



Measuring Performance: A Guidance Document for Promise Neighborhoods on Collecting Data and Reporting Results (Third Edition)

Promise Neighborhoods

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Chapter 1: Introduction

This Chapter

- Reviews the requirements of the Promise Neighborhoods implementation grantees.
- Describes the organization of this 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 (ED) and is one of the core strategies of the White House’s Neighborhood Revitalization Initiative. In fiscal years (FYs) 2010 and 2011, ED awarded a total of 36 planning grants and 5 implementation grants to communities across the country to undertake Promise Neighborhoods activities. In FY 2012 ED funded an additional 10 planning grants and 7 implementation grants. ED funded 10 more implementation grants in FYs 2016 and 2017. Since FY 2017, ED has funded 18 additional implementation grants – in FY 2018 (3 grantees), FY 2021 (8 grantees), FY 2022 (4 grantees), and FY 2023 (3 grantees). In FY 2024, ED awarded 7 early implementation grants with two years of funded compared to the five years awarded to prior implementation grantees.

The Promise Neighborhoods model has a strong commitment to and reliance on results-based planning and improvement using real-time data. 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 ongoing 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 supports grantees in implementing Results-Based Accountability (RBA) by aligning required indicators and performance measures with a clear framework: identifying desired results, tracking indicators, and using performance measures to assess whether strategies are making a difference for children and families in the Promise Neighborhoods footprint.

This Guidance Document is designed to provide clarity on ED’s required Government Performance and Results Act (GPRA) indicators. Promise Neighborhoods implementation grantees must report on these measures as a requirement of their federal funding. ED established new GPRA indicators for the FY 2017 grantees, which are described in this edition of the Guidance Document.

In addition, this document recommends data collection strategies, sources, and methods for the Promise Neighborhoods 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 and program performance measures to benchmark and track progress over time and to enable Promise Neighborhoods, ED, 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.

Through the document, the terms “Promise Neighborhoods” and “neighborhood” are used to refer to the grantee-defined geographic footprint and target population served by the initiative. While this language reflects the origin

of the program, we recognize that rural communities often span a wider geographic area, encompassing multiple towns, school districts, unincorporated communities, and even counties. In these cases, grantees may more commonly use the term “community” to describe their service area. This document uses “neighborhood” as a consistent reference to the geographic area and population in each grantee’s approved plan, whether urban, suburban, or rural in context.

In addition to this Promise Guidance Document, another important framework is the [Developmental Pathway](#). Promise Neighborhoods Institute at PolicyLink, the Center for the Study of Social Policy, and U.S. Department of Education published a Developmental Pathway in 2014. It highlights the infrastructure needed to achieve results through seven “conditions”: Data Use, Partnership, Engagement, Financing, Policy & Systems, Communications, and Organization and Leadership Capacity. As a Promise Neighborhood evolves, the Developmental Pathway lists different milestones over the years. Many Promise Neighborhoods have used the Developmental Pathway to benchmark progress and plan.

Promise Neighborhoods Data Guidance Document

ED 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. ED contracted with the Urban Institute, a non-partisan, non-profit public policy research group based in Washington, D.C., to develop this Guidance Document. The Promise Neighborhoods Training and Technical Assistance team provides technical assistance to the Promise Neighborhoods implementation grantees to help them develop their longitudinal data systems and define, collect, and share data.

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 Promise Neighborhoods implementation grantees, as well as experts from inside and outside of ED. 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.) This Guidance Document was updated to reflect changed requirements for FY 2017 and later implementation grantees.

About This Edition

This edition of the Guidance Document represents the first major refresh since its original publication in 2012. The third edition incorporates several important updates designed to make the document more accessible, align with current best practices, and provide clearer and more actionable direction for grantees, including:

- New guidance and resources developed since the first edition of the guidance, including the Promise Neighborhoods Data Plan, Promise Neighborhoods Institutional Review Board Guidance, and the Promise Neighborhoods Target Setting Guidance, among others, have been incorporated into the document to reduce fragmentation and ensure consistent access to current expectations.
- The revision of data quality standards reflects the experiences of the TTA teams and ED with grantee-reported data and provides clearer expectations for data reliability and quality to grantees.
- The incorporation of Results-Based Accountability (RBA) performance measurement concepts, including population indicators, program performance measures, and “turn the curve thinking.”
- Updates of outdated links, references, and materials have been replaced or refreshed.

While these changes can be seen throughout this Guidance Document, the most substantial revisions were made to Chapter 4 (Government Performance and Results Act Indicators for Promise Neighborhoods) and Chapter 7 (Neighborhood and School Climate Surveys). In Chapter 4, we added specific data quality standards to support the effective use of data for continuous improvement and to help Promise Neighborhoods assess the quality of their

data sources. In Chapter 7, we make use of the past 12 years of experiences of survey researchers broadly, and Promise Neighborhoods grantees specifically, to provide updated guidance on how grantees should structure, implement, and report on their surveys.

Promise Neighborhoods Approach to Data Use and Accountability

This guidance reinforces the use of data for continuous improvement through tools and concepts adapted from the Results-Based Accountability (RBA) framework. RBA is a simple, disciplined framework that supports communities move from “talk to action” and keep a focus on improving results. RBA provides a shared language and structure for place-based initiatives, like Promise Neighborhoods, to:

- Clarify population-level results an initiative aims to achieve,
- Select indicators to measure whether an initiative is achieving those results,
- Use performance measures to understand if individual programs and services are working, and
- Use indicator and performance measure data to improve impact through a data-driven decisionmaking process.

The framework is used to support both population-level accountability, tracking whether the initiative is improving results across the neighborhood or for all students in partner schools, and performance accountability, tracking whether specific strategies or programs are well implemented and improving lives for participants.¹ While RBA is a powerful tool, it is not a substitute for leadership, shared commitment, or systems change. Achieving results at the population level requires shared ownership of the results. No single organization can be accountable for population-level change. All partners across the continuum of services must align around common results and take responsibility for progress.² Data alone cannot drive action without leadership that facilitates collaboration, makes difficult decisions, and builds trust. Additionally, partners need support to use data meaningfully, share information across systems, and respond to what the data shows.

Throughout the document, readers will see the elements of the RBA framework, such as setting targets for performance measures and GPRA indicators and using case management and survey data to assess progress and improve practice. The concepts and aligned language, such as results, indicators, and performance measures, as well as the distinction between population and performance accountability included in RBA can support Promise Neighborhoods to align their strategies and data efforts across the cradle-to-career continuum.

For readers who want to explore this approach further, we recommend *Trying Hard is Not Good Enough* by Mark Friedman, as well as the [Results Based Accountability Library](#) at Clear Impact. These resources provide practical tools and examples to deepen Promise Neighborhoods implementation of RBA principles in collaborative, place-based work. A [Developmental Pathway for Achieving Promise Neighborhoods Results](#) tool also contains a condition about data use. This resource lists infrastructure and milestones needed to create a sustaining data system over the stages of a Promise Neighborhoods Initiative.

Requirements for Promise Neighborhoods Implementation Grantees

As described in FY 17 and later funding notices, ED requires Promise Neighborhoods implementation grantees to collect and track key programmatic performance measures 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

¹ Friedman, M. (2005). *Trying hard is not good enough*. Trafford on Demand Pub.

² Pillsbury, J. B., & Goddard-Truitt, V. (2015). *Theory of aligned contributions*.

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 indicators) and to report progress and outcomes to ED, key stakeholders, and the community.
4. Work with the national evaluator. While ED has not yet selected a specific national evaluator, implementation grantees have been instructed to ensure that the national evaluator and ED will have access to relevant program and project data sources if requested. Implementation grantees are expected to develop an evaluation strategy, and a plan for collecting reliable baseline data for program participants and a comparable group of non-participants.

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 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 Neighborhoods 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 it so chooses, 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 Infrastructure**, 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 10 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 to assess their progress and impact over time. To ensure that Promise Neighborhoods can 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 summary data that Promise Neighborhoods should compile and track and provides guidance on how to structure school- and neighborhood-level summary statistics. 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 indicators, performance measures, 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 includes programs, policies, and supports that

- Improve educational and developmental outcomes for children from cradle through college to career
- Are based on the best available evidence
- Are linked and integrated seamlessly
- Include both education programs and family and community supports

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

Results—The outcomes of a Promise Neighborhood initiative and its component programs.

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.

To accomplish this vision, the Promise Neighborhoods model requires 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, supporting data collection and use will be similarly comprehensive and complicated. Extensive data, including required and supplemental performance measures, 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 Promise Neighborhood leadership, program partners, funders, and participants. Leaders and partners can use data to produce real-time enhancements to continuum of solutions.

Consequently, creating a comprehensive data plan is essential for the success of the Promise Neighborhood. Federal Promise Neighborhoods grantees must develop a comprehensive Data Plan (general template can be found in Appendix 2.1) that outlines how it will collect, manage, and report on data for required indicators and local performance measures. The Data Plan serves as a forward-looking tool that helps Promise Neighborhoods to establish a structured approach for data collection and storage. It is intended to support grantees to identify data sources, plan for data collection and identify potential risks and ethical considerations, and determine how data will be managed, stored and secured before grantees begin collecting and reporting.

The Data Plan helps ensure data quality, supports program improvement, and facilitates compliance with the Department of Education reporting requirements. The key components of the Data Plan include:

- Collecting Baseline Data and Setting Targets

- Collecting and Storing Data
- Conducting Neighborhood and School Climate Survey
- Obtaining IRB Approval
- Obtaining Informed Consent
- Building a Longitudinal Database

Data for a Stronger Promise Neighborhood

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. Drawing on previous guidance for Promise Neighborhood grantees, the steps for collecting performance data to track and improve place-based initiatives are also summarized in the brief *Six Steps to Success: Collecting and Using Performance Data in Place-Based Initiatives*.

Identifying Indicators and Data Sources

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 FY 11 federal notice of funding availability (NOFA) for Promise Neighborhood implementation grantees specifies several of these results. For example, Promise Neighborhoods must 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.

Definitions

Place-based initiative—A program or set of programs that focuses activities and seeks to produce results within a specific geographic area or areas.

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

Result—Quality of life condition for a whole population of individuals, children, or families in a specific place.

Penetration rate—A measure of the extent to which the implemented solutions and activities are reaching the relevant populations in the neighborhood or partner schools.

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. The activities and solutions must also have associated performance measures; 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 results. For example, the NOFA specifies that the Promise Neighborhood must track the “number and percent of 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.” As with the specification of results, the fact that the NOFA requires 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).

For a detailed discussion on indicators and available data sources at different geographic levels related to the goals and results of Promise Neighborhood initiatives, see Chapter 4. The resource should be very helpful in selecting indicators as it describes different results that are key to the goals of Promise Neighborhoods, suggested indicators, availability of data at a neighborhood level for the indicator, possible comparability of data across Promise Neighborhoods, possible burden of collection on Promise Neighborhood for the indicator, and suggested interim- progress indicators.

From Theory to Action: Aligning Data with Your Goals

Ultimately, the indicators each Promise Neighborhood tracks should align with the initiative’s 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”. 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 indicators 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 document this information for each GPRA indicator in the Collecting and Storing Data section of the grantee’s Data Plan.

Target Population for Programming and Data Collection

The distinction between population and performance accountability is central to how Promise Neighborhoods understand and use data. In Results-Based Accountability, **population accountability** is about improving outcomes for entire groups, such as children living in the Promise Neighborhoods footprint or all students attending a Promise Neighborhoods partner school. Population accountability focuses on broad, community-level results and their associated indicators.

Performance accountability, by contrast, focuses on how well individual programs, strategies, or services (that is, the Promise Neighborhood’s solutions) are working. Certain Promise Neighborhood solutions and activities may be directed toward students attending the partner schools, which may encompass children and families who live outside the neighborhood. Therefore, Promise Neighborhoods will want to establish an overall target population for the entire Promise Neighborhood (e.g., all children who either live in the Promise Neighborhood or attend a partner school), as well as separate population targets for specific solutions (e.g., an afterschool program that serves students attending a Promise Neighborhood middle school).

Definition

Results-Based Accountability (RBA)—A management tool providing clear, common language for assessing outcomes, indicators, and performance measures.

RBA encourages people to think about how they can together work to achieve shared outcomes.

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 performance measures related to that program should be collected for that same population. Promise Neighborhoods can develop performance measures that answer questions such as “How much did we do?”, “How well did we do it?”, and “Is anyone better off?”, to assess the quality and effectiveness of services delivered to participants. 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 visit the clinic. These data would not be able to track changes in the 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.

A Neighborhood-wide Approach

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

Promise Neighborhoods must attend to both levels of accountability: working toward population-level change while also ensuring that each program contributes meaningfully and measurably toward the broader results. For detailed examples of questions to assess performance accountability and population accountability, see table 1 of [Continually Improving Promise Neighborhoods: The Role of Case Management Data](#).

Grantees are required to submit baseline data for year 1 and to set targets for years 2-5 for each GPRA indicator. For example, a grantee sets a target of reducing chronic absenteeism from a baseline of 25 percent to 5 percent by year 5 for GPRA 3.2. These targets are determined by a mix of data sources. To ensure accountability, grantees must report their targets and progress in yearly reports. For detailed information on how to set targets for GPRA indicators, please see “Promise Neighborhoods Target Setting Guidance” in Appendix 2.2.

Setting targets as part of the Grantee Data Plan will require grantees to make several assumptions, and there are several acceptable methods for grantees to do that. Grantees are expected to articulate the assumptions made based on the data available in their own target setting processes. An example of target narrative and assumptions for GPRA 3.2 is in Appendix 2.3.

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 its data collection and tracking activities.

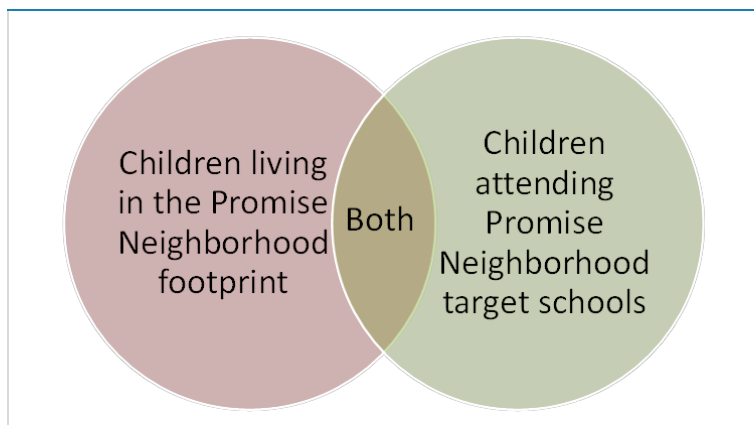
Many school districts have school choice policies (e.g., out-of-school enrollments, public charters, or Title I public school choice) allowing students to enroll in public schools other than their neighborhood public school. That means that students living in Promise Neighborhood footprints may attend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

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

Exhibit 2.1. Promise Neighborhood Potential Populations of Interest

At a minimum, Promise Neighborhoods should target and track population 3—those children who both live in the neighborhood and attend a partner 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 partner 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 partner 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 partner school, but not both.

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

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 two-by-two tables that display population totals for persons in age categories who live in the Promise Neighborhood and who attend a partner school. The population groups shown in the sample tool are 0 to 4 years (infant and pre-school) and 5 to 17 years (kindergarten through high 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.

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

Exhibit 2.2. Sample Population Planning Tool

The planning tool is designed to help Promise Neighborhoods to organize and compare population and enrollment data across age groups. It distinguishes between children and youth living inside versus outside the defined neighborhood footprint.

Population 0 to 4 years old

	Living inside Promise Neighborhood footprint	Living outside Promise Neighborhood footprint	Total
a) Enrolled in early childhood partner programs			
b) Not enrolled in early childhood partner program			

c) Total			
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Key data points and sources by table row:

- ^aNumbers of unique 0-4 year old children enrolled in partner early childhood programs, living inside and outside the Promise Neighborhood geographic footprint. Source: Administrative data from partners; case management data system.
- ^bNumber of unique 0-4 year old children living inside the Promise Neighborhood geographic footprint but not enrolled partner early childhood programs. Source: Calculated by subtracting row (a) from row (c).
- ^cNumber of 0-4 year old children living inside the Promise Neighborhood geographic footprint. (Source: US Census Bureau American Community Survey, summary table B01001.)

Population 5 to 17 years old

	Living in Promise Neighborhood geographic footprint	Living outside Promise Neighborhood geographic footprint	Total
a) Enrolled in partner school			
b) Not enrolled in partner school			
c) Total			

Key data points and sources by table row:

- ^aNumbers of unique 5-17 year old children and youth enrolled in partner early childhood programs, living inside and outside the Promise Neighborhood geographic footprint. Source: Administrative data from partners; case management data system.
- ^bNumber of unique 5-17 year old children and youth living inside the Promise Neighborhood geographic footprint but not enrolled partner early childhood programs. Source: Calculated by subtracting row (a) from row (c).
- ^cNumber of 5-17 year old children and youth living inside the Promise Neighborhood geographic footprint. (Source: US Census Bureau American Community Survey, summary table B01001.)

This tool can be used to help plan for Promise Neighborhood solutions. The population living in the Promise Neighborhood footprint can be served by community-based solutions, while children attending partner schools can be served by school-based programming.

For some solutions and age groups, the population definition will expand beyond just students in partner 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-partner school (including public, charter, private, parochial, or home-schooled children);
- Children and youth 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.

Definitions

Individual-level data—Data collected on a single child or adult.

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

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

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

partner 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.

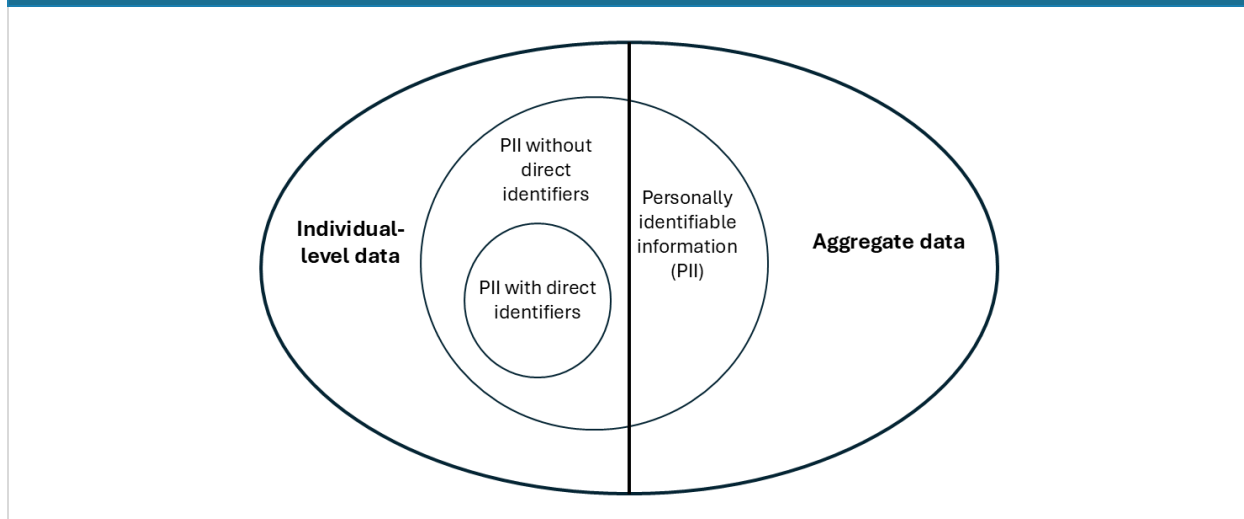
Definitions

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

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).

Data can be divided into different categories depending on its level of specificity and identifiability. Exhibit 2.3 illustrates these overlapping categories of data. Individual-level data includes information collected for any one child or adult, and is distinct from aggregate data, which are summary statistics created by combining data from multiple individuals.

Exhibit 2.3. Level and Identifiability of Data



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 personally 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.

Individual level and aggregate data can both include personally identifiable information (PII), meaning that it is possible to identify specific people in the data, or non-identifiable information, meaning that individuals cannot be identified. Individual-level data that have direct identifiers, such as name and address, are PII because they can be linked to a specific person. But, individual-level data without direct identifiers, such as responses from an anonymous survey, can also be PII if it is possible for someone to identify specific respondents using some combination of other information.

Even aggregate data can include both PII and non-identifiable information, if those data can be used to determine information about a specific person. For example, school-level tabulations of test scores could be PII if a combination of characteristics can be used to determine information about a specific student. An obvious example would be if there were only one student of a reported race and sex in a specific grade. Aggregated data can be PII even in cases where there are not unique combinations of characteristics reported, 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 systems and procedures in place for handling all PII securely. Furthermore, for education and health information, federal law provides specific protection 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 partner schools, or both. These data can include information about personal characteristics (e.g., date of birth, race or ethnicity, school attended), participation in different programs or services, and specific outcomes that the Promise Neighborhood is tracking.

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.)

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.

Collecting identified individual-level data is essential to effective case management for Promise Neighborhoods. Several publications discuss the value of case management and data sharing in achieving better outcomes for children and families³ and is intrinsic to the Promise Neighborhood model. Tracking the exact use of services by Promise Neighborhood participants and connecting 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 people 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.

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

³ Morino, Mario. (2011). *Leap of Reason: Managing to Outcomes in an Era of Scarcity*. Washington, DC: Venture Philanthropy Partners.

Definition

Penetration rate—A measure of the extent to which the implemented solutions and activities reach the relevant populations in the neighborhood or partner 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.

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 partner 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 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 partner 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 ([State Report Cards are available on ED.gov](#)) 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.

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.

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 an RBA framework, they will need to collect, track, and analyze data over time, including results indicators and program-level performance measures for individuals, as well as overall changes in the neighborhood and partner 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 partner 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 (numerator) divided by the total number of middle school students living in the neighborhood or attending the partner school (denominator).

An example is shown in Exhibit 2.4. Suppose a Promise Neighborhood enrolled 30 middle school students from their partner 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 ($10/25$).

This information can be used to assess whether programs are successfully reaching the intended populations. Note that, in this example, the participating and target populations (numerator and denominator) might be further refined based on eligibility or need, such as students with attendance or academic performance challenges.

Exhibit 2.4. Sample Program Penetration Table

Program Penetration Rate: Middle School Tutoring Program

	Living inside Promise Neighborhood footprint	Living outside Promise Neighborhood footprint	Total
Enrolled in target partner middle school	75	25	100
Participating in middle school tutoring program	20	10	30
Program penetration rate	27%	40%	30%

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 partner 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.

Chapter 3: Structure of a Promise Neighborhood Data Infrastructure

This Chapter

- Describes the Promise Neighborhoods data infrastructure, such as case management system, longitudinal systems, and systems for storing neighborhood- and school-level summary statistics.
- 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 infrastructure. This section provides an overview of the functions of a prototypical Promise Neighborhoods data infrastructure, highlighting the main systems and how they interact. While the details of local infrastructure will vary, the basic structure will consist of several systems to meet the data requirements for operating and evaluating a Promise Neighborhood.

The core of the Promise Neighborhood data infrastructure will be a case management system to track program performance measures 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 data will be collected and maintained in the case management system.

The second system type includes neighborhood- and school-level data systems to store and analyze data not collected in the case management system. These systems 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 Climate Surveys, that would be summarized at the school or neighborhood level and not stored in the case management system.

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.

A third major system type is a longitudinal data system to track indicators and other performance measures over time. The key function of this system is to consistently track common measurements over time 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 has unique functionality compared to the other data systems—the case management, school, and neighborhood data systems—because it will combine data from all three. 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.

For practical guidance on how to operationalize a longitudinal data system, Promise Neighborhood grantees can refer to the Building a Longitudinal Data System section of the Data Plan template. This section supports Promise Neighborhoods to assess their current capacity, identify priority data sources, and plan for a phased integration of

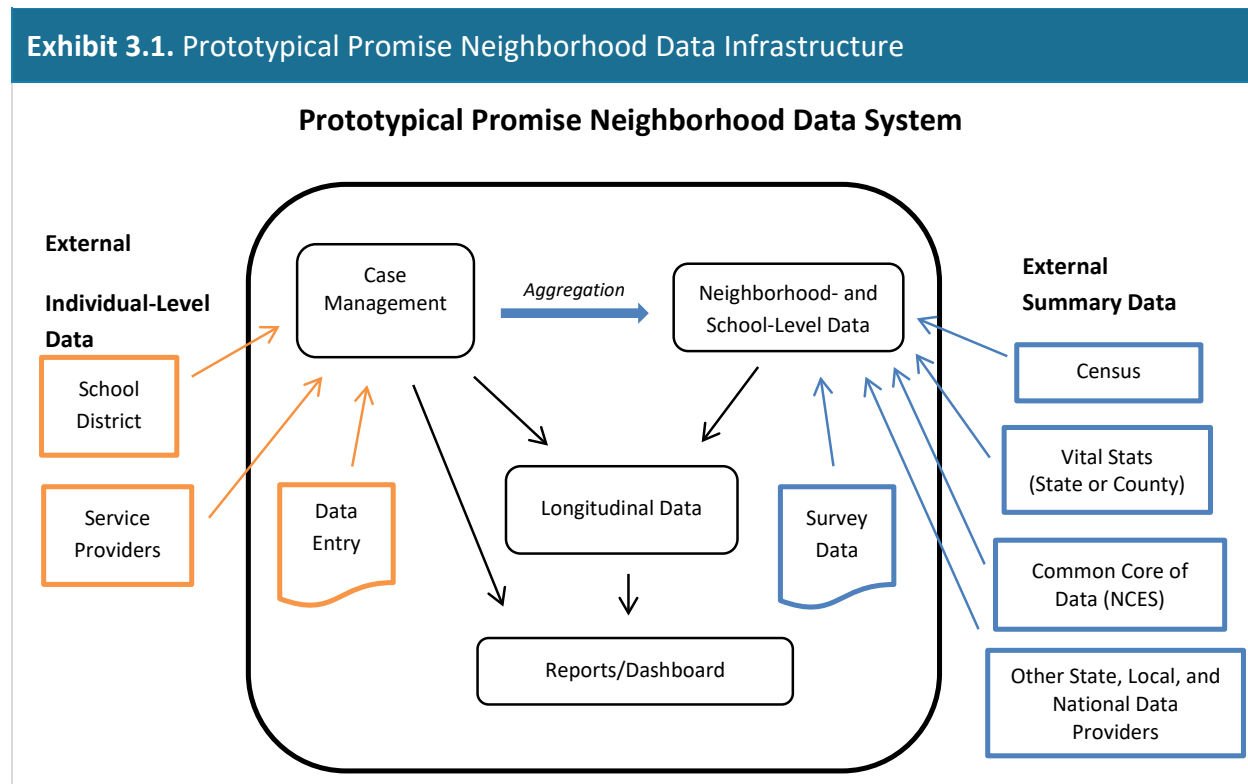
case management, school, and neighborhood-level data over time. Completing this section of the Data Plan will also support alignment with reporting requirements and continuous quality improvement efforts. Promise Neighborhoods can use this section of the data plan to inventory current data infrastructure capabilities and identify gaps in longitudinal reporting. This section of the Data Plan provides a structured worksheet to help grantees prepare for more advanced data use and evaluation efforts.

Finally, a Promise Neighborhood data infrastructure will likely include a component that can generate 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 data systems to produce timely and essential information on overall and specific program results.

Exhibit 3.1 gives an overview of the prototypical Promise Neighborhood data infrastructure. Each of these data systems will be discussed in more detail in the sections below. The different data systems (e.g., case management, longitudinal data) in the exhibit are meant to represent functionalities of the infrastructure, rather separate pieces software. The actual configuration of the software and hardware needed to implement these functions will be determined by the Promise Neighborhood and may not look exactly like the prototype system in Exhibit 3.1. The Promise Neighborhood’s system should, however, be able to handle the data and functionality as shown in the illustrated prototype.

Case Management System

The core of the Promise Neighborhood data infrastructure will be a robust case management system capable of tracking data for individuals who are participating in programming, attending partner schools, or 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.



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 performance measures. 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 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 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 years⁴⁵ and is intrinsic to the Promise Neighborhoods model. Tracking precisely the use of 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. An example of a case management system is the [“Promise Neighborhoods Restricted-Use Data Files: Technical Specification and Requirements”](#) factsheet. Promise Neighborhoods are not required to submit RUDFs, and this additional resource should only be used as an example of a case management data structure.

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 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 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. For more information on how to choose the right data system that fits grantees’ needs, view [Navigating Performance Management Software Options and Choosing a Data System for Your Promise Neighborhood](#).

⁴ Morino, Mario. 2011. *Leap of Reason: Managing to Outcomes in an Era of Scarcity*. Washington, DC: Venture Philanthropy Partners.

⁵ Carlson, Neil E., Edwin Hernández, Chaná Edmond-Verley, Gustavo Rotondaro, Eleibny Feliz-Santana, and Susan Heynig. 2012. “Developing a Master Data Sharing Agreement: Seeking Student-level Evidence to Support a Collaborative Community Effort in Education.” *The Foundation Review*. 3:4. Grand Rapids, MI: Johnson Center for Philanthropy. 14-33.

Definition

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

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, several salient points are worth mentioning. A good case management system would include custom data entry screens for 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 performance measures 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.

For a fuller discussion on data quality management for Promise Neighborhoods, including roles and responsibility of managing data quality with partners, steps to gauge current data quality, rules for defining high-quality data, processes for data quality review, and examples from Promise Neighborhood grantees, see Introduction to [Data Quality: A Guide for Promise Neighborhoods on Collecting Reliable Information to Drive Programming and Measure Results](#).

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.

Everyone 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.⁶ 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 partner schools and neighborhood in longitudinal data files. Such data is useful for informing programmatic decisions, such as where to implement 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 summary level (either neighborhood or school), so the indicators are more likely to be publicly available and more easily obtained than identified individual-level data. Summary statistics about the neighborhood and partner 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 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.

Longitudinal Data System

Longitudinal data track information on the same subjects (such as people, families, or schools) at different points in time. 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 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 data systems (such as the case management system) if they have that functionality, or it may be a separate data system. 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

⁶ 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.

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 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 summarized at the school or neighborhood level (e.g., education statistics published by the school district).

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 system type of the data infrastructure is a reporting system to generate reports for sharing results with the Promise Neighborhood leadership, partners, and the community. This system 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 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 towards improvement on the different GPRM 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.

Resources

Statewide Longitudinal Data Systems Grant Program Best Practices brief, [Vendor Engagement: Tips from the States](#).

⁷ An extensive list of available statistical software, including free and open-source systems, is available on [Wikipedia page of List of Statistical Software](#).

Chapter 4: Government Performance and Results Act Indicators for Promise Neighborhoods

This Chapter

- Describes the 10 Government Performance and Results Act (GPRA) indicators for fiscal year 2017 implementation grantees and later, including their definitions, data sources, and calculations for reporting to the U.S. Department of Education (ED).
- 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.

GPRA Data: Practical & Sustainable

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

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 10 distinct performance indicators specified by ED. (See Appendix 4.1 for a list of these 10 GPRA indicators.) ED will report these indicators, aggregated across implementation sites, to the U.S. Congress on an

annual basis during the duration of the grants and ED will use the site-specific information in annual grantee performance reviews.

ED uses the GPRA indicators to assess the progress of the initiative, 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 organizations. For example, if a Promise Neighborhood has multiple partner schools in its footprint, the School Climate Surveys implemented in the partner schools should be consistent.

To support the effective use of data for continuous improvement, each GPRA indicator includes specific data quality standards. These standards help Promise Neighborhoods, ED and the training and technical assistance (TTA) team assess whether data sources and reporting are “Strong”, “Growing”, or in “Startup” status. The standards evaluate the appropriateness of the data source, the completeness of reporting, and the technical rigor (e.g., response rate, tool validity). Where possible, these criteria reflect the current best practices. These quality standards also help determine which data can be reliably used to track progress toward results over time and across grantees.

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). ED 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. 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.

How to Use This Chapter

The remainder of this chapter describes each of the 10 Promise Neighborhood GPRA indicators in detail. For each GPRA indicator, there is a brief definition of the indicator, a recommended data source, target population, calculation, and frequency for data collection. Exhibit 4.1 summarizes the key information. The information in this chapter can assist Promise Neighborhoods to identify appropriate data sources and develop a plan for consistent data collection over the life of the grant. Grantees need to document decisions in the Collecting and Storing Data section of the Data Plan Template (Appendix 2.1). Grantees can also use Appendix 4.2 to identify different data sources for each GPRA.

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 probability-based 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 provide higher quality data than 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 grantees must decide what is possible given the number of people in the footprint, 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, but can be administered annually, if desired.

Promise Neighborhoods should conduct **School Climate Surveys** with all high school and middle school students attending the Promise Neighborhood partner schools. School Climate Surveys should be administered annually. Like the Neighborhood Survey, the School Climate Surveys should not be linked to students included in the case management system. The survey responses must be kept separately as School Climate Survey files.

Appendix 4.3: Recommended Survey Questions

Appendix 4.3 compiles together all 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 4.3 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, ED 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 defines the population for each GPRA indicator. In some cases, the population is all the students enrolled in the partner 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 ED. Ultimately, ED will use the information provided from the sites to report just one summary statistic for each GPRA indicator 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, administrative data can be collected annually. Because of the burden of implementing a robust, randomly sampled in-person Neighborhood Survey, Neighborhood Surveys are required during program years 1, 3, and 5 of the Promise Neighborhood implementation grant period. GPRA indicators collected via School Climate Surveys must 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 systems: neighborhood-level data system, school-level data system, or case management data system. Aggregated school-level or early childhood partner administrative data and School Climate Survey data would be saved in the school-level data system and Neighborhood Survey data 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 quality standards. This section details evaluation standards and guidance for evaluating Promise Neighborhoods grantees' progress on data collection and reporting activities. Promise Neighborhoods grantees generally report data to ED two times a year. The first Annual Performance Reporting (APR) submission is usually in the summer and may include only partial data (e.g., January-June) for the current year. The second report is the ad hoc APR report that grantees submit in the spring of the following year. Ad hoc APR provides an opportunity to complete annual data reporting, building on the prior APR submission. The Promise Neighborhoods TTA Team applies data quality standards when grantees complete their ad hoc submissions. Grantees receive data quality ratings in individual grantee ad hoc APR summary reports. These data quality ratings determine which data appear in grantee reports and cohort reports, that summarize progress within a cohort. Cohort data are also reported in the data dashboard on the Promise Neighborhood's web site.

The TTA team assigns one of five ratings to data reported for each GPRA indicator by grantees. The general meaning for each label follows, with specific requirements in the GPRA sections:

Strong (■) – Grantee is collecting regularly (biennially for GPRAs based on the Neighborhood Survey, annually for all other GPRAs) data on the appropriate populations for a GPRA using the data sources and collection methods recommended in this Guidance Document and these sources and methods meet high quality standards. The grantee should be able to consistently and reliably collect data on this GPRA in the same manner in the future so that results can be used to assess the grantee's progress over time.

Growing (◀) – Grantee is collecting regularly (biennially for GPRAs based on the Neighborhood Survey, annually for all other GPRAs) data for a GPRA but the data populations, sources, or collection methods deviate from this Guidance Document recommendations and quality standards. Regardless, the grantee should be able to consistently and collect data on this GPRA in the same manner in the future so that results can be **reliably** used to assess the grantee's progress over time.

Startup (●) – Grantee is not regularly collecting data for the GPRA, or the data are deemed to be of low quality for tracking progress.

Not started (■) – Grantee has not yet reported data, although data collection work may have begun (i.e., grantee has not previously reported data).

Not reported (—) – Grantee has reported data for this GPRA previously, but did not report new data for the current reporting cycle.

Data assessed as strong or growing will be included in the public data dashboard on the Promise Neighborhoods website. Therefore, it is important that grantees define and collect these data consistently from year to year in a manner that allows one to compare a grantee's progress on this result over time (but not necessarily to compare across grantees). If a grantee changes its data collection sources or methods during their grant, the TTA team will reassess older data to determine if those data points still meet the comparability standards.

Data Collection for Children Enrolled in Case Management System

Although not required as part of their grant, Promise Neighborhoods may collect the same information as the GPRA indicators directly from individuals and families enrolled in the Promise Neighborhood through the case management system. In other words, GPRA indicators and component data elements collected from summary school data, Neighborhood Surveys, and School Climate Surveys should also be collected specifically for the children and families enrolled in the Promise Neighborhoods solutions 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 to better support continuous improvement and sustainability efforts.

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 partner 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.

In addition, collecting individual-level GPRA data will improve a grantee's ability to demonstrate substantive progress toward Promise Neighborhoods results during their grant. As discussed in Chapter 2, Promise Neighborhoods should be mindful of both population and performance (program) accountability. While population-level results may take years to emerge, program-level results may be achieved more quickly. By having individual-level data that can be used to track progress for populations directly served by Promise Neighborhood solutions, grantees can better demonstrate how their program-level efforts will eventually lead to population-level results.

Promise Neighborhoods must negotiate memorandums of understanding with school districts and get parental consent to collect identified individual-level administrative education data. Promise Neighborhoods 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. (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 additional performance measures in the case management section following each GPRA indicator.

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 and continuous improvement purposes.

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 Measures	Data Source and Frequency	Target Population	Age/Grade Category	Level of Data Collection	Data Storage
1. Number and percent of 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 attending partner schools	Kindergarten	Grade level	School-level data system
2. Students are proficient in core academic subjects: 2.1 Number and percentage of students at or above grade level according to State mathematics assessments in at least the grades required by the ESEA (3rd through 8th grades and once in high school). 2.2 Number and percentage of students at or above grade level according to State English language arts assessments in at least the grades required by the ESEA	Administrative data collected annually	Children attending partner schools	3rd through 8th grade and once in high school	Grade level	School-level data system
3. Students successfully transition from middle school grades to high school: 3.1 Attendance rate of students in 6th, 7th, 8th, and 9th grade as defined by average daily attendance. 3.2 Chronic absenteeism rate of students in 6th, 7th, 8th, and 9th grades	Administrative data collected annually	Children attending partner schools	6th, 7th, 8th, and 9th grades	School and grade level	School-level data system
4. Four-year adjusted cohort graduation rate.	Administrative data collected annually	Children attending partner schools	High school	School level	School-level data system
5. High school graduates obtain a postsecondary degree, certification or credential: 5.1 Number and percentage of Promise Neighborhood students who enroll in a two-year or four-year college or university after graduation. 5.2 Number and percent of Promise Neighborhood students who graduate from a two-year or four-year college or university or vocational certification completion.	Private third party that tracks high school graduates into postsecondary education collected annually	Graduates from partner high schools	Graduates from partner schools	School level	School-level data system
6. Number and percent of children who consume five or more servings of fruits and vegetables daily.	School Climate Survey collected annually	Children attending partner schools	Middle and high school students	Individual level	School-level data system
7. Number and percent of students who feel safe at school and traveling to and from school, as measured by a School Climate Survey.	School Climate Survey collected annually	Children attending partner schools	Middle and high school students	Individual level	School-level data system
8. Student mobility rate	Administrative data collected annually	Children attending partner schools	Elementary, middle, and high school students	School level	School-level data system
9. Families and community members	Neighborhood	Children living in	9.1: Birth through	Individual	Neighborhood-

GPRA Measures	Data Source and Frequency	Target Population	Age/Grade Category	Level of Data Collection	Data Storage
support learning in Promise Neighborhood Schools: 9.1 Number and percentage of parents or family members that read to or encourage their children to read three or more times a week or reported their child read to themselves three or more times a week (birth–8th grade). 9.2 Number and percentage of parents/family members who report talking about the importance of college and career (9th–12th grade). This is because the data is collected from two populations of students, by age and grade level.	survey conducted in at least years 1, 3, and 5 of the grant	Promise Neighborhood	8th grade students 9.2: 9th through 12th grader students	level	level data system
10. Number and percent of students who have school and home access to broadband internet and a connected computing device.	School Climate Survey collected annually	Children attending partner schools	Middle and high school students	Individual level	Neighborhood-level data system

GPRA 1. Number and percent of 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. The National Education Goals Panel (1995) established five domains for kindergarten readiness: 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 (or screeners) 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:

- Patricia Lozano (2016). [What it Means to be Kindergarten Ready in the US. Age of Learning.](#)
- [Head Start Development and Early Learning Framework](#)
- 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 University of North Carolina, Chapel Hill](#)
- Sharon Lynn Kagan, Evelyn Moore, and Sue Bredekamp, editors (1995). [Reconsidering Children’s Early Development and Learning: Toward Common Views and Vocabulary.](#) National Education Goals Panel.

Data source. Promise Neighborhoods should first learn what developmental assessment(s) their early childhood partners who serve 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 ED 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 kindergarten students attending the targeted early learning centers or partner 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 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 in kindergarten who participate in the Promise Neighborhood's early childhood programs and partner schools.

Calculation for GPRA indicator. Promise Neighborhoods should report the number and percent of 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 ED, grantees should document the types of assessments used by the providers and what domains they assess.

For 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 the kindergarten students. Promise Neighborhoods should then make the calculation in Equation 1.a for each assessment tool used.

Equation 1.a. Percent of Kindergarteners With Age-Appropriate Functioning or Met Expected Criterion

$$= \frac{\text{Number of kindergarten students with age-appropriate functioning using a specific assessment tool}}{\text{Number of kindergarten students assessed using a specific assessment tool}} \times 100$$

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 partner 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 the Promise Neighborhood's partner 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.

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.

Data quality. We recognize that grantees may not have direct control over the types of kindergarten assessments that districts or state use. Nevertheless, the following standards apply to the data quality ratings for reported data.

Strong (■)	Growing (↔)	Startup (●)
<p>Grantee collected annual data on age-appropriate functioning at kindergarten entry that met these criteria:</p> <ul style="list-style-type: none"> • A nationally-recognized assessment tools that assessed children on 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), OR a state-recognized assessment of age-appropriate functioning (e.g., the state department of education’s recognized kindergarten readiness assessment). • Data collected and reported for all kindergarteners in Promise Neighborhood partner schools. The reporting rate was 60 percent or higher of kindergarteners in partner schools. 	<p>Grantee collected data on age-appropriate functioning for kindergarteners using one or more tools, but one or both of the following were true:</p> <ul style="list-style-type: none"> • The tool was not a nationally-recognized assessment tool that assesses all five dimensions of early learning development or a state-recognized assessment of age-appropriate functioning at kindergarten, or <p>Data were collected on less than 60 percent but at least 30 percent of kindergarteners in partner schools.</p>	<p>Grantee did not collect data on age-appropriate functioning for kindergarteners based on assessment tools that are not considered acceptable by ED, collected data on fewer than 30 percent of kindergarteners in partner schools), or collected inconsistent data.</p>

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 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 kindergarteners meet age-appropriate benchmarks, Promise Neighborhoods are encouraged to also collect information about three- or four-year olds as well, or those children who are typically in transitional kindergarten or prekindergarten.

Frequency. Sites should collect this information annually.

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

GPRA 2. Students are proficient in core academic subjects:

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

2.2 Number and percentage of students at or above grade level according to State English language arts assessments in at least the grades required by the ESEA

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 partner 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 partner schools, Promise Neighborhoods will aggregate the number and share testing proficient or advanced across the schools by grade and report these statistics to ED 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 partner 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 partner 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 partner schools. However, Promise Neighborhoods should report an aggregated number and share of students across all partner schools for each grade to ED to meet the GPRA requirements.

For the number and percent of students testing proficient or advanced in mathematics for each required grade from all of the partner schools (Equation 2.1):

1. Across all partner 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 2.1. Percent of Students in Grade Y Testing Proficient or Advanced in Math

$$= \frac{\text{Number of students in grade Y who tested proficient or advanced in math}}{\text{Number of students in grade Y attending partner schools}} \times 100$$

For the number and percent of students testing proficient or advanced in English language arts for each required grade from all the partner schools (Equation 2.2):

1. Separately calculate for each grade the number of students who attend the partner 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 partner 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 2.2. Percent of Students in Grade Y Testing Proficient or Advanced in English Language Arts

$$= \frac{\text{Number of students in grade Y who tested proficient or advanced in English language arts}}{\text{Number of students in grade Y attending partner schools}} \times 100$$

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.

Data quality.

Strong (■)	Growing (←)	Startup (●)
Grantee collected annual data from the local education agency (LEA) or state education agency (SEA) for all students who completed state assessments in Promise Neighborhood target elementary, middle, and high schools. Data obtained and reported were consistent with the populations (grades) and indicator definitions recommended in the Guidance Document.	Grantee collected annual data from the LEA or SEA, but one or more of the following was true: <ul style="list-style-type: none"> ● Data had significant omissions of students enrolled in the partner schools, ● Data were not obtained and reported for all the grades specified in the Guidance Document, or ● Indicator definitions did not conform with Guidance Document recommendations. 	Grantee did not collect annual data from the LEA or SEA, or data collection was very minimal or inconsistent.

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 partner 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 3. Students successfully transition from middle school grades to high school:

3.1 Attendance rate of students in 6th, 7th, 8th, and 9th grade as defined by average daily attendance.

3.2 Chronic absenteeism rate of students in 6th, 7th, 8th, and 9th grades

Definition. Average daily attendance (ADA) is typically used by school districts to measure school attendance and it is required under the Every Student Succeeds Act of 2015. Researchers have 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 (see literature review, below). For GPRA 3, Promise Neighborhoods should collect the average daily attendance and chronic absenteeism rates for 6th, 7th, 8th, and 9th grades in each of the target Promise Neighborhood schools.

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
- 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. Promise Neighborhoods and their local school districts should calculate the average daily attendance and chronic absenteeism rates, for grades 6–9 required in each of the Promise Neighborhood partner schools, for their reports to ED.

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. While the GPRA indicator requires that average daily attendance and chronic absenteeism be reported to ED for grades 6 through 9, Promise Neighborhoods are encouraged to collect attendance and absenteeism data for all grades in their partner schools to help them determine where focused strategies and improvements may be 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 (Equation 3.1).

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

1. Calculate the aggregate number of days of attendance of all students enrolled during the school year. This is the numerator.
2. Calculate the total number of days enrolled across all students. For each student, use their actual number of days enrolled and sum across students. This is the denominator. If grantee is unable to calculate the total number of days enrolled across all students, they should use the total number of days in school year multiplied by the total numbers of students.
3. Divide step 1 by step 2.
4. Multiply by 100.
5. Repeat for each grade in the partner school.

Equation 3.1. Average Daily Attendance

$$= \frac{\text{Total number of days in attendance for all students}}{\text{Total number of days enrolled for all students}} \times 100$$

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.

For each student enrolled in a partner school, calculate the percent of days absent (Equation 3.2.a):

1. Calculate the number of days absent.
2. Calculate the number of days enrolled in the school.
3. Divide the number of days absent by the number of days enrolled in the school.

Equation 3.2.a. Percent of Days Absent

$$= \frac{\text{Number of days absent}}{\text{Number of days enrolled}} \times 100$$

Next, use the individual percent of days absent to calculate the chronic absenteeism rate (Equation 3.2.b).

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

Equation 3.2.b. Rate of Chronic Absenteeism for Grade Y

$$= \frac{\text{Number of students in grade Y absent ten percent or more of days enrolled}}{\text{Number of students enrolled in grade Y}} \times 100$$

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.

Data quality.

Strong (■)	Growing (←)	Startup (●)
<ul style="list-style-type: none"> ● Grantee collected annual data from the local education agency (LEA) or state education agency (SEA) for all students enrolled in Promise Neighborhood target elementary, middle, and high schools. Data obtained and reported were consistent with the populations (grades) and indicator definitions recommended in the Guidance Document. 	<p>Grantee collected annual data from the LEA or SEA, but one or more of the following is true:</p> <ul style="list-style-type: none"> ● Data had significant omissions of students enrolled in the partner schools, ● Data were not obtained and reported for all the grades specified in the Guidance Document, or ● Indicator definitions did not conform with Guidance Document recommendations. 	<p>Grantee did not collect annual data from the LEA or SEA, or data collection was very minimal or inconsistent.</p>

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, it is recommended that Promise Neighborhoods 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 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 4. Four-year adjusted cohort graduation rate.

As of 2015, the *Every Student Succeeds Act* (24 CFR 200.19(b)(1)) requires all states to calculate a four-year adjusted cohort graduation rate for all public high schools in the State. The adjusted cohort graduation rate is recognized as an accurate and uniform way to compare graduation rates across all states.

Definition. Each State must calculate a four-year adjusted cohort graduation rate for all public high schools in the State. 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. Promise Neighborhoods should collect and report the four-year adjusted cohort graduation rate calculated by the school district or state education agency for each partner high school. If the State has received

approval from the Secretary, Promise Neighborhoods may report the extended-year adjusted cohort graduation rate.

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 adjusted 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.

Data quality.

Strong (■)	Growing (←)	Startup (●)
Grantee collected annual data from the local education agency (LEA) or state education agency (SEA) for all students enrolled in Promise Neighborhood target elementary, middle, and high schools. Data obtained and reported were consistent with the populations (grades) and indicator definitions recommended in the Guidance Document.	Grantee collected annual data from the LEA or SEA, but one or more of the following is true: <ul style="list-style-type: none"> • Data had significant omissions of students enrolled in the partner schools, • Data were not obtained and reported for all the grades specified in the Guidance Document, or • Indicator definitions did not conform with Guidance Document recommendations. 	Grantee did not collect annual data from the LEA or SEA, or data collection was very minimal or inconsistent.

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 partner 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 partner 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 a 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 5. High school graduates obtain a postsecondary degree, certification or credential:

5.1 Number and percentage of Promise Neighborhood students who enroll in a two-year or four-year college or university after graduation.

5.2 Number and percent of Promise Neighborhood students who graduate from a two-year or four-year college or university or vocational certification completion.

Definitions. Promise Neighborhoods should disaggregate GRPA 5 into two separate elements that measure:

1. Enrollment in a two-year or four-year college or university after high school graduation. High school graduates from the partner 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.
2. College, university, and vocational certification completion. This includes the number and percentage of former high school graduates from the partner high schools who graduated from their postsecondary 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 who complete in 150 percent of time will take 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 program.

Data source. The recommended data source is privately operated postsecondary tracking services, such as the National Student Clearinghouse. These types of organizations track high school seniors who matriculated from partner 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 partner high schools participate with these private tracking services, and that the primary two- and four-year colleges and universities where most Promise Neighborhood students continue for their postsecondary education participate as well. The postsecondary tracking services can provide aggregated reports about the enrollment and matriculation of high school cohorts. To support consistent reporting, Promise Neighborhoods should follow the guidance below, which outlines the four high school graduation cohorts grantees are expected to report on for each ad hoc APR submission. These cohorts are determined based on the year of reporting and the timeframe needed to assess 2-year, 3-year, 4-year, and 6-year postsecondary outcomes.

Note: The third edition of this Guidance Document changed reporting for the outcome so that each high school graduation cohort is reported as a separate measure. In earlier editions, grantees reported GPRA 5.2 as a cumulative postsecondary complete rate across all eligible cohorts. Grantees who have been tracking and reporting data cumulatively may continue to do so for consistency.

The table and logic provided below specify which cohort aligns with each postsecondary indicator. Grantees report annually on a defined reporting period, a calendar year, as part of the ad hoc APR submission. For example, grantees submit data for the 2025 reporting period in 2026. In the reporting timeline example below, “reporting period” refers to the period in which the outcomes occurred.

For example, using the 2025 reporting period, grantees should report on the following:

High School Graduation Cohort	Postsecondary Indicator
Class of 2019	5.2a # and % of students who graduate from a 4-year college or university within 150% of traditional

	time (6 years)
Class of 2021	5.2b # and % of students who graduate from a 4-year college or university within 100% of traditional time (4 years)
Class of 2022	5.2c # and % of students who graduate from a 2-year college within 150% of traditional time (3 years)
Class of 2023	5.2d # and % of students who graduate from a 2-year college within 100% of traditional time (2 years)
Class of 2022	5.2e # and % of students who complete a vocational certification within 3 years of high school graduation.
Class of 2023	5.2f # and % of students who complete a vocational certification within 2 years of high school graduation.
Class of 2024	5.1 # and % of students who enroll in a two-year or four-year college or university after high school graduation.

Promise Neighborhoods can use the following logic to determine which high school graduation cohorts to include for annual GPRA 5.2 reporting:

GPRA 5.2 Standard Reporting Timeline Example

For GPRA 5.2a: Subtract 6 from reporting period to calculate high school graduation cohort

Grant Year	Reporting Period	Number to Subtract	High School Graduation Cohort
1	2025	- 6	2019
2	2026	- 6	2020
3	2027	- 6	2021
4	2028	- 6	2022
5	2029	- 6	2023

For GPRA 5.2b: Subtract 4 from reporting period to calculate high school graduation cohort

Grant Year	Reporting Period	Number to Subtract	High School Graduation Cohort
1	2025	- 4	2021
2	2026	- 4	2022
3	2027	- 4	2023
4	2028	- 4	2024
5	2029	- 4	2025

For GPRA 5.2c: Subtract 3 from reporting period to calculate high school graduation cohort

Grant Year	Reporting Period	Number to Subtract	High School Graduation Cohort
1	2025	- 3	2022
2	2026	- 3	2023
3	2027	- 3	2024
4	2028	- 3	2025
5	2029	- 3	2026

For GPRA 5.2d: Subtract 2 from reporting period to calculate high school graduation cohort

Grant Year	Reporting Period	Number to Subtract	High School Graduation Cohort
1	2025	- 2	2023
2	2026	- 2	2024
3	2027	- 2	2025
4	2028	- 2	2026
5	2029	- 2	2027

For GPRA 5.2e: Subtract 3 from reporting period to calculate high school graduation cohort

Grant Year	Reporting Period	Number to Subtract	High School Graduation Cohort
1	2025	- 3	2022
2	2026	- 3	2023
3	2027	- 3	2024
4	2028	- 3	2025
5	2029	- 3	2026

For GPRA 5.2f: Subtract 2 from reporting period to calculate high school graduation cohort

Grant Year	Reporting Period	Number to Subtract	High School Graduation Cohort
1	2025	- 2	2023
2	2026	- 2	2024
3	2027	- 2	2025
4	2028	- 2	2026
5	2029	- 2	2027

Grantees should apply this rule each year to identify the correct set of high school graduation cohorts to report on. An illustration of this reporting timing for GPRA 5.1 and 5.2 can be found in GPRA 5 Tracking and Ad Hoc Reporting Schedule by High School Graduating Class Cohorts, in Appendix 4.4.

Grantees should be aware that local data access and availability may affect the timing of reporting. In some cases, a grantee may experience a lag in receiving postsecondary completion data from school districts. If that is the case, the grantee may be one year behind the standard schedule. This is acceptable but it is important to maintain consistency in reporting the same time-lagged cohort structure across all reporting submissions. This ensures the data remains longitudinally comparable year to year. The goal should be to stick to the chosen reporting schedule and note any deviations from the standard reporting framework in the data source table in the ad hoc APR submission.

This rolling model ensures that reporting aligns with the appropriate postsecondary timelines and gives grantees a full picture of progress and completion. Importantly, this means that data collection for GPRA 5 may include students who completed high school before the grant period began, provided they graduated from a partner high school. Grantees are encouraged to take a broader view of their target population for this indicator, because students who graduated from partner high school(s) prior to the start of the grant may still be in college or vocational program and, therefore, a part of the Promise Neighborhoods target population. Furthermore, these data provide a baseline against which future progress can be measured.

Another potential data source for GPRA 5 data elements is 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, K–12, 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.

Another potential source for GPRA 5 data is an alumni survey. An alumni survey requires contact information for high school seniors so they can be contacted after graduation. Contacting alumni can be helpful for gathering information they report that is not collected by the National Student Clearinghouse, such as additional certificates obtained, post-graduate living situation, or future goals. For more information about alumni surveys, view Promise Neighborhood Alumni Survey Tips Sheet in Appendix 4.5.

For detailed guidance on the different sources of data including National Student Clearinghouse, SLDS, Alumni Surveys, and data collection and reporting challenges and potential solutions, see [Expanding Data Use to Support More Effective Post-High School Transitions: Measuring Postsecondary Success in Promise Neighborhoods](#). The resource also includes grantee examples of results-based accountability to improve postsecondary data trends and outcomes. Promise Neighborhoods GPRA 5: National Student Clearinghouse (Appendix 4.6) has specific guidance on this data source for Promise Neighborhoods.

Target population. The target population are graduating cohorts of students from partner high schools. A graduating cohort consists of all the students graduated from a partner high school in the same year (or, within the extended year for those States that have approval to use an extended year adjusted cohort graduation rate). The data tracking services can provide aggregated reports about the high school cohort if provided with information that can be used to identify individual students in their databases.

Calculation for GPRA indicator. The two 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 5.1, Equation 5.1):

1. Calculate the number of students from each graduating cohort at the partner high school who enroll in community colleges, associate's programs, or four-year colleges or universities within the 16 months of high school graduation.
2. This is the numerator.
3. Calculate the number of students who graduated from the partner high school in each graduating 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 5.1. Percent of Students Who Enrolled in College or University

$$= \frac{\text{Number of students who enrolled in college or university}}{\text{Number of students in graduating cohort}} \times 100$$

For college, university, and vocational certification completion (GPRA 5.2):

For a given graduating cohort of high school students, Promise Neighborhoods should track (a) those students who attend and graduate from a community college, associate's program, or four-year college or university and (b) those who attend and graduate from a vocational program. For each type of postsecondary educational opportunity, separate calculations should be done for completion within the traditional 100 and 150 percent completion times appropriate to those programs.

For GPRA 5.2a, the percent of students who graduate from a 4-year college or university within 150% of traditional completion time (equation 5.2.a):

1. Identify the number of students in the appropriate high school graduation cohort who earned a degree from a 4-year college or university within 6 years of high school graduation. This is the numerator.
2. Identify the total number of students in that high school graduation cohort who enrolled in a 4-year college or university. This is the denominator.
3. Divide the numerator calculated in step 1 by the denominator calculated in step 2.
4. Multiply by 100.

Equation 5.2.a. Percent of Students Who Graduated from a 4-year College or University Within 150 Percent of Traditional Completion Time

$$= \frac{\text{Number of students graduating with a degree in six years}}{\text{Number of students in graduating cohort who enrolled in a 4-year college or university}} \times 100$$

For GPRA 5.2b, the percent of students who graduate from a 4-year college or university within 100% of traditional completion time (equation 5.2.b):

1. Identify the number of students in the appropriate high school graduation cohort who earned a degree from a 4-year college or university within 4 years of high school graduation. This is the numerator.
2. Identify the total number of students in that high school graduation cohort who enrolled in a 4-year college or university. This is the denominator.
3. Divide the numerator calculated in step 1 by the denominator calculated in step 2.
4. Multiply by 100.

Equation 5.2.b. Percent of Students Who Graduated from a 4-year College or University Within 100 Percent of Traditional Completion Time

$$= \frac{\text{Number of students graduating with a degree in four years}}{\text{Number of students in graduating cohort who enrolled in a 4-year college or university}} \times 100$$

For GPRA 5.2c, the percent of students who graduate from a 2-year college within 150% of traditional completion time (equation 5.2.c):

1. Identify the number of students in the appropriate high school graduation cohort who earned a degree from a 2-year college within 3 years of high school graduation. This is the numerator.
2. Identify the total number of students in that high school graduation cohort who enrolled in a 2-year college. This is the denominator.
3. Divide the numerator calculated in step 1 by the denominator calculated in step 2.
4. Multiply by 100.

Equation 5.2.c. Percent of Students Who Graduated from a 2-year College Within 150 Percent of Traditional Completion Time

$$= \frac{\text{Number of students graduating with a degree in three years}}{\text{Number of students in graduating cohort who enrolled in a 2-year college}} \times 100$$

For GPRA 5.2d, the percent of students who graduate from a 2-year college within 100% of traditional completion time (equation 5.2.d):

1. Identify the number of students in the appropriate high school graduation cohort who earned a degree from a 2-year college within 2 years of high school graduation. This is the numerator.
2. Identify the total number of students in that high school graduation cohort who enrolled in a 2-year college. This is the denominator.
3. Divide the numerator calculated in step 1 by the denominator calculated in step 2.
4. Multiply by 100.

Equation 5.2.d. Percent of Students Who Graduated from a 2-year College Within 100 Percent of Traditional Completion Time

$$= \frac{\text{Number of students graduating with a degree in two years}}{\text{Number of students in graduating cohort who enrolled in a 2-year college}} \times 100$$

For GPRA 5.2e, the percent of students who graduate from a vocational certification program within 3 years of high school graduation (Equation 5.2.e)

1. Identify the number of students in the appropriate high school graduation cohort who earned a vocational certification within 2 years of high school graduation. This is the numerator.
2. Identify the total number of students in that high school graduation cohort who enrolled in vocational certification program. This is the denominator.
3. Divide the numerator calculated in step 1 by the denominator calculated in step 2.
4. Multiply by 100.

Equation 5.2.e. Percent of Students Who Graduated from a Vocational Certification Program within 3 Years of High School Graduation

$$= \frac{\text{Number of students graduating from vocational programs within three years of high school graduation}}{\text{Number of students in graduating cohort who enrolled in vocational certification programs}} \times 100$$

For GPRA 5.2f, the percent of students who graduate from a vocational certification program within 2 years of high school graduation (Equation 5.2.f):

1. Identify the number of students in the appropriate high school graduation cohort who earned a vocational certification within 2 years of high school graduation. This is the numerator.
2. Identify the total number of students in that high school graduation cohort who enrolled in vocational certification program. This is the denominator.
3. Divide the numerator calculated in step 1 by the denominator calculated in step 2.
4. Multiply by 100.

Equation 5.2.f. Percent of Students Who Graduated from a Vocational Certification Program within 2 Years of High School Graduation

$$= \frac{\text{Number of students graduating from vocational programs within two years of high school graduation}}{\text{Number of students in graduating cohort who enrolled in vocational certification programs}} \times 100$$

Data quality.

Strong (■)	Growing (↔)	Startup (●)
<p>Grantee collected annual data on postsecondary enrollment and completion from the National Student Clearinghouse (NSC) or an equivalent source for all students graduating from the Promise Neighborhood partner high schools. Data obtained and reported were consistent with the definitions recommended in the Guidance Document, including reporting college enrollment within the full 16 months after high school graduation and college graduation within 100 and 150 percent of traditional completion time. Data must be reported on at least 60 percent of the partner high school graduate population.</p>	<p>Grantee collected annual data from the NSC or an equivalent source on postsecondary enrollment and completion but one or more of the following is true:</p> <ul style="list-style-type: none"> • Data covered between 30 and 59 percent of the high school graduate population, or <p>Data were not consistent with the definitions in the Guidance Document</p>	<p>Grantee did not collect annual data from the NSC or an equivalent source, or the data were very minimal or inconsistent.</p>

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 and graduate from postsecondary institutions. Promise Neighborhoods should track the postsecondary progress of their students for their own records and assessments.

Data collection. Promise Neighborhoods should receive an individual-level identified file from the privately operated postsecondary tracking service. The individual level data should have enough identifying information so that the postsecondary records can be merged to the Promise Neighborhood student case management records.

Frequency. Data should be collected annually.

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

GPRA 6. Number and percent of children who consume five or more servings of fruits and vegetables daily.

This GPRA indicator requires the collection and tracking of data measuring consumption of fruits and vegetables. Because this measure is 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 7 (school safety) and many schools implement a School Climate Survey already, the questions for GPRA 6 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 middle and high school grades is recommended over a sample of students because conducting a census is relatively straightforward to implement. The GPRA 6 questions come from the 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 following section is a detailed description of the fruits and vegetables measure.

When collecting data on student's healthy eating habits, it's important to be consistent in the timing of the survey administration. Student responses can vary significantly depending on when the survey is conducted. For example, administering a survey immediately after extended breaks like Thanksgiving or spring break, when routines may be disrupted and eating habits may temporarily change, can result in data that does not reflect typical behavior. To support the accuracy and comparability of responses over time, it is recommended to select a consistent window during a typical school week, ideally when meal programs and daily schedules are stable. This allows the survey to capture habits formed under the typical school week, offering a more valid reflection of students' everyday experiences.

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). 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 using these questions.

For a complete description of the rationale for the YRBS questions, see the 2011 documentation at [Youth Risk Behavior Survey \(YRBS\) Standard 2011 High School Questionnaire Item Rationale](#).

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, see [2011 YRBS Data User's Guide](#).

For the percent of children who consumed fruits or vegetables and average of 5 or more times per day during the past week (Equation 6):

1. Calculate for each student in each partner 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 Question 1, 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		$3 + 1 + 0 + \frac{5}{7} + \frac{2}{7} + \frac{2}{7} = 5.29$
Step 4. Does the student consume 5 or more fruits and vegetables per day?		Yes. Count the sample student in the numerator.

Equation 6. Percent of Students Who Consume Five or More Fruits and Vegetables Per Day

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

Frequency. Promise Neighborhoods should collect the information via a School Climate Survey conducted in either the fall or spring of every school year.

Data quality. Below is a brief overview of School Climate Survey quality standards. More details are provided in Chapter 7.

Strong (■)	Growing (↔)	Startup (●)
<p>Grantee conducted an annual School Climate Survey based on either the full population or a representative, probability-based sample of all students enrolled in Promise Neighborhood target middle and high schools. Appropriate steps were taken to reduce coverage, sampling, and non-response bias. The survey questionnaire used either the recommended GPRA questions from the Guidance Document or alternative questions based on best practices for question wording and validation and approved by ED and the TTA team. The survey produced reliable population-level estimates of the GPRA that can be used to track progress over time.</p>	<p>Grantee conducted a School Climate Survey based on either the full population or a representative, probability-based sample of all students enrolled in Promise Neighborhood target middle and high schools, but one or more of the following is true:</p> <ul style="list-style-type: none"> • The survey was conducted less frequently than annually, • The survey had coverage, sampling, or response bias issues, but data were still acceptable for tracking results, or • The survey did not collect data on all middle and high school grades. <p>Despite the above issues, the survey was still capable of producing reliable population-level estimates of the GPRA indicator and can be used to track progress over time, although the precision of those estimates may be less than those for a strong survey.</p>	<p>Grantee did not conduct a School Climate Survey or used a survey that was not based on either a representative, probability-based sample or the entire population or the survey used questions that differed from those in the Guidance Document and the question wording was not based on best practices. As a result, the survey was not able to produce reliable GPRA estimates for the population of students enrolled in the target middle and high schools.</p>

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 per year.

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

GPRA 7. Number and percent of students who feel safe at school and traveling to and from school, as measured by a School Climate Survey.

Definition. Perceptions of student safety at school and traveling to and from school should be asked directly of students and reported to ED for GPRA 7.

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 of 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](#).

Calculation for GPRA measure. Using the recommended Questions 1 and 2, Promise Neighborhoods should report the number and share of students 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 ED.

To calculate the percent of students who believe their school is safe for students (Equation 7.a):

1. Calculate the number of students in the partner 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 who 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 7.a. Percent of Students Who Believe their School Is Safe for Students

$$= \frac{\text{Number of students who agree or strongly agree with question 1}}{\text{Number of students with valid answers}} \times 100$$

To calculate the percent of students who feel safe traveling to and from school (Equation 7.b):

1. Calculate the number of students in the partner 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 7.b. Percent of Students Who Believe Traveling To and From School Is Safe

$$= \frac{\text{Number of students who agree or strongly agree with question 2}}{\text{Number of students with valid answers}} \times 100$$

To calculate the percent of students who believe their school is safe for students *and* who believe traveling to and from school is safe (Equation 7.c):

1. Calculate the number of students in the partner school(s) who answer either “strongly agree” or “agree” to Question 1 and the number of students from the partner 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. (Do not double count students in the total. If a student “agrees” or “strongly agrees” to both questions, then only count that student once in the numerator.)
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 7.c. Percent of Students Who Believe their School is Safe and Traveling To and From School Is Safe

$$= \frac{\text{Number of students who agree or strongly agree with questions 1 and 2}}{\text{Number of students with valid answers}} \times 100$$

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.

Data quality. Below is a brief overview of School Climate Survey quality standards. More details are provided in Chapter 7.

Strong (■)	Growing (←)	Startup (●)
<p>Grantee conducted an annual School Climate Survey based on either the full population or a representative, probability-based sample of all students enrolled in Promise Neighborhood target middle and high schools. Appropriate steps were taken to reduce coverage, sampling, and non-response bias. The survey questionnaire used either the recommended GPRA questions from the Guidance Document or alternative questions based on best practices for question wording and validation and approved by ED and the TTA team. The survey produced reliable population-level estimates of the GPRA that can be used to track progress over time.</p>	<p>Grantee conducted a School Climate Survey based on either the full population or a representative, probability-based sample of all students enrolled in Promise Neighborhood target middle and high schools, but one or more of the following is true:</p> <ul style="list-style-type: none"> ● The survey was conducted less frequently than annually, ● The survey had coverage, sampling, or response bias issues, but data were still acceptable for tracking results, or ● The survey did not collect data on all middle and high school grades. 	<p>Grantee did not conduct a School Climate Survey or used a survey that was not based on either a representative, probability-based sample or the entire population or the survey used questions that differed from those in the Guidance Document and the question wording was not based on best practices. As a result, the survey could not produce reliable GPRA estimates for the population of students enrolled in target middle and high schools.</p>

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 per year.

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

GPRA 8. Student mobility rate

Definition. The student mobility rate is defined as the number of student entries and withdrawals at target Promise Neighborhood schools, from the first day 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 partner schools, local school districts should provide Promise Neighborhoods with the number of student entries and withdrawals 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 partner schools (Equation 8):

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

Equation 8. Student Mobility Rate

$$= \frac{\text{Number of student entries and withdrawals}}{\text{Number of students in the official count}} \times 100$$

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.

Data quality.

Strong (■)	Growing (←)	Startup (●)
Grantee collected annual data from the local education agency (LEA) or state education agency (SEA) for all students enrolled in Promise Neighborhood target elementary, middle, and high schools. Data obtained and reported were consistent with the populations (grades) and indicator definitions recommended in the Guidance Document.	Grantee collected annual data from the LEA or SEA, but one or more of the following is true: <ul style="list-style-type: none"> • Data have significant omissions of students enrolled in the partner schools, • Data are not obtained and reported for all the grades specified in the Guidance Document, or Indicator definitions do not conform with Guidance Document recommendations	Grantee is not collecting annual data from the LEA or SEA, or data collection is very minimal or inconsistent.

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 9. Families and community members support learning in Promise Neighborhood Schools

This indicator is discussed in two sections:

9.1 Number and percentage of parents or family members that read to or encourage their children to read three or more times a week or reported their child read to themselves three or more times a week (birth–8th grade).

9.2 Number and percentage of parents/family members who report talking about the importance of college and career (9th–12th grade). This is because the data is collected from two populations of students, by age and grade level.

GPRA 9.1: Number and percentage of parents or family members that read to or encourage their children to read three or more times a week (birth to five-years-old) or reported their child read to themselves three or more times a week (Kindergarten–8th grade).

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 (a) parents or family members read to their children at least three times a week, or whether parents encourage their children to read or (b) parents or family members report that they child read to themselves three or more times a week.

Data source. Promise Neighborhoods should implement a probability-based Neighborhood Survey 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 from birth to 8th grade for whom the parent is responsible or at least one child in the household 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 family members responsible for children from birth through five-years-old:

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?

The Neighborhood Survey should include the following question for parents and family members responsible for children from Kindergarten through 8th grade:

Q2. In the past week, how often did (CHILD) read to (himself/herself) outside of school?

Would you say not at all, once or twice, 3-6 times, or every day?

Results from these two survey questions are to be summarized separately in annual reporting to ED (see Calculation of GPRA Indicator, below, for details).

Promise Neighborhoods should also consider collecting other information that also relates to whether parents and families support 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](#).

Promise Neighborhoods may also consider adding questions to the School Climate Survey to ask middle and high school students directly about their reading habits.

Target population. The target population is adult parents of children from birth through 8th grade who live in the Promise Neighborhood. If a parent is not available, the survey questions should be asked of the child’s guardian or primary caregiver.

Calculation of GPRA indicator. To determine whether parents or family members support children reading outside of school, they must read to the child three times in a typical week (birth to five-years-old) or their child must read to herself/himself in the past week (Kindergarten to 8th grade). These measures should be calculated separately and as a combined measure (Equation 9.1.a).

1. Calculate the number of survey respondents who said the parent or family members read to the reference child “3-6 times” or “every day” in a typical week for Question 1.
2. Calculate the number of survey respondents 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 9.1.a. Percent of Parents/Family Members Who Read to Children at Least Three Times Per Week

$$= \frac{\text{Number of respondents saying parents or family members read to children birth to 5 years old “3–6 times” or “every day”}}{\text{Number of parents of children birth to 5 years old with valid answers}} \times 100$$

Since the Neighborhood Survey is based only on a sample of households and children, to calculate the number of parents of children who are read to three or more times per week, survey responses need to be weighted up to represent the whole target population for the Promise Neighborhood (Equation 9.1.b):

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 9.1.a by the number obtained in 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.

This calculation can be useful for Promise Neighborhoods when they are evaluating the scale of their solutions for this GPRA against the size of the relevant population.

Equation 9.1.b. Number of Parents/Family Members Who Read to Children at Least Three Times Per Week

$$= \frac{\text{Number of respondents saying parents or family members read to children birth to 5 years old "3-6 times" or "every day"}}{\text{Number of parents of children birth to 5 years old with valid answers}} \times \text{Number of children birth to 5 years old living in PN footprint}$$

For the percent of parents who report that they encourage reading outside of school (Equation 9.1.c):

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 9.1.c. Percent of Parents Who Encourage Children to Read

$$= \frac{\text{Number of parents who meet the criteria for supporting reading}}{\text{Number of parents of students up to 8th grade with valid answers}} \times 100$$

To calculate the number of children in grades K-8 who read outside of school, survey responses need to be weighted up to represent the whole target population for the Promise Neighborhood (Equation 9.1.d):

1. Calculate the number of children in 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 children grades K-8 living in the footprint (step 1). This is the estimate of the number of children grades K-8 who support reading outside of school.

Equation 9.1.d. Number of Parents Who Encourage Children to Read

$$= \frac{\text{Number of parents who meet the criteria for supporting reading}}{\text{Number of parents of students up to 8th grade with valid answers}} \times \text{Number of students K–8th grade living in PN footprint}$$

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.

Data quality. A brief overview of Neighborhood Survey quality standards is provided below. More details are provided in Chapter 7.

Strong (■)	Growing (←)	Startup (●)
<p>The Neighborhood Survey should be capable of producing reliable population-level estimates of the GPRA for the appropriate populations that can be used to track progress over time. To meet this requirement, the grantee should be conducting a biennial Neighborhood Survey based on a representative, probability-based sample of the appropriate populations (ex, parents of children 0 to 5 years old) living in the Promise Neighborhood footprint. The survey’s procedures, response rate, and other quality metrics (as applicable) indicated that coverage, sampling, and response bias were minimized. The survey instrument should use the recommended GPRA questions from the Guidance Document. Variations in recommended question wording may be allowed if approved by ED and the TTA team and the replacement questions are based on best practices for question wording.</p>	<p>Grantee conducted a Neighborhood Survey that is based on a representative, probability-based sample of the population living in the Promise Neighborhood footprint, but one or more of the following is true: the survey is conducted less frequently than biennially, the response rate for the survey or other quality metrics (as appropriate) indicate a higher level of estimation error but this error is still within an acceptable range, or the survey does not collect data on the appropriate populations. Despite the above issues, the survey should still be capable of producing reliable population-level estimates of the GPRA indicator that can be used to track progress over time, although the precision of those estimates may be in doubt</p>	<p>Grantee uses a survey that is not based on a representative, probability-based sample of the population (such as a convenience sample) or a probability-based sample that has a low response rate or other quality metrics (as appropriate) that indicate a high level of estimation error that is outside of an acceptable range, or the survey uses questions that differ from those in the Guidance Document and the question wording is not based on best practices. As a result, the survey is not able to produce reliable GPRA estimates for the population.</p>

Performance Measures in the Case Management Data System

Understanding whether children enrolled in the Promise Neighborhood are read to frequently, and whether parents support their children’s reading, 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 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 question from the Early Childhood Longitudinal Study (ECLS) survey to determine whether parents read to their children or if the child reads to her/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. 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 per year.

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

GPRA 9.2. 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 the Neighborhood Survey. 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 or family members discuss the importance of college and career with their high school children.

Data source. Promise Neighborhoods should implement a Neighborhood Survey using a modified question 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?

Response options: Never, sometimes, often

- a. Selecting courses or programs at school
- b. Plans and preparation for college entrance or military enlistment 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](#) and the [Institute for Higher Education Policy's survey of middle school parents for the Kids to College \(K2C\) program](#).

Promise Neighborhoods may also consider adding questions to the School Climate Survey to ask high school students directly about whether their parents or other family members have discussed the importance of college and career with them.

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 (Equation 9.2.a):

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 9.2.a. Percent of Parents Who Talk to Children about College

$$= \frac{\text{Parents of 9}^{\text{th}}\text{--}12^{\text{th}} \text{ graders who answered "often" or "sometimes" to question 1c}}{\text{Parents of 9}^{\text{th}}\text{--}12^{\text{th}} \text{ graders with valid answers}} \times 100$$

For number and percent of parents who talk to their high school age child about their careers (Equation 9.2.b):

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 9.2.b. Percent of Parents Who Talk to Children About Their Careers

$$= \frac{\text{Parents of 9}^{\text{th}}\text{--}12^{\text{th}} \text{ graders who answered "often" or "sometimes" to question 1d}}{\text{Parents of 9}^{\text{th}}\text{--}12^{\text{th}} \text{ graders with valid answers}} \times 100$$

For number and percent of parents who talk to their high school age child about college *and* career (Equation 9.2.c):

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. (Do not double count parents in the total. If a parent answers “often” or “sometimes” to both questions, then only count that parent once in 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 9.2.c. Percent of Parents Who Talk to Children About College and Career

$$= \frac{\text{Parents of 9}^{\text{th}}\text{--}12^{\text{th}} \text{ graders who answered "often" or "sometimes" to question 1c and "often" or "sometimes" to question 1d}}{\text{Parents of 9}^{\text{th}}\text{--}12^{\text{th}} \text{ graders with valid answers}} \times 100$$

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.

Data quality. A brief overview of Neighborhood Survey quality standards is provided below. More details are provided in Chapter 7.

Strong (■)	Growing (↔)	Startup (●)
<p>The Neighborhood Survey should be capable of producing reliable population-level estimates of the GPRA for the appropriate populations that can be used to track progress over time. To meet this requirement, the grantee should be conducting a biennial Neighborhood Survey based on a representative, probability-based sample of the appropriate populations (ex, parents of children 0 to 5 years old) living in the Promise Neighborhood footprint. The survey’s procedures, response rate, and other quality metrics (as applicable) indicated that coverage, sampling, and response bias were minimized. The survey instrument should use the recommended GPRA questions from the Guidance Document. Variations in recommended question wording may be allowed if approved by ED and the TTA team and the replacement questions are based on best practices for question wording.</p>	<p>Grantee conducted a Neighborhood Survey that is based on a representative, probability-based sample of the population living in the Promise Neighborhood footprint, but one or more of the following is true: the survey is conducted less frequently than biennially, the response rate for the survey or other quality metrics (as appropriate) indicate a higher level of estimation error but this error is still within an acceptable range, or the survey does not collect data on the appropriate populations. Despite the above issues, the survey should still be capable of producing reliable population-level estimates of the GPRA indicator that can be used to track progress over time, although the precision of those estimates may be in doubt.</p>	<p>Grantee uses a survey that is not based on a representative, probability-based sample of the population (such as a convenience sample) or a probability-based sample that has a low response rate or other quality metrics (as appropriate) that indicate a high level of estimation error that is outside of an acceptable range, or the survey uses questions that differ from those in the Guidance Document and the question wording is not based on best practices. As a result, the survey cannot produce reliable GPRA estimates for the population.</p>

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 each year.

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

GPRA 10. Number and percent of students who have school and home 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 may access the internet through various computing devices (e.g., desktop computers, laptop computers, tablets, and smartphones), at home or school, either through direct Wi-Fi access, mobile data, or shared connections. For the purposes of this GPRA indicator, students are considered to have adequate access if they:

- Have reliable internet access at home and school, and
- Have access to a device suitable for completing schoolwork (e.g., not just a smartphone).

Note: The third edition updated guidance for this indicator to better reflect digital access concerns. The revised questions represent a shift from the original GPRA 10 questions, which counted access through any internet capable device, including those not designed for schoolwork (e.g., video gaming systems, digital handheld music players). The revised questions focus on devices that are sufficient for completing school assignments, such as laptops, desktops, and tablets. Grantees with existing longitudinal tracking using the original set of questions may continue using them to preserve consistency over time. New grantees or those starting to collect this data should use the updated guidance to better reflect student needs in the current learning environment.

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 the Forum Guide to Digital Equity developed by the National Forum on Education Statistics. The guide provides sample digital equity questions for collecting high-quality data about students' access to technology and the internet. You can learn more or access the [full guide](#) at the National Center for Education Statistics.

While some school districts have policies in place that guarantee a device and internet access, grantees should not assume that all students consistently experience access in practice. While policies may establish expectations, actual implementation can vary across schools, classrooms and student groups. For example, some students may have access to a device in theory but may face other issues such as sharing devices with others, using equipment that is outdated or malfunctioning, or other restrictions. Similarly, internet access may exist but be unstable, slow, or inconsistently available, particularly in schools with older infrastructure or in rural areas. Collecting this information directly from students provides a more accurate reflection of their lived experiences, helping grantees to better understand whether the intent of access is being met in practice and whether students have the tools they need to successfully complete schoolwork both at home and school.

The next questions are about how you connect to the internet and do school work at home and school.

Q1. Do you have access to the internet at home?

- a. Yes, all the time
- b. Yes, but it sometimes doesn't work or is too slow
- c. No, I don't have internet at home

Q2. Do you have your own device (e.g., laptop, tablet or desktop computer) to do schoolwork from home?

- a. Yes
- b. I share a device with others in my home
- c. No, I don't have a device at home
- d. I only use my phone

- e. I don't do schoolwork at home

Recommended additional question:

Can you do school activities online at home (like watching videos, joining video calls, uploading assignments) without the internet cutting out or being too slow?

- a. Yes, it works well most of the time
- b. Sometimes, but not always
- c. No, it's often too slow
- d. I don't do schoolwork at home

Q3. Do you have access to the internet at school?

- a. Yes, all the time
- b. Yes, but it sometimes doesn't work or is too slow
- c. No, I don't have internet at school

Q4. Does your school or district provide a device (e.g., laptop, tablet or desktop computer) for you to use during the school day?

- a. Yes
- b. No

Recommended additional question:

Can you do school activities online at school (like watching videos, joining video calls, uploading assignments) without the internet cutting out or being too slow?

- a. *Yes, it works well most of the time*
- b. *Sometimes, but not always*
- c. *No, it's often too slow*

Calculation for GPRA indicator. Promise Neighborhoods must calculate the number and share of students for four separate categories: (1) those who have access to the internet only at home, (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 (Equation 10.a):

1. Calculate the number of students who answered a. or b. to Question 1 AND a. or b. to Question 2 AND have responded they do not have any access to the internet or a device at school in Questions 3 or 4. This is the numerator.
2. Calculate the number of students who gave valid answers to Questions 1-4. (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 students with access to the internet only at home.

Equation 10.a. Percent of Students with Access to the Internet Only at Home

$$= \frac{\text{Number of students who responded a. or b. to questions 1 and 2 AND responded that they do not have any access to the internet or a device at school in questions 3 and 4}}{\text{Number of students who gave valid answers to questions 1-4}} \times 100$$

For the percent of students who have access to the internet only at school (Equation 10.b):

1. Calculate the number of students who answered a. or b. to Question 3 AND a. or b. to Question 4 AND have responded they do not have any access to the internet or a device at home in Questions 1 or 2. This is the numerator.
2. Calculate the number of students who gave valid answers to Questions 1-4. (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 students with access to the internet only at school.

Equation 10.b. Percent of Students with Access to the Internet Only at School

$$= \frac{\text{Number of students who responded a. or b. to question 3 and a. to question 4 AND responded that they do not have any access to the internet or a device at home in questions 1 and 2}}{\text{Number of students who gave valid answers to questions 1-4}} \times 100$$

For the percent of students who have access to the internet both at home *and* at school (Equation 10.c).

1. Calculate the number of students who answered a. or b. to Questions 1-3 AND answered a. to Question 4. This is the numerator.
2. Calculate the number of students who gave valid answers to Questions 1-4. (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 students with access to the internet both at home and at school.

Equation 10.c. Percent of Students with Access to the Internet Both at Home and School

$$= \frac{\text{Number of students who responded a. or b. to questions 1-3 and a. to question 4}}{\text{Number of students who gave valid answers to questions 1-4}} \times 100$$

For the percent of students who do not have access to the internet at home or school (Equation 10.d):

1. Calculate the number of students who answered c. to Question 1 or answered c., d., or e. to Question 2, AND answered c. to Question 3 or b. to Question 4. 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 10.d. Percent of Students without Access to the Internet at Home or School

$$= \frac{\begin{array}{c} \text{Number of students who answered c. to question 1 or answered c., d., or e. to} \\ \text{question 2} \\ \text{AND answered c. to question 3 or b. to question 4} \end{array}}{\text{Number of students who gave valid answers to questions 1–4}} \times 100$$

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.

Data quality. Below is a brief overview of School Climate Survey quality standards. More details are provided in Chapter 7.

Strong (■)	Growing (◀)	Startup (●)
<p>Grantee conducted an annual School Climate Survey based on either the full population or a representative, probability-based sample of all students enrolled in Promise Neighborhood target middle and high schools. Appropriate steps were taken to reduce coverage, sampling, and non-response bias. The survey questionnaire used either the recommended GPRA questions from the Guidance Document or alternative questions based on best practices for question wording and validation and approved by ED and the TTA team. The survey produced reliable population-level estimates of the GPRA that can be used to track progress over time.</p>	<p>Grantee conducted a School Climate Survey based on either the full population or a representative, probability-based sample of all students enrolled in Promise Neighborhood target middle and high schools, but one or more of the following is true:</p> <ul style="list-style-type: none"> • The survey was conducted less frequently than annually, • The survey had coverage, sampling, or response bias issues, but data were still acceptable for tracking results, or • The survey did not collect data on all middle and high school grades. <p>Despite the above issues, the survey was still deemed capable of producing reliable population-level estimates of the GPRA indicator that can be used to track progress over time, although the precision of those estimates may be less than those for a strong survey.</p>	<p>Grantee did not conduct a School Climate Survey or used a survey that was not based on either a representative, probability-based sample or the entire population or the survey used questions that differed from those in the Guidance Document and the question wording was not based on best practices. As a result, the survey was not able to produce reliable GPRA estimates for the population of students enrolled in target middle and high schools.</p>

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 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 performance measure (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. To support strong data infrastructure, Promise Neighborhoods should complete the “Building a Longitudinal Data System” section of the Data Plan. This section supports Promise Neighborhoods in assessing current data sources, identify gaps, and plan for a phased integration of individual-level and programmatic data across time.

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.

In addition, collecting individual-level GPRA data will improve a grantee’s ability to demonstrate substantive progress toward Promise Neighborhoods results during their grant. As discussed in Chapter 2, Promise Neighborhoods should be mindful of both population and performance (program) accountability. While population-level results may take years to emerge, program-level results can be achieved more quickly. By having individual-level data that can be used to track progress for populations directly served by Promise Neighborhood solutions, grantees can better demonstrate how their program-level efforts will eventually lead to population-level results.

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

- **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.
- **Performance measure data**, which allows Promise Neighborhoods to assess how well individual programs or strategies are working. Performance measure data supports Promise Neighborhoods to understand whether their funded strategies are delivering results for the individuals and families they serve. Promise Neighborhoods are encouraged to track data on three types of performance measures:
 - **How much did we do? (Quantity)**
 - **How well did we do it? (Quality)**
 - **Is anyone better off? (Impact)**

For example, quantity performance data could track the number of students served or the hours of intervention provided. Quality performance data could include tracking the frequency that children and families participate in programs and what types of programs they use. Other examples of quantity and quality performance measures 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). Quantity and quality performance data will most often be collected at the point of service to capture the details of the types of activities and services received, dates of enrollment, participation, and termination. **Impact performance measures** track 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.)

Demographic, socio-economic, and performance 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 services to eligible participants.

An example of a case management system is the “Promise Neighborhoods Restricted-Use Data Files: Technical Specification and Requirements.” Restricted-use data files are no longer required for Promise Neighborhoods, but this resource provides an example of a case management data system including data elements.

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.

Definition

Performance measure data—Data that tracks the results of specific programs or strategies. These measures answer three key questions – how much did we do? How well did we do it? Is anyone better off? They can track individual participation in and interaction with programs, activities, and initiatives, including frequency of participation, along with changes in people’s knowledge, behavior, health, emotions, attitudes, social conditions or relationships expected to result from a program activity or intervention.

A Centralized Enrollment Process

The recommended intake process for Promise Neighborhoods is centralized enrollment. In a centralized enrollment process, Promise Neighborhood staff would actively enroll 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. 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 data (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

Centralized Enrollment

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

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 partner 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 partner 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 partner school.
- **Priority 3:** Families of students identified in directory information who do not live in the Promise Neighborhood, but attend a partner 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.

Unique Case Identifier

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.

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 partner 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

Promise Neighborhoods using the centralized enrollment process 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

Centralized Intake Decision Point

A key decision point for whether 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.

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 information. This could include a standard procedure for conducting intake for all students in the Promise Neighborhood partner schools near the beginning of the initiative and when new students enroll in the schools. A key factor for whether 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 deterred by too much paperwork. In some cases, this method could 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.

Core Data Categories for Case Management

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,
3. performance measures, and
4. outcomes.

Individual-level Data in the Case Management System

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 performance measures.

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 points 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	
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	At intake/enrollment; update annually.	

#	Data element	Response options	Frequency	Notes/Other
		Dropped out Post high school (vocational, community college, college)		
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.
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 and Household Structure Guidelines

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.

Family Roster

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 one or more 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

Performance Measure Data**Essential Participation Data Fields**

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 performance measure data fields listed below.

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

Performance measure 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 performance measure 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 Performance Measure 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 select 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 the expected level of participation (item 7). This information helps 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 a wide variety of participation levels across programs and Promise Neighborhood. For some service or activities (e.g., drop-in programs, pick-up sports programs, or transportation services) defining an expected level of participation 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 performance measure 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

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		
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.

For more information on aligning case management cycles with performance management cycles and how program and performance managers can use case management data to assess results across population and performance accountability levels, see [Continually Improving Promise Neighborhoods: The Role of Case Management Data](#).

GPRA Indicators in the Case Management System

As discussed in Chapter 4, virtually all the GPRA indicators will rely on summary school-level data, Neighborhood Surveys, and School Climate Surveys as their data source.

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 partner 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.

Resources

[Continually Improving Promise Neighborhoods: The Role of Case Management Data](#) provides more information on aligning case management cycles with performance management cycles and how program and performance managers can use case management data to assess results across population and performance accountability levels.

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.

Consent and Data Security Requirements

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

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 selected program performance measures, project indicators, and performance measures for programs and services used by children or families in the Promise Neighborhood.

discusses issues related to collecting, storing, personally identifiable information by Neighborhoods. This includes electronic who are enrolled in Promise Neighborhood Promise Neighborhood partner schools (or records on these children’s family members, 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 using, and disclosing Promise records for children programs or attend both), and includes such as parents or

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. It also includes 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. Promise Neighborhoods should document their informed consent process in the “Obtaining Informed Consent” section of their Data Plan.

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 performance measures. 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.

Institutional Review Board (IRB) Approval

If Promise Neighborhoods or their partners collect research or evaluation data involving human subjects, they may require IRB approval. [Under Department of Education regulations](#), all Promise Neighborhoods grantees are required to obtain approval from an IRB for all covered research activities before the research takes place. The Data Plan includes a list of research activities conducted by Promise Neighborhoods that should be considered in the IRB approval process. Promise Neighborhoods should document their approach to IRB review in the “Obtaining IRB Approval” section of their Data Plan. For detailed guidance on IRB approval, including potential partners for IRB, review process and timeline, see Promise Neighborhood Technical Assistance on Institutional Review Board (IRB) Approval in Appendix 6.1.

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 specific 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 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.

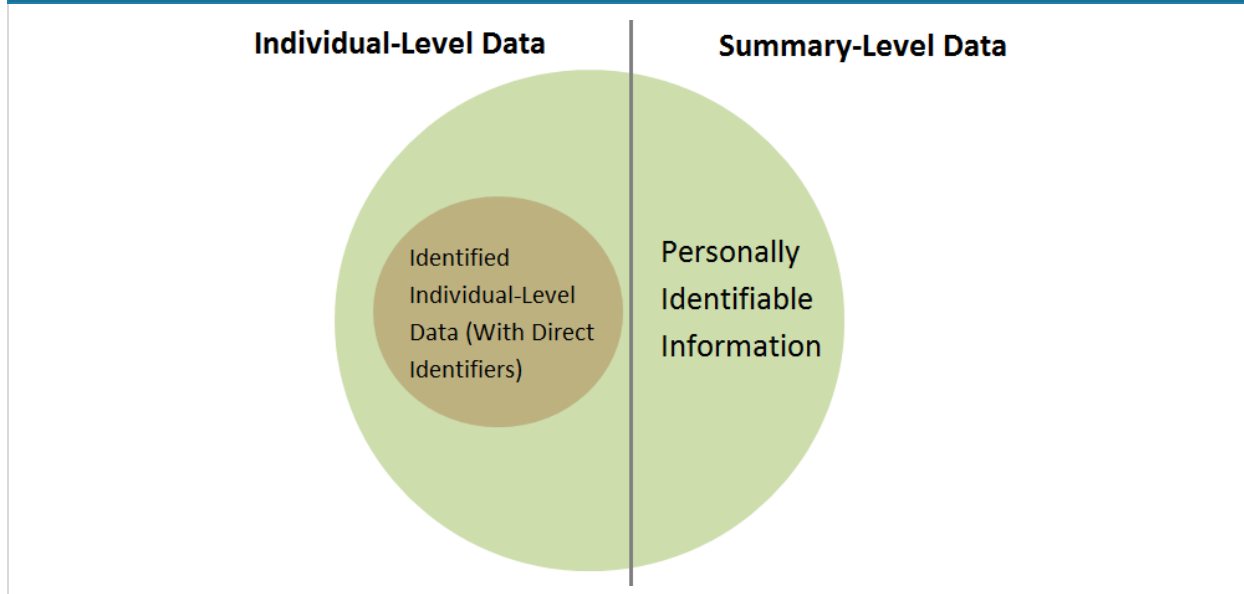
Definitions

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. Level and Identifiability of 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 performance 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 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

Definitions

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.

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.

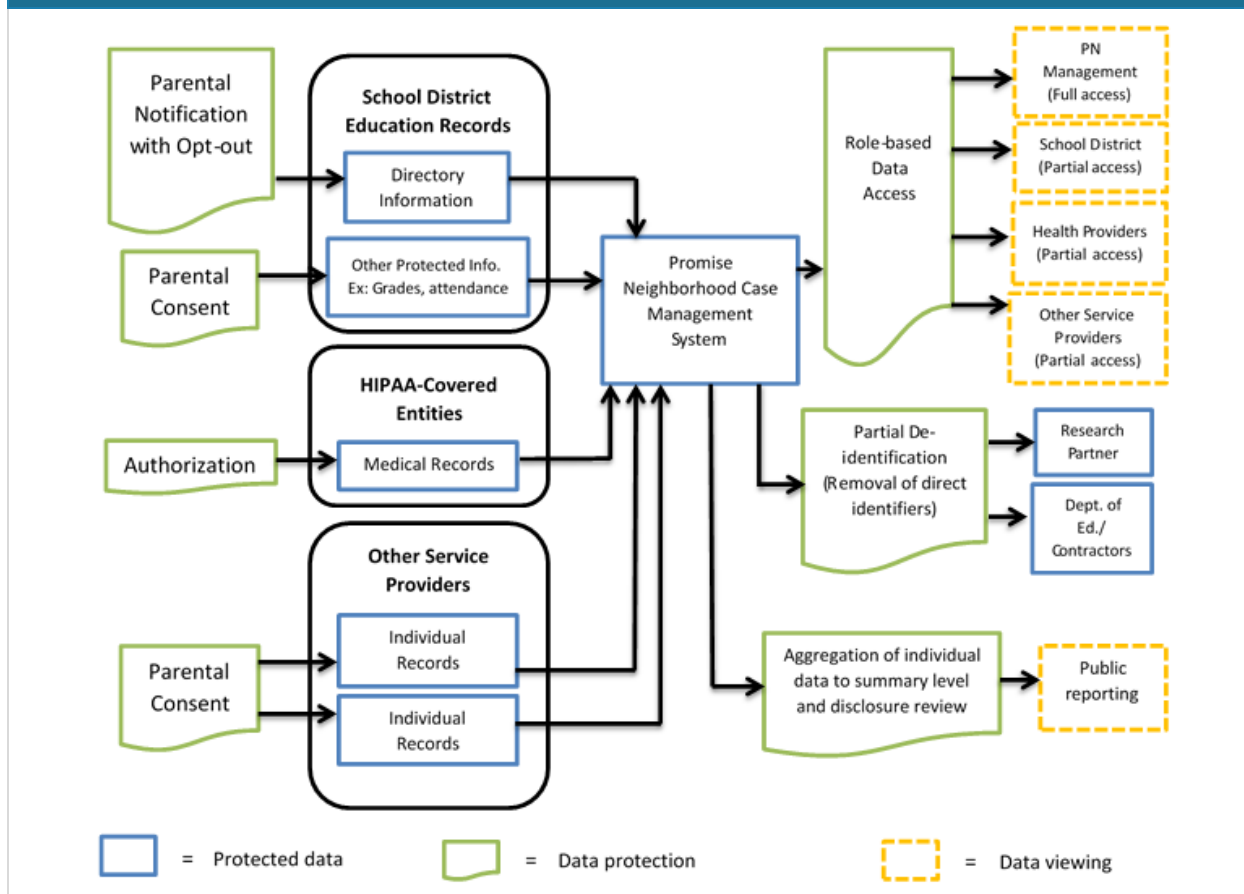
Promise Neighborhoods will need to collect an extensive set of information on children and adults to be able to track program activities and report results. As discussed in the previous chapter on data systems, some of these data will include identified individual-level data and other personally identifiable 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 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 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.

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.

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 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 6.2.

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 2. Number and percent of students at or above grade level according to State mathematics and English language arts assessments.
- GPRA 3. Attendance rate of students in 6th, 7th, 8th, and 9th grade.
- GPRA 4. Youth graduate from high school (four-year adjusted cohort graduation rate).
- GPRA 8. Student mobility rate (as defined in the notice).

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) about the intent to disclose this information. A model notice is provided in Appendix 6.3 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 6.3 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 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 partner 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 performance measures, 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 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.

Disclosure Review Prior to Data Release

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

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 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 an 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.

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 ([Statistical Methods for Protecting Personally Identifiable Information in Aggregate Reporting](#)).

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. Obtaining written consent/authorization whenever personally identifiable information will be shared is best practice; it 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 Appendix 6.4 and Appendix 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 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.

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.

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 because 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, 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. <https://www.hipaasecurenow.com/what-is-a-hipaa-entity/>

HIPAA Authorization Form Requirements

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

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 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 those 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 the students who live in the Promise Neighborhood) if 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 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.

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

Data Sharing Agreements vs. Individual Consent

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.

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 reflect 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, based on the Believe 2 Become master data sharing agreement, is included as Appendix 6.6.

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 aggregated summary-level data to the U.S. Department of Education and its contractors for required Promise Neighborhood reporting.
8. **Resources and costs of data sharing and data management**—If necessary, the agreement can stipulate that 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 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 partner 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 GRPS, and convinced GRPS 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: Seeking Student-level Evidence to Support a Collaborative Community Effort in Education](#) 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 locations, or other locations barred from access to 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	<ul style="list-style-type: none"> Data access Data security Management of student records from all sources
	Software Provider	Limited PII, view and edit	<ul style="list-style-type: none"> Case management system implementation and maintenance
School District	Administrator	Student records, including PII, some restrictions on health and survey data, view only	<ul style="list-style-type: none"> Implementation of school programs
	Teacher	Limited PII, restrictions on student records, health and survey data, view only	<ul style="list-style-type: none"> Academic instruction
	Database Manager	Student records, including PII, some restrictions on health and survey data, view and edit	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> Program implementation Reporting
Public Reporting		Aggregated summary data only	<ul style="list-style-type: none"> 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. Promise Neighborhood organizations 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 6.7. 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 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 [Data Governance Checklist](#). 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 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 data security training and sign a confidentiality statement. A copy of the staff confidentiality statement should be included as part of the master data sharing agreement. A sample staff confidentiality statement is provided in Appendix 6.8.

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](#)

Summary of [Health Insurance Portability and Accountability Act \(HIPAA\) Privacy Rule](#)

Where can I find information about HIPAA, health information privacy or security rules?

<https://www.hhs.gov/hipaa/for-professionals/faq/index.html>HIPAA

[HIPAA FAQ for Professionals](#)

[Protecting Personal Health Information in Research: Understanding the HIPAA Privacy Rule](#)

[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](#)

Data Sharing Agreements

Sample data sharing agreements—[NNIP's Collection of Data-Sharing Agreements](#) *Developing a Master Data Sharing Agreement: Seeking Student-level Evidence to Support a Collaborative Community Effort in Education* <https://scholarworks.gvsu.edu/tfr/vol3/iss4/3/>

[Privacy Technical Assistance Center Data Sharing Agreement Checklist](#)

[Developing a Master Data Sharing Agreement: Seeking Student-level Evidence to Support a Collaborative Community Effort in Education](#)

Data Security and Governance

[Privacy Technical Assistance Center Data Security Checklist](#)

[Privacy Technical Assistance Center Data Governance Checklist e](#)

[National Center for Education Statistics technical brief on statistical methods for protecting personally identifiable information in aggregate reporting](#)

Chapter 7: Neighborhood and School Climate Surveys

This Chapter

- Provides an overview of survey data collection and recommendations for selecting and working with a 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.

Definition

Neighborhood Survey—A survey conducted to be representative of a population living in a 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 9.1. Number and percentage of parents or family members that read to or encourage their children to read three or more times a week (birth to 5 years old) or reported their child read to themselves three or more times a week (K-8th grade).
- GPRA 9.2. Number and percentage of parents or family members who report talking about the importance of college and career (9th-12th grade).

School Climate Survey (conducted annually)

- GPRA 6. Number and percentage of children who consume five or more servings of fruits and vegetables daily.
- GPRA 7. Number and percent of students who feel safe at school and traveling to and from school, as measured by a School Climate Survey.
- GPRA 10. Number and percentage of students who have school and home access to broadband internet and a connected computing device.

Neighborhood Survey for Measuring Community Change

Promise Neighborhoods should conduct a quality Neighborhood Survey to a representative sample of residents every other year with the goal of producing data that can reliably measure community change.

Definition

School Climate Survey—A survey of middle and high school 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.

Promise Neighborhoods should consider how the Neighborhood and School Climate Surveys can be valuable tools for collecting information and creating opportunities for deeper community engagement. In addition to data on required GPRA indicators, it is likely that Promise Neighborhoods will want to collect other information that may be specific to the needs and goals of the communities that they are serving. Several Promise Neighborhoods grantees have found that the surveys can be great ways to engage with their community, such as involving people directly in the planning and design of the surveys, fielding surveys, and interpreting and disseminating findings. Urban Institute's [Community-Engaged](#)

[Surveys](#) toolkit describes how Promise Neighborhoods and others can include community-engaged methods in their surveys.

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. Nevertheless, to run a successful survey 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.

Annual School Climate Survey

Promise Neighborhoods and their partner middle and high schools should conduct an annual self-administered School Climate Survey.

In addition to this chapter, Promise Neighborhoods should review the information in [Preparing and Fielding High-Quality Surveys: Practical Strategies for Successfully Implementing Neighborhood and School Climate Surveys in Promise Neighborhoods](#), which expands on lessons learned from the experiences of Promise Neighborhood implementation grantees and provides practical guidance on how to prepare and manage high-quality neighborhood and school surveys.

Promise Neighborhoods are expected to develop a thoughtful plan for administering both neighborhood and School Climate Surveys. This planning should be documented in the “Conducting Neighborhood and School Climate Surveys” section of the Data Plan. In that section, Promise Neighborhoods should outline the target population and sample size, the instruments to be used, the survey administration timeline, plans for supporting participation, and how the data will be stored and used. Completing this section of the Data Plan supports data quality, helps Promise Neighborhoods meet response rate targets, and provides continuity across data collection years.

Additionally, surveys, particularly those collecting information from children or families, may require Institutional Review Board (IRB) approval. Promise Neighborhoods should consult with an IRB early in the planning process to determine whether their survey meets the threshold of human subjects research. Promise Neighborhoods should use the “Obtaining IRB Approval” section of the Data Plan to document their plan to collect survey data on neighborhood residents and students. In addition, the American Association of Public Opinion Research ([AAPOR web site](#)) discusses various issues related to surveys and IRBs.

Review of Promise Neighborhoods’ Survey Experience

When this Guidance Document was first written in 2012, we did not have experience with grantees conducting surveys to collect data for Promise Neighborhoods reporting. Since 2012, 39 Promise Neighborhoods grantees have conducted dozens of surveys, with varying degrees of success. In addition, during this time the field of survey research has continued to evolve, responding to new challenges (including difficulties getting good response rates) and opportunities (such as web-based technologies that make surveys more convenient for respondents). The updated guidance in this new edition of the Guidance Document reflects the experience and learnings of the past 13 years.

For the Neighborhood Survey, the original guidance directed grantees to survey based on a probability sample⁸ of eligible households living in the Promise Neighborhood footprint. While some grantees were able to do this

⁸ The original guidance document used the term “random sample” to describe selecting households or individuals for a survey sample based on a random process. In this edition, we use “probability sample” to refer this idea, and to contrast with a “non-probability sample,” which uses

successfully, others found it challenging, sometimes prohibitively. For instance, some grantees were not able to obtain lists of addresses that would be useful for drawing survey samples of their neighborhood. Others found it difficult to find people at homes for door-to-door surveys or they might not be able to access housing in gated apartment buildings.

Many grantees who had difficulty with address-based sampling would turn to other types of samples instead, including convenience samples that might not be representative of the desired populations. For example, some grantees administered the Neighborhood Survey using lists of households attending the partner schools. The survey might be delivered to these families by mail or email or sent home with school children to give to their parents.

While this could be an effective way to reach many households with children, using school-based lists of families as the Neighborhood Survey sample might miss some families with children living in the Promise Neighborhood. The Neighborhood Survey sample should represent all families living in the Promise Neighborhood footprint with children from birth to 5 years old, as well as those with students in kindergarten through grade 12. Families with older children enrolled in a partner school might also have pre-school age children, and therefore these children would be included in the survey population. But households without any children enrolled in the partner schools would be omitted from the sample. Furthermore, if the sample is based on partner school enrollment only, families living in the Promise Neighborhood footprint with children attending schools other than the partner schools would also be missed. Therefore, as is discussed later in this chapter, grantees need to assess the extent to which any sample is representative of the intended population.

Another common challenge was obtaining sufficiently high response rates for the surveys—Neighborhood Surveys, in particular. The original Guidance Document set a goal of an 80 percent response rate for Promise Neighborhood surveys, but very few grantees have been able to achieve this. Later, the Training and Technical Assistance team lowered the response rate threshold for a “strong” Neighborhood Survey to 60 percent, but even this was difficult for many grantees to achieve. Furthermore, some types of surveys, such as mail or telephone surveys, have lower response rates than other types of surveys, which made the 80 or 60 percent standard less feasible for grantees.

Both the sampling and response rate challenges could lead to the final set of survey respondents not being representative of the intended populations. For survey data to be reliable, the respondents must represent the appropriate populations and not be biased in some way. And grantees must be able to carry out their surveys in a consistent way so that the data can be used to track progress reliably.

School Climate Surveys were usually easier for Promise Neighborhoods to undertake but could have their own unique challenges. While sampling and getting good response rates were less likely to be a problem, grantees did have to depend on cooperation from schools and school staff for these surveys. Concerns about student privacy have also presented challenges. The Kentucky legislature, for instance, [recently considered passing a law](#) that would require active parental consent before any data can be collected from a child through a school survey. Active consent procedures, where parents sign and return consent forms giving permission for children to participate in research has become a more common practice. Because of these types of restrictions, it may be better for Promise Neighborhoods to rely on existing School Climate Surveys, where feasible, rather than conducting school surveys of their own.

Additional survey challenges included grantees not using the recommended survey questions from this Guidance Document and mixed experiences working with survey firms. Grantees did not always use the survey questions provided in this Guidance Document for collecting data for the GPRAs. Sometimes this was by choice (particularly for the Neighborhood Survey) and other times by necessity (such as if the grantee had to rely on an existing School Climate Survey and could not change the questions). Some grantees had concerns about specific questions not being relevant to their community. For example, some grantees expressed concerns over the question wording for

other methods to select survey respondents. The probability sample description better aligns with more recent literature on survey sampling methods.

GPRA 6 because of differences in dietary expectations and types of fruits and vegetables available or typically consumed. And while many grantees found survey firms to work with, some found it difficult to find a firm that could deliver the quality surveys and interactions of surveys that they needed.

Conducting Quality Surveys

Many of the challenges described above are not specific to Promise Neighborhoods but have been experienced in the survey field more broadly. The [AAPOR Cell Phone Task Force Report](#) noted a continuing decline in response rates for landline telephone surveys and persistently low cell phone response rates. [ReadExResearch](#) says a good response rate for a mail survey is 30 to 40 percent but achieving that requires persistent effort and repeat mailings. In reviewing the survey literature, Luiten et al. concluded that, “In the US response rates have been declining over the years for a variety of surveys,” noting that both inability to contact survey respondents and refusals to participate contributed to this trend.⁹

The idea of a “quality survey” has also evolved to include other factors besides the response rate. [AAPOR’s overview of response rates](#) notes that studies comparing surveys have not always found a positive relationship between lower survey bias and higher response rates. In fact, “the least bias has turned out, in some cases, to come from surveys with less-than-optimal response rates.” For this reason, AAPOR advises that survey reports should include other measures of quality along with response rates.

To produce high-quality surveys capable of producing data that can be used to track community change, Promise Neighborhoods need to watch for and address several factors that could lower survey quality and reliability and introduce bias. Exhibit 7.1, below, from the National Bureau of Economic Research’s *How to Run a Survey* guide, identifies three potential sources of error that can lead to biases in survey data and cause to be not representative of the intended population.

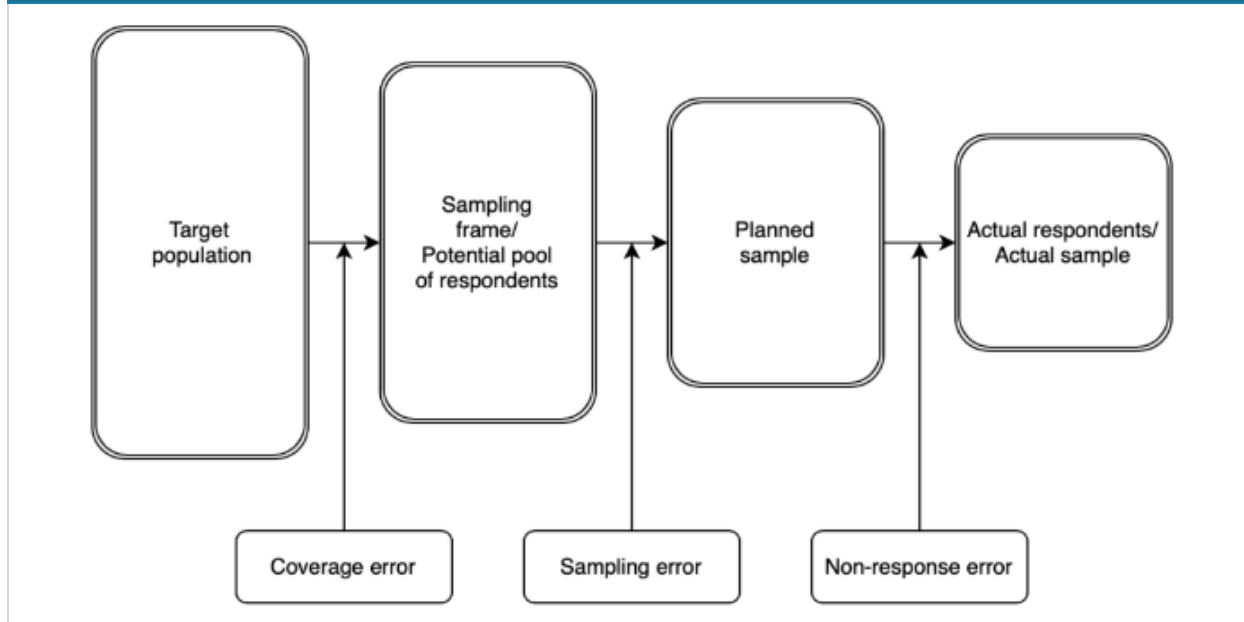
Coverage errors are differences between the target population and those who are included in the survey sampling frame. For instance, as discussed earlier, if a Promise Neighborhood uses as its sampling frame a list of families that underrepresents those with children 0 to 5 years old, that is a source of coverage error that could produce biased population estimates.

Sampling error is the source of survey error that is familiar to most people. It relates to the fact that the sample does not include the entire population and therefore the data from the survey are estimates for the full population. If the sample is probability based and properly constructed, it is possible to express survey error through confidence intervals. Confidence intervals are ranges (e.g., +/- 5 percentage points) that convey how precise the survey estimates are.

Non-response error refers to differences between who is in the sample and who responds to the survey. Even if the sampling frame represents the population very well (i.e., coverage error is low), if some groups are less likely to participate in the survey this can bias results. For example, if families of English language learners are less likely to respond to the survey than other types of families, then the survey results will not accurately reflect the conditions for those families.

⁹ A. Luiten, J. Hox, and E. de Leeuw, 2020, “Survey Nonresponse Trends and Fieldwork Effort in the 21st Century: Results of an International Study across Countries and Surveys,” *Journal of Official Statistics*, 36(3), 469-487. <https://doi.org/10.2478/jos-2020-0025> (Original work published 2020).

Exhibit 7.1. Sources of Survey Representation Error

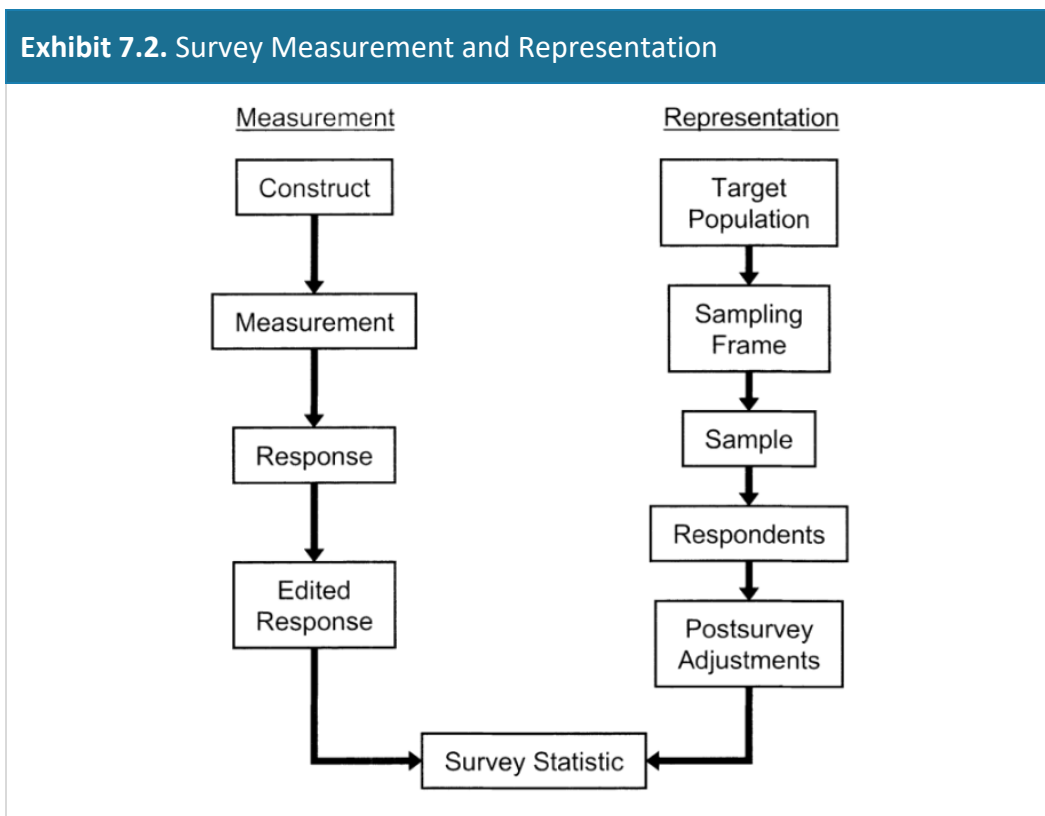


Source: Stantcheva 2022, p 4. © Stefanie Stantcheva.

To create quality surveys, Promise Neighborhoods must try to minimize these three sources of error in the representation of their intended population.

Along with representation, quality surveys should also minimize measurement error, which refers to errors in survey responses arising from the methods of data collection, respondent or the questionnaire or survey instrument being used. Exhibit 7.2 illustrates the parts of the survey process that affect the quality of survey measurement and representation. Examples of measurement errors include the wording, order and context of the question in a survey; confusion, dishonesty, or fatigue on the respondents’ behalf; and poor or inadequate training of the survey administrator.¹⁰

¹⁰ For a more comprehensive discussion on sampling frame evaluation, sample design, development of questionnaires, evaluation of questions and alternative modes of data collection, see Robert M. Groves, Floyd J. Fowler Jr, Mick P. Couper, James M. Lepkowski, Eleanor Singer, and Roger Tourangeau, 2009, *Survey Methodology*, John Wiley & Sons..



Source: Groves et al. 2009, p 42.

Updated Survey Guidance for Promise Neighborhoods

Based on both the experiences of Promise Neighborhoods in conducting their own surveys, and the evolution of the field of surveying more broadly, we have updated the guidance on surveying for Promise Neighborhoods grantees in this revised Guidance Document. These changes are discussed in more detail in the rest of this chapter but are summarized briefly here.

- **Sampling.** Address-based probability sampling is still the preferred option for the Neighborhood Survey, but where not feasible grantees can consider administrative data-based sampling if they follow good procedures.
- **Survey questions.** Grantees can modify recommended survey questions if they use best practices in formulating replacement questions
- **Survey methods.** Although in-person surveys were recommended for both the Neighborhood and School Climate survey, grantees now have other options for survey delivery.
- **Survey data analysis.** Grantees will be expected to conduct a post-survey non-response analysis and use response weighting, where appropriate, to adjust for coverage and response challenges.

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.

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.

- **Survey quality.** Grantees will be expected to describe survey procedures and report metrics that will allow them, the TTA team, and the US Department of Education to assess survey quality. In addition, survey quality will depend on more than achieving a higher response rate.

Basic Survey Steps

The process of collecting and preparing survey data generally follows these steps, which are discussed further in the rest of this chapter:

1. **Write a scope of work and engage a survey firm.** The Promise Neighborhood should prepare a work plan for a survey firm that presents all 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 survey administrators) or be responsible for completing certain steps entirely. The scope of work should also include any resident incentives for participating in the survey.
2. **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.
3. **Develop a sampling plan.** The Promise Neighborhood, with help from the survey firm, will need to determine the best data source for the survey sample, based on how well that source represents the intended survey population. The survey firm can also estimate the optimal sample size to obtain reliable data from the survey that can measure 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. Depending on the sampling plan, the Promise Neighborhood may need to collect additional data (such as names and addresses) to select an appropriate sample.
4. **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. Where feasible, this Guidance Document recommends in-person interviewing for the Neighborhood Survey and a self-administered School Climate Survey. Other survey methods that include multiple modes, with an in-person component, can also be viable for ensuring high response rates.
5. **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. Grantees may develop alternative GPRA questions, however, if they feel the recommended questions will not yield quality data for their community, if they use best practices in selecting or writing new questions. 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. Survey testing should include translated versions of questionnaires, where applicable.
6. **Recruit and train survey administrators.** For surveys that are not self-administered, it is essential to recruit and train survey administrators on the proper administration of the survey. Promise Neighborhoods may decide to recruit survey administrators from the community or may be able to hire freelance professional survey administrators. Survey firms can support the training of survey administrators.

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.

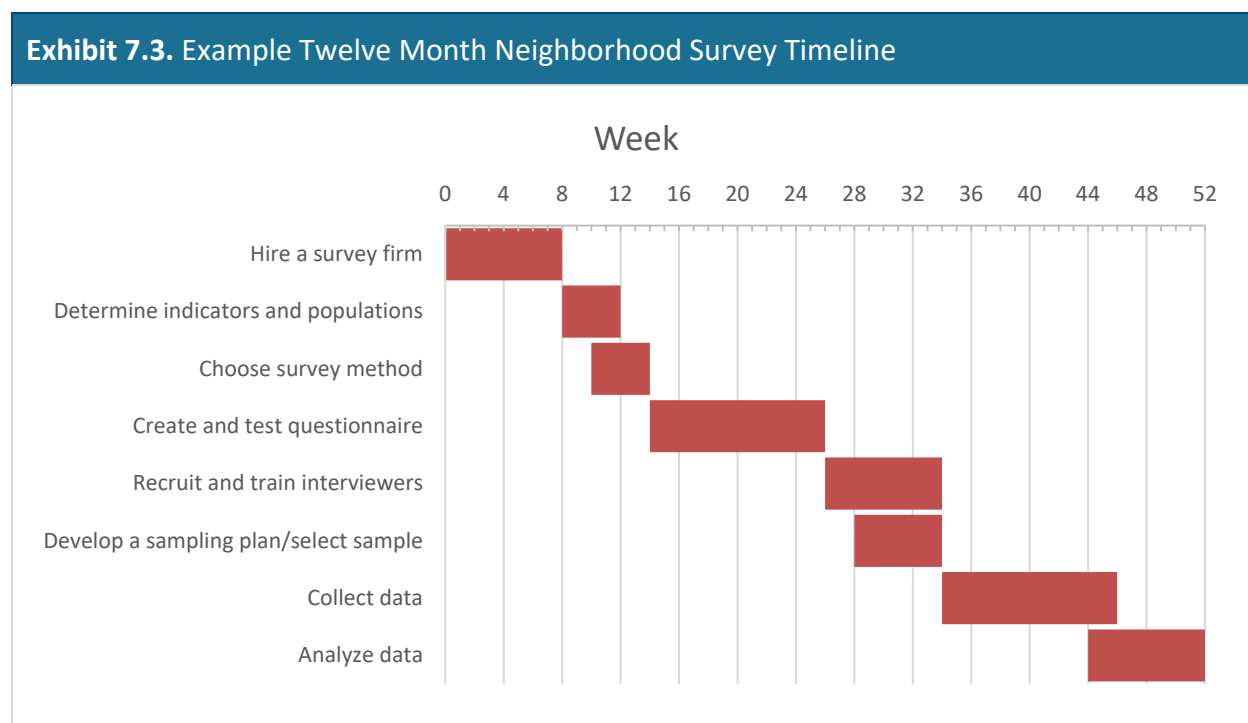
Self-administered survey—A survey that a person completes himself or herself without the help of a survey taker or interviewer.

7. **Collect 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, survey administrators should follow-up with non-respondents to achieve an acceptable response level. Additional efforts may be needed to achieve higher response rates; lower response rates risk producing data that are biased or unreliable. Incentives such as gift cards and prepaid cash cards can help encourage residents to participate and increase response rates.
8. **Analyze data.** When analyzing survey data and reporting differences in indicators derived from sample data, issues of sample size and design need to be considered. For example, margins of error should be provided for survey estimates. Since analyzing survey data can be complicated, Promise Neighborhoods should work with researchers who have experience. Researchers and statisticians can conduct non-response analysis and create survey weights to compensate for nonresponse bias. Nonresponse bias is associated with the amount of nonresponse and differences between the survey estimate between the respondents and nonrespondents. It systematically favors certain outcomes in your survey as the individuals who choose to participate in your survey differ from those who do not. Weighting is an adjustment of survey data to ensure that the sample more accurately reflects the characteristics of the population it was drawn from.

For any 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 7.3 provides an example timeline for fielding a survey within an expected timeframe of twelve months (52 weeks), which was provided in the original Guidance Document. Many Promise Neighborhoods, however, found that it took more than one year to both plan for and implement a full Neighborhood Survey. It is recommended, therefore, that grantees start planning for their surveys as early as possible.



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 survey administrators, 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.

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, including the format, order, programming and any supportive materials for the questionnaire and its administration.
4. The Promise Neighborhood's requirements for assistance with other tasks:
 - Recruiting and training survey administrators for context specific situations,
 - Designing and selecting an appropriate sample,
 - Collecting data and following up with non-respondents, and
 - 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 survey administrators, 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 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 \$150,000 and \$400,000 per Neighborhood Survey. 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.

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 living in the Promise Neighborhood footprint (GPRA 9.1)
2. Kindergarteners through 8th graders living in the Promise Neighborhood footprint (GPRA 9.1)
3. 9th through 12th graders living in the Promise Neighborhood footprint (GPRA 9.2)

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.

School Climate Survey Populations for GPRA Indicators

4. Middle and high school students (GPRAs 6, 7, and 10)

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 consume five or more servings of fruits and vegetables daily (GPRA 6) by grade and by gender.

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.

Sampling

Professional Support for Sample Selection

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. In larger schools where surveying each student can be cost prohibitive, Promise

Neighborhoods can consider selecting a representative sample of students and collect data from that sample only.

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.

Sampling Methods

A survey sample is a smaller group chosen out of a larger population—a group whose survey responses can be taken as representative of the larger group. Survey sampling methods can be put into two broad categories—probability samples and non-probability samples. Probability samples (sometimes referred to as random samples) are those where members are selected at random from the larger population with some known probability.¹¹ In a “simple random sample,” everyone in the population would have an equal (and nonzero) chance of being selected for the survey. Other types of probability sampling are possible. For instance, one might want to choose a larger sample of households with children under 5 years old, and so these households would have a greater probability of being in the survey than other households. As long as these households have a known probability of being selected, however, this would still be considered a probability sample.

As discussed above, in recent years difficulties with conducting surveys with probability samples have led to a renewed interest in non-probability sampling. In a non-probability sample, participants are not selected randomly.¹² Non-probability samples often lack a clear sampling frame, which means that the probability that a particular person or household will end up in the survey cannot be determined. For instance, a survey where someone has to “opt-in” to participate, such as an open survey on a web site, would be considered a non-probability sample because the survey administrators have no way of knowing how likely it is that a person will take part. A very common type of non-probability sample is a “convenience sample,” so called because the sample is based on people who are easier (convenient) to recruit. Examples of convenience samples would include neighborhood residents who attend a community fair where the survey is distributed or families in the Promise Neighborhood who are participating in a program. Another common type of non-probability sample is a “snowball sample” where initial respondents refer future or potential respondents based on who they may know. While these samples may be useful for certain purposes, they would not necessarily be good representative samples of all children or families who live in the Promise Neighborhood.

Non-probability samples pose challenges because the concepts of “response rates,” “confidence intervals,” and other measures for probability samples do not apply.¹³ In addition, in many non-probability samples, such as convenience samples, the population eligible to take part in the survey may be small and not necessarily representative of the larger intended population.¹⁴ This can cause a selection bias which means your results are systematically skewed as only certain segments of the population are represented in your sample. Furthermore, even if one adjusts for some differences between the non-probability sample and the population, such as through survey weights, this can only be done for characteristics for which one has data. The sample and the population may be different in other ways that one cannot easily see and account for.

For these reasons, and because the goal of the Neighborhood Survey is to obtain a representative sample of families and children living in the Promise Neighborhood footprint, an address-based probability sample of households is the recommended sampling method for the Neighborhood Survey. Such a survey would be based on a list of addresses that the Promise Neighborhood could obtain from public records or private sources. External vendors may be able to provide high quality and complete address-based sample frames for specific areas for economical rates. Survey households would then be selected randomly from this list, as described below in the

¹¹ AAPOR, 2007, *Weighting*, <https://aapor.org/wp-content/uploads/2023/06/weighting.pdf>. Stefanie Stantcheva, 2022, *How to Run Surveys: A Guide to Creating Your Own Identifying Variation and Revealing the Invisible*, NBER Working Paper No. 30527, September, Revised October 2022, JEL No. D9,H0,J0,P20, page A-2.

¹² Stantcheva op. cit., page A-2.

¹³ AAPOR, 2023, *Standard Definitions*, <https://aapor.org/wp-content/uploads/2024/03/Standards-Definitions-10th-edition.pdf>, page 27.

¹⁴ AAPOR, 2013, *Report of the AAPOR Task Force on Nonprobability Sampling*, June, https://aapor.org/wp-content/uploads/2022/11/NPS_TF_Report_Final_7_revised_FNL_6_22_13.pdf, page 24.

Sample Selection section. Once the sample households have been chosen, they can be contacted for the survey in various ways and can complete the survey using one of the methods discussed in the Survey Methods section.

Nevertheless, if a grantee finds that an address-based probability sample is not feasible, they can consider a sample based on school administrative or other programmatic records for the Neighborhood Survey sample. A survey sample drawn from these records may yield good results, but grantees must assess whether the sample adequately covers the intended populations of families with children living in the Promise Neighborhood footprint.

Before deciding whether to use school administrative records as a sampling frame, grantees should answer these questions:

- Can the sampling frame from the administrative records be built to include only households who live in the Promise Neighborhoods footprint?
- If the Promise Neighborhood is in a community with a large degree of school choice, can records be obtained for students who live in the Promise Neighborhood footprint but attend non-partner schools?
- Do the school records include demographic information, such as numbers of children of different ages, that would make it possible to stratify the sample according to the three populations for GPRA 9.1 and 9.2?
- How well do the administrative records cover all the target populations for GPRA 9.1 and 9.2, that is, families with children birth to middle school grades?
- Do the school records include email addresses that might be useful for contacting and recruiting participants?

Using school administrative records for students in grades K-12 as a sampling frame has an advantage in that it provides a list of households that have at least one child in one of the GPRA 9 populations. As noted earlier, however, a disadvantage of using school administrative records is that it may underrepresent families with children 0-5 years old. To increase that coverage for this group, it may be possible to add addresses from other sources, such as early education programs. The challenge, however, is to combine the different administrative lists properly. Combining different sources of data and administrative lists is a highly technical and complicated task which should be done by or under the guidance of experts only. If the lists overlap, households may be contacted more than once. To avoid this, duplicate addresses should be removed from the combined lists.

When using administrative records as a sampling frame, it will be especially important to check and adjust for representativeness compared to the overall population when analyzing the survey data. This is discussed in more detail in the Analyzing Survey Data section.

While Promise Neighborhoods may choose among different acceptable sampling methods, they should avoid strategies that do not lead to representative samples. As noted above, some sampling methods rely on finding potential respondents that are easy to identify and contact (convenience sampling). These sampling methods may produce biased results that do not accurately represent the characteristics of the population being surveyed and should be avoided.

Sample Size

One of the 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.

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. 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 highest variance; variance decreases for values higher or lower than 50 percent. So, for example, other things being equal, a larger sample would be required if one assumes that 50 percent of parents in the Promise Neighborhood read to their children three or more times per week than if one assumes that 20 percent or 80 percent do. If it is not possible to estimate the percentage in advance, it is safer to assume 50 percent as the most conservative estimate.

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 specific area 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 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. One 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?

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.

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.

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).

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. If a Promise Neighborhoods has a target of 60 percent for survey response rates, the selected sample would need to be 67 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).

In instances where there are multiple children in the household within a target age range (for example, children 0 to 5 years old), Promise Neighborhoods may decide to sample just one of these children. Sampling one child within an age range would be less burdensome for respondents, but including multiple children within the same age range, Promise Neighborhoods would collect more information and increase the number of respondents for a specific GPRA. The Promise Neighborhood will have to exercise judgment by balancing the burden of the survey against maximizing the opportunity to gather data. Should Promise Neighborhoods decide to sample just one child within a specified age range, survey administrators will need to be trained in an unbiased method for selecting the child for the survey (e.g., choosing the child with the most recent birthday).

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.

Survey Methods

Given the complexity of the questions needed to collect the GPRA indicators, the original Guidance Document recommended that Promise Neighborhoods conduct in-person interviews for the Neighborhood Survey. The guidance stated that, “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 survey administrator can help guide respondents through more complicated questions. This will help ensure more complete and accurate answers.”

Since the original Guidance Document was published in 2012, in-person Neighborhood Surveys have been conducted successfully by several Promise Neighborhood grantees. Most often, survey takers going door-to-door in the neighborhood and administering the survey with families. Some of the more successful examples of this approach involved grantees recruiting neighborhood residents as part of the survey teams, who could help introduce the survey to their fellow community members. Urban Institute’s *Community-Engaged Surveys* guide provides some advice on this approach.

Nevertheless, other Promise Neighborhoods grantees found in-person surveys to be impractical. This included rural grantees, where households were too far apart to make door-to-door surveying possible. Even in urban communities, however, where distances were shorter, grantees could face other obstacles, such as gated or inaccessible buildings or unsafe conditions for survey takers. In general, while in-person surveys can yield higher response rates, they can be expensive to administer and need professional or highly trained survey administrators.

For these reasons, some grantees may have to consider other survey methods. These might include mail surveys or telephone (random digit dialing) surveys. Response rates from these types of surveys tend to be comparatively lower, however, so additional efforts may be needed to get a representative sample.

“Take home” surveys are another method some Promise Neighborhoods have used, where the survey is distributed to students in school, who then take the survey home to their parents to complete. This method is most appropriate if the survey sample was created with school administrative records, as opposed to residential addresses.

More recently, a new method called, “push to web surveys,” has become popular, and some Promise grantees have used this method for their surveys. A push to web survey involves contacting potential respondents through one medium, such as mail, phone call, text, email, flyer, or even in person, and then asking them to participate in a survey online. Usually, a link or QR code directs the respondents to the online survey. There are many external survey platforms that can be used to create and host the survey online. Online platforms can offer helpful templates and features for programming user-friendly surveys, but the available functionality can differ based on the price of the subscription.

Some advantages of push to web surveys include: i) giving people the flexibility to take the survey at their convenience which reduces non-response due to the limited availability of the respondent at the time of the door knock or phone call, ii) allowing surveyors to reach younger populations and those that may be moving around often, iii) data are collected directly in an electronic format from the source reducing the time for analysis, iv) any associated material such as definitions, protocols, etc. can be linked in the survey, and v) online surveys likely reduce social desirability bias as there is no survey administrator in front of the respondent.¹⁵ On the other hand, disadvantages of push to web surveys include that individuals without internet access or internet literacy are not able to take part in the survey. Most online survey platforms are configured to work with smartphones, which can mitigate internet access issues, but Promise Neighborhoods may still want to offer the survey in additional formats for those who need it. Further, respondents may not trust the safety of a link they receive in a text or email. Lastly, there is lower engagement with the respondent and lack of control over who completes the survey.

¹⁵ Jeremy C. Wyatt, When to Use Web-based Surveys, *Journal of the American Medical Informatics Association*, Volume 7, Issue 4, July 2000, Pages 426–430, <https://doi.org/10.1136/jamia.2000.0070426>. Stantcheva op. cit.

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. Self-administered questionnaires are also less costly than surveys conducted by survey administrators. 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, an anonymous self-administered questionnaire may yield more honest responses. The questionnaire and survey methods will also need to align with applicable state or local laws or school district policies on collecting data from students, as well as receive IRB review and approval.

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. The experience over the last 12 years, however, was that Promise Neighborhoods grantees sometimes could not use the exact questions if they were relying on an existing School Climate Survey that had similar questions formulated differently. Or, in other cases, grantees felt that the Guidance Document questions were not appropriate for their populations and therefore would not produce meaningful data.

Considering this, the revised guidance allows grantees to substitute their own survey questions for those in Chapter 4, if they are well-written and validated questions. The proposed substitute question should align with the Promise Neighborhoods GPRA that the original question was meant to measure. For example, a substitute question for GPRA 6 should allow the grantee to measure the “number and percentage of children who consume five or more servings of fruits and vegetables daily.” The question should also be asked of, and be appropriate to, the recommended population for the GPRA. For GPRA 6, it should be children and youth in middle and high school. But the actual wording of the question and responses can be modified as appropriate.

Creating good questionnaires or adding questions to an existing survey requires not only writing good questions but also organizing and presenting them in a clear and thoughtful manner. Questionnaire design is a multistep and iterative process requiring attention to a wide array of details. As questions can be asked in several different ways and how they are asked can influence the quality of survey responses, Promise Neighborhoods should only write substitute questions with training or guidance of experts.

When choosing substitute questions, it is generally better for grantees to use validated questions from other surveys, rather than writing their own, whether those questions come from this Guidance Document or another source. In addition to these questions having already been tested by someone else, using an existing survey question may offer the opportunity to compare the results for the Promise Neighborhood to other populations. Further, questions that have been used in other surveys may also have been validated with different populations. This validation is usually described in the methodology report of an existing survey and can help assess whether the survey question is of high quality and can be used in the context of Promise Neighborhoods.

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. The Resources section of this chapter includes databases of survey questions that can be helpful for both GPRA-related and other topics.

Nevertheless, in some cases Promise Neighborhoods may need to write their own survey questions to collect data that are important for their community. According to Harvard University Program on Survey Research, the ideal survey question accomplishes three goals:

- It measures the underlying concept it is intended to tap

- It doesn't measure other concepts
- It means the same thing to all respondents.

To accomplish these goals, it is important to write questions that are short and simple, using words and concepts that the target audience can understand. It is important to avoid vague terms and define key words specifically to ensure questions have the same specific meaning to all respondents. Further, one should avoid questions that try to measure two or more things.

Generally, if you are asking respondents to reflect on a time or place, all questions concerning that time and place should be asked in one section and, if possible, the time and place should be specified. For example, asking respondents "How often do you read before bed?", some people may be thinking back to the last few months, and some might be thinking of this week. It is better to provide a frame of reference instead, such as, "How often did you read before bed this week?" If you have other questions asking respondents to reflect on their week, it is recommended to group them in one section.

Next, consider the different types of questions you could ask. Whether the response options should be close-ended or open-ended, multiple choice, mutually exclusive choices, etc. Some platforms, such as Qualtrics can offer dozens of question types, allowing for you to play with how user friendly a question can be (Fisher, 2023). Keep in mind that your answer choices should anticipate all possibilities. In general, you should not force respondents to answer questions unless their responses are needed to screen them at the start of the survey.

Finally, this brings us to the order of the questions and response choices. Survey questions and response options should be arranged in an order that is logical but not influencing how respondents answer. It's better to have general questions come earlier and specific questions later. Similarly, sensitive questions including demographics are better asked towards the end of the survey. Respondents may try to give answers that are socially desirable, so it is important to not bias them with the wording or order of the questions or response options.

More guidance on writing good survey questions can be found in the Resources section of this chapter. Good questionnaire design is a critical component of a successful survey, affecting who responds to the survey and the quality of the information that the survey produces. Promise Neighborhoods are advised to work with survey methodology experts on writing, formatting, organizing and programming survey questions to ensure high quality surveys.

Additional considerations include translating survey questions and instructions into other languages, as needed, to accommodate the different linguistic groups among the population to be surveyed. Previously, the Guidance Document recommended using a double-translation or back translation method, which is when materials are translated from English into the target language, and then a separate translation (by a different person) converts the text back to English. The original and the double-translated English versions can then be compared to identify any potential translation issues.

Back translation is no longer recommended, however, as a poor initial translation to the target language can be masked by a good back translation that smooths out any awkward phrasing or sentence structure in English. Today, researchers prefer a team approach including translators, reviewers, and adjudicators who bring different kinds of expertise to the translation process, including best practices in translation techniques, native mastery over the target language, research methods expertise on study design and topic.¹⁶ 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 language, balanced against the cost of additional translation.

¹⁶ For an overview of the team translation approach, see <https://medium.com/pew-research-center-decoded/how-we-translate-survey-questions-to-be-fielded-around-the-world-ef0aeb4866ee>.

The Promise Neighborhood should test the survey questionnaire using cognitive interviews and pretests in as close to actual surveying conditions as possible, to ensure that the questions are understandable to the population surveyed and reduce measurement error. For example, the Neighborhood Survey questionnaire should be tested with actual community residents, while the School Climate Survey should be tested with students of appropriate ages. If the survey is conducted in multiple languages, it is also important that the pre-test is done for all languages.

Testing should also cover the mode of the survey. If the survey is conducted by a survey administrator, testing should include feedback on the instructions to the survey administrator, and how the questions sound when said out loud. In a self-administered survey, testing should include how the survey looks and instructions for the online survey.

Testing can include in-depth cognitive interviews where test respondents share their impressions, questions and reactions to the survey in real time. Cognitive interviews can be very helpful in ensuring the question is understood as intended, but it also requires skills and expertise to be conducted successfully. Promise Neighborhoods are advised to work with survey methodology experts on testing and cognitive interviewing, when these approaches are needed.¹⁷

To structure the feedback from test respondents, consider the following aspects of the survey to focus on:

- **Comprehension:** Did respondents understand the underlying concept that your question is trying to tap?
- **Question Order:** Is the order logical or biasing? Does the order of options influence response? Can answers to questions be affected by the questions preceding them?
- **Acceptability:** Are the questions likely to cause offense or touch on sensitive issues inappropriately?
- **Length:** How long is the survey taking? Does it take longer than expected? Is there a risk that respondents may tire and stop responding to the survey at some point?
- **Mode or environment:** If over an interview, does saying the question out loud go smoothly? If self-administered online, are there any user interface or technical issues?

Testing does not have to be exhaustive; only a few high-quality, iterative tests with revisions are generally needed to identify problems. The approach to testing and revision should be determined by survey methodology experts. Adjustments should be made as needed based on the results of the testing. If possible, using questions that have been used in other surveys may help as others may have already tested the reliability and validity of a measure. In reviewing the literature for pre-existing questions, it helps to see how others are measuring the concept you want to measure, and any comparisons or adjustments made over time or in different contexts and iterations of the measure.

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

¹⁷ For a detailed overview of pretesting, see <https://ccsg.isr.umich.edu/chapters/pretesting/>.

To comply with the requirements of their federal grant, the Promise Neighborhood must have survey questionnaires and plans 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. For detailed guidance on Institutional Review Boards, see Appendix 6.1.

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Survey Administrator 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 survey administrators to conduct the survey. Survey firms may maintain a staff of professional survey administrators that can be used for this purpose, especially for surveys conducted over the telephone. This can save considerable time, but the Promise Neighborhood should consider whether the firm's survey administrators are competent to conduct the survey among the relevant populations. Questions about competencies working with different populations should be posed in the RFP that survey firms need to respond to.

Translation

Promise Neighborhoods translation of documents in relevant 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 team translation techniques may be necessary. Written documents need to meet respondents' literacy levels, match reading and writing traditions, and include familiar references. Furthermore, Promise Neighborhoods should be cognizant of how community norms may affect what does and does not get reported. Grantees must weigh the potential costs and benefits of utilizing community members to collect data.

Some Promise Neighborhoods may choose to recruit survey administrators from the community itself. This can have advantages as these people will understand the local population and landscape. On the other hand, community members may not have professional survey administration experience, which can increase recruitment, training, and management expenses. If the Promise Neighborhood decides to use community residents as survey administrators, it should train and compensate them for their work. Being a survey administrator is a job with commitment and performance expectations.

Another option that some Promise Neighborhoods may consider is to use university students as survey administrators. Again, the lack of professional experience may result in increased training and management costs. University students may not have the experience or background to gain acceptance in the community. Promise Neighborhoods will need to weigh the costs and benefits of different approaches.

Collecting Survey Data

Once the Promise Neighborhood has tested and finalized the survey questionnaire, trained survey administrators, and selected the sample, data collection can begin. Survey data collection requires a realistic timeline and close management. Supervisors should conduct periodic checks on the work being done by survey administrators to identify quickly any potential problems.

To obtain a higher response rate, which is one metric of survey quality, 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 prepaid cash cards.

In addition to the strategies above, Promise Neighborhoods should train survey teams on how to respond to different scenarios they might encounter in the field, and explain when to ask for help from a supervisor. Some of these scenarios include household members being wary of taking the survey, household members refusing to take the survey, ineligible respondents answering the door, and households with multiple children in the focus age ranges. The Promise Neighborhoods [Preparing and Fielding High-Quality Surveys](#) provides practical strategies for scenarios that survey administrators may encounter in the field.

Monitoring ongoing survey responses and conducting preliminary analyses can detect early patterns about who is not taking the survey. For example, respondents may stop taking the survey at a certain question, or subgroups of respondents may not take the survey at the same rates. Patterns of responses may reflect issues with administrator training or survey programming (e.g., skip patterns) that can be rectified with focused outreach or programming fixes, depending on the source of the challenge.

Questionnaire design and mode of administration can also affect response rates. The clarity of instructions, wording, types of response options, survey flow and logic, and personalization can help increase response rates. Long, complex, inconsistent, or poorly designed surveys can impose undue cognitive load and survey fatigue. Making online surveys visually appealing with clean layouts, easy-to-read fonts, and user-friendly navigation may support higher response rates. Lastly, using multiple modes of administration, such as online and telephone surveys, can yield higher survey response rates.

Because survey response is a critical part of quality, 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. 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. But grantees should also conduct a post-survey nonresponse analysis, as discussed in the next section.

The Resources section at the end of the chapter suggests two sources for more information on response rates and nonresponse bias.

Analyzing Survey Data

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.

Data collection using paper forms requires the additional step of data entry before analysis. Quality control procedures (i.e., data cleaning) are important for data entry and coding for online surveys. This may include checking responses to individual questions for valid answers and comparing information across questions for consistency.

Additional steps may be needed to adjust the data for sampling and demographics. This is typically done by weighting the survey responses, that is, assigning a value to each response that represents

how much it should contribute to the summary statistics. Weighting can be used to improve how accurately the survey estimates represent the intended population by considering how the sample was created, and, in the end, who responded to the survey.

For a simple random sample, each response would count equally in the summary statistics, that is, each response would have a sampling weight of 1. In stratified sampling designs, if some types of respondents are overrepresented in the data, the sampling weight would be the inverse of the probability of being selected in the sample. For instance, if we chose a sample where families with children 0 to 5 years old were twice (2 times) as likely to be selected for the survey as other types of families, then the sampling weights for families with children 0 to 5 years old would be half (0.5 times) those of other families. In addition, it may be necessary to use sample weights to adjust for certain types of sample designs.¹⁸

Data analysis should also include a post-survey nonresponse analysis, which may result in using sampling weights to adjust for possible nonresponse bias. Analyzing nonresponse bias can be complex¹⁹ and involve comparing survey results to other data sources or surveys. The simplest method is to compare basic characteristics of the survey respondents to the intended population. For instance, if using residential addresses to sample households within certain census tracts, the analysis can compare demographic characteristics (such as ages of children or race and ethnicity) of survey respondents with the population data for the same tracts, such as from the American Community Survey. (Note that this assumes the same demographic characteristics were collected as part of the survey.) Alternatively, if using school-based administrative records as a sampling frame, if the school data include demographic information, then distributions of the school records and survey respondents can be compared.

In addition to sampling weights described earlier, if necessary, weighting should be used to adjust the final survey sample so that it better aligns with the demographics of the intended population.²⁰ For instance, if the share of survey responses representing parents with less than a high school education is 5 percent, but the percentage of such adults in the overall population is 10 percent, then a post stratification weight of 2 (10/5) could be assigned to these observations to bring the proportions more in line with the population totals. Sampling and demographic weights are multiplied together to come up with final weights for the analysis.

The reported summary indicators for probability samples should include calculated margins of error, which indicate the degree of confidence in the estimates. For example, “the estimated share of parents who read to their children (birth to five years old) three or more times per week is 34 percent, plus or minus 3 percentage points.” Calculation of these margins of error can be complicated, as they depend on how the survey sample was created

¹⁸ AAPOR, 2007, op. cit.

¹⁹ Jonaki Bose, 2001, Nonresponse Bias Analyses at the National Center for Education Statistics, National Center for Education Statistics. Erin Tanenbaum, Brian Geistwhite, and Brian M. Wells, 2021, A Nonresponse Bias Analysis of the 2021 General Social Survey, NORC at the University of Chicago. JH Madans, MS Earp, SJ Blumberg, EM Christopher, KJ Thompson, RG Sivinski, SM Frenk, THI Fakhouri, KD Piscopo, 2023, Best Practices for Nonresponse Bias Reporting, FCSM-23-01 Nonresponse Bias Subcommittee, Federal Committee on Statistical Methodology, June. Barbara Felderer, 2024, Nonresponse Bias Analysis, GESIS Leibniz Institute for the Social Sciences.

²⁰ AAPOR, 2007, op. cit.

and the survey data were collected. While several margins of error calculators are available online, these tools are primarily designed for surveys based on simple random samples and may not give accurate estimates for other types of samples. For this reason, Promise Neighborhoods should work with researchers who have experience analyzing survey data when calculating margins of error.

Grantees should include the survey quality metrics and other information about the survey in the data source documentation for reporting. This information will be used to assess the quality of the survey data. For both the Neighborhood Survey and the School Climate Survey, grantees must provide the following information.

Basic Information

1. Year survey administered
 - Neighborhood Survey: Geographic area and population surveyed
 - School Climate Survey: List schools and grades surveyed.

Sampling Frame and Design

1. Sampling method (e.g., probability-based/random sample, non-probability-based sample, full population)
2. Source used to create the sampling frame
 - For Neighborhood Survey: e.g., residential address list, school roster, commercial mailing list, county property data
 - For School Climate Survey: e.g., school roster all students attending on day(s) survey was administered.
3. For Neighborhood Survey only: Primary sampling unit (e.g., household, person)
4. If using a probability-based sample, how was the sample selected?
5. Size of sample
6. Coverage of population (i.e., what percentage of primary sampling units in the population were included in the sample)
7. Were any stratification or oversampling methods used in selecting the sample? If yes, please explain.
8. Issues or problems with sampling, if applicable

Fielding

1. Describe how the survey was distributed to potential respondents (e.g., in-person, phone, mail, online)
2. Survey administration (e.g., interview-assisted or self-administered)
3. Survey modes used (e.g., online, tablet/device, telephone, text messaging, paper)
4. Dates when survey was fielded
5. Who fielded the survey (survey firm, grantee staff, local partner)?
6. Issues or problems with the survey fielding, if applicable

Response Rate (REQUIRED—all counts expressed as numbers of primary sampling units, i.e., families or households)

1. Primary sampling units receiving survey
2. Fully completed surveys (respondent answered all applicable GPRA questions and GPRA values could be calculated)

3. Partially completed surveys (respondent answered enough questions so that at least one GPRA could be calculated but other applicable GPRA's could not)
4. Refusals or break offs (selected respondent declined to have the questionnaire completed and returned; or a questionnaire is returned with too few items completed to be considered partially complete)
5. Noncontacts (no contact was made with selected respondent)
6. Other non-interviews (survey could not be administered for other reasons, e.g., language barrier, death)
7. Household or respondent eligibility status unknown (not able to determine if sampling unit includes someone who meets the criteria for completing the survey)
8. Survey response rate ($2/(2+3+4+5+6+7)$)
9. Additional detail on dropped sample or dropped completes, if applicable

Additional Information

1. If survey responses were weighted for analysis, describe weighting calculations
2. Describe calculations for margins of error
3. Describe any non-response analysis carried out and its results. If applicable, describe weighting steps taken to adjust for possible non-response bias.
4. Additional information on survey limitations and data quality
5. If survey questions used to collect GPRA data differ from those in Guidance Document, list questions used here OR attach copy of survey questionnaire
6. If the questions used were not the same as those in the Guidance Document, provide the sources for those questions and describe any steps taken to test and validate the questions.
7. Upload a copy of the survey in the File Attachment box

The Promise Neighborhoods Training and Technical Assistance team will use the information submitted for Annual Performance Reporting (APR) or ad hoc APR to assess the quality and comparability of the GPRA data provided by the School Climate and Neighborhood Surveys. The TTA team will assess the surveys based on these criteria.

- How well do the survey responses represent the intended GPRA populations?
 - Did the survey sampling frame represent the full population, that is, how well did the survey minimize coverage error?
 - Was the sample design and execution sufficient to produce a representative and robust sample, that is, how well did the survey minimize sampling error?
 - Did the survey approach sufficiently encourage responses from the sample and maintain representativeness, that is, how well did the survey minimize response error?
- Does the survey produce reliable data for the GPRA's?
 - Did the survey use an appropriate method for the population being surveyed?
 - Was the survey response rate acceptable based on the survey method(s)?
 - Did the survey questionnaire use questions that align with the GPRA's? Were those questions the same as those in the Guidance Document or were they tested and validated in some way?
- Did the survey analysis follow the Guidance Document recommendations?
 - Does the survey analysis use sample weights, where necessary?

- Was a non-response analysis completed and, if so, did it reveal potential non-response bias? Were any steps taken to adjust the data for possible non-response bias?
- Has the grantee adequately documented their survey process?
 - Has the grantee provided complete and sufficiently detailed responses to all the survey documentation questions required for APR or ad hoc APR?
 - Did the grantee provide a copy of their survey questionnaire?
 - Has the grantee responded to follow-up questions from the TTA team?

Resources

General

[*Preparing and Fielding High-Quality Surveys: Practical Strategies for Successfully Implementing Neighborhood and School Climate Surveys in Promise Neighborhoods*](#) expands on lessons learned from the experiences of Promise Neighborhood implementation grantees and provides practical guidance on how to prepare and manage high-quality neighborhood and school surveys.

[*Community-Engaged Surveys: From Research Design to Analysis and Dissemination*](#) is a toolkit focused on how to incorporate community-engaged methods into survey research. It provides examples and guidance on research questions and contextualization; question testing; survey implementation; and analysis, drafting, and dissemination.

Survey Questions

[Question Wording](#) by AAPOR has general guidance on question wording for surveys, including open-ended and closed-ended questions, and avoiding common pitfalls such as double-barreled or leading questions.

[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.

The Centers for Disease Control administers two surveys of behavioral risk with potentially useful questions: the [Youth Risk Behavioral Surveillance System](#) ; and the [Behavioral Risk Factor Surveillance System](#).

[The Agency for Healthcare Research and Quality](#), an agency of the U.S. Department of Health and Human Services, has a few health-related surveys.

Guidance on [writing good survey questions from Pew Research Center](#)

Guidance on [translation from Pew Research Center](#)

Survey Sampling

[Introduction to Survey Sampling](#) by Graham Kalton (1983). Series: Quantitative Applications in the Social Sciences. Number 35. A Sage University Paper.

[Organizational Research: Determining Appropriate Sample Size in Survey Research](#) by James E Bartlett, II, Joe W. Kortlik, and Chadwick C. Higgins explains the basics on how to determine sample size based on acceptable margins of error, and is available in PDF form.

[The National Statistical Service of Australia](#) provides a sample size calculator which should only be used for simple random samples. It also provides definitions of the [different components used to determine sample size](#).

Improving Survey Response

[Methods for Increasing the Number of Responses to CAHPS Surveys by Agency for Healthcare Research and Quality \(2024\)](https://www.ahrq.gov/cahps/surveys-guidance/survey-methods-research/increasing-responses.html). <https://www.ahrq.gov/cahps/surveys-guidance/survey-methods-research/increasing-responses.html>

[Response Problems in Surveys. Improving Response and Minimizing the Load](https://unstats.un.org/unsd/methods/statorg/Workshops/Yangon/Session4_Surveys_Cornish_Paper.pdf) by John Cornish. (2002). https://unstats.un.org/unsd/methods/statorg/Workshops/Yangon/Session4_Surveys_Cornish_Paper.pdf

Response Rates

AAPOR provides the [standard definition for the calculation of response rates](#) as well as a [response rate calculator for a variety of survey types](#).

Chapter 8: School- and Neighborhood-Level Data

This Chapter

- Recommends 8 additional school-level and 15 additional neighborhood-level indicators to collect.
- Recommends locally and nationally available data sources for collecting school- and neighborhood-level data.
- Describes how to organize school- and neighborhood-level data files that will be included in the school- and neighborhood-level data system.

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 indicators.

Promise Neighborhoods is a place-based initiative, so it is critical for grantees to understand changes occurring in the neighborhood and the partner schools. In addition to individual-level case management systems, Promise Neighborhoods should also track consistently measured indicators for the neighborhood and partner 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.

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 partner 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: 1, age-appropriate functioning; 2, math and English Language Arts assessments; 3, attendance rates; 4, graduation rates; 5.1, enroll in post-secondary or vocation programs; 5.2, graduate from post-secondary or vocation programs; and 8, student mobility rates. Promise Neighborhood

initiatives are encouraged to collect the following eight additional summary statistics about the partner 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 publicly 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 publicly 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.

Organization of School-Level Data Files

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 unit of observation, such as an individual, family, school, or neighborhood.

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 school address, maximum and minimum grades, total enrollment, and the number of students qualifying for free and reduced price lunches. All 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_	FRPL_1112
---------------	--------	------------------	--------------	----------------	----------------	-------------------	-----------

						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 or ACS)
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.

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 the [National Neighborhoods Indicators Partnership](#) website 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.	<ul style="list-style-type: none"> • 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.	<ul style="list-style-type: none"> • 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.	<ul style="list-style-type: none"> • 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.	<ul style="list-style-type: none"> • Racial and income distribution of borrowers • Denial rates by race and income

			<ul style="list-style-type: none"> • Loans from subprime lenders
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.	<ul style="list-style-type: none"> • 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.	<ul style="list-style-type: none"> • Age-specific immunization rates

Data	Frequency	Geographies	Variables Included
Locally Available Administrative Data			
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.	<ul style="list-style-type: none"> • 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.	<ul style="list-style-type: none"> • 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.	<ul style="list-style-type: none"> • 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.
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.	<ul style="list-style-type: none"> • 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.	<ul style="list-style-type: none"> • 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

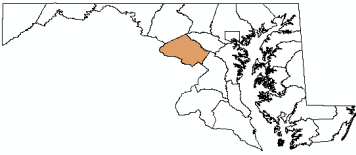
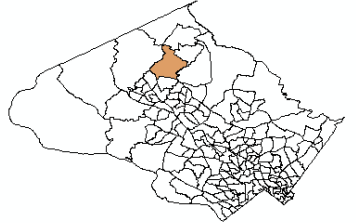
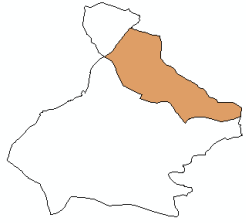

While managing a neighborhood-level data file is similar in many ways to managing a school-level data file, there are some notable challenges associated with a neighborhood-level file. Data should be collected over time about the same neighborhood or geography. However, federal and local administrative 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:

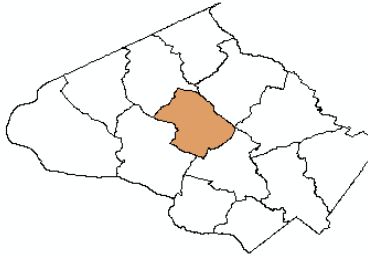
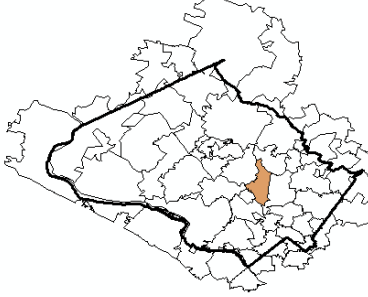
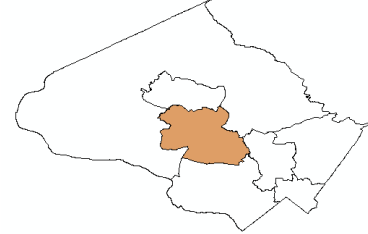
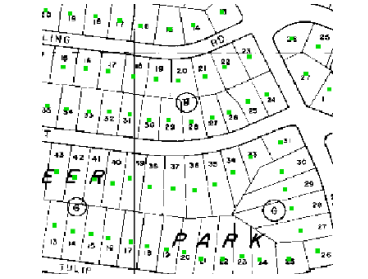
- The standard boundaries that most federal and many local data sets use,
- what to do when data boundaries do not align with Promise Neighborhood footprints,
- what to do when federal boundaries change over time, and
- how to organize the neighborhood-level data file.

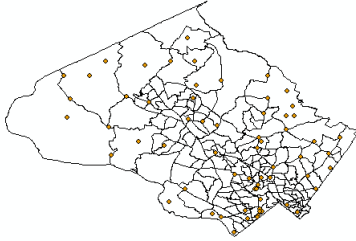
Standard Small-Area Neighborhood Geographies

Most federal administrative data and many local administrative data are available in one or more geographies created by the U.S. Census Bureau. 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 [Census website](#) locate which geographies might be relevant for the Promise Neighborhood.

Exhibit 8.3. Summary of Local Geographies for Nationally Available Data, with Montgomery County, Maryland ID/Code and Map Examples

Geography	Description	ID/Code	Map
County	Counties are the primary legal divisions of most 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 
Other Sub-County Level Geographies			

Geography	Description	ID/Code	Map
<p>County Subdivisions (MCDs, CCDs, and census subareas)</p>	<p>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.</p> <p>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.</p> <p>Census subareas are only available in Alaska and are the statistical equivalents of MCDs.</p>	<p>Highlighted MCD: 2403190796</p>	<p>Minor Civil Divisions Within Montgomery County</p> 
<p>ZIP Code Tabulation Areas (ZCTAs)</p>	<p>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.</p>	<p>Highlighted Zip Code: 20853</p>	<p>ZCTAs Within Montgomery County</p> 
<p>Public Use Microdata Area (PUMA)</p>	<p>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.</p>	<p>Highlighted PUMA: 2401003</p>	<p>PUMAs Within Montgomery County</p> 
<p>Parcels</p>	<p>Parcels define areas that show property/ownership boundaries. Any parcel-level data should be summarized using mapping software to the PN footprint.</p>	<p>Coding of parcels will vary depending on jurisdiction.</p>	<p>Parcel Data Sample from Gaithersburg, MD in Montgomery County</p> 

Geography	Description	ID/Code	Map
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 to either map the data or to designate which data fall within the PN footprint.	N/A	

Note: 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.

Note: 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.

Source: Parcel Data Sample from Gaithersburg, MD in Montgomery County: [MdProperty View](#).

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

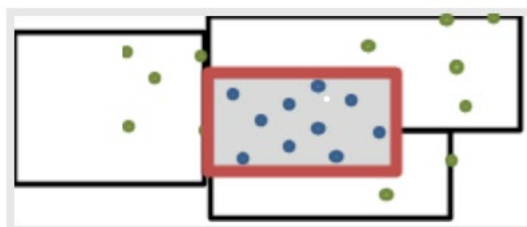
Geocode—The process of assigning geographic coordinates (e.g., latitude-longitude) or other geographic identifiers (e.g., census tracts) to street addresses.

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.

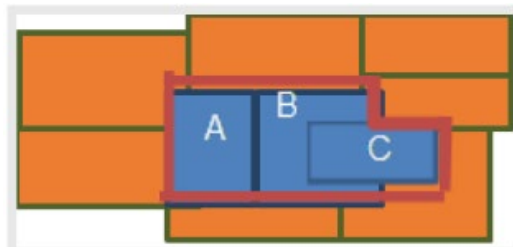
Exhibit 8.4. Summarizing Data from Points



When the Promise Neighborhood consists of two or more smaller geographies combined 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. Use weights based on the denominator of each tract to calculate the footprint average. For example, child poverty rates in the footprint equal the child poverty rate average 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 29 percent.

Exhibit 8.5. Summarizing Data from Smaller Geographies



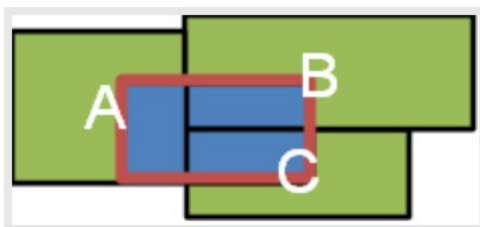
Geography	Child Poverty Rate (%)	Number of Children	Weight	Weighted Child Poverty Rate
Tract A	25	100	$100/400=0.25$	$0.25 \times 0.25 = 6.25\%$
Tract B	10	100	$100/400=0.25$	$0.10 \times 0.25 = 2.50\%$
Tract C	40	200	$200/400=0.50$	$0.40 \times 0.50 = 20.00\%$
Promise Neighborhood	29 (calculated)	400	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 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	$200/400=0.5$	$0.4 \times 0.5 = 20 \%$
Tract B	20 %	100	$100/400=0.25$	$0.20 \times 0.25 = 5 \%$
Tract C	10 %	100	$100/400=0.25$	$0.10 \times 0.25 = 2.5 \%$
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 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 boundary changes can be found on the [Census Bureau's website](#).

For more information on small-level geographies, see the following web sites:

- [Missouri Census Data Center Intro to Census Geography, Summary Levels, and GeoIDs](#)
- [Census Bureau Topologically Integrated Geographic Encoding and Reference system](#) (TIGER)

Organization of Neighborhood-Level Data

Neighborhood-level data should also be organized into standard rectangular data files like 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 can 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 7. Number and percentage of children who feel safe at school and traveling to and from school
 - GPRA 6. Number and percentage of children who consume 5+ servings of fruits/vegetables daily
 - GPRA 10. Number and percentage of children who have school and home access to broadband internet and a connected computing device
- Measures derived from a Neighborhood Survey to be included in neighborhood-level summary data files:
 - GPRA 9.1. Number and percentage of parents or family members that read to or encourage their children to read three or more times a week (birth to 5 years old) or reported their child read to themselves three or more times a week (K-8th grade)
 - GPRA 9.2. Number and percentage of parents/family members who report talking about importance of college and career (9th-12th grade)

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—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 to 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 an indicator. For example, an indicator, such as the percentage 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, 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 desired results. The federal department funding each program determines these indicators and includes them in the funding notices. For the Promise Neighborhoods, there are 10 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.

Performance measure data—Measures to understand if individual programs and services are working. Performance measures answer questions such as “How much did we do?”, “How well did we do it?”, and “Is anyone better off?”, to assess the quality and effectiveness of services delivered to participants. For Promise Neighborhoods, this will most often include each individual’s participation in specific programs or solutions and changes in people’s knowledge, behavior, health, emotions, attitudes, social conditions or relationships expected to result from a program activity or intervention

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.

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 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.

Partner schools—Schools that have a formal relationship with the Promise Neighborhood to provide services.

Penetration rate—A measure of the extent to which the implemented solutions and activities are reaching the relevant populations in the neighborhood or partner 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 status, activity, or change for an individual, group, or organization (e.g., children living in the Promise Neighborhood or attending a partner 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 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 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 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.

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. 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 statistics—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 partner 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 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.

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.

Resources

[*The Catalog of Administrative Data Sources for Neighborhood Indicators: A National Neighborhood Indicators Partnership Guide*](#). This monograph begins with a brief section on recent developments in neighborhood indicators work, followed by a discussion of some practical and methodological challenges of using administrative records data for indicators. The main body of the monograph is a catalog that describes the types of administrative records being used to craft neighborhood indicators. The descriptions are brief, and, where possible, the reader is referred to sources for additional information.

[*National Neighborhood Indicators Partnership's Community Indicator Projects*](#) All of the NNIP partners have recurrently updated neighborhood data systems covering a variety of topics. In some cities, partners also use data within community indicator projects. In this approach, indicators are selected either across topical domains or with a focus (like children) to collectively track trends in community well-being and quality of life. A community indicators project offers the opportunity to discuss what is important, to systematically review whether things have been getting better or worse, and to establish priorities for policy response.

[*US Census Bureau*](#) Explore Census Data geographies.

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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 2.1: Data Plan Template

Promise Neighborhoods Implementation Grantee Data Plan Template

Updated April 25 2025

INSTRUCTIONS

This Guidance Document (Third Edition) recommends data collection strategies, sources, and methods for the Promise Neighborhoods community at large, as well as relevant federal statutes and research standards that must be observed when collecting data for Promise Neighborhood programs. This includes required Government Performance and Results Act (GPRA) indicators, but also other data that grantees need to measure performance and improve results.

This Data Plan provides a coordinated approach to help Promise Neighborhoods grantees map out strategies to plan for and collect data in alignment with Guidance Document recommendations and federal government requirements. The Data Plan is 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. The Data Plan guides grantees through the following data tasks:

- Setting baselines and targets, and determining data collection plans for collecting actual performance data from the solutions outlined in your initial grant application in each year of the grant program
- Obtaining IRB approval plan for all covered research activities
- Collecting consent to track individual-level personally identifiable data and share that data with other partners, as applicable
- Conducting reliable Neighborhood and School Climate Surveys

Completing the Data Plan – A Checklist

- Add the Promise Neighborhood name in the space provided on the top of page A2.1-2.
- Enter baseline data (year 1), targets (years 2 – 5), and documentation of sources in the Collecting Baseline Data and Setting Targets section.
- Explain how data will be collected and stored in the Collecting and Storing Data section.
- Describe plans for collecting reliable survey data in the Conducting Neighborhood and School Climate Surveys section.
- Document plans for obtaining IRB approval for covered research activities in the Obtaining IRB Approval section.
- Document plans for obtaining informed consent for data collection and sharing activities in the Obtaining Informed Consent section.
- Document plans for building a system capable of collecting, storing, and reporting on performance and GPRA data in the Building a Longitudinal Data System section.

[PROMISE NEIGHBORHOOD NAME] DATA PLAN

Collecting Baseline Data and Setting Targets

Promise Neighborhoods implementation grantees are required to submit baseline data (year 1) and to set targets for years 2-5 for each GPRA indicator. In their Annual Performance and Ad Hoc reports, grantees will provide actual performance data that aligns with these targets.

Grantees should provide all baseline data in the Baseline and Target Setting portion of the Data Plan. Baseline data are collected in the first year of the grant, using data sources and collection procedures recommended in this Guidance Document (Third Edition). If complete baseline data are not available for any GPRA indicator, please state when baseline data will be available and from which data source. Grantees must update and resubmit the data plan when final baseline data are available.

Targets are required for each GPRA indicator in each of years 2-5 of the program. Grantees should refer to the Promise Neighborhoods Target Setting Guidance during this process. Westat and Urban Institute will also provide grantee-specific technical assistance on target setting. However, the work of gathering data, reviewing baselines, and calculating targets (by analyzing programs and developing performance measures for each solution) is the responsibility of grantees and their evaluation partners. The U.S. Department of Education will allow grantees to set ranges for GPRA indicators with uncertain future values and acknowledges that target setting will be an iterative process throughout implementation as more performance data is available. Any revised targets will need to be reviewed by the Department and Westat and approved by the Department before they can be updated.

Grantees should provide all final targets in the Baseline and Target Setting portion of the Data Plan. Grantees should also enter targets in Promise Scorecard when submitting their Ad Hoc report and all subsequent APR and Ad Hoc reports.

In the Baseline and Target Setting tables, grantees should fill in the following information for each GPRA indicator.

- **Associated Solutions:** List all the programs or activities that comprise the pipeline solutions meant to impact this result area.
- **Baseline Data Source, and Year:** Briefly describe the baseline data used for setting targets and identify the source and the year those data were collected (e.g., “Parents who read to children three or more times a week, Neighborhood Survey, 2022”). More details on data sources will be provided in the Collecting and Storing Data and Conducting Neighborhood and School Climate Survey sections. See chapter 4 of this Guidance Document (Third Edition) for information on data sources.
- **Baseline:** Enter GPRA indicator value (percentage or rate) for baseline year (e.g., “88%”). Note: The indicator description includes in parentheses the reference number for the GPRA calculation from the Guidance Document (Third Edition) amended chapter 4 (e.g., “Kindergarteners (1.a)”).
- **Baseline Calculation:** Enter numerator and denominator for calculated baseline (e.g., “961/1,096”).
- **Targets:** Enter GPRA indicator target values for Years 2-5. A target range may be provided (e.g., “90 – 95%”).
- **Target Calculation:** Enter numerator and denominator for calculated targets (e.g., “986/1,096 – 1,041/1,096”).
- **Target Assumptions and Evidence Base:** Describe the process for setting the performance targets for this result, including all assumptions made and research or other evidence used.

An example of a completed section of the Baseline and Target Setting portion of the Data Plan is available in the Promise Neighborhoods Target Setting Guidance.

Please complete the tables below. The School Coverage and GPRA Reporting table identifies the schools included in your Promise Neighborhoods target area, the grade levels each school serves (e.g., PreK–5, 6–8, 9–12, etc.). For each GPRA indicator, indicate whether the school is included in your data reporting (mark the cell with an “X” for yes, or leave it blank for no). Use the notes column to explain any limitations.

Baseline and Target Setting Tables

Baseline and Target Setting	Baseline Year 1	Year 2	Year 3	Year 4	Year 5	Baseline Data Source and Year
GPRA 1: Number and percentage of 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.						
Associated Solutions:						
Kindergarteners (1.a)						
Baseline (%):						
Baseline Calculation:						
Targets (%):						
Target Calculation:						
Target Assumptions and Evidence Base:						
GPRA 2: Students are proficient in core academic subjects:						
2.1 Number and percentage of students at or above grade level according to State mathematics assessments in at least the grades required by the ESSA (3rd through 8th grades and once in high school).						
2.2 Number and percentage of students at or above grade level according to State English language arts assessments in at least the grades required by the ESSA						
Associated Solutions:						
Mathematics (2.1)						
Baseline (%):						
Baseline Calculation:						
Targets (%):						
Target Calculation:						
English language arts (2.2)						
Baseline (%):						
Baseline Calculation:						
Targets (%):						
Target Calculation:						
Target Assumptions and Evidence Base:						
GPRA 3: Students successfully transition from middle school grades to high school:						
3.1 Attendance rate of students in 6th, 7th, 8th, and 9th grade as defined by average daily attendance.						
3.2 Chronic absenteeism rate of students in 6th, 7th, 8th, and 9th grades						
Associated Solutions:						
Average daily attendance (3.1)						
6th Grade						
Baseline (%):						
Baseline Calculation:						
Targets (%):						
Target Calculation:						
7th Grade						
Baseline (%):						
Baseline Calculation:						
Targets (%):						
Target Calculation:						

Baseline and Target Setting	Baseline Year 1	Year 2	Year 3	Year 4	Year 5	Baseline Data Source and Year
8th Grade						
Baseline (%):						
Baseline Calculation:						
Targets (%):						
Target Calculation:						
9th Grade						
Baseline (%):						
Baseline Calculation:						
Targets (%):						
Target Calculation:						
Chronic absenteeism rate (3.2)						
6th Grade						
Baseline (%):						
Baseline Calculation:						
Targets (%):						
Target Calculation:						
7th Grade						
Baseline (%):						
Baseline Calculation:						
Targets (%):						
Target Calculation:						
8th Grade						
Baseline (%):						
Baseline Calculation:						
Targets (%):						
Target Calculation:						
9th Grade						
Baseline (%):						
Baseline Calculation:						
Targets (%):						
Target Calculation:						
Target Assumptions and Evidence Base:						
GPRA 4: Youth graduate from high school (Four-year adjusted cohort graduation rate).						
Associated Solutions:						
4-year cohort graduation rate						
Baseline (%):						
Baseline Calculation:						
Targets (%):						
Target Calculation:						
Target Assumptions and Evidence Base:						

Baseline and Target Setting	Baseline Year 1	Year 2	Year 3	Year 4	Year 5	Baseline Data Source and Year
GPRA 5:²¹ High school graduates obtain a postsecondary degree, certification or credential: 5.1 Number and percentage of Promise Neighborhood students who enroll in a two-year or four-year college or university after graduation. 5.2 Number and percentage of Promise Neighborhood students who graduate from a two-year or four-year college or university or vocational certification completion.						
Associated Solutions:						
Enrollment in a two-year or four-year college or university after graduation (5.1)						
High school graduation cohort year (e.g., class of 2025)						
Baseline (%):						
Baseline Calculation:						
Targets (%):						
Target Calculation:						
Completion of 2- or 4-year college or university degree or vocational certification within 100 or 150 percent of traditional time²² (see GPRA 5 Tracking and Ad Hoc Reporting Schedule by High School Graduating Class Cohorts and GPRA 5.2 worksheet for guidance on calculating combined measure.)						
Baseline (%):						
Baseline Calculation:						
Targets (%):						
Target Calculation:						
GPRA 6: Students are healthy: Number and percentage of children who consume five or more servings of fruits and vegetables daily.						
Associated Solutions:						
Percent of students who consume fruits and vegetables daily (6)						
Baseline (%):						
Baseline Calculation:						
Targets (%):						
Target Calculation:						
Target Assumptions and Evidence Base:						
GPRA 7: Students feel safe at school and in their community: Number and percentage of children who feel safe at school and traveling to and from school as measured by a School Climate Survey.						
Associated Solutions:						
Percent of students who feel safe at school and traveling from school (7.c)						
Baseline (%):						
Baseline Calculation:						
Targets (%):						
Target Calculation:						

²¹ For more guidance on GPRA 5 data collection and reporting, see chapter 4 the Guidance Document (Third Edition) and GPRA 5 Tracking and Ad Hoc Reporting Schedule by High School Graduating Class Cohorts.)

²² Includes graduates from prior high school graduation cohorts who completed their degree or credential during the grant reporting year (e.g., “completers” reported in Baseline Year 1 may include 2-year degree completers from a high school graduation cohort that graduated 2 years before Year 1 of the grant).

Baseline and Target Setting	Baseline Year 1	Year 2	Year 3	Year 4	Year 5	Baseline Data Source and Year
Target Assumptions and Evidence Base:						
GPRA 8: Students live in stable communities: Student mobility rate (as defined in the notice)						
Associated Solutions:						
Student mobility rate (8)						
Baseline (%):						
Baseline Calculation:						
Targets (%):						
Target Calculation:						
Target Assumptions and Evidence Base:						
GPRA 9: Families and community members support learning in Promise Neighborhood schools: 9.1 Number and percentage of parents or family members that read to or encourage their children to read three or more times a week (birth to five-years-old) or reported their child read to themselves three or more times a week (kindergarten to 8th grade). 9.2 Number and percentage of parents/family members who report talking about the importance of college and career (9th–12th grade).						
Associated Solutions:						
Parents/family members reported their child read to themselves three or more times a week (9.1.c)						
Baseline (%):						
Baseline Calculation:						
Targets (%):						
Target Calculation:						
Parents/family members reported talking about the importance of college and career (9.2.c)						
Baseline (%):						
Baseline Calculation:						
Targets (%):						
Target Calculation:						
Target Assumptions and Evidence Base:						
GPRA 10: Students have access to 21st century learning tools: Number and percentage of students who have school and home access to broadband internet and a connected computing device.						
Associated Solutions:						
Students with internet access both at home and at school (10.c)						
Baseline (%):						
Baseline Calculation:						
Targets (%):						
Target Calculation:						
Target Assumptions and Evidence Base:						

Collecting and Storing Data

Promise Neighborhoods grantees must collect and report data on 10 GPRA indicators specified by the Department. For each GPRA indicator, please summarize the data source and frequency, target population, age/grade category,

level of data collection, and data storage. See chapter 4 of the Guidance Document (Third Edition) for information on data sources.

GPRA 1. Number and percentage of 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.	
Data Source and Frequency	
Target Population	
Age/Grade	
Level of Data Collection	
Data Collection Plan	
Data Storage	

GPRA 2. Students are proficient in core academic subjects: 2.1 Number and percentage of students at or above grade level according to State mathematics assessments in at least the grades required by the ESSA (3rd through 8th grades and once in high school). 2.2 Number and percentage of students at or above grade level according to State English language arts assessments in at least the grades required by the ESSA.	
Data Source and Frequency	
Target Population	
Age/Grade	
Level of Data Collection	
Data Collection Plan	
Data Storage	

GPRA 3. Students successfully transition from middle school grades to high school: 3.1 Attendance rate of students in 6th, 7th, 8th, and 9th grade as defined by average daily attendance. 3.2 Chronic absenteeism rate of students in 6th, 7th, 8th, and 9th grades.	
Data Source and Frequency	
Target Population	
Age/Grade	
Level of Data Collection	
Data Collection Plan	
Data Storage	

GPRA 4. Youth graduate from high school (Four-year adjusted cohort graduation rate).	
Data Source and Frequency	
Target Population	
Age/Grade	
Level of Data Collection	
Data Collection Plan	
Data Storage	

GPRA 5. High school graduates obtain a postsecondary degree, certification or credential: 5.1 Number and percentage of Promise Neighborhood students who enroll in a two-year or four-year college or university after graduation. 5.2 Number and percentage of Promise Neighborhood students who graduate from a two-year or four-year college or university or vocational certification completion.	
Data Source and Frequency	
Target Population	
Age/Grade	
Level of Data Collection	
Data Collection Plan	
Data Storage	

GPRA 6. Students are healthy: Number and percentage of children who consume five or more servings of fruits and vegetables daily.	
Data Source and Frequency	
Target Population	
Age/Grade	
Level of Data Collection	
Data Collection Plan	
Data Storage	

GPRA 7. Students feel safe at school and in their community: Number and percentage of children who feel safe at school and traveling to and from school as measured by a School Climate Survey.	
Data Source and Frequency	
Target Population	
Age/Grade	
Level of Data Collection	
Data Collection Plan	
Data Storage	

GPRA 8. Students live in stable communities: Student mobility rate (as defined in the notice) [number of student entries and withdraws at target PN schools, from the first day of enrollment until end of school year, divided by the first official enrollment count of the academic year].	
Data Source and Frequency	
Target Population	
Age/Grade	
Level of Data Collection	
Data Collection Plan	
Data Storage	

GPRA 9. Families and community members support learning in promise Neighborhood Schools: 9.1 Number and percentage of parents or family members that read to or encourage their children to read three or more times a week or reported their child read to themselves three or more times a week (birth–8th grade). 9.2 Number and percentage of parents/family members who report talking about the importance of college and career (9th–12th grade).	
Data Source and Frequency	
Target Population	
Age/Grade	
Level of Data Collection	
Data Collection Plan	
Data Storage	

GPRA 10. Students have access to 21st century learning tools: Number and percentage of students who have school and home access to broadband internet and a connected computing device.	
Data Source and Frequency	
Target Population	
Age/Grade	
Level of Data Collection	
Data Collection Plan	
Data Storage	

Conducting Neighborhood and School Climate Surveys

Conducting a Neighborhood Survey and School Climate Survey can be an involved and complicated process, so it is important to allow sufficient time to achieve good results. The goal should be to collect reliable survey data that can be used to track progress over time. Neighborhood surveys should be conducted in grant years 1, 3, and 5 (although can be done more frequently), and School Climate Surveys should be conducted in every grant year. Please indicate in the table below the plans for the neighborhood and School Climate Surveys. If there are related documents to any step (e.g., survey questionnaire, interviewer training agenda, sampling plan) please describe those documents and submit as an attachment to this Data Plan. Grantees will be asked to provide updated survey documentation in Promise Scorecard for each APR or Ad Hoc submission when new survey data are reported. See discussion of neighborhood and School Climate Surveys in chapter 7 of the Guidance Document (Third Edition) and [Preparing and Fielding High-Quality Surveys](#) for more information.

Neighborhood Survey Planning	
Expected grant years for survey administration	
I. Population Description	
Definition and geographic area	
Estimated population size	
II. Sampling Frame and Design	
Sampling method (e.g., simple random, stratified, clustered, full population)	
Expected sample size	
Expected coverage of population (%)	
Stratification or clustering strategy (if applicable)	
Oversampling strategy (if applicable)	
Source of sample	
III. Fielding	
Describe the survey fielding approach (e.g., in-person, phone, mail, online; preselected addresses, random addresses in a geographic area)	
Who will field the survey (survey firm, grantee staff, local paid staff, local volunteers, etc.)?	
When during the year will the survey be fielded?	
How long will survey responses be collected?	
What strategies will be used to increase survey response rates?	
IV. Questionnaire	
Do you plan to use the Guidance Document (Third Edition) recommended questions for collecting GPRA data through the survey? If not, please list the specific questions you will use or attach a copy of your questionnaire to your Data Plan.	
Do you plan to use the survey to collect other, non-GPRA data? If so, please list specific questions or attach a copy of your questionnaire.	
Describe plans for testing and refining questionnaire.	

Neighborhood Survey Planning	
V. Analysis	
When will survey data analysis be conducted?	
Will survey weighting be used to adjust for sample design and/or representativeness? If yes, please describe.	
When will survey data be available for reporting?	
VI. Challenges and TA	
Please describe any challenges you anticipate in being able to administer a successful Neighborhood Survey and any areas where technical assistance would be helpful.	

School Climate Survey Planning	
Expected grant years for survey administration	
Will you be using an existing School Climate Survey administered by the school district or will you be creating a new School Climate Survey for your Promise Neighborhood?	
I. Population Description	
Definition, schools, and grades	
Estimated population size	
II. Sampling Frame and Design	
Sampling method (e.g., simple random, stratified, clustered, full population)	
Expected sample size	
Expected coverage of population (%)	
Stratification or clustering strategy (if applicable)	
Oversampling strategy (if applicable)	
Source of sample	
III. Fielding	
Describe the survey fielding approach (e.g., in-school, take home; paper, online)	
Who will field the survey (survey firm, grantee staff, school staff, etc.)?	
When during the school year will the survey be fielded?	
How long will survey responses be collected?	
What strategies will be used to increase survey response rates?	
IV. Questionnaire	
Do you plan to use the Guidance Document (Third Edition) recommended questions for collecting GPRA data through the survey? If not, please list the specific questions you will use or attach a copy of your questionnaire to your Data Plan.	
Do you plan to use the survey to collect other, non-GPRA data? If so, please list specific questions or attach a copy of your questionnaire.	
Describe plans for testing and refining questionnaire.	
V. Analysis	
When will survey data analysis be conducted?	
Will survey weighting be used to adjust for sample design and/or representativeness? If yes, please describe.	
When will survey data be available for reporting?	
VI. Challenges and TA	
Please describe any challenges you anticipate in being able to administer a successful School Climate Survey and any areas where technical assistance would be helpful.	

Obtaining IRB Approval

[Under Department of Education regulations](#), all Promise Neighborhoods grantees are required to obtain approval from an Institutional Review Board (IRB) for all covered research activities before the research takes place. Westat and Urban Institute will provide technical assistance on the IRB process as needed. The table below lists research activities conducted by Promise Neighborhoods implementation grantees that should be considered in the IRB approval process. In the table below, next to the research activities, please note the date of IRB submission, whether it was an expedited or a full review, and the status of the review and any follow-up steps. Please attach signed determination letters to the Data Plan. For more information, see *Promise Neighborhood Technical Assistance on Institutional Review Board (IRB) Approval*.

Covered Research Activity	Date of Submission—Expedited, Full, or No Review	Status of Review and Follow-Up
Collecting personally identifiable information from administrative data sources, including school district records on students under 18 years old and linking those data in a case management system for the purpose of tracking program performance and measuring outcomes.		
Collecting personally identifiable information through an intake process for the purpose of providing services to families with children and individuals (adults and children) and linking those data in a case management system for the purpose of tracking program performance and measuring outcomes.		
Collecting anonymous survey data on neighborhood residents, including specific information on children under 18 years old, for the purpose of tracking program performance and measuring outcomes.		
Collecting anonymous survey data in schools on students under 18 years old for the purpose of tracking program performance and measuring outcomes.		

For grantees who have not yet received IRB approval, please describe or attach the following information that will be needed to prepare for IRB review.

IRB Review Component	Description	Status (attach if available)
Research Overview	Background, research objectives, funder name, research partners, data collection methods, sites to be visited, and any other relevant information	
Informed Consent Procedures	Forms used, description of informed consent notification and collection process	
Risks to Participants	Description of possible risks to participants	
Data Security Plan	Explains how data will be collected, stored, transmitted, and secured during each step. Will PGP data encryption be employed? If mailed, will trackable means be used? Who will have access? Are there “work arounds” that have been considered as alternatives to collecting sensitive data such as SSN’s, names and addresses, etc.? If hard copies are filed, where are the files stored, are they under lock and key, where are the keys stored, who has access?	
Staff Confidentiality Pledge	A copy of the pledge to be used	

IRB Review Component	Description	Status (attach if available)
Enrollment form/survey/ other protocols	At least a draft of the instrument in development and the IRB will need to review the final product before it is administered	
Research team	Biographies for the principal investigator and other senior researchers conducting the work	
Any other relevant information	For example, if another organization is a research partner and their IRB has reviewed any aspect of the work to be performed, please provide a copy of that approval	

Obtaining Informed Consent

Grantees should obtain informed consent from parents and other adults to track individual-level personally identifiable data and share that data with service providers and evaluation partners, as applicable. Please indicate in the table below the status of (planned, in progress, complete, etc.) and any other relevant details for the following tasks:

- **Approved Consent Agreement:** Development of a consent agreement for data disclosure and sharing, either in alignment with the model consent agreement as presented in Appendix 6.4 of the Guidance Document (Third Edition) or otherwise approved by the grantee’s program officer.
- **Consent Procedures:** Established procedures for collecting signed consent forms (enrollment, service delivery, etc.) as discussed in chapter 6 this Guidance Document (Third Edition).
- **Percentage of participants for which consent has been granted:** Current percentage for the Promise Neighborhood.

Task	Status
Approved Consent Agreement	
Consent Process	
Percentage of participants for which consent has been granted? (include date)	

Obtaining Parental Consent under FERPA & PPRA

Educational agencies and institutions that receive federal education funds are subject to two federal privacy laws: the Family Educational Rights and Privacy Act (FERPA) and the Protection of Pupil Rights Amendment (PPRA). Department grantees are required to comply with both of these laws. FERPA generally requires that parents and eligible students provide written consent before the school discloses personally identifiable information from the students' education records. (An "eligible student" is a student who has reached 18 years old or is attending a postsecondary institution at any age.) PPRA governs the administration to students of a survey, analysis, or evaluation that concerns one or more of eight protected areas, including information about illegal or anti-social behavior (such as drug use), sex behavior and attitudes, and critical appraisals of family members. In part, PPRA requires that schools directly notify parents of students who are scheduled to participate in a survey to PPRA and provide parents with an opportunity to review the survey and opt their child out of participation in the survey. Grantees that have questions about these laws may contact the Family Policy Compliance Office (FPCO) (www.ed.gov/fpc) by emailing FPCO at FERPA@ed.gov or PPRA@ed.gov.

Building a Longitudinal Data System

Please indicate in the table below the current status of the grantee’s ability to collect, store, and use the respective data sources recommended in this Guidance Document (Third Edition), as well as anticipated plans for collecting and using these data. The status may note any current challenges for each data source and whether the grantee expects to be able to incorporate these data into their system during their implementation grant. See chapter 5 of

this Guidance Document (Third Edition) for more discussion of data systems. In addition, although no longer a requirement for FY 2018 or later grantees, grantees may still find [Urban Institute’s restricted-use data files specification](#) helpful when thinking about how to structure their own longitudinal data system.

Data Source	Description	Status
Neighborhood survey data (collected biennially)	Individual-level data collected through Neighborhood Survey.	
School survey data (collected annually)	Individual-level data collected through a School Climate Survey.	
Summary school-level data (collected annually)	School-level data including all information used to report on GPRA indicators and other information about the target schools. The data should be provided by school and by grade where applicable. Ideally there will be separate summaries for students living inside and outside the PN footprint.	
Administrative/case management outcomes data (ongoing)	Individual-level records containing data for the GPRA indicators and other outcome measures. Individual-level data should be linkable to other administrative or case management data through a unique ID.	
Implementation data (ongoing)	These consist of two types of data: (1) individual-level data that track the type, quantity, duration and frequency of services delivered to PN participants; and (2) service-level data characterizing the full set of services provided.	
Demographic data (ongoing)	Individual-level data containing basic descriptive information on participants.	
Family roster data (ongoing)	List of all participant and non-participant family members living in the household with a recipient of PN services. Data contains one record per person in the child’s family with unique family member ID.	

Grantee Attachments

Appendix 2.2: Target Setting Guidance

Promise Neighborhoods Target Setting Guidance

Promise Neighborhood implementation grantees are required to submit baseline data (typically for year 1) and to set targets for years 2-5 for each GPRA indicator. In their Annual Performance Reports, grantees will provide actual performance data via implemented solutions.

Target setting often requires previous experience with indicators, and grantees will need to rely on a variety of data sources to inform the target setting process. This target setting guidance identifies several data sources, considerations, and methods grantees may consider when setting targets. Because each GPRA is likely supported by more than one solution, targets will likely be aggregates of expected outcomes for each solution supporting the specific GPRA indicator.

Targets are required for each GPRA indicator in each of years 2-5 of the program. Grantees should refer to this Target Setting Guidance during this process. Insight Policy Research and Urban Institute will also provide grantee-specific technical assistance on target setting. However, the work of gathering data, reviewing baselines, and calculating targets (by analyzing programs and developing performance measures for each solution) is the responsibility of grantees and their evaluation partners. The Department will allow grantees to set ranges for GPRA indicators with uncertain future values and acknowledges that target setting will be an iterative process throughout implementation as more performance data is available. Any revised targets will need to be reviewed by the Department and the technical assistance team and approved by the Department before they can be updated.

Grantees should reach out to their technical assistance site liaisons and their Program Officer regarding any questions about the target setting process and required data submission timeline.

After reviewing this document, grantees should be able to submit complete targets in both the grantee Data Plan and Ad Hoc report. This document covers the following aspects of target setting:

- Things to Consider When Selecting Targets
- Suggested Steps for Developing Outcome Targets
- Data Sources for Selecting Specific Outcome Targets
- Reporting Final Targets and Reviewing Annual Target Progress
- Sources for GPRA Statistics, Standards, and Other Data
- Promise Neighborhoods GPRA Benchmark Statistics and Sources

Things to Consider When Selecting Targets²³

Target setting is a complicated process. Grantees should consider several factors to set appropriate targets over the entire grant period.

1. Consider previous performance—This should be a major factor in determining targets.
2. Consider the outcomes achieved in the past for different populations—For example, use the highest or average outcome achieved for any one demographic category as the target for all categories. If a program indicated successful outcomes for, say, 53 percent of students in one school district and 48 percent of

²³ Adapted from H.P. Hatry. *Performance measurement: Getting results*, 2nd ed. Washington DC: The Urban Institute, 2006.

students in another school district, setting a future overall target of 53 percent—for each school district and in the aggregate—would encourage high performance with all districts.

3. Consider the performance levels achieved by other communities, school districts, or programs—This is benchmarking against the best programs and means setting targets at or near the best or average outcomes achieved by other organizations.
4. Consider a standard set by previous research, programs, or professional associations for a given outcome indicator.
5. Make sure the targets chosen are feasible, given the program’s budget and staffing plan for the year—Keeping the same target despite reduced budgets can probably be achieved up to a point, but eventually cutbacks in resources should be reflect in reduced targets.
6. Identify any new developments—internal and external—that may affect the program’s ability to achieve desired outcomes—For example, a state department of education may indicate plans to change its school-based assessments between reporting periods.
7. A target does not have to be a single value—A range is a reasonable alternative, especially if a substantial amount of uncertainty exists. For example, if the outcome indicator is expressed as a percentage, the target might be expressed as the most likely achievable percent, plus or minus 5 percentage points. (See box on target ranges below.)

For Promise Neighborhoods, ranges are encouraged as a target-setting option for indicators with little to no previous performance data and highly uncertain future values.

A range of values, rather than one number, is given as the target for the indicator. Here are some examples of target ranges:

1. For 2019, the target chronic absenteeism rate will be in the range of 15 to 21 percent.
2. The student mobility rate during the 2019 performance year will be between 30 and -35 percent.

Suggested Steps for Developing Outcome Targets²⁴

Grantees should follow these steps to develop and review their targets.

1. Examine the Promise Neighborhood’s continuum of solutions and projected level of effort for each solution.
2. For each solution, estimate the impact of effort on outcomes to provide an initial estimate of targets compatible with the amount of resources for the program’s proposed performance period. That is, grantees should consider the level of effort to be made by each solution when setting targets. This is especially important during the phase in period when a solution is “getting to scale.”
3. Consider a range of uncertainties/factors involved in meeting the targets. **(See the next section on sources of information for selecting targets.)**
4. Consider the range of solutions that align with the GPRA indicators they are designed to affect. **(See text box below on setting targets linked with a continuum of solutions.)**
5. Consider the level of outcomes achieved by similar organizations or under various conditions. For example, the outcomes achieved by other communities that provide similar services are benchmarks the program may want to emulate.

²⁴ Adapted from H.P. Hatry. *Performance measurement: Getting results, 2nd ed.* Washington DC: The Urban Institute, 2006.

6. Review the findings and recommendations from any recent program evaluations to identify past performance levels and past problems. Consider their implications for the coming years.

For Promise Neighborhoods, target setting is closely linked to a grantee’s continuum of solutions through which mixes of multiple interventions support each GPRA indicator. Each solution should have a set of associated implementation and performance measures that help grantees decipher whether each solution is effective and whether the continuum of solutions is seamless. Because each GPRA is likely supported by more than one solution, targets will likely be aggregates of expected outcomes for each solution supporting the specific GPRA indicator.

Consider that solutions do not align one-to-one with the GPRA indicators they are designed to affect. One solution may affect multiple indicators, and one indicator may be affected by multiple solutions. Target numbers and percentages served in one solution do not translate directly to movements in numbers and percentages on an overall indicator affected by multiple solutions. **When setting targets for GPRA indicators, grantees should estimate the aggregate effects of all applicable solutions.**

Sources of Information for Selecting Specific Outcome Targets²⁵

Grantees should consider the following sources of information to help them set appropriate targets.

1. Past outcome levels (I)—The most recent outcomes and time trends provide a starting point for setting the outcome targets. For example, recent trends may indicate that the values for a particular outcome indicator have been increasing annually by 10 percent; this would suggest that next year’s number should increase at a similar or even higher rate.
2. Past outcome levels (II)—If the values for an outcome indicator are already high, only small improvements in the outcome level can reasonably be expected. If the values for an outcome indicator are low, future improvements can be expected to be larger (i.e., there is more room for improvement).
3. Amount of dollars and personnel resources expected to be available through the target period—If staff and funds are reduced or increased, how will this affect the program’s ability to produce desired outcomes?
4. Amount of outside resources expected to supplement the program’s resources—If such resources can play a significant role in producing the outcomes sought by the program, how is this likely to affect the outcomes?
5. Factors likely to be present in the wider environment through the performance period—These include factors such as the economy, demographic shifts, and major changes in the community.
6. Recent or pending changes in legislation and other requirements—To what extent will new legislation, regulations, or other requirements likely to increase or decrease the ability of the program to produce favorable outcomes?
7. Changes planned by the program in policies, procedures, technology, and so on—It is important to consider time needed to implement such changes.
8. Likely lag times from the time the program is implemented until the outcomes are expected to occur—For some outcome indicators, effects will be expected in the performance period they occur, but for others, effects will occur primarily in the out years.

²⁵ Ibid

Reporting Final Targets and Reviewing Annual Target Progress

Both the initial target submissions in the grantee Data Plans and the final submissions in the annual performance reports should include explanations of how targets were set for each indicator, acknowledging the grantee’s baseline data, actual performance data in the previous and current years, the continuum of solutions supporting each indicator, and previous data or other evidence (such as benchmarks and standards) used in target setting and revision. The below narrative offers a model for the target setting process both initially and in annual performance reports, as well as an example of how targets will be submitted in a grantee’s Data Plan.

Initial Target Setting and Submission in the Grantee Data Plan

Sample Thought Process:²⁶ Our 2022 baseline data show that only 25 percent of 3-year-olds in the Promise Neighborhoods demonstrated age-appropriate functioning. We are implementing the ABC model across our five service partners. When a nearby pre-K program implemented the ABC model, their results showed that 90 percent of children in the program for three years exhibited age-appropriate functioning at three years old. We think we can fully implement this program by September 2023 and enroll 126 3-year old PN children by then, for 14 percent coverage. By year 5 we can achieve 84 percent coverage. Based on this information, we have set the below ranges for age-appropriate functioning among 3-year-olds for the PN population.

We made several simplifying assumptions – one of which is that we don’t assume any program attrition. Even then, and with what is probably a very high success rate of 90 percent for children receiving the full three-year treatment, we only reach 39 percent age-appropriate functioning by 2026 because we separated the population by the age at which children entered the program and therefore their separate durations of treatment and expected program effects. Not all children reached by the program (and some still won’t be reached by 2026 given our assumed penetration rates) will receive the full three-year treatment required for a 90 percent success rate.

Note: Setting targets will require grantees to make several assumptions, and there are several acceptable methods for grantees to do that. Grantees are expected to articulate the assumptions made based on the data available in their own target setting processes.

Sample Data Plan Submission:

Baseline and Target Setting	2023	2024	2025	2026	2027	Baseline Data, Source, and Year
GPRA 1: Number and percentage of 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.						
Associated Solutions: ABC Model: Service partner #1, Service partner #2, ..., Service partner #5						
Kindergarteners (1.a)						
Baseline:	25%					Children entering kindergarten with age-appropriate functioning, Early Childhood State Assessment (ECSA), 2023
Baseline Calculation:	50/200					
Targets:		20-30%	20-30%	22-32%	34-44%	
Target Calculation:		40-60/ 200	40-60/ 200	44-64/ 200	68-88/ 200	
Target Assumptions and Evidence Base: We are implementing the ABC model across our five service partners. When a nearby pre-K program implemented the ABC model with three- and four-year olds, their results showed that 90 percent of children in the program exhibited age-appropriate functioning at entry to kindergarten. We will begin implementing this program in September 2023 and enroll 126 3-year old PN children, for a coverage rate of 14 percent. By year 5 we can achieve coverage of 84 percent. Initial results will not be observed until 2026 when first cohort of three-year olds enters kindergarten. Effectiveness of the program is expected to increase in later years to reach impact documented by the other program.						

²⁶ This is a completely fictitious example for illustrative purposes only. It is written from the perspective of a grantee who was awarded Promise Neighborhoods funding in FY 2022 and whose grant begins in 2023.

Nearby pre-K previous program results (90% after 3 years) and expected PN program penetration rates:
 Y2- 14% Y3-28% Y4-56% Y5-84%

Annual Target Reviews and Discussion in the APR

Understanding whether the children enrolled in the Promise Neighborhoods are meeting age-appropriate targets is important for grantees’ own evaluation purposes. Although targets are set for each out-year in advance, grantees should review targets against actual performance data on an annual basis, as more data becomes available to provide further understanding of prior performance and future expectations of program outcomes. In addition, grantees are expected to discuss their performance relative to their previously specified targets in their annual performance reports (APR) and Ad Hoc reports for the Department. The example below provides a model of how grantees can report and discuss their performance relative to targets in their Ad Hoc report.

Ad Hoc Submission:

3.a. Performance Measure	Measure Type	Quantitative Data					
		2024 Target			2024 Actual Performance Data		
		Raw Number	Ratio	%	Raw Number	Ratio	%
Attendance rate of students in 6th, 7th, 8th, and 9th grade as defined by chronic absenteeism.	GPR3	126	126/661	19%	96	96/661	15%

Explanation of Progress (Include Qualitative Data and Data Collection Information):

Shown above is the aggregated number and percentage of 6th, 7th, 8th, and 9th grade students who were chronically absent during school year 2023-24, defined as missing 10 percent or more of enrolled school days. Our 2023 Ad Hoc reported a baseline attendance rate of students in 6th, 7th, 8th, and 9th grade as defined by chronic absenteeism of 25 percent. For 2024, our target was set at 19 percent based on the average chronic absentee rate over the past three school years and the substantial downward trend shown in that beginning of year data. Our 2024 Ad Hoc actual performance data reported a chronic absentee rate of just 15 percent, calculated using the recommended data source and formula in this Guidance Document (Third Edition). This means the actual chronic absenteeism rate was 4 percentage points less than our target rate. We are reviewing these data with our partners to identify the root causes of the slower progress and will continue to work toward our set targets. We currently expect our 2025 chronic absenteeism rate to be between 8-12 percent. This target range considers the prior performance data and downward trend, but also recognizes that given this substantial improvement, only smaller improvements in the GPR3 indicator can now be reasonably expected.

Sources for GPR3 Statistics, Standards, and Other Data:

As stated before, experience with an indicator is important in setting targets. The Urban Institute has researched benchmark statistics and sources for GPR3 indicators and, where they exist, data sources are provided in the Promise Neighborhoods GPR3 Benchmark Statistics and Sources section. Grantees should also estimate the impact of partial coverage and less-than-complete implementation of a solution on the indicators, ideally based on research specific to the solution implemented if available. The following resources may be useful in finding appropriate data and research on solutions.

- [Child Trends Publications](#)
- [NCES DataLab](#)
- [NCES Fast Facts](#)
- [NEA Reference Center](#)
- [ED Data Express](#)

- [Child Health Data](#)
- [CDC Healthy Youth](#)
- [Bureau of Justice Statistics School Data](#)
- [Current Population Survey Supplements](#)
- [Education Longitudinal Survey of 2002](#)
- [Early Childhood Longitudinal Study, Kindergarten Class of 1998-99 \(ECLS-K\)](#)
- [Early Childhood Longitudinal Study, Birth Cohort \(ECLS-B\)](#)
- [Johns Hopkins Center for Social Organization of Schools](#)
- [*The Annenberg Institute at Brown University*](#)
- [Urban Institute Work, Education, and Labor](#)

Promise Neighborhoods GPRA Benchmark Statistics and Sources

For each GPRA indicator, the Urban Institute provided a national benchmark, source, and notes on comparability with GPRA requirements.

GPRA 1: Children enter kindergarten ready to succeed in school

No appropriate national benchmarks identified for this measure.

GPRA 2: Students are proficient in core academic subjects

Grantees should compare their measures to state level benchmarks as standards differ across states.

GPRA 3: Students successfully transition from middle school grades to high school

National benchmark for GPRA 3.1 Attendance rate of students in 6th, 7th, 8th, and 9th grade as defined by average daily attendance (ADA): 96 percent in 2011-2012. (Source: 2011-2012 estimates by the National Education Association). ADA estimated by NEA includes all elementary and secondary students. GPRA only asks for 6th, 7th, 8th and 9th graders.

National benchmark for GPRA 3.2 Chronic absenteeism rate of students in 6th, 7th, 8th, and 9th grades: a study published in 2012 estimates that 10 to 15 percent of students were chronically absent nationally. (Source: [Johns Hopkins School of Education, The Importance of Being In School](#)). Chronic absenteeism national data is less available and reliable than ADA.

GPRA 4: Youth graduate from high school (Four-year adjusted cohort graduation rate)

National benchmark for state-level adjusted cohort graduate rates for the 2010–2011 academic year ranged from 59 percent to 88 percent, with a median of 80 percent across the 50 states. (Source: [ED Data Express](#)). Given the

range of graduation rates nationally, Promise Neighborhoods should consider benchmarking progress against their state's rates.

GPRA 5: High school graduates obtain a postsecondary degree, certification or credential

No appropriate national benchmarks identified for this measure.

GPRA 6: Students are healthy and consume five or more servings of fruits and vegetables daily

National benchmark in 2011: 23 percent of 9th-12th students consumed five or more servings of fruits and vegetables daily. (Source: 2011 Youth Risk Behavior Survey) GPRA definition is for middle and high school students while the national statistics are for high school students only.

GPRA 7: Students feel safe at school and in their community

National benchmark in 2009: 96 percent of students ages 12-18 reported not being afraid of attack or harm during the school year. (Source: [NCES Indicator of School and Crime Safety](#), Figure 17.1, page 73) GPRA definition is not exact match to question used for national number.

GPRA 8: Students live in stable communities

No appropriate national benchmarks identified for this measure.

GPRA 9: Families and community members support learning in Promise Neighborhood schools

National benchmark for GPRA 9.1 parents or family members that read to or encourage their children to read three or more times a week or reported their child read to themselves three or more times a week (birth–8th grade) contains two parts from 2005 and 1999, respectively:

- 55 percent of parents read to their children estimated in 2005 [2005. \(Source: Early Childhood Longitudinal Study, Birth Cohort\)](#).
- [59 percent of parents](#) encouraged their child to read in 1999. (Source: [Early Childhood Longitudinal Study Kindergarten Class of 1998-99](#))

National benchmark data for GPRA 9.2 parents/family members who report talking about the importance of college and career (9th–12th grade) also contains two parts, both from 2002:

- Talk about careers: 79 percent (Source: [NCES Educational Longitudinal Survey 2002](#))
- Talk about college: 75 percent (Source: [NCES Educational Longitudinal Survey 2002](#))

Note that NCES survey 2002 population was 10th graders, while the GPRA population is for all high school students.

GPRA 10: Students have access to 21st century learning tools

No appropriate national benchmarks identified for this measure.

Appendix 2.3: GPRA Target Assumptions

GPRA 3.2 Example Target Setting Narrative, Assumptions, and Questions to Prepare for Group Discussion about Chronic Absenteeism

Target Assumptions/Narrative:

Several patterns emerge from inspection of the historical data. First, the pandemic decreased attendance rates from 90 percent (2019-20 school year) to 75 percent (2000-21) and then rebounded in 2021-22 by regaining approximately half of the ground lost. The findings for chronic absenteeism further demonstrate the same pattern. When broken out by schools, some schools had particularly low average daily attendance at baseline compared to others. Additionally, across all schools, 9th grade average daily attendance and chronic absenteeism are substantially lower than in the middle school grades.











In terms of setting targets for these indicators, we consider the historical data and other factors. The recovery from the Pandemic has been uneven across sites. As a result, the Pipeline includes a relatively robust range of program solutions focused on our target schools, including several keystone programs operated by the school system and by the city that focus heavily on improving attendance. We have set our target values for both average daily attendance and chronic absenteeism to return to pre-Pandemic rates by 2026, reaching the 2019-20 baseline rates at a minimum, and 2019-20 districtwide rates as an aspirational goal. We recognize that implementation and scaling of solutions takes time, so we anticipate smaller increases in the earlier years with greater gains in later years. The district has launched an “Attendance Matters” campaign which should raise attendance rates and decrease chronic absenteeism at all schools, not just in the target PN schools. In addition, because rates of chronic absenteeism are so high, and daily attendance relatively low, we may witness some “regression to the mean” over the next few years.

In terms of barriers, several programs have expressed the need to engage families and children directly to educate them on the vital importance of attendance, and to reverse a motivational trend among high school youth that see paid work as an alternative to attending school. Several of the program solutions address this issue among high school students by providing career counseling, paid internships, and other work experiences that emphasize the importance of continuing to pursue one’s education as a means for successful employment.

Consider the following questions and prepare to share responses during group discussion of target setting:

- [Strengths] What parts of the target narrative align strongly with the target setting guidance?
- [Opportunities] What components may be missing or could be strengthened?

Appendix 4.1: Government Performance and Results Act Indicators and Results for Promise Neighborhoods

GPRA		Indicator	Result
1		Number and percentage of children in kindergarten who demonstrate age-appropriate functioning across multiple domains of early learning at the beginning of the program or school year as determined using developmentally appropriate early learning measures.	Children enter kindergarten ready to succeed in school.
2		2.1 Number and percentage of students at or above grade level according to State mathematics assessments in at least the grades required by the Elementary and Secondary Education Act (3rd through 8th grades and once in high school). 2.2 Number and percentage of students at or above grade level according to State English language arts assessments in at least the grades required by the ESEA	Students are proficient in core academic subjects.
3		3.1 Attendance rate of students in 6th, 7th, 8th, and 9th grades. 3.2 Chronic absenteeism rate of students in 6th, 7th, 8th, and 9th grades.	Students successfully transition from middle grades to high school.
4		Youth graduate from high school (four-year adjusted cohort graduation rate).	Youth graduate from high school.
5		5.1 Number and percentage of Promise Neighborhood students who enroll in a two-year or four-year college or university after graduation. 5.2 Number and percentage of Promise Neighborhood students who graduate from a two-year or four-year college or university or vocational certification completion.	High school graduates obtain a postsecondary degree, certification, or credential.
6		Number and percentage of children who consume five or more servings of fruits and vegetables daily.	Students are healthy.
7		Number and percentage of students who feel safe at school and traveling to and from school, as measured by a School Climate Survey.	Students feel safe at school and in their community.
8		Student mobility rate (entries and withdrawals from target schools).	Students live in stable communities.
9		9.1 Number and percentage of children from birth to kindergarten entry who have a parent who reads to them at least three times a week; parents who report encouraging their children (grades K-8) to read books outside of school. 9.2 For children in the 9th to 12th grades, the number and percentage of parents who report talking with their children about the importance of college and career.	Families and community members support learning in Promise Neighborhood schools.
10		Number and percentage 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.

Notes: GPRA = Government Performance and Results Act; GPRA 1-5 (blue) relate to education. GPRA 5-10 (gray) relate to family and community supports.

Appendix 4.2: Promise Neighborhood GPRA Indicators Planning

Promise Neighborhood GPRA Indicators Planning Table

GPRA Indicator	Preferred Data Source	Experience with this Data Source	Available Baseline Data	Recommendations/TTA for Year 1
1. age-appropriate functioning at kindergarten	Assessments at focus schools			
2. academic proficiency in math and English language arts	Administrative data			
3. average daily attendance and chronic absenteeism	Administrative data			
4. high school graduation	Administrative data			
5 postsecondary matriculation and completion	3rd party graduate tracking data			
6. fruits and vegetables	School Climate Survey			
7. student safety	School Climate Survey			
8. student mobility	Administrative data			
9. parental involvement in reading and college and career	Neighborhood Survey, School Climate Survey, or other data source			
10. student internet access	School Climate Survey			

Appendix 4.3: Neighborhood and School Climate Survey Questions for Select Government Performance and Results Act Measures

Appendix 4.3 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 6. Number and percentage of children who consume five or more servings of fruits and vegetables daily.

Survey Source: Youth Risk Behavior Survey 2011

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 7. Number and percentage of students who feel safe at school and traveling to and from school, as measured by a School Climate Survey.

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 9.1. Number and percentage of parents or family members that read to or encourage their children to read three or more times a week (birth to 5 years old) or reported their child read to themselves three or more times a week (K-8th grade).

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,..... 1
- Once or twice,..... 2
- 3-6 times, or 3
- Every day? 4

Survey Source: Early Childhood Longitudinal Study Kindergarten Class of 1998–99

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 9.2. Number and percentage of parents or family members who report talking about the importance of college and career (9th-12th grade).

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 10. Number and percentage 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: Adapted from the Forum Guide to Digital Equity developed by the National Forum on Education Statistics

Q1. Do you have access to the internet at home?

- A. Yes, all the time
- B. Yes, but it sometimes doesn't work or is too slow
- C. No, I don't have internet at home

Q2. Do you have your own device (e.g., laptop, tablet or desktop computer) to do schoolwork from home?

- A. Yes
- B. I share a device with others in my home
- C. No, I don't have a device at home
- D. I only use my phone
- E. I don't do schoolwork at home

Recommended additional question:

Can you do school activities online at home (like watching videos, joining video calls, uploading assignments) without the internet cutting out or being too slow?

- A. Yes, it works well most of the time
- B. Sometimes, but not always
- C. No, it's often too slow
- D. I don't do schoolwork at home

The next two questions are about how you connect to the internet and do school work at school.

Q3. Do you have access to the internet at school?

- A. Yes, all the time
- B. Yes, but it sometimes doesn't work or is too slow
- C. No, I don't have internet at school

Q4. Does your school or district provide a device (e.g., laptop, tablet or desktop computer) for you to use during the school day?

- A. Yes
- B. No

Recommended additional question:

Can you do school activities online at school (like watching videos, joining video calls, uploading assignments) without the internet cutting out or being too slow?

- A. Yes, it works well most of the time
- B. Sometimes, but not always
- C. No, it's often too slow

Appendix 4.4: GPRA 5 Reporting

GPRA 5 Tracking and Ad Hoc Reporting Schedule by High School Graduating Class Cohorts

	J	F	M	A	M	J	J	A	S	O	N	D
2019						Class of 2019						
2020	GPRA 5.1 >											
						Class of 2020						
2021	GPRA 5.2d >											
	GPRA 5.1 >											
						Class of 2021						
2022	GPRA 5.2c >											
	GPRA 5.2d >											
	GPRA 5.1 >											
						Class of 2022						
2023	GPRA 5.2b >											
	GPRA 5.2c >											
	GPRA 5.2d >											
	GPRA 5.1 >											
						Class of 2023						
2024	GPRA 5.2b >											
	GPRA 5.2c >											
	GPRA 5.2d >											
	GPRA 5.1 >											
						Class of 2024						
2025	Class of 2019								GPRA 5.2a >			
(ad hoc year)												
	Class of 2021								GPRA 5.2b >			
	Class of 2022								GPRA 5.2c >			
	Class of 2023								GPRA 5.2d >			
	Class of 2024								GPRA 5.1 >			
						Class of 2025						
2026									GPRA 5.2a >			
									GPRA 5.2b >			
									GPRA 5.2c >			
									GPRA 5.2d >			
									GPRA 5.1 >			
						Class of 2026						
						< ad hoc submission						

Grantees report preliminary annual data for population-level GPRA indicators as part of their APR submission (typically in July) and their ad hoc submission early the following calendar year (final data). This Guidance Document (Third Edition) recommends that grantees use the National Student Clearinghouse or an alternative, equivalent source to track post-secondary matriculation and completion, respectively, in two-year and four-year institutions of higher learning for reporting GPRA 5.

- GPRA 5.1. Number and percentage of Promise Neighborhood students who enroll in a two-year or four-year college or university after graduation. Consistent with Guidance Document (Third Edition) recommendations, post-secondary enrollment should be measured 16 months after high school graduation.
- GPRA 5.2. Number and percentage of Promise Neighborhood students who graduate from a two-year or four-year college or university or vocational certification completion. Consistent with Guidance Document (Third Edition) recommendations, post-secondary completion should be measured both within 100 percent and 150 percent of traditional time. Completion at two-year and four-year college or university should be tracked and reported separately from each other and from completion of vocational certification.
 - GPRA 5.2a/2yr—Completion within 100 percent of traditional time at two-year college or university.
 - GPRA 5.2a/4yr—Completion within 100 percent of traditional completion time at four-year college or university.
 - GPRA 5.2b/2yr—Completion within 150 percent of traditional time at two-year college or university.
 - GPRA 5.2b/4yr—Completion within 150 percent of traditional completion time at four-year college or university.

The reporting chart on the previous page shows the months in which the above GPRA data can be collected for different cohorts of high school graduating classes, based on the reporting timelines recommended in this Guidance Document (Third Edition). For example, the most recent cohort for which grantees can get data for GPRA 5.1 for the 2025 ad hoc reporting deadline (early 2026) is the high school graduating class of 2024. For the full 150 percent completion at four-year college or university (GPRA 5.2b/4yr), however, the most recent cohort would be the class of 2019.

This schedule assumes that grantees will not report GPRA 5 data for the initial APR submission in July. GPRA 5 data would only be reported in the ad hoc submission. The (ad hoc year) section of the chart shows the GPRA 5 cohorts that would potentially be available for reporting for the ad hoc year, which would be submitted early the following year.

Ad Hoc Reporting for 2025

- GPRA 5.1—Class of 2024
- GPRA 5.2a/2yr—Class of 2019
- GPRA 5.2b/2yr—Class of 2021
- GPRA 5.2a/4yr—Class of 2022
- GPRA 5.2b/4yr—Class of 2023

This schedule was prepared based on a grantee filing an ad hoc report in 2026 based on data for the 2025 calendar year.

Greyed-out GPRA indicators for earlier years are data that grantees may want to collect to have more complete information on post-secondary success. While these data are not expected for APR reporting, grantees may submit them as supplemental data. But they can also be used to provide more comprehensive data for GPRA 5.2 by

combining cohorts. See the GPRA 5.2 worksheet for guidance on how to enter these combined data into Scorecard.

Since vocational programs do not have uniform completion times comparable to two-year and four-year colleges, this reporting chart does not include vocational certification programs. Grantees should use an approach like this for scheduling the tracking and reporting of GPRA 5 for vocational certifications and include this information in their Data Plans.

For more guidance on GPRA calculations, please see chapter 4 of this Guidance Document (Third Edition).

Appendix 4.5: Alumni Survey Tip Sheet

Promise Neighborhoods Alumni Survey Tips Sheet

The key to the alumni survey is to get as much information from students while they are still in your target schools. The factors that are most critical for response rates are the quality of the contact information, the manner of contact and engagement, and the frequency of engagement. Chapter 4 of this Guidance Document (Third Edition) contains more information on the specific target populations and time frames for each of these indicators. The U.S. Department of Education has additional guidance that grantees should follow, regarding the use of incentives.

- Focus on seniors who will be graduating from target high schools this school year. Grantees are not required to retroactively track down alumni.
- Collect information while students are in high school. Engage all high school students. Students should get used to being interviewed each year and become engaged with the Promise Neighborhood program. Ask seniors before they leave high school if you can continue following up with them.
- Collect as much information as possible, including cell phone numbers and emails of students, as well as contact information about the student's parents, family members, and friends, in case the student moves or his/her contact information changes.
- Create a protocol to contact students and alumni regularly and frequently, every 3-6 months. For example, you may contact a group every 3 to 6 months, asking them if anything (address, other information) has changed. Consider doing outreach by cell phone, such as text messaging.
- Create incentives for updating information or providing new information. Send an advanced incentive when it's time for the alumni survey.
- Use scaling incentives, where there is a bigger prize for taking a 2nd, 3rd, and 4th survey. This would require you to track who has taken surveys.
- The [Texas Higher Education Opportunity Project](#) is an example of a study using surveys of high school alumni to gather information on postsecondary progress.

Alumni Survey Task List:

- Prime/notify graduating seniors about survey
- Collect contact information on graduating seniors
- Establish protocol for tracking alumni
- Create survey instrument; identify/develop and test questions
- Send ongoing messages to engage alumni and update contact information
- Inform alumni of upcoming survey and available incentives for responding
- Field survey to seniors 16 months after graduation; follow-up at least three times
- Report data in APR

If the alumni survey is not sufficient or feasible, the following methods may be considered:

- **Targeted Alumni Follow-Up:** In some cases, it may be possible for PNs to do a more targeted version of the recommended alumni survey. Grantees could propose a less-intensive method to follow up with a targeted

group of alumni, or during a targeted period, rather than tracking all graduating classes for the full recommended period of six years after graduation. Less intensive methods could be implemented through various survey modes, such as web, text message, or telephone surveys.

- **Alumni Focus Groups:** Grantees could also propose to do a more qualitative data collection method, such as focus groups with a selected group of alumni. Focus groups would allow grantees to explore more in-depth information about alumni experiences after high school graduation, tailored to the context and programming of the Promise Neighborhood itself. Of course, this information would not be representative of the experiences of all Promise Neighborhood alumni and must be interpreted and used in appropriate ways.
- **Post-Secondary Performance Measures:** If any type of data collection at the population level proves too burdensome, grantees are encouraged to begin with a focus on collecting quality performance measures at the program level, as is recommended for all grantees. Improving data quality for those alumni actively participating in Promise Neighborhood programs is a basic way to begin to understand the outcomes for this population and efficient ways to gather this information.

Appendix 4.6: National Student Clearinghouse Handout

Promise Neighborhoods GPRA 5: National Student Clearinghouse

Promise Neighborhood grantees must collect Government Performance and Results Act (GPRA) indicators that will help their initiatives track progress; this data will also be used for future research and evaluation. The GPRA 5 indicator addresses information about 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.

Per this Guidance Document (Third Edition), grantees should disaggregate GPRA 5 into four separate data elements and report this information as four separate measures:

- Enrollment in a two-year or four-year college or university after high school graduation
- Number and percentage of Promise Neighborhood students who place into college-level mathematics and English without need for remediation
- Number and percentage of former high school graduates from the target high schools who graduated from college, university, and vocational certification programs within 100 and 150 percent of traditional completion time
- Number and percentage of participants earning industry-recognized certificates or credentials

In addition to alumni surveys and Statewide Longitudinal Data Systems (SLDS), grantees may find data for enrollment and graduation from a 2- or 4- year college or university from the National Student Clearinghouse (NSC). NSC's StudentTracker Services has enrollment and graduation data on over 98% of all students attending public and private colleges and universities in the United States. The clearinghouse collects information about the following degrees: BA, MA, doctorates, and professional. Associate degrees are counted as two- year degrees. Not all post-secondary education institutions provide data to NSC, and students attending participating post-secondary education may still opt-out of providing their information to NSC. Furthermore, NSC does not have course level data, such as remedial courses, or certificate completions.

High schools, school districts, and other organizations such as nonprofits and outreach programs ("client") may utilize NSC's services. Clients may search for current and former students of postsecondary institutions, prospective students, siblings or parents listed on financial aid documents as being enrolled in postsecondary education and incoming freshmen or transfers. After discussing needs and negotiating an agreement with NSC, the client builds an inquiry file with the names and date of birth of the cohort of students that the client wants to track. Middle names, email addresses, and identifiers (IDs created by the client, state issued IDs, college student IDs, high school codes, etc.) can improve NSC's ability to accurately track students. Inquiry files, which are in Excel or a flat file format, are sent through a secure FTP server set up with the help of an NSC coordinator.

NSC inputs data from the inquiry file into their database. To more accurately match students in the client's inquiry file with students in the NSC database, the NSC database includes name variants. For example, a search for "William Johnson" might render the program to ask if searcher wants to consider "Bill Johnson." In addition, a human analyst reviews the findings, checking for outliers. NSC then provides programs/schools with a final report that clients can download into excel, SAS, SPSS, and most any kind of file type. There are several types of reports that clients receive, depending on the service. A control report provides an overview of your inquiry. Control reports provide an overview of your inquiry; every service type receives this control report. Detail reports contain individual level data. Aggregate reports do not have individual level data; they only provide summaries of the first schools attended by cohort of students that the client gives NSC.

Types of Reports and Services

Two types of reports are available for clients: Detail Reports, which contain individual level information, and Aggregate Reports, which contain aggregate level data. NSC also offers two types of services for clients: StudentTracker for High Schools and StudentTracker Outreach. Grantees should discuss with an NSC representative to determine which service is best for them. For both services, NSC can go back historically for up to eight years to search for students.

[StudentTracker for High Schools \(STHS\)](#) service offers clients a library of ready-to-go reports with Aggregate Report data, including charts and graphs. In addition, STHS clients have access to Detailed Reports that contain individual level data. The STHS data infrastructure is updated only three times a year. Clients may pull these reports whenever they like, as frequently as they need, without additional cost. Note that for STHS, clients may request information for whole graduating classes. That is, they cannot submit an inquiry file on select students from a graduating class. It is possible for multiple users to access to web tool to request reports and information. However, the account owner should also ensure that representatives from one high school should not see be able to see data from another high school.

[StudentTracker for Outreach \(STOR\)](#) programs may access Detail Reports. The STOR data infrastructure is updated daily whenever post-secondary institutions provide NSC with data. As such, clients have a fresh match run whenever they submit an inquiry file, and reports are returned to clients within 5 business days. Outreach programs also have “very rough aggregate reports” for the most common schools and a general student count. Costs vary depending on web access and the number of records or searches the client wants to conduct per year (one search equals one student, or one record). STOR clients may submit inquiry files for selected students. That is, their inquiry files do not need to be for an entire graduating class.

Client Reports

Control Reports	Detail Reports	Aggregate Reports
File Creation Date	School name, code, and location (state)	School name and code
Range of Search Date	School type (4 year or 2 year; public or private)	School type (4 year or 2 year; public or private)
Total Students in Request File	Enrollment period (begin and ending)	# of students at the school
Total Students with No Response Data	Enrollment status (Full time, half time, less than half time, leave of absence, withdrawn, deceased)	# of records blocked by school at each school
Total Students Found and Included in Aggregate Report	Class level	# of records blocked by student at each school
Student level blocked by school	Enrollment major	# of students on detail report
Student level blocked by student	Graduation status – matriculation status, date (if applicable), degree titles, degree major(s)	# of awarded degrees by this school
Total students reported at Detail Level	Sequence of colleges attended	# of awarded degrees by schools other than the first one that the student attended

Types of NSC StudentTracker Programs

	StudentTracker Outreach (STOR)	StudentTracker High School (STHS)
Cost	Small Program—\$425 per year Medium Program—\$1,000 per year Large Program—\$2,500 per year	Per School: \$425 For school districts with multiple schools, that are paying full price for at least 2 schools, any school with a 9th through 12 th grade population of less than 300 are free. Schools 300+ charged the same fee. ¹
File Limit	Up to 10 submissions of inquiry files (all programs)	No limit.

Annual Record Limit	Small Program—up to 5,000 total records Medium Program—up to 10,000 total records Large Program—up to 20,000 total records	No limit.
Reports Available	Detail report Limited Aggregate Report on some indicators, such as the most common schools	Detail Report Aggregate Report
Turn-around Time	Five business days	24 hours to five business days, depending on report
Frequency of Updates	STOR is updated whenever new data arrives	STHS database is updated three times a year (Fall, Spring, and Summer)
Maximum web user	Small Program—Up to 2 online web users Medium Program—Up to 5 online web users Large Program—Up to 10 online web users	None specified.

Note: ¹ A school with 10,000 students is charged the same rate as a school with 300 students.

Important Links

- [NCES participating universities](#)

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]
		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.]

Recipient of Service	Type of Service	Activities Included under This Service Type
		Adult GED classes offered to students over 18 working toward a GED Expected level of participation: [to be determined and reported by local provider]
	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
	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	
	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.
		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		

Recipient of Service	Type of Service	Activities Included under This Service Type	
		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]	
		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]	
		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		
	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]	

Recipient of Service	Type of Service	Activities Included under This Service Type
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
		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: Institutional Review Board (IRB)

Updated July 5, 2022

Promise Neighborhoods are committed to developing a comprehensive approach to improving the educational outcomes and overall life prospects of low income children and their families in distressed communities. To accomplish this goal most effectively, the Department follows regulations governing the protection of human subjects in research.¹ As a condition of their federal funding, Promise Neighborhoods grantees are required to comply with these regulations.

Institutional Review Boards (IRB) protect the rights and welfare of research subjects and weigh the potential long-term knowledge gained from any proposed research with any potential risk to the research subjects participating in it. The IRB review ensures that both research and program teams have considered all relevant ethical issues when designing and conducting their programs.

Under Department of Education regulations, all Promise Neighborhood grantees are required to obtain approval from a registered IRB for any covered research activities before the research takes place. Research activities covered include:

- Collecting personally identifiable information from administrative data sources
- Collecting personally identifiable information through an intake process
- Collecting anonymous survey data on neighborhood residents
- Collecting anonymous survey data in schools on students

Grantees should be aware that, with few exceptions, data collection activities in the above categories are considered covered research by the U.S. Department of Education and therefore must be receive IRB review and approval before they are undertaken. Grantees with questions about whether specific research are exempt from human subject protections should consult with their Department of Education program officer.

Grantees should consider their options for moving forward with IRB approval:

1. Use your organization's existing IRB (usually for university-based grantees)
2. Borrow the IRB of a local partner or university (check with university and research partners)
3. Contract with one of the commercial IRBs available to review proposals within a set timeframe for a fee (see below for more details)
4. Set up your own IRB (likely not an option given the time-sensitivity and burden)

¹ See the [U.S. Department of Education Protection of Human Subjects web page](#) for more details on requirements to protect human subjects in covered research.

Borrow the IRB of a local partner or university:

Working with an existing research or university partner who has an IRB in place will likely be the best option for grantee organizations that are not research institutions and do not have their own IRB.

Contract with a commercial IRB available to review proposals within a set timeframe for a fee:

Grantees can search the [Office for Human Research Protections \(OHRP\) Database for Registered IRBs](#) to find a registered IRB.

The following are some independent review boards listed as active in the OHRP database as of July 2, 2022. (No endorsement is implied by listing these names here.)

- [Alpha IRB](#)
- [Ethical and Independent Review Services IRB](#)
- [Heartland IRB LLC](#)
- [Solutions IRB](#)
- [Sterling IRB](#)

IRB Review Process

An **IRB** is a group of five or more individuals whose primary responsibility is to protect the rights and welfare of research subjects. IRBs review proposed research and have the authority to approve, require modification in, or disapprove research activities subject to the regulations. There are two types of IRB review for covered activities. Through a screening form, the IRB will assess which review is most appropriate for the submission.

An expedited IRB review is generally limited to projects involving human subjects where no linked personal identifiers are being collected, the study population is not vulnerable, and there is minimal risk (physical, reputational, or financial) to any human subject involved. An expedited review package should provide (see below for a more in-depth explanation of each item):

- A brief discussion of the research to be conducted,
- Informed consent procedures,
- Risks to participants,
- A data security plan,
- A sample staff confidentiality pledge,
- A copy of your survey/questionnaire, if applicable, and
- IRB screening form or any other administrative forms required.

Expedited reviews usually require fewer reviewers and (if your package is complete) can be approved in a day or two. Approval is normally good for one year from the date signed. If the project is expected to go beyond the 12 month approval period – or if there is any substantive change to any aspect of the project – you must go back to the IRB requesting renewal for each year or approval of changes to the project.

A full IRB review is required for any project involving human subjects where personal identifiers are being collected, or the study population is vulnerable (children, prisoners, pregnant women, immigrants), or there is

more than minimal risk to any human subject should sensitive information about them or their participation in the research be disclosed. A full review package should include the following information:

- Research overview: background, research objectives, funder name, research partners, data collection methods, sites to be visited, and any other relevant information
- Informed consent procedures: forms used, description of process (The TTA Team can provide additional TA on Promise Neighborhood consent processes compliant with FERPA regulations)
- Risks to participants: description of possible risks to participants
- Data security plan: explains how data will be collected, stored, transmitted, and secured during each step. Will PGP data encryption be employed? If mailed, will trackable means be used? Who will have access? Are there “work arounds” that have been considered as alternatives to collecting sensitive data such as SSN’s, names and addresses, etc.? If hard copies are filed, where are the files stored, are they locked, where are the keys stored, who has access?
- Staff confidentiality pledge: a copy of the pledge to be used
- Questionnaire/survey/focus group script: at least a draft of the instrument in development and the IRB will need to review the final product before it is administered
- Any other relevant information, e.g., if another organization is a research partner and their IRB has reviewed any aspect of the work to be performed, please provide a copy of that approval.
- Research team: biographies for the PI and other senior researchers conducting the work
- IRB screening form or any other administrative forms required

Upon review, an approval certificate will be issued that is usually good for 12 months from the date signed (unless the IRB decides the level of risk requires more frequent renewal). If the project is expected to go beyond the 12-month approval period – or if there is any substantive change to any aspect of the project or new survey/data collection instruments developed – you must go back to the IRB requesting renewal for each year or approval of the change to the project.

Covered Activities and Review Timeline

Grantees should discuss their specific project plans with their chosen IRB to determine:

1. Which type of IRB review may be required for each activity and
2. Whether IRB approval should be fully completed before undertaking each activity.

It may be possible to sequence IRB approval as activities and data collection instruments are developed. For example, the IRB may review and approve an initial research protocol while certain materials, including surveys and consent forms that will be developed over time as part of the project, may be submitted to the IRB as they are developed, on condition that approval is obtained prior to the use of the materials. An IRB familiar with social science or education research would be helpful in these considerations (some IRBs focus on other areas, such as biomedical research and clinical trials). The following Promise Neighborhood activities have been identified as possible covered activities for IRB (an IRB screening form will help detail this information for your chosen IRB). The Department’s Protection of Human Subjects Coordinator was consulted on these activities and those thoughts are also included for each activity below.

- **Collecting personally identifiable information from administrative data sources**, including school district records, on students under 18 years old and linking those data in a case management system for the purpose of tracking program performance and measuring outcomes.

- Use of directly or indirectly identifiable student records for research purposes are, in this context, likely to be covered research and need to have human subjects research approval prior to accessing and using that identifiable data.
- **Collecting personally identifiable information through an intake process** for the purpose of providing services to families with children and individuals (adults and children) and linking those data in a case management system for the purpose of tracking program performance and measuring outcomes.
 - In some cases, routine non-research activities can move ahead while waiting for IRB review. Depending on the specifics, this activity may fit into the category of things that a site is doing anyway as part of its normal operations—if these are not activities initiated for purposes of the research.
- **Collecting anonymous survey data on neighborhood residents**, including specific information on children under 18 years old, for the purpose of tracking program performance and measuring outcomes.
 - Some projects may include a mix of covered and exempt research activities. If any portion of the **research** includes nonexempt human subjects research, then the entire study needs human subjects approval before any of the research can begin.
 - Pre-human subjects research activities such as preparing surveys, identifying potential research sites and populations can go ahead while working on human subjects approval for the “human subjects research” activities.
- **Collecting anonymous survey data in schools on students** under 18 years old for the purpose of tracking program performance and measuring outcomes.
 - Same considerations as Neighborhood Surveys above.

Additional IRB Resources

Grantee plans for IRB approval must be detailed in the Promise Neighborhood Data Plan. The TTA Team can provide additional materials and samples for your reference. The IRB with which you choose to work will have its own specific guidelines, forms, and materials for use in package submission.

Appendix 6.2: 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.¹ When students turn 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 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.² 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 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 agreement. The agreement 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 agreements 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.

Additional information about obtaining informed consent is discussed in Chapter 6 of this Guidance Document (Third Edition).

FERPA provides certain exceptions allowing data to be shared 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. The notice must tell parents they have the right to opt out, that is, refuse to let the school district designate any or all 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). 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.

Like the consent provisions under FERPA, HIPAA allows individuals to authorize the disclosure of their personal health information.³ 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.

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	Schools that receive funds under any program administered by the Secretary of Education; most private	Health plans, health care clearinghouses, and health care providers who electronically transmit any health information in connection with transactions for which

	FERPA	HIPAA
entities	and parochial schools are excluded.	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 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)	<p>The student’s name;</p> <p>Name of the student’s parents or other family members;</p> <p>Address of the student or student’s family;</p> <p>A personal identifier, such as a social security number, student number, or biometric record;</p> <p>Other indirect identifiers, such as the student’s date of birth, place of birth, and mother’s maiden name;</p> <p>Other 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</p> <p>Information requested by a person the educational agency or institution reasonably believes knows which student the education record relates to.</p>	<p>Names.</p> <p>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:</p> <ul style="list-style-type: none"> • The geographic unit formed by combining all ZIP codes with 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. <p>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.</p> <p>Telephone numbers.</p> <p>Facsimile numbers.</p> <p>E-mail addresses.</p> <p>Social security numbers.</p> <p>Medical record numbers.</p> <p>Health plan beneficiary numbers.</p> <p>Account numbers.</p> <p>Certificate/license numbers.</p> <p>Vehicle identifiers and serial numbers, including license plate numbers.</p> <p>Device identifiers and serial numbers.</p> <p>Web universal resource locators (URLs).</p> <p>Internet protocol (IP) address numbers.</p> <p>Biometric identifiers, including fingerprints and voiceprints.</p> <p>Full-face photographic images and any comparable images.</p> <p>Any other unique identifying number, characteristic, or code, unless otherwise permitted by the Privacy Rule for re-identification.</p>
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	Covered entities may use or disclose de-identified health information without restriction. Covered entities must determine that the information has been de-

	FERPA	HIPAA
	<p>identify a student with reasonable certainty. This may require performing sophisticated disclosure avoidance on the data, through complementary suppression, swapping, perturbation, etc.</p> <p>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.</p>	<p>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.</p>
Data sharing without consent or authorization	<p>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.</p>	<p>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.</p>
Data sharing with consent or authorization	<p>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.</p>	<p>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.</p> <p>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.</p>
Consent or authorization requirements	<p>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:</p> <ul style="list-style-type: none"> Records that may be disclosed; Purpose of disclosure; and Parties or class of parties to whom disclosure may be made. 	<p>A signed and dated authorization to use data for research must include the following:</p> <ul style="list-style-type: none"> 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 6.3: 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.⁴

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].

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 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	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.)
Date and place of birth	
Major field of study	
Dates of attendance	

Grade level	
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This model notice was adapted by the Urban Institute from [the US Department of Education Model Notice for Directory Information](#).

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 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 GPRS Parental Consent Form of the Believe to Become (B2B) Master Data-Sharing Agreement (MDSA), available for reuse under Creative Commons Attribution-NonCommercial 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).

Appendix 6.6: Model Master Data-Sharing Agreement

Master Data-Sharing Agreement

between

[Promise Neighborhood name] (hereinafter, “Promise Neighborhood”)

and

[School district/partner organization name] (hereinafter, “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 data sets for evaluation of the Promise Neighborhood 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 aggregated summary indicators of participant characteristics, program participation, and outcomes.

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. 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.

- a. **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.

- b. **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 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]
[title]
[organization]

[name]
[title]
[organization]

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	<ul style="list-style-type: none"> • Data access • Data security • Management of student records from all sources
	Software Provider	Limited PII, view and edit	<ul style="list-style-type: none"> • Case management system implementation and maintenance
School District	Administrator	Student records, including PII, some restrictions on health and survey data, view only	<ul style="list-style-type: none"> • Implementation of school programs
	Teacher	Limited PII, restrictions on student records, health and survey data, view only	<ul style="list-style-type: none"> • Academic instruction
	Database Manager	Student records, including PII, some restrictions on health and survey data, view and edit	<ul style="list-style-type: none"> • 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	<ul style="list-style-type: none"> • Program implementation • Reporting
U.S. Department of Education and its contractors	Urban Institute database manager	Full data with PII removed	<ul style="list-style-type: none"> • Production of restricted use data files
	U.S. Department of Education	Full data with PII removed and risk disclosure	<ul style="list-style-type: none"> • Ownership of restricted use data files for research
Public Reporting		Aggregated summary data only	<ul style="list-style-type: none"> • Public information

Attachment B: Model 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)

Attachment C: Data Specification

Model Master Data-Sharing Agreement

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

Master Data-Sharing Agreement

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 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 [website 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.

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
- Immunization records
- Blood screenings for lead levels
- 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 [website 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).

Appendix 6.7: Model Data Security Plan

Standard Protocols and Procedures for 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 B⁵ 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 GPRS Parental Consent Form of the Believe to Become (B2B) Master Data-Sharing Agreement (MDSA), available for reuse under Creative Commons Attribution-NonCommercial 3.0 Unported license. <http://cridata.org/B2BMDSA/> (accessed April 25, 2012).

Appendix 6.8: 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 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 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

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 for any changes in phrasing and their effects on comparability.

Data Availability: Promise Neighborhoods can download decennial census data from the Census Bureau web site.

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

Data Availability: Data can be downloaded for specific geographies or flat files can be downloaded for multiple areas.

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.
- **Additional Information:** More information can be found on the Census Bureau LEHD web page.
- **Data Availability:** Promise Neighborhoods can download LODES data in flat files or use the interactive mapping feature

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.

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.

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.