Hewlett Foundation 2014 Annual Report

THE WILLIAM AND FLORA
HEWLETT
FOUNDATION

Helping People Build
Measurably Better Lives.

This PDF represents a printable version of an annual report that was originally published in digital-only format on an earlier version of the Hewlett Foundation's website. Minor changes have been made to improve formatting.

At a Glance

The Hewlett Foundation At A Glance
(as of December 31, 2014)

Total assets: $9.0 billion
Total dollar amount of grants awarded in 2014: $360,025,000
Total estimated dollar amount of grants disbursed in 2014: $434,000,000
Average grant amount in 2014: $497,239
Median grant amount in 2014: $180,000
Number of employees: 111

THE WILLIAM AND FLORA
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FOUNDATION

Helping People Build
Measurably Better Lives.

Strategy Overview

The William and Flora Hewlett Foundation helps people build measurably better lives, concentrating our resources on activities in education, the environment, global development and population, performing arts, and philanthropy, as well as grants to support disadvantaged communities in the San Francisco Bay Area.

Program Strategies

EDUCATION: Provide all students with access to rigorous, relevant, and innovative educational opportunities through deeper learning, open educational resources and California education.

ENVIRONMENT: Conserve the ecological integrity of the North American West for wildlife and people. Avoid the worst effects of climate change and promote prosperity and health by dramatically cutting greenhouse gas pollution and ultimately meeting all energy demand from clean and renewable energy sources.

GLOBAL DEVELOPMENT AND POPULATION: Address gender disparities and reproductive health and the central role they play in combating poverty around the world. Promote transparency, participation and accountability in government and civic affairs, and the use of the best available evidence in policymaking.

PERFORMING ARTS: Ensure continuity and innovation in the performing arts through the creation, performance, and appreciation of exceptional works that enrich the lives of individuals and benefit communities throughout the Bay Area.

EFFECTIVE PHILANTHROPY: Help build a stronger Foundation and a stronger sector, including through grantmaking to improve the overall field of philanthropy and to increase effectiveness of the nonprofit sector.

Drawing from the expertise of our existing programs, the Foundation supports a range of vital nonprofit organizations that offer services to disadvantaged communities in the Bay Area and Central Valley. The Foundation also supports and incubates initiatives, collaborates with programs and other foundations on special opportunities, and provides general support for valuable programs and institutions.
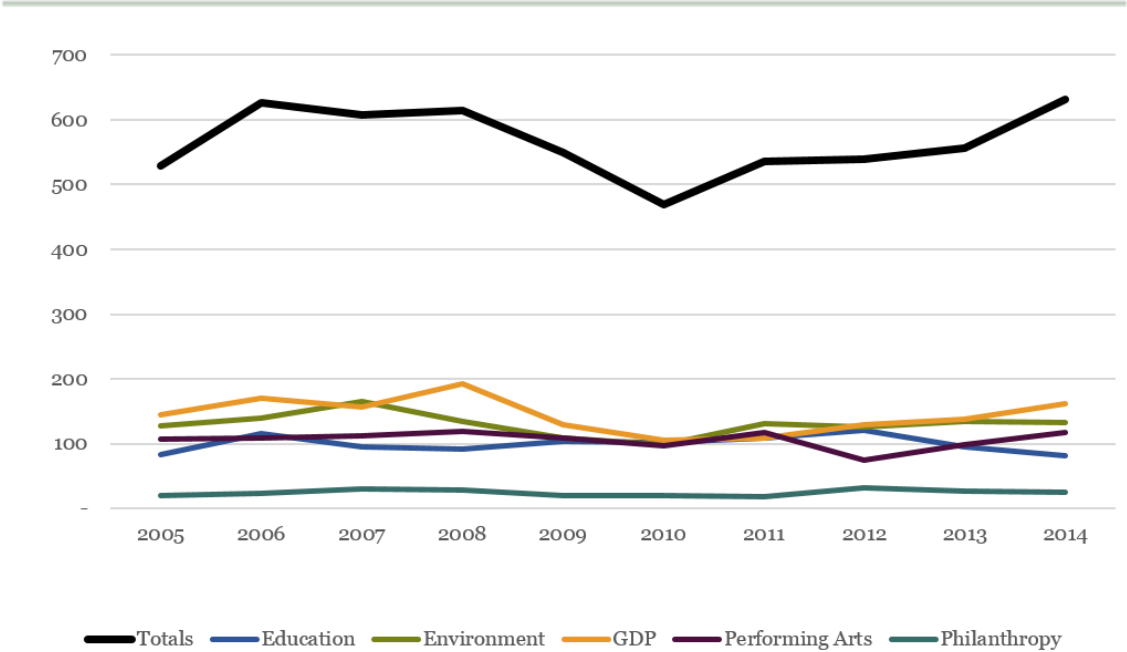

Grant Trends

The Hewlett Foundation's grantmaking in 2014 reflected its commitment to the enduring priorities of its five major program areas—education, environment, global development and population, performing arts and the philanthropy sector—as well as its support for special projects, Bay Area communities and time-bound initiatives.
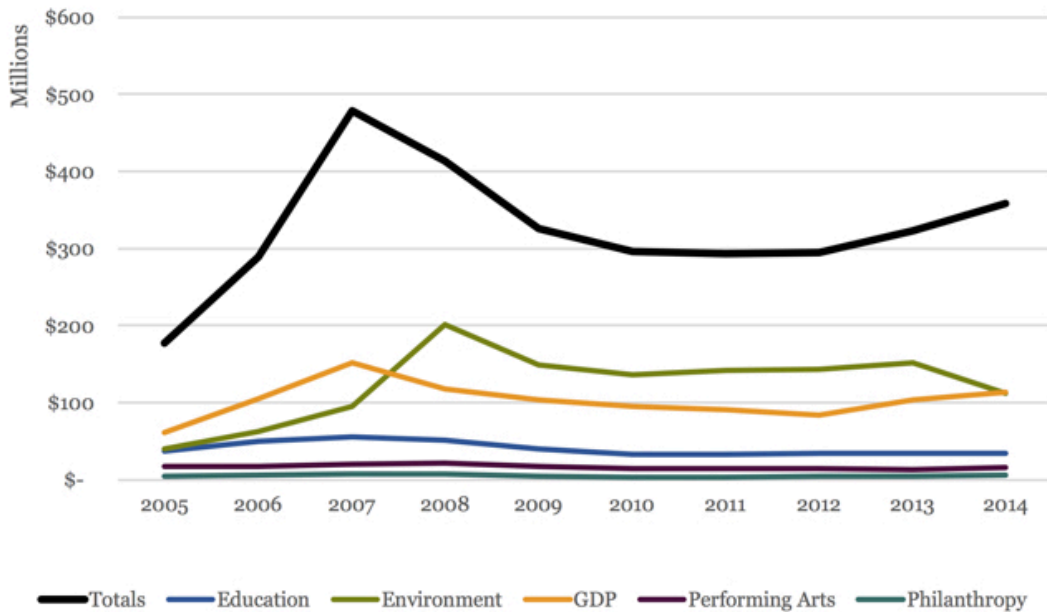
The foundation regularly examines its grantmaking trends across these priorities. The aggregate data, presented below, represent many disparate priorities and decisions made by our program staff in response to both external and internal factors. Even so, monitoring changes in the 10-year trends provides useful insights:

In 2014, both the number of grants and the total dollar amount awarded increased as the size of our endowment increased and as significant new lines of work, such as our Madison and Cyber initiatives, ramped up.
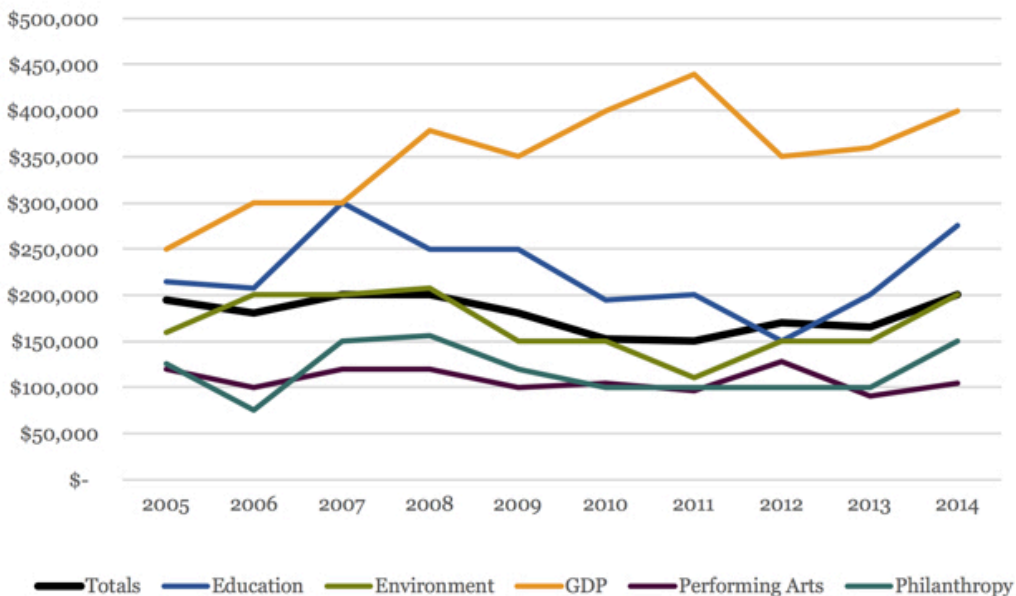
Number of Grants Awarded

Total Dollar Amount Awarded

Legend: Totals, Education, Environment, GDP, Performing Arts, Philanthropy
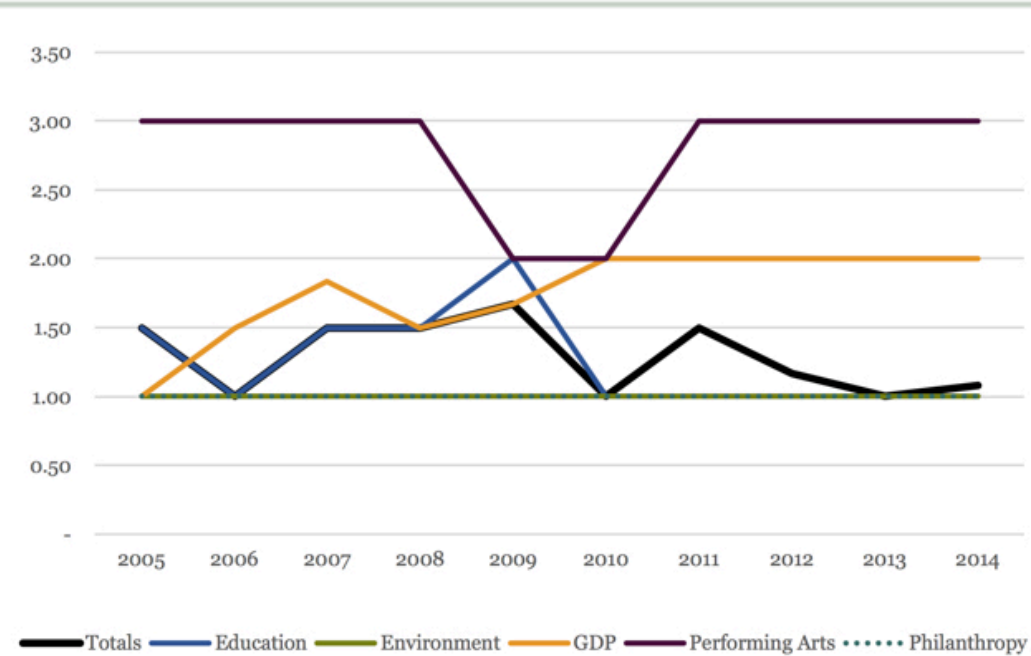
Both the median and mean term of grants ticked up slightly as program budgets allowed for more multi-year grants. For grantees, such multi-year grants reduce the reporting burden as well as associated administrative costs. The trend toward longer grant terms will likely be visible in our 2015 data as well, reflecting the use of a "duration fund" approved in 2014—a one-time $21 million pool to be spent over two years, and designated specifically for getting long-term grantees back on a multi-year cycle.

Median Grant Size

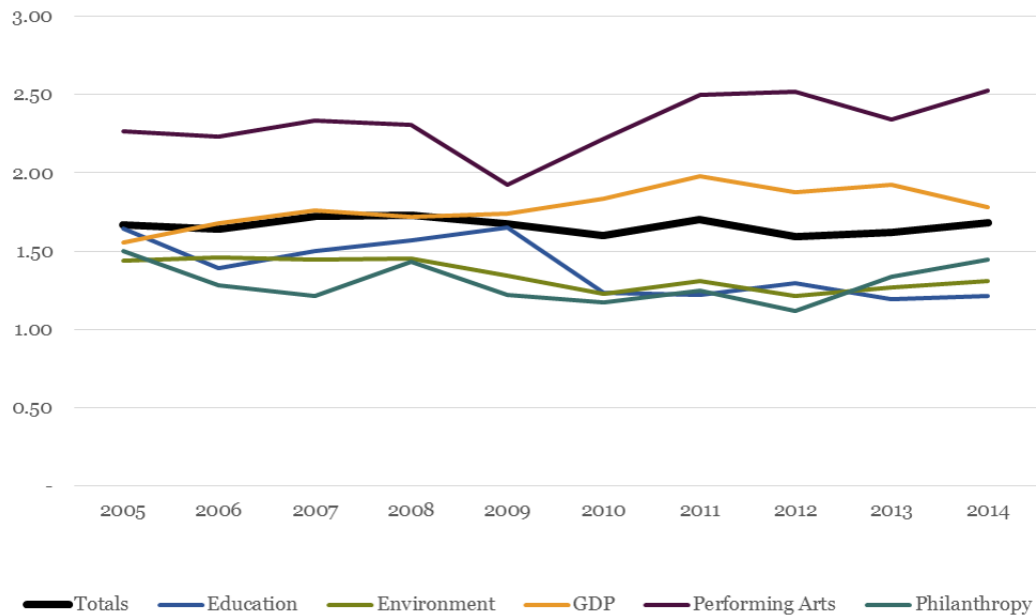Legend: Totals, Education, Environment, GDP, Performing Arts, Philanthropy

Median Grant Term

Totals — Education — Environment — GDP — Performing Arts ····· Philanthropy

Mean Grant Size

Totals — Education — Environment — GDP — Performing Arts — Philanthropy

Mean Grant Term

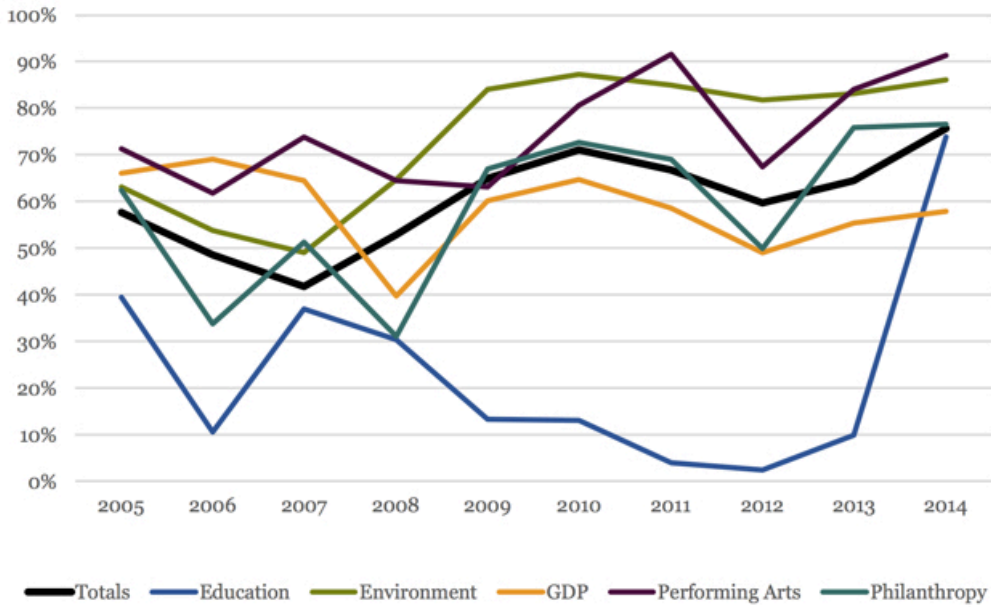Legend: Totals, Education, Environment, GDP, Performing Arts, Philanthropy

The proportion of our funding going to general operating support (GOS) increased, both in terms of the number of grants and the total amount awarded. Almost every program increased such funding across both measures. In all, more than 50 percent of grants by the Hewlett Foundation in 2014 went to general operating support.
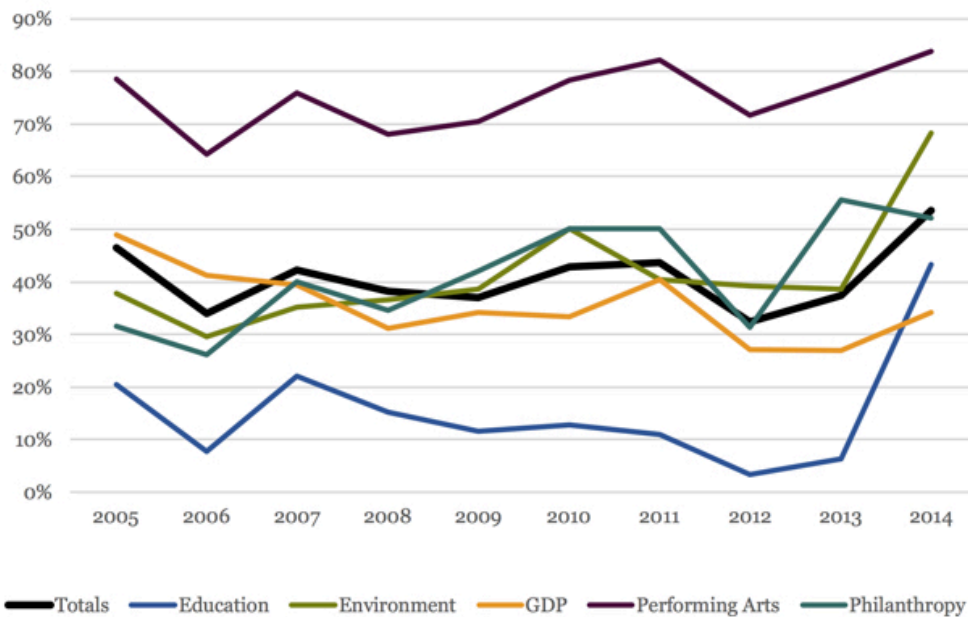
However, it's important to note that what appears to be a dramatic uptick in GOS funding from our Education Program, in fact, reflects a change in coding—enacted in 2014—to more accurately describe funding to academic centers and research organizations that operate independently within larger institutions like universities.

More generally, GOS funding is an important element of our grantmaking practice, and reflects our trust and confidence in our grantees to use our funding most effectively to achieve our shared goals. The shift revealed in the data reflect the individual circumstances surrounding each program's grantmaking—where they find themselves in the lifecycles of the strategies they are pursuing and the relative strength of the grantees they are supporting, for example, along with many other factors.

General Support - % of Dollars

Totals · Education · Environment · GDP · Performing Arts · Philanthropy

General Support - % of Grants

Totals · Education · Environment · GDP · Performing Arts · Philanthropy

See also:

[Annual Letter 2014: Exploring Grant Trends](#)
October 21, 2014 — By Larry Kramer
[Annual Letter from Larry Kramer](#)

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As of December 31, 2014

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DEEPER LEARNING STRATEGIC PLAN SUMMARY EDUCATION PROGRAM

THE WILLIAM AND FLORA HEWLETT FOUNDATION

December 2012 Update

TABLE OF CONTENTS

THE WORLD IS CHANGING RAPIDLY. COMMERCE, POLITICS, AND TECHNOLOGY ARE defined in international terms. Competition—and opportunities for collaboration—come from around the world. And this increasingly complex world demands much more of its students. In almost every aspect of their lives, young people are being asked to learn more, process more, and produce more.

In this more complex, more global environment, success in the workforce and effective democratic participation require strong content knowledge and skills—learning that increasingly comes from some form of postsecondary training or college and not from a high school diploma alone. Indeed, jobs that require just a high school diploma have been rapidly shrinking for the past thirty years, and—looking forward—nearly 80 percent of jobs in the future are projected to be "middle-skilled" or "high-skilled." According to the Brookings Institution, jobs in these two categories will require some additional education beyond high school—such as an associate's, bachelor's, or professional degree or industry-recognized certifications (http://www.brookings.edu/papers/2009/02_middle_skill_jobs_holzer.aspx).

But U.S. students are increasingly ill-prepared for these challenges, even as other countries and school systems—including Singapore, Finland, Canada, and Shanghai—have been improving their education systems to focus on higher expectations and prepare students for the global workforce. Indeed, these countries now lead the world on the Programme for International Student Assessment (PISA), an international test of 15-year-olds that assesses the critical thinking in reading, math, and science in the world's major developed countries. In contrast, U.S. high school students rank between "average" and "below average" on the test when compared to their peers worldwide. These statistics mask inequity within the system, however. The top students in the U.S. do perform at high levels; the top 10 percent of U.S. schools outperform Singapore; but the lowest 10 percent—those with high concentrations of poverty—are located at the bottom.

Recognizing the critical need to upgrade the U.S. education system, and the skills and knowledge of students, the Hewlett Foundation Board of Directors in March 2010 adopted a new seven-year strategy to guide its Education Program. Under this new strategy, the majority of the Program's resources are directed toward making grants to organizations that support setting new standards for equity and excellence in U.S. public education. The strategy also focuses on

improving the conditions for education reform in California and on promoting open educational resources.[1]

Deeper learning is the shorthand phrase that the Foundation has adopted to describe this initiative. The term refers to the higher-order skills and academic knowledge that are the surest path to postsecondary education and that students will need to succeed in twenty-first century work and civic life. A recent report by the National Research Council described deeper learning as "the process through which a person becomes capable of taking what was learned in one situation and applying it to new situations; in other words, learning for 'transfer.'" These skills include critical thinking and problem solving, communication, collaboration, and learning to learn—all applied to the mastery of rigorous academic content.

The Foundation believes the nation's K–12 education systems will require a major overhaul if they are to engage more students in deeper learning. For example, accountability systems now focus on basic skills and basic measures—not on the problem-solving and communication skills that matter for success in college, in the workforce, or as an active member of a democratic society. Educators aren't expected to teach all students to higher standards, nor do they receive the support they would need. Technology remains under-utilized, even as it promises to reduce the costs and to speed the dissemination of high-quality teaching tools and to engage students in new ways of learning.

The Program's 2010–2017 strategy lays out a plan for confronting these challenges through investment in three areas:

- *Deeper Learning*: Increase economic opportunity and civic participation through deeper learning—improving what students learn, how they learn it, and how they demonstrate their knowledge.

- *Open Education Resources*: Equalize access to knowledge for teachers and students around the globe.

- *California Education*: Improve the conditions for education reform in California.

The logic model illustrated in Figure 1 broadly describes the three key grant-making components of the Program's strategy.

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[1] Although some of the key indicators and activities discussed in this strategic plan summary may reflect legislative activity or the passage of legislation, they do not represent actions to be taken by Hewlett Foundation staff or by its grantees at the Hewlett Foundation's direction. In particular, the Hewlett Foundation does not expend funds or earmark its funding for prohibited attempts to influence legislation (i.e., lobby) within the meaning of the federal tax.

Goal: *To increase economic opportunity and civic participation by educating students to succeed in a changing world.*

Competition from every corner of the world is raising the bar for what young people need to learn in school to be successful after graduation. Economic trends and education statistics make the case plainly:

- MIT and Harvard researchers found that increased computerization and outsourcing have left fewer U.S. workers in jobs involving routine manual or simple cognitive tasks, while a growing portion of the nation's workforce is employed in jobs requiring sophisticated communication and abstract thinking.[2]

- A 2006 Conference Board survey of 400 employers identified deeper learning competencies as some of the most important for new entrants to the workforce. Essential capabilities included oral and written communications and critical thinking/problem solving. (The survey also found that most young people without college diplomas lacked these skills.)[3]

- Ninety percent of higher education faculty cite critical thinking as the key goal of a university education.[4] Yet many believe students enter college woefully unprepared to succeed. For example, California faculty report that as many as two-thirds of incoming freshmen can neither synthesize information from multiple sources nor analyze information or arguments based upon reading.[5]
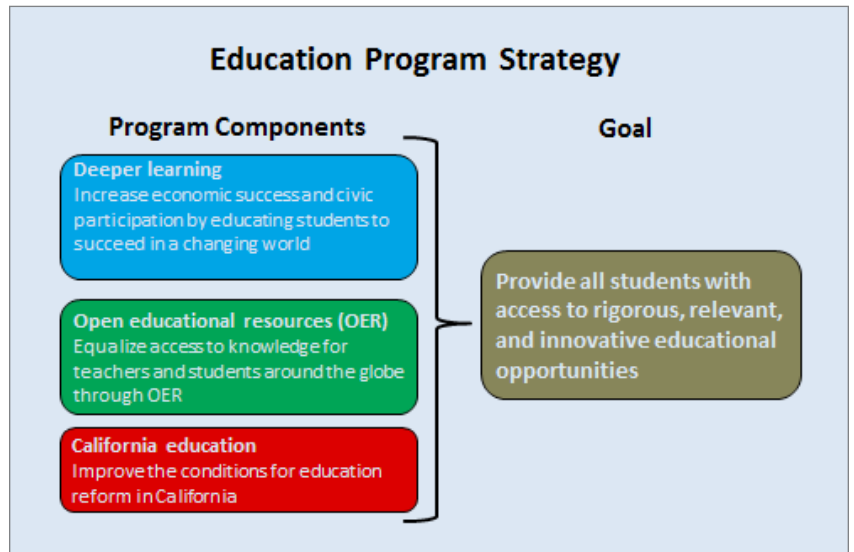

FIGURE 1 Hewlett -Foundation Education Program Strategy

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[2] D. Autor, F. Levy & R. Murnane,; The Skill Content of Recent Technological Change: An Empirical Exploration. *Quarterly Journal of Economics, 118(4),* November 2003, 1279–1334. R. Murnane & F. Levy, The New Division of Labor: How Computers are Creating the Next Job Market, *Princeton University Press* and *Russell Save Foundation,* June 2004.

[3] See http://www.p21.org/storage/documents/FINAL_REPORT_PDF09–29-06.pdf.

[4] Derek Bok, *Our Underachieving Colleges: A Candid Look at How Much Students Learn and Why They Should Be Learning More (Princeton: Princeton University Press, 2006).*

[5] See this survey of California public universities, colleges, and community colleges (p. 23): http://www.universityofcalifornia.edu/senate/reports/acadlit.pdf.

Preparing students well will require innovative instruction coupled with a relentless focus on developing more rigorous habits of learning and deeper understanding of content. This type of instruction will equip students to:

- *Master core academic content*: Students will develop a baseline set of disciplinary knowledge. This includes facts and theories in a variety of domains—and the language and skills needed to acquire and understand this content.

- *Think critically and solve complex problems*: Students will know how and when to apply core knowledge by employing statistical reasoning and scientific inquiry to formulate accurate hypotheses, offer coherent explanations, and make well-reasoned arguments, along with other skills. It also includes creativity in analyzing and solving problems.

- *Work collaboratively*: Students will cooperate to identify or create solutions to societal, vocational, and personal challenges. This includes the ability to organize people, knowledge, and resources toward a goal, and to understand and accept multiple points of view.

- *Communicate effectively*: Students will be able to understand and transfer knowledge, meaning, and intention. This involves the ability to express important concepts, present data and conclusions in writing and to an audience, and listen attentively.

- *Learn how to learn*: Students will know how to monitor and direct their own work and learning.

These competences are best developed by studying rich content in such disciplines as mathematics, literature, the natural sciences, the social sciences, and the arts —and, indeed, they help increase learning of content.

However, as designed today, U.S. public schools inadequately teach most students in these core skills. In an attempt to cover a long list of basic facts and skills in a short academic year, they sacrifice depth of learning for breadth of coverage and pay scant attention to cultivating skills that students will need to thrive as adults.. Moreover, schools disproportionately fail to prepare all of our students; for example, a 2012 ACT study found that in a cohort of high school students graduating in 2009, 82 percent of white students graduated, compared to 66 percent of Hispanic students and 64 percent of African American students. They also found that only 52 percent of white students in this cohort went on to earn an associate's or bachelor's degree; for the African American and Hispanic students, these numbers were only 21 and 16 percent respectively.

For decades, the missions of many top private schools have included teaching deeper learning skills (this has been true of a small minority of public schools as well and may occur in small pockets within other public schools). But, as the results from PISA—which specifically measures these skills—demonstrate, the U.S. school system is not educating enough students in these higher-order skills. The large majority of school districts currently lack not only the incentives and accountability measures that would induce them to teach these skills, but also the capacity to deliver them.

The federal No Child Left Behind Act (NCLB)[6] demonstrated that school-system accountability tied to standards and tests can dramatically affect what gets taught in the classroom. Testing and accountability alone, however, will not improve student outcomes. Schools and teachers also must have the ability to deliver deeper learning skills, and students must be motivated to develop them.

The Education Program seeks to provide funding to organizations that will work to make deeper learning the norm in U.S. schools in order to reach our ultimate goal: students' success in work and civic life. The Program's strategy and activities are designed to work within school systems (rather than around them, as in after-school programs, for example). They also are designed to better prepare more students for postsecondary education, which is increasingly a gateway to success in the twenty-first century economy.

Deeper Learning for More Students: 8 Million by 2017

The Program's goals for deeper learning are ambitious. Within fifteen years, the Program hopes that its grantmaking in this area will create both a more robust national commitment to deeper learning for all students and to catalyze the broad-based capacity to deliver it within the nation's K–12 education system.

What will this success look like? More public schools will be better preparing students not just to graduate from high school but to succeed in higher education, find satisfying work that pays a living wage in a fiercely competitive global job market, and tackle increasingly complex problems such as global warming, the effects of new technology, or finding ways to ensure civil rights. Specifically, the Program's very long-term objective calls for 80 percent of all U.S. students to be in schools committed to deeper learning by 2025.

In the near term, the goal of the Program's grantmaking is to ensure that 8 million students (about 15 percent of the K–12 public school population) are taught deeper learning skills by 2017.[7]

Grantmaking Scope and Priorities

The Program's grantmaking supports organizations that work to influence and improve both education policies and classroom practices, helping more schools successfully focus on deeper learning.

Altering education system incentives and accountability—what is asked of schools—and building their will to change will require:

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[6] A 2001 law governing the distribution of federal support for education, NCLB focuses heavily on setting standards and establishing measurable goals to improve student performance, using assessments in basic skills to measure improvement.

[7] Ideally, the measure of this strategy's success would center on whether students acquire deeper learning skills. At this early phase, however, the Program will measure success in terms of how many students are assessed with tests that measure core deeper learning skills.

- Academic standards that focus on acquiring knowledge through critical thinking and other higher-level skills, rather than just recalling facts and formulas.

- A variety of tests and other measures that assess both the skills and knowledge needed for success in school and the workforce.

- Accountability policies that hold schools, students, and educators responsible for achieving these outcomes.

In order to successfully implement new standards and help students succeed on measures aligned with those standards, schools need:

- Teachers with great teaching skills as well as deep content knowledge.

- Tools aligned with deeper learning, such as curricular and instructional materials, in-class tests, data, and feedback mechanisms that give teachers timely information on student performance.

- Strong leadership, peer learning, and shared practice among teachers; good facilities; and a culture of continuous improvement.

To accomplish these changes, the Program has clustered its grantmaking to support organizations that will work to advance four specific, related outcomes, as described in the logic model illustrated in Figure 2. Together, these areas are designed to create systemwide incentives and accountability for a shift to deeper learning, while building the capacity and tools that educators need to respond to this new direction.
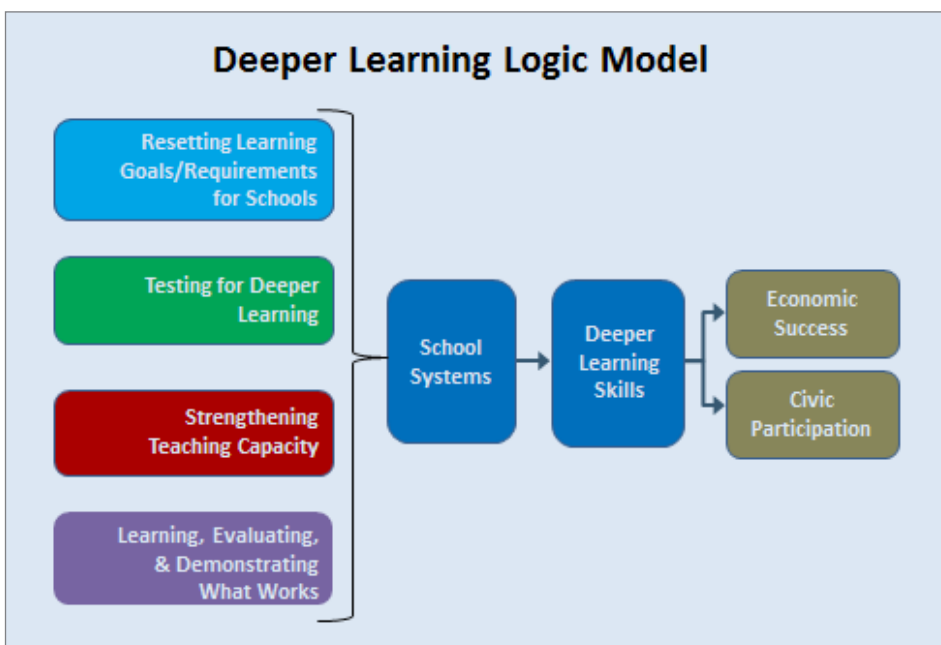

FIGURE 2 Deeper Learning Logic Model

Because the Foundation's resources are limited, the Program has identified several specific high-leverage investment criteria that are used to inform grant-making decisions:

- Where possible, build on existing reform initiatives, including the new K–12 Common Core State Standards[8] and tests, as well as their related implementation activities.

- Support the use of technology to expand the most promising practices to large numbers of students and teachers, often by making relatively early stage investments.

- Identify grantmaking opportunities that are critical to the long-term success of our goals but are not being addressed by other actors in the field.

- Recognizing the fiscal constraints under which states are operating, work to embed reform initiatives within existing funding models.

In particular, the Common Core standards for K–12 schools—which now have been adopted by nearly every state—establish a shared set of academic expectations for students in English language arts and mathematics for the first time in the nation's history. These standards are explicitly designed to prepare students for postsecondary education and workforce success, and are benchmarked against the standards of top-performing nations around the world. Because they weave critical thinking and problem-solving with fluency and understanding of essential principles, the Common Core standards are strongly aligned with deeper learning—and represent an especially promising leverage point for the Program to help advance its goals.[9]

The most explicit links between Common Core and deeper learning are in core content knowledge, problem solving, and written communication; while less explicit, opportunities also exist to embed oral communication, collaboration, and learning-to-learn skills in classroom activities that implement the Common Core. For example, the English language arts portion of the standards specifies that students should become independent learners, know how to communicate to different audiences, and use evidence to promote a point of view. As part of its grantmaking, the Program will strongly support a few select leverage points focused on implementation of the standards—with fidelity to deeper learning—in states and schools and will invest in tools, curricula, and classroom assessments to support educators in teaching them.

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[8] The Common Core State Standards specify what K–12 students should know and be able to do in two key subjects: mathematics and English language arts. The standards are designed to be robust and relevant to the real world, reflecting the knowledge and skills students need for success in college and careers. States have created two consortia—funded with large grants from the federal government—to develop next-generation assessments that will measure these new standards; the goal is for new assessments to be ready for states to integrate into their own testing and accountability systems by the 2014–2015 school year.

[9] Research conducted by the Educational Policy Improvement Center and by Achieve have documented a close alignment between the Common Core and deeper learning.

The Program recognizes that students who are proficient in the Common Core standards will be ready for a wide range of postsecondary opportunities, but these standards are not intended to be a comprehensive definition of what it takes to be college or career ready. Because there are other important dimensions of deeper learning that are not covered by the Common Core, the Program will also make grants to support changes to education policies and practices that reinforce other skills, such as communications and collaboration.

The following sections describe the Program's work and priorities in each of the Deeper Learning grantmaking areas.

Resetting Learning Goals and Requirements for Schools

The Program's policy investments support organizations that promote state and federal policies that can help remove barriers to—and provide incentives for—deeper learning goals throughout the K–12 and postsecondary education systems.[10] Grants are focused on helping state and federal policymakers first articulate a commitment to deeper learning and then identify and implement initiatives that systematically support this vision.

Changing K–12 System Goals

K–12 policy grants build on the strong foundation of the Common Core standards now adopted by most states. Policy makers can successfully implement these standards with fidelity to deeper learning by:

- Designing new assessment and accountability systems for schools, teachers, and students that prioritize the skills and knowledge essential for college and career readiness.

- Prioritizing alignment of teacher training and support to facilitate student mastery of deeper learning.

- Supporting innovations that reimagine the use of time in schools, so students can engage with content in new and deeper ways.

- Deploying tools and technologies that build local system capacity.

In recent decades, federal policies have largely shaped education priorities for states. Unfortunately, many of these policies have discouraged deeper learning. For example, NCLB focused heavily on proficiency in basic skills, using

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[10]Although some of the key indicators and activities discussed in this strategic plan summary may reflect the passage of legislation, they do not represent actions to be taken by Hewlett Foundation staff or by its grantees at the Hewlett Foundation's direction. In particular, the Hewlett Foundation does not expend funds or earmark its funding for prohibited attempts to influence legislation (i.e., lobby) within the meaning of the federal tax laws. The Foundation's funding for policy work is limited to permissible forms of support only, such as general operating support grants that grantees can allocate at their discretion and project support grants for nonlobbying activities (e.g., public education and nonpartisan research).

multiple-choice tests as high-stakes measures of student progress. Prior to its passage, states had begun to experiment with richer forms of assessment keyed to a broader range of student performance; these were shut down in the NCLB era.

But the center of gravity for policy reform is shifting from the federal to the state level. At the same time, the goals of the education system are moving from basic skills to readiness for college and careers, especially as forty-five states and the District of Columbia now have adopted the new Common Core standards and nearly all have joined two assessment consortia to develop new tests aligned to these standards.

To unleash the potential of the new standards and testing to advance deeper learning, the Program will support five to ten states in adopting policy changes that support deeper learning by 2017. These states will serve as laboratories for reforms and act as beacons to other states. In these leading states, grants will provide access to ideas, research, and educational outreach to policymakers in implementing the Common Core standards with fidelity to deeper learning, supporting changes to accountability systems and graduation requirements, and experimenting with innovations and new models in schools and districts.

To facilitate this deep work in targeted states, the Program is primarily supporting technical assistance to the ten states called the Innovation Lab Network. Network members are committed to pursuing policy innovations that can foster a next generation of learning design and delivery and improve students' college- and career-readiness. The Program also will seek out other opportunities to educating state leaders about the benefits of pursuing new policies aligned to the goals of deeper learning.

While the Program capitalizes on the shift to state leadership, it still will fund organizations that promote federal policies in support of higher-order skills, with the aim of ensuring that deeper learning is the goal of the nation's education system as a whole.

Aligning K–12 Standards with Postsecondary Entry Requirements

The Program's deeper learning strategy recognizes that strong connections between K–12 and postsecondary institutions are a crucial ingredient for success. For K–12 education systems, the preparation of students for college is a major source of incentives and accountability. Therefore, the Program is encouraging higher education to play a strong leadership role in informing and implementing the new assessments aligned with the Common Core. Specifically, grants are assisting postsecondary institutions to explicitly use new Common Core assessments in decisions about students' readiness to do college-level course work.

For example, in 2011, the Hewlett Foundation joined with the Lumina and Gates foundations and the Carnegie Corporation to launch Core to College, an

initiative to promote better alignment between higher education and K–12 over the definition of college readiness. Beginning in ten states, Core to College is supporting faculty, university presidents, and state executive officers to improve student achievement in both K–12 and postsecondary education, including reducing the number and percentage of students requiring remedial education upon college enrollment and increasing college graduation rates.

Core to College is supporting higher education institutions in their use of Common Core assessments to make postsecondary decisions about incoming students' readiness for college-level work. Additionally, institutions may work on other supporting activities, such as improving first-year postsecondary course work by deepening K–12 and postsecondary faculty collaborations to create aligned courses that reflect deeper learning expectations.

Engaging Key Stakeholders in Reform Discussions

Although data and research make the need for deeper learning competencies objectively clear, U.S. policymakers need to hear these realities validated by the business and postsecondary sectors, among others. Through their support, higher education leaders can help ensure that students gain the skills that colleges actually require of them. Business leaders can reinforce how necessary policy reforms are for the career success of workers; further, they can lend their weight to the argument that deeper learning is essential to the economic competitiveness of industries, states, and the nation.

As states engage in policy reform, other organized groups are speaking to vital educational interests such as equity for students and the engagement of teachers and school system leaders. The Program plans to fund carefully important constituency organizations to convey the importance of deeper learning to their audiences and members.

Testing for Deeper Learning Skills

Aligning testing to deeper learning competencies improves incentives and accountability. To assess the full range of deeper learning expectations, the educational system needs to shift to tests that include essay writing, problem solving, and even portfolios of student work, including student-developed research papers and performances.

Ensuring the widespread use of valid, reliable, affordable, and meaningful assessments of deeper learning is critical to implementing the Program's strategy. Strong assessments—both the comprehensive, year-end summative tests traditionally used for accountability systems, as well as the diagnostic assessments used day in and day out in classrooms—help influence curriculum and support teaching practices.

The Program is taking advantage of the momentum created by two state-led assessment consortia—recipients of $350 million in federal funding—that are remaking state summative assessments in math and English language arts. This

clear opportunity to redesign the state assessment systems in most states—and to ensure they are infused with deeper learning measures—is significant.

To support each consortium, the Foundation's grantmaking supports filling their gaps in sustainability planning, innovation research and design, and communications, and it is funding other grantees in a "watchdog" role. For example, grants have supported communications efforts by both consortia to explain the new tests—and their likely results—to policymakers and the public. Other grantees are conducting an independent evaluation of the consortia's work to determine how well their assessments are maintaining fidelity to deeper learning competencies.

Outside of the consortia, the Program is making grants to support leading-edge tests that can advance the assessment of deeper learning skills, such as the PISA-based test for schools—which is adapted from OECD's PISA program—to allow for individual school administration and results. Looking ahead, the Program is examining other options for additional summative assessments of deeper learning, including the development of new tests aligned to emerging "next generation" science standards.

In addition, the Program is sponsoring a series of awards, modeled on the X Prize, to encourage more rapid innovation in testing, such as greater use of technology to reduce the cost of grading in-depth student responses to complex questions. Because such cost-saving innovations could increase the likelihood of states adopting more demanding tests, both the assessment consortia and the U.S. Department of Education are closely watching this work.

Strengthening Teaching Capacity

While tests themselves don't improve teacher knowledge or system capacity, history has demonstrated that what gets measured gets taught. As a result, ensuring that tests measure more advanced skills and knowledge is an essential step toward inducing education systems to focus on deeper learning. However, the Program also is making grants that support more direct activities to build the capacity of teachers and strengthen the ability of schools to deliver deeper learning to all their students.

Our teacher capacity efforts capitalize on the window of opportunity created by the Common Core and state assessment consortia which are the most promising vehicles to influence the development of the next generation of deeper learning teaching materials. Overall, there is high demand for Common Core-aligned materials, but low supply of high-quality, truly aligned resources. Our investment strategy takes advantage of this dearth of high-quality teacher materials by stimulating the production of and demand for deeper learning teaching tools and professional development. We are helping to create savvy, well-informed, "smart demand" states that will drive supply by funding the development of quality standards that, in turn, increase the production of new materials and ultimately the adoption of new curricula by states.

We are also creating a small number of high-quality teaching material exemplars that align with the Core and that give states concrete examples of the next generation of deeper learning materials that are Common Core-aligned. In this vein, the Program is funding states and nonprofits to create high-quality Common Core-aligned model curricula, lesson plans, classroom assessments, and other instructional tools that can be widely disseminated and adopted using technology and that can help educators transform the classroom experience. For example, with Foundation support the state of New York, Expeditionary Learning, and Buck Institute for Education are creating model lesson plans, instructional tasks, curriculum-embedded formative assessments, and model professional development modules that exemplify deeper learning in the context of Common Core standards.

The Foundation recognizes that current teacher capacity is not adequate to deliver deeper learning to large numbers of students, so we are venturing into this area, albeit on a small scale. For instance we supported the Strategic Literacy Initiative, which trains hundreds of high school teachers in four states to help 50,000 students get ready for college by becoming better readers, thinkers, and writers. But overall, all the Foundation's strategy relies on others to bring best practices to larger scale. For example, the Gates Foundation is spending hundreds of millions of dollars to upgrade teacher skills and measure teacher performance. States that have won federal Race to the Top funds also are investing heavily in increasing teacher capacity and improving instructional support systems. At the same time, many states are beginning to redirect billions of dollars to the professional development of teachers to implement the Common Core standards.

Learning, Evaluating, and Demonstrating What Works

Diffusion of deeper learning throughout the U.S. public school systems will require capable teachers, good tools, and a supportive school environment. The Program is making grants to a number of school models that integrate all three elements to help students achieve deeper learning outcomes in a variety of settings, especially in high-poverty communities. These model schools help make deeper learning reforms concrete for policymakers, provide a source of effective practices, and also create opportunities to learn what works and what doesn't. Without clear examples of deeper learning instruction in practice and clear evidence of its success, the deeper learning policy agenda is unlikely to hold sway among policymakers and educators.

With Foundation support, a new national "Deeper Learning Network" of more than 400 schools in thirty-five states is beginning to serve as a source of innovation and tools for deeper learning. Drawn from ten school networks—a mix of charter and traditional public schools—that collectively serve large numbers of low-income students. Encompassing schools from networks as diverse as Envision Education and Internationals Network of Public Schools, each has a unique approach to delivering deeper learning.

The Program is now working to strengthen the ties between these schools in order to stimulate further improvement in their teaching practices and build the core of a national campaign for deeper learning. Also, it is funding EdLeader21, a similar network focused on school districts with commitments to delivering deeper learning to all their students.

What ultimately matters, of course, is whether these schools are succeeding in imparting higher-order skills and what difference this makes in the lives of young people and their communities. To address this question, the Program has commissioned the American Institutes for Research to conduct a three-year evaluation of the Deeper Learning Network schools and their impact on student success, including their rates of college attendance. The study is designed to answer several questions, including:

- Do students in deeper learning network schools achieve significantly better outcomes (graduation, postsecondary success, and higher-order skills) than do students in comparison schools?

- Are some deeper learning practices more successful than others in delivering these outcomes?

- Do students who have opportunities at the classroom level to engage in deeper learning pedagogy (i.e., frequent collaboration, managing one's learning) learn more than students in traditional classrooms?

In addition, the Program will continue to underwrite new research and literature reviews to clarify the link between students' deeper learning competencies and their ultimate economic success and civic engagement. One such recent report from the National Research Council, entitled "Education for Life and Work: Developing Transferable Knowledge and Skills in the 21st Century," reviewed the state of the evidence base to date and made recommendations for future research, practice, and policy.

Although at this point the Program does not plan to fund the expansion of the Deeper Learning Network, it does foresee making small-scale investments to seed innovative practices that might help the system learn more about or evaluate deeper learning.

*   *   *

OPEN EDUCATIONAL RESOURCES

Advancing Widespread Adoption to Improve Instruction and Learning

THE WILLIAM AND FLORA HEWLETT FOUNDATION

DECEMBER 2015

OPEN EDUCATIONAL RESOURCES

DECEMBER 2015

The William and Flora Hewlett Foundation helps people build measurably better lives, concentrating its resources on activities in education, the environment, global development and population, performing arts, and philanthropy, as well as grants to support disadvantaged communities in the San Francisco Bay Area.

The Hewlett Foundation's Education Program makes grants to improve education by expanding the reach of openly available educational resources, improving California education policies, and by supporting "deeper learning"—a combination of the fundamental knowledge and practical basic skills all students will need to succeed.

*On the web: **www.hewlett.org***

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EXECUTIVE SUMMARY

Since 2002, the Hewlett Foundation has worked with Open Educational Resources (OER) grantees to improve education globally by making high-quality academic materials openly available on the Internet. The Education Program continues to work toward establishing a self-sustaining and adaptive global OER ecosystem and demonstrating its potential to improve teaching and learning.

OER's past successes have built a promising foundation for mainstream adoption.

In 2002, The Hewlett Foundation began investing in Open Educational Resources (OER)—high quality teaching, learning, and research resources that are free for others to use and re-purpose. OER presented an extraordinary opportunity for increasing access to education, sharing knowledge, fostering instructional innovation, and supporting personalized learning. The widespread use of OER would empower educators to tailor instruction and enable students to make meaningful choices about their own education while dramatically lowering the cost of instructional materials.

When the Foundation first began to support OER, the concept was relatively unknown so our approach focused on building the field. The Foundation invested in many of the key anchor institutions that needed to be in place for the field to grow and funded a variety of opportunistic projects that capitalized on new innovations. Many of these early Hewlett Foundation grantees are now prominent not only within OER but also within the education field more broadly. For instance, OpenStax at Rice University is producing textbooks that have been adopted by over 1,000 courses worldwide, and MIT OpenCourseWare now averages a million visits each month.[1]

PHOTO : *John Hogg, World Bank*
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NUMBER *of* CREATIVE COMMONS-LICENSED WORKS

2006 (cc) █ **50** MILLION

2010 (cc) ████████ **400** MILLION

2015 (cc) █████████████████████ **1.18** BILLION

These early investments helped create a field that has grown well beyond our initial expectations. Creative Commons' licenses have increased at an astonishing rate, from 50 million pieces of content in 2006 to over 1 billion in 2015.[2] Moreover, the permissions on these licenses are growing more open over time; in 2010, 40 percent of open licenses did not restrict commercial use or adaptations, while that number has increased to 56 percent in 2014.[3] The U.S. Department of Labor has leveraged billions of dollars to create open materials for community colleges, and the government of South Africa has distributed open textbooks from Siyavula Education to every school in the country.[4] Overall, 14 governments have also made national commitments to open education, which is pushing OER to scale.[5]

This remarkable growth led the Foundation to step back and explore whether OER could reach mainstream adoption so that it is the default choice for teachers and students rather than the exception. To investigate, the Foundation commissioned a Boston Consulting Group (BCG) study in 2013, which found that OER's growth constitutes the "green shoots" that are often precursors to mainstream adoption of an innovation. BCG found that roughly 10 percent of K–12 educators were using OER as a primary material, which demonstrated even broader adoption than expected.[6] Based on patterns from other industries, we realized that OER could be nearing a tipping point where adoption begins to accelerate as more mainstream teachers and students see evidence that early adopters are pleased with the innovation. Empirical research of other innovations places this tipping point around 15 to 20 percent of market share.[7]

**10% USING OER AS
PRIMARY MATERIALS**

TIPPING POINT
for **ADOPTION**
at **15-20%**

K-12 EDUCATORS

The Foundation can accelerate mainstream adoption by using a problem-based approach to strategy.

Based on the BCG results, the Foundation realized that we had an unprecedented opportunity to scale OER and unleash its potential to improve teaching and learning in the future. Therefore, we refreshed our OER strategy to focus on our goal of using grants to help OER reach mainstream adoption. Instead of continuing our previous strategy—which primarily funded key players and promising opportunities that had the momentum to reach scale—we wanted to show teachers and students what they could gain from adopting OER, so we decided to position these materials as the solution to some of the most pressing problems in education. This problem-based approach will identify the issues that are most relevant to teachers and students and make targeted grants that apply OER to solve them at scale. This new, more concrete emphasis can significantly grow the adoption of open materials and build a base of users who, regardless of why they initially adopt open resources, gain the freedom to take advantage of the benefits of openness.

This shift is well timed because important education stakeholders are identifying a number of problems with the dominant publishing model. In the United States, textbook costs are rising rapidly while quality suffers, particularly in the K–12 market in terms of alignment with the latest educational standards. In the developing world, there are often shortages of high-quality materials, and many students cannot access the existing materials due to cost barriers and copyright issues that prevent translation. Across all countries, teachers feel bound to rigid curricula that are not tailored to their students' needs and local contexts. OER may be able to solve these problems.

TEXTBOOK COSTS INCREASED by **82% FROM 2002** to **2012, TRIPLE THE RATE** of **INFLATION**

SOURCE: U.S. GOVERNMENT ACCOUNTABILITY OFFICE

PHOTO : *CCAC North Library*
LICENSED UNDER CC BY 2.0

The Foundation has reviewed these issues and identified potential pathways for problem-based investment through internal discussions, expert input, and field-wide strategy. The Foundation will consider pathways in the K–12 and postsecondary domains in the United States and internationally. The pathways described in this document are initial hypotheses toward which we are already making grants, but we will adapt and shift our investments as we continue to learn about opportunities and as we consult with the field and our Board. Over time, we envision a rolling set of grant priorities that allow us to pursue new pathways as older challenges are resolved.

Alongside pathway investments, the Foundation will reserve part of its portfolio to continue funding the infrastructure necessary to support the field. This continued support will ensure that the technical basis, leadership, anchor institutions, and research capacity that have driven OER's growth to date remain healthy in the long term.
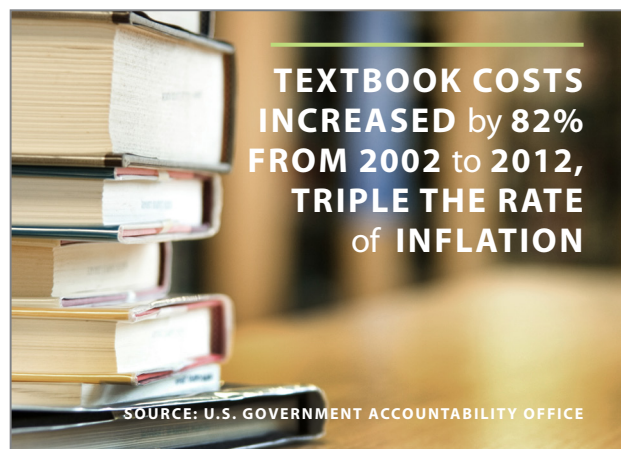
OER can strengthen pedagogy and reduce costs for higher education.

In the United States, the symptoms of a broken educational market are acutely visible in the soaring costs of college textbooks. Textbook costs increased by 82 percent from 2002 to 2012, at triple the rate of inflation.[8] Moreover, existing materials can restrict the pedagogical freedom of faculty; textbook content is not flexible enough to match innovative teaching methods; and where commercial content does offer flexibility, opportunities to adapt are only available inside proprietary platforms. In developing countries, the market for educational resources can be even more ineffective. Students feel the burden of cost acutely, curricula are underdeveloped, and the market sees little opportunity for profit, limiting the incentive to produce effective educational resources appropriate for local contexts.[9]

THE HEWLETT FOUNDATION *will* **SUPPORT USE** *of* **OER** *to* **ADDRESS CRITICAL PROBLEMS** *in* **EDUCATION**

OPPORTUNITIES
(e.g. exploratory grants for future pathways)

PROGRAM DOMAINS AND PATHWAYS

POSTSECONDARY
Open textbooks for the most enrolled courses, zero textbook cost degrees in community colleges, and future opportunities

K-12
Common Core instructional materials, educational materials in the developing world, and future opportunities

INFRASTRUCTURE INVESTMENTS
Technical basis, leadership, anchor, institutions, research capacity

OER OUTCOME

OER are widely used as primary materials in mainstream education, enabling effective teaching and learning

GOAL   *Underserved students have greater access to education and receive personalized instruction that improves learning*

OER offer a promising way to address issues related to both costs and pedagogy. Open materials can help increase access to higher education for students who cannot afford to attend college, and can also help alleviate cost burdens on students who are at risk of dropping out for financial reasons. Open materials can empower faculty with the academic freedom to tailor their courses to their students' needs and even engage students in meaningful learning experiences through adaptation and improvement of the open content itself.[10] In the near term, the Foundation will continue funding in two pathways that build on current grants:

Open textbooks for the most-enrolled college courses. Open textbooks in high-enrollment courses can deliver cost savings and pedagogical benefits to the maximum number of students. Moreover, the familiar form of textbooks will likely aid adoption because faculty are more comfortable with textbooks than with less traditional forms of open resources. Tactics that will support this effort include building the supply of easily discoverable, high-quality open textbooks; providing technical assistance for faculty; and promoting open materials to faculty and librarians.

Zero textbook cost (ZTC) degrees in community colleges. A ZTC degree replaces traditional textbooks with free, openly licensed materials for an entire degree program. For community college students in particular, the cost savings are significant: up to 30 percent of tuition, fees, and supplies.[11] Moreover, ZTC degrees ensure that the benefits of open materials follow students from enrollment to graduation, allowing for a pathway of personalized courses that guide students toward completing their degrees. The strategy for scaling ZTC degrees includes identifying and supporting strategic early adopters, supporting targeted advocacy, building technical assistance capacity, and strengthening the supply of open materials to cover entire degree pathways. The ZTC degree pathway is being funded as a separate Hewlett Foundation initiative, designed to succeed through a single, larger, time-bound investment. After the initiative ends, the Foundation may continue to fund aspects of the pathway if necessary to ensure its long-term success.

Given our limited resources at the present time, we do not envision a full-fledged, postsecondary pathway outside of North America. However, several of our existing grantees are working on related issues, particularly in the developing world, providing the types of leadership and technical capacity for OER that we envision supporting under our grantmaking for infrastructure. These anchor institutions and leaders will continue their work of encouraging governments and postsecondary education institutions to adopt policies that are supportive of OER. Furthermore, we will explore ways in which our grantmaking in these two pathways can inform work in other countries.

OER can boost both quality and access for K–12 education.

The current instructional materials procurement model used in the K–12 education system in the United States is flawed. It has led to inefficient government spending on texts that do not meet academic standards (e.g., Common Core); constrains teachers' flexibility to adapt materials; and limits student uses of content, including the rights to mark up, highlight, and take textbooks home. In the developing world, scarcity of educational materials is a general problem; in many places, six or more students often share a single, outdated textbook, while teachers face a shortage of workbooks, exercises, and other materials.

Open materials are well suited to address these problems. In the United States, OER can fill key gaps in the market for instructional materials by providing effective resources that are aligned with academic standards. Cost savings from adopting open materials could also redress inequities by allowing underfunded districts to reallocate money to serve students in other ways and to keep materials current by leveraging local educator expertise. In the developing world, open instructional materials could meet students' needs where no materials currently exist, and empower educators to tailor resources to their local context through translation and adaptation. The Foundation will invest in grantmaking and explorations around two pathways in K–12:

Instructional materials aligned to common standards. Although numerous states have adopted common standards in math and English Language arts since 2012, implementation in many schools has been rocky and uneven, due in part to a lack of high-quality, effective instructional materials aligned to the standards and limits in district textbook budget cycles. The common standards pathway aims to provide aligned open materials to teachers in a format that is familiar and easy to use. To achieve this goal, the Foundation will support increasing the supply of aligned materials to cover full years in math and English language arts, and encourage reform in district procurement processes to promote adoption of open materials by state education agencies and districts. Other subject areas with common standards, like science, may follow.

Educational materials in the developing world. Open materials can provide vital resources for schools, teachers, and families to educate children in the developing world. This pathway would promote open resources as a solution to gaps in educational materials for grades K–12, which are often purchased by national governments. The Foundation is initially exploring what role OER might play in increasing the availability of early reading materials for children. Many children in the developing world do not have access to books to read and therefore never become literate. The Foundation's initial grants will examine whether and how OER can be part of the solution to this problem. The Foundation will likely focus on countries where it has prior experience, such as those that have received OER grants and those in which the Global Development and Population Program has funded education work.

The Foundation will continue supporting robust infrastructure for OER.

As the strategy shifts to emphasize pathways to scale, the Foundation will back its investments with robust and flexible infrastructure. This infrastructure, which is necessary to enable OER to grow and spread, is a valuable product of past efforts to build the field. Therefore, on top of the pathways it selects at any given time, the Foundation will also make ongoing investments in OER infrastructure.

To ensure mainstream adoption, the Foundation will support four essential elements of infrastructure. First, the technical basis for OER is a prerequisite for their existence and ability to continue growing and includes open licenses, interoperability, and accessibility standards. Second, leadership from core champions will be increasingly relevant as the field moves towards mainstream adoption because these individuals will continue the work of fueling supportive policies and the field's growth. Third, anchor institutions house the technical capacity for open materials and provide institutional support for the policy-related and technical work of individual champions. Finally, research capacity is essential to assess the impact of open materials on student learning and answer strategic questions about the best paths to scale.

David Ernst of the University of Minnesota leads a Open Textbook Network faculty workshop for the North Dakota University System, October 2015.

PHOTO : *Sara Cohen*

Foundation staff will manage a pipeline of pathways and monitor progress.

The Foundation will continue using research and exploratory grants to build a pipeline of pathways for future investment. The Foundation is selecting and sequencing potential pathways based on a set of factors including benefits to users and the strategy, the potential to succeed, the unique role philanthropy can play, and resources for execution. In particular, the Foundation is prioritizing pathways that support equity for underserved students.

The field has already started coalescing around several of the potential pathways (e.g., ZTC degrees and instructional materials aligned to common standards), so the Foundation will support grantees by gradually shifting resources to the chosen pathways. Throughout this transition, the strategy will maintain strong support for infrastructure. A small portion of the budget will be reserved for investments in promising opportunities outside the current pathways, including exploratory grants for developing new pathways.

The use of monitoring and evaluation will track progress and guide future efforts as the Foundation maintains and updates the portfolio. The most important indicator for whether open materials are reaching the mainstream will be the percentage of higher education faculty and K–12 educators or districts adopting open resources as their primary course material. Additional metrics from the Foundation's OER dashboard and pathway-level metrics will provide further information about the factors contributing to this ultimate goal of adoption.

Collaboration with grantees and funders will help scale results.

A problem-based approach will help broaden the Foundation's collaborative relationships to include supporters of OER and the organizations that directly work on the specific problems. Since the problems targeted by the pathways are too large for any single organization to solve alone, the Foundation will provide enhanced support for grantee collaboration. A problem-based approach also opens up new possibilities for collaboration with funders who focus on the specific problems that open materials may solve (e.g., college completion or early childhood learning). Therefore, this strategy refresh presents valuable opportunities to build a broader coalition of supporters, coordinate across a larger pool of resources, and help new solutions reach scale.

INTRODUCTION

In 2013 Tidewater Community College launched an innovative program called the Z Degree, named for "zero textbook costs." Professors in the business administration program searched online for the free, openly licensed content that would best meet their students' need, remixed and adapted it, and then replaced their traditional textbooks with these materials. Within months, professors reported that new teaching techniques and course materials suited to their unique groups of students had led to better student engagement and learning. Professor Linda Williams reflected, "It…absolutely transform[ed] the way I teach, what I teach, and how my students learn." Student Megan Kadesch liked that "everything is online, and… there's more out there for you besides just the book." Melissa Hoch, a single mom providing for her family while studying, saved thousands in textbook costs and calls the Z Degree "one of the best things that's happened to me since I've been at [Tidewater]."[12]

Tidewater is part of a broader movement in education that is benefiting from open instructional materials. The Utah Open Textbook Project created openly licensed, printable science textbooks for the K–12 market, which Utah's Office of Education distributed statewide for only five dollars apiece.[13] The Teacher Education in Sub-Saharan Africa network (TESSA) gathered more than 700 teachers and teacher educators to create free and flexible materials in four languages and 10 country contexts for school-based teacher training, and by 2010, 400,000 teachers had used TESSA resources.[14]

The efforts of Tidewater Community College, the Utah Open Textbook Project, and TESSA demonstrate that OER offer tangible benefits and can provide pedagogical freedom, improved learning, and cost savings. The use of open materials holds great potential to improve both access to education and the quality of that education around the world and at all grade levels.

The Hewlett Foundation began investing in OER in 2002 and has played a central role in supporting the field. Since then, however, the field has grown and matured significantly. Through a strategy refresh, the Hewlett Foundation is now seeking opportunities to build on the field's successes and take OER to scale, thus maximizing its full potential to improve global education.

1.

CONTEXTUALIZING
the OER STRATEGY

DEFINITION OF OPEN EDUCATIONAL RESOURCES (OER)

OER are "teaching, learning, and research resources that reside in the public domain or have been released under an intellectual property license that permits their free use and re-purposing by others."

In this strategy, we also use the following terms to mean OER: open materials, openly licensed materials, open instructional materials, open resources, and open content. Open textbooks are a specific type of OER.

The field's past successes have built a promising foundation for mainstream adoption.

Through its work in OER, the Hewlett Foundation promotes a world in which students around the globe, particularly those from underserved populations, have better access to education and can more easily experience personal learning. OER can increase the agency of teachers and students by empowering teachers to tailor instruction and enabling students to make meaningful choices about their own education.

Back in 2002, the concept of OER was relatively unknown, but the Foundation saw the Internet's immense potential to dramatically increase the supply and availability of effective educational resources. Therefore, we pursued a field-building approach, supporting many of the key anchor institutions that were needed to grow the field and funding a variety of opportunistic projects that capitalized on the new innovations in the field. The Foundation sought out those who had widely respected resources they were willing to openly license. Many of these early Hewlett Foundation grantees are now prominent not only within OER but also within the broader education field. For example, OpenStax at Rice University produces open textbooks that have been adopted by over 1,000 courses worldwide and MIT OpenCourseWare now averages a million visits each month.[15]

The Foundation's early investments helped create a field that has grown well beyond our initial expectations. Creative Commons' licenses have increased at an astonishing rate, from 50 million pieces of content in 2006, to 400 million in 2010, to 882 million in 2014.[16] Moreover, the permissions on these licenses are growing more open over time; in 2010, 40 percent of open licenses did not restrict commercial use or adaptations, while that number increased to 56 percent in 2014.[17] The U.S. Department of Labor has leveraged billions of dollars to create open materials for community colleges, and the government of South Africa has distributed open textbooks from Siyavula Education to every school in the country.[18] Overall, 14 governments have made national commitments to open education, which is pushing OER to scale.[19]

This remarkable growth led to our decision to step back and explore whether OER could reach mainstream adoption and become the default choice for teachers and students rather than the exception. To investigate, the Foundation commissioned a Boston Consulting Group (BCG) study in 2013, which found that OER's growth constitutes the "green shoots" that are often precursors to mainstream adoption of an innovation. BCG found that roughly 10 percent of K–12 educators were using OER as a primary material, which demonstrated even broader adoption than expected.[20] The Foundation realized that, based on patterns from other industries, OER could be nearing a tipping point in which adoption begins to accelerate as more mainstream teachers and students see evidence that early adopters are pleased with the innovation. Empirical research of other innovations places this tipping point at around 15 to 20 percent of market share.[21]

THE PENCIL METAPHOR

THE LEADERS
First to adopt technologies, document and share practice—warts and all.

HANGERS-ON
Know all the lingo, attend the seminars but don't do anything.

THE FERRULES
Hold tightly onto what they know. Tech has no place in their classroom.

THE SHARP ONES
They watch the leaders, grab the best bits, learn form mistakes and do great stuff.

THE WOOD
Would use tech if someone else sets it up and shows them how-to and keeps it running.

THE ERASERS
Endeavor to undo much or all the work of the leaders.

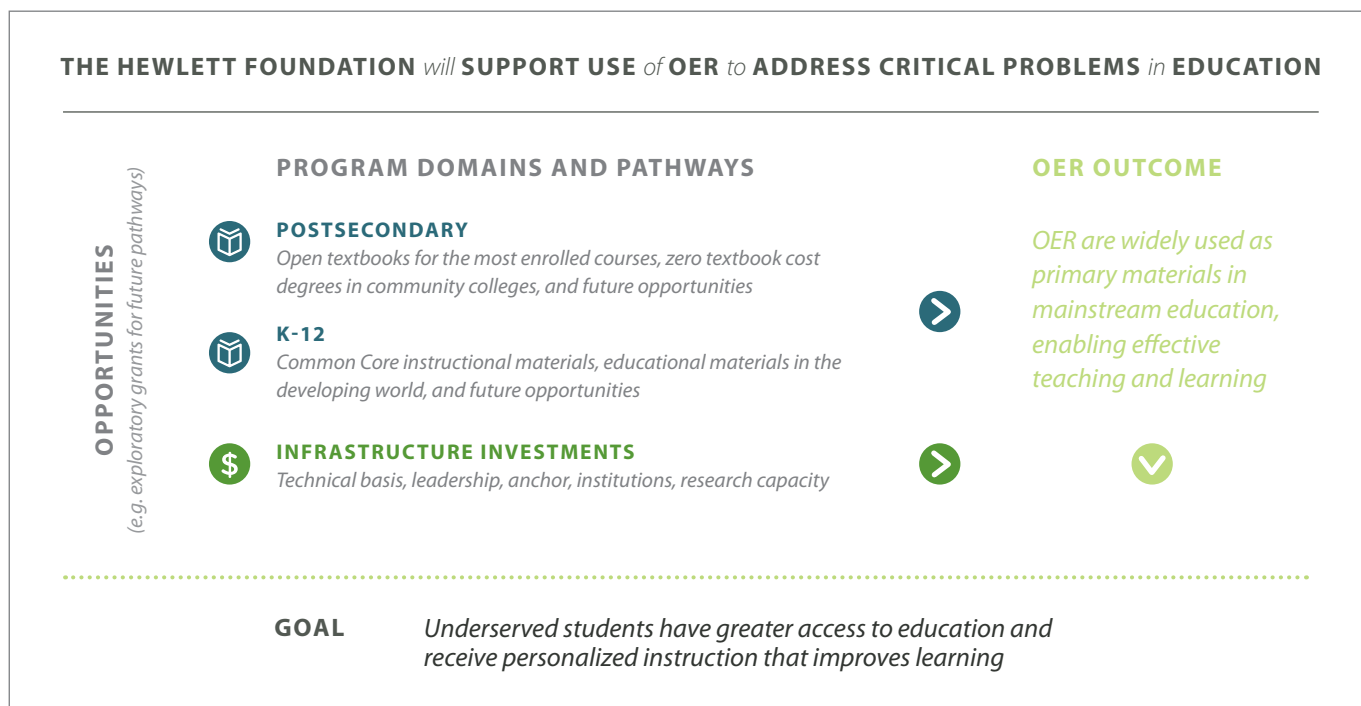*Based on an idea from Lindy Orwin*
lindyorwin.com

In order to move OER adoption from the early leaders to the mainstream—the wood of the pencil in this metaphor—the Hewlett Foundation will support efforts to use OER to solve critical problems in education.

To accelerate mainstream adoption, the Foundation will shift to a problem-based approach to strategy.

This transitional period provides an unprecedented opportunity to set the stage for OER's potential to improve teaching and learning around the world. Through field-wide strategy meetings and interviews with grantees and OER leaders, the Foundation has heard a clear demand to move toward scaling adoption. Therefore, the Education Program has refreshed the OER strategy to ensure that the Foundation's grants do as much as possible to support this goal. We decided to switch from our previous strategy of funding key players and promising opportunities that had the momentum to reach scale, and instead more purposefully position OER as the solution to some of the most pressing problems in education. In doing so, we hope to demonstrate to teachers and students the benefits of adopting OER. This problem-based approach will identify the issues that are most relevant to teachers and students and make targeted grants that apply OER to solve these problems at scale. This new emphasis on concrete benefits can significantly grow the adoption of open materials and build a base of users who, regardless of why they initially adopt open resources, gain the freedom to take advantage of open educational practice.[22]

The box below shows how the strategy will pursue a series of investments in a pipeline of pathways across the K–12 and postsecondary domains, both in the United States and abroad, including a complementary set of grants to continue support for OER infrastructure. At first, the strategy will pursue no more than three or four well-defined pathways that have early momentum. During this time, program staff will continue to flesh out future possibilities based on capacity and interest in the field, and may even give exploratory grants to set the stage for a new pathway. Over time, the Foundation will begin to invest in pathways further down the pipeline as earlier efforts come to fruition.

THE HEWLETT FOUNDATION *will* **SUPPORT USE** *of* **OER** *to* **ADDRESS CRITICAL PROBLEMS** *in* **EDUCATION**

OPPORTUNITIES
(e.g. exploratory grants for future pathways)

PROGRAM DOMAINS AND PATHWAYS

POSTSECONDARY
Open textbooks for the most enrolled courses, zero textbook cost degrees in community colleges, and future opportunities

K-12
Common Core instructional materials, educational materials in the developing world, and future opportunities

INFRASTRUCTURE INVESTMENTS
Technical basis, leadership, anchor, institutions, research capacity

OER OUTCOME

OER are widely used as primary materials in mainstream education, enabling effective teaching and learning

GOAL   *Underserved students have greater access to education and receive personalized instruction that improves learning*

4

OER aim to tackle gaps in the current market for educational materials.

The Foundation's shift to a problem-based approach is well timed because important education stakeholders are identifying a number of problems with the dominant publishing model, and OER offers the promise of resolving them. Textbook costs in the United States are rising rapidly while quality suffers, particularly in the K–12 market in terms of alignment with the latest educational standards. The developing world suffers from shortages of high-quality materials, and many students cannot access the existing materials due to cost barriers and copyright issues that prevent translation. Teachers in all countries feel bound to rigid curricula that are not tailored to their students' needs and local contexts. The Foundation sees OER as an opportunity to advance beyond such problems. The educational market today gives teachers little choice over what or how to teach their students, and it provides only limited resources to help students reach their full potential. Instructional materials are among the most critical factors to student learning so addressing this broken market is crucial to reforming education systems worldwide.[23]

Because deficiencies in instructional materials affect K–12 and postsecondary education, the OER community works in both these domains as well as across the United States and internationally. This work often involves close collaboration in the field to build global infrastructure and to share lessons that transcend national boundaries. Similarly, the Foundation's strategy includes both K–12 and postsecondary institutions, but will focus on a subset of U.S. and international work within those domains and prioritize efforts that reach underserved students. The Foundation's investments in infrastructure will tackle cross-cutting issues related to OER itself, supporting the global open materials movement and enabling work at all grade levels. Because the Foundation cannot work in all areas directly, it will seek to share relevant lessons with the field to support the efforts of other funders and OER champions in those spaces.

Through internal discussions, expert input, field-wide strategy meetings, and careful consideration of the most pressing needs, the Foundation has developed an emerging set of pathways in the K–12 and postsecondary domains. The Foundation will initially pursue those pathways that build on previous areas of grantmaking but will also explore other pathways within each domain. The Foundation is selecting and sequencing potential pathways based on a set of factors including benefits to users and the strategy, the potential to succeed, philanthropy's unique role, and resources for execution. The "managing the strategy and monitoring progress" section addresses the factors impacting pathway selection in more detail.

The next two sections of this document describe the postsecondary and K–12 domains as well as the initial pathways the Foundation is pursuing within each. The subsequent section addresses the infrastructure domain and the final section elaborates on how the Foundation will execute the strategy.

2.
STRENGTHENING PEDAGOGY *and* REDUCING COSTS *for* HIGHER EDUCATION

In higher education, students face spiraling textbook costs, and faculty need materials that better support innovative pedagogy.

In the United States, the symptoms of a broken educational market are acutely visible in the soaring costs of college textbooks. Textbook costs increased by 82 percent from 2002 to 2012, at triple the rate of inflation.[24] These costs can restrict access to college for a significant population[25] and hinder learning by dissuading many students from purchasing required course materials.[26] Several factors contribute to the problem of increasing cost. Professors choose textbooks but since they don't pay for them, cost is not an important factor—in fact, a 2014 Babson Research Group survey found that faculty rank cost as the least important consideration in their textbook choices.[27] This demonstrates that publishers have little need to compete on price to ensure their books are adopted. Additionally, the top few publishers have concentrated market power. In higher education, five publishing companies control over 80 percent of the $8.8 billion publishing market, which insulates them from competition.[28]

The higher education system also tends to offer little support or reward to faculty who excel pedagogically or openly share the resources they create. As a result, professors often struggle to make instructional materials and pedagogical approaches fit the needs of unique groups of students and course objectives. Currently, faculty members often tailor their course objectives to meet the structure and content of the textbook instead of the other way around.

PHOTO : *MCPearson*
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In developing countries, the market for educational resources is even more ineffective. Students feel the burden of cost acutely, faculty members are often underqualified and poorly rewarded, institutions lack adequate libraries, and curricula are underdeveloped.[29] Moreover, the publishing market sees little opportunity for profit and faces weaker publishing infrastructure and distribution channels, limiting the incentive to produce effective educational resources appropriate for local contexts.[30] These problems mean many students cannot access higher education at all, and those who do continue their schooling may not receive a high-quality education.

OER can increase access to affordable and effective higher education.

"In the past, I only had the official adopted textbook to choose from. Now I have the whole world, using open courseware from people who are worldwide experts in the fields I teach. I'm finding incredibly creative and innovative approaches to concepts that I wouldn't have come up with myself. That kind of freedom is amazing."

Professor Linda Williams, TIDEWATER COMMUNITY COLLEGE [31]

OER offer a promising solution to issues related to both pedagogy and costs. Open materials can empower faculty with more academic freedom to tailor their courses to the needs of their students. Professors with limited time can adopt open textbooks and only modify select parts, allowing them to move away from the rigid prescriptions of traditional textbooks without building new resources from scratch. Professors can also curate their own instructional materials to replace textbooks, leading to more flexibility and creativity in course content and teaching approach. Students often find these digital resources and non-traditional pedagogical approaches more engaging.[32]

The cost benefits can allow more students to complete college. First, open materials can help increase access to higher education for students who cannot afford it. Studies indicate that cutting tuition and fees by $1,300 (roughly the annual cost of textbooks for an associate's degree) could grow college attendance in the United States by approximately 5 percent.[33] Second, open materials can help alleviate cost burdens on students who are at risk of dropping out for financial reasons. Paying for textbooks forces students to work extra hours and strains their studies, and 54 percent of students who do not complete their degrees cite needing to work more hours as the primary reason they leave college.[34] The Z Degree at Tidewater Community College has begun to illustrate the benefits of open materials. In the first year of the program, Tidewater cut the cost of graduating with a business degree by nearly 30 percent, and attrition dropped by 6 percent for courses that switched to open materials.[35]

Finally, in the developing world, open materials can give faculty and students the effective educational resources they currently lack. Because these resources are free, students and institutions can afford to acquire more materials, and because open materials can be adapted, faculty can select from a wider range of base materials and then translate them into local languages and contexts.

The Foundation is exploring pathways that help postsecondary faculty teach effectively.

Within the postsecondary domain, the Foundation is already working on two initial pathways: open textbooks for the most-enrolled college courses and zero textbook cost (ZTC) degrees in community colleges. In addition, the Foundation continues to explore other opportunities to solve pressing problems in postsecondary education in the United States and abroad.

PATHWAYS IN THE POSTSECONDARY DOMAIN

- Open textbooks for the most enrolled college courses
- Zero textbook cost degrees in community colleges
- Future opportunities

OPEN TEXTBOOKS FOR THE MOST-ENROLLED COLLEGE COURSES

Shifting to open textbooks is a relatively easy shift for postsecondary faculty because they are a relatively familiar unit of instructional materials for courses that traditionally depend on textbooks. Many professors in the United States are already considering using open materials in the near future; a 2014 survey of higher education teaching faculty conducted by Babson Survey Research Group found that over three quarters expect to use OER or would consider using them in the next three years.[36] Open textbooks can seize on faculty receptivity in order to scale adoption. Tactics for this pathway include:

Building the library of easily discoverable open textbooks. The supply of searchable open textbooks is already growing. The University of Minnesota's Open Textbook Library includes nearly 200 textbooks created and peer reviewed by faculty from nine institutions, while OpenStax College's 16 textbooks for the most popular introductory-level college courses have been adopted by more than 1,000 courses around the world in fewer than three years and downloaded nearly a million times, and have saved students more than $50 million.[37] These open textbooks have been a major focus of the Foundation's past OER work, and continuing to expand supply will bring these benefits to more students.

Providing technical assistance. Organizations that have deep, hands-on experience working with professors seeking to adopt and adapt open textbooks can provide invaluable expertise to overcome barriers to OER adoption. Technical assistance providers can curate open textbooks to help faculty choose the appropriate open resources to replace and supplement their current course materials; train faculty on how to build open materials into a full course and take advantage of open licensing; and support outreach to stakeholders like administrators and librarians.

Promoting open textbooks among faculty and librarians. To grow adoption, OER advocates must educate faculty about why open materials are better than traditional textbooks. Costs are often the most easily understandable incentive for switching, but faculty can also learn about open licensing's benefits, including the possibility of open educational practice. Additional research into the effect of OER on college completion, via increased access and better student learning, can help build faculty support for open textbooks. In addition, open resource advocates can provide faculty with opportunities and incentives to spend hands-on time with the materials, such as by offering them the opportunity to review open textbooks.

This pathway will focus on both four-year and two-year institutions to help establish the credibility of open textbooks as effective for student learning; many students who will be in a position to spread openness as future teachers and researchers attend four-year colleges. At the same time, this pathway will promote equity by prioritizing institutions with diverse student bodies. It will also engage faculty and advocates to produce effective textbooks that can be used in two-year colleges—a spillover benefit that will be especially helpful for colleges with limited capacity to create their own open textbooks to support large, underserved student populations.
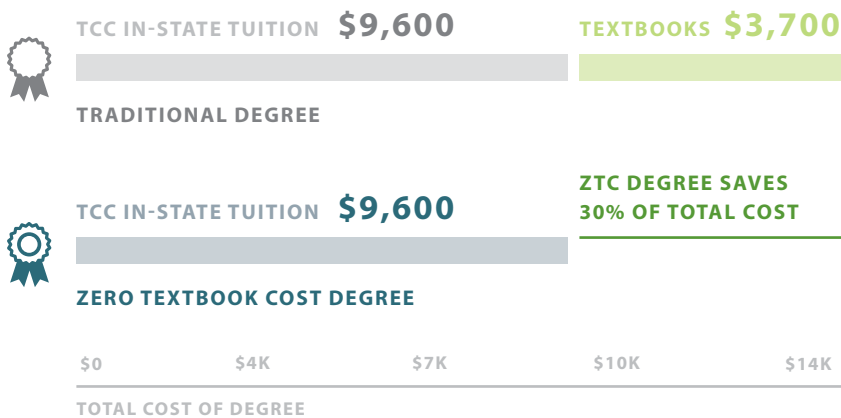
ZERO TEXTBOOK COST DEGREES IN COMMUNITY COLLEGES

The zero textbook cost (ZTC) degree eliminates textbook costs for an entire course of study by replacing traditional textbooks with free, openly licensed materials. This pathway is a separate Foundation initiative, with a large, time-bound investment that goes beyond the standard OER budget.

Virginia's Tidewater Community College introduced the first zero textbook cost degree (the Z Degree) in its business administration associate's program. More than 1,700 students have participated in Z Degree courses and attrition has dropped by 6 percent for courses that switched to open materials.[37] Following suit, Northern Virginia Community College recently implemented two ZTC degrees in general education and social sciences, and more than 5,000 students have enrolled in these pilot courses so far. [38]

The long-term benefits of ZTC degrees extend far beyond cost savings. ZTC degrees with open materials also have the potential to reshape community college curricula, empowering faculty with the flexibility to remix custom materials for their students now and in the future.

CUTTING *the* **COST** *of a* **COLLEGE DEGREE** *by* **UP TO 30%**
Tuition and textbook costs for Tidewater degrees

TCC IN-STATE TUITION **$9,600**   TEXTBOOKS **$3,700**

TRADITIONAL DEGREE

ZTC DEGREE SAVES
30% OF TOTAL COST

TCC IN-STATE TUITION **$9,600**

ZERO TEXTBOOK COST DEGREE

$0 $4K $7K $10K $14K

TOTAL COST OF DEGREE

This pathway will build on the early success of ZTC degrees to bring the model to students and teachers at community colleges across the United States. The effort includes:

Identifying and supporting the next set of early adopters. The Foundation will help build momentum for ZTC degrees by fast-tracking programs in a set of favorable, high-impact locations. It will select these pilot programs based on criteria such as administrator and faculty co-champions; innovative, clearly defined implementation proposals; and diversity of the student body. To support the work of these early adopters, the Foundation will reach out to philanthropic partners to expand funding opportunities.

Scaling the model through targeted advocacy. Several potential approaches could help scale ZTC degrees in different contexts. First, advocates could work through networks to empower peer-to-peer persuasion. This approach would mirror other community college programs that have used networks to reach scale, like the Achieving the Dream Network, which now includes 200 colleges across 34 states.[39] Second, advocates could leverage competition among colleges that serve students in the same region. Third, advocates might educate policymakers about how policies can incentivize the creation of ZTC degrees.

Ensuring implementation with sufficient tools and expertise. The Foundation will build technical assistance capacity to ensure that colleges interested in creating ZTC degrees have the information and support necessary to succeed. Organizations ranging from OER experts to colleges with existing ZTC degrees could all play important roles in technical assistance.

Strengthening the supply of postsecondary OER to fuel expansion. Continued creation of effective postsecondary open materials will become crucial to long-term scaling of ZTC degrees. The Foundation will ensure that there are sufficient OER options for each ZTC degree course in early majors, gather and support the distribution of remixed ZTC degree materials for re-sharing, and fund the creation of sets of open materials for new majors.

The ZTC pathway will focus primarily on two-year institutions because they serve diverse students who are particularly at risk of dropping out for cost-related reasons but need college degrees to achieve greater social mobility. Two-year institutions also require fewer courses to graduate than four-year colleges, which simplifies the course materials needed to obtain a degree. As the Foundation pursues this pathway, it will conduct research to ensure that ZTC degrees are achieving the goal of increasing college completion. Research will also test different approaches to scaling the model, thus providing valuable lessons for OER advocates and funders interested in spreading ZTC degrees to other parts of the world.

Given our limited resources, we do not envision a full-fledged postsecondary pathway outside of North America. Several of our existing grantees, however, are working on issues related to postsecondary education, particularly in the developing world, and will continue to encourage governments and educational institutions to adopt policies that are supportive of OER. They provide the types of leadership and technical capacity for OER that we envision supporting under our grantmaking for infrastructure. Furthermore, we will explore ways in which our grantmaking in these two pathways can inform work in other countries.

3.
BOOSTING QUALITY *and* ACCESS *for* K–12 EDUCATION

K–12 education suffers from a scarcity of effective instructional materials and inefficient procurement models.

In the K–12 education system in the United States, the current educational market and instructional materials procurement models fail to provide students with effective materials that are aligned to the latest educational standards. In many cases, standards-aligned content is not even being created. For instance, 17 out of 20 K–8 math series reviewed by EdReports failed to align to the Common Core State Standards, despite being labeled as such.[40]

Even where aligned materials exist, they often do not reach the most disadvantaged students. In many districts, procurement restrictions limit access to effective materials[41], for example, having state-approved textbook lists dominated by traditional publishers, and there is only enough funding to replace each textbook every six to ten years.[42] As a result, less than one third of educators report having "access to high-quality [standards]-aligned textbooks."[43] Students with specialized needs, such as English language learners, suffer disproportionately from these funding limitations.[44] A Council of Great City Schools survey found that four-fifths of teachers believe current instructional materials for English language learners do not reflect the rigor of recently adopted standards.[45]

K-12 TEXTBOOK PUBLISHING MARKET

TOP 3 PUBLISHERS CONTROL 90% OF THE MARKET

Moreover, K–12 textbooks are increasingly expensive, which wastes taxpayer money that could be allocated to other priorities in underfunded districts. The Association of American Publishers reports that U.S. spending on K–12 textbooks in 2011 was $8 billion[46]—a significant expenditure given how dissatisfied educators are with what has been purchased. Similar to the postsecondary market, rising costs are driven by concentrated market power. The top three publishers control 95 percent of the K–12 reading market and 86 percent of the K–12 math market, though other players provide supplementary materials outside of core textbooks. Other publishers struggle to compete with lower-priced or more effective materials because these top publishers have well-established distribution channels, years of experience, and relationships to back their expansive marketing.

The problem in the developing world is perhaps even more pressing. In some places, six or more students may have to share one out-dated textbook, and teachers face a shortage of workbooks, exercises, and other materials to support lessons.[47] Children also lack access to books outside of the formal education system. Fewer than half the children around the world have three or more books at home.[48]

221 MILLION CHILDREN are **TAUGHT** in a **LANGUAGE OTHER THAN** their **MOTHER TONGUE**

SOURCE: UNESCO

Such problems are most severe where the market is not strong enough to attract a diversity of publishing companies to create educational materials. Private sector publishers are often wary of entering markets in developing countries because consumers struggle to afford books, distribution is challenging, and printing is expensive.[49] Some countries like South Africa are shifting towards state control of textbook production, which also can deter private publishers from entering the market. A nationalized textbook market makes it harder for local publishing to grow, resulting in a narrow supply of materials.

Even in countries that report as many textbooks as pupils, there may be local disparities. Within a country, some schools in wealthier areas have more than one textbook per student, while the most disadvantaged students face shortages.[50] Additionally, there are shortages of materials targeted to diverse language and contextual needs. Publishers want to cater to as broad an audience as possible, and so materials are often produced in English or other languages that are common in the country. UNESCO estimates that 221 million children are taught in a language that is not their mother tongue, causing them to struggle to acquire basic skills as they are expected to simultaneously master a foreign language.[51]

OER can fill gaps in the market with flexible, affordable materials.

OER are well suited to address problems with the current market and procurement inefficiencies. In the United States, open materials can empower teachers with flexibility that benefits student learning. If teachers are no longer bound to the structure of traditional textbooks, they will have more freedom to incorporate creative lessons and adapt the sequencing and style of their lessons to their students' needs. Districts can also gather their expert teachers to update, maintain, re-align, and otherwise continue development of open content for other teachers in the district.

In addition, cost savings from adopting open materials can aid progress on many other problems districts currently face. For example, districts can adopt new versions of open materials as soon as they are published, rather than waiting anywhere from 6 to 10 years for sufficient funding to procure new textbooks. The widespread use of open materials in the United States would also enable the reallocation of billions of dollars in funding to other educational uses that further deeper learning, creating opportunities for other policy advancements. Finally, given that open materials are free, they could compete favorably in state and district procurement processes, which would encourage publishers to compete on quality and price.

Because the educational market is still in its fledgling days in the developing world, open resources can help leapfrog the problems faced by the traditional publishing structure, as seen in the United States, and make better progress on providing equitable, affordable, and effective materials. Open licensing allows educators to translate books into their local languages and provide free or low-cost educational materials. Open resources can be distributed in print, through mobile devices, or online, so schools and parents without sophisticated technology can still use them. In countries with state control of textbooks, open government policies could result in widespread distribution and availability of materials. South Africa's Department of Basic Education, for instance, printed 10 million openly licensed books from Siyavula Education at a cost of only two dollars per book.[52]

Moreover, open resources can play a catalytic role by introducing nascent markets to effective instructional materials, creating a cycle that builds demand and spurs publishers to produce more content. Publishers in developing countries often avoid the early childhood market because the public does not know the full benefits of exposing children to early reading so demand for these books is low. As counterpoint, however, when nonprofit organizations in Nepal began to provide books for young children, this work popularized early literacy by demonstrating its educational benefits and proving that students, teachers, and parents would use these materials. Subsequently, publishers began producing additional materials to serve this market.[53]

As the Foundation further develops pathways in the K–12 domain, we will collect feedback from experts and grantees to learn about additional opportunities in the developing world. We will seek to better understand the dynamics of the publishing industry in the developing world and the potential pathways that could relate to problems, such as youth unemployment and health.

The Foundation is seeking pathways that improve access to effective educational resources.

The Hewlett Foundation is currently exploring two pathways in the K–12 domain that build on previous grants: instructional materials aligned to common standards in the United States and educational materials in the developing world. The Foundation will also continue to investigate other national and international K–12 opportunities.

PATHWAYS IN THE K-12 DOMAIN

Instructional materials aligned to common standards

Educational materials in the developing world

Future opportunities

INSTRUCTIONAL MATERIALS ALIGNED TO COMMON STANDARDS

Beginning in 2010, in response to stagnating educational achievement and inequity for U.S. students, nearly all states adopted the Common Core State Standards in math and English language arts. Yet, implementation of these common standards in many schools has been rocky and uneven. One major challenge is that many schools and teachers lack new, effective materials aligned to the standards.[54] The EdReports review of math curricula cited previously demonstrated that even for materials claiming alignment to the Common Core, 17 out of 20 publishers' K–8 math series were not aligned.[55]

A pathway focused on instructional materials aligned to common standards aims to put high-quality, open materials into the hands of teachers in a format that is familiar and easy to use, thus maximizing potential for adoption. The Foundation's Deeper Learning strategy has actively supported the supply of Common Core instructional materials, and this OER pathway plans to link to and build on this work. To do so, program staff will coordinate with the Deeper Learning team to pursue promising joint opportunities and share relevant lessons. Potential tactics include:

Increasing the supply of aligned materials to cover full years in math and English language arts. In a 2013 Boston Consulting Group survey, about half of K–12 educators reported awareness of OER.[56] However, most teachers surveyed were also skeptical of the quality of open materials and confused about how to find and use them. To address this issue, the K–12 OER Collaborative is a new, state-led effort to develop comprehensive, effective, easily discoverable materials aligned to the Common Core.[57] The work of such organizations will help fill major gaps in the supply of Common Core–aligned instructional materials. The Foundation will also explore making investments in existing Common Core–aligned OER, like EngageNY's materials, by supporting further adaptation, development, curation, and effective use.

Filling gaps in aligned materials for special needs students. As the K–12 OER Collaborative and other organizations develop Common Core–aligned open materials, the Foundation will devote special attention to ensuring there are versions suitable for English language learners. Open instructional materials can benefit all students but are likely to disproportionately benefit struggling schools that cannot afford effective materials or lack the capacity to find them. These schools tend to have high populations of underserved students, such as English language learners, and there is likely to be substantial funder interest in this aspect from an equity perspective.[58]

Supporting targeted advocacy to promote adoption of OER by state education agencies and districts. The Foundation will support early adopters to build momentum for K–12 open materials. Schools with large numbers of English language learners offer a promising place to begin scaling adoption. Teachers of English language learners are often strapped for time and resources to adequately serve the needs of many diverse students. As mentioned above, the survey conducted by the Council of Great City Schools found that four-fifths of teachers believe current instructional materials for English language learners do not reflect the Common Core's rigor. As a result, half of the respondents reported using materials they developed on their own.[59] These teachers, burdened with creating materials from scratch, could be eager to seize the potential of open resources to facilitate collaborative development.

The Hewlett Foundation will continue reviewing potential opportunities for open resources to further Common Core implementation. As there is early uptake of common, standards-aligned, open materials, the Foundation will support research into their impact on student learning and pedagogical approaches. Such research will facilitate our understanding of how to successfully scale OER and communicate its benefits.

EDUCATIONAL MATERIALS IN THE DEVELOPING WORLD

This pathway will focus on educational materials for K–12, which national governments in developing countries often purchase, and seek opportunities to incorporate OER as a way to increase educational access. This pathway would provide vital resources for schools, teachers, and families to educate school-aged children in the developing world.

Since the OER field is less mature in the developing world and the work is geographically dispersed, this pathway focuses on shifting institutional and government policies. The Foundation's work to date with international grantees has focused largely on policy levers as one of the most viable paths to build momentum and grow the international OER field. At the same time, the Foundation anticipates making exploratory grants to test whether investments in specific types of OER might provide opportunities to have more concerted impacts. Most notably, the Foundation is currently investigating the role of OER in increasing the availability of early reading materials.

Currently, the Foundation has identified the following potential tactics for this pathway:

Promoting open licensing of educational materials produced by major donor institutions. Many institutions that support education in the developing world, such as USAID, DFID, UNICEF, and the Global Partnership for Education, produce and/or fund the production of effective materials to enhance access in areas with few resources. However, while the institutions have good intentions for sharing, their materials are seldom put online and even more seldom openly licensed, which prevents translation for reuse in other countries. For example, USAID and the Malawi Ministry of Education's Tikwere Interactive Radio Instruction program created a successful series of stories, activities, and exercises for teachers and students but they were not disseminated as open resources.[60] Advocacy aimed at persuading major international funders to openly license the materials they are already creating could yield a wealth of new materials designed to reach the most disadvantaged students.

Encouraging major donor institutions to adopt and distribute existing open materials. When major donor institutions distribute educational materials, they often use a combination of new materials produced in-house and existing materials adapted from other contexts. In addition to pushing for open licensing of any new materials, the Foundation would encourage institutions to choose open resources when adopting existing materials for distribution. Widespread adoption by major donors could help bring existing open materials to particularly disadvantaged locations, like refugee camps, where they could be a strong fit to address cost, mobility, and translation needs.[61]

Advocating for governments with existing OER-friendly policies to support greater production and adoption. Advocates could encourage governments with existing OER policies to develop and implement plans to better support OER. Additionally, OER champions could reach out to countries that support the popular open access movement but have not yet developed open resources policies, such as Burkina Faso, Paraguay, and Chile, and encourage them to move to full open licensing.[62]

Grants in this pathway will likely focus on countries where the Foundation has prior experience, such as those that have received OER grants and those in which the Global Development and Population Program has funded education work.

4.

SUPPORTING ROBUST TECHNICAL *and* INSTITUTIONAL INFRASTRUCTURE

INFRASTRUCTURE PRIORITIES

⊿ **TECHNICAL BASIS**

⚑ **LEADERSHIP**

⚓ **ANCHOR INSTITUTIONS**

🔍 **RESEARCH CAPACITY**

As the OER strategy shifts to emphasize pathways to scale, the Foundation will back its investments with robust and flexible infrastructure. Many components of this infrastructure are valuable outcomes of the field building that has occurred over the past decade, including developing strong anchor institutions and clear open licensing standards. Going forward, the Foundation will focus on building four specific elements of infrastructure:

TECHNICAL BASIS: The heart of OER is open licensing. Sustaining open licenses is a prerequisite for the field's existence and ability to continue growing. In terms of actual technical features, OER must have the right metadata and be included in search engines so materials are discoverable for users; must be built for interoperability so materials can be used on different systems and transferred between users; must be compatible with a variety of digital platforms, particularly mobile platforms used in the developing world; and must be accessible and inclusively designed to meet the needs of all learners.

LEADERSHIP: Thanks to the unwavering dedication of a core group of leaders who have helped drive supportive policies and led efforts to promote adoption, the OER field has blossomed.[63] As OER aims to transform mainstream education, the field requires more leaders spanning all domains of OER-related work. These leaders can benefit from coordination of advocacy efforts, the sharing of best practices for implementation, and a collective sense of purpose and goals. Leaders must be able to communicate effectively about OER to audiences outside the field. Gathering and sharing compelling stories of OER's benefits and developing messages that tie OER to popular causes, like the open access movement, will help cultivate new audiences. The Foundation may support general communications and marketing for OER as part of infrastructure, though communications work that targets specific audiences would fall under the pathways.

PHOTO : *Michael B.*
LICENSED UNDER CC BY 2.0

ANCHOR INSTITUTIONS: A few core organizations house the technical capacity for OER and provide institutional support for the policy-related and technical work of individual leaders. Supporting the efforts of these institutions that serve as the field's backbone is crucial. The Foundation will act to ensure anchor institutions have strong leaders, strategic and adaptive capabilities, financial health and sustainability, effective external engagement, and reliable operations.[64]

RESEARCH CAPACITY: Because the OER field is still relatively young, its research base, while positive, is still small. Capacity is needed to conduct research on vital questions, such as the impact of open materials on student learning and the effectiveness of different paths to scale. While specific research questions and projects may be supported through the Foundation's pathways, basic capacity for research is a broader component of the field's infrastructure.

OER infrastructure efforts will address specific capacity issues in areas in which the Foundation is working and will also support field building for these infrastructure components, prioritizing areas where there are clear gaps and barriers to success.

5.
MANAGING *the* STRATEGY *and* MONITORING PROGRESS

The Foundation is prioritizing and sequencing potential pathways based on a set of factors.

As part of the shift to a problem-based approach, the Foundation will focus its resources and attention on a limited number of pathways. By focusing on no more than three or four pathways at any given time—while still maintaining a pipeline of potential pathways— we can ensure that we are making sufficient investments to meaningfully address the selected problems. To make its selection, the Foundation will apply a specific set of factors. Pathways not initially selected for investments may receive exploratory grants from a small pool of opportunity funds or be broadly supported through infrastructure grants.

The factors the program team is using to prioritize pathways in the pipeline are:
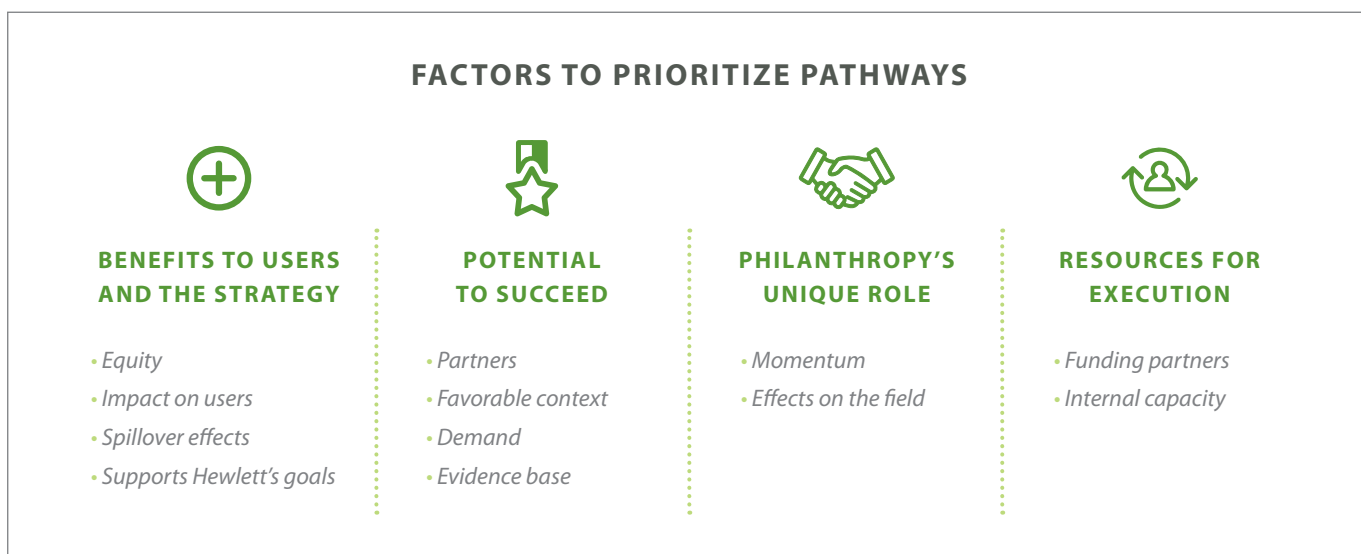
Benefits to users and the strategy: The Foundation will prioritize pathways that support its overarching OER goal of equity for underserved students. Pathways that also support other Foundation goals, such as Deeper Learning, would be especially compelling. A pathway should have a tangible, persistent benefit to potential OER users, and it could also have spillover effects like indirect benefits for other users or field building for OER.

Potential to succeed: The Foundation will invest in pathways for which there are viable existing or potential grantees, allies, and champions. It will consider the broader context for the pathway and whether meaningful progress is possible within the strategy's timeframe. Pathways that scale up solutions that resonate with potential users and have potential benefits validated by research and examples are more promising.

Philanthropy's unique role: The Foundation seeks to invest in pathways where there is sufficient momentum for success but momentum that needs philanthropic support to tip the scales in that direction. The Foundation will also be mindful of how selecting a particular pathway might influence the rest of the OER field or create transaction costs for grantees and the Foundation.

Resources for execution: The Foundation looks to pursue pathways that excite potential funding partners that can lend support in scaling to the mainstream. The Foundation will also consider whether its internal capacity is sufficient in terms of both staff and resources to invest in the pathway's success.

More detailed questions the program uses to assess each factor can be found in Appendix A. The Foundation will also prioritize potential grants within selected pathways. Due diligence for potential grantees will assess similar factors as those for pathways, in addition to considering grantees' financial strength and grant history (if applicable).

FACTORS TO PRIORITIZE PATHWAYS

BENEFITS TO USERS AND THE STRATEGY	POTENTIAL TO SUCCEED	PHILANTHROPY'S UNIQUE ROLE	RESOURCES FOR EXECUTION
• Equity	• Partners	• Momentum	• Funding partners
• Impact on users	• Favorable context	• Effects on the field	• Internal capacity
• Spillover effects	• Demand		
• Supports Hewlett's goals	• Evidence base		

The Foundation will work to identify and mitigate risks inherent in the strategy.

As we pursue a more focused strategy for mainstream adoption, we are mindful of a number of risks we must mitigate. We expect that the greatest resistance to mainstream adoption will come from publishers whose business models will be threatened if we succeed. Many publishers, however, are beginning to see the inevitable future, so as we work with our grantees to develop business models around OER, we will also work with the publishing industry to adapt their own business models to an environment in which content is increasingly accessible. We also recognize that we may be criticized for myopic thinking in concentrating so much of our OER strategy on open textbooks, but right now this form of educational content is the most often used in education systems around the world. While textbooks may someday be an artifact, today they are still common-place so they remain our near-term focus. Our final concern is that, for now, Hewlett remains the only major funder of infrastructure in the OER field. We have to take care that by investing more significantly in pathways we do not put anchor institutions at risk. The best way to mitigate this risk will be to bring along funders who do not see themselves as OER funders but become converts to OER after seeing how it can solve the problems they seek to solve.

As OER adoption makes the jump from early adopters to mainstream adopters, it is likely that people will begin asking tougher questions about the value of openness than the early adopters have been asking. For instance, mainstream adopters may question the value of allowing their creations to be revised or have concerns about the transactional costs of appropriate attribution. Our continued funding for OER infrastructure will allow our anchor grantees to prepare for the increased scrutiny and less nuanced under-standing that mainstream adoption of OER is likely to bring.

Monitoring and evaluation will track progress and guide future efforts.

Monitoring and evaluation will be essential to track progress, adapt to new conditions, and course-correct if necessary. As the Foundation develops pathways and funds grantees, the program team will identify specific indicators for each pathway based on approaches in the Foundation's Education Program and the Foundation more broadly. The Foundation will collaborate with its grantees to define relevant indicators, ensuring compatibility with specific grants and goals at all times.

HIGH-LEVEL INDICATORS WILL ASSESS THE STRATEGY'S OVERALL PROGRESS.

A set of high-level indicators will inform whether the strategy is on track. In concert with the Boston Consulting Group, the program team has created an OER dashboard that assesses the current state of the OER field using metrics, baselines, data sources, and targets. These indicators are highly aligned with the strategy's new structure, as they are divided between the K–12 and postsecondary domains and cover many of the core outcomes of the strategy (see Appendix B for a full list).

The percentage of educators, districts, and faculty adopting open resources as primary course material will likely be the most direct indicator of whether OER are reaching the mainstream. Survey research will provide this data for both K–12 and higher education. These dashboard metrics are currently U.S.-focused as international OER is geographically dispersed, and high-level indicators may need to center more on the policy environment.

Additional metrics from the dashboard that contribute to this ultimate goal of adoption can help pinpoint areas where the strategy is on or off track. For example, if content creation is increasing but educators are not discovering open materials at higher rates, the Foundation may need to redirect efforts around discoverability and technical support. On the other hand, if awareness grows but adoption does not, this might signal that additional work is required on quality, marketing, or other factors that influence educators' decisions to switch to OER.

The Foundation may also refine and refresh the specific indicators in the dashboard as new data sources become available and new opportunities emerge. For example, the Foundation could incorporate new international data sources to capture the results of the international pathways that are ultimately selected. This adaptive approach will ensure the OER dashboard always includes the best data available to track progress.

DETAILED PATHWAY-LEVEL INDICATORS
WILL MONITOR GRANTEES' PROGRESS.

After deciding to pursue a particular pathway, the Foundation, in cooperation with grantees, will develop a set of targeted indicators. This will be particularly helpful to guide near-term investments as the dashboard's high-level indicators are primarily aimed at monitoring long-term progress. Pathway-level indicators can also help provide greater context in areas where it is difficult to collect dashboard-level metrics, such as in international contexts with limited high-level data. Examples of the type of indicators that could be used include:

- *Number of colleges, school districts, states, or countries adopting a particular innovation or reform promoted by a pathway (e.g., number of colleges offering a zero textbook cost degree)*

- *Volume of supply covering specific needs (e.g., percentage of K–12 grade levels and subjects with effective, Common Core–aligned open materials covering the entire year)*

- *Market penetration (e.g., percentage of children in a developing country with access to books for early childhood literacy)*

After developing a pathway's indicators, the program team will collect baseline information from grantees and other experts. Tracking subsequent progress on each indicator will help assess whether each pathway is on track or off track, similar to the set of high-level indicators above. These indicators will relate to the high-level dashboard; for instance, adoption of open textbooks through the postsecondary most-enrolled courses pathway should drive increased adoption as measured in the dashboard. Individual grantees will also continue to work with the Foundation to set grant-level metrics that assess how their progress in contributing to the pathway's goals.

Collaboration with grantees and funders will help scale results.

Collaboration is an essential component of the Foundation's vision to make OER mainstream. As part of this strategy refresh, the Foundation is searching for areas where collaboration can provide the most value around its targeted objectives.

THE FOUNDATION CAN UNITE GRANTEES AROUND SHARED OBJECTIVES.

As the strategy pivots to apply OER as a solution to concrete problems, grantees may find additional reasons to work together. The early stages of the strategy focused on field building so collaboration could arise organically, creating links between grantees that were not directed towards a particular end. Now that the strategy's pathways target specific problems, grantees may need to collaborate more directly to pursue specific goals that are out of reach for a single organization. A few principles can help guide the Foundation's support for collaboration:

Coordinate grantees by establishing a shared vision, clear goals, and integrated strategy. For grantees to effectively support one another, they must share a common vision, goals, and strategy. This can be helpful at both the field-wide level, where champions have already begun to develop a strategy to bring OER to the mainstream, and at the pathway level for the Foundation. As the Foundation makes grants within its pathways, it will ensure that grantees are closely connected to the same central goals and understand the work other grantees are doing around the pathway. In many cases, this coordination may be sufficient to support grantee-led collaboration where there are appropriate opportunities.

Look for existing networks for collaboration that could be adapted to fit the strategy if formal networks are desired. Because new networks can be time intensive and costly to create, leveraging existing networks for collaboration is ideal. In existing networks, grantees also have prior relationships and experience working together so they may be more likely to collaborate effectively than a group being brought together for the first time. If no viable network exists, the Foundation may need to build a new one and will budget for additional staff time and maintenance to launch this collaborative effort.

When using a network for collaboration, choose a level of integration that matches the network's goals. Different types of networks need different levels of integration to succeed. Looser integration can be best for networks that primarily seek to share information. For example, the Hewlett Foundation's Deeper Learning grantees are organized into clusters that meet regularly. The requirement that grantees participate in clusters helps the program coordinate its work in a particular area. On the other hand, tighter integration can be helpful when grantees need to achieve a specific goal, such as providing coordinated technical support and advocacy to scale ZTC degrees. While it can be challenging and costly to stipulate the terms of collaboration, doing so can guide grantees to achieve a specific goal.

As the Foundation plans these collaborative approaches, we will solicit feedback from grantees about which problems to target and how to structure both formal and informal networks. This input from the field will help identify areas where the Foundation and its grantees see value in collaboration.

A DIVERSE GROUP OF CO-FUNDERS CAN PROVIDE ADDITIONAL RESOURCES AND SHARE LESSONS.

A problem-based approach to OER opens up new possibilities for co-funding relationships. In addition to working with other funders who directly support OER, the Foundation now also has opportunities to collaborate with those who are focused on the specific problems that open materials may solve, such as increasing college completion rates and promoting early childhood learning. By linking funders from these different substantive interests, the group could coordinate a larger pool of resources to fight these problems, helping new solutions reach scale.

In addition, funders could exchange valuable lessons about the problems targeted by each pathway under the Foundation's new approach. Funders with a long-standing substantive focus may be able to share lessons and expertise from past initiatives, such as which paths to scale are most effective within the community college system. Similarly, the Foundation and its grantees may be able to share knowledge and expertise about OER with funders new to the field. This exchange of ideas could inform and strengthen grantmaking for the Foundation and its partners going forward.

The Hewlett Foundation is excited to continue supporting OER at a time that the field is building on its successes and transitions to solving some of the most pressing problems that teachers and students face throughout the world. With this new problem-based approach, the Foundation looks forward to many more students benefitting from the promise of OER.

BENEFITS TO USERS AND THE STRATEGY

EQUITY — Would the pathway benefit underserved populations?

IMPACT ON USERS — What type of benefit would the pathway provide (e.g., cost savings to students, improved teacher practice, student learning)? How many users would the pathway benefit, and how deep would that benefit be? Would the pathway's impact persist over time?

SPILLOVER EFFECTS — Would the pathway indirectly benefit other users or help build the OER field?

SUPPORT FOR THE FOUNDATION'S PROGRAMS — Would the pathway link to other Foundation goals (e.g., Deeper Learning) and allow the program to be flexible?

POTENTIAL TO SUCCEED

PARTNERS — Are there organizations, including existing grantees, working on the problem? If not, are there organizations that would and could work on the problem with the Foundation's support? Does the pathway have champions, powerful allies, and funder interest?

FAVORABLE CONTEXT — Does the pathway link to influential narratives beyond OER and take advantage of current opportunities? Is meaningful progress achievable within the strategy's timeframe?

DEMAND — Would the solution resonate with potential users?

EVIDENCE BASE — Do existing research and examples support the pathway's potential benefits?

PHILANTHROPY'S UNIQUE ROLE

MOMENTUM — Does this path have enough momentum to merit attention? If there is momentum, does the pathway need philanthropic investment to reach its tipping point for success?

EFFECTS ON THE FIELD — What signal would the pathway send to the field about the Foundation's priorities as a leader? Would there be transaction costs, such as letting existing grantees go, or adverse field-building consequences, such as other funders abandoning areas the Foundation used to fund?

RESOURCES FOR EXECUTION

FUNDING PARTNERS — Are there other funders willing to contribute to the pathway?

INTERNAL CAPACITY — Would the Foundation's staff have the time and ability to pursue this work?

K–12 INDICATORS

ADOPTION Percentage of K–12 educators using OER as primary material; number of large districts (> 50,000 students) that adopt complete OER curriculum packages; number of states that list complete OER curriculum packages/textbooks on "Approved Resource List."

Additional indicators that contribute to the adoption goal include:

CONTENT CREATION Percentage of K–12 educators reporting that OER is of equal or higher quality than traditional publishers' material.

CONTENT MAPPING Percentage of K–12 educators who have discovered key grantee sites; percentage of total K–12 math and ELA courses with an "adequate" quantity of instructional materials mapped to grade, subject, and standards.

AGGREGATION Number of K–12 grades that have complete OER curriculum packages/textbooks in specific subjects.

AWARENESS Percentage of K–12 educators who are "somewhat aware," "aware," and "very aware" of OER.

REVIEW/QUALITY CONTROL Percentage of rated material out of total available at major platforms.

HIGHER EDUCATION INDICATORS

ADOPTION Percentage of faculty using OER as primary course material in at least one course; number of states/governments undertaking OER initiatives for higher education.

Additional indicators that support adoption include:

CONTENT CREATION Percentage of faculty and chief academic officers reporting that OER is of equal or higher quality than traditional publishers' material.

CONTENT MAPPING Percentage of faculty who have discovered key grantee sites; percentage of aware faculty who say that the ease of finding OER is equal to or better than that for traditional publishers' material.

AGGREGATION Percentage of 50 most popular college courses with a high-quality open textbook available.

AWARENESS Percentage of faculty and chief academic officers who are "somewhat aware," "aware," and "very aware" of OER.

REVIEW/QUALITY CONTROL Percentage of rated material out of total available at major platforms.

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EDUCATION PROGRAM

STRATEGIC PLAN

OCTOBER 2010

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THE HEWLETT FOUNDATION HAS BEEN MAKING GRANTS to improve education since 1967. Since 2002, the Foundation's Education Program has invested in projects and organizations dedicated to improving the conditions for education policy reform in California, supporting the spread of high-quality Open Educational Resources (OER) around the world, and improving student achievement through a series of innovative national grants. Now the program is broadening its strategy to include supporting an education system that gives every student in the United States a mastery of the knowledge and skills that education experts and business leaders agree are essential to success in the twenty-first century.

The program has adopted the term *deeper learning* to describe this additional area of interest. Deeper learning brings together five key elements that work in concert: mastering core academic content, critical thinking and problem solving, effective communication, working in collaboration, and learning how to monitor and direct one's own learning.

A new strategic plan, approved by the Foundation's Board of Directors in March 2010, aims to equalize education for all students by working simultaneously toward goals in each of three major components that make up the Foundation's Education Program:
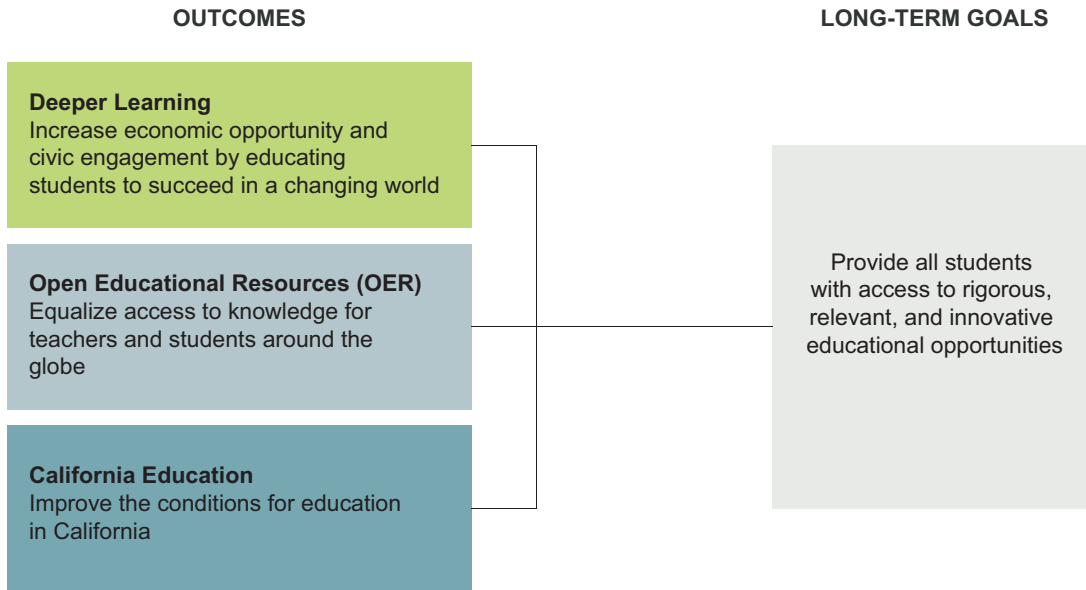
- **Deeper Learning:** Increase economic opportunity and civic engagement through deeper learning, e.g., improving what students learn, how they learn it, and how they demonstrate their knowledge.

- **Open Educational Resources:** Equalize student and teacher access to high-quality, openly licensed educational materials that offer opportunity for people everywhere to share, use, and reuse knowledge.

- **California Education:** Improve the overall quality of California's education system, especially by closing racial and economic achievement gaps so that all students can learn at the same high levels.

The Education Program pursues these goals by investing in projects and organizations that develop and advocate for innovation in ideas, practices, and tools, as well as those that participate in the public policy debate on these issues.

The deeper learning component reflects increased concern about the ability of U.S. schools to prepare a new generation of students for the economic, technological, environmental, and societal challenges of the future. It is the culmination of months of research and analysis, including more than 100

interviews with top thinkers in the fields of education, business, and public policy. Throughout its investigation, the Education Program found widespread agreement that America's schools must shift course in order to prepare students for the complex world they will inherit. We recognize that educators have long acknowledged the importance of this type of learning. Growing evidence suggests to us that this is an opportune time to make real progress toward these goals.

Hewlett Foundation Education Program

OUTCOMES

LONG-TERM GOALS

Deeper Learning
Increase economic opportunity and civic engagement by educating students to succeed in a changing world

Open Educational Resources (OER)
Equalize access to knowledge for teachers and students around the globe

California Education
Improve the conditions for education in California

Provide all students with access to rigorous, relevant, and innovative educational opportunities

1

COMPONENT: DEEPER LEARNING

GOAL: Increase economic opportunity and civic engagement by educating students to succeed in a changing world.

Students in the United States face a world that is changing at a pace that would have been unimaginable just decades ago. Commerce, politics, and technology are defined in international terms. Competition comes from all corners of the world. Pressing societal issues, from growing income disparities to climate change, threaten the health and prosperity of future generations.

As designed today, U.S. schools inadequately prepare students in core subjects such as reading, math, science, and writing. In an attempt to incorporate wide-ranging state standards into a short academic year, they are forced to sacrifice depth of learning for breadth. They can pay only scant attention to cultivating skills within each core subject area that students will need to thrive as adults, such as complex problem solving and effective communication. Moreover, our education system disproportionately fails to prepare low-income students on all fronts. It's clear the nation's K-12 and higher education systems require a major overhaul if they are to meet the challenges ahead.

The Hewlett Foundation envisions schools and community colleges designed to give the next generation of students—especially those from high-poverty communities—the knowledge and skills required to succeed in this new environment. These schools would harness the deeper learning skills of critical thinking and problem solving, effective communication,

DEEPER LEARNING
The abilities students will need to thrive

Abilities	Examples *(understanding ecosystems)*
Master core academic content	Learn about water, oxygen and nitrogen cycles, food webs, and similar topics.
Think critically and solve complex problems	Re-create a natural ecosystem in a terrarium. Collect data to understand the interdependence of physical and biological elements.
Work collaboratively	Work in a team to design, build, and monitor the terrarium.
Communicate effectively	Present data and conclusions in writing and to an audience.
Learn how to learn independently	Use teacher feedback, test results, and reflection to guide future learning and improve study habits.

collaboration, and learning how to learn, to help students develop a strong mastery of core academic subjects.

Students need this preparation to succeed in college, find satisfying work in a fiercely competitive global job market, and tackle increasingly complex environmental and social problems. Although this approach to education is still evolving rapidly, it is encouraging to note that scholars nationwide have found preliminary evidence of positive links between deeper learning, economic success, and civic engagement.

The Education Program's goals are ambitious. The first goal is that by 2017, 15 percent of the students nationwide will be assessed on a basis that emphasizes rigorous deeper learning. By 2025, as deeper learning becomes institutionalized through policies and practices nationwide, our goal is for 80 percent of U.S. students to be able to benefit from this form of instruction.

In practice, this means that these students would emerge from their schooling with the ability to:

- *Master core academic content:* Students will develop a baseline set of disciplinary knowledge. This includes facts and theories in a variety of domains—and the language and skills needed to acquire and understand this content.

- *Think critically and solve complex problems:* Students will know how and when to apply core knowledge by employing statistical reasoning and scientific inquiry to formulate accurate hypotheses, offer coherent explanations, and make well-reasoned arguments, along with other skills. It also includes creativity in analyzing and solving problems.

- *Work collaboratively:* Students will cooperate to identify or create solutions to societal, vocational, and personal challenges. This includes the ability to organize people, knowledge, and resources toward a goal, and to understand and accept multiple points of view.

- *Communicate effectively:* Students will be able to understand and transfer knowledge, meaning, and intention. This involves the ability to express important concepts, present data and conclusions in writing and to an audience, and listen attentively.

- *Learn how to learn:* Students will know how to monitor and direct their own work and learning.

Focus

Although the goal is to ensure deeper learning for every student, the program's work over the next seven years will focus on a narrower age and geographic range, and possibly specific subject areas. Initially, it is expected to concentrate on:

- *Low-income students:* The program plans to make investments in supporting demonstration projects, policy, and practice in high-poverty schools and community colleges with persistent achievement gaps.

- *Middle school through community college:* The program will likely emphasize work with students in middle school and higher, a key set of years when students develop the critical attitudes and habits that follow them throughout their lives. Explicitly investing in community colleges also will help ensure that deeper learning is closely tied to college and career readiness and success.

- *Key states:* Through support for organizations focused on policy work and demonstration projects in key states, the program expects to build up to nationwide impact. Further research and analysis will point to states where the policy environment is conducive to innovation and collaboration with government and where there is high potential for successful investments that benefit many students.

- *Common Core subjects:* A balanced educational approach requires improvement in all fields of knowledge, but the program is considering English/language arts and math, which are included in the Common Core State Standards, and science, which is under development. The Common Core State Standards are a state-led effort to provide a clear and consistent framework to prepare students for college and the workforce.

Scope

The program will invest in organizations that:

- Promote *policies or strategies* that create incentives for schools to focus on deeper learning—particularly improved assessments used to measure a student's academic growth.

- Build educational systems' *capacity and practice*, both online and in the classroom, to reach large numbers of students with deeper learning.

- Support *proof points*, including model K-12 schools and community colleges, and fund research that documents how deeper learning is an attainable and necessary goal for all students.

As the program's strategy evolves, it also will remain *flexible* to unanticipated funding opportunities that might help achieve its goals more quickly or *effectively*. This could include the development of new, innovative models to increase access for all students and to improve deeper learning.

SUPPORTIVE POLICY

These investments support organizations that promote state and federal policies that will steer the education system toward broad implementation of deeper learning across the United States by 2017. The primary objectives

are to incorporate high-quality, affordable assessments of deeper learning into K-12 accountability systems nationwide; prompt the re-direction of federal, state, and local funding and support to focus on deeper learning at both the K-12 and community college levels; and remove policy barriers that could inhibit the spread and impact of deeper learning.

For the K-12 system, the program sees the new Common Core Standards as an important driver for states and schools to revisit assessment, curriculum, and instruction. Already adopted by thirty-six states and the District of Columbia, these K-12 system standards are: anchored in college and career readiness, internationally benchmarked, evidence-based, and focused on a reduced number of learning outcomes to allow development of deeper learning competencies. For higher education, the program will take advantage of the growing interest by state leaders to improve their college completion rate, which in turn will generate institutional demands and pressures for new approaches.

Policies affecting assessments, incentives, and system capacity

Too many state-standardized tests, with their reliance on multiple-choice questions, currently measure a limited range of knowledge and skills, signaling to teachers that more complicated tasks like communications and problem solving aren't valued or essential. In contrast, greater use of high quality performance-based assessments would help support rigorous deeper learning in classrooms.

The program will provide support as follows:

- In its first phase, the program plans to support organizations working at the K-12 level to ensure that valid, reliable, and affordable comprehensive, summative assessments of deeper learning skills are supported by state and federal policy. It also will work to ensure that these assessments are aligned with formative assessments that are integrated into the curriculum, which allow teachers to evaluate student learning in ways that improve their teaching practice.

- In addition to supporting efforts to incorporate these assessments into state accountability systems, the program will support organizations working on alignment of state policies for curriculum adoption and professional development to enhance the best practices of deeper learning. It also will support grantees working to address policy barriers to innovation that may block access to high-quality Open Educational Resources content.

Ultimately, as momentum on deeper learning reforms accelerates in some key states, the program anticipates that the reauthorization of the Elementary and Secondary Education Act (ESEA), in 2011 or 2012 and again in 2017 or 2018, will offer unprecedented opportunities for policymakers to revise the federal accountability and incentive system to measure and support deeper learning nationwide.

While its efforts to encourage supportive deeper learning policies will be weighted toward the K-12 system, the program also will work strategically on complementary innovations at the community college level. The program's grantees will document and highlight successful accelerated degree and developmental education programs and support efforts to align postsecondary expectations with K-12 college-readiness standards—steps that nest with the growing national momentum to improve college completion rates. Research suggests that basic skills education focused on deeper learning principles is more successful at helping students succeed in higher education than the status quo.

PRACTICE

The program's investments in systemwide practice and capacity will support innovation and the creation of assessments, curricula, tools, and teacher-training activities that increase achievement by transforming the classroom experience. These investments will be the key to ensuring that systemwide assessment and accountability policies have a direct impact on instructional practice and student achievement. At the same time, they could help secure support for needed policy reforms by reassuring educators, policymakers, and the public that tools will be available to support an increased focus on rigorous deeper learning.

Developing systemwide and classroom assessments

Ensuring the availability of valid, reliable, and affordable assessments of deeper learning is critical to implementing the program's strategy. This work will focus on K-12 classroom and systemwide assessments, especially (but not exclusively) working to take advantage of the federal government's $350 million Race to the Top assessment grant program.

- For K-12 systemwide, comprehensive tests—or *summative assessments*—the program will focus on grantees who are demonstrating and improving the reliability, validity, and affordability of existing deeper learning assessments and developing new ones that are aligned to the Common Core Standards.

- The program will invest in the creation of classroom tests—or *formative assessments*—that are embedded within curricula and tied to state assessments and aligned to the Common Core Standards.

Providing curricula, tools, and other resources

Developing, distributing, and encouraging the use of effective curricula, tools, and other resources is essential to guarantee that deeper learning can take root in all classrooms. The program's strategy to make these materials and tools available involves three stages that complement its policy investments.

- First, the program will survey the marketplace to determine what products and supports currently exist, provide external validation tools regarding

the quality of product alignment to deeper learning, and identify where gaps exists and how limited private dollars could make the greatest impact.

- Second, we will support the improvement, collection, and distribution of existing deeper learning tools and curricula.

- Third, for the K-12 system, we will invest in the alignment and distribution of innovative deeper learning materials correlated to the Common Core Standards and in improving those that already exist. For the higher education system—which is decentralized and for which no national assessment consortia exist to drive comparable changes— the program will work with existing distribution networks to promote voluntary integration of deeper learning assessments, standards, instructional tools, and professional development. In all of these investments, the program will seek to support open-source technology-enabled tools, online environments, and Open Educational Resources that facilitate deeper learning.

As deeper learning practices and tools are developed, the program also will invest in evaluations of model programs to determine and document their impact on student learning.

Providing professional development, training, and support tools

To achieve its overall goal, the program also must work to ensure that all teachers and school leaders receive the support they will need to teach for deeper learning.

- The program currently expects to focus its investments on in-service professional development models and supports to enable teachers and school leaders to succeed as they pursue deeper learning. Demand for teacher development for deeper learning is likely to increase as assessment and incentive policies for deeper learning are adopted.

- We also will consider support for innovative teacher preparation models.

PROOF POINTS

The program will support model schools, colleges, networks, and impact studies to attract the attention of policymakers and the public, and help make the case for supporting and investing in deeper learning. Not every pilot will be successful and not every hypothesis will find strong support in the evidence. Yet, we believe that learning what doesn't work will also provide critical lessons for the emerging field of deeper learning and will improve the success of the Hewlett Foundation's goals and strategies.

Developing and supporting models

Some schools, districts, and community colleges already are achieving deeper learning quite effectively with disadvantaged students. The program hopes to

multiply the impact of these models by supporting them to organize as a field of deeper-learning practitioners. The field would foster the exchange of best practices, share new tools, engage in careful evaluation and data collection, advocate for a shared reform agenda, and attract national recognition.

The program will provide support for models in three ways:

- *Creating national networks of charter school operators, traditional public schools and districts, and community colleges that successfully deliver deeper learning* in order to strengthen the identity of the field. Support might include sponsoring annual conferences, and the development and use of common deeper learning assessments, technology tools, communications work, and evaluation.

- *Identifying and documenting new flexible funding models* to provide schools with the capacity to implement deeper learning within a constrained fiscal environment.

- *Supporting alternative models* to deliver deeper learning. These models could include innovations such as online games, simulations, virtual worlds, and peer-to-peer and other learning environments.

"Proof point schools" would:

- *Serve* large numbers of low-income students.

- *Identify* a set of deeper-learning skills on which all students are regularly assessed. These skills would be explicitly stated in the colleges' and schools' missions or guiding principles.

- *Use* a pilot common or comparable assessment of deeper learning.

- *Employ* innovative instructional methods, such as project-based learning, student exhibitions, and accelerated remedial courses to help students achieve deeper learning.

- *Outperform* peer/comparison schools on the state standardized tests currently used for accountability. The deeper-learning movement is not intended to water down accountability for basic skills, but rather to maintain and expand accountability to include a more rigorous set of student learning outcomes.
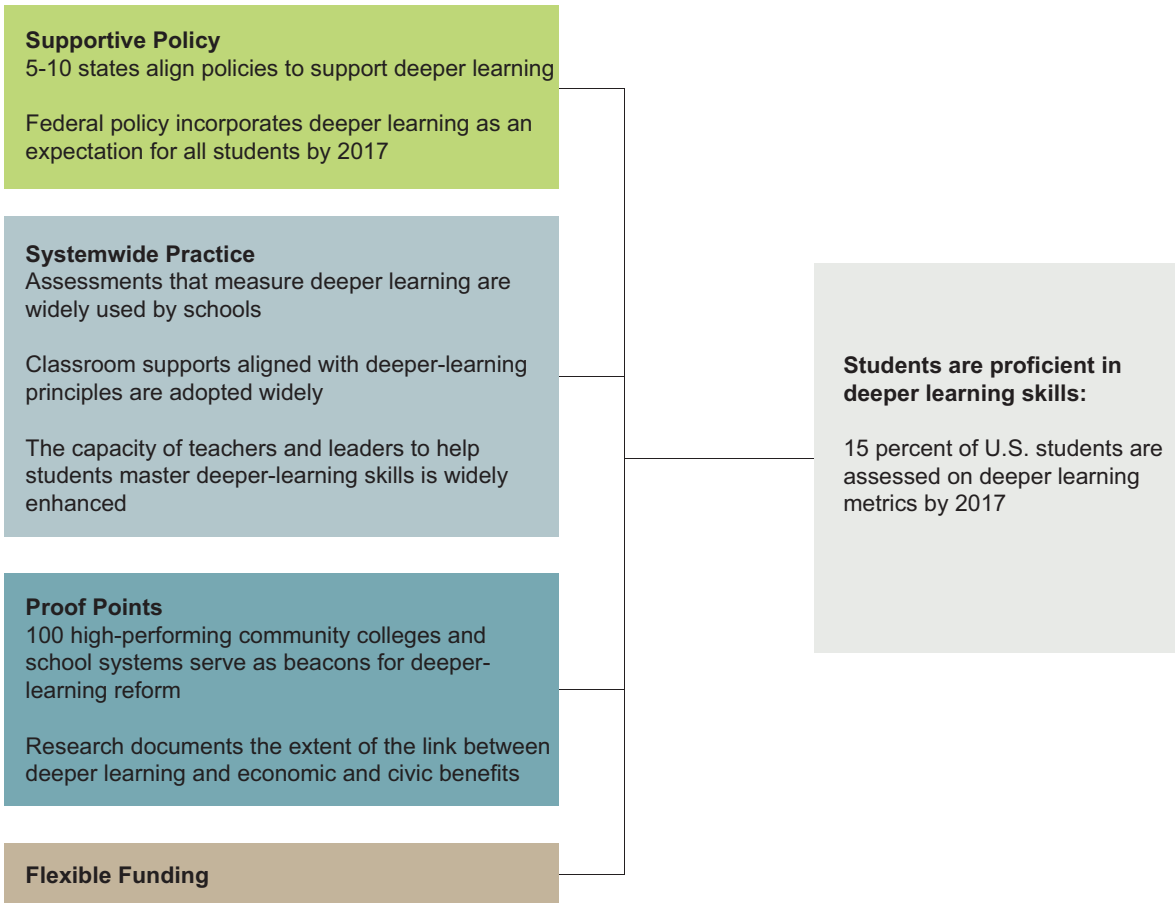
Research and communication

Creating and communicating research results that demonstrate the power of deeper learning—and improve understanding of how to implement it—will be important to cement the policy and practice changes described above. The program will pursue two sets of activities. It will support research to produce high-profile reports that document the importance of deeper learning for economic success and civic engagement. In addition, it will support research and evaluation on effective instructional practices that demonstrably improve student outcomes.

Deeper Learning

Increase economic opportunity and civic engagement by educating students to succeed in a changing world

OUTCOMES

GOAL

Supportive Policy
5-10 states align policies to support deeper learning

Federal policy incorporates deeper learning as an expectation for all students by 2017

Systemwide Practice
Assessments that measure deeper learning are widely used by schools

Classroom supports aligned with deeper-learning principles are adopted widely

The capacity of teachers and leaders to help students master deeper-learning skills is widely enhanced

Proof Points
100 high-performing community colleges and school systems serve as beacons for deeper-learning reform

Research documents the extent of the link between deeper learning and economic and civic benefits

Flexible Funding

Students are proficient in deeper learning skills:

15 percent of U.S. students are assessed on deeper learning metrics by 2017

2

COMPONENT:
OPEN EDUCATIONAL RESOURCES

GOAL: To equalize access to knowledge for teachers and students around the globe through Open Educational Resources.

In 2002, the Hewlett Foundation launched a bold initiative to make high-quality educational materials openly available anywhere in the world. With this goal in mind, the Open Educational Resources (OER) initiative developed a field-building strategy that focused on the creation of core agencies and networks. It took both a strategic and an opportunistic approach to the funding of demonstration and technology projects in this nascent field. To date, the Education Program has invested more than $110 million in OER, which itself has blossomed into a worldwide movement.

As the field matures, the program recognizes the importance of continuing support for building and maintaining a robust OER infrastructure, which is essential to the evolution of the field and eventual integration into mainstream education. Nearly 60 percent of the program's OER investments have supported infrastructure projects to date, with the balance supporting the field through targeted demonstration projects.

The program will continue to support the core infrastructure undergirding OER while pushing the field to become more self-sustaining by bringing in additional funders to diversify its resources. Simultaneously, the program will direct demonstration grants to projects that promote the goals of deeper learning.

GROWING AND STRENGTHENING OER INFRASTRUCTURE

The program remains committed to Open Educational Resources and to supporting the key organizations that contribute to its development as a sustainably funded and continuously growing, adaptive ecosystem. The scope of this work is global and extends from kindergarten through lifelong learning.

The program will continue to invest in organizations that serve as flagship agencies, expanding and strengthening the reach of OER. Ultimately, this

infrastructure will evolve into a network of organizations and institutions that support and promote the creation, use, and impact of OER around the world. It will provide capacity to build OER, develop distribution models, and collect feedback on the impact of OER use on learners.

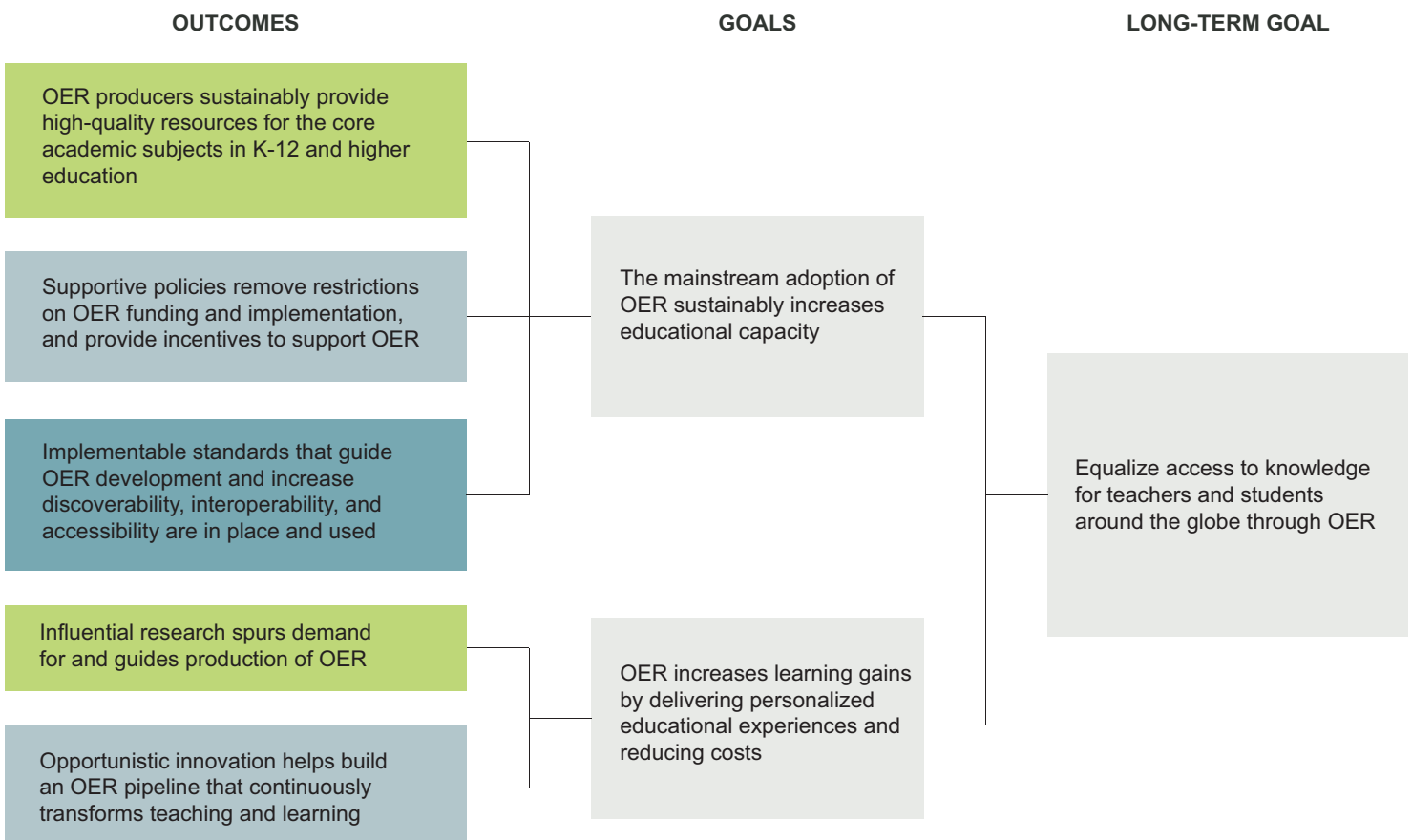The infrastructure portfolio will be guided by the following objectives:

- *Invest in organizations that share the program's long-standing goals of access to education for all in addition to improved teaching and learning.* The program works with grantees to improve education globally by making high-quality academic materials for teaching, learning, and research available to all, mainly on the Internet. These materials are either in the public domain or licensed with Creative Commons licenses.

- *Support the expansion of OER principles and practices through flagship agencies and interconnected networks.* Flagship agencies that provide large-scale capacity to develop, disseminate, and provide research and evaluation support for OER are critical to this infrastructure. They generally have secure funding from multiple sources, identify openness as a core part of their mission, and act as thought leaders in the movement. Also essential are network organizations that spread and amplify OER principles to as many teachers and learners as possible either by building communities of practice or by supporting policy initiatives.

- *Establish and oversee guidelines and tools that promote OER principles, provide coherence, and improve efficiency in the field.* The program supports organizations that encourage OER technology platforms to work together and support intellectual property guidelines. The program also supports the development of technology and tools that remove technological barriers and accelerate innovation in OER. Such development must fill a clear void, show significant evidence of demand and potential adoption, and influence behavior of the education system.

- *Document and interpret the use and impact of OER on teachers, learners, and institutions through research and evaluation.* Support for research and evaluation is absolutely necessary in order to understand the impact of OER on teaching and learning practices. The program supports institutions with strong and respected research capacity that use a mix of research methodologies and are able to publicize influential research.

- *Support policies that promote and support the creation, use, and impact of OER through advocacy and communications.* One of the most important OER activities in the coming years will be to ensure that OER is well represented in the next generation learning platforms currently being built. To help educate entrepreneurs, policymakers, key decision-makers, and the public, advocacy and communications organizations must be able to bring together constituents and develop and deliver messages that impact the policy debate at federal, state, and district levels and to key educational entrepreneurs.

- *Encourage and support innovation in the field by supporting experimental models that break traditional molds and could significantly increase the impact or efficiency of the OER ecosystem.* Although funding for this category is generally small, the program is open to ideas that show potential for developing new ways of creating, distributing, or evaluating OER. Such projects should serve either as a clear demonstration or have the potential to be expanded at low cost.

SHIFTING TO DEEPER LEARNING

Beginning in 2011, funding for all OER demonstration projects will focus on deeper learning. The scope for this portfolio is students from middle school through community college in the United States. The program views OER as a catalyst for removing barriers so that deeper learning can reach scale, building communities of practice to improve teaching and learning, and facilitating continuous improvement for deeper learning.

OER Infrastructure

OUTCOMES

GOALS

LONG-TERM GOAL

OER producers sustainably provide high-quality resources for the core academic subjects in K-12 and higher education

Supportive policies remove restrictions on OER funding and implementation, and provide incentives to support OER

Implementable standards that guide OER development and increase discoverability, interoperability, and accessibility are in place and used

Influential research spurs demand for and guides production of OER

Opportunistic innovation helps build an OER pipeline that continuously transforms teaching and learning

The mainstream adoption of OER sustainably increases educational capacity

OER increases learning gains by delivering personalized educational experiences and reducing costs

Equalize access to knowledge for teachers and students around the globe through OER

3

COMPONENT:
CALIFORNIA EDUCATION

GOAL: Support infrastructure for effective policymaking.

California's education problems are complex. The state's public schools rank near the bottom nationally in test scores and graduation rates. Yet significant education reform has been difficult to achieve in light of the fiscal and governance challenges plaguing the state. Although the program plans to change the way it invests in California in 2011 and beyond, it remains committed to supporting education in the state and to supporting the key organizations that strengthen state education policy.

The ultimate goals for California investments remain unchanged:

- *Improving the overall quality of California's education system* as measured by student test scores, high school graduation rates, college readiness, and community college completion and transfer rates.

- *Closing the persistent achievement gap* (on all measures listed above) that limits opportunities for the state's neediest students.

The program will continue to invest in organizations that provide research and analysis, communication, advocacy, community organizing, and technical assistance designed to improve the conditions for state policymaking that better supports student achievement. It also intends to invest in deeper learning and OER tools, projects, and models in California whenever possible.

To reach its goals, the program is investigating a new grantmaking approach that it is calling the "California Education Policy Infrastructure" portfolio.

CALIFORNIA EDUCATION POLICY INFRASTRUCTURE PORTFOLIO

The new California portfolio will be guided by three objectives:

- *Invest in organizations that share the program's long-standing goals for education improvement.* Although it has tackled education issues in different ways

and with different strategies, the program's ultimate goals have remained consistent. The new California policy portfolio will support organizations whose missions are tightly aligned with these values.
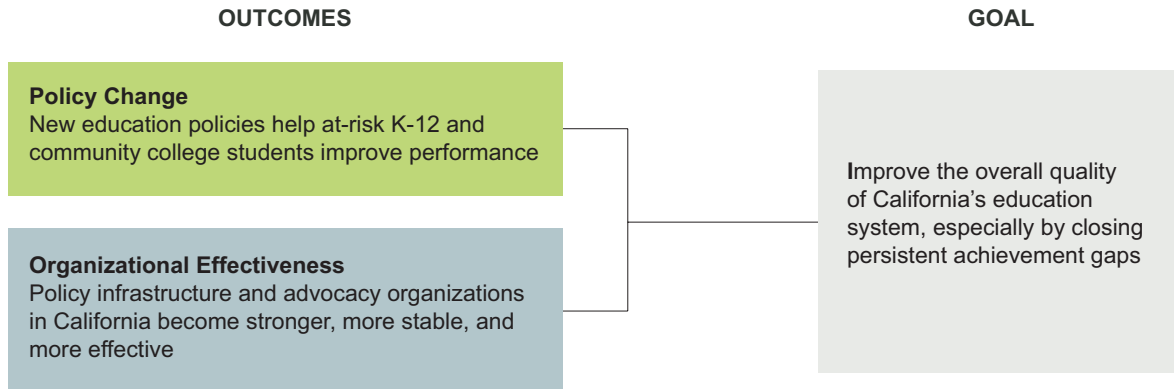
- *Support leadership and maintain capacity.* As it looks to new opportunities to deploy its resources, the program remains committed to maintaining the bench of talented education policy analysts and advocates in California that it has supported and helped to expand in recent years—especially in a period of economic crisis. The new California policy portfolio will help ensure that the most effective organizations remain robust and vital and have the resources they need to continue their success.

- *Prevent "policy slippage" and make further gains.* By keeping core policy organizations strong, the program can help ensure that policy advances won't lose ground and that nimble champions exist to take advantage of new opportunities. Organizations in the new California policy infrastructure portfolio will help key sector leaders continue to defend, identify, and advance solutions to the problems facing the state's education system.

While this portfolio is still being developed, the program is exploring an investment strategy based on:

- *Multiyear grants* for organizations working most effectively toward our goals. Grants will be made for a three-year period, with grant sizes ranging from $300,000 to $750,000 ($100,000 per year to $250,000 per year).

- *A primary focus on more flexible general operating support grants,* rather than project grants. The program will no longer require that grantees focus on the three specific areas of policy reform on which it has focused in the past—education finance, data systems, and college readiness. The program will continue to support organizations that focus on these issues, but will also consider organizations working on other policy issues that have a direct and significant impact on our ultimate outcomes.

- *A competitive application process,* with grants awarded to organizations whose proposals meet the Foundation's grantmaking guidelines, will have a significant impact on achieving identified goals and demonstrate the capacity to follow through.

- *A smaller number of organizations* than have been supported in the past, due to limited resources.

- *Support for organizations working on K-12 and community college policy issues.* Roughly two-thirds of the funding will be allocated to organizations working on K-12 issues and one-third to those working on California community college issues, reflecting the program's historical budget emphasis on these areas.

- *A balanced mix of aggressive advocacy organizations and unbiased research/ analysis* organizations working to improve the conditions for education policymaking.

California Education

OUTCOMES

GOAL

Policy Change
New education policies help at-risk K-12 and community college students improve performance

Organizational Effectiveness
Policy infrastructure and advocacy organizations in California become stronger, more stable, and more effective

Improve the overall quality of California's education system, especially by closing persistent achievement gaps

Western Conservation Strategies

GOAL
To conserve the ecological integrity of the western United States and Canada for the health and well-being of people and wildlife. The Foundation does this by investing in four strategies.

Land
We work to conserve the great unspoiled lands of the West by making grants to organizations that work to protect and connect roadless areas and wildlife habitat, and increase public funding to conserve ecologically important private land. Public lands make up over 85 percent of the West, and management of these vast wildlands is critical to the region's health because fragmented lands do not function the same way as ecosystems. Private lands comprise 15 percent of Western lands, and private landowners are vital to conservation efforts. Our goal is to ensure that public and private lands are managed to support both conservation and sustainable human use. For example, we provided grant funding for the Boreal Forest Initiative which recently succeeded in securing an agreement with Canada's forest products industry covering 170 million acres that will protect millions of acres of forest crucial to woodland caribou survival and ensure the remaining forestlands are harvested sustainably.

Water

The Environment Program makes grants throughout the West to ensure that water resources are used responsibly and sustainably so they can be conserved for future generations while meeting the needs of a growing population. Water is the most sought-after and fought-over resource in the West. As development expands and demand for water grows, streams and rivers suffer. Dams, unprotected riverbanks, and polluted run-off cause damage to once free-flowing waterways, threaten the survival of fish and birds, and undermine human health and recreation. We support organizations that work to increase the flow of water in rivers throughout the West and preserve surrounding riverbanks. One way grantees do this is to remove antiquated and unsafe dams. For example, the Elwha Dam was taken down in 2011, restoring the Elwha River, which originates in Olympic National Park. This river is important for salmon spawning and for Native Americans that subsist on that salmon.

Energy

Western lands account for 5.5 percent of oil and 13 percent of gas production in the United States, with these extractive industries taking a harsh toll on land, water, air, and habitats. Our grantmaking focuses on funding organizations that work to support reducing high-carbon fossil fuel development; making sure that water, land, and air are protected when fuels are extracted, processed, and distributed; and increasing energy efficiency and renewable energy sources. Renewable energy technologies provide hope for cleaner, more sustainable energy sources, developed with human and environmental health in mind. They currently account for 5 percent of U.S. electric energy production, more than doubling in the last decade. Efficiency can also play an important role in reducing energy consumption. By creating energy efficiency programs and by providing incentives for customers to use less energy during peak times, utilities will need to build fewer power plants and run fewer transmission lines through environmentally sensitive places.

*S*ome of our grantmaking related to clean energy is funded through our Energy and Climate strategy. Our western energy strategies and our broader climate and energy strategies are fully integrated. The [Energy and Climate](#) page and [Energy and Climate Strategies](#) page in the appendix as well as on the web contain more information.

Building broad support for western conservation

We realize our goals are shared by many and that the most effective way to make progress toward them is to work with as many stakeholders as possible. Through grantmaking to organizations, we support efforts to engage people and communities outside the traditional environmental movement. Our strategies call for grantmaking to organizations that work with a broad base of people and organizations, from doctors to day laborers, from tribal leaders to hunters and fishers, all with a stake in conserving the West for generations to come.

Energy and Climate Strategies

GOAL
To ensure that energy is produced and used cleanly and efficiently, with limited impacts on human health and the environment, and that global average temperatures increase less than 2°C to avoid the worst effects of climate change.

To achieve this goal, we invest in strategies in five related areas:

Reducing reliance on high-carbon energy

Our grantees' efforts to reduce the development and use of fossil fuels are global, particularly with regard to high-carbon fuels. Their initiatives focus on ensuring that energy policies reduce the extraction and development of high-carbon fuels such as coal and tar sands in order to slow global warming and protect human health and the environment. Reducing the use of coal is essential to tackling climate change. Tar sands, a semisolid form of petroleum extracted from sand and rock, is a particularly inefficient fuel, generating up to a third more of greenhouse gas per barrel of final product than conventional oil does in a life-cycle assessment.

Increasing renewables

Our grantees also pursue policies that encourage the use of clean alternative energy sources such as wind, solar, and geothermal. They encourage alternative energy development in ways that protect clean air and water, habitats, and human health. Finally, they pursue efforts to promote policies that increase the use of renewable energy to help it compete with oil, gas, and coal.

Increasing efficiency

Our grantees help reduce energy consumption by supporting policies that make homes and businesses more energy efficient. They support policies to boost the efficiency of new and existing buildings, as well as to promote clean and efficient industrial processes. They also work to create incentives for utility companies to increase energy efficiency for homes and businesses and to use more energy from renewable sources.

Encouraging clean transportation

Our grantees work primarily in the United States, China, Brazil, and Mexico to increase the use of clean vehicles and clean fuels, and to reduce vehicle use. We fund organizations that pursue policies that raise fuel economy, implement emissions control standards, and clean fuels. We also support organizations that promote the use of clean public transportation and that work to plan and build cities designed for walking and biking, thereby reducing individual car trips. The success of these efforts is especially notable in the United States where the federal government passed the most aggressive standard for fuel economy for new cars in the world: 55 mpg by 2025. This policy will avoid the release of more than 300 million tons of CO_2 by 2030.

Building broad support for expanding clean energy and reducing climate change

We realize that the goals of the Hewlett Foundation Environment Program must reflect varied experiences to be meaningful and achievable. With that in mind, we and our grantees work with a wide range of people and communities, including health professionals, business leaders, national security experts, and faith communities, among others.

Energy and Climate

The new Beijing Bus Rapid Transit system is reducing congestion, pollution, and the emission of greenhouse gases.

GOAL
To ensure that energy is produced and used cleanly and efficiently, with limited impacts on human health and the environment, and that global average temperatures increase less than 2°C to avoid the worst effects of climate change.

There are now more than 7 billion people on earth. All of us need energy for everything from powering our homes and businesses to moving from place to place. Our collective challenge in the coming years is to find ways to meet our energy needs while reducing greenhouse gases and other pollutants that threaten our health and environment.

The Hewlett Foundation's Environment Program is committed to reducing these emissions to avoid the most severe effects of climate change. We pursue our goal with strategies in the following areas:

- **Clean Power:** Increase renewable energy and energy efficiency while reducing fossil fuel development and use for electricity generation.

- **Clean transportation:** Increase fuel efficiency and access to transit, biking and walking options, while constraining the growth of high-carbon fossil fuels for transportation.

- **Building broad support:** Engage diverse members of the public.

Reducing the use of coal is crucial to tackling global warming. Coal is both the world's primary source of electricity and the largest and fastest-growing contributor to greenhouse gas emissions. Forty-five percent of global emissions are from coal. Each year, in the United States alone, over

13,000 premature deaths are attributed to pollution from coal plants. We cannot protect our health and the planet without reducing our dependence on coal.

Making grants to organizations whose work involves reducing dependence on coal and other high-carbon fuels is essential, but not enough to solve our problem. To meet the world's energy needs, Foundation grantees also work to support the production of energy from renewable sources like solar, wind, and geothermal; increase energy efficiency; and adopt and implement clean transportation policies that include fuel economy standards, mass transit, and bike lanes. William and Flora Hewlett made protecting the environment a cornerstone of their philanthropic commitments when they started the Foundation. Along with our Energy and Climate grantees around the world, we continue their work. (Published on the web: 2008-12-02)

INTERNATIONAL WOMEN'S REPRODUCTIVE HEALTH STRATEGY

THE WILLIAM AND FLORA HEWLETT FOUNDATION

April 2014

CONTENTS

A COMMITMENT TO ASSURING THAT FAMILY PLANNING AND REPRODUCTIVE HEALTH (FPRH) services are available for all is one of The William and Flora Hewlett Foundation's most enduring philanthropic commitments. It began with Bill Hewlett's early recognition that rapid population growth threatens the well-being of people across the globe. The Foundation's subsequent investments have contributed to the field for three decades.

Over time, circumstances have changed, and we have learned more about how to achieve our goals. The Foundation is building on this experience by updating the strategy of the Global Development and Population Program's international women's reproductive health sub-component. Improving FPRH in sub-Saharan Africa[1] is central to the Program's overall goals of empowering low-income women and ensuring responsive and accountable government. This broader development perspective, combined with the Foundation's willingness to take risks and long-term commitment to the field, have enabled us to work with capable, creative organizations to tackle some of the world's most intractable FPRH issues. This is especially important where legal, policy, and capacity barriers have prevented the field from progressing.

The Global Development and Population Program will focus our work in reproductive health on three outcomes:

1. To ensure that no woman has an unwanted pregnancy. Our particular focus will be on Francophone West Africa and East Africa, where progress on family planning and reproductive health has been slow or stalled.

2. To ensure that no woman dies from an unsafe abortion.

3. To make family planning and reproductive health an integral part of broader development goals.

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[1] While we refer to sub-Saharan Africa, the Foundation concentrates on East and West Africa.

TO ENSURE THAT NO WOMAN HAS AN UNWANTED PREGNANCY

OUR PARTICULAR FOCUS WILL BE ON FRANCOPHONE WEST AFRICA AND EAST AFRICA, WHERE progress on family planning and reproductive health has been slow or stalled.

Despite recent global attention to family planning, major barriers remain to women obtaining quality FPRH services in sub-Saharan Africa.[2] The effects of these barriers are evident in the region's fertility rates—Francophone West Africa has consistently posted the highest fertility rates in sub-Saharan Africa, where overall fertility rates are already much higher than in the rest of the developing world. In other countries, such as Ghana and Kenya, earlier success at reducing fertility rates has stalled. In response, the Program will make grants in support of policy reform campaigns to increase contraceptive use in these geographies, with the goal of enabling and empowering women to avoid unwanted pregnancies. As a first step to achieve rapid declines in childbearing, women must be able to access quality reproductive health services.

The reasons for focusing on Francophone West Africa are straightforward and compelling: it has the highest rate of unmet need for family planning services, the highest total fertility rate, the highest desired fertility, and the highest population growth rate in the world (World Bank 2012, USAID 2012). In addition, many women in the area lack choices regarding their fertility and reproductive rights. The FPRH field needs to significantly increase its commitment in the region.

FIGURE 1 Total fertility rates in developing countries.

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[2] For the purposes of this document, we define "quality" broadly, as the kind of FPRH service delivery needed to ensure that women can act on their desires for family planning. This includes providing access to a broad range of both short- and long-term contraceptive methods, eliminating social stigmas connected to seeking care, and having the opportunity to provide informed consent for all care choices. We believe that ensuring quality of care will support women's rights, increase contraceptive use, broaden access to services, and reduce discontinuation rates.

The Program will also seek to ensure that no woman has an unwanted pregnancy in other countries in sub-Saharan Africa where progress has stalled. In these countries, wide disparities in access to and quality of basic FPRH services prevent further success. Two groups of women stand out in this regard: very poor rural women and young women (including young married women). While working to help women in these groups in particular, the Program nevertheless will maintain flexibility to support other promising ways to advance FPRH in these countries.

The Program will pursue the following sub-outcomes to achieve its goal of ensuring that no woman has an unwanted pregnancy.

a) Test new tools to improve family planning service delivery.

The Foundation will support new approaches to help the FPRH field advance its goals. To start, we have identified two approaches that have shown promise across development topics and could improve practices in the FPRH field—behavioral economics and design thinking.

Behavioral economics has much to offer the field of FPRH. As we know, sometimes people make decisions that run counter to their own interests, in spite of having adequate information and the capacity to make rational decisions. Research in behavioral economics can help us identify how to overcome these constraints, such as the tendency to ignore longer-term consequences when making decisions in conditions of uncertainty. The Program will support bringing together behavioral economists and FPRH practitioners to design better FPRH interventions—improving the counseling experience to make it more effective, addressing reasons why women discontinue using contraceptives, and identifying solutions to increase contraceptive uptake.

Design thinking (or human-centered design), provides a second new approach to improve the way quality services are delivered to women who need them. Rooted in empathy, design thinking begins with the perspective of users, asking what products or services might work best for them. The Program will support collaboration between design thinking firms and grantees, with the goal of making services more responsive to women's needs, encouraging greater community engagement in FPRH topics, increasing the number of young people that use FPRH services, and more.

b) Promote policies that increase equitable access to quality family planning services.

Women who are young (below the age of 20) or who live in rural areas are being left behind, despite broader advances made in FPRH. Young women generally have greater difficulty obtaining FPRH services than older women, but this gap is especially pronounced in sub-Saharan Africa (Ortayli and Malarcher 2010). And it matters: given the young age structure in many developing

countries, enabling young women to delay the timing of their first birth, and increase the number of months or years between births, can have a major demographic impact (Bongaarts 1994, Bongaarts 2005).

Rural women also struggle to obtain quality services. The United Nations Population Fund (UNFPA) finds that "the poorest, least educated women in sub-Saharan Africa have lost ground" since 2000, despite the field's success at reaching wealthier and better educated women (2010). Precisely because rural women are so hard to reach, funding is often spotty and lacks an appropriate emphasis on quality. Many funders emphasize the total number of services delivered, but because they are expensive to reach, rural women are often overlooked.

The Foundation will likely support grantees that pursue policy changes, such as allowing community health workers to provide injectable contraceptives. In addition to national-level policy campaigns, the Program will explore opportunities to improve sub-national policies.

c) Catalyze collaborations between national governments and public and private donors.

Both through direct relationships and working with non-governmental organizations, the Program will assist countries in coordinating external resources for FPRH, while promoting country ownership of FPRH strategies and goals. The most promising collaboration of this sort is the Ouagadougou Partnership, a group of nine Francophone West African governments, joined by private and public funders (including the Hewlett Foundation). The Foundation will help the Partnership succeed by working with governments and other donors to develop and execute fundable FPRH plans.

To promote country ownership of FPRH, the Program will work with civil society organizations in recipient countries to ensure that funding is spent effectively and build long-term support for quality services. These efforts will be coordinated with in-country efforts through the Ouagadougou Partnership.

d) Hold governments and providers accountable.

While the global transparency and accountability movement has grown substantially, it has placed little emphasis on FPRH. This has been true of our own work in the past, which has made transparency, accountability, and participation a core goal, but separate from women's empowerment. By integrating the two goals of transparency and women's empowerment in our grantmaking, we believe we can we can be even more successful.

To this end, the Program will work to hold governments and service providers accountable by using proven methods for securing transparency and accountability. Funding flows and service quality are often hidden or difficult to ascertain, particularly in sub-Saharan African countries. Transparency will increase the field's ability to mine data for important historical lessons, help advocates

and citizens hold governments accountable for effective service delivery, and increase the field's awareness of the need for quality services.

The Program will also test global and country-level mechanisms to improve accountability for the availability and quality of services. Globally, it will support organizations that use data to improve FPRH outcomes. At the national and sub-national level, the Program will help advocates establish grassroots support for holding governments and providers accountable to quality FPRH services.

e) Build capacity to advocate for better FPRH policies and implementation.

As the locus of decision making has shifted from donor countries to developing countries, strong institutions in sub-Saharan Africa have become the most important voices for FPRH. Thus, domestic resources are increasingly important to delivering quality social services in developing countries, a trend that will accelerate as donor funding stagnates. This makes building nascent capacity in sub-Saharan Africa of greater importance than strengthening the existing advocacy infrastructure in donor countries.

The Foundation will help expand advocacy capacity in sub-Saharan Africa primarily by supporting partnerships with experienced and established organizations. Most FPRH groups in developing countries have little experience just getting to the policy table, much less holding governments accountable. While workshops assist in building capacity, grantees need longer-term partners to help develop and carry out advocacy plans. These partnerships will link larger, savvier organizations with smaller, less experienced local groups to work on issues of joint concern.

The highly uncertain nature of policy work makes it hard to anticipate opportunities and requires grantees to respond quickly to opponents. This uncertainty places a premium on flexibility, which the program will provide through core support for skilled advocates, where permitted by law.

Finally, successful advocacy requires strategic communications. These skills could be much improved among many FPRH advocates in sub-Saharan Africa, who tend to have limited experience in developing strategic communications plans, identifying key audiences, and tailoring their messages to those audiences. There are a range of approaches to helping grantees build those skills, and the Program will work with grantees to select the most appropriate, depending on local conditions and the advice of the Foundation's Communications and Legal departments.

Outcome 2

TO ENSURE THAT NO WOMAN DIES
OF AN UNSAFE ABORTION

OPPOSITION TO SAFE, LEGAL ABORTION REMAINS A MAJOR BARRIER TO WOMEN IN MANY countries. The wide-ranging legal and cultural sanctions against those who attempt to terminate a pregnancy make it continuously challenging to serve women who want and need an abortion. The Hewlett Foundation has a long history of helping meet these women's needs—and avoid unsafe and often deadly abortions. The Foundation's legacy in this area will expand as it pursues the two following sub-outcomes: increasing access to safe abortion services and increasing the long-term availability of legal abortion.

a) Increase access to safe abortion services.

Only 3 percent of abortions in Africa are performed under safe conditions, leading to 1.7 million hospitalizations and 29,000 deaths annually (Guttmacher Institute 2012). This high incidence of unsafe abortion is both a major violation of women's rights and a public health crisis.

Most major donors avoid this issue. Bilateral funding to support safe and legal abortion swings wildly depending on the changing domestic politics and economic conditions of donor countries. This is most clear in the U.S., where every presidential election risks a 180 degree shift in policy, including possible reinstatement of the global gag rule, which forbids foreign organizations that receive U.S. government funding from promoting or performing abortions—even with other funding. But foreign aid for FPRH is also under political attack in Northern Europe, where it must compete with many other priorities in stagnant economies struggling with budget cuts.

The Hewlett Foundation remains stalwart in its support for access to safe abortion. The Global Development and Population Program will work with organizations that train abortion providers to understand the current legal context in the countries where they work, so they can deliver safe, legal abortion services within that context. This entails providing appropriate counseling and a variety of abortion options, including medical abortion. In addition to working with organizations that focus on this approach, when and where appropriate, the Foundation will collaborate with organizations that provide quality abortion services.

The Program will also work with organizations that provide women with the knowledge and support to act on their decisions about reproduction. The Foundation will support organizations that work to reduce the stigma of abortion and the marginalization of women, both of which limit access to

needed services. This includes building relationships with influential individuals, such as traditional leaders, to increase their willingness to provide comprehensive abortion services.

b) Promote a policy environment for making safe abortion services available.

Few sub-Saharan African countries permit abortions for any reason other than preserving the life of the mother. This leaves a wide range of women without access to this basic reproductive right. It also greatly limits the Program's ability to make abortion services safe and available as needed within current legal restrictions.

Fortunately, policy windows are opening in many sub-Saharan African countries. Judicious investments in research and advocacy could lead to abortion reform. The Foundation's grantees have the opportunity to engage policymakers at the international, national, and local levels to ensure that every woman can make and act on an informed choice about abortion services. International advocacy for strong policy guidance—for example, from the World Health Organization—could set a positive starting point for campaigns at the national and local levels, where fair legal frameworks and adequate budgets are required to expand access to safe abortion services.

Outcome 3

TO MAKE FPRH AN INTEGRAL PART OF BROADER DEVELOPMENT GOALS

THE HEWLETT FOUNDATION INTEGRATED ITS FORMERLY INDEPENDENT PROGRAMS IN GLOBAL Development and Population in 2011 because it recognized that family planning and global development would both be served better by an integrated approach. On the one hand, women do not automatically receive the benefits of rapid economic growth. Indeed, sub-Saharan African fertility rates remain high despite economic growth, and many governments have not responded to women's demands for family planning and reproductive health services. On the other hand, broader development goals are ultimately connected to and depend upon women's empowerment and full participation.

The Hewlett Foundation's Global Development and Population Program provides a valuable vehicle for addressing this challenge. By integrating transparency and accountability into its efforts to ensure no woman has an unwanted pregnancy (Section 2), the Program is creating synergy across two fields that have historically missed opportunities to take advantage of their common interests. In particular, the Program is using research and policy investments to integrate FPRH into development goals in sub-Saharan Africa.

a) Expand research capacity to address locally relevant questions.

Building local research capacity is essential to providing an evidence base for ongoing FPRH advocacy and service delivery improvements. The Program will continue to provide core support to sub-Saharan African research institutions so they can expand beyond project work and develop strength in their central missions. The presence of strong research institutions also provides career opportunities for aspiring investigators.

The Program will also build the capacity to collect, manage, and analyze new data, as well as to take advantage of the wealth of available historic data, the use of which has been limited. This includes capacity to effectively communicate research findings to policymakers.

b) Establish policy links between FPRH and topics of growing societal interest.

Finally, the Program will integrate FPRH into development goals by building bridges to related areas of growing societal interest, such as climate change and other topics on the broader development agenda. The inclusion of FPRH

topics in the Millennium Development Goals showed how important it is for the field to ground itself in broader issues. We will support organizations that are working to ensure that the post-2015 development agenda supports strong FPRH goals, as well.

*   *   *

The Hewlett Foundation has long been committed to advancing family planning and reproductive health in developing countries. After decades of learning and evolving, the Global Development and Population Program is pleased to capitalize on renewed momentum in the field. We are committed to contributing innovative solutions to tough problems, while continuing to help propel the field forward.

WOMEN'S ECONOMIC EMPOWERMENT STRATEGY

THE WILLIAM AND FLORA HEWLETT FOUNDATION

MARCH 2015

INTRODUCTION

Ensuring that women have—and can take advantage of—full and fair opportunities to earn a living is fundamental to social and economic development. In addition to the intrinsic importance of economic equality for women, when they thrive, so do their families and societies. Improving women's well-being contributes to a cycle of better health and education outcomes, more stable societies, and more sustainable development. In short, empowering women is essential for them to fulfill their human capability and for their families and societies to realize their full potential.

Despite broad recognition from world leaders of the centrality of women's economic and social rights, their actions lag behind their rhetoric. The economic development paths pursued by many countries systematically disadvantage women. The vast majority of the work women perform is not recognized as economically productive, and women have been excluded from sectors with the best prospects for earning and advancement. In many countries, a woman does not have access to credit and cannot start a business or use her income without her husband's permission. Particularly in low- and middle-income countries, women's role in bearing and raising children limits their participation in the marketplace.

The William and Flora Hewlett Foundation has made grants to advance women's empowerment since its founding, starting with its commitment to reproductive health and rights and extending more recently to enhancing the ability of all citizens to have their voices heard. The Global Development and Population Program seeks to complement our existing portfolio by supporting a focused agenda on women's economic empowerment.

THIES, SENEGAL: Women working at a millet factory use the income they generate to have some financial independence, help with sharing the family expenditures, and not rely on their husbands when spending money on the health and education of their children.

PHOTO BY : *Jonathan Torgovnik,*
Reportage by Getty Images

(Cover Image) **KATAEK, UGANDA: As part of the Aberu Kanyoutu women and girl's group, these women use sewing machines provided by DSW Uganda to make clothes to sell in their community and at local markets.**

PHOTO BY : *Jonathan Torgovnik, Reportage by Getty Images*

GOAL AND OUTCOMES

What do we mean by "women's economic empowerment"? According to the International Center for Research on Women, a woman is economically empowered when she has (1) the ability to succeed and advance economically, and (2) the power to make and act on economic decisions. Other researchers offer different definitions, but all share this focus on a combination of opportunities and agency. Our ultimate goal for women's economic empowerment thus emphasizes ***greater agency, opportunities, and control over resources.***

To advance this ultimate goal, over the next five years we will seek three mutually reinforcing outcomes at both the global and national levels:

OUTCOME 1: **Women's work is included in measures of labor force participation and economic productivity.**

OUTCOME 2: **The gender-specific implications of economic policies are understood and taken into consideration when creating policy.**

OUTCOME 3: **Advocacy organizations are better able to inform and influence policies that affect economic opportunities for women.**

MOMBASA, KENYA: As members of a cooperative group these women bake cakes to sell in their community using a solar oven provided by DSW Kenya.

PHOTO BY : *Jonathan Torgovnik, Reportage by Getty Images*

In implementing this strategy, we will help to build both the evidence base and the capacity of advocacy organizations to use evidence in their strategies to influence economic, social, and development policy changes to consider gender disparities. Our focus will remain in East and West Africa, where we can take advantage of policy opportunities and build on knowledge acquired from other work in these areas.

PROBLEMS TO BE ADDRESSED

Influential labor statistics are neither accurate nor comprehensive in reporting women's work.

Basic information about women's economic activities is scarce, and what information we have is woefully incomplete. We know little about the economic activities of poor women in low- and middle-income countries. We know even less about unpaid care and other household activities that, while not market-based, make an economic contribution.

The problem begins with the definition of work used by national statistical offices and international organizations. Labor statisticians have long defined work in terms of activities associated with formal sector employment, excluding the activities of self-employed workers in small, unregistered enterprises and workers employed in enterprises not regulated by the state. This includes, for instance, people who sell food and other products on the street, those who collect waste or engage in trash recycling, home-based piece workers, and many others.

SURVEYS CAPTURE about **75% of MEN'S ECONOMIC ACTIVITY, BUT NO MORE THAN 30% of WOMEN'S.**

75%

30%

♂   ♀

SOURCE: IMF

NAIROBI, KENYA: One of the members of the Nairobi Young and Old cooperative group in front of her charcoal stand in a local market in Nairobi—just one example of a job not typically captured by surveys.

PHOTO BY : *Jonathan Torgovnik,*
Reportage by Getty Images

SOURCE : *IMF*

SOURCE: UN WOMEN

IN MOST COUNTRIES, WOMEN EARN on **AVERAGE ONLY 60%** to **75%** of **MEN'S WAGES**

60% to **75%** of **MEN'S WAGES**

KATAEK, UGANDA: This woman from the Aberu Kanyoutu women and girl's group is selling vegetables in a local market.

PHOTO BY : *Jonathan Torgovnik, Reportage by Getty Images*

SOURCE : *UN Women*

The limited traditional definition of work may make sense for industrialized nations, but not for the developing world, where a large share of productive economic activity—work in the informal economy—is the dominant form of non-agricultural employment. When informal workers are not counted, the resulting gap in the data particularly disadvantages women, who comprise a disproportionate share of informal economy workers. As a result, while labor market surveys of developing countries capture about 75 percent of men's economic activity, they reflect no more than 30 percent of women's.

Women are concentrated in the informal economy in part because standard employment options are closed to them. Girls generally receive less education than boys and have fewer opportunities in the formal sector. In many cultures, gender norms discourage women from seeking employment outside the home and instead restrict them to child and elder care, cooking, and finding fuel and water for the family (also known as the "care economy"). Employers may see women as less productive and/or higher risk because of the possibility they will become pregnant. Women with small children and no good child care options (or none at all) may find it impossible to combine a formal-sector job with family responsibilities, while opportunities in the informal economy are often more flexible, making it easier for women to combine earning and child care. Whatever the reasons, the concentration of women in the informal economy means that women's productivity has been systematically undercounted, perpetuating the misconception that women are not major economic contributors.

Significant progress has been made to correct this inaccuracy in recent years. Starting in the mid-2000s, Women in Informal Employment: Globalizing and Organizing (WIEGO) and the International Labour Organization (ILO) collaborated to develop standards to measure informal economic activity, and many surveys such as labor force, household, or special informal sector surveys used to measure economic indicators now incorporate the new measures. Recently, the ILO and WIEGO published the second edition of *Women and Men in the Informal Economy: A Statistical Picture*, and both international agencies (like the World Bank) and regional and national authorities are using the data intensively.

ONLY 41 COUNTRIES MEASURE *the* INFORMAL ECONOMY

Argentina	Lesotho	South Africa
Armenia	Liberia	Sri Lanka
Bolivia	Macedonia	Tanzania
Brazil	Madagascar	Thailand
China	Mali	Turkey
Colombia	Mexico	Uganda
Costa Rica	Moldova	Uruguay
Dominican	Namibia	Venezuela
Republic	Nicaragua	Vietnam
Ecuador	Pakistan	West Bank
Egypt	Panama	and Gaza
El Salvador	Paraguay	Zambia
Honduras	Peru	Zimbabwe
India	Philippines	
Indonesia	Serbia	

It's a start, but still limited. Disaggregated data on employment of men and women in the informal economy are currently available for only forty-one countries worldwide, including only ten of the fifty-two countries in sub-Saharan Africa. Expanding data collection to other nations is thus an important objective.

Measuring informal activity is useful, but its importance is limited if it is excluded from the international definition of "work." Here, too, however, progress is being made. At a conference hosted by the ILO in October 2013, the International Conference of Labor Statisticians updated the definition of work to encompass a far broader range of activities, paid and unpaid. The international definition now recognizes work as including both work for pay or profit ("employment," whether in formal or informal enterprises) and unpaid production of goods and services for use in one's own household or by others. This includes cooking, child care, and other domestic tasks. All observers agree that the adoption of this new definition more comprehensively represents the work of both men and women across societies, but the methodological and implementation challenges are significant and efforts to address them are just getting underway.

A final measurement challenge pertains to unpaid work. In addition to measuring the number of people doing such work, we need to assign monetary value to different types of unpaid work and to attribute the overall economic contributions of those who do it. This is important for two reasons. First, without assigning explicit economic value to this work, we cannot integrate unpaid care into overall measures of economic productivity. Second, assigning this value uncovers the implicit subsidy to the overall economy that unpaid family care and related activities provides.

There are many technical challenges here (lack of data, different methodologies that don't allow for comparative studies), particularly where the market for child care is limited, making it difficult to place a value on wages. If there isn't a market for a specific service, then there is no economic or financial benchmark on how that service is valued in the "formal" economy, and it is therefore harder to measure in terms of its economic contribution. International labor statisticians nevertheless say they can develop and reach agreement on guidelines by 2018 if sufficient background work can be completed.

According to an International Labour Organization publication, disaggregated data on employment of men and women in the informal economy are currently available for only forty-one countries worldwide, including only ten of the fifty-two countries in sub-Saharan Africa.

SOURCE : *International Labour Organization*

Economic policies frequently ignore women's work and employ macroeconomic models that ignore gender differences.

Macroeconomic models used to analyze alternative economic pathways generally do not take into account important gender-based differences. Due to differences in opportunities and behavior that start within the household, men and women contribute in different ways to the economy and respond in distinct ways to labor market and other changes. But these differences tend to be ignored in macroeconomic analyses that are the basis for policies for economic growth, employment creation, and poverty reduction.

Part of the reason for a limited view of gender within macroeconomic models is a lack of research on how women, men, family, and community members' perceptions of economic opportunities and constraints play out in how people make life decisions. For example, many countries lack rigorous research on how current or perceived future economic opportunities and/or the ability to control earnings influences women's decisions about when or if to have children, how time is allocated in the household, how intra-household negotiation over resources is affected, and what investment is made in children's education and health.

This combination of incomplete data on work and productivity and limited research on the gender dynamics of economic activity produces a large blind spot when it comes to making policy. As a result, discussions about policies to enhance women's economic well-being tend to be focused on matters like extending microfinance or setting up specialized training programs, rather than part of mainstream debates.

The tendency toward economic policymaking that ignores gender is particularly unfortunate in sub-Saharan Africa, where most nations are aggressively looking for new ways to generate jobs. For example, countries with growing oil, gas, and mining industries want their local economies to benefit from foreign investment in ways that reach beyond royalties and tax revenues; they want to develop local industries that serve growing supply chains. These include trades like trucking, machinery repair, provision of uniforms, and food service. But policies to open up procurement competitions for local firms are not currently designed in a way that fosters opportunities for women. Instead, emphasis is placed on sectors like transportation that require large capital investments, while opportunities that might be more open to women tend to be ignored or given very low priority.

BELO HORIZONTE, BRAZIL: This woman is a waste picker, known as catadores in Brazil, with the cooperative ASMARE.
PHOTO BY : *Demetria Tsoutouras, WIEGO*

**IN SUB-SAHARAN AFRICA
3 out of 4 WOMEN WORK
in the INFORMAL ECONOMY**

SOURCE: UN WOMEN

CAYAR, SENEGAL: This woman is selling fish at her local fish market.
PHOTO BY : *Jonathan Torgovnik,
Reportage by Getty Images*
SOURCE : *UN Women*

This problem is not limited to developments around natural resources. Many African nations are actively identifying other industries to attract, and they are developing programs to improve workers' skills. In so doing, however, they are paying little or no attention to the disparate effects these different economic paths have on men and women, and they are ignoring the role of the informal economy as a source of jobs for a rapidly growing workforce.

Economic policies not directly related to employment also have gender-specific implications that are not being taken into consideration. For example, consumption taxes are an increasingly key strategy for finance development programs in Africa. Yet little attention has been paid to how governments can use tax policy to reduce inequalities in income, or how tax policy may differentially affect men and women, particularly poor women.

These are just a few examples of ways in which policies that are recommended by international and regional organizations or enacted by national governments exclude or disadvantage informal sector workers and women—often depriving them of a fair share of the benefits of the most dynamic and promising parts of the new and emerging African economy.

OUR GRANTMAKING STRATEGY

We believe we can usefully build on growing recognition of the importance of women's economic empowerment by improving data on women's economic activities and supporting research that will inform and influence the development of new policies. We propose to address (1) the lack of information about women's work, particularly in the informal sector; (2) the lack of understanding about the relationship between economic policies and household decision making; and (3) the integration of gender-specific considerations in economic policies. Further, we plan to couple these research efforts with targeted advocacy to help move gender issues from the periphery to the center of economic policy development.

To achieve these goals, we will place priority on four elements in our grantmaking strategy:

- **Support expansion of new ways to measure women's paid and unpaid work accurately and comprehensively.**

- **Promote analyses that examine gender-specific impacts of economic policies.**

- **Inform economic policy recommendations and their application in sub-Saharan Africa.**

- **Pair technical analyses with advocacy.**

NGEW PAYAHO, CHIANG RAI, THAILAND:
As part of an informal workers group affiliated with HomeNet Thailand this woman weaves and colors bags.
PHOTO BY : *Sofia Trevino, WIEGO*

Measuring women's work more accurately and comprehensively.

By developing partnerships with, and making strategic investments in, both public organizations and experts, we can ensure that women's economic activities are better represented in information used by ministries of finance and planning as well as by central banks. Both traditional economic and household surveys and nontraditional forms of data collection can help to improve the base of information about women's economic activity.

Building on existing surveys by the ILO and World Bank, as well as the work of national statistical offices, we will support the development and promotion of definitions and measurement of work that are accurate and comprehensive and do not embed gender bias. We could, for example, support a range of activities to apply the ILO's new, broader definitions of work in labor market, firm, and household surveys. In addition, we would seek opportunities to contribute to the emerging technical consensus about how to measure and value unpaid work. Finally, we envision making a series of investments to expand the available data around laws and regulations that influence women's economic opportunities.

NAIROBI, KENYA: Members of the Nairobi Young and Old cooperative group gather in their small center to make products to sell.

PHOTO BY : *Jonathan Torgovnik*
Reportage by Getty Images.

Promoting rigorous analyses of how economic policies affect women.

Obtaining better data is important, but we also need to ensure that data is used sensibly to help women—particularly poor women. This means we must strengthen the analytic tools (such as economic theory and models, data, indicators, definitions, and statistical surveys) used to make economic policy in ways that improve overall economic and national welfare.

To this end, we anticipate supporting a range of conceptual and empirical work by leading researchers in both Northern institutions and the Global South. We will, in particular, support the development of gender-sensitive macroeconomic models, providing a means to ascertain the gender-specific impact of different policies in ways that traditional models do not. We also expect to support work to extend microeconomic research on household decision making in order to better capture the impact of structural constraints on (and opportunities for) labor market participation.

Influencing global economic norms and definitions and their application in sub-Saharan Africa.

Economic policies that affect women are powerfully influenced by the work of international institutions such as the International Monetary Fund, the World Trade Organization, the World Bank, and the ILO. These organizations establish the frameworks for economic measurement that all countries use. They also set (or strongly influence) the direction of economic policy that most countries pursue.

Some countries are more influenced by international agencies than others. Economic powers like India, China, and Brazil can chart their own economic courses, but smaller countries that depend on foreign direct investment and the backing of international financial institutions—like the nations of sub-Saharan Africa—are heavily constrained by international economic frameworks. These global institutions establish the frameworks for economic development policies; therefore, developing countries that are heavily dependent on international aid, loans, and financial backing are disproportionately influenced by how they define economic development. Affecting how large international agencies integrate gender considerations into their work can generate international practices and standards that can improve the way we define and measure the work that women do (paid and unpaid) and therefore inform the development and economic models to improve the economic status of women.

As a practical matter, given our limited capacity to work in-depth in individual countries, we expect to engage closely with regional institutions and think tanks. In collaboration we will provide, support, and expand on the technical capacity, in-country partners, and advocacy tools to first demand more and better data, then use that data to research the gendered effects of economic and development policies, and ultimately advocate for changes at the country level. We may also have opportunities to support technical and advocacy organizations that themselves work with partners in multiple countries.

TORORO, UGANDA: Members of the Kaku women's group are weaving baskets to sell in local markets.
PHOTO BY : *Jonathan Torgovnik*
Reportage by Getty Images.

Pairing technical analyses with advocacy.

Data-informed technical analysis is not enough to empower women economically. Rather, we need to pair investments in data and research with support for influential organizations that are capable of promoting appropriate policy agendas and monitoring whether these agendas, once adopted, are properly executed. This is challenging work, but we see opportunities to strengthen advocacy across a range of relevant issue areas, including women's rights, reproductive rights, workers' rights, and citizen empowerment.

Key advocates at the international level are those that have credibility with multilateral agencies and can connect to both technical and political levels. In addition to strong partners whose work focuses primarily on gender, we want to identify organizations with a broader mandate to help make the case for integrating gender concerns into general economic policy. Robust data, research, and evidence on the gendered effects of economic policies can also be used in research done by organizations that don't traditionally develop gender analysis.

An advocacy approach at the national level will need to be developed over time, building on and informed by the country-level advocacy work we already support on women's reproductive health. At present, many or most national organizations working for women's empowerment do so with a rights-based approach—a valuable tactic, but one that doesn't hold a lot of sway with decision makers in the economic policy arena. We believe we can support some of these organizations to broaden their efforts by producing or obtaining solid data and research they can use as an effective advocacy tool.

Expanding Choices

Staff from [Marie Stopes Tanzania](#) role-play to practice answering questions about family planning in a mobile clinic.

Photo Credit: Dana Schmidt

Makuya, a primary school teacher in Kitanga village in Tanzania, tends to her farm in the morning before school begins.

Photo Credit: Dana Schmidt

Women's well-being and empowerment are essential for equitable social and economic development. This component of our program supports efforts to expand women's opportunities, building on the Foundation's long-standing commitment to women's reproductive health and rights, and including a complementary strategy to enhance economic opportunities.

(Published on web: 2014-03-17)

U.S. Reproductive Health

The Foundation supports [Planned Parenthood Mar Monte](#), including its Teen Success program, which helps teen mothers complete school and avoid a second teen pregnancy. Photo courtesy of Planned Parenthood Mar Monte

Youth leaders prepare for the [Asian Communities for Reproductive Justice](#) conference. Photo Credit: Anthony Dimaano

Not awkward: 5 tips for talking to anyone about sex and birth control

GET THE CONVERSATION STARTED

A banner on [bedsider.org](#) promotes open discussions about sex and birth control.

Goal: To expand access to abortion, increase the use of contraception, and reduce teen and unplanned pregnancies.

Abortion, unplanned pregnancy, and teen pregnancy rates in the United States are among the highest in the industrialized world. Of 6.3 million pregnancies in the United States each year, almost half are unintended. The burden of poor family planning and a shortage of reproductive health services falls particularly hard on teens and young adults, women with low incomes, and women of color.

The Foundation makes grants to organizations working to promote family planning and reproductive rights in the United States. and to support full access to reproductive health services, abortion services, and effective sexuality education. We place particular emphasis on grants that benefit those with the greatest need.

An estimated 40 million abortions will take place in the developing world in 2012. Most of these procedures will be clandestine and unsafe, taking a terrible toll on women's lives. Reducing the number of unsafe abortions is essential for improving public health. And it's the basic right of every woman to decide whether and when to have a child—without having to put her health or life at risk.

Reducing the Need for Abortion

According to [The National Campaign to Prevent Teen and Unplanned Pregnancy](#), the teen birth rate among U.S. teens was 29 births per 1,000; a 6% decline from 2011 and a 52% decline from 1991.
Photo Credit: The National Campaign to Prevent Teen and Unplanned Pregnancy

In early 2007, the Hewlett Foundation launched a ten-year initiative to diminish the need for abortion by reducing unplanned pregnancies in the United States. The initiative has focused particularly on young adults in their twenties, who have the majority of unplanned pregnancies. The final grants for this initiative will be made in 2014.

 Who are the women who obtain abortions in the United States? Why do they decide to end a pregnancy? What are their social and economic circumstances?

Abortion in the United States YouTube link

This video was created by the Guttmacher Institute, a leading research and policy organization on sexual and reproductive health. Full transcript available.

Birth Control That Really Works 2014/8 YouTube link

This video was developed by the University of California, San Francisco, Bixby Center for Global Reproductive Health to provide information on long-acting reversible contraception options.

(Published on web: 2014-03-17)

Evidence-Informed Policymaking

An interview with a respondent in the [Innovations for Poverty Action](#) Ghana Youth Survey who has his own tailoring business. Photo Credit: Ishita Ahmed

Interviews in Bamako, Mali, for the [Innovations for Poverty Action](#) baseline health survey for the evaluation of "The Role of User Fees and Information in Health Care Decisions - Bamako Health". Photo Credit: Nicolo Tomaselli

Goal: To ensure that development policy is informed by the best available information and evidence.

Governments cannot create effective policies without accurate information. Working chiefly in East and West Africa, we work to build institutions that can collect the data and conduct the research and evaluations that policymakers need for informed decisions. We place particular emphasis on empirical evidence that can reveal policy needs and opportunities and improve how policy is implemented. In addition to data collection, research, and evaluation, this includes grants to ensure that the resulting studies and reports reach the right policymakers in a timely manner and in forms that they can use. (Published on web: 2014-03-17)

TRANSPARENCY, PARTICIPATION, & ACCOUNTABILITY GRANTMAKING STRATEGY

THE WILLIAM AND FLORA HEWLETT FOUNDATION

DECEMBER 2015

TRANSPARENCY, PARTICIPATION, & ACCOUNTABILITY GRANTMAKING STRATEGY

The William and Flora Hewlett Foundation helps people build measurably better lives, concentrating its resources on activities in education, the environment, global development and population, performing arts, and philanthropy, as well as grants to support disadvantaged communities in the San Francisco Bay Area.

The Hewlett Foundation's Global Development and Population Program works along two dimensions, each with broad benefits for individuals and the societies in which they live. The first of these emphasizes the role of women—a straightforward acknowledgment that addressing gender disparities and reproductive health problems plays a central role in combating poverty around the world. The second promotes transparency, participation and accountability in government and civic affairs, and the use of the best available evidence in policymaking.

*On the web: **www.hewlett.org***

(Cover Image) **AYALA, UGANDA:** Women from the self-help group Alita Kole, taking care of their crops that they own together as a group.
PHOTO BY : *Jonathan Torgovnik, Reportage by Getty Images.*

BETTER PUBLIC SERVICES *by* CONNECTING CITIZENS *to their* GOVERNMENTS

In too many places, the quality of health care, education, sanitation, and other government services is poor, especially for the people who need them most. The world has made remarkable progress in reducing extreme poverty, improving health, and educating many more children, yet low- and middle-income countries continue to face problems of limited access to social services, and poor quality. Some of these deficits are due to resource shortages or limited public sector capacity. But the most egregious problems have less to do with the amount of money invested than with weak mechanisms for accountability, beyond the very limited opportunity every few years to vote politicians in and out of power. The result? Money goes missing, teachers and healthcare workers are absent, services do not improve, and neither do health and education outcomes. For example, recent surveys have found that despite high levels of school enrollment, only one out of ten Ugandan children in third grade can read at the most basic second grade level, and fewer than one in five public school teachers show mastery of their own curriculum.

Economies are growing and budgets for social services increasing with them, yet governments all-too-often fail to address the needs of their citizens, especially the poorest ones.

International development efforts abound with a focus on increasing resources and strengthening the capacity of government agencies. Neither of these is a primary task of civil society. A complementary solution that does fall within the sphere of civil society is increasing the ability of citizens to understand what government does and to have a role in holding governments accountable at all levels. This need not always be adversarial. In some cases, citizens can be brought together to work collaboratively with public agencies to identify and address shortcomings in service delivery shortcomings.

Strengthening the ability of citizens to hold governments accountable is a tall order. Citizens typically have few avenues to communicate directly and effectively with government representatives. Government authorities and citizens respond to different incentives and operate on different timelines, and even basic information about the funds available for service delivery and the quality of services is often difficult to obtain and understand. When information is available, citizens and civil society organizations may not know how to use it as the basis for effective engagement with public sector decision makers.

In recent years, in part through the contributions of Hewlett Foundation grantees, some of the building blocks of accountability have been put into place. At the international level, many national governments have come together with civil society organizations to articulate expectations about what information public officials should share with citizens. Increasingly, the norms regarding transparency are being complemented by expectations about citizen participation and engagement. At the regional level, organizations exert pressure on member states to adhere to collectively agreed upon standards and practices. At the national level, formal institutions such as legislatures, auditing bodies, and other official accountability mechanisms are charged to uphold the government's "contract" with its citizens on these issues.

These commitments and oversight systems are necessary but insufficient. They presume that channels exist for affected citizens to act collectively and express informed views effectively. But these channels are often absent or under-developed and few countries have civil society organizations that are working together well enough to complement and counterbalance the state.

We therefore are modifying our transparency and accountability strategy going forward by adding a greater focus on participation, namely by using our grants and influence to increase the motivation and ability of citizens to work together and use information to hold governments accountable for the delivery of quality public services.

Citizens typically have few avenues to communicate directly and effectively with government representatives.

OUR STRATEGY

A. What We've Learned About Advancing Accountability and What's Next.

The Hewlett Foundation and its grantees have played a pivotal role in supporting the formation of the field of transparency and accountability, which has been a central theme of the foundation's work since the Global Development Program first launched. Most of our work, like that of others in the field, has focused on transparency—on getting governments to make information available. And our partners have made impressive gains at both the national and international levels in increasing access to information for citizens. Examples of progress include the Open Government Partnership, as well as the work on open budgets and transparency of information about aid flows and revenues from extractive industries.

Unfortunately, most in the field would agree that the promise of work on transparency has not yet been realized in significant improvements in service delivery.

Some tactical approaches—such as school report cards, social audits, and mobile phone apps to report bribes and broken pipes—have yielded small-scale success, but few have made a difference at a national or larger scale. Like it or not, access to better information has not translated into citizen action, much less true government accountability.

We and others active in the field are therefore placing greater attention on a challenging frontier: finding ways to increase the ability of citizens to engage meaningfully with government. This is reflected in the name of our strategy, which has become "transparency, participation, and accountability," or TPA.

We expect to work in two broad areas, which are represented in Our New Approach.

OUR NEW APPROACH.

Through our Transparency, Participation, and Accountability grantmaking we strive to support organizations that inform and empower citizens to engage with governments to improve public services.

ACTIVITIES

ENABLING ENVIRONMENT

ORGANIZED CITIZENS + RESPONSIVE GOVERNMENT

Create and reinforce norms and standards that enable greater transparency and participation.

Strengthen citizens' ability to speak and act collectively around service delivery challenges.

Build and strengthen channels that provide citizens constructive ways to engage with all levels of government.

Ensure information on resources and service quality is available and can be used *(and in some cases generated)* by citizens.

Learn about how and under what conditions a more favorable enabling environment for transparency and participation leads to effective action to improve service delivery.

Learn about how and under what conditions citizen action can influence government responsiveness.

INTERMEDIATE OUTCOME

Transparency, participation, and accountability approaches increase government responsiveness so that public services better meet the needs of citizens.

ULTIMATE OUTCOME

Citizens receive high-quality public services leading to better outcomes.

First, we will continue to support work on transparency, albeit with a smaller portion of our grants budget. This work remains essential if we are to establish a favorable **enabling environment**. It includes continuing to (1) advance global and regional norms, (2) strengthen mechanisms for nation-to-nation peer pressure, and (3) support action at the national level.

Second, we will increase efforts to foster **better organized and more effective citizen groups**, capable of engendering more responsive governments. We will invest in strengthening the capacity of citizens to press for better public services. This includes supporting promising efforts by international, regional, and national civil society groups to find creative ways for citizens to communicate with public officials. We expect these initiatives to span a range of approaches, from tried-and-true to experimental. Given the importance we place on field-building, we will invest in significant ways in learning from these experiences and sharing new knowledge with the broader community of funders, practitioners and researchers.

B. Areas for Grantmaking.

Our revised TPA strategy deepens, extends, and reorients our past investments without departing from our core path. To provide a clearer picture, we describe five areas for grantmaking under our new approach. These should be understood as rough guidelines more than independent categories, as they often overlap, with many of our current and potential grantees working within several of them simultaneously.

1. **CREATE AND REINFORCE NORMS AND STANDARDS THAT ENABLE GREATER TRANSPARENCY AND PARTICIPATION.**

2. **ENSURE THAT INFORMATION ABOUT RESOURCES AND SERVICE QUALITY IS COLLECTED AND CAN BE USED** *(and in some cases generated)* **BY CITIZENS.**

3. **STRENGTHEN CITIZENS' ABILITY TO SPEAK AND ACT COLLECTIVELY AROUND SERVICE DELIVERY CHALLENGES.**

4. **BUILD AND STRENGTHEN CHANNELS THAT PROVIDE CITIZENS CONSTRUCTIVE WAYS TO ENGAGE WITH ALL LEVELS OF GOVERNMENT.**

5. **ENHANCE THE HEWLETT FOUNDATION'S IMPACT THROUGH ACTIVE COLLABORATION ACROSS PORTFOLIOS.**

1. CREATE AND REINFORCE NORMS AND STANDARDS THAT ENABLE GREATER TRANSPARENCY AND PARTICIPATION.

We remain committed to the promotion of global norms—as well as related efforts at the regional level—that create the conditions for citizen participation by setting expectations about the disclosure of information about government activities, and particularly financial flows (everything from revenue generation to how public money is spent). Such norms have demonstrated their value as a means for citizens to pressure governments to be more open.

Most grants in this category involve consolidating gains already made. However, we expect to explore some new initiatives. Shifts in development and aid over the past decade, together with evidence highlighting the importance of resources beyond aid (including domestic resources), challenge the transparency community to think and act differently. For example, a surprising wave of activist pressure, bolstered by reinvigorated international political will, has opened a window of opportunity to tackle the illicit outflow of money from developing countries. And, together with peer funders, we expect to pursue opportunities to support new global norms on both tax policy and public contracting processes.

We also plan to promote partnership between organizations working at the international level and those at the regional, national, and local levels. This could take a range of forms – for example, providing fellowships for local champions of transparency and accountability to permit them to spend time within international organizations, or supporting international organizations that are establishing national chapters that can connect national and global priorities. We are also interested in supporting regional and national groups that are seeking to monitor the national implementation of global commitments.

As part of our commitment to learning, we seek to deepen our understanding of the interaction among global norms, regional efforts, and national practices. We also hope to learn about the relative effectiveness of different tactics used by civil society to foster constructive government responses.

2. ENSURE THAT INFORMATION ABOUT RESOURCES AND SERVICE QUALITY IS COLLECTED AND CAN BE USED *(and in some cases generated)* BY CITIZENS.

Access to information remains a fundamental enabler of citizen participation. Open and relevant information about public monies, real-time data about people's experiences at the point of service, and information about outcomes can strengthen citizens' efforts to improve where money is spent and the quality of services it pays for. Withholding such information from citizens makes it easier for governments to ignore their demands.

Not all information is equal or equally useful. The quality and content of what government shares thus matters a great deal. To advance participation and accountability, information must be what users need and must come in a form they can digest and act on—concerns that will inform our future grants.

While we are interested in understanding how a range of types of information across multiple sectors can be made more accessible and relevant to citizens, we expect to build on two existing areas of strength. The first is around public finance, where we can extend and enhance our past support to transparency in the areas of extractive industries revenues, aid flows, and government budgeting and expenditure. The second is in the area of education outcomes, a legacy of the Quality Education in Developing Countries Initiative. To the extent resources permit, we expect to continue to support citizen-led, household-based assessments of learning as a means of exploring the connections between citizen-generated information and impact at policy and service delivery levels.

Through this work, we also expect to make important contributions to knowledge in the TPA field. We expect to learn such things as how information generated from citizen-led assessments can be used to catalyze local action among parents, teachers, local officials, and other community leaders; which ways of presenting information are most likely to encourage citizen action; or what to couple with assessment information to increase the likelihood that action is taken.

SAHRE BOCAR, SENEGAL: With support from the Quality Education in Developing Countries Initiative, Tostan's Community Empowerment Program organized and educated women's groups about their families' rights to quality health and education services and freedom from all forms of violence. With more information about their rights, women in the community organized to express their priorities and began to plan solutions with Tostan's support.

PHOTO BY : *Jonathan Torgovnik*
Reportage by Getty Images.

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3. STRENGTHEN CITIZENS' ABILITY TO SPEAK AND ACT COLLECTIVELY AROUND SERVICE DELIVERY CHALLENGES.

Information may be necessary, but if experience teaches anything, it is that information alone is not enough. One of the field's core challenges is figuring out how to motivate and enable citizens to work together to demand public sector responsiveness around service delivery challenges.

In our future grantmaking, we will emphasize support to organizations strengthening their ability to define and implement strategies that permit citizens to work together – to pressure government to fulfill stated commitments around service delivery, and/or to constructively engage in joint problem-solving. Our objective is to empower, connect, and mobilize individuals and citizen groups to engage with policymakers and service providers around specific improvements to public services.

While we are unable to provide support directly to small, local citizen groups, we will look for opportunities to enable the work of regional and national organizations/coalitions that have strong connections to and legitimacy among local groups. We will pay special attention to ensuring that partnerships we foster between smaller and larger organizations are open and productive and based on mutual respect, trust, and learning.

There is a significant learning agenda for this work. We want to understand how best to support subnational groups, such as teachers' and parents' associations, youth groups, women's organizations, and school management committees; how to avoid having such groups captured by elites; and how these groups are (or are not) engaging in useful ways with national-level civil society organizations.

4. BUILD AND STRENGTHEN CHANNELS THAT PROVIDE CITIZENS CONSTRUCTIVE WAYS TO ENGAGE WITH ALL LEVELS OF GOVERNMENT.

Putting useful information in the hands of engaged citizens still may not be enough for government accountability—not if the channels for citizens to engage government representatives are weak or limited. Officials may have limited capacity, resources, and incentives to engage with citizens; specific mechanisms for citizens to seek redress or make suggestions may not exist or may exist in name only; and appropriate enforcement mechanisms may be absent, leaving officials free to ignore citizen requests or demands.

Citizens cannot use their voice to contribute to improved service delivery unless they have open, consultative, and responsive channels to communicate with government.

Feedback—data that sheds light on government performance in service delivery, or on citizens' perceptions of the quality of services—must be assembled, shared, and collectively interpreted. Public sector institutions must be involved, especially those with the power to translate feedback into actual changes to improve the governance and quality of essential services.

We will support work to identify, construct, and learn how to activate and use conduits for constructive interaction and feedback between citizens and public sector institutions. This may mean supporting the creation of new platforms in addition to strengthening existing ones. Some organizations we work with will press to strengthen formal institutions, such as those responsible for requests for information or for overseeing audits. Other grantees may pursue more informal routes to constructive citizen-government engagement.

Here we want to learn how and under what conditions citizen groups and social movements can influence government responsiveness. We are also seeking to learn how to increase the effectiveness of initiatives that use information as an entry point to citizen participation (for example, must diagnosis of a deficiency in service delivery be paired with a solution to the problem). Other questions include: Which citizen-government interfaces are most effective, and why? Do gender barriers affect citizen participation, and, if so, how can they be overcome? Finally, given the complex nature of politics, how do we know when an effort to improve accountability is worth continuing and when it is so unlikely to gain traction that we should abandon it?

ACCRA, GHANA: Women in Informal Employment: Globalizing and Organizing (WIEGO) is a global action, research policy network comprised of more than 30 membership-based organizations. WIEGO seeks to increase the voice of the working poor by getting these membership organizations a seat at the policy table while also conducting policy-relevant research and improving official statistics to make visible the work of informal workers. Pictured here is the Informal Workers Makola Market Association in one of its meetings, led by Juliana Brown Afari.

PHOTO BY : *Jonathan Torgovnik
Reportage by Getty Images.*

5. ENHANCE THE HEWLETT FOUNDATION'S IMPACT THROUGH ACTIVE COLLABORATION ACROSS PORTFOLIOS.

Transparency, Participation and Accountability is one of two subcomponents in the "Amplifying Voices" component of the Global Development and Population Program. The second subcomponent is Evidence-Informed Policymaking (EIP). The two subcomponents have related but distinct roles.

In simple terms, TPA grantmaking focuses primarily on ensuring that citizens have the information, capacity, and channels needed to hold their government accountable for improved social service delivery. EIP grantmaking, in contrast, is focused primarily on ensuring that government officials have the information, ability, and incentives necessary to make good decisions on the policies and programs best able to serve citizen needs. As the Hewlett Foundation is not well-positioned to work directly with either citizens or government officials in the developing world, both TPA and EIP aim to strengthen and improve the environment in which these actors operate.

There is considerable interaction and complementarity between TPA and EIP, including some shared grantmaking. We will continually look for ways to protect and ensure this complementarity, both in our global work and regionally in East and West Africa.

RISKS AND MITIGATION

Our work on transparency, participation and accountability faces two broad threats. First, space for civic action is shrinking around the world, and restrictions on civil society organizations are increasing. Some of this political tension results from technological and institutional developments that make information more widely available without appropriate mechanisms to translate that information into government accountability—making the information and activities of those who would use it threatening to incumbent governments. This has contributed to political instability in some countries, including threats of physical harm to those engaged in TPA activities (lawyers, grassroots activists, journalists exposing government wrongdoing, etc.), that jeopardizes all efforts to increase transparency, participation, and accountability.

This is a serious matter that we will attend to closely, consulting with partners and keeping an eye on the implications of this issue for our work. It may be possible to partner with other experienced donors, such as the Ford Foundation and the Open Society Foundations, to protect those currently engaged in TPA efforts and to encourage more open space for civil society action. We may also test alternative channels or mechanisms for citizens to act where civic space remains restricted. We will, finally, strongly encourage the global initiatives we support to consider how this issue affects—or should affect—their membership and governance practices, and urge them to take principled stands in response.

The second challenge comes from uncertainty about whether and to what extent lessons garnered from one setting at one time can be used to inform decisions in another setting at another time—i.e., the question of external validity. This is a pervasive question in social science, impossible to answer ex ante, the answer to which will determine whether our investments produce only local improvements or yield broader benefits. It is a considerable challenge for a field-building enterprise.

With this in mind, we want to ensure that any research is useful for the setting in which it is conducted—i.e., that it improves the particular program or organizational approach in question and so provides benefits for local communities. We hope that it yields lessons that are useful for other settings, but we recognize that this will not always be the case. By insisting that any research be rigorous, we should be able to identify the core mechanisms that drive certain outcomes, isolating them from other contextual or circumstantial factors. This, in turn, should enable us to ascertain what merits replication, from which we and others can figure out how to ask the right questions and dig deeper to learn what really works.

PERFORMING ARTS PROGRAM

STRATEGIC FRAMEWORK
2012–2017

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THE HEWLETT FOUNDATION'S PERFORMING ARTS PROGRAM ENVISIONS A THRIVING arts ecosystem that benefits individuals and communities across the San Francisco Bay Area. In the face of demographic and technological change, the Program seeks to encourage continuity and audience engagement, ensure access to arts education, and bolster critical infrastructure. In the following chapters, this plan lays out the Program's priorities for renewing its long-term commitment to the performing arts.

1. WHY DOES HEWLETT INVEST IN THE PERFORMING ARTS?

The performing arts offer a unique human experience that bridges cultural and generational lines. Philanthropy plays an important role in supporting the performing arts; in the Bay Area, the Hewlett Foundation is especially crucial because of its philosophy, its large size, and its approach to providing multi-year general operating support.

2. WHAT IS THE PROGRAM'S GOAL?

The Program's goal is to **ensure continuity and innovation in the performing arts through the creation, performance, and appreciation of exceptional works that enrich the lives of individuals and benefit communities throughout the Bay Area.** The Program will pursue this goal in three main ways: continuity through public engagement, multidisciplinary arts education, and strong field-wide infrastructure.

3. HOW WILL SUCCESS BE MEASURED?

The Program will track its progress against specific targets for a detailed set of metrics corresponding to the activities and components described in the logic model. It will also track the overall state of the arts environment against reference points to validate its understanding of audience interest and use expected return (ER) estimates to assess grantee effectiveness.

4. HOW WILL THE PLAN BE IMPLEMENTED?

The Program's operational plan remains consistent with its recent history and goals. A budget has been developed that assumes no major funding changes in the future, while retaining enough flexibility to accommodate grantee attrition. The Program is launching additional research, and a monitoring and evaluation plan will help structure the way progress is tracked and outcomes are assessed.

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WHY DOES HEWLETT INVEST IN THE PERFORMING ARTS?

THE PERFORMING ARTS OFFER A UNIQUE HUMAN EXPERIENCE THAT BRIDGES cultural and generational lines. Philanthropy plays an important role in supporting the performing arts; in the Bay Area, the Hewlett Foundation is especially crucial because of its philosophy, its large size, and its approach to providing multi-year general operating support.

RATIONALE: THE VALUE OF THE PERFORMING ARTS

Over the millennia, artists, philosophers, and researchers have made countless attempts to explain the value of the arts. The fact that this question remains unresolved is a testament to the highly personal nature of engagement with the arts. At the same time, it is a clue to what makes the arts so uniquely valuable. Each arts participant, from the creator to the performer to the audience member, interprets the experience through an individual lens. Yet these experiences are shared with others, often communally, as when an audience gathers to attend a performance.

This interplay between the highly personal and shared experience makes the performing arts a powerful vehicle for individual expression and understanding and for community establishment and cohesion. The performing arts enrich our lives, giving each of us deeper insight into the human condition and creating avenues for personal expression. They also strengthen communities by bringing people together and offering opportunities for individuals to engage one another on intellectual, emotional, and spiritual levels. Shared artistic experiences can be powerful unifying forces, affirming deep bonds across cultural, ethnic, and generational lines.

That the performing arts generate several important benefits is not only intuitive, but also supported by research. Experts divide the benefits into two categories: *intrinsic* and *instrumental*. Intrinsic benefits to individuals include profound emotional experience, cognitive growth, empathy, and social bonding. Instrumental benefits to communities include economic activity, community development, and cross-cultural understanding (McCarthy et al., 2004). These benefits enrich people's lives and encourage stronger, more harmonious communities.

Field research to define and measure the benefits of experiencing the performing arts has yielded two significant results. First, the benefits—both intrinsic and instrumental—experienced by an audience member or participant can be measured, and second, producers and presenters can affect the amount and type of benefit created (Brown and Novak, 2007). Therefore, a strategic funder can maximize the benefits to individuals and communities by selecting whom to fund.

The Hewlett Foundation invests in the performing arts to do just that. The Performing Arts Program aims to encourage the people of the Bay Area to experience the arts and to maximize the benefit they derive from their experiences.

THE ARTS ENVIRONMENT: A FIELD IN TRANSITION

Audiences, artists, and institutions evolve over time, reflecting changes in society at large. Two major factors, changing demographics and changes in the ways people experience the arts, are accelerating that evolution.

The San Francisco Bay Area is in the midst of a profound demographic shift. As shown in Figure 1, thirty years ago only 30 percent of Bay Area residents were people of color, defined here to include ethnically Hispanic whites and members of any other race. In 2000, that percentage was 49 percent, and twenty years from now, it is projected to be 65 percent. At the same time, the region's total population continues to grow. There are more people over the age of 65 and under the age of 18 than ever before in our history. There is also a growing income disparity between the wealthiest and poorest in our communities (U.S. Census Bureau, 2011 and State of California, Department of Finance, 2007a and 2007b).

These demographic shifts are among the most significant drivers of change in arts participation. As the face of the Bay Area changes along racial, ethnic, generational, and economic dimensions, so do the experiences, interests, tastes, preferences, ticket-buying patterns, and cultural contexts of its artists and audiences. For example, a recent study of arts participation in inland California found that participation rates in participatory dance activities (e.g., social dancing and learning dances from friends or family members) among Hispanic, African American, and Native American communities was more than twice that of whites, while whites had higher participation rates in observational dance activities—e.g., attending performances by dance companies (Brown and Novak, 2008).

FIGURE 1 Bay Area communities of color are growing Eleven-county population share of people of color.

Alongside these demographic changes, young people are missing out on opportunities to experience the arts. Figure 2 shows that, as of 2007, only 11 percent of California schools provided sequential, standards-based instruction in all four Visual and Performing Arts (VAPA) disciplines required by state standards, and some 29 percent offered programs in none (Woodworth et al., 2007).
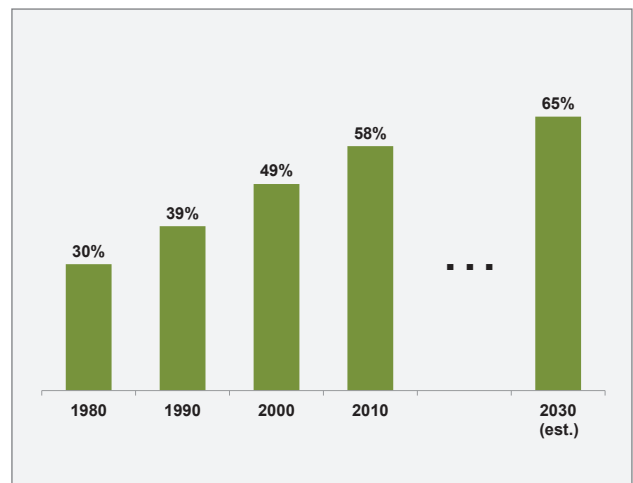
Many forces are changing the way people experience the arts. Technology and new media give individuals the ability to experience the arts whenever and wherever they want. Artists and audiences make use of advanced technology and social media to create, experience, and augment artistic works. Ticket-buying behaviors have shifted from a traditional subscription model to one where single-ticket purchases predominate. These changes put pressure on established entities while opening up new realms of creativity and expression.

Throughout its history, the Program has adapted its approach to changing social and cultural conditions. Today, the Program finds itself well positioned to continue serving the needs of the Bay Area's artists and audiences. As the pace of change accelerates, the Program is prepared to maintain its commitment to the arts and continue to play a leading role in the Bay Area cultural community.

THE FOUNDATION'S ROLE: A TRADITION OF LEADERSHIP

The performing arts field depends on philanthropy to ensure artistic quality and accessibility. Since the Hewlett Foundation began supporting the performing arts, it has played an especially pivotal role for several reasons.

- It maintains a regional focus on the nine counties of the San Francisco Bay Area, with limited additional activity in Santa Cruz and Monterey counties.

- It is one of the largest arts funders in all of California, and it has traditionally provided significant multi-year general operating support for most of its grantees.

- It has persisted in providing a significant portion of its support in unrestricted form, while other funders have increasingly favored project support.

By carrying these central grantmaking principles forward, the Foundation exerts a stabilizing influence on the Bay Area performing arts community. Its consistency in reaching a broad constellation of arts organizations with financial and technical support has been a tremendous asset to the region for decades. Among artists, arts administrators, educators, and peer funders, the Hewlett Foundation is viewed as a prominent leader within the community.

Although the arts environment continues to change, the benefits of arts participation are as important now as ever, and the Foundation's role as a thought leader and institutional linchpin remains crucial. Combining its broad view of the arts environment with its deep understanding of each of its grantees, the Program is able to ensure that individuals and communities have access to outstanding artistic experience and the benefits those experiences create.
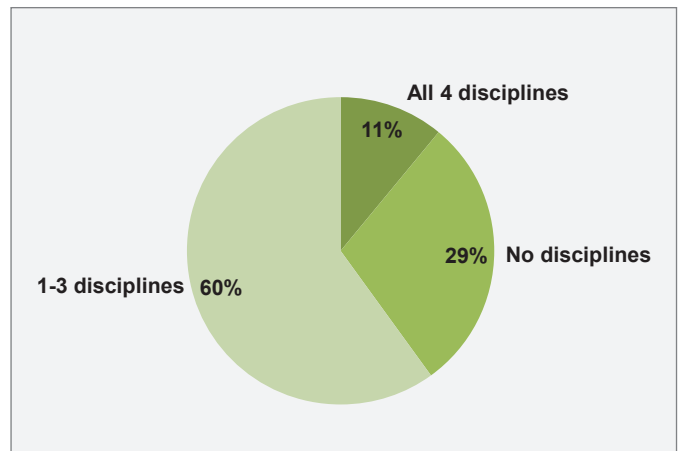

FIGURE 2 Schools struggle to meet arts education standards Percent of California K–12 schools offering instruction in the four Visual and Performing Arts disciplines, 2007.

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WHAT IS THE PROGRAM'S GOAL?

THE PROGRAM'S GOAL IS TO ENSURE CONTINUITY AND INNOVATION IN THE performing arts through the creation, performance, and appreciation of exceptional works that enrich the lives of individuals and benefit communities throughout the Bay Area. The Program will pursue this goal in three main ways: continuity through public engagement, multidisciplinary arts education, and strong field-wide infrastructure.

PROGRAM GOAL

The *continuity* aspect of the Program's goal has two elements: sustaining institutions and continuity of multiple traditions. The Program sustains arts organizations that have become deeply ingrained in the culture and character of the region. Second, sustaining multiple traditions enables cultural transmission from one generation to the next, and allows successive generations of audiences to share strands of common cultural experiences and identify with the ideas and values those experiences express. This common base of experience is adapted and reimagined by each individual, creating a vibrant interplay between the traditions of the past and the dynamics of the modern world.

Innovation, the second element of the Program's goal, ensures continued creative vibrancy in the arts community, attracting new audiences and engaging new participants. Innovative concepts may arise from many sources, and within a hospitable arts environment, they may grow and thrive to create new avenues for artistic expression and creative productivity.

Together, continuity and innovation are the hallmarks of a healthy arts environment. Such an environment is beneficial for *individuals* and the *communities* to which they belong. The Program believes that, rather than encouraging a small number of arts organizations to serve all aspects of all communities in all ways, a portfolio approach to grantmaking will be most effective. This approach allows individual arts organizations to develop and pursue specific missions, while the Program distributes resources broadly to create a meaningful net effect. Arts organizations with broad-based missions and audiences play an equally important role in the Program's portfolio as the organizations with more specialized programs and participants.

The Program's goal that emphasizes *exceptional works* reaffirms its support for arts organizations that are dedicated to quality, according to the conventions of their particular discipline, form, aesthetic, and community. The Program seeks grantees that view high-quality artistic achievement as central to their missions. Indeed, the Program will continue to base its grantmaking activities on five selection criteria: artistic quality, depth of engagement, leadership, financial responsibility, and strategic alignment with the portfolio. Chapter 3 will demonstrate some of the new ways the Program will apply these criteria.

The Program will continue to provide multi-year general operating support. These grants give organizations the financial capital and flexibility they need to pursue their artistic agendas as they see fit. We will also provide project funding, as appropriate, to organizations whose core missions do not align with the Program but that have specific programs or projects that help to maintain the diversity and vibrancy of the arts community.

PROGRAM SCOPE: THE SAN FRANCISCO BAY AREA

The Performing Arts Program has long concentrated on creating opportunities to experience the arts in the San Francisco Bay Area, with a focus on Alameda, Contra Costa, Marin, Napa, San Francisco, San Mateo, Santa Clara, Solano, and Sonoma counties and limited support for Monterey and Santa Cruz counties. Arts organizations are eligible for support if they are based and/or provide direct services in this area.

The Program continues to focus on the performing arts, which it defines to include the following disciplines: music, dance, theater, opera, musical theater, and film/media. Within arts education, the Program focuses on statewide multidisciplinary efforts, including visual arts, that meet curricular standards.

LOGIC MODEL: ENGAGEMENT, ARTS EDUCATION, AND INFRASTRUCTURE

In an effort to simplify the way it organizes and tracks its funding, the Program has created a new logic model, as presented in Figure 4 below. This new model departs from its predecessor in the way it organizes its contents to emphasize the differences between grantees' major activities and to articulate the rationale for the Program's support. The new logic model will help clarify and improve the way the Program tracks its progress toward outcomes across different categories of grantees.

Under the new logic model, the three components pursued by the Program are:

1. **Continuity and Engagement:** Bay Area public engages in a variety of arts experiences.

2. **Arts Education:** California students have equitable access to multidisciplinary arts education opportunities.

3. **Infrastructure:** Organizations and artists have the resources to be effective.

FIGURE 3 Program scope area

HEWLETT FOUNDATION PERFORMING ARTS PROGRAM LOGIC MODEL

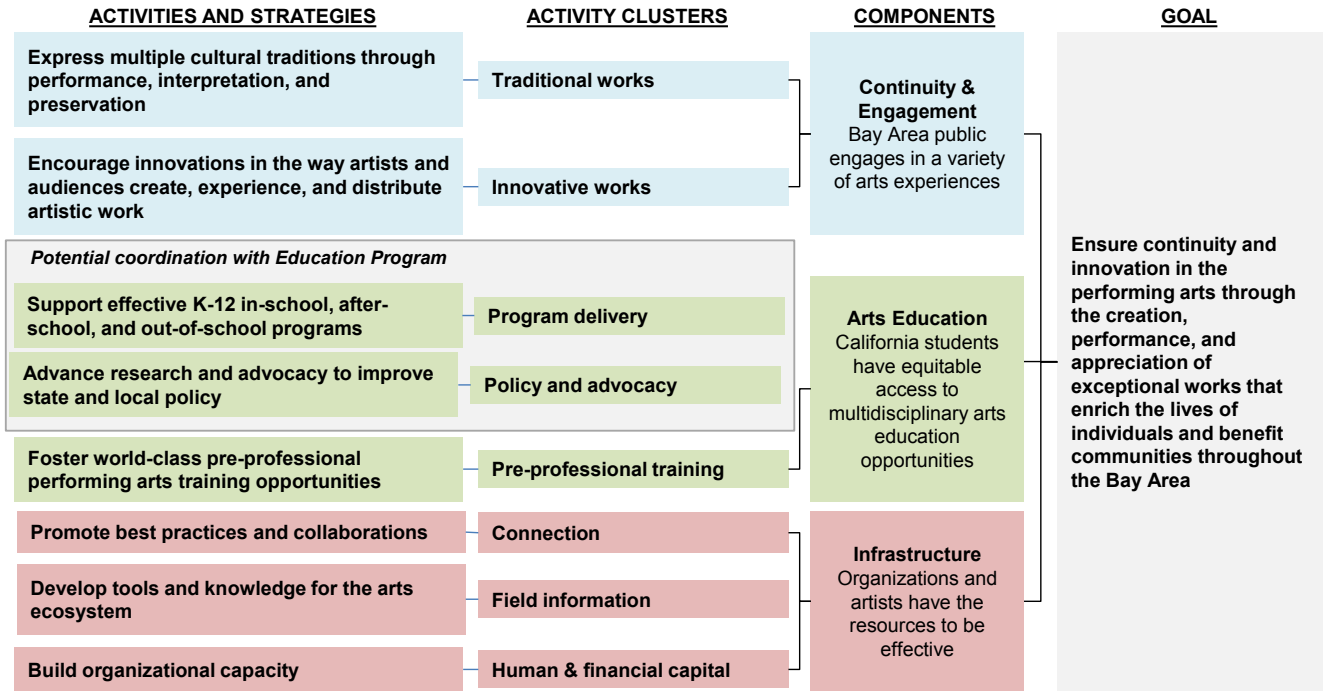| ACTIVITIES AND STRATEGIES	ACTIVITY CLUSTERS	COMPONENTS	GOAL
Express multiple cultural traditions through performance, interpretation, and preservation	Traditional works	**Continuity & Engagement** Bay Area public engages in a variety of arts experiences	**Ensure continuity and innovation in the performing arts through the creation, performance, and appreciation of exceptional works that enrich the lives of individuals and benefit communities throughout the Bay Area**
Encourage innovations in the way artists and audiences create, experience, and distribute artistic work	Innovative works		
Potential coordination with Education Program Support effective K-12 in-school, after-school, and out-of-school programs	Program delivery	**Arts Education** California students have equitable access to multidisciplinary arts education opportunities	
Advance research and advocacy to improve state and local policy	Policy and advocacy		
Foster world-class pre-professional performing arts training opportunities	Pre-professional training		
Promote best practices and collaborations	Connection	**Infrastructure** Organizations and artists have the resources to be effective	
Develop tools and knowledge for the arts ecosystem	Field information		
Build organizational capacity	Human & financial capital		

FIGURE 4 Detailed logic model

Continuity and Engagement

This component encompasses the many grantees that the Program supports primarily because they create opportunities for individuals and communities to participate in the arts. By providing general operating support to these grantees, the Program aims to strengthen engagement across diverse communities in ways that establish continuity and nourish innovation.

Currently, the grantee portfolio under this component incorporates a wide range of artistic disciplines, aesthetics, and traditions. The Program divides this space into two categories: works from multiple traditions that express the region's diversity, and innovative new works and emerging cultural expressions. The Program supports organizations working in multiple cultural traditions, as well as organizations exploring new artistic ground with innovative works and emerging cultural expressions.

This categorization is necessarily imperfect, since many organizations bridge the boundaries that divide different styles and traditions. However, it allows the Program to represent the primary roles played by different grantees. The Program can then use this classification to track and refine the different tools and strategies that will encourage continuity and engagement.

- **Traditional works:** The Bay Area is home to diverse communities with an immeasurable variety of disciplines, aesthetics, and cultural practices from around the world. The Program supports organizations producing, presenting, and preserving the great works from a range of different traditions to ensure access to participation opportunities reflective of the demographic diversity of our region.

Over the past two decades, the Program has been seeking out community-based arts organizations that are dedicated to serving particular target communities, defined by geography, race/ethnicity, or identity. They often encourage multiple modes of participation in the arts—attending, performing, and creating—which is one of the best ways to inspire and maintain high levels of engagement. They also foster cultural transmission and community cohesion, as multiple generations come together to teach, learn, perform, and appreciate performing arts with deep community significance.

- **Innovative works:** As a creative endeavor, the performing arts are continually renewed and invigorated by innovation. This innovation can take many forms, including the development of new cultural expressions, the creation of new works, and the integration of technology and media to expand and redefine the artistic experience and the roles played by artists and audiences.

  The Program supports innovation through several avenues as well. It provides direct support for arts organizations that consistently challenge the field's boundaries and reinvent the artistic experience. These organizations challenge participants with adventurous new visions of what the performing arts are today and could be tomorrow.

  In addition, much of the Program's support for innovation passes through important regranting partners. These regranters enable the Program to reach the grass roots of innovative artistic work by supporting individual artists and very-small-budget arts organizations, through pooled funding programs that target specific geographies or disciplines.

Arts Education

Although the Program has provided significant support for arts education over many years, this is the first time that it features so prominently in the strategic framework. This component creates opportunities for California K-12 students to participate in the arts in many ways, from early engagement programs to professional-level training. There are two main reasons the Program places such a high priority on arts education: first, it develops a lifelong interest in the arts among students, thus building audiences for the future; and second, it serves the Program's interest in encouraging arts participation across different communities.

Empirical research has shown that childhood exposure to arts education strengthens subsequent demand for arts experiences (Zakaras and Lowell, 2008). It also creates experiences that can encourage careers in the arts or allied fields, strengthening the creative and administrative core of the community. Although it may take many years for these effects to be observable in regional attendance levels, the Program is confident that its investments will eventually yield results. Indeed, current research also suggests that declining arts participation among adults today coincides with reductions in public arts education participation during their school years in the 1970s and 1980s (Rabkin and Hedberg, 2011).

The other main benefit of investing in arts education is that, particularly through the public education system, arts education can reach a broadly representative segment of the population at a critical time during the development of a relationship with the arts. The Program aims to reach Californians of all races, ethnicities, incomes, and education levels with the

benefits of the arts, and investing in youth arts education is one of the most effective ways to accomplish this.

The Program's arts education activities fall into three categories: policy and advocacy work, delivery of outstanding arts education both in and out of school, and pre-professional training for exceptional young artists.

- **Program delivery** covers a variety of programs that reach students directly with arts education experiences. The Program aims to support the most effective arts education programs, whether they reach students in school, after school, or out of school. The effectiveness of these programs will be magnified by helping grantees reach more students directly and by encouraging the spread of the most effective methods to other organizations.

- **Policy and advocacy** aims to encourage the adoption of public education policies that promote arts education. Through grassroots efforts and institutions that create and implement these policies, the Program focuses its work primarily at the state and local levels. This activity includes supporting both grantees that develop research to inform policymakers and those that ensure all schools meet existing standards. The Program seeks to increase the relative priority schools and policymakers place on arts education and to promote best practices.

- The Program supports key stakeholder groups to develop and disseminate the message that arts education is an important investment for communities to make in their children. The Program reaches parents, educators, administrators, and policymakers to raise awareness and encourage them to support measures that strengthen arts education programs in schools.

- **Pre-professional training** aims to ensure that world-class training opportunities are available to the exceptionally talented youth who will mature into the next generation of great performing artists. Although aimed at a relatively small segment of potential students, this work is important for ensuring a continuity of artistic traditions and reinforcing the cultural significance of the region. Pre-professional training organizations refresh the pool of talent that makes the Bay Area artistic community vibrant and serve directly as centers of creative activity. These organizations may also train students in a variety of disciplines, forms, and aesthetics, further strengthening the diversity of artistic experiences practiced and appreciated in the Bay Area.

Since 2005, the Performing Arts Program has worked closely with the Foundation's Education Program to fund arts education research, policy, and delivery in California's K-12 public schools. Moving forward, the two programs will build this common ground, including arts education advocacy efforts and model programs that encourage deeper learning skills, as appropriate.

Infrastructure

To have a healthy and vigorous performing arts environment, artists and arts organizations must have the resources they need to grow and thrive. Often, however, arts organizations find themselves undercapitalized relative to their needs and ambitions, and coordination problems make it difficult to build and maintain shared community resources. The Program plays a limited, but nonetheless important, role by investing in critical infrastructure and organizing efforts to encourage cooperative solutions to the performing arts sector's needs.

The Program's efforts in this regard can be broken into three categories: encouraging connections within the community; providing tools for collecting, organizing, and accessing organizational and field-level data; and ensuring proper human and financial capitalization for arts organizations.

- **Connection** covers all of the activities the Program undertakes to encourage increased cooperation and information sharing of best practices across the field. Grantees in this activity cluster are intermediaries that enable arts organizations and artists to cooperate to solve shared problems, address collective needs, and spread best practices throughout the arts community. The Program fosters connections mainly through support for arts service organizations, including arts councils and discipline-specific organizations. The Program also funds initiatives to collaboratively address issues of general interest to the field.

- **Field information** includes the Program's continuing investments in activities that address gaps in tools, standards, and services for collecting, organizing, and accessing field data. This work aims to address the need for reliable, up-to-date information about the state of the performing arts in the Bay Area. Artists, arts administrators, funders, and policymakers can make better, more informed decisions when they have access to information that describes the state of the Bay Area's arts environment as well as its constituent organizations. Key information includes financial data, participant data, and performance activity data, with emphasis on flexible information standards, so that new kinds of data can be collected and tracked in the future. The Program funds activities including research studies, the California Cultural Data Project (CACDP), and other tools that benefit the arts sector.

- **Human and financial capital** aims to address organizational capacity issues across the field. Capitalization is not only an administrative concern for arts organizations; it can have major artistic ramifications as well. Managers and boards of inadequately capitalized organizations tend to take a defensive, risk-averse posture. This leads to stunted artistic ambition and lack of organizational creativity.

    The Program recognizes two major forms of capitalization where underinvestment is frequently found among arts organizations. The first is human and organizational capacity. Operating under highly restrictive budgets, many organizations place such an emphasis on their artistic missions that they face challenges to attract, train, and retain administrative personnel. To address this issue, the Program supports emerging leadership networks and professional development.

Financial capital, the other major form of capitalization, is also very important to the success of an artistic venture. The Program's strategy in this area is to support grantees' overall financial health, primarily through the Program's preference for providing multi-year general operating support. The Program also provides limited support for analyzing capital needs and assessing major capital projects. In late 2011, the Program launched a research project to determine the financial health and capitalization needs of the Bay Area performing arts sector utilizing financial data from the California Cultural Data Project.

3

HOW WILL SUCCESS BE MEASURED?

THE PROGRAM WILL TRACK ITS PROGRESS AGAINST SPECIFIC TARGETS FOR A DETAILED set of metrics corresponding to the activities and components described in the logic model. It will also track the overall state of the arts environment against reference points to validate its understanding of audience interest and use expected return (ER) estimates to predict grantee effectiveness.

The following sections describe the Program's metrics and targets, along with field-wide reference points and an approach to ER estimation. While these aspects of the strategy are designed to be useful, they should be considered provisional, since they can be revised based on changes in the arts environment or improved data availability. However, these initial plans are important for maintaining a clear focus on outcomes and refining plans for any subsequent changes to the portfolio.

METRICS: MEASURES FOR TRACKING OUTCOMES

To measure progress over time toward both its ultimate goal and intermediate targets, the Program will monitor a set of detailed metrics. In selecting metrics, the Program has attempted to balance the cost of gathering and compiling information against the need to use meaningful, outcome-oriented metrics. For example, the Program may wish to track how deeply participants engage with arts organizations via social media. However, measuring actual engagement is prohibitively expensive, likely requiring thousands of user surveys, if not more. Many arts organizations are developing the capacity to report information on website visits and simple counts of social media contacts, which can be used as reasonably good proxies for what the Program seeks to measure.

Because this balance is dependent on many factors, the Program seeks to (1) define metrics that relate closely to outcomes and (2) make use of standardized information already being collected and reported by grantees.

Activity cluster metrics

- Paid and free attendance at grantee events/performances
- Participation in education and outreach programs through grantees
- Participation in programs through community-based grantees
- Participation gap between demographic groups
- Website visits and social media contacts

- Number of K-12 students receiving in-school sequential, curriculum-based arts education
- Number of K-12 students participating in after-school and out-of-school arts enrichment programs from grantees
- Public investment in arts education at the state and local levels
- Number of students in pre-professional programs through grantees

- Participation in grantee arts councils and service organizations
- Number of organizations and individuals using BACAM and CACDP
- Percentage of grantees meeting standards for financial health based on income statement and balance sheet indicators

Aggregate metrics

Continuity and Engagement
- Total participation in grantees' performing arts activities

Arts Education
- Percentage of California schoolchildren by race/ethnicity, income, and geography participating in some form of organized arts education

Infrastructure
- Program assessment of overall health of the arts ecosystem

FIGURE 5 Activity and aggregate metrics

The Program defines metrics at two levels: aggregated metrics for each component, and individual metrics for each activity cluster within the logic model. The Program's initial metrics are described in detail in the following pages and summarized in Figure 5, above.

Continuity and engagement metrics

- **Total participation in grantees' performing arts activities (Aggregate):** The most basic metric for overall engagement is simply the number of participants in performing arts activities. Although the Program cares deeply about many characteristics that this simple count does not capture, including depth of engagement, frequency of repeat attendance, and diversity of experience, it remains a fair and practical indicator of overall engagement.

  Total participation counts more than simple audience attendance. It includes other modes of participation, including educational programs and training, events and conferences, and media participation. The bullet points below describe the strategy and cluster metrics that make up overall participation.

- **Paid and free attendance at grantee performances/events:** This metric counts the total in-person audience for all performances and events created by grantees. It includes local presentations of touring productions, as well as Bay Area organization performances in other cities. As with all participation metrics described in this section, this is not entirely (or even principally) under the Program's control, but it is a strong indicator of the level of public engagement with grantees. The data is currently reported by grantees through CACDP.

- **Participation in education and outreach programs through grantees:** This metric tracks participation in education programs operated by the Program's grantees. These programs include in-school outreach programs and training for both children and adults. This data is reported by grantees through CACDP.

- **Participation in programs through community-based grantees:** This is simply an aggregate participation metric (including attendance, educational programs, and media/technology participation) for the subset of grantees the Program considers community-based. In practice, this includes organizations explicitly dedicated to serving particular target communities, defined by geography, identity, or both. The data itself is reported via CACDP.

- **Participation gap between demographic groups:** This metric is based on estimates of the overall participation rates across different demographic groups. The Program plans to track data on race and ethnicity, income, age, and level of education, depending on availability. Some, but not all, organizations collect demographic data, but methods are inconsistent even among those that do. Therefore, the Program will work to develop standards for collecting and reporting this data, potentially using a standardized tool to promote adoption within the community.

- **Website visits and social media contacts:** This metric is intended to be a proxy for the engagement created by arts organizations through technology and social media. The data is reported by grantees through CACDP.

Arts education metrics

- **Percentage of California schoolchildren by race/ethnicity, income, and geography participating in some form of organized arts education (Aggregate):** The key metric in arts education is its reach within the school-age population. Although the most valuable engagement comes in the form of sequential, standards-based arts education integrated into a larger high-quality education, the Program also recognizes the broad range of arts education experiences. The Program seeks to measure the share of the target population participating in at least one kind of arts education experience—be it enrichment curricula from a theater company, in-school music appreciation classes, or private violin lessons. This metric draws on the strategy and cluster metrics described in the rest of this section.

The division of children along demographic lines helps add valuable detail to the data. Based on trends across different demographic groups, the Program can choose to adjust its strategy to reach populations with lower arts education participation levels. In addition, because much of the participation data is available through public school districts, demographic detail is already being collected and reported on an aggregate basis.

- **Number of K-12 students receiving in-school sequential, curriculum-based arts education:** This measures how many students receive in-school arts instruction that meets the curricular Visual and Performing Arts standards adopted by the California Department of Education. This includes students for whom arts education is integrated across multiple subject areas, as long as the arts curriculum meets the official state standards. The data will be collected and analyzed in aggregate and in segments according to race/ethnicity, income, and geography.

- **Number of K-12 students participating in after-school and out-of-school arts enrichment programs from Hewlett grantees:** This metric tracks the total number of students served with arts education programs outside of the school day, bringing students into contact with the arts as an extension of in-school curricula. Examples include student field trips to performance spaces, after school classes and workshops, and private lessons. The data is currently reported through CACDP.

- **Public investment in arts education at the state and local levels:** As with participation data, this is not tracked as an indicator of the Program's success, but rather to reflect the priority placed by state and local authorities on visual and performing arts education in public schools. The investment data is available through public records.

- **Number of students in pre-professional programs through grantees:** This metric covers enrollment in pre-professional artist training programs currently reported through CACDP.

Infrastructure metrics

- **Program assessment of overall financial health of the arts ecosystem (Aggregate):** While particular aspects of infrastructure are not difficult to measure, the overall state of the field can be harder to ascertain. The problem is complicated by the relatively small share of the Program's grant budget dedicated to this component compared to the number of arts organizations in the Bay Area, which makes it doubly important to use the most cost-effective metric possible here.

For these reasons, the Program has decided to develop a metric to track the financial health and capitalization needs of grantee organizations in aggregate. The intent is to create a simple metric that can be used as shorthand for financial health at the organizational as well as the field level. A baseline will be established through research launched in fall 2011, with annual updates using financial data available through CACDP.

- **Participation in grantee arts councils and service organizations:** This metric is intentionally flexible to allow it to combine many different kinds of participation in arts councils and service organizations, including both individual artists and arts organizations. The metric will track paid and unpaid membership as well as conference and event attendance. However, many service organizations operate joint marketing programs and other initiatives to pool resources, and participation in these will also be counted. This information will be collected using CACDP and grantee reports.

- **Number of organizations and individuals using CACDP and other tools:** This metric simply tracks how broadly arts organizations and funders are using certain data collection and reporting tools. Initially, this will focus on CACDP reporting usage, but additional metrics will be developed and refined as additional features and services are added.

- **Percentage of grantees meeting standards for financial health based on income statement and balance sheet indicators:** As described above, the Program intends to develop a metric to track the financial health of grantee organizations. As part of this metric, the Program will determine indicators of financial health for individual organizations. Standards for health will be comprehensive—that is, they will recognize that

weaknesses in some respects (e.g., operating deficits) may be offset by strengths in others (e.g., cash reserves). The underlying data will be reported through CACDP.

TARGETS: COMPONENT AND ACTIVITY-LEVEL GOALS

The Program has set baselines and preliminary targets for the metrics described in the previous section. As described above, it is generally possible for the Program to directly influence the metrics through its grantmaking, particularly in the case of activity-level metrics. At higher levels, however, the metrics should be thought of more as indicators of certain aspects of the field's overall health than signals of the Program's effectiveness. The Program recognizes that as the environment changes, its targets may need to as well. Still, developing these targets should help the Program adapt its baseline assumptions as needed in the future.

In creating these targets, the Program balances its goals (generally speaking, deep and continuous public engagement in the performing arts) with an assessment of the overall state of the performing arts environment. This enables the Program to set targets that reflect what it believes can be reasonably accomplished under prevailing conditions. At present, the overall arts environment is in the midst of a long-term attendance decline that has lasted for the past twenty years or longer. The economic recession has also reduced potential attendees' disposable income, reducing their ability and willingness to pay for arts experiences. Although the long-term preference would be an increase in overall attendance, such negative environmental conditions make it unrealistic to set growth targets in the short term. Instead, the Program has set attendance targets at levels that aim to minimize declines, and it will reevaluate its targets over time as economic conditions change.

In part because of the importance of environmental factors, the Program has developed targets covering two time periods: a short term lasting for the next two years, and a long term covering six years. Over the short term, weak economic conditions are likely to continue to depress spending in the arts, so the short-term targets generally reflect the Program's view that this will be a period of slow growth or stagnation. Over the longer term, the Program tentatively projects that continued population growth will outweigh economic losses, resulting in a modest recovery. Of course, these projections are subject to revision.

Figure 6 displays provisional short-term and long-term targets for each of the metrics described. The targets are expressed as percentage changes relative to baseline values, with "N/C" standing for "no change." Each metric's baseline is its current measurement or most recent report at the time this plan was adopted. Since the Program has values for some, but not all, of these metrics, all the targets are displayed in relative terms for clarity.

Some of the targets listed in the table above bear further explanation. The *continuity and engagement* targets tend to be conservative in the short term, due to continuing economic weakness and the long-term decline in in-person arts attendance. Data from the National Endowment for the Arts (NEA) shows that "Between 2002 and 2008, the percentage of U.S. adults attending arts events declined for every art form except musical plays." Participation rates for all performing arts events were also lower in 2008 than they were in 1982, the first year of the survey (National Endowment for the Arts, 2009). For this reason, the Program anticipates that short-term growth will be flat at best for most measures of participation.

	Metric	Short term target (2013)	Long term target (2017)
Continuity & Engagement	Total participation in grantees' performing arts activities	N/C	+ 1%
	Paid and free attendance at grantee events/performances	N/C	+ 1%
	Participation in education and outreach programs through grantees	N/C	+ 2%
	Participation in programs through community-based grantees	+ 2%	+ 5%
	Participation gap between demographic groups	TBD*	TBD
	Website visits and social media contacts	+ 1%	+ 10%
Arts Education	Percentage of California schoolchildren by race/ethnicity, income, and geography participating in some form of organized arts education	N/C	+ 1%
	Number of K-12 students receiving in-school sequential, curriculum-based arts education	N/C	+ 1%
	Number of K-12 students participating in after-school and out-of-school arts enrichment programs from grantees	+ 1%	+ 3%
	Public investment in arts education at the state and local levels	- 10%	+ 1%
	Number of students in pre-professional programs through grantees	N/C	+ 1%
Infrastructure	Program assessment of overall health of the arts ecosystem	N/C	+ 3%
	Participation in arts councils and service organizations	+ 1%	+ 2%
	Number of organizations and individuals using information services	+ 2%	+ 5%
	Percentage of grantees meeting standards for financial health based on income statement and balance sheet indicators	+ 2%	+ 5%

* The targets for demographic participation gap are under development while research is conducted to establish this metric

FIGURE 6 Component and activity targets

However, the NEA only tracks participation in certain formal segments of the arts sector. Recent research also shows that participation in the informal arts sector is strong, particularly among communities of color (Brown and Novak, 2008). The Program hypothesizes that community-based groups may experience a modest increase due to close ties to communities and the informal arts sector. In addition, the Program believes that participation through technology and social media may increase, as adoption is still growing among arts organizations and participants.

Over the long term, a modest level of growth (1 to 2 percent) in participation is anticipated, with a more sizeable increase in social media participation (10 percent). The Program expects these changes to occur partly as a result of a general economic recovery and partly due to conscious efforts by arts organizations to make better use of technology and attract more diverse audiences.

In *arts education*, budget shortages at the state and local levels will have a pronounced effect on programs operated through public schools. The Program recognizes that public arts education is likely to face significant budget cuts in the short term but hopes to see funding

decline no more than 10 percent. The Program expects most of its other short-term metrics to stay stable, as growing youth populations counterbalance budget cuts. One exception is outreach and education programs provided by nonprofit arts organizations, which may grow as some schools use these as substitutes for internal programs.

In the long run, the Program expects economic recovery and population growth to contribute to modest growth (about 1 percent) in arts education participation. The growth of outreach programs is expected to slightly outpace others, given the anticipated short-term growth. For funding levels, a fair target for the long term is to return to roughly 2010 levels.

In *infrastructure*, the Program is working to maintain health of the arts ecosystem in the short term, with the expectation that this indicator will reflect improved economic conditions over the next seven years. Arts council and service organization participation is expected to increase slightly as arts organizations seek efficiency through shared programs. Growth in information system usage may slightly outpace this as adoption continues. Grantee financial health is expected to improve modestly in the short term, provided the economy continues to stabilize. In the long term, the Program anticipates moderate improvement across the board due to economic recovery, with facilities recovering to roughly present-day levels.

REFERENCE POINTS: DISTRIBUTION OF ARTS ORGANIZATIONS

In addition to its component and activity-level metrics and targets, the Program tracks some field-wide data to help it stay abreast of larger changes in the arts environment and in audience interests. Because direct data on these topics is limited, the Program tracks two proxies: the distribution of arts organizations according to artistic discipline and geography.

Together, these reference points allow the Program to adjust its strategy to ensure that the availability of different types of arts reflects the region's needs. If significant growth or shrinkage is observed in a discipline or region, the Program can conduct a deeper investigation to determine the underlying causes. If audience interests are in fact changing, the Program can determine at that point how it should respond.

The Program tracks artistic discipline as a reference point, because audiences need a variety of alternatives to suit their preferences. An arts environment that includes many different disciplines, forms, and aesthetics provides a broad range of experiences, as well as opportunities for creative interaction among artists and participants.

Geography is important as well as a measure of accessibility. An ideal distribution of arts organizations balances two competing factors: equity of access to arts activities (largely a function of proximity to participants) and the tendency of organizations to cluster in major metropolitan areas. The Program tracks whether arts organizations are providing a reasonable selection of activities across the entire Bay Area and benefiting from some degree of clustering.

Figure 7 illustrates these two reference points. The two charts are based on data for all 1,651 Bay Area nonprofit performing arts organizations listed in BACAM. The first chart shows the distribution of these organizations according to their primary artistic discipline. The second shows the distribution over geographic regions. For these purposes, the Program's eleven-county focus area has been divided into four regions: an East Bay region consisting of Alameda and Contra Costa counties, San Francisco proper, a South Bay and peninsula region consisting of Santa Clara and San Mateo counties, and an outlying region consisting of the six remaining counties. These county groups aim to capture the different population, economic, and cultural centers of the Bay Area.

EXPECTED RETURN ESTIMATES: INVESTMENT GUIDANCE BASED ON BENEFITS AND COSTS

Metrics and targets allow the Program to track its impact and assess the progress being made by grantees and the field at large. However, the Program has other analytical tools at its disposal that it can use to help shape its grantmaking strategy. Expected return (ER) estimation—newly developed by the Program—provides a consistent, quantitative measure of the relative effectiveness of different grantees. Although this is a new tool for the Program, it is based on selection criteria the Program has used and shared with the field for many years.

ER approximates a grantee's efficiency at creating benefits for individuals and communities. In general, it consists of the expected benefit delivered by the grantee (the value of the benefit multiplied by its likelihood of success) divided by the cost of generating that benefit. The Program's working definition for benefit in this context is described later in this section. ER estimation is valuable for its ability to help Program staff make their assumptions explicit and to bring to the surface aspects of grantee performance that might otherwise have gone unrecognized.

FIGURE 7 Reference points

Nevertheless, ER estimation suffers from a few practical limitations. Because it is highly dependent on values that are difficult to estimate precisely or validate by analysis, ER estimation can be subjective and contain significant margins of error. ER estimation also generally carries an implicit assumption that the benefits of different activities are independent from one another. Where major interaction effects are evident, activities can be combined for analysis, but such combinations must be handled explicitly and add complexity to the process.

For these reasons, it is important to emphasize that ER is only one factor the Program uses to assess grantees in the decision to support, renew, or exit. The Program also considers the results of site visits, performance reviews, interviews with administrators and board members, and financial reviews. High ER estimates generally correlate with strong performance in other terms, but the Program does not simply select the highest ER funding opportunities without regard for these other factors. The Program expects to use ER estimates as an element of, not a replacement for, its relationship-driven grantmaking model.
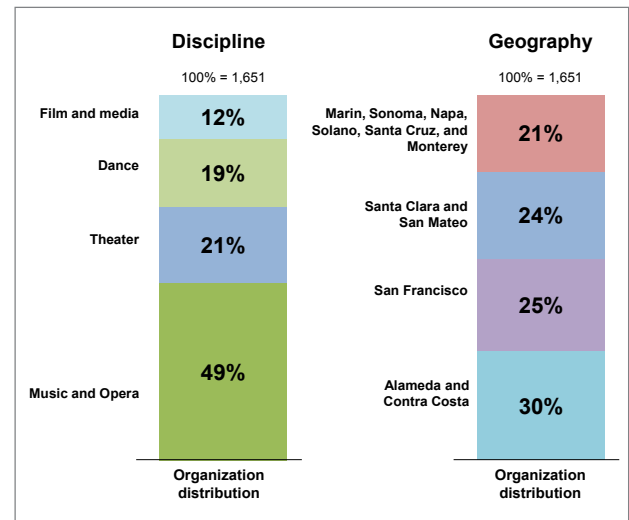
The Program uses several different factors to estimate the benefit created by grantees. Five of these factors—artistic quality, depth of engagement, strategic alignment with the portfolio, leadership, and financial responsibility—are the grantee selection criteria mentioned earlier in this plan. The other two, organization budget and number of participants, come from data reported by grantees through CACDP and/or grant applications and reports. Figure 8 illustrates how these factors come together to produce ER estimates, as explained below.

To estimate the benefit rating for a grantee, the total attendance events is scaled to a 1 to 5 rating based on where the total attendance falls among other performing arts organizations. The top quintile is rated 5; the bottom quintile is rated 1. This rating is combined with staff assessments of artistic quality, depth of engagement, and strategic alignment, each of which is also weighted on a 1 to 5 scale. These ratings are then combined to form a single benefit rating for each grantee.

Likelihood of success depends on two factors, financial responsibility and leadership (board, administrative, and artistic). These are each rated by Program staff on a 1 to 5 scale and combined to a relative likelihood of success for each grantee. A grantee rated 5 for both fiscal responsibility and leadership is mapped to the highest value in the range, while a grantee rated 1 for both factors is mapped to the bottom of the range. Cost is rated based on the organization's budget. In the case of organizations that are not wholly dedicated to performing arts, cost is the budget of the performing arts programs only, including allocated overhead. This value is also mapped onto a linear scale using the same method described for attendance above.
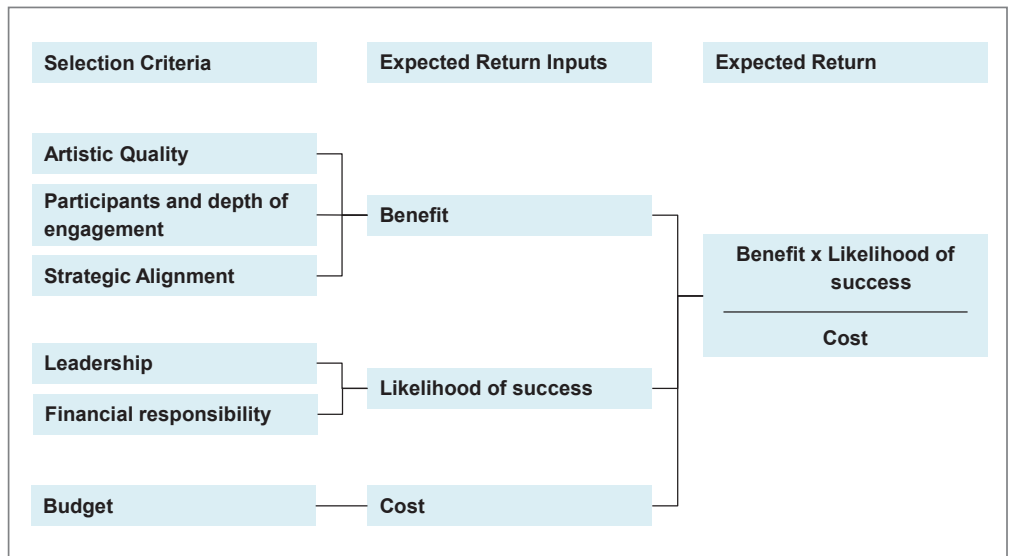

FIGURE 8 Expected return estimates

4
HOW WILL THE PLAN BE IMPLEMENTED?

THE PROGRAM'S OPERATIONAL PLAN REMAINS CONSISTENT WITH ITS RECENT history and goals. A budget has been developed that assumes no major funding changes in the future, while retaining enough flexibility to accommodate grantee attrition. The plan balances clear division of responsibility with the Program's traditionally collaborative approach, and a monitoring and evaluation plan will help structure the way progress is tracked and outcomes are assessed.

COMPONENT-BASED BUDGET: ALLOCATION ACCORDING TO THE LOGIC MODEL

The Program is working from a current baseline budget of about $13 million, including grants and direct charitable activity. Although future funding levels may grow, the budget outlined here assumes zero funding growth over the short term. The Program is confident that the strategy outlined in this plan can be carried out effectively under current budget conditions, but it can also be expanded easily if increased resources become available.

As described previously, this strategy does not represent a major departure for the Program, and for this reason, no major budgetary shifts will be required to implement it. Over time, however, even without significant year-to-year grant budget increases, attrition of underperforming grantees will make some funding available for redeployment. Over the next three years, this is likely to amount to around 5 to 10 percent of the portfolio. As funds become available, they will need to be reinvested. The Program intends to place a reinvestment priority on supporting arts education and investing in small-budget and community-based organizations that remain economically vulnerable.

Figure 9 summarizes the Program budget according to components in the logic model. The current allocation reflects an average over the past three years, while the estimated 2014 allocation shows how this allocation would be affected based on a very simple attrition model. This model assumes total three-year turnover of 7.5 percent, distributed evenly across most of the portfolio. The reinvestment model assumes turned-over funds will be redeployed into arts education and community-based grantees, as described above. If actual attrition does not follow the model (for instance, if attrition is concentrated among smaller,

	Current allocation (2011)	Estimated allocation (2014)
Continuity & Engagement	66%	64%
Arts Education	23%	26%
Infrastructure	11%	10%

FIGURE 9 Component-based budget

financially vulnerable community-based grantees), the three-year results will differ some-what. Nonetheless, the model suggests that budgetary shifts will be modest over the next three years.

ORGANIZATIONAL PLAN: CAPACITY ALIGNMENT WITH GOALS

The Program has a total of six staff members, including the Program Director, three Program Officers, and two Program Associates. Figure 10 illustrates this organizational structure. The Program is organized with all staff members acting as generalists, although each grantee has one Program Officer as its primary contact point. This arrangement helps ensure that the staff develops deep understandings of the particular grantees with which they work most often, and that each grantee is the primary responsibility of one staff member.

At the same time, the Program employs a highly collaborative approach to much of its work. Docket review meetings, for example, are conducted as a group to bring to the surface as much information as possible about grantees and to learn from experiences across the portfolio. For this reason, all Program staff members are encouraged to learn about grantees beyond those among their primary contact group and to develop a broad view of the arts environment and the needs of the region's communities.

FIGURE 10 Organizational plan

In addition, each Program Officer oversees a particular focus topic related to the Program strategy. Currently, these topics are arts education, next-generation arts leadership, and cultural asset mapping. This allows the Program to develop more specialized expertise in several areas at once.

MONITORING AND EVALUATION PLAN: CAPABILITIES FOR DATA COLLECTION AND REPORTING

Monitoring and evaluation (M&E) is a crucial element of a successful grantmaking program. *Monitoring* is how the Program keeps track of grantees' activities and the field at large, while *evaluation* is how the Program determines whether its strategies work as predicted. In addition to measuring the Program's outcomes against its goals, M&E reveals opportunities for learning and improvement so that adjustments can be made to achieve better results.

M&E has formal and informal components. Informal monitoring takes many forms, including site visits; attendance at grantee performances; discussions with arts leaders, funders, and audiences; and studies of publications relating to the field. Although this work can consume a significant amount of staff time, it can generate valuable insights. However, its unstructured nature makes it difficult to include in the planning process. Therefore, while the remainder of this section focuses on formal M&E, nothing in it should be understood to reduce the need for informal M&E, which is an important complement to the formal activities described here.

Although the Program's informal M&E activities are well established, some of the formal M&E elements will require new investments for the Program. As discussed in more depth below, enlisting grantees in the M&E process is an important aspect of the Program's strategy. However, because grantees' capacities for gathering and reporting data are generally limited, some initial investment, potentially from other sources within the Foundation, may be needed to properly execute the M&E plan.

Monitoring

The Program seeks to adhere to the best practices in the field and the Foundation's recommendations for monitoring programs. These practices include integrating monitoring into the strategic planning process, linking monitoring closely to overall Program outcomes, and involving grantees in the process as early as possible. These practices permit consistent "real-time" monitoring, which feeds relevant information back into the Program for rapid adaptation.

A grantee's close involvement in monitoring is particularly significant. The Program considers grantees as partners in the process, since monitoring can be highly valuable to both parties, and grantees generally have the best access to and familiarity with the information being monitored. A partnership approach also generally increases compliance while helping ensure that the process does not overtax grantee resources.

The introduction of CACDP in 2008 has encouraged standardization for reporting many types of data. However, participant demographic data has not been included in the CACDP standard, and consistency has lagged in demographic collection and reporting, although the Program's research suggests that around one-third of organizations collect some kind of participant demographics. To improve consistency, the Program will invest in a pilot initiative, in which a sample set of grantees will collect and report demographics. The Program will provide additional training and support for grantees that agree to participate in the pilot. The Program will also seek other opportunities to invest in grantees' abilities to monitor data more effectively.

The indicators tracked by the Program consist of the metrics described in Chapter 3, a subset of which will be reported to the Board in the Program's Strategy Monitoring Chart. These indicators cover three types of data: Most are *outcome indicators*, which track intermediate or ultimate outcomes in the logic model. Others include *input indicators*, which measure grantee effort and capacity, and *contextual indicators*, which are not influenced by the strategy but provide context on its effectiveness: one example of the latter is the total Bay Area population.

Monitoring data will be tracked regularly and on an as-needed basis, but no less than annually unless indicated on the Strategy Monitoring Chart. The Program may provide technical assistance when necessary to ensure that monitoring data is of consistent high quality among all grantees.

Evaluation

The best thinking on evaluation emphasizes flexibility and the need to use the most appropriate methods to respond to changing conditions. Evaluations may be conducted directly by Program staff or through independent auditors and assessors. The Program also engages in many activities such as arts education advocacy and policy, where progress is subject to many conditions beyond its control. In these cases, evaluations must account for windows of opportunity and be realistic in comparing what was accomplished to what was possible under the circumstances.

Evaluations are scheduled on an as-needed basis; all the plans in this section should therefore be considered preliminary and subject to change. Nevertheless, particularly as it relates to ongoing activities, the need for evaluation can be anticipated at least a short time in advance. The Program has several initiatives that it intends to evaluate in the near future, including its CACDP investments, its work in next-generation arts leadership capacity, and its arts education policy activities. The Program also expects to conduct some evaluations on a regular or semi-regular basis over the coming years. While none of this planning should be considered set in stone, Figure 11 presents a provisional timeline for the Program's upcoming evaluation activities.

- **Financial health evaluations** are checkups of the financial information provided by all Program grantees. These evaluations will track which grantees meet the Program's criteria for financial health and will generate recommendations for interventions as needed.

- **The CACDP/BACAM evaluation** will assess the quality of the data contained in these databases, along with uptake rates for use of the data among arts organizations, artists, funders, and other entities.

- **The next-generation arts leadership assessment** is expected to expand on the regular emerging leadership survey conducted by the Center for Cultural Innovation. It will document the impact of the initiative and strengthen the evaluation capacity of the leadership networks.

- **The arts education policy evaluation** will determine what, if any, improvements in state and local policy have taken place. It may further identify promising areas for future policy work and recommend partners and advocates already working on those issues.
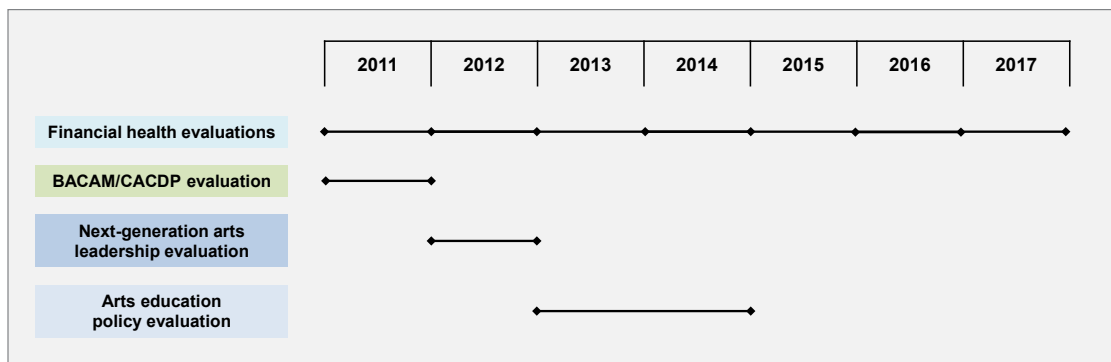

FIGURE 11 Preliminary evaluation timeline

To guide its efforts, the Program has developed a set of sample evaluation questions for each of its three grant clusters. The set is not intended to be exhaustive; it may grow and change as the Program proceeds with further M&E planning. These questions can be used as kernels for future evaluations, both planned and opportunistic. They may also prompt other questions and inspire specific, focused evaluations based on changing conditions. The questions are provided below.

Continuity and engagement

- **What art is being made? Where is it being made, and who is participating?** These questions address the issues of supply, variety, and accessibility. When certain kinds of art are unavailable, or certain geographies or populations are underserved, there may be opportunities for focused investment to increase engagement.

- **How deeply engaged are the people of the Bay Area with the performing arts?** This question focuses on *how* engagement happens and what its effect is on participants. While complex to answer, this question could reveal opportunities to deepen engagement without increasing grantees' scale.

Arts education

- **How effectively are grantees delivering sequential, curriculum-based arts education?** This question should address two issues: Which children have access to arts education, and how deeply are those children being engaged? A good evaluation would try to identify particular underserved segments of the student population for targeted intervention, as well as particular methods and strategies that result in stronger or weaker engagement.

- **What effective delivery methods have been developed, and how have they been spread among different schools and programs?** Support for effective delivery aims not only to provide high-quality arts education experiences today, but also to develop new methods and promote their use.

Infrastructure

- **What is the financial health of the arts sector?** This basic evaluation question will help determine how stable arts organizations are and how their financial situation is or is not allowing them to achieve their artistic goals.

- **Are arts organizations cooperating by sharing resources and expertise?** This question will identify connections between arts organizations and opportunities for improvement. This evaluation question does not assume that service organizations are the best (or only) vehicle for collaboration, opening the evaluation up to find new opportunities for support.

- **How well is information about the arts environment being collected, analyzed, disseminated, and put to use?** This question aims to cover all aspects of the Program's work in field information. Broad questions may be helpful for isolating weaknesses at different points in a complex strategy.

*   *   *

Over the next six years, the Performing Arts Program will continue to support a broad constellation of excellent performing arts organizations throughout the Bay Area. This remains the best way to ensure that the entire region has access to the kinds of performing arts experiences that truly enrich people's lives and strengthen all communities. The Program will adopt several new tools, including best practices established within the Foundation, such as expected return estimation and improved M&E methods. The heart of the plan, however, will remain consistent with the effective strategies that have helped establish the Program as an important leader in the Bay Area performing arts community.

The Program has remained vital and relevant over the years because it maintains a high-level perspective on the performing arts field and regularly reconsiders its strategy to ensure that it is meeting the needs of both the artistic community and the community at large. Today's rapidly changing environment makes such strategic thinking more important than ever before, and the Program, guided by its long-standing values, is ready to carry its traditions into the future.

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APPENDIX 1: SUMMARY OF GRANTEE INTERVIEWS

Between August and November 2010, the Performing Arts team and planning consultants interviewed the nineteen arts leaders listed below. Although the interviewees work in a wide variety of different roles throughout the arts environment, several common themes came up during the discussions. The most significant conclusions are summarized in the bullet points that follow. It is important to note that interviewees held a diverse range of opinions on the topics discussed, so no particular interviewee should be assumed to hold any of the specific views expressed here.

- **Arts education is an important concern throughout the arts community.** Interviewees were nearly unanimous in viewing arts education as an important area to work on. This was true even among those whose organizations do not focus primarily on the topic. Interviewees reported high community awareness of the importance of childhood arts education in spurring demand and engendering a lifelong love of the arts. Furthermore, many interviewees specifically indicated that the Foundation—with its combination of perspective, resources, and reputation—is in a strong position to address this issue.

- **Aside from supporting arts education, there is no clear consensus on increasing demand for the arts.** There was significant disagreement among interviewees over the effectiveness of outreach programs and community-based audience development programs. In the end, this emphasized the importance of early exposure to quality arts education in developing a reliable base of regular participants.

- **Reaching underserved populations is a widely shared priority within the community.** Many interviewees, representing both major institutions and smaller community-based organizations, commented on the importance of reaching populations that are not currently well served by the nonprofit performing arts sector. Although these interviewees held different views on the best ways to reach these groups, the concern over access and equitable participation was a point of broad agreement.

- **Arts organizations are generally better prepared to absorb large grants than individual artists.** Interviewees split over whether it was more important to fund large or small organizations, but there was general consensus that the Program should continue to handle support for individual artists through regranters for scale and capacity reasons.

- **Differences in perspective based on geography are readily apparent.** Interviewees were drawn from across the region, including rural Sonoma County, the East Bay, and Silicon Valley. Varying geography was clearly associated with differences in the challenges and opportunities arts organizations face. While some themes were broadly consistent across the region (e.g., arts education), others were more specific (e.g., local demand levels, art as a community-building tool, and the need for adequate facilities). Several interviewees praised the Program for going to great lengths to understand individual grantees rather than taking a one-size-fits-all approach.

- **Human capital and organizational capacity building are significant concerns.**
  Nearly all interviewees considered human and organizational capacity an important
  focus area for improving the region's arts infrastructure. Different interviewees placed
  emphasis within this area on emerging leaders, community building through network-
  ing, and improved professional practices, suggesting that the Program should continue
  to pursue this issue on multiple fronts.

- **Understanding audience characteristics is critical to respond to changes in the Bay
  Area and in the performing arts environment.** While accurate data on audience char-
  acteristics is difficult to collect, the view among interviewees was that organizations must
  continue to improve their understanding of who they are serving, how they can serve
  them better, and how they can bring in additional constituencies (if that is an organiza-
  tional goal).

- **Action among participants is broadly viewed as the most important indicator that
  an arts experience generated benefits.** Although interviewees did not share a unified
  view of the benefits created by arts participation, they tended to believe that benefit
  could be at least approximately measured by observing participants' actions. Though a
  specific order of importance among the top indicators was not evident, three "action-
  oriented" impact indicators were consistently rated the most significant: subsequent
  deeper engagement, recommendation to a friend, and subsequent attendance.

Name	Affiliation
Producers and presenters	
Brent Assink	San Francisco Symphony
Deborah Cullinan	Intersection for the Arts
Kebo Drew and Madeline Lim	Queer Women of Color Media Arts Project
Ruth Felt	San Francisco Performances
Ken Foster	Yerba Buena Center for the Arts
Susie Medak	Berkeley Repertory Theatre
Eugene Rodriguez	Los Cenzontles Mexican Arts Center
Jordan Simmons	East Bay Center for the Performing Arts
Arts service and policy organizations	
Tamara Alvarado	1stACT Silicon Valley
Janet Brown	Grantmakers in the Arts
Ebony McKinney	San Francisco Bay Area Emerging Arts Professionals
Laurie Schell	California Alliance for Arts Education
Jennifer Sloan	Cultural Arts Council of Sonoma County
Funders and government agencies	
Frances Phillips	Walter and Elise Haas Fund, Creative Work Fund
Regina Smith	The Kresge Foundation
Andrea Temkin	Alameda County Office of Education
San San Wong	San Francisco Arts Commission
Independent researchers	
Alan Brown	WolfBrown

EVALUATION PRINCIPLES AND PRACTICES

AN INTERNAL WORKING PAPER

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Cover image: *Measuring Infinity* by Jose de Rivera at the Smithsonian Museum of American History

EVALUATION IS PART OF THE FABRIC OF THE WILLIAM AND FLORA HEWLETT Foundation. It is referenced in our guiding principles. It is an explicit element of our outcome-focused grantmaking. And evaluation is practiced with increasing frequency, intensity, and skill across all programs and several administrative departments in the Foundation.

The purpose of this document is to advance the Foundation's existing work so that our evaluation practices become more consistent across the organization. We hope to create more common understanding of our philosophy, purpose, and expectations regarding evaluation as well as clarify staff roles and available support. With more consistency and shared understanding, we expect less wheel re-creation across program areas, greater learning from each other's efforts, and faster progress in designing meaningful evaluations and applying the results.

The following paper is organized into four substantive sections: (1) Principles, (2) Organizational Roles, (3) Practice Guide, and (4) Special Evaluation Cases. Supporting documents include a glossary of terms (Appendix A). The Principles and Organizational Roles should be fairly enduring, while the Practice Guide should be regularly updated with new examples, tools, and refined guidance based on lessons we learn as we design, implement, and use evaluations in our work.[1]

> **Hewlett Foundation Guiding Principle #3:**
>
> *The Foundation strives to maximize the effectiveness of its support.*
>
> This includes the application of outcome-focused grantmaking and the practice of evaluating the effectiveness of our strategies and grants.

> **What Is Evaluation?**
>
> Evaluation is an independent, systematic investigation into how, why, and to what extent objectives or goals are achieved. It can help the Foundation answer key questions about grants, clusters of grants, components, initiatives, or strategy.
>
> **What Is Monitoring?**
>
> Grant or portfolio monitoring is a process of tracking milestones and progress against expectations, for purposes of compliance and adjustment. Evaluation will often draw on grant monitoring data but will typically include other methods and data sources to answer more strategic questions.

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[1] *While we appreciate the interconnectedness of strategy, monitoring, organizational effectiveness, and evaluation, this paper does NOT focus on those first three areas.* Those processes have been reasonably well defined in the Foundation and are referenced, as appropriate, in the context of evaluation planning, implementation, and use.

History

Recently, the Foundation adopted a common strategic framework to be used across all its program areas: Outcome-focused Grantmaking (OFG).[2] Monitoring and evaluation is the framework's ninth element, but expectations about what it would comprise have not yet been fully elaborated. Some program teams have incorporated evaluation at the start of their planning, while others have launched their strategies without a clear, compelling evaluation plan.

The good news is that, two to three years into strategy implementation, these programs typically have commissioned generally useful evaluations. The bad news is that they likely missed important learning opportunities by start-ing evaluation planning late in the process. Bringing evaluative thinking and discipline to the table early and often helps sharpen a strategy by clarifying assumptions and testing the logic in a theory of change. Early evaluation plan-ning also helps avoid the penalties of a late start: (1) missing a "baseline"; (2) not having data available or collected in a useful common format; (3) surprised, unhappy, or unnecessarily burdened grantees; and (4) an initiative not opti-mally designed to generate the hoped-for knowledge.

Based on these lessons of recent history, we are adapting our evaluation prac-tice to optimize learning within and across our teams. Staff members are eager for more guidance, support, and opportunities to learn from one another. They are curious, open-minded, and motivated to improve. Those are terrific attri-butes for an evaluation journey, and the Foundation is poised to productively focus on evaluation at this time.

This paper is the result of a collaborative effort, with active participation from a cross-Foundation Evaluation Working Group. Led by Fay Twersky and Karen Lindblom, members have included Paul Brest, Susan Bell, Barbara Chow, Ruth Levine, John McGuirk, Tom Steinbach, Jen Ratay, and Jacob Harold.

Intended Audience

Originally, this paper's intended audience was the Hewlett Foundation's staff—present and future. And of course, the *process of preparing the paper*, of involving teams and staff across the Foundation in fruitful conversation and skill building, has been invaluable in perpetuating a culture of inquiry and practical evalu-ation. Since good evaluation planning is not done in a vacuum, we asked a sample of grantees and colleagues from other foundations to offer input on an earlier draft. They all encouraged us to share this paper with the field, as they found it to be "digestible" and relevant to their own efforts.
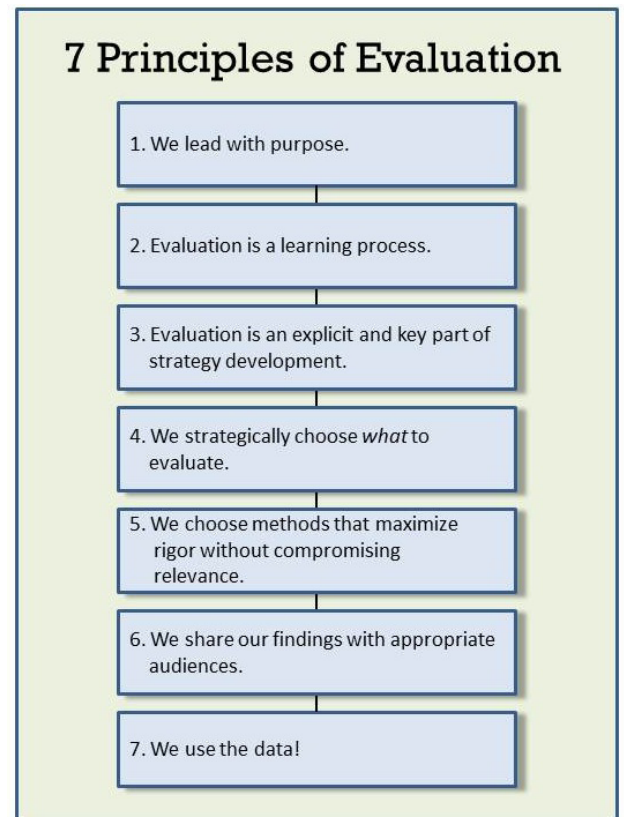
While our primary audience remains Foundation staff, we now share the paper broadly, not as a blueprint, but in a spirit of collegiality and an interest in con-tributing to others' efforts and continuing our collective dialogue about evalua-tion practice.

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[2] See the Hewlett Foundation's OFG memo for a complete description of this approach.

We aspire to have the following principles guide our evaluation practice:

1. **We lead with purpose. We design evaluation with actions and decisions in mind. We ask, "How and when will we use the information that comes from this evaluation?"** By anticipating our information needs, we are more likely to design and commission evaluations that will be useful and used. It is all too common in the sector for evaluations to be commissioned without a clear purpose, and then to be shelved without generating useful insights. We do not want to fall into that trap.

2. **Evaluation is fundamentally a learning process. As we engage in evaluation planning, implementation, and use of results, we actively learn and adapt.** Evaluative thinking and planning inform strategy development and target setting. They help clarify evidence and assumptions that undergird our approach. As we implement our strategies, we use evaluation as a key vehicle for learning, bringing new insights to our work and the work of others.

3. **We treat evaluation as an explicit and key part of strategy development.** Building evaluative thinking into our strategy development process does two things: (1) it helps articulate the key assumptions and logical (or illogical) connections in a theory of change; and (2) it establishes a starting point for evaluation questions and a proposal for answering them in a practical, meaningful sequence, with actions and decisions in mind.

7 Principles of Evaluation

1. We lead with purpose.

2. Evaluation is a learning process.

3. Evaluation is an explicit and key part of strategy development.

4. We strategically choose *what* to evaluate.

5. We choose methods that maximize rigor without compromising relevance.

6. We share our findings with appropriate audiences.

7. We use the data!

4. **We cannot evaluate everything, so we choose strategically.** Several criteria guide decisions about where to put our evaluation dollars, including the opportunity for learning; any urgency to make course corrections or future funding decisions; the potential for strategic or reputational risk; size of investment as a proxy for importance; and the expectation of a positive expected return from the dollars invested in an evaluation.

5. **We choose methods of measurement that allow us to maximize rigor without compromising relevance.** We seek to match methods to questions and do not routinely choose one approach or privilege one method over others. We seek to use multiple methods and data sources when possible in order to strengthen our evaluation design and reduce bias. All evaluations clearly articulate methods used and their limitations.

6. **We share our intentions to evaluate, and our findings, with appropriate audiences.** As we plan evaluations, we consider and identify audiences for the findings. We communicate early with our grantees and co-funders about our intention to evaluate and involve them as appropriate in issues of design and interpretation. We presumptively share the results of our evaluations so that others may learn from our successes and failures. We will make principled exceptions on a case-by-case basis, with care given to issues of confidentiality and support for an organization's improvement.

7. **We use the data!** We take time to reflect on the results, generate implications for policy or practice, and adapt as appropriate. We recognize the value in combining the insights from evaluation results with the wisdom from our own experiences. We support our grantees to do the same.

{ *We seek to maximize rigor without compromising relevance.* }

As the Foundation develops more formal systems and guidance for our evaluation work, it is appropriate to clarify basic expectations and roles for staff. As this work matures, and as our new central evaluation function evolves, we will continue to identify the best approaches to evaluation and refine these expectations accordingly.

Although we address the amount of time and effort staff may be expected to give to this work, it is important to note that the Foundation is less interested in the number of evaluations than in their high quality. Our standards are defined in the principles above and also informed by our practical learning and application of lessons.

Program and Operational Staff

Program and relevant operational staff (e.g., in the Communications and IT departments) are responsible and accountable for designing, commissioning, and managing evaluations, as well as for using their results. Programs are free to organize themselves however they deem most effective to meet standards of quality, relevance, and use. They may use a fully distributed model, with program officers responsible for their own evaluations, or they may designate a team member to lead evaluation efforts.
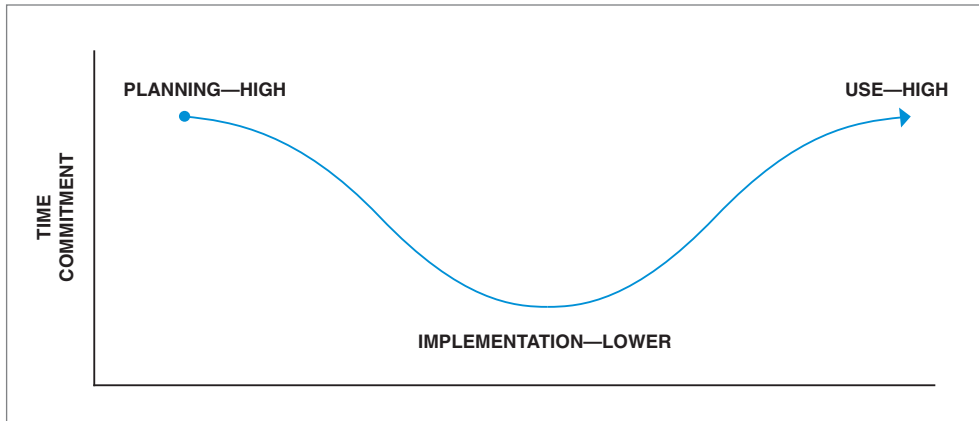
{ *Program and operational staff have primary responsibility for the evaluations they commission.* }

At least one staff member from each program will participate in a cross-Foundation Evaluation Community of Practice in order to support mutual learning and build shared understanding and skills across the organization. This participant could be a rotating member or standing member.

As part of programs' annual Budget Memo process and mid-course reviews, staff will summarize and draw on both monitoring and evaluation data—providing evidence of what has and has not worked well in a strategy and why. Staff are expected to use this data analysis to adapt or correct their strategy's course.

In general, program officers will spend 5 to 20 percent of their time designing and managing evaluations and determining how to use the results. This overall expectation is amortized over the course of each year, though of course there are periods when the time demands will be more or less intensive.

- The most intensive time demands tend to occur at the beginning and end of an evaluation—that is, when staff are planning and then using results.

During these periods, full days can be devoted to the evaluation. For instance, planning requires considerable time to clarify design, refine questions, specify methods, choose consultants, and set up contracts. During use, staff spend time meeting with consultants, interpreting results, reviewing report drafts, communicating good or bad news, and identifying implications for practice.

- Less staff time is usually required during implementation, while evaluators are collecting data in the field. Ongoing management of their work takes some time, but, on the whole, not as much.

In general, program officers are expected to effectively manage one significant evaluation at any given time (maybe two, under the right circumstances). This includes proper oversight at each stage, from design through use and sharing of the results. When planning how to share results broadly, program staff should consult with the Foundation's Communications staff about the best approach.

Central Evaluation Support

As our approach to evaluation has become more deliberate and systematic, the Foundation's leadership has come to appreciate the value and timeliness of expert support for this work across the organization. Therefore, as part of its new Effective Philanthropy Group, the Foundation is creating a central support function for programs' evaluation efforts. It will:

- Provide consultation during strategy development, including teasing out assumptions and logical underpinnings in the theory of change.

- Support program staff in framing evaluation priorities, questions, sequencing, and methods. Help develop Requests for Proposals (RFPs) and review proposals.

- Maintain updated, practical, central resources: a vetted list of consultants with desired core competencies; criteria for assessing evaluation proposals; and examples of evaluation planning tools, RFPs, and

{ Central evaluation support is oriented toward consultation, NOT compliance. }

evaluation reports, including interim reports, internal and external reports, and executive summaries. Coordinate with the Foundation's Organizational Learning staff.

- Develop, test, and support the implementation of an application template and workflow for evaluation grants, including grant agreement letters. Coordinate with the relevant Foundation administrative departments: Grants Management and Legal.

- Provide or broker evaluation training for program staff in different formats (e.g., internal workshops, on-the-job training and coaching, and referrals to external resources, as appropriate).

- Spearhead an internal Evaluation Community of Practice for program staff who are leading evaluation efforts in their teams and want to share and deepen their skills and knowledge.

- Support external sharing of results as appropriate—coordinating with relevant program, Legal and Communications staff as well as grantees and other external partners.

- Work with Human Resources to refine job descriptions and performance review tools to accurately reflect evaluation responsibilities.

- Debrief every evaluation with the appropriate program staff: what went well, what didn't, key lessons, and actions taken as a result. Synthesize and share relevant lessons with other program staff so they can benefit from promising practice and lessons learned.

- Position the Foundation as a leader in the philanthropic evaluation field, in close coordination with Communications staff. Stay current with and contribute to the state of the art of evaluation.

- Coordinate as needed with the Human Resources, Organizational Learning, Philanthropy Grantmaking, and Organizational Effectiveness staff on any overlapping areas of learning, assessment, and training—both for Foundation staff and grantees.

Organizational Checks and Balances

How do we ensure that the Foundation does not simply commission evaluations that give us the answers we want? The practice guide that follows outlines a number of steps we are taking including: (1) building evaluation in from the beginning of a strategic initiative; (2) involving our board of directors in articulating key evaluation questions and then circling back with answers when we have them; (3) requiring methodology be clearly articulated for every evaluation—methodology that maximizes both rigor and relevance; (4) providing central expertise to review evaluation designs, proposals, and help interpret findings; (5) considering alternative explanations when interpreting results; and (6) debriefing every evaluation experience with a central evaluation officer—on all relevant lessons—to guard against easy answers or ignoring key findings.

This Practice Guide follows the three stages of evaluation: (1) planning, (2) implementation, and (3) practical use of the evaluation findings. Throughout this guide, we speak about evaluations as being conducted by independent third parties. That is distinct from monitoring activities which are typically conducted internally by Foundation program staff.

Planning

Planning is the most important and complex part of evaluation. Below are key steps and case examples that illustrate successes, pain points, and lessons learned.

Beginning evaluation design early

As part of the OFG process, a program team should consider the key assumptions in its theory of change and decide which warrant being systematically tested.

Often these are the assumptions that link the boxes in the causal chain of a logic model. For instance, consider this example of a simplified generic theory:

- If we invest in an innovative model, we hope and plan for it to be successful, and…

- if proven successful, it will be scaled to reach many more people.

In between each link are potential assumptions to be tested:

- This innovative approach can be successful.

- Effective organizations exist that can implement this approach.

- This approach can become a "model," and not just a one-off success.

Start evaluation planning early!

Six years after starting the ten-year **Special Initiative to Reduce the Need for Abortion,** Foundation staff began planning an evaluation whose primary purpose was to contribute to informing the staff and Board's future funding decision.

Designing an evaluation at this stage of implementation created challenges, some of which could have been minimized had an evaluation framework been established from the outset.

First, some of the long-term goals (e.g., reducing the number of abortions in the United States by 50 percent) do not now seem feasible and the "intermediate" targets are also high level and long term. If evaluative thinking had begun earlier, target setting might have been more realistic, and intermediate aims could have been identified and progress could have been measured in a systematic way.

Second, consultations with Foundation leadership during evaluation planning revealed an interest in answering questions about attribution (e.g., how much did this intervention cause the observed dramatic declines in the rate of teen pregnancy). However, the Initiative had not been designed to answer those questions.

Third, as a result, the evaluation was left to answer two questions at once, risking revisionist thinking: (1) what *would* have been possible for success at this point? and (2) how much progress has the Initiative actually made?

Key reflection: it would have been valuable to bring evaluative thinking to bear earlier in the process, as well as to allocate time and money for an evaluation from the start. The original evaluation plan would likely have needed modification over time, but still would have been a useful tool.

- Others will be interested in adopting and supporting the model.

- Resources for growth and expansion exist to scale the model.

As with many strategies, each link builds on the one before. So threshold evaluation questions that can help inform future direction are important to answer relatively early in the strategy's life. For instance, we might want to know first if an approach is effectively implemented and then if it is achieving desired outcomes before we advocate for scale.

This kind of evaluative thinking can help sharpen a theory of change from the outset, inform the sequencing of grantmaking, and highlight interdependencies to be supported or further explored.

Starting evaluation planning early in a strategy development process, rather than midway through an initiative, protects against four common pitfalls: (1) missing a "baseline"; (2) not having data available or collected in a useful common format; (3) surprised, unhappy, or unnecessarily burdened grantees; and (4) an initiative not optimally designed to generate the hoped-for knowledge.

Designing an evaluation framework does not mean casting in concrete. In fact, given that our strategies typically unfold dynamically, it is essential to revisit and modify an evaluation framework over time.

Clarifying an evaluation's purpose

The purpose of an evaluation is central. Questions, methods, and timing all flow from a clear understanding of how the findings will be used. Our three main purposes for evaluations are:

1. *To inform Foundation practices and decisions.* Evaluations with this aim may inform our decision making about funding or adapting an overall strategy, component, or initiative; setting new priorities; or setting new targets for results. These evaluations are typically designed to test our assumptions about approaches for achieving desired results.

2. *To inform grantees' practices and decisions.* At times, the Foundation may want to fund or commission evaluations of individual grantees or groups of grantees mainly to improve their practices and boost their performance. When the interests of the Foundation and grantees overlap, it may be worthwhile to commission evaluations of value to both. Collaborating in this way can promote more candor and buy-in for the ways data are collected and results are used. As necessary, we will support building our grantees' capacity to conduct evaluations and use the findings.

3. *To inform a field.* Sometimes evaluation itself can be part of a strategy—for example, to generate knowledge about what does and does not work in a field and why, and to have that knowledge shape its policy and practice. These evaluations, rigorously designed to achieve a high degree of certainty about the results, are usually shared widely.

The majority of our evaluations seek to inform the decisions and practices of the Hewlett Foundation and our grantees—to support our ongoing learning, adjustment, and improvement. The smaller number of evaluations we commission to inform broader fields are often intentional parts of program strategies and look more like research studies. Because they are often quite costly and long term in outlook, we commission these evaluations selectively and plan for them carefully.

For evaluations designed to inform Foundation decisions and approaches, it is important that we examine our level of openness to a range of results. Evaluation is worthwhile only if one can imagine being influenced by the findings. Are we willing to change strongly held beliefs in response to the evidence from an evaluation? If not, we should reconsider the value of spending money on it. If its purpose is to inform the Board and perhaps ongoing funding, are we clear on the Board's questions? Is the Board willing to change its strongly held beliefs?

For evaluations designed to inform grantees, we should consider how open and involved they are in the process. Do they have the capacity to devote to an evaluation? Are they driving it? If not, are they likely to abide by the results?

Evaluations intended to inform a field are usually fairly high stakes and meant to inform policy and significant resource allocation. Are we prepared for both positive and negative results (e.g., an intervention showing "no effect")? Are we prepared to share results with the field either way? Do we have a plan for influencing field decisions beyond passively posting an evaluation report?

Choosing what to evaluate

We cannot evaluate everything. Of course, a gating criterion for what we choose to evaluate is openness to change and readiness to challenge strongly held beliefs. Assuming that readiness threshold is met, several other criteria guide the decision about where to put our evaluation dollars. Highest priority is given to the following considerations:

- Opportunity for learning, especially for unproven approaches.

- Urgency for timely course correction or decisions about future funding.

- Risk to strategy, reputation, or execution.

- Size of grant portfolio (as a proxy for importance).

- Expectation of a positive expected return from the dollars invested in the evaluation.

Most of the time, especially when aiming to inform our decisions or a field's, an evaluation will focus on an initiative/component, subcomponent, or cluster of grants (grants that share some key characteristics, e.g., arts education grants) rather than on a single grant. The exception is when a grant is essentially

Challenging strongly held beliefs

In Mexico, the Environment Program conducted an evaluation of its Transportation portfolio in order to learn what had been accomplished, make a funding recommendation to the Board, and determine when to exit the different areas of work.

Surprisingly, one of the three strategies—the Clean Vehicles strategy—was shown to be more effective than the other two despite facing the strongest policy barriers. As a result, the team reallocated funding to this strategy and supplemented it with new policy angles and voices. At first, team members struggled to change their beliefs that the other strategies were not as effective (even in the face of fewer policy barriers), but they were convinced by the data and made decisions accordingly.
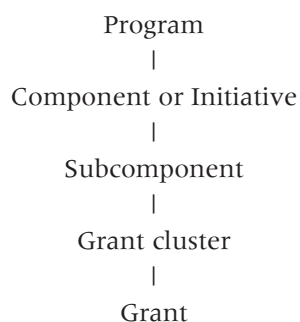
> **Choosing *not* to evaluate**
>
> In 2011, the Organizational Effectiveness (OE) Program decided against launching an evaluation of the Foundation's OE grantmaking. After careful consideration, the team determined that the costs of such an evaluation—including consultant fees, demands on OE grantees, and the significant OE and IT staff time needed to organize and analyze past grants data—would outweigh the anticipated benefit of the findings. At the same time, the Packard Foundation's OE Program, on which ours is largely based, was completing a comprehensive evaluation. Given the similarity between the two OE programs, our staff determined it was reasonable to draw conclusions about our grantmaking from the Packard Foundation's evaluation findings and leverage its lessons learned.

operating as an initiative or cluster in and of itself (e.g., The National Campaign to Prevent Teen and Unplanned Pregnancy or the International Development Research Centre's Think Tank Initiative).

It is most useful for a program to evaluate a whole strategy (initiative/component) at a reasonable mid-point and at its conclusion—to generate lessons that will be useful to multiple stakeholders inside, and potentially outside, the Foundation.

FOUNDATION'S CURRENT STRATEGY HIERARCHY

Program
|
Component or Initiative
|
Subcomponent
|
Grant cluster
|
Grant

Frequently, the Foundation uses regranting intermediaries (e.g., through the ClimateWorks Foundation or the Community Leadership Project) to extend our reach and the impact of our grant dollars and results. Because we are delegating to these intermediaries what might be considered our stewardship role, we have an even greater responsibility to evaluate their efforts. By definition, large intermediaries rank high on the Risk and Size criteria above, and their evaluation typically offers important learning opportunities. Also, whenever we create a new intermediary organization or fund the launch of a major new initiative, it is important to evaluate not only the strategic elements but also issues of organization and effective execution, challenges that vex many start-ups. (For more on this subject, see the section on Special Evaluation Cases.)

Defining key questions

Our evaluations begin with and are guided by clear, crisp questions. Crafting a short list of precise questions increases the odds of receiving helpful answers— and a useful evaluation. Well-designed questions about an initiative or program can clarify not only the expected results but also surface assumptions about its design, causality, time frame for results, and data collection possibilities. These surfaced assumptions and questions can then help sharpen a theory of change and ensure effective planning for knowledge generation and learning.

Unfortunately, many evaluations begin to go awry when questions are drafted. It is useful to start by distinguishing between the following areas of inquiry. Although not every evaluation should seek to answer this full range of questions, the categories below offer a framework for effective investigation:

- **Implementation:** How well did we and our grantees execute on our respective responsibilities? What factors contributed to the quality of implementation?

  In much of the social sector, it is axiomatic that most programs fail in execution. This makes evaluating implementation very important for driving improvement, understanding the ingredients of a successful or failed approach, and replicating or adapting approaches over time.

- **Outcomes:** What changes have occurred? How do they compare with what we expected? To what extent and why are some people and places exhibiting more or less change? What is the relationship between implementation and outcomes?
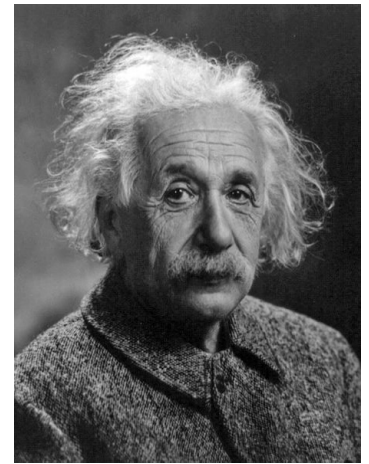
If I had an hour to solve a problem and my life depended on the solution, I would spend the first 55 minutes determining the proper question to ask, for once I know the proper question, I could solve the problem in less than five minutes.

–Albert Einstein

Limiting evaluation scope

As 300 million people moved from China's countryside to urban areas, the China Sustainable Cities Initiative aimed to shape this pattern of development so that Chinese cities focused on biking, walking, and mass transit rather than on car transportation.

The Environment Program decided to evaluate the Initiative because it was a significant investment and offered a great opportunity for learning. The original scope of the evaluation covered five areas:

1. Soundness of the theory of change.
2. Soundness of the Initiative's strategic plan.
3. Effectiveness of grantee implementation.
4. Possibility for replication.
5. Financial sustainability.

A key lesson for the Environment Program was that this first evaluation tried to cover too much ground. It proved most important to first answer basic questions about the Initiative's theory of change and execution, and then to use the results to make adjustments and shape future plans. Other questions about replication and sustainability were largely premature.

HYPOTHETICAL: "TEACHER AS LEARNER" INITIATIVE

Imagine that we are supporting a new initiative called "Teacher as Learner" that aims to improve the quality of teaching and learning in different regions in Africa via a network of 100 self-organized groups called "communities of practice." Each group of local teachers is professionally facilitated and focused on their specific capacity needs. Having organized themselves around issues of local importance, the "communities of practice" draw on regional resources as needed. The initiative's key assumption, based on some evidence in other fields, is that a blend of professional support and local ownership will lead to improved outcomes. If this approach seems successful after an initial period of innovation, we might develop an experiment to rigorously assess impact.

We did not plan for an evaluation at the beginning of the initiative because we were fatigued by the strategy development process and not quite sure how to focus an evaluation. Three years into this five-year initiative, we now want to commission an evaluation to see if we should adjust our approach.

Poor sample question: *Was the "Teacher as Learner" theory of change successful?*

This question has limited value for several reasons. First, it is vague. Usually a theory of change has multiple dimensions and contains many assumptions about how change will happen. A useful evaluation question is explicit about which interventions and assumptions it is exploring or interrogating. A vague question gives the evaluator too much discretion. This often sets us up for potential disappointment with the findings when we receive an evaluation report that is not useful and does not answer questions of importance to us. Or, it can set us up for an evaluation course correction—to shift midstream on design and data collection methods.

Second, and a related point: it is unclear whether the question is aimed at issues of execution (e.g., Did *x* happen?) or issues related to the "causal chain" of events (e.g., If *x* happened, did it catalyze *y?*). It is often useful in an evaluation to look at execution and outcomes with a distinct focus, as well as the relationship between them.

Third, the definition of success is unclear, allowing the evaluator too much discretion. Does success mean that 80 percent of what we hoped for happened? What if 60

percent happened? What if two out of three components progressed exactly as planned, but a third, delayed by an unforeseen personnel challenge, has not yet been implemented? Asking a dichotomous Yes/No question about an unspecified notion of "success" will be less helpful than a few focused questions that precisely probe what we want to learn and anticipate how we might use the answers.

Good sample questions

About implementation:

1. How and to what extent did the "Teacher as Learner" initiative create a network of local, self-organized communities of practice?

2. What was the nature of the variation in areas of focus for the communities of practice?

About intermediate outcomes:

3. To what extent did teachers adopt or adapt improved teaching methods after participating in the communities of practice?

4. What were the key factors that enabled or inhibited teachers from adopting new teaching methods?

About outcomes:

5. In what ways and by how much did these teachers' students improve their learning?

6. Is there any variation in students' learning gains? If so, what are possible explanations for that variation (including considerations of student, teacher, or community characteristics, and features and approaches used in the communities of practice)?

Why are these better questions? As a valuable beginning, they break one vague question about success into clear, specific ones that generate insight about different steps in the initiative's causal chain: which parts may be working well and as expected, which less well, and possible explanations why. They give more direction to the evaluator about our specific areas of interest. And, although they still need to be elaborated with specific measurement indicators and methods of data collection, they are designed to generate data that can be used to correct course.

To be able to answer these questions, it is enormously helpful to have planned an initiative's evaluation from the outset so that measurements are in place and changes are tracked over time.

- **Impact:** What are the long-term sustainable changes? To what can we attribute them?

  Although typically the most complex and costly to answer, questions that address long-term impact and attribution yield a significant return on investment when they can inform a field.

- **Context:** How is the landscape changing? Have changes in the world around us played an enabling or inhibiting role in our ability to affect change?

  Often our theories of change involve assumptions about how the world around us will behave, and unanticipated events—conflicts, new governments, social protests, disease, technological or scientific breakthroughs—can accelerate or slow progress toward our long-term goals. Understanding these interplays can help us avoid false conclusions.

- **Overall Strategy and Theory of Change:** Did our basic assumptions turn out to be true, and is change happening in the way we expected?

  Answering these questions will draw from other evaluations and go beyond them into the realm of what is now being referred to in the field as "strategy evaluation."

Timing: By when do we need to know?

One criticism of evaluation is that results often come too late to act upon. But that is in our control! *There are trade-offs to keep in mind, but it is important to* NOT sacrifice relevance by having evaluation findings be delivered too late to matter.

If we want to inform Foundation decisions, what is our timetable for seeing at least preliminary results? How firm is that timetable? Backing up from there, when would we need to have results in order to make sense of them and to bring them forward for funding considerations? If we want actionable information, it is essential to grapple with what is knowable in what time frame.

If we are aiming to inform grantees, how might their budgets or program planning cycles affect the evaluation timetable? Grantees also need time to make sense of findings and act upon them.

If our purpose is to inform the field, are there seminal meetings or conversations that we want an evaluation to influence? Are there election debates, planning processes, or budget cycles that might be important to consider in our evaluation planning? Many evaluations that target field-level change benefit from some legal consultation to ensure appropriate engagement.

Of course, considering evaluation early as part of strategy development will help define when specific information will be needed.

Selecting methods

Most strong evaluations use multiple methods to collect and analyze data. This process of triangulation allows one method to complement the weaknesses of another. For example, randomized experiments can determine whether a certain outcome can be attributed to an intervention. But complementary qualitative methods are also needed to answer questions about how and why an intervention did or didn't work—questions that are central to replication. Thus, as part of early planning, it is ideal to select methods that match evaluation questions.

Our goal is to maximize rigor without compromising relevance. Part of maximizing rigor is reducing bias in the evaluation. While not all evaluations can feasibly be randomized so that we can definitely attribute impact to one or more interventions, the essence of good evaluation involves some comparison—against expectations, over time, and across types of interventions, organizations, populations, or regions. Even when there is no formal counterfactual, it can be helpful to engage in "thought experiments" to challenge easy interpretations of data and consider alternative explanations.

> *The essence of good evaluation involves some comparison—against expectations, over time, and across types of interventions, organizations, populations, or regions.*

Multiple methods help reduce bias as does active consideration of how the methods are applied. For instance, if an advocacy initiative is being evaluated largely through qualitative interviews of key informants, it will be important to include respondents who are not cheerleaders, but may offer constructive critiques.

Engaging with grantees

It is essential that Foundation staff engage with grantees about evaluation and communicate with them early and often about expectations. What is communicated and how will of course depend on the purpose of the evaluation and the grantee's role in it. At a grant's inception, program staff should inform grantees that they may be expected to participate in an evaluation, share data with the Foundation and evaluators, and potentially, if relevant, have the results shared with the field (see Appendix B). It is never a good idea to surprise grantees with an evaluation. Often this expectation needs to be communicated and reinforced several times. As one grantee who reviewed this guide advised us, "Don't sugarcoat what the evaluation experience will entail." In the long run, everyone does better when expectations are clear.

Another reviewer said, "The relationship between the evaluators and the implementers is KEY" to successfully conducting an evaluation and applying the findings. If grantees are engaged about the evaluations that touch them, they will be: (1) more supportive with respect to data collection; (2) more likely to learn something that will improve their work; (3) less likely to dismiss the evaluation; and (4) better able to help strengthen the evaluation design, especially if engaged early. From a design perspective, this last point is quite

important: grantees can serve as a reality check and deepen understanding of the available data and data collection systems.

Crafting an RFP for an evaluator

The basic elements of an RFP to engage an evaluator include background information about the evaluation, its purpose, key evaluation questions, known available data sources, time frame for receiving results, intended audiences, preferred deadline for the deliverable, and amount of available funding. For examples of different ways to craft these documents, click here.[3]

Choosing an evaluator and developing an agreement

The ideal evaluator is strong technically, has subject matter expertise, is pragmatic, *and* communicates well, both verbally and in writing. Often in our work, cultural

Choosing an evaluator

The Communications Department conducted an evaluation of its Communications Academy, an intensive, multiday training for leaders from our grantee organizations. Under both time and budgetary restraints, staff had to choose between a firm with subject matter expertise and one with evaluation expertise, since they could not find an evaluator who possessed both. They ultimately chose communications experts. Although the team was pleased with the evaluation and used its findings to refine their program, it was less rigorous than their ideal. In retrospect, the Communications staff would have liked to create a "dream team" of individuals with both types of expertise.

The Education Program is conducting a three-year evaluation of its **Deeper Learning Network**. This initiative aims to create a coalition of K-12 schools to act as beacons of effective practice for building students' abilities to think critically, solve complex problems, and learn how to learn. After a rigorous planning process, the Program invited three leading research firms to submit evaluation proposals. To ensure broad support and buy-in from Network leaders, program staff solicited their detailed comments about the research design and methodology, along with feedback from research experts. These comments informed the team's choice of the best consultant to manage and implement this evaluation.

Building trust with grantees

The Community Leadership Project was launched in April 2009 as a $10 million funding partnership between the Packard, Irvine, and Hewlett foundations. Its purpose is to build the capacity of small and midsize nonprofits serving low-income people and communities of color in three California regions. The three foundations made grants to twenty-seven intermediary organizations that in turn regranted funds to community organizations and provided their leaders with technical assistance to strengthen a wide range of their skills and abilities.

The funders were interested in an evaluation that would assess the effectiveness of the overall project and also prove useful to the grantees.

Evaluation challenges. Because the evaluation was designed after the project was launched, it surprised the grantees. They were initially very resistant: participating would be costly in terms of their time (many organizations had just one or two staff members) and labor (participants would have to travel long distances to convene). In addition, some assessments seemed to duplicate internal evaluations the nonprofits had already developed.

Also, because the proposed organizational capacity building included support for grantees' cultural competency, it was important that the project evaluation likewise demonstrate sensitivity to cultural diversity as a key principle and concern.

Course corrections. Based on grantees' feedback, the funders made a number of course corrections during the evaluation. They simplified its methodology, coordinated with existing assessments, and reduced the number of required meetings and frequency of required reporting. They provided reimbursements for participants' time and travel expenses. And they hired an evaluator experienced in and sensitive to issues of culture in the communities.

Lessons learned. By responding to grantees' feedback, the funders encouraged their active engagement in the evaluation. Real-time learning allowed continual course corrections and proved more valuable than a summative evaluation. The evaluation consultant's cultural competency, an even more important asset than the funders originally anticipated, went a long way toward building trust with grantees.

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[3] This link is for internal use only. People outside of the Foundation will not be able to access it.

awareness and sensitivity to the context in which nonprofits are operating are also very important. If we cannot find that full package, it may sometimes be appropriate to broker such a marriage and bring people or teams together with complementary skills. Choices always involve trade-offs; it is important to manage their risks.

Engaging grantees can be helpful in the evaluator selection process. They not only become invested in the effort but also often contribute a useful pragmatic perspective.

When developing a contract or grant agreement with an evaluator, be sure to address questions of data ownership. Will we own the data and the research findings? Will the evaluator own them? Or will the grantee own them?

Implementation

More often than not, an evaluation's implementation does not go precisely as planned. Staying connected with the evaluator and the evaluation during implementation can go a long way towards ensuring responsiveness and a generally higher quality evaluation.

Managing the evaluation

Active management is essential. Talk with the evaluator regularly and ask what is or is not going well. Request periodic memos to document progress and any obstacles the evaluator is facing in data collection, data quality, or other areas. These exchanges can be useful forcing functions to keep an evaluation on track and to start troubleshooting early. Often the data collection in an evaluation mirrors some of the challenges faced by a program in other facets of its work, so evaluation progress updates can be helpful in multiple ways.

It can be especially useful to set an expectation of interim evaluation reports on preliminary findings or baseline data summaries. This will keep an evaluation on course, engage Foundation staff in the loop of learning, and allow any needed course corrections.

Responding to challenges

Not surprisingly, the best laid plans of an evaluation do not always unfold as designed on paper. Any number of challenges can emerge: a data source may be less reliable than predicted; survey response rates may be too low to draw conclusions; other interventions may have developed that make a planned comparison group suboptimal; or staff turnover in the selected firm may reduce confidence in the actual evaluation team.

If you hit these bumps or others in the evaluation road, it is important to pause, take stock of the challenges, revisit prior plans, consult appropriate stakeholders, consider alternative solutions, and make necessary course corrections.

Bumps in the evaluation road

A program officer recently commissioned an evaluation of her initiative to inform a funding recommendation to the Board. She hired an expert in the field as the evaluator, considering him best able to understand the field's complexities, nuances, and players.

Midway through the evaluation, she realized that this expert was strongly biased and could not objectively assess a community of practitioners to which he belonged. Although the evaluation was well under way, the program officer moved quickly to rectify the problem. She engaged an independent evaluator to work with the field expert, successfully gaining both the objectivity and the expertise she needed for a rigorous, relevant evaluation.

Don't forget to close the loop and communicate any changes to everyone invested in the work, including grantees.

Synthesizing results at the strategy level

Most strategies operate with several initiatives, often with multiple clusters nested in each. Typically, no single evaluation can tell us if a strategy has been successful or is on track. Such a comprehensive assessment requires synthesis of multiple evaluations, summary and analysis of relevant performance indicators, and active reflection on and interpretation of the results in context. This process can be more of a quilting art than an exact science. There is value in having a third party assist with such an evaluation to increase objectivity. However, strategy evaluation is a relatively new area in the evaluation field, and there is no consensus about what it should look like.

Using Results

Using results is often messier than anticipated. Sometimes, staff expect more confirmation of success than an evaluation typically delivers. Sometimes, an evaluation is not especially well done, and the results inspire limited confidence. Sometimes, staff simply do not know how to apply the lessons. They are uncertain how best to shift a strategy or overhaul a program.

From the very beginning of the evaluation process, it helps tremendously to plan how the results will be used; along the way, it is wise to remind yourself of those intended uses. Staffing changes—whether within the Foundation, the evaluation team, or a key grantee organization—present important moments to recommit to an evaluation and its intended uses. Often a short exercise of predicting the findings can helpfully surface assumptions about them and generate discussion about what might be done differently if these assumptions are not borne out.

Taking time for reflection

If in the beginning, you take time to imagine how you might respond to different results scenarios, you are halfway toward actual use of the findings!

Take time for reflection and the development of insights. Ask questions of the evaluators, grantees, your colleagues, yourself. Make sure you don't get all the way across the finish line of an evaluation and just file the report on a shelf or in a drawer. It is amazing how often this happens—partly because many evaluations have not been adequately planned with purpose, relevant questions, audiences, and timing considerations in mind.

Sharing results internally

Sharing the results of an evaluation with Foundation colleagues brings many benefits, and it is worthwhile to build this step into your process. For staff managing an evaluation, these discussions can crystallize the results, lead to

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Ways to think about using the data

▶ Convene grantees to discuss the results and recommendations

▶ Organize an internal briefing to share with your colleagues what you've learned, both about your strategy projects and the evaluation process itself

▶ Discuss with your board how the evaluation results will inform changes in your strategy or grantmaking approach

▶ Share a version of the evaluation (e.g., executive summary) with the field, accompanied by a memo detailing how you are applying the findings in practice

a deeper grasp of them, and force some grappling with what is not yet understood. It can also help staff think through what the results mean programmatically and how to apply them in practice. For members of other teams, review of the results can generate insights about their own programs, grantmaking approaches, or evaluation designs. An internal debrief at the conclusion of each evaluation about what went well and what did not, key lessons learned, and actions taken will help advance evaluation practice at the Foundation and keep us focused on designing evaluations with action in mind.

If another funder has collaboratively supported the evaluation, it is often appropriate to consider that partner an internal colleague with respect to sharing results and surfacing implications.

Sharing results externally

Our intention is to share evaluation results—both the successes and failures—so that others may learn from them. Out of respect, we communicate with our grantees early on about our intention to evaluate and listen to any concerns they may have about confidentiality. Grant agreement letters specify the organization's participation in an evaluation, clarify its purpose (including any anticipated effect on the grantee), the process for making decisions about it, and the roles for each party's participation. We also strike an agreement regarding the level of findings (full evaluation results, redacted evaluation results [no grantee names], or executive summary) that will be shared with which audience.

On principle, we consider the question of sharing evaluation findings on a case-by-case basis, with care given to issues of organizational confidentiality. For instance, if an evaluation is in part focused on questions of organizational development, it may be more useful for the findings to be shared only with that grantee, so it may use the results to drive improvement without having to take a defensive public stance.

Appendix C offers an internal planning tool for sharing results. It is designed to help program staff think about this process early on and consider implications for grantee organizations, requested reports, budgets, and communication plans.

The Foundation supports a considerable amount of grantmaking that involves regranting intermediaries, advocacy, and organizational capacity building. Over time, this Practice Guide will be expanded to cover evaluation of each of these grantmaking areas. We will develop special sections on these and other issues that have emerged in our own practice and which we discuss and explore in a series of special program staff meetings.

Evaluating Regranting Intermediaries

Every program at the Hewlett Foundation uses regranting intermediaries to help implement their grantmaking strategies and achieve their goals—for example, the Performing Arts Program, whose intermediaries support individual artists; the Environment Program, which funds the Energy Foundation to manage grant portfolios that promote clean energy; and the Education Program, which engaged Rockefeller Philanthropic Advisors in 2010 to invest in organizations whose work advances state policies that better support student achievement.

{ *A **regranting intermediary** is a charity that regrants funds under certain programmatic guidelines and often provides additional services such as capacity-building.* }

Evaluating the Foundation's regranting intermediaries is worth highlighting because of their prevalent use, the high dollar amount usually involved, and the complexities of this type of relationship. In addition, because these intermediaries carry forward our program strategies and reduce the programmatic dollars we directly provide grantees, it is important to assess their effectiveness and identify areas for improvement.

Evaluating a regranting intermediary requires a key element beyond all those already outlined in this guide: measuring the added value of the intermediary itself. To do this, you might seek to answer questions like these: How and to what extent is the intermediary adding value to its grantees? Is it just a middleman, supporting the transaction of regranting funds without adding much additional value? Or, is it able to offer important technical assistance to organizations by virtue of being closer to the ground? Where and with whom is the intermediary adding the most value, and where is it adding the least? What are the enablers and inhibitors to an intermediary's high performance? How does this intermediary's performance compare to others?

The following case study about the Think Tank Initiative is a worthy example because of its complexity: multiple funders, multiple levels of evaluation inquiry, and an internationally focused strategy and implementation plan.

Think Tank Initiative

The Think Tank Initiative is a ten-year, $100 million effort launched in 2009 with support from five major funders, including the Hewlett Foundation's Global Development and Population Program (GDP). The Initiative aims to strengthen independent research centers in the developing world so that their high-quality work can be used to formulate sound national policies. One funder also serves as the regrantor and implementation manager: the International Development Research Centre (IDRC). This quasi-public Canadian agency has forty years of experience supporting research on development.

The funders jointly agreed to commission an independent, external evaluation of the Initiative's first five years in order to inform decisions about the funding and design of the anticipated five-year Phase Two.

In planning for this evaluation, GDP staff quickly realized that it would be a complex undertaking for several reasons.

Establishing the evaluation framework. As planning began, it became apparent that the funders had different perspectives on which evaluation questions should take priority, initially resulting in a rather expansive evaluation framework. The evaluation team then struggled to design an approach to address the multitude of questions within the given timeframe and budget. Rather than propose ways to focus the framework, the team tried to incorporate everyone's input and concerns, which led to a muddled evaluation plan with far too many objectives.

Clarifying the different levels of evaluation. The funders ultimately concluded there was a need to address three different levels of inquiry in the assessment (illustrated by these simplified questions):

- **Initiative design:** How and to what extent did our theory of change play out in practice?

- **Program implementation:** How successfully did IDRC provide the needed support to its grantees to ensure their success?

- **Think tank impact:** In what ways and to what extent did the funded think tanks improve their performance and influence over the course of the grant period?

Still now, some funders are laser-focused on assessing the impact of individual think tanks, while others are satisfied with synthesized findings and a sampling approach that addresses the Initiative's overall success. However, this framework has proved to be a critical anchoring point for the evaluation. It enables recognition of three areas of inquiry and analysis and the different methodologies required for each.

Structuring and managing the process. Initially, because of IDRC's extensive institutional expertise with evaluation, the funders asked it to manage the selection of a team of experts to run the external evaluation. This turned out to be problematic for two reasons. First, having the implementing organization in charge of the evaluation did not ensure that it would be truly conducted at arm's length. Second, given the evaluation's scale and complexities, it was ineffective to piece together a team of individuals who had not worked together in the past, were not physically colocated, and did not have the required program management skills and experience.

As a result, the entire approach was revised. The funders' Executive Committee decided it should directly commission and manage the evaluation, nominating a committee member as the point person to coordinate the evaluation team selection process. The funders worked together to revise the evaluation's scope, questions, and clarity of deliverables. They selected an independent, collaborative evaluation team from two institutions that have partnered on a number of projects in the past, each bringing unique core competencies. And, they explicitly articulated and agreed on an evaluation plan that includes the timely submission of deliverables and ongoing communication between the funders and the implementer (IDRC).

The evaluation is currently proceeding on track, having significantly reduced the barriers to success. The Think Tank Initiative team is relatively confident that the final evaluation reports will be rigorous, nuanced, reliable resources that can guide decisions about the Initiative's future direction.

APPENDIX A   GLOSSARY

Activities. The actions taken by the Foundation or a grantee to achieve intermediate outcomes and make progress toward the achievement of goals. [Gates Foundation glossary]

Baseline. An analysis or description of the situation prior to an intervention, against which progress can be assessed or comparisons made. [Gates Foundation glossary]

Cluster. A small group of grants with complementary activities and objectives that collectively advance a strategy toward its goal.

Component. The different areas of work in which a program decides to invest its resources in order to achieve its goals. Each component typically has its own theory of change, logic model, strategy, and progress indicators and outcomes—all of which are designed to advance the program's overall goals.

Evaluation. An independent, systematic investigation into how, why, and to what extent objectives or goals are achieved. It can help the Foundation answer key questions about grants, clusters of grants, components, initiatives, or strategy. [Variant of Gates Foundation glossary]

> **Impact Evaluation**. A type of evaluation design that assesses the changes that can be attributed to a particular intervention. It is based on models of cause and effect and requires a credible counterfactual (sometimes referred to as a control group or comparison group) to control for factors other than the intervention that might account for the observed change. [Gates Foundation glossary; USAID Evaluation Policy]

> **Performance Evaluation**. A type of evaluation design that focuses on descriptive or normative questions. It often incorporates before/after comparisons and generally lacks a rigorously defined counterfactual. [USAID Evaluation Policy]

> **Formative Evaluation**. An evaluation that occurs during a grant, initiative, or strategy to assess how things are working while plans are still being developed and implementation is ongoing. [Gates Foundation glossary]

> **Summative Evaluation**. An evaluation that occurs after a grant or intervention is complete in order to fully assess overall achievements and shortcomings. [Gates Foundation glossary]

> **Developmental Evaluation**. A "learn-by-doing" evaluative process that has the purpose of helping develop an innovation, intervention, or program. The evaluator typically becomes part of the design team, fully participating in decisions and facilitating discussion through the use of evaluative questions and data. [Variant of *The Encyclopedia of Evaluation* (Mathison, 2005) and *Developmental Evaluation* (Quinn Patton, 2011)]

Evidence. A general term that refers to qualitative and quantitative data that can inform a decision.

Goal. A clearly defined, specific, achievable, and measurable program outcome that is broad enough to capture long-term aspirations but tailored to be achievable with the program's resources. It includes both a rationale and scope.

> **Rationale**. An explanation of why a specific goal is important and what distinct advantages and capabilities the Foundation could bring to bear in addressing it.

> **Scope**. A description of the geographies, topics, or other targets where grantmaking will be focused in order to make the greatest marginal impact with program resources, or to align with Foundation values. [OFG Overview]

Grant. A sum of money used to fund a specific project, program, or organization, as specified by the terms of the grant award.

Indicators. Quantitative or qualitative variables that specify results for a particular strategy, component, initiative, subcomponent, cluster, or grantee. [Gates Foundation glossary]

Initiative. A time-bound area of work at the Foundation with a discrete strategy and goals. Initiatives reside within a program, despite occasionally having goals distinct from it (e.g., the Think Tank Initiative within the Global Development and Population Program and the Nuclear Security Initiative within the Environment Program).

Inputs. The resources used to implement activities. [Gates Foundation glossary]

Logic Model. A visual graphic that shows the sequence of activities and outcomes that lead to goal achievement. [OFG Overview]

Metrics. Measurements that help track progress throughout a grant, component, initiative, or strategy.

Monitoring. A process of tracking the milestones and progress of a grant or portfolio against expectations, for purposes of compliance and adjustment. Evaluation will often draw on grant monitoring data but will typically include other methods and data sources to answer more strategic questions.

M&E. An acronym used as shorthand to broadly denote monitoring and evaluation activities. It includes both the ongoing use of data for accountability and learning throughout the life of a grant, component, initiative, or strategy, as well as an examination of whether outcomes and impacts have been achieved. [Gates Foundation glossary]

Outcome-focused Grantmaking (OFG). A structured, strategic approach to grantmaking designed to achieve the most impact with philanthropic funds. It is based on strategic planning principles from both business and philanthropy. [OFG Overview]

Outcomes. Results or change, ideally observable and measurable, based on a set of inputs and activities. Outcomes can be intermediate (e.g., results that serve as steps toward a goal) or ultimate (e.g., the goal).

Strategy. A plan of action designed to achieve a particular goal.

Targets. The desired level for goals the program plans to achieve with its funding. They are based on metrics and should be ambitious but achievable within the specified time frame.

Theory of Change. A set of assumptions that describe the known and hypothesized social and natural science underlying the graphic depiction in a logic model. [OFG Overview]

APPENDIX B   EVALUATION CONSENT IN GRANT AGREEMENT LETTERS

The Hewlett Foundation tries to be as transparent as possible to its grantees about its desire to conduct evaluations, either of the grantee itself or of a larger initiative to which the grantee's work contributes. To this end, Foundation grant agreement letters (essentially, our legal contract with an organization that receives funding) now include language stating our expectation that grantees will cooperate with Foundation evaluation efforts, as requested.

Default language for all grant agreement letters:
The Foundation may choose to conduct an evaluation of the effectiveness of this grant (the "Evaluation") either individually or as part of a broader Foundation strategy. Grantee agrees to cooperate in the Evaluation and provide such information to the Foundation or its representatives as necessary.

Grantee further agrees that the Foundation can disseminate to the public the results of the Evaluation, including any data created in connection with the Evaluation. In such cases, the Foundation may share the results of the Evaluation with the Grantee and may provide an opportunity for the Grantee to comment.

At the request of program staff, this default language may be changed to one of these alternatives:

1. **(Executive Summary)** Grantee agrees that the Foundation may disseminate to the public an executive summary of the results of the Evaluation. In such cases, the Foundation may share such executive summary with the Grantee and may provide an opportunity for the Grantee to comment.

2. **(Redacted Version)** Grantee agrees that the Foundation may disseminate to the public a redacted version of the Evaluation, including summary data created in connection with the Evaluation. In such cases, the Foundation may share the redacted version with the Grantee and may provide an opportunity for the Grantee to comment.

3. **(Internal Use Only)** The Foundation may share the results of the Evaluation internally with staff and consultants. The Foundation will not share the results of the evaluation publicly without the written permission of the Grantee.

APPENDIX C PLANNING TOOL: SHARING RESULTS

Consistent with our newly adopted *"Evaluation Principles and Practice"* guide, we will consider and identify audiences for our evaluation findings early in the process, during the planning stage. We will presumptively share the results of our evaluations so that others may learn from our successes and failures. We will make principled exceptions on a case by case basis, with care given to issues of confidentiality and supporting an organization's improvement.

This internal tool is intended to help staff be intentional about the audiences with which we plan to share specific evaluation results, and articulate the rationale for cases where we plan to limit the distribution of evaluation results.

Grantee/Cluster/ Initiative/Strategy:				
Evaluation Purpose:				
WHO? (Audience)	**WHAT? (Product*)**	**WHY? (Communications strategy/purpose)**	**HOW? (Messenger)**	**NOTES (e.g., lead PO, timing, sequencing)**
Default (transparency)				
General public		-	HF website	
HF program colleagues		-		
HF administrative colleagues		-		
Optional (strategic outreach)				
HF Board				
Grantees evaluated				
Evaluation interviewees				
Co-funders				
Other funders in the space				
Funder affinity groups				
Grantee affinity groups				
Field opinion leaders, government officials, academia				
Media				

* The "product" could consist of: (1) Full evaluation results; (2) Redacted version (no identifying organizational names or characteristics, or other confidential information); or (3) Executive summary only (a high level summary of findings).

APPENDIX D   ACKNOWLEDGMENTS

This document reflects the input of virtually every member of the Foundation's program staff and many other staff members over a period of almost a year.

We would like to thank the following grantee organizations, other partners and peer funders for reviewing this paper and providing valuable feedback:

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The James Irvine Foundation
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John D. and Catherine T. MacArthur Foundation
Marin Community Foundation
The MasterCard Foundation
Melinda Tuan Consulting
Gordon and Betty Moore Foundation
The National Campaign to Prevent Teen and Unplanned Pregnancy
Oak Foundation
The David and Lucile Packard Foundation
Ploughshares Fund
Pratham
Redstone Strategy Group, LLC
The San Francisco Foundation
Uwezo

BENCHMARKS FOR SPENDING ON EVALUATION

THE WILLIAM AND FLORA HEWLETT FOUNDATION

Prepared by

Fay Twersky
Amy Arbreton
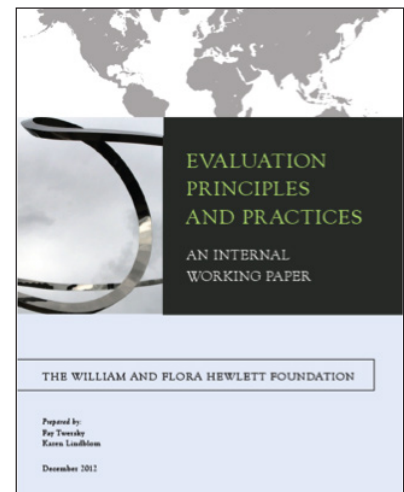
April 2014

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1 BACKGROUND

IN NOVEMBER 2012'S BOARD MEETING, A QUESTION WAS RAISED ABOUT HOW MUCH THE Foundation should spend each year on evaluation.[1] The question was prompted in part by a presentation made earlier, at the September Board Retreat, which laid out our plans to incorporate evaluation planning into the programs' strategy development process and to be more systematic about using third-party evaluations. These changes, in turn, call upon us to articulate benchmarks for the expected costs of evaluating our grantmaking programs' progress and outcomes.

Under Paul Brest's leadership, the Foundation developed a rigorous, nine-step process for designing grantmaking strategies that we call "outcome-focused grantmaking" (OFG).[2] While OFG recognizes the importance of evaluation, the practice remained loosely defined and inconsistently employed until 2012, when the Foundation developed the "evaluation principles and practices" discussed at the September 2012 retreat.

In order usefully to inform ongoing decision making in areas as diverse as performing arts, education, environment, and global development, these principles and practices must be pragmatic and flexible. To support their implementation and ensure consistent, high-quality evaluation across programs, we hired the Foundation's first evaluation officer in 2013. Programs remain responsible for commissioning their own evaluations, with the evaluation officer providing technical assistance in design, planning, and analysis.

By providing information about what is or is not working, evaluations can improve not only our funding decisions but also the work of our grantees, with whom we share the results and who likewise learn from them. Beyond even this, by providing evidence of success or failure in areas where others also work, evaluations can help to improve practice generally. Who benefits from an evaluation affects how we pay for it. If an evaluation benefits others, whether this be particular grantees or a field generally, it is recognized as a "direct charitable activity" by the IRS and can be budgeted out of grant dollars. If not, it is considered an administrative expense and will be funded from our administrative budget.

In practice, the line between work that has use outside the Foundation and work that is wholly internal is often fuzzy (which means we have some discretion about funding an evaluation from our grant budget or our administrative budget). For present purposes, our focus is on evaluations that at minimum influence and improve our own funding decisions, recognizing that these are sometimes useful to outside actors and regardless of their funding source.

EVALUATION PRINCIPLES AND PRACTICES

AN INTERNAL WORKING PAPER

THE WILLIAM AND FLORA HEWLETT FOUNDATION

Prepared by:
Fay Twersky
Karen Lindblom

December 2012

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1 For the purpose of this memo, "evaluation" refers to studies and assessments conducted by a third party.

2 http://www.hewlett.org/uploads/documents/Outcome_Focused_Grantmaking_March_2012.pdf

TRENDS IN EVALUATION SPENDING

OVER THE LAST THREE YEARS, WE HAVE SPENT BETWEEN 0.7 PERCENT AND 1.2 PERCENT OF programmatic dollars on evaluation. If we exclude our grant to ClimateWorks from the calculation (to avoid the distortion created by its unusual size), the proportion becomes slightly higher, placing our evaluation spending between 1.0 percent and 1.7 percent of programmatic dollars.

The question is, how much should we be spending?

Conventional wisdom long held that a serious commitment to evaluation required spending on the order of 5 to 10 percent of programmatic budgets. In 2010, the Evaluation Roundtable (an association of evaluation professionals) carried out a benchmarking study and found the actual foundation industry norm to be 3.7 percent. Spending varied with, among other things, the size of the foundation. Because the costs of evaluation do not rise proportionately with program costs,[3] larger foundations typically spent a somewhat smaller proportion of their budgets on evaluation than did smaller foundations, even if they were equally serious about evaluation.

The Evaluation Roundtable has not been able to repeat its benchmarking, so in preparing this memo, we conducted a benchmarking effort of our own by polling other foundations that we believe have strong evaluation practices.[4] We asked how much they typically spend on evaluations intended to inform their own grantmaking and strategic decisions. We asked them to exclude research studies like randomized controlled trials that are foremost intended to inform a field. Figure 1 shows our proportional spending compared with these institutions.

In examining these figures, bear in mind that most foundations (including ours) do not have good systems for tracking evaluation spending and that we all classify and calculate evaluation costs in slightly different ways. Hence, colleagues at other foundations prefaced their replies to our inquiry with an apology that the data were not as rigorously compiled as they would have liked, with some suggesting that their reports were closer to an estimate than an actual accounting. Even with that caveat, however, the

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3 There is a basic threshold cost for a decent evaluation. Expenses associated with research and instrument design, site visits, data analysis, report preparation, and project management don't rise proportionally with program expenditures.

4 We drew largely upon an active group of foundation evaluation professionals who agreed to share their evaluation spending with us. For the purpose of this public version of the memo, we have "blinded" the names of the other foundations.
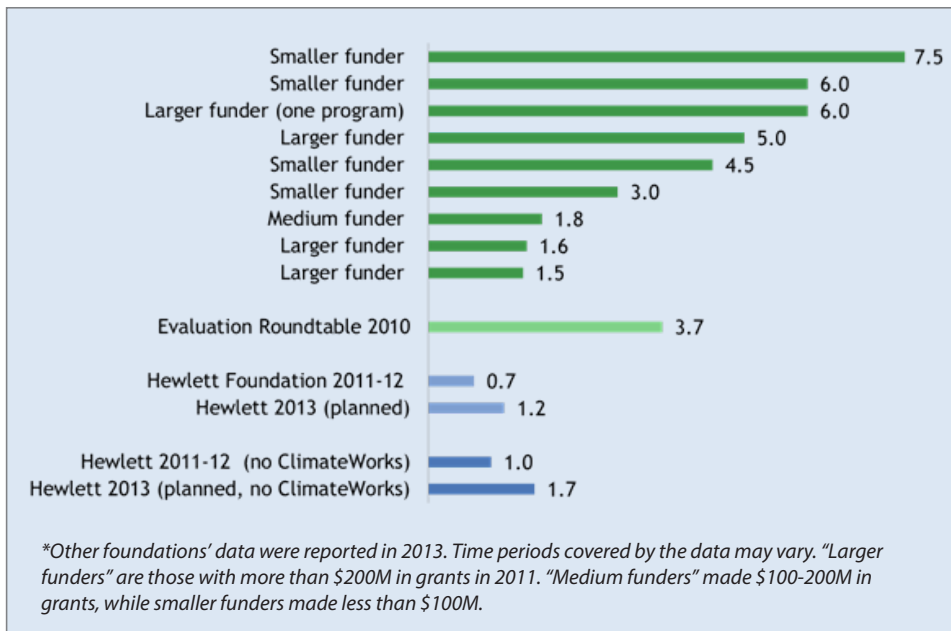
Smaller funder — 7.5
Smaller funder — 6.0
Larger funder (one program) — 6.0
Larger funder — 5.0
Smaller funder — 4.5
Smaller funder — 3.0
Medium funder — 1.8
Larger funder — 1.6
Larger funder — 1.5

Evaluation Roundtable 2010 — 3.7

Hewlett Foundation 2011-12 — 0.7
Hewlett 2013 (planned) — 1.2

Hewlett 2011-12 (no ClimateWorks) — 1.0
Hewlett 2013 (planned, no ClimateWorks) — 1.7

Other foundations' data were reported in 2013. Time periods covered by the data may vary. "Larger funders" are those with more than $200M in grants in 2011. "Medium funders" made $100-200M in grants, while smaller funders made less than $100M.

FIGURE 1 Percent of budget spent on evaluation relative to overall grant budget*

information is roughly accurate, and it puts the Hewlett Foundation at the very low end of the spending curve. [5]

A number of factors explain this result, including

1. Size. We are a large foundation, and our spending resembles the proportionately lower spending of other big foundations.

2. Focus. We have generally focused on getting our initial strategies right, thus concentrating our energy and efforts at the front end of the OFG process.

3. Time. We are leanly staffed, and program officers have limited time to commission and oversee evaluation work.

4. Evaluation know-how. Program officers are hired for their domain expertise, and few come with evaluation experience or skills. Unlike the foundations we consulted, we have not had technical evaluation staff (until this year). This lack of evaluation know-how, in turn, may have inhibited staff from commissioning evaluation efforts in the first place.

5. Pressure on administrative budget. Desire to keep administrative costs low, given factors two through four above, may have encouraged underinvesting in evaluation.

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5 There are instances in which we are able to take advantage of evaluation efforts funded by others. The recent evaluation of the Think Tank Initiative, which was paid for by the Gates Foundation, is an example. Just as often, however, other funders free ride on our efforts. In terms of overall spending, we believe these costs and savings are probably a wash.

EVALUATION AS LEVERAGE

WHICH RAISES THE IMPORTANT QUESTION: WHY SPEND ANYTHING ON EVALUATION? WHY NOT keep administrative costs lower or use these resources for grants? What benefit do we get from doing this work?

The answer, in a word, is leverage. We invest a little to learn a lot, and in learning we make our grant dollars more effective and more efficient. We gain information that facilitates superior grant allocations going forward, helps us adapt current grantmaking, reveals promising new directions for work, and so on. Evaluation helps us make our grant dollars go farther and do more, and it does so in a way that we believe makes the net benefits well worth the expenditure.

Examples of evaluations that provided important, leveraged learning can be found across all of our programs. Consider some very recent illustrations.[6]

A. Open Educational Resources

Open educational resources, or OER, comprise teaching, learning, and research resources that reside in the public domain or have been released under an intellectual property license that permits their free use by others. Since 2009, the Education Program has funded four national grantees to increase awareness of OER among policymakers and to promote government procurement policies and implementation guidelines that are favorable to OER. The Foundation also invested to create a coalition of like-minded nonprofits working on this issue.

In 2013, after the OER movement achieved several significant policy victories at both the federal and state levels, the Education Program commissioned a $63,000 evaluation to assess the $1.2 million it had spent over the previous four years—seeking to understand the role our grantees had played in securing these victories, the effectiveness of the coalition structure, and the best approach to future investments. The evaluation found that the policy victories were produced chiefly by the efforts of "inside champions" in the policymaking bodies. While the grantees' efforts were focused on broader advocacy, this was having less of an effect. The
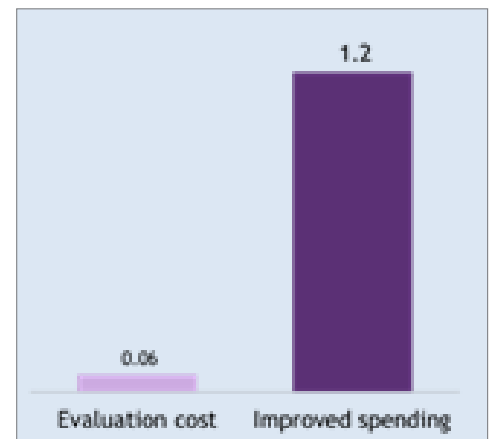

FIGURE 2 OER evaluation leverage ($M)

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6 Leverage is calculated for each case by comparing the cost of the evaluation with the grantmaking dollars affected by the evaluation findings. In some cases, an evaluation might inform only future grantmaking in an area. In other cases, an evaluation might inform current grants as well as future grantmaking.

evaluation also concluded that the coalition was not an efficient structure to produce the desired outcomes.

Based on this feedback, the Education Program has shifted its approach for its next $1.2 million investment. The program will focus on developing inside champions directly, while tying off some of the support for the less effective part of the strategy and rethinking the coalition structure. As Program Officer Vic Vuchic explains, the evaluation provided "not just capital efficiency, but also strategic discovery."

B. Western Conservation

During the past five years, the Western Conservation team spent approximately $60,000 on evaluation each year, continually using what it learned to refine its work in real time. For example, a 2011 evaluation of grantmaking to lessen the impact of fossil energy development in the West concluded that significant new investments were needed in communications capacity. This led to grants to two new organizations that proved highly successful in supporting our efforts.

The Western Conservation team's mid-course strategy evaluation provides a still clearer illustration of the kind of leverage that can be produced by a high-quality evaluation. This $200,000 effort assessed the effectiveness of the team's approach from the perspectives of both science and policy. Results have led to important adjustments that will significantly improve our conservation strategy, which will spend approximately $21 million per year in its next five-year phase.[7] Given the Boreal co-investment agreement the team expects to strike with two other foundations as a result of this evaluation, the grant dollars affected will be more on the order of $27 million per year.
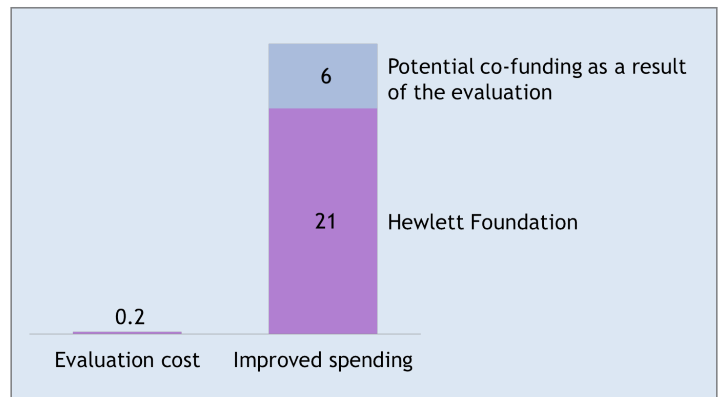

FIGURE 3 Western conservation evaluation leverage ($M)

C. Community Leadership Project

The Community Leadership Project was launched in April 2009 as a partnership between the Packard, Irvine, and Hewlett foundations. Its purpose is to build the leadership capacity of small and midsize nonprofits serving low-income people and communities of color in three California regions. In Phase I, the three foundations made grants totaling $10 million to twenty-seven intermediary organizations, which re-granted funds and provided assistance to a diverse set of community organizations.

The Project brought with it a number of challenges—including complex dynamics between funders, technical assistance providers, and grantees; the

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7 One might imagine the leverage being five times the amount listed here since the $27 million is an annual amount. Thus our leverage estimate in this instance is on the conservative side.

need for cultural sensitivity in dealing with diverse populations and organizations; and grantees' limited staff time to participate in Project activities. An evaluation was commissioned early on to inform the Project's uncertain theory of change and figure out ways to improve its implementation.

The $500,000 evaluation revealed many insights about how to provide effective, culturally competent assistance to these organizations and their leaders. The lessons learned—both what to do and what not to do—have significantly improved the Project's execution. These lessons include refinements in the criteria used to determine a potential grantee's readiness to participate and improved ways to anticipate and handle logistical challenges that small nonprofits uniquely face when asked to attend meetings or otherwise participate in the initiative. The evaluation also provided critical feedback that led to a more focused design for Phase II, which provided a second $10 million in grants.

As a result of this evaluation, Phase II involves far fewer intermediaries; includes highly integrated technical assistance along with general operating support; focuses more on smaller organizations; and gives greater attention to financial sustainability and leadership development.

The math is simple: if an evaluation whose cost is equal to 5 percent of the grants under review delivers results that are 10 percent better as a result of the evaluative information, it is a worthwhile expenditure; if it delivers a 50 percent improvement, the return is extraordinary. If it frees up funds not otherwise being spent well, it allows for new experimentation and learning. In other words, a small amount of evaluative information can result in directional guidance that generates better outcomes through smarter spending.
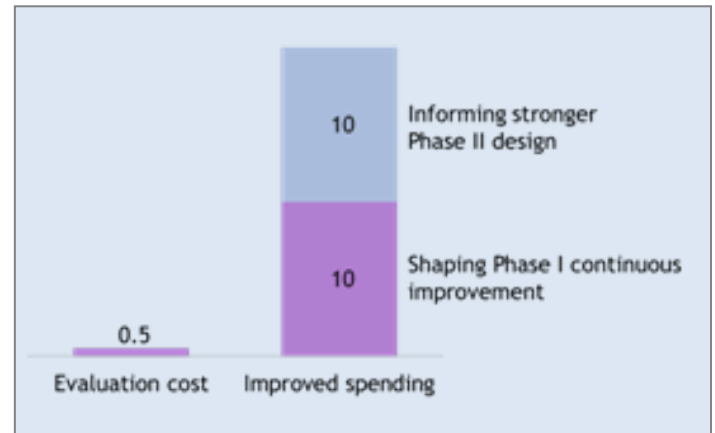

FIGURE 4 Community Leadership Project evaluation leverage ($M)

4 ROOM FOR IMPROVEMENT

WHILE THESE EXAMPLES (AND MANY OTHERS WE COULD SIMILARLY OFFER) ILLUSTRATE THE Hewlett Foundation's effective use of evaluations, we can do still better. In particular, we believe we can capture additional value from evaluation if we (1) focus more serious attention on high-stakes work, (2) integrate evaluation concerns into the design of our strategies, and (3) strengthen our methodology. We discuss these briefly below.

A. Focusing on High-Stakes Work

ClimateWorks 1.0 was the Hewlett Foundation's single largest grant ever in the amount of $500 million over 5 years. Yet rather than commission an independent evaluation of the initiative, we deferred to ClimateWorks to "own" the evaluation. ClimateWorks spent $400,000 (.08% of our grant and .04% of the total $1.1 billion in grants provided by three foundations) on an evaluation effort designed to track the network's success in reducing carbon emissions—far too modest an investment and narrow a scope of questions for an initiative of this size. The resulting evaluation fell short of providing the kind of timely, critical information needed for ongoing learning and course correction. For instance, the evaluations did not consider questions of organizational health and development—an almost certain stumbling block when launching a big intermediary start-up—and despite the regular evaluation reports, there was minimal application of analysis into action.

We believe that an independent and more robust evaluation of ClimateWorks, one in which the Hewlett Foundation and the other funders held at least part of the contract, could have surfaced challenges sooner—perhaps in time for an earlier course correction. Spending a little more early on would have been a wise investment, possibly saving a lot of time (and money) in keeping this climate initiative on track.

Good news: we are planning for stronger evaluation of the Climate Change Initiative going forward, involving more funders and in close coordination with the ClimateWorks 2.0 team. The evaluation will draw on a wider base of methods for data collection and be designed to answer key questions in a pragmatic and rigorous fashion.

B. Planning Early for Evaluation

A key principle we adopted this past year is to incorporate evaluation into the process of strategy development. This does not mean that we evaluate

everything. It simply means that early in the process of developing a strategy we consider the kinds of information we'll need to test our assumptions and to determine success. This allows us to plan in a stepwise fashion for data collection and use.

To understand the importance of early evaluation planning, consider an example in which we failed to do so: the Philanthropy Program's Nonprofit Marketplace Initiative. By the time we commissioned a first evaluation, eight years into the strategy, we had lost the ability to collect good baseline data. In addition, an inadequate focus on evaluation at the outset had contributed to lack of clarity about what would constitute success. When we did evaluate, the results were disappointing.[8] Had the Foundation considered evaluation from the beginning and collected actionable data along the way, we might have positioned ourselves to address key challenges or change course earlier.

Good news: as we develop new strategies, program teams now routinely plan for evaluation from the beginning. Examples include the strategy refreshes in Western Conservation and International Reproductive Health and Family Planning.

C. Strengthening Methods

Finally, many of our past evaluations could have been stronger methodologically, which would have added greater certainty and nuance to the findings. The Foundation has commissioned evaluations whose guiding questions were not crisply articulated or that relied too heavily on qualitative point-in-time interviews as their sole method. Much evaluation work, especially in the policy and advocacy arenas, must necessarily rely on qualitative information; there are, however, ways to strengthen these evaluations by using appropriate metrics or multiple methods over a series of points in time.

Good news: current evaluations are more commonly incorporating multiple methods into their original designs. We expect our new evaluation officer to be especially helpful in this regard.

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8 http://www.hewlett.org/library/call-proposals/evaluation-nonprofit-marketplace-initiative

5 RECOMMENDATIONS FOR SPENDING TARGETS

TO ENSURE WE LEARN WHAT IS NEEDED TO MAKE TIMELY, INFORMED, SMART DECISIONS—AND in this way to get the greatest leverage from our grant dollars—we recommend a modest increase in the amount we currently spend on evaluation. We need not aim for the top of the spending chart in Figure 1: spending only what is needed to make the adjustments described above will significantly improve the quality of our evaluation practice and so make the rest of our grantmaking that much better.

There is no mathematical formula or simple process to use to establish a budget target, so we approached the task in two ways. First, we looked at current spending and the quality of work and results it has purchased and made an educated guess. As noted above, our 2013 evaluation spending looks to be 1.2 percent of our grant budget (including ClimateWorks). Realistically correcting for the sorts of improvements discussed above suggests increasing our spending to approximately 2 percent. Depending on how much value the evaluations add, we could increase our spending incrementally from there.

As a check on this top-down estimate, we conducted a corresponding bottom-up budgeting exercise with colleagues from the Redstone Strategy Group. In this, we sought to operationalize the evaluation principles and practices laid out in our 2012 working paper. According to this exercise, we could usefully increase our spending to 2.3 percent of program spending.

Putting this all together leads us to make the following recommendations for the Board's consideration:
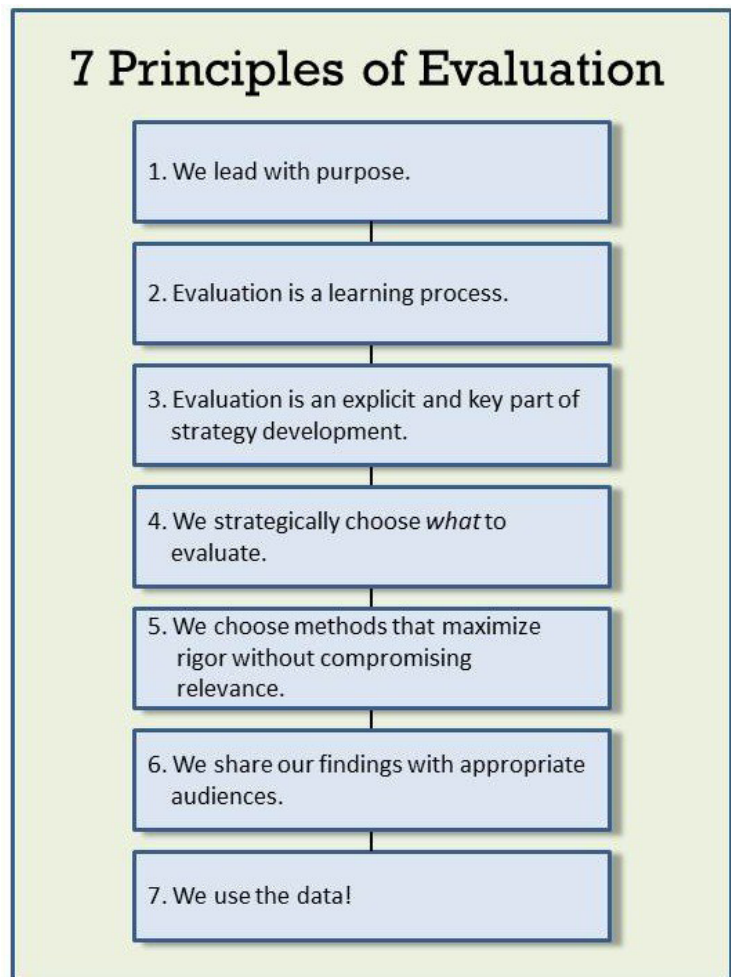
1. Over the next three years, the Foundation should aim to increase its spending on evaluation to approximately 2 percent of program spending. (In actual dollars, this means increasing our spending from $4.0 million in 2013 to $6.6 million in 2016.)

2. The focus of our increased spending should be on improving the quality and practicality of our evaluations (as opposed to simply funding more of them), thereby producing insights that add value and lead to better grantmaking.

3. We will continue to pay for evaluations with a mix of administrative and grant budget funding. This means the additional spending should have minimal impact on our administrative costs, as both grant-funded evaluations and contracts that qualify in whole or in part as direct charitable activities are treated as coming from the grants budget without affecting administrative overhead.

4. We should improve our systems for tracking evaluation expenditures so we have more accurate data on overall costs and on the costs associated with different types of evaluations.

5. We will assess the value we are deriving from evaluation and report back to the Board in three years.

APPENDIX 1   THE WILLIAM AND FLORA HEWLETT FOUNDATION'S EVALUATION PRINCIPLES

We aspire to have the following principles guide our evaluation practice:

1. We lead with purpose. We design evaluations with actions and decisions in mind. We ask, "How and when will we use the information that comes from this evaluation?" By anticipating our information needs, we are more likely to design and commission evaluations that will be useful and used. It is all too common in the sector for evaluations to be commissioned without a clear purpose and then to be shelved without generating useful insights. We do not want to fall into that trap.

2. Evaluation is fundamentally a learning process. As we engage in evaluation planning, implementation, and use of results, we actively learn and adapt. Evaluative thinking and planning inform strategy development and target setting. They help clarify the evidence and assumptions that undergird our approach. As we implement our strategies, we use evaluation as a key vehicle for learning, bringing new insights to our work and the work of others.

3. We treat evaluation as an explicit and key part of strategy development. Building evaluative thinking into our strategy development process does two things: (1) it helps articulate the key assumptions and logical (or illogical) connections in a theory of change; and (2) it establishes a starting point for evaluation questions and a proposal for answering them in a practical, meaningful sequence, with actions and decisions in mind.

4. We cannot evaluate everything, so we choose strategically. Several criteria guide decisions about where to put our evaluation dollars, including the opportunity for learning; any urgency to make course corrections or future funding decisions; the potential for strategic or reputational risk; size of investment as a proxy for importance; and the expectation of a positive expected return from the dollars invested in an evaluation.

7 Principles of Evaluation

1. We lead with purpose.

2. Evaluation is a learning process.

3. Evaluation is an explicit and key part of strategy development.

4. We strategically choose *what* to evaluate.

5. We choose methods that maximize rigor without compromising relevance.

6. We share our findings with appropriate audiences.

7. We use the data!

5. We choose methods of measurement that allow us to maximize rigor without compromising relevance. We seek to match methods to questions and do not routinely choose one approach or privilege one method over others. We seek to use multiple methods and data sources when possible in order to strengthen our evaluation design and reduce bias. All evaluations clearly articulate methods used and their limitations.

6. We share our intentions to evaluate, and our findings, with appropriate audiences. As we plan evaluations, we consider and identify audiences for the findings. We communicate early with our grantees and co-funders about our intention to evaluate and involve them as appropriate in issues of design and interpretation. We presumptively share the results of our evaluations so that others may learn from our successes and failures. We will make principled exceptions on a case-by-case basis, with care given to issues of confidentiality and support for an organization's improvement.

7. We use the data! We take time to reflect on the results, generate implications for policy or practice, and adapt as appropriate. We recognize the value in combining the insights from evaluation results with the wisdom from our own experiences. We support our grantees to do the same.