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State Implementation of Reforms Promoted Under the Recovery Act

A Report From Charting the Progress of Education Reform:
An Evaluation of the Recovery Act's Role

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Disclosure of Potential Conflicts of Interest

The study team for this report consisted of a prime contractor, Westat, and a subcontractor, Policy Studies Associates. None of the authors or other staff involved in the study has financial interests that could be affected by findings from the evaluation.

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Executive Summary

Introduction

The American Recovery and Reinvestment Act (ARRA or the Recovery Act) of 2009 provided an unprecedented level of funding for K-12 education. The program created a “historic opportunity to save hundreds of thousands of jobs, support states and school districts, and advance reforms and improvements that will create long-lasting results for our students and our nation.”¹ Specifically, the Recovery Act allocated \$70.6 billion in funding for K-12 education, of which \$6.8 billion was awarded to states through a combination of newly created and existing grant programs, including the State Fiscal Stabilization Fund (SFSF) formula grants, Race to the Top (RTT) discretionary grants, and additional funding for the School Improvement Grant (SIG) program. In return for Recovery Act grants, recipients were required to commit to four specific core reforms or assurances:

- Adopting rigorous college-ready and career-ready standards and high-quality assessments,
- Establishing data systems and using data to improve performance,
- Increasing teacher effectiveness and the equitable distribution of effective teachers, and
- Turning around the lowest performing schools.

By linking a commitment to the four assurances with receipt of funding, the Recovery Act signaled federal priorities; provided states, districts, and schools with incentives to initiate or intensify reforms in each of these areas; and encouraged states to pursue a combination of mutually supporting reform strategies.

This report is part of the multi-year U.S. Department of Education (ED) evaluation *Charting the Progress of Education Reform: An Evaluation of the Recovery Act’s Role*. ED seeks to understand through this evaluation how states, districts, and schools are working to implement the education reforms promoted by the Recovery Act. The current report focuses on whether, and how, state education agencies (SEAs) were implementing the reforms that the Recovery Act emphasized one year after the act was passed and sets the stage for examination of implementation at the local level.²

Study Questions and Methods

This report provides a picture of the prevalence and progress of the reform agenda promoted by the Recovery Act. A primary focus is SEA implementation of reforms in 2010-11, the first full school year after all Recovery Act funds were awarded. The education policies embedded in the Recovery Act were introduced into an ongoing stream of federal and state reform activity and states had undertaken some reforms before the act’s passage. Therefore, the report also examines SEA implementation of reforms in 2009-10 and explores the extent to which 2010-11 reform activities represented progress. It should be

¹ *The American Recovery and Reinvestment Act of 2009: Saving and Creating Jobs and Reforming Education* March 2009. <http://www2.ed.gov/policy/gen/leg/recovery/implementation.html>

² The report does not assess the relationship between the amount of Recovery Act funds received or the receipt of funds from specific grant programs and the implementation of reform. All states commit to the four core reforms or assurances as a condition for receiving funds and more than 90 percent of the Recovery Act grant funding was awarded by formula to all states.

noted that while this report describes state-level reform implementation it does not attempt to attribute change—or lack of change—to the Recovery Act’s requirements and incentives.

In examining SEA level implementation of the Recovery Act reforms, the design of this study took into account that the act’s initiatives recognized the critical but differing roles of states in fostering reform across the four assurance areas. All states, for example, establish academic content and student performance standards and the assessments used to measure student performance. Thus, federal incentives were directed toward state adoption of specific standards and assessments. Many states, however, do not require districts to adopt these standards or state-developed curricular materials aligned with standards, and states vary widely in their role in providing professional development to educators.³ In these and other cases, federal policy promoted multiple strategies for state implementation of the core reforms, and the study was designed to capture multiple forms of state level activity.

Study Questions

Specifically, this report addresses the following questions:

- To what extent did SEAs report implementing key reform strategies promoted by the Recovery Act in the 2010-11 school year?
- How much of the 2010-11 school year implementation reflects progress since the Recovery Act?
- What were the greatest reform implementation challenges for SEAs in the 2010-11 school year?

Data Sources

The findings in this report were drawn primarily from surveys of all 50 SEAs and the District of Columbia (DC) administered during spring 2011. Survey respondents were the chief state school officer or other state agency officials designated by the chief as most knowledgeable about the topics in the survey (e.g., associate or deputy superintendent, director of curriculum and instruction, director of assessment and accountability).

The survey was developed to describe state adoption of specific education policies during 2009-10 (the prior year) and 2010-11 (the current year), the state role in supporting implementation of these reforms, and challenges in implementing the reforms in each of the four assurance areas.⁴ The survey items were designed to capture the key reform practices or strategies ED identified in its grant notices, regulations, and guidance for the Recovery Act programs. The specific strategies and activities related to key reforms were described in the SFSF assurance indicators and descriptors, the RTT selection criteria, and guidance for the Title I-ARRA and SIG programs. For example, in the case of standards and assessments, the survey asked about state adoption of the Common Core State Standards (CCSS) and other new or revised content standards, then focused on specific state activities that supported the implementation of content standards, including professional development, instructional materials, and assistance to local education agencies (LEAs) in curriculum mapping.

³ See, for example, Goertz, 2005.

⁴ The survey did not ask about reforms enacted prior to 2009-10 and did not ask states how long any particular reform had been underway.

Extant data provided information about state-level reform activity in two areas: removing or reducing limits on charter schools and characteristics of state longitudinal data systems. The National Alliance of Public Charter Schools publishes an annual review of state charter school laws. We also used annual performance data that states reported to ED for the SFSF program to provide information about state education data systems.

Indicators of Reform

To address the study questions, we developed a set of 18 indicators of state-level reform implementation using SEA survey items and extant data (table ES.1). The indicators reflect ED's priorities and key reform strategies within each of the four assurance areas. Because of the variety of potential SEA responses to Recovery Act reform requirements, and because assurances could be met by using different approaches, the indicators often captured several ways in which a state might implement a reform. For example, SEAs could use multiple strategies in their role to support reforms in standards and assessment, from providing professional development directly to supporting LEA professional development through guidance and technical assistance. Where appropriate the indicators capture various state roles by including multiple strategies but do not assume that one approach is preferable to another.

Some Recovery Act programs, however, have more prescriptive requirements. In these cases, states had to take specified actions, such as adoption of the CCSS or the inclusion of student growth measures in educator evaluation systems, to meet an indicator.

For each assurance area, we measured the extent of reform activity in two ways. We first describe the prevalence of reform by counting the number of SEAs that met each indicator in 2010-11. This analysis provides the basic snapshot of SEA status on the Recovery Act reform agenda in the year after all funds were awarded to states. Then, we compared the number of SEAs that reported they had a reform already in place in 2009-10 with the 2010-11 data to get a measure of new activity or progress across the states from the time when funds were made available. The survey did not ask about reforms in place prior to 2009-10, or how long a particular reform had been in place.

Several factors affect interpretation of indicator results. First, the survey asked SEAs to self-report on their reform activity, which may affect the objectivity of responses. Second, the survey relied on closed-ended questions in order to ask about particular SEA reform policies and programs. Third, SEAs were not asked to differentiate levels of implementation, so the indicators do not measure the intensity or scale of reform efforts.

Findings

The state-level findings presented below are organized by the four reform assurance areas: standards and assessment, data systems, educator workforce development, and support for low-improving schools. Within each assurance area, we present findings focused on early implementation and progress from the start of the Recovery Act by providing information on the number of SEAs meeting the indicators of reform in 2009-10 and 2010-11. We conclude by presenting a summary of the challenges SEAs encountered when working to implement reforms in the assurance areas.

As discussed above, SEA level implementation for most Recovery Act-supported initiatives might take multiple forms. In turn, for most of the indicators, the study measured more than one way of promoting the reform. Here we report the number of SEAs that met each indicator (e.g., promoting professional development in the area of standards and assessments). The full report includes detailed findings on the components, or key reform strategies, that make up each indicator (e.g., how many SEAs met this indicator by supporting LEA-designed professional development through guidance and technical assistance). Additional information on overall progress, as measured by the indicators, and state-level indicator results by year are presented in the appendices.

Table ES.1. State-level reform indicators

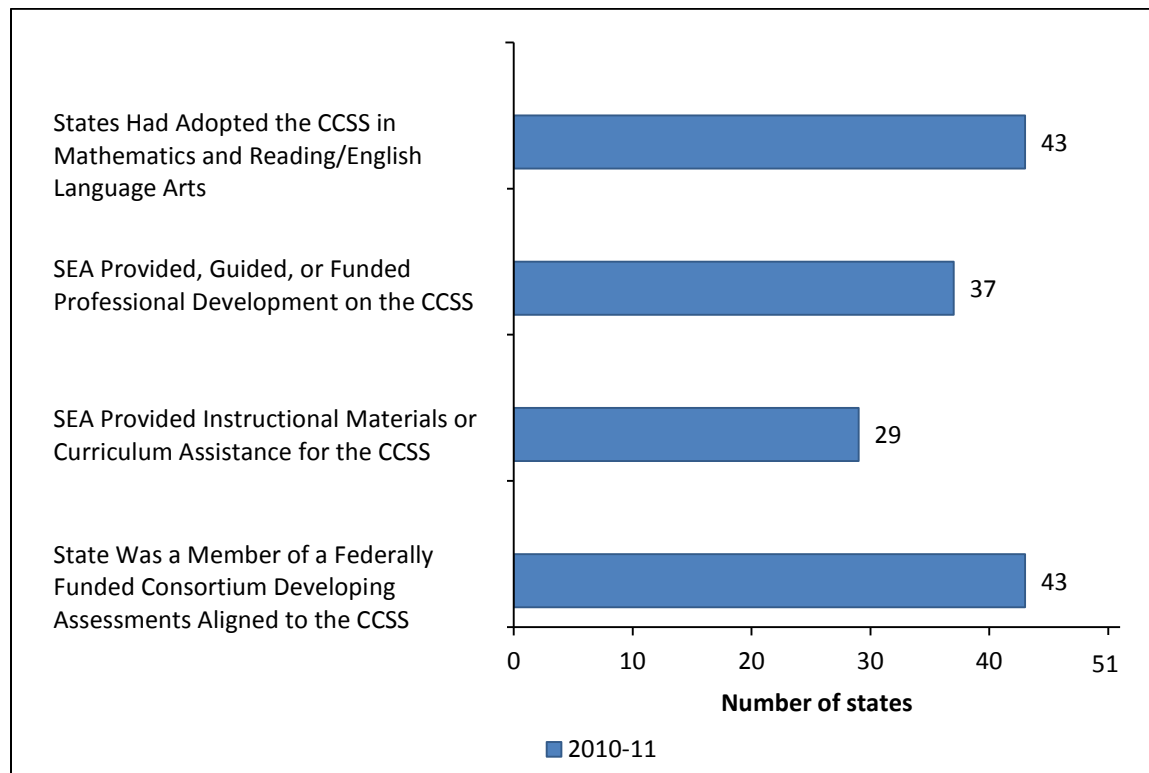
Standards and assessments
State Had Adopted the Common Core State Standards in Mathematics and Reading/English Language Arts
SEA Provided, Guided or Funded Professional Development on the Common Core State Standards
SEA Provided Instructional Materials or Curriculum Assistance for the Common Core State Standards
State Was a Member of a Federally Funded Consortium Developing Assessments Aligned to the Common Core State Standards
Data systems
State Operated a Longitudinal Data System That Included 12 Core Components
State Data System Had Ability to Link Teachers to Student Data
SEA Facilitated Educators' Access to Assessment Data
SEA Provided Professional Development or Technical Assistance to Support Educators' Use of Assessment Data
Educator workforce development
SEA Simplified/Shortened Educator Licensure Process or Authorized Non-University Preparation Programs
SEA Issued Standards or Guidelines for Teacher Preparation Programs
SEA Issued Standards or Guidelines for Principal Preparation Programs
SEA Supported Use of Multi-level Ratings, Multiple Observations, and Student Achievement Gains for Teacher Evaluation
SEA Supported Use of Student Achievement Gains for Principal Evaluation
SEA Supported Differentiating Teacher Compensation Based on Student Achievement Gains
Support for improving low-performing schools
State Allowed for Expansion of the Number of Charter Schools
SEA Provided Guidance on Choosing and Implementing School Intervention Models Defined by ED
SEA Supported Using Compensation Incentives to Improve Staffing at Low-Performing Schools
SEA Monitored Deployment of Effective Educators in Low-Performing Schools

Standards and Assessments

The Recovery Act cited the state-level adoption and implementation of rigorous college- and career-ready standards and aligned high-quality assessments as pivotal steps in accelerating educational improvement throughout the United States. Prior to the Recovery Act, federal initiatives supported the development of statewide content standards and accountability systems. However, to address concerns about variation among the states in terms of the content and rigor of standards and assessments, the Recovery Act: (1) established incentives for states to adopt the CCSS, as developed by the National Governors Association, the Council of Chief State School Officers, and other national organizations, in reading/English language arts and mathematics and (2) funded two multi-state consortia, the Partnership for Assessment of Readiness for College and Careers (PARCC) and the Smarter Balanced Assessment Consortium (SBAC), to develop common assessments aligned with the CCSS.

To facilitate implementation of the CCSS and related assessments, states must not only formally adopt the standards but also support professional development to districts and schools as well as provide direct assistance in the areas of curriculum and instruction. In turn, the Recovery Act authorized states to use appropriated funds to advance reforms in the standards and assessments area and, as a condition for receipt of SFSF funds, held states accountable for improving state academic standards and enhancing the quality of academic assessments. Figure ES.1 below summarizes findings for the study's reform indicators for standards and assessments.

Figure ES.1. SEA status on standards and assessments indicators, 2010-11



Note: Respondents include 50 states and DC. No data for 2009-10 are reported because the Common Core Standards were not yet available.

SOURCE: U.S. Department of Education, Institute of Education Sciences, Charting the Progress of Education Reform: An Evaluation of the Recovery Act's Role: Spring 2011 State Education Agencies Survey.

Implementation in 2010-11

2010-11 represents the first data point for these indicators because the CCSS was not available for adoption in 2009-10. Most states did adopt the CCSS in the 2010-11 school year; figure ES.1 shows that 43 SEAs reported that their states had adopted the CCSS in both mathematics and reading/English language arts in that year. Of those 43 SEAs, a total of 37 SEAs met the indicator for supporting professional development on the CCSS. SEAs met the indicator by either providing professional development directly or providing assistance or funding for LEA-designed professional development. In addition, 29 SEAs provided instructional materials or curriculum assistance by identifying, developing, or distributing materials to LEAs and/or by assisting LEAs in mapping curriculum to the standards. All 43 states that adopted the CCSS in both subjects also reported that they were a member of one of the assessment consortia formed to develop K-12 assessments aligned with the CCSS.

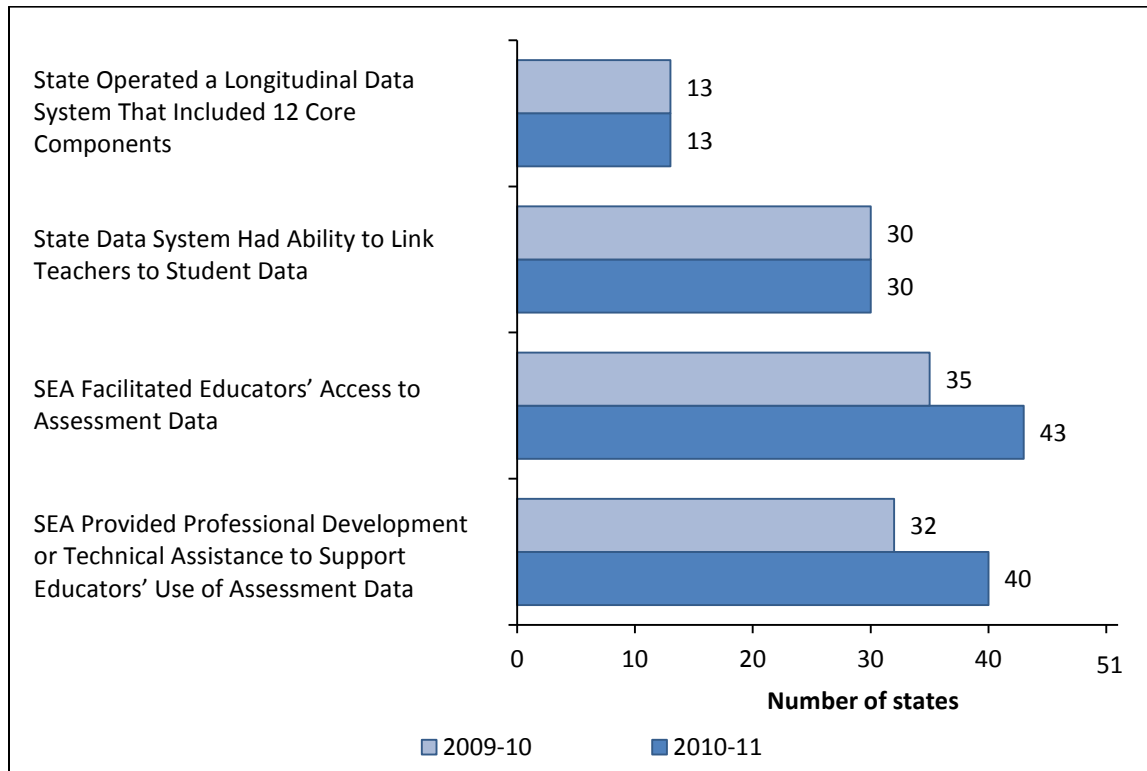
Data Systems

The Recovery Act highlighted the importance of data systems in ensuring that states and districts have information about individual student outcomes, from early childhood through higher education and workforce entry, to drive educational improvement. Specifically, through the assurances, the act specified that as a condition for receiving funds states will establish longitudinal data systems that include the 12 core system components described in the 2007 America COMPETES Act (Public Law 110-69), which identified 12 core system components.⁵ Through an infusion of an unprecedented \$250 million into the SLDS grant program, the act also provided funds to build and improve such systems. Prior to the Recovery Act, the SLDS grant program (through three grant competitions) funded 41 states and the District of Columbia to design, develop, and implement statewide longitudinal data systems. Statewide longitudinal data systems supported by the act were to meet new requirements including the data elements prescribed by the America COMPETES Act. A particularly important system feature is the capacity to link teacher and student data, which is necessary to evaluate educator effectiveness and support performance-based compensation systems, as outlined in the Recovery Act under the educator workforce development assurance area.

In addition to building data systems, the Recovery Act encouraged states to promote data access and use through reporting and analysis tools. This goal was reflected in criteria for the RTT awards, which required states to demonstrate how state longitudinal data would be made accessible to key stakeholders and how the state would support districts in using data to improve instruction. Figure ES.2 below summarizes findings for the study's reform indicators for data systems.

⁵ The 12 components include: use of unique student identifiers; student-level enrollment, demographic, and program participation information; exit drop out, transfer, and completion information for P-16 programs; communication with higher education data systems; assessing data quality, validity, and reliability; yearly test records; information on students not tested; teacher identification systems that allow linking to students; student-level transcript information; college readiness test scores; information on students' transition from high school to postsecondary institutions; and other information to determine alignment and preparedness for success in postsecondary education.

Figure ES.2. SEA status on data systems indicators, 2009-10 and 2010-11



Note: Respondents include 50 states and DC.

Sources: U.S. Department of Education, State Fiscal Stabilization Fund Initial Annual State Reports (2009-10) and Amended Applications (2010-11) for information on comprehensive data system.

U.S. Department of Education, Institute of Education Sciences, Charting the Progress of Education Reform: An Evaluation of the Recovery Act's Role: Spring 2011 State Education Agencies Survey for information on data use.

Implementation in 2010-11

Figure ES.2 shows that in 2010-11, 13 SEAs reported having a state longitudinal data system that included all of the 12 core components identified in the America COMPETES Act. However, more than half of all SEAs (30) reported having a system that had the ability to link teacher and student data, which requires both a teacher identifier system and the ability to match teachers to students. Forty-three SEAs met the indicator for facilitating educators' access to assessment data. SEAs met the indicator by doing any of the following: providing data to educators, ensuring data sharing with local systems, or providing training in accessing data. Forty SEAs reported providing professional development or technical assistance to support educators' use of assessment data for instructional improvement or planning.

Progress from 2009-10 to 2010-11

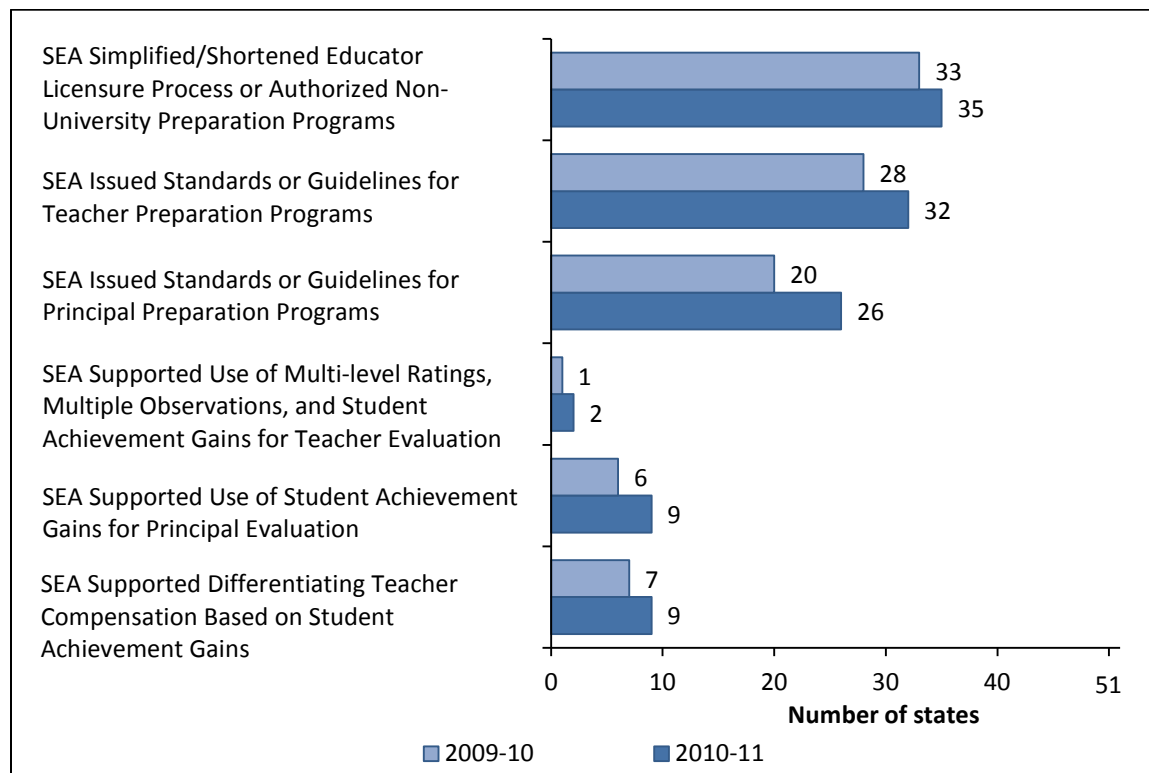
In 2010-11, there was no change in the number of SEAs reporting all 12 components of a comprehensive state longitudinal data system (13) or in the number of SEAs reporting the ability to link teacher and student data (30) relative to 2009-10. Of the 43 SEAs that facilitated access to assessment

data, 8 were newly reporting activities in 2010-11. Eight of the 40 SEAs that provided professional development or technical assistance to support educators' use of assessment data in 2010-11 were doing so for the first time.

Educator Workforce Development

The Recovery Act emphasized the development of a work force of high-quality teachers and leaders who could raise achievement for students in all schools, especially the lowest performing. Toward this end, the act required grantees to make progress toward improving both the preparation of new educators and the adoption of educator evaluation and compensation policies to promote the recruitment, retention, and distribution of those educators who were determined to be effective. As part of these reforms, the Recovery Act promoted and, under some grant programs, required that the effectiveness of teachers and principals be identified at least partially by demonstrated growth in their students' achievement. Figure ES.3 below summarizes findings for the study's reform indicators for educator workforce development.

Figure ES.3. SEA status on educator workforce development indicators, 2009-10 and 2010-11



Note: Respondents include 50 states and DC.

Source: U.S. Department of Education, Institute of Education Sciences, Charting the Progress of Education Reform: An Evaluation of the Recovery Act's Role: Spring 2011 State Education Agencies Survey.

Implementation in 2010-11

As shown in figure ES.3, approximately two-thirds of SEAs (35) reported simplifying or shortening the licensure or certification process for various teacher preparation programs and/or authorizing independent (i.e., non-university) providers to provide teacher training. A similar number (32) reported issuing standards or guidelines for teacher preparation programs that supported: alignment with state standards, tracking and reporting on graduates' effectiveness, and/or training on how to work in low-performing schools. Somewhat fewer SEAs (26) focused on reforming principal programs by encouraging similar reforms.

Relative to efforts to expand and improve educator licensure, certification, and preparation, fewer SEAs met the reform indicators for teacher and principal evaluation and differentiated compensation systems. To meet these indicators, SEAs had to report both: (1) a role in supporting educator evaluation and compensation and (2) that systems included key components supported by the Recovery Act, in particular the use of student achievement gains in determining performance ratings or differentiated compensation. Two SEAs reported supporting teacher evaluation systems that included a rating system that identified at least three levels of teacher performance, at least two yearly classroom observations, and student achievement gains. Nine SEAs reported supporting principal evaluation systems that incorporated student achievement gains to determine principal performance ratings. Finally, nine SEAs reported supporting differentiated teacher compensation systems that included base pay increases, add-ons, stipends, and/or bonuses based on student achievement gains.

Progress From 2009-10 to 2010-11

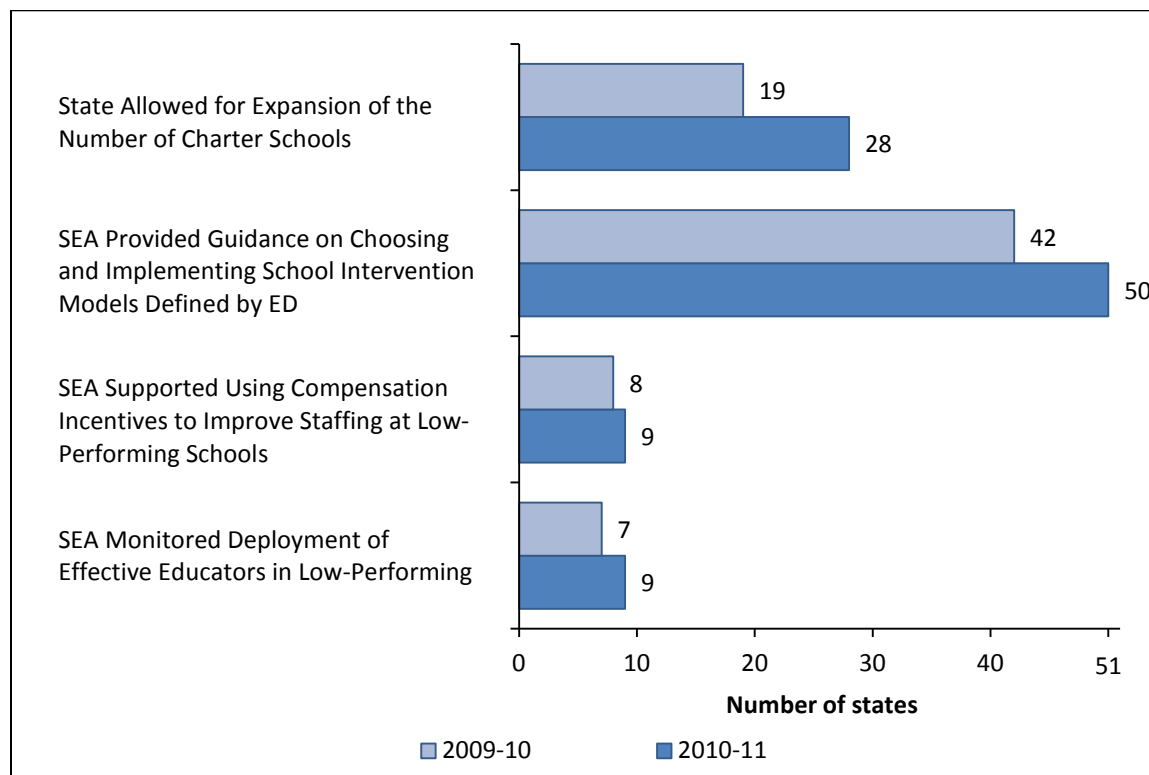
In 2010-11, of the 35 SEAs that reported simplifying or shortening the educator licensure process and/or authorizing non-university preparation programs, two were newly engaged in these reforms. Of the 32 states that reported issuing standards or guidelines for teacher preparation programs, four were doing so for the first time. Of the 26 SEAs that reported issuing standards or guidelines for principal preparation programs, six were newly implementing in 2010-11. Of the two SEAs that reported supporting the use of multi-level ratings, multiple observations, and student achievement gains for teacher evaluation, one was doing so for the first time. Of the nine SEAs that reported supporting the use of student achievement gains for principal evaluation, three were doing so for the first time. Of the nine SEAs that reported supporting differentiated teacher compensation based on student achievement gains, two were doing so for the first time.

Support for Improving Low-Performing Schools

The Recovery Act programs created incentives for states to support LEAs in improving the achievement of students in low-performing schools. As in other reform areas, the act's priorities, reporting requirements, and incentives for support to students in low-performing schools were designed, in part, to generate new momentum for state leadership. Specifically, states were encouraged to support expansion in the number of charter schools, through the RTT program's funding criterion that gave priority to applications from states with charter school laws that did not prohibit or effectively inhibit increases in the number of charter schools. The act also promoted state assistance and guidance to LEAs in selecting among the four school intervention models, initially established under the SIG program.

Another avenue for supporting students in low-performing schools was the act's encouragement of the equitable assignment and distribution of effective teachers and principals to low-performing schools. The means for implementing this approach included financial incentives (e.g., higher salaries, bonuses, or loan forgiveness) and enhanced educator recruitment. Further, the act encouraged states to use data from their educator evaluation systems to monitor local progress in achieving equitable distribution (i.e., to ensure that all students have access to highly effective teachers and principals). To advance these reforms, selection criteria for RTT awards favored state applications that included plans and targets to ensure the equitable distribution of teachers and principals across all schools, including low-performing schools. Figure ES.4 below summarizes findings for the study's reform indicators for improving low-performing schools.

Figure ES.4. SEA status on support for improving low-performing schools indicators, 2009-10 to 2010-11



Note: Includes 50 states and DC.

Sources: The National Alliance for Public Charter Schools report: *Measuring up to the model: A ranking of state charter school laws* (2010 and 2011) for information on the expansion of charter schools and U.S. Department of Education, Institute of Education Sciences, *Charting the Progress of Education Reform: An Evaluation of the Recovery Act's Role*: Spring 2011 State Education Agencies Survey for information on implementation of the school intervention models for low-performing schools and the movement and deployment of effective educators.

Implementation in 2010-11

As shown in figure ES.4, in 2010-11, over half of the states (28) had adopted policies that allowed for expansion of the number of charter schools. Meeting this indicator included any of the following: not placing caps on the number of charter schools eligible to operate in the state, enacting a

law to increase the permissible number of charter schools, and/or removing prohibitions on charter schools. In the same year, virtually all SEAs (50) reported that they provided technical assistance and guidance to LEAs on choosing and implementing one of ED's four school intervention models for low-performing schools (i.e., turnaround, restart, school closure, or transformation).

Nine SEAs reported support for using compensation incentives to improve staffing at low-performing schools (e.g., higher salaries, bonuses, stipends, loan forgiveness, or tuition support). The same number of SEAs (nine) reported using data from educator evaluation systems to monitor the deployment of effective educators to low-performing schools.

Progress from 2009-10 to 2010-11

In 2010-11, of the 28 states allowing for expansion of the number of charter schools, nine were implementing a new reform activity (e.g., increasing the permissible number of charter schools). Of the 50 SEAs providing guidance to LEAs on choosing among and implementing ED's four school intervention models, eight were reporting new activity. One of nine SEAs newly began using compensation incentives to improve staffing at low-performing schools. Two of nine SEAs began using data from local educator evaluation systems to monitor the deployment of effective educators to low-performing schools.

Challenges Reported by SEAs in Their Implementation of Reforms

In addition to measuring the extent of reform activity, we examined challenges that SEAs reported in implementing reforms. The study asked SEAs about challenges within three of the four assurance areas (standards and assessments, educator workforce development, and improving low-performing schools). SEAs were asked whether a challenge was not applicable (i.e., the SEA was not implementing a particular reform strategy), not a challenge, a minor challenge, or a major challenge. Table ES.2 below presents the percentage of SEAs implementing a reform strategy that considered an issue a "major" challenge.

- **Standards and assessments.** Sixty-seven percent of SEAs that were implementing reforms in standards and assessments reported at least one major challenge among the eight specific challenges the study asked about. The major challenge reported by the largest number of SEAs was **lack of SEA staff capacity or expertise in developing interim/formative assessments to measure student mastery of the new or revised state content standards** (55 percent of SEAs implementing the reform).
- **Data systems.** Sixty-four percent of SEAs that were implementing reforms in data systems reported at least one major challenge among the five specific challenges the study asked about. The major challenge reported by the largest number of SEAs was that **current data systems make linking student test data to individual teachers difficult** (40 percent of SEAs implementing the reform).
- **Educator workforce development.** Ninety-six percent of SEAs that were implementing reforms in educator workforce development reported at least 1 major challenge among the 10 challenges the study asked about. Within this area, the major challenge reported by the largest number of

SEAs was **difficulty in measuring student growth for teachers in nontested subjects** (91 percent of SEAs implementing the reform).

- **Support for low-performing schools.** Eighty-four percent of SEAs that were implementing reforms in this area reported at least one major challenge among the 10 challenges the study asked about. The major challenge reported by the largest number of SEAs was **concerns or opposition from educators about closing or restructuring schools** (48 percent of SEAs implementing the reform).

Table ES.2. Percent of SEAs reporting major challenges by reform area, among those implementing reforms, 2010-11

Reform area/challenge	Percent of SEAs reporting as a major challenge	Total number of applicable SEAs
Standards and assessments		
One or more challenge in this area perceived as major	67	46
Challenge reported most frequently in this area: Lack of SEA capacity or expertise in developing interim/formative assessments to measure student mastery of the new or revised state content standards	55	33
Data systems		
One or more challenge in this area perceived as major	64	50
Current data systems make linking student test data to individual teachers difficult	40	45
Educator workforce development		
One or more challenge in this area perceived as major	96	48
Challenge reported most frequently in this area: Difficulty in measuring student growth for teachers of nontested subjects	91	47
Support for improving low-performing schools		
One or more challenge in this area perceived as major	84	50
Challenge reported most frequently in this area: Concerns or opposition from educators about closing or restructuring schools	48	44

Note: A challenge could be rated as not a challenge, a minor challenge, or a major challenge. SEAs that identified the challenge as not applicable were excluded from the denominator.

New or revised state content standards could include either CCSS and/or other state standards.

Source: U.S. Department of Education, Institute of Education Sciences, Charting the Progress of Education Reform: An Evaluation of the Recovery Act's Role: Spring 2011 State Education Agencies Survey.

Chapter 1: Introduction

The American Recovery and Reinvestment Act (ARRA or the Recovery Act) of 2009 provided an unprecedented level of funding for K-12 education. The program created a “historic opportunity to save hundreds of thousands of jobs, support states and school districts, and advance reforms and improvements that will create long-lasting results for our students and our nation.” As a way of promoting educational improvement, the Recovery Act required recipients of ARRA funds to commit to reforms in four key policy areas: standards and assessments, data, teacher effectiveness and low-performing schools.

This report is part of the multi-year U.S. Department of Education (ED) evaluation *Charting the Progress of Education Reform: An Evaluation of the Recovery Act’s Role*. ED seeks to understand through this evaluation how states, districts, and schools are working to implement the education reforms promoted by the Recovery Act. While other reports have examined the extent to which the Recovery Act saved and/or created jobs⁶ and the distribution of Recovery Act education grants to states and school districts (Garrison-Mogren and Gutmann 2012), this report examines whether, and how, state education agencies (SEAs) are implementing the reforms that the Recovery Act emphasized one year after the act was passed and sets the stage for examination of implementation at the local level.⁷

The Recovery Act

The Recovery Act allocated \$70.6 billion in funding for K-12 education, of which \$68.8 billion was awarded to states through a combination of newly created and existing grant programs. Through the new State Fiscal Stabilization Fund (SFSF), ED awarded \$39 billion in Education State Grants. These grants were distributed to all states by formula and were primarily intended to help fill state budget shortfalls and to save and create jobs, including those of teachers and school administrators. New discretionary grant programs included Race to The Top (RTT) and the Investing in Innovation Fund (i3), which awarded \$3.9 billion and \$646 million, respectively, and which were intended primarily to support education reforms. In addition, 10 existing programs,⁸ both formula funded and competitive, received a \$24.9 billion infusion of funds to support activities authorized under general program authority, and, therefore, most were not explicitly focused on reform.⁹ ED allocated most of the Recovery Act formula grant funds by September 2009 and the competitive grant awards by September 2010. As described in

⁶ See for example, U.S. Department of Education n.d. (This site includes access to all quarterly ED Recovery Act jobs reports on Recovery Act spending by state through September 30, 2010.) and Congressional Business Office (February 2012). Information about jobs saved or created for each state under the SFSF can be found in each state’s annual performance report, see U.S. Department of Education, 2011.

⁷ The report does not assess the relationship between the amount of Recovery Act funds received or the receipt of funds from specific grant programs and the implementation of reform. All states commit to the four core reforms or assurances as a condition for receiving funds, and more than 90 percent of the Recovery Act grant funding was awarded by formula to all states.

⁸ All states received formula grant funds for Individuals with Disabilities Education Act, Part B State Grants and Preschool Grants; Title I Part A; SIG; Education for Homeless Children and Youth; and State Educational Technology grants (\$24.2 billion). ED also awarded additional funds through Impact Aid formula grants and through competitive Impact Aid; Statewide Longitudinal Data Systems, and Teacher Incentive Fund (TIF) grants (\$544 million). For information about the authorized activities for each of these programs, see table 1 of Garrison-Mogren and Gutmann 2012.

⁹ The exceptions are the TIF and SIG programs. Even before ARRA, the activities authorized for these programs were reform-oriented. Authorized activities for competitive TIF grants include creating sustainable performance-based compensation systems. The SIG program awards formula grants to SEAs that then make competitive sub grants to LEAs that demonstrate the greatest need for the funds and the strongest commitment to use the funds to raise substantially the achievement of students in their lowest-performing schools.

an earlier report from this evaluation, individual states received between \$1,063 to \$3,632 per pupil from Recovery Act grants for K-12 education.¹⁰ Much of the variation in funding across states reflects the receipt of competitive grant funds, most notably RTT. For most K-12 programs funded by the Recovery Act, states were required to subgrant to LEAs and were encouraged to make these subawards quickly. Most LEA subgrants were awarded by the end of 2010.¹¹ However, for some programs—specifically RTT and School Improvement Grants (SIG)—it took longer for funds to begin flowing to LEAs and much longer for all funds to be distributed.

In return for Recovery Act grants, recipients were required to commit to four specific core reforms or assurances:

- Adopting rigorous college-ready and career-ready standards and high-quality assessments,
- Establishing data systems and using data to improve performance,
- Increasing teacher effectiveness and the equitable distribution of effective teachers, and
- Turning around the lowest performing schools.

The four assurances were intended by the act’s drafters to constitute an integrated, coherent vision of educational improvement that would be capable of raising the academic performance of all public school students. The vision embodied in the assurances begins with high expectations and accountability for student achievement (i.e., shared, rigorous standards and appropriate assessments). It includes a priority on improving and rewarding effective teaching and on achieving the equitable distribution of effective teachers across schools within LEAs. To support this vision, it encourages the development of data tools that can provide both guidance and feedback on the impact of educational changes on student learning. Finally, to upgrade persistently low-performing schools, the act provides incentives and tools for intervening in and improving these schools.

By linking a commitment to the four assurances with receipt of funding, the Recovery Act signaled federal priorities; provided states, districts, and schools with incentives to initiate or intensify reforms in each of these areas; and encouraged states to pursue a combination of mutually supporting reform strategies. The type and strength of incentives embedded in the Recovery Act varied by grant program, however. For example, to receive SFSF funds, governors had only to agree to advance the four assurances with their funding applications. In contrast, the RTT grant competition gave substantial weight to states’ enactment of specific policies in these assurance areas, such as the adoption of the Common Core State Standards (CCSS), participation in one of the multi-state assessment consortia, implementation of a statewide longitudinal data system, and the development of performance-based teacher evaluation systems. Applicants were also judged on their plans to support the implementation of these education reforms that would be funded, in part, by RTT grants. And some programs, like the Title I SIG program, were more prescriptive, requiring schools targeted for SIG support to implement one of four school improvement models.

¹⁰ See Garrison-Mogren and Gutmann 2012.

¹¹ See p. 1 of Garrison-Mogren and Gutmann 2012, for more information about the specific grant awards to individual states and the timing of funds allocated to states and districts.

As described in succeeding chapters of this report, the education policies embedded in the Recovery Act were introduced into an ongoing stream of federal and state reform and were intended to build on the successes and address the limitations of policies that were in place at the time. For example, standards have been a foundational element of state and federal policy since the 1994 reauthorization of the Elementary and Secondary Education Act (ESEA), and all 50 states had academic content standards prior to the Recovery Act. However, expectations for students differed considerably across states (National Center for Education Statistics 2011), and there was concern that state standards did not necessarily represent what students need to know and be able to do to succeed in college and today's workplace. These shortcomings led to federal incentives for states to adopt the CCSS and corresponding assessments. Other Recovery Act initiatives sought to encourage nationwide adoption of reform efforts that some states had been working on already. For example, Florida, Minnesota, North Carolina, and Texas had introduced efforts to promote educator effectiveness through compensation reform. The Recovery Act built on prior federal initiatives to directly encourage other states to follow suit. That is, predating the Recovery Act, the State Longitudinal Data Systems (SLDS) grants had enabled many states to develop data systems that link students and teachers, a prerequisite for tracking and improving educator effectiveness. The first two rounds of the TIF built on this and explicitly promoted the use of student growth to reward effective educators through performance-based compensation systems.

The design of the Recovery Act initiatives also recognized the critical but differing roles of states in fostering reform across the four assurance areas. All states, for example, establish academic content and student performance standards and the assessments used to measure student performance. Thus, federal incentives were directed toward state adoption of specific standards and assessments. Many states, however, do not require districts to adopt these standards or state-developed curricular materials aligned with standards, and states vary widely in their role in providing professional development to educators (see, for example, Goertz 2005). In these and other cases, federal policy promoted multiple strategies for state implementation of the core reforms and the study was designed to capture multiple forms of state-level activity.

Study Questions and Methods

This report provides a picture of the prevalence and progress of the reform agenda promoted by the Recovery Act. A primary focus is SEA implementation of reforms in 2010-11, the first full school year after all Recovery Act funds were awarded. However, the report recognizes that, as discussed above, states had undertaken some reforms before passage of the Recovery Act. In turn, state activity during the 2009-10 school year was assessed to provide a baseline for the study, capturing the reforms already in place when Recovery Act funding was just beginning to be distributed. The report also recognizes that implementation of other reforms, such as the CCSS, new assessments, and performance-based teacher evaluation systems, may take place over multiple years. In addition, since some Recovery Act funds were still being spent during the 2010-11 school year; some states may have been engaged in the planning stage of reforms during this time with implementation to follow in later years. The evaluation's final report will examine implementation during the 2011-12 school year.

Study Questions

Specifically, this report addresses the following questions:

- To what extent did SEAs report implementing key reform strategies promoted by the Recovery Act in the 2010-11 school year?
- How much of the 2010-11 school year implementation reflects progress since the Recovery Act?
- What were the greatest reform implementation challenges for SEAs in the 2010-11 school year?

Data Sources

The findings in this report were drawn primarily from surveys of all 50 SEAs and the District of Columbia (DC) administered during spring 2011. Survey respondents were the chief state school officer or other state agency officials designated by the chief as most knowledgeable about the topics in the survey (e.g., associate or deputy superintendent, director of curriculum and instruction, director of assessment and accountability).

The survey was developed to describe state adoption of specific education policies during 2009-10 (the prior year) and 2010-11 (the current year), the state role in supporting implementation of these reforms, and challenges in implementing the reforms in each of the four assurance areas. The survey items were designed to capture the key reform practices or strategies ED identified in its grant notices, regulations, and guidance for the Recovery Act programs. The specific strategies and activities related to key reforms were described in SFSF assurance indicators and descriptors, the RTT selection criteria, and guidance for the Title I-ARRA and SIG programs. For example, in the case of standards and assessments, the survey asked about state adoption of the CCSS and other new or revised content standards, then focused on specific state activities that supported the implementation of content standards, including professional development, instructional materials, and assistance to local education agencies (LEAs) in curriculum mapping. For additional details about survey development, see appendix A.

Extant data provided information about state-level reform activity in two areas: removing or reducing limits on charter schools and characteristics of state longitudinal data systems. The National Alliance of Public Charter Schools publishes an annual review of state charter school laws. We also used annual performance data that states reported to ED for the SFSF program to provide information about state education data systems.

Indicators of Reform

To address the study questions, we developed a set of 18 indicators of state-level reform implementation using SEA survey items and extant data (table 1.1). The indicators reflect ED's priorities and key reform strategies within each of the four assurance areas. Because of the variety of potential SEA responses to Recovery Act reform requirements, and because assurances could be met by using different approaches, the indicators often captured several ways in which a state might implement a reform. For example, SEAs could use multiple strategies in their role to improve standards and assessment, from providing professional development directly to supporting LEA professional

development through guidance and technical assistance. Where appropriate the indicators include multiple strategies, but do not assume that one approach is preferable to another.

Some Recovery Act programs, however, have more prescriptive requirements. In these cases, states had to take specified actions, such as adoption of the CCSS or the inclusion of student growth measures in educator evaluation systems, to meet an indicator. See appendix B for additional detail about the Recovery Act requirements embodied in the study indicators.

For each assurance area, we measured the extent of reform activity in two ways. We first describe the prevalence of reform by counting the number of SEAs that met each indicator in 2010-11. This analysis provides the basic snapshot of SEA status on the Recovery Act reform agenda in the year after all funds were awarded to states. Second, we compared the number of SEAs that reported they had a reform already in place in 2009-10 with the 2010-11 data to get a measure of new activity or progress across the states. The survey did not ask about reforms in place prior to 2009-10, or how long a particular reform had been in place.

In addition to measuring the extent of reform activity, we examined challenges that SEAs reported in implementing reforms. States that were implementing any reforms in an assurance area (e.g., standards and assessment) were asked whether they encountered a particular challenge and whether the challenge was a major or minor one. For each assurance area, we present the number of implementing states that considered any issue a “major” challenge.

Several factors affect interpretation of indicator results. First, the survey asked SEAs to self-report on their reform activity, which may affect the objectivity of responses. Second, the survey relied on closed-ended questions in order to ask about particular SEA reform policies and programs. A state may have been working on a reform in a way not captured by our survey. Third, the indicators represent a high-level snapshot of SEA response to Recovery Act reform priorities and do not measure the intensity or scale of state reform efforts. The survey was designed to collect information about many different reform activities and does not provide detail about the depth or quality of SEA reform efforts. Because the survey asked about a wide range of reform activities, SEAs were not asked to differentiate levels of implementation, only to indicate whether any activity occurred in the given year.

Table 1.1. State-level reform indicators

Standards and assessments
State Had Adopted the Common Core State Standards in Mathematics and Reading/English Language Arts
SEA Provided, Guided or Funded Professional Development on the Common Core State Standards
SEA Provided Instructional Materials or Curriculum Assistance for the Common Core State Standards
State Was a Member of a Federally Funded Consortium Developing Assessments Aligned to the Common Core State Standards
Data systems
State Operated a Longitudinal Data System That Included 12 Core Components
State Data System Had Ability to Link Teachers to Student Data
SEA Facilitated Educators' Access to Assessment Data
SEA Provided Professional Development or Technical Assistance to Support Educators' Use of Assessment Data
Educator workforce development
SEA Simplified/Shortened Educator Licensure Process or Authorized Non-University Preparation Programs
SEA Issued Standards or Guidelines for Teacher Preparation Programs
SEA Issued Standards or Guidelines for Principal Preparation Programs
SEA Supported Use of Multi-level Ratings, Multiple Observations, and Student Achievement Gains for Teacher Evaluation
SEA Supported Use of Student Achievement Gains for Principal Evaluation
SEA Supported Differentiating Teacher Compensation Based on Student Achievement Gains
Support for improving low-performing schools
State Allowed for Expansion of the Number of Charter Schools
SEA Provided Guidance on Choosing and Implementing School Intervention Models Defined by ED
SEA Supported Using Compensation Incentives to Improve Staffing at Low-Performing Schools
SEA Monitored Deployment of Effective Educators in Low-Performing Schools

Report Contents

The report is organized by the four reform assurance areas, with a separate chapter for each area: standards and assessments (Chapter 2), data systems (Chapter 3), educator workforce development (Chapter 4), and support for low-improving schools (Chapter 5). Within each chapter, we discuss:

- Context for each assurance area, including ongoing state activities and previous federal reform efforts, and a description of the specific reform implementation indicators we tracked.
- Implementation in 2010-11: the number of SEAs meeting each indicator and the number of SEAs that reported reform activities with an indicator area.
- Progress from 2009-10 to 2010-11: the number of SEAs that were already implementing a reform in 2009-10 compared to SEAs newly implementing in 2010-11.
- Challenges reported by SEAs: the number of SEAs reporting major implementation challenges within each reform area in 2010-11.

The final chapter provides an overview of state reform implementation across the four assurance areas during 2009-10 and 2010-11. It includes a summary of reform activity by state and by participation in the first two rounds of the RTT competition. RTT was designed to reward states that had made prior progress on the reform agenda, and it was among the most specific in its requirements for the Recovery Act's reform agenda. Thus, it might be expected that SEAs in RTT states would be more likely to have implemented Recovery Act-promoted reforms than other states.

Additional detail on overall implementation progress as measured by the indicators and state-level indicator results by year are presented in the appendices.

Chapter 2: Standards and Assessments

The Recovery Act cited the state-level adoption and implementation of rigorous college- and career-ready standards and aligned high-quality assessments as pivotal steps in accelerating educational improvement throughout the United States. To facilitate these steps, the act authorized states to use appropriated funds to advance reforms in these areas. As a condition for receipt of SFSF funds, the Recovery Act held states accountable for improving state academic standards and enhancing the quality of academic assessments.

State content standards have been a central priority of ESEA since its 1994 reauthorization, which required states to establish statewide standards in reading and mathematics in selected grades and to implement statewide assessments and accountability systems for evaluating school-level performance. No Child Left Behind (NCLB) extended and strengthened this priority, by requiring standards and assessments in grades and subjects not previously covered under ESEA and by establishing additional rules for state accountability systems. In the wake of these policies, however, the content and rigor of standards and assessments continued to vary among states. In addition, as the Secretary of Education stated in 2010, “we need to raise our standards so that all students are graduating prepared to succeed in college and the workplace.”¹² To improve the measurement of student achievement and to help educators improve instruction, ED also cited the need for improved student assessments aligned to rigorous standards (U.S. Department of Education 2010a).

With a priority on adoption of common standards focused on college- and career-readiness and common assessments, the Recovery Act and the RTT criteria signaled an important shift in emphasis. One such articulation of these policies, final SFSF rules issued in November 2009, cited ED’s encouragement for “states to work together to develop and implement common, internally benchmarked standards and assessments aligned to those standards, in order to ensure that students are college- and career-ready.” While the act did not explicitly endorse the CCSS, new policies established incentives for states to adopt the CCSS in reading/English language arts and mathematics. The CCSS were developed by the National Governors Association, the Council of Chief State School Officers, and other national organizations as college- and career-readiness standards in summer 2009, then K-12 learning progressions were established. The final CCSS were released in June 2010. The CCSS are grade-by-grade standards intended to: (1) set the same rigorous standards for all students, regardless of where they live; (2) align standards to the expectations of higher education and the 21st century workplace; (3) enable parents, educators, and policymakers to track the progress of students in meeting college- and career-ready standards at each grade throughout elementary and secondary schooling; (4) provide guidance for instructional practice, the design of curricula and instructional materials, professional development, and the content of teacher education; and (5) provide the basis for evaluating and holding students, teachers, schools, and school districts accountable for student learning. Adoption of common standards also permitted states to work together to develop common assessments and to update the standards as needed over time, saving states time and money and reducing redundancy and inconsistencies across states. In addition, common standards permitted curriculum developers to produce materials for educators across the country, rather than state by state.

¹² Senate Health, Education, Labor, and Pensions Committee and the House Education and Labor Committee 2010, pp. 10-12.

States formed consortia to develop common assessments that were intended to align with the CCSS and also to support state and local accountability for the CCSS. The consortia pooled resources and expertise to develop new assessments aligned with the CCSS and produce common measurements of student growth and performance across states. Under the Recovery Act, ED funded two multi-state consortia, the Partnership for Assessment of Readiness for College and Careers (PARCC) and the Smarter Balanced Assessment Consortium (SBAC), to design the next generation of K-12 assessments for the general student population. The consortium-developed tests are expected to be in place in the 2014-15 or 2015-16 school years.

When implemented, the CCSS and aligned assessments will constitute a significant change in educational approach and accountability for most states. To implement this change, states must first formally adopt the standards. States also provide professional development to districts and schools as well as direct assistance in the areas of curriculum and instruction. The states must also commit to participate in one or more of the assessment consortia and to use the new assessments when they become available.

This chapter describes the extent to which the states adopted and implemented new or revised state academic standards, especially the CCSS, and state activity in developing new state assessments aligned with the standards. We tracked state implementation using the four indicators listed in the table below. Because the CCSS was not available for adoption in 2009-10, we describe SEAs' reported implementation of each indicator for 2010-11 only. Then, we report the major challenges SEAs encountered in implementing these reforms. As discussed above, the indicators and challenges are based on self-reported data and findings should be interpreted with this in mind.

The table below summarizes the indicators of reform that we tracked. The first set of indicators focuses on the adoption and implementation of the CCSS, and the second category focuses on the development of aligned assessments. Additional information about the indicators is presented in appendix B.

Table 2.1. Standards and assessments indicators

Indicators related to adopting and implementing the CCSS:	Did the SEA ...
State Had Adopted the CCSS in Mathematics and Reading/English Language Arts	Adopt the CCSS in both math <u>and</u> reading/English language arts?
SEA Provided, Guided or Funded Professional Development on the CCSS	Adopt the CCSS in both subjects <u>and</u> provide professional development <u>or</u> assistance <u>or</u> funding for LEA activities related to CCSS?
SEA Provided Instructional Materials or Curriculum Assistance for the CCSS	Adopt the CCSS in both subjects <u>and</u> provide curricular or instructional materials aligned with CCSS <u>or</u> assist LEAs in mapping curriculum?
Indicators related to aligning assessment systems with new standards:	Did the SEA ...
State Was a Member of a Federally Funded Consortium Developing Assessments Aligned to the CCSS	Adopt the CCSS in both subjects <u>and</u> join one of the federally funded assessment consortia <u>or</u> conduct independent work on aligned assessments in addition to consortia membership?

Adopting and Implementing the CCSS: Implementation in 2010-11

Most states adopted the CCSS in the 2010-11 school year, with 43 SEAs reporting that their states had adopted the CCSS in both math and reading/English language arts in that year (table 2.2). Another five states reported that they had adopted the CCSS in only one subject or adopted other new or revised state content standards. In 37 of the states that had adopted the CCSS, SEAs provided one or more forms of professional development to LEA staff to support implementation of the standards (table 2.3). In addition to support for professional development, 29 SEAs provided support for curriculum and curricular changes capable of facilitating CCSS implementation (table 2.4). SEA assistance in standards-related curriculum included help for LEAs in accessing resources and mapping curriculum to content standards.

Adopting the CCSS (table 2.2)

- Forty-three SEAs reported that their states had adopted the CCSS in both math and reading/English language arts.
- One state adopted the CCSS in reading/English language arts only. Four states adopted other new or revised state content standards in both subjects.

Table 2.2. Number and percent of states that had adopted the CCSS in mathematics and reading/English language arts, 2010-11

Type of reform:	SEAs	
	Number	Percent
Adopted the CCSS in both subjects	43	84
Adopted the CCSS in one subject and other new or revised state content standards in the other	1	2
Adopted other new or revised state content standards	4	8
MET INDICATOR (Adopting the CCSS in both subjects)	43	84

Note: Respondents include 50 states and DC.

Source: U.S. Department of Education, Institute of Education Sciences, Charting the Progress of Education Reform: An Evaluation of the Recovery Act's Role: Spring 2011 State Education Agencies Survey.

Providing, Guiding or Funding Professional Development (table 2.3)

- A total of 37 states that adopted the CCSS in both subjects supported implementation by providing at least one form of professional development.
- Many of these SEAs supported state-developed professional development for LEA staff, with 33 SEAs providing state-developed professional development on the standards to LEA staff through in-person sessions. Twenty-four SEAs provided professional development on the standards using online methods.
- Twenty-eight SEAs supported implementation of the CCSS by providing guidance and technical assistance to LEAs on the design and implementation of standards-related professional development for delivery to LEA staff.
- Fewer SEAs (seven) reported that they provided LEAs with funding to support LEA-designed professional development on standards.

States that adopted the CCSS in only one subject (one state) or that revised their state content standards but did not adopt the CCSS in both subjects (four states, as reported in table 2.2) also supported professional development on implementing their revised state standards. Among the five states, four reported that they provided in-person professional development and “train-the-trainer” sessions for LEA staff (appendix table C.3). Three SEAs each provided online professional development and guidance and technical assistance on design and implementation of professional development. None of the five SEAs reported that they provided funding to support LEA-designed professional development on standards.

Table 2.3. Number and percent of SEAs that provided, guided or funded professional development on the CCSS, 2010-11

SEA strategies:	SEAs	
	Number	Percent
Adopted the CCSS in both subjects and provided support for standards implementation through:		
State-developed professional development to LEA staff		
In person	33	65
Online	24	47
Guidance and technical assistance to LEAs on the design and implementation of professional development	28	55
“Train-the-trainer” sessions to lead LEA staff	24	47
Funding for LEA-designed professional development on standards	7	14
MET INDICATOR (Adopting the CCSS in both subjects and at least one strategy)	37	73

Note: Respondents include the 43 SEAs that adopted the CCSS in both subjects in 2010-11.
 Source: U.S. Department of Education, Institute of Education Sciences, Charting the Progress of Education Reform: An Evaluation of the Recovery Act’s Role: Spring 2011 State Education Agencies Survey.

Providing Instructional Materials or Curriculum Assistance (table 2.4)

- Twenty-nine of the states adopting the CCSS in both subjects provided support for standards implementation in the areas of curriculum or instruction.
- Twenty-three SEAs provided assistance or resources to help LEAs map curriculum to the CCSS.
- Twenty-two SEAs reported that they provided implementation help to LEAs by identifying, developing, and/or distributing curricular materials to LEAs for their optional use. Three of these SEAs reported that LEAs were required to use some of the materials.

Table 2.4. Number and percent of SEAs that provided instructional materials or curriculum assistance for the CCSS, 2010-11

SEA strategies:	SEAs	
	Number	Percent
Adopted the CCSS in both subjects and supported standards implementation by:		
Identifying, developing, and/or distributing instructional materials aligned with standards to LEAs that are:		
Required	3	6
Optional	22	43
Providing resources or technical assistance to help LEAs map curriculum taught to new or revised content standards	23	45
MET INDICATOR (Adopting the CCSS in both subjects and at least one strategy)	29	57

Note: Respondents include the 43 SEAs that adopted the CCSS in both subjects in 2010-11.
 Source: U.S. Department of Education, Institute of Education Sciences, Charting the Progress of Education Reform: An Evaluation of the Recovery Act's Role: Spring 2011 State Education Agencies Survey.

Among the five SEAs that adopted other new or revised state content standards, three identified or distributed curricular materials to LEAs for their optional use (appendix table C.5). Two SEAs provided assistance or resources to help LEAs map curriculum to new or revised state standards.

Aligning Assessment Systems With New Standards: Implementation in 2010-11

All 43 states that adopted the CCSS in both subjects reported that they were working with one of the assessment consortia formed to develop K-12 assessments (table 2.5). In 18 of these states, SEAs were also working independently to develop aligned assessments. To fulfill this indicator, an SEA must have adopted the CCSS in both subjects and joined an assessment consortium **or**, as a CCSS state, joined an assessment consortium and also conducted additional independent work to develop aligned assessments. Because the assessments were not yet completed at the end of 2010-11, no SEAs had initiated implementation of the new assessments.

Among the five states adopting other new or revised state content standards, four opted to work independently to develop new aligned assessments, and one joined a federally funded assessment consortium (appendix table C.7).

Figure 2.1 shows the number of states implementing each of the major reforms described in this chapter in 2010-11. No data for school year 2009-10 are included because the CCSS was not available for adoption in that year.

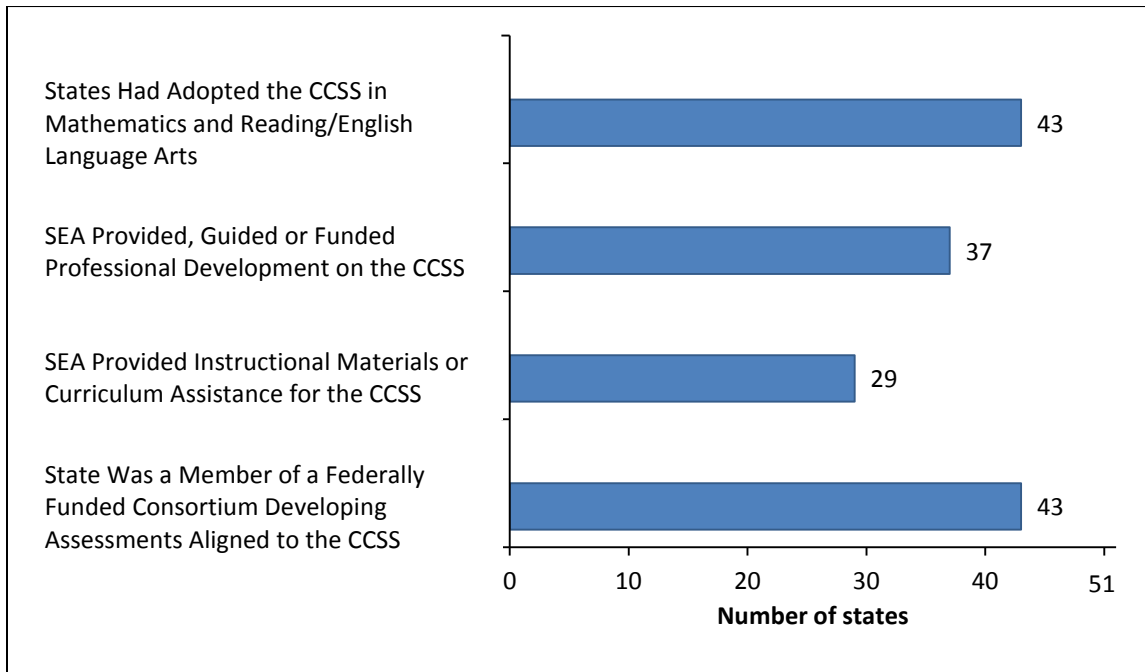
Table 2.5. Number and percent of states that were members of a Federally Funded assessment consortium developing assessments aligned to the CCSS, 2010-11

Type of reform:	SEAs	
	Number	Percent
Adopted the CCSS in both subjects and reported membership in a federally funded assessment consortium	43	84
Also reported working independently to develop new aligned assessments	18	35
MET INDICATOR (Adopting the CCSS in both subjects <u>and</u> assessment consortium membership)	43	84

Note: Respondents include the 43 SEAs that adopted the CCSS in both subjects in 2010-11.

Source: U.S. Department of Education, Institute of Education Sciences, Charting the Progress of Education Reform: An Evaluation of the Recovery Act's Role: Spring 2011 State Education Agencies Survey.

Figure 2.1. SEA status on standards and assessments, 2010-11



Note: Respondents include 50 states and DC. No data for 2009-10 are reported because the Common Core Standards were not yet available.

SOURCE: U.S. Department of Education, Institute of Education Sciences, Charting the Progress of Education Reform: An Evaluation of the Recovery Act's Role: Spring 2011 State Education Agencies Survey.

Challenges Associated With Reforms in Standards and Assessments in 2010-11

SEAs reported the challenges they were experiencing as they implemented the standards-based reforms described in this chapter, including the CCSS or other new or revised state standards. An SEA did not report on challenges if it was not implementing a particular reform. The percentages reported in table 2.6 reflect how many states reported that a challenge was a major one, among SEAs implementing that reform. Among the SEAs that implemented any reforms in the area of standards and assessments, 67 percent reported one or more major challenges (table 2.6). SEAs were especially likely to report that deficiencies in staff capacity or expertise were impediments to implementation success.

- In the area of standards, among states implementing reforms, a lack of SEA staff capacity or expertise in developing aligned instructional materials was a major challenge for 50 percent of SEAs. Thirty-six percent of SEAs reported a major challenge due to a lack of staff capacity in implementing new or revised state standards.

- In the area of assessments, among states implementing reforms, the lack of SEA staff capacity or expertise in developing interim/formative assessments to measure student mastery of new or revised state content standards was a major challenge in 55 percent of SEAs.

Thirty-six percent of SEAs reported major challenges due to the lack of assessments to measure student mastery of new or revised state standards.

Table 2.6. Percent of SEAs reporting major challenges, among those implementing reforms, 2010-11

Challenge	Percent of SEAs reporting as a major challenge	Total number of applicable SEAs
One or more of the challenges below perceived as major:	67	46
Lack of SEA staff capacity or expertise on:		
Developing interim/formative assessments to measure student mastery of the new or revised state content standards	55	33
Developing instructional materials aligned with the new or revised state content standards	50	36
Implementing new or revised state standards	36	42
Implementing new state assessments	35	34
Lack of assessments to measure student mastery of the new or revised state content standards	36	36
Lack of instructional materials aligned with the new or revised state content standards	33	40
Opposition from educators or other groups to the new or revised:		
State assessments	14	36
State content standards	5	44

Note: A challenge could be rated as not a challenge, a minor challenge, or a major challenge. SEAs that identified the challenge as not applicable were excluded from the denominator.

New or revised state content standards could include either CCSS and/or other state standards.

Source: U.S. Department of Education, Institute of Education Sciences, Charting the Progress of Education Reform: An Evaluation of the Recovery Act's Role: Spring 2011 State Education Agencies Survey.

Chapter 3: Data Systems

The Recovery Act highlighted the importance of data systems in ensuring that states and districts have information about individual student outcomes, from early childhood through higher education and workforce entry, to drive educational improvement. To receive funds, states were required to commit to improving their collection and use of data by establishing data systems that include the minimum requirements of a robust longitudinal data system, as specified in the America COMPETES Act. Through an infusion of funds to the competitive SLDS grant program, the act also provided 20 states with additional funding to build and improve such systems.

The act's emphasis on building comprehensive data systems to track student achievement and achievement gaps built on the SLDS grant program, which began issuing grants in FY 2006 to help states comply with the data requirements of the ESEA (Section 208 of P.L. 107-279). These competitive grants enabled states to design, develop, and implement statewide longitudinal data systems to manage, analyze, disaggregate, and use individual student data. Prior to the grant awards funded by the Recovery Act, the Department funded three SLDS grant competitions (FY 2006, FY 2007, and FY 2009). Forty-one states and the District of Columbia received at least one of these SLDS grants and 12 states received a second grant to enhance and strengthen their SLDS efforts. In 2007, the America COMPETES Act (P.L. 110-69) also encouraged improvements to state education data systems by identifying 12 core system components (e.g., statewide unique student identifiers; the ability to link students with demographic, attendance, course taking, and performance data; and the ability to link student and teacher data. See appendix D for a complete list). These data components were the foundation of the Recovery Act's requirements for longitudinal data systems that support the other three assurance areas and were a condition for receiving SLDS grants funded by the act. A particularly important system feature is the capacity to link teacher and student data for supporting reform implementation in other assurance areas. For example, linking teacher and student data is necessary to evaluate educator effectiveness and support performance-based compensation systems, as outlined in the Recovery Act.

In addition to building data systems, the Recovery Act encouraged states to promote data access and use through reporting and analysis tools. This goal was reflected in criteria for the RTT awards, which required states to demonstrate how state longitudinal data would be made accessible to key stakeholders and how the state would support districts in using data to improve instruction. The goal of data access and use also builds on prior initiatives, including SLDS.

This chapter describes the extent to which SEAs developed comprehensive data systems and supported local access to and use of data. In particular, we tracked implementation of four reforms, or indicators, articulated by the Recovery Act and listed in the table below. In this chapter, we first describe SEAs' reported implementation of each indicator in 2010-11. Next, we compare SEA implementation status in 2010-11 to their 2009-10 status to assess how many states were newly implementing Recovery Act reforms. Challenges associated with implementing data systems are addressed separately by assurance area in chapters 2, 4, and 5. As discussed above, the indicators and challenges are based on self-reported data, and findings should be interpreted with this in mind.

The table below presents the indicators of reform that we tracked. One set focuses on developing state data systems and key system features, and the other focuses on efforts to improve data access and use.

Table 3.1. Data systems indicators

Indicators related to state longitudinal data systems:	Did the SEA support a system that...
State Operated a Longitudinal Data System That Included 12 Core Components	Contains the 12 core components of a longitudinal education data system identified in the America COMPETES Act?
State Data System Had Ability to Link Teachers to Student Data	Has the ability to link teacher and student data?
Indicators related to data access and use:	Did the SEA have a substantive role in ...
SEA Facilitated Educators' Access to Assessment Data	Providing data to educators <u>or</u> ensuring data sharing with local systems?
SEA Provided Professional Development or Technical Assistance to Support Educators' Use of Assessment Data	Providing training in accessing assessment data <u>or</u> training in the use of assessment data for instructional improvement <u>or</u> planning?

State Longitudinal Data Systems: Implementation in 2010-11

We obtained information about the components of state longitudinal data systems in 2010-11 from annual performance data that states reported for the SFSF program. Relatively few states reported having a state longitudinal data system with all of the core system components in 2010-11. However, more than half of all states reported having a system that included the component of linking teacher and student data, which requires both a teacher identifier system and the ability to match teachers to students.

- One-quarter of all states (13) had longitudinal data systems that addressed all 12 of the components outlined in the America COMPETES Act (table 3.2).

- Several data system components were implemented by nearly all states. Almost all states reported that the state's system included checks for data quality, validity and reliability (48), student-level test results for state assessments (48), and information about students who were not tested by grade and subject, including counts and reasons for not testing (48) (table 3.2).

- Data systems containing information related to postsecondary education data were reported by the fewest number of states.

Twenty-two states reported that data

systems contained information about students' transition from secondary to postsecondary (e.g., enrollment in remedial coursework), and 23 reported that other information to determine alignment and preparedness for success in postsecondary education was available (table 3.2).

Table 3.2. Number and percent of states operating a longitudinal data system that included 12 core components, 2010-11

System components:	SEAs	
	Number	Percent
Uses unique student identifier	44	86
Contains student-level enrollment, demographic, and program participation information	42	82
Contains exit, drop out, transfer, and completion information for P-16 programs	37	73
Communicates with higher education data systems	36	71
Assesses data quality, validity, reliability	48	94
Contains yearly test records	48	94
Contains information on students not tested	48	94
Uses teacher identification systems and can match them with students	30	59
Contains student-level transcript information	26	51
Contains college readiness test scores	39	76
Contains information on students' transition from high school to postsecondary institutions	22	43
Contains other information to determine alignment and preparedness for success in postsecondary education	23	45
MET INDICATOR (all components)	13	25

Note: Respondents include 50 states and DC.

Source: U.S. Department of Education, State Fiscal Stabilization Fund Amended Applications.

- Thirty SEAs had data systems with the ability to link teachers to student data. (table 3.3)

Table 3.3. Number and percent of states with data systems able to link teachers to student data, 2010-11

System components:	SEAs	
	Number	Percent
Uses teacher identification systems and can match them with students	30	59
Linking teachers to student data (MET INDICATOR)	30	59

Note: Respondents include 50 states and DC.

Source: U.S. Department of Education, State Fiscal Stabilization Fund Amended Applications.

Data Access and Use: Implementation in 2010-11

Most SEAs reported efforts to increase access for districts and educators to assessment data and efforts to promote the use of data for instructional planning and improvement. Forty-three SEAs reported they facilitated access to assessment data. Forty SEAs reported they provided training in the use of data. Among SEAs that reported data use strategies, all but one of them also implemented reforms to increase access to these data.

Facilitating Educators' Access to Assessment Data (table 3.4)

- Among the 43 SEAs that facilitated educators' access to assessment data, the most commonly reported strategy was using report cards or data dashboards to report indicators of student achievement (39).
- Most SEAs (33) reported using both strategies: providing data to educators through report cards or data dashboards and sharing longitudinal student data with local systems (appendix table E.3).

Table 3.4. Number and percent of SEAs that facilitated educators' access to assessment data, 2010-11

SEA strategies:	SEAs	
	Number	Percent
Providing educators with key LEA, school and student indicators through report cards, data dashboards, or other systems	39	76
Establishing and maintaining state data systems that share longitudinal student data with local systems	37	73
MET INDICATOR (at least one strategy)	43	84

Note: Respondents include 50 states and DC.

Source: U.S. Department of Education, Institute of Education Sciences, Charting the Progress of Education Reform: An Evaluation of the Recovery Act's Role: Spring 2011 State Education Agencies Survey.

Professional Development or Technical Assistance to Support Educators' Use of Data (table 3.5)

- Among the 40 SEAs that provided professional development and/or technical assistance related to using assessment data, most SEAs (28) reported all three activities (appendix table E.4).
- Slightly more SEAs focused their professional development or assistance efforts with districts toward school leaders (36) than teachers (33).

Table 3.5. Number and percent of SEAs that provided professional development or technical assistance to support educators' use of assessment data , 2010-11

SEA strategies:	SEAs	
	Number	Percent
Professional development and/or technical assistance for LEA staff on accessing new or existing state assessment data	35	69
Professional development and/technical assistance in use of new or existing assessment data by:		
Teachers to improve instruction	33	65
School leaders in school improvement planning	36	71
MET INDICATOR (at least one strategy)	40	78

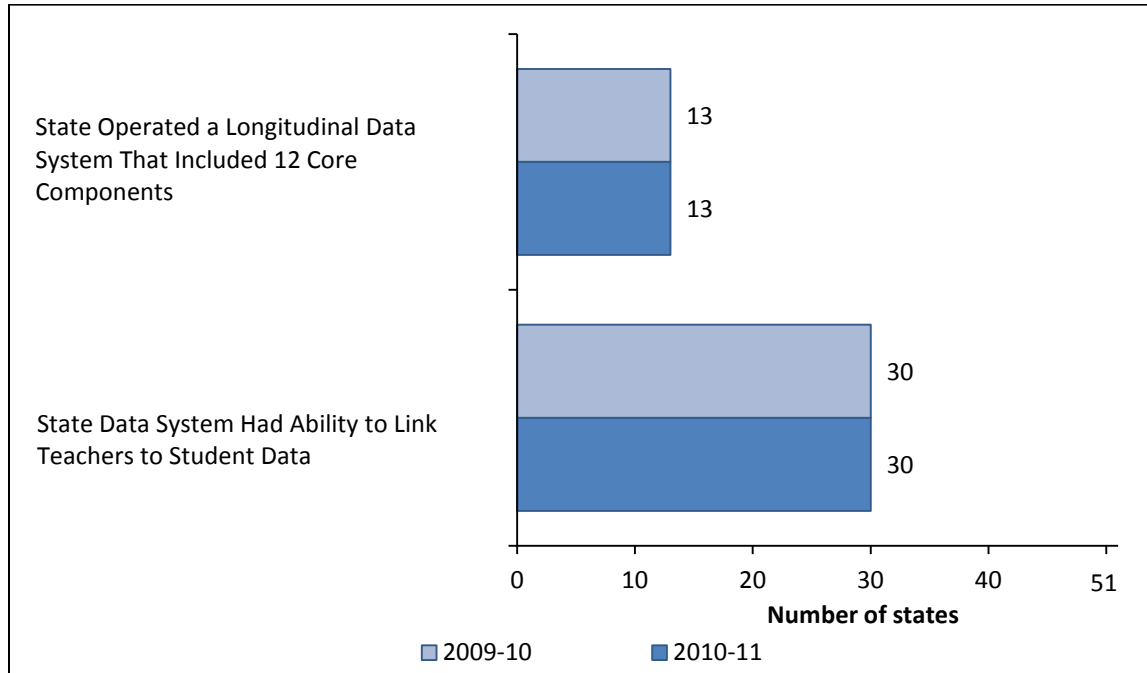
Note: Respondents include 50 states and DC.

Source: U.S. Department of Education, Institute of Education Sciences, Charting the Progress of Education Reform: An Evaluation of the Recovery Act's Role: Spring 2011 State Education Agencies Survey.

State Longitudinal Data Systems: Progress from 2009-10 to 2010-11

The progress reported by SEAs between 2009-10 and 2010-11 on components of state longitudinal data systems is displayed in figure 3.1. Based on the states' SFSF amended applications and annual reports, reforms to state longitudinal data systems in 2010-11 did not represent new activity. Overall, there was no change in the number of SEAs reporting all 12 components of a comprehensive state longitudinal data system or in the number of SEAs reporting the ability to link teacher and student data (figure 3.1).

Figure 3.1. SEA status on components of state longitudinal data systems, 2009-10 and 2010-11



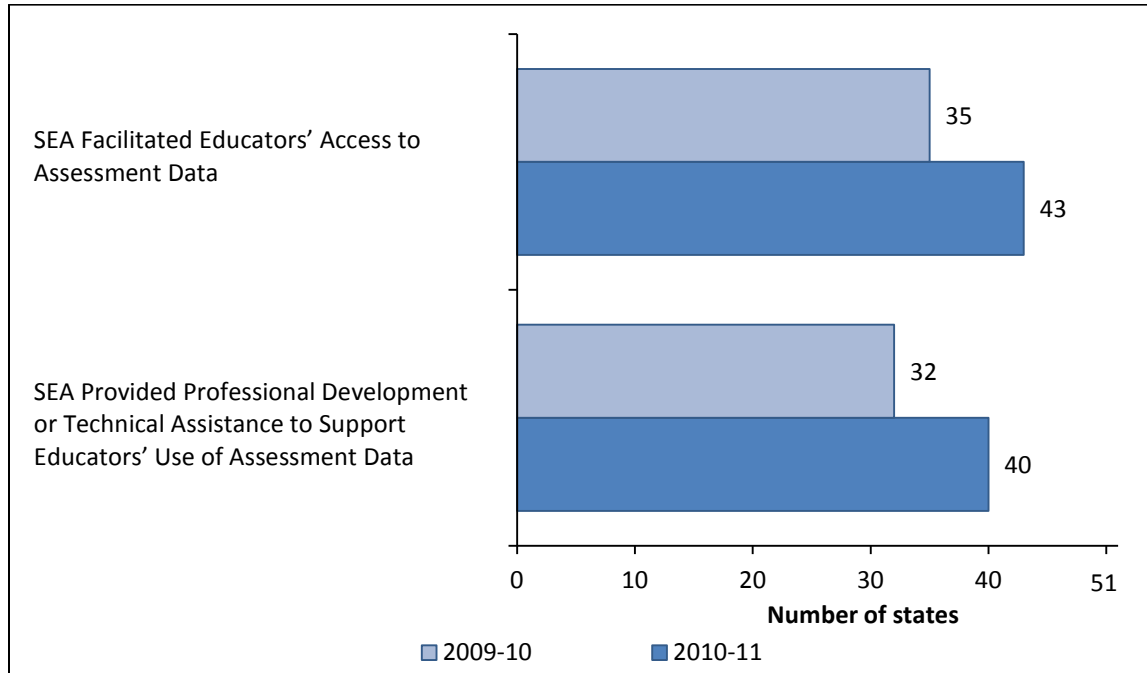
Note: Respondents include 50 states and DC.

Source: U.S. Department of Education, State Fiscal Stabilization Fund Initial Annual State Reports (2009-10) and Amended Applications (2010-11).

Data Access and Use: Progress From 2009-10 to 2010-11

The progress reported by SEAs between 2009-10 and 2010-11 on support for data access and use is displayed in figure 3.2. Many SEAs were already providing assistance in data access and use in 2009-10. However, of the 43 SEAs implementing data access reforms, 8 reported new activities in 2010-11 (i.e., met the indicator in 2010-11 but not in 2009-10). Eight of the 40 SEAs that provided professional development or technical assistance to support educators' use of data in 2010-11 were doing so for the first time (figure 3.2).

Figure 3.2. SEA status on assessment data access and use, 2009-10 to 2010-11



Note: Respondents include 50 states and DC.

Source: U.S. Department of Education, Institute of Education Sciences, Charting the Progress of Education Reform: An Evaluation of the Recovery Act's Role: Spring 2011 State Education Agencies Survey.

Challenges Associated With Reforms in Data Systems in 2010-11

SEAs reported the challenges they were experiencing as they implemented reforms related to data systems and data access and use. An SEA did not report on challenges if it was not implementing a particular reform strategy. The percentages reported in table 3.6 reflect how many states reported a major challenge, among SEAs implementing that reform. Among the SEAs that implemented any reforms in the area of data systems, 64 percent reported one or more major challenges (table 3.6). SEAs were most likely to report major challenges related to linking student test data with teachers.

- Among states implementing reforms, 40 percent of SEAs reported as a major challenge that current data systems made linking student test data to individual teachers difficult.
- Thirty-nine percent of SEAs reported a major challenge due to restrictions in rules and regulations on linking of student data to individual teachers.

Table 3.6. Percent of SEAs reporting major challenges, among those implementing reforms, 2010-11

Challenge	Percent of SEAs reporting as a major challenge	Total number of applicable SEAs
One or more of the challenges below perceived as major:	64	50
Current data systems make linking student test data to individual teachers difficult	40	45
Restrictions in rules and regulations on linking of student data to individual teachers	39	38
Lack of SEA capacity or expertise on accessing and using assessment data	26	39
Current data systems make tracking the success of school improvement efforts difficult	24	49
Current data systems limit district and school access to new assessment data	18	34

Note: A challenge could be rated as not a challenge, a minor challenge, or a major challenge. SEAs that identified the challenge as not applicable were excluded from the denominator.

Source: U.S. Department of Education, Institute of Education Sciences, Charting the Progress of Education Reform: An Evaluation of the Recovery Act's Role: Spring 2011 State Education Agencies Survey.

Chapter 4: Educator Workforce Development

The Recovery Act emphasized the development of a work force of high-quality teachers and leaders who could raise achievement for students in all schools, especially the lowest performing. Toward this end, the act required grantees to make progress toward improving both the preparation of new educators and the adoption of educator evaluation and compensation policies to promote the recruitment, retention, and distribution of those educators who were determined to be effective. As part of these reforms, the Recovery Act promoted and, under some grant programs, required that the effectiveness of teachers and principals be identified at least partially by demonstrated growth in their students' achievement.

These general features of educator workforce development were not entirely new. Prior federal policy had supported such efforts. The 2001 NCLB singled out the importance of assigning "highly qualified" teachers to serve in Title I schools. Beginning in 2006, ED's TIF program provided grants to selected SEAs and LEAs for the purpose of supporting performance-based teacher and principal compensation systems. Earlier grants for developing state longitudinal data systems sought to provide the infrastructure for tracking individual students' achievement across years. In addition, even before 2009, some states and districts were experimenting with or fully implementing alternative teacher preparation programs, evaluation systems, and pay structures (U.S. Department of Education 2010b). For example, Florida, Kentucky, and Texas were early implementers of performance-based pay, along with districts such as Charlotte-Mecklenburg, North Carolina and Denver, Colorado (Gonering, Teske, and Jupp 2007; Heneman, Milanowski, and Kimball 2007; Kelley, Heneman, and Milanowski 2002; Springer et al. 2010).

While the Recovery Act promoted reforms that overlapped with earlier policy and implementation efforts, it also raised the stakes for broader implementation of these strategies across the country. The priorities, reporting requirements, and incentives contained in the act's various grant programs encouraged state leadership on educator workforce efforts, both in areas where SEAs historically had played a strong role (e.g., teacher licensure and certification) and in areas where SEAs had been less involved (e.g., teacher evaluation and pay).

This chapter describes the extent to which SEAs implemented or supported local implementation of Recovery Act reforms in the educator workforce. In particular, we tracked implementation of six reforms, or indicators, articulated in SFSF reporting requirements and RTT competition guidance, related to needed improvements in the educator pipeline (i.e., licensure, certification, and preparation) and in the transformation of educator evaluation and compensation. In this chapter, we first describe SEAs' reported implementation of each indicator in 2010-11. Next, we compare SEAs' implementation status in 2010-11 to their 2009-10 status to assess how many states were newly implementing Recovery Act reforms. Finally, we report on the major challenges SEAs encountered in implementing these reforms. As discussed above, the indicators and challenges are based on self-reported data, and findings should be interpreted with this in mind.

The table below presents the indicators of reform that we tracked. One set focuses on expanding and improving the educator pipeline, and the other focuses on reforms to improve the effectiveness of current educators.

Table 4.1. Educator workforce development indicators

Indicators related to expanding and improving the educator pipeline:	Did the SEA ...
SEA Simplified/Shortened Educator Licensure Process or Authorized Non-University Preparation Programs	Streamline licensure or expand alternatives to traditional certification?
SEA Issued Standards or Guidelines for Teacher Preparation Programs	Require or encourage programs to align with state standards, report on graduates' effectiveness, <u>or</u> provide training on how to work in low-performing schools?
SEA Issued Standards or Guidelines for Principal Preparation Programs	Encourage programs to align with state standards, report on graduates' effectiveness, <u>or</u> provide training on how to work in low-performing schools?
Indicators related to reforming educator evaluation and compensation systems:	Did the SEA have a substantive role in ...
SEA Supported Use of Multi-level Ratings, Multiple Observations, and Student Achievement Gains for Teacher Evaluation	Teacher evaluation <u>and</u> promote a system that included use of student achievement gains, at least 2 yearly classroom observations, and a rating system that identified at least 3 levels of teacher performance?
SEA Supported Use of Student Achievement Gains for Principal Evaluation	Principal evaluation <u>and</u> promote a system that included use of schoolwide student achievement gains?
SEA Supported Differentiating Teacher Compensation Based on Student Achievement Gains	Teacher compensation <u>and</u> promote a system that included use of some type of financial reward for effective teachers as measured by student achievement gains?

Expanding and Improving the Educator Pipeline: Implementation in 2010-11

Many SEAs reported working to increase the number and quality of new entrants into the teaching profession in 2010-11. Approximately two-thirds of SEAs (35) said they took steps to make it easier for teachers to access and become certified through teacher training programs (table 4.2). A similar number (32) focused on improving the quality of teacher preparation programs (table 4.3); somewhat fewer SEAs (25) focused on improving principal programs (table 4.3). Forty-one SEAs were working on at least one reform intended to expand or improve the educator pipeline, with 24 of those SEAs meeting all three indicators (appendix table H.5).

Educator Licensure/Certification Reforms (table 4.2)

- Among the strategies asked about (see table 4.2), streamlining the process (e.g., shortening the length of time to certification) for alternative pathway preparation programs was the most commonly reported, pursued by about half of all SEAs (27) during 2010-11.
- Slightly fewer SEAs (19), reported streamlining the process for state university preparation programs.
- One-third of SEAs (18) reported authorizing independent providers not associated with institutions of higher education to provide teacher training.

Table 4.2. Number and percent of SEAs that simplified/shortened educator licensure process or authorized non-university preparation programs, 2010-11

SEA strategies:	SEAs	
	Number	Percent
Simplify or shorten licensure and/or certification process for the following teacher preparation programs:		
State university based	19	37
Alternative pathway	27	53
Authorize independent providers to provide teacher training	18	35
MET INDICATOR (at least one strategy)	35	69

Note: Respondents include 50 states and DC.

Source: U.S. Department of Education, Institute of Education Sciences, Charting the Progress of Education Reform: An Evaluation of the Recovery Act's Role: Spring 2011 State Education Agencies Survey.

Teacher Preparation Program Reforms (table 4.3)

- Alignment of preservice training programs with state-level standards was the most commonly reported strategy for reforming teacher preparation programs. Twenty-nine SEAs focused on incorporating state teaching standards into programs, and 27 focused on incorporating state content standards. Twenty-five SEAs reported both of these strategies (appendix table F.2).
- Fewer SEAs (10) encouraged training programs to focus specifically on preparing teachers to improve achievement in low-performing schools.
- Eight SEAs reported encouraging training program operators to collect and make public student achievement data for program graduates.

Table 4.3. Number and percent of SEAs that issued standards or guidelines for teacher preparation programs, 2010-11

SEA strategies:	SEAs	
	Number	Percent
Issue standards or guidelines to preservice teacher preparation programs to promote:		
Alignment with new or revised state content standards	27	53
Alignment with state teacher standards	29	57
Provision of training on practices for improving low-performing schools	10	20
Tracking the effectiveness of graduates based on student achievement gains and making these data publicly available	8	16
MET INDICATOR (at least one strategy)	32	63

Note: Respondents include 50 states and DC.

Source: U.S. Department of Education, Institute of Education Sciences, Charting the Progress of Education Reform: An Evaluation of the Recovery Act's Role: Spring 2011 State Education Agencies Survey.

Principal Preparation Program Reforms (table 4.4)

- Fewer SEAs reported efforts to raise the quality of principal training programs, compared with reforms to teacher programs.
- As with teacher preparation, alignment of pre-service training programs with state-level principal standards was the most common reform approach (23 SEAs).
- Fewer SEAs encouraged training programs to focus specifically on preparing principals to improve achievement in low-performing schools (9) or to collect and make public student achievement data for program graduates (4).

Table 4.4. Number and percent of SEAs that issued standards or guidelines for principal preparation programs, 2010-211

SEA strategies:	SEAs	
	Number	Percent
Issue standards or guidelines to pre-service principal preparation programs to promote:		
Alignment with new or revised state content standards	21	41
Alignment with state principal standards	23	45
Training on practices for improving low-performing schools	9	18
Tracking the effectiveness of graduates based on student achievement gains and making these data publicly available	4	8
MET INDICATOR (at least one strategy)	26	51

Note: Respondents include 50 states and DC.

Source: U.S. Department of Education, Institute of Education Sciences, Charting the Progress of Education Reform: An Evaluation of the Recovery Act's Role: Spring 2011 State Education Agencies Survey.

Reforming Educator Evaluation and Compensation Systems: Implementation in 2010-11

Relative to efforts to expand the educator pipeline, fewer SEAs met the reform indicators for educator evaluation and compensation systems. Two SEAs met our indicator for changing teacher evaluation (table 4.4) and nine for changing principal evaluation approaches (table 4.5). Nine SEAs met the indicator for educator compensation (table 4.6). Fourteen SEAs reported working on at least one of these reform areas, but only one SEA reported working on all three that year (appendix table H.5).

Many states did report at least one type of reform activity in the evaluation and compensation areas. For example, 33 SEAs reported playing some role in supporting local-level teacher evaluation systems (table 4.4). However, most SEAs were not providing support for evaluation and compensation systems that specifically included student achievement data as an evaluation criterion, as the Recovery Act encouraged.

Teacher Evaluation Reforms (table 4.5)

- Thirty-three SEAs reported a role in administering or supporting teacher evaluation systems during 2010-11. The most common strategy was providing guidance/technical assistance to LEAs on system design and implementation (19).
- Only 2 of the 33 SEAs, however, supported all three components of a rigorous teacher evaluation system encouraged by the Recovery Act, thereby meeting the indicator.
- Among the SEAs implementing some component of Recovery Act-promoted evaluation systems, more were implementing the multi-level ratings (18) and multiple annual observations (14) than were implementing the use of achievement gains in individual teacher performance ratings (5).

Table 4.5. Number and percent of SEAs that supported use of multi-level ratings, multiple observations, and student achievement gains for teacher evaluation, 2010-11

	SEAs	
	Number	Percent
Method of SEA support:		
Administering a state-developed teacher evaluation system in which LEA participation is:		
Required	12	24
Optional	10	20
Setting standards and guidelines for LEA-designed systems that are:		
Required	16	31
Optional	6	12
Providing guidance/technical assistance to LEAs on system design and implementation	19	37
Requiring LEAs to submit teacher evaluation design and implementation plans for SEA approval	9	18
Requiring LEAs to report on teacher evaluation system operations and effectiveness	10	20
At least one of the above	33	65
Components of SEA system:		
Use rating scales or rubrics that define three or more performance levels	18	35
Include at least two annual observations of classroom instruction accompanied by written feedback	14	27
Use student achievement gains in NCLB-tested subjects and grades to determine teacher performance ratings	5	10
MET INDICATOR (at least one role <u>and</u> all components)	2	4

Note: Respondents include 50 states and DC.

Source: U.S. Department of Education, Institute of Education Sciences, Charting the Progress of Education Reform: An Evaluation of the Recovery Act's Role: Spring 2011 State Education Agencies Survey.

Principal Evaluation Reforms (table 4.6)

- Thirty SEAs reported a role in administering or supporting principal evaluation systems. The most common strategy was setting required standards and guidelines for LEA-designed systems (15).
- Nine of the 30 SEAs also reported the use of student achievement gains in determining principal performance, thereby meeting the indicator.¹³

Table 4.6. Number and percent of SEAs that supported the use of student achievement gains for principal evaluation, 2010-11

	SEAs	
	Number	Percent
Method of SEA support:		
Administering a state-developed principal evaluation system in which LEA participation is:		
Required	8	16
Optional	7	14
Setting standards and guidelines for LEA-designed system that are:		
Required	15	29
Optional	5	10
Providing guidance/technical assistance to LEAs on system design and implementation	12	24
Requiring LEAs to submit principal evaluation system design and implementation plans for SEA approval	7	14
Requiring LEAs to report on principal evaluation system operations and effectiveness	9	18
At least one of the above	30	59
Components of SEA system:		
Use student achievement gains or growth to determine principal performance ratings	10	20
MET INDICATOR (at least one role <u>and</u> all components)	9	18

Note: Respondents include 50 states and DC.

Source: U.S. Department of Education, Institute of Education Sciences, Charting the Progress of Education Reform: An Evaluation of the Recovery Act's Role: Spring 2011 State Education Agencies Survey.

¹³ One SEA did not report any of the listed support roles but did report working on a pilot principal evaluation system. This system included use of student achievement gains in principal evaluation. Therefore, 10 SEAs are listed as having this component in their state model, but only 9 met the indicator.

Differentiated Teacher Compensation Reforms (table 4.7)

- Eighteen SEAs reported a role in administering or supporting a differentiated teacher compensation system. The most common strategy was providing guidance and technical assistance to LEAs on the design and implementation of their systems (10).
- Nine of the 18 SEAs also supported pay increases or bonuses to teachers based on student achievement gains, thereby meeting the indicator.
- Of the SEAs that supported the use of pay increases or one-time bonuses, seven reported both types of rewards (appendix table F.6).

Table 4.7. Number and percent of SEAs that supported differentiating teacher compensation based on student achievement gains, 2010-11

	SEAs	
	Number	Percent
Method of SEA support:		
Administering a state-developed teacher compensation system in which LEA participation is:		
Required	4	8
Optional	6	12
Setting standards and guidelines for LEA-designed systems that are:		
Required	6	12
Optional	6	12
Providing guidance and technical assistance to LEAs on the design and implementation of their systems	10	20
Requiring LEAs to submit teacher compensation system design and implementation plans for SEA approval	5	10
Requiring LEAs to report on teacher compensation system operations and effectiveness	6	12
At least one of the above	18	35
Components of SEA system:		
Base pay increases, add-ons, or stipends based in part on achievement gains of students in individual teachers' classes	8	16
One-time bonuses for:		
achievement gains of students in individual teachers' classes	7	14
achievement gains of students served by teacher teams	6	12
average achievement gains of all students in a school	9	18
MET INDICATOR (at least one role and at least one component)	9	18

Note: Respondents include 50 states and DC.

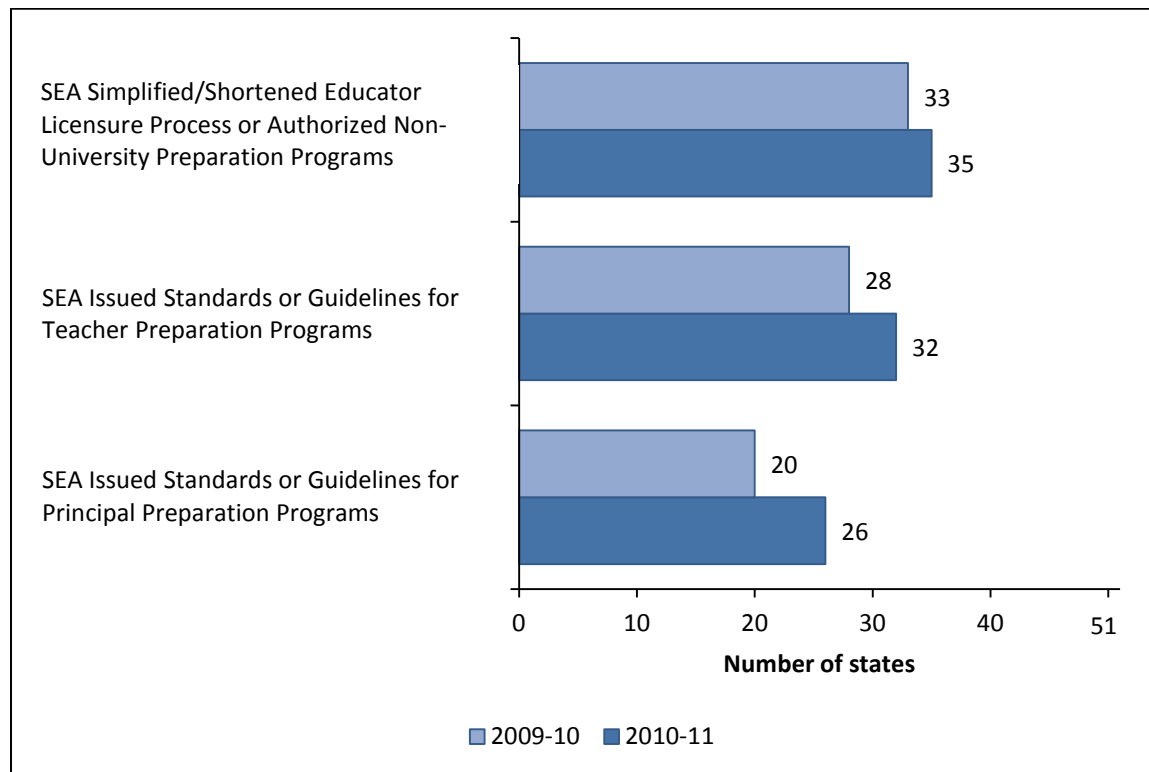
Source: U.S. Department of Education, Institute of Education Sciences, Charting the Progress of Education Reform: An Evaluation of the Recovery Act's Role: Spring 2011 State Education Agencies Survey.

Expanding and Improving the Educator Pipeline: Progress from 2009-10 to 2010-11

The progress reported by SEAs between 2009-10 and 2010-11 on efforts to expand and improve the educator pipeline is displayed in figure 4.1. Many of the SEAs reporting reforms to expand and improve the educator pipeline in 2010-11 had already been implementing the reforms the prior year. Of the 35 SEAs that reported simplifying or shortening the educator licensure process and/or authorizing non-university preparation programs, two were newly engaged in these reforms. Of the 32 SEAs that reported issuing standards or guidelines for teacher preparation programs in 2010-11, 4 were doing so for the first time. Of the 26 SEAs that reported issuing standards or guidelines for principal preparation programs, 6 were newly implementing in 2010-11.

The greatest level of new activity focused on the alignment of preparation programs with state standards. For example, from 2009-10 to 2010-11, six SEAs newly implemented alignment of teacher preparation programs with state content standards and six SEAs with state teacher standards. Fewer (3) SEAs began using student achievement data to track teacher preparation program success (appendix tables F.2).

Figure 4.1. SEA status on educator pipeline indicators, 2009-10 to 2010-11



Note: Respondents include 50 states and DC.

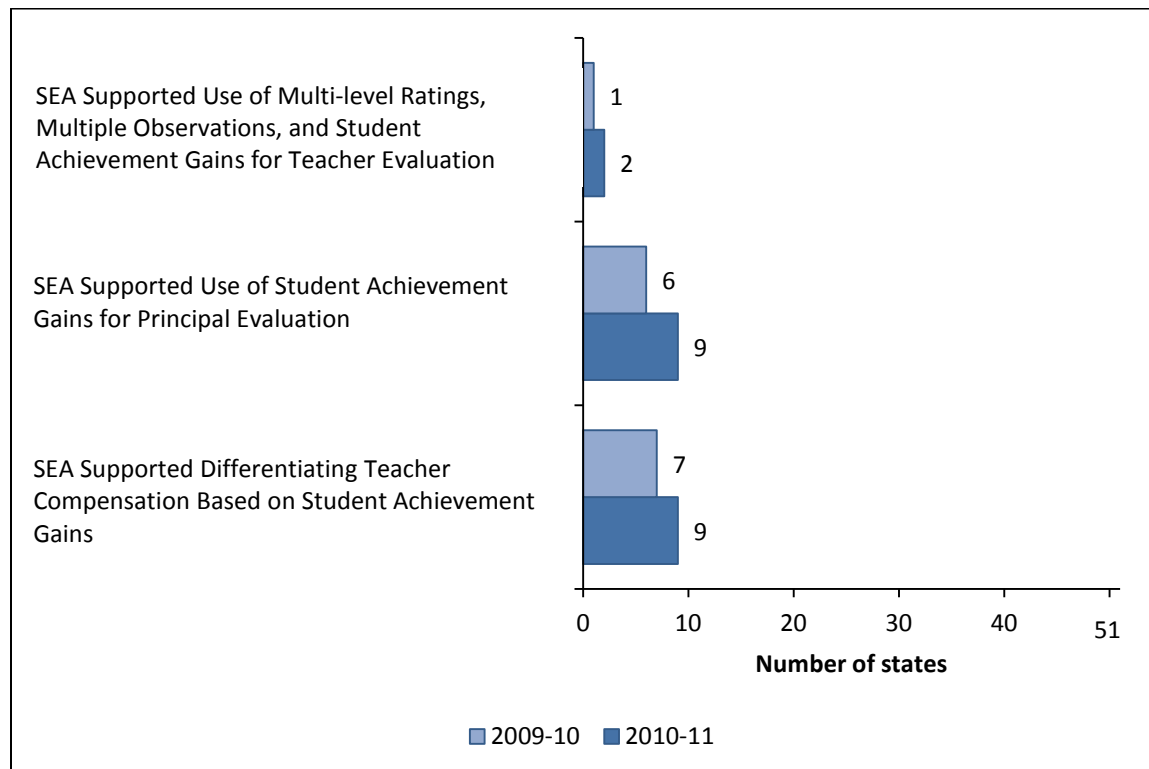
Source: U.S. Department of Education, Institute of Education Sciences, Charting the Progress of Education Reform: An Evaluation of the Recovery Act's Role: Spring 2011 State Education Agencies Survey.

Reforming Educator Evaluation and Compensation Systems: Progress From 2009-10 to 2010-11

The progress reported by SEAs between 2009-10 and 2010-11 in reforms related to educator evaluation and compensation systems is displayed in figure 4.2. A majority of SEAs that reported implementing Recovery Act-promoted educator evaluation and compensation reforms in 2010-11 (i.e., met our indicators) had been engaged in these activities the previous year. Of the two SEAs that reported supporting the use of multi-level ratings, multiple observations, and student achievement gains for teacher evaluation, one was doing so for the first time. Of the nine SEAs that reported supporting the use of student achievement gains for principal evaluation, three were reporting new activity. Of the nine SEAs that reported supporting differentiated teacher compensation based on student achievement gains, two were reporting new activity.

While the number of SEAs meeting the indicator for teacher evaluation systems grew from only one to two by 2010-11, nine more SEAs reported having a role in teacher evaluation (appendix table F.4). SEAs also reported new activity related to specific evaluation system components. Seven SEAs reported new use of multi-level rubrics, while two SEAs newly included student achievement gains in their evaluation systems (appendix table F.4).

Figure 4.2. SEA status on educator evaluation and compensation, 2009-10 to 2010-11



Note: Respondents include 50 states and DC.

Source: U.S. Department of Education, Institute of Education Sciences, Charting the Progress of Education Reform: An Evaluation of the Recovery Act's Role: Spring 2011 State Education Agencies Survey.

Challenges Associated With Educator Workforce Development Reforms in 2010-11

Given the Recovery Act's encouragement of SEA roles in educator compensation and evaluation systems and the focus on defining "effectiveness" at least partially in terms of demonstrated growth in student achievement, all SEAs were asked to report which (if any) challenges they had encountered related to implementing these reforms. An SEA did not report on challenges if it was not implementing a particular reform strategy. The percentages reported in table 4.8 reflect how many states reported a major challenge, among SEAs implementing that reform. Of the SEAs implementing any reforms in the area of educator workforce development, nearly all (96 percent) reported at least one major challenge (table 4.8).

- Difficulty in measuring student growth for teachers of nontested subjects was the most frequently identified challenge related to educator evaluation, reported by 91 percent of SEAs implementing reforms.
- Concerns or opposition from educators was cited by many SEAs as a major challenge in both performance-based compensation (81 percent) and evaluation systems (70 percent).
- Sixty-four percent of SEAs reported a lack of SEA capacity or expertise to develop reliable and fair methods of incorporating student achievement in educator performance evaluation systems.

Table 4.8. Percent of SEAs reporting major challenges, among those implementing reforms, 2010-11

Challenge	Percent of SEAs reporting as a major challenge	Total number of applicable SEAs
One or more of the challenges below perceived as major:	96	48
Difficulty in measuring student growth for teachers of nontested subjects	91	47
Concerns or opposition from educators about:		
Performance-based compensation	81	42
Evaluating educators based, at least in part, on student achievement	70	46
Lack of SEA staff capacity or expertise to:		
Develop reliable and fair methods for statewide system of educator performance evaluation based partly on student achievement	64	44
Provide districts with professional development and/or TA on differentiated teacher compensation systems	59	29
Provide districts with professional development and/or TA on educator recruitment, hiring and induction	48	40
Restrictions in rules and regulations on:		
How educators can be compensated	60	35
How educators can be evaluated	39	41
Resistance from colleges and universities to modifying educator preparation programs to changing state reform priorities	36	44
Lack of clear federal guidance/support on educator compensation or evaluation systems	29	38

Note: A challenge could be rated as not a challenge, a minor challenge, or a major challenge. SEAs that identified the challenge as not applicable were excluded from the denominator.

Source: U.S. Department of Education, Institute of Education Sciences, Charting the Progress of Education Reform: An Evaluation of the Recovery Act's Role: Spring 2011 State Education Agencies Survey.

Chapter 5: Support for Improving Low-Performing Schools

The Recovery Act created incentives to support LEAs in improving the achievement of students in low-performing schools.¹⁴ The act required each state recipient of SFSF funds to ensure that the state would commit to improving the achievement of students in low-performing schools through several types of reform interventions. In addition, the act provided \$3 billion for Title I School Improvement Grants (SIG) awarded by formula to all states. States then awarded these funds competitively to districts who were required to use these funds on behalf of some or all of their persistently lowest achieving schools¹⁵ to support the schools' implementation of one of the four intervention models described below. The act also provided \$10 billion in new funding under Title I Part A, which supplemented existing Title I appropriations and provided "an unprecedented opportunity for educators to implement innovative strategies to improve education for academically at-risk students and to close the achievement gap in Title I schools while stimulating the economy," as described in ED guidance issued in March 2010.

The Recovery Act's provisions for low-performing schools were consistent with prior federal requirements under Title I which required LEAs to target Title I funding and services to the lowest performing schools that are eligible for support. The No Child Left Behind Act of 2001 required SEAs and LEAs to identify low-performing schools by name based on specific procedures and to target Title I resources to these schools in order to meet students' academic needs.

As in other reform areas explored in this report, the Recovery Act's priorities, reporting requirements, and incentives for support to students in low-performing schools were designed, in part, to generate new momentum for state leadership. States were encouraged to support expansion in the number of charter schools. Such encouragement was explicit in the RTT program, which included a funding criterion that gave priority to applications from states with charter school laws that did not prohibit or effectively inhibit increases in the number of charter schools. This approach was further supported by the SFSF requirement that states report annually on the number of charter schools allowed to operate in the state.

The act also promoted state assistance and guidance to LEAs in selecting among school intervention models capable of achieving improvement for students in low-performing schools. The intervention models were initially established for use in LEAs receiving support under Title I SIG grants and further encouraged by the Recovery Act. They are as follows:

- Turnaround model, which entails replacement of the school principal and installation of new procedures to improve staff competencies, school governance, curricula, data use, and accountability and to increase learning time;
- Restart model, which entails conversion of a school or LEA to charter school status or to operation by an education management organization;

¹⁴ Low-performing schools include: (1) any ESEA Title I-eligible school designated for improvement, corrective action, or restructuring and (2) any high school, regardless of Title I funding or status, with a cohort graduation rate (i.e., percent of ninth graders who graduate within 4 or 5 years) less than 60 percent over the last several years.

¹⁵ Persistently lowest-achieving schools (SIG eligible schools) are schools that are among the lowest-performing 5 percent or five schools, whichever number is greater, in terms of overall academic performance for all students and schools that exhibit a lack of progress toward achievement goals.

- School closure, which entails closing the low-performing school and enrolling the school's students in other, higher performing schools; and
- Transformation model, which relies on the methods outlined for the turnaround model but also includes options for the school to offer additional compensation to staff, measure changes in instructional practices, and ensure that the school is not required to accept a teacher without the mutual consent of the teacher and principal (regardless of the teacher's seniority).

Another avenue for supporting students in low-performing schools was the act's encouragement of the equitable assignment and distribution of effective teachers and principals to low-performing schools (i.e., to ensure that all students have access to highly effective teachers and principals). The means for implementing this approach included financial incentives (e.g., higher salaries, bonuses, or loan forgiveness) and enhanced educator recruitment. The act also encouraged states to use data from their educator evaluation systems to monitor local progress in achieving equitable distribution. To advance these reforms, selection criteria for RTT awards favored state applications that included plans and targets to ensure the equitable distribution of teachers and principals across all schools, including low-performing schools.

This chapter describes the extent to which states were implementing policies and procedures aimed at improving low-performing schools in ways that were promoted by the Recovery Act. In particular, we tracked implementation of four reforms, or indicators, articulated in the Recovery Act and listed in the table below. In this chapter, we first describe states' reported implementation of each indicator in 2010-11. Next, we compare states' implementation status in 2010-11 to their 2009-10 status to assess how many states were newly implementing Recovery Act reforms. Finally, we report on the major challenges states encountered in implementing these reforms. As discussed above, the indicators and challenges are based on self-reported data, and findings should be interpreted with this in mind.

The table below summarizes the indicators of reform that we tracked. The first set of two indicators focuses on state adoption of options for closing or restructuring low-performing schools. The second set of two indicators focuses on improving low-performing schools through SEA encouragement of the movement of effective educators into these schools.

Table 5.1. Support for improving low-performing schools indicators

Indicators related to intervention models for low-performing schools:	Did the SEA...
State Allowed for Expansion of the Number of Charter Schools	Not cap the number of charter schools <u>or</u> enact a state law to increase the permissible number of charter schools <u>or</u> remove prohibitions on charter schools?
SEA Provided Guidance on Choosing and Implementing School Intervention Models Defined by ED	Provide technical assistance and guidance to LEAs on one of four school intervention models to implement in identified low-performing schools?
Indicators related to moving effective educators into low-performing schools:	Did the SEA...
SEA Supported Using Compensation Incentives to Improve Staffing at Low-Performing Schools	Promote differentiated compensation practices for teachers <u>or</u> principals that encourage transfers to low-performing schools?
SEA Monitored Deployment of Effective Educators in Low-Performing Schools	Use data from local educator evaluation systems to monitor the deployment of effective educators in low-performing schools?

Intervention Models for Low-Performing Schools: Implementation in 2010-11

In 2010-11, over half of the states (28) had adopted policies that encouraged expansion in the number of charter schools (table 5.2), based on information collected and reported by the National Alliance of Public Charter Schools. In these states, charter-friendly state policies increased the options available to parents who sought alternatives to the low-performing schools attended by their children.

In the same year, virtually all SEAs (50) reported that they supported interventions in low-performing schools by providing technical assistance and guidance to LEAs on choosing and implementing the four school intervention models (table 5.3). Among these 50 SEAs, 27 also supported reforms encouraging expansion in the number of charter schools (appendix table H.7).

Expansion of Charter Schools (table 5.2)

- Twenty-eight states supported the expansion of charter schools in 2010-11 through policies in at least one of the three areas cited in the indicator.
- Seventeen states placed no caps on the number of charter schools in the state.
- In 2010-11, 11 states enacted legislation to either increase the permissible number of charter schools in the state or remove the cap on the number of charter schools entirely.

Table 5.2. Number and percent of states allowing for expansion of the number of charter schools, 2010-11

Type of reform:	SEAs	
	Number	Percent
Not placing caps on the number of charter schools in the state	17	33
Enacting a state law to increase the permissible number of charter schools	11	22
Removing prohibitions on charter schools	1	2
MET INDICATOR (at least one strategy)	28	55

Note: Includes 50 states and DC.

Source: The National Alliance for Public Charter Schools report: *Measuring up to the model: A ranking of state charter school laws (2010 and 2011)*.

Supporting Selection of School Intervention Models (table 5.3)

- All but one SEA (50) reported that it provided technical assistance and guidance to LEAs on choosing and implementing among the four school intervention models.

Table 5.3. Number and percent of SEAs providing guidance on choosing and implementing school intervention models defined by ED, 2010-11

SEA strategy:	SEAs	
	Number	Percent
Providing guidance on choosing and implementing the four school intervention models defined by ED	50	98
Providing guidance on school intervention models (MET INDICATOR)	50	98

Note: Respondents include 50 states and DC.

Source: U.S. Department of Education, Institute of Education Sciences, Charting the Progress of Education Reform: An Evaluation of the Recovery Act's Role: Spring 2011 State Education Agencies Survey.

Moving Effective Educators to Low-Performing Schools: Implementation in 2010-11

Some states implemented strategies for promoting the movement of effective teachers and principals to low-performing schools. In 2010-11, nine SEAs supported using compensation incentives to improve staffing at low-performing schools (table 5.4).

SEAs used local educator evaluation systems to monitor the deployment of effective educators to low-performing schools. In 2010-11, nine SEAs reported using data from educator evaluation systems for this purpose (table 5.5).

Compensation Incentives to Improve Staffing at Low-Performing Schools (table 5.4)

- Nineteen SEAs reported a role in administering or supporting a teacher or principal compensation system. The most common strategy was providing guidance and technical assistance to LEAs on the design and implementation of their systems (11 SEAs).
- Nine of the 19 SEAs also implemented one or more compensation incentives designed to promote the movement of effective teachers or principals or both to low-performing schools, thereby meeting the indicator.
- Support for differentiated educator compensation practices included loan forgiveness for teachers who moved to low-performing schools (nine SEAs), higher compensation for such teachers (eight SEAs), and differential compensation for principals moving to or remaining in low-performing schools (four SEAs).

Table 5.4. Number and percent of SEAs that supported using compensation incentives to improve staffing at low-performing schools, 2010-11

	SEAs	
	Number	Percent
Method of SEA support:		
Administering a state-developed teacher <u>or</u> principal compensation system in which LEA participation is:		
Required	4	8
Optional	8	16
Setting standards and guidelines for LEA-designed systems that are:		
Required	7	14
Optional	6	12
Providing guidance and technical assistance to LEAs on the design and implementation of their systems	11	22
Requiring LEAs to submit compensation system design and implementation plans for SEA approval	6	12
Requiring LEAs to report on compensation system operations and effectiveness	6	12
At least one of the above	19	37
Components of SEA system:		
Promoting differentiated teacher compensation practices that include:		
higher starting salaries, add-ons, or signing bonuses, OR	8	16
loan forgiveness for teachers who move to low-performing schools	9	18
Promoting differentiated principal compensation practices that include bonuses or stipends as incentives	4	8
MET INDICATOR (at least one role <u>and</u> at least one component)	9	18

Note: Respondents include 50 states and DC.

Source: U.S. Department of Education, Institute of Education Sciences, Charting the Progress of Education Reform: An Evaluation of the Recovery Act's Role: Spring 2011 State Education Agencies Survey.

Monitoring the Deployment of Effective Educators in Low-Performing Schools
(table 5.5)

- Nine SEAs used data from local educator evaluation systems to monitor the movement of effective educators to low-performing schools.

Table 5.5. Number and percent of SEAs monitoring the deployment of effective educators in low-performing schools, 2010-11

SEA strategy:	SEAs	
	Number	Percent
Using data from local educator evaluation systems to monitor the deployment of effective educators in low-performing schools	9	18
Monitoring the deployment of effective educators (MET INDICATOR)	9	18

Note: Respondents include 50 states and DC.

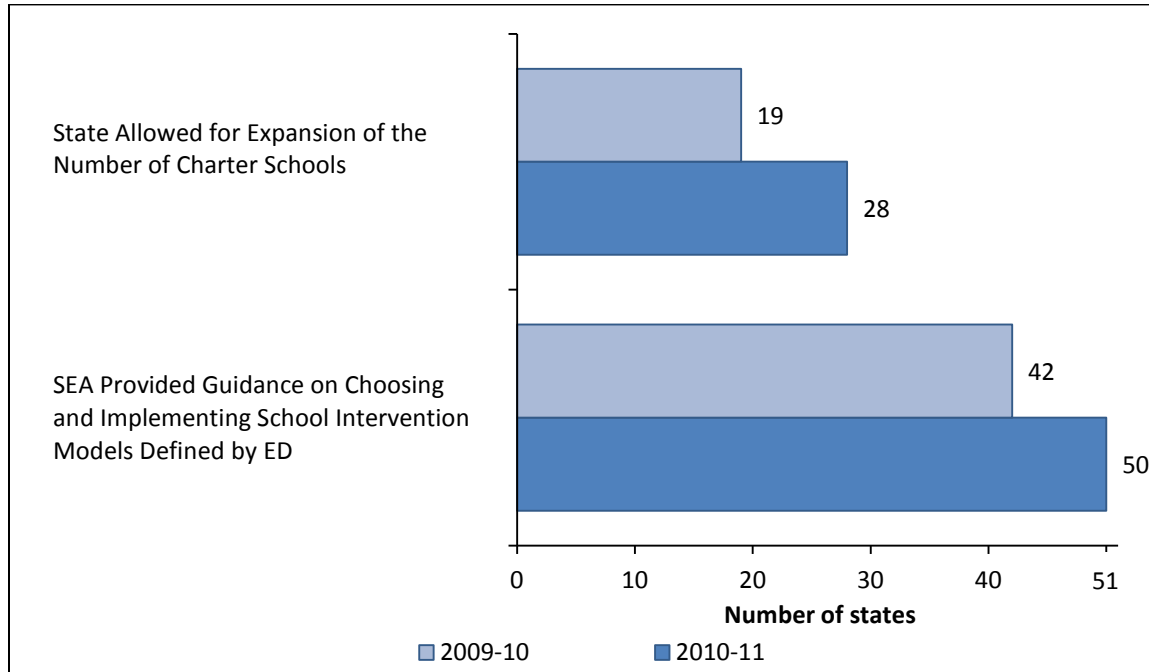
Source: U.S. Department of Education, Institute of Education Sciences, Charting the Progress of Education Reform: An Evaluation of the Recovery Act’s Role: Spring 2011 State Education Agencies Survey.

Intervention Models for Low-Performing Schools: Progress from 2009-10 to 2010-11

The progress reported by SEAs between 2009-10 and 2010-11 in supporting intervention models for low-performing schools is displayed in figure 5.1. State support for expansion of charter schools and SEA guidance on school intervention models both increased between 2009-10 and 2010-11 (figure 5.1). Of the 28 states allowing for expansion of the number of charter schools, 9 were implementing a new reform activity. The most commonly reported new activity was enacting a state law to increase the permissible number of charter schools (eight states), with one state moving to eliminate caps altogether and one removing a charter school prohibition (appendix table G.1).

Of the 50 SEAs providing guidance on choosing among and implementing ED’s four school intervention models for low-performing schools, 8 were reporting new activity.

Figure 5.1. SEA status regarding options for closing or restructuring low-performing schools, 2009-10 to 2010-11



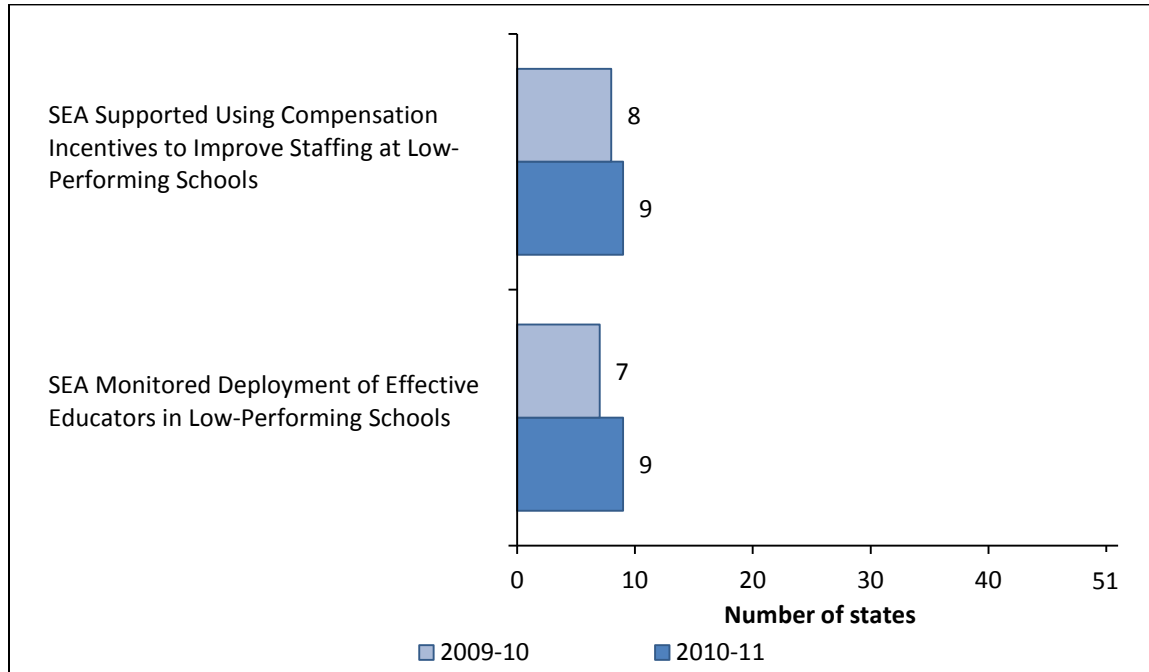
Note: Includes 50 states and DC.

Sources: The National Alliance for Public Charter Schools report: *Measuring up to the model: A ranking of state charter school laws (2011)* and *How state charter laws rank against the new model public charter school law (2010)* for information on the expansion of charter schools and U.S. Department of Education, Institute of Education Sciences, *Charting the Progress of Education Reform: An Evaluation of the Recovery Act's Role: Spring 2011 State Education Agencies Survey* for information on implementation of the school intervention models for low-performing schools.

Movement of Effective Educators to Low-Performing Schools: Progress From 2009-10 to 2010-11

The progress reported by SEAs over the 2 years from 2009-10 through 2010-11 in supporting the movement of effective educators into low-performing schools is displayed in figure 5.2. Most of the SEAs that reported reforms aimed at moving effective educators to low-performing schools had been engaged in these activities the previous year. One of nine SEAs began using compensation incentives to improve staffing at low-performing schools. Two of nine SEAs began using data from local educator evaluation systems to monitor the deployment of effective educators to low-performing schools in 2010-11.

Figure 5.2. SEA status regarding support for movement of effective educators to low-performing schools, 2009-10 to 2010-11



Note: Respondents include 50 states and DC.

Source: U.S. Department of Education, Institute of Education Sciences, Charting the Progress of Education Reform: An Evaluation of the Recovery Act's Role: Spring 2011 State Education Agencies Survey.

Challenges Associated With SEA Support for Low-Performing Schools

The survey asked SEAs to report the challenges they experienced in supporting improvements for low-performing schools. An SEA did not report on challenges if it was not implementing a particular reform strategy. The percentages reported in table 5.5 reflect how many states reported a major challenge, among SEAs implementing that reform. Of the SEAs that reported implementing any reforms related to low-performing schools, 84 percent reported one or more major challenges (table 5.6).

- A major challenge reported by the largest percentage of SEAs (48) was concerns or opposition from educators about closing or restructuring schools.
- SEAs also reported major challenges with restrictions in rules and regulations regarding teacher hiring practices (39 percent of SEAs implementing reforms) and the extent of autonomy that districts and schools can be granted in staffing or budgets (38 percent of SEAs implementing reforms).
- The most frequently cited major challenge under the category of lack of SEA staff capacity or expertise was the provision of guidance and technical assistance to districts on whole-school reform and/or turnaround models, reported by 31 percent of SEAs implementing reforms.

Table 5.6. Percent of SEAs reporting major challenges, among those implementing reforms, 2010-11

Challenge	Percent of SEAs reporting as a major challenge	Total number of applicable SEAs
One or more of the challenges below perceived as major:	84	50
Concerns or opposition from educators about closing or restructuring schools	48	44
Restrictions in rules and regulations regarding:		
Teacher hiring practices	39	46
Extent of autonomy that districts and schools can be granted in staffing or budgets	38	45
The number of schools that can be closed, opened as charters, or restructured in other ways	33	36
Extension of school days/years	27	45
Lack of SEA staff capacity or expertise to:		
Screen and disseminate information on education management organizations (EMOs), charter management organizations (CMOs), and school turnaround experts	31	36
Provide guidance and technical assistance on whole-school reform/turnaround models to districts	24	49
Identify and disseminate best practices on improving low-performing schools	22	49
Provide professional development focused on improving low-performing schools	22	49
Lack of clear federal guidance/support focused on implementing whole-school reform/turnaround models	13	45

Note: A challenge could be rated as not a challenge, a minor challenge, or a major challenge. SEAs that identified the challenge as not applicable were excluded from the denominator.

SOURCE: U.S. Department of Education, Institute of Education Sciences, Charting the Progress of Education Reform: An Evaluation of the Recovery Act's Role: Spring 2011 State Education Agencies Survey.

Chapter 6: Summary of State Reform Implementation Across the Assurance Areas

The Recovery Act included incentives and requirements for states to adopt and implement specific reforms in each of four education assurance areas (standards and assessments, data systems, educator workforce development, and support for improving low-performing schools). As described earlier, the education policies embedded in the Recovery Act were introduced into an ongoing stream of federal and state reform and were intended to build on the successes and address the limitations of policies that were in place at the time. This report has described state progress as measured by reform indicators that capture the expectations associated with each assurance. Beginning with an overview of the Recovery Act reforms included in the assurances, this chapter examines the overall state reform landscape by tracking the status of these reforms in 2009-10, the progress achieved in implementing these reforms in 2010-11, the number of indicators met by states, and the challenges that states face in this work.

State Implementation of Recovery Act Reforms

This section reviews and summarizes the status of reform implementation in 2009-10 and 2010-11, as reported by SEA in the first 2 years of this study.

Standards and assessments

In the area of standards and assessments, by 2010-11, the largest number of states had adopted the CCSS and had joined a Federally Funded assessment consortium. The fewest number of states had provided CCSS aligned instructional materials or curriculum assistance to LEAs.

Of the 43 states that had adopted the CCSS in mathematics and reading/English language arts in 2010-11:

- Thirty-seven provided, guided, or funded LEA implementation of the standards through professional development in 2010-11.
- Twenty-nine states provided instructional materials or curriculum assistance to LEAs related to the CCSS.
- Forty-three states were members of a Federally Funded assessment consortium developing student assessments aligned with the CCSS.

Information on SEA adoption and support of the CCSS and on SEA participation in developing common, aligned assessments was not collected for the 2009-10 program year because neither the CCSS nor the assessment consortia were yet available.

Data systems

In the area of data systems, by 2010-11, the largest number of states reported providing access to student assessment data. The fewest number of states reported having comprehensive state longitudinal data systems.

- Thirteen SEAs reported having comprehensive state longitudinal data systems in 2009-10 that included all 12 of the core components outlined in the America COMPETES Act and the same number of states reported comprehensive systems in 2010-11.
- Thirty SEAs reported having state longitudinal data systems with the ability to link teacher and student data in 2009-10, and the same number of states reported this ability in 2010-11.
- Thirty-five SEAs provided access to assessment data in 2009-10, and 8 additional SEAs did so in 2010-11.
- Thirty-two SEAs supported the use of data to improve instruction in 2009-10, and 8 additional SEAs did so in 2010-11.

Educator workforce development

In the area of educator workforce development, by 2010-11, the largest number of states had simplified or shortened the educator licensure process or had authorized non-university preparation programs. The fewest number of states had supported the specific teacher evaluation system recommended by the Recovery Act's programs.

- Thirty-three SEAs simplified or shortened the educator licensure process or authorized non-university preparation programs in 2009-10, and 2 additional SEAs did so in 2010-11.
- Twenty-eight SEAs issued standards or guidelines for teacher preparation programs in 2009-10, and 4 additional SEAs did so in 2010-11.
- Twenty SEAs issued standards or guidelines for principal preparation programs in 2009-10, and 6 additional SEAs did so in 2010-11.
- One SEA supported the use of multi-level ratings, multiple observations, and student achievement gains for teacher evaluation in 2009-10, and one additional SEA did so in 2010-11.
- Six SEAs supported the use of student achievement gains for principal evaluation in 2009-10, and three additional SEAs did so in 2010-11.
- Seven SEAs supported differentiating teacher compensation based on student achievement gains in 2009-10, and two additional SEAs did so in 2010-11.

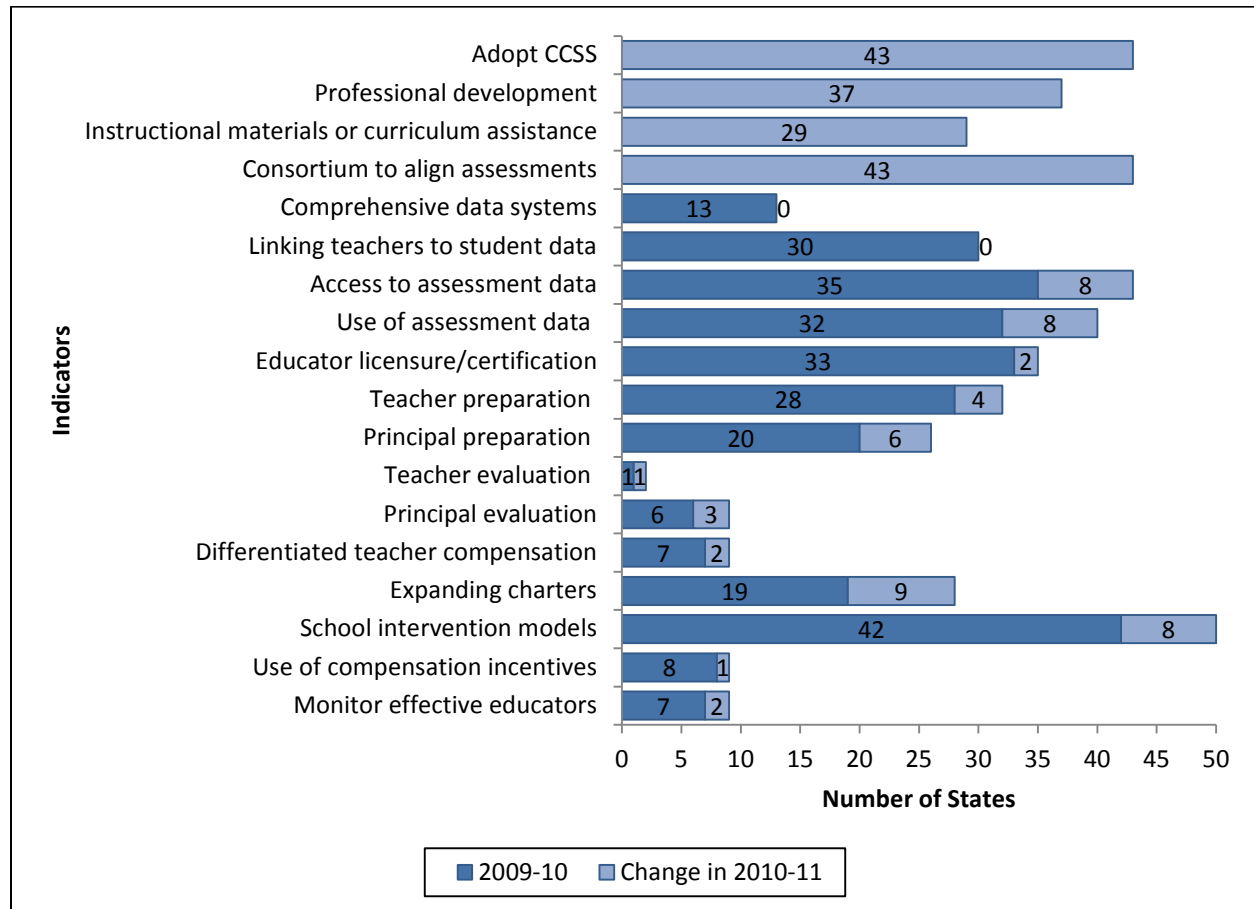
Support for improving low-performing schools

In the area of low-performing schools, by 2010-11, the largest number of states had provided guidance on choosing and implementing a school intervention model. The fewest number of states had supported compensation incentives to improve low-performing school staffing or had monitored the deployment of effective educators to those schools.

- Nineteen SEAs supported the expansion of charter schools in 2009-10, and 9 additional SEAs did so in 2010-11.
- Forty-two SEAs provided guidance on choosing and implementing ED's four school intervention models in 2009-10, and 8 additional SEAs did so in 2010-11.
- Eight SEAs supported using compensation incentives to improve staffing at low-performing schools in 2009-10, and one additional SEAs did so in 2010-11.
- Seven SEAs monitored the deployment of effective educators in low-performing schools in 2009-10, and two additional SEAs did so in 2010-11.

The numbers of SEAs meeting each indicator in 2009-10 and in 2010-11 are shown in figure 6.1.

Figure 6.1. Number of states meeting indicators of reform by assurance area, 2009-10 to 2010-11

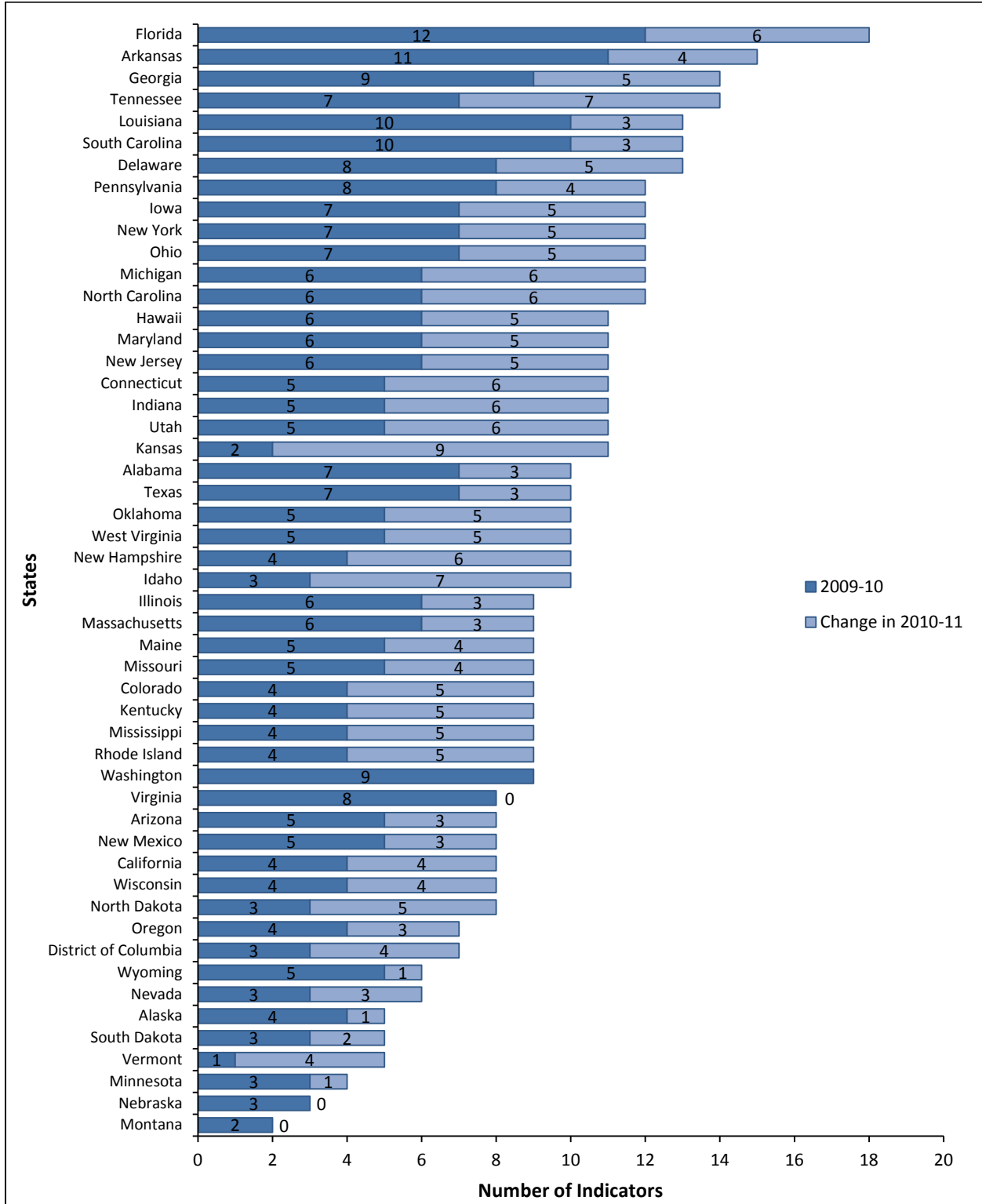


Source: U.S. Department of Education, Institute of Education Sciences, Charting the Progress of Education Reform: An Evaluation of the Recovery Act’s Role: Spring 2011 State Education Agencies Survey.

To What Extent Are Education Reforms Promoted by the Recovery Act Occurring Across the States?

One year after enactment of the Recovery Act, implementation of the reform indicators ranged from a state meeting all of the 18 indicators to a state meeting 2 of the 18 (figure 6.2). While progress varied by state, all but four states showed an increase in the number of indicators met between 2009-10 and 2010-11. Four of the indicators were not measured in 2009-10, which contributed to the increase shown in the number of reform indicators met between the 2 years. Additional detail on state-level implementation across the indicators is provided in appendix H.

Figure 6.2. Total number of reform indicators met by state, 2009-10 to 2010-11



Notes: The maximum number of indicators was 14 in 2009-10 and 18 in 2010-11. The total number of indicators met decreased from nine to eight for one state (Washington).

Source: U.S. Department of Education, Institute of Education Sciences, Charting the Progress of Education Reform: An Evaluation of the Recovery Act's Role: Spring 2011 State Education Agencies Survey.

Because the RTT competitions provided states with strong incentives to implement particular reforms across all of the assurance areas, it is worth examining whether states that won RTT awards had a higher level of reform implementation based on the study's indicators compared to states that did not win RTT awards. States with RTT grants met a higher number of reform indicators on average compared with states that did not receive RTT grants. In 2009-10, states with RTT grants met an average of seven indicators compared with an average of five indicators among non-RTT states (table 6.1). In 2010-11, states with RTT grants met an average of 12 indicators compared with an average of 9 indicators among non-RTT states.

Table 6.1. Mean number of reform indicators met by state RTT status, 2009-10 and 2010-11

State RTT status	2009-10	2010-11
Race to the Top (RTT) states	7	12
Non-RTT states	5	9

Note: Respondents include 50 states and DC. This table examines the number of indicators met out of the 14 indicators that were available in both years, 2009-10 and 2010-11.

SOURCE: U.S. Department of Education, Institute of Education Sciences, Charting the Progress of Education Reform: An Evaluation of the Recovery Act's Role: Spring 2011 State Education Agencies Survey. U.S. Department of Education, State Fiscal Stabilization Fund Amended Applications (2010-11). The National Alliance for Public Charter Schools report: *Measuring up to the model: A ranking of state charter school laws* (2011).

Challenges Reported by SEAs in Their Implementation of Reforms

The study asked SEAs about challenges implementing reforms within each of the four assurance areas. SEAs were asked whether a challenge was not applicable (i.e., the SEA was not implementing a particular reform strategy), not a challenge, a minor challenge, or a major challenge. By broad reform area, the incidence of SEA reports of major challenges, as reported for 2010-11, was as follows:

- **Standards and assessments.** Sixty-seven percent of SEAs that were implementing reforms in standards and assessments reported at least one major challenge among the eight specific challenges the study asked about. The major challenge reported by the largest number of SEAs was **lack of SEA capacity or expertise in developing interim/formative assessments to measure student mastery of the new or revised state content standards** (55 percent of SEAs implementing the reform).
- **Data systems.** Sixty-four percent of SEAs that were implementing reforms in data systems reported at least one major challenge among the five specific challenges the study asked about. The major challenge reported by the largest number of SEAs was that **current data systems make linking student test data to individual teachers difficult** (40 percent of SEAs implementing the reform).
- **Educator workforce development.** Ninety-six percent of SEAs that were implementing reforms in educator workforce development reported at least 1 major challenge among the 10 challenges the study asked about. Within this area, the major challenge reported by the largest number of SEAs was **difficulty in measuring student growth for teachers in nontested subjects** (91 percent of SEAs implementing the reform).

- **Support for low-performing schools.** Eighty-four percent of SEAs that were implementing reforms in this area reported at least 1 major challenge among the 10 challenges the study asked about. The major challenge reported by the largest number of SEAs was **concerns or opposition from educators about closing or restructuring schools** (48 percent of SEAs implementing the reform).

Table 6.2. Percent of SEAs reporting major challenges by reform area, among those implementing reforms, 2010-11

Reform area/challenge	Percent of SEAs reporting as a major challenge	Total number of applicable SEAs
Standards and assessments		
One or more challenge in this area perceived as major	67	46
Challenge reported most frequently in this area: Lack of SEA capacity or expertise in developing interim/formative assessments to measure student mastery of the new or revised state content standards	55	33
Data systems		
One or more challenge in this area perceived as major	64	50
Current data systems make linking student test data to individual teachers difficult	40	45
Educator workforce development		
One or more challenge in this area perceived as major	96	48
Challenge reported most frequently in this area: Difficulty in measuring student growth for teachers of nontested subjects	91	47
Support for improving low-performing schools		
One or more challenge in this area perceived as major	84	50
Challenge reported most frequently in this area: Concerns or opposition from educators about closing or restructuring schools	48	44

Note: A challenge could be rated as not a challenge, a minor challenge, or a major challenge. SEAs that identified the challenge as not applicable were excluded from the denominator.

New or revised state content standards could include either CCSS and/or other state standards.

Source: U.S. Department of Education, Institute of Education Sciences, Charting the Progress of Education Reform: An Evaluation of the Recovery Act's Role: Spring 2011 State Education Agencies Survey.

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Appendix A

The Survey Development Process

Appendix A. The Survey Development Process

Developing the SEA survey instrument was a three-stage process. In the first stage, the study's survey design team drew on program documents describing the Recovery Act's constituent programs and research on reforms related to the four assurance areas to draft initial survey items. During the second stage, the design team vetted the draft survey instrument with individuals from the U.S. Department of Education (ED), the study's Technical Work Group (TWG), and a group of SEA officials who pretested the survey. In the final stage, the design team incorporated feedback and refined the survey accordingly. Each stage is discussed below.

Stage one: Drafting survey items

During the first stage of survey development, the study team drafted individual survey items guided by the three following goals. First, the SEA survey should collect information on state policies and programs designed to support school reform activities promoted by the Recovery Act. Second, the survey should capture information on the variety of roles through which states could carry out the policies and programs. Third, the survey should not ask SEAs to provide information that was already being collected through other surveys or reporting requirements.

With these goals in mind, the study team conducted in-depth reviews of ED documents describing the aims and requirements for each Recovery Act program. We used this information to identify the specific requirements and strategies related to the assurances common across the Recovery Act programs for the survey items. We also reviewed surveys from the earlier ED-sponsored national study of Title I to identify any questions about education reform that would yield longitudinal data on a particular reform activity if included in the SEA survey.

The design team included nationally recognized experts with a thorough understanding of the latest research in the areas of educator workforce development, low-performing schools and the Title I program in particular, and public school finance. Members of the design team also contributed their experience conducting other national surveys of how states were using Recovery Act education funds (e.g., state surveys conducted by the Center on Education Policy) and provided insight into the variety of roles states assume to support education reform activities. The team contributed this deep knowledge base to the drafting of survey items. In particular, the team ensured that the survey captured a range of state roles, from more prescriptive roles (such as developing and administering a statewide evaluation system) to those that involve a more supporting role (such as providing technical assistance to school districts).

To ensure that the survey did not duplicate other data requests for the same time period, the study team reviewed closely the specific reporting requirements for recipients of each type of Recovery Act grant (e.g., SFSF, RTT).

Stage two: Vetting the draft survey instrument

In stage two, the draft SEA survey instrument was reviewed by IES, reviewed by members of the study's TWG, and pretested with a group of SEA officials. Key input at this stage was that the survey items should not be too closely tied to language in the act and its programs (so as not to create a

checklist based directly on the program requirements), in order to decrease the likelihood that response options would elicit socially desirable responses.

We pretested the SEA survey with SEA officials in three states. Two states had won RTT grants in the second round of that competition. The pretest focused on (1) wording clarity, (2) information availability, (3) response burden, and (4) survey administration effectiveness. The design team conducted debriefing discussions with pretest participants to hear their comments on these four topics. The pretest comments suggested a need to streamline instructions in some places and provide definitions for key terms.

Stage three: Refine and finalize the survey instrument

In the final stage of survey development, the design team carefully considered the feedback received from all sources and reviewed each survey item to determine if particular items or instructions needed revisions. The team refined the instrument as necessary, and IES reviewed the final changes.

Appendix B

State-Level Indicators, Components, and Recovery Act Program Requirements

Appendix B. State-level Indicators, Components, and Recovery Act Program Requirements

Indicator	Components ¹	Recovery Act program requirements
Standards and Assessments		
State Had Adopted the Common Core State Standards (CCSS) in Mathematics and Reading/English Language Arts	<p>Reported adopting the CCSS in mathematics and English language arts</p> <p><i>Source: 2011 SEA survey, items 1 and 3</i></p>	<p><u>RTT selection criteria (B)(1)</u></p> <p>The extent to which the State has demonstrated its commitment to adopting a common set of high-quality standards, evidenced by—</p> <p>(i) The State’s participation in a consortium of States that—</p> <p>(a) Is working toward jointly developing and adopting a common set of K-12 standards that are supported by evidence that they are internationally benchmarked and build toward college and career readiness by the time of high school graduation</p>
SEA Provided, Guided or Funded Professional Development on the Common Core State Standards	<p>Reported adopting the CCSS in mathematics and English language arts <u>and reported at least one</u> of the following professional development activities:</p> <ul style="list-style-type: none"> • State-developed professional development on CCSS to LEAs in-person • State-developed professional development on CCSS to LEAs online • Guidance and technical assistance to LEAs on the design and implementation of professional development • “Train-the-trainer” sessions to lead LEA staff • Funding for LEA-designed professional development on standards <p><i>Source: 2011 SEA survey, items 1 and 5</i></p>	<p><u>RTT selection criterion (B)(1)</u></p> <p>The extent to which the State has demonstrated its commitment to adopting a common set of high-quality standards, evidenced by—</p> <p>(i) The State’s participation in a consortium of States that—</p> <p>(a) Is working toward jointly developing and adopting a common set of K-12 standards that are supported by evidence that they are internationally benchmarked and build toward college and career readiness by the time of high school graduation</p> <p><u>RTT selection criterion (B)(3)</u></p> <p>The extent to which the State, in collaboration with its participating LEAs, has a high-quality plan for supporting a statewide transition to and implementation of internationally benchmarked K-12 standards that build toward college and career readiness by the time of high school graduation, and high-quality assessments tied to these standards. State or LEA activities might, for example, include: ... developing or acquiring and delivering high-quality professional development to support the transition to new standards and assessments.</p>

Indicator	Components ¹	Recovery Act program requirements
SEA Provided Instructional Materials or Curriculum Assistance for the Common Core State Standards	<p>Reported adopting the CCSS in mathematics and English language arts <u>and</u> reported <u>at least one</u> of the following support activities:</p> <ul style="list-style-type: none"> • Identified, developed, and/or distributed materials (e.g., curriculum guides, pacing guides, textbooks) aligned with the standards that: <ul style="list-style-type: none"> ○ LEAs are required to use ○ LEAs may choose to use • Provided resources or technical assistance to help LEAs map curriculum taught to new or revised content standards <p><i>Source: 2011 SEA survey, items 1 and 5</i></p>	<p><u>RTT selection criterion (B)(1)</u> The extent to which the State has demonstrated its commitment to adopting a common set of high-quality standards, evidenced by—</p> <p>(i) The State’s participation in a consortium of States that—</p> <p>(a) Is working toward jointly developing and adopting a common set of K-12 standards that are supported by evidence that they are internationally benchmarked and build toward college and career readiness by the time of high school graduation</p> <p><u>RTT selection criterion (B)(3)</u> The extent to which the State, in collaboration with its participating LEAs, has a high-quality plan for supporting a statewide transition to and implementation of internationally benchmarked K-12 standards ... State or LEA activities might, for example, include: ... developing or acquiring, disseminating, and implementing high-quality instructional materials and assessments (including, for example, formative and interim assessments) ... and engaging in other strategies that translate the standards and information from assessments into classroom practice for all students, including high-need students.</p>
State Was a Member of a Federally Funded Consortium Developing Assessments Aligned to the Common Core State Standards	<p>Reported adopting the CCSS in mathematics and English language arts <u>and</u> reported working with a Federally Funded assessment consortium.</p> <p><i>Source: 2011 SEA survey, items 1 and 6</i></p>	<p><u>RTT selection criterion (B)(1)</u> The extent to which the State has demonstrated its commitment to adopting a common set of high-quality standards, evidenced by—</p> <p>(i) The State’s participation in a consortium of States that—</p> <p>(a) Is working toward jointly developing and adopting a common set of K-12 standards that are supported by evidence that they are internationally benchmarked and build toward college and career readiness by the time of high school graduation</p> <p><u>RTT selection criterion (B)(2)</u> The extent to which the State has demonstrated its commitment to improving the quality of its assessments, evidenced by the State’s participation in a consortium of States that—</p> <p>(i) Is working toward jointly developing and implementing common, high-quality assessments aligned with the consortium’s common set of K-12 standards</p>

Indicator	Components ¹	Recovery Act program requirements
Data Systems		
<p>State Operated a Longitudinal Data System That Included 12 Core Components</p>	<p>Had <u>all</u> 12 components of a statewide longitudinal data system outlined in the America COMPETES Act:</p> <ul style="list-style-type: none"> • Uses unique student identifier • Contains student-level enrollment, demographic, and program participation information • Contains exit, drop out, transfer, and completion information of P-16 programs • Communicates with higher education • Assesses data quality, validity, reliability • Contains yearly test records • Contains information on students not tested • Uses teacher identification systems and can match them with students • Contains student-level transcript information • Contains college readiness test scores • Contains information on students' transition from high school to postsecondary institutions • Contains other information to determine alignment and preparedness for success in postsecondary education <p><i>Source: U.S. Department of Education, State Fiscal Stabilization Fund Initial Annual State Reports (2009-10) and Amended Applications (2010-11)</i></p>	<p><u>RTT selection criterion (C)(1)</u> The extent to which the State has a statewide longitudinal data system that includes all of the America COMPETES Act elements.</p> <p><u>SFSF indicator (b)(1)</u> Which of the 12 elements described in section 6401(e)(2)(D) of the America COMPETES Act (20 U.S.C. 9871) are included in the State's statewide longitudinal data system.</p> <p><u>SLDS request for applications (NCES 09-02 IV)</u> Any statewide, longitudinal data system to be supported with funds made available pursuant to this competition (Grants for Statewide, Longitudinal Data Systems under ARRA) must meet the requirements described below...Required data system elements: A data system developed with funding obtained pursuant to this grant competition must include at least these 12 elements prescribed by the America COMPETES Act:</p>

Indicator	Components ¹	Recovery Act program requirements
State Data System Had Ability to Link Teachers to Student Data	<p>Uses teacher identification systems and can match them with students</p> <p>Source: <i>U.S. Department of Education, State Fiscal Stabilization Fund Initial Annual State Reports (2009-10) and Amended Applications (2010-11)</i></p>	<p><u>RTT selection criterion (C)(1)</u> The extent to which the State has a statewide longitudinal data system that includes all of the America COMPETES Act elements.</p> <p><u>SFSF indicator (b)(1)</u> Which of the 12 elements described in section 6401(e)(2)(D) of the America COMPETES Act (20 U.S.C. 9871) are included in the State’s statewide longitudinal data system.</p> <p><u>Teacher Incentive Fund core element D (2010 Application)</u>² A data-management system that can link student achievement (as defined in this notice) data to teacher and principal payroll and human resources systems.</p> <p><u>SLDS request for applications (NCES 09-02 IV)</u> Any statewide, longitudinal data system to be supported with funds made available pursuant to this competition (Grants for Statewide, Longitudinal Data Systems under ARRA) must meet the requirements described below...Required data system capabilities: The system must link student data with teachers, i.e., it must enable the matching of teachers and students so that a given student may be matched with the particular teachers primarily responsible for providing instruction in various subjects.</p>

Indicator	Components ¹	Recovery Act program requirements
SEA Facilitated Educators' Access to Assessment Data	<p>Reported at least one of the following to facilitate access to new or existing assessment data:</p> <ul style="list-style-type: none"> • Providing educators with key LEA, school, and student indicators through report cards, data dashboards, or other feedback and analysis systems • Establishing and maintaining state data systems that share longitudinal data on students with local data systems <p><i>Source: 2011 SEA survey, item 9</i></p>	<p><u>RTT selection criterion (C)(2)</u> The extent to which the State has a high-quality plan to ensure that data from the State's statewide longitudinal data system are accessible to, and used to inform and engage, as appropriate, key stakeholders (e.g., parents, students, teachers, principals, LEA leaders, community members, unions, researchers, and policymakers); and that the data support decision-makers in the continuous improvement of efforts in such areas as policy, instruction, operations, management, resource allocation, and overall effectiveness.</p> <p><u>RTT selection criterion (C)(3)</u> The extent to which the State, in collaboration with its participating LEAs, has a high-quality plan to— (i) Increase the acquisition, adoption, and use of local instructional improvement systems that provide teachers, principals, and administrators with the information and resources they need to inform and improve their instructional practices, decision-making, and overall effectiveness; (iii) Make the data from instructional improvement systems, together with statewide longitudinal data system data, available and accessible to researchers so that they have detailed information with which to evaluate the effectiveness of instructional materials, strategies, and approaches for educating different types of students (e.g., students with disabilities, English language learners, students whose achievement is well below or above grade level).</p> <p><u>SLDS request for applications (NCES 09-02 IV)</u> Any statewide, longitudinal data system to be supported with funds made available pursuant to this competition (Grants for Statewide, Longitudinal Data Systems under ARRA) must meet the requirements described below...Required data system capabilities: The system must enable data to be easily generated for continuous improvement and decision-making, including timely reporting to parents, teachers, and school leaders on the achievement of their students.</p>

Indicator	Components ¹	Recovery Act program requirements
SEA Provided Professional Development or Technical Assistance to Support Educators' Use of Assessment Data	<p>Reported providing <u>at least one</u> of the following through state-developed professional development or guidance/technical assistance to LEAs on:</p> <ul style="list-style-type: none"> • Strategies and procedures for LEA staff to use in accessing new or existing state assessment data • Use of new or existing assessment data by teachers to improve instruction (including interim/formative assessments) • Use of new or existing assessment data by principals and school leaders in school improvement planning <p><i>Source: 2011 SEA survey, item 9</i></p>	<p><u>RTT selection criterion (C)(3)</u> The extent to which the State, in collaboration with its participating LEAs, has a high-quality plan to— ... (ii) Support participating LEAs and schools that are using instructional improvement systems in providing effective professional development to teachers, principals and administrators on how to use these systems and the resulting data to support continuous instructional improvement ...</p>
Educator Workforce Development		
SEA Simplified/Shortened Educator Licensure Process or Authorized Non-University Preparation Programs	<p>Reported <u>at least one</u> of the following:</p> <ul style="list-style-type: none"> • Simplifying or shortening the process of obtaining full licensure and/or certification (e.g., require fewer credit hours) for: <ul style="list-style-type: none"> ○ State university-based teacher preparation programs ○ Alternative pathway teacher preparation programs • Authorizing independent providers <p><i>Source: 2011 SEA survey, item 23</i></p>	<p><u>RTT selection criterion (D)(1)</u> The extent to which the State has— (i) Legal, statutory, or regulatory provisions that allow alternative routes* to certification for teachers and principals, particularly routes that allow for providers in addition to institutions of higher education (ii) Alternative routes to certification that are in use</p> <p>* definition includes “significantly limit the amount of coursework required or have options to test out of courses.”</p>

Indicator	Components ¹	Recovery Act program requirements
SEA Issued Standards or Guidelines for Teacher Preparation Programs	<p>Reported issuing standards or guidelines for pre-service teacher preparation programs in <u>at least one</u> of the following:</p> <ul style="list-style-type: none"> • Alignment with new or revised state content standards • Alignment with state teacher standards • Provision of training on practices specifically related to improving low-performing schools • Tracking the effectiveness of graduates based on student achievement gains and making these data publicly available <p><i>Source: 2011 SEA survey, item 23</i></p>	<p>RTT selection criterion (B)(3) The extent to which the State, in collaboration with its participating LEAs, has a high-quality plan for supporting a statewide transition to and implementation of internationally benchmarked K-12 standards ... State or LEA activities might, for example, include: ...developing or acquiring and delivering high-quality professional development to support the transition to new standards and assessments.</p> <p><u>RTT selection criterion (D)(4)</u> The extent to which the State has a high-quality plan and ambitious yet achievable annual targets to— (i) Link student achievement and student growth (both as defined in this notice) data to the students' teachers and principals, to link this information to the in-State programs where those teachers and principals were prepared for credentialing, and to publicly report the data for each credentialing program in the State; and</p>
SEA Issued Standards or Guidelines for Principal Preparation Programs	<p>Reported issuing standards or guidelines for pre-service principal/school leader preparation programs to promote <u>at least one</u> of the following:</p> <ul style="list-style-type: none"> • Alignment with new or revised state content standards • Alignment with state principal/school leader standards • Provision of training on practices specifically related to improving low-performing schools • Tracking the effectiveness of graduates based on student achievement gains and making the these data publicly available <p><i>Source: 2011 SEA survey, item 23</i></p>	<p>RTT selection criterion (B)(3) The extent to which the State, in collaboration with its participating LEAs, has a high-quality plan for supporting a statewide transition to and implementation of internationally benchmarked K-12 standards ... State or LEA activities might, for example, include: ...developing or acquiring and delivering high-quality professional development to support the transition to new standards and assessments.</p> <p><u>RTT selection criterion (D)(4)</u> The extent to which the State has a high-quality plan and ambitious yet achievable annual targets to— (i) Link student achievement and student growth (both as defined in this notice) data to the students' teachers and principals, to link this information to the in-State programs where those teachers and principals were prepared for credentialing, and to publicly report the data for each credentialing program in the State</p>

Indicator	Components ¹	Recovery Act program requirements
SEA Supported Use of Multi-level Ratings, Multiple Observations, and Student Achievement Gains for Teacher Evaluation	<p>Reported <u>at least one</u> of the following <u>role(s)</u>:</p> <ul style="list-style-type: none"> • Administering a state-developed teacher evaluation system in which LEA participation is required • Administering a state-developed teacher evaluation system in which LEA participation is optional • Setting evaluation system standards and guidelines for LEA-designed teacher evaluation systems that are required • Setting evaluation system standards and guidelines for LEA-designed teacher evaluation systems that are optional • Providing guidance and technical assistance to LEAs on the design and implementation of their systems • Requiring LEAs to submit teacher evaluation design and implementation plans for SEA approval • Requiring LEAs to report on teacher evaluation system operations and effectiveness <p><u>And included <u>all</u> of the following <u>component(s)</u> in the state evaluation system, standards, guidance, or technical assistance:</u></p> <ul style="list-style-type: none"> • A rating scale/rubric with three or more performance levels to evaluate instruction/practice • At least two yearly observations of classroom instruction with written feedback • Student achievement gains in NCLB grades/subjects used in determining individual teacher performance ratings <p><i>Source: 2011 SEA survey, items 15 and 16</i></p>	<p><u>RTT eligibility requirement (b)</u> At the time the State submits its application, there are no legal, statutory, or regulatory barriers at the State level to linking data on student achievement (as defined in this notice) or student growth (as defined in this notice) to teachers and principals for the purpose of teacher and principal evaluation.</p> <p><u>RTT selection criterion (D)(2)</u> The extent to which the State, in collaboration with its participating LEAs, has a high-quality plan and ambitious yet achievable annual targets to ensure that participating LEAs— (ii) Design and implement rigorous, transparent, and fair evaluation systems for teachers and principals that (a) differentiate effectiveness using multiple rating categories that take into account data on student growth as a significant factor, and (b) are designed and developed with teacher and principal involvement;</p> <p><u>SFSF indicator (a)(3)</u> Whether the systems used to evaluate the performance of teachers include student achievement outcomes or student growth data as an evaluation criterion.</p> <p><u>Teacher Incentive Fund core element C (2010 Application)</u> Rigorous, transparent, and fair evaluation systems for teachers and principals that differentiate effectiveness using multiple rating categories that take into account student growth (as defined in this notice) as a significant factor, as well as classroom observations conducted at least twice during the school year.</p>

Indicator	Components ¹	Recovery Act program requirements
SEA Supported Use of Student Achievement Gains for Principal Evaluation	<p>Reported <u>at least one</u> of the following <u>roles</u>:</p> <ul style="list-style-type: none"> • Administering a state principal evaluation system in which LEA participation is required • Administering a state principal evaluation system in which LEA participation is optional • Setting principal evaluation system standards and guidelines that LEA-designed systems are required to meet • Setting principal evaluation system standards and guidelines that LEA-designed systems may choose to meet • Providing guidance and technical assistance to LEAs on system design and implementation, including providing model principal evaluation systems that LEAs may choose to use all or in part • Requiring LEAs to submit principal evaluation system design and implementation plans for SEA approval • Requiring LEAs to report on principal evaluation system operations and effectiveness <p><u>And</u> included the following <u>component</u> in the state evaluation system, standards, guidance, or technical assistance:</p> <ul style="list-style-type: none"> • Student achievement gains or growth used to determine principals' performance ratings <p><i>Source: 2011 SEA survey, items 17 and 18</i></p>	<p><u>RTT eligibility requirement (b)</u> At the time the State submits its application, there are no legal, statutory, or regulatory barriers at the State level to linking data on student achievement (as defined in this notice) or student growth (as defined in this notice) to teachers and principals for the purpose of teacher and principal evaluation.</p> <p><u>RTT selection criterion (D)(2)</u> The extent to which the State, in collaboration with its participating LEAs, has a high-quality plan and ambitious yet achievable annual targets to ensure that participating LEAs— (ii) Design and implement rigorous, transparent, and fair evaluation systems for teachers and principals that (a) differentiate effectiveness using multiple rating categories that take into account data on student growth as a significant factor, and (b) are designed and developed with teacher and principal involvement;</p> <p><u>SFSF indicator (a)(6)</u> Whether the systems used to evaluate the performance of principals include student achievement outcomes or student growth data as an evaluation criterion.</p> <p><u>Teacher Incentive Fund core element C (2010 Application)</u> Rigorous, transparent, and fair evaluation systems for teachers and principals that differentiate effectiveness using multiple rating categories that take into account student growth (as defined in this notice) as a significant factor, as well as classroom observations conducted at least twice during the school year.</p>

Indicator	Components ¹	Recovery Act program requirements
SEA Supported Differentiating Teacher Compensation Based on Student Achievement Gains	<p>Reported <u>at least one</u> of the following <u>roles</u>:</p> <ul style="list-style-type: none"> • Administering a state-developed teacher compensation system in which LEA participation is required or optional • Setting teacher compensation system standards and guidelines that are either required or optional for LEAs • Providing guidance and technical assistance to LEAs on teacher compensation system design and implementation • Requiring LEAs to submit teacher compensation system design and implementation plans for SEA approval • Requiring LEAs to report on teacher compensation system operations and effectiveness <p><u>And included one or more</u> of the following <u>components</u> in state-developed system, standards, guidelines, or technical assistance:</p> <ul style="list-style-type: none"> • Base pay increases, add-ons, or stipends based in part on achievement gains of students in individual teachers' classes • One-time bonuses for achievement gains of students in individual teachers' classes • One-time bonuses for achievement gains of students served by teacher teams • One-time bonuses for average achievement gains of all students in a school <p><i>Source: 2011 SEA survey, items 19 and 20</i></p>	<p><u>RTT selection criterion (D)(2)</u> The extent to which the State, in collaboration with its participating LEAs, has a high-quality plan and ambitious yet achievable annual targets to ensure that participating LEAs—</p> <p>(iv) Use these evaluations, at a minimum, to inform decisions regarding—</p> <p>(b) Compensating, promoting, and retaining teachers and principals, including by providing opportunities for highly effective teachers and principals (both as defined in this notice) to obtain additional compensation and be given additional responsibilities;</p> <p><u>Teacher Incentive Fund Absolute Priority 1 (2010 Application)</u> Priority 1 (Absolute) -- Differentiated Levels of Compensation for Effective Teachers and Principals: To meet this absolute priority, an applicant must demonstrate, in its application, that it will develop and implement a performance-based compensation system (PBCS) that rewards, at differentiated levels, teachers and principals who demonstrate their effectiveness by improving student achievement (as defined in this notice) as part of the coherent and integrated approach of the local educational agency (LEA) to strengthening the educator workforce.</p>

Indicator	Components ¹	Recovery Act program requirements
Support for Improving Low-Performing Schools		
<p>State Allowed for Expansion of the Number of Charter Schools</p>	<p>Reported <u>one or more</u> of the following:</p> <ul style="list-style-type: none"> • A state has no cap on the number of charter schools • A state passed legislation to increase the permissible number of charter schools • A state removed the prohibitions on charter schools <p>Note: An SEA met the indicator in 2011 if it does not cap the number of charter schools in the current year, <u>or</u> if it passed legislation to increase the permissible number of charter schools in current year or previous year, <u>or</u> if it removed prohibitions on charter schools in current year or previous year.</p> <p>Source: <i>National Alliance for Public Charter Schools annual reports (2010, 2011)</i></p>	<p>RTT selection criterion (F)(2) The extent to which—</p> <p>(i) The State has a charter school law that does not prohibit or effectively inhibit increasing the number of high-performing charter schools in the State, measured by the percentage of total schools in the State that are allowed to be charter schools or otherwise restrict student enrollment in charter schools;</p> <p><u>SFSF indicator (d)(7)</u> The number of charter schools that are currently permitted to operate under State law.</p> <p><u>SFSF indicator (d)(8)</u> The number of charter schools currently operating.</p>
<p>SEA Provided Guidance on Choosing and Implementing School Intervention Models Defined by ED</p>	<p>Reported providing technical assistance and guidance on choosing and implementing the four school intervention models defined by ED.</p> <p>Source: <i>2011 SEA survey, item 25</i></p>	<p>RTT selection criterion (E)(2) The extent to which the State has a high-quality plan and ambitious yet achievable annual targets to—</p> <p>(ii) Support its LEAs in turning around these schools by implementing one of the four school intervention models: turnaround model, restart model, school closure, or transformation model (provided that an LEA with more than nine persistently lowest-achieving schools may not use the transformation model for more than 50 percent of its schools).</p> <p><u>School Improvement Grants, SEA award priorities I.A.2(a), 2(b), 2(c), 2(d)</u> <i>Strongest Commitment.</i> An LEA with the strongest commitment is an LEA that agrees to implement, and demonstrates the capacity to implement fully and effectively, one of the following rigorous interventions in each Tier I and Tier II school that the LEA commits to serve:</p> <ol style="list-style-type: none"> a) Turnaround model b) Restart model c) School closure d) Transformation model

Indicator	Components ¹	Recovery Act program requirements
SEA Supported Using Compensation Incentives to Improve Staffing at Low-Performing Schools	<p>Reported at least one of the following components in state-developed system, standards, guidelines, or technical assistance for differentiated compensation systems:</p> <ul style="list-style-type: none"> • Higher starting salaries, add-ons, stipends, or signing bonuses for teachers who move to low-performing schools • Loan forgiveness or tuition support for teachers who move to low-performing schools • Bonuses or stipends for principals remaining in or transferring to hard-to-staff or low-performing schools <p>Source: 2011 SEA survey, items 20 and 22</p>	<p><u>RTT selection criterion (D)(3)</u> The extent to which the State, in collaboration with its participating LEAs, has a high-quality plan and ambitious yet achievable annual targets to—</p> <p>(i) Ensure the equitable distribution of teachers and principals by developing a plan, informed by reviews of prior actions and data, to ensure that students in high-poverty and/or high-minority schools have equitable access to highly effective teachers and principals and are not served by ineffective teachers and principals at higher rates than other students; and</p> <p>(ii) Increase the number and percentage of effective teachers teaching hard-to-staff subjects and specialty areas including mathematics, science, and special education; teaching in language instruction educational programs (as defined under Title III of the ESEA); and teaching in other areas as identified by the State or LEA.</p> <p>Plans for (i) and (ii) may include, but are not limited to, the implementation of incentives and strategies in such areas as recruitment, compensation, teaching and learning environments, professional development, and human resources practices and processes.</p>
SEA Monitored Deployment of Effective Educators in Low-Performing Schools	<p>Reported using data from local educator evaluation systems to monitor the deployment of effective educators in low-performing schools</p> <p>Source: 2011 SEA survey, item 25</p>	<p><u>RTT selection criterion (D)(3)</u> The extent to which the State, in collaboration with its participating LEAs, has a high-quality plan and ambitious yet achievable annual targets to—</p> <p>(i) Ensure the equitable distribution of teachers and principals by developing a plan, informed by reviews of prior actions and data, to ensure that students in high-poverty and/or high-minority schools have equitable access to highly effective teachers and principals and are not served by ineffective teachers and principals at higher rates than other students</p>

Sources for Recovery Act program requirements:

RTT selection criteria: Federal Register Vol. 75, No. 71, April 14, 2010. "Overview Information; Race to the Top Fund; Notice Inviting Applications for New Awards for Fiscal Year (FY) 2010."

SFSF assurance indicators and descriptors: Federal Register Vol. 74, No. 217, November 12, 2009. "State Fiscal Stabilization Fund Program; Final Rule."

School Improvement Grants, SEA award priorities: Federal Register Vol. 75, No. 208, October 28, 2010. "School Improvement Grants; American Recovery and Reinvestment Act of 2009 (ARRA); Title I of the Elementary and Secondary Education Act of 1965, as Amended (ESEA)."

State Longitudinal Data Systems 2009 Application http://nces.ed.gov/programs/slds/pdf/2009_ARRA_RFA.pdf
Teacher Incentive Fund 2010 Application: CFDA Number: 84.385. See
<http://www2.ed.gov/programs/teacherincentive/appfinal5192010.doc>

¹ For indicators where the source is 2011 SEA survey, the text listed in the components column is the actual survey item wording.

² Given the Teacher Incentive Fund program's emphasis on this component of longitudinal data systems, it was examined as a separate indicator in addition to being included in the previous indicator.

Appendix C

SEA Implementation Progress from 2009-10 to 2010-11: Standards and Assessments

Table C.1. Number and percent of states that adopted the CCSS in mathematics and reading/English language arts, 2009-10 to 2010-11

	2009-10		2010-11	
	Number	Percent	Number	Percent
Met Indicator (Adopting the CCSS in both subjects) ¹	--	--	43	84

¹ A state met the indicator if it adopted the CCSS for mathematics and reading/English language arts.

Note: Respondents include 50 states and DC.

Source: U.S. Department of Education, Institute of Education Sciences, Charting the Progress of Education Reform: An Evaluation of the Recovery Act's Role: Spring 2011 State Education Agencies Survey.

Table C.2. Number and percent of SEAs that provided, guided or funded professional development on the CCSS, 2009-10 to 2010-11

	2009-10		2010-11	
	Number	Percent	Number	Percent
Met Indicator (Supporting professional development on the CCSS) ¹	--	--	37	73

Adopted the CCSS in both subjects and provided the following support activity/activities:

State-developed professional development on CCSS to LEA staff

In-person	--	--	33	65
Online	--	--	24	47
Guidance and technical assistance to LEAs on the design and implementation of professional development	--	--	28	55
"Train-the-trainer" sessions to lead LEA staff	--	--	24	47
Funding for LEA-designed professional development on standards	--	--	7	14

¹ An SEA met the indicator if it adopted the CCSS in both subjects and provided one or more of the support activities.

Note: Respondents include 50 states and DC. No data are reported for 2009-10 because the CCSS was not available for adoption in that year.

Source: U.S. Department of Education, Institute of Education Sciences, Charting the Progress of Education Reform: An Evaluation of the Recovery Act's Role: Spring 2011 State Education Agencies Survey.

Table C.3. Number and percent of SEAs that provided, guided or funded professional development on new or revised state content standards, 2009-10 to 2010-11

	2009-10		2010-11	
	Number	Percent	Number	Percent
Provided the following support activity/activities for <u>new or revised state content standards</u>				
State-developed professional development on standards to LEA staff				
In person	5	10	4	8
Online	1	2	3	6
Guidance and technical assistance to LEAs on the design and implementation of professional development	3	6	3	6
“Train-the-trainer” sessions to lead LEA staff	5	10	4	8
Funding for LEA-designed professional development on standards	0	0	0	0

Note: Respondents include the five SEAs that adopted the CCSS in only one subject or adopted other new or revised state content standards in both subjects.

Source: U.S. Department of Education, Institute of Education Sciences, Charting the Progress of Education Reform: An Evaluation of the Recovery Act’s Role: Spring 2011 State Education Agencies Survey.

Table C.4. Number and percent of SEAs that provided instructional materials or curriculum assistance for the CCSS, 2009-10 to 2010-11

	2009-10		2010-11	
	Number	Percent	Number	Percent
Met Indicator (providing instructional materials or curriculum assistance for the CCSS) ¹	--	--	29	57
Adopted the CCSS in both subjects and provided the <u>following support activity/activities</u> :				
Identifying, developing, and/or distributing materials to LEAs that are aligned with the standards and are:				
Required	--	--	3	6
Optional	--	--	22	43
Providing resources or technical assistance to help LEAs map curriculum taught to new or revised content standards	--	--	23	45

¹ An SEA met the indicator if it adopted the CCSS in both subjects and reported one or more of the support activities.

Note: Respondents include 50 states and DC. No data are reported for 2009-10 because the CCSS was not available for adoption in that year.

Source: U.S. Department of Education, Institute of Education Sciences, Charting the Progress of Education Reform: An Evaluation of the Recovery Act’s Role: Spring 2011 State Education Agencies Survey.

Table C.5. Number and percent of SEAs that provided instructional materials or curriculum assistance for new or revised state content standards, 2009-10 to 2010-11

	2009-10		2010-11	
	Number	Percent	Number	Percent
Provided the following support activity/activities for <u>new or revised state content standards</u> :				
Identifying, developing, and/or distributing materials to LEAs that are aligned with the standards and are:				
Required	1	2	1	2
Optional	4	8	3	6
Providing resources or technical assistance to help LEAs map curriculum taught to new or revised content standards	2	4	2	4

Note: Respondents include the five SEAs that adopted the CCSS in only one subject or adopted other new or revised state content standards in both subjects.

Source: U.S. Department of Education, Institute of Education Sciences, Charting the Progress of Education Reform: An Evaluation of the Recovery Act's Role: Spring 2011 State Education Agencies Survey.

Table C.6. Number and percent of SEAs that were members of a Federally Funded assessment consortium developing assessments aligned to the CCSS, 2010-11

	2009-10		2010-11	
	Number	Percent	Number	Percent
Met Indicator (Membership in a federally funded assessment consortium to develop aligned assessments) ¹	--	--	43	84
Adopted the CCSS in both subjects and reported membership in a Federally Funded assessment consortium	--	--	43	84
Also reported working independently to develop new aligned assessments	--	--	18	35

¹ An SEA met the indicator if it adopted the CCSS in both subjects and reported membership in a Federally Funded assessment consortium.

Note: Respondents include 50 states and DC. Survey item on assessment consortia only asked about 2010-11 status.

Source: U.S. Department of Education, Institute of Education Sciences, Charting the Progress of Education Reform: An Evaluation of the Recovery Act's Role: Spring 2011 State Education Agencies Survey.

Table C.7. Number and percent of SEAs that were members of a federally funded assessment consortium developing assessments aligned with the new or revised state content standards, 2010-11

	2009-10		2010-11	
	Number	Percent	Number	Percent
Membership in a federally funded assessment consortium	--	--	1	2
Working independently to develop new aligned assessments	--	--	4	8

Note: Respondents include the five SEAs that adopted the CCSS in only one subject or adopted other new or revised state content standards in both subjects.

Source: U.S. Department of Education, Institute of Education Sciences, Charting the Progress of Education Reform: An Evaluation of the Recovery Act's Role: Spring 2011 State Education Agencies Survey.

Appendix D

Required Components of a Statewide P-16 Education Data System America COMPETES Act of 2007

With respect to preschool through grade 12 education and postsecondary education:

- a unique statewide student identifier that does not permit a student to be individually identified by users of the system;
- student-level enrollment, demographic, and program participation information;
- student-level information about the points at which students exit, transfer in, transfer out, drop out, or complete P–16 education programs;
- the capacity to communicate with higher education data systems;
- a state data audit system assessing data quality, validity, and reliability;

With respect to preschool through grade 12 education:

- yearly test records of individual students with respect to assessments under section 1111(b) of the ESEA (20 U.S.C. 6311(b));
- information on students not tested by grade and subject;
- a teacher identifier system with the ability to match teachers to students;
- student-level transcript information, including information on courses completed and grades earned;
- student-level college readiness test scores;

With respect to postsecondary education, data that provide:

- information regarding the extent to which students transition successfully from secondary school to postsecondary education, including whether students enroll in remedial coursework; and
- other information determined necessary to address alignment and adequate preparation for success in postsecondary education.

Source: *America COMPETES Act of 2007*. Public Law 110-69. 20 USC 9801 et seq.

Appendix E

SEA Implementation Progress From 2009-10 to 2010-11: Data Systems

Table E.1. Number and percent of states operating a longitudinal data system that included 12 core components, 2009-10 to 2010-11

	2009-10		2010-11	
	Number	Percent	Number	Percent
Met Indicator (operating a longitudinal data system with 12 core components) ¹	13	25	13	25
Reported data system with the following components:				
Uses unique student identifier	43	84	44	86
Contains student-level enrollment, demographic, and program participation information	45	88	42	82
Contains exit, drop out, transfer, and completion information of P-16 programs	36	71	37	73
Communicates with higher education data systems	33	65	36	71
Assesses data quality, validity, reliability	48	94	48	94
Contains yearly test records	49	96	48	94
Contains information on students not tested	49	96	48	94
Uses teacher identification systems and can match them with students	30	59	30	59
Contains student-level transcript information	28	55	26	51
Contains college readiness test scores	40	78	39	76
Contains information on students' transition from high school to postsecondary institutions	28	55	22	43
Contains other information to determine alignment and preparedness for success in postsecondary education	29	57	23	45

¹ An SEA met the indicator if it reported all 12 components of a statewide longitudinal data system outlined in the America COMPETES Act.

Source: U.S. Department of Education, State Fiscal Stabilization Fund Initial Annual State Reports (2009-10) and Amended Applications (2010-11).

Table E.2. Number and percent of states with data systems able to link teachers to student data, 2009-10 to 2010-11

	2009-10		2010-11	
	Number	Percent	Number	Percent
Met Indicator (Has ability to link teacher and student data) ¹	30	59	30	59

¹ A state met the indicator if it had a longitudinal data system with teacher identifiers and the ability to match teachers to students.

Note: Respondents include 50 states and DC.

Source: U.S. Department of Education, State Fiscal Stabilization Fund Initial Annual State Reports (2009-10) and Amended Applications (2010-11).

Table E.3. Number and percent of SEAs that facilitated educators' access to assessment data, 2009-10 to 2010-11

	2009-10		2010-11	
	Number	Percent	Number	Percent
Met Indicator (Facilitated educators' access to assessment data) ¹	38	75	43	84
Reported facilitating access to assessment data through the following strategy/strategies:				
Providing educators with key LEA, school, and student indicators through report cards, data dashboards, or other feedback and analysis systems	30	59	39	76
Establishing and maintaining state data systems that share longitudinal data on students with local data systems	29	57	37	73
Reported using both of the data access strategies above	24	47	33	65

¹ An SEA met the indicator if it reported one or more of the listed strategies.

Note: Respondents include 50 states and DC.

Source: U.S. Department of Education, Institute of Education Sciences, Charting the Progress of Education Reform: An Evaluation of the Recovery Act's Role: Spring 2011 State Education Agencies Survey.

Table E.4. Number and percent of SEAs that provided professional development or technical assistance to support educators' use of assessment data, 2009-10 to 2010-11

	2009-10		2010-11	
	Number	Percent	Number	Percent
Met Indicator (provided professional development or technical assistance to support educators' use of assessment data) ¹	30	59	40	78
Reported supporting use of assessment data through the following strategy/strategies:				
Professional development and/or technical assistance for LEA staff on strategies and procedures to use in accessing new or existing state assessment data	28	55	35	69
Professional development and/or technical assistance to teachers on using new or existing assessment data to improve instruction	24	47	33	65
Professional development and/or technical assistance to school leaders on using new or existing assessment data for school improvement planning	28	55	36	71
Reported using all three of the data use strategies above	20	39	28	55

¹ An SEA met the indicator if it reported providing one or more of the listed components.

Note: Respondents include 50 states and DC.

Source: U.S. Department of Education, Institute of Education Sciences, Charting the Progress of Education Reform: An Evaluation of the Recovery Act's Role: Spring 2011 State Education Agencies Survey.

Appendix F

SEA Implementation Progress From 2009-10 to 2010-11: Educator Workforce Development

Table F.1. Number and percent of SEAs that simplified/shortened educator licensure process or authorized non-university preparation programs, 2009-10 to 2010-11

	2009-10		2010-11	
	Number	Percent	Number	Percent
Met Indicator (educator licensure and certification reforms) ¹	33	65	35	69
Reported pursuing the <u>following strategy/strategies</u> related to educator licensure and certification:				
Simplifying or shortening the process of obtaining full licensure and/or certification for:				
State-university-based teacher preparation programs (additional states that reported in 2009-10 only)	16	31	18 (1)	35 (2)
Alternative pathway teacher preparation programs (additional states that reported in 2009-10 only)	22	43	26 (1)	51 (2)
Authorized independent providers to provide teacher training (additional states that reported in 2009-10 only)	16	31	17 (1)	33 (2)

¹ An SEA met the indicator if it reported pursuing one or more of the three strategies related to teacher licensure and certification.

Notes: Respondents include 50 states and DC.

Number in parentheses is SEAs that reported the strategy in 2009-10 but not in 2010-11. This count is included for strategies that may not be expected to occur annually, where 2009-10 activity could reflect ongoing reform efforts.

Source: U.S. Department of Education, Institute of Education Sciences, Charting the Progress of Education Reform: An Evaluation of the Recovery Act's Role: Spring 2011 State Education Agencies Survey.

Table F.2. Number and percent of SEAs that issued standards or guidelines for teacher preparation programs, 2009-10 to 2010-11

	2009-10		2010-11	
	Number	Percent	Number	Percent
Met Indicator (Issued standards or guidelines for teacher preparation programs) ¹	28	55	32	63
Reported issuing standards or guidelines to preservice teacher preparation programs to promote the <u>following improvement(s)</u> :				
Alignment with new or revised state content standards	21	41	27	53
Alignment with state teacher standards	23	45	29	57
Alignment with content standards <u>and</u> teacher standards	19	37	25	49
Provision of training on practices specifically related to improving low-performing schools	8	16	10	20
Tracking the effectiveness of graduates based on student achievement gains and making these data publicly available	5	10	8	16

¹ An SEA met the indicator if it reported issuing standards or guidelines to preservice teacher preparation programs to promote one or more of the four improvements.

Note: Respondents include 50 states and DC.

Source: U.S. Department of Education, Institute of Education Sciences, Charting the Progress of Education Reform: An Evaluation of the Recovery Act's Role: Spring 2011 State Education Agencies Survey.

Table F.3. Number and percent of SEAs that issued standards or guidelines for principal preparation programs, 2009-10 to 2010-11

	2009-10		2010-11	
	Number	Percent	Number	Percent
Met Indicator (Issued standards or guidelines for principal preparation programs) ¹ (additional states that reported in 2009-10 only)	20	39	25 (1)	49 (2)
Reported issuing standards or guidelines to preservice principal/school leader preparation programs to promote the following improvement(s):				
Alignment with new or revised state content standards	17	33	21	41
Alignment with state principal/school leader standards (additional states that reported in 2009-10 only)	18	35	22 (1)	43 (2)
Provision of training on practices specifically related to improving low-performing schools	6	12	9	18
Tracking the effectiveness of graduates based on student achievement gains and making these data publicly available	2	4	4	8

¹ An SEA met the indicator if it reported issuing standards or guidelines to preservice principal/school leader preparation programs to promote one or more of the four improvements

Notes: Respondents include 50 states and DC.

Number in parentheses is SEAs that reported the strategy in 2009-10 but not in 2010-11. This count is included for strategies that may not be expected to occur annually, where 2009-10 activity could reflect ongoing reform efforts.

Source: U.S. Department of Education, Institute of Education Sciences, Charting the Progress of Education Reform: An Evaluation of the Recovery Act's Role: Spring 2011 State Education Agencies Survey.

Table F.4. Number and percent of SEAs that supported use of multi-level ratings, multiple observations, and student achievement gains for teacher evaluation, 2009-10 to 2010-11

	2009-10		2010-11	
	Number	Percent	Number	Percent
Met Indicator (Promoting teacher evaluation based on multi-level rubrics, multiple observations, and student achievement growth or gains) ¹	1	2	2	4
Had the <u>following role(s)</u> in teacher evaluation:				
Administering a state-developed teacher evaluation system in which LEA participation is:				
Required	11	22	12	24
Optional	6	12	10	20
Setting evaluation system standards and guidelines for LEA-designed teacher evaluation systems that are:				
Required (additional states that reported in 2009-10 only)	13	25	15 (1)	29 (2)
Optional	3	6	6	12
Providing guidance and technical assistance to LEAs on the design and implementation of their systems (additional states that reported in 2009-10 only)	11	22	18 (1)	35 (2)
Requiring LEAs to submit teacher evaluation design and implementation plans for SEA approval	6	12	9	18
Requiring LEAs to report on teacher evaluation system operations and effectiveness	4	8	10	20
Reported one or more roles in teacher evaluation:	24	47	33	65
Included the <u>following component(s)</u> in the state evaluation system, standards, guidance, or technical assistance:				
A rating scale/rubric with three or more performance levels to evaluate instruction/practice	11	22	18	35
At least two yearly observations of classroom instruction with written feedback	9	18	14	27
Student achievement gains in NCLB grades/subjects used in determining individual teacher performance ratings	3	6	5	10

¹An SEA met the indicator if it had at least one of the listed roles in teacher evaluation and included all three components.

Notes: Respondents include 50 states and DC.

Number in parentheses is SEAs that reported the strategy in 2009-10 but not in 2010-11. This count is included for strategies that may not be expected to occur annually, where 2009-10 activity could reflect ongoing reform efforts.

Source: U.S. Department of Education, Institute of Education Sciences, Charting the Progress of Education Reform: An Evaluation of the Recovery Act's Role: Spring 2011 State Education Agencies Survey.

Table F.5. Number and percent of SEAs that supported the use of student achievement gains for principal evaluation, 2009-10 to 2010-11

	2009-10		2010-11	
	Number	Percent	Number	Percent
Met Indicator (Supporting the use of student achievement gains in principal evaluation) ¹	6	12	9	18
Had the following role(s):				
Administering a state-developed principal evaluation system in which LEA participation is:				
Required	8	16	8	16
Optional	6	12	7	14
Setting standards and guidelines for LEA-designed principal evaluation system that are:				
Required	13	25	15	29
Optional	4	8	5	10
Providing guidance and technical assistance to LEAs on the design and implementation of their systems	8	16	12	24
Requiring LEAs to submit principal evaluation system design and implementation plans for SEA approval	4	8	7	14
Requiring LEAs to report on principal evaluation system operations and effectiveness	4	8	9	18
Reported one or more roles in principal evaluation:	25	49	30	59
Included the use of student achievement gains to determine individual principal placement or dismissal in the state evaluation system, standards, guidance, or technical assistance	6	12	10	20

¹ An SEA met the indicator if it had one or more of the listed roles and reported operating or supporting systems that included use of student achievement gains in principal evaluation systems.

Note: Respondents include 50 states and DC.

Source: U.S. Department of Education, Institute of Education Sciences, Charting the Progress of Education Reform: An Evaluation of the Recovery Act's Role: Spring 2011 State Education Agencies Survey.

Table F.6. Number and percent of SEAs that supported differentiating teacher compensation based on student achievement gains, 2009-10 to 2010-11

	2009-10		2010-11	
	Number	Percent	Number	Percent
Met Indicator (Supported differentiating teacher compensation based on student achievement gains) ¹	7	14	9	18
Had the <u>following role(s)</u> in promoting differentiated teacher compensation:				
Administering a state-developed teacher compensation system in which LEA participation is:				
Required	4	8	4	8
Optional	6	12	6	12
Setting standards and guidelines for LEA-designed teacher compensation systems that are:				
Required	4	8	6	12
Optional (additional states that reported in 2009-10 only)	4	8	5 (1)	10 (2)
Providing guidance and technical assistance to LEAs on the design and implementation of their systems	5	10	10	20
Requiring LEAs to submit teacher compensation system design and implementation plans for SEA approval	2	4	5	10
Requiring LEAs to report on teacher compensation system operations and effectiveness	5	10	6	12
Reported one or more roles in teacher compensation	14	27	18	35
Included the <u>following component(s)</u> in the state compensation system, standards, guidance, or technical assistance:				
Base pay increases, add-ons, or stipends based in part on achievement gains of students in individual teachers' classes	6	12	8	16
One-time bonuses for:				
achievement gains of students in individual teachers' classes	7	14	7	14
achievement gains of students served by teacher teams	6	12	6	12
average achievement gains of all students in a school	8	16	9	18
Reported both types of components in teacher compensation	6	12	7	14

¹ An SEA met the indicator if it had one or more of the listed roles in promoting differentiated teacher compensation and reported operating or supporting systems that included one or more of the listed components.

Note: Respondents include 50 states and DC.

Number in parentheses is SEAs that reported the strategy in 2009-10 but not in 2010-11. This count is included for strategies that may not be expected to occur annually, where 2009-10 activity could reflect ongoing reform efforts.

Source: U.S. Department of Education, Institute of Education Sciences, Charting the Progress of Education Reform: An Evaluation of the Recovery Act's Role: Spring 2011 State Education Agencies Survey.

Appendix G

SEA Implementation Progress From 2009-10 to 2010-11 Support for Improving Low-Performing Schools

Table G.1. Number and percent of states allowing for expansion of the number of charter schools, 2009-10 to 2010-11

	2009-10		2010-11	
	Number	Percent	Number	Percent
Met indicator (Allowing for expansion of charter schools) ¹ (additional states that reported in 2009-10 only)	19	37	25 (3)	49 (6)
Not placing caps on the number of charter schools in the state	16	31	17	33
Enacting a state law to increase the permissible number of charter schools (additional states that reported in 2009-10 only)	3	6	8 (3)	16 (6)
Removing prohibitions on charter schools	0	0	1	2

¹ An SEA met the indicator if it does not cap the number of charter schools, if it passed legislation to increase the cap on charter schools (even if the cap remains in place), or if it removed prohibitions on charter schools.

Notes: Respondents include 50 states and DC.

Number in parentheses is SEAs that reported the strategy in 2009-10 but not in 2010-11. This count is included for strategies that may not be expected to occur annually, where 2009-10 activity could reflect ongoing reform efforts.

Source: The National Alliance for Public Charter Schools report: Measuring up to the model: A ranking of state charter school laws (2010, 2011, and 2012).

Table G.2. Number and percent of SEAs that provided guidance choosing and implementing school intervention models defined by ED, 2009-10 to 2010-11

	2009-10		2010-11	
	Number	Percent	Number	Percent
Met indicator (Providing guidance on school intervention models) ¹	42	82	50	98

¹ An SEA met the indicator if it reported providing technical assistance and guidance on choosing the four school intervention models defined by ED.

Note: Respondents include 50 states and DC.

Source: U.S. Department of Education, Institute of Education Sciences, Charting the Progress of Education Reform: An Evaluation of the Recovery Act's Role: Spring 2011 State Education Agencies Survey.

Table G.3. Number and percent of SEAs that supported using compensation incentives to improve staffing at low-performing schools, 2009-10 to 2010-11

	2009-10		2010-11	
	Number	Percent	Number	Percent
Met indicator (Using compensation strategies to improve staffing) ¹	8	16	9	18
Had the <u>following role(s)</u> in promoting differentiated compensation:				
Administering a state-developed teacher <u>or</u> principal compensation system in which LEA participation is:				
Required	4	8	4	8
Optional	7	14	8	16
Setting standards and guidelines for LEA-designed compensation systems that are:				
Required	4	8	7	14
Optional	5	10	6	12
Providing guidance and technical assistance to LEAs on the design and implementation of their systems	6	12	11	22
Requiring LEAs to submit compensation system design and implementation plans for SEA approval	3	6	6	12
Requiring LEAs to report on compensation system operations and effectiveness	5	10	6	12
Reported one or more roles in differentiated compensation	15	29	19	37
Included the <u>following component(s)</u> in the state compensation system, standards, guidance, or technical assistance:				
Promoting differentiated teacher compensation practices that include:				
higher starting salaries, add-ons, or signing bonuses, OR	5	10	8	16
loan forgiveness for teachers who move to low-performing schools	10	20	9	18
Promoting differentiated principal compensation practices that include bonuses or stipends as incentives	3	6	4	8

1 An SEA met the indicator if it had one or more of the listed role in promoting differentiated compensation and reported operating or supporting systems that included one or more of the listed components.

Note: Respondents include 50 states and DC.

Source: U.S. Department of Education, Institute of Education Sciences, Charting the Progress of Education Reform: An Evaluation of the Recovery Act's Role: Spring 2011 State Education Agencies Survey.

Table G.4. Number and percent of SEAs that monitored the deployment of effective educators in low-performing schools, 2009-10 to 2010-11

	2009-10		2010-11	
	Number	Percent	Number	Percent
Met indicator (Monitoring the deployment of effective educators) ¹	7	14	9	18

¹ An SEA met the indicator if it reported using the data from local educator evaluation systems to monitor the deployment of effective educators in low-performing schools.

Note: Respondents include 50 states and DC.

Source: U.S. Department of Education, Institute of Education Sciences, Charting the Progress of Education Reform: An Evaluation of the Recovery Act's Role: Spring 2011 State Education Agencies Survey.

Appendix H

Indicators by State

Table H.1. Standards and Assessments Indicators by State, 2010-11

	Adopted the Common Core State Standards In mathematics and reading/English language arts	Provided, guided or funded professional development on the CCSS	Provided curriculum/ instructional materials for the CCSS	Worked with consortium to develop assessments aligned with CCSS
Alabama	●	●		●
Alaska				
Arizona	●	●		●
Arkansas	●	●	●	●
California	●	●	●	●
Colorado	●	●	●	●
Connecticut	●	●	●	●
Delaware*	●	●	●	●
District of Columbia*	●			●
Florida*	●	●	●	●
Georgia*	●	●	●	●
Hawaii*	●	●	●	●
Idaho	●	●	●	●
Illinois	●	●		●
Indiana	●	●	●	●
Iowa	●	●	●	●
Kansas	●	●	●	●
Kentucky	●	●	●	●
Louisiana	●			●
Maine	●	●	●	●
Maryland*	●	●	●	●
Massachusetts*	●	●		●
Michigan	●	●		●
Minnesota				
Mississippi	●	●	●	●
Missouri	●	●		●
Montana				
Nebraska				
Nevada	●	●		●
New Hampshire	●	●	●	●
New Jersey	●	●	●	●
New Mexico	●		●	●
New York*	●	●		●
North Carolina*	●	●	●	●
North Dakota	●	●	●	●
Ohio*	●	●	●	●
Oklahoma	●	●	●	●
Oregon	●		●	●
Pennsylvania	●	●		●
Rhode Island*	●	●	●	●
South Carolina	●	●		●
South Dakota	●			●
Tennessee*	●		●	●
Texas				
Utah	●	●	●	●
Vermont	●	●		●
Virginia				
Washington				
West Virginia	●	●	●	●
Wisconsin	●	●	●	●
Wyoming				
Total	43	37	29	43

The following symbol (*) indicates RTT states based on the first two rounds of the RTT competition.

Table H.2. Data Systems Indicators by State, 2009-10

	Operated a longitudinal data system with 12 core components	Data system had ability to link teachers to student data	Facilitated educators' access to assessment data	Supported educators' use of data to improve instruction
Alabama		●	●	●
Alaska			●	●
Arizona				
Arkansas	●	●	●	●
California		●	●	●
Colorado			●	
Connecticut			●	●
Delaware*	●	●	●	
District of Columbia*				●
Florida*	●	●	●	●
Georgia*		●	●	●
Hawaii*	●	●	●	●
Idaho		●		
Illinois			●	
Indiana		●	●	●
Iowa		●	●	●
Kansas				
Kentucky		●	●	●
Louisiana	●	●	●	●
Maine			●	
Maryland*			●	●
Massachusetts*	●	●	●	●
Michigan				●
Minnesota				
Mississippi		●		●
Missouri		●	●	●
Montana				
Nebraska			●	●
Nevada		●		
New Hampshire		●	●	●
New Jersey			●	
New Mexico	●	●		
New York*	●	●	●	●
North Carolina*		●		
North Dakota			●	●
Ohio*		●	●	●
Oklahoma		●		
Oregon			●	●
Pennsylvania	●	●	●	
Rhode Island*		●	●	●
South Carolina	●	●	●	●
South Dakota		●	●	
Tennessee*	●	●		
Texas				●
Utah		●		
Vermont				
Virginia			●	●
Washington	●	●	●	●
West Virginia			●	●
Wisconsin			●	●
Wyoming	●	●	●	●
Total	13	30	35	32

The following symbol (*) indicates RTT states based on the first two rounds of the RTT competition.

Table H.3. Data Systems Indicators by State, 2010-11

	Operated a longitudinal data system with 12 core components	Data system had ability to link teachers to student data	Facilitated educators' access to assessment data	Supported educators' use of data to improve instruction
Alabama		●	●	●
Alaska			●	●
Arizona				●
Arkansas	●	●	●	●
California		●	●	●
Colorado			●	●
Connecticut			●	●
Delaware*	●	●	●	●
District of Columbia*			●	●
Florida*	●	●	●	●
Georgia*	●	●	●	●
Hawaii*			●	●
Idaho		●	●	●
Illinois			●	
Indiana		●	●	●
Iowa		●	●	●
Kansas			●	●
Kentucky	●	●	●	●
Louisiana	●	●	●	●
Maine			●	
Maryland*			●	●
Massachusetts*		●	●	●
Michigan			●	●
Minnesota				●
Mississippi		●		
Missouri	●	●	●	●
Montana				
Nebraska			●	●
Nevada		●		
New Hampshire		●	●	●
New Jersey			●	●
New Mexico				
New York*	●	●	●	●
North Carolina*	●	●	●	
North Dakota		●	●	●
Ohio*		●	●	●
Oklahoma		●		
Oregon			●	●
Pennsylvania	●	●	●	●
Rhode Island*		●	●	●
South Carolina	●	●	●	●
South Dakota		●	●	
Tennessee*	●	●	●	●
Texas			●	●
Utah		●	●	
Vermont				
Virginia			●	●
Washington		●	●	●
West Virginia		●	●	●
Wisconsin			●	●
Wyoming	●	●	●	●
Total	13	30	43	40

The following symbol (*) indicates RTT states based on the first two rounds of the RTT competition.

Table H.4. Educator Workforce Development Indicators by State, 2009-10

	Supported reform in teacher licensure/certification	Issued standards or guidelines for teacher preparation programs	Issued standards or guidelines for principal preparation programs	Supported use of multi-level ratings, multiple observations, and student achievement gains for teacher evaluation	Supported use of student achievement gains for principal evaluation	Supported differentiating teacher compensation based on student achievement gains
Alabama	●	●	●			
Alaska	●					
Arizona	●	●	●			
Arkansas	●	●	●			●
California						
Colorado	●					
Connecticut	●	●				
Delaware*	●	●		●	●	
District of Columbia*	●					
Florida*	●	●	●			●
Georgia*	●	●	●			
Hawaii*		●	●			
Idaho	●	●				
Illinois	●	●	●			●
Indiana	●					
Iowa	●	●	●			
Kansas	●					
Kentucky						
Louisiana	●	●				●
Maine	●	●	●			
Maryland*	●	●	●			
Massachusetts*	●					
Michigan	●	●	●			
Minnesota		●				
Mississippi		●				
Missouri	●					
Montana						
Nebraska						
Nevada						
New Hampshire						
New Jersey		●	●		●	
New Mexico	●	●				
New York*	●		●			
North Carolina*	●	●	●			
North Dakota						
Ohio*					●	●
Oklahoma	●					●
Oregon						
Pennsylvania	●	●	●			
Rhode Island*						
South Carolina	●	●	●		●	
South Dakota						
Tennessee*	●	●	●			
Texas	●	●			●	●
Utah	●	●	●			
Vermont						
Virginia	●	●	●		●	
Washington	●	●	●			
West Virginia		●				
Wisconsin	●					
Wyoming						
Total	33	28	20	1	6	7

The following symbol (*) indicates RTT states based on the first two rounds of the RTT competition.

Table H.5. Educator Workforce Development Indicators by State, 2010-11

	Supported reform in teacher licensure/certification	Issued standards or guidelines for teacher preparation programs	Issued standards or guidelines for principal preparation programs	Supported use of multi-level ratings, multiple observations, and student achievement gains for teacher evaluation	Supported use of student achievement gains for principal evaluation	Supported differentiating teacher compensation based on student achievement gains
Alabama	●	●	●			
Alaska	●					
Arizona	●	●	●			
Arkansas	●	●	●			●
California						
Colorado	●					
Connecticut	●	●	●		●	
Delaware*	●	●		●	●	
District of Columbia*	●					
Florida*	●	●	●	●	●	●
Georgia*	●	●	●			
Hawaii*	●	●	●			
Idaho	●	●				
Illinois	●	●	●			
Indiana	●	●	●			
Iowa	●	●	●			
Kansas	●	●	●			
Kentucky						
Louisiana	●	●	●			●
Maine	●	●	●			
Maryland*	●	●	●			
Massachusetts*	●					
Michigan	●	●	●		●	●
Minnesota		●				●
Mississippi		●				
Missouri	●					
Montana						
Nebraska						
Nevada						
New Hampshire		●				
New Jersey		●	●		●	
New Mexico	●	●				
New York*	●	●	●			
North Carolina*	●	●	●			
North Dakota						
Ohio*	●				●	●
Oklahoma	●					●
Oregon						
Pennsylvania	●	●	●			
Rhode Island*						
South Carolina	●	●	●		●	
South Dakota						
Tennessee*	●	●	●			●
Texas	●	●	●		●	●
Utah	●	●	●			
Vermont			●			
Virginia	●	●	●		●	
Washington	●	●	●			
West Virginia		●				
Wisconsin	●					
Wyoming						
Total	35	32	26	2	9	9

The following symbol (*) indicates RTT states based on the first two rounds of the RTT competition.

Table H.6. Low-Performing Schools Indicators by State, 2009-10

	Allowed for the expansion of charter schools	Provided guidance on choosing and implementing school intervention models defined by ED	Supported using compensation incentives to improve staffing at low-performing schools	Monitored deployment of effective educators in low-performing schools
Alabama		●		
Alaska		●		
Arizona	●	●		
Arkansas		●	●	●
California		●		
Colorado	●	●		
Connecticut		●		
Delaware*	●			
District of Columbia*		●		
Florida*	●	●	●	●
Georgia*	●	●		●
Hawaii*				
Idaho				
Illinois	●	●		
Indiana		●		
Iowa		●		
Kansas	●			
Kentucky		●		
Louisiana	●	●	●	
Maine		●		
Maryland*	●			
Massachusetts*		●		
Michigan	●	●		
Minnesota	●			
Mississippi		●		
Missouri		●		
Montana		●	●	
Nebraska		●		
Nevada	●	●		
New Hampshire		●		
New Jersey	●	●		
New Mexico			●	
New York*		●		
North Carolina*		●		●
North Dakota		●		
Ohio*		●	●	
Oklahoma		●	●	
Oregon	●	●		
Pennsylvania	●	●		
Rhode Island*		●		
South Carolina	●	●		
South Dakota		●		
Tennessee*	●	●		
Texas			●	●
Utah		●		
Vermont		●		
Virginia	●	●		
Washington		●		●
West Virginia		●		●
Wisconsin		●		
Wyoming	●			
Total	19	42	8	7

The following symbol (*) indicates RTT states based on the first two rounds of the RTT competition.

Table H.7. Low-Performing Schools Indicators by State, 2010-11

	Allowed for the expansion of charter schools	Provided guidance on choosing and implementing school intervention models defined by ED	Supported using compensation incentives to improve staffing at low-performing schools	Monitored deployment of effective educators in low-performing schools
Alabama		●		
Alaska	●	●		
Arizona		●		
Arkansas		●	●	●
California		●		
Colorado	●	●		
Connecticut		●		
Delaware*	●			
District of Columbia*		●		●
Florida*	●	●	●	●
Georgia*	●	●		●
Hawaii*	●	●		
Idaho		●		
Illinois	●	●		
Indiana		●		
Iowa	●	●		
Kansas	●	●		
Kentucky		●		
Louisiana	●	●	●	
Maine		●		
Maryland*	●	●		
Massachusetts*	●	●		
Michigan	●	●		
Minnesota	●	●		
Mississippi	●	●		
Missouri		●		
Montana		●	●	
Nebraska		●		
Nevada	●	●		
New Hampshire	●	●		
New Jersey	●	●		
New Mexico		●	●	●
New York*	●	●		
North Carolina*		●		●
North Dakota		●		
Ohio*		●	●	
Oklahoma	●	●	●	
Oregon	●	●		
Pennsylvania	●	●		
Rhode Island*	●	●		
South Carolina	●	●		
South Dakota		●		
Tennessee*	●	●	●	
Texas		●	●	●
Utah	●	●		
Vermont		●		
Virginia	●	●		
Washington		●		●
West Virginia		●		●
Wisconsin		●		
Wyoming	●	●		
Total	28	50	9	9

The following symbol (*) indicates RTT states based on the first two rounds of the RTT competition.