

FEDERAL WAIVER COVER SHEET
CALIFORNIA STATE BOARD OF EDUCATION
JANUARY 2004 AGENDA
Item No. W-8

TITLE: Request by Novato Unified School District to waive No Child Left Behind Act (NCLB); Title IV, Part A, Section 4115 (a)(1)(C) to use Safe and Drug Free Schools and Communities funds to support the cost of Here's Looking At You , as a kindergarten through twelfth grade prevention program	<u> X </u> ACTION <u> </u> INFORMATION <u> </u> PUBLIC HEARING <u> </u> CONSENT
CDSIS: Fed-08-2003	

RECOMMENDATION:

The Department recommends:

- Approval
 Denial

Summary of Previous State Board of Education Discussion and Action:

The SBE previously adopted policy 03-01 that requires a program or activity supported with Safe and Drug Free School and Communities (SDFSC) funds to meet the principles of effectiveness. Attachment A of the policy lists those programs that provide scientific evidence that the program reduces violence and illegal drug use as required by Title IV, Part A Section 4115. The Here's Looking At You program is not on the Attachment A list, and does not meet the other criteria for waiver, so it is presented for Action.

At its November 2003 meeting, the SBE considered a waiver request for Here's Looking at You from the Placentia-Yorba Linda USD. The SBE denied this requests. In addition, a waiver request for Here's Looking at You was withdrawn by the Magnolia SD based on a recommendation of denial by CDE.

Summary of Key Issue(s):

The waiver application from the Novato USD regarding the Here's Looking At You program has been reviewed to ensure compliance with the three major criteria described in SBE policy 03-01 that must be met in order for the waiver to be approved by the board. The waiver application's success in meeting each of the three criteria is described as follows:

Is the program innovative?

The Here's Looking At You program has been in existence since 1992 and cannot be considered a new program. The California Department of Education's publication *Getting Results Update 2: Assessing the Effectiveness of Classroom Based Prevention Programs, 2001*, summarized the results from two published and seven unpublished studies that evaluated the Here's Looking At You (HLAY) program. The program's 10 year evaluation history further underscores that this program is a traditional approach rather than innovative. The program includes concepts related

to providing students with current information, opportunities to bond, and social skills common to many prevention curriculums based on the social influences model. The program draws from both the social influences model and the social development model for its program theory. Given the wide availability of social influences and development based programs, Here's Looking At You does not meet the State Board's criteria for being innovative compared to other programs.

Does the program demonstrate substantial likelihood of success?

Previously, Dr. Denise Hallfors, Ph.D., University of North Carolina, Chapel Hill, reviewed the two published and seven unpublished studies of Here's Looking At You available at that time for a report in *Getting Results, Update 2* (2001). Dr. Hallfors concluded that, "because of the lack of peer-reviewed studies and the weakness of unpublished study designs, Here's Looking At You should not be considered a research-based program that works."

Given the program developer's reported intention to submit the program for review by the California Health Kids Resource Center in October 2003, we asked the Resource Center director, Deborah Wood, Ph.D., to acquire a copy of the latest evaluation conducted by Farley and Associates (April 2003) and based on the scientific evidence presented by the evaluation determine if the program demonstrates substantial likelihood of success. Dr. Wood's conclusion is that, "the present evaluation of HLAY does not provide valid and reliable evidence of effectiveness, especially on students' substance-use behaviors. Without peer-reviewed studies on the impact of HLAY and given the design weaknesses and lack of instrumentation reliability data of the Farley and Associates (April, 2003) unpublished study, there is not available evidence at this time to change the conclusions reported in *Getting Results, Update 2* (2001)." The Here's Looking At You program does not meet the State Board's criteria for demonstrating the likelihood of success. The full text of Dr. Wood's report is attached.

Is there a plan and timeline for submitting the program for review and recognition?

The applicant has confirmed that the program developer is submitting the Farley and Associates (April 2003) evaluation for publication in a peer-review journal in the fall of 2003. However, the application does not describe the program developer's or publisher's plan and timeline for submitting the program for review and recognition by one of the reputable groups identified in Attachment A of the Board's waiver policy (California Healthy Kids Resource Center: Research-Validated Programs; University of Colorado: Blueprints; Center for Substance Abuse Prevention: Model Programs; or United States Department of Education: Expert Panel). Therefore, this application does not meet the State Board's criteria for review and recognition by a reputable group.

Summary

The Department recommends that this waiver be denied, as it meets none of the three criteria in the State Board of Education policy, or the Federal statute.

Waiver Authority: NCLB, Title IV, Part A, Section 4115(a)(3)

Local board approval date: 10-21-03

Effective dates of request: 10-23-03

Fiscal Analysis (as appropriate): Waiver denial will increase the amount of NCLB, Title IV, Part A funds available to support science-based and proven-effective alcohol, tobacco, other drug and violence prevention programs consistent with the LEA's approved LEAP.

Background Information:

Documentation is attached to this Summary

Date: June 30, 2003

To: Meredith Rolfe
Administrator
Safe and Healthy Kids Program Office

From: Deborah Wood, Ph.D.
Executive Director
CA Healthy Kids Resource Center

Re: Farley and Associates (2003) evaluation
of Here's Looking at You (HLAY)



Summary. In *Getting Results, Update 2* (2001), reviewers concluded that the nine studies to date evaluating Here's Looking at You (HLAY) did not provide scientific evidence of effectiveness. Since that time HLAY has been revised and evaluated in an unpublished report by Farley and Associates (April, 2003). The Farley and Associates study evaluated the impact of HLAY on 4th/5th and 5th/6th grade students' substance-use behaviors, knowledge, attitudes, skills and intentions. The study reported some short-term impact on HLAY students' substance use, and some gains in knowledge, attitudes and skills. However, on balance a pattern of effectiveness, particularly on students' substance-use behaviors, does not emerge. Moreover, there are sampling weaknesses in the design of the study and the internal reliability of the instrumentation was not reported. Without peer-reviewed, published studies on the impact of the revised version of HLAY and given the design weaknesses and lack of instrumentation information of the Farley and Associates unpublished study, there is not available evidence at this time to change the conclusions reported in *Getting Results, Update 2* (2001).

Background. Nine studies evaluating Here's Looking at You (HLAY, two published, seven unpublished) were reviewed in *Getting Results, Update 2* (California Department of Education, 2001). The review concluded that "because of the lack of peer-reviewed studies and the weakness of unpublished study designs, HLAY should not be considered a research-based program that works." (p. 17) Since 2001, HLAY has been updated and an evaluation has been conducted by Farley and Associates (April, 2003). The unpublished report by Farley and Associates was provided by the distributor of HLAY, United Learning.

Evaluation of the revised HLAY. The two-year Farley and Associates study evaluated the impact of HLAY on 4th/5th and 5th/6th grade students' substance-use behaviors, knowledge, attitudes, skills, and intentions. HLAY is described in the report as a research-based, K-12 drug education program, designed to provide students with information about alcohol, tobacco, and other drugs; teach social, refusal and resistance skills; and provide students with opportunities to bond with their school mates, families, and communities. The fourth grade curriculum is 19 lessons; the fifth and sixth grade curricula each consist of 23 lessons. Fidelity of implementation during the study was reported via teacher logs indicating students received an average of 74-83% of the lessons. Teacher logs were supplemented with on-site observations of instruction and interviews with teachers and students. Based on these data, the authors concluded that the program was implemented with a fair amount of fidelity.

Sample. The final data set of the study included 525 students in nine HLAY schools and six matched control schools selected from the Greater Chicago area. Schools that scored below average on the statewide proficiency exams in reading and writing were excluded from the population of schools selected because of concerns about lack of time to implement HLAY and attrition issues. The report notes that the sample represented inner city schools, traditional urban neighborhood schools, and suburban schools. However, student- and school-level demographic data were not provided to demonstrate representation. Similarly, HLAY/control group equivalence data were not provided, except for substance-use behaviors and skills (i.e., having developed a refusal plan). At baseline HLAY students reported significantly higher baseline levels of substance use than control students, while control students were more likely than HLAY students to have developed a refusal plan, suggesting that one or both of the sample groups were not representative of the population (at least as substance use and having a refusal plan is concerned).

Data collection and analysis. Data on students' self-reported substance-use behaviors, knowledge, attitudes, skills, and intentions were assessed via surveys at baseline, two points during the intervention (nine and 12 months from baseline), and after the intervention (21 months from baseline in the spring of the second academic year after students had received two years of the HLAY curriculum). The report provides analyses comparing the baseline (data point 1, DP1) to data collected at the end of the intervention (data point 4, DP4).

Outcomes: Students' Substance-Use Behaviors. Substance-use behaviors were measured in two ways: (a) students' self-report of the frequency of use of six different substances (4th/5th cohort) and seven different substances (5th/6th cohort) in the three- or six-month period prior to administration of the survey. Students' reported use of the substances (alcohol, cigarettes, cigars, marijuana, smokeless tobacco, inhalants, plus any other illegal drugs for the 5th/6th cohort) were aggregated into a substance-use index measure; and (b) the average number of substances students reported "never" having used prior to testing was used as a non-use of substances index. No data were provided to support the internal reliability of the indexes as measures of students' substance-use behaviors.

Substance use was low for both cohorts of HLAY and control students: 85% or more of HLAY and control students reported non-use of substances at DP1 and DP4. The results indicate that the 4th/5th cohort of HLAY students increased substance use significantly less from DP1 to DP4 than control students.¹ However, conclusions from these data should be made with caution because HLAY students reported significantly higher levels of substance use than control students at DP1 (indicating nonequivalence of treatment and control groups at baseline). Although the substance-use results for the 5th/6th cohort were in the same direction they were not statistically significant. The analysis of the non-use index data showed that 4th/5th grade control students' average number of "never-used" substances decreased significantly more than HLAY students from DP1 to DP4. However, control students had a higher average number of "never-used" substances than HLAY students at both DP1 and DP4, and HLAY/control group equivalence analyses of these data at baseline were not reported. The non-use results

¹ Although one can assume that a repeated-measures ANOVA provided these results, an identification of the statistical test and results data for this analysis could not be found, except for the p value of the result.

for the 5th/6th cohort were in the same direction but they were not statistically significant. The report also includes a variety of within-group analyses and across-group analyses of non-use of individual drugs that either didn't directly compare the HLAY and control students, had non-significant results, or provided a single significant result (e.g., 4th/5th non-use of inhalants) among broader non-significant findings. At this time, no generalizable conclusions of impact on students' substance-use behaviors can be drawn from these data due to several factors: the lack of a consistent pattern of results, the lack of demographic data on the subject samples, the nonequivalence of the HLAY and control groups at DP1, and the lack of reliability information for the aggregated index measures.

Outcomes: Students' Knowledge, Skill, and Attitudes Reasoned to Influence Substance Use. The report also includes DP1 to DP4 comparative analyses of students' responses to survey questions about factors addressed in HLAY and reasoned to influence substance use, including: development and use of refusal plans, intentions for future use of substances, ability to recognize risk situations, and prevention-related knowledge and attitudes. No data was provided to support the reliability of the index measures used to represent these factors. Slightly more than half of the across-group analyses yielded no significant differences between the HLAY and control students from DP1 to DP4. In some analyses HLAY students showed significantly greater increases from DP1 to DP4 in analyzing risk situations, prevention-related knowledge and attitudes. In some analyses HLAY students also made significantly greater gains from DP1 to DP4 in having developed, and having used, a refusal plan. However, the results of some of these latter analyses may be confounded by significant differences between HLAY and control students on these variables at DP1.

In sum, the present evaluation of HLAY does not provide valid and reliable evidence of effectiveness, especially on students' substance-use behaviors. Without peer-reviewed studies on the impact of HLAY and given the design weaknesses and lack of instrumentation reliability data of the Farley and Associates (April, 2003) unpublished study, there is not available evidence at this time to change the conclusions reported in *Getting Results, Update 2* (2001).