



**Race to the Top
Application for Initial Funding
CFDA Number: 84.395A**

**Submitted by the State of California
January 19, 2010**

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Eligibility Requirement B

Senate Bill 19, chaptered in 2009, specifically addressed the data systems-related changes needed for the purposes of competing for federal RTTT funds. The bill explicitly deletes the prohibition against data in the California Longitudinal Teacher Integrated Data Education System (CALTIDES) being used, either solely or in conjunction with data from the California Longitudinal Pupil Achievement Data System (CALPADS), for purposes of pay, promotion, sanction, or personnel evaluation of an individual teacher or groups of teachers, or of any other employment decisions related to individual teachers.¹ Thus, the bill clarified that student growth data that is associated with individual teachers and principals can be used in teacher and principal evaluation.

¹ E.C. 10601.5.

Section (A): State Success Factors

(A)(1) Articulating the State's Education Reform Agenda and LEAs' Participation In It

Looking Toward Tomorrow: Today's Education Choices Will Shape California's Future

California's diverse demographics and unflagging record as a national leader in innovation make the State an important exemplar as America confronts numerous educational challenges. Encompassing over 6.2 million students, 1,000 school districts, and 10,000 schools, our State includes some of the most varied and creative school and district practices in the nation. California schools are a microcosm of the world, educating over 1.5 million children for whom English is not their native language, and providing assistance to English learners from over 100 language groups. If all of our students were educated to the high standards we have set, our workforce would be superbly competitive in a culturally diverse global marketplace. But California, like the rest of the nation, struggles to ensure that all of its students are adequately prepared.

The good news is that California has the necessary foundation to address its educational challenges. Over 15 years ago, the State began building a system founded on the vision that every student will graduate with the skills and knowledge needed for success in college and in careers. In the late 1990s, California became one of the first states to adopt grade-level standards, which are now widely recognized as world-class. We ensured that our instructional materials, teacher professional development, assessments and accountability were aligned with these standards. In addition, long before the No Child Left Behind (NCLB) Act took effect, we shined a light on our student subgroups and held ourselves accountable for closing achievement gaps. This foundation has led to achievement gains across all student subgroups. However, it is widely recognized that such gains must be accelerated if California is to truly close achievement gaps, reduce dropout rates, and prepare more students for success in college and careers.

To better understand our challenges, state leaders recently invested in comprehensive reviews of state and local data, research, and policies. These efforts sought to examine areas of progress and identify core barriers to the dramatic improvement envisioned by the State. The resulting

analyses, such as the *Getting Down to Facts* reports, led to several sets of recommendations—including those issued by the Governor’s Commission on Education Excellence (November 2007), the Superintendent’s P-16 Council report on closing the achievement gap (January 2008), and the STEM Collaborative Action Plan (2008).² These reports highlight a consensus that California must accelerate the development and implementation of its standards-aligned system and strengthen its schools. To do so, the reports urged the State to focus on strategies that foreshadowed those in Race to the Top (RTTT): ensuring more timely information on student learning to inform instruction; building an infrastructure to support the use of data to drive decisions; developing and supporting effective teachers and school leaders; strengthening the rigor and relevance of schools that are not meeting student needs; and turning around schools that have languished in a cycle of low expectations and low achievement.

These recommendations, however, collided with a national and state financial crisis of unprecedented proportions. The crisis has challenged leaders at all levels, but it has also served as an opportunity to clarify priorities and move forward in some critical reform areas—such as expanding LEA flexibility for using state funds—that can establish a foundation for innovation and strengthen our focus on defining outcomes for schools rather than managing specific inputs for them. RTTT offers a unique opportunity to forge additional, otherwise unlikely agreements on actions that can strengthen our system and make it more cost-effective. There is widespread enthusiasm for such action among Californians. As evidence, the State enacted legislation on January 7, 2010, as part of a special legislative session called by the Governor, to address the RTTT reform areas.³ Almost one-half of California’s LEAs, representing about 60 percent of the State’s student population, have signed MOUs committing to undertake all of the fundamental reforms called for in RTTT.

² California Department of Education. (2008, January). *Closing the achievement gap: Report of Superintendent Jack O’Connell’s California P-16 council*. Sacramento, CA: Author.

California Space Education and Workforce Institute. (2008). *High Stakes: STEM Education – The essential ingredient for California competitiveness*. San Luis Obispo, CA: Author.

Governor’s Committee on Education Excellence. (2007). *Students first: Renewing hope for California’s future*. Sacramento, CA: Author. Retrieved December 23, 2009, from: <http://www.everychildprepared.org/docs/7data.pdf>.

Loeb, S., Bryk, A., & Hanushek, E. (2007). *Getting down to facts: School finance and governance in California*. Stanford, CA: Stanford University.

³ SBX5 1, SBX5 2, and SBX5 4. (Unless otherwise indicated, all references in this application to “SBX” refer to Senate Bills passed in extraordinary session in Fiscal Year 2009-2010.)

If California is to remain the engine of a knowledge-based economy, we must accelerate our work to prepare students who can contribute to society in meaningful ways. In a recent analysis, the Public Policy Institute of California looked at projections for the number of jobs in 2025 that will require at least a bachelor's degree, and estimated that if current trends persist, our supply of such degree-holders in California will fall short by one million.⁴ The implications of that research are stark: If we don't change our current achievement patterns, California faces a deeply troubled future. In short, we see RTTT as an opportunity to consolidate the changes already under way in California and to accelerate our pace in building the high-performing system that our students need and deserve for a prosperous future.

A call to action: California's approach to RTTT

Achieving dramatic gains in student performance will require significant investments in critical reform drivers, as called for in RTTT and as identified by previous analyses within California: standards and assessments, data systems to inform instruction, effective teachers and leaders, turning around the lowest-achieving schools, and creating conditions for success. Recognizing that these one-time dollars are aimed at some of the most challenging issues that have stymied reforms in the past, we have chosen throughout this plan to invest in the creation of a new local–state relationship that focuses on achieving mutual goals. In this relationship, the State, in consultation with the field, will establish clear performance expectations, provide tools and guidance, and hold LEAs accountable for achieving performance goals. LEAs will determine the details around strategies for achieving those expectations, continuously examine data to monitor progress, and adjust strategies along the way. The State will assist with local reform through infrastructure investments, a stronger system of support, and improved data reporting, all of which will help California focus on the needs of its students.

Lastly, the funding decisions made in this application reflect three general types of investments: (1) those that build vital infrastructure supports that can spur change; (2) those that help create and test different approaches to better supporting our schools to meet the instructional needs of our diverse student population; and (3) those that build our capacity to evaluate what works and to learn from our experiences. All of our investments must focus on strengthening student achievement and allowing educators to get to the core business of schools: student

⁴ Johnson, H. (2009). *Educating California: Choices for the future*. San Francisco, CA: Public Policy Institute of California.

learning. In fact, one of the State’s first activities will be to develop an accountability model that provides information on individual student learning year over year. This is one example of the types of investments that will enable us to base all decisions—in local schools and at the state Capitol—on a cycle of continuous inquiry and improvement. We recognize, however, that taking actions to improve student learning, as called for in this plan, will require both common sense and courage.

Great teachers and leaders

Altering our current achievement trajectory will require highly effective people in the right places, equipped with the knowledge and skills to help all students learn. The State will invest in key supports to ensure that highly effective teachers and leaders are recruited, supported, and placed in all of our schools, especially those with the highest needs. This plan addresses key gaps in California’s current system to support effective teachers and school leaders.

- **Improve teacher and leader effectiveness based on performance.** To begin reorienting our systems for teacher and principal evaluation to emphasize effectiveness, we will link the development of new evaluation systems with the development of our student growth accountability model. Participating LEAs have made significant and unprecedented commitments to reforming teacher and principal evaluation practices in their RTTT MOUs, in a concerted effort to strengthen supports for effective teaching and school leadership. The State will facilitate a collaborative process with teacher unions, management organizations, and participating LEAs to design model teacher and principal evaluations, rooted in student achievement, that employ multiple measures to determine teacher and leader effectiveness, which LEAs can elect to use at the local level. The State will also create tools to implement those models, develop training on conducting evaluations, and build online resources for the new state models and materials. To encourage local innovation and flexibility, LEAs will be given the option to implement the state models or develop and implement their own evaluations, following defined criteria. Throughout, this work will be documented and evaluated so that we can refine and improve it along the way.
- **Ensure equitable distribution of effective teachers and school leaders.** The State, in collaboration with LEAs, teachers, and administrators, will develop a definition of teacher and principal effectiveness based on multiple measures, including—in significant

part—student achievement on state and local assessments. This will allow us to re-think our systems for examining teacher and principal distribution, and then strengthen programs to draw effective teachers and leaders to hard-to-staff schools, subjects, and specialty areas. Already recent legislation is addressing staffing needs and just authorized the creation of a new credentialing pathway for teachers in high priority STEM and career technical education (CTE) fields.⁵

- **Ensure effectiveness of preparation programs for teachers and leaders.** We are proud of our robust system of multiple routes to certification. Yet we need to significantly increase the number of candidates coming through our most effective pathways and significantly improve our less effective pathways. Expanding efforts already underway, the State, in collaboration with institutions of higher education, will make recommendations for evaluating teacher and administrator preparation programs based on their graduates' performance and other outcomes. LEAs and the State will work with the higher education institutions that credential most of our teachers and leaders, all of whom have signed MOUs with us to engage in reporting program participation and outcome data rooted in student achievement and closing gaps. Such data will be reported to stakeholders in accessible, clear reports and built into the state accreditation process.
- **Provide effective supports to teachers and school leaders.** Given that some of the hardest work will be done in turning around persistently low-achieving schools, we will strategically invest RTTT funds in developing an intensive program to train and support school turnaround leaders. We will evaluate and learn from this effort to further strengthen our supports for all principals. Furthermore, we intend to continue supporting our exemplary teacher induction program and work with LEAs, professional associations, higher education, and other support providers to apply lessons learned in California's teacher induction program to improve and support principal induction programs. Leveraging resources for induction, mentoring support, and professional development, LEAs will institute a menu of job-embedded options tied to rigorous evaluations of teachers' and principals' strengths and weaknesses. The regional system of support will assist LEAs in this endeavor and in identifying professional development programs that emphasize building knowledge and skills in critical areas such as use of data to inform

⁵ SBX5 1; E.C. 44227.2. (Unless otherwise noted, all citations to "E.C." refer to California's Education Code.)

instructional practices, early literacy, English language development, differentiated instruction, approaches to support STEM subjects including Algebra I, and strategies to increase high school graduation rates such as early interventions, engaging courses, and supports for students. Data systems will also be strengthened to track program participation and inform evaluation of professional development offerings.

Standards, assessments, and curricular supports

California will strengthen its already high standards by adopting a set of common core standards and by working with one or more consortium of states to develop aligned assessments in mathematics and reading/language arts. This work will result in better data on annual student growth, including subgroup student achievement data, which will allow national comparisons, and will facilitate the identification and sharing of successful practices across the nation. The State has a well-established system for the development of curriculum frameworks and the adoption of aligned instructional materials, and will support the transition to new standards by accelerating the refinement of those frameworks and instructional material. The State will also invest in aligned interim assessments as a part of its instructional materials adoption process, to develop an item bank for formative assessments upon which LEAs can draw, and to support related professional development to help build the capacity to use data at the classroom and school levels.

Data systems to support instruction

Throughout this plan, the State has emphasized the development of performance metrics and data to inform policymakers and educators about progress. Data will be strengthened at the state, district, and school levels to inform practice and programmatic decisions to achieve results for students.

- **Strengthen the State’s longitudinal data system.** California intends to use RTTT funds in combination with other ARRA funds to build out our longitudinal data system and strengthen our analytic capacity. We will connect to postsecondary and workforce data, track data from teacher and principal preparation programs, make all data more accessible and transparent, expand functionality to accommodate pre-K information, and expand K–12 data to include additional data on teachers and students and priority programs such as CTE.

- **Strengthen the use of data at the local level.** Districts and the State will focus on improving the quality and use of data at the local level, supporting professional development on the use of data to improve instruction, consolidating and improving data reports, and increasing access to data. Districts and the State will invest in identifying and implementing local instructional improvement systems to help teachers and principals examine and interpret data, provide early warnings about achievement issues, and help teachers meet the needs of individual students. Furthermore, we will use data to drive statewide communities of practices around effective instruction and proven strategies.

Turning around the lowest-achieving schools

California has identified its persistently lowest-achieving schools and will use both RTTT and Title I School Improvement Grant funds to support their turnaround by implementing one of four turnaround models. In a state as large and diverse as California, one size certainly does not fit all, and our efforts to date have shown this to be particularly true in turning around persistently low performing schools. To support school-turnaround efforts, California will strengthen its statewide system of support through clear MOUs with lead agencies in each of the State's 11 geographic regions. These regional agencies will provide expertise to LEAs as they choose effective intervention strategies, offer services to support their efforts, and help develop and monitor clear performance measures. The State will coordinate and support communities of practice for schools and LEAs working on turning around the persistently lowest-achieving schools and create other tools to share promising practices. The State will also provide challenge funds to LEAs with persistently lowest-achieving schools that want to invest in early childhood education, STEM, or CTE/multiple pathways strategies as part of their turnaround efforts. Finally, the State will work to ensure schools have success upon implementing a turnaround model by promoting partnerships among schools and LEAs to share expertise and lessons learned in ways that can build upon and sustain success.

Creating conditions for success

We need to use our creativity, leavened by the RTTT award, to build a new way of running California's educational enterprise. The new system must be driven by clear performance goals and expectations, with flexibility and collaboration being critical factors in achieving those goals. Likewise, the system must be student-centered rather than adult-centric, data-driven, and

inclusive of accountability at all levels. Equally important, it must leverage California's expertise in technology, for which the State is known throughout the world. While the State establishes clear performance expectations in key reform areas, the local role will be one of innovation and renewal to determine how to achieve goals in the reform areas. LEAs can use RTTT funding as a means of developing new approaches that can return California to the forefront of education in the United States.

To support new ways of doing business, our RTTT plan includes several strategies:

- **Support local flexibility to stimulate innovation.** California has entered a period of unparalleled flexibility through block granting of most categorical funds and through the waiver authority of the State Board of Education (SBE). These factors provide a foundation upon which LEAs and schools can create new approaches to meeting student needs. This application builds on existing flexibility by emphasizing collaborative and locally driven processes for implementing certain reform elements—such as (1) evaluating teacher and leader effectiveness for compensation purposes; (2) collecting and reporting data to improve instruction; and (3) choosing the most effective model for turning around low-achieving schools. These processes are guided by clear standards and benchmarks from the State, providing a tight focus on shared goals and outcome measures and establishing a flexible approach for achieving them.
- **Develop a new local–state partnership to support school and district improvement.** The State, districts, schools, researchers, county offices of education, professional associations, and other support providers must collaborate to identify what works, share expertise, and rapidly implement proven strategies. The State will invest in rapid knowledge development and sharing through professional learning communities of teachers and leaders who have common goals, examine data, and share effective practices, particularly in strategic areas such as use of data to inform instruction, early literacy and mathematics, STEM programs, and strengthening high school graduation and college attendance rates. These communities will be assisted by online tools and resources that are vetted and reviewed, such as the State's Brokers of Expertise portal (described in greater detail in Section (A)(2)). The state system of regional support will be strengthened through clearer performance goals and accountability for focusing on the

State's priority levers, and through robust communities of learning on such issues as school turnarounds.

- **Develop clear metrics and accountability for all players in the system.** Local educators and leaders will be supported to demonstrate year-to-year growth in student learning, reward performance, and take action when results are not achieved. LEAs participating in RTTT will develop scopes of work with clear performance benchmarks and timelines for doing this work. Similarly, state and local investments in organizations that provide assistance or professional development will include performance measures and public reporting on progress.
- **Increase choice and empowerment of parents.** California recently enacted legislation to encourage parent-school partnerships to improve student achievement and find schools where every child can succeed.⁶ Parents in the State's lowest-achieving schools now have the option to transfer to a higher performing school in another district and will be accepted as long as seats are available. Furthermore, parents in schools that are in multiple years of program improvement can trigger one of the turnaround options under RTTT through a petition. These reforms will alter the culture in our schools and LEAs by giving parents a true voice in their children's education.
- **Encourage local innovation in critical areas to better support individual student learning.** Many of the strategies to transform teaching practices and student learning include classroom, school, and district approaches to engaging students in meaningful, academically challenging learning opportunities. The State has specifically challenged LEAs to collaborate on some critical areas to stimulate innovation and accelerate the spread of promising approaches. Specifically, the State is fostering LEA partnerships to:
 - Address Science Technology Engineering and Mathematics (STEM) needs of students and staff by working with industry experts, museums, universities, research centers, and other STEM-capable community partners to: prepare and assist teachers in integrating STEM content across grades and disciplines; promote effective and relevant instruction; and offer applied learning opportunities for students;
 - Explore innovative uses of technology to improve learning, especially focused on all types of differentiated instruction;

⁶ SBX5 4; E.C. 53300—53301.

- Engage in a concerted effort to improve instruction for English learners, including exploring the use of technology and high-quality professional development that provides differentiated instructional strategies, promotes the effective use of student achievement data, and develops skills for supporting English language acquisition.
- Improve the quality of early childhood education by implementing quality preschool programs and helping students better transition between preschool and kindergarten;
- Build on afterschool programs and community partnership efforts as a means to increase learning time, especially among low-performing schools; and
- Develop multiple pathways for students in high school and additional high-quality CTE options.⁷

These partnerships will be supported through state and regional professional learning communities to explore and share effective practices through a variety of ongoing virtual and face-to-face professional development forums and discussions. Tools and resources to support their work will be vetted for quality and posted on an easily accessed web portal. They will also be supported through collaborative efforts with the State and other partners to examine data and learn from ongoing efforts.

- **Strengthen regional assistance and support for local innovations, including charter schools as a turnaround strategy.** The State will invest in building a system of regional supports through county offices of education by providing greater focus, coordination and accountability for supporting local efforts to address the four reform areas in the State’s plan. They will help LEAs develop effective strategies, plans, and benchmarks for addressing the RTTT reform areas; provide guidance, tools, and professional development in those areas; and monitor progress and report to the SBE, which will ultimately hold LEAs accountable for progress. In addition, this plan recognizes the paucity of organizations committed to creating high-quality charter schools as a school turnaround strategy in California. Through RTTT, California intends to create a Regional Charter Resource Center, aimed at supporting charter quality within the regions and, specifically, helping to develop a robust group of charters and charter management

⁷ See Appendix A, page 6, for a description of California’s approach to career technical education and to multiple pathways.

organizations capable of working with LEAs and counties to turn around low performing schools.

Evaluate performance against clear goals

We believe that investing in the critical areas of state and local infrastructure described above will result in dramatic gains in student achievement, increases in high school graduation rates, and higher rates of college enrollment and completion. To ensure achievement of such goals, the State will invest in evaluating its efforts. As we continuously monitor progress, the State and LEAs will make adjustments in strategies and programs as necessary.

State and local efforts are strengthened when they are focused on clear, mutually shared student achievement goals and performance measures. California's goal is to ensure that every student graduates high school prepared to participate in a career and college. Although California recognizes that existing progress measures as defined under NCLB require refinement and improvement, the State's current performance measures align with NCLB. We have included charts of annual performance targets in Appendix A, page 2. Specifically, State goals include:

- Ensuring that all students achieve at the proficient or advanced levels on the California Standards Tests in English–language arts and mathematics by 2014.
- Increasing the high school graduation rate to 90 percent by 2020.

The State is immediately embarking upon a process to revise its current goals and track progress in a way that ensures such goals are ambitious yet achievable and that they reflect a shared, statewide vision for increasing student achievement in core academic subjects; for decreasing achievement gaps between subgroups on state achievement tests and NAEP; for increasing high school graduation rates; and for increasing college enrollment and success. Revising and re-committing to state goals will require significant engagement with a broad range of stakeholders in the P-20 education system and improvements in our data systems. It is not a task that California takes lightly and therefore discussions have commenced.

In monitoring progress of our RTTT strategies, the State will pay particular attention to several indicators that we view as critical gateways to achieving our vision. That is, we expect to see dramatic gains in:

- **Mathematics and literacy achievement in the early grades**—the foundation for future success.

- **Mastery of Algebra I**—a gateway course for a sequence of career and college preparation pathways.
- **High school graduation rates**—the State will achieve this by providing students with a strong early foundation for learning, intervening when students appear off-track, and offering rigorous, meaningful, and relevant learning opportunities that engage students through high school and prepare them for college and careers.

Local Commitment to Reform (A)(1)(ii) and (A)(1)(iii)

LEAs have sprung into action in support of the opportunities offered by RTTT. A significant number of local leaders have signed agreements to address the four reform areas called for in RTTT, and momentum to build the next phase of the State’s reform effort is growing.

Rates of LEA participation. In developing our approach to achieving the goals set forth in this RTTT plan, the State made a strategic decision to fund all LEAs interested in participating, including those that do not currently receive Title I allocations. Ultimately, the reforms outlined in this plan will impact all of our districts and schools, a process that will be accelerated by garnering a critical mass of LEAs willing to take action in the four reform areas. Therefore, all LEAs were invited to participate, and funds from the state’s portion of the award will be directed toward funding LEAs that do not receive Title I allocations.

To date 804 LEAs representing 56 percent of the State’s schools and 3.6 million students (61 percent of whom are living in poverty) have signed MOUs committing to action in all parts of each of the reform areas (see Exhibit 1). Many of these agreements were signed by not only the superintendent, but also by school board presidents (78 percent) and union leaders (26 percent of applicable LEAs), reflecting the deep engagement that leadership teams will have in these efforts (see Exhibit 2). LEAs will all need to have signatures from their appropriate governing boards and we expect many to come in over the coming months. The State will require appropriate signatures from governing boards within the 90-day period that LEAs have to finalize their scopes of work, budgets, and performance measures should we succeed in receiving a RTTT grant.

This level of LEA participation in a local–state partnership to implement the RTTT reform areas is an indicator of California’s readiness to face challenging issues and continue building our system to raise student achievement. With half of the LEAs in the State actively engaged in

implementing new standards and assessments, using data to drive improvements, supporting great teachers and leaders, and turning around struggling schools we are poised to dramatically increase student learning. As professionals in over half of the State’s schools engage in professional learning and dialogue to strengthen their practices we expect to achieve breakthrough results and effective innovations.

Exhibit 1: Summary of Participating LEAs (A)(1)(iii)

	Participating LEAs (#)	Statewide (#)	Percentage of Total Statewide (%) (Participating LEAs / Statewide)
LEAs	804	1,729	46.5%
Schools	5,755	10,225	56.3%
K-12 Students	3,645,963	6,252,031	58.3%
Students in poverty	1,991,399	3,271,334	60.9%

Exhibit 2: Summary of MOU Signatures (A)(1)(ii)(c)

Signatures Acquired from Participating LEAs			
Number of Participating LEAs with all applicable signatures	117		
	Number of Signatures Obtained (#)	Number of Signatures Applicable (#)	Percentage (%) (Obtained / Applicable)
LEA Superintendent (or equivalent)	804	804	100.0%
President of Local School Board (or equivalent, if applicable)	603	773	78.0%
Local Teachers’ Union Leader (if applicable)	122	468	26.1%

Commitment to reforms. After careful consideration, the State recognizes that meaningful improvements require nothing short of a systemic, comprehensive approach to supporting student learning. Therefore, LEAs have been asked to sign MOUs that include terms and conditions and commitments to a preliminary scope of work that requires implementation of all of the elements in each of four reform areas. See Appendix A, page 7 for a sample of the MOU that LEAs signed and summary tables of the commitments made by LEAs. The State did not offer the latitude to opt out of any of the strategies. This was a result of our firm conviction that the strategies, taken as a whole, represent the best chance of ensuring that every student in California graduates from high school ready to participate in college and to pursue careers.

The State also encouraged LEAs to partner with other LEAs and the State to implement approaches in several priority areas to strengthen teaching and learning. As Exhibit 3 below

indicates, interest in these areas was strong and each area garnered about a third of participating LEAs, thus ensuring the potential for creating vibrant professional learning communities and that can share and strengthen effective practices in these areas.

Exhibit 3: Commitments to Voluntary Elements of the MOU

Voluntary Elements of State Reform Plans	Number of LEAs Participating (#)	Percentage of Total Participating LEAs (%)
Address Science, Technology, Engineering, and Mathematics (STEM) needs of students and staff by working with industry experts, museums, universities, research centers, and/or other STEM-capable community partners.	235	29.2%
Explore innovative uses of technology to improve learning, especially focused on all types of differentiated instruction.	301	37.4%
Engage in a concerted effort to improve instruction for English learners, including building communities of practice and sharing promising practices.	286	35.6%
Improve the quality of early childhood education by helping students make better transitions between preschool and kindergarten.	218	27.1%
Build on afterschool programs and community partnership efforts as a means to increase learning time, especially among low performing schools.	246	30.6%
Develop multiple pathways for students in High School and additional Career Technical Education options.	192	23.9%

In summary, California is submitting this RTTT plan with a firm local- and state-level commitment to implement the strategies and systems that together will ensure that all of our students are prepared for college and careers.

(A)(2) Building Strong Statewide Capacity to Implement, Scale Up, and Sustain Proposed Plans

Our foundation

California schools and districts encompass a rich panoply of sizes, configurations, student populations, and geography. Needs vary from the extremes of a small, rural LEA where a single individual might hold the role of superintendent and principal to an urban LEA whose student population rivals that of many states. Therefore, for several decades the State has utilized both

the CDE and a regional system of 58 county offices of education, organized into 11 regions, to roll out state initiatives and provide guidance and support to districts for achieving statewide objectives in ways that reflect local contexts.⁸

To date, however, state support to districts and schools has not been as sharply focused, coordinated, or accountable as it needs to be to achieve our State’s vision of college and career-ready graduates. This plan lays out a set of strategies to alter those conditions and sharply focus all partners in the system—from the state Capitol to individual schools—on improving outcomes for students.

Goal: Dramatically strengthen local capacity and accountability

RTTT is an opportunity to strengthen capacity throughout California and to build and implement systems that will sustain the cycle of continuous improvement in our schools. This will be accomplished through six main strategies: 1) strengthen the regional system of support for districts and schools; 2) build an infrastructure for knowledge development and sharing; 3) utilize data to drive performance, management, and accountability; 4) evaluate, learn from, and take action on data; 5) strategically invest RTTT funds and harness other resources to achieve and sustain RTTT goals; and 6) partner with diverse stakeholders to accomplish state and local goals.

Strategies

Strengthen the regional system of support for districts and schools (A)(2)(i). California’s current statewide system of support for districts and schools is comprised of three entities (see Exhibit 4). The first is the CDE, which implements federal and state programs on behalf of the SBE, which is designated the State Education Agency. The second is a regional system of support that is comprised of 11 regional consortia of county offices of education. The third component is the federally-funded California Comprehensive Center (CA CC), which helps build the capacity of the state system to implement federal initiatives and improve student achievement.

We believe that strengthening the regional system of support and accountability is central to California’s success. Through RTTT, coordination, accountability, and funding for this system will be reinforced. Therefore, the CDE, in conjunction with the SBE, will hold a competition for

⁸ See Appendix A, page 55, for a map of the State’s counties and configuration into eleven regions.

contracting with 11 lead regional offices that will serve as central hubs for the regional system of support to offer guidance, support, and monitoring of LEA reform efforts. Lead regional offices will be selected based upon the technical quality of what they propose and the evidence of support from the other partners within the regional consortia that they will lead.

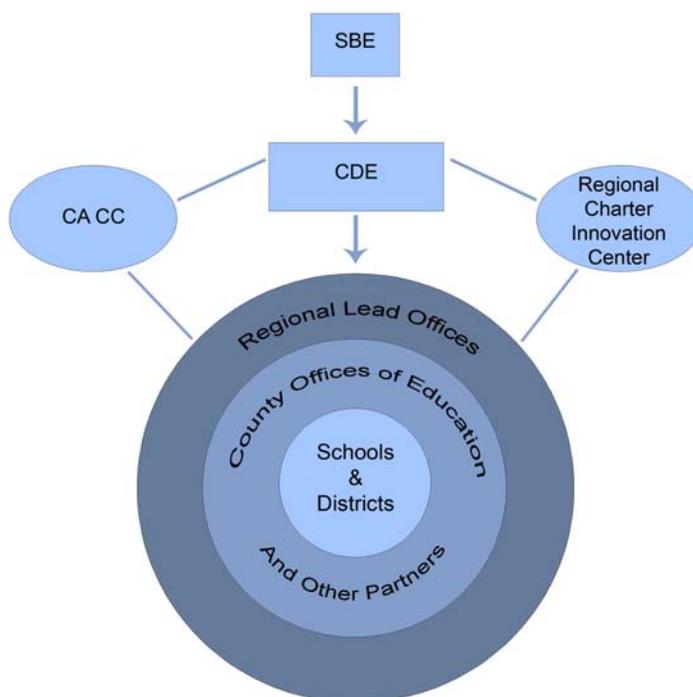
The new contracts for the regional system of support will be stronger than the past, including clear responsibilities and performance measures that will be publicly reported, with action taken to find new regional leads when performance goals are not achieved. The regional lead offices will be responsible for overseeing and negotiating statements of work and performance benchmarks with LEAs in their region, for ultimate approval by the SBE. They will monitor and report on LEA progress, offer guidance on implementation, and provide or coordinate service offerings to participating LEAs and schools in areas related to the RTTT reform areas.

While the regional system of support will serve as a key provider of services, tools, and models within the four RTTT reform areas, LEAs can also opt to partner with other organizations. Regional lead offices, therefore, may offer guidance and assistance to LEAs for developing MOUs with other partners that have clear performance benchmarks, because ultimately, the LEAs and the regional lead office serving them, will report on implementation of LEA plans and progress on performance benchmarks.

Efforts within the CDE and the regional system of support will be bolstered by assistance from the CA CC, whose charge is to build capacity in the State to effectively implement federal programs, which will develop annual work plans with the State focused on RTTT priorities. It will serve as resource for the CDE and the regional system of support by harnessing expertise and drawing upon a national network to support work in the four reform areas.

An additional partner, the Regional Charter Innovation Center, will be added to this system of support to foster the development of high-quality charter school organizations, especially those that aim to engage in school turnaround work. This new partner – described in greater detail in Section (E)(2) – will support the efforts of LEAs and counties and focus on building charter talent and quality.

Exhibit 4: California's System of Support



Accelerate and facilitate knowledge sharing and vibrant learning communities

(A)(2)(i)(a). California's plan envisions rapid knowledge development and professional learning in each of the four reform areas through professional learning communities and through the online portal of Brokers of Expertise, both coordinated by the State and its regional lead offices.

Professional learning communities (PLCs). The State will facilitate and encourage statewide professional learning communities (PLCs) in the key areas of reform and innovation laid out in RTTT through the regional system of support. The regional lead offices and the CDE will organize statewide and regionally-based PLCs based upon regional needs and interests. Initial PLCs will focus on the reform areas of the RTTT plan – such as using data to drive instruction, developing and implementing teacher and leader evaluation processes, turning around struggling schools, and achieving state standards in specific content areas like Algebra. They will also be organized around topic areas encouraged in the State's MOU with LEAs: STEM, innovative uses of technology to differentiate instruction, supports for English learner students, quality early childhood programs and transitions to kindergarten, extended learning time, and CTE/multiple pathways.

Each PLC must have a shared goal and will be tasked with collaboratively developing strategies to strengthen the effectiveness and quality of practices within their work through ongoing professional learning and access to vetted resources and tools through in-person events, virtual discussions and seminars, and partnering among LEAs or schools. By collaborating to develop and implement effective strategies to achieve state goals, it is hoped that PLCs might develop models of breakthrough results in crucial areas. Each PLC will be supported by a point person tasked with facilitating and coordinating activities.

Brokers of Expertise. The State of California, in partnership with LEAs and philanthropic organizations, has already invested in the initial development and pilot testing of a groundbreaking, Web-based community of practice—Brokers of Expertise (<http://boepilot.org>). The intent of Brokers of Expertise is to help schools close achievement gaps and raise achievement levels for all students. Focused on teaching and learning resources and developed and reviewed by practitioners, Brokers of Expertise supports student success in achieving state standards. To date, this portal has focused on resources and discussion for classroom teachers in Algebra I, fourth-grade language arts, and CTE/multiple pathways approaches, as the State recognizes the importance of these subjects in ensuring student success.

RTTT funds will be used to further expand the topic areas included in this portal, as well as improve the technical capacity and the content quality of this potentially robust resource. It will also be strengthened to serve as a platform for a variety of PLCs for hosting online discussions and seminars and posting vetted research, tools, and practices. Investment will also be made in developing transparent criteria for reviewing and posting tools and resources within the Brokers of Expertise portal. For example, instructional materials will be posted only by teachers deemed to be highly effective or effective, labeled as such, and reviewed to ensure their alignment with state standards. RTTT funds will be invested in developing the infrastructure; other funds from LEAs and other participants will ultimately fund ongoing maintenance.

Utilize data to drive performance, management, and accountability (A)(2)(i)(c). Success of an endeavor as comprehensive as RTTT will require attention to effective implementation of all four reform areas. This means that all partners in the system must be focused on shared performance goals and be held accountable for meeting specific benchmarks tied to their contributions. As described above, LEAs will develop and publicly report on performance benchmarks for their progress. Similarly, regional lead offices will establish and report on

performance measures for their services. Likewise the CDE will develop performance measures tied to effective grant administration and timely disbursement of funding and guidance. The CDE will develop a system for regularly reporting on this combination of performance measures to both the SBE and the field. Funding from RTTT will be distributed based upon successfully meeting performance benchmarks.

Evaluate, learn from, and take action on data (A)(2)(i)(b). The State’s expanded capacity to collect data as described in Section (C), as well as ongoing data related to performance measures for implementing reforms (described above), will allow the State and LEAs to examine data more thoughtfully to inform ongoing programmatic and policy decisions. Such work will be further strengthened by studies that analyze data to inform implementation of RTTT reforms.

Targeted studies to allow for ongoing adjustments in implementation of state strategies. Several reform strategies within our RTTT plan are breaking new ground and will benefit from examinations of early implementation efforts that might inform ongoing policy decisions and point to promising practices or ongoing challenges, thus modeling the cycle of continuous improvement we intend to propel each level of the system. For example, RTTT funds will help the State examine different models that LEAs develop to evaluate teachers and leaders to better understand how such issues might be approached (see Section (D)(2)). Similarly, the State will study implementation of the four school turnaround options under RTTT and Title I School Improvement Grants. Understanding how LEAs are selecting turnaround options, engaging communities in their reform efforts, and building capacity will inform local, state, and national efforts (see Section (E)(2)).

State evaluation of RTTT. State and local policymakers are also committed to examining implementation of RTTT efforts through an independent evaluation of the implementation of the state plan submitted in this application. Our State’s commitment to creating a culture of continuous improvement is evidenced by the provision in recently enacted legislation during a special session that mandates an evaluation commencing January 1, 2011 with a final report delivered by June 1, 2014.⁹ This effort will provide ongoing information about how participating LEAs are addressing the reform strategies and will examine early indicators of the impact of

⁹ SBX5 1; E.C. 53102.

their approaches. The regional system of support can be mobilized to address challenges that arise, as well as policy issues that might be addressed through actions by the SBE or the CDE.

Strategically invest RTTT funds and harness other resources to achieve RTTT goals (A)(2)(i)(c), (d), (e). The reform areas outlined in this application will be implemented using a combination of federal and state funds with some strategic investments from private foundations (as described in greater detail in the budget and narrative in Appendix A, page 112). To the extent practical, RTTT funds will support one-time infrastructure costs such as adopting new standards, assessments, and instructional materials and developing new models for evaluating teachers and principals. Other ongoing state and federal ESEA funds, such as Title I and Title II dollars, will bolster these efforts by supporting ongoing professional development and implementation. RTTT investments in efforts that require ongoing support – such as supports for struggling schools or evaluating teachers and school leaders – will be sustained by recurring state and federal funds. Our intention is to use RTTT funds to develop and test models across the four reform areas and re-direct ongoing funding to support the implementation of effective strategies.

Partner with diverse stakeholders to accomplish state and local goals (A)(2)(ii). Success of this endeavor will require the committed involvement of teachers, school administrators, political leaders, institutions of higher education, private foundations, research organizations, and other assistance organizations if we are to truly implement and sustain the fundamental reforms called for in this plan. In preparation for California’s application for the RTTT funds, leaders from the Governor’s office, the SBE, and the CDE engaged with stakeholders across the State to share information and gather feedback. They hosted two research-to-practice forums to examine issues related to measuring teacher effectiveness and turning around low-performing schools. They hosted and joined numerous discussions with practitioners and stakeholders throughout the State, including three in-person regional meetings across the State, several Webinars, a two-day Web dialogue, and many conference calls. Legislative Committees hosted numerous public hearings throughout the State and enacted landmark legislation embracing the reforms outlined in this plan.¹⁰ The State also created a Web site to solicit ongoing input and to share resources about the State’s plan and process for developing the application.

As a result of this effort, a broad and diverse range of stakeholders have made deep commitments to support and sustain the reforms outlined in the plan that follows. For example,

¹⁰ SB 19 (enacted in October 2009) and SBX5 1, SBX5 2, and SBX5 4 (enacted in January 2010).

the State has already received formal commitments to partner on RTTT efforts through not just letters of support, but MOUs outlining partnership activities (see Appendix A, page 59).

- California’s Institutions of Higher Education (IHEs), as represented by the University of California, California State University, California Community Colleges, and the Association of Independent California Colleges and Universities, have submitted formal MOUs in which they commit to working with the State on issues such as aligning the common core standards with preparedness standards for credit-bearing college coursework; aligning IHE data systems with those of the State to create a seamless, P-20 longitudinal data system; and incorporating student growth data into an evaluation system of the impact of teacher and administrator preparation programs on student outcomes.
- The Alliance for Regional Collaboration to Heighten Educational Success—a network of regional partners connected through the California State University system—has submitted a formal MOU committing to expand and focus its network of regional collaboratives that include LEAs, county offices of education, IHEs, and business and community organizations, on RTTT priorities; create and sustain a professional learning community of these collaboratives; and provide technical assistance related to the importance of generating measurable student outcomes through the gathering, analysis, and utilization of data.
- The Parent Institute for Quality Education has committed, through a formal MOU, to make available organization supports to develop collaborative actions to reach the student and systems outcomes as detailed in the State’s application; conduct statewide forums for the purpose of training teachers and counselors both to access and utilize data to improve instruction; and implement a pilot program to improve instruction in middle school mathematics through utilization of real-time student testing data; and disseminate best practices from the California Gaining Early Awareness and Readiness for Undergraduate Programs that has developed innovative approaches to implementing a college-going culture in middle schools.
- A coalition of private foundations that have been at the forefront of education reform in California, and combined have an endowment of more than \$8 billion, have pledged to support the implementation of the State’s plan by aligning their grant making with the RTTT focus areas.

- The State's plan for RTTT is supported by a broad array of business leaders and organizations, including the California Business Roundtable; The Regional Economic Association Leaders of California, which is comprised of 17 large regionally-diverse chambers of commerce and leadership councils; and TechNet, a national, bipartisan network of technology company CEOs in the fields of information technology, e-commerce, clean technology, biotechnology, venture capital and investment banking. These entities pledged to support the aims in the RTTT plan, and are particularly supportive of implementing of a comprehensive longitudinal education data system and increasing student success in STEM. They have committed to continue sustained advocacy efforts to build political capital to achieve RTTT goals, support regional efforts to implement the RTTT reforms, and connect employers to schools.
- Researchers throughout California have committed to align their research with the reform areas outlined in the State's plan for RTTT. For example, Policy Analysis for California Education—an independent, nonpartisan research center based at the University of California, Berkeley, the University of Southern California, and Stanford University—will provide state leaders with access to education experts from California's leading research universities to help guide the State's reforms under RTTT. Similarly, the federally funded Regional Educational Laboratory West at WestEd will support state, regional, and local communities of practice by helping them bridge research and practice and supporting the use of data and evidence in decisions. Measuring the impact and effectiveness of innovative approaches to reform before implementing them statewide or bringing them to scale in an important element in California's RTTT approach.

All told the State has received 6 MOUs to partner on RTTT efforts, 24 letters outlining specific commitments of support, and 72 letters of support from legislative leaders, business, research, technical assistance, associations, and advocacy organizations (see Appendix A, page 56 for a complete list). Local political leaders such as the Mayors' Education Roundtable and individual mayors have submitted letters of support. Editorial boards at major newspapers across the state supported California's RTTT efforts and encouraged local participation.¹¹ And,

¹¹ Editorial boards that support the State's RTTT effort include the: Daily News of Los Angeles, Inland Valley Daily Bulletin, Los Angeles Times, Sacramento Bee, San Jose Mercury News, San Bernardino Sun, San Francisco Chronicle, San Gabriel Valley Tribune, Santa Rosa Press Democrat, Riverside Press Democrat, Ventura County Star

critically important, the Governor and Legislature joined forces to support the State’s RTTT efforts through the enactment of comprehensive legislation to implement reforms called for in RTTT.¹²

Such committed partnerships will be vital for building state and local capacity to implement and sustain the reforms that this strategic investment in RTTT promises.

(A)(3) Demonstrating Significant Progress in Raising Achievement and Closing Gaps

As noted in Section (A)(1), the reform areas called for in RTTT are not new to California. We have engaged in this work for almost two decades and have a roadmap for strengthening the coherence and capacity of our system. As a pioneer in setting high standards, California has long embraced an approach of focusing systemic supports on raising student achievement, recognizing that one element alone will not achieve the results we want. In fact, programs for schools in Program Improvement under NCLB are now aligned to support 9 Essential Program Components adopted by the SBE (see Exhibit 5). This section describes California’s progress in each of the RTTT reform areas and resulting gains we are seeing in student achievement.

Exhibit 5: California’s Nine Essential Program Components

EPC #1: Use of standards-based, SBE–adopted (for kindergarten through eighth grade) or standards-aligned (for ninth through twelfth grade) English–language arts and mathematics instructional materials, including intensive interventions and English language development materials

EPC #2: Implementation of instructional minutes for basic core English–language arts and mathematics programs, intensive intervention and strategic support courses as well as additional instructional time for structured English language development at all grade levels.

EPC #3: Use of an annual district instructional/assessment pacing guide

EPC #4: Implementation of School Administrator Instructional Leadership Training Program and support for instructional leaders to ensure the full implementation of the district-adopted program and the EPCs.

EPC #5: Fully credentialed, highly qualified teachers per the requirements of the Elementary and Secondary Education Act, and professional development on SBE–adopted instructional materials.

EPC #6: Implementation of ongoing instructional assistance and support for English–language arts, English language development, and mathematics teachers through the use of content experts, specialists, and instructional coaches.

EPC #7: Implementation of a student achievement monitoring system that provides timely data from common formative and curriculum-embedded and summative assessments for teachers and principals to use to monitor ongoing student progress, identify student needs, inform instruction, and determine effectiveness of instructional practices and implementation of the adopted programs.

EPC #8: Implementation of monthly structured teacher collaboration for all English–language arts, English language development, and mathematics teachers by grade level (for kindergarten through eighth grade), and common course and department levels (for ninth through twelfth grades) facilitated by the principal.

EPC #9: Implementation of fiscal support aligned with full implementation of EPCs

¹² SBX5 2 and SBX5 4 (enacted January 7, 2010)

An aligned system driven by rigorous academic standards and assessments (A)(3)(i)

High standards. California has adopted standards in English–language arts (1997), mathematics (1997), history–social science (1998), science (1998), English language development (1999), visual and performing arts (2001), physical education and career technical education (2005), and health education (2008). Additionally, the State recently developed foundations for quality preschool programs. Praised nationally for their high quality and rigor, California’s standards are carefully designed to describe a sequence of student learning and the key content to be taught in core content areas at each grade level, K–8, and in specific high school academic courses.¹³ They lead students through a progression of content designed to prepare them for success in careers and in higher education.

Standards-aligned curricular and instructional materials. State standards are enacted in classrooms through curriculum frameworks that guide the adoption of instructional materials. These frameworks provide clear instructional expectations and guidance for teachers and principals and describe the scope and sequence of the knowledge and skills all students need to master at each grade level. The frameworks also provide direction to publishers; each includes criteria for instructional material evaluation.

Multiple assessment measures. The State’s assessment system measures student performance against state standards and provides critical information for guiding program improvement. Its central piece is the Standardized Testing and Reporting (STAR) program, created in 1997 to provide annual assessments of academic achievement in core content areas in grades 2-11.¹⁴ The STAR Program consists of four key components: the California Standards Tests (CSTs); the California Modified Assessment for students in grades 3-8 whose Individualized Education Programs (IEPs) call for an alternate CST format; the California Alternate Performance Assessment designed to measure the academic gains of students with severe cognitive disabilities; and the Standards-based Tests in Spanish for students who receive instruction in Spanish or were enrolled in schools in the United States for less than 12 months.

¹³ Finn, C. E., Julian, L., & Petrilli, M. (2006). *The state of state standards, 2006*. Washington, DC: The Thomas B. Fordham Foundation & Institute.

American Federation of Teachers. (2008). *Sizing up state standards 2008*. Washington, DC: Author.

¹⁴ E.C. 60640 et seq.

Currently, CSTs are required for all students in English language arts for grades 2-11; mathematics for grades 2-9; science for grades 5, 8, and 10 (life science); and history–social science for grades 8 and 11 (U.S. history). Students also take end-of-course tests in mathematics, science, and history–social science in grades 9-11 when they complete the corresponding courses.

The state assessment system also includes the California English Language Development Test, which helps schools better understand the English language development needs of English language learners. In addition, the California High School Exit Exam tests students in mathematics and English language arts, passage of which is required for high school graduation.

Finally, California leads the nation in its work to use assessments as an early indicator for college readiness. The Early Assessment Program (EAP) is a collaborative effort between the CDE, the SBE, and the California State University (CSU). In place since 2004, the EAP is designed to assess students for college readiness in their high school junior year. Eleventh grade students whose schools participate in the EAP can take augmented CSTs that combine CSU placement standards with California high school standards. Scores are reported as part of the STAR results and students who do not pass benefit from the early benchmark, which allows them to focus their attention on specific areas of need in the 12th grade. State universities can also use these results to exempt students from placement testing. Last year legislation passed allowing community colleges to participate in the EAP, and the State is talking with the University of California system about participation as well. Furthermore, this assessment was validated by Achieve as a robust indicator of readiness for non-remedial, credit-bearing, baccalaureate level work in California’s colleges and universities.

Public accountability for achieving standards. California’s school and district accountability is also aligned with state standards. The Public School Accountability Act 1999 created an index for measuring academic growth in schools, known as the Academic Performance Index (API). The API combines multiple achievement measures into an index measure that is used to rank schools and assign school-specific annual performance targets, both school wide and at the subgroup level, that build toward state performance goals (see Appendix A, page 192).

This system is complemented by federal accountability measures for demonstrating adequate yearly progress toward ensuring that all students are proficient or advanced in English–language

arts and mathematics. Together, these measures ensure a solid focus on teaching the core academic standards; however, there is strong interest in creating a single accountability system tied to individual student-achievement growth (see Section (D) of this application).

Data systems to inform improvement efforts (A)(3)(i)

Public access to multiple data reports. California has a relatively sophisticated system for making data about students, schools, and achievement measures publicly available for researchers, practitioners, policymakers, parents/community members, and other interested stakeholders. Datasets publicly available on the CDE’s Web site include the California Basic Education Data System (CBEDS), which contains information on student and staff demographics; the Standardized Account Code Structure (SACS), which contains revenue and expenditure information for all LEAs; the Standardized Testing and Reporting Program (STAR), which includes annual student achievement testing data for each school and LEA; the California High School Exit Exam (CAHSEE), which collects data on student pass rates; and, the California English Language Development Test, which reports school-level performance on the test. Each dataset is accompanied online by detailed handbooks as well as by customized, public reports. In addition, Ed-Data.org offers educators, policymakers, the legislature, parents, and the public quick access to accessible, timely and comprehensive data about K-12 education in California, including fiscal reports by school, district and county.

Investment in longitudinal data systems. California has also stepped up its capacity to collect, manage, and share longitudinal data. The California Longitudinal Pupil Achievement Data System (CALPADS) will have complete data starting this school year, and a companion system integrating teacher data—the California Longitudinal Teacher Integrated Data Education System (CALTIDES)—is scheduled to be in operation by 2011-12. Furthermore, as part of RTTT, Governor Schwarzenegger recently signed legislation that removes any barriers to linking student and teacher data and to further develop the state longitudinal system.¹⁵ As described in greater detail in Section (C) of this application, the State has an application pending before the Institute for Education Sciences for the State Longitudinal Data System that would enable further development of California’s longitudinal data system.

¹⁵ SB 19 (enacted in 2009) and SBX5 2 (enacted in 2010)

These data systems, however, comprise only one step toward building a culture that uses data to drive decisions about education programs and classroom strategies. The need for strengthening use of data to improve instruction is widely acknowledged among stakeholders and is supported by recommendations from several reports conducted by the State and independent agencies to address this question. The State spent the last several years undertaking a systematic review of its data needs, collecting stakeholder input that has led to California's roadmap for further developing its system. Section (C) outlines some immediate next steps in that journey.

Strong systems of support for teachers and leaders (A)(3)(i)

Section (D) of this application goes into greater detail about state efforts to support teachers and school leaders. Several vital efforts to strengthen and align supports for teachers and leaders have focused on developing consensus about the expectations that should guide the development of teachers and leaders and stimulating a pipeline of new teachers. Ongoing professional development has been tied to state learning goals, but more work can be done to strengthen the State's capacity-building efforts.

Professional standards for teachers and leaders. California's first comprehensive set of professional standards for teachers, the California Standards for the Teaching Profession, were adopted and approved in 1997. In the ensuing years, the State has built upon this initial standards work, developing an integrated set of guidelines for various aspects of the teaching profession. In 2001, California adopted standards for its teacher preparation programs, and adopted standards for its induction programs the following year.¹⁶ These preparation and induction standards are now used to both accredit programs and guide the initial growth of California's new teachers. The State has also instituted Teacher Performance Expectations to define what preliminary teaching credential candidates should know and be able to do. And in its Teacher Performance Assessment, California now possesses a framework for assessing teacher candidates on these performance expectations. Importantly, these integrated teacher standards and guidelines are also carefully linked to student learning; all are aligned with the State's K–12 student content standards and corresponding curriculum frameworks.

Established standards also exist for California's school leaders. In 2001, representatives of the State's school administrator community independently developed six California Professional

¹⁶ California's teacher preparation program standards were revised in 2007, 2008, and 2009, and its induction standards were revised in 2008. The CSTP themselves were revised in fall 2009.

Standards for Education Leaders, which built upon national standards written five years earlier. These standards underwent a diligent review and approval process—carried out by university professors, the CDE, and the Commission on Teacher Credentialing—and today, the CPSEL serve as the foundation for certification, credentialing, professional development, and evaluation of principals in California. Districts across the State currently use the CPSEL to develop performance goals with principals and to assess their effectiveness in yearly performance reviews.

Alternative routes to certification. California has strengthened its pipeline of professional educators in ways beyond standards. For example, the State has a long and successful history of supporting alternative routes for preparation and certification. Alternative routes into the teaching profession were initially provided under the Teacher Education and Internship Act in 1967, and multiple state policies have built upon this foundation. All credentialing providers must meet the same rigorous program standards. Today, California is one of only three states that the National Center for Alternative Certification designates as having “most prolific alternate routes” to teaching.¹⁷ Alternative preparation programs and credentials for principals and other school leaders were established in 2002.¹⁸

Professional development and support for teachers. California’s systems of support for teachers have proven successful over time. The State’s Beginning Teacher Support and Assessment (BTSA) programs collectively served 27,281 first and second year teachers in 2008-09—making it the largest induction program in the United States—and recent research has indicated increased teacher retention and other positive results from BTSA participation.¹⁹ In

¹⁷National Center for Alternative Certification. (2007). *Alternative teacher certification: A state-by-state analysis*. Washington, DC: Author. Retrieved on November 9, 2009, from <http://www.teach-now.org/overview.cfm>.

¹⁸E.C. 44270.5

¹⁹For BTSA participation and relative size, see:

Suckow, M. (2009). *Annual report card on California teacher preparation programs for the academic year 2007-08: As required by Title II of the Higher Education Act*. Sacramento, CA: Commission on Teacher Credentialing; Education Week. (2005, January 6). *Quality counts 2005: No small change* [Special Issue]. *Education Week*, 24(17). Bethesda, MD: Author.

For evidence of positive results, see:

Mitchell, D.E., Scott-Hendrick, L., Parrish, T., Crowley, J., Karam, R., Boyns, D., . . . Woods, L. (2007).

California beginning teacher support and assessment and intern alternative certification evaluation study: Technical report. Riverside, CA: University of California, Riverside;

Reed, D., Rueben, K.S., & Barbour, E. (2006). *Retention of new teachers in California*. San Francisco, CA: Public Policy Institute of California;

Thompson, M., Goe, L., Paek, P., & Ponte, E. (2004). *Study of the impact of the California formative assessment and support system for teachers: Beginning teachers’ engagement with BTSA/CFASST*. Princeton, NJ: Educational Testing Service.

addition, the State's system for local peer evaluations, established in 1999, offers experienced mentors to participating teachers who need help developing subject matter knowledge or teaching strategies.²⁰ Overall, thanks to these and many other preparation, recruitment, support and retention efforts, in less than ten years California has seen its proportion of under-prepared teachers drop from approximately 20 percent of the workforce to approximately 3 percent of the workforce.²¹

Supports to turn around struggling schools (A)(3)(i)

Over the past several years, California has taken an active and innovative role in turning around its lowest-performing schools. State investments have supported significant student-performance improvements over the past decade. They have also revealed how important the role of the district is in doing this difficult work, especially in a state as large and diverse as California.

The State has invested in several different programs to support school turnaround efforts since the passage of the Public Schools Accountability Act in 1999. To date, the State has invested in the following school improvement programs (results of which are summarized in Section (E)):

- Immediate Intervention/Underperforming Schools Program (II/USP) created in 1999;
- High Priority Schools Grant Program (HPSGP) created in 2001;
- School Assistance and Intervention Team (SAIT) program in 2003;
- Quality Education Investment Act (QEIA) created in 2006; and most recently, the
- District Assistance and Intervention Team (DAIT) program in 2006.

State intervention programs have been guided by the nine Essential Program Components (described in Exhibit 5). With mixed success, external, state-supported teams have worked with schools and districts to help them implement these program components and focus efforts toward common student learning goals. RTTT gives California the opportunity to sharpen its focus on more direct reform strategies and interventions.

²⁰ E.C. 44500–44508.

²¹ Woodworth, K., Bland, J., Guha, R., Shields, P., Wechsler, M., Tiffany-Morales, J., & Tse, V. (2009). *The status of the teaching profession 2009: Full report*. Santa Cruz, CA: The Center for the Future of Teaching and Learning.

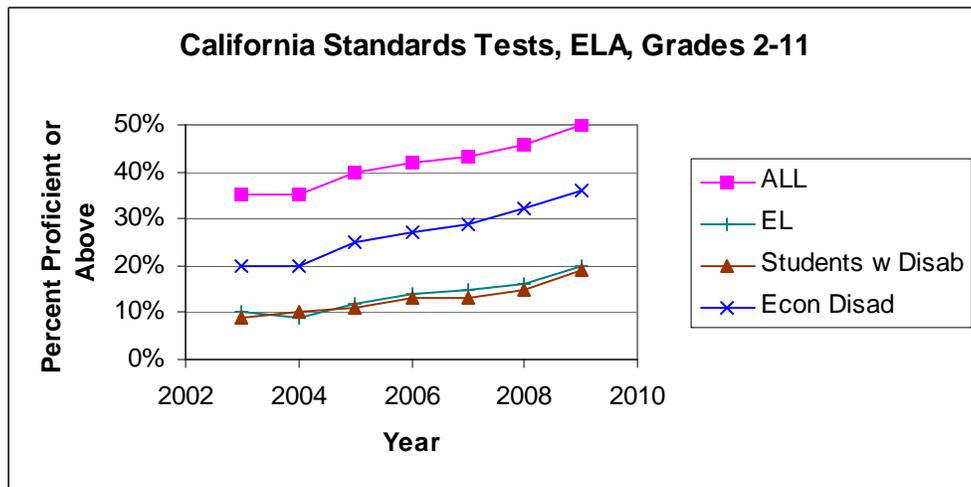
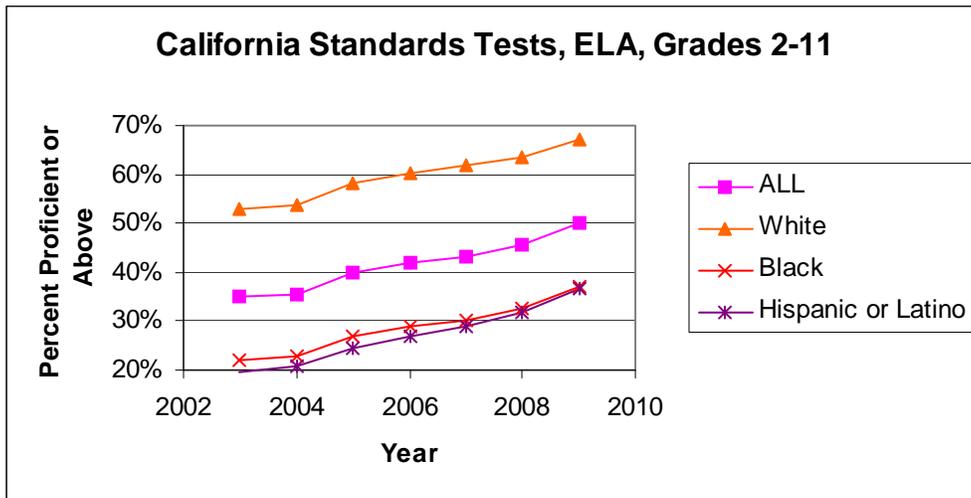
California’s systemic focus on achieving standards has begun to pay off for students (A)(3)(ii)

While direct causal links are impossible to make in the types of systemic reforms embraced by California for over a decade, the record of student performance gains on the California Standards Tests (CSTs) and the National Assessment of Educational Progress (NAEP), while not as rapid as we need, provides strong evidence of the success of this system. California’s gains have occurred in a context in which the State’s performance levels have been judged to be among the most rigorous in the nation. In a 2007 NCES study (2007-482), entitled *Mapping 2005 State Proficiency Standards Onto the NAEP Scales*, California’s performance levels in reading and mathematics always placed them in the top 10 of the states for rigor when compared with NAEP achievement levels.²² In reading, California ranked seventh in the nation at grade 4 and fifth in the nation at grade 8. In mathematics at grade 4, California ranked tenth in the nation for the rigor of its performance levels (for technical reasons, grade 8 rankings for California in mathematics were not included in the study).

California students have made consistent gains on state tests for English–language arts with slight narrowing of achievement gaps (A)(3)(ii). Exhibit 6 below shows the performance trend on the CSTs in English language arts since 2003. Overall, the percentage of proficient students has risen by 15 percentage points, from 35 percent in 2003 to 50 percent in 2009. The Black–White and Hispanic/Latino–White achievement gaps have narrowed slightly over this time. Black students have gained 15 percentage points and Hispanic/Latino students have gained 16 percentage points, while White students have gained 14. English learners have gained 10 percentage points over this time, as have students with disabilities. Economically disadvantaged students have grown by 16 percentage points, slightly more than the overall growth.

²² National Center for Education Statistics. (2007). *Mapping 2005 state proficiency standards onto the NAEP scales* (NCES 2007-482). U.S. Department of Education. Washington, DC: Author.

Exhibit 6: California Standards Tests Results for English-Language Arts²³

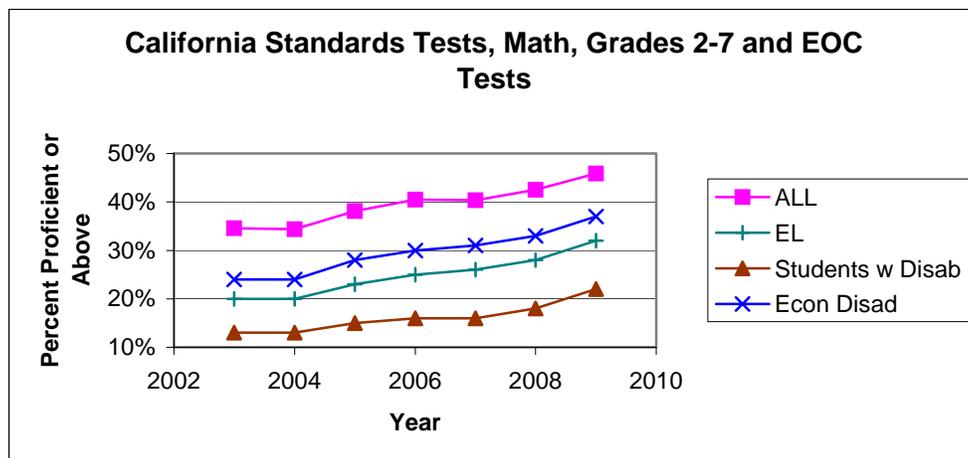
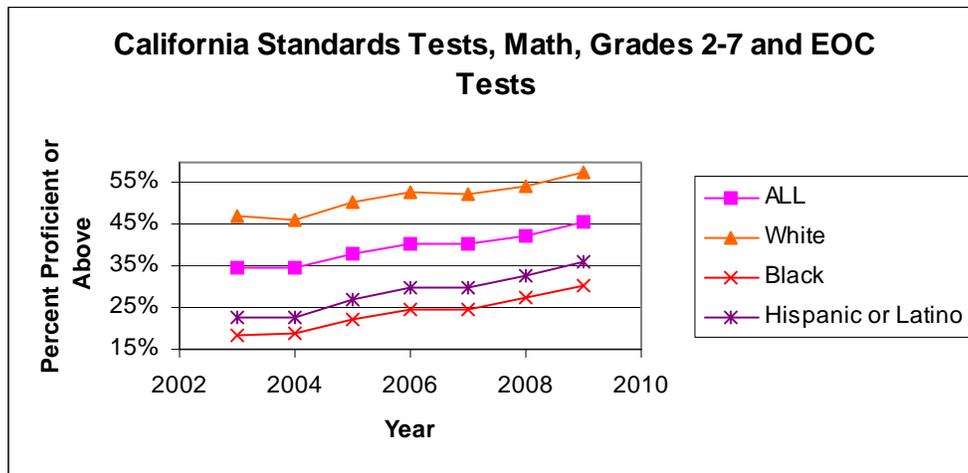


California students have also made significant gains in mathematics achievement on state tests, with some narrowing of achievement gaps. Exhibit 7 below shows the performance trend on the CSTs in mathematics since 2003. Overall, the percentage of proficient students has risen by 11 percentage points, from 35 percent in 2003 to 46 percent in 2009. As is the case with English–language arts, the Black–White and Hispanic/Latino–White achievement gaps have narrowed slightly over this time. The percentage-point gains of White, Black, and Hispanic/Latino students are 10, 11, and 13, respectively. English learners and economically disadvantaged students have slightly outpaced the overall growth, gaining 12 and 13 percentage

²³ California Department of Education. (2009). *Standardized testing and reporting (STAR) results* [Data File]. Retrieved from <http://star.cde.ca.gov>. (See Appendix A, starting on page 197 for the raw data tables.)

points, respectively, since 2003. Proficiency of students with disabilities has grown more slowly than overall proficiency, gaining 9 percentage points since 2003.

Exhibit 7: California Standards Tests Results for Mathematics²⁴

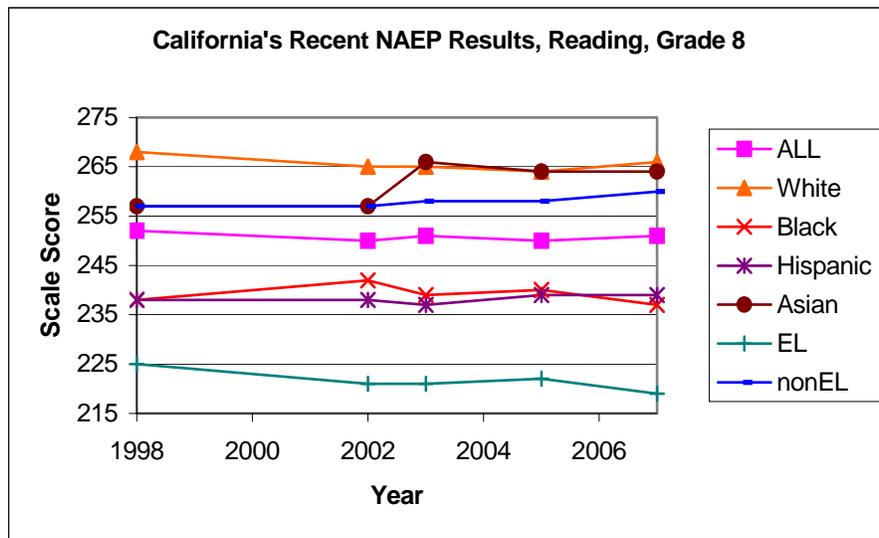
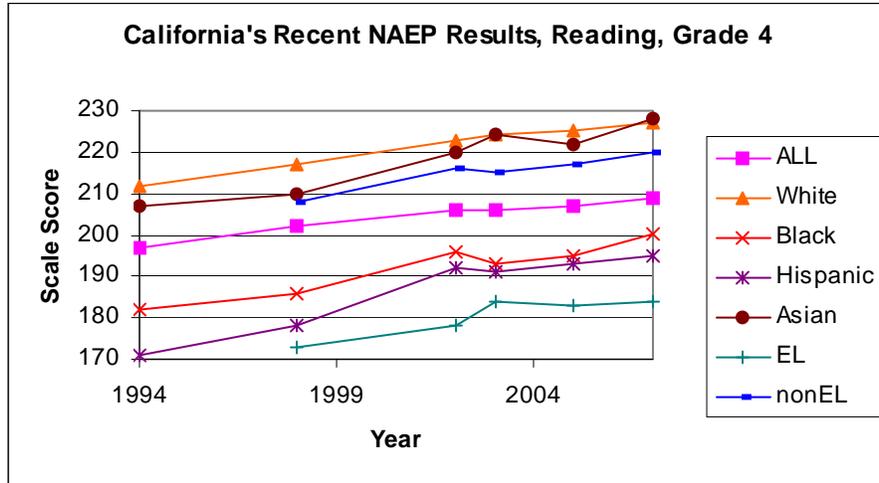


Gains on NAEP are more modest than on state tests, but indicate some progress in early grades and slight gains in addressing achievement gaps (A)(3)(ii). The gains on NAEP have come during a period of intense focus on California’s rigorous standards, which reflect different emphases than what is tested on NAEP. This difference in emphasis accounts for the relatively large gains on CST and the simultaneous modest gains on NAEP. NAEP results for California from the 1990s to 2007 in reading show gains for grade 4 and little change for grade 8. The grade 4 results reflect a narrowing of the Black–White and Hispanic–White achievement gaps. Results

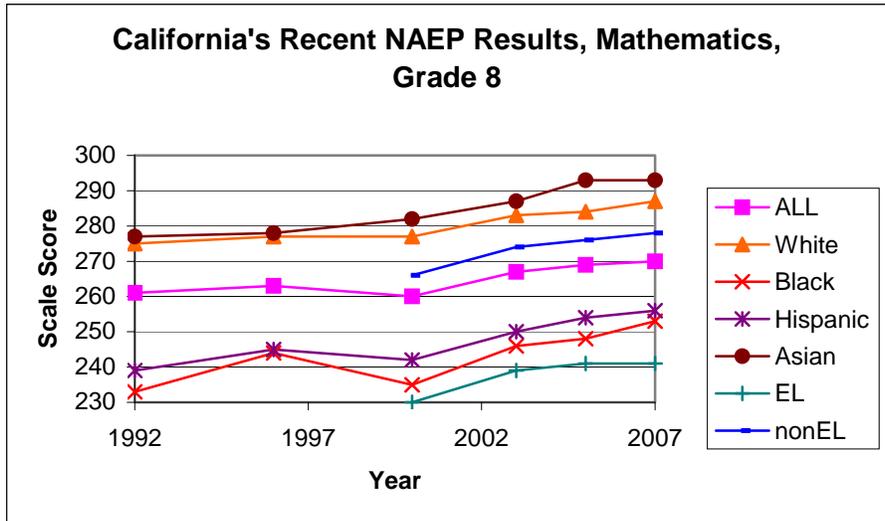
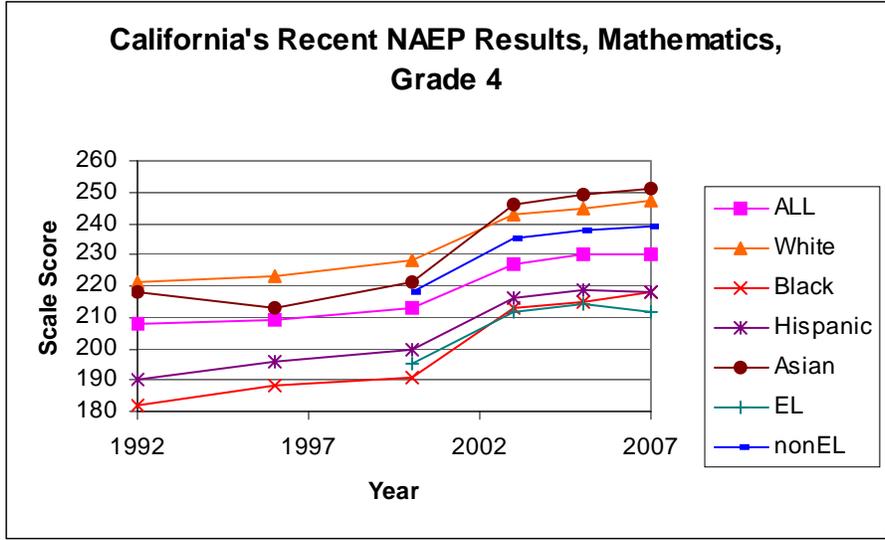
²⁴ Ibid.

in mathematics show gains at grades 4 and 8. As with reading, grade 4 results reflect a narrowing of the Black–White and Hispanic–White achievement gaps. Exhibit 8 below show these results.

Exhibit 8: NAEP Results for California in Reading and Mathematics Grades 4 and 8²⁵



²⁵ National Center for Education Statistics. (2009). NAEP data explorer [Data File]. Retrieved from <http://nces.ed.gov/nationsreportcard/naepdata/dataset.aspx>. (See Appendix A, page 246 for the raw data tables.)



Participating districts showed some significant gains on the NAEP Trial Urban District Assessment 2003-2007. Two California urban districts—Los Angeles Unified and San Diego Unified (LAUSD and SDUSD)—participated in the NAEP Trial Urban District Assessment from 2003 to 2007 and provide further evidence of California’s progress on NAEP. LAUSD made significant gains (six scale score points) on the NAEP assessment in reading at Grade 8. While SDUSD made no scale score gains at Grade 8, and neither district made significant gains in reading at Grade 4, in mathematics at Grade 4, both school districts made significant gains from 2003-2007: LAUSD, five scale score points and SDUSD, eight scale score points. At grade 8, both school districts outpaced national gains of four points on NAEP, with LAUSD making gains of twelve scale score points, and SDUSD with an eight-point gain.

High school graduation rates tell a more discouraging story. Since 1996, high school graduation rates have increased and then declined. While California needs to continue the work to prepare all students to graduate and to succeed in the workplace or college after high school, our advances in data architecture allow the graduation rate to be computed with unprecedented precision. California now has a way of identifying individual student achievement and graduation data. Exhibit 9 shows the graduation rate, as required for NCLB reporting, as well as the proportion of ninth graders who graduated three years later. This latter rate excludes students who received a GED, fifth year seniors, and special education completers. As the table shows, graduation rates peaked in 2002–03 and have declined since then.

Exhibit 9: High School Graduation Rates in California since 1996-97, in Percent²⁶

Year	NCLB reported graduation rate	9th Grade to Graduate Rate
1996-1997	81	66
1997-1998	83	67
1998-1999	85	68
1999-2000	86	69
2000-2001	87	69
2001-2002	87	70
2002-2003	87	71
2003-2004	85	71
2004-2005	85	71
2005-2006	83	67
2006-2007	81	68
2007-2008	80	69

This story of California’s reform efforts to date, and resulting student outcomes, points to the urgency with which the State wishes to expand its systems of support. We are on the right track, but our progress must be accelerated. Despite our gains to date, too many students are achieving at rates below state standards, too many drop out of high school, and too many leave our schools lacking the knowledge and skills they need for success in college and careers. Time is of the essence; the future of our children, of our State, is at stake.

²⁶ California Department of Education. (2009). *Dataquest* [Data File]. Retrieved from <http://www.dq.cde.ca.gov>.

Section (B): Standards and Assessments

As outlined in Section (A), standards and related assessments drive the work of schools and districts in California. They guide day-to-day instruction and serve as the foundation for the essential work of schools. California is committed to staying the course in its standards-based reform efforts, and therefore has embraced the opportunity to collaborate with other states in developing and adopting a common core set of rigorous standards. This section discusses how the State intends to adopt a set of common core standards in English–language arts (ELA) and mathematics; develop assessments aligned with those standards; and transition to the new standards and assessments through a variety of curricular, professional development, and accountability supports.

(B)(1) Developing and Adopting Common Standards

Our foundation

California, a pioneer in the standards movement, has fully embraced rigorous expectations for all students. The State first developed ELA and mathematics standards in the late 1990s. The State convened an Academic Standards Commission that included a wide range of stakeholders and practitioners—content experts, teachers, administrators, parents, representatives from business and higher education—all with the task of ensuring that California’s standards are world-class and lead to solid preparation for college and the workforce.

As our State participates in the development of common core standards, we can provide not only our foundation of rigorous standards, but also our experience working in multistate, collaborative efforts on standards and assessment issues—such as the Council of Chief State School Officers’ State Collaborative on Assessment and Student Standards (SCASS) projects and the American Diploma Project (ADP). This strong foundation allows California to bring to the development process substantive expertise regarding the development of curricular materials, assessments, and professional development. We will willingly share this expertise to help implement rigorous standards.

Goal: Develop and adopt common core standards

Despite our progress in building a standards-aligned system, we recognize that our standards—as with all states—are state-specific and therefore are difficult to compare.

Participating with other states in common standards and assessments will make such comparisons easier and will create common expectations across states, thus making expectations increasingly transparent and consistent and assisting students and parents in our increasingly mobile society. We believe common standards will improve our current standards through global benchmarking, streamlining, and sequencing. Additionally, we believe that having common standards will create opportunities to share and build upon instructional materials, formative assessments, and other supports aimed at meeting students' learning needs.

Strategies

Participate in a multistate consortium to develop common standards in mathematics and English–language arts that build toward college and career readiness (B)(1)(i).

California became a committed participant in the development of common core standards in English–language arts and mathematics by submitting a Memorandum of Agreement (MOA) on May 28, 2009 with the National Governors Association and the Council of Chief State School Officers. The MOA was signed by the Governor, the California State Board of Education (SBE) President, and the State Superintendent of Public Instruction (see Appendix B, page 248). The State's MOA clearly stated an intention to adopt common core standards as long as they “meet or exceed our own.”²⁷ As active participants in the process, our efforts have focused on ensuring such rigor. In fact, California's Chief Deputy Superintendent and Secretary of Education, as well as several SBE members, have participated in national meetings to provide feedback and guidance on the development of new standards. In addition, California has representatives on all three committees being utilized by the Consortium.

To date, 48 states, the District of Columbia, Puerto Rico, and the U.S. Virgin Islands have committed to participate in an effort to develop college and career readiness standards and aligned common core standards in English–language arts and mathematics.²⁸ (See Appendix B, page 254, for a list of participating states.)

A set of draft career and college and career readiness standards was released by the initiative in September 2009 and is expected to be validated by March 2010. Confidential draft sets of K-

²⁷ Schwarzenegger, Mitchell, & O'Connell. (2009, May 28). Letter submitting Memorandum of Agreement to the National Governors Association and the Council of Chief State School Officers.

²⁸ National Governors Association. (2009). *Fifty-one states and territories join common core standards initiative*. Retrieved January 2, 2010, from <http://www.corestandards.org/>..Fifty-one states and territories join common core state standards initiative: NGA Center, CCSSO convene state-led process to develop common English-language arts and mathematics standards [Press release]. Retrieved January 2, 2010 from <http://www.corestandards.org/>.

12 standards in ELA and mathematics are currently under review and expected for public release this winter. Copies of the draft college and career readiness standards as well as evidence regarding how they will be internationally benchmarked can be found in Appendix B, starting on page 254.

Adopt final sets of common core standards (B)(1)(ii). California enacted legislation on January 7, 2010 that launched the adoption process of common core standards with a goal for adoption by August 2, 2010.²⁹ The relevant education code that describes California’s legal process for adopting state standards can be found in Appendix B, page 253, and is described below.

The legislation establishes a new Academic Content Standards Commission, to include 21 members appointed by the Governor and legislature at least half of whom are classroom teachers.³⁰ The Commission will be charged with revising the State’s content standards in English–language arts and mathematics, and ensuring that such standards build toward college and career readiness and are internationally benchmarked. The legislation also specifies that at least 85 percent of the State’s standards be composed of the common core standards. The Academic Standards Commission is charged with presenting its recommendations for new standards to the SBE for its action by July 15, 2010. The SBE will either adopt or reject the new standards by August 2, 2010, and the State Superintendent will present to the Governor and Legislature a schedule and plan for integrating the new standards into the State’s education system.

(B)(2) Developing and Implementing Common, High-Quality Assessments

Our foundation

California’s assessment system measures student performance against the State’s standards, and provides critical information for guiding program improvement efforts. The central component of the assessment system is the Standardized Testing and Reporting (STAR) Program, created in 1997 to provide annual assessments of academic achievement in grades 2-

²⁹ SBX5 1; EC 60605.8.

³⁰ SBX5 1, 60605.8.

11.³¹ This program is described in greater detail in Section (A)(3). Adopting new assessments aligned to common core standards will be timely for California as we update our state assessments.

With the expected adoption of a set of common core standards, the State will benefit in multiple ways as it develops new assessments. First, new assessments must be developed in order to appropriately measure new standards. Second, new assessments can be designed to be more sensitive to measuring achievement growth each year and so support a new accountability model based on student growth. Finally, new assessments offer an opportunity to strengthen the measures we have of student performance to include a variety of valid and reliable measures for determining student achievement in core academic areas.

Recognizing these benefits, the Legislature enacted provisions directing the State to incorporate the new common core standards into state assessments.³²

Goal: Develop and implement common high quality assessments aligned to new English language arts and mathematics standards

Strategies

Join a consortium to develop and implement aligned assessments (B)(2)(i). California is keenly interested in working with one or more consortia of states to develop common assessments of the common core standards by applying for a grant under the RTTT assessment consortium. Such a consortium will provide economies of scale in both development and implementation costs of new assessments and will ultimately promote greater comparability across states. As a result, California is actively engaged in several multi-state consortia efforts. These efforts will be further defined and finalized this winter in preparation for the Race to the Top (RTTT) assessment competition. In the meantime, California has signed non-binding MOUs to participate in three multi-state assessment consortia briefly described below and found in Appendix B, starting on page 329.

- ***Balanced Assessments Consortium.*** Thirty six states have committed to participating in a multi-state consortium to develop balanced assessments of the common core standards.

This consortium's development approach will focus on developing assessments that are

³¹ E.C. 60600 et seq.

³² SB X5 1: 60604.5.

tightly aligned to an integrated system of standards, curriculum, assessment, instruction, and teacher development. The consortium would invest in the development of curriculum frameworks, create a digital curriculum and assessment library, and develop common assessments that measure the common core standards and allow states to evaluate student growth over time.

- ***SMARTER Consortium.*** Twenty three states have come together through signed MOUs to develop a proposal for a multi-state consortium entitled Summative Multi-State Resources for Teachers and Educational Researchers (SMARTER). Plans to finalize this consortium should be completed by March 1. As stated in the MOU, this consortium will propose the development of summative assessments that “use online adaptive tests, innovative item design and open-ended items to assess the full breadth of cognitive demand described by the Common Core Standards.”
- ***Achieve Consortium.*** California has committed to participate in a multi-state consortium organized by Achieve to develop a proposal for a grant to develop assessments tied to college and career readiness expectations. Twenty six participating states have agreed to a set of principles for such assessments to address three overarching goals: “measuring student proficiency, ensuring accountability, and improving teaching and learning.”

The State has committed to each consortium through non-binding MOUs with the expectation that details will be further defined as assessment development proposals are crafted. The State will ultimately submit those joint proposals that best fit within our framework for aligning standards, assessments, and related curriculum and instructional materials, professional development, and supports for schools.

(B)(3) Supporting the Transition to Enhanced Standards and High-Quality Assessments

Our foundation

As described in Section (A)(3), California has an infrastructure in place to transition to new standards in a thoughtful way, through the development and adoption of standards-aligned curriculum frameworks and instructional materials, professional development, teaching standards, and assessments and accountability. Because California has these well-established

processes in place, our State will be able to proceed in an orderly manner toward implementing the standards.

Goal: Transition to new standards and assessments

Strategies

After the State adopts common core standards, it will take a series of steps to transition to new standards and assessments in ways that maximize collaboration and input from local educators and build understanding and application of the new standards. This section outlines a five-year plan for fully implementing the new common core standards and related assessments. The full set of goals, activities, and timelines can be found in Appendix B, page 343. This timeframe reflects our experience in implementing standards over the past decade and our deliberate approach to building new standards into the curriculum and related materials, professional development, assessments, and other tools to support instruction. It also reflects the reality that LEAs build their budgets with the expectation that new textbooks and other instructional materials will be adopted on a rolling, multiyear timeframe.

Develop new curriculum frameworks tied to new standards. A key step toward getting standards into classrooms is to build them into aligned curriculum frameworks. These frameworks provide clear instructional expectations and guidance for teachers and principals and describe the scope and sequence of the knowledge and skills all students need to master at each grade level. In California, curriculum frameworks are revised periodically, incorporating any new standards in order to guide the adoption of new instructional materials. Thus, upon adoption of the common core standards, the State will immediately launch a process to revise frameworks in mathematics and ELA.

Curriculum frameworks are ultimately approved by the SBE, but they are developed with extensive field input. A Curriculum Commission composed of educators and content experts manages the framework-development process. This Commission will draw upon expertise from Curriculum Framework and Evaluation Criteria Committees (CFCC) for mathematics and English–language arts. In fact, the Commission already has nominations for a mathematics committee and will act quickly on one for ELA. The CFCCs will each conduct four focus groups to gather field input and meet five times to develop revised curriculum frameworks.

The CDE and the Curriculum Commission then solicit field review and input on the new frameworks through a formal 60-day comment process.³³ To strengthen understanding and support for the standards from the field, the State will seek input from educators across the State. For example, input will be sought from participating RTTT districts, each of which has specifically committed to participate in this process in their signed MOUs. In addition, the State will conduct an online survey during the 60-day public review period.

Following the public comment period, the Curriculum Commission will analyze field review results and revise the draft framework. The Curriculum Commission will act on the draft curriculum frameworks and approve the draft timeline for the adoption of follow-up K–8 instructional materials in **July 2011** for mathematics and in **January 2012** for English–language arts (see Exhibit 10). Following a public comment period, the SBE will review the framework and, if adopted, will approve the timeline and reviewer application for adoptions of new or supplemental instructional materials.

Exhibit 10: Key Milestones in the Transition to New Standards

New frameworks and materials adoption	Mathematics	ELA
SBE adopts common core standards	July 2010	July 2010
SBE adopts framework and launches instructional materials adoption process	July 2011	Jan. 2012
Launch professional development on new standards and frameworks	July 2011	Jan. 2012
SBE adopts instructional materials	July 2012	May 2013
Final print materials available for LEAs	Aug. 2012	July 2013

Adopt instructional materials. California also has a process for adopting K–8 instructional materials based upon the State’s curriculum frameworks.³⁴ This month (January 7, 2010), the State enacted legislation to accelerate that adoption timeline for RTTT.³⁵

First the Curriculum Commission will recommend reviewers of potential materials to the SBE and invite submissions of materials from publishers. Reviewers are trained, then lead an independent review and develop panel reports on submitted materials. Following public comment and further deliberation, the Curriculum Commission will make recommendations for SBE actions regarding new instructional materials (in **July 2012** for mathematics; **May 2013** for

³³ California Code of Regulations, title 5 section 9515(a)(3).

³⁴ E.C. 60200.

³⁵ SBX5 1 a 60605.9.

ELA). Final print materials will be ready for delivery to LEAs in **August 2012** for mathematics and in **July 2013** for ELA. LEAs will have a year to test these supplementary materials before purchasing them.

California does not have a statewide adoption of instructional materials for grades 9-12. However, it recently initiated a process aimed at guiding districts' purchasing decisions, conducting a review of free digital textbooks in mathematics and science against California's standards. Building on this, the State will create a consortium of participating LEAs to conduct a more comprehensive review of the 9-12 mathematics and ELA instructional materials that are available electronically. Schools will supply teachers to serve as reviewers and all activities will be conducted through a virtual network that will be supported by the California Learning Resources Network. The results will report publicly how the materials align with California standards and the Common Core.

Offer professional development on new standards and curriculum frameworks. To assist LEAs with the new standards, the State will develop professional development modules and resources on the new curriculum frameworks and supplementary instructional materials. Such professional development will be delivered through the State's Reading and Mathematics Professional Development Program, curriculum modules in the Administrator Development Program, and through newly formed professional learning communities and our Brokers of Expertise portal. These programs will be ongoing and help strengthen teacher and administrator content knowledge, help incorporate new grade-appropriate instructional materials, and prepare educators to more effectively use data to guide instruction. RTTT funds will be used to develop the content for these programs with a sharp focus on the revised standards and frameworks and using new data from new assessments, including interim assessments. Priority will be given to schools in participating RTTT LEAs.

Develop and implement aligned state assessments. As described in Section (B)(2), California is actively seeking state partners to jointly develop new assessments aligned with the common core standards. In the absence of such a consortium, the State will incorporate assessment revisions into its assessment development process using ongoing state and federal dollars.

Also, as part of its ongoing assessment policies, focusing on technical excellence and academic rigor, the State will continue to invest funds to the extent practicable in studies related

to new assessments such as alignment studies that verify the relationship between tests and the standards, as well as studies of the effectiveness of testing modifications and accommodations made available to students with disabilities and English learners.

Embed interim assessments into instructional materials adoptions. State tests are useful indicators of school progress, but the time lag in getting data makes them less useful for tailoring instruction in individual classrooms. Thus, schools, districts, and the State understand the value and importance of regular tests aligned with state standards that can give benchmark data on progress and help schools make mid-course corrections.

California intends to work with publishers to build such interim assessments into the instructional materials adoption process. This will ensure that such tests are aligned with the curriculum being delivered as well as the annual state assessments. Such an approach is both effective and cost-saving. In fact, because California is one of the largest textbook-adoption states, this decision is likely to impact schools across the nation, as they adopt instructional materials and their embedded interim assessments.

Support local development and use of formative assessments. An important tool for informing instruction on an ongoing basis is formative assessment. Effective formative assessments show teachers and students what students know, suggest what misunderstandings there might be, and point to what the teacher should do next. They may encompass a variety of item formats and be built into ongoing lessons. RTTT funds will support the expanded use of formative assessment through three main activities: (1) a collaborative effort with LEAs to create a bank of released items from statewide assessments that can serve as key elements of regular formative assessments; (2) training on how to develop and use high-quality items; and (3) promoting sharing across districts regarding effective strategies for using formative assessments.

Revise accountability system to reflect new standards and assessments. As noted in Section (A)(3) and in Appendix A, page 192, California's State accountability system is based upon an Academic Performance Index (API) that measures school gains in student achievement by combining several measures. As part of California's RTTT effort, the Legislature has directed the Public School Accountability Advisory Committee to study different approaches to increasing the emphasis of science and mathematics and measures of postsecondary and career

readiness in the calculation of the API.³⁶ The legislation further authorizes the development of a student-growth accountability model, which is described in Section (D)(2).³⁷

In the short term—after the State adopts a student-growth accountability model—the State intends to seek a waiver that would allow the State to replace adequate yearly progress (AYP) as an accountability measure in RTTT LEAs with new state measures that work toward the same goal of getting all students to proficient levels, but reflects the growth of individual students year to year.

See Appendix B, page 343 for an overview of the goals, activities, and timelines for transitioning to new standards and assessments.

³⁶ E.C. 52052.5(c).

³⁷ E.C.52052.5(d).

Section (C): Data Systems to Support Instruction

A major focus of the State's larger plan for education reform is creating a cycle of continuous improvement at every level of the system, ranging from instruction and program design to governance and policy evaluation. Of all the reform components described in this proposal, perhaps none are more critical to informing broad-based continuous improvement strategies as the development and use of both state and local education data systems. To this end, in this section we describe our approach to building out our current data system—both at the state level and in local districts. First, we describe the current structure of our statewide longitudinal data system as well as our plans for filling any remaining holes. Next we describe our plans for making this statewide system more accessible. Finally, we discuss our approach to ensuring participating LEAs have and use effective local instructional data systems, all with the goal of improving instruction and student achievement. (For an overview of our goals, activities, timelines, and responsible parties, please see Appendix C, page 355.)

(C)(1) Fully Implementing a Statewide Longitudinal Data System

The State has made major progress in implementing a statewide longitudinal data system that fully responds to California's needs and to recommendations from several reports conducted by the State and independent agencies to address this question. The State is currently collecting data for the first year of full implementation of the California Longitudinal Pupil Achievement Data System (CALPADS), a statewide longitudinal data system for tracking individual students. Additionally, the California Longitudinal Teacher Integrated Data Education System (CALTIDES), which coordinates teacher authorization and teacher preparation data, will launch statewide at the beginning of the 2011-12 school year.

Recent legislation introduced further plans to strengthen these data systems. Specifically, legislatively-mandated committees are currently developing recommendations for the development of a comprehensive, longitudinal, pre-K through workforce education data system in California.³⁸ Additionally in the fall of 2009, as a direct result of our strong desire to be competitive for Race to the Top (RTTT) funds, California enacted important legislation removing any barriers to linking student and teacher data for purposes of tying teacher

³⁸ E.C. 10800.

performance to student growth.³⁹ California further enhanced its longitudinal database capability when the State enacted special RTTT session legislation in January 2010 authorizing the coordination and sharing of data between pre-Kindergarten, K-12, higher education and employment agencies.⁴⁰

To further build out our data systems, California submitted a grant application for funding consideration in December 2009 under the Institute of Education Sciences (IES) CFDS # 84384A to move the State substantially forward in meeting all 12 elements of the America COMPETES Act. In short, California will soon have an even stronger statewide data system with vast potential to inform a broad array of education policies and practices at the state and local levels.

Exhibit 11 outlines the 12 elements of the America COMPETES Act and notes which elements already exist, which elements will be completed with the acquisition of the pending IES grant, and which elements the State will develop as required under the State Fiscal Stabilization Fund (SFSF).

³⁹ E.C. 10601.5.

⁴⁰ SBX5 1; E.C. 10807. Specifically, the law notes that the University of California, the California State University, the Chancellor of the California Community Colleges, the Commission on Teacher Credentialing, the Employment Development Department, and the California School Information Services may enter into interagency agreements in order to, among other things, facilitate the implementation of a comprehensive longitudinal education data system.

Exhibit 11: California’s Status Regarding the America COMPETES Act

America COMPETES Act Elements	Currently in Place	California's Status	Addressed through SFSF	IES SLDS Grants
With respect to preschool through grade 12 education and postsecondary education:				
1. A unique statewide student identifier (SSID).	N	This element (SSID) is in place for K-12 and pre-K programs that are connected with LEAs. Postsecondary currently uses a different identifier.	Y	Enhance
2. Student-level enrollment, demographic, and program participation information.	N	This element in place for K-12 and for postsecondary but they are not linked yet; does not exist for pre-K.	Y	Enhance
3. Student-level information about exit, transfer in, transfer out, drop out, or program completion.	N	We have exit status for K-12 and for postsecondary but they are not linked yet; does not exist for pre-K.	Y	Enhance
4. The capacity to communicate with higher education data systems.	N	Some postsecondary institutions are collecting the SSID thereby increasing the validity of a match process between K-12 and postsecondary records.	Y	Develop
5. Audit system assessing data quality, validity, and reliability.	N	We need to enhance the State's monitoring process to include verification of selected data submitted via CALPADS.	Y	Enhance
With respect to preschool through grade 12 education:				
6. Yearly test records of individual students.	Y	Complete ⁴¹	N/A	N/A
7. Information on students not tested by grade and subject.	Y	Complete ⁴²	N/A	N/A
8. A teacher identifier system that can match teachers to students.	Y	Complete ⁴³	N/A	N/A
9. Student transcript information, with information on courses completed & grades earned.	N	CALPADS is designed to collect these data; the system will be fully capable of reporting this data in 2010-11.	Y	Enhance
10. Student-level college readiness test scores.	N	Available in only certain districts	Y	Enhance
With respect to postsecondary education:				
11. The extent students transition from secondary to postsecondary education.	N	Now voluntary under Cal-PASS; IES funding would design functionality to make this possible	Y	Enhance
12. Other information necessary to address alignment and adequate preparation for success in postsecondary education.	N	IES proposal would build functionality to link postsecondary and workforce data and provide advanced training on data use to impact continuous learning.	Y	Enhance

⁴¹ E.C. 10601; California Department of Education. *California longitudinal pupil achievement data system (CALPADS)* Web site. (<http://www.cde.ca.gov/ds/sp/cl/>) (see Appendix C, page 346).

⁴² State of California State Application Accountability Workbook 8th Submission. September 4, 2009. Pages 57-59. (see Appendix C, page 348).

⁴³ California Department of Education. (2009). *CALPADS Data Guide: A Guide for Program Staff*. Sacramento, CA: Author. (see Appendix C, page 351).

(C)(2) Accessing and Using State Data

The power of even the highest quality data to inform and improve education policy and governance as well as instruction is directly related to how accessible and relevant it is to the broad range of key stakeholders who can potentially benefit from the information the data can provide. This section describes components of a high-quality plan to ensure that the longitudinal data systems described above both contain the necessary data elements and are fully accessible and useful to participating LEAs as well as a broad range of other education stakeholders. This plan includes collecting the right data, making them accessible to the appropriate people in the right timeframe, and developing a culture of inquiry to support continuous education improvement.

Our foundation

In this area, California has built a basic system that provides key state data for stakeholders as well as professional development centered on the use of data.

First, California has a solid base of publicly-available datasets on the CDE's Web site which include the California Basic Education Data System (CBEDS), containing information on student and staff demographics; the Standardized Account Code Structure (SACS), containing revenue and expenditure information for all LEAs; the Standardized Testing and Reporting Program (STAR), which includes annual student achievement testing data for each school and LEA; and the California High School Exit Exam (CAHSEE), which collects data on student pass rates. Each dataset is accompanied online by detailed handbooks as well as by customized public reports. In addition, there are customized, public reports through the CDE's DataQuest system (<http://dq.cde.ca.gov/dataquest/>) and the Ed-Data Web site (<http://www.ed-data.k12.ca.us/>).

Second, to help educators better use these data, the State's Mathematics and Reading Professional Development Program (MRPDP) (also discussed in Section (B)(2) and (D)(5)), has more recently created a new professional development module on data analysis and the use of data to improve instruction and student outcomes. This new program provides 40 hours of professional development in data use and management.

Finally, an important milestone for ensuring access to State education data was realized when, in January 2010, the Governor signed legislation authorizing the CDE, to the extent

permissible under FERPA and specified state law, to coordinate the use of student data for research purposes.⁴⁴ This law requires the CDE to establish an education data team to act as an institutional review board (IRB) to review and respond to all requests for student data.

Despite this solid foundation, California has not fully leveraged the utility of the State data for the broad range of stakeholders who could benefit from its use. To promote continuous education improvement, it is essential that data are easily accessed and that mechanisms are in place to enable key stakeholders to use the data in informational, as well as analytical, forms.

Goal: Ensure the data elements in the statewide longitudinal system reflect needs of stakeholders

Strategies

Expand the data elements in the State’s longitudinal data system. As Exhibit 11 above demonstrated, the pending IES funding will allow California to finalize its comprehensive longitudinal statewide P-20 data system by 2012. If we do not receive IES funding to expand our current statewide data system, RTTT funds will be used to support the full implementation of such a data system that would have been done under IES.

We will also use the RTTT funds to supplement the longitudinal data system with elements from participating LEAs that are useful to practitioners and researchers. To determine the specific data elements to be added to the longitudinal system, the State will collaborate with participating LEAs to ensure the additional data collections are useful to the LEAs themselves. Potential data elements to be collected could include student and teacher absences, career technical education (CTE)/multiple pathways information, and/or student ACT/SAT scores. Examples of the elements around CTE/multiple pathways variables could include the number of:

- career technical courses aligned to the State Board of Education (SBE) standards that are completed by students at a comprehensive high school;
- career technical courses aligned to the SBE-adopted career technical education standards completed by students at a regional occupational center or program;
- students awarded a certificate/license/equivalent from a CTE/multiple pathway programs;
- students who participate in work experience, internships, or other out-of-classroom experience in an identified career technical education pathway;

⁴⁴ SBX5 2; California Civil Code Section 1798.24.

- students who pass three or more career technical courses (aligned to the SBE-adopted career technical education standards) for a single career pathway; and
- career technical pathway programs operating in the LEA that have community or business advisory committees that meet at least two times each school year.

Goal: Ensure that the State’s data system is fully accessible and highly useful to participating LEAs as well as a broad range of education stakeholders

Strategies

Create a single data portal with clear communication and presentation of all state data.

While the collection of the above-listed data is key, equally as important is ensuring ease of access to the education data. To this end, the State will invest in a “one-stop shop” online data portal housed by the CDE to be developed by 2013, designed to ensure that the different education datasets, education data collections, and education data reports collected by the State are listed in one central location for ease of use.

To ensure the site serves the needs of users, the State will conduct an assessment of the information needs and interests of participating LEAs as well as other relevant stakeholders. This portal will contain data reports; individual snapshots of schools, districts, and counties; tables presenting comparative data, (e.g. comparing all schools or districts in a given county or region in a single location); and downloadable files that can be independently analyzed.

To ensure that these data are highly useful, it is essential that they be timely and accurate, which relates to local access and use. The more LEAs see the data submitted to the State as fully accessible in a form they can use for local analyses and decision making, the more they are likely to be invested in reporting data that are accurate and timely. This moves the State and districts away from a more traditional “data request-data report” relationship to true partners with a mutual interest in the acquisition and use of top-quality data.

To assess whether the State is on track for meeting these key activities in Section (C)(2), we set specific performance measures on which to benchmark our performance (see Exhibit 12).

Exhibit 12: Performance Measures for (C)(2)

	Actual Data: Baseline (Current school year)	End of SY 2010-2011	End of SY 2011-2012	End of SY 2012-2013	End of SY 2013-2014
Collect new data elements from participating LEAs not currently in the longitudinal system	Not currently in place	25% of new data elements collected by the State	50% of new data elements collected by the State	75% of new data elements collected by the State	100% of new data elements collected by the State
Create a single state data portal	Not currently in place	Work initiated	33% of State data linked to portal	66% of State data linked to portal	100% of State data linked to portal

(C)(3) Using Data to Improve Instruction

A key component in realizing a State vision of ongoing continuous improvement is the use of an instructional improvement system at the local level. It is these local systems that will provide teachers, principals, and administrators the “real time” information they need to inform and improve their instructional practices, decision-making, and overall effectiveness on an ongoing basis. These local systems are vital to the fine-grained analyses at the student, classroom, school, and sub-population level that allow formative evaluation and interim assessment to occur on a regular basis throughout the year.

Our foundation

Many California school districts have maintained and used local instructional improvement systems for some time. A number of these districts have strong histories of successfully using these local data to inform decision making at the classroom, school, and district levels. As just one example, a key factor cited regarding Long Beach Unified School District’s selection as a top-five finalist for the Broad Prize for Excellence in Urban Education in 2009 was “continuous improvement that is fueled by extensive student data analysis and comprehensive evaluation of progress.”^{45,46} Indeed, U.S. Secretary of Education Duncan hailed the data efforts of Long Beach

⁴⁵ The Broad Foundation. (2009). *The broad prize for education: Long Beach unified school district profile*. Los Angeles, CA: Author. Retrieved from: <http://www.broadprize.org/asset/1334-tbp2009factsheetlong%20beach.pdf>.

⁴⁶ Long Beach Unified School District is also a participating LEA for our RTTT application.

Unified while discussing the importance of data in RTTT, noting, “In Long Beach, teachers see benchmark assessments, attendance and behavior. . . . We need more and more districts using this kind of technology to help them improve.”⁴⁷

However, there is a considerable range in both the quality of these local systems and in districts’ ability to use these systems effectively. Additionally it has sometimes been difficult for parents and other key education stakeholders to gain access to education data. For instance, the Governor’s Committee on Education Excellence Report notes that “too much of the data collected . . . are inaccessible to most parents, students, teachers, and even researchers.”⁴⁸

More sophisticated, linked, and complete data systems will fall short of their potential to inform policy without a supportive culture regarding the importance of data access as an integral underlying condition for data-driven decision making and policy analysis at all levels of governance. Important progress was made in this regard when a special RTTT legislative session called specifically for California’s RTTT effort enacted legislation in January 2010, enabling independent researchers and community organizations to access data, overseen by a state-level IRB process, that will help to better address questions about student performance while protecting the privacy of students.

Goal: Ensure that schools use local instructional improvement systems. (C)(3)(i)

Strategies

Assist LEAs in assessing needs regarding local instructional improvement systems.

Participating LEAs agreed to use formative assessments aligned to State standards, as part of the MOU. (In order to assist LEAs with this, as described in Section (B)(2), the State will work to release state assessment items from which LEAs could draw to create standards-aligned formative assessments.) This data would be housed in a local instructional improvement system with the goal of allowing this data to drive instructional changes and inform decision-making at the district level. Therefore, participating LEAs without local instructional improvement systems in place will be required under RTTT to implement such a system themselves (or participate in a consortium to share such a system) by the 2011-12 school year. To accomplish this, many LEAs

⁴⁷ Duncan, A. (2009, June). “Robust data gives us the roadmap to reform.” Address by the Secretary of Education to the fourth annual Institute of Education Sciences research conference, Washington, DC.

⁴⁸ Governor’s Committee on Education Excellence. (2007). *Students first: Renewing hope for California’s future*. Sacramento, CA: Author. Retrieved December 23, 2009, from: <http://www.everychildprepared.org/docs/7data.pdf>.

will need assistance in assessing their options. In addition, these LEAs as well as others will likely need assistance regarding how to fully use such systems to enhance instructional improvement and to provide professional development regarding their use. To this end, by 2011 the State, building off of the previous work done by the California Learning Resource Network (CLRN), will provide a “Consumer Reports”-like guide to local instructional improvement systems in order to enable participating LEAs to make informed choices about what data system will work best for their needs.

Goal: Ensure participating LEAs, principals, and teachers receive support and professional development on effective data use (C)(3)(ii)

Strategies

Coordinate professional learning communities (PLCs) on data use to inform instruction. As discussed in Section (A)(2), the State will coordinate and support PLCs for participating LEAs to continuously learn from each other on how to use and discuss data to ultimately inform instructional improvements. The regional system of support will coordinate regional PLCs over the span of the RTTT grant to share information and develop tools useful for schools, LEAs, school boards, and counties to better understand and use data. The PLCs will further strengthen our regional system of support to ensure there is adequate help for LEAs around data use.

Produce professional development modules in collaboration with participating LEAs. Professional development is clearly vital in helping LEAs use data to improve instruction. To provide efficient and effective professional development on using local instructional improvement systems, we will enhance training modules that can be used across the full range of participating districts. While the modules will be enhanced by winter 2010, these modules will be evaluated and continually refined through ongoing collaboration with LEAs, in keeping with the overall guiding principal of continuous improvement.

Extend the Brokers of Expertise portal to include more examples of effective local practice. Brokers of Expertise, described in Section (A)(2), provides valuable information for local practitioners. The State will, in collaboration with participating LEAs and practitioners, add a focus on the use of data to inform instruction, in order for the online portal to become a place

where practitioners can see and learn from others' effective local practices regarding data use as a valuable resource for professional development.

Goal: Ensure data from local instructional improvement systems along with state data are available and accessible to researchers. (C)(3)(iii).

Strategies

Develop and implement state-level process to ensure public education data is fully available to the extent allowed under law. In the spirit of fostering full transparency as well as ongoing inquiry in regard to enhancing performance and best practice, the State will substantially broaden access to state-level public education data while continuing to protect the confidentiality of individuals. These data will be made publicly available, to the extent allowed by law, so they can be fully and easily accessed by education researchers and others with education research interests including parents, students, teachers, principals, LEA leaders, community members, unions, researchers, and policymakers.

For data beyond what can be generally made available to the public, as described above, the State will develop an application process to allow selective access. By July 2010, a state-level panel will be appointed to serve as an institutional review board (IRB) to review such requests with the power to grant access to approved applicants.⁴⁹ Applications will be evaluated based on the credentials of the applicants, the purpose proposed for data use, past performance in regard to state data use, and the perceived importance of the proposed investigation. Reports produced from these analyses will be reviewed by this same panel to ensure that extant confidentiality provisions have been observed.

Just as the State outlines its process, participating LEAs have also agreed, as part of the MOU, to make data from instructional improvement systems available to researchers pending similar research requests that go through local approval to ensure the protection of student and employee rights to privacy.

To assess whether the State is on track for meeting key goals and activities in this section, we set specific performance measures on which to benchmark our performance (see Exhibit 13).

⁴⁹ SBX5 1; SBX5 2; California Civil Code section 1798.24.

Exhibit 13: Performance Measures for (C)(3)

	Actual Data: Baseline (Current school year)	End of SY 2010- 2011	End of SY 2011- 2012	End of SY 2012- 2013	End of SY 2013-2014
Participating LEAs have an instructional improvement system in place (or participate in a shared system with other LEAs)	Unknown	50%	100%	100%	100%
Teachers use data in their practice to change instruction (as measured by survey from the RTTT evaluation)	Unknown	33%	40%	50%	66%
State IRB panel turns around data request within 60 days	N/A: Not currently in place	50% of the time	65% of the time	75% of the time	90% of the time

Section (D): Great Teachers and Leaders

No educational reform can succeed without effective teachers and administrators at its core. California has in place an extensive nationally recognized teacher development system and has also taken significant steps toward developing a similar principal development system. Greater focus on student achievement, coordination of programs, and attention to key gaps will enhance California's strong system of support for teachers and especially benefit our less-developed principal support systems. Strategies we plan include:

High-quality pathways. In order to address persistent teacher and principal shortages, California has developed a robust system of multiple routes to certification that has won national acclaim. Methods for identifying, evaluating, and rectifying areas of teacher shortage—particularly Science, Technology, Engineering, and Mathematics (STEM) and Career Technical Education (CTE)—will be strengthened in tandem with innovative approaches to abating principal shortages, especially in our highest-need schools.

Improving effectiveness based on performance. To begin reorienting our systems for teacher and principal evaluation to emphasize effectiveness, we will shift to a student growth model for state accountability. Measures of student growth will then become a substantial element in evaluating teacher effectiveness through a state collaboration with LEAs to revamp teacher and principal evaluation systems. At the state level, we will develop evaluation models, develop training on conducting evaluations, and develop online resources for the new state models and materials. LEAs will also be encouraged to develop their own models, following defined criteria.

Ensuring equitable distribution. Working with participating LEAs and technical advisors from inside and outside the system, California will develop a state-level definition of teacher effectiveness based on the growth of student achievement and other measures. We will rethink our systems for examining teacher and principal distribution using the effectiveness measure, then strengthen programs to place effective teachers and leaders in hard-to-staff schools, subjects, and specialty areas.

Ensuring effectiveness of preparation programs. Utilizing teacher and administrator candidate performance information and graduate effectiveness data linked back to preparation programs will enable the public, districts, IHEs, and the State to better monitor the effectiveness

of different preparation programs and pathways. We will ensure that these assessment results are reported to stakeholders in accessible and clear reports and built into the state accreditation process. As part of our RTTT efforts, institutions of higher education (IHEs) have already committed in an MOU to using these data to expand successful programs and revise those that are shown to be ineffective.

Providing effective support. We intend to continue supporting our exemplary teacher induction program and examine ways to move towards a cohesive system of principal induction. To support ongoing professional development, LEAs will be encouraged to use performance data to target professional development, and the State's regional system of support will assist LEAs in recasting their training and support in this way. That same support system will also assist LEAs in identifying specific professional development programs in critical areas such as use of data to inform instructional practices, early literacy, approaches to support STEM subjects (including Algebra I), and strategies to increase high school graduation rates. Data systems will also be strengthened to track participation and inform the evaluation of professional development offerings. Finally, given that some of the hardest work will be done in turning around persistently low-achieving schools, we will strategically invest RTTT funds in an intensive program to support school turnaround leaders. We will evaluate and learn from this effort to further strengthen our supports for principals.

(D)(1) Providing High-Quality Pathways for Aspiring Teachers and Principals

As described below, California has in place a robust system of multiple routes to certification, enabled by existing legislation, statutes, and regulations. Also in place are numerous methods for identifying, evaluating, and rectifying areas of teacher shortage. Systems for monitoring the status of principals are less developed. Under RTTT, we will work to strengthen the pieces, for teachers and especially for principals, and pull them together into a cohesive system.

Alternative routes to certification for teachers and principals (D)(1)(i) & (D)(1)(ii)

Since the Teacher Education and Internship Act of 1967, California has had a long, successful history of supporting alternative routes for the preparation and certification of teachers

and principals, and currently has almost 70 teacher and 40 administrator intern programs.⁵⁰ The State’s alternative pathways, which include options such as exam routes, derive from education reform policies that are based on three fundamental and interrelated mechanisms promoting innovation and accountability: (1) participant choice, ensuring multiple pathways for talented, dedicated individuals to demonstrate or receive rigorous preparation and earn certification;⁵¹ (2) local control, supporting counties, school districts, and private entities to develop preparation and certification activities and programs to meet local needs;⁵² and (3) high standards, requiring regulatory oversight to ensure that all programs are rigorous and every credentialed individual is prepared to be an effective educator.⁵³ As a result, California currently has multiple program types with numerous providers, each of which meets all or most of the five required elements of the definition for “alternative routes to certification.” Additionally, California enacted RTTT legislation in January, 2010 that authorized a new pathway⁵⁴—the STEM and CTE Educator Credentialing Program—to provide pre-service training to teachers in fields that are critical to the State’s future. Authorized providers for this new pathway include community-based organizations and nongovernmental organizations, as well as the public education entities that are authorized as providers for other alternative routes.

Teacher internship programs have grown tremendously over the last several years; the number of interns has increased by over 400 percent (from 1,471 in 1995-96 to 7,962 in 2008-09).⁵⁵ At this time, California is one of only three states designated by the National Center for Alternative Certification as having the “most prolific alternate routes.”⁵⁶ An overview of all alternative options with additional details and evidence of accomplishment is provided in Appendix D, page 375.

⁵⁰ California has a two-tiered credentialing system for teachers and administrators. A preliminary Level I credential is awarded after completion of a traditional IHE-based preparation program or approved alternative pathway. Preliminary credential holders can then progress to a clear credential (or Level II) after meeting employment requirements and completing an approved Level II program. See Appendix D, starting on page 357 for more information.

⁵¹ Corresponding to elements (a) and (d) of the RTTT definition of “alternative routes to certification.”

⁵² Corresponding to element (a) of the RTTT definition of “alternative routes to certification.”

⁵³ Corresponding to elements (b) (c) and (e) of the RTTT definition of “alternative routes to certification.”

⁵⁴ E.C. 44227.2.

⁵⁵ California Commission on Teacher Credentialing. (2009, December). Update on funded teacher development programs. Retrieved November 4, 2009, from <http://www.ctc.ca.gov/commission/agendas/2009-12/2009-12-3D.pdf>.

⁵⁶ National Center for Alternative Certification. (2007). *Alternative teacher certification: A state-by-state analysis*. Washington, DC: Author. Retrieved on November 9, 2009, from <http://www.teach-now.org/overview.cfm>.

Process for monitoring and addressing areas of teacher and principal shortage (D)(1)(iii)

Teachers. The State has several mechanisms for monitoring the teacher labor market, and actively uses information from those efforts to address inequitable distribution and help fill shortages. First, the State has benefited from a public partnership with the Center for the Future of Teaching and Learning (a public, non-profit, non-partisan organization with philanthropic support) to comprehensively track and report on the State’s teaching workforce on an annual basis. In 1998, the Center first publicized the concentration of under-prepared teachers (those without full credentials to teach) in the State’s lowest-performing schools with the highest numbers of poor, minority, and English learner students. With such efforts informing decision making and galvanizing unprecedented attention on the teacher workforce, in less than 10 years the number of under-prepared teachers dropped from over 40,000 (approximately 20 percent of the workforce) to just under 11,000 (approximately 3 percent of the workforce).^{57,58} These changes followed implementation of an array of policies and programs aimed at ensuring the equitable distribution of teaching resources⁵⁹ (current programs are discussed in more detail in (D)(3)(ii) and in Appendix D, page 387).

At the same time, two annual reports, from the California Department of Education (CDE) and the Commission on Teacher Credentialing (CTC), track complementary information about the current and incoming supply of teachers, focusing specifically on shortage fields and specialty areas.⁶⁰ To address these shortages, the CTC has developed a comprehensive set of teacher development programs that are designed to meet the demand for high need fields and specialty areas. The California Community Colleges (CCC), University of California (UC) and California State University (CSU) systems have programs that aim to increase the number of

⁵⁷ Woodworth, K., Bland, J., Guha, R., Shields, P., Wechsler, M., Tiffany-Morales, J., & Tse, V. (2009). *The status of the teaching profession 2009: Full report*. Santa Cruz, CA: The Center for the Future of Teaching and Learning.

⁵⁸ The Center has submitted a RTTT letter of support indicating that they will continue and expand this work.

⁵⁹ Esch, C. E., Chang-Ross, C. M., Guha, R., Humphrey, D. C., Shields, P. M., Tiffany-Morales, J. D., Wechsler, M. E., and Woodworth, K. R. (2005). *The status of the teaching profession 2005*. Santa Cruz, CA: The Center for the Future of Teaching and Learning.

⁶⁰ The annual *California Department of Education Teacher Shortage Report* specifically tracks the teaching fields that have the most critical shortage of teachers, among other issues. In addition, the CTC’s *Annual Report Card on California Teacher Preparation Programs*, required by Title II of the 1998 Reauthorization of the Higher Education Act, annually reports on the number of teacher credentials, permits and waivers issued by the Commission by specialty area. The 2007-08 report was the ninth of its kind, tracking state progress in reducing the number of permits and waivers issued by the state.

teachers trained in mathematics and science in California with the support of public and private partners. Moreover, in recent years the State has made several efforts to streamline the credentialing process, in an effort to encourage more individuals to consider entering the profession in general and specifically in CTE and special education (discussed in more detail in (D)(3)(ii) and in Appendix D, page 387).

Principals. Because of historical data limitations about school leaders at the state level (which CALTIDES will address to a large degree), efforts to monitor, evaluate, and identify areas of principal shortage have not been as extensive or institutionalized as those for teachers. Nevertheless, strong public-private partnerships provide information about the labor market for school leaders, and these efforts are currently being expanded. An example of such a partnership is the work of Ed Source, which was established as an independent, nonpartisan, not-for-profit organization focused on public school improvement and has studied administrator data, reported on potential principal shortages, and highlighted obstacles to principal recruitment and retention through these reports.⁶¹ Also, two newer partnerships have recently begun to track leadership issues. First, in 2008, the Center for the Future of Teaching and Learning, building on its success in tracking the teacher workforce, established the Education Leadership and California's Future Initiative to extend its interests to school leaders.⁶² CFTL is also represented in the statewide Integrated Leadership Development Initiative (ILDI), a consortium of the CDE, CTC, county offices of education, public and private universities, the Association of California School Administrators, and the California Comprehensive Center and Regional Education Laboratory at WestEd. Meanwhile, the State has established two significant UC-based programs to prepare principals to serve in high need schools (see Appendix D, page 388).

⁶¹ For example, a 2007 report studied the demographic characteristics of California's principal and superintendent workforce and the varied responsibilities associated with their work. (EdSource. (2007). *Superintendents and principals: Charting the paths to school improvement*. Mountain View, CA: Author.) An earlier report described the changing nature of school administrative responsibilities and examined patterns in the number of applicants for administrative positions. (EdSource. (2001). *Help wanted: Top administrators to lead California schools*. Mountain View, CA: Author.)

⁶² See, for example, Center for the Future of Teaching and Learning. (2009). *Strengthening California's system for preparing and supporting principals: Lessons from exemplary programs*. Santa Cruz, CA: Author.

(D)(2) Improving Teacher and Principal Effectiveness Based On Performance

California recognizes the need to restructure and reorient its systems for teacher and principal evaluation. Current evaluation practices that can too often be perfunctory need revamping to emphasize effectiveness in improving student achievement. Participating LEAs recognize the shortcomings of the status quo and have made significant and unprecedented commitments to reforming teacher and principal evaluation practices in their RTTT MOUs. Our plan's starting place is to shift the State's accountability model to a student growth model. The State will facilitate a collaborative process with teacher unions, other state-level education management organizations, and participating LEAs to design model teacher and principal evaluations that are rooted in student performance and that use multiple measures to determine effectiveness, including peer review as appropriate. LEAs can elect to use these state models at the local level or develop their own, using defined criteria rooted in the RTTT MOUs. The State will also contract with experts to develop tools to help LEAs implement the models created at the state level, by developing training and online resources for the new state models and materials. Throughout, this work will be documented and evaluated so that we can refine and improve it along the way.

Our foundation

To support teacher and leader evaluation, state law already requires the use of student achievement data in evaluation⁶³ and recent legislation clarified that student growth data that is associated with individual teachers and principals can be used in teacher and principal evaluation.⁶⁴ Current law also encourages the use of alternative compensation at the local level “that reward[s] teaching excellence, exceptional achievement or the assumption of additional educational responsibilities.”⁶⁵

Many LEAs in the State have adapted the California Standards for the Teaching Profession (CSTP) for use in teacher evaluation and some districts have made strides toward standards-based evaluation for principals using the California Professional Standards for Education Leaders (CPSELS). For teachers, California has a system of peer review called, Peer Assistance

⁶³ E.C. 446660–44665.

⁶⁴ See description of E.C. 10601.5 in Eligibility Priority B.

⁶⁵ E.C. 44667.

and Review (PAR), which was established in 1999 to pay master teachers to help their colleagues overcome unsatisfactory ratings on their personnel evaluations by improving their instructional practices. In addition, Los Angeles Unified School District—the largest district in the State and a participating LEA—created a Teacher Effectiveness Task Force in June 2009 to make recommendations to improve teacher personnel practices in the district. Several other districts⁶⁶ in the State are already using student growth to inform teacher evaluations using value-added models and a consortium of charter schools,⁶⁷ all participating in RTTT, recently received a \$60 million grant from the Bill and Melinda Gates Foundation to participate in a study related to measuring teacher effectiveness. Descriptions of related laws, programs, and activities are presented in Appendix D, page 384.

Teacher evaluation practices. Notwithstanding these key foundational elements that are in place, findings from a 2007 Center for the Future of Teaching and Learning study in a representative sample of schools in the state suggest weaknesses in California’s typical teacher evaluation process. In fact, the practices described in the study report were not unlike some of those described in the New Teacher Project’s recent report *The Widget Effect*.⁶⁸ Data from the study suggest that administrators and teachers alike are skeptical of the quality of the data that are collected through classroom observations typically used in performance reviews, largely because of the prevalent use of announced visits to the classroom, which in their view undermined the ability of the evaluators to observe “typical” practice. Infrequency of the observations was also a reported shortcoming of the evaluations—in many districts the study found that observations took place just once a year.⁶⁹

The study also found that the evaluations overemphasize teachers’ classroom management skills and underemphasize student outcome data. Moreover, findings indicated limited use of the information that emerged from the evaluation process: After teachers become tenured, evaluations become “more of a recordkeeping process than one that is tied to improving teaching

⁶⁶ For example Baldwin Park, San Gabriel, and Vista Unified school districts.

⁶⁷ A consortium of Los Angeles-area charter schools won a \$60-million grant to develop a new teacher evaluation system based at least partly on student test scores. The funded charter management organizations, which all serve low-income minority communities, are Alliance for College-Ready Public Schools, Green Dot Public Schools, ICEF Public Schools, PUC Schools and Aspire Public Schools.

⁶⁸ Weisberg, D., Sexton, S., Mulhern, J., & Keeling, D. (2009). *The widget effect: Our national failure to acknowledge and act on differences in teacher effectiveness*. Brooklyn, NY: The New Teacher Project.

⁶⁹ Wechsler, M., Tiffany-Morales, J., Campbell, A., Humphrey, D., Kim, D., Shields, P., & Wang, H. (2007). *The status of the teaching profession 2007*. Santa Cruz, CA: The Center for the Future of Teaching and Learning.

practice.”⁷⁰ A similar study of LAUSD, released in November 2009 by the New Teacher Project, found that teacher evaluation in the State’s largest district is unproductive and uniform (“almost all teachers are rated as meeting expectations”), professional development is ineffective, consistently poor-performing teachers are rarely provided remediation or dismissed, and observations typically last for less than 30 minutes.⁷¹

Further, even though the State has in place a model for peer evaluation that has been authorized since 1999, implementation of that program is uneven. According to the CFTL study, very few teachers were participating in PAR programs in part because few receive an overall unsatisfactory performance review.⁷²

Principal evaluation practices. On the other hand, principal evaluation practices have not been systematically documented. Anecdotally, these practices form an inconsistent picture. While some innovative districts have principal evaluation systems that are aligned with California’s leadership standards (CPSELs), it is unknown if or how principals are evaluated in other districts.⁷³

Goal: Develop and implement teacher and principal evaluation based in significant part on growth in student achievement

Ensuring that our most challenging schools are staffed with effective teachers and school leaders is a fundamental step for closing achievement gaps. Under this plan, we have asked participating LEAs to collaborate with the State to reform teacher and principal evaluation in order to strengthen instruction and manage talent. For teacher evaluation, we can build on an existing foundation of state and local practices, but current law and programs must be reinvigorated to be viable parts of a dramatically different teacher evaluation approach. For principal evaluation, systems in most districts likely need to be built from scratch.

⁷⁰ Wechsler, M., Tiffany-Morales, J., Campbell, A., Humphrey, D., Kim, D., Shields, P., & Wang, H. (2007). *The status of the teaching profession 2007*. Santa Cruz, CA: The Center for the Future of Teaching and Learning. (See page 55).

⁷¹ The New Teacher Project. (2009). *Teacher hiring, transfer, & evaluation in Los Angeles unified school district*. Brooklyn, NY: Author. Retrieved December 23, 2009, from: http://www.tntp.org/publications/other_publications.html#losangeles.

⁷² Wechsler, M., Tiffany-Morales, J., Campbell, A., Humphrey, D., Kim, D., Shields, P., & Wang, H. (2007). *The status of the teaching profession 2007*. Santa Cruz, CA: The Center for the Future of Teaching and Learning.

⁷³ See Appendix (D)(2) for more information about these district efforts.

Strategies

Develop a new accountability model that measures individual achievement growth of students each year (D)(2)(i). California's current public school accountability system is based on a static model that compares snapshots of individual school and school district academic performance by grade level. The State calculates whether schools have met growth targets by comparing the difference in achievement from one year to the next of different cohorts of pupils. In October 2009, the Legislature laid the groundwork for a shift to a student growth accountability model by requiring the development of a methodology for more accurately measuring academic growth for schools and districts to determine both individual student achievement and growth toward proficiency.

Drawing on extensive research begun in 2004-05 by the CDE, in partnership with Educational Testing Service (ETS), we propose the following timeline for implementing a student growth accountability model:

- Early 2010: Initial development, doing simulations using 2007-08 and 2008-09 data to develop options for growth targets and evaluate statistical techniques
- Late 2010: Report results of a pilot model using 2009-10 assessment data
- 2010-2011: Implementation of final growth model for RTTT schools and LEAs; accountability determinations reported in Fall 2011

With funding from RTTT, the scope of work of this advisory committee—called the Student Growth Technical Work Group—will be expanded to consider the issues related to using student growth in teacher and principal evaluations. The Work Group will include technical experts from the state test contractor, the CDE Technical Advisory Committee, and representatives from the State Board of Education (SBE).

Develop voluntary state models for evaluating teachers and principals (D)(2)(ii). The State will convene an Evaluation Advisory Group that will make recommendations for models for teacher and principal evaluations, and related issues, which LEAs can choose to adopt. In addition to representatives of the CDE, the SBE, and the Office of the Secretary of Education (OSE), the Advisory Group will include expert teachers, principals, and district supervisors with experience in evaluations to ensure that the models are informed by local practices and perspectives. Representatives from the California Teachers Association, the California Federation of Teachers, and the education management associations will be included as their

input is critical to developing an evaluation approach with the credibility and support needed for implementation.

The Evaluation Advisory Group will draw upon technical advice from experts in teacher and principal evaluation methodologies and from measurement experts who are developing the student growth accountability model. For example, they will consult with these experts to examine ways to combine multiple measures of state and local student-achievement data into the evaluations.

The Evaluation Advisory Group will be convened in April or May 2010 (or as soon as the RTTT award is made), and by August 2010, the group will produce a report that proposes: (1) guidelines for a minimum of two evaluation models each, for teachers and principals (2) requirements and guidelines for determining whether LEA evaluation systems are qualifying under RTTT MOUs and the State plan and (3) recommendations related to evaluator training and (4) for purposes of monitoring equitable distribution, propose an approach to defining effectiveness for teachers and principals and ensuring consistency in those definitions (see (D)(3)). The SBE will then review and approve the report in September 2010.

Encourage LEAs to develop their own teacher and principal evaluation models

(D)(2)(ii). Simultaneously, any participating LEA can choose to develop its own evaluation systems. LEAs that develop their own systems will be required to demonstrate principal and teacher involvement in the development process and that their models meet specified requirements and guidelines.

Ensure high quality with state guidelines for evaluations (D)(2)(ii), (D)(2)(iii), and (D)(2)(iv). To ensure that the evaluations developed by the Evaluation Advisory Group, as well as those that are locally developed by participating LEAs, are within the parameters of the State's plan, evaluation systems will be expected to include the following capabilities:

- Differentiate effectiveness using multiple rating categories that include student-growth data as a significant factor
- Evaluate teachers and principals on an annual basis, at a minimum
- Provide for teachers and principals being evaluated timely, constructive feedback and student-growth data that are disaggregated at student, class, and school levels

- Use these evaluations to inform decisions regarding professional development and support (including relevant coaching and induction), compensation, promotion, retention, tenure, and dismissal

We additionally expect that evaluation systems will incorporate peer evaluation, using the Peer Assistance and Review model, as appropriate (see also (D)(5)); include classroom observations conducted by trained observers (whether peers, administrators, or outside observers); and use the evaluation results to identify mentors and other support providers (see also (D)(5)). The State will work collaboratively with participating LEAs to incorporate these elements into local agreements. In addition, the State will ensure that both state and local evaluation models transparently address issues such as (1) the student achievement measures used, and how they are weighted; (2) the evaluation process and frequency of various aspects of the evaluation; (3) training and support for evaluators; (4) the process for using evaluations; and (5) issues regarding the validity and reliability of the resulting measures. (Further details to be developed by the State are included in Appendix D, page 384. Based on the recommendations of the Evaluation Advisory Committee, the SBE will adopt a complete set of guidelines for reviewing LEA evaluation models and for determining whether they are consistent with the State plan and RTTT MOUs (recognizing that local systems are subject to local bargaining agreements). The regional system of support will be charged with conducting these reviews.

Develop tools and resources to support implementation of new evaluation systems

(D)(2)(ii). After the Evaluation Advisory Group has made its recommendations (by August 2010), the CDE and CTC, in collaboration, will contract with an outside agency with expertise in personnel evaluations to implement the Advisory Group’s recommendations. The outside contractor will be charged with the design of the appropriate instruments, protocols, and other tools and information to ensure that the systems are poised to support valid and reliable evaluations. The contractor will then develop an online resource that includes:

- Validated and reliable evaluation instruments that could be used in the evaluations, such as observation protocols or rubrics for analyzing student work, scoring teacher or principal portfolios, or analyzing teacher and principal contributions to the school; and
- Technical information needed for districts to analyze student achievement growth for use in teacher and principal evaluations per the recommendations of the Student Growth Technical Work Group (in (D)(2)(i)).

The SBE will approve all materials developed and once approved the materials will be made available online. This resource center will be online by June 30, 2011.

Design professional development to support implementation of high-quality models (D)(2)(i) & (D)(2)(ii). Given that observations will be an encouraged element in both the teacher and principal evaluations, the State will use a portion of its RTTT funds to create protocols that will assist LEAs training those who will be conducting observations as part of local teacher evaluations. The Evaluation Advisory Group will be tasked with making recommendations about who may conduct the evaluations and the optimal mode of delivery for training that would ensure that observations can produce valid and reliable information about teacher effectiveness. In addition to the targeted training for those who will conduct the classroom observations, the Evaluation Advisory Group will also be charged with making specific recommendations about how existing pre-service, induction, and in-service training can be modified to ensure that all teachers and administrators develop the knowledge and skills to evaluate peers and subordinates alike in constructive and meaningful ways.

Document and study the new evaluation systems (D)(2)(ii), (D)(2)(iii), & (D)(2)(iv). The State will also fund a targeted study, using RTTT funds, to describe and understand new evaluation systems as they unfold across participating LEAs. By comparing a sample of districts that provide opportunities for both comparison and contrast, the evaluation will document the way in which LEAs are approaching teacher and principal evaluations as well as initial outcomes. Such a study will capture early learning from the implementation of new systems to inform future policies and practices.

The State and participating LEAs will begin work as soon as possible after receipt of the RTTT funds in April or May 2010; by the 2011-12 school year, all necessary resources and materials will be available to participating LEAs so that they may begin conducting teacher and principal evaluations by the 2011-12 school year.

Exhibit 14 provides an overview of the baseline data and performance measures for this work. Additionally, an outline of the goals, activities, timelines and responsible parties for this work are provided in Appendix D, page 385.

Exhibit 14: Performance Measures for Teacher/Leader Evaluation

<i>Notes: Data should be reported in a manner consistent with the definitions contained in this application package in Section II. Qualifying evaluation systems are those that meet the criteria described in (D)(2)(ii).</i>		Actual Data: Baseline	2010-2011	2011-2012	2012-2013	2013-2014
Criteria	General goals to be provided at time of application:	Baseline data and annual targets**				
(D)(2)(i)	Percentage of participating LEAs that measure student growth (as defined in this notice).	*	100	100	100	100
(D)(2)(ii)	Percentage of participating LEAs with qualifying evaluation systems for teachers.	*	*	10	85	100
(D)(2)(ii)	Percentage of participating LEAs with qualifying evaluation systems for principals.	*	*	10	85	100
(D)(2)(iv)	Percentage of participating LEAs with qualifying evaluation systems that are used to inform:					
(D)(2)(iv)(a)	• Developing teachers and principals.	*	*	10	85	100
(D)(2)(iv)(b)	• Compensating teachers and principals.	*	*	*	10	85
(D)(2)(iv)(b)	• Promoting teachers and principals.	*	*	*	10	85
(D)(2)(iv)(b)	• Retaining effective teachers and principals.	*	*	*	10	85
(D)(2)(iv)(c)	• Granting tenure and/or full certification (where applicable) to teachers and principals.	*	*	*	10	85
(D)(2)(iv)(d)	• Removing ineffective tenured and untenured teachers and principals.	*	*	*	10	85
<p>*California does not currently collect the data required for Criteria (D)(2)(i)-(D)(2)(iv)(d). However, in order to meet the requirements of the State Fiscal Stabilization Fund Data Collection and Public Reporting Plan, California has implemented a system to collect this data via the Teacher and Leader Evaluation Survey, a component of the quarterly 1512 State Fiscal Stabilization Fund (SFSF) data reporting. This data will be collected from all LEAs statewide and will be reported both publicly and to the U.S. Department of Education as required by July 30, 2010 and annually thereafter. For further details, please refer to Part 3B of the SFSF Data Collection and Public Reporting Plan, indicators (a)(1)-(a)(7).</p> <p>**Note that all targets specified are contingent on LEA collective bargaining agreements. These targets reflect ambitious yet achievable goals that are grounded in the timeline for implementation of the student growth accountability model, with 100 percent of the participating LEAs implementing in 2010-11. In order to ensure that LEAs have ample time to research, test, and fully negotiate new evaluations systems, we expect most to take a full year to plan before implementing the new evaluation systems, with the exception of a small number of LEAs that are currently engaged in these discussions and are better prepared to implement sooner. We place a priority on using the evaluation results to inform support ((D)(2)(iv)(a)) and ask for it to be done concurrently with a new evaluation system. But for LEAs to begin using the evaluations to inform personnel decisions ((D)(2)(iv)(b)-(d)), a year lag is necessary to ensure that the systems are operating as planned and producing valid, reliable information about effectiveness before high stakes decisions are made based upon their results. While our benchmarks do not reflect attainment of 100 percent for the personnel decisions (listed as items D(2)(iv)(b) – (d)), we intend to meet 100 percent in 2014-15 for those items.</p>						

Exhibit 15: Performance Measures for Teacher/Leader Evaluation

General data to be provided at time of application	
Total number of participating LEAs.	804
Total number of principals in participating LEAs.	4,801
Total number of teachers in participating LEAs.	173,919

(D)(3) Ensuring Equitable Distribution of Effective Teachers and Principals

The State, in collaboration with LEAs, will develop a definition of teacher and principal effectiveness based on multiple measures, including — in significant part — student achievement on state and local assessments. This will allow us to re-think systems for examining teacher and principal distribution using the *effectiveness* metric rather than criteria of years of experience or credentials held. Under the Race to the Top plan, we will conduct that re-examination, evaluate teacher and principal effectiveness, and strengthen our regional supports for ensuring effective teachers and leaders in hard-to-staff schools, subjects, and specialty areas.

Our foundation

The State has been tracking the equitable distribution of teachers for over a decade using available indicators (which to date have been based on “inputs” such as credentials rather than “outputs” such as effectiveness). According to the Center for the Future of Teaching and Learning (2009), students in the lowest-achieving schools (bottom quartile) are five times as likely to have a teacher without a full credential as students in the highest-achieving schools (top quartile).⁷⁴ Similarly, the Education Trust–West (2005) has spotlighted “hidden teacher spending gaps” prevalent across California, where teachers with more experience and higher credentials tend to be concentrated in more affluent schools with more White students, which in turn “drives huge funding gaps between schools—even between schools within the very same school district.”⁷⁵ Also, according to reports based on the currently available indicators for tracking the equitable distribution of leaders, there is work to be done on these issues in the State too.⁷⁶

Information about subject and specialty area (instruction of English learners and special education students) teacher shortages, using a variety of key indicators show high need in several areas. For example, data on short-term staff permits issued by subject area indicates that science,

⁷⁴ Woodworth, K., Bland, J., Guha, R., Shields, P., Wechsler, M., Tiffany-Morales, J., & Tse, V. (2009). *The status of the teaching profession 2009: Full report*. Santa Cruz, CA: The Center for the Future of Teaching and Learning.

⁷⁵ Education Trust–West. (2005). *California’s hidden teacher spending gap*. Oakland, CA: Author.

⁷⁶ Loeb, S., Bryk, A., & Hanushek, E. (2007). *Getting down to facts: School finance and governance in California*. Stanford, CA: Stanford University.

Fuller, B., Loeb, S., Arshan, N., Chen, A., & Yi, S. (2007). *California principals’ resources: Acquisition, deployment and barriers*. Stanford, CA: Institute for Research on Education Policy and Practice, Stanford University.

mathematics, and special education teachers are in short supply.⁷⁷ Other subject/specialty area indicators such as the proportion of current teachers who do not have full credentials or are placed in assignments that do not match their subject/specialty authorizations (i.e. are “out-of-field”) also suggest similar conclusions. Of particular concern are the apparent shortages of middle school algebra teachers: in 2007-08, 34 percent of these teachers were either under-prepared or were working out-of-field. These teachers collectively taught more than 81,000 students that year.⁷⁸

In response to these identified issues, the State has established an extensive system to monitor equitable distribution and subject and specialty areas shortages.

Initiatives to ensure equitable distribution. The State has implemented two major initiatives designed to move towards the goal of ensuring equitable access to highly qualified and experienced teachers and leaders for all students. The first, the Quality Education Investment Act (QEIA), is a school-level effort to attract experienced teachers and “exemplary leaders” to low performing schools. The second initiative is the district-level Compliance, Monitoring, Interventions and Sanctions (CMIS) program. The State also has passed landmark legislation giving principals the right to refuse a teacher transfer based on seniority.

Quality Education Investment Act. QEIA provides \$2.9 billion to K–12 education over a 7-year period from 2007-08 through 2013-14 to improve working conditions and student achievement in low performing schools (ranked in the first or second API decile in 2005).⁷⁹ All teachers in funded schools must be highly qualified under ESEA, and the average years of teaching experience in a funded school must meet or exceed the average years of teaching experience among all teachers at the same type of school (e.g., elementary, middle, high) in the school district. Furthermore, leaders in QEIA schools are required to meet a definition of “exemplary.”⁸⁰ (See Appendix D, page 389 for additional information.)

⁷⁷ California Commission on Teacher Credentialing. (2009, April). *Teacher supply in California: A report to the Legislature. Annual report 2007-08*. Retrieved November 4, 2009, from http://www.ctc.ca.gov/reports/TS_2007-2008_AnnualRpt.pdf.

⁷⁸ Guha, R., Shields, P., Tiffany-Morales, J., Bland, J., & Campbell, A. (2008). *California's teaching force 2008: Key issues and trends*. Santa Cruz, CA: The Center for the Future of Teaching and Learning.

⁷⁹ E.C. 52055.700.

⁸⁰ The description, which was developed expressly for the QEIA requirement is an adaptation of the state's California Professional Standards for Education Leaders (CPSEL) that participating QEIA districts can use to meet expectations. District superintendents must attest that QEIA schools have “exemplary principals,” though there is no provision for state monitoring or district reporting requirement.

Compliance, Monitoring, Interventions and Sanctions (CMIS). Districts in the CMIS program⁸¹ create a comprehensive, three-year plan to systematically address teacher qualifications, experience levels, retention, and principal experience at high poverty/low-performing schools. By March 2010, nearly half of the districts in California (460) will have written plans to address the equitable distribution of teachers and principals. The plans require LEAs to take specific actions towards equitably distributing teachers, such as instituting board policy limiting the placement of uncertified teachers at high-poverty or low-performing schools. California has received national attention as the only state to address the equitable distribution of both teachers and experienced administrators.⁸² (See Appendix D, page 389 for additional information.)

Rights for principals to refuse a transfer based on seniority. In 2006, a new law gave more control to principals in low performing schools to refuse a teacher requesting to transfer into their school based on seniority. This provision ensures that principals in these schools are not forced to accept teacher transfers that may not be the best fit in their schools and may assist in attaining goals for the equitable distribution of highly effective teachers.

Incentives for teaching in hard-to-staff schools. The State has implemented numerous programs to incentivize working in hard to staff schools through financial rewards and improved working conditions—in addition to those offered in QEIA schools, in which funding is provided to reduce class size and improve teacher working conditions. These programs include the Assumption Program of Loans for Education (APLE); the Teaching as a Priority Block Grant; National Board for Professional Teaching Standards Certification (NBPTS) Incentive Program; and the Certificated Staff Mentoring Program. All descriptions are presented in Appendix D, page 387.

Initiatives to ensure qualified teachers in hard to staff subjects and specialty areas. Monitoring shortages in subjects and specialty areas. LEAs in the CMIS program collect and review data on teacher assignments, by evaluating out-of-field placements (course assignments of teachers relative to their subject matter competence areas as measured by their undergraduate major or minor, Master's degree, and/or subject matter content tests). These state-initiated efforts

⁸¹ Districts that do not meet Title II Highly Qualified Teacher and AYP targets as described in the ESEA are required to participate in the CMIS program.

⁸² Imazeki, J. & Goe, L. (2009). *The distribution of highly-qualified, experienced teachers: Challenges and opportunities*. San Diego, CA: San Diego State University.

are complemented by more intensive county monitoring of teacher’s credentials in low performing schools and those with challenges in these areas. Specifically, county superintendents annually monitor and review schools ranked in API deciles 1–3 as well as schools and districts deemed likely, based on past experience or other available information, to have problems with teacher mis-assignments and teacher vacancies.

Programs designed to draw teachers to shortages subjects and specialty areas. California has an extensive network of programs that target several points along the teacher pipeline to draw teachers to hard-to-staff subjects and specialty areas and the State recently granted more flexibility to districts to offer separate compensation to teachers in hard-to-staff fields such as mathematics, science, and special education under the State’s Professional Development Block Grant.⁸³ In addition to these financial incentives, a key strategy that the State has pursued is recruitment and streamlined training for shortage and specialty areas. Through programs that target paraprofessionals, undergraduates in public IHEs, current and retired professionals in fields outside of education, those with “eminence” (i.e., individuals who are recognized as having knowledge and skill in their profession that is beyond that typical of their peers), the State now has programs that tap just about every possible source for prospective teachers in shortage fields. Outcome data show that these programs have attracted thousands of new teachers into these fields. Meanwhile, the State has also taken extensive measures to make it easier for qualified candidates to become teachers in the State. These efforts are described in Appendix D, page 388.

Goal: Ensure equitable distribution across schools, subjects, and specialty areas (D)(3)(i) and (D)(3)(ii)

For RTTT, the State aims to build on the successes of the QEIA program to ensure equitable distribution through an approach that incorporates the statewide structure already in place for CMIS, while modifying provisions to focus on the distribution of highly effective teachers and principals across high-poverty, and subjects and specialty areas. LEAs with inequitable distribution of highly effective teachers and leaders will be able to draw on the state-funded programs that are intended to provide incentives for teachers to work at hard-to-staff schools.

Strategies

⁸³ E.C. 41530–41533.

Establish metrics to support monitoring (D)(3)(i) & (D)(3)(ii). The Evaluation Advisory Group (in (D)(2)) will be charged with recommending a definition for “effective” and “highly effective” teachers and principals to be used for purposes of monitoring equitable distribution. The State recognizes that student achievement growth calculations will include some local assessments results for grades and subjects in which the STAR tests cannot be used to calculate growth and will also need to include “multiple measures” that individual LEAs use in their teacher and principal evaluations. It also recognizes the imperative to ensure consistency in the metrics used for monitoring equitable distribution. Thus, the Evaluation Advisory Group, drawing on the input of the Student Growth Technical Work Group, will be charged with balancing those two key goals to recommend definitions of effectiveness for purposes of equitable distribution that simultaneously meet the RTTT requirements, ensure consistency in those definitions across LEAs, and account for the local variation in assessments and indicators of effectiveness that might be reflected in such a definition. Likewise, that group will be charged with recommending an approach to ensuring the validity of the “other measures” used in the effectiveness definitions. Specifically, the recommendations must include a process for reviewing the student growth against ratings based on other “measures” (e.g. observation results) to ensure the validity of those measures. Per ((D)(2)(ii)), most participating LEAs will have their new evaluation systems implemented by 2012-13. By the end of that school year most teachers and principals should have received their evaluation results, which will be used as the basis for assigning the effectiveness ratings for purposes of monitoring equitable distribution.⁸⁴

We will also use metrics to track the degree to which effective teachers are represented across subjects and specialty areas, while taking into account authorizations for the subject and specialty areas to which they are assigned (i.e. tracking out-of-field teaching).

Develop a system for monitoring (D)(3)(i) & (D)(3)(ii). As part of the RTTT initiative, the CMIS program will become the Distributing Effective Leaders, Teachers, and Administrators (DELTA) program. The new DELTA program will subsume all of the equitable distribution work described in this plan, as well as the federal equitable distribution requirements currently conducted with Title II, Part A funding. The current web-enabled system used for CMIS will be

⁸⁴ “Teachers” and “principals” will be identified using the assignment codes used in CALTIDES, identifying all certificated staff with classroom teaching assignments including part-time teachers. For teachers with assignments at more than one school, the calculation will focus on the school in which the teacher has the greatest portion of his/her assignment. Part-time principals will also be included, and as with teachers, principals with more than one school assignment will be associated with the school in which they spend a majority of their time.

modified to allow districts to upload effectiveness data and will interface with CALTIDES to collect out-of-field assignment data to determine degrees of equitable distribution. The first year of teacher effectiveness data will provide a baseline for each school, subject and specialty areas indicating the number and percentages of teachers and principals in each of the effectiveness categories. In subsequent years, DELTA will provide the information needed for tracking distribution. All information on equitable distribution will be publicly reported annually, as required by the provisions of SFSF.

Provide technical assistance to participating LEAs (D)(3)(i) & (D)(3)(ii). The regional system of support discussed in (A)(2) will offer training and assistance to participating LEAs as they revamp their monitoring systems to track equitable distribution according to this new method of measuring equitable distribution. In addition, the regional system will support districts in identifying strategies that are designed to recruit, place, train, and retain staff with the skills necessary to meet the needs of students including financial incentives, increased opportunities for promotion and career growth, and more flexible work conditions, as discussed in the RTTT special-session legislation.⁸⁵ The regional system of support will also assist districts in the strategic use of the incentive programs listed above in “Our Foundation.”

In addition, any participating LEAs identified as not meeting specified benchmarks will be required to work with the regional lead office in their area to develop immediate plans to address inequitable distribution. Exhibits 16 and 17 outline performance measures for this work. See Appendix D, page 389, for an overview of the goals, activities, timelines, and responsible parties.

Definitions of high-minority and low-minority schools as defined by the State for the purposes of the State’s Teacher Equity Plan (Evidence for (D)(3)(i)). California has historically used high-poverty and under-performing as the designations for determining equitable distribution- rather than high minority status. As part of the RTTT process, the state has added designations for high- and low-minority schools. Across California’s more than 10,000 schools, the average minority (non-white) enrollment is 67.6 percent. Schools that have a non-white student population that is greater than one standard deviation above the state mean are considered high minority. Non-white enrollment in these schools ranges from 95.3 percent to 100 percent. Conversely, schools that have a non-white enrollment one standard deviation below

⁸⁵ E.C. 53203.

the state mean are considered low-minority. Non-white enrollment at these schools ranges from 0 percent to 40.2 percent.

Exhibit 16: Performance Measures for (D)(3)(i)

<i>Note: All information below is requested for Participating LEAs.</i>	<i>Actual Data: Baseline</i>	<i>End of SY 2010-2011</i>	<i>End of SY 2011-2012</i>	<i>End of SY 2012-2013</i>	<i>End of SY 2013-2014</i>
General goals to be provided at time of application	Baseline data and annual targets				
<i>Percentage of teachers in schools that are high-poverty, high-minority, or both (as defined in this notice) who are highly effective (as defined in this notice).</i>	*	*	*	*	*
<i>Percentage of teachers in schools that are low-poverty, low-minority, or both (as defined in this notice) who are highly effective (as defined in this notice).</i>	*	*	*	*	*
<i>Percentage of teachers in schools that are high-poverty, high-minority, or both (as defined in this notice) who are ineffective.</i>	*	*	*	*	*
<i>Percentage of teachers in schools that are low-poverty, low-minority, or both (as defined in this notice) who are ineffective.</i>	*	*	*	*	*
<i>Percentage of principals leading schools that are high-poverty, high-minority, or both (as defined in this notice) who are highly effective (as defined in this notice).</i>	*	*	*	*	*
<i>Percentage of principals leading schools that are low-poverty, low-minority, or both (as defined in this notice) who are highly effective (as defined in this notice).</i>	*	*	*	*	*
<i>Percentage of principals leading schools that are high-poverty, high-minority, or both (as defined in this notice) who are ineffective.</i>	*	*	*	*	*
<i>Percentage of principals leading schools that are low-poverty, low-minority, or both (as defined in this notice) who are ineffective.</i>	*	*	*	*	*
<p>* Baseline data are not currently available for these indicators of equitable distribution. While setting targets even in the absence of baseline data is an option, we have opted otherwise in order to avoid a perverse incentive to set low thresholds for the definitions for “effective” and “highly effective” teachers and principals. As soon as these definitions have been approved by the SBE, we will establish annual benchmarks.</p> <p>By 2012-13, new evaluation systems in most participating LEAs will be implemented and effectiveness data will be uploaded to the DELTA system at the end of that school year, allowing for teacher effectiveness data to be reported.</p>					
General data to be provided at time of application					
Total number of schools that are high-poverty, high-minority, or both (as defined in this notice).	3,771				
Total number of schools that are low-poverty, low-minority, or both (as defined in this notice).	1,772				
Total number of teachers in schools that are high-poverty, high-minority, or both (as defined in this notice).	117,893				

Total number of teachers in schools that are low-poverty, low-minority, or both (as defined in this notice).	56,026	
Total number of principals leading schools that are high-poverty, high-minority, or both (as defined in this notice).	3,298	
Total number of principals leading schools that are low-poverty, low-minority, or both (as defined in this notice).	1,503	
<p>Data are provided using poverty as the indicator. "High poverty" indicates that $\geq 40\%$ of the students in the school are eligible for free/reduced lunch and have met one or more of the following eligibility criteria for receipt of free or reduced-price meals in the National School Lunch Program (NSLP) and/or School Breakfast Program (SBP):</p> <ol style="list-style-type: none"> 1) The student's household meets the United States Department of Agriculture's income eligibility criteria (at or below 185 percent of the applicable family household size and income levels in the federal income poverty guidelines), whether or not they have submitted a program application; 2) the student has applied and met the income eligibility criteria for free or reduced-price meals in the NSLP or SBP; 3) the student is eligible by way of school-wide eligibility as outlined in the 7 Code of Federal Regulations, Section 245.9, Provisions 2 and 3; 4) The student is "directly certified" based on his/her receipt of benefits in one or more of the following federal programs: a) Food Stamp Program; b) California Work Opportunities and Responsibility to Kids (CalWORKs) Program; c) The Kinship Guardian Assistance Payment (Kin-GAP) Program; or d) Food Distribution Program on Indian Reservations (FDPIR). 5) The student is "directly certified" by an appropriate district liaison to be one of the following: a) Eligible for the McKinney-Vento Homeless Assistance Program; b) eligible for the Runaway and Homeless Youth Grant Program (42 U.S. Code 5701 et seq.); or c) a migratory child as defined in Section 1309 of the Elementary and Secondary Education Act of 1965. <p>This does not necessarily mean that the student is actually receiving meals.</p>		

Exhibit 17: Performance Measures for (D)(3)(ii)

	Actual Data: Baseline	End of SY 2010-2011	End of SY 2011-2012	End of SY 2012-2013	End of SY 2013-2014
<i>Note: All information below is requested for Participating LEAs.</i>					
General goals to be provided at time of application	Baseline data and annual targets				
Percentage of mathematics teachers who were evaluated as effective or better.	*	*	*	*	*
Percentage of science teachers who were evaluated as effective or better.	*	*	*	*	*
Percentage of special education teachers who were evaluated as effective or better.	*	*	*	*	*
Percentage of teachers in language instruction educational programs who were evaluated as effective or better.	*	*	*	*	*
* Baseline data are not currently available for these indicators of equitable distribution. While setting targets even in the absence of baseline data is an option, we have opted otherwise in order to avoid a perverse incentive to set low thresholds for the definitions for "effective" and "highly effective" teachers and principals. As soon as these definitions have been approved by the SBE, we will establish annual benchmarks.					
General data to be provided at time of application					
Total number of mathematics teachers.	17,019				

Total number of science teachers.	13,798
Total number of special education teachers.	15,723
Total number of teachers in language instruction educational programs.	23,771

(D)(4) Improving the Effectiveness of Teacher and Principal Preparation Programs

Expanding efforts already underway, the State, in collaboration and institutions of higher education (IHEs), will make recommendations for evaluating teacher and administrator preparation programs based on their graduates’ performance; persistence, and other outcomes. LEAs and the State will work with the IHEs that credential most of our teachers and leaders, all of whom have committed, as part of the RTTT process, to reporting program participation and outcome data rooted in student achievement and using that information to guide decisions about what programs to expand or revise. Such data will be reported to stakeholders in accessible, clear language and built into the state accreditation process.

Our foundation

California is perfectly poised to implement the reforms called for in this notice. Not only have all the higher education segments made strong and unprecedented commitments to this work in MOUs (attached to this application), but all the necessary ground work for these reforms has been laid: CSU has begun the process of developing an assessment system for determining the value added by its teacher credentialing programs based, in significant part, on student achievement and growth data. Further, the State already has an accreditation process that is outcomes focused and uses the results of the various assessments given to teacher candidates⁸⁶ in making accreditation decisions. Finally, CSU, which is responsible for preparing over 50 percent of the teachers in the State each year,⁸⁷ received a \$35 million grant from the U.S. Department of Education to support reforms to enhance the quality of its teacher preparation programs.

⁸⁶ Candidates refers to those in preparation programs, seeking a preliminary (Level 1) credential.

⁸⁷ California Commission on Teacher Credentialing. (2009, April). *Teacher supply in California: A report to the Legislature. Annual report 2007-08*. Retrieved November 4, 2009, from http://www.ctc.ca.gov/reports/TS_2007-2008_AnnualRpt.pdf.

CSU Pilot. In a large pilot study, the CSU Center for Teacher Quality (CTQ) has linked student achievement and growth data to teaching graduates to assess the impact of their teacher credentialing programs. The CTQ pilot study focuses on CSU teacher credentialing programs and teachers working in five of California’s largest urban school districts. A preliminary analysis with a sub-set of data has been completed and preliminary evidence provided by CTQ suggests that this is a promising line of development.⁸⁸

Accreditation and teacher assessment. California uses a variety of examinations to assess candidates' competencies in basic skills, subject matter proficiency, and professional knowledge. Every multiple subject credential candidate is required to pass the California Subject Examination Test (CSET) for Multiple Subjects and the Reading Instruction Competence Assessment, which is designed specifically for testing professional knowledge in the area of teaching reading. Single subject credential candidates can use a subject matter examination as one of two options to demonstrate subject matter expertise (the other option is completion of a Commission-approved subject-matter program or its equivalent). Finally, a Teaching Performance Assessment, which is a culminating assessment of teacher practice—typically including data compiled throughout coursework and student teaching—covers a broad range of teaching skills and concludes with a video assessment of teaching performance. As of 2008, each teacher preparation program is required to embed a TPA into the preparation program, and candidates enrolling in the program are required to complete the TPA. All of these assessments are considered part of the Commission’s program accreditation reviews.

Appendix D, page 392, contains a more detailed discussion of the CTQ investigation and a description of the CTC program accreditation process.

Goal: Improve the Effectiveness of Teacher and Principal Preparation Programs (D)(4)(i)

The State intends to learn from the initial work by CSU to develop an assessment system that includes administrator credentialing programs, including means for making these assessments publicly available.

⁸⁸ Center for Teacher Quality. (2007). *Teacher preparation program evaluation based on K–12 student learning and performance assessments by school principals*. Sacramento: Author. Retrieved December 7, 2009, from http://www.calstate.edu/teacherquality/documents/teacherprep_eval_results_principals_assessment.pdf.

Strategies

Collaborate with IHEs to develop a plan for statewide implementation of an assessment system (D)(4)(i). To scale the type of effort already underway at CSU to include all in-state teacher and administrator credentialing programs, the State will collaborate with IHEs to develop a detailed plan for implementing a new systemwide assessment that reports graduates' contributions to their students' achievements and growth. This collaboration will also be charged with considering other information that could be used in the program assessments including: graduates' retention in public education and candidates' assessment results.

Specific milestones in this work will be: (1) completion of a California State University pilot study that develops and analyzes a preliminary teacher assessment model in 2010, and (2) with RTTT support, development, testing and implementation of a statewide system for assessing all California teacher and administrator Level I credentialing programs by 2012-13 with a substantial portion of that assessment linked to student outcome data and associated measures of teacher and principal effectiveness.

Goal: Use assessment results to inform decisions about preparation and credentialing options and programs (D)(4)(ii)

Strategies

Report assessment results online (D)(4)(ii). Systems for public, user-friendly reporting of the results of the assessments will be the primary lever for expansion of programs that produce effective teachers and principals. The public reporting is not only likely to affect the choices of potential teacher candidates but also the hiring decisions of LEAs.

Incorporate results into program accreditation (D)(4)(ii). The CTC will be required to incorporate results from these evaluations into their program accreditation recommendations for all programs in its seven-year cycle of review.

Expand or revise programs based on results (D)(4)(ii). The IHEs have agreed in the MOU referenced above, "to expand, modify or close programs based on the student achievement and student growth data of preparation program graduates...[and] Expand preparation and credentialing options and programs that data are successful at producing effective teachers and principals, and revise those options and programs that data show to be ineffective." (See Appendix A, page 59)

Exhibit 18 details the performance measures the State has set for this work. An overview of the goals, activities, timelines and responsible parties for both assessment and expansion of successful programs are available in Appendix D, page 395.

Exhibit 18: Performance Measures for (D)(4)

	Baseline	Actual Data: 2011	End of SY 2010-2011	End of SY 2011-2012	End of SY 2012-2013	End of SY 2013-2014
General goals to be provided at time of application:	Baseline data and annual targets					
<i>Percentage of teacher preparation programs in the State for which the public can access data on the achievement and growth (as defined in this notice) of the graduates' students.</i>	0	0	0	100	100	
<i>Percentage of principal preparation programs in the State for which the public can access data on the achievement and growth (as defined in this notice) of the graduates' students.</i>	0	0	0	100	100	
This timeline reflects the projected implementation date of 2011-12 for the State's new longitudinal teacher data system discussed in Section (C).						
General data to be provided at time of application						
<i>Total number of teacher credentialing programs in the State.</i>		89				
<i>Total number of principal credentialing programs in the State.</i>		61				
<i>Total number of teachers in the State.</i>		306,884				
<i>Total number of principals in the State.</i>		8,708				
Source for total number of teacher credentialing programs in the State, which includes all Level I programs, http://www.ctc.ca.gov/educator-prep/statistics/2008-06-stat.pdf .						
Source for total number of principal credentialing programs in the State, which includes all Level I administrator preparation programs, http://www.ctc.ca.gov/educator-prep/statistics/2008-07-stat.pdf						
Source for teacher counts: 2008-09 CBEDS.						

(D)(5) Providing Effective Support to Teachers and Principals

Over the past decade, California has made significant strides toward implementing the type of teacher induction and professional development that is consistent with the RTTT goals. Through RTTT, the State and participating LEAs intend to work together to fashion a system that will: build upon the current state infrastructure for novice teachers, establish a coherent leadership development system for school principals and administrators, and connect the entire enterprise of teacher and leader support to the evaluations that will be implemented per Section (D)(2). Also, knowing that some of the hardest work will be done in turning around the persistently lowest-achieving schools, we will strategically invest RTTT funds in an intensive program to support school turnaround leaders. Simultaneous with all of this, data systems will be strengthened to track program participation and inform evaluation of professional development

offerings, and the State will use its newly strengthened regional system of supports and online learning tools (described in Sections (A) and (C))) to leverage our ability to perform this work on a statewide basis.

Our foundation

For the last 17 years, California has administered an exemplary Beginning Teacher Support and Assessment (BTSA) induction program and more recently enhanced mentoring support for interns and novice teachers at low-performing schools. Furthermore, the State has established an infrastructure to ensure that teachers are trained to effectively use the mathematics and reading curricula (as described in Section (B)) and that secondary teachers are trained in the content of their subject specialties through the California Subject Matter Projects. The largest single source of professional development funding is allocated to LEAs via a Professional Development Block Grant to provide flexibility to districts as they select professional development that is best matched to local needs. While the training and support provided to administrators has not matched that for teachers, the State funds a significant professional development program for administrators that can also serve to meet induction requirements. In addition, several leadership training and support programs have been developed by the Association of California School Administrators (ACSA) and UC campuses that also provide a foundation for California's plan.

Training and Supports for Teachers.

Beginning Teacher Support and Assessment. Based on a 2005 national report, California is one of only 17 states that require and finance mentoring for all new teachers and has the largest induction program in the country.^{89,90} California's longstanding Beginning Teacher Support and Assessment (BTSA) induction program, co-administered by the CDE and the CTC, is a research-based, data-driven program that has resulted in dramatically increased teacher retention rates through an integrated program resulting in a clear multiple or single subjects credential (or Level II credential).⁹¹ The program provides formative assessment and individualized mentoring support for newly credentialed teachers to increase their skills, knowledge and abilities to support and improve student learning by spending over two years with a trained Support

⁸⁹ Education Week. (2005, January 6). *Quality counts 2005: No small change* [Special Issue]. *Education Week*, 24(17). Bethesda, MD: Author.

⁹⁰ Shields, P.M., Esch, C.E., Humphrey, D.C., Wechsler, M.E., Chang-Ross, C.M., Gallagher, H.A.,... Woodworth, K.R. (2003). *The status of the teaching profession 2003*. Santa Cruz, CA: The Center for the Future of Teaching and Learning.

⁹¹ See summary of research on BTSA in Appendix D, page 397

Provider. Teacher growth is guided by the recently-updated (2009) California Standards for the Teaching Profession and the Standards of Quality and Effectiveness for Professional Teacher Induction Programs. There are currently more than 164⁹² BTSA programs across California, representing over 1,000 school districts. In 2008-2009, these programs collectively served 27,281 first and second year teachers.⁹³

Additional job embedded supports for novice teachers. While BTSA has been a large and widely successful undertaking, in recent years, the State has also enhanced the supports provided to both beginning teachers and interns through other statewide initiatives. The first is the *Certificated Staff Mentoring Program (CertSMP)*,⁹⁴ established in 2006, the program provides \$6,000 awards for veteran teachers teaching in low-performing schools to mentor novice teachers during their internship or induction, with priority given to those completing internships. In the three years since the program's inception (2006-07 to 2008-09), 4,814 mentor positions have been funded. Another program, the *Enhanced Intern Program*,⁹⁵ provides \$1,000 of increased funding as an incentive to intern programs that increase training in areas such as working with English learner populations; improve the distribution of interns; and reduce the ratio of mentors to interns.⁹⁶ The Enhanced Intern Program began in 2006-07 and in 2008-09 served 4,927 mentors—62 percent of the interns funded that year.⁹⁷

Professional development. Once teachers have completed induction, the State's approach to funding professional development, has primarily centered upon providing in-depth training on the state-adopted reading and mathematics curricula via the Mathematics and Reading Professional Development Program (MRPDP) and subject matter training via the California Subject Matter Projects. As noted in Section (B), MRPDP reimburses districts for mathematics and language arts training focused on strengthening content knowledge and the incorporation of grade-appropriate materials. Recently it was expanded to include content related to instruction of

⁹² Suckow, M. (2009). *Annual report card on California teacher preparation programs for the academic year 2007-08: As required by Title II of the Higher Education Act*. Sacramento, CA: Commission on Teacher Credentialing.

⁹³ Suckow, M. (2009). *Annual report card on California teacher preparation programs for the academic year 2007-08: As required by Title II of the Higher Education Act*. Sacramento, CA: Commission on Teacher Credentialing.

⁹⁴ E.C. 44560.

⁹⁵ E.C. 44387.

⁹⁶ Guha, R., Shields, P., Tiffany-Morales, J., Bland, J., & Campbell, A. (2008). *California's teaching force 2008: Key issues and trends*. Santa Cruz, CA: The Center for the Future of Teaching and Learning.

⁹⁷ Personal communication, N. Noelting, CTC, via email 12-3-09

English Learners.⁹⁸ *California Subject Matter Projects* provide content-rich subject matter professional development in the following areas: mathematics, science, reading and literature, writing, physical education and health, history-social studies, international studies, foreign languages, and art.

At the same time, the State has also made strides toward greater local control over State funding in recent years, establishing a block grant approach for allocating professional development dollars. The Professional Development Block Grant consolidated several smaller professional development programs, and is the largest single source of state funding for professional development.⁹⁹

Training and Supports for Leaders. While the training and support provided to administrators has not matched that for teachers, the State offers a support program for administrators that serves as both a pathway to a professional credential (or Level II) and as professional development for administrators. The Administrator Training Program (ATP) provides up to \$3,000 per school administrator in professional development funds for training from SBE-approved providers.¹⁰⁰ Like the Mathematics Reading and Professional Development Program for teachers, ATP is aligned with core academic standards, curriculum frameworks, and instructional materials.¹⁰¹

In response to the recognized need for additional support for new administrators, programs have been developed that can also provide the foundation for California's plan. First, UCLA's School Management Program trains educators, administrators, and community members to improve student achievement by fostering well-managed schools where professional development enhances teacher effectiveness. Second, a collaboration between the Association of California School Administrators (ACSA), the New Teacher Center (NTC), and 11 local County Office of Education affiliates provides a coaching program that matches new administrators with an accomplished and experienced coach who is a considered a proven educational leader and has

⁹⁸ The ELPD program includes foundational knowledge specifically designed to assist EL pupils to attain a high level of English proficiency, English Language Development instruction designed to meet the language and academic instructional needs of EL pupils, and reading/language arts and content area instruction to help teachers of EL pupils understand and apply knowledge of linguistic structures to adopted instructional materials.

⁹⁹ California Department of Education. (2009). *Professional development block grant (flexible funds)*. Retrieved December 23, 2009, from <http://www.cde.ca.gov/fg/fo/profile.asp?id=1680>.

¹⁰⁰ E.C. 44510–44517.

¹⁰¹ See details on ATP in Appendix D.

been trained and certified in research-based coaching techniques. (See Appendix D, page 397, for more information about administrator development programs.)

Goal: Provide effective, data-informed support and professional development (D)(5)(i).

RTTT provides the opportunity to envision a professional development system that is multi-layered—one in which all teachers and leaders will receive both induction services and the training needed to understand and be able to use the State’s adopted curricula and recommended instructional practices. At the same time, leveraging state resources for induction, mentoring support, and professional development, LEAs will institute a menu of job-embedded options tied to rigorous evaluations of teachers’ and principals’ strengths and weaknesses conducted per Section (D)(2). This individualized, job-embedded support will essentially implement the vision that the Governor’s Committee on Education Excellence called for in its comprehensive report urging fundamental reforms to California’s education system:

[A]ll professional development should be based on the district’s vision and the school’s related learning goals... it should meet... individual needs ... optimally be tailored using ... professional evaluation results and student outcome data. Professional development also should be ongoing and job-embedded: Thus, school schedules should be structured to allow [time] to meet, learn, plan, mentor, and work collaboratively... This time is an investment... [that will] ultimately increase students’ academic achievement (Governor’s Committee on Education Excellence, 2007, p. 4-3).¹⁰²

Provide high-quality induction for all teachers (D)(5)(i). Induction for teachers through the BTSA programs will deepen and extend knowledge and skills noted in the newly implemented Teacher Performance Assessments (in (D)(4)) and coordinate with professional development plans that grow out of the performance evaluations (in (D)(2)). This coordination is a key link to ensuring that the mentoring relationships fostered through BTSA not only provide support for beginning teachers as they have in the past but also become embedded in the culture of schools.

¹⁰² Governor's Committee on Education Excellence. (2007). *Students first: Renewing hope for California's future*. Sacramento, CA: Author. Retrieved December 23, 2009, from: <http://www.everychildprepared.org/docs/7data.pdf>.

Develop options for induction for principals (D)(5)(i). In order to enhance the support given to novice principals, the State will establish a collaborative process with participating LEAs and facilitated by the Integrated Leadership Development Initiative¹⁰³ to conduct a needs assessment aimed at identifying unmet needs for principal induction and effective practices that can serve as exemplars to providers and districts striving to improve their induction programs. Best practices will be incorporated into a comprehensive induction strategy to be collaboratively implemented by the State, districts, private foundations, and support providers. Regional lead offices will develop requests for proposals based on the findings and recommendations of the collaborative noted above. Scholarships will be offered to attend training delivered by providers approved by the SBE.

Ensure that all teachers and leaders receive foundational knowledge on instructional materials (D)(5)(i). California’s professional development plan involves establishing a foundational level of curriculum knowledge for all teacher and principals. With the Mathematics Reading and Professional Development Program, the State already has in place a program that can ensure that teachers are trained in the effective use of the state-adopted curricula in reading and mathematics. The Administrator Training Program focuses principal and assistant principal professional development in similar areas.

Establish a system of support and professional development that is based on performance evaluation results (D)(5)(i). Participating LEAs will develop plans to ensure that all professional development and support is based upon results from annual performance evaluations. As part of the final scope of work for RTTT, LEAs will determine a tiered professional development model. A sample is included below as Exhibit 19.

Exhibit 19: Sample model for individualizing support for teachers and leaders

Sample Evaluation Rating	Possible LEA Actions
Novice/in training	BTSA, CertSMP, Enhanced Intern, Targeted Coaching.
Highly effective	Identification for possible additional responsibilities (PAR consultant training, BTSA/CertSMP training, teacher leader responsibilities, etc.) and/or additional compensation as determined by a peer governance board or other advisory committee.
Effective, not in need of immediate extra support	Continue in a professional learning community and professional development opportunities as appropriate.

¹⁰³ As described above in (D)(1), a consortium of the CDE, CTC, county offices, public and private universities, the Association of California School Administrators, and the California Comprehensive Center and Regional Education Laboratory at WestEd.

Effective, but in need of extra support in specific areas as identified in evaluation	Specific professional enrichment tied to areas of improvement identified in evaluation. May be assigned a coach or recommended to specific training (such as the Subject Matter Projects) as needed.
Ineffective or struggling in significant aspects of practice	<ul style="list-style-type: none"> • Peer governance board (or other advisory committee) assigns a coach/consultant who works with supervisor to develop “Plan for Improvement” for peer governance board approval; • Teacher/principal works with coach/consultant and/or attends specific training as indicated in the plan; • Peer governance board (or other advisory committee) reviews evidence of improvement and reports to supervisor; and • Personnel actions taken as appropriate.

Funding for job-embedded professional development will align with the overarching goal of increased flexibility for participating LEAs in exchange for demonstrated effectiveness. As such, all state and federal funds related to professional development, including Title II, Part A funds, the Professional Development Block Grant, BTSA funds, and other allocations will be provided with indefinite flexibility as long as LEAs meet the following requirements:

- Offer and fund all three levels of professional development (induction, foundational knowledge, and job-embedded);
- Align professional development programs to work together (common coaches, trainers, providers, contract language, etc.);
- Support a system of peer review for teachers and principals modeled after the Peer Assistance and Review program (as appropriate); and
- Provide all teachers and principals with significant and meaningful opportunities to collaborate with peers and participate in professional learning communities.

Provide regionalized assistance to LEAs in developing a system of support and professional development that is based on evaluation results (D)(5)(i). The regional system of support will assist LEAs in re-casting their teacher and principal development systems to respond to the needs of teachers and principals as identified by the results of their evaluations. Specifically, regional lead offices will assist with (1) identifying and coordinating appropriate support and training; (2) establishing remediation procedures for teachers and administrators identified as poorly performing; and (3) developing strategies to be used when teachers or administrators consistently demonstrate sub-par performance after moving through identified interventions. The regional lead offices will also assist in identifying specific professional development programs and professional learning communities in critical areas emphasized in Section (A) and throughout this proposal such as use of data to inform instructional practices,

early literacy, approaches to support STEM subjects (including Algebra I), and strategies to increase high school graduation rates.

Goal: Train and support a cadre of turnaround leaders (D)(5)(i)

The State is aware that specialized, targeted programs of support must be established to produce the cadre of turnaround leaders that will be required to effectively interrupt the status quo and create positive change via the “turnaround” method for persistently lowest-achieving schools discussed in Section (E).

Strategies

Develop training for turnaround specialists (D)(5)(i). To build capacity for the turnaround model of school intervention, a professional development program will be created to develop turnaround specialists. The State will coordinate the identification and selection of principals with experience and expertise to apply to such a challenging role and design targeted professional development. Specifically, the CDE will release a Request for Proposals for external assistance on providing this training in each of the 11 regions of the State. State RTTT funds will support development of these efforts, while on-ongoing costs of participation will be funded through a combination of LEA, state, and private sources. At the end of the RTTT grant, ongoing costs will be supported by LEAs that opt to send principals for this training.

Support turnaround mentoring (D)(5)(i). In addition to coaching provided to novice administrators, new principals who have just entered a school via a turnaround intervention will be eligible to receive “turnaround mentoring.” Reports from previous state programs for low-performing schools found very little communication about effective strategies between schools in various state intervention programs. For this initiative, principals from similar schools that have demonstrated impressive student achievement results will be matched to new principals in underperforming schools, consistent with RTTT legislation enacted in January 2010.¹⁰⁴ These pairings will become part of a professional learning community-based on the success of struggling schools that have made comprehensive and dramatic changes in the staff and functioning of a school to turn it around.

¹⁰⁴ E.C. 53202.

Goal: Measure, evaluate, and continuously improve the effectiveness of the supports (D)(5)(ii)

Strategies

Track participation in, and outcomes from, major state-funded induction and professional development programs (D)(5)(ii). A lack of longitudinal teacher and administrator data has significantly hindered the measurement of the effectiveness of state-funded programs of support and professional development for teacher and leaders. The impetus for the development of CALTIDES was, in part, to enable the State to track the effectiveness of state-funded programs for teachers. As currently planned, however, CALTIDES data elements will only allow tracking of participation in BTSA, but not other major state-funded programs such as the Administrator Training Program, Mathematics and Reading Professional Development Program, the Subject Matter Projects, and the newly created Training for Turnaround Specialists. Through RTTT, the CDE will modify the CALTIDES data system to track participation in these other major state-funded development programs by requiring participating LEAs/IHEs to submit participation data via CALPADS. It is worth stating that the State is aware that establishing the relationship between participation in an induction/professional development program and subsequent performance and/or behavior is not straightforward. Any program evaluations conducted by the State or outside contractors will be required to address issues of internal validity and report carefully on the implications of evaluation design limitations.

Exhibit 20 outlines the State's performance measures for this work. Additionally, Appendix D, page 398 provides an overview of the goals, activities, timelines, and responsible parties for this work.

Exhibit 20: Performance Measures for (D)(5)

<i>Performance measures for this criterion are optional. If the State wishes to include performance measures, please enter them as rows in this table and, for each measure, provide annual targets in the columns provided.</i>	<i>Actual Data: Baseline</i>	<i>End of SY 2010- 2011</i>	<i>End of SY 2011- 2012</i>	<i>End of SY 2012- 2013</i>	<i>End of SY 2013- 2014</i>
Percentage of the “effective” teachers in the previous year who move to the “highly effective” category in a one year period	*	*	*	*	*
Percentage of the “not effective” teachers in the previous year who move up or out of the “ineffective” category in a one year period	*	*	*	*	*
Percentage of the “effective” principals in the previous year who move to the “highly effective” category in a one year period	*	*	*	*	*
Percentage of the “not effective” principals in the previous year who move up or out of the “ineffective” category in a one year period	*	*	*	*	*
Number of principals trained through the Training for Turnaround Specialists	*	*	20	30	40
Percentage of principals trained through the Training for Turnaround Specialists who are placed in low performing schools	*	*	*	50%	75%
Percentage of principals in “turnaround” schools who receive turnaround coaching	*	*	50%	75%	100%

Note: To be able to track the benchmarks related to evaluation results, the State will use the DELTA system using the metrics for “highly effective” and “effective” (see Section (D)(3)) to enable consistent tracking of the changes in evaluation ratings from local systems. Given that these metrics are not yet developed and the state does not have baseline data, we have not yet developed annual targets. As soon as the “highly effective” and “effective” metrics have been approved by the SBE, we will establish annual benchmarks.

Section (E): Turning Around the Lowest-Achieving Schools

While the State works with all participating LEAs to ensure that LEAs implement new rigorous standards and assessments, to develop, distribute, and evaluate teachers and leaders, and to utilize data systems to inform instruction, we recognize that there are a small number of schools that persistently struggle in raising student achievement. These schools require more intensive interventions and supports that will lead to necessary, dramatic improvements. Indeed, the State has clearly signaled its commitment to the implementation of drastic change in schools that need to turn around the lowest-achieving schools. Legislation enacted in a special Race to the Top (RTTT) session requires these troubled schools that are faced with corrective action to implement one of the four intervention models required under RTTT if 50 percent of the parents or students in a school sign a petition requesting such a change.¹⁰⁵ It is not sufficient, though, to rely on parents to demand change in struggling schools. Therefore, we provide an overview in this section of the State's approach to turning around the State's persistently lowest-achieving schools. In Section (E)(1), we describe the legal authority the State currently has to intervene in the lowest-achieving schools as well as with districts in corrective action. In Section (E)(2), we review the State's work over the past decade to help the lowest-performing schools and the lessons we have learned. Finally, we describe our plan for identifying and turning around the State's lowest-achieving schools.

(E)(1) Intervening in the Lowest-Achieving Schools and LEAs.

California has firmly established the role of the State in supporting and intervening in struggling schools. Over the past 10 years, (as described in Section (E)(2)), the State has designed and implemented several programs in which the State intervened directly in the most struggling schools. Learning from these previous programs and recognizing the difficult nature of intervening directly in a large number of struggling schools in such a large state, the State has concluded that LEAs must take the lead in the work of improving the most struggling schools. To this end, the State has established legal authority, through the State Board of Education (SBE) to work with districts in corrective action to improve their schools.¹⁰⁶

¹⁰⁵ SBX5 4; E.C. 53300

¹⁰⁶ E.C. 52059 (see Appendix E, page 400).

In addition to the State’s authority under NCLB, the SBE also gained additional legal authority to intervene in the persistently lowest-achievement schools through the RTTT legislation enacted in January 2010. Specifically, this language requires “the governing board of a school district, county office of education, or the governing board of a charter school or its equivalent to implement, for any school identified by the Superintendent [of Public Instruction] as persistently lowest-achieving, one of four interventions for turning around lowest-achieving schools described in federal regulations and guidelines for the Race to the Top program.”¹⁰⁷

(E)(2) Turning Around the Lowest-Achieving Schools.

Our foundation

The State’s role in intervening in the lowest-achieving schools did not begin with RTTT; California has taken an active role over the past decade in identifying, providing supports, and establishing consequences for low-performing schools through State and federal programs. Indeed, California’s own accountability system, which preceded NCLB, established a statewide culture focused on improving outcomes for all students.

State-funded programs. As part of the Public Schools Accountability Act of 1999, California began intervening in low-performing schools in the 1999-2000 school year through its Immediate Intervention/Underperforming Schools Program (II/USP).¹⁰⁸ This voluntary program involved a needs analysis by an external consultant, and action plans for schools in the bottom 50 percent of the state to address their concerns in two to three years. Following II/USP, California introduced a second program in 2001 —the High Priority Schools Grant Program (HPSGP)—that narrowed the focus to the State’s bottom 20 percent of schools.¹⁰⁹ Additional funds were provided to these schools to develop and implement a three- to five-year improvement plan. (For a full description of this program, see Appendix E, page 404.) Schools that failed to improve under II/USP or HPSGP were required to contract with an external, state-approved team—a School Assistance and Intervention Team (SAIT)—to identify critical areas for improvement and to implement corrective actions.¹¹⁰ SAITs were required to use California’s nine Essential Program Components (EPCs) as the foundation for all improvement efforts. The EPCs aim to

¹⁰⁷ SBX5 1; E.C. 53202 (see Appendix E, page 403).

¹⁰⁸ E.C. 52053.

¹⁰⁹ E.C. 52055.600 et seq.

¹¹⁰ E.C. 52055.51.

ensure that all the building blocks are in place and well-aligned at a school to support quality instruction (see Appendix E, page 404, for a full description).

In 2006, as noted in Section (D)(3), California enacted another program—the Quality Education Investment Act (QEIA)—that provided a higher level of funds to certain schools in the bottom 20 percent of the state to create a needs assessment and plan for improvement but also to fulfill specific resource requirements such as smaller class sizes and an equitable distribution of experienced teachers across schools in the district.¹¹¹

We have invested considerable dollars over time to learn from these various programs. (See Exhibit 21 for an overview of the results and lessons learned from these programs which inform our plan for this proposal.) From these experiences and evaluations, the State has learned a few key lessons to guide this work. First, both California’s sheer size and its fundamental educational structure—in which schools are embedded within school districts—means a program that relies solely on state intervention in schools is neither effective nor efficient. To ensure sustained success, the school cannot be the unit of change; LEAs, which can create systemic changes in key fiscal and employment decisions, must be involved in this difficult work. Second, asking schools or districts to change without providing clear guidance on effective change is often not enough to achieve success. The creation of the nine EPCs and the seven district capacity standards provides a framework to do this work but additional support is needed. Third, previous programs stopped providing support to schools once they showed enough success to exit a program, leaving many schools without enough sustained support to continue their improvement. In short, the previous work was promising but was simply not enough to turn around some schools; the work proposed for RTTT will be bold and ambitious and will put serious resources and support behind our commitment to students in these schools.

Programs responding to NCLB. In addition to State programs to intervene in and support struggling schools, California also has a comprehensive intervention system in place for Title I schools that fail to make adequate yearly progress under NCLB and enter Program Improvement (PI) status.¹¹² As required by federal guidelines, these schools face corrective action sanctions after three years in PI. Schools whose LEAs assign an external partner as part of their corrective action can tap into the approved pool of intervention teams who utilize the nine EPCs to assess

¹¹¹ E.C. 52055.70 et seq.

¹¹² E.C. 52055.57 et seq.

the school's areas for improvement. In the second year of corrective action, schools prepare a plan with their LEA for alternative governance of the school and are required to select one of the federal restructuring options: reopening the school as a charter, replacing all or most staff including the principal, contracting with an outside entity to manage the school, or other major restructuring. In Year 5 of PI, the school implements this alternative governance plan.

In addition to the supports and sanctions for schools in PI, California has been at the forefront of recognizing the LEA's role in improving struggling schools, creating tools and processes to also support and intervene in districts in improvement through the District Assistance and Intervention (DAIT) process.¹¹³ After two pilot programs, the State fully implemented the DAIT system in 2009-10, building on the central premise that the LEA is the nexus for educational change. As part of this process, corrective action districts designated as the most in need must hire a state-approved DAIT provider to conduct a needs assessment of the district focus on seven key standards, adopted by the SBE in 2006, which measure areas of district capacity. These standards include: governance, alignment of curriculum, instruction, and assessment aligned with state standards, fiscal operations, parent and community involvement, human resources, data systems and achievement monitoring, and professional development (for a full description of the district assistance standards (DAS), see Appendix E, page 405).

DAITs assist districts in revising and implementing LEA plans. Districts are required to adopt the DAIT's recommendations for improvements. To monitor the process, the SBE requires that DAITs provide updates regularly; the SBE retains the option of assigning further corrective action to districts that do not make progress, including replacing school district personnel, appointing a receiver or trustee, permitting students to transfer to different schools, putting new curricula in place, and in the most serious of cases, abolishing and restructuring the district.¹¹⁴ (See Appendix E, page, 405, for more information on this program and a description of the district assistance survey that measures the seven district standards.)

¹¹³ E.C. 52055.57.

¹¹⁴ E.C. 52059 (see Appendix E, page 400).

Exhibit 21: Evidence of State Approaches to Turning Around the State’s Lowest-Achieving Schools

Approach Used	# of Schools Since 2004-05	Results and Lessons Learned
II/USP ¹¹⁵	1288	Results: Negligible impact overall on student achievement, though many individual schools did improve student outcomes. Lessons learned: LEAs can greatly influence a school’s progress; more guidance on fund use, increased monitoring, and better communication among participating schools and between the schools and the State are needed in similar programs.
HPSGP ¹¹⁶	850	Results: Negligible impact overall on student achievement, though many individual schools did improve student outcomes. Lessons learned: Role of LEAs should be enhanced in similar programs; increased monitoring and increased supply of qualified external support providers are needed in similar programs; ongoing support needed for schools exiting program.
SAIT ¹¹⁷	345	Results: Average growth rate for schoolwide and subgroup outcomes for SAIT schools was higher than the average growth rate of the bottom half of schools in California. Lessons learned: 9 EPCs work together for improvement; Strong principal leadership, district support, and SAIT provider support were associated with success. Schools need additional supports after exiting SAIT.
QEIA ¹¹⁸	488	Results: Majority of schools met their interim targets for all resource requirements including class size, highly qualified teachers, teacher experience levels, professional development, and ratio of counselors to high school students. Lessons learned: Monitoring still in progress.
DAIT ^{119,120}	N/A: Not a school program	Results: Mixed results on student achievement analysis after 2 years of implementation in the 15 DAIT pilot districts. Given the newness of the program, however, process shows potential to be catalyst for building district capacity. Lessons learned: LEA support has the potential for fostering continuous improvement of schools. However, certain districts were not ready to undergo the change process and saw less of an impact. Additionally, county offices of education need their capacity built to support these LEAs.

¹¹⁵ Bitter, C., Perez, M., Parrish, T., Gonzalez, R., Socias, M., Salzfass, L.,... Esra, P. (2005). *Evaluation Study of the Immediate Intervention/Underperforming Schools Program of the Public Schools Accountability Act of 1999. Final Report.* Palo Alto, CA: American Institutes for Research.

¹¹⁶ Harr, J., Parrish, T., Socias, M., & Gubbins, P. (2007). *Evaluation study of the high priority schools grant Program: Final report.* Palo Alto, CA: American Institutes for Research.

¹¹⁷ McCarthy, E., Li, L., Tabernik, T., & Casazza, G. (2008, November). *Evaluation study of California’s School Assistance and Intervention Team process.* Berkeley, CA: Hatchuel Tabernik & Associates.

¹¹⁸ California County Superintendents Educational Services Association . (2009, December 23). *2008 QEIA monitoring analysis.* Sacramento, CA: Author.

¹¹⁹ Huberman, M., Dunn, L., & Parrish, T. (2007, June 22). *District Assistance and Intervention Team pilot evaluation.* Prepared for the California Department of Education by the California Comprehensive Center at WestEd. Palo Alto, CA: American Institutes for Research.

¹²⁰ Padilla, C., Tiffany-Morales, J., Bland, J., & Anderson, L. (2009). *Evaluation of California’s district intervention and capacity building initiative: Findings and lessons learned.* Menlo Park, CA: SRI International.

Given our previous experiences with these programs and recognizing the tremendous opportunity presented by both RTTT and the School Improvement Grants (SIG) to target resources and supports to the most persistently lowest-achieving schools, we have developed a plan that enhances the regional system of support for LEAs to make the dramatic organizational, cultural, and educational changes necessary to make their lowest-performing schools work and provides additional supports to create long-term systemic programs in order to address student learning. The four intervention models are clearly focused on making sure that schools are equipped to maximize student success. This includes hiring effective teachers in their classrooms, providing additional learning time, and exposing students to community services and supports. LEAs will be receiving a large portion of SIG funds to do this work at the local level. Our work will be to ensure that LEAs, as the locus of control for turning around schools, effectively implement and support these four intervention models to improve the achievement of students in these lowest-achieving schools. The remainder of this section describes the detailed plan the State has for implementing these goals and activities. Appendix E, page 407, also provides a summary of these goals and activities, as well as the accompanying responsible parties and projected timelines.

Goal: Identify the State’s persistently lowest-achieving schools (E)(2)(i)

Strategies

Define the State’s Persistently Lowest-Achieving Schools. In order to focus resources and intervention efforts on the schools that need them the most, the first step in this work is establishing a system for identifying, on an annual basis, the persistently lowest-achieving schools that require intervention. The CDE and the SBE identified these schools using the following process (as outlined in the federal guidelines and pursuant to recent state legislation enacted as part of California’s special session on RTTT).¹²¹

The State first identified Title I schools in improvement, corrective action, or restructuring (n=2,735) and secondary schools that are eligible but do not receive Title I funds (n=1,022). To identify the lowest 5 percent of these schools (or 187 schools), the State then calculated the average three-year proficiency rate for English-language arts and mathematics using the three previous school years (2006-07, 2007-08, 2008-09). Prior to identifying specific schools, we

¹²¹ SBX5 1; E.C. 53201.

excluded from the list of potential those schools that had shown at least 50 points of growth in the Academic Performance Index (API) over the previous five years (to speak to the requirement that only schools showing a lack of progress over a certain number of years should be included). The State also excluded from the list of potential schools any county community schools, district community day schools, and juvenile court schools, as we do not believe these schools are the intended focus of the intervention models. Finally, schools not meeting California's established minimum group size for accountability were excluded.¹²²

This methodology yields 187 persistently lowest-achieving schools (84 elementary, 46 middle, and 57 high schools) identified for the first year of the RTTT grant. These schools must choose one of the four intervention models to implement by the 2011-12 school year, unless they have already implemented one of the models within the previous two years.¹²³

Goal: Establish clear and strong accountability measures for the persistently lowest-achieving schools to ensure student success (E)(2)(ii)

Strategies

Review and approve plans for participating LEAs' transition to the intervention models for their persistently lowest-achieving schools. Participating LEAs with at least one of the persistently lowest-achieving schools will need to develop a clear plan to turn around such schools in the school's Single Plan for Student Achievement (SPSA). An LEA's plan will need to include a description of the intervention model that the LEA is going to implement, the reasons why the LEA selected that intervention model, their plan for transitioning to this intervention model, and any outside partner they will utilize to do this work. Additionally, LEAs undergoing the DAIT process due to the district's lack of progress on federal accountability measures (described above), will also need to describe how they will coordinate their DAIT work and their RTTT work around the lowest-achieving schools. (These LEAs will continue to participate in the DAIT process and will still be subject to the sanctions the SBE deems

¹²² The guidance asks states to include high schools that have had a graduation rate, as defined in Section 200.19(b) of Title 34 of the Code of Federal Regulations, that is less than 60 percent in each of the previous three years, and the recently enacted state law also includes this requirement (see E.C. 53201(d)). However, California's data system only recently began tracking data that will allow the state to calculate this type of graduation rate, and we are two years away from being able to calculate this information statewide. Therefore, the State cannot presently include these high schools in the list of persistently lowest-achieving schools, but we will as soon as the data system allows.

¹²³ E.C. 53202 (see Appendix E, page 403).

necessary but, through this RTTT, can also seek outside partners for implementing one of the four intervention models in its lowest-achieving schools.)

LEAs will initially submit these plans to their Regional Lead Offices (described in Section (A)(2)) for review and comment so that the Regional Leads can provide assistance to the LEA and learn of the turnaround work happening in their region. The LEA will then submit their plan to SBE for review and approval.

Set and implement clear consequences for LEAs that do not turn around their persistently lowest-achieving schools within three years. Students in these schools have been left languishing for too long; and for these schools, a lack of clear progress will no longer be acceptable. To this end, part of the charge of the 11 Regional Lead Offices will be to oversee the progress of LEAs with schools on the State's list of the lowest-achieving schools and report issues to the SBE.

Oversight by the Regional Lead Office will include ensuring that the first cohort of the LEAs with the persistently lowest-achieving schools indicate which of the four intervention models they will be using by fall 2010 and fully implement the intervention models by the 2011-12 school year. This will allow each LEA a full school year to plan and transition for the new intervention at their persistently lowest-achieving schools.

After initial oversight of the selection and planning for the intervention model, the SBE will set benchmarks to determine that the LEAs are making progress with their lowest-achieving schools. LEAs not on track to making clear progress with their persistently lowest-achieving schools will come before the SBE to discuss their progress and to lay out plans to meet their overall benchmarks in the future. For schools that do not demonstrate progress after three years, there must be clear consequences. Any persistently lowest-achieving school that does not demonstrate progress within three years of implementation of the intervention model (excluding the planning year) must implement one of the remaining three models.

Goal: Provide strong and ongoing state and regional supports for LEAs to effectively select and implement intervention models appropriate for their students and staff. (E)(2)(ii)

Strategies

Provide tools and resources to LEAs selecting and launching the four intervention models. The CDE will contract with outside organizations to develop specific tools by the fall and winter of 2010 for use by LEAs in collaboration with the regional system of support that will include:

Diagnostic tools to assist LEAs in assessing the reasons behind a school’s sustained low performance and, in turn, inform the LEA’s selection of an intervention model.

Determining the most appropriate strategy for each school can be a challenge and is often reliant on understanding the root causes for persistent failure in that school as well as that school’s unique history. Additionally, state law mandates that the persistently lowest-achieving schools seek input from staff, parents, and the community about which option would be most suitable for the school.¹²⁴ To assist LEAs and community members in this process, we will develop a framework to determine the causes for the persistent low achievement as well as guidelines that LEAs can use to select the appropriate intervention strategy, based on existing research and the diagnostic framework. Working with their Regional Leads, LEAs will use these analytical tools to determine which intervention model is most appropriate for them.

Guidelines for LEAs to determine which qualities to look for in an outside partner.

Under the State plan, LEAs will be able to select any organization or partner they feel will best assist them in their work of turning around their lowest-achieving schools. To assist LEAs in this process, the State will develop guidelines and tools for Regional Leads and LEAs to understand how to select a provider that will best suit their needs.

Guidelines for LEAs to understand key steps in an incubation process for restarting or turning over a school. Previous experiences have demonstrated that an “incubation phase” is necessary to successfully convert a public school to a charter school or to turn around a persistently low-achieving campus. This “incubation” phase may include creating a new school vision; finding the best school leader to help frame and drive the school’s vision; selecting the

¹²⁴ E.C. 53202.

appropriate staff; and increasing parent and community involvement before the new school opens. To this end, the State will use RTTT funds to develop research-based guidelines for this all-important incubation phase.

Information for parents/community members to understand the four intervention models. State law requires that an LEA with a persistently lowest-achieving school hold two public hearings to determine which intervention model will be used to turn around that school. Additionally, new legislation enacted this month in a special RTTT session requires that any corrective action school (not just persistently lowest-achieving schools) implement one of the four intervention models if 50 percent of the parents or students in a school sign a petition requesting such a change.¹²⁵ Therefore, to ensure that the parents and community members involved in these decisions are well-informed about this process, the CDE will partner with organizations experienced in parent outreach to create materials that provide information that will inform their decision to select and implement an intervention strategy.

Model memorandum of understanding (MOU) for LEAs to use when entering into an agreement with charter management organizations (CMOs) or education management organizations (EMOs). Given that various LEAs will be creating new agreements with CMOs and EMOs in many districts across the state, the State will develop a model MOU template that LEAs can use if they wish in order to relieve the burden on LEAs to do this work.

Develop and support a cadre of turnaround principals through a Turnaround Principal Institute. As schools confront the task of implementing a turnaround model that requires wide-sweeping change at the school site, leaders with specific skills in this work will be needed across the state. Therefore, the State will develop a set of principals for this work through both a Turnaround Principal Institute to build capacity for the turnaround model of school intervention, and through ongoing job-embedded professional development for turnaround principals through a mentor program with a high performing turnaround principal. (See description in Section (D)(5) for more detail.)

Create a Regional Charter Innovation Center: In addition to the support provided by the 11 Regional Lead Offices, as described in Section (A)(2), the State will hold a competitive bid for a separate Regional Charter Innovation Center. While there are several charter support organizations currently in the state, such as the California Charter School Association (CCSA)

¹²⁵ SBX5 4; E.C. 53300 et seq.

and the Charter Schools Development Center (CSDC), we also recognize that turning around the most persistently lowest-achieving schools is different from starting a new school or system of schools. We acknowledge that the capacity in this area needs to be strengthened. The Center will support all 11 regions and the LEAs within those regions that want to support the development of charter organizations to serve the needs of low-performing schools. The contract will be awarded by the fall of 2010 so that the organization can begin the work to assist LEAs while the LEAs plan for their 2011-12 implementation of the intervention models.

Coordinate professional learning communities (PLCs) for turning around the lowest-achieving schools: In addition to the specific tools that will allow the LEAs to get this work off the ground, the State will also coordinate and support PLCs for participating LEAs to continuously learn from each other as they work to turn around their lowest-achieving schools. Previous evidence suggests that participants in state programs for low-performing schools found that there was very little communication between schools in programs about effective strategies to improve.¹²⁶ Therefore, as described in (A)(2), starting in the winter of 2010, the State will coordinate both in-person meetings utilizing the regional system of support to disseminate the latest research and policies, as well as provide ongoing supports and conversations with web-based dialogues and online seminars housed on the existing Brokers of Expertise portal. The PLCs, coordinated by the State and implemented regionally through the course of the grant, will further strengthen our regional system of support to ensure there is adequate help for LEAs to dramatically alter the trajectories for students in these schools.

Goal: Provide additional resources and supports to LEAs that will allow for lasting change after the schools' implement the turnaround models. (E)(2)(ii)

While it is important that we have plans to support LEAs in selecting and initially implementing one of the four intervention models for their lowest-achieving schools, it is also essential that we support LEAs in investing these one-time dollars in developing systems that more effectively serve the learning needs of students so that when the SIG and RTTT funding ends, there are systems in place to provide ongoing supports for improving student achievement.

¹²⁶ Bitter, C., Perez, M., Parrish, T., Gonzalez, R., Socias, M., Salzfass, L.,...Estra, P. (2005). *Evaluation Study of the Immediate Intervention/Underperforming Schools Program of the Public Schools Accountability Act of 1999. Final Report.* Palo Alto, CA: American Institutes for Research.

Therefore another goal is to implement support structures that can ensure ongoing success after the initial implementation of an intervention model.

Strategies

Provide challenge funds for programs that will improve learning for students of all ages. The State would like to ensure that the lowest-achieving schools have access to programs that can ensure their student's success. Specifically, the State will provide challenge funds for participating LEAs with the lowest-achieving schools who are interested in building out their (1) quality early childhood education (ECE) programs; (2) practices and programs focused on STEM; and (3) CTE/multiple pathways programs. Through this challenge grant, State funds will leverage an LEA's SIG and other Title I funds as well as any philanthropic resources, as a way of promoting the diffusion of these highly promising practices.

First, having high-quality ECE programs ensures that students enter school better prepared to learn. The State is currently developing quality indicators for ECE programs through the Early Learning Quality Indicator System (ELQIS) Committee, and will soon be able to provide LEAs with quality standards by which to measure their ECE programs. For participating LEAs that are interested, the State will provide challenge funds to develop or enhance quality ECE programs in their district that have linkages to K-12 schools.

Second, recognizing the importance of reinforcing a district's STEM programs in order to ensure students have access to rigorous science, technology, engineering, and mathematics courses to better prepare them for college and career, the State will provide challenge funds to participating LEAs with the persistently lowest-achieving schools to invest further into their STEM programs.

Third, recognizing the difficulty of improving high schools, the State will provide additional supports for participating LEAs who would like to create or more fully develop their CTE/multiple pathways program.¹²⁷ As each LEA has broad latitude to define its own theme-based pathways, often associated with industries prevalent in that region, the decision for program focus and scope would be made locally. There is already a strong basis for this work in the state, as the State has invested, with foundation partners, in a pilot of this model that has

¹²⁷ For a full description of CTE/multiple pathways, please see Appendix A.

recently been evaluated.¹²⁸ For the purposes of RTTT, participating LEAs with the persistently lowest-achieving schools will receive matching funds from the State to develop or enhance these programs in their district.

Foster the development of district partnerships for on-going success. In addition to the investments that we will make *within* LEAs for student learning, we will also encourage partnerships *between* LEAs that mirror an innovative strategy that the State is currently piloting in two of our largest districts, Fresno Unified and Long Beach Unified (both of which are participating LEAs). The Fresno-Long Beach Partnership is a joint effort to pursue common goals, measure outcomes, share professional knowledge, learn from each other, and support each other's progress. Through a strong level of joint commitment across the two systems, a deep engagement in common activity, and the strong agreement about the leadership practices that are most likely to make a difference for student achievement, the partnership fuels ongoing improvement in both districts. California plans to use this partnership as a model for leaders in other districts that are similarly committed to achieving common goals. High-performing LEAs partnering in this effort will receive additional flexibility from the SBE. Ultimately, this strategy provides a long-term means to build capacity across districts by leveraging assets already in place within the districts.

Goal: Learn as a state from our successes (and our failures) to continuously improve.

Finally, recognizing that much of the work of the four intervention strategies has not been implemented at this scale and that there will certainly be a mixture of successes and challenges along the way, the State will document and evaluate the work done around the four intervention models. In this regard, the State will (1) learn from LEA's turnaround work beyond the four intervention models; (2) conduct evaluations of implementation and impact of the four turnaround models; and (3) coordinate and partner in cross-state learning of these turnaround efforts.

¹²⁸ California Department of Education. (2010). *Assembly Bill 2648 multiple pathways report* (Draft). Sacramento, CA: Author. Retrieved January 7, 2010, from http://www.schoolsmovingup.net/cs/mps/print/htdocs/mps/report_draft.htm.

Strategies

Collect information from LEAs to learn from other innovative strategies to turn around schools. Starting in 2010, all participating LEAs will be required to provide information on methods they have used to turn around their struggling schools. It is our intent to collect this information yearly in a comprehensive and systematic way to learn about innovative and effective strategies that have been developed at the local level and may not fit into the four turnaround categories. Such strategies, if implemented *before* schools require restructuring, could be used effectively to prevent progression into the latter stages of Program Improvement.

Conduct evaluation of four intervention models in the lowest-achieving schools to examine implementation and determine effects of the models. As an unprecedented number of schools in the State will simultaneously be implementing these four dramatic intervention models, the State will contract for an independent evaluation of interventions from the 2011-12 school year through the 2013-14 school year to gauge the models' effectiveness. Lessons learned from this evaluation will be incorporated into the ongoing work of these turnaround models across the state.

Coordinate and participate in cross-state learning. Recognizing that states across the nation will be implementing the four intervention strategies simultaneously, we plan to work with outside foundations to coordinate a cross-state forum in 2013 that will collect and disseminate best practices for turning around low-performing schools. We believe that we can contribute to this national conversation as well as learn from the nation in this hard work.

Performance measures

To ensure that we are able to conduct the activities and meet the goals of this work, we have set the metrics, outlined below in Exhibit 22, to ensure that we are making the necessary progress in this hard work.

Exhibit 22: Performance Measures for Turning around the Lowest-Achieving Schools

	Actual Data: Baseline (Current school year or most recent)	End of SY 2010-2011	End of SY 2011-2012	End of SY 2012-2013	End of SY 2013-2014
The number of schools for which one of the four school intervention models (described in Appendix C) will be initiated each year.	Unknown	+/- 187	+/- 200	+/- 200	+/- 200

As Exhibit 22 indicates, we expect that all schools identified as persistently lowest-achieving will implement one of the four intervention models by the 2011-12 school year (or will have already implement the model in the previous two years). This time span will allow LEAs to take advantage of the supports being developed at the State level to select the appropriate intervention model for the school and plan for the transition to this model. Given that we do not know the total number of schools that will be in improvement, corrective action, or restructuring in future years, we cannot provide an exact count of the 5 percent persistently lowest-achieving schools for the subsequent years. We estimate that the number may rest at approximately 200, based on the first year cohort and will refine these numbers each year.

Section (F): State Reform Conditions Criteria

(F)(1) Making Education Funding a Priority

(F)(1)(i)

Despite a fiscal crisis that forced California to confront the worst economic downturn since the Great Depression, the State has made education funding a priority over the last several years, as demonstrated in Exhibit 23. In the face of the precipitous decline in state revenue from FFY 2008 to FFY 2009, education funding as a percentage of state revenues has increased from 46 percent to 47 percent. In his most recent budget proposal in January of 2010, the Governor indicated his intent to protect education, including higher education, from further cuts and to fund K–12 education funding at the same General Fund level as in the prior fiscal year, despite a significant budget deficit of \$20 billion. Education has remained a funding priority despite the State’s budget shortfalls, because California recognizes that the best way to a long-term economic recovery is to invest in a high-quality education system from preschool through college.

Exhibit 23: California Makes Education Funding a Priority
(in millions)

	(2007–08) FFY 2008	(2008–09) FFY 2009
K–12 State Funding	\$38,020	\$31,763
CCC State Funding	4,174	3,966
IHEs State Funding		
University of California	3,257	2,418
California State University	2,971	2,155
Total	6,228	4,574
Total, all Public Education	\$48,422	\$40,302
State Revenues Available for Education and Other Purposes		
General Fund Revenues	102,574	82,772
Plus Prior Year Ending Balances	2,787	2,314
Total Revenues Available	105,361	85,086
Percentage of Revenues Used to Support Education	46.0%	47.4%

(F)(1)(ii)

California’s funding policies provide nearly equal amounts of funding per student for every school district, depending on size and type, from combined state funds and local property taxes which are counted pursuant to the State’s Proposition 98 Guarantee. Approximately 68 percent of State funding is provided as general purpose funding through an entitlement to each school district based on reported average daily attendance multiplied by the district’s “revenue limit.” Additionally, the State provides school districts with funding for numerous categorical programs, either through the state General Fund or special funds. Generally, funding for categorical programs has been restricted for specific uses (e.g., instructional materials, adult education, and English language learners), or has been contingent on achieving certain goals (e.g., class-size reduction). Thus, all school districts are assured of equitable funding without regard to the wealth of the community they serve.

The discussion below outlines the State’s history on funding aimed at ensuring there is equitable funding across LEAs and describes both the major provisions of the Proposition 98 Guarantee and the State’s major general purpose funding programs.

History. The revenue limit funding system evolved as a result of two historical events in California: the California Supreme Court’s ruling in *Serrano v. Priest* in 1971, and the enactment of Proposition 13 in 1978. In 1971, the California Supreme Court ruled that significant wealth-related disparities in per-pupil expenditures denied pupils in less wealthy districts a constitutional right to an equal education. The resulting legislation established districtwide, per-pupil revenue limits for each school district that would be equalized among all districts over time.¹²⁹ The initial revenue limit was based on total state and local funding received by the school district, divided by the number of pupils served by the district in 1972–73.

Six years after the enactment of the revenue limit system, California voters passed Proposition 13, which reduced the K–12 share of local property tax revenues by 55 percent, from approximately \$5 billion in 1977–78 to \$2.25 billion in 1978–79. The State chose to backfill most of these local revenue losses, and today the State’s share of total revenue limit funding is approximately 63 percent, compared with 35 percent in 1975–76.

Proposition 98. On November 8, 1988, the voters of California approved Proposition 98, a combined initiative constitutional amendment and statute called the “Classroom Instructional

¹²⁹ SB 90: Chapter 1406, Statutes of 1972.

Improvement and Accountability Act.” Proposition 98 guaranteed K–12 education and California Community Colleges a minimum level of funding (the “Proposition 98 Guarantee”). Proposition 98 (as modified by Proposition 111, enacted on June 5, 1990) guarantees K–14 education the greater of: (a) in general, a fixed percentage of state General Fund revenues (“Test 1”); (b) the amount appropriated to K–14 education in the prior year, adjusted for changes in state per-capita personal income and enrollment (“Test 2”); or (c) a third test, which replaces Test 2 in any year that the percentage growth in per-capita General Fund revenues from the prior year plus one half of one percent is less than the percentage growth in state per-capita personal income (“Test 3”). Local property tax collections represent an offset to state General Fund costs in a Test 2 or Test 3 year.¹³⁰ Proposition 98 provides funding through revenue limits and categorical aid as described below. (Additional details on the operation of Proposition 98 calculations appear in Appendix F, page 411.)

Revenue Limits. The State provides most general purpose K–12 education funding through a calculation known as the “revenue limit.” The revenue limit is an amount calculated pursuant to statute for each school district on a per unit of average daily attendance (ADA) basis and adjusted annually to provide cost-of-living (COLA) increases, and periodically to further equalize funding among similar district types (i.e., unified school districts, high school districts, and elementary school districts) and district size (i.e., small and large). A school district’s total revenue limit funding is equal to its revenue limit per ADA multiplied by its ADA plus various adjustments that the State may add or subtract as specified in statute.

Revenue limit apportionments, the primary source of general-purpose funding for California schools, are made up of local property taxes and state aid. State aid consists of the difference between the revenue limit entitlement of a particular district and the amount of local general-purpose revenue. Based on information submitted by each school district, the California Department of Education (CDE) calculates the State’s share of each district’s revenue limit and distributes the funding on a per-average-daily-attendance (ADA) basis.

As of 2009–10, elementary district base revenue limits average about \$5,007 per ADA, high school districts average about \$6,017 per ADA, and unified districts average \$5,235 per ADA. While the overall range of revenue limits is significant because of some high revenue limit

¹³⁰ Constitution Section 8 of Article XVI (see Appendix F, page 412).

districts, previous equalization efforts have substantially equalized the revenue limits of most school districts.

Categorical programs. The State also provides school districts with funding for numerous categorical programs, either through the state General Fund or special funds. Generally, funding for these programs has been restricted for specific uses (e.g., instructional materials, adult education, and English language learners), or has been contingent on achieving certain goals (e.g., class size reduction). In particular, Economic Impact Aid funding (\$946 million) is specifically provided to LEAs serving students meeting poverty standards to recognize the needs of those pupils.

Most recently, however, the Governor and the Legislature, in an effort to help school districts better manage their budgets during these tough economic times, provided relief from a variety of requirements attached to 42 categorical programs (see Appendix F, page 410) though fiscal year 2012–13, allowing school districts to transfer funds for any purpose to meet their highest priority needs. In addition, the reduced penalties associated with K–3 Class Size Reduction, allowing districts to retain up to 70 percent of funding if pupil-to-teacher ratios increase more than 25 to 1, continue through 2011–12, providing greater local flexibility. Economic Impact Aid funding was not included in the list of flexible programs, again recognizing the special needs of a high-poverty population.

In summary, California provides a funding system for K–12 schools that is equitable among all LEAs. Base general purpose funding has long been equalized across size and type of LEA, and the categorical programs have been provided to address specific needs. To further recognize that every LEA has a different set of needs, many of the categorical programs are now allowed to be spent on local priorities. In a state as complex as California, the funding systems have been carefully established to provide relative equity across all sizes and types of LEAs, as well as for pupils with various and unique needs.

(F)(2) Ensuring Successful Conditions for High-Performing Charter Schools

(F)(2)(i)

California has been on the leading edge of the charter school movement since its inception. In 1992, California became the second state in the country to enact charter school legislation, and

over time has seen the number of charter schools increase at an average rate of 82 schools per year. In absolute numbers, California has the most charter schools and the largest number of charter students of all states.¹³¹ As of the 2009–10 school year, there are 810 active charter schools in California, which represents almost 8 percent of the schools in the State. This translates to over 250,000 K–12 students in California who attend a charter school in 323 elementary, 89 middle, and 249 high schools, as well as 149 K–12 schools. Recently, California was one of only three states to receive an “A” from the Center for Education Reform for the strength of its charter school laws, noting that the State has the largest number of charter schools in the country because of “consistent improvements to the law” and “highly equitable funding measures” for their charters.¹³²

Exhibit 24 outlines the different types of California’s charter schools.

Exhibit 24: Types of California’s Charter Schools, 2009–10

Types of California Charter Schools	Number of Schools (n=810)
Conversion	122
Start-up	688
Traditional	
Traditional	226
Performing/Fine Arts	96
Technology	65
Science/Mathematics	35
Vocational	26
Montessori	21
Other Specialty	486
Instructional Model	
Site-based instruction	626
Independent study	152
Combination of site-based and independent study	32
Funding Model	
Directly funded (i.e., funded by State)	577
Locally funded (i.e., funded through a district)	219
Not in funding model	14

One reason for this large number of diverse types of charters is because California law has created an environment supportive of the development of high-quality charter schools throughout

¹³¹ EdSource. Charter Schools—Their Numbers and Enrollment. Author. Retrieved November 30, 2009 from: http://www.edsource.org/sch_ChSch_VitalStats.html.

¹³² Center for Education Reform. *Charter school access across the states 2010*. 11th Edition. Retrieved December 17, 2009, from <http://www.edreform.com/shopcer/index.cfm?fuseaction=details&pid=1000055&back=home&ShopCat=1>.

the State. According to a report recently released by the National Alliance for Public Charter Schools, California ranks third in the nation when evaluated for its commitment to the full range of values in the public charter school movement: quality and accountability, funding equity, facilities support, autonomy, and growth and choice.¹³³

In 1998, California repealed its original statute that set a total cap of 100 charter schools in the State and enacted a law that allows for continued growth in the number of charter schools.¹³⁴ Specifically, California allowed a total of 250 charter schools to be authorized in 1998, with a provision to increase that total by an additional 100 charter schools (or approximately 1 percent of all schools in California) in *each successive school year*. Moreover, any unused authorizations roll over to the following year. This limit has never restricted the number of charters authorized because the authority to expand has far outpaced the actual growth in charter schools. For instance, in 2009–10, up to a total of 1,350 charter schools were authorized to operate, in contrast with the 810 schools actually in operation. This number will continue to grow annually, thereby authorizing a number of charter schools that far exceeds 10 percent of the total schools operating in the State.

Section (F)(2)(ii)

The California Education Code clearly outlines the approval, oversight, reauthorization, and revocation of charter schools and charter school districts. Details of the processes associated with California charter schools are contained in Appendix F, starting on page 411. There are multiple methods to request authority for a charter, whether at the school district level, the county level, or the state level. There are clear appeal processes for denials at each level. Charters can be granted for individual schools, for an entire school district, an entire county, or for a “statewide benefit” charter school, which provides instructional services that cannot be provided by a charter school operating in only one school district or county.¹³⁵ This system of multiple authorizers and types of charters ensures that there is sufficient opportunity for innovative ideas to develop in charters across the State. All charter school petitioners must agree to meet all statewide academic standards and conduct all state pupil assessments.

¹³³ National Alliance for Public Charter Schools. (2010, January) *How state charter laws rank against the new model public charter school law*. Washington, DC: Author.

¹³⁴ E.C. 47602 as amended by AB 1544 of 1998 (see Appendix F, page 414).

¹³⁵ E.C. 47605.8 (see Appendix 416).

When a charter is granted, the initial charter is approved for a period of up to five years. Renewals that are approved must be approved for five years and are based on the criteria associated with student achievement and academic quality. Charter authorizers also must provide ongoing oversight of the charter, including site visits and monitoring of the school's fiscal condition.¹³⁶ In California, charter school oversight and monitoring are primarily implemented by the school district authorizer. The law also provides county and state education agencies with charter oversight and monitoring responsibilities, including the right to investigate and to revoke a charter school.

California has also supported its charter schools by providing state-led technical assistance through a CDE charter support team and the State Advisory Commission on Charter Schools, which reviews charter school funding and programmatic issues and provides advice to the State Board of Education (SBE). In addition, the California Charter School Association (CCSA) and the Charter Schools Development Center (CSDC) provide resources and training for charter school leaders and staff. However, as described in Section (E)(2), the State intends to strengthen this support structure by creating a Regional Charter Innovation Center to support charter organizations to serve the needs of low-performing schools. The contract will be awarded by the fall of 2010 so that the organization can begin the work to assist LEAs while the LEAs plan for their 2011-12 implementation of the intervention models.

California works to ensure that charter schools provide high-quality education for students. However, for those charter schools that do not meet the statutory requirements, the charter is revoked. A charter can be revoked for failure to meet or pursue any student outcomes identified in the charter; violation of the charter's conditions, standards, or procedures; fiscal mismanagement; or violation of any provision of law.¹³⁷ To strengthen the existing accountability provisions, in December 2009, the SBE began the rule-making process to adopt regulations that would allow for the revocation of academically low-performing charter schools by the SBE.

To demonstrate California's commitment to approve high-quality charters and to revoke the charters for schools that have not been successful, Exhibit 25 provides data on the numbers of charter schools started, renewed, and closed for each of the past five years.

¹³⁶ E.C. 47604.32-47604.33 (see Appendix F, page 417).

¹³⁷ E.C. 47607 (see Appendix F, page 417).

**Exhibit 25: Number of California Charter School Applications Approved,
Denied, and Closed, 2005–06 to 2009–10**

	2005–06	2006–07	2007–08	2008–09	2009–10
Number of charter school applications approved	78	107	100	86	66
Number of new charter school applications opened	85	78	108	83	92
Number of charter schools closed (including charter schools that were not reauthorized to operate)	31	39	25	35	10 (to date)

The State does not maintain information on the total number of applications made for charter schools or the total number of new charter applications denied, nor does it systematically collect the reasons why charter school applications are denied. Therefore, we cannot provide that information in this application; however, the State is currently developing plans to collect such data, as indicated in California’s State Fiscal Stabilization Fund (SFSF) Phase 2 application.

Section (F)(2)(iii)

California has established funding mechanisms for the State’s charter schools to help ensure that charter schools receive equitable funding as compared with traditional public schools.¹³⁸ The State’s Education Code states that “It is the intent of the Legislature that each charter school be provided with operational funding that is equal to the total funding that would be available to a similar school district serving a similar pupil population.”¹³⁹ Section (F)(1)(ii) describes California’s general funding mechanism for our schools, which provides both significant general purpose funding as well as categorical funding. Charters receive funding that is similar to traditional public schools, both from the State funding mechanisms and from federal funding. Analysis of revenues reported by LEAs for 2007–08 indicates that for the most part, this aim is successful. (See Appendix F starting on page 426 for a more detailed description and an overview of the State’s Education Code in this area.)

¹³⁸ E.C. 47630—47664.

¹³⁹ E.C. 47630.

Section (F)(2)(iv)

The provision of facilities is one of the greatest challenges faced by charter schools throughout the country. California is unique in providing several programs and in enacting legislation to assist charter schools in securing facilities. For instance, in 2000, voters in California enacted Proposition 39, which required that public school facilities be shared fairly among all public school students, including those in charter schools.¹⁴⁰ Charters participate in significant state and federal programs for facility costs, and are treated in a manner substantially similar to public schools. (See Appendix F starting on page 445 for more details.)

Additionally, the State has made a significant investment in charter school facilities through the State School Building Program. This program provides state general obligation bond funds for school district facility construction and renovation. In the last three bond measures approved by California voters, charter schools received a specific set-aside of these bonds that were earmarked exclusively for charter school construction and renovation projects which charters could access independently from their district.¹⁴¹ In total, these three bond measures have authorized \$850 million for charter school construction projects.

To summarize this section, California's work toward approval, funding, oversight, and facilities of charter schools—coupled with a strong accountability system that holds them to the same academic standards as all public schools—demonstrates the State's overarching commitment to ensure that all students across the State have access to innovative learning environments.

(F)(3) Demonstrating Other Significant Reform Conditions

In addition to the reform conditions the State has put in place around the four key assurance areas that have already been described in this proposal, California has taken many additional measures to build a foundation of reform. Here, we highlight two: (1) creating a policy environment for strengthening the role of parents in the education of their children, especially when those children attend low-performing schools; (2) encouraging innovation and flexibility at the local level; and (3) improving and expanding early childhood education.

¹⁴⁰ E.C. 47614.

¹⁴¹ E.C. 100620; 100820; and 101012.

Empowering parents

As part of the bold legislation signed by the Governor in January 2010, the State has empowered parents across the State to make choices to best fit the needs of their children. Specifically, we will annually identify the 1,000 lowest-performing schools in the state and require the school districts responsible for them to inform the parents of students in those schools that they not only have the right to request a transfer to any other school in the district (as required by NCLB), but to *any other school in the state* with better student achievement.¹⁴² With a few exceptions—e.g., lack of space, disruption to existing voluntary desegregation plans—the district receiving the request must approve it.

A second provision of the legislation empowers parents in low-performing schools, in addition to those identified as persistently low-achieving under Race to the Top (RTTT), to petition their local school district to implement one of the four school turnaround models identified in the RTTT guidelines or the alternative governance arrangement described in NCLB.¹⁴³ The school district must then proceed to implement the model recommended by the parents or provide written reasons in a public meeting why it cannot implement that model and then identifies which of the options it is able to implement.

Creating a culture of innovation and flexibility

California educators frequently complain about being constrained in their improvement efforts by a web of rules and regulations that stifle creativity. A variety of factors contribute to this situation, but steps have been taken to create a more flexible system, and the State intends to build on this platform to support the greater innovation and creativity called for in this proposal.

Education Code Flexibility. California’s Education Code has grown exponentially over the years, from a document of 550 pages and 13 sections shortly after its inception in 1943, to today’s behemoth of over 2,000 pages and 100,000 sections. Although efforts have been made to reduce the number of provisions in our Education Code, those efforts have demonstrated that it is much easier to enact legislation than to revoke a provision. Nonetheless, the SBE has a powerful tool at its disposal and it intends to continue to use it on behalf of the participating LEAs, and to support innovation and reform across the system. In fact, a LEA may request a waiver of almost

¹⁴² E.C. 48350 (see Appendix F, page 455).

¹⁴³ E.C. 53300 et seq (see Appendix F, page 457).

any section of the Education Code.¹⁴⁴ As examples, in recent years, the SBE has used its waiver authority to create the conditions for the Long Beach–Fresno partnership referenced above, in Section (E)(2), and to create a blanket waiver policy for the state’s highest-performing schools. The SBE is committed to using the full extent of its waiver authority to support LEAs that are participating in our RTTT proposal.

Categorical Flexibility. Perhaps more than any other state, California has relied on a system of categorical programs to promote its policy objectives. Special programs have been created and funded to support students with special needs, to provide transportation, to improve curriculum and instruction, to reduce class size, and so forth. Although each program promotes a worthy policy objective, in the aggregate, they presented districts with a bewildering panoply of rules and compliance requirements that focused their attention on meeting the rules rather than determining how best to spend funds to further their educational goals.

In taking advantage of the current fiscal crisis, the Governor and the Legislature have removed the rules and requirements for 42 major categorical programs (see Appendix F, page 410). In essence, LEAs will continue to receive the funds for the 42 programs but, after a local public hearing, may use the funds for any educational purpose beginning in 2009 and extending for the next four years. We feel that this increased flexibility will be beneficial to our participating LEAs as they work together to meet the ambitious goals described in this proposal, and it is likely to set a pattern for flexibility.

Local Budgeting Flexibility. Several districts across the state, including large urban districts such as Oakland Unified and San Francisco Unified, take the approach for local flexibility one step further with school-based budgeting policies. School-based budgeting allows the majority of resource decisions to be pushed to the school site, empowering school leaders, parents, and community members to make resource and planning decisions that are best for the needs of the students in their schools.

Improving and expanding early childhood education

Just as California is committed to improving the quality of our K–12 public school system, California is committed to providing a high-quality system of early learning. As evidence of the State’s commitment, in the last few years, California has taken critical steps to improve the

¹⁴⁴ E.C. 33050 et seq.

quality of our early learning programs and support a seamless transition from preschool to kindergarten. Specifically, California's early learning focus includes:

- Infant-Toddler and Preschool Foundations (standards) that align with the K–12 content standards with the addition of a social–emotional domain;
- Curriculum Frameworks aligned with the Foundations;
- Assessment System (Desired Results Developmental Profile) also aligned with the Foundations;
- Professional Development System that includes the development of teacher competencies and support for early educator training;
- Resources that include the Preschool English Learner Guide (PEL Guide) and the Infant-Toddler and Preschool Program Guidelines;
- A Quality Rating and Improvement System policy and implementation plan, scheduled for completion in 2011; and
- An Early Learning Advisory Council to coordinate statewide efforts for early care in education, which the Governor established by Executive Order this year.

California has also provided greater access to care for low-income children by developing a system of county-centralized eligibility lists. In 1998, voters passed Proposition 10, which authorized a 50-cent tax to each pack of cigarettes sold for the creation of First 5 California, also known as the California Children and Families Commission. First 5 California provides a comprehensive system of education, health services, child care, and other crucial programs, and also supports access to high-quality preschool programs in many communities throughout the state.

Competitive and Invitational Priorities

Priority 2: Competitive Preference Priority: Emphasis on Science, Technology, Engineering, and Mathematics

California is a center of innovation in many STEM industries, including high tech and biotech industries. With a desire to maintain its status as the engine of the knowledge economy, California is proposing to further invest in developing students with the skills and knowledge needed, not only to contribute to, but also to drive future innovation and development in STEM fields. To this end, the State has already established key programs to advance STEM such as:

- Building a teacher development system particularly focused on recruiting and training mathematics and science teachers through a network of programs that has resulted in thousands of new mathematics and science teachers (see Section (D)(1) and (D)(3)).
- Supporting programs in California's state colleges, universities, and community colleges that aim to increase the number of qualified mathematics and science teachers in California with the support of public and private partners (Section (D)(1) and (D)(3)).
- Streamlining the credentialing process for prospective career technical education (CTE) teachers (Section (D)(1) and (D)(3)).
- Encouraging participating LEAs to use existing funds to offer separate compensation to teachers in hard-to-staff fields such as mathematics and science under the State's Professional Development Block Grant (Section (D)(3)).

Our Race to the Top (RTTT) plan builds upon these efforts with a multifaceted effort that emphasizes STEM. This effort includes the following:

- Facilitating professional learning communities to engage researchers and practitioners in sharing research and effective practices for teaching Algebra; developing CTE/multiple pathways in high schools; and strengthening STEM education. (Section (A)(2)).
- Modifying the State's accountability metrics—the Academic Performance Index (API)—to emphasize science and mathematics to a greater degree (Section (B)(2)).
- Adding new data elements to the statewide longitudinal database that focus on CTE/multiple pathways. These data elements include many with a STEM focus—such as

- Establishing a new CTE/STEM alternative pathway into teaching that will, for the first time, authorize non-profit organizations to train prospective teachers (independent from public education entities such as districts, counties, and institutes of higher education) (Section (D)(1)).
- Providing challenge grants for LEAs with the persistently lowest-achieving schools to build out their STEM and CTE/multiple pathways programs in order to ensure they are creating systemic changes that will better address the learning needs of all students (Section (E)(2)).

As just one example of the commitment our state has from leaders in the field of technology, TechNet—a national, bipartisan network of technology company CEOs in the fields of information technology, clean technology, and biotechnology—has not only pledged to support the aims in this plan but has also committed to continue sustained advocacy to achieve our goals, help connect employers to schools, and support regional efforts to strengthen STEM education, particularly by enhancing teacher professional development opportunities, expanding use of technology in the classroom and embracing hands-on inquiry based methods to help students master twenty-first century skills like critical thinking and problem-solving

Priority 3: Invitation Priority: Innovations for Improving Early Learning Outcomes

Success in school is highly dependent on the quality of the care that children receive in child care and preschool settings in the years leading up to entry into kindergarten.¹ Californians believe that our State’s children are a top priority. That’s why in 1998 voters passed Proposition 10, adding a 50-cent tax to each pack of cigarettes sold to create First 5 California, also known as the California Children and Families Commission. First 5 California is dedicated to improving the lives of California’s young children and their families through a comprehensive system of education, health services, childcare, and other crucial programs. Funding from First 5 has supported access to high-quality preschool programs in several communities throughout the state.

More recently, the State has taken bold steps to promote access to high-quality early child education (ECE), and support a seamless transition from preschool to kindergarten, through an Early Learning and Development System. Specifically, this system features standards, curriculum, assessment and professional development. The State is also developing a Quality Rating and Improvement System and, by Executive Order this year, the Governor established an Early Learning Advisory Council to coordinate statewide efforts for early care in education. The State has been nationally recognized because of these efforts and seeks to continue its leadership using RTTT and other federal funds.

California's proposal to the Institute for Education Sciences (IES) requested funding to, among other things, explore the functionality of incorporating pre-kindergarten data in the statewide longitudinal data system. California's RTTT plan builds on its extensive investments to date by:

- Facilitating a Professional Learning Community (PLC) to engage researchers and practitioners in sharing research and effective practices for expanding access to quality early care (Section (A)(2)).
- Extending the state's longitudinal data system functionality to incorporate pre-K data, which could include the data needed to support the Quality Rating and Improvement System, if the State does not receive the IES grant to do so (Section (C)(2)).
- Encouraging participating LEAs to further invest in linking their early childhood efforts with K-12 endeavors by providing challenge funds for LEAs with persistently low-achieving schools to build out their quality early childhood programs (Section (E)(2)).

Priority 4: Expansion and Adaptation of Statewide Longitudinal Data Systems

The State has made major progress toward the realization of a fully implemented statewide longitudinal data system that contains information on all of California's students (CALPADS) and teachers (CALTIDES) (see Section (C)(1)). Recent legislation also served to further strengthen these data systems both by removing any barriers to linking student and teacher data for purposes of tying teacher performance to student growth, and by authorizing the coordination and sharing of data between PreK-12, higher education and employment agencies (see Section (C)(1)). To further enhance our data system, California submitted a grant application to IES in

December 2009 which will move the State substantially forward in meeting all 12 elements of the America COMPETES Act, including connecting the student identifiers in the K-12 and higher education data system.

California's RTTT application further exemplifies our commitment to expanding our data system to be able to address more questions relevant to policy and practice, all with the goal of creating a clear cycle of continuous improvement, by expanding data elements in the State's longitudinal data system to create a truly comprehensive statewide P-20 data system, including connecting the K-12 and post-secondary data systems (if the State does not receive IES funding) (Section (C)(2)).

Priority 5: Invitational Priority: P-20 Coordination, Vertical and Horizontal Alignment

Coordination and alignment of the educational sectors from early childhood through postsecondary education has been, and continues to be a clear and significant focus for California. The State has signaled its strong commitment to coordination and sharing of data among PreK-12, higher education and employment agencies. California's RTTT application underscores the State's dedication to these efforts by proposing to explore the functionality of building out the pre-K data system to link with the K-12 system, and in turn, link K-12 and higher education data using RTTT funds if we do not receive the IES grant (see Section (C)(1)). Indeed, all institutions of higher education are joining us in this critical and worthwhile endeavor. We received formal Memoranda of Understanding (MOUs) from California's Institutes of Higher Education (IHEs)—including the University of California, California State University, California Community Colleges, and the Association of Independent California Colleges and Universities—indicating, among other things their commitment to aligning the K-12 and higher education systems in terms of data, curriculum standards, and evaluating student growth (see Section (A)(3) and Appendix A, page 59).

While much progress has been made in coordinating the efforts across all sectors, more work remains. However, the current coordinating efforts, some well established and some under way, provide a sound basis for development and implementation statewide. Following is a synopsis of some of California's current P-20 coordination efforts:

1. Infant -Toddler and Preschool Foundations (standards) that align with the K-12 content standards with the addition of a social-emotional domain.
2. California has an established P-16 Council which includes the Superintendent of Public Instruction, Secretary of Education, President of the State Board of Education and 44 education, business, philanthropy, and community leaders who serve as members. The Council is charged with examining ways to improve student achievement at all levels and link preschool, elementary, middle, high school, and higher education to create a comprehensive, integrated system of student learning. The Council has provided the State with recommendations on high school reform, professional development and closing the achievement gap in California's public schools.
3. California has established The California Education Round Table, which is comprised of the chief executive officers of California's educational segments (K-12 and IHEs) and the state's long-range planning and coordinating agency for higher education (the California Postsecondary Education Commission) and meets regularly to work on intersegmental issues. To pursue its initiatives, the Round Table established a "programmatic arm" called the Intersegmental Coordinating Committee (ICC), which is composed of staff, faculty, and student representatives from all sectors of education.
4. In January 2008, California joined the American Diploma Project (ADP) Network, the national initiative of Achieve, to improve the alignment of each state's high school policies with the expectations of colleges and employers. California government leaders, in partnership with the state's K-12 and postsecondary education segments as well as the business and career technical education communities, have been engaged in a validation of the state's assessment of college readiness for the purpose of expanding its use to all the state's postsecondary education segments.
5. The California Alliance for Regional Collaboration to Heighten Educational Success (ARCHES) is a confederation of affiliates that come together to focus on the issues facing all segments of education in a local region. In recent years, ARCHES has awarded and administered various planning and implementation grants to facilitate the development of new and emerging regional collaborations.

Priority 6: Invitational Priority: School-Level Conditions for Reform, Innovation, and Learning

California has worked recently to enable a culture of innovation and flexibility. As outlined in Section (F)(3), the State has taken steps recently to create a more flexible system for LEAs and their schools, including waiving the rules and requirements for 39 categorical program funds to allow for greater decision-making at the local level. Additionally, as noted in Section (F)(3), the State allows LEAs throughout the state to implement school-based budgeting policies, if the LEAs feel that their district would benefit from creating more autonomous decision-making over resources and plans at the school site. Finally, and perhaps most importantly, the State recently empowered parents to become more directly involved in the decisions about which schools should be turned over and which models the schools should use to improve student achievement (see Section (F)(3)).

The State intends to continue the support for innovation and creativity at the school site. Specifically, our regional support system will provide technical assistance for schools in the development and implementation of the transformation model, that encourages LEAs to providing school leaders with “sufficient operational flexibility such as staffing, calendars/times, and budgeting” to improve student outcomes (see Section (E)(2)). Additionally, the State will develop information and guidelines, in coordination with outside organizations familiar with parent outreach and community, to ensure that parents and community members are fully involved in the turnaround work at their respective schools.

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