COUNCIL *for* OPPORTUNITY *in* EDUCATION

President's Report
Submitted to COE Board of Directors

May 17-20, 2011
Hyatt Regency Washington
On Capitol Hill
400 New Jersey Ave, NW
Washington, District of Columbia

Arnold L. Mitchem

President's Report
Table of Contents

Appendices

Appendix 1	Letter to Duncan on implementation on FY 2011 Cuts
Appendix 2	Debt Ceiling Story
Appendix 3	COE Response to EOC Draft Application
Appendix 4	COE Comments on New Upward Bound Study
Appendix 5	Fact Sheet
Appendix 6	TRIO Outlook after HR 1473
Appendix 7	COE Staff State/Regional Meeting Presence
Appendix 8	COE Staff Organizational Chart
Appendix 9	Fair Share 2011

I. INTRODUCTION

TRIO is facing one of the most difficult external environments it has ever confronted, as the recent budget agreement on the FY 11 budget makes clear. The Board's recent action in recommending that each of the TRIO programs bear a portion of this loss – and the TRIO community's backing of this recommendation -- is evidence of our community's commitment to protect each TRIO program and all TRIO students.

II. STRATEGIC GOALS

Goal 1: Strengthen the Council's capacity to enhance the quality of existing educational opportunity programs and increase the number of students served.

A. Protecting TRIO Students

1) Students Already Lost

Between FY 2005 and FY 2010 (Academic Years 2005-2006 and 2010-2011), according to Department of Education figures, TRIO programs have lost nearly 37,000 students. These losses have come as a result of continued erosion caused by static funding levels.

2) Students Lost in FY 2011 (Academic Year 2011-2012)

The Department of Education has not yet released the table delineating cuts to all postsecondary programs included in the FY 2011 appropriations agreement laid out in HR 1473. However, we have no reason to expect that the cuts will differ from those included in the House and Senate tables.

As you know, on April 20th, the Executive Committee of the Board met to make recommendations to the Department regarding the implementation of the cuts. (Appendix 1) The recommendation --to impose an across the Board cut-- was made to maintain the integrity of each of the TRIO programs.

Approach	Students Lost in Other TRIO Programs (UB, UBMS, McNair, SSS, VUB)	Number of Students/Clients Lost in TS and EOC	Total Projected Student Losses in TRIO	Number of Talent Search Programs Lost	Number of EOC Programs Lost
Across the Board Cut	8,580	17,150 (3%)	25,730 (3%)	14 out of 463 (3%)	3 out of 124 (3%)
All Cuts Taken from TS and EOC	0	78,730 (14%)	78,730 (9%)	65 out of 463 (14%)	18 out of 124 (15%)

The following week, COE Governmental Relations staff met with senior officials in both the White House and the Department of Education as well as with Dr. Byrd-Johnson to share the Board's recommendation. As of May 9, we have no received no indication regarding the Administration's plans to implement the cut agreed upon.

3) Continuing Threats to TRIO -- Impacting Funding in the 2012-2013 Academic Years and Beyond

We were very much encouraged in February when the FY 2012 Obama Administration Budget, which contained a $67 million increase over the $853.1 million discretionary TRIO base, was released. These funds – if appropriated – will be sufficient to maintain the current number of TRIO programs and students in the 2012-2013 academic year and prevent very significant losses in the upcoming McNair and Upward Bound competitions. There are two immediate threats to maintaining the President's recommendation through the appropriations process.

Prior to any action being taken on appropriations, Congress has to pass legislation to raise the debt ceiling. House Republicans are pressing for additional cuts to be included in legislation to increase the debt ceiling. Negotiations are now underway to forge an agreement between the Administration and Congress regarding this measure. (Appendix 2) Action could well be delayed into the summer. No action on the FY 12 Appropriation is expected until after the debt ceiling increase. Moreover, even if cuts are included in the debt ceiling increase – or a mechanism to impose additional cuts if further is included there, nothing precludes a **third set of cuts being imposed on TRIO and other discretionary programs before Christmas.** It is imperative that the entire TRIO community fully understand the situation and be prepared to engage all segments of their communities to mobilize to resist further cuts.

B. Empowering Stakeholders, Including Alumni, Parents, Students and Staff, to Effectively Advocate for TRIO.

COE is working to expand the base of those expressing support of TRIO (which includes alumni, parents, students, staff, and other friends). They are continuing to put pressure on the Obama Administration to expand the reach of TRIO. Since December, the community has engaged in two White House campaigns highlighting the power of TRIO across various communities. There have also been campaigns directed at particular Members of Congress in leadership and facing tough 2012 elections.

C. **Enhancing Collaboration with the U.S. Department of Education and the College Access Community.**

1) The Department of Education

Despite numerous concerns raised by institutions sponsoring TRIO programs as well as comments submitted by COE (Appendix 3), the Department did not respond in any meaningful way to concerns raised about restrictions in the EOC competition which, we believe, will reduce services to rural communities and impose meaningless data collection requirements upon institutions hosting EOCs. Similarly, the Department also failed to respond in any meaningful way to issues raised regarding the proposed Upward Bound study (Appendix 4).

2) The College Access Community

Funding through the Department of Education's i3 (Investing in Innovation) program is allowing COE to validate – and hopefully – expand a model which builds on Talent Search, Upward Bound and other college access programs in local communities. The model is presently operating as the *Gaining Options for College Collaborative* (GO College – Erie and GO College – Louisville). More information on GO College will be presented at the board meeting and is included in Appendix 5.

Goal 2: Cultivate and strengthen relationships with all stakeholders to maximize educational opportunities for the least advantaged students.

A. <u>Identifying and Engaging Stakeholders at the Local/Community Level in Support of TRIO and Postsecondary Educational Opportunity.</u>

COE continues to work with state and regional associations so that their members develop relationships with key stakeholders at the local and regional level. One of the most effective ways we have been able to engage local business and community leaders is through the media and through targeted meetings directed at brining attention to the programs at the local level. One tool COE is developing is the Public Relations Handbook (copies will be distributed for your input at the Board meeting). The purpose of this guide is to provide TRIO supporters with the tools and resources necessary to successfully advocate for TRIO through the media.

COE also now has a presence on Facebook and Twitter. Rheanna Martinez, our new Assistant Director of Marketing and Outreach, is heading up the social media activities for COE. To make our Facebook and Twitter campaigns successful, COE will require the assistance of the Board and others in the community to ensure that COE is posting and "tweeting" on activities that are happening in the field. The social media component will be further discussed during the communications presentation at the Board Meeting.

B. <u>Analyzing Data and Stimulating Discussion on Policies and Practices as They Impact Higher Education Access and Services for TRIO and TRIO-Eligible Students.</u>

1) At the Hill briefing during the Board meeting, The Pell Institute will release its first policy brief, *Developing 20/20 Vision on the 2020 Degree Attainment Goal: The Threat of Income-Based Inequality in Education.* The report examines the President's 2020 goal and particularly notes that few commentaries on the goal discuss the fact that the nation's failure to keep pace with other countries in educational attainment can largely be traced to our inability to adequately educate individuals from families in the bottom half of the income distribution. The report points out that OECD (Organization for Economic Cooperation and Development) ranks the US 8th in tertiary-type A attainment among 25- to 34-year-old adults. However, if all Americans attained bachelor's degrees by age 24 at the same rate as individuals from the top half of the income distribution, the United States would currently have the highest share of bachelor's degree recipients in the world. On the other hand, if all Americans attained bachelor's degrees by age 24 at the same rate as students from the bottom half of the income distribution, the United States would be nearly last. Copies of the report are available at www.PellInstitute.org.

2) In May 2011, The Pell Institute completed a study entitled *Promising Practices Supporting Low-Income, First-Generation Students at DeVry University.* The goal of the study is to identify the kinds of academic and social support services, if any, that a for-profit education institution like DeVry University provides to low-income, first-generation students. The three categories of promising practices in the study's findings were: Approaching Support Services for Students as Customer Service; Providing Early, In-Depth, On-Campus Student Opportunities; and Establishing and Sustaining a Shared Sense of Community. The study is to be released on May 11, 2011 at the American Institute of Architects in Washington, DC during a public policy forum and luncheon that The Pell Institute is hosting with DeVry. The policy forum is entitled *Empowering the New Majority: Strategies to help low-income and first-generation students succeed.* The panelists include Chandra Taylor Smith and Abby Miller, along with Candace Goodwin, President, DeVry University Chicago; Jacob Fraire, Assistant Vice President, Texas Guaranteed Student Loan Corporation, and Jane Wellman, Executive Director, Delta Cost Project. Bill Symonds Director, Pathways to Prosperity Project, Harvard Graduate School of Education, is to moderate.

3) The Pell Institute held its Annual Advisory Board meeting in Washington on March 17th and 18th. Board Members, Senior Scholars and staff engaged in thoughtful exchange and provided constructive feedback on current and proposed projects.

4) The Pell Institute hosted the Robert Wood Johnson Foundation's Evaluation Fellows for a half-day consultation regarding the development of culturally responsive evaluation approaches.

5) Abby Miller, Pell's project manager spoke at Texas Guaranteed's annual member conference in Austin, TX on two Pell reports focusing on transfer and baccalaureate completion for transfer students. Approximately 200 representatives of Texas colleges attended.

Goal 3: Develop leaders, both students and professionals, to further the mission of the Council.

A. <u>Expanding the Council's Leadership Training Programs</u>

The leadership Summit held March 10th and 11th attracted 127 participants from 42 states including: Alaska, Alabama, Arkansas, California, Colorado, the District of Columbia, Delaware, Florida, Georgia, Hawaii, Iowa, Idaho, Illinois, Indiana, Kansas, Kentucky, Louisiana, Massachusetts, Maryland, Maine, Michigan, Minnesota, Missouri, Mississippi, Montana, North Carolina, North Dakota, Nebraska, New Mexico, Nevada, New York, Ohio, Oklahoma, Pennsylvania, South Carolina, Tennessee, Texas, Utah, Vermont, Washington, West Virginia, and Wyoming. Participants were engaged in a two-track program – with one track designed especially for aspiring leaders. Experienced participants attended a more intensive media and communications training designed to assist association leaders in raising the profile of TRIO nationally. A panel of editors from *Diverse: Issues in Higher Education, Inside Higher Education, and the Chronicle of Higher Education* kicked off this year's event. Aspiring leaders attended sessions on the basics of advocacy and leadership within TRIO associations. Several articles in papers in California, Kentucky, Ohio, Washington and West Virginia were published following the Summit (Appendix 6).

B. **<u>Providing Professional Development for TRIO and Other College Access and Success Professionals</u>**

Since December, COE has concluded the 2010-2011 Department of Education funded trainings. COE held four Improving Financial Aid and Admissions Outcomes and Increasing Financial Literacy seminars and three Budget Management and TRIO Legislative and Regulatory Requirements seminars – including one that drew senior administrators and grants officers as well as TRIO staff.

Seminar	Location/Type	Date	Trained	Funded to Train	Total Trained to Date	# Remaining to be Trained
Legs/Regs for TRIO	Washington, DC Metro Area - Arlington, VA	2/3 -5/11	133	290	444	**154 over**
	Chicago, IL	3/21-23/2011	136			
	New Orleans, LA (Teams)	4/14-15/2011	175			
Financial Aid	Connecticut State Meeting: Waterbury, CT (1 day)	12/10/2010	58	250	370	**120 over**
	New Orleans, LA (2 day)	2/14-15/11	142			
	Minnesota State Meeting: Chaska, MN (1 day)	4/7/2011	117			
	El Paso, TX	4/14/2011	53			

Upcoming Upward Bound and McNair Proposal Writing Workshops and Forums
COE announced our upcoming McNair and Upward Bound Proposal Workshops in February to be held in June and July. In addition, two forums -- one on Upward Bound, one on McNair – are being held in June and July respectively to assist staff in examining and strengthening the design of their programs in preparation for writing their proposals. There has been strong demand for the Workshops.

Seminar	Location/Type	Date	Registered	Drafts
UB FORUM	Las Vegas, NV	6/13-14/2011	179	
UB PWW	Las Vegas, NV	6/14-15/2011	283	205
McNAIR PWW	Las Vegas, NV	6/16-17/2011	95	47
McNAIR FORUM	Washington, DC	7/25-26/2011	55	
McNAIR PWW	Washington, DC	7/26-2/2011	96	52
UB PWW	Washington, DC	7/28-29/2011	134	108

Goal 4: Build the capacity of regional and state organizations to increase support for equal educational opportunities.

COE was able to conduct financial aid trainings this year in Connecticut, Louisiana, Minnesota, and Texas. In the cases of Connecticut, Minnesota, and Texas (New Mexico/West Texas), COE was able to utilize our training to help put together state meetings to help build state capacity. The trainings were conducted at existing state meetings to enhance their agenda and capacity to build their organizations. In all, COE has been able to meet its objective of training over 250 participants by training approximately 400. In addition, COE staff have attended 27 state and regional conferences since December (Appendix 7).

Goal 5: Develop a framework of economic sustainability and organizational stability to build the Council's capacity to advance equal educational opportunity.

A. **<u>Expansion of Capacity to Serve Multiple Publics</u>**

   COE is utilizing the additional human resources made possible through the i3 grant to increase our capacity to serve TRIO professionals and families, and institutions and agencies sponsoring TRIO programs. We are pleased to welcome several individuals to the staff. Joining our Pell Institute are Dr. Margaret Cahalan, Senior Research Scientist; Dr. Stephanie Miller, Senior Data Analyst, and Lennox Alfred, Program Assistant. Joining our Program Practice and Innovation Team are Dr. Nicole Norfles, Director; Kelly Middleton, Assistant Director, and Neda Wickson, Program Assistant. Joining our Public Policy and Communications office are Rheanna Martinez, Assistant Director, Marketing & Outreach and Nicole Ward, Program Assistant. Joining our Business Office are Natasha Hadijski, Grants Accountant and Lisa Grayson, Accountant. Joining the Central Office Staff as Executive Assistant to the Executive Vice President is Jessica Carter.

   COE is also about to announce the position of Vice President, Professional Development and Director of Stokes Institute. Please share the enclosed job description widely. A copy of our current organization chart is included in Appendix 8.

B. **<u>Developing a Comprehensive, Multi-Level Fundraising Plan for Unrestricted Funds</u>**

   The budget approved by the Finance Committee includes the addition of a Director of Development. A significant portion of this individual's responsibilities will be related to securing funds to replicate the i3 model. However, the individual will also be responsible for securing a multi-level plan to raise unrestricted funds.

C. <u>Developing a Plan to Increase Personal Contributions and Institutional Memberships</u>

Working with the Resource Development Committee and other members of the Board, COE's staff is coordinating several campaigns to increase funds from these categories. As of May 6, Fair Share received is as follows:

AEEE	80%
ASPIRE	76%
CATP	82%
MAEOPP	71%
MEAEOPP	77%
NASP	70%
NEOA	75%
SAEOPP	69%
SWASAP	80%
WESTOP	53%
COE	72%

The District of Columbia, Louisiana, Minnesota, New Jersey, Oklahoma, Vermont, Wyoming, Northern Marianas Islands, and the Virgin Islands have already exceeded 95% of Fair Share. A full listing by state is included in Appendix 9.

D. <u>Income and Expenses</u>

As the Treasurer will review in detail, at the end of the third quarter, COE's revenue exceeded expenses and we are on target to meet our budget projections for the year.

Goal 6: Strengthen the Council's role as a global leader and promote global opportunities for the least advantaged students

A. <u>Keith Sherin Global Leaders Program</u>

Fifteen TRIO SSS and McNair students have been chosen to take part in the 11th annual short-term study abroad program May 28—June 29, 2011. This summer, the program is taking place in Salamanca, Spain with a focus on language and cultural immersion. COE is jointly administering this program with Travel & Education. Students will receive up to six hours of academic credit from the University of Salamanca. Board member Evelyn Rivera Torres will act as group leader.

Two TRIO students have been selected as interns for the Keith Sherin Global Leaders Semester in D.C. Program. Candra Chaisson of the University of South Carolina and Joline Reyes of Roosevelt University will be studying at Marquette

University's Les Aspin Center and working as Congressional interns for the fall 2011 semester.

B. **Global Opportunities for TRIO Professionals**

International Access Committee co-chairs Renee Hampton and Beth Olivares will be making presentations at the 2011 European Access Network (EAN) annual conference in Amsterdam in June.

Planning is underway for a TRIO staff professional development program in Europe scheduled for spring 2012 working with our partner in the Netherlands, ECHO (The Center for Diversity Policy).

III. UPDATE FROM THE DEPARTMENT OF EDUCATION

Talent Search
The Department of Education received 1,100 applications. At this time, all reviews are finished. ED had hoped to release notifications of grant funding to the first slate and notify applicants who fell within the "funding band" and are eligible for a second review in mid-May. This may be delayed due to the pending cuts to the FY 2011 TRIO budget.

The Department plans to conduct its second review in July in order to release the second slate in mid-August.

Educational Opportunity Centers
The Department published the grant application for EOC on April 6. The application deadline is **May 23**.

The first slate will be announced in June with notification to applicants who fell within the funding band in July. Following a review that same month, the Department will announce final notifications released in advance of the September 2011 start date.

Upward Bound
The Department expects to provide continuation awards around April/May for programs with a June 1 start date. All other programs will receive notification letters around August. This may also be delayed due to the pending FY 2011 TRIO budget cuts.

In August, the Department will host workshops for all Upward Bound programs, including Upward Bound Math/Science (UBMS) and Veterans Upward Bound (VUB).

They announced the following tentative dates for the various programs:

- Upward Bound — The Department will release the application in August, with an application deadline in late September/early October.
- The closing date for UBMS will be January 2012.
- The closing date for VUB will be in March 2012.

CCRAA Upward Bound Projects

CCRAA funded Upward Bound projects will have to submit their Annual Performance Reports by January 20 so that the Department can calculate the prior experience points for next competition.

The CCRAA projects received a letter from ED on April 6 regarding their funding stating that there is no appropriation at this time for programs that began in November 2007 (and that will end in December 2011). The letter goes onto discuss options as far as potential supplemental grant notification to extend funding for one more month.

Because there will be four months (February — May 2012) when no funding is available, ED will allow grantees to submit request for a one-time, no-cost extension to allow them to carryover funds or otherwise alter their budgets. (Examples of the types of actions that ED will consider include requests to reduce the number of weeks of the residential program or switching to non-residential programs. Note that ED will not accept requests for reduction in student numbers.)

No-cost extension requests were due April 29 with approval or disapproval to be provided by May 6.

GEAR UP

ED will host the following pre-application workshops for GEAR UP:

- April 2 — Washington, D.C.
- May 3 — Atlanta, GA and St. Louis, MO
- May 6 — Denver, CO and Los Angeles, CA

The application will be available for public comment until April 29.

FY 11 competition tentative timeline:

- Application will be published in mid-to-late May
- Application deadline will be in mid-to-late June
- Awards will be announced in late summer/early fall 2011

Undergraduate Programs (SSS, McNair, Training Grants)

Substantial progress evaluations for undergraduate programs will be happening soon. These will determine whether grantees will get continuation grants.

Brand new Student Support Services grantees were asked to submit their interim report on Friday, April 26, 2011.

Pre-application workshops for the McNair program will occur in 2012 with a closing date sometime around March 2012.

The SSS APR is currently undergoing clearance, but the draft is available online for review.

IV. UPCOMING EVENTS

Student Leadership Congress	June 4—9, 2011
September Board Meeting	Sept. 22—24, 2011
30th Annual Conference	Sept. 25—28, 2011

V. ANTICIPATED SCHEDULE OF FEDERAL FUNDING COMPETITIONS

Late September/early Fall	Upward Bound Competition
January 2012	Upward Bound Math/Science Competition
March 2012	McNair and Veterans Upward Bound Competition

Appendix 1

COE
COUNCIL *for* OPPORTUNITY *in* EDUCATION

April 21, 2011

The Honorable Arne Duncan
Secretary
U.S. Department of Education
400 Maryland Avenue, SW
Washington, DC 202020

Dear Secretary Duncan:

I am writing on behalf of the Board of Directors of the Council for Opportunity in Education. We remain very concerned that the Administration did not choose to protect TRIO programs from significant cuts in its negotiations with the House with respect to HR 1473. However, we recognize that we need to work with you to minimize the impact of the cuts as the implementation of this decision certainly is within your discretion.

We strongly recommend that the cut be imposed across the board on each of the TRIO programs. To do otherwise, would cripple both the Talent Search and Educational Opportunity Center programs and require the elimination of services to approximately 78,000 low-income youth and adults. We will follow up with your staff on this issue.

Sincerely,

Arnold L. Mitchem
President

Appendix 2

1025 Vermont Ave., NW, Suite 900, Washington, DC 20005 | w 202.347.7430 | f 202.347.0786 | www.cocnet.us

CQ TODAY ONLINE NEWS – BUDGET
May 9, 2011 – 8:59 p.m.

Boehner Eyes Major Spending Cuts as Price for Increasing the Debt Limit

By Joseph J. Schatz, CQ Staff

House Speaker John A. Boehner said Monday that a planned increase in the federal debt ceiling should be paired with even larger spending cuts.

The Ohio Republican's pronouncement stakes out an ambitious opening position as debt reduction talks intensify with Senate Democrats and the administration. While Democrats have likewise talked about moving deficit-fighting measures in conjunction with a debt limit increase, they have not suggested anything as broad as Boehner put forward.

"The cuts should be greater than the accompanying increase in debt authority the president is given. We should be talking about cuts of trillions, not just billions," Boehner said in a Monday speech before the Economic Club of New York.

Hitting that spending cut target in the near term could prove difficult, with the federal government borrowing more than $100 billion a month. Finding immediate savings of that size would be very painful for many lawmakers in both parties.

At the same time, Boehner sought to assure markets that a default was off the table. "It's true that allowing America to default would be irresponsible," Boehner said, a nod to the White House's warning that a failure to raise the $14.3 trillion debt ceiling before early August could spark a new financial crisis.

Boehner's audience included many of the Wall Street and business elite — groups that are pressing Congress to increase the debt limit without delay.

But the Speaker, who faces pressure from tea party groups and freshman conservatives in particular, pivoted quickly to the argument he and other Republicans, and some Democrats, have been making for weeks: that any debt limit increase must be accompanied by significant spending curbs.

As Boehner presses his case for spending cuts, the White House is ramping up its involvement in the debt limit debate. President Obama is slated to meet with Senate Democrats and Republicans later this week, on Wednesday and Thursday, respectively. Similar meetings with House members are expected in the coming weeks.

Meanwhile, a group of congressional leaders will gather Tuesday for their second sit-down with Vice President Joseph R. Biden Jr. Participants called last week's initial meeting constructive, with House Majority Leader Eric Cantor, R-Va., saying that there were "commonalities" that all sides might be able to agree on — a reference to some mandatory spending programs, such as farm subsidies, where both parties see an opportunity for cuts.

ROOM FOR AGREEMENT

But with Republicans ruling out tax hikes and Democrats averse to major entitlement changes, mandatory programs offer limited opportunities for cuts, particularly given the demands that Boehner appears to be laying out.

Other Republicans, including Sen. Charles E. Grassley of Iowa, also have said that the size of the federal debt ceiling increase may be linked to the magnitude of spending curbs that Democrats agree to — meaning that more than one debt limit increase may be in the cards in the coming year.

In Monday's speech, Boehner was more specific than he has been before, saying that the size of the new spending limits should be larger than the size of the debt limit increase that Congress settles on. And he sought to throw cold water on the idea of debt caps or targets — such as those proposed by Obama — that could trigger automatic spending cuts or tax increases in the future.

He did not mention statutory spending caps, however, which have won support from many Republicans and some Democrats, and would likely find favor among House GOP leaders.

"They should be actual cuts and program reforms, not broad deficit or debt targets that punt the tough questions to the future," Boehner said.

Boehner's goal could be difficult to accomplish, at least without relying on long-term savings or budget gimmicks. While Treasury Secretary Timothy F. Geithner has not said publicly how large an increase he would like to see, the U.S. government accumulates about $125 billion in debt per month. Using Boehner's goal, trimming spending to accommodate a one-month increase in the debt ceiling would require an immediate cut almost equal to 10 percent of the discretionary budget.

Sen. Benjamin L. Cardin, D-Md., a member of the Budget Committee, noted that the debt ceiling would have to be increased even under the House Republican budget resolution (H Con Res 34) adopted in April.

"That may sound rational to the public, but it's not rational," Cardin said of Boehner's proposal to cut spending by the same amount as or more than the debt limit is increased. "This debt has already been spent. Even with the Republican budget, they would have to increase the debt ceiling, so I don't understand how he add it up."

Both parties have been eyeing a debt limit increase that ultimately lasts many months, at least. Geithner says that while the government will reach the debt limit next week, he can juggle accounts to avoid a default until Aug. 2.

GANG OF SIX

Meantime, the bipartisan Senate "Gang of Six" is expected to resume negotiations this week on a comprehensive debt reduction plan based on the recommendations of the president's fiscal commission. Those talks slowed last week as one member, Tom Coburn, R-Okla., left town due to a family emergency.

Many lawmakers are eyeing the Gang of Six talks — if they produce an actual plan — as the template for a possible compromise. Members have been discussing a proposal that would overhaul the tax code, eliminating many tax breaks and deductions, while also changing sensitive entitlement programs.

Boehner, said Monday that with the exception of tax increases, all programs, including Medicare, should be on the table. Some House GOP committee chairmen acknowledged last week that Democrats will not agree to sweeping changes to Medicare, but party leaders insist the program is still a candidate for cuts. "To increase the debt limit without simultaneously addressing the drivers of our debt — in defiance of the will of our people — would be monumentally arrogant and massively irresponsible," Boehner says. "It would send a signal to investors and entrepreneurs everywhere that America still is not serious about dealing with our spending addiction. It would erode confidence in our economy and reduce certainty for small businesses. And this would destroy even more American jobs."

CONRAD HOLDING BUDGET, FOR NOW

Senate Budget Committee Chairman Kent Conrad, D-N.D., said it is unlikely he will mark up a budget resolution this week, but didn't rule it out. Conrad suggested he might postpone a markup to give the White House time to make its case later this week, when Obama meets with Senate Democrats and Republicans.

"I don't know in any detail what the meetings are about, but we're told they're about the budget so I really don't know how that changes the dynamic," Conrad said. "I think the chance of starting this week (on the budget resolution) is low. So I think we have to wait and see what happens at these meetings."

Charles E. Schumer of New York, the Senate's No. 3 Democrat, said Monday that Congress should boost the government's borrowing authority at least a few weeks before the Aug. 2 deadline set by Treasury. "We ought to have plenty of breathing room," Schumer said in a conference call with reporters. "If nothing's happening by July 15 or so, the markets are going to get really, really worried. So the sooner the better."

Paul M. Krawzak and Brian Friel contributed to this story.

Appendix 3

COUNCIL *for* OPPORTUNITY *in* EDUCATION

February 22, 2011

Office of Information and Regulatory Affairs
Attention: Education Desk Officer
Office of Management and Budget
725 17th Street, NW., Room 10222
New Executive Office Building,
Washington, DC 20503

Dear Sir or Madam:

On behalf of the several thousand education professionals who provide services through the Federal TRIO Programs across the nation, I write in response to the draft application for the upcoming Educational Opportunity Center (EOC) grant competition, which was published in the Federal Register on January 24, 2011. Upon review of the draft application, two significant problems emerged as impediments to effective program operation and delivery of services; therefore, I strongly urge the Department of Education to correct these issues in the final grant application.

The first problem relates to the first Program Objective ("Objective 1"). The first objective listed under "Program Objectives" on page 57 of the draft application asks applicants to provide the following information:

> (a) <u>Secondary school diploma</u>: ____% of participants served during the project year who did not have a secondary school diploma or its equivalent at time of first service in the project year will receive a secondary school diploma or its equivalent during the project year.

This language is drawn from the final regulatory language governing the EOC program. (*See* Section 644.22(d)(2) "Secondary School Diploma") However, both the regulatory and application language stand in direct contradiction to the language of the law.

The Higher Education Opportunity Act of 2008 calls for the evaluation of "the *enrollment* of students without a secondary school diploma or its recognized equivalent, who were served by [EOC], in programs leading to such diploma or equivalent." (20 U.S.C. Section 1070a-11(f)(3)(E)(i) (emphasis added)). Yet, the wording in both the regulation and the draft application would evaluate EOC programs on whether participants <u>obtained</u> a high school diploma or completed a General Educational Development (GED) program within the program year as opposed to whether program participants <u>enrolled</u> in such programs during the program year.

The language in Objective 1 is particularly problematic because participants enrolled within the program year will not have sufficient time or resources to complete a high school curriculum or GED program within that program year. For example, under this objective, a high school dropout who begins working with an EOC program in June would be expected to obtain a high school diploma by the end of that program year in August. If left unchanged, the only way for EOC programs to meet this new objective would be to specify an extremely low figure, stripping the objective of any real meaning. Therefore, I strongly encourage the Department to revise the wording in Objective 1 in accordance with the governing legislation and to evaluate EOC programs on the percentage of eligible clients who enroll in – as opposed to complete – secondary education programs.

The second issue of concern is the maximum per-student cost of $300, which is discussed on pages 25-27 of the draft application. This spending cap is entirely inadequate to address the needs of programs that serve widely dispersed clients. The starkest examples emerge from EOC programs serving rural communities and Native American reservations, which report per-student costs in the $400 range. By capping the per-student cost at $300, the Department would force EOC programs to eliminate entire communities from their target areas and instead focus services on more concentrated areas. This, in turn, would deprive some of the neediest adult learners from receiving vital services that would allow them to earn greater academic credentials and, ultimately, higher wages. Therefore, it is my recommendation that the Department increase the per-student cost to $410. This figure is sufficient to capture the needs of all EOC programs while preventing the loss of services to areas already plagued by a scarcity of resources.

It is my hope that the Department of Education will address the concerns raised in these comments and make the necessary changes to the final grant application for the EOC program. To do otherwise would require more of EOC programs, but demand that they do so with less. Please help the EOC educators and service providers to continue the good work they are doing to help boost our nation's economy—one student at a time.

Respectfully submitted,

Arnold Mitchem

1025 Vermont Ave., NW, Suite 900, Washington, DC 20005 | w 202.347.7430 | f 202.347.0786 | www.coenet.us

Appendix 4

COUNCIL *for* OPPORTUNITY *in* EDUCATION

March 7, 2011

James Hyler
Acting Director
Information Collection Clearance Division Regulatory Information Management Services
Office of Management
US Department of Education
400 Maryland Ave. SW
LBJ Washington DC

RE: Federal Register Posting--December 10 2010---Request for Comments
Title of Collection: *A Study of Implementation and Outcomes in Upward Bound and Other TRIO Programs*--Agency: Institute for Education Sciences (IES) US Department of Education

Dear Mr. Hyler:

Thank you for the opportunity to comment on the proposed IES study entitled: *A Study of Implementation and Outcomes in Upward Bound and Other TRIO Programs.* As stated in the federal register announcement of December 28, 2010, we understand that written comments received in response to this submission will be considered public records.

Primary Focus of COE Comments

As you know, COE is a membership organization representing low income and first generation college students and service providers, key stakeholders in this proposed evaluation. These stakeholder groups will be strongly affected by the study's validity and usefulness in meeting the Congressional goals contained in the authorization for the evaluation. For this reason we have especially concerned ourselves with addressing item number 4 in the federal register's list of issues for which ED is especially interested in obtaining public comment:

> *4. How might the Department enhance the quality, utility and clarity of the information to be collected?*

Overview

As described in the federal register announcement, the study;

> "will examine the feasibility of a promising practices study of Upward Bound that uses a rigorous quasi-experimental design. The design and feasibility report will develop a set of design options for conducting a study of Upward Bound and examine their applicability to studies of other TRIO programs. If a rigorous evaluation proves feasible, the Dept of Education will conduct a study of the relationship between promising Upward Bound implementation strategies and student outcomes. This submission

includes a justification and plan for the data collection of information and statistical
methods for the design and feasibility study. It also provides an overview of the design and feasibility study.

The total number of annual responses is estimated to be 140 and the burden hours is estimated to be 19,440. The time frame for the formative feasibility study is 21 months. There is an option for a 39 month summative evaluation of UB implementation strategies.

General Comments on Approach

1. COE commends ED/IES for proposing a feasibility study prior to launching the promising practices study of Upward Bound.

2. CO commends ED/IES for the stated intended focus on promising practices that is consistent with the HEOA authorizing legislation that states that the evaluations are to be conducted "for the purpose of improving the effectiveness of programs and projects assisted under this division." (US Code (USC) Title 20, Chapter 28 Subchapter IV, Part A, subpart 2, Division 1 –1070a-18 as Amended by the Higher Education Act of 2008.

3. COE would like to ensure that Upward Bound Math Science (UBMS) is also included in the feasibility study. What are the plans with regard to inclusion of UBMS that is legislatively a part of Upward Bound? COE found no mention of UBMS in the request.

4. This is a time period of increasingly scarce program service resources and at the same time increasingly imperative national goals for increasing US college participation and completion. Given this situation, COE wishes to express that it is especially important that the feasibility study and full scale study make the best use of evaluation research funding resulting in a useful and accurate evaluation that will contribute to our shared understanding of how best to reach these national goals. The justification for the study should make clearer how the study will contribute specific useful information to the college access provider community.

5. One of the government wide emphases has been on building the capacity of federal grantees themselves to engage in strong partnership evaluations and data monitoring of their programs for project improvement. COE has observed that the proposed feasibility study and options for the full-scale study seemingly being considered by IES does not address this goal. Are there any plans to include resources for and technical assistance for rigorous grantee evaluations in the model?

6. Participation of Stakeholders in Design Work.. As recently articulated in the CDC publication (Cox PJ Keener D, Woodward T, Wandersman A. *Evaluation for Improvement: A Seven Step Empowerment Evaluation Approach*, Atlanta (GA) Centers for Disease Control and Prevention (CDC) 2009, one of the lessons learned from several decades of evaluations of federal programs, is the need for increased involvement of the stakeholders in the design of the studies if they are to be accurate, feasible, valid and useful. This is also called for in the Joint Committee for Education Program Evaluation Standards (http://www.jcsee.org/program-evaluation-standards). How will the proposed IES evaluation work address these accuracy and utility issues?

7. Following up on the comments in item 5 and 6 above, COE is aware of the recent feasibility and design process followed by PPSS for the next generation of GEAR UP evaluations and believes this might have been a useful study option for TRIO as well. This work was an attempt to address the above mentioned capacity building and stakeholder involvement goals. The preliminary design work involved 18 months of meeting with stakeholders at national

professional meetings to obtain their input into design options and interventions feasible and worthy of study. It also involved commissioning expert papers on key topics of concern to the field, conducting a systematic review of the methods used and lessons learned from previous studies and preparing a map of the evaluation landscape in the area. At the suggestion of the GEAR UP community the ED evaluation contractor issued a call for statements of interest that was open to all GEAR UP grantees to submit statements outlining the feasibility for rigorous studies of their promising practices that might result in useful information for the field. Through its contractor, ED then provided small amounts of resources and provided technical assistance to 44 grantees to prepare full blown rigorous proposals (using random assignment or quasi-experimental designs) to study practices in three priority areas identified as important and feasible to study by practitioners (8th-9th transition, grade appropriate Math success, graduating high school without need for remediation in college). ED subsequently funded 12 project led studies that are on-going with technical assistance provided by the ED contractor. Several of the 32 non-funded projects have also subsequently indicated they are planning to seek additional funding elsewhere to conduct the studies. Results will be shared with the community along with lessons learned for improving the services. COE would like to understand if the approach used by PPSS for the new GEAR Up studies was considered as a possible approach for the new IES UB study? If it was considered and rejected COE would like to know why?

8. COE has observed that the feasibility design described in the submission does not demonstrate a familiarity with or intent to consider using more innovative evaluation approaches that might be more appropriate for studies that are designed to study promising practices to help increase program effectiveness. Over the last two decades, the international and national evaluation field has developed several models (utilization focused evaluation, participatory or collaborative evaluation, empowerment evaluation, asset based evaluation, complex systems evaluation). Each of these approaches might seem better suited for the implementation study of promising practices in Upward Bound. They provide for the evidence based and rigorous designs required by IES, but also have a potential to provide in-depth understanding of why outcomes and impacts were or were not achieved that might lead to program improvement—something that has not been the case with many national evaluations. COE would like to know if ED considered studying the feasibility of using the models of any of the above mentioned evaluation approaches for the next evaluations of UB and other TRIO programs? If these alternative approaches were considered and rejected by ED, COE would appreciate obtaining a better understanding of why ED does not appear to be pursuing them for the new UB evaluations?

9. While the statement Justification indicates that ED has contracted with Decision Information Resources, Inc. and Abt Associates to develop a set of design options for conducting rigorous studies of TRIO implementation strategies, the only option we could identify about which feasibility is being considered is the "rigorous quasi-experimental design" We are unclear as to exactly what this means. It seems to be suggesting that classifications of sampled projects based on different strategies observed in the case studies will form the basis for then conducting a larger study of the association of these different approaches with differential outcomes. Are any other options being considered or studied in the feasibility study?

Specific Comments on the Study Design and Data Collections Proposed

A.1. Circumstances that Make the Collection of Data Necessary

10. The Introduction to the Justification Part A notes that the purpose of the contracts is to determine the feasibility of conducting a rigorous study of Upward Bound implementation strategies and to develop a set of design options for conducting the study. OMB approval is sought for conducting 20 site visits to UB grantees with interviews of project and school staff and focus groups with students during the design phase of the study. As noted the site visits primary

purpose is that it will “provide information to use in identifying different UB implementation strategies and will provide insight into the likely prevalence of these implementation strategies among all UB grantees.” (page 4). A basic concern that COE has relates to the potential that 20 sight visits selected at random from states having longitudinal data bases stratified by a simplistic ordering by college going rates and 2-year-4 year and urban rural classification has the potential to provide this type of information in a valid and useful manner. These concerns are developed more below in response to some of the specific sections of the OMB package.

Program Background Section of the OMB Package

11. (page 5) COE strongly and formally objects to the misleading reporting of findings from the previous Upward Bound Evaluation conducted by Mathematica Policy Research that are made in the program background section of the Justification for the study. The OMB package states that:

> “Both the 2004 and 2009 reports from the evaluation found that program benefits were concentrated among the one-fifth of program participants who did not plan to attend college at the time of program entry…..For participants as a whole, however, Upward Bound did not have statistically significant impacts on these outcomes.” (page 5 and 6 of package part A)

These statements in the OMB package concerning this study show a basic lack of awareness or concern on IES/EDs part of the identified issues with the Mathematica reports. This lack of concern or awareness of study bias issues and failure to be concerned with the robustness of impact estimates ED publishes and quotes is surprising in IES which prides itself in being the standard bearer for quality research. This OMB package also represents a lack of knowledge of the fact that a more credible re-analysis of the data correcting for study error using NCES statistical standards as a guide found strong positive impacts for Upward Bound for the participants as a whole and not only those with lower educational expectation and those deemed more academically at-risk. Because of the importance of these issues to the UB community and also to the evaluation community responsible for conducting studies that are accurate and ethical, we discuss this issue in some detail below.

Dr. Margaret Cahalan, currently of COE, who served as the technical monitoring of the study while at ED and Dr. David Goodwin, now of the Gates Foundation and the former head of the PPSS Division under which the study was conducted and original project monitor have both stated that in their technical judgment the Mathematica reports are “seriously flawed.” Dr. Goodwin summarized his reasons for judging that that the fifth follow up final report is seriously flawed in an email appended to the end of this document. A more detailed discussion of these concerns and re-analysis results is included in the report published by COE in 2009 *Addressing Study Error in the Random Assignment National Evaluation of Upward Bound: Do the Conclusions Change? (http://www.coenet.us/files/files-do_the_Conclusions_Change_2009.pdf .* The fact that robust estimates of impact could not be made for the entire population of interest (as was attempted by Mathematica in each of their reports) was also the judgment expressed by the IES statistical reviewer selected for his or her expertise in statistical sampling and non-sampling error issues. This reviewer stated.

> *“The decision made in 1992-94 to select only a single project at random from this 26% share of the applicant population created a design in which design-based estimation and inferences for the full population could not be robust for the true population values. Simply applying a population weight to an inadequate sample of one cluster from a 26% share stratum will not correct this. “What to do? With respect to design-based*

inferences for all other strata, the baseline sample of programs should enable robust inferences for that share of the UB survey population not included in the Project 69 stratum." (IES reviewer C July 2008).

As noted by Dr. Goodwin, Dr. Cahalan's report presents some information not fully revealed in the Mathematica reports concerning violations of study sampling design and estimation standards resulting in uncontrolled for study bias in favor of the control group about which you should be made aware as you design the next study. Specifically Dr. Cahalan found that when study error issues are addressed using standard statistical procedures that strong positive impacts were found for the Upward Bound for participants as a whole and for students deemed more at risk. For example, Dr. Cahalan found that with and without the project 69 inclusion when she standardized outcomes by expected high school graduation year (not done in the Mathematica reports) that positive statistically and substantively significant impacts were found for the entire sample, with larger impacts for the 74 percent of the sample for which more robust estimates can be made.

Among the most notable finding was that for the 74 percent of the sample for which the IES reviewer noted that robust estimates could reasonably be made there was a 30 percent increase for the Intent to Treat (ITT) and a 50 percent increase for the Treatment on the Treated (TOT) impact on obtaining a BA degree within 6 years of high school graduation. COE would appreciate it if future references to this study made by IES would give a more accurate picture of the previous UB findings, and make use of the lessons learned from this evaluation concerning the design of future evaluations. The last part of Dr. Cahalan's work sited above gives some lessons learned from the study that we believe are worth reviewing as you move forward.

12. Some COE members and staff have served on the TRP in a study conducted by PPSS on the feasibility of using the individual student level participant records from the SSS and UB APR's combined with other administrative record data (National Student Clearinghouse and Federal Aid Files, CCD, IPEDS) to identify promising practices within UB and SSS. The design and results from this study would seem to be very relevant for the current work. These studies used multi-level modeling merging data from the several databases. For UB the APRs contain detailed student service records. The modeling was designed to examine the feasibility of identifying links between specific services received and outcomes as well as identifying projects that appeared to have higher than expected outcomes. Nine of the projects identified by the models were then selected for case studies to observe what features might have contributed to their more positive outcomes. The outcomes observed for UB were program retention, high school completion, GPA, financial aid, and postsecondary entrance at 2 and 4 year institutions. The statistical models did identify projects with higher than expected outcomes, however they were not able to establish a link between specific services or service combinations. The case studies focused on what the staff in the higher performing sites (by the models) perceived were the elements of effective programs. The case studies found that it was not differences in the services provided, but attributes of the way the services were provided that the staff perceived as making a difference. We understand that the study concluded that there was not enough variation in services received (UB is very legislatively prescribed); and that there was not enough comparative information on variation of the students or their high school's postsecondary probability at baseline, nor information on context of the services received to allow for meaningful conclusions on whether the projects selected as higher or lower performers were actually worthy of these designations. There was the possibility that differences in outcomes observed were more related to unmeasured factors related to differences in the students served than program relative effectiveness. Is IES aware of this report that we understand is now under review? COE would like to know how the proposed selection of sites for the feasibility study and

the designs being considered for the next UB evaluation will build on this work and how it will overcome the data challenges faced by the PPSS feasibility study? How will the procedures used differ or be the same of what was done by the PPSS study?

13. The package correctly points out that attempts to use APR administrative records and also attempts of previous evaluations to link specific services to outcomes have not been successful in Upward Bound studies. The Mathematica study original design included obtaining detailed service records from the sites, and a part of the design also included site visits to projects that exhibited higher than average impacts. The small numbers of sampled students in most sites, hindered the analysis of individual sites as well as the lack of articulated strategy variation in services limited the value of this effort. The package states that it is the "how" including the intensity, duration and mix of services that "constitutes the strategies or practices of specific interest to the evaluation." COE has some concerns about the attempt to develop contrasting strategies for future quasi-experimental design studies in this manner. Specifically we are concerned about the use of the information proposed in Tables 3 to 5 (pages 17 to 18). We have concerns that the study will be able to generate clear differences that are meaningful based qualitative data from 20 sites.

14. COE is concerned that the site visits proposed in the OMB package seems like a very general fishing expedition that with only 20 randomly selected sites may not be very helpful in identifying promising strategies. Please explain further how these 20 sites can be expected to yield the feasibility information required by the study? COE would like to see a stronger link articulated between the proposed 20 case studies and also the administrative statistical modeling in understanding the potential of various design options to address the evaluation goals put forth by Congress.

15. COE poses the question of whether more targeted visits to sites that are engaged in interesting approaches in key areas might be more useful? The site visits could examine the feasibility of conducting experimental or quasi-experimental studies of the implementation of a specific identified service or set of services (for example, using place based education curriculum, service learning, project based learning, empowerment student led program design, increased data use for decision making and personalized student services, integrating green Upward Bound initiatives into the curriculum (see COENetWOrks Winter 2010 article *TRIO is Going Green*). The site visits might also examine the feasibility of the site conducting a rigorous empowerment evaluation using the contractors as external evaluators and technical assistance providers. The site might take stock of how it is performing, set goals for improvement, identify steps needed and measure outcomes or impacts There are also important issues surrounding how the college access providers are co-ordinating efforts and issues related integrating projects such as Upward Bound to new whole school approaches.

A2. Purpose for Collection, How It Will Be Collected, by whom it Will Be collected

16. A stated primary purpose of the site visits is to identify the variability in UB implementation strategies. Again COE questions whether site visits to only 20 sites is the best approach for this. One might suggest that a representative on-line survey of projects might yield more reliable results for this purpose. The survey might also solicit suggestions for promising practices along with information on the feasibility of research designs. Better results might also be obtained from holding a series of focused teleconferences with a much larger number of projects asking them to specifically address the study feasibility questions about variability in approaches and strategies? These on-line teleconferences can yield more information for fewer resources.

17. COE also notes that much of the information to be collected in the protocols can be

obtained from the APRs or the grant applications or other project descriptions. If the desire is to find out about the feasibility of research options, variability, perceptions of strategies that work or do not work, and the challenges in implementation of the program then these should be the overt and primary questions. Some of these items are covered in the protocols but these are lost with the large amount of descriptive information being collected. Presumably this is being collected to tease out differences between the lower and higher performing sites. Based on past experience, it may be very difficult to tease out these differences from the protocols included among the 20 sites. Nor do the proposed data collection protocols include much overt focus on obtaining stakeholder input on feasibility of the quasi-experimental design being considered and candidates for a promising practices to study.

18. The plan for the feasibility study places emphasis on using quasi-experimental designs rather than experimental designs. Indeed the focus of the plan seems to be on how can rigorous studies be designed with this “handicap.” Presumably this is because of the language in the HEOA that notes that TRIO studies may not require projects to participate in evaluation that require recruitment of additional students solely for the purpose of evaluations and also that IRB protections must apply. This language is not a prohibition of all experimental designs, but notes that they need to not result in denial of services for the purpose of evaluation studies. This is consistent with standard protections of human subjects. For example, COE is currently working on studying the effectiveness of new models for the Talent Search program under an I-3 grant in the area of using data to inform and improve college access programming. The evaluation design involves both quasi-experimental and experimental design elements. Within a model that provides some college access services to the whole school, COE is also testing the impact of establishing random assignment diverse leadership learning communities that will receive more intensive services in the area of project based learning using data from the data warehouse. Resources are not available to serve all students so intensively. Students not randomly selected to be invited into the more intensive services but who later request services will not be denied participation, but will not form part of the impact assessment. This experimental design is being developed with the full participation of the school principals, the district and the college access providers, and respective IRBs of the external and internal evaluators. The point is that the congressional language nowhere prohibits the use of all experimental designs within TRIO.

Part B Respondent Universe and Sampling Methods

19. The problem with using random selection for 20 cases is that the smallness of the sample prohibits the two main advantages of random assignment mentioned on page 8 of part B from being very applicable, especially when you are proposing to have so many strata from which to be selecting (high-low performing, rural urban 2-year 4-year). As articulated above COE has concerns about using the random sampling method outlined in the package for only 20 grantees and suggests that a more purposive approach might be more appropriate based on sites targeted for feasibility issues. The stratification plan seems a bit over simplistic as it is not so easy to determine from available data on projects average college going rates whether this means the grantees are higher or lower performing.

20. Limiting the sampling frame to 7 to 8 states with state longitudinal records makes sense for a quantitative full scale study of all such as was completed on Talent Search that used propensity modeling to observe the relationship between TS and postsecondary outcomes. Such a study is possible with Upward Bound, although it will suffer from the small number of cases involved and also the fact that the state data bases typically do not contain information on other services received. It’s not so clear why the case studies need to only be from these states.

21. In summary, we would like to see ED and its contractors conduct a feasibility study that:
1) Involves a participatory and collaborative approach to study design that involves relevant

stakeholders; 2) that relies on college access provider professionals to identify promising practices for which rigorous study is feasible and will yield useful information for how best to achieve project goals; and 3) presents a number of options for strong rigorous targeted studies of promising practices whether experimental or quasi-experimental provided they do not involve denial of services to students and are consistent with IRB protections.

Sincerely,

Attachment A

"Email from David Goodwin, former director of PPSS Unit (PAS) responsible for the study requesting review of Cahalan paper and indicating why he believed that the Mathematica report was "seriously flawed" (July 2009)

> *" I'm following up our conversation of about a week ago to find out if IES is willing to arrange an external peer review for Margaret Cahalan's reanalysis of data from the Mathematica Upward Bound evaluation. Since you indicated some skepticism based upon an IES staff review of Cahalan's paper, I'd like to briefly summarize why I believe the Mathematica report currently published by ED is seriously flawed:*
>
> *1. The design involves a nationally representative sample of 67 Upward Bound projects. One of these projects (called project 69) carries 26 percent of the total weight. Each of the remaining 66 projects typically carry about 3-5 percent weight. A sample design placing one/fourth of the weight on one project would not be regarded by sampling statisticians as sound practice.*
>
> *2. The study results depend totally on the prescence or absence of project 69. Mathematica's own internal analysis indicates that without project 69 there are significant positive results, but with 69 included there are no impacts on postsecondary attendance.*
>
> *3. A closer look at project 69 indicates that there are significant differences between treatment and controls on characteristics likely to affect postsecondary outcomes, several of which cannot be adequately controlled in the statistical analysis. Within project 69, controls were less likely to be considered "academically at risk," had higher educational aspirations, and entered UB at a higher high school grade. Considering the rest of the study sample, treatments and controls were quite similar. However, combining the project 69's weight with these treatment/control differences and the inability to adjust for academic risk, raises serious questions about biases in the impact estimates.*
>
> *4. Project 69 may not be very representative of the strata it was chosen to represent—non-white, urban 4 year college. Until a few years prior to the study, project 69 had been a community college. It was subsequently taken over by a nearby 4 year college and reclassified; however, in offerings and other characteristics it remained very much like a community college. It lacked a summer residential component, a key feature of almost all Upward Bound projects at 4 year colleges, and relatively rare at community colleges.*
>
> *Virtually all the issues I've summarized above are not evident from reading the Mathematica report. Although Mathematica may have followed procedurally acceptable methods, it seems clear that their main findings are not robust to alternative analyses that, at a minimum, are equally valid. This is why I think it is important that the Department publish the Cahalan paper. Given the IES staff review, without an independent external review of Cahalan's research, it's not going to happen. "*

David Goodwin
Policy and Program Studies Service
U.S. Department of Education
400 Maryland Ave., SW
Washington, D.C. 20202
202-401-0263 (tele)
202-401-5943 (fax)

FACT SHEET

The U.S. Department of Education i3 Grant: Using Data in College Access Programming (Using *DICAP)* in the 21st Century High School

Selected from among nearly 1,700 applicants, the Council for Opportunity in Education (COE) secured a grant from the U.S. Department of Education under the "Investing in Innovation" (i3) program. The GE Foundation, a long-standing COE partner, is also matching the federal grant to start a five-year initiative in both Erie, Pa., and Louisville, Ky., that will focus on improving overall student achievement, providing sustained support in rigorous curricula, and positively impact college enrollment and success and related factors in six schools with large numbers and percentages of high need students.

This funding builds upon a pilot program funded by the GE Foundation already established in both Erie and Louisville.

Funding provides for the following:

- Placing two College Coaches in each school to provide academic advising, career counseling, assistance in applying to college and applying for financial aid.
- Establishing two Learning Communities (each made up of approximately 30 students) at each grade level in each school. Students in these Learning Communities will meet at least twice/week and support each other in college aspirations.
- Conducting a bridge-to-high school program for students about to enter the ninth grade Learning Communities; providing summer enrichment activities in math and science for rising tenth, eleventh and twelfth grade students.
- Providing supplementary tutoring in core academic subjects (e.g. math, science, and English) depending on other resources available in the schools as well as strategies for study management skills; providing college students and young professionals as mentors.
- Working with District data offices, providing data to enable school leaders and college access staff to improve the number and percentages of school graduates who enter and are successful in college.

Key outcomes of the *Using DICAP* Initiative:

- Partners and stakeholders use data to reflect on the services and translate their findings into actions that can be implemented in the program;
- Improved student academic achievement; increased graduation rates;
- Increased college readiness, and increased college enrollment.
- Validate a new model for Federal Talent Search programs that will allow these projects to meet a new legislative requirement that they provide sufficient support to allow students to succeed in rigorous secondary school curricula.

Scott Robertson: Cutting financial aid programs is wrong way to go

March 18, 2011 @ 12:00 AM
The Herald-Dispatch

In an ongoing battle over federal budget cuts, the U.S. Senate's decision to oppose House Resolution 1 -- legislations that would have cut funding for education and financial aid programs geared toward millions of disadvantaged students and low-income families -- signals a win for all Americans.

The U.S. House majority-sponsored bill would have crushed the educational opportunities for many students by cutting the Pell Grants they depend on to help pay for the rising cost of college tuition and fees. Also, H.R. 1 threatened to significantly slash funding for TRIO and GEAR UP programs, which have both proven to be touchstones for helping students access and complete postsecondary education.

Why propose legislation that cuts billions of dollars designed to help the most disadvantaged Americans in a time when they need the most help? Attempts to pass bills that jeopardize the existence of programs necessary to making America competitive globally is reckless. Short-term political gain should not be at the root of decisions that will impact the long-term economic stability and national security of America. Besides, West Virginia certainly could not afford more cuts to higher education.

It would be difficult to find many people in West Virginia who would argue against attempts to reduce the federal deficit. As tough decisions will undoubtedly have to be made in this economic climate, we must continue to examine carefully our policymakers' decisions about "what" and "why" they cut and not just "how much" they cut from the federal budget. Conversely, we should be willing to applaud those lawmakers who review proposed legislation with a thoughtfulness and consideration of its impact on West Virginia residents as well as all citizens.

The leadership displayed by Sen. Jay Rockefeller and Sen. Joe Manchin, who voted down the potentially destructive H.R. 1, is one such commendable example. I know that low-income families and students across West Virginia commend them for taking this stand and voting to keep critical funding in our communities.

Scott Robertson currently serves as the WV TRiO president and works as a counselor with the Marshall University Heart of Appalachia Talent Search Program. He is also an alumnus of the two programs. The TRiO and HATS programs provide services to low-income, first generation college students and/or disabled youth, college students, veterans and adults.

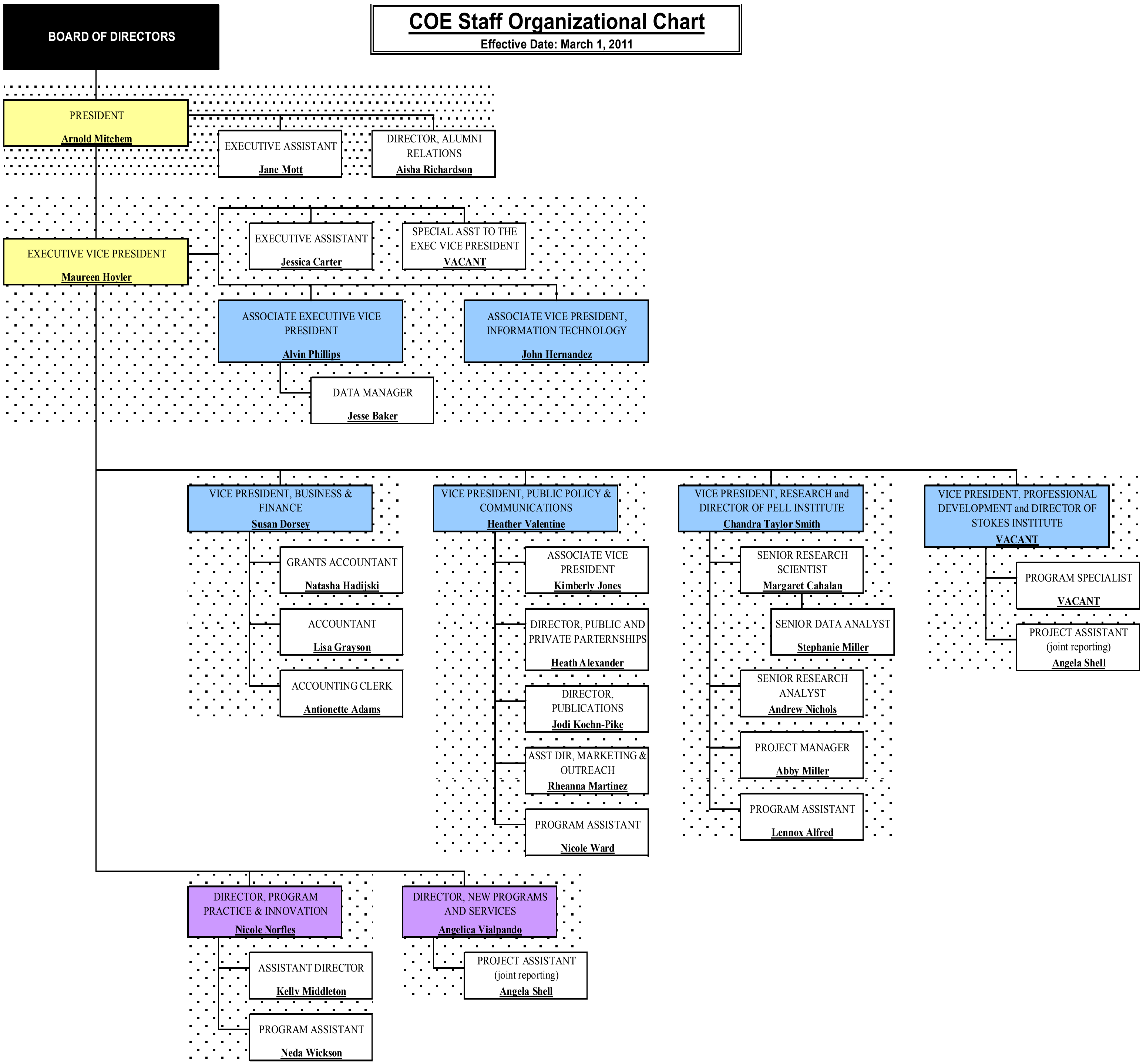
Appendix 7

State/Regional Meeting	COE Staff
Connecticut	Heath Alexander
Maine	Heath Alexander
Montana	Heather Valentine
SAEOPP	Dr. Mitchem
WESTOP	Dr. Mitchem and Heather Valentine
District of Columbia	Kimberly Jones and Angelica Vialpando
Texas	Alvin Phillips and Dr. Mitchem (video conference)
Georgia/South Carolina	Dr. Mitchem, Kimberly Jones, and Alvin Phillips
Oklahoma	Heather Valentine
Mississippi/Alabama	Angelica Vialpando
NEOA	Dr. Mitchem and Kimberly Jones
Minnesota	Heath Alexander and Nicole Ward
MOKANNE	Heath Alexander
MEAEOPP	Angelica Vialpando and Jodi Koehn-Pike
Washington	Heather Valentine
Illinois	Dr. Mitchem (video conference)
North Carolina	Alvin Phillips
Iowa	Dr. Mitchem and Heather Valentine
New Mexico/West Texas	Heath Alexander and Nicole Ward
Michigan	Alvin Phillips
Wisconsin	Rheanna Martinez
Louisiana	Heather Valentine
Idaho	Heath Alexander (video conference)
Colorado	Rheanna Martinez
Ohio	Alvin Phillips
AEEE	Maureen Hoyler
Indiana	Heath Alexander and Alvin Phillips

Appendix 8

COE Staff Organizational Chart

Effective Date: March 1, 2011



Appendix 9

COUNCIL FAIRSHARE STATE REPORT

For: 7/1/2010 thru 6/30/2011

Date: 5/10/2011

State	Equality	Membership	Contributions	Sum	Budgeted	Difference	%
CT	$0.00	$5,938.00	$85.00	$6,023.00	$18,830.00	$12,807.00	32%
MA	$400.00	$51,333.00	$3,678.12	$55,411.12	$73,073.00	$17,661.88	76%
ME	$0.00	$17,814.00	$5,071.71	$22,885.71	$28,191.00	$5,305.29	81%
NH	$0.00	$3,397.00	$645.00	$4,042.00	$7,112.00	$3,070.00	57%
RI	$0.00	$3,069.00	$550.00	$3,619.00	$4,753.00	$1,134.00	76%
VT	$0.00	$21,611.00	$2,610.00	$24,221.00	$18,830.00	($5,391.00)	129%
NEOA	$400.00	$103,162.00	$12,639.83	$116,201.83	$150,789.00	$34,587.17	77%
NJ	$0.00	$56,973.00	$2,100.00	$59,073.00	$51,775.00	($7,298.00)	114%
NY	$400.00	$115,815.00	$2,300.00	$118,515.00	$171,140.00	$52,625.00	69%
AEEE	$400.00	$172,788.00	$4,400.00	$177,588.00	$222,915.00	$45,327.00	80%
DC	$0.00	$17,473.00	$1,741.60	$19,214.60	$16,436.00	($2,778.60)	117%
DE	$0.00	$4,269.00	$315.00	$4,584.00	$7,330.00	$2,746.00	63%
MD	$0.00	$29,890.00	$5,232.58	$35,122.58	$47,167.00	$12,044.42	74%
PA	$0.00	$76,518.00	$1,075.00	$77,593.00	$85,120.00	$7,527.00	91%
VA	$0.00	$36,556.00	$1,470.00	$38,026.00	$58,995.00	$20,969.00	64%
WV	$200.00	$23,011.00	$154.98	$23,365.98	$37,624.00	$14,258.02	62%
MEAEOPP	$200.00	$187,717.00	$9,989.16	$197,906.16	$252,672.00	$54,765.84	78%
AL	$0.00	$56,329.00	$4,155.00	$60,484.00	$88,061.00	$27,577.00	69%
FL	$0.00	$61,100.20	$5,362.32	$66,462.52	$94,225.00	$27,762.48	71%
GA	$0.00	$50,635.00	$4,740.00	$55,375.00	$57,256.00	$1,881.00	97%
KY	$200.00	$35,959.00	$4,728.01	$40,887.01	$62,010.00	$21,122.99	66%
MS	$0.00	$30,018.00	$1,610.00	$31,628.00	$49,380.00	$17,752.00	64%
NC	$0.00	$58,932.00	$1,130.00	$60,062.00	$103,513.00	$43,451.00	58%
SC	$0.00	$43,697.00	$3,376.99	$47,073.99	$73,255.00	$26,181.01	64%
TN	$0.00	$38,615.00	$7,181.00	$45,796.00	$57,038.00	$11,242.00	80%
SAEOPP	$200.00	$375,285.20	$32,283.32	$407,768.52	$584,738.00	$176,969.48	70%
AR	$0.00	$53,232.00	$6,704.75	$59,936.75	$80,512.00	$20,575.25	74%
LA	$0.00	$58,863.66	$3,950.00	$62,813.66	$52,613.00	($10,200.66)	119%
NM	$200.00	$36,759.00	$693.00	$37,652.00	$40,129.00	$2,477.00	94%
OK	$0.00	$66,308.00	$5,111.25	$71,419.25	$60,343.00	($11,076.25)	118%
TX	$0.00	$123,509.00	$3,244.83	$126,753.83	$208,884.00	$82,130.17	61%
SWASAP	$200.00	$338,671.66	$19,703.83	$358,575.49	$442,481.00	$83,905.51	81%

IA	$0.00	$49,635.00	$1,195.00	$50,830.00	$63,785.00	$12,955.00	80%
IL	$0.00	$95,163.00	$1,868.00	$97,031.00	$155,324.00	$58,293.00	62%
IN	$400.00	$26,552.00	$91.00	$27,043.00	$44,845.00	$17,802.00	60%
KS	$0.00	$25,152.00	$750.00	$25,902.00	$40,602.00	$14,700.00	64%
MI	$0.00	$71,023.50	$235.00	$71,258.50	$75,467.00	$4,208.50	94%
MN	$200.00	$68,676.50	$1,910.30	$70,786.80	$66,508.00	($4,278.80)	106%
MO	$0.00	$40,759.00	$100.00	$40,859.00	$68,575.00	$27,716.00	60%
NE	$0.00	$21,814.00	$245.00	$22,059.00	$33,126.00	$11,067.00	67%
OH	$0.00	$61,239.00	$1,327.00	$62,566.00	$85,192.00	$22,626.00	73%
WI	$0.00	$52,025.00	$1,000.00	$53,025.00	$82,834.00	$29,809.00	64%
MAEOPP	$600.00	$512,039.00	$8,721.30	$521,360.30	$716,258.00	$194,897.70	73%
CO	$0.00	$34,087.00	$2,157.50	$36,244.50	$49,744.00	$13,499.50	73%
MT	$0.00	$27,949.00	$2,280.00	$30,229.00	$42,268.00	$12,039.00	72%
ND	$0.00	$14,745.00	$2,760.00	$17,505.00	$18,940.00	$1,435.00	92%
SD	$0.00	$5,738.00	$603.98	$6,341.98	$16,472.00	$10,130.02	39%
UT	$0.00	$25,736.00	$705.00	$26,441.00	$26,088.00	($353.00)	101%
WY	$0.00	$8,807.00	$3,497.07	$12,304.07	$11,865.00	($439.07)	104%
ASPIRE	$0.00	$117,062.00	$12,003.55	$129,065.55	$165,377.00	$36,311.45	78%
AS	$0.00	$0.00	$0.00	$0.00	$2,358.00	$2,358.00	0%
AZ	$0.00	$17,673.00	$687.00	$18,360.00	$40,165.00	$21,805.00	46%
CA	$400.00	$126,515.00	$6,979.29	$133,894.29	$240,745.00	$106,850.71	56%
FM	$0.00	$0.00	$0.00	$0.00	$2,468.00	$2,468.00	0%
GU	$200.00	$0.00	$800.00	$1,000.00	$4,717.00	$3,717.00	21%
HI	$0.00	$16,407.00	$300.00	$16,707.00	$21,298.00	$4,591.00	78%
MH	$0.00	$3,000.00	$80.00	$3,080.00	$2,322.00	($758.00)	133%
MP	$0.00	$0.00	$0.00	$0.00	$2,358.00	$2,358.00	0%
NV	$0.00	$2,569.00	$170.00	$2,739.00	$12,229.00	$9,490.00	22%
PW	$200.00	$0.00	$0.00	$200.00	$2,395.00	$2,195.00	8%
WESTOP	$800.00	$166,164.00	$9,016.29	$175,980.29	$331,055.00	$155,074.71	53%
AK	$0.00	$3,269.00	$0.00	$3,269.00	$4,862.00	$1,593.00	67%
ID	$0.00	$11,807.00	$325.00	$12,132.00	$12,302.00	$170.00	99%
OR	$400.00	$28,821.00	$200.00	$29,421.00	$42,596.00	$13,175.00	69%
WA	$0.00	$39,825.00	$1,310.00	$41,135.00	$63,676.00	$22,541.00	65%
NASP	$400.00	$83,722.00	$1,835.00	$85,957.00	$123,436.00	$37,479.00	70%
PR	$0.00	$46,871.66	$720.00	$47,591.66	$58,959.00	$11,367.34	81%
VI	$0.00	$2,569.00	$0.00	$2,569.00	$2,322.00	($247.00)	111%
CATP	$0.00	$49,440.66	$720.00	$50,160.66	$61,281.00	$11,120.34	82%
Grand Total	**$3,200.00**	**$2,106,051.52**	**$111,312.28**	**$2,220,563.80**	**$3,051,002.00**	**$830,438.20**	**73%**