; passwords must not consist of dictionary words or names; and passwords must be changed every 90 days. Removable physical media (e.g., CD, DVD, external hard drives), including backups, and paper records containing individual-level and confidential data should be stored in designated locked offices or filing cabinets.
4. *The length of time that the Promise Neighborhood will keep individual-level and confidential data on participants*—For records acquired with written consent, Promise Neighborhoods should retain individual-level data for as long as the person continues to participate or until consent is revoked. This section should also explain when and how confidential data will be destroyed. For example, data should be securely wiped (not simply deleted) from electronic media such as hard drives or such media should be physically destroyed. Paper records, CDs, and DVDs should be shredded.
5. *The established levels of data access and the list of persons who have been granted access to particular data*—The plan should describe the procedures by which access to individual-level data will be limited to persons who have an approved need for that information. All persons with access to individual-level or confidential data should receive training on data handling procedures and must sign a confidentiality pledge, stating that they have read and understood the data security plan and agree to abide by its requirements. An example of a data access plan, is provided in the 'Role-Based Data Access' section earlier in this chapter.
6. *The names and titles of the individuals who are responsible for ensuring that the requirements of the plan are being followed by all Promise Neighborhood staff and partners*—These persons should include the Promise Neighborhood data manager and the leadership staff. These persons may have responsibilities such as conducting inspections or audits of partners or third parties to ensure that

proper data security procedures are being followed and screening all reports and other public information prior to release to ensure that no confidential data are revealed.

Data Oversight and Governance

Data governance is the framework of policies and procedures that direct the handling of data from acquisition to disposal. The data governance system must meet the conditions of the data security plan, ensure that data quality is maintained, and provide for monitoring, oversight, and accountability of the Promise Neighborhood. Some considerations when creating data governance procedures are:

- Establishing decision-making authority;
- Establishing levels of access;
- Establishing procedures for record management;
- Creating a data inventory system;
- Reviewing the need for data collected, and ensuring compliance with applicable regulations;
- Implementing the data security plan; and
- Documenting policies and procedures.

The U.S. Department of Education produced a useful checklist of the elements to consider when preparing a data governance plan, which can be found at http://ptac.ed.gov/sites/default/files/data-governance-checklist.pdf. Data governance procedures should be reviewed and approved by the advisory board, which will exercise ongoing oversight over policies and procedures. If applicable, the institutional review board or privacy board should also review the data governance procedures.

It is recommended that Promise Neighborhoods appoint an overall data manager, who will have responsibility for implementing the mechanisms of the data governance plan, and ensuring that procedures are adhered to, particularly those that relate to data quality and security. The data manager does not necessarily have to be someone with a high level of technical expertise (for example, a computer programmer). Rather, the data manager must be someone who understands how data systems work and has an appreciation for the crucial role data plays in the ultimate performance and success of the Promise Neighborhood.

The data manager should report to the senior Promise Neighborhood management team and, through them, to the advisory board. The data manager should be called upon to give regular updates to the management team and the advisory board on the state of data systems in the Promise Neighborhood, as well as alerting them of any important data issues that need to be addressed.

In addition to the overall data manager, Promise Neighborhoods may want to require that their individual service partners also appoint data managers within their

organizations. These partner data managers would have a similar function as the overall Promise Neighborhood data manager, that is, ensuring that data collection, management, and reporting procedures are followed. Having a specific contact within each partner will facilitate coordination of data activities across the Promise Neighborhood.

Finally, because of the complexity of the data sharing arrangements, and because of the large amount of protected and sensitive individual-level data that to be handled by the Promise Neighborhood, it is recommended that the Promise Neighborhood establish a data governance board. The Promise Neighborhood data governance board will have authority of oversight and review related to the provisions and requirements of data sharing and disclosure for the entire Promise Neighborhood. The data governance board should include representatives from the Promise Neighborhood lead organization and each of the Promise Neighborhood partners that are party to data sharing agreements. The data governance board should receive regular reports from the Promise Neighborhood data manager regarding the status of data sharing arrangements and be promptly notified of any violations or improper disclosures of protected data.

The exact composition, structure, responsibilities, and authorities of the data governance board can be spelled out in a separate agreement to be negotiated and agreed upon by all of the parties to the master data sharing agreement. Because setting up a data governance board may take some time, the Promise Neighborhood management should assume responsibility for oversight and review of the provisions and requirements of data sharing agreements in the interim.

Staff Training and Confidentiality Statement

Promise Neighborhoods and partner staff bear the ultimate responsibility for the security of data in their custody. All staff should understand and follow the procedures in the data security plan. Before access to data is permitted staff should receive training on data security, and should sign a confidentiality statement. A copy of the staff confidentiality statement should be included as part of the master data sharing agreement. A sample confidentiality statement is provided in Appendix 6.7.

Training should be overseen by the Promise Neighborhood data manager. The training should review issues such as from whom the data are being collected, why they are being collected, what qualifies as confidential information, the risks associated with disclosure of confidential information, the procedures specified in the data security plan, and the role of each staff member in accessing and handling the data. Training should also include any features of the data management software related to data security. Confirmation of completion of the training should be part of the process. Only after confirmation and signing of the confidentiality statement will access to the data be permitted.

Resources

FERPA and HIPAA

Family Educational Rights and Privacy Act (FERPA) information on U.S. Department of Education website— http://www2.ed.gov/policy/gen/guid/fpco/ferpa/index.html

Summary of *Health Insurance Portability and Accountability Act (HIPAA)* Privacy Rule— http://www.hhs.gov/ocr/privacy/*HIPAA*/understanding/summary/index.html

Where can I find information about *HIPAA*, health information privacy or security rules? —http://answers.hhs.gov/questions/6180

Protecting Personal Health Information in Research: Understanding the *HIPAA* Privacy Rule—http://privacyruleandresearch.nih.gov/pr_02.asp

Joint Guidance on the Application of the Family Educational Rights and Privacy Act (FERPA) *and the* Health Insurance Portability and Accountability Act of 1996 (HIPAA) *to Student Health Records* —http://www2.ed.gov/policy/gen/guid/fpco/doc/ferpa-hipaa-guidance.pdf

Data Sharing Agreements

Sample data sharing agreements— http://www.neighborhoodindicators.org/library/guides/sample-research-proposals-and-data-sharing-agreements

Developing a Master Data Sharing Agreement: Seeking Student-level Evidence to Support a Collaborative Community Effort in Education— http://johnsoncenter.posterous.com/tfr-webinar-32212-developing-a-master-data-sh

Believe 2 Become master data sharing agreement and supporting documents— http://cridata.org/B2BMDSA/

Privacy Technical Assistance Center Data Sharing Agreement Checklist— http://ptac.ed.gov/sites/default/files/data-sharing-agreement-checklist.pdf

Data Security and Governance

Privacy Technical Assistance Center Data Security Checklist— http://ptac.ed.gov/sites/default/files/ptac-data-security-checklist.pdf

Privacy Technical Assistance Center Data Governance Checklist— http://ptac.ed.gov/sites/default/files/data-governance-checklist.pdf

National Center for Education Statistics technical brief on statistical methods for protecting personally identifiable information in aggregate reporting— http://nces.ed.gov/pubsearch/pubsinfo.asp?pubid=2011603

[1] To conduct a longitudinal analysis, researchers will need to link data for the same individuals consistently over time. This can be done by providing a unique pseudo identification number on each record for each person in the data. For security purposes, this pseudo identification number should not be linkable to other external data sources. For example, school-district-issued student identification numbers should not be used as the linking field in the data set provided to researchers.

Chapter 7

Neighborhood and School Climate Surveys

This chapter:

- Provides an overview of survey data collection and criteria for selecting a reputable survey research firm.
- Discusses issues to consider when designing and conducting a survey.
- Provides guidance on resources needed to conduct a survey and standards to assess the quality of survey results.

IMPORTANT

Promise Neighborhoods should conduct an in-person neighborhood survey to a random representative sample of residents every other year with the goal of achieving a response rate of 80 percent.

DEFINITION

Neighborhood survey— *A survey conducted to be representative of a population living in a particular geographic area (such as a neighborhood).*

Chapter 4 discussed the different *Government Performance and Results Act (GPRA)* indicators for which Promise Neighborhoods will need to collect data and report to the U.S. Department of Education. As noted in that chapter, several of those indicators will be created from data collected through two surveys:

Neighborhood Survey (conducted every other year)

- *GPRA* 1. Number and percent of children birth to five years old who have a place where they usually go, other than an emergency room, when they are sick or in need of advice about their health.
- *GPRA* 3. Number and percent of children, from birth to kindergarten entry, participating in center-based or formal home-based early learning settings or programs, which may include Early Head Start, Head Start, child care, or publicly-funded preschool.
- *GPRA* 12. For birth to kindergarten entry, number and percent of parents who report reading to their children at least three times a week.
- *GPRA* 13. For children in K through 8th grade, the number and percent of parents who report encouraging their children to read books outside of school.
- *GPRA* 14. For children in the 9th to 12th grade, the number and percent of parents who report talking with their child about the importance of college and career.

DEFINITION

School climate survey—*A survey of students that includes self-reported information on how they perceive their school environment, their experience travelling to and from school, and other issues related to their educational experience.*

School Climate Survey (conducted annually at target middle and high schools)

- *GPRA* 8–9. Number and percent of children who participate in at least 60 minutes of moderate to vigorous physical activity daily and consume five or more servings of fruits and vegetables daily.
- *GPRA* 10. Number and percent of students who feel safe at school and traveling to and from school, as measured by a school climate needs assessment.
- *GPRA* 15. Number and percent of students who have school and home access and percent of the day they have access to broadband internet and a connected computing device.

In addition to the above indicators, it is likely that Promise Neighborhoods and their target schools will want to collect other information on the two surveys that may be specific to the needs and goals of the communities that they are serving.

IMPORTANT

Promise Neighborhoods and their target middle and high schools should conduct an annual self-administered school climate survey. The survey should be given to all students and Promise Neighborhoods should reach an 80 percent response rate, at minimum.

Conducting a good survey is a complicated process, the full details of which go beyond the scope of this guidance document. In fact, unless someone on the Promise Neighborhood team has the necessary expertise, it is recommended that Promise Neighborhoods hire survey experts or firms to assist with design, sampling, implementation, and analysis of surveys. To run a successful survey independently, Promise Neighborhoods will need to have a good understanding of the technical issues and requirements of surveys. The goal of this chapter is to provide Promise Neighborhoods with a basic overview of the issues relating to completing surveys to produce data that is consistent and reliable. Because they are considerably more involved, most of the discussion focuses on issues relating to conducting a neighborhood survey. This chapter provides guidance on what Promise Neighborhoods should anticipate regarding the time and resources needed to conduct a neighborhood survey as well as the standards they should establish for quality survey results.

Basic Survey Steps

DEFINITIONS

School climate survey—*A survey of students that includes self-reported information on how they perceive their school environment, their experience travelling to and from school, and other issues related to their educational experience.*

Self-administered survey—*A survey that a person completes himself or herself without the help of a survey taker or interviewer.*

The process of collecting and preparing survey data generally follows these steps, which are discussed further in the rest of this chapter:

1. **Determine the indicators to be collected for different survey populations.** For the *GPRA* indicators, the populations are specified in Chapter 4 but Promise Neighborhoods may want data on additional subpopulations (such as racial or gender groups) or for other non-*GPRA* indicators that are measured for different populations.
2. **Choose survey method.** Surveys can be administered in different ways. Choosing the best method for the population to be surveyed and the type of information to be collected is a critical decision in designing a successful survey. This guidance document recommends in-person interviewing for the neighborhood survey and a *self-administered* school climate survey.
3. **Create and test the survey questionnaire.** Chapter 4 includes wording for survey questions for the appropriate *GPRA* indicators. These questions were taken from nationally-recognized, validated surveys and so should be used as is in most cases.

DEFINITIONS

Sample—*A subset of a population selected in such a way (e.g., at random) to be representative of the entire population of interest and used to estimate information for the population as a whole.*

Sampling error—*The amount of statistical uncertainty that arises in estimating the characteristics of a population from a sample of that population.*

Response rate—*The percentage of persons in the sample who provide responses in the survey. Data from surveys with low response rates may be unreliable. Promise Neighborhoods should strive toward a minimum response rate of 80 percent.*

Experts in survey methodology and compilations of previously used questions could be useful in finding questions for additional, non-*GPRA* indicators that are of interest to the Promise Neighborhood. Survey questions should be tested to ensure that the questions are understandable to the population surveyed and will elicit accurate and reliable responses.

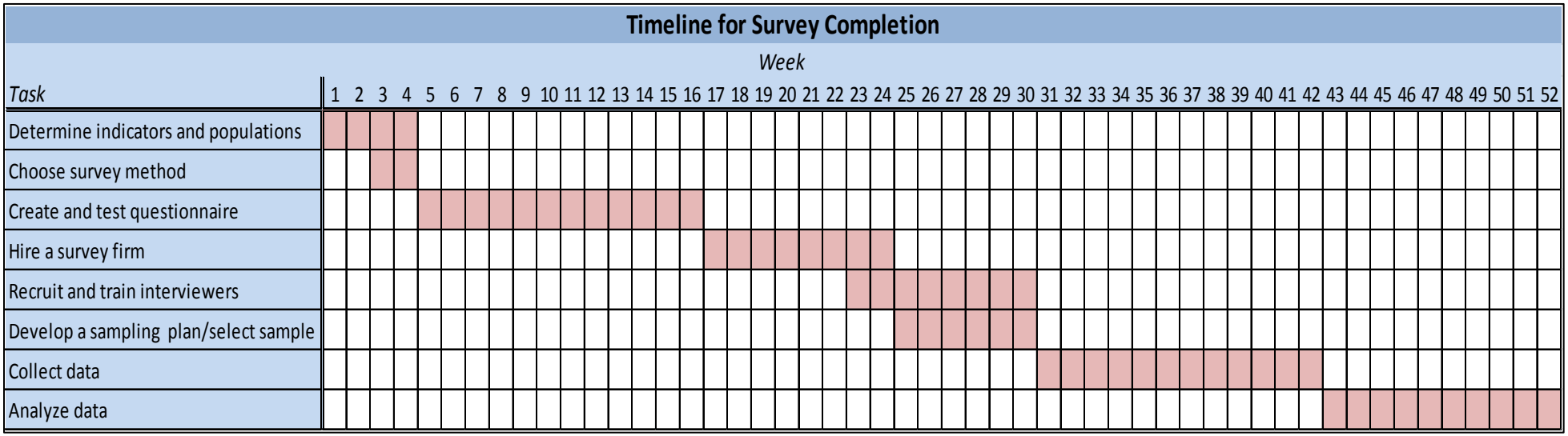
4. **Write a scope of work and engage a survey firm.** Using the information in the first three steps, the Promise Neighborhood should prepare a work plan for a survey firm that presents all of the requirements for conducting the survey and reporting survey results. This scope of work should clearly lay out whether the Promise Neighborhood wants the survey firm to assist with certain steps (such as recruiting and training interviewers) or be responsible for completing certain steps entirely. The scope of work should also include any resident incentives for participating in the survey, such as gift cards or raffle tickets.
5. **Recruit and train interviewers.** For surveys that are not self-administered, it is essential to recruit and train interviewers on the proper administration of the survey. Survey firms usually perform these functions. Promise Neighborhoods opting to collecting data themselves may decide to recruit interviewers from the community or may be able to hire freelance professional interviewers.
6. **Develop a sampling plan.** The Promise Neighborhood, with help from the survey firm, will need to determine the optimal sample size to obtain reliable data from the survey that is capable of measuring meaningful differences between subpopulations and over time. In general, a larger sample will produce more precise estimates with lower sampling error, but may also increase the difficulty and cost of the survey. Development of the final sampling plan is best done by a survey firm.
7. ***Select the survey sample.*** Depending on the sampling plan, the Promise Neighborhood may need to collect additional data (such as names and addresses) to select an appropriate sample. For some sample designs, the interviewers may need to play a role in sample selection.
8. ***Collect and analyze data.*** Data should be collected from the sample population, attempting to get completed questionnaires from as high a share of the sample as possible. If response rates are low, interviewers should follow-up with non-respondents to achieve an acceptable response level. Initial response rates from community surveys range from very low to as high as 80 percent. Additional efforts may be needed to achieve this high a rate, but response rates much lower than 80 percent risk producing data that produce biased or unreliable results. Incentives such as gift cards and prepaid cash cards can help encourage residents to participate and increase the response rate. When analyzing survey data and reporting differences in indicators derived from sample data, issues of sample size and design need to be taken into account. For this reason, Promise Neighborhoods should work with researchers who have experience analyzing survey data.

For any particular Promise Neighborhood, the exact order of these steps might be different, and some steps might occur at the same time. Regardless, each of the steps is necessary and most should be done with the help of appropriate experts.

Survey Timeline

Conducting a neighborhood survey can be an involved and complicated process, so it is important to allow sufficient time to achieve good results. Exhibit 7.1 provides an example timeline for fielding a survey within an expected timeframe of twelve months (52 weeks).

Exhibit 7.1—Example Twelve Month Neighborhood Survey Timeline



This specific timeline for a neighborhood survey will vary depending on the type of survey to be conducted, whether the Promise Neighborhood has already identified a survey firm or expert, if the survey questions will be drawn from existing surveys, and accounting for the expected difficulty in obtaining responses from the population being surveyed. A self-administered survey, for example, will not require hiring and training interviewers, but may involve a more lengthy survey questionnaire design and testing process to ensure that respondents are able to answer the questions accurately without help or prompting.

Indicators and Populations

One of the first steps for the Promise Neighborhood to undertake in designing a survey is listing out the different indicators that will be generated from the survey data and the different populations for which estimates are needed for each indicator. In the case of the *GPRA* indicators, the appropriate populations of interest were provided in Chapter 4.

Neighborhood Survey Populations for GPRA Indicators

1. Children 0 to 5 years old (*GPRAs* 1, 3, and 12)
2. Kindergarteners through 8th graders (*GPRA* 13)
3. 9th through 12th graders (*GPRA* 14)

School Climate Survey Populations for GPRA Indicators

4. Middle and high school students (*GPRAs* 8, 9, 10, and 15)

DEFINITION

Logic model—*A Promise Neighborhood's logic model describes how its continuum of solutions will lead to the results that it ultimately expects to achieve.*

Although the above are the populations defined for *GPRA* reporting, Promise Neighborhoods may be interested in data for subpopulations or additional populations. For example, a Promise Neighborhood may want to track separately the percent of children who participate in at least 60 minutes of moderate to vigorous physical activity daily (*GPRA* 8) by grade and by gender. Or, the Promise Neighborhood may want to know the percentage of children with a medical home (*GPRA* 1) not only for children ages 0 to 5, but for children 6 to 17 as well.

Promise Neighborhoods may want to collect data for other measures (beyond the *GPRA* indicators) of interest and importance to its activities and programs. These may be indicators related to different aspects of the Promise Neighborhood's logic model. For example, if a Promise Neighborhood's logic model predicts that, as result of its efforts, residents should perceive the neighborhood as a safer place or have stronger feelings of social cohesion with their neighbors, then it may want to include questions on the neighborhood survey to measure these conditions.

The survey should be capable of producing reliable estimates for the chosen indicators for each of the populations listed. The expectations around the reliability of the estimates from the survey data should be included in the scope of work for the survey firm and will be discussed further in the sampling section, below.

Survey Methods

Given the complexity of the questions needed to collect the *GPRA* indicators, it is recommended that Promise Neighborhoods conduct in-person interviews for the neighborhood survey. In-person interviews (often conducted by going door-to-door) with sampled families are more likely to yield higher response rates and higher quality data, since the interviewer can help guide respondents through more complicated questions. This will help ensure more complete and accurate answers. It may be possible, however, to administer the neighborhood survey through telephone interviews. This option can be discussed with the survey firm.

For the school climate survey, it is recommended that Promise Neighborhoods use a self-administered questionnaire, given to students to complete themselves. This could be done either in a computer format or with a paper form. Since this survey will be administered to students in a classroom setting, it will be easier to ensure higher rates of response with a self-administered questionnaire. In addition, because some of the questions on the school climate survey (such as those dealing with perceptions of safety) may be sensitive or embarrassing for some students, a more anonymous self-administered questionnaire may yield more honest responses.

Survey Questionnaire

The questionnaire is the set of questions and instructions that are used to collect data for the survey. Chapter 4 includes wording for survey questions for the appropriate *GPRA* indicators. These questions were taken from nationally-recognized, validated surveys and should be used as is in most cases. There may be some need to make slight adjustments to the wording of questions or alterations to the list of possible responses, depending on local context. Any changes should be thoroughly tested, as described below, before the questionnaire is finalized.

In addition, as discussed earlier, Promise Neighborhoods will likely want to add other questions to the neighborhood and school climate surveys to measure other indicators of interest. Experts in survey methodology could be useful in finding questions for additional, non-*GPRA* indicators that are important to the Promise Neighborhood. For more information see:

- The Annie E. Casey Foundation's Making Connections initiative has also compiled a set of validated survey questions on topics such as family strengthening, connections to social networks, and economic opportunity (http://tarc.aecf.org/initiatives/mc/mcid/index.php).
- Q-Bank, developed by the National Center for Health Statistics, provides questions from federal surveys and links each question to its findings and stores them in a searchable database (http://wwwn.cdc.gov/QBANK/Home.aspx).

Survey questions and instructions should be translated into other languages, as needed, to accommodate the different linguistic groups among the population to be surveyed.

To ensure high quality and accuracy, translations should be done by professional translators, not community residents or Promise Neighborhood staff. To verify the accuracy of translations, a double-translation method should be used, that is, the materials should be translated from English into the target language, and then a separate translation (by a different person) should convert the text back to English. The original and the double-translated English versions can then be compared to identify any potential translation issues. Some languages may be very uncommon in the Promise Neighborhood, meaning that only a small number of its speakers would be likely to take the survey if available in their language. Each Promise Neighborhood will have to exercise discretion in judging the need for including a particular language, balanced against the cost of additional translation.

The Promise Neighborhood should test the survey questionnaire in as close to actual surveying conditions as possible, to ensure that the questions are understandable to the population surveyed and will elicit accurate and reliable responses. For example, the neighborhood survey questionnaire should be tested on actual community residents, while the school climate survey should be tested on students of appropriate ages. If the survey will be conducted in multiple languages, it is also important that the pre-test is done for all languages. Testing does not have to be exhaustive; only a few tests are generally needed to identify problems. Adjustments should be made as needed based on the results of the testing.

The Promise Neighborhood may wish to rely on the expertise of a survey research firm to assist in the development and testing of the survey instrument. Experienced survey specialists are more apt to recognize potential problems in survey design and administration before the survey is fielded.

In addition to indicator questions, the questionnaire should also collect basic demographic or other information needed to analyze the data. Such information could include gender, age, race, and ethnicity of respondents. Finally, the introduction to the questionnaire should include language explaining the purpose of the survey and an assurance that responses will be kept confidential.

Institutional Review Boards

If the Promise Neighborhood or one of its partners in the survey effort is a university or research organization, then it may be necessary to have the survey questionnaire and other materials reviewed and approved by an institutional review board or privacy board. These entities exist to review all research involving human subjects and to ensure that necessary protections are in place to avoid violating privacy or other rights of individuals.

Hiring a Survey Firm

Because conducting a survey is a highly complicated and technical task requiring specific types of expertise, Promise Neighborhoods should enlist the help of a quality survey firm in conducting its neighborhood and school climate surveys. Whether the Promise

Neighborhood already has a partner with the necessary skills and expertise (such as a research group at a local university) or needs to solicit proposals from firms for the work, it will need to prepare a detailed scope of work to guide the process.

The scope of work should include the following items.

1. The list of indicators to be produced from the populations and subpopulations to be surveyed.
2. The survey methods to be used (in-person interviews or self-administered questionnaire).
3. A copy of the tested survey questionnaire.
4. The Promise Neighborhood's requirements for assistance with other tasks:
    a. Recruiting and training interviewers,
    b. Designing and selecting an appropriate sample,
    c. Collecting data and following-up with non-respondents, and
    d. Analyzing and summarizing the survey data.
5. A schedule for completion of the survey tasks, along with any other performance requirements.

The first three tasks were discussed in previous sections. The requirements in the fourth task may consist of different levels of assistance. For example, the Promise Neighborhood may want to take more of a lead role in recruiting and training interviewers, particularly if community residents are to be used, but will probably want extensive help from the survey firm for steps 4b–4d. The schedule for completion of the survey was discussed in the beginning of this chapter; a typical survey should take approximately 7 months to complete after hiring the survey firm.

If the Promise Neighborhood needs to recruit a survey firm, then the scope of work should be included in a published request for proposals (RFP). The RFP should indicate a deadline for submission of proposals and specific requirements for those proposals (such as a detailed budget and a list of the firm's qualifications and past experience). It is normal practice to allow potential bidders to submit questions in advance of the proposal deadline, to clarify any issues and obtain more accurate submissions.

The price for a firm to help with the survey will vary depending on local conditions and the details of the scope of work. As a general estimate for planning purposes, Promise Neighborhoods should anticipate spending between $100,000 and $300,000. In return, the survey firm should provide a detailed survey protocol before the survey is fielded, specifying procedures for sampling, training, and interviewing. The Promise Neighborhood should also expect progress reports while the survey is in the field and a complete methodology report at the conclusion of surveying, confirming that the agreed upon protocols were followed.

Interviewer Recruiting and Training

For surveys to be administered in-person, either the Promise Neighborhood or the survey firm (or both) will need to recruit and hire interviewers to conduct the survey. Most survey firms will maintain a staff of professional interviewers that can be used for this purpose. This can save considerable time, but the Promise Neighborhood should consider whether the firm's interviewers are culturally competent to conduct the survey among the appropriate populations. In general, using interviewers from the same cultural, racial, or ethnic group is preferable for in-person interviewing. Question about cultural competency for different populations should be posed in the RFP that survey firms need to respond to.

Cultural Competency

Promise Neighborhood should employ culturally competent data collection methods and proper translation of documents in other languages. Consent and intake forms, survey instruments, and other Promise Neighborhood documents may need to be translated to meet local language needs. To ensure accuracy of collected data, the use of professional translators and reverse translation techniques (using a different translator to translate document back into English to test initial translation to target language) may be necessary. Written documents can also lead to cultural competency concerns related to the literacy level, tradition of reading and writing, and cultural traits of the respondents. Furthermore, Promise Neighborhood should be cognizant of how cultural norms may affect what does and does not get reported and the potential pitfalls when using community members to collect data.

Some Promise Neighborhoods may choose to recruit interviewers from the community itself. This can have advantages as these persons will have an understanding of the local population and an appropriate cultural frame of reference. On the other hand, using non-experienced interviewers can increase recruitment, training, and management expenses and may adversely affect survey quality. If the Promise Neighborhood decides to use community residents as interviewers, it should properly train and compensate them for their work. Being a survey interviewer should be treated as a job with appropriate commitment and performance expectations.

Another option that some Promise Neighborhoods may consider is to use university students as interviewers. Again, the lack of professional experience can result in increased training and management costs. University students also may not always have the cultural experience or background to gain acceptance in the community. Promise Neighborhoods will need to weigh the costs and benefits of different approaches.

Sampling

IMPORTANT

Sample selection is a highly technical and complicated issue and therefore, it is strongly recommended that the Promise Neighborhood get professional help to assist them with all aspects of this task.

A crucial part of most survey designs is the selection of the sample of the population to be surveyed. Because the overall population is often large, surveying everyone would be too expensive and time consuming. Instead, most surveys select a representative sample of the population and only collect data on that sample. Using a sample would be appropriate for a neighborhood survey, where interviewing every household would be prohibitively expensive. For the school climate survey, however, because the students are all in one place (i.e., a school) it should be possible to collect data for nearly every student without sampling.

Important issues around sample selection are discussed further below. Sample selection is a highly technical and complicated issue and therefore, it is strongly recommended that the Promise Neighborhood get professional help (i.e., a survey firm or survey expert) to assist them with all aspects of this task.

Sample Size

One of the first questions the Promise Neighborhood will need to answer (with the help of an expert) is, what size sample will be needed to obtain accurate survey results? Put differently, how many people will need to be interviewed to get reliable information?

The answer largely depends on four factors:

1. The specific indicators, populations, and subpopulations for which survey estimates are needed.
2. The estimated variance in the value of those indicators for the populations.
3. The level of accuracy needed in measuring changes or differences in indicators.
4. The expected survey response rate.

DEFINITIONS

Subpopulation—*Any group within the population that requires separate estimates, such as racial or ethnic groups, genders, or age cohorts.*

Variance—*A statistical measure of the extent to which a value varies about an average or other estimate. The higher the variance, the wider the range of values one is likely to observe in the population.*

Determining the indicators, populations, and subpopulations were discussed in a previous section. This information is very important in determining the sample size. As a rough rule of thumb, a minimum sample of between 100 to 200 respondents is needed to obtain accurate estimates for each *subpopulation* (any group within the population that requires separate estimates, such as racial or ethnic groups, genders, or age cohorts). For example, to obtain accurate estimates of indicators for children 0 to 5 years old, the survey would need to collect data on about one hundred 0 to 5 year olds living in the Promise Neighborhood. The exact number, however, will depend on the other three factors. The total sample size for the full survey will be determined by the number of subpopulations for which results are needed. A sample of about 800 to 1,000 respondents will likely be needed to obtain sufficient results.

To determine the sample size, the Promise Neighborhood will need an estimate of the *variance* for each of its indicators. Variance is a statistical measure that represents the amount of variability of an indicator in the actual population. Indicators with higher variance (that is, a wider range of values) will be harder to measure accurately than those with lower variance and consequently need a larger sample size.

The simplest way to determine the variance is to focus on the indicators that are percentages. There is a straightforward relationship between the percentage level and its variance. A value of 50 percent has the lowest variance; variance increases for values higher or lower than 50 percent. So, for example, other things being equal, a smaller sample would be required if one assumes that 50 percent of children 0 to 5 years old in the neighborhood have a medical home than if one assumes that the current value is only 20 percent or as high as 75 percent.

DEFINITIONS

Minimum measurable difference—*The lowest level of difference between two estimates from a given sample that can be considered as statistically valid.*

Confidence level—*The statistical certainty one has that the observed difference is, in fact, real. Normally expressed as a probability percentage.*

Of course, since this calculation is used for planning the survey, the survey itself cannot be used to determine these estimated percentages, at least for the first survey. Promise Neighborhoods will have to use other means to estimate these values. Estimates can come from external data sources, other surveys, or by asking people who have experience in a particular area (such as local healthcare providers) what their estimate of the values would be.

The third piece of information is the level of accuracy required to measure changes or differences in the indicators. There is no objective answer to this question. Promise Neighborhoods need to determine what level of accuracy is needed to satisfy particular audiences.

The level of accuracy has two parts, the *minimum measurable difference* between two indicator values and the *confidence level* in the measurement of that difference. The first part, minimum measurable difference, is the lowest level of difference between two estimates from a given sample that can be considered as statistically valid. For an indicator expressed as a percentage, for example, the minimum measurable difference would be the number of percentage points that one would want to be able to detect between two indicator values. The two values might be two estimates of the indicator for the same population at different points in time or two estimates at one point in time for different populations (African-American and white children, for example). Other things being equal, detecting a smaller minimal difference (such as 1 percentage point) would require a larger sample than a larger minimal difference (5 percentage points).

Another way to think about the minimum measurable difference is to ask, "What amount of change in an indicator is meaningful?" For example, if an indicator were to increase from 50 to 51 percent, would that be a meaningful change, that is, would it reflect a notable difference in the situation? If a one percentage point increase is not meaningful, would a five percentage point increase from 50 to 55 be meaningful?

The second factor in accuracy, the confidence level, is expressed as a probability percentage and indicates the statistical certainty one has that the observed difference is, in fact, real. Survey estimates based on a sample of the population have a level of statistical uncertainty, known as sampling error. Estimates made from larger samples will generally have less sampling error, and therefore greater certainty, than those from smaller samples. Acceptable confidence levels generally start at a minimum of 90 percent.

Promise Neighborhoods could choose different minimum measurable differences for specific indicators, but should pick a single confidence level to use for all indicators. It is recommended that, as a basic standard, Promise Neighborhoods use a minimum measurable difference of 5 percentage points or less and a confidence level of 90 percent.

Lastly, the rate of response in the survey will need to be factored into the sample size calculation as non-respondents will lower the overall effective size of the sample. In other words, one would need to choose a sample that is larger than the minimum required size to make up for the fact that the actual number of respondents will be lower. Promise Neighborhoods should set a target of 80 percent for survey response rates, which would mean that the selected sample would need to be 25 percent larger than the minimum number of respondents needed.

Sample Selection

Once the sample size is determined, a method of selecting an appropriate sample will need to be devised. Sample selection may involve several steps or stages. For example, one might start by selecting a random sample of households in a neighborhood and screen the households to ensure that children and youth under age 24 live in the households. For those chosen households with more than one child, *GPRA* guidance in Chapter 4 suggests collecting data on all children in the household, especially when the children are from multiple target age ranges (see the 'Indicators and Populations' section above). This would be a two-stage sample.

In instances where there are multiple children in the household within a specified age range, Promise Neighborhoods should decide whether to sample just one of these children in the age range or all of them. The advantage of sampling just one child within the age range is that it would be less burdensome for respondents. However, by including multiple children within the same age range, Promise Neighborhoods would collect more information and increase the number of respondents. The Promise Neighborhood will have to exercise judgment in balancing the burden of the survey against maximizing the opportunity to gather survey information. Should Promise Neighborhoods decide to sample just one child within a specified age range, interviewers will need to be trained in the proper method for selecting the child for the survey.

While Promise Neighborhoods may choose among different acceptable sampling methods, they should avoid certain strategies. Some sampling methods rely on finding potential respondents that are easy to identify and contact (convenience sampling): for instance, people who have inquired about youth programs, or who have attended a particular event. Initial respondents may be asked to identify new people to be surveyed (snowball sampling). These sampling methods may produce biased results that do not accurately represent the characteristics of the population being surveyed. For that reason, Promise Neighborhoods should not use convenience sampling or snowball sampling.

The method of selecting the sample will have important implications on the accuracy of the survey results. It may also affect the size of the sample needed. Therefore, it is recommended that the design and selection of the sample be done with assistance from a survey firm. In addition, many survey firms maintain address lists that can be used to sample households in a particular area, for example, simplifying the selection process.

Additional information on sampling can be found in the 'Resources' section at the end of this chapter.

Collecting and Analyzing Data

Once the survey questionnaire has been tested and finalized, the interviewers trained, and the sample selected, the data can be collected. Collecting survey data can be a lengthy process, so sufficient time should be allowed. It is important to manage the data collection closely. Supervisors should conduct periodic checks on the work being done by interviewers to identify quickly any potential problems.

A key issue with data collection will be following up on non-respondents. As mentioned earlier, Promise Neighborhoods should strive for an 80 percent response rate (i.e., 80 percent completed interviews) for its surveys. The 80 percent response rate goal is challenging, particularly considering the lower income population being surveyed, but the Promise Neighborhood can employ several strategies to increase participation and opportunities for completion:

- Door-to-door surveying;
- Attempting contacts at different times during the day;
- Budgeting for several attempts per household to obtain responses;
- Sending pre-interview notification letters, and scheduling interviews in advance, and
- Offering incentives for participation, such as gift cards or entry into a raffle.

DEFINITION

Nonresponse bias—*Bias which occurs if there is a meaningful difference between respondents and non-respondents to a survey resulting in a set of responses which is not representative of the entire population.*

Because the response rate goal is ambitious, the Promise Neighborhood should plan to conduct, or have their survey firm conduct, a test of *nonresponse bias*, which occurs if there is a meaningful difference between respondents and non-respondents, resulting in a set of responses which are not representative of the entire population. This analysis targets sampled populations who did not complete a survey to determine the extent to which the completed surveys are representative of the sample as a whole. The lower the final response rate, the more critical a proper analysis of the non-respondents becomes. This analysis should be performed early enough to redirect resources to recruitment of non-respondents to minimize the bias, if necessary.

The 'Resources' section at the end of the chapter suggests two sources for more information on response rates and nonresponse bias.

Once the data are collected, they will need to be entered into a computer database (if they were collected using paper forms) for analysis. All data entry should be verified to ensure that information is keyed in accurately. Consistency and data cleaning checks

should be performed on the entered data. This can include checking responses to individual questions for valid answers and comparing information across questions for consistency.

Analysis of the survey data can be done with specialized statistical software that is suitable for this purpose. The Promise Neighborhood will want to see various tables and charts summarizing the different indicators according to the populations and subpopulations of interest. The reported summary indictors should also include calculated margins of error, which indicate the degree of confidence in the estimates. For example, "the estimated share of children with a medical home is 34 percent, plus or minus 3 percentage points." Calculation of these margins of error can be complicated. For this reason, Promise Neighborhoods should work with researchers who have experience analyzing survey data.

Resources

Survey Questions (For Non-GPRA Indicators)

The Annie E. Casey Foundation's Making Connections initiative has compiled a set of validated survey questions on topics such as family strengthening, connections to social networks, and economic opportunity (http://tarc.aecf.org/initiatives/mc/mcid/index.php).

Q-Bank, developed by the National Center for Health Statistics, provides questions from federal surveys, links each question to its findings, and stores them in a searchable database (http://wwwn.cdc.gov/QBANK/Home.aspx).

The Centers for Disease Control administers two surveys of behavioral risk with potentially useful questions: the Youth Risk Behavioral Surveillance System (http://www.cdc.gov/healthyyouth/yrbs/index.htm); and the Behavioral Risk Factor Surveillance System (http://www.cdc.gov/brfss/).

The Agency for Healthcare Research and Quality, an agency of the U.S. Department of Health and Human Services, has a number of health-related surveys (http://www.ahrq.gov/data/dataresources.htm).

Survey Sampling

"Introduction to Survey Sampling" by Graham Kalton (1983). Series: Quantitative Applications in the Social Sciences. Number 35. A Sage University Paper.

"Introduction to Sampling for Non-Statisticians" by Dr. Safaa R. Amer is a presentation on sampling methods non-statisticians (http://www.amstat.org/sections/srms/IntroductiontoSamplingforNon-Statisticians.pdf).

"Organizational Research: Determining Appropriate Sample Size in Survey Research" by James E Bartlett, II, Joe W. Kortrlik, and Chadwick C. Higgins provides the basics on how to determine sample size based on acceptable margins of error, and is available in PDF form (http://www.osra.org/itlpj/bartlettkotrlikhiggins.pdf).

The National Statistical Service of Australia provides a sample size calculator which should only be used for simple random samples on their website (http://www.nss.gov.au/nss/home.nsf/pages/Sample+size+calculator?OpenDocument). It also provides definitions of the different components used to determine sample size (http://www.nss.gov.au/nss/home.nsf/pages/Sample+Size+Calculator+Description?OpenDocument).

Sampling Error

AAPOR provides the standard definition for the calculation of response rates available on their website (http://www.aapor.org/Standard_Definitions/1818.htm).

"Nonresponse rates and Nonresponse Bias in Household Surveys" by Robert M. Groves describes some of the issues that can occur as a result of non-respondents and describes the lessons learned from past literature on nonresponse rates (http://poq.oxfordjournals.org/content/70/5/646.abstract).

Chapter 8

School- and Neighborhood-Level Data

This chapter:

- Recommends 8 additional school-level and 15 additional neighborhood-level data to collect.
- Recommends locally and nationally available data sources for collecting school- and neighborhood-level data.
- Describes how to organize school- and neighborhood-level summary data files that will be included in the school- and neighborhood-level data system.

Promise Neighborhoods is a place-based initiative, so it is critical for grantees to understand changes occurring in the neighborhood and the target schools. In addition to individual-level case management systems, Promise Neighborhoods should also track consistently-measured indicators for the neighborhood and target schools in the longitudinal data system. Such data will be useful for informing programmatic decisions such as where to target a service as well as help determine if the Promise Neighborhood initiatives are having any impact on a more macro level. Therefore, Promise Neighborhoods are encouraged to collect and analyze additional neighborhood- and school-level data above and beyond the required *GPRA* measures. Recognizing that Promise Neighborhood initiatives are already complex and require extensive data tracking, the recommended additional indicators come from nationally or locally available secondary data sources.

DEFINITION

School-level indicator—*A data indicator that applies to an entire school rather than to specific individuals within that school. For example, average test scores for individuals attending a specific school and average graduation rate for individuals attending a school in 9th grade are school-level indicator.*

Data collection for this purpose is at the aggregated level (either neighborhood or school), so the indicators are more likely to be publicly available and more easily obtained than identified individual-level data. Aggregated data about the neighborhood and target schools would be stored in a summary-level longitudinal data system. Data should be routinely collected (depending on the data source) and appended to the summary data files so that a longitudinal data system is developed. This section discusses issues related to collecting and maintaining longitudinal school- and neighborhood-level summary data files.

School-Level Summary Data

The school-level summary data file should include basic information that can help inform the initiative (and future researchers) about the target Promise Neighborhood

schools. Seven educational *GPRA* indicators should already be derived from school-level summary data: 2, age-appropriate functioning; 4, math and English Language Arts assessments; 5, attendance rates; 6, graduation rates; 7a, enroll in post-secondary or vocation programs; 7c, graduate from post-secondary or vocation programs; and 11, student mobility rates. Promise Neighborhood initiatives are encouraged to collect the following eight additional summary statistics about the target school(s):

1. Address (street, city, and ZIP code) of the school,
2. Grades enrolled (minimum and maximum),
3. Number of students enrolled,
4. Number and share of students in each race/ethnicity category,
5. Number and share of students receiving free and reduced lunch,
6. Number and share of students in special education,
7. Number and share of students who are English Language Learners, and
8. Number and share of students testing in each proficiency category for the statewide assessment test for the pertinent grades (e.g., below basic, basic, proficient or advanced).

Promise Neighborhoods are also encouraged to collect any other school-level summary data that is pertinent to their initiative. These data will be critical for their own internal evaluations, as well as be important for future research.

School-Level Administrative Data Sources

Promise Neighborhoods should track the eight recommended school-level indicators and any other indicators that are pertinent to the program design and readily available to them. Typically these data are publicly available through school districts. In order to receive the data electronically (and not have to input from websites), Promise Neighborhoods may need a Memorandum of Understanding (MOU) to receive data on a regular basis (procedures for MOUs are described in Chapter 6). If necessary, Promise Neighborhoods sites can also hand input data from publically available sources as well. Stricter procedures to ensure confidentiality and prove exemptions to *FERPA* will not be necessary because these data will be collected in an aggregated form.

Promise Neighborhoods can also collect school-level data from publically available state or federal sources. Some of these aggregated school data should be available through state departments of education, which annually publish school-level test score results and may publish additional data about schools. In addition, the National Center for Education Statistics' (NCES) Common Core of Data (CCD) (updated annually) includes the following data:

- Title I Eligibility;
- Students in free/reduced lunch program;
- Student enrollment by race, grade, and gender (including combinations thereof); and
- Pupil : Teacher Ratio.

The full list of variables is available here: http://nces.ed.gov/ccd/data/txt/psu10play.txt

DEFINITION

Rectangular data file— *A format for organizing electronically-stored information that consists of a set of records (also referred to as rows) all with identical sets of data elements (also referred to as columns or variables). In a rectangular data file, each record generally contains information related to a particular unit of observation, such as an individual, family, school, or neighborhood.*

Organization of School-Level Data Files

School-level data can be organized into standard *rectangular data files*. Each school would have its own row (or record) and be assigned a unique school identifier. This identifier could be the U.S. Department of Education's NCES school ID or the school district's unique school ID number. The school ID allows data to be tracked for the same school over time, and it also allows the data manager to match the appropriate school-level data to specific students for future analysis. Exhibit 8.1 gives an example of a typical school-level data file that includes three separate schools as three rows (or records) and columns (variables) that include the schools address, maximum and minimum grades, its total enrollment, and the number of students qualifying for free and reduced price lunches. All of the variables shown here refer to the 2011–12 school year (represented as _1112).

Exhibit 8.1—Example of School-Level Data File

Record Number	NCESID	SCHOOL NAME_1112	ADDRESS_ 1112	GRADE MIN_1112	GRADE MAX_1112	Total enrollment_ 1112	FRPL_1112
1	10001	Abigail Elementary	123 Main St.	K	5	325	237
2	10002	Blue Middle School	89 First St.	6	8	550	432
3	10003	City High School	431 Smith Blvd.	9	12	745	541

Neighborhood-Level Summary Data

DEFINITIONS

Census tract— *A U.S. Census Bureau geography made up of a relatively small area of approximately 1,200 to 8,000 people.*

Census block— *A U.S. Census Bureau geography consisting of a physical area bounded by visible features such as streets, railroads, and water.*

Promise Neighborhoods will also want to compile and track data describing populations living in the entire neighborhood. This includes information such as the number of adults and children (by age group and race/ethnicity), family composition, poverty and income, health, immigration, crime, and housing. Understanding the neighborhood's population is critical in determining what services are needed and who needs them. They are also useful in tracking the Promise Neighborhood's impact on the community.

At a minimum, Promise Neighborhood initiatives are encouraged to collect the following 15 summary statistics about the targeted neighborhood. The recommended data source is listed as well, from either the decennial census, the census tract-level American Community Survey (ACS), or local administrative data.

1. Population (decennial census)
2. Percent distribution of population by age/gender (decennial census or ACS)
3. Percent distribution of population by race/ethnicity (decennial census or ACS)
4. Percent of foreign born population (ACS)

5. Percent distribution of households by household type (e.g., female headed with children under age 18, male headed with children under age 18, and married with children under age 18) (ACS)
6. Unemployment rate (ACS)
7. Percent working residents 16 and over employed (ACS)
8. Median household income (ACS)
9. Percent of persons below poverty (ACS)
10. Homeowners as percent of households (ACS)
11. Percent households moved in last five years (ACS)
12. Number of births (local data)
13. Percent births with adequate prenatal care (local data)
14. Violent crimes/100,000 residents (local data)
15. Property crimes/100,000 residents (local data)

ACS data include more indicators than the current decennial Census, but at the census-tract level is available only in five year averages, released annually.

As with the school-level data, Promise Neighborhoods are encouraged to collect any additional neighborhood-level summary data that is pertinent to their initiative. For instance, sites may want to collect foreclosure data, vacancy data, or employment by a specific industry. These data will be critical for their own internal evaluations, as well as be important for future research.

For more information see:

- Claudia Coulton (2007). *The Catalog of Administrative Data Sources for Neighborhood Indicators: A National Neighborhood Indicators Partnership Guide*. The Urban Institute: Washington, DC. Available at http://www.urban.org/UploadedPDF/411605_administrative_data_sources.pdf
- The National Neighborhood Indicators Partnership's Shared Indicators Systems (forthcoming) at http://www.neighborhoodindicators.org/

Neighborhood-Level Administrative Data Sources

Neighborhood-level data will either come from federal or local administrative data sources. Promise Neighborhoods can attempt to collect these data themselves or partner with city or county agencies or partners who specialize in the collection and analysis of neighborhood-level data, such as those organizations who participate in the National Neighborhoods Indicators Partnership (NNIP).

> ***National Neighborhoods Indicators Partnership***
> The National Neighborhood Indicators Partnership consists of over 30 jurisdictions across the nation which have built advanced information systems with recurrently updated information on neighborhood conditions in their cities. The experience and work of NNIP Partners can provide useful examples for Promise Neighborhoods on how to make use of national and local administrative data. See http://www.neighborhoodindicators.org/ for more information.

Exhibit 8.2 provides a summary of nationally and locally available administrative data for the 12 recommended neighborhood data and other indicators that Promise Neighborhoods may want to collect. Appendix 8.1 describes each of the data sources and the available indicators in more detail.

Exhibit 8.2—Summary of National and Local Neighborhood-Level Data for Promise Neighborhoods

Data	Frequency	Geographies	Variables Included
Nationally Available Data			
Decennial Census	Every ten years	Down to the census block.	• Total population • Age • Sex/gender • Race and ethnicity • Household type/family structure • Tenure • Vacancy
American Community Survey (ACS)	Data updated annually, but small geographies only available in five-year averages.	Down to the census tract for five-year average data.	• Age • Sex/gender • Race and ethnicity • Ancestry/immigration • Disability • Work commute/access to transportation • Education • Employment • Household type/family structure • Income • Poverty • Rent/mortgage costs • Income spent on housing costs • Number of units in building • Age of housing unit
Longitudinal Employer-Household Dynamics (LEHD) Origin-Destination Employment Statistics (LODES)	Annually	Data are available down to the census block level.	• Earnings • Industry sector • Worker age • Worker sex/gender • Worker race and ethnicity • Worker educational attainment
Home Mortgage Disclosure Act (HMDA)	Annually	Data are available down to the census tract.	• Racial and income distribution of borrowers • Denial rates by race and income • Loans from subprime lenders

Exhibit 8.2—Summary of National and Local Neighborhood-Level Data for Promise Neighborhoods, continued

Data	Frequency	Geographies	Variables Included
Locally Available Administrative Data			
Vital Statistics	Varies by jurisdiction, but data are often updated annually.	Varies by jurisdiction, but data are often available down to the tract level.	• Births • Deaths • Prenatal care • Birth weight • Mother's age • Mother's marital status • Race/ethnicity • Age at death • Cause of death
Immunizations	Varies by jurisdiction, but data are often updated annually.	Varies by jurisdiction, but data are often available down to the school level.	• Age-specific immunization rates
Public Assistance (TANF, Medicaid/SCHIP, SNAP)	Varies by jurisdiction, but data are often updated monthly.	Varies by jurisdiction, but data are collected at the individual level, and can be summarized using addresses to neighborhood geographies.	• Participation in TANF, Medicaid/SCHIP, and SNAP • Length of participation in the program for jurisdictions which collect longitudinal data
Child Welfare	Varies by jurisdiction, but data are often updated continuously.	Varies by jurisdiction, but data are collected at the individual level, and can be summarized using addresses to neighborhood geographies.	• Dates of entry and exit from custody, foster care, residential treatment, protective services, and special programs • Demographic information about the family.
Child Maltreatment	Varies by jurisdiction, but data are often updated continuously.	Varies by jurisdiction, but data are collected at the individual level, and can be summarized using addresses to neighborhood geographies.	• Type of incident (e.g., sexual, emotional, physical) • Person reporting incident (e.g., teacher, neighbor, doctor) • Whether the alleged incident was substantiated, indicated, or unsubstantiated.

Exhibit 8.2—Summary of National and Local Neighborhood-Level Data for Promise Neighborhoods, continued

Data	Frequency	Geographies	Variables Included
Juvenile Court	Varies by jurisdiction, but data are often updated annually.	Varies by jurisdiction, but data are collected at the individual/case level, and can be summarized using addresses to neighborhood geographies.	• Type of offense (e.g., violent crimes such as homicide and robbery, property crimes, drug violations, and less serious offenses such as disorderly conduct, curfew violations, and truancy) • Location of offense • Judge • Disposition • Disposition date • Potentially additional demographic data on the offender and victim.
Reported Crimes	Varies by jurisdiction, but data are often updated continuously.	Varies by jurisdiction, but data are collected at the individual/incident level, and can be summarized using addresses to neighborhood geographies.	• Type of crime (e.g., homicide, rape, aggravated assault, robbery, burglary, arson, auto theft, domestic violence, simple assault, menacing, and drug violations). • Weapon(s) used • Location of crime • Date/time of crime • Potentially additional demographic data on the offender and victim

Neighborhood-Level Geographies

While managing a neighborhood-level data file is similar in many ways to managing a school-level data file, there are some notable challenges associated with a neighborhood-level file. Data should be collected over time about the same neighborhood or geography. However, federal and local administrative data are often available in standard geographies that may not match the boundaries of the Promise Neighborhood footprint. Furthermore, these standard geographies can change over time. For example, census tract boundaries are redrawn before each decennial census. Therefore, this section reviews:

- The standard boundaries that most federal and many local data sets use,
- what to do when data boundaries do not align with Promise Neighborhood footprints,
- what to do when federal boundaries change over time, and
- how to organize the neighborhood-level data file.

Standard Small-Area Neighborhood Geographies

Most federal administrative data and many local administrative data are available in one or more geographies created by the U.S. Census Bureau[8]. The most common geographies for small-area data are shown in Exhibit 8.3. Each of the geographies listed have associated unique geographic identifiers or codes. For instance, individual census tracts have six-digit codes, such as 1457.02, that uniquely identify each tract within a county. Provided that data sources are using the same geographic definitions, data can easily be combined across them. For instance, Promise Neighborhoods can compare data from the American Community Survey about poverty rates for census tracts 1457.02 and 1457.03 with local data on teenage births for these same census tracts. If one does not know the geographic identifiers of the geographies included in the Promise Neighborhood footprint, the American FactFinder website (factfinder2.census.gov) allows users to locate which geographies might be relevant for the Promise Neighborhood.

[8] More information on Census Bureau geographies can be found on their website (http://www.census.gov/geo/www/reference.html).

Exhibit 8.3—Summary of Local Geographies for Nationally Available Data

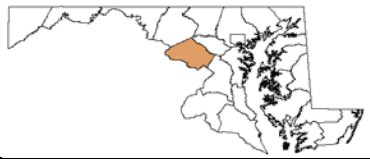
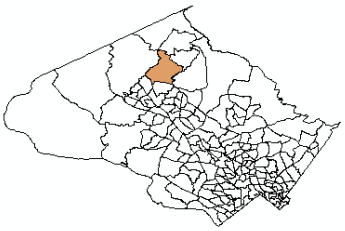
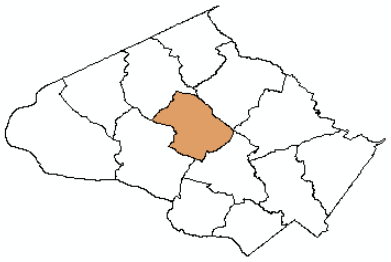
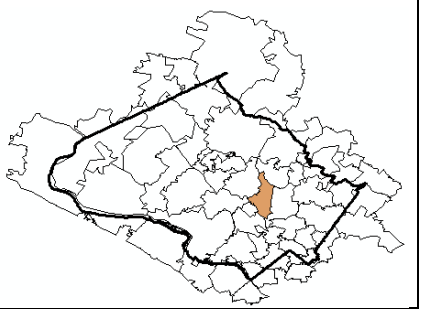
Geography	Description	Example: Montgomery County, Maryland	
		ID/Code	Visual/Map
County	**Counties** are the primary legal divisions of the majority of states, with the exceptions of Louisiana's parishes and Alaska's subareas, which are not counties but are considered county equivalents.	5 digit FIPS code consists of 2 digit state FIPS code and 3 digit county FIPS code. Highlighted county: 24031	Counties Within Maryland 
Tract	**Tracts** are relatively small areas with between 1,200 and 8,000 people, and are chosen based on their likelihood for stability. In addition, there are tribal census tracts, which are based on federally-recognized American Indian reservations or off-reservation land trusts. Each tribal census tract represents an area with a population up to 2,400.	11 digit FIPS code consists of 2 digit state FIPS code, 3 digit county FIPS code, and 6 digit tract FIPS code. Highlighted tract: 24031700205	Tracts Within Montgomery County 
Block Group	**Block groups** are clusters of blocks, generally with between 600 and 3,000 people living in them. They are subdivisions of census tracts.	12 digit FIPS code consists of 2 digit state FIPS code, 3 digit county FIPS code, 6 digit tract FIPS code, and 1 digit block group FIPS code. Highlighted block group: 240317002052	Block Groups within Tract 24031700205 
Block	**Blocks** are the smallest geography available for Census data and are created to match visible and jurisdictional boundaries.	14 digit FIPS code consists of 2 digit state FIPS code, 3 digit county FIPS code, 6 digit tract FIPS code, and 1 digit block group FIPS code. Highlighted block: 240317002052005	Blocks within Block Group 240317002052 

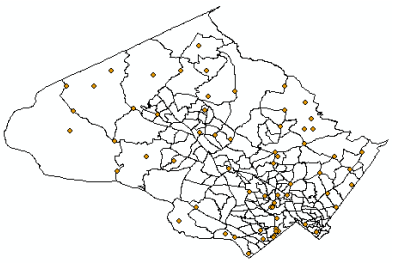
Exhibit 8.3—Summary of Local Geographies for Nationally Available Data, continued

Geography	Description	Example: Montgomery County, Maryland	
		ID/Code	Visual/Map
Other Sub-County Level Geographies			
County Subdivisions (MCDs, CCDs, and census subareas)	**Minor civil divisions (MCDs) vary from county to county, and are the primary governmental or administrative divisions used in the county or township.** They are available in 29 states[9]. **Census county divisions (CCDs)** usually follow visible features and coincide with tract boundaries but have no governmental or administrative function. They are available in 20 states.[10] **Census subareas** are only available in Alaska and are the statistical equivalents of MCDs.	Highlighted MCD: 2403190796	Minor Civil Divisions Within Montgomery County 
ZIP Code Tabulation Areas (ZCTAs)	Because ZIP code land areas are difficult to determine, the Census Bureau created **ZIP Code Tabulation Areas (ZCTAs)**, which allow for ZIP code data to be used. They do not necessarily line up with other jurisdictional boundaries, such as counties or cities and consequently are built from Census blocks.	Highlighted Zip Code: 20853	ZCTAs Within Montgomery County 

[9] The states which use MCDs include: Arkansas, Connecticut, Illinois, Indiana, Iowa, Kansas, Louisiana, Maine, Maryland, Massachusetts, Michigan, Minnesota, Mississippi, Missouri, Nebraska, New Hampshire, New Jersey, New York, North Carolina, North Dakota, Ohio, Pennsylvania, Rhode Island, South Dakota, Tennessee, Vermont, Virginia, West Virginia, and Wisconsin.

[10] The states which use CCDs include: Alabama, Arizona, California, Colorado, Delaware, Florida, Georgia, Hawaii, Idaho, Kentucky, Montana, Nevada, New Mexico, Oklahoma, Oregon, South Carolina, Texas, Utah, Washington, and Wyoming.

Exhibit 8.3—Summary of Local Geographies for Nationally Available Data, continued

Geography	Description	Example: Montgomery County, Maryland	
		ID/Code	Visual/Map
Public Use Microdata Area (PUMA)	**Public Use Microdata Areas (PUMAs)** are statistically geographic areas nested within states that are created to be used with the Public Use Microdata Sample (PUMS) data. Each PUMA must have a minimum of 100,000 residents.	Highlighted PUMA: 2401003	PUMAs Within Montgomery County 
Parcels	**Parcels** define areas that show property/ownership boundaries. Any parcel-level data should be summarized using mapping software to the PN footprint.	Coding of parcels will vary depending on jurisdiction.	Parcel Data Sample from Gaithersburg, MD in Montgomery County[11] 
Addresses/ Points	**Addresses** have information about the street address, which can be geocoded to create **points** with X/Y coordinates or latitude/longitude. Such coordinates are necessary in order to either map the data or to designate which data fall within the PN footprint.	N/A	

[11] Source: http://www.mdp.state.md.us/pdf/OurProducts/propertyMapProducts/MDPropertyView/fliers/montfl.pdf

When Data Do Not Align with Promise Neighborhood Footprint

From a data perspective, the ideal situation is when the Promise Neighborhood footprint exactly matches some combination of standard geographies. For instance, a Promise Neighborhood boundary may align perfectly with two census tracts. This makes data collection and management easier because data can be aggregated from existing geographies.

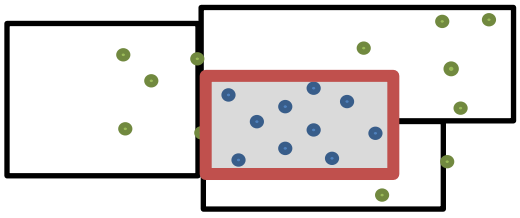
DEFINITION

***Geocode**—The process of assigning geographic coordinates (e.g. latitude-longitude) or other geographic identifiers (e.g., census tracts) to street addresses.*

When available, point-level data can be readily aggregated to neighborhoods. Examples of such data include student addresses, latitude and longitude coordinates of health clinics, and real property parcel data maintained by local tax authorities. Using mapping software, the data can be overlaid with the boundary of the Promise Neighborhood (shown in red in Exhibit 8.4) to identify points that fall inside and outside the footprint. Any data points that fall within the boundary can then be combined to create summary measures for the Promise Neighborhood.

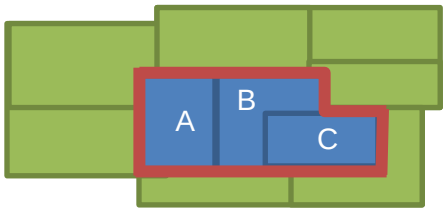
Address and parcel data may need to be geocoded first to create points that can be displayed on a map. Although address-, point-, or parcel-level data are ideal for summarizing at different geographic areas, relatively few data sources are available at this level of geographic detail. Furthermore, even when they exist, such data may be harder to obtain because they could be used to identify individuals and families.

Exhibit 8.4—Summarizing Data from Points



When the Promise Neighborhood consists of two or more smaller geographies combined together without crossing or overlapping boundaries, the smaller-level data can be added to match the Promise Neighborhood footprint. For example, if the footprint in red is made up of exactly three census tracts (blue tracts A, B, and C in Exhibit 8.5), one could summarize the total population of the three tracts to find the total population of the Promise Neighborhood footprint. Any averages should take into account the appropriate weights based on the denominator of the calculation. For example, child poverty rates in the footprint should be the average of the child poverty rates of the three census tracts, weighted by the number of children residing in each tract. In the Exhibit 8.5 example below, the weighted child poverty rate for the entire Promise Neighborhood is 28.75 percent.

Exhibit 8.5—Summarizing Data from Smaller Geographies



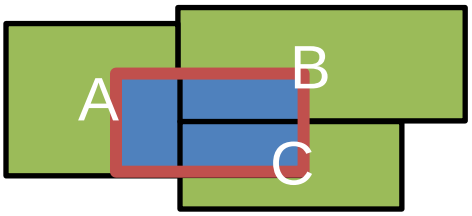
Geography	Child Poverty Rate	Number of Children	Weight	Weighted Child Poverty Rate
Tract A	25 %	100	100/400=0.25	*0.25 X 0.25 = 6.25 %*
Tract B	10 %	100	100/400=0.25	*0.10 X 0.25 = 2.5 %*
Tract C	40 %	200	200/400=0.5	*0.4 X 0.5 = 20 %*
Promise Neighborhood	28.75 % (calculated)	400	1	*28.75 %*

This method can also be used with data available at the block- or block-group-levels, which can often be summarized to match the Promise Neighborhood footprint exactly or with very little overlap. If the smaller geographies cannot be combined to match the boundaries of the Promise Neighborhood with an acceptable level of accuracy, other methods may be used to get more accurate data estimates.

Unlike the example above, there may be instances where the Promise Neighborhood boundaries overlap, or divide, or spread out across multiple existing standard geographies. For instance, a Promise Neighborhood may have boundaries that split one or more census tracts (Exhibit 8.6). In these situations, it may be necessary to recombine data from tracts or other standard geographies in different ways to obtain estimates more closely aligned with the Promise Neighborhood. This can be done through weighting the smaller area data to account for the extent to which each geographic unit is represented in the Promise Neighborhood. One can use weights based on data available at a smaller geographic level, such as the block-level decennial census data on total population, or subpopulations by tenancy or race. Alternatively, one can use weights based on land area.

To calculate population weights, one would take the census block population counts for all of the blocks that fall inside the Promise Neighborhood (red boundary in Exhibit 8.6) and determine the share of the neighborhood population for blocks in each of the three tracts (A, B, and C). For example, if the total population for all the blocks in the Promise Neighborhood is 400 people, and if 200 of those people live in blocks located in tract A, then the population weight for tract A is 0.5 (200/400). If, on the other hand, another 100 people in the Promise Neighborhood live in blocks in tract B, then the population weight for tract B is 0.25 (100/400).

Exhibit 8.6—Summarizing Portions of Data from Smaller Geographies



Geography	Poverty Rate	Population for Blocks within Promise Neighborhood	Weight	Weighted Poverty Rate
Tract A	40 %	200	200/400=0.5	*0.4 X 0.5= 20 %*
Tract B	20 %	100	100/400=0.25	*0.20 X 0.25 = 5 %*
Tract C	10 %	100	100/400=0.25	*0.10 X 0.25 = 2.5 %*
Promise Neighborhood	27.5 % (calculated)	400	1	*27.5 %*

These weights can then be used to calculate weighted averages of data for tracts A, B, and C that can be used to represent data for the Promise Neighborhood. In the example above, the weighted average of the poverty rate across the three tracts is 27.5 percent.

However, these population-weighted averages assume uniformity about the characteristics of the population across the entire tract, which might not be the case. For example, the area of tract A could include the only large apartment complex in tract A, which might have a different poverty rate than the rest of tract A which consists of single-family detached housing. While it is possible to design more complicated weights, say by using population by tenancy or population by race, the disadvantage to doing this is added complexity and possible inconsistency if different weighting methods are used for different indicators. Therefore, unless it is absolutely necessary, it is recommended that Promise Neighborhoods stick with simple population weights.

Boundary Changes

Sometimes federal or local geographic boundaries change over time. For example, a census tract that experienced large increases in population might be split into two census tracts during the next decennial census. Because of this, it is important for Promise Neighborhoods to make note of the geographic definition year included in their data system and check for any changes in that definition over time. When the geographic ID changes, a new variable should be created with the new identifier(s), creating a crosswalk that allows for data comparison over time. More information on geographic changes can be found on the Census Bureau's website (http://www.census.gov/geo/www/tract/CensusTracts.pdf).

For more information on small-level geographies, see the following web sites:

- Missouri Data Center: http://mcdc.missouri.edu/allabout/sumlevs/
- Census Bureau Topologically Integrated Geographic Encoding and Reference system (TIGER): http://www.census.gov/geo/www/tiger/

Organization of Neighborhood-Level Data

Neighborhood-level data should also be organized into standard rectangular data files similar to the school-level files. But because available neighborhood-level data will not necessarily match the Promise Neighborhood footprint, Promise Neighborhoods may need to track neighborhood-level data at multiple geographies. Each geographic area in the file should have its own record and geographic identifier. Exhibit 8.7 provides an example of the structure of a neighborhood-level file with two census tracts and one Promise Neighborhood footprint in its entirety. The summary level variable indicates if the record's unit of analysis, such as an individual census tract or the whole Promise Neighborhood. The tract_ID provides the tract identifier and population refers to the number of people (children and adults) who lived in either the individual census tract or the Promise Neighborhood overall in 2010. When possible, data should be summarized to a larger geographic level, such as combining information about the population in the two census tracts to find the population of the Promise Neighborhood. However, because not all data will be available at the same geographic level, data will sometimes be missing for the smaller geographies. For example, if the Promise Neighborhood is able to receive data on the total number of children on TANF who live in the footprint, they will not be able to break that number down into the two census tracts.

Exhibit 8.7—Example of Neighborhood-Level Data File

Record number	**Variable names**				
	Summary Level	**Geographic ID_2010**	**Tract ID_2010**	**Population_2010**	**Children_TANF_2010**
1	Promise Neighborhood	1	.	8,000	85
2	Tract	0110000101	0110000101	5,000	.
3	Tract	0110000101	0110000102	3,000	.

Survey Data

School- and neighborhood-level summary data files will most likely include information beyond federal and local administrative data. It may include data from school or neighborhood surveys, aggregated to create summary measures at the school or neighborhood level. These data will likely not be identified, and therefore will not be stored in the case management system. The following *GPRA* indicators measured by a

school or neighborhood survey (as discussed in Chapter 4) would be included in this category.

- Measures derived from a school climate survey to be included in school-level summary data files:
  - *GPRA* 10. Student feels safe traveling to and from school
  - *GPRA* 8. Children participating in 60 minutes of physical activity
  - *GPRA* 9. Children consume 5+ servings of fruits/vegetables
  - *GPRA* 15. Access to computer and broadband internet
- Measures derived from a neighborhood survey to be included in neighborhood-level summary data files:
  - *GPRA* 1. Medical home
  - *GPRA* 3. Enrollment in early childcare
  - *GPRA* 12. Number and percent of parents of children 0–5 years old read to 3+ times a week
  - *GPRA* 13. Number and percent of parents of children K–8 encouraging reading outside school
  - *GPRA* 14. Number and percent of parents of children in grades 9–12 about importance of college

Glossary

American Community Survey (ACS)—An annual survey of households and housing units conducted by the U.S. Census Bureau. The survey collects data on individual, household, and housing unit characteristics, such as age, sex, race, education, disabilities, income and benefits, family and relationships, residence, rent, and mortgage costs. These data can be used to estimate characteristics of the entire population. The ACS data are available at the census tract level using 5-year averages of the survey.

Administrative data—Data obtained from records that are collected and maintained by government entities, service providers, partner agencies, or schools for managing programs, providing services, or monitoring performance. For example, students' educational records maintained by school districts (e.g., grades and attendance) and birth records collected by local health departments are considered administrative data.

Aggregated data (also *summary-level data*)—Information that has been summed, averaged, or otherwise combined from lower-level records (also referred to as disaggregated data). For example, average school-wide test scores compiled from individual student test results are considered aggregated data.

Baseline data—Data on the site, including information on its schools and residents, before implementation of the Promise Neighborhood initiative. This pre-program data is necessary for evaluations of the effectiveness and efficiency of the initiative and helps Promise Neighborhoods determine greatest areas of need and opportunity at the start of the initiative.

Case management system—The core of the Promise Neighborhood data system for tracking participation and results for identifiable individuals (children and adults) served by the Promise Neighborhood schools and programs.

Census block—A U.S. Census Bureau geography consisting of a physical area bounded by visible features such as streets, railroads, and water.

Census tract—A U.S. Census Bureau geography made up of a relatively small area of approximately 1,200 to 8,000 people.

Confidence level —The statistical certainty one has that the observed difference is, in fact, real. Normally expressed as a probability percentage.

Continuum of solutions—A continuum of solutions or a continuum of cradle-through-college to-career solutions is the basis of the Promise Neighborhood's model for addressing the root challenges associated with growing up in poor or distressed

communities. A continuum of solutions: (1) include programs, policies, practices, services, systems, and supports resulting in improved educational and developmental outcomes for children from cradle through college to career; (2) are based on the best available evidence, including, where available, strong or moderate evidence; (3) are linked and integrated seamlessly; and (4) include both education programs and family and community supports.

Data element—A discrete piece of information on an individual or neighborhood that comprises a larger data set. For example, an individual's race is often a data element in the larger data set of the individual's educational, socioeconomic, and demographic background. In addition, a data element may be part of a *performance indicator.* For example, a performance indicator, such as the percent of fifth-graders in the Promise Neighborhood testing at or above grade level in mathematics, will be made up of the following data elements: (a) number of fifth-graders in the neighborhood testing at or above grade level in mathematics, divided by (b) the number of graders in the neighborhood.

Data quality—The reliability or accuracy of data collected, stored, or shared.

Data security plan—A written set of procedures and rules for how an organization, group, or initiative will collect, store, and report information, particularly confidential and sensitive data, in order to uphold data privacy laws and ensure sensitive data is not released to unauthorized parties or put to malicious use. To guarantee proper handling of data on children and adults, each Promise Neighborhood should create and follow a *data security plan*.

Data sharing agreement—An agreement between the providers and recipients or users of data on which data can be shared, under what circumstances, and for which purposes, as well as how data will be used, handled, aggregated, and disseminated. Promise Neighborhoods will need to negotiate multiple data sharing agreement with service partners, agencies, external researchers or evaluators, and other third parties to obtain, use, and share educational, health and other administrative data records on children and adults.

Data universe—The group or groups of people on which data are collected or used in a specific instance. For example, this may include all children within the Promise Neighborhood, all children attending a specific school, or all households within the Promise Neighborhood.

De-identified individual-level data—Individual-level data without personal identifiable information (PII) such as name or address. Data without PII may not be considered de-identified, however, if some combination of non-PII information can be used to identify a specific person in the data.

Direct identifiers— Data collected about people that can be used to directly identify an individual (e.g., name, address, social security number, or other information).

Eligible students—Students 18 years or older, students enrolled in college (of any age) who are legally able to give their own consent for sharing their personal data.

***Family Educational Rights and Privacy Act (FERPA)*—**A federal law that provides protections and disclosure requirements regarding student data.

Family Identification number—A unique number assigned to each family on which data is collected. Records in a case management system, for example, will need to have identification numbers to allow families to be tracked across programs and over time and to identify which individuals are in the same family as one another.

Family roster—A table with information on the composition of a family and how each member is related to a reference individual (in most cases, the reference individual will be designated head-of-household). This roster may also include other information such as the names, birthdate, employment status, and highest educational attainment of everyone living in the household.

Full Intake—Includes administration of consent forms and collecting demographic and family roster information**.**

Geocode—The process of assigning geographic coordinates (e.g., latitude/longitude) or other geographic identifiers (e.g., census tracts) to street addresses.

***Government Performance and Results Act (GPRA)* —**A federal law that requires agencies to establish performance goals and performance indicators for programs. These indicators are reported to the U.S. Congress on an annual basis by federal departments.

***Government Performance and Results Act (GPRA)* indicators**—Specific indicators that are required to measure progress toward particular desired results. The federal department funding each program determines these indicators and includes them in the funding notices. For the Promise Neighborhoods, there are 15 distinct *GPRA* indicators. These indicators are comprised of *data elements*, which often include a numerator and a denominator used to calculate each indicator.

Health Insurance Portability and Accountability Act* (*HIPAA)—A federal law protecting the personal information of patients that are collected by health providers.

***HIPAA*-covered entity**—Health plans, health care clearinghouses, and health care providers who conduct certain transactions in electronic form are considered covered entities under *HIPAA*. The *HIPAA* Privacy Rule dealing with protected health information applies to all covered entities.

Case Identification number—A unique number assigned to each individual or family on which data is collected. Records in a case management system, for example, will need to have identification numbers to allow individuals to be tracked across programs and over time.

Identified individual-level data— Individual-level data with direct identifiers, such as name or address, that would allow one to relate the data to a specific person.

Implementation data—Indicators that track individual participation in and interaction with programs, activities, and initiatives, including frequency of participation. For Promise Neighborhoods, this will most often include each individual's participation in specific programs or solutions.

Individual-level data—Data collected for a specific child or adult.

Intake/enrollment—The process of collecting initial information about a child or family who lives in or is participating in the Promise Neighborhood.

Logic model—A Promise Neighborhood's logic model describes how its *continuum of solutions* will lead to the *results* that it ultimately expects to achieve.

Longitudinal data—Information on the same subjects (e.g., individuals, schools, neighborhoods) collected and tracked consistently over time. For example, measures from regular student performance assessments and annual neighborhood poverty rates are considered longitudinal data.

Longitudinal data system—A system with the capability of storing and tracking *longitudinal data*.

Medical home—A place (e.g., hospital, clinic, NGO) where families have an ongoing relationship with a physician or group of physicians.

Minimum measurable difference—The lowest level of difference between two estimates from a given sample that can be considered as statistically valid.

Minor civil division (MCD)—The primary governmental or administrative divisions used in the county or township.

Mobility—Movement of individuals or households over time. For Promise Neighborhoods, mobility often refers to how many households move in and/or out of the Promise Neighborhood footprint during a given period of time.

National Center for Education Statistics (NCES)—The primary federal entity for collecting and analyzing data related to education in the U.S. and other nations. NCES is located within the U.S. Department of Education's Institute of Education Sciences. Data collected by NCES include nationwide school-level data such as pupil-to-teacher ratio, number of students enrolled in free and reduced lunch programs, and student enrollment by race, grade, and gender.

Neighborhood-level data—Data about the neighborhood and its residents in a Promise Neighborhood. This can include poverty rate, demographics, average household size, and birth rate.

Neighborhood- and school-level data system—A system with the capability of storing and tracking neighborhood-level and school-level data.

Neighborhood-level summary data—Distinct from individual-level data that are aggregated to the neighborhood level, these data are only available as summary statistics. Neighborhood-level summary data can cover a wide variety of topics, including poverty rate, demographics, average household size, and birth rates. Promise Neighborhoods can collect summary data about their neighborhoods from state and local agencies and organizations as well as federal sources, such as the decennial census and the American Communities Survey.

Neighborhood survey—A survey that is representative of a population living in a particular geographic area (such as a neighborhood). For Promise Neighborhoods, a neighborhood survey would be designed to produce accurate and reliable estimates for specific subpopulations (such as children 0 to 5 years old) living in the designated footprint of the Promise Neighborhood.

Nonresponse bias—Bias which occurs if there is a meaningful difference between respondents and non-respondents to a survey, resulting in a set of responses which is not representative of the entire population.

Outcomes—Changes in people's knowledge, behavior, health, emotions, attitudes, social conditions or relationships expected to result from a program activity or intervention. In this document, *outcomes* and *results* are used interchangeably.

Penetration rate—A measure of the extent to which the implemented solutions and activities are reaching the relevant populations in the neighborhood or target schools. The penetration rate is calculated by dividing the number of persons participating in a

program or activity by the total number of persons whom that program or activity is intended to reach.

Performance indicator—A measure of current status, activity, or change for an individual, group, or organization (e.g., children living in the Promise Neighborhood or attending a target school). Performance indicators are often multi-part measurements, constructed from specific *data elements*.

Personally identifiable information (PII)—Information that, either alone or when combined with other information, can be used to identify a specific individual. While all identified individual-level data would be considered PII, PII can also include individual-level data without direct identifiers as well as aggregated data, if those data can be used to determine information about a specific person.

Place-based initiative—A program or set of programs that focuses activities and seeks to produce results within a specific geographical area or at a particular location. Promise Neighborhoods is an example of a federal place-based initiative.

Program indicator—Indicators that the Department will use only for research and evaluation purposes and for which an applicant is not required to propose solutions.

Project indicator—Indicators used to measure the implemented strategies of Promise Neighborhood grantees collected at the individual-level and tracked in the site's longitudinal data system.

Promise Neighborhood—(1) A federal place-based initiative intended to turn neighborhoods of concentrated poverty into neighborhoods of opportunity by providing a continuum of school readiness, academic services, and family and community supports for children from early childhood through college. (2) The implementation of the federal Promise Neighborhood initiative in a particular place. For example, the Buffalo Promise Neighborhood consists of a neighborhood, schools, and partner organizations located in northeast Buffalo, New York.

Protected health information (PHI)—Individually identifiable health information held or transmitted by a HIPAA-covered entity (e.g. health care provider) or its business associate. PHI is information, including demographic data, relating to a person's past, present, or future physical or mental health, to the provision of health care to a person, or to payments for the provision of health care.

Record (*noun*)—In an information system, a set of *data elements* pertaining to a specific individual or entity.

Rectangular data file—A format for organizing electronically-stored information that consists of a set of records (also referred to as rows) all with identical sets of *data elements* (also referred to as columns or *variables*). In a rectangular data file, each record generally contains information related to a particular unit of observation, such as an individual, family, school, or neighborhood.

Response rate—The percentage of persons in the sample who provide responses in the survey. Data from surveys with low response rates may be unreliable. Promise Neighborhoods should strive toward a minimum response rate of 80 percent.

Results—The outcomes of a Promise Neighborhood initiative and/or its component programs. In this document, *results* and *outcomes* are used interchangeably.

Results-based accountability—A management tool that provides a clear, common language for assessing outcomes, indicators, and performance measures. It encourages people to think about how they can together work to achieve shared outcomes.

Restricted-use data file—Confidential or sensitive data that can only be accessed by approved personnel under a data use agreement. The Promise Neighborhood restricted-use data files will be created by the U.S. Department of Education for use by approved researchers wanting to conduct research on the Promise Neighborhood initiative.

Role-based data access—The access to information that an individual has, based on his or her role. For example, a Promise Neighborhoods data manager or caseworker will likely need access to all individual-level identified information for Promise Neighborhood participants. A service provider running an after-school tutoring program, however, may need access to school performance data, such as test scores and attendance, to be able to deliver appropriate help to individual students, but may not require access to health information.

Sample—A subset of a population selected in such a way (e.g., at random) to be representative of the entire population of interest and used to estimate information for the population as a whole. Most surveys are administered on a sample of a population.

Sampling error—The amount of statistical uncertainty that arises in estimating the characteristics of a population from a *sample* of that population. Sampling error is often presented in the form a confidence interval around an estimate. For example, "the survey results are accurate to within plus or minus 5 percentage points."

School climate survey—A *survey* of students that includes self-reported information on how they perceive their school environment, their experience travelling to and from school, and other issues related to their educational experience. A school climate survey

may be based on responses from a representative *sample* of the student population or a census of the entire student population.

School-level indicator—A data indicator that applies to an entire school rather than to specific individuals within that school. For example, average test scores for individuals attending a specific school and the average graduation rate for individuals attending a school in 9th grade are school-level indicators.

School-level summary data—Distinct from individual-level data that are aggregated to the school level, these data are only available as summary statistics. Examples include indicators for a target school, such as tracking the school graduation rate over time. Promise Neighborhoods can collect summary data about their schools from their local school districts, their state education agencies, or federal data sources such as the National Center for Education Statistics.

Self-administered survey—A survey that a person completes himself or herself without the help of a survey taker or interviewer.

Student mobility—Student mobility is measured by the number of student entries and withdraws at a targeted Promise Neighborhood school. The student mobility rate is calculated by dividing the total number of new student entries and withdrawals at a school, from the day after the first official enrollment number is collected through the end of the academic year, by the first official enrollment number of the academic year.

Subpopulation—Any group within the population that requires separate estimates, such as racial or ethnic groups, genders, or age cohorts.

Summary-level data—Information that has been summed, averaged, or otherwise combined from lower-level records.

Summary reports—Part of a data system drawing on data from the other components to produce timely and essential information on overall and specific program results. Summary reports are typically viewed by a wide array of stakeholders. Sometimes summary reports are referred to as a "dashboard."

Survey—A method of collecting information that asks a standard set of questions to a group of people meant to represent a particular population. Surveys are often administered to a *sample* of a population, that is, a subset of the full population that is chosen at random or in such a way that their answers to the survey questions can be interpreted as providing accurate information on the full population. Promise Neighborhoods will need to conduct two types of surveys: a *neighborhood survey* and a *school climate survey*.

Target schools—Schools that have a formal relationship with the Promise Neighborhood to provide services.

Universe—See *data universe.*

Variables—An element, feature, or factor that is liable to vary or change. A variable in the Promise Neighborhood project may be student test scores, graduation rates, or family income.

Variance—A statistical measure of the extent to which a value varies around an average or other estimate. The higher the variance, the wider the range of values one is likely to observe in the population.

Weighting (also sample weighting)—Using information about the size and composition of an entire population to transform sample data into estimated data for the entire population.

ZIP Code Tabulation Area (ZCTA)—Geographic area created by the U.S. Census Bureau for data reporting that are meant to approximate U.S. Postal Service ZIP codes.

Appendix 1.1: Technical Working Group for Promise Neighborhoods: Restricted-Use Data Files Project

Technical Working Group

- Prudence Brown, Independent Consultant
- Isaac Castillo, ChildTrends, Senior Research Scientist
- Claudia Coulton, Case Western Reserve University, Mandel School of Applied Social Sciences, Professor
- Greg Duncan, University of California, Irvine, Department of Education, Distinguished Professor
- Cindy Guy, Annie E. Casey Foundation, Associate Director of Policy Research
- Jane Hannaway, American Institutes for Research, Vice President, CALDER Director
- Christopher Walker, Local Initiatives Support Corporation, Director of Research and Assessment

Senior Project Advisors Participating in the Technical Working Group

- Betina Jean-Louis, Harlem Children's Zone, Director of Evaluation
- Victor Rubin, PolicyLink, Vice President for Research

Appendix 4.1: Government Performance and Results Act Indicators for Promise Neighborhoods

Academic Indicators—Project Indicators		
***GPRA* Number**	***GPRA* Indicator**	**Result**
1	Number and percent of children, from birth to kindergarten entry, who have a place where they usually go, other than an emergency room, when they are sick or in need of advice about their health.	Children enter kindergarten ready to succeed in school.
2	Number and percent of three-year-olds and children in kindergarten who demonstrate at the beginning of the program or school year age-appropriate functioning across multiple domains of early learning (as defined in the notice) as determined using developmentally-appropriate early learning measures (as defined in the notice).	
3	Number and percent of children, from birth to kindergarten entry, participating in center-based or formal home-based early learning settings or programs, which may include Early Head Start, Head Start, child care, or publicly-funded preschool.	
4	Number and percent of students at or above grade level according to State mathematics and English language arts assessments in at least the grades required by the *Elementary and Secondary Education Act* (3rd through 8th and once in high school).	Students are proficient in core academic subjects.
5	Attendance rate of students in 6th, 7th, 8th, and 9th grade.	Students successfully transition from middle grades to high school.
6	Graduation rate (as defined in the notice).	Youth graduate from high school.
7	Number and percent of Promise Neighborhood students who graduate with a regular high school diploma, as defined in 34 CFR 200.19(b)(1)(iv), and obtain postsecondary degrees, vocational certificates, or other industry-recognized certifications or credentials without the need for remediation.	High school graduates obtain a postsecondary degree, certification, or credential.

Family Support and Community Indicators—Project or Program Indicators		
***GPRA* Number**	***GPRA* Indicator**	**Result**
8–9	Number and percent of children who participate in at least 60 minutes of moderate to vigorous physical activity daily and consume five or more servings of fruits and vegetables daily.	Students are healthy.
	Possible second indicator, to be determined (TBD)	
10	Number and percent of students who feel safe at school and traveling to and from school, as measured by a school climate survey (as defined in this notice).	Students feel safe at school and in their community.
	Possible second indicator, to be determined (TBD)	
11	Student mobility rate (as defined in the notice).	Students live in stable communities.
	Possible second indicator, to be determined (TBD)	
12	For birth to kindergarten entry, number and percent of children who have a parent who reads to them at least three times a week.	Families and community members support learning in Promise Neighborhood schools.
13	For children in kindergarten through 8th grade, the number and percent of parents who report encouraging their children to read books outside of school.	
14	For children in the 9th to 12th grades, the number and percent of parents who report talking with their children about the importance of college and career.	
	Possible second indicator, to be determined (TBD).	
15	Number and percent of students who have school and home access (and percent of the day they have access) to broadband internet (as defined in this notice) and a connected computing device.	Students have access to 21st century learning tools
	Possible second indicator, to be determined (TBD).	

Note: Project indicators need to have targeted solutions to improve the indicator, be collected at the individual level, and part of the Promise Neighborhood case management tracking system and longitudinal data system. Program indicators do not need to have targeted solutions, can be collected at an aggregated level such as school or neighborhood, and should be compiled in a longitudinal neighborhood or school database.

Appendix 4.2: Neighborhood and School Climate Survey Questions for Select Government Performance and Results Act Measures

Appendix 4.2 compiles the recommended survey questions for the nine *GPRA* indicators that should be collected via a neighborhood or school climate survey, as described in chapter 4. This compilation is not intended to be a full, complete survey instrument. Promise Neighborhoods may collect additional information about the nine *GPRA* indicators beyond the recommend survey questions, and Promise Neighborhoods will collect additional information about neighborhood residents that does not need to be reported to the Department for *GPRA* purposes. At the minimum, Promise Neighborhoods should include the following survey questions.

GPRA 1. Number and percent of children birth to five years old who have a place where they usually go, other than an emergency room, when they are sick or in need of advice about their health.

Survey Source: National Survey of Children's Health 2011

Q1. Is there a place that [CHILD] USUALLY goes when [he/she] is sick or you need advice about [his/her] health?

(1) YES
(2) NO [SKIP]
(3) THERE IS MORE THAN ONE PLACE
(77) DON'T KNOW [STOP]
(99) REFUSED

Q2. IF K1 = 1, SAY "What kind of place is it?"

IF Q1 = 3, SAY "What kind of place does [CHILD] go to most often?"

Is it a doctor's office, emergency room, hospital outpatient department, clinic, or some other place?

(1) DOCTOR'S OFFICE
(2) HOSPITAL EMERGENCY ROOM
(3) HOSPITAL OUTPATIENT DEPARTMENT
(4) CLINIC OR HEALTH CENTER
(5) RETAIL STORE CLINIC OR "MINUTE CLINIC"
(6) SCHOOL (NURSE, ATHLETIC TRAINER, ETC.)
(7) FRIEND/RELATIVE
(8) MEXICO/OTHER LOCATIONS OUT OF U.S.
(9) SOME OTHER PLACE [RECORD VERBATIM RESPONSE]
(10) DOES NOT GO TO ONE PLACE MOST OFTEN
(77) DON'T KNOW
(99) REFUSED

Q3. A personal doctor or nurse is a health professional who knows your child well and is familiar with your child's health history. This can be a general doctor, a pediatrician, a specialist doctor, a nurse practitioner, or a physician's assistant. Do you have one or more persons you think of as [CHILD]'s personal doctor or nurse?

(1) YES, ONE PERSON
(2) YES, MORE THAN ONE PERSON
(3) NO
(77) DON'T KNOW
(99) REFUSED

GPRA 3. Number and percent of children, from birth to kindergarten entry, participating in center-based or formal home-based early learning settings or programs, which may include Early Head Start, Head Start, child care, or publicly-funded preschool.

Survey Source: Early Childhood Longitudinal Study Birth Cohort National 9-Month parent questionnaire

*I'd like to talk about the people who regularly care for [CHILD] and any child care programs you are currently using. I would like to know if [CHILD] is being cared for on a regular basis by someone **other than you and (HIS/HER) other parent or guardian** while you work, go to school, or participate in some regular activity.*

Q1. Does anyone else beside the parent or guardian take care of [CHILD] for at least 10 hours per week?

(1) YES
(2) NO (END)
(66) REFUSED
(77) DON'T KNOW

Q2. Now I want to ask you about child care centers [CHILD] may attend. Such centers include early learning centers, nursery schools, day care centers, and other preschools or kindergarten. Is [CHILD] now regularly attending a child care center more than 10 hours per week?

(1) YES
(2) NO
(66) REFUSED
(77) DON'T KNOW

Now I'd like to ask you about other care [CHILD] receives outside of a child care center from either a relative or a nonrelative other than a parent or guardian. A relative could include grandparents, brothers or sisters, or any other relative. A nonrelative could include home child care providers, regular sitters, or neighbors. It does not include child care centers or preschools as described in Question 2.

Q3. Let's talk about the provider who provides the most care for [CHILD] now. Is [CHILD] currently receiving care from a relative or nonrelative other than a parent on a regular basis more than 10 hours per week?

(1) YES

(2) NO (Stop)

(66) REFUSED

(77) DON'T KNOW

Q4. How many children are usually cared for together, in the same group at the same time, by [PROVIDER IN QUESTION 3], counting [CHILD]?

ENTER NUMBER OF CHILDREN __

(66) REFUSED

(77) DON'T KNOW

GPRA 8–9. Number and percent of children who participate in at least 60 minutes of moderate to vigorous physical activity daily and consume five or more servings of fruits and vegetables daily.

Survey Source: Youth Risk Behavior Survey 2011

Q1. During the past 7 days, on how many days were you physically active for a total of at least 60 minutes per day? (Add up all the time you spent in any kind of physical activity that increased your heart rate and made you breathe hard some of the time.)

A. 0 days
B. 1 day
C. 2 days
D. 3 days
E. 4 days
F. 5 days
G. 6 days
H. 7 days

The next six questions ask about food you ate or drank during the past 7 days. Think about all the meals and snacks you had from the time you got up until you went to bed. Be sure to include food you ate at home, at school, at restaurants, or anywhere else.

Q1. During the past 7 days, how many times did you drink 100% fruit juices such as orange juice, apple juice, or grape juice? (Do not count punch, Kool-Aid, sports drinks, or other fruit-flavored drinks.)

A. I did not drink 100% fruit juice during the past 7 days

B. 1 to 3 times during the past 7 days

C. 4 to 6 times during the past 7 days

D. 1 time per day

E. 2 times per day

F. 3 times per day

G. 4 or more times per day

Q2. During the past 7 days, how many times did you eat fruit? (Do not count fruit juice.)

A. I did not eat fruit during the past 7 days

B. 1 to 3 times during the past 7 days

C. 4 to 6 times during the past 7 days

D. 1 time per day

E. 2 times per day

F. 3 times per day

G. 4 or more times per day

Q3. During the past 7 days, how many times did you eat green salad?

A. I did not eat green salad during the past 7 days

B. 1 to 3 times during the past 7 days

C. 4 to 6 times during the past 7 days

D. 1 time per day

E. 2 times per day

F. 3 times per day

G. 4 or more times per day

Q4. During the past 7 days, how many times did you eat potatoes? (Do not count french fries, fried potatoes, or potato chips.)

A. I did not eat potatoes during the past 7 days

B. 1 to 3 times during the past 7 days

C. 4 to 6 times during the past 7 days

D. 1 time per day

E. 2 times per day

F. 3 times per day

G. 4 or more times per day

Q5. During the past 7 days, how many times did you eat carrots?

A. I did not eat carrots during the past 7 days

B. 1 to 3 times during the past 7 days

C. 4 to 6 times during the past 7 days

D. 1 time per day

E. 2 times per day

F. 3 times per day

G. 4 or more times per day

Q6. During the past 7 days, how many times did you eat other vegetables? (Do not count green salad, potatoes, or carrots.)

A. I did not eat other vegetables during the past 7 days

B. 1 to 3 times during the past 7 days

C. 4 to 6 times during the past 7 days

D. 1 time per day

E. 2 times per day

F. 3 times per day

G. 4 or more times per day

***GPRA* 10. Number and percent of students who feel safe at school and traveling to and from school, as measured by a school climate needs assessment.**

Survey Source: Safe Schools/Healthy Students National Evaluation School Climate Survey

How much would you say that you agree with the following statements?

Q1. This school is a safe place for students.

A. Strongly agree
B. Agree
C. Disagree
D. Strongly disagree
E. Don't know

Q2. I am safe when traveling to and from school.

A. Strongly agree
B. Agree
C. Disagree
D. Strongly disagree
E. Don't know

***GPRA* 12. For children birth to kindergarten entry, the number and percent of parents or family members who report that they read to their children three or more times a week.**

Survey Sources: Early Childhood Longitudinal Study Birth Cohort National 9-Month parent questionnaire

Q1. In a typical week, how often do you or any other family members read books to [CHILD]?

Would you say not at all, once or twice, 3-6 times, or every day?

***GPRA* 13. For children in the kindergarten through 8th grades, the number and percent of parents or family members who report encouraging their child to read books outside of school.**

Survey Source: Early Childhood Longitudinal Study Kindergarten Class of 1998–99

Q1. In a typical week, how often do you or any other family members read books to [CHILD]?
Would you say not at all, once or twice, 3-6 times, or every day?

Q2. In the past week, how often did [CHILD] read to (himself/herself) or to others outside of school?

Would you say …

Never,.....	1
Once or twice a week, ...	2
Three to six times a week, or.....	3
Every day?.....	4
REFUSED	7
DON'T KNOW	9

***GPRA* 14. For children in the 9th to 12th grades, the number and percent of parents or family members who report talking with their child about the importance of college and career.**

Survey Source: National Center for Education Statistics' Educational Longitudinal Survey (2002)

Q1. In the first semester or term of this school year, how often have you or your spouse or partner provided advice or information about the following to your 10th grader?

Options: never, sometimes, often

a. Selecting courses or programs at school
b. Plans and preparation for college entrance exams such as ACT, SAT, or ASVAB
c. Applying to college or other schools after high school
d. Specific jobs your 10th grader might apply for after high school

GPRA 15. Number and percent of students who have school and home access (and percent of the day they have access) to broadband internet and a connected computing device.

Survey Source: Questions adapted from Project Tomorrow.

*This set of questions is about whether you have access to the internet at home**.** Please check "yes" or "no" to indicate whether you have access to the Internet **at home** in the following ways:*

Q1. During a typical week, I have access to the Internet **at home** in the following ways:			
Response	**INTERNET ACCESS AT HOME**		
	Yes	**NO**	**DON'T KNOW**
1a. Through my home computer (i.e., desktop or laptop) that has slow or dialup Internet access	☐	☐	☐
1b, Through my home computer (i.e., desktop or laptop) that has fast Internet access (e.g., DSL, Broadband, or cable)	☐	☐	☐
1c. Through my Wi-Fi or 3G/4G mobile device	☐	☐	☐
1d. Through my digital reader or tablet (e.g., iPad or Kindle)	☐	☐	☐
1e. Through my music or video device (e.g., MP3 player, iPod or iPod Touch)	☐	☐	☐
1f. Through my handheld game (e.g., GameBoy, Nintendo DS)	☐	☐	☐
1g. Through my video gaming system (e.g., Xbox, Playstation, Wii)	☐	☐	☐
1h. Another way: [fill in the blank]_____	☐	☐	☐

*This set of questions is about whether you have access to the Internet at school**.** Please check "yes" or "no" to indicate whether you have access to the Internet **at school** in the following ways:*

Q2. During a typical school day, I have access to the Internet **at school** in the following ways:			
Response	**INTERNET ACCESS AT SCHOOL**		
	Yes	**NO**	**DON'T KNOW**
2a. During a school computer lab or computer class	☐	☐	☐
2b During an academic class other than computer lab or computer class such as English or Math class	☐	☐	☐
2c. Through school library computers	☐	☐	☐
2d. Through my own laptop that I bring to school	☐	☐	☐
2e. Through my own tablet computer (such as an iPad) that I bring to school	☐	☐	☐
2f. Through my Wi-Fi or 3G/4G mobile device that I bring to school	☐	☐	☐
2g. Another way: [fill in the blank]_____	☐	☐	☐

Appendix 5.1: Promise Neighborhood Service Typology for Case Management System

This typology is provided as a sample, to be adapted by individual Promise Neighborhoods. The first two columns (recipient and type of service) will apply to most communities. However, the list of activities, descriptions, and expected level of participation will vary from community to community. As noted in Chapter 5, the expected level of participation is included to help program staff interpret outcomes data, based on an individual's commitment to program expectations. (For example, a program would not expect the same level of achievement from someone who participated in 3 of 10 program sessions, compared to someone who attended 9 or 10). For some services or activities (e.g., drop-in programs, pick-up sports programs, or transportation services) defining an expected level of participation will not be practical.

Typology Categories

- ***Recipient of Service.*** This can be an individual student/child/youth, a parent, the entire family, the school, or the neighborhood.
- ***Type of Service.*** This is the general service category.
- ***Activities Included Under this Service Type.*** These should be the specific activities offered by the Promise Neighborhood and its partners (the ones provided here are examples).

Sample Typology

Recipient of Service	Type of Service	Activities Included under This Service Type
Individual: student/child/youth or parent	Academic assistance	*Tutoring/homework assistance* out of school (including after school and on weekends) for regular school classes *Expected level of participation:* [to be determined and reported by local provider]
		Remedial education assistance or classes specifically targeted toward students who are behind in school (includes after-school, weekend, and summer assistance or classes) *Expected level of participation:* [to be determined and reported by local provider]
		Summer academic classes: non-remedial academic (math, science, history, English/language arts/reading) classes offered over the summer *Expected level of participation:* [to be determined and reported by local provider]

Recipient of Service	Type of Service	Activities Included under This Service Type
		After-school/out-of-school academic classes: non-remedial academic (math, science, history, English/language arts/reading) classes offered during the school year after school or on weekends *Expected level of participation:* [to be determined and reported by local provider]
		Financial incentives or prizes for academic achievement offered to students for reaching academic goals
		English language learner classes designed specifically for students learning English as a second language *Expected level of participation:* [to be determined and reported by local provider]
		In-school vocational training classes taught in and during school (such as auto shop) *Expected level of participation:* [to be determined and reported by local provider]
		College test preparation classes or tutoring for college tests such as the SAT or the ACT *Expected level of participation:* [to be determined and reported by local provider]
		Speech therapy *Expected level of participation:* [to be determined and reported by local provider]
		Adult literacy classes offered to adults over 18 who are not working toward a GED *Expected level of participation:* [to be determined and reported by local provider.]
		Adult GED classes offered to students over 18 working toward a GED *Expected level of participation:* [to be determined and reported by local provider]

Recipient of Service	Type of Service	Activities Included under This Service Type
	Early education	*Early learning, preschool, or child care* for infants and children younger than kindergarten (preschool, prekindergarten, etc.) *Expected level of participation:* [to be determined and reported by local provider]
		Early screening for developmental delays in young children
		Scholarships or other financial support such as vouchers or personal grants for early learning care, preschool, or /child care
		Training for informal early child care workers: classes or workshops for family, friends, and neighborhoods that provide care to children 0–4 *Expected level of participation:* [to be determined and reported by local provider]
		Language development classes offered to young children *Expected Level of Participation:* [to be determined and reported by local provider]
	Life skills development	*Baby college/infant parenting classes* specifically for parents to be or parents of infants and babies *Expected level of participation:* [to be determined and reported by local provider]
		Parenting classes for parents of children or teenagers *Expected level of participation:* [to be determined and reported by local provider]
		Financial literacy classes on building budgets, saving, investing, retirement, and similar topics *Expected level of participation:* [to be determined and reported by local provider]
		Saving accounts or other means of saving money

Recipient of Service	Type of Service	Activities Included under This Service Type
	Mentoring	*College guidance*: for students or parents of students regarding college applications or financial aid *Expected level of participation:* [to be determined and reported by local provider]
		Peer (student-student or parent-parent) mentoring: children or youth are mentored by another child or youth or parents is mentored by another parent *Expected level of participation:* [to be determined and reported by local provider]
		Leadership skills training to build leadership skills in children, youth, or parents *Expected level of participation:* [to be determined and reported by local provider]
	Violence prevention	*Anti-bullying training* for students or parents *Expected level of participation:* [to be determined and reported by local provider]
		Gang desistance: community, police, or school programs specifically targeting gangs or discouraging youth from joining gangs
		Mediation training for children and youth to conduct mediation. *Expected level of participation:* [to be determined and reported by local provider]
		Alternatives to violence: mediation, conflict resolution (where service providers conduct the mediation)
	Physical health/health care	*Transportation to health care* from home or school to doctor, dentist, or other health care provider
		Mobile health care unit visits to school, home, or neighborhood
		Medical home visits by doctors, dentists, nurses, nurse practitioners, etc.

Recipient of Service	Type of Service	Activities Included under This Service Type
		Health education classes, workshops, or materials, aside from sex education *Expected level of participation:* [to be determined and reported by local provider]
		Sex education: classes, workshops, or materials *Expected level of participation:* [to be determined and reported by local provider]
		Physical therapy in clinics, homes, or neighborhoods *Expected level of participation:* [to be determined and reported by local provider]
	Mental health	*Transportation to mental health treatment* from home or school to mental health care provider
		Individual counseling services provided to children, youth, or parents by professional counselors *Expected level of participation:* [to be determined and reported by local provider]
		Group counseling services provided to children, youth, or parents with professional counselors *Expected level of participation:* [to be determined and reported by local provider]
		Support groups with or without professional counselors *Expected level of participation:* [to be determined and reported by local provider]
	Substance abuse treatment	*Transportation to individual or group substance abuse treatment* from home or school
		Individual substance abuse treatment from a health care professional or credentialed counselor *Expected level of participation:* [to be determined and reported by local provider]

Recipient of Service	Type of Service	Activities Included under This Service Type
		Group substance abuse treatment or support (such as Alcoholics Anonymous) *Expected level of participation:* [to be determined and reported by local provider]
	Juvenile justice/parolees	*Mentoring programs* specifically for at-risk youth and parolees *Expected level of participation:* [to be determined and reported by local provider]
		Individual and family therapy for at-risk youth and parolees *Expected level of participation:* [to be determined and reported by local provider]
		Intervention programs that aim to encourage or redirect at-risk youth or parolees to focus on positive behaviors, schoolwork, employment, etc. *Expected level of participation:* [to be determined and reported by local provider]
	Enrichment	*Arts and crafts*: arts (e.g., painting, drawing, sculpting) and crafts (e.g., sewing, jewelry-making) classes offered outside of school *Expected level of participation:* [to be determined and reported by local provider]
		Music: music classes or music groups (choir, band) offered outside of school *Expected level of participation:* [to be determined and reported by local provider]
		Theater and dance *Expected level of participation:* [to be determined and reported by local provider]
		Sports: competitive team or individual sports, sports camps *Expected level of participation:* [to be determined and reported by local provider]

Recipient of Service	Type of Service	Activities Included under This Service Type
		Games: competitive and noncompetitive organized games, such as board games *Expected level of participation:* [To be determined and reported by local provider.]
		Free play *Expected level of participation:* [to be determined and reported by local provider]
		Cultural outings to museums, concerts, plays, games, etc. *Expected level of participation:* [to be determined and reported by local provider]
		Community service projects *Expected level of participation:* [to be determined and reported by local provider]
	Employment	*Job readiness training*, including resumes and interview tips *Expected level of participation:* [to be determined and reported by local provider]
		Vocational training outside of school *Expected level of participation:* [to be determined and reported by local provider]
		Assistance with job placement, including finding a new job or networking for a new job
		Paid internships or apprenticeships *Expected level of participation:* [to be determined and reported by local provider]
		Unpaid internships or apprenticeships *Expected level of participation:* [to be determined and reported by local provider]
		Career exploration

Recipient of Service	Type of Service	Activities Included under This Service Type
	Food and nutrition	*Nutrition or cooking classes* (non-school) *Expected level of participation:* [to be determined and reported by local provider]
		Gardening, including teaching children, youth, or parents how to grow fruits and vegetables *Expected level of participation:* [to be determined and reported by local provider]
	Technology	*Access to computers and Internet*
		Access to Internet only, with own computer
		Computer skills classes (non-school) *Expected level of participation:* [to be determined and reported by local provider]
Family	Academic assistance	*Parent-teacher meetings* that take place at school
		Teacher home visits that take place with parents at home
	Family case management	*Meetings or home visits with family social workers* *Expected level of participation:* [to be determined and reported by local provider]
		Family counseling or mediation with a professional counselor or mediator *Expected level of participation:* [to be determined and reported by local provider]
	Public assistance	*Supplemental Nutrition Assistance Program (SNAP, formerly food stamps)*: assist families in determining eligibility and applying for SNAP or provide family with resources on the eligibility and application for SNAP
		Temporary Assistance for Needy Families (TANF): assist families in determining eligibility and applying for TANF or provided family with resources on the eligibility and application for TANF

Recipient of Service	Type of Service	Activities Included under This Service Type
		Special Supplemental Nutrition Program for Women, Infants, and Children (WIC): assist families in determining eligibility and applying for WIC or provide family with resources on eligibility and application for WIC
		Medicaid/State Children's Health Insurance Program (SCHIP): assist families in determining eligibility and applying for Medicaid/SCHIP or provide family with resources on the eligibility and application for Medicaid/SCHIP
		Supplemental Security Income (SSI)/Disability: assist families in determining eligibility and applying for SSI/Disability or provide family with resources on the eligibility and application for SSI/Disability
		Housing Assistance: assist families in determining eligibility and applying for federally or locally funded housing assistance programs, or provide family with resources on eligibility and application for federally or locally funded housing assistance programs
		Earned Income Tax Credit (EITC)/tax returns: assist families with completing federal or local tax returns, including filing for EITC
	Food and nutrition	*Food pantry*: family is able to receive free or discounted food from food pantry
		Free meals: family receives free meals not from a food pantry
	Technology	*Access to computers and Internet* *Expected level of participation:* [to be determined and reported by local provider.]
		Access to internet, which only family can use *Expected level of participation:* [to be determined and reported by local provider.]
	Housing	*Mobility/housing counseling* *Expected level of participation:* [to be determined and reported by local provider.]

Appendix 6.1: Summary of FERPA and HIPAA Requirements

Education Records

The disclosure of personally identifiable information (or PII) from education records by schools and school districts is covered by a federal law, the *Family Educational Rights and Privacy Act* (*FERPA*). *FERPA* specifically protects education records, so it is crucial that Promise Neighborhoods understand its requirements. For a table summarizing *FERPA* protections, exceptions, and consent procedures for PII from education records (alongside those for health records covered by the *Health Insurance Portability and Accountability Act*, discussed below), see the end of this Appendix.

FERPA affords parents the right to access their children's education records, the right to request the records be amended, and the right to consent to the disclosure of personally identifiable information from education records, except as provided by law.[12] When students turns 18 or enter a postsecondary institution at any age, the rights under *FERPA* transfer from the parents to the students. The law applies to schools that receive funds under any program administered by the Secretary of Education; in most cases, private and parochial schools are not subject to *FERPA*.

The law defines education records as those directly related to the student and maintained by a school or a local educational agency (LEA, e.g., a school district) or by a party acting for the LEA. Personally identifiable information from education records includes information about the student and the student's family, as well as educational information such as grades, assessment test scores, and attendance. There are certain exceptions to what *FERPA* considers education records, including sole possession records used as a personal memory aid, law enforcement unit records, student employment records, and "treatment records."

The law protects personally identifiable information, which includes, but is not limited to,

- student's name;
- name of the student's parents or other family members;
- address of the student or student's family;
- a personal identifier, such as a social security number, student number, or biometric record; and
- other indirect identifiers, such as the student's date of birth, place of birth, and mother's maiden name.

FERPA can protect not only student-level data, but also aggregate data with small cell sizes. This is because FERPA protects other information that, alone or in combination, is linked or linkable to a specific student and would allow a person in the school community, who does not have personal knowledge of the relevant circumstances, to identify the student with reasonable certainty. For example, if knowing a student's race or ethnicity in combination with sex and grade would allow someone to identify a particular student, this combination of data may be considered personally

[12] Much of this information is taken from "*FERPA* 101: *FERPA* Basics," http://www2.ed.gov/policy/gen/guid/fpco/doc/ferpa101slides.pdf

identifiable information. Personally identifiable information subject to *FERPA* protections can also include information requested by someone the educational agency or institution would reasonably believe knows the student's identity.

FERPA restrictions will likely come into play for Promise Neighborhoods in two data-sharing situations.[13] First, school districts may wish to share personal and educational data on students who are in target schools or receiving Promise Neighborhood services from other partners. Promise Neighborhoods may use this information to administer programs and to facilitate provision of integrated, wrap-around services, as well to track individual outcomes. For example, providers of an after-school program may benefit from seeing educational information about a student, so they can better tailor services based on that student's needs. Promise Neighborhood leadership and evaluators may want to see individual-level data to determine whether specific programs are effective in supporting educational outcomes or to identify children who need further intervention.

Second, Promise Neighborhoods may need to report individual-level data to certain third parties such as external evaluators or the U.S. Department of Education. In this case, the data should be subject to disclosure avoidance before they are provided, since third parties will likely not need to identify individual Promise Neighborhood participants. Depending on the level of de-identification performed, these data may or may not continue to be covered by *FERPA* disclosure protections. If all personally identifiable information is removed before the data are transmitted, and if no remaining information could identify a student with reasonable certainty, then *FERPA* restrictions on distribution would no longer apply. Note, however, that determining whether *FERPA* protections apply requires performing a risk disclosure analysis and may necessitate further "scrubbing" to eliminate disclosure risk. Such scrubbing includes suppression of reporting on certain data fields or particular populations, using less-detailed reporting categories, data swapping, or some combination of these methods.

Given that Promise Neighborhoods must obtain identifiable individual-level data on students, for a variety of program management and evaluation purposes, *FERPA* restrictions will require that Promise Neighborhoods obtain written consent for school districts to share education data. For written consent, a parent or student 18 or older must provide a signed and dated written consent before a school district may disclose education records. The consent must

- specify records that may be disclosed,
- state purpose of disclosure, and
- identify the party or class of parties to whom disclosure may be made.

See Appendix 6.4 for a model consent form. The form specifies which information may be disclosed (e.g., student grades, evaluation results, school absences) and the purpose of disclosure (i.e., "to facilitate the provision and evaluation of services for the Promise Neighborhood and to permit the tracking of outcomes required by the U.S. Department of Education and the Promise Neighborhood"), as well as indicates that the data will be shared with Promise Neighborhood partners, and leadership and the Department or its authorized representatives. The school district must keep a copy of the consent forms on file and enter the date of consent into the Promise Neighborhood case management system so that it is clear which students have granted consent.

[13] Under the "school officials" exception, *FERPA* permits data sharing within the school district among persons (such as principals, teachers, and school staff) who have been determined to have legitimate educational interests..

Additional information about obtaining informed consent is discussed in Chapter 6 of this guidance document.

FERPA provides certain exceptions allowing data to be share even without consent. An exception applicable to Promise Neighborhoods is disclosure of "directory information," defined as personally identifiable information not generally considered harmful or an invasion of privacy if disclosed. Directory information may include, but is not limited to,

- name, address, telephone listing, or electronic mail address;
- date and place of birth;
- photographs;
- participation in officially recognized activities and sports;
- field of study;
- athletes' weight and height;
- enrollment status (full-time, part-time, undergraduate, graduate);
- degrees and awards received;
- dates of attendance;
- most recent previous school attended; and
- grade level.

School districts may disclose directory information if they have given students' parents or students older than 18 public notice of the intent to share this information. See Appendix 6.2 for a model notice. The notice must tell parents they have the right to opt out, that is, refuse to let the school district designate any or all of the student's information as directory information. The announcement may also specify that the school district has adopted a *limited* directory information policy that allows disclosure of directory information to specific parties, for specific purposes, or both. Parents opting out of sharing directory information should be recorded in the school district's data system, so that those records may be excluded from any data sharing with Promise Neighborhoods.

As discussed in Chapter 6, directory information may be most useful to prepopulate a case management system with basic data on all students living in the Promise Neighborhood, attending target schools, or both.

While directory information can be valuable data for prepopulating a case management system, it cannot, because of its limitations, provide most of the *Government Performance and Results Act* (*GPRA*) outcomes or other indicators that Promise Neighborhoods may wish to track. For that reason, obtaining parental consent for information sharing will be essential.

Health Records

While data from school districts are an important source of information for *GPRA* education indicators and other measures, Promise Neighborhoods may need access to other administrative data to fully track *GPRA* noneducation indicators as well as other outcomes for all services. Other data may come from health care providers, juvenile justice systems, and direct service providers.

For sharing health provider data, an additional set of requirements is specified in the *Health Insurance Portability and Accountability Act* (*HIPAA*). Like *FERPA*, *HIPAA* is a federal law; it applies to health plans,

health care clearinghouses, and any health care providers that transmit electronic health information in connection with transactions for which the Secretary of Health and Human Services has adopted standards under *HIPAA* (these include claims, benefit eligibility inquiries, and referral authorization requests). Generally speaking, most health care providers fall under *HIPAA*'s provisions. In addition, *HIPAA* states that business associates providing services and handling data on behalf of the covered entity are also subject to *HIPAA* requirements. See the next page for a table summarizing *FERPA* and *HIPAA* protections, exceptions, and consent procedures.

Similar to the consent provisions under *FERPA*, *HIPAA* allows individuals to authorize the disclosure of their personal health information.[14] Promise Neighborhoods will need to obtain individual authorization for sharing health data. A *HIPAA*-compliant authorization form must include, but is not limited to, a description of the *specific* personal health information that will be used or disclosed, identification of the entities sharing the information, a statement that the information used or disclosed may be subject to redisclosure and no longer protected, and a statement of participants' right to revoke their authorization and the means for doing so.

[14] *HIPAA* distinguishes between individuals granting "authorization" and giving "informed consent." According to the National Institutes of Health web site, "An Authorization differs from an informed consent in that an Authorization focuses on privacy risks and states how, why, and to whom the [information] will be used and/or disclosed for research. An informed consent, on the other hand, provides research subjects with a description of the study and of its anticipated risks and/or benefits, and a description of how the confidentiality of records will be protected, among other things. An Authorization can be combined with an informed consent document or other permission to participate in research." http://privacyruleandresearch.nih.gov/pr_08.asp#8b.

Exhibit A.6.1.1. Summary of Individual Protections and Rights and Requirements for Covered Institutions for Education Records Protected by *FERPA* and Health Records Protected by *HIPAA*

	FERPA	***HIPAA***
Covered institutions or entities	Schools that receive funds under any program administered by the Secretary of Education; most private and parochial schools are excluded.	Health plans, health care clearinghouses, and health care providers who electronically transmit any health information in connection with transactions for which the Department of Health and Human Services (HHS) has adopted standards; and Business associates acting for the covered entity.
Protected information	*Education records* directly related to the student that are maintained by a local educational agency (LEA, e.g., a school district) or by a party acting for the LEA. Education records would include *personally identifiable information* about the student and the student's family as well as *educational information* such as grades, assessment test scores, and attendance. *Individual-level* data are protected as are, in some cases, *aggregate data*, if the aggregate data are on small subpopulations that could be re-identified through combinations of unique or uncommon characteristics.	Protected health information (PHI) is *individually identifiable health information*, held or maintained by a covered entity or its business associates, that is transmitted or maintained in any form or medium. PHI includes identifiable *demographic* and other information relating to the *physical or mental health or* condition of an individual or the *provision or payment of health care*. For purposes of the Privacy Rule, *genetic information* is also considered to be PHI.
Exceptions	Sole possession records used as a personal memory aid, law enforcement unit records, student employment records, and treatment records (these last two exceptions mostly apply to eligible students, i.e., students 18 years old or attending a postsecondary institution at any age).	Individually identifiable health information that is maintained in education records covered by *FERPA*; employment records containing individually identifiable health information that are held by a covered entity in its role as an employer.
Personally identifiable information (PII)	The student's name; Name of the student's parents or other family members; Address of the student or student's family; A personal identifier, such as a social security number, student number, or biometric record; Other indirect identifiers, such as the student's date of birth, place of birth, and mother's maiden name; Other information that, alone or in	Names. All geographic subdivisions smaller than a state, including street address, city, county, precinct, ZIP code, and their equivalent geographical codes, except for the initial three digits of a ZIP code if, according to the current publicly available data from the Bureau of the Census: • The geographic unit formed by combining all ZIP codes with

	FERPA	***HIPAA***
	combination, is linked or linkable to a specific student that would allow a reasonable person in the school community, who does not have personal knowledge of the relevant circumstances, to identify the student with reasonable certainty; or Information requested by a person the educational agency or institution reasonably believes knows which student the education record relates to.	the same three initial digits contains more than 20,000 people. • The initial three digits of a ZIP code for all such geographic units containing 20,000 or fewer people are changed to 000. All elements of dates (except year) for dates directly related to an individual, including birth date, admission date, discharge date, date of death; and all ages over 89 and all elements of dates (including year) indicating such age, except that such ages and elements may be aggregated into a single category of age 90 or older. Telephone numbers. Facsimile numbers. E-mail addresses. Social security numbers. Medical record numbers. Health plan beneficiary numbers. Account numbers. Certificate/license numbers. Vehicle identifiers and serial numbers, including license plate numbers. Device identifiers and serial numbers. Web universal resource locators (URLs). Internet protocol (IP) address numbers. Biometric identifiers, including fingerprints and voiceprints. Full-face photographic images and any comparable images. Any other unique identifying number, characteristic, or code, unless otherwise permitted by the Privacy Rule for re-identification.

	FERPA	*HIPAA*
De-identified records	Protections no longer apply if all personally identifiable information is removed before the data are transmitted and if none of the remaining information could be used to identify a student with reasonable certainty. This may require performing sophisticated disclosure avoidance on the data, through complementary suppression, swapping, perturbation, etc. Records are not considered to be de-identified if they include (a) information that, alone or in combination, is linked or linkable to a specific student that would allow a reasonable person in the school community, who does not have personal knowledge of the relevant circumstances, to identify the student with reasonable certainty; or (b) information requested by a person who the educational agency or institution reasonably believes knows the identity of the student to whom the education record relates and could identify the student.	Covered entities may use or disclose de-identified health information without restriction. Covered entities must determine that the information has been de-identified using either statistical verification of de-identification or by removing all PII items from each record. The covered entity must also have no actual knowledge that the remaining information could be used, alone or in combination, with other information to identify the individual who is the subject of the information.
Data sharing without consent or authorization	Covered entities can share directory information, which is personally identifiable information that is not generally considered harmful or an invasion of privacy if disclosed. Directory information can include, but is not limited to, student name, address, telephone, and e-mail; date and place of birth; dates of attendance; most recent previous school attended; and grade level. Social security numbers are excluded from directory information; student IDs are also excluded if they can be used as the sole means for gaining access to educational records. The school or school district must give parents and students 18 or older public notice of the intent to share directory information and the opportunity to opt out of data sharing.	A limited data set can be used for research without obtaining individual authorization or a waiver or alteration. A limited data set has health information that excludes most PII but that may include city, state, ZIP code, elements of date, and other numbers, characteristics, or codes not listed as PII. Use of the limited data set must be covered in a data use agreement between the covered entity and the intended recipient, which establishes how the information may be used and how it will be protected.

	FERPA	*HIPAA*
Data sharing with consent or authorization	A parent (or a student 18 years or older or enrolled in a postsecondary institution) can provide consent for the school to disclose personally identifiable information from the student's education records.	Individuals have the right to authorize a covered entity to use and disclose their PHI. Authorization may also be granted by an individual's "personal representative," who is someone authorized (under state or other applicable law, such as tribal or military law) to act on the individual's behalf in making health care decisions. For unemancipated minors, a parent, guardian, or other person acting *in loco parentis* may grant authorization as a personal representative. The authorization requirement is in addition to the informed consent to participate in research required under the HHS Protection of Human Subjects Regulations and other applicable federal and state law.
Consent or authorization requirements	A parent (or a student 18 years or older or enrolled in a postsecondary institution) must provide signed and dated consent for data sharing not covered by exceptions. The consent must specify the following: Records that may be disclosed; Purpose of disclosure; and Parties or class of parties to whom disclosure may be made.	A signed and dated authorization to use data for research must include the following: Description of the specific PHI to be used. Names or other identification of the person(s) (or class of persons) authorized to make the requested use and to whom the covered entity may make the requested use. A description of each purpose for the requested data. Authorization expiration date or expiration event that relates to the individual or the study. A statement of the individual's right to revoke authorization and how to do so. Whether treatment, payment, enrollment, or eligibility of benefits can be conditioned on authorization. A statement of the potential risk that PHI will be redisclosed by the recipient.

Note: This summary includes only provisions most likely to relate to Promise Neighborhoods. For more information, please consult the list of resources at the end of Chapter 6.

Appendix 6.2: Model FERPA Parental Notification for Release of Directory Information

***Family Educational Rights and Privacy Act* (*FERPA*)**
Model Notice for Directory Information

The *Family Educational Rights and Privacy Act* (*FERPA*), a federal law, requires that [**School District**], with certain exceptions, obtain your written consent prior to the disclosure of personally identifiable information from your child's education records. However, [**School District**] may disclose appropriately designated "directory information" without written consent, unless you have advised the District to the contrary in accordance with District procedures. The primary purpose of directory information is to allow [**School District**] to include this type of information from your child's education records in certain school publications. Examples include:

- A playbill, showing your student's role in a drama production;
- The annual yearbook;
- Honor roll or other recognition lists;
- Graduation programs; and
- Sports activity sheets, such as for wrestling, showing weight and height of team members.

Directory information, which is information that is generally not considered harmful or an invasion of privacy if released, can also be disclosed to outside organizations without a parent's prior written consent. Outside organizations include, but are not limited to, companies that manufacture class rings or publish yearbooks. In addition, two federal laws require local educational agencies (LEAs) receiving assistance under the *Elementary and Secondary Education Act of 1965* (*ESEA*) to provide military recruiters, upon request, with the following information—names, addresses and telephone listings—unless parents have advised the LEA that they do not want their student's information disclosed without their prior written consent.[15]

In addition, because this [**School District**] is a partner in the [Promise Neighborhood name], student directory information will also be shared with other partners to help identify students and families who may benefit from services provided by the [Promise Neighborhood name].

[15] These laws are Section 9528 of the *Elementary and Secondary Education Act* (20 U.S.C. § 7908) and 10 U.S.C. § 503(c).

If you do not want [**School District**] to disclose directory information from your child's education records without your prior written consent, you must notify the District in writing by [**insert date**]. [**School District**] has designated the following information as directory information: [***Note:*** **An LEA may, but does not have to, include all the information listed below. The LEA can share all of the items listed in the notice with the Promise Neighborhood, except for student ID number, which may not be shared without parental consent.**]

- Student's name	**- Participation in officially recognized activities and sports**
- **Address**	**- Weight and height of members of athletic teams**
- **Telephone listing**	- **Degrees, honors, and awards received**
- **Electronic mail address**	**- The most recent educational agency or institution attended**
- **Photograph** - **Date and place of birth** - **Major field of study** - **Dates of attendance** - **Grade level**	**-Student ID number, user ID, or other unique personal identifier used to communicate in electronic systems that cannot be used to access education records without a PIN, password, etc.(Promise Neighborhoods cannot use a student's SSN, in whole or in part, for this purpose.)**

This model notice was adapted by the Urban Institute from http://www2.ed.gov/policy/gen/guid/fpco/doc/directoryinfo.doc.

Appendix 6.3: Model Master Data-Sharing Agreement

Master Data-Sharing Agreement

between

[Promise Neighborhood name] (hereinafter, "Promise Neighborhood")

and

[School district/partner organization name] (hearinafter, "Promise Neighborhood Partner")

1. PURPOSE AND INTENDED USE OF DATA SHARING. The purpose of this Master Data-Sharing Agreement (hereinafter, "this Agreement") is to facilitate the creation and maintenance of individual-level data sets and a linked Master Data Set by the Promise Neighborhood and the sharing of subsidiary identifiable, de-identified, or restricted-use data sets for the use of approved staff, Promise Neighborhood Partners, and the U.S. Department of Education for tracking individual and family participant characteristics, program participation, and outcomes. Participation in this Agreement on the part of the Promise Neighborhood Partner entails providing individual-level and individually identifiable data to the Promise Neighborhood for linkage with similar data from other Promise Neighborhood Partners (as specified in Section 3b of this Agreement). These data will be used for the following purposes:

a. For inclusion in the Promise Neighborhood case management system, which is used by the Promise Neighborhood and its Partners to coordinate, manage, track, and report on the services provided by the Promise Neighborhood to individuals and families. The Promise Neighborhood Partner agrees to allow the Promise Neighborhood to disclose personally identifiable information received from the Partner to the entities shown in **Attachment D** to this Agreement provided that (i) appropriate consent or authorization has been obtained from the individual or the individual's parent or guardian; (ii) a role-based access control is assigned as specified in **Attachment A**; and (iii) access to the data is limited to persons who sign the confidentiality statement in **Attachment B**. The parties agree that any modification or addition to **Attachment D** will require prior approval by the Promise Neighborhood Data Governance Board (as specified in Section 5b of this Agreement).

b. For research and evaluation purposes to study and report on the impact of the Promise Neighborhood on individuals and families.

c. For reporting measures of participant characteristics, program participation, and outcomes to the U.S. Department of Education and its authorized contractors (hereinafter, "the Department"). Data reported to the Department will include (i) aggregated summary indicators of participant characteristics, program participation, and outcomes and (ii) de-identified, individual-level data and information on participant characteristics, program participation, and outcomes that will be used by the Department to create a restricted-use data file for use by authorized researchers to conduct studies on the federal Promise Neighborhood program.

2. PERIOD OF AGREEMENT. This Master Data-Sharing Agreement shall be in effect for the duration of the Promise Neighborhood initiative, or until terminated in writing by either party.

3. DESCRIPTION OF DATA.

a. **Primary Data Set.** Data shared by the Promise Neighborhood Partner with the Promise Neighborhood under this Agreement shall be limited to the data elements specifically defined and authorized by the Promise Neighborhood Partner, as listed in **Attachment C** to this Agreement. The specific record and file formats of the Primary Data Set will be as negotiated between designated representatives of the Promise Neighborhood Partner and the Promise Neighborhood. The Promise Neighborhood Partner agrees to make its best efforts to provide any updates to the Primary Data Set in a consistent, agreed-upon record and file format.

b. **Other Data Sources Eligible for Linkage.** Other Promise Neighborhood Partners and data from these organizations eligible for linkage as part of the Master Data Set under this Agreement are listed in **Attachment D** to this Agreement.

c. **Adding to the Primary Data Set.** Subject to applicable law, and provided there is mutual agreement of the Parties to this Agreement, content of the Primary Data Set(s) may also include other records mutually agreed upon by the Promise Neighborhood Partner and the Promise Neighborhood to be necessary and appropriate for the proper execution of this Master Data-Sharing Agreement or any approved Data Use Agreement executed under this Master Data-Sharing Agreement.

4. TIMING AND FREQUENCY OF UPDATES. The Promise Neighborhood Partner agrees to provide the data as specified in **Attachment C** to this Agreement, with specific timing of updates to be negotiated between designated representatives of the Promise Neighborhood Partner and the Promise Neighborhood.

5. CUSTODIAL RESPONSIBILITY AND DATA STEWARDSHIP.

a. The parties mutually agree that the Promise Neighborhood will be designated as Custodian of the raw and linked data sets and will be responsible for the observance of all conditions for use and for establishment and maintenance of security arrangements as specified in this Agreement to prevent unauthorized use. The Promise Neighborhood's role as Custodian will be subject to oversight and review by the Data Governance Board (as specified in Section 5b of this Agreement).

b. The Promise Neighborhood will establish a Data Governance Board, which will have authority of oversight and review related to the provisions and requirements of this Agreement. The Data Governance Board shall include representatives from the Promise Neighborhood and each of the Promise Neighborhood Partners that are party to this Agreement. The exact composition, structure, responsibilities, and authorities of the Data Governance Board will be spelled out in a separate agreement to be negotiated and agreed upon by all of the parties to the Master Data-Sharing Agreement. Prior to the establishment of the Data Governance Board, the Promise Neighborhood management will be responsible for oversight and review of the provisions and requirements of this Agreement.

c. Unless otherwise stated or modified in this Agreement, data will be managed, linked, and stored as specified in **Attachment E** to this Agreement. While the Promise Neighborhood will make its best efforts to facilitate the secure transmission of data from the Promise Neighborhood Partner to the Promise Neighborhood Partner, the Promise Neighborhood Partner is not responsible for ensuring the internal or network security of the Promise Neighborhood Partner or for any breaches of security occurring prior to the confirmed receipt of data by the Promise Neighborhood.

d. The Promise Neighborhood is hereby informed and agrees that the Promise Neighborhood Partner will release data under this Agreement only upon the condition that the Promise Neighborhood will not disclose the information to any other party not listed in **Attachment D** and will not use the information for any purpose other than the purposes specified in this agreement. Further, the Promise Neighborhood agrees to fully cooperate with the Promise Neighborhood Partner in the event that an adult individual or the parent or guardian of a child under 18 years old requests the opportunity to review his/her personally identifiable information disclosed to the Promise Neighborhood by the Promise Neighborhood Partner or wishes to revoke their consent to data sharing with the Promise Neighborhood. The Promise Neighborhood also agrees to notify the Promise Neighborhood Partner in the event it obtains written consent for data sharing with the Promise Neighborhood, a revocation of consent to share data with the Promise Neighborhood, or a request to review personally identifiable information stored by the Promise Neighborhood from an adult or parent/guardian of a child under 18 years old.

e. The Promise Neighborhood Partner agrees not to release any data it receives from the Promise Neighborhood or one of the other Promise Neighborhood Partners as a result its participation in this Agreement to any third parties not specifically authorized to have access to such data under this Agreement.

6. ROLES AND RESPONSIBILITIES. The Promise Neighborhood agrees to provide appropriate staff support to execute its data stewardship, data management, custodial responsibilities, and analysis under this Agreement. The Promise Neighborhood Partner agrees to provide appropriate staff support to create and transmit to the Promise Neighborhood Primary Data Sets as specified in **Attachment C** to this Agreement.

a. The following Promise Neighborhood staff members are assigned to roles related to the proper management, processing, and distribution of the data under this Agreement, as described in **Attachment E**, Section 1, to this Agreement.

Role	Name, Title, and Organization	Contact Information
Promise Neighborhood Data Manager	**[name]** [title] [organization]	E-mail: [e-mail] Phone: [phone number]
Database Administrator/ Technician	**[name]** [title] [organization]	E-mail: [e-mail] Phone: [phone number]

b. Principal Investigator(s) or Lead Data Analyst(s) conducting research and evaluation for the Promise Neighborhood are listed in **Attachment D** to this Agreement. Their role in relation to covered data is described in **Attachment E**, Section 1, to this Agreement. In addition, Principal Investigator(s) or Lead Data Analyst(s) may involve one or more student research assistants, working under the close supervision of the Principal Investigator(s) or Lead Data Analyst(s), to assist in a support role with various tasks under this Agreement and any approved Data Use Agreements executed under this Agreement.

c. The following person(s) will serve as primary contact(s) at the Promise Neighborhood and the Promise Neighborhood Partner for matters relating to the transfer and management of the Promise Neighborhood Partner data:

Promise Neighborhood Contact	**Promise Neighborhood Partner Contact**
[name] [organization] [mailing address] E-mail: [e-mail] Phone: [phone number]	**[name]** [organization] [mailing address] E-mail: [e-mail] Phone: [phone number]

d. The following person(s) will serve as primary contact(s) at the Promise Neighborhood and the Promise Neighborhood Partner for matters relating to the administration of this Master Data-Sharing Agreement

Promise Neighborhood Contact	**Promise Neighborhood Partner Contact**
[name] [organization] [mailing address] E-mail: [e-mail] Phone: [phone number]	**[name]** [organization] [mailing address] E-mail: [e-mail] Phone: [phone number]

7. PERMISSIBLE DATA USE, LINKING AND SHARING UNDER THIS AGREEMENT. All data shared as part of this Agreement and any related Data Use Agreements remain the property of the supplying Promise Neighborhood Partner. This Agreement represents and warrants further that data covered under this Agreement shall not be disclosed, released, revealed, showed, sold, rented, leased, or loaned to any person or organization except as (1) specified herein, (2) approved in an executed Data Use Agreement, (3) otherwise authorized in writing by the Promise Neighborhood Partner, or (4) required by law. Access to the data covered by this Agreement shall be limited to the minimum number of individuals necessary to achieve the purpose stated in this section and to those individuals on a need-to-know basis only. Each person not employed by the Promise Neighborhood who is authorized to receive personally identifiable information (Data Recipients) shall sign **Attachment B** acknowledging that s/he shall comply with the restrictions within this Agreement on disclosure of such data. Notwithstanding these exceptions, the Promise Neighborhood understands and agrees that it will not, under any circumstances, disclose

personally identifiable information from the records it receives from the Promise Neighborhood Partner to any other party not subject to this Agreement without the prior written consent, and the Promise Neighborhood understands and agrees that it will not use the information for any purpose other than the purposes for which the disclosure was made. The Promise Neighborhood also agrees and understands that the Promise Neighborhood Partner shall receive written notice of any use or disclosure made with such consent.

a. **Authorized Linkage and Data Transfers of Data-Contributing Organizations for Program and Site Management.** Access to limited identifiable individual-level data will be restricted to a tightly controlled data stream of "need to know" users at end service points and carefully selected organizational administrators to see this data (as specified in **Attachments A and C** to this Agreement). Only records with a signed consent or authorization agreement (included in this Agreement as **Attachments F and G**) will be transmitted for this purpose.

b. **Authorized Linkage and Data Transfers of Data-Contributing Organizations for Research and Evaluation.** Uses of this data apply only to de-identified data released to the Promise Neighborhood Principal Investigator(s)/Lead Data Analyst(s) for use in evaluating the overall and community impact of Promise Neighborhood program components over time.

c. **Termination.** In the event of the termination of the Master Data-Sharing Agreement between the Promise Neighborhood and the Promise Neighborhood Partner or otherwise specified in the Master Data-Sharing Agreement, the Promise Neighborhood and the Promise Neighborhood Partner shall (1) delete all Primary Data Sets containing individually identifying information obtained under this Agreement; and (2) certify in writing within five (5) business days that all copies of the data stored on local servers, backup servers, backup media, or other media have been permanently erased or destroyed.

8. RESOURCES AND COSTS OF DATA SHARING AND DATA MANAGEMENT. Costs for staff time and technology maintenance to execute this Agreement will be provided for by separate Data-Sharing Agreements.

9. NO WARRANTY FOR DATA OR LINKAGE QUALITY. Both the accuracy of record linkage and the utility of administrative data for research and analytical purposes are dependent on the quality and consistency of the source data. Although the Promise Neighborhood will use reasonable efforts to promote accurate record linkage and the creation of appropriate data sets for analysis, no warranty is made as to the achievement of any particular match rate nor as to the ultimate accuracy or utility of any data contributed under this Agreement.

10. INDEMNIFICATION. The parties agree that statutory and common law theories and principles of liability, indemnification, contribution, and equitable restitution shall govern all claims, costs, actions, causes of action, losses, or expenses (including attorney fees) resulting from or caused by the actions or omission of the parties hereto. Furthermore, if either party becomes aware of a claim involving the other within the relationship, the party with knowledge of the claim shall inform the other part in writing within ten (10) days of receiving knowledge of the claim, demand, or other loss.

11. PUBLICATION AND DISSEMINATION OF RESULTS. The Promise Neighborhood shall provide the members of the Data Governance Board and Promise Neighborhood Partner copies of written reports, analysis, or visuals produced or derived in whole or in part from the Promise Neighborhood Partner data

prior to public dissemination. Copies shall be submitted to the Promise Neighborhood Partner's primary contact for the administration of this Agreement as specified in Section 6 to this Agreement.

12. TERMINATION AND MODIFICATION OF THIS AGREEMENT. The Promise Neighborhood and the Promise Neighborhood Partner may amend this Agreement by mutual consent, in writing, at any time. This Agreement may be terminated at any time by either party with thirty (30) days' written notice. Upon termination of this Agreement, the Promise Neighborhood will dispose of the Promise Neighborhood Partner's data as specified in **Attachment E** to this Agreement unless otherwise specified in an attachment to this Agreement.

13. SIGNATURES. By the signatures of their duly authorized representatives below, the Promise Neighborhood and the Promise Neighborhood Partner agree to all of the provisions of this Master Data-Sharing Agreement and execute this Agreement effective with this signing.

For the Promise Neighborhood:	For the Promise Neighborhood Partner:
_____	_____
[name]	[name]
[title]	[title]
[organization]	[organization]

Master Data-Sharing Agreement

Attachment A: Role-Based Data Access Controls

The matrix below identifies and describes covered organizations by role, access, and functions in the [Promise Neighborhood name]. The parties agree that any modifications or additions to this attachment will require prior approval by the Promise Neighborhood Data Governance Board.

Organization	Role	Access Level	Functions
Promise Neighborhood Management	Database Manager	Full records, including personally identifiable information (PII), view and edit	• Data access • Data security • Management of student records from all sources
	Software Provider	Limited PII, view and edit	• Case management system implementation and maintenance
School District	Administrator	Student records, including PII, some restrictions on health and survey data, view only	• Implementation of school programs
	Teacher	Limited PII, restrictions on student records, health and survey data, view only	• Academic instruction
	Database Manager	Student records, including PII, some restrictions on health and survey data, view and edit	• Management of student records • Data access • Data security
Service Providers	Program administrator	Limited PII, restrictions on survey data, data from other sources, view and edit	• Program implementation • Reporting
U.S. Department of Education and its contractors	Urban Institute database manager	Full data with PII removed	• Production of restricted use data files
	U.S. Department of Education	Full data with PII removed and risk disclosure	• Ownership of restricted use data files for research
Public Reporting		Aggregated summary data only	• Public information

Master Data-Sharing Agreement

Attachment B: Staff Confidentiality Pledge

Assurance of Confidentiality

The [Promise Neighborhood name] (the Promise Neighborhood) assures all participants and Partner organizations that the information they release to the Promise Neighborhood will be held in the strictest confidence and that such information will only be disclosed to authorized persons in a specified manner. Access to the Promise Neighborhood data is by consent of the participants who have been guaranteed confidentiality and assured that their personally identifiable information will only be used in a manner consistent with the terms of their consent.

> I have carefully read and understand this assurance that pertains to the confidential nature of all information and records to be handled by the Promise Neighborhood. I have read a copy of the [Promise Neighborhood Data Security Plan] and I understand that I must comply with all of the requirements of that plan. As an employee of [Name of organization], I understand that I am prohibited from disclosing any such confidential information which has been obtained from the Promise Neighborhood or one of the Promise Neighborhood Partner organizations to anyone other than authorized staff, and I agree to follow the data security procedures outlined to me during training. I understand that any willful and knowing disclosure of information released to this study may subject me to disciplinary action, up to and including termination of employment.

_____

(Print Your Name) (Signature)

_____

(Organization)

_____

(Date)

Master Data-Sharing Agreement

Attachment C: Data Specification

This matrix shows the data elements to be shared with the Promise Neighborhood under this Master Data-Sharing Agreement.

	Field description	Population	Source	Update frequency
1	Student ID	K–12 students	School district	Twice a year
2	Last name of student	K–12 students	School district	Twice a year
3	First name of student	K–12 students	School district	Twice a year
4	School attending	K–12 students	School district	Twice a year
5	Attendance dates	K–12 students	School district	Twice a year
…	…	…	…	…

Attachment D: Data-Contributing Organizations and Contact Information by Role

Pursuant to Sections 1, 3b, and 6b of the attached Agreement, Primary Data Sets shared by Data-Contributing Organizations in the execution of this Agreement will be linked and shared, using the role-based access rules specified in Attachment A to this Agreement, with the following individuals and partner organizations:

First name	Last name	Organization	Role	Position	Address	City	State	ZIP	E-mail	Phone
		Promise Neighborhood	Database manager							
		Promise Neighborhood	Software provider							
		School district	Administrator							
		School district	Teacher							
		Service provider	Program administrator							

Attachment E: Standard Protocols and Procedures for the Use, Management, and Custodial Responsibilities for Identifiable and Linked Primary Data Sets and Other Data Sources Eligible for Linkage

This document describes protocols and procedures for the use, management, and custodial responsibilities for the [Promise Neighborhood name] (hereinafter, "Promise Neighborhood") and [Promise Neighborhood Partner name] (hereinafter, "Promise Neighborhood Partner") when accessing data meeting one or more of the following criteria:

- Data are in the form of individual records containing personally identifying information;
- Data are *HIPAA* or *FERPA* protected;
- Data are shared by one or more Promise Neighborhood Partners with the understanding and intent that records from the contributed data sets will be linked with records from other Promise Neighborhood Partners; or
- Data were provided under the terms of a Master Data-Sharing Agreement between the Promise Neighborhood and the Promise Neighborhood Partner and/or through obtaining consent or authorization from individuals to disclose their data.

This document will act as a core component to all agreements entered into between Promise Neighborhood and the Promise Neighborhood Partner, in which data meeting any of the above criteria are shared and will define how individual-level data will be secured and managed.

POLICY AND PROCEDURES FOR DATA SHARING

1. Terms and Definitions.

1.1. User. Includes any person with access to covered data. Teachers and site coordinators are considered users.

1.2. Public Information is information that can be freely given to anyone.

1.3. Sensitive Information is all other information which is confidential, private, personal, or otherwise sensitive in nature. Sensitive Information includes the following:

1.3.1. Personally Identifiable Information includes an individual's name; address; date of birth; social security number; driver license or state ID number; student ID number assigned by a school district, local education agency, or state education agency; financial account number with the associated PIN; and DNA or any biometric identifier.

1.3.2. Legislatively Protected Data are data subject to some government regulation or oversight. This includes, but not limited to, data as defined under

- The *Family Educational Rights and Privacy Act* (*FERPA*)—student education records
- The *Health Insurance Portability and Accountability Act* (*HIPAA*)—individually identifiable health information

1.4. Other Sensitive Data are data where unauthorized disclosure could lead to a business, financial, or reputational loss. Examples include all intellectual property, research results, or information protected by a confidentiality agreement.

2. User Roles and Functions in Relation to Covered Data. For any Master Data-Sharing Agreements executed under the terms of this document, the Promise Neighborhood and Promise Neighborhood Partner will assign (where applicable) an appropriate and qualified staff member for any of the following roles. The Promise Neighborhood and Promise Neighborhood Partner will inform each other in writing of the staff member(s) assigned to each role as well as to any changes in staffing for these roles. Parties agree that roles specified below may be performed by one or more staff.

2.1. Data Steward. The Data Steward has supervisory authority across and is ultimately responsible for all tasks related to the management of data under this Agreement, any Master Data-Sharing Agreements, and any Business Associate Agreements, and ensures compliance with all applicable agreements and regulatory requirements. The Data Steward reports any compliance issue or breach to the Promise Neighborhood Data Manager and the Promise Neighborhood Data Governance Board.

2.2. Database Administrator/Data Manager. The Database Administrator/Data Manager will be primarily responsible for (1) creating and maintaining appropriate data structures for secure warehousing of Primary Data Sets; (2) facilitating secure transmission of Primary Data Sets between the Promise Neighborhood and the Promise Neighborhood Partner; (3) executing appropriate algorithms to standardize identifying data fields, de-identify Primary Data Sets, and create unique linking IDs; (4) developing and executing appropriate data queries from Primary Data Sets to create linked, de-identified, and/or limited data sets; (5) monitoring and maintaining the server equipment and its security and overseeing regular data backups; (6) performing deletion or destruction of covered Primary Data Sets upon termination of applicable Agreements; and (7) deleting or permanently encrypting and archiving individually identifying data elements within an active Primary Data Set once it is determined that these elements are no longer needed in “clear text” (unencrypted) format to facilitate accurate record linkage. The Database Administrator/Data Manager reports any compliance issue or breach to the Data Steward.

2.3. Program Administrator. The Program Administrator is responsible for the day-to-day management of data released under this Agreement including tasks related to preserving the confidentiality and security of identifiable information. In addition, The Program Administrator is responsible for obtaining and maintaining all signed forms currently required under this Agreement and for training staff with access to data covered under this Agreement. The Program Administrator requires access to limited student identifiable information. The Program/Contract Administrator reports any compliance issue or breach directly to the Data Steward.

2.4. Teacher. The Teacher is responsible for planning and implementing individualized academic instruction of Promise Neighborhood program participants. The Teacher requires access to limited student registration, attendance, and program data. The Teacher reports any compliance issue or breach directly to the Program Administrator.

2.5. Site Coordinator. The Site Coordinator is responsible for program-related data entry tasks and requires limited access to limited student registration and attendance information. The Site Coordinator reports any compliance issue or breach directly to the Program Administrator.

2.6. Software Provider. The Software Provider is responsible for providing database software used to store, manage, and/or report Promise Neighborhood data. The Software Provider will need access to the data to provide ongoing maintenance and service functions. The Software Provider reports any compliance issue or breach directly to the Promise Neighborhood Data Manager.

3. Data Set Creation and Delivery

3.1. All creation, use, and/or transmittal of linked, de-identified, and/or limited data sets created under this Agreement is subject to the specific terms of the Master Data-Sharing Agreement and any applicable Data Use Agreements. Under no circumstances will any data sets subject to the terms of this document be released to any party (including use by Promise Neighborhood Partner) unless (a) the proposed use of the data set is explicitly authorized, either as part of Master Data-Sharing Agreements executed by the Promise Neighborhood and the Promise Neighborhood Partner or by the execution of an approved Data Use Agreement covering the proposed Program and Site Management uses of the limited data set by all Promise Neighborhood Partners whose data are included in the data set requested; and (b) Promise Neighborhood Data Governance Board approval is obtained for the proposed Program and Site Management uses of the limited data set.

3.2. The Promise Neighborhood and the Promise Neighborhood Partner will transmit covered data in electronic form to the Software Provider via secure file transfer protocol procedure.

3.3. The Software Provider provides access to covered data in electronic form to the Promise Neighborhood and the Promise Neighborhood Partner via a web-enabled password-protected site.

4. Confidentiality and Data Security Safeguards

4.1. The Promise Neighborhood and the Promise Neighborhood Partner agree to establish appropriate administrative, technical, and physical safeguards to protect the confidentiality of the data and to prevent unauthorized use or physical or electronic access to it, and to report violations of this Agreement. Appropriate administrative, technical, and physical safeguards include, but are not limited to

4.1.1. Users must not save Sensitive Information on personal computers that are not approved for storage of such information. If Sensitive Information is stored on a personal computer, then all reasonable safeguards and security procedures shall be employed.

4.1.2. Users shall put in place reasonable safeguards and security procedures for its environment, including, but not limited to, using password-protected computers, prohibiting password sharing among users, prohibiting unauthorized data downloads and distribution of data; requesting that users do not leave computer unattended and/or set a timeout to lock an unattended computer, installing antivirus software with current updates and a supported operating system with current patches and updates.

4.1.3. The Promise Neighborhood and the Promise Neighborhood Partner shall provide periodic training for staff on internal security policies and procedures, and on applicable state and federal legal requirements for protecting the privacy of individuals.

5. Compliance

5.1. Compliance to this Agreement includes, but is not limited to

5.1.1. A confidentiality statement form included as **Attachment B** to this Agreement and signed by the Promise Neighborhood and the Promise Neighborhood Partner staff acknowledging that s/he shall comply with the restrictions within this Agreement on disclosure of such data, and will not use the information for any purpose other than the purpose for which the disclosure was made.

5.1.2. Integrity Audits. To ensure compliance of this Agreement and the protection of Sensitive Data, the Promise Neighborhood Data Manager shall have the right to make, via designated staff, unannounced visits to the Promise Neighborhood and the Promise Neighborhood Partner for purposes of inspecting computer equipment and reviewing the security arrangements that the Program Administrator is maintaining with respect to Sensitive Information. The Promise Neighborhood and the Promise Neighborhood Partner Program Administrators will fully and promptly cooperate with the Promise Neighborhood Data Manager and will assist them in completing those inspections. The Data Manager must coordinate access with the Data Steward.

5.2. The Promise Neighborhood or the Promise Neighborhood Partner may temporarily suspend, block, or restrict access to Sensitive Information when it reasonably appears necessary to do so to protect the integrity, security, or functionality of Sensitive Data or to protect the organization from liability.

5.3. Statutory Breaches. If at any time a Promise Neighborhood or Promise Neighborhood Partner staff member determines that there has been a breach of the security protocols or violation of this Agreement (including, but not limited to any unauthorized release, access use, or modifications of covered data), the staff shall promptly take such reasonable steps as are necessary to prevent any future similar breaches and promptly notify the Data Steward and/or the Program/Contract Administrator and/or the Promise Neighborhood Data Manager of the breach. The Promise Neighborhood Data Manager and Program Administrator will identify the steps taken to prevent any future similar breaches and report to the Promise Neighborhood Data Steward within 24 hours of their discovery.

5.4. Reported Violations. The Promise Neighborhood Data Manager and Data Steward will issue a report identifying any privacy and security breach on covered data by a staff member of the Promise Neighborhood or the Promise Neighborhood Partner. The Promise Neighborhood or the Promise Neighborhood Partner will have three (3) business days to comply and put in place corrective measures to prevent any future similar breaches. Failure to comply within this time frame will result in temporary or permanent termination of access to covered data and possibly termination of this Agreement.

6. Disposition of Data at Termination of Agreement. In the event of the termination of the Master Data-Sharing Agreement between the Promise Neighborhood and the Promise Neighborhood Partner or otherwise specified in the Master Data-Sharing Agreement, the Promise Neighborhood and the Promise Neighborhood Partner shall (1) delete all Primary Data Sets containing individually identifying information obtained under this Agreement; and (2) certify in writing within five (5) business days that all copies of the data stored on local servers, backup servers, backup media, or other media have been permanently erased or destroyed.

Attachment F: Consent Agreement for Data Disclosure and Sharing

[Promise Neighborhood Name] Consent Agreement for Data Disclosure and Sharing

By signing this agreement, you give your consent to disclose and share personally identifiable information on the person listed below with authorized partners in the [Promise Neighborhood name]. The purpose of sharing this information is to allow the [Promise Neighborhood name] to provide well-informed, coordinated services to participants and their families, to conduct ongoing evaluation and improvement of programs to better serve the community, and to report results of programs and activities to residents, partners, and funders.

The [Promise Neighborhood name] takes every precaution to protect personally identifiable information from unauthorized use or disclosure. Information obtained on persons shall not be published in a manner that will lead to the identification of any individual. This information is used solely for service provision and program evaluation purposes and identified information shall not be further redisclosed to third parties not covered by this Consent Agreement without your prior written consent.

I understand that the records to be disclosed and shared with *[Promise Neighborhood name]* may include but are not limited to

Education records from [School District]:

- Enrollment information
- English learner status
- Classroom performance/behavior
- Performance on state assessments
- Grade reports
- Transcripts
- Attendance

Records from [Promise Neighborhood name] service providers, including

- Intake information collected on participants (such as name, address, and date of birth)
- Participation data (such as services received, attendance dates, and length of time participating)
- Program results and assessments (such as tests results and observations by program staff)

I consent to the disclosure of the personally identifiable information described above to the following *[Promise Neighborhood name]* entities and partners:

- *[Promise Neighborhood name]*,
- *[Promise Neighborhood name]* Intermediaries/Contract Administrators (see attached list);,
- *[Promise Neighborhood name]* service partners (see attached list), and
- *[Promise Neighborhood name]* research partners (see attached list).

Furthermore, I consent that the following parties may obtain the information described above stripped of any and all direct identifiers:

- The U.S. Department of Education and its authorized contractor(s).

This entity list is subject to change. For up-to-date information and questions, please go to [web siteURL] or contact the *[Promise Neighborhood name]* data manager [name and contact info], or advisory board chair [name and contact info]. Signing this Agreement constitutes the granting of consent for disclosure of protected education information under the *Family Educational Rights and Privacy Act* (*FERPA*).

Please complete sections A or B, as appropriate, and sign C below.

A. FOR PARENT/GUARDIAN OF CHILD UNDER 18 YEARS OLD (please print clearly)

I, _____ _____,
Print Parent/Guardian First Name **Print Parent/Guardian Last Name**

as the Parent/Guardian of,

_____ _____,
Print Child's Legal First Name **Print Child's Legal Last Name**

consent to the release of personally identifiable information of the Child named above, subject to the terms of this Consent Agreement.

B. FOR ADULT 18 YEARS OR OLDER OR STUDENT ENROLLED IN COLLEGE (please print clearly)

I, _____ _____,
Print First Name **Print Last Name**

consent to the release of my personally identifiable information, subject to the terms of this Consent Agreement.

C. By signing this Consent Agreement, I agree that I have read and understood the above and consent to all of the above statements. I understand that signing this Consent Agreement is voluntary and is not a condition for receiving services from the *[Promise Neighborhood name].* This Consent Agreement is valid for the duration of the *[Promise Neighborhood name]* initiative. I maintain the right to discontinue this permission at any time by contacting the *[Promise Neighborhood name]* at [contact information].

Signature _____ **Date _____**

For Promise Neighborhood Use Only

Partner collecting this Consent Agreement: _____

Consent recorded in Promise Neighborhood case management system on (date): _____

Promise Neighborhood case management ID number: _____

Attachment G: Authorization Agreement for Disclosure and Sharing of Protected Health Information

[Promise Neighborhood Name] Authorization Agreement for Disclosure and Sharing of Protected Health Information

By signing this agreement, you give your authorization to disclose and share personally identifiable health information on the person listed below with authorized partners in the [Promise Neighborhood name]. The purpose of sharing this information is to allow the [Promise Neighborhood name] to provide well-informed, coordinated services to participants and their families, to conduct ongoing evaluation and improvement of programs to better serve the community, and to report results of programs and activities to residents, partners, and funders.

The [Promise Neighborhood name] takes every precaution to protect personal information from unauthorized use or release. Information obtained on persons shall not be published in a manner that will lead to the identification of any individual. This information is used solely for service provision and program evaluation purposes and identified information shall not be further redisclosed to third parties not covered by this Consent Agreement without your prior written consent.

I understand that the records to be disclosed and shared with *[Promise Neighborhood name]* may include but are not limited to

Health records from [health care provider names]:

- Number and dates of health care visits
- Blood screenings for lead levels
- Immunization records
- Body-mass index measures

I authorize the disclosure of the personally identifiable health information described above to the following *[Promise Neighborhood name]* entities and partners:

- *[Promise Neighborhood name],*
- *[Promise Neighborhood name]* Intermediaries/Contract Administrators (see attached list),
- *[Promise Neighborhood name]* service partners (see attached list), and
- *[Promise Neighborhood name]* research partners (see attached list).

Furthermore, I authorize that the following parties may obtain the information described above stripped of any and all direct identifiers:

- The U.S. Department of Education and its authorized contractor(s).

This entity list is subject to change. For up-to-date information and questions, please go to [web siteURL] or contact the *[Promise Neighborhood name]* data manager [name and contact info], or advisory board chair [name and contact info]. Signing this agreement constitutes the granting of *authorization* for disclosure of protected health information under the *Health Insurance Portability and Accountability Act* (*HIPAA*).

Please complete A or B, as appropriate, and sign C below.

A. FOR PARENT/GUARDIAN OF MINOR CHILD (please print clearly)

I, _____ _____,
Print Parent/Guardian First Name **Print Parent/Guardian Last Name**

as the (check one) □ Parent, □ Guardian, or □ *in loco parentis* of

_____ _____,
Print Child's Legal First Name **Print Child's Legal Last Name**

authorize the release of personally identifiable health information of the Child named above, subject to the terms of this Consent Agreement.

B. FOR ADULT OF LEGAL AGE: (please print clearly)

I, _____ _____,
Print First Name **Print Last Name**

authorize the release of my personally identifiable health information, subject to the terms of this Consent Agreement.

C. By signing this Authorization Agreement, I agree that I have read and understood the above and agree to all of the above statements. I understand that signing this Authorization is voluntary and is not a condition for receiving services from the *[Promise Neighborhood name].* This Authorization is valid for the duration of the *[Promise Neighborhood name]* initiative. I maintain the right to discontinue this Authorization at any time by contacting the *[Promise Neighborhood name]* in writing at [contact information].

Signature _____ Date _____

For Promise Neighborhood Use Only

Partner collecting this Authorization Agreement: _____

Authorization recorded in Promise Neighborhood case management system on (date): _____

Promise Neighborhood case management ID number: _____

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Appendix 6.4: Model Consent Agreement

***[Promise Neighborhood Name]* Consent Agreement for Data Disclosure and Sharing**

By signing this agreement, you give your consent to disclose and share personally identifiable information on the person listed below with authorized partners in the [Promise Neighborhood name]. The purpose of sharing this information is to allow the [Promise Neighborhood name] to provide well-informed, coordinated services to participants and their families, to conduct ongoing evaluation and improvement of programs to better serve the community, and to report results of programs and activities to residents, partners, and funders.

The [Promise Neighborhood name] takes every precaution to protect personally identifiable information from unauthorized use or disclosure. Information obtained on persons shall not be published in a manner that will lead to the identification of any individual. This information is used solely for service provision and program evaluation purposes and identified information shall not be further redisclosed to third parties not covered by this Consent Agreement without your prior written consent.

I understand that the records to be disclosed and shared with *[Promise Neighborhood name]* may include but are not limited to

Education records from [school district]:

- Enrollment information
- English learner status
- Classroom performance and behavior
- Performance on state assessments
- Grade reports
- Transcripts
- Attendance

Records from [Promise Neighborhood name] service providers, including

- Intake information collected on participants (such as name, address, and date of birth)
- Participation data (such as services received, attendance dates, and length of time participating)
- Program results and assessments (such as tests results and observations by program staff)

I consent to the disclosure of the personally identifiable information described above to the following *[Promise Neighborhood name]* entities and partners:

- *[Promise Neighborhood name]*,
- *[Promise Neighborhood name]* Intermediaries/Contract Administrators (see attached list),
- *[Promise Neighborhood name]* service partners (see attached list), and
- *[Promise Neighborhood name]* research partners (see attached list).

Furthermore, I consent that the following parties may obtain the information described above stripped of any and all direct identifiers:

- The U.S. Department of Education and its authorized contractor(s).

This entity list is subject to change. For up to date information and questions, please go to [web site URL] or contact the *[Promise Neighborhood name]* data manager [name and contact info] or Advisory Board chair [name and contact info]. Signing this agreement constitutes the granting of consent for disclosure of protected education information under the *Family Educational Rights and Privacy Act* (*FERPA*).

Please complete sections A or B, as appropriate, and sign C below.

A. FOR PARENT/GUARDIAN OF CHILD UNDER 18 YEARS OLD (please print clearly)

I, _____ _____,
Print Parent/Guardian First Name **Print Parent/Guardian Last Name**

as the Parent/Guardian of

_____ _____,
Print Child's Legal First Name **Print Child's Legal Last Name**

consent to the release of personally identifiable information of the Child named above, subject to the terms of this Consent Agreement.

B. FOR ADULT 18 YEARS OR OLDER OR STUDENT ENROLLED IN COLLEGE (please print clearly)

I, _____ _____,
Print First Name **Print Last Name**

consent to the release of my personally identifiable information, subject to the terms of this Consent Agreement.

C. By signing this Consent Agreement, I agree that I have read and understood the above and consent to all of the above statements. I understand that signing this Consent Agreement is voluntary and is not a condition for receiving services from the *[Promise Neighborhood name].* This Consent Agreement is valid for the duration of the *[Promise Neighborhood name]* initiative. I maintain the right to discontinue this permission at any time by contacting the *[Promise Neighborhood name]* at [contact information].

Signature _____ **Date _____**

For Promise Neighborhood Use Only

Partner collecting this Consent Agreement: _____

Consent recorded in Promise Neighborhood case management system on (date): _____

Promise Neighborhood case management ID number: _____

The Urban Institute has produced this model consent agreement based on Attachment F: GPRS *Parental Consent Form of the Believe to Become (B2B) Master Data-Sharing Agreement (MDSA), available for reuse under Creative Commons Attribution-NonCommerical 3.0 Unported license. http://cridata.org/B2BMDSA/ (accessed April 25, 2012).*

Appendix 6.5: Model Authorization Agreement

[Promise Neighborhood Name] Authorization Agreement for Disclosure and Sharing of Protected Health Information

By signing this agreement, you give your authorization to disclose and share personally identifiable health information on the person listed below with authorized partners in the [Promise Neighborhood name]. The purpose of sharing this information is to allow the [Promise Neighborhood name] to provide well-informed, coordinated services to participants and their families, to conduct ongoing evaluation and improvement of programs to better serve the community, and to report results of programs and activities to residents, partners, and funders.

The [Promise Neighborhood name] takes every precaution to protect personal information from unauthorized use or release. Information obtained on persons shall not be published in a manner that will lead to the identification of any individual. This information is used solely for service provision and program evaluation purposes and identified information shall not be further re-disclosed to third parties not covered by this Consent Agreement without your prior written consent.

I understand that the records to be disclosed and shared with *[Promise Neighborhood name]* may include but are not limited to

Health records from [health care provider names]:

- Number and dates of health care visits
- Blood screenings for lead levels
- Immunization records
- Body-mass index measures

I authorize the disclosure of the personally identifiable health information described above to the following *[Promise Neighborhood name]* entities and partners:

- *[Promise Neighborhood name]*,
- *[Promise Neighborhood name]* Intermediaries/Contract Administrators (see attached list),
- *[Promise Neighborhood name]* service partners (see attached list), and
- *[Promise Neighborhood name]* research partners (see attached list).

Furthermore, I authorize that the following parties may obtain the information described above stripped of any and all direct identifiers:

- The U.S. Department of Education and its authorized contractor(s).

This entity list is subject to change. For up-to-date information and questions, please go to [web site URL] or contact the *[Promise Neighborhood name]* data manager [name and contact info] or advisory board chair [name and contact info]. Signing this agreement constitutes the granting of authorization for disclosure of protected health information under the *Health Insurance Portability and Accountability Act* (*HIPAA*).

Please complete A or B, as appropriate, and sign C below.

A. FOR PARENT/GUARDIAN OF MINOR CHILD (please print clearly)

I, _____ _____,
Print Parent/Guardian First Name **Print Parent/Guardian Last Name**

as the (check one) □ Parent, □ Guardian, or □ *in loco parentis* of

_____ _____,
Print Child's Legal First Name **Print Child's Legal Last Name**

authorize the release of personally identifiable health information of the Child named above, subject to the terms of this Consent Agreement.

B. FOR ADULT OF LEGAL AGE (please print clearly)

I, _____ _____,
Print First Name **Print Last Name**

authorize the release of my personally identifiable health information, subject to the terms of this Consent Agreement.

C. By signing this Authorization Agreement, I agree that I have read and understood the above and agree to all of the above statements. I understand that signing this Authorization is voluntary and is not a condition for receiving services from the *[Promise Neighborhood name].* This Authorization is valid for the duration of the *[Promise Neighborhood name]* initiative. I maintain the right to discontinue this Authorization at any time by contacting the *[Promise Neighborhood name]* in writing at [contact information].

Signature _____ Date _____

For Promise Neighborhood Use Only

Partner collecting this Authorization Agreement: _____

Authorization recorded in Promise Neighborhood case management system on (date): _____

Promise Neighborhood case management ID number: _____

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Appendix 6.6: Model Data Security Plan

Standard Protocols and Procedures for the Use, Management, and Custodial Responsibilities for Identifiable and Linked Primary Data Sets and Other Data Sources Eligible for Linkage

This document describes protocols and procedures for the use, management, and custodial responsibilities for the [Promise Neighborhood name] (hereinafter, "Promise Neighborhood") and [Promise Neighborhood Partner name] (hereinafter, "Promise Neighborhood Partner") when accessing data meeting one or more of the following criteria:

- Data are in the form of individual records containing personally identifying information;
- Data are *HIPAA* or *FERPA* protected;
- Data are shared by one or more Promise Neighborhood Partners with the understanding and intent that records from the contributed data sets will be linked with records from other Promise Neighborhood Partners; or
- Data were provided under the terms of a Master Data-Sharing Agreement between the Promise Neighborhood and the Promise Neighborhood Partner and/or through obtaining consent or authorization from individuals to disclose their data.

This document will act as a core component to all agreements entered into between Promise Neighborhood and the Promise Neighborhood Partner in which data meeting any of the above criteria are shared and will define how individual-level data will be secured and managed.

POLICY AND PROCEDURES FOR DATA SHARING

1. Terms and Definitions.

1.1. User. Includes any person with access to covered data. Teachers and site coordinators are considered users.

1.2. Public Information is information that can be freely given to anyone.

1.3. Sensitive Information is all other information which is confidential, private, personal, or otherwise sensitive in nature. Sensitive information includes the following:

1.3.1. Personally Identifiable Information includes an individual's name; address; date of birth; social security number; driver license or state ID number; student ID number assigned by a school district, local education agency, or state education agency; financial account number with the associated PIN; and DNA or any biometric identifier.

1.3.2. Legislatively Protected Data are data subject to some government regulation or oversight. These include, but are not limited to, data as defined under

- The *Family Educational Rights and Privacy Act* (*FERPA*)—student education records
- The *Health Insurance Portability and Accountability Act* (*HIPAA*)—individually identifiable health information

1.4. Other Sensitive Data are data where unauthorized disclosure could lead to a business, financial, or reputational loss. Examples include all intellectual property, research results, or information protected by a confidentiality agreement.

2. User Roles and Functions in Relation to Covered Data. For any Master Data-Sharing Agreements executed under the terms of this document, the Promise Neighborhood and Promise Neighborhood Partner will assign (where applicable) an appropriate and qualified staff member for any of the following roles. The Promise Neighborhood and Promise Neighborhood Partner will inform each other in writing of the staff member(s) assigned to each role as well as to any changes in staffing for these roles. Parties agree that roles specified below may be performed by one or more staff.

2.1. Data Steward. The Data Steward has supervisory authority across and is ultimately responsible for all tasks related to the management of data under this Agreement, any Master Data-Sharing Agreements, and any Business Associate Agreements, and ensures compliance with all applicable agreements and regulatory requirements. The Data Steward reports any compliance issue or breach to the Promise Neighborhood Data Manager and the Promise Neighborhood Data Governance Board.

2.2. Database Administrator/Data Manager. The Database Administrator/Data Manager will be primarily responsible for (1) creating and maintaining appropriate data structures for secure warehousing of Primary Data Sets; (2) facilitating secure transmission of Primary Data Sets between the Promise Neighborhood and the Promise Neighborhood Partner; (3) executing appropriate algorithms to standardize identifying data fields, de-identify Primary Data Sets and create unique linking IDs; (4) developing and executing appropriate data queries from Primary Data Sets to create linked, de-identified, and/or limited data sets; (5) monitoring and maintaining the server equipment and its security and overseeing regular data backups; (6) performing deletion/destruction of covered Primary Data Sets upon termination of applicable Agreements; and (7) deleting or permanently encrypting and archiving individually identifying data elements within an active Primary Data Set once it is determined that these elements are no longer needed in "clear text" (unencrypted) format to facilitate accurate record linkage. The Database Administrator/Data Manager reports any compliance issue or breach to the Data Steward.

2.3. Program Administrator. The Program Administrator is responsible for the day-to-day management of data released under this Agreement, including tasks related to preserving the confidentiality and security of identifiable information. In addition, The Program Administrator is responsible for obtaining and maintaining all signed forms currently required under this Agreement and for training staff with access to data covered under this Agreement. The Program Administrator requires access to limited student identifiable information. The Program/Contract Administrator reports any compliance issue or breach directly to the Data Steward.

2.4. Teacher. The Teacher is responsible for planning and implementing individualized academic instruction of the Promise Neighborhood program participants. The Teacher requires access to limited student registration, attendance, and program data. The Teacher reports any compliance issue or breach directly to the Program Administrator.

2.5. Site Coordinator. The Site Coordinator is responsible for program related data entry tasks and requires limited access to limited student registration and attendance information. The Site Coordinator reports any compliance issue or breach directly to the Program Administrator.

2.6. Software Provider. The Software Provider is responsible for providing database software used to store, manage, and/or report Promise Neighborhood data. The Software Provider will need access to the data to provide ongoing maintenance and service functions. The Software Provider reports any compliance issue or breach directly to the Promise Neighborhood Data Manager.

3. Data Set Creation and Delivery

3.1. All creation, use, and/or transmittal of linked, de-identified, and/or limited data sets created under this Agreement is subject to the specific terms of the Master Data-Sharing Agreement and any applicable Data Use Agreements. Under no circumstances will any data sets subject to the terms of this document be released to any party (including use by Promise Neighborhood Partner) unless (a) the proposed use of the data set is explicitly authorized, either as part of Master Data-Sharing Agreements executed by the Promise Neighborhood and the Promise Neighborhood Partner or by the execution of an approved Data Use Agreement covering the proposed Program and Site Management uses of the limited data set by all Promise Neighborhood Partners whose data are included in the data set requested; and (b) Promise Neighborhood Data Governance Board approval for the proposed Program and Site Management uses of the limited data set is obtained.

3.2. The Promise Neighborhood and the Promise Neighborhood Partner will transmit covered data in electronic form to the Software Provider via secure file transfer protocol procedure.

3.3. The Software Provider provides access to covered data in electronic form to the Promise Neighborhood and the Promise Neighborhood Partner via a web-enabled password-protected site.

4. Confidentiality and Data Security Safeguards

4.1. The Promise Neighborhood and the Promise Neighborhood Partner agree to establish appropriate administrative, technical, and physical safeguards to protect the confidentiality of the data and to prevent unauthorized use or physical or electronic access to it, and to report violations of this Agreement. Appropriate administrative, technical, and physical safeguards include, but are not limited to

4.1.1. Users must not save Sensitive Information on personal computers that are not approved for storage of such information. If Sensitive Information is stored on a personal computer, then all reasonable safeguards and security procedures shall be employed.

4.1.2. Users shall put in place reasonable safeguards and security procedures for the data's environment, including, but not limited to, using password-protected computers, prohibiting password sharing among users, prohibiting unauthorized data downloads and distribution of data; requesting that users do not leave their computer unattended and/or set a timeout to lock an unattended computer; and installing antivirus software with current updates and a supported operating system with current patches and updates.

4.1.3. The Promise Neighborhood and the Promise Neighborhood Partner shall provide periodic training for staff on internal security policies and procedures, and on applicable state and federal legal requirements for protecting the privacy of individuals.

5. Compliance

5.1. Compliance to this Agreement includes, but is not limited to

5.1.1. A Confidentiality Statement form included as **Attachment B**[16] to this Agreement and signed by the Promise Neighborhood and the Promise Neighborhood Partner staff acknowledging that s/he shall comply with the restrictions within this Agreement on disclosure of such data and will not use the information for any purpose other than the purpose for which the disclosure was made.

5.1.2. Integrity Audits. To ensure compliance with this Agreement and the protection of Sensitive Data, the Promise Neighborhood Data Manager shall have the right to make, via designated staff, unannounced visits to the Promise Neighborhood and the Promise Neighborhood Partner for purposes of inspecting computer equipment and reviewing the security arrangements that the Program Administrator is maintaining with respect to Sensitive Information. The Promise Neighborhood and the Promise Neighborhood Partner Program Administrators will fully and promptly cooperate with the Promise Neighborhood Data Manager and will assist them in completing those inspections. The Data Manager must coordinate access with the Data Steward.

5.2. The Promise Neighborhood or the Promise Neighborhood Partner may temporarily suspend, block, or restrict access to Sensitive Information when it reasonably appears necessary to do so to protect the integrity, security, or functionality of Sensitive Data or to protect the organization from liability.

5.3. Statutory Breaches. If at any time a Promise Neighborhood or Promise Neighborhood Partner staff member determines that there has been a breach of the security protocols or violation of this Agreement (including, but not limited to, any unauthorized release, access, use, or modifications of covered data), the staff shall promptly take such reasonable steps as are necessary to prevent any future similar breaches and promptly notify the Data Steward and/or the Program/Contract Administrator and/or the Promise Neighborhood Data Manager of the breach. The Promise Neighborhood Data Manager and Program Administrator will identify the steps taken to prevent any future similar breaches and report to the Promise Neighborhood Data Steward within 24 hours of their discovery.

5.4. Reported Violations. The Promise Neighborhood Data Manager and Data Steward will issue a report identifying any privacy and security breach on covered data by a staff member of the Promise Neighborhood or the Promise Neighborhood Partner. The Promise Neighborhood or the Promise Neighborhood Partner will have three (3) business days to comply and put in place corrective measures to prevent any future similar breaches. Failure to comply within this time frame will result in temporary or permanent termination of access to covered data and possibly termination of this Agreement.

6. Disposition of Data at Termination of Agreement. In the event of the termination of the Master Data-Sharing Agreement between the Promise Neighborhood and the Promise Neighborhood Partner or otherwise specified in the Master Data-Sharing Agreement, the Promise Neighborhood and the Promise Neighborhood Partner shall (1) delete all Primary Data Sets containing individually identifying information obtained under this Agreement; and (2) certify in writing within five (5) business days that all copies of the data stored on local servers, backup servers, backup media, or other media have been permanently erased or destroyed.

The Urban Institute has produced this model consent agreement based on Attachment F: GPRS Parental Consent Form of the Believe to Become (B2B) Master Data-Sharing Agreement (MDSA), available for reuse under Creative Commons Attribution-NonCommerical 3.0 Unported license. http://cridata.org/B2BMDSA/ (accessed April 25, 2012).

[16] Please see Attachment B in Appendix 6.3 for a model staff confidentiality pledge.

Appendix 6.7: Model Staff Confidentiality Statement

STAFF CONFIDENTIALITY STATEMENT

Assurance of Confidentiality

The [Promise Neighborhood name] (the Promise Neighborhood) assures all participants and Partner organizations that the information they release to the Promise Neighborhood will be held in the strictest confidence and that such information will only be disclosed to authorized persons in a specified manner. Access to the Promise Neighborhood data is by consent of the participants who have been guaranteed confidentiality and assured that their personally identifiable information will only be used in a manner consistent with the terms of their consent.

> I have carefully read and understand this assurance that pertains to the confidential nature of all information and records to be handled by the Promise Neighborhood. I have read a copy of the [Promise Neighborhood Data Security Plan], and I understand that I must comply with all of the requirements of that plan. As an employee of [Name of organization], I understand that I am prohibited from disclosing any such confidential information which has been obtained from the Promise Neighborhood or one of the Promise Neighborhood Partner organizations to anyone other than authorized staff, and I agree to follow the data security procedures outlined to me during training. I understand that any willful and knowing disclosure of information released to this study may subject me to disciplinary action, up to and including termination of employment.

_____

(Print Your Name) (Signature)

_____

(Organization)

_____

(Date)

Appendix 8.1 Nationally and Locally Available Neighborhood Data

Nationally Available Neighborhood-Level Administrative Data

Promise Neighborhoods should track the characteristics of their targeted neighborhoods to better understand residents' needs and to inform the Promise Neighborhood's penetration rate (the share of children and youth in the neighborhood participating in the Promise Neighborhood initiative). Information on the number of children, family composition, poverty and income, health, immigration, and housing could help Promise Neighborhoods determine what services are needed, who needs them, and how they are impacting the community.

There are several national data sources for neighborhood-level administrative data.

Decennial Census

Prior to 2010, the decennial census included basic information on the 100 percent sample (Summary File 1, or SF1) as well as detailed information on a subset of the population receiving the long form, which includes additional questions. Beginning in 2010, the decennial census only provides data on basic demographic information (SF1), as the long form has been replaced by the American Community Survey (ACS) discussed below.

Frequency: Every 10 years.

Geographies: Blocks, block groups, census tracts, counties, county subdivisions, zip code tabulation areas.

Variables: Total population, age, sex, race and ethnicity, household type, tenure, vacancy.

Strengths: Data are available at small geographies (down to the block level). Data come from a census rather than a sample survey, with results in smaller margins of error.

Drawbacks: Because the decennial census occurs only once every 10 years, its data quickly become outdated. Data are limited to a small set of variables.

Additional Information: As discussed in the section on geographies in Chapter 8, the Census Bureau may draw new geographic boundaries for a new decennial census. Consequently, when using the decennial census from multiple years, Promise Neighborhoods must first ascertain that geographic boundaries have not changed. Moreover, the decennial census can change how a question is phrased, which might change the indicator over time. (For example, in 2010 the Census Bureau changed how it asked respondents about race and ethnicity.) Because of this, data might not be comparable from year to year or between the decennial census and the ACS (discussed below). Promise Neighborhoods should check the Census Bureau web site (http://2010.census.gov/2010census/) for any changes in phrasing and their effects on comparability.

Data Availability: Each Promise Neighborhood can download the 2010 SF1 file specific to its state from the Census Bureau web site at http://2010.census.gov/news/press-kits/summary-file-1.html. Promise Neighborhoods will need to know how their boundaries correspond with

census geographies to identify them in the state file. Data for specific geographies can be found using FactFinder (http://factfinder2.census.gov).

American Community Survey

The American Community Survey (ACS) is an ongoing statistical survey run by the U.S. Census Bureau, replacing the long form in the decennial census. The ACS has approximately 250,000 respondents monthly, totaling 3 million per year. Promise Neighborhoods that can use census tracts to measure their neighborhood footprints will find ACS data particularly useful, as it is publicly available and offers indicators on several topics.

Frequency: Survey data are collected regularly. Because the ACS covers a smaller sample size than the decennial census, these data files come in one-year, three-year, and five-year averages. For example, data from the 2008–2010 sample will represent averages over the 36-month span.

Geographies: Census tracts, county subdivisions, zip code tabulation areas, counties. Promise Neighborhoods should be aware that only the five-year averages have data down to the census tract level.

Variables: ACS data are collected on both persons/households and housing characteristics. Data on persons/households includes age, sex, ancestry or immigration status, disability, work commutes, education, employment, family composition, income, language, poverty, and race/ethnicity. Data on housing include financial characteristics such as rent and mortgage costs, as well as physical characteristics such as the number of units in the building and the age of the housing unit.

Strengths: Compared to the decennial census, ACS data are available on more topics and are updated more frequently.

Drawbacks: Because of the smaller ACS sample sizes, Promise Neighborhoods must pay special attention to standard errors, as they can be particularly large. In addition, when using data that represent multiyear averages, Promise Neighborhoods are advised to not compare overlapping years (e.g., 2005–2009 data should not be compared to 2006–2010 data).

Additional Information: The Census Bureau has created a useful guide for ACS data (http://www.census.gov/acs/www/Downloads/handbooks/ACSResearch.pdf).

Data Availability: Data can be downloaded for specific geographies using FactFinder (http://factfinder2.census.gov/), or flat files can be downloaded for multiple areas (http://www.census.gov/acs/www/data_documentation/data_via_ftp/).

Longitudinal Employer-Household Dynamics and Origin-Destination Employment Statistics

The Longitudinal Employer-Household Dynamics (LEHD) data are also from the U.S. Census Bureau. They combine federal and state administrative data on employers and employees with core Census Bureau censuses and surveys to create data on workers. The data are available through a partnership with the states and are released in two data products. The first, the Quarterly Workforce Indicators (QWI), are only available at the county level and therefore are not as useful for Promise Neighborhoods. The

second, the LEHD Origin-Destination Employment Statistics (LODES), which supplies information on workers based on place of work, residence, and their commute, are available at smaller geographies.

Frequency: Updated annually.

Geographies: Data are available down to the census block.

Variables: Worker age, earnings, industry sector, worker race, worker ethnicity, worker educational attainment, and worker sex.

Strengths: Data are updated annually and are available down to the census block. Data can be analyzed to find workers' place of work, residence, and commutes.

Drawbacks: There are no data for Massachusetts.

Additional Information: More information can be found on the Census Bureau web site, http://lehd.did.census.gov/led/index.php. Technical documentation on how to use the data can be found at http://lehd.ces.census.gov/led/onthemap/LODES6/LODESTechDoc6.1.pdf.

Data Availability: Promise Neighborhoods can download LODES data in flat files (http://lehd.ces.census.gov/led/onthemap/) or use the interactive mapping feature (http://onthemap.ces.census.gov/).

Home Mortgage Disclosure Act

The *Home Mortgage Disclosure Act* (*HMDA*) requires most lending institutions to report mortgage loan applications, including the outcome, information about each loan and applicant, and property location. In 2004, the *Federal Financial Institutions Examination Council* (*FFIEC*) expanded the data to include structure type, lien status, and loans carrying high interest rates. *FFIEC* collects the data to determine whether financial institutions are meeting a community's housing credit needs, to target community development funds to attract private investment, and to identify possible discriminatory lending patterns. Reporting requirements are based on institutional assets and the number of loans originated in metro areas. *HMDA* data can track neighborhood mortgage borrowing trends based on a borrower's race/ethnicity, gender, income, and the amount of the mortgage (a proxy for sales price). The Guide to the Home Mortgage Disclosure Data describes in more detail how to use *HMDA* data (http://www.urban.org/publications/1001247.html).

Frequency: Data are updated annually.

Geographies: Data are available down to the census tract.

Variables: Racial and income distribution of borrowers, denial rates by race and income, and loans from subprime lenders by race.

Strengths: *HMDA* data, available at the tract level, can be particularly useful for neighborhoods with homeownership problems, such as subprime loans and lack of investment in housing. The set is also a useful tool for tracking housing prices.

Drawbacks: Data coverage for any particular neighborhood might be imperfect, because not all institutions are required to file under *HMDA*.

Additional Information: More information about how to use the files can be found at http://www.urban.org/publications/1001247.html.

Data Availability: More information on *HMDA* data and downloadable files can be found at http://www.ffiec.gov/hmda/.

Locally Available Neighborhood-Level Administrative Data

In addition to using nationally available data, Promise Neighborhoods should contact local government agencies. Such data could be especially pertinent to the community and are more likely to be available for smaller geographies.

As with school-level administrative data, Promise Neighborhoods should first check local government web sites and reports for readily available administrative data. If the data are readily available, Promise Neighborhoods can contact their local government offices. Because the data might have identifying information, Promise Neighborhoods might need a data-sharing agreement as discussed in Chapter 6.

For more information about commonly available neighborhood-level administrative data, see the *Catalog of Administrative Data Sources for Neighborhood Indicators: A National Neighborhood Indicators Partnership Guide* at http://www.urban.org/publications/411605.html.

The following lists local data by subject with availability and use information.

Vital Statistics

Frequency: Varies by jurisdiction, but data are often updated annually.

Geographies: Vary by jurisdiction, but data are often available down to the tract level.

Variables: Vary by jurisdiction but may include births, deaths, prenatal care, birth weight, mother's age, mother's marital status, race/ethnicity, age at death, and cause of death.

Strengths: Locally available data on births and deaths can help Promise Neighborhoods characterize the children born into the neighborhood and track progress on issues such as teen pregnancy, infant mortality, and violent deaths to youth.

Drawbacks: Data often require a data-sharing agreement with local health departments (see Chapter 6 for more information on data-sharing agreements). Promise Neighborhoods, moreover may need to work with local health departments to interpret and analyze difficult-to-read data.

Additional Information: The Kessner Index calculates adequate prenatal care. More information about how to use the index can be found at http://hit.state.tn.us/Reports/Picofpres/Picofpres96/aii1.pdf. Infant death rates are calculated

as rates of deaths for children younger than age one per 1,000 live births. Excess mortality (that is, a number of deaths more than expected for a particular age group) can also be calculated using vital statistics as shown at http://www.nejm.org/doi/full/10.1056/NEJM199001183220306#t=articleTop.

Data Availability: Data are available from the state vital statistics office, often housed in the health department.

Immunizations

Frequency: Varies by jurisdiction, but data are often updated annually.

Geographies: Varies by jurisdiction, but data are often available down to the school level.

Variables: Vary by jurisdiction but may include age-specific immunization rates.

Strengths: Locally available data on immunization rates provide measures of how widely the community uses preventive health care.

Drawbacks: Data often require a data-sharing agreement with schools (see Chapter 6 for more information on data-sharing agreements). Local data are inconsistently available and can vary by jurisdiction.

Additional Information: Information on recommend immunizations by age can be found on the CDC web site at http://www.cdc.gov/vaccines/parents/downloads/parent-ver-sch-0-6yrs.pdf.

Data Availability: Data are available from school registration records and sometimes from the state health department.

Public Assistance

Public assistance data include data on Temporary Assistance for Needy Families (TANF), Medicaid/SCHIP, and the Supplemental Nutrition Assistance Program (SNAP, previously food stamps).

Frequency: Varies by jurisdiction, but data are often updated monthly.

Geographies: Vary by jurisdiction, but data are collected at the individual level and can be summarized using addresses to neighborhood geographies.

Variables: Vary by jurisdiction but may include participation in TANF, Medicaid, and SNAP. Jurisdictions that collect longitudinal data may provide length of participation in each program.

Strengths: Locally available data on participation in public assistance provides information on economic hardship and the resources used in the community.

Drawbacks: Data often require a data-sharing agreement with the department of human services (see Chapter 6 for more information on data sharing agreements). Individual-level data might require additional protections due to confidentiality issues.

Data Availability: Data are available from the state or local department of human services.

Child Welfare

Frequency: Varies by jurisdiction, but data are often updated continuously.

Geographies: Vary by jurisdiction, but data are collected at the individual level and can be summarized using addresses to neighborhood geographies.

Variables: Vary by jurisdiction but may include dates of entry and exit from custody, foster care, residential treatment, protective services, and special programs, as well as demographic information about families.

Drawbacks: Data often require a data-sharing agreement with the local health department (see Chapter 6 for more information on data-sharing agreements). Individual-level data might require additional protections due to confidentiality issues.

Additional Information: When using child welfare data, Promise Neighborhoods should check for multiple episodes of custody or protective service placement for the same child or for multiple children within the same family; these might artificially inflate neighborhood-level numbers. Promise Neighborhoods should also note that the count of new cases will be different from the count of open cases, and should use the appropriate statistic.

Data Availability: Data are available from the state or local department of child welfare or protection.

Child Maltreatment

Frequency: Varies by jurisdiction, but data are often updated continuously.

Geographies: Vary by jurisdiction, but data are collected at the individual level and can be summarized using addresses to neighborhood geographies.

Variables : Vary by jurisdiction but may include type of incident (e.g., sexual, emotional, physical), person reporting incident (e.g., teacher, neighbor, doctor), and whether the alleged incident was substantiated, indicated, or unsubstantiated.

Drawbacks: Data often require a data-sharing agreement with the local health department (see Chapter 6 for more information on data-sharing agreements). Individual-level data might require additional protections due to their confidential and sensitive nature.

Additional Information: When using address-level child maltreatment data, Promise Neighborhoods should check that the data show the child's address at time of the incident, not a replaced address if the child moved.

Data Availability: Data are available from the state or local department of child welfare or protection.

Juvenile Court

Frequency: Varies by jurisdiction, but data are often updated annually.

Geographies: Vary by jurisdiction, but data are collected at the individual or case level and can be summarized using addresses to neighborhood geographies.

Variables: Vary by jurisdiction but may include type of offense (e.g., homicide, robbery, property crimes, drug violations, disorderly conduct, curfew violations, truancy), location of offense, judge, disposition, and disposition date. Additional demographic data on offenders and victims may be available.

Drawbacks: Data often require a data-sharing agreement with the juvenile court (see Chapter 6 for more information on data-sharing agreements), as neighborhood-level data are rarely published. Individual-level address data are confidential and will require additional protection.

Data Availability: Data are available from the local juvenile court.