



Race to the Top

Technical Review Form - Tier 2



New York Application #3650NY-6

A. State Success Factors

	Available	Tier 1	Tier 2	Init
(A)(1) Articulating State's education reform agenda and LEA's participation in it	65	54	54	
(i) Articulating comprehensive, coherent reform agenda	5	5	5	
(ii) Securing LEA commitment	45	40	40	
(iii) Translating LEA participation into statewide impact	15	9	9	

(A)(1) Reviewer Comments: (Tier 1)

(A)(1)(i)

The applicant has set forth a clear and comprehensive statement of its vision for using Race to the Top (RTTT) funds to promote a reform agenda implementing goals across all four education areas described in the ARRA. The state emphasizes new legislation signed into law in 2010 that (1) establishes a new teacher and principal evaluation system making student achievement data a substantial component of how educators are assessed and supported, (2) raises the state's charter cap from 200 to 460 schools, (3) enables districts to contract with education management organizations for the management of the state's persistently lowest-achieving schools, and (4) funds the implementation of an enhanced longitudinal data system. The applicant has structured its extensive reform goals both to build upon the strengths of the state's K-12 education system and to focus on areas of reform that had not previously been addressed by earlier reform efforts. The applicant's ambitious agenda will be helped by the extensive authority over public education held by The Board of Regents of the University of the State of New York and by the large network of 37 District Superintendents who oversee Boards of Cooperative Educational Services (BOCES) staffed with 34,000 professionals, which are in turn are served by 12 Regional Information Centers (RICs) that provide the BOCES and their component districts with high-quality technology-related services. The aggressive agenda outlined by the state will strain the capacity of any state attempting to do so much for so many students in so many districts, but the applicant appears to have both the existing capacity and the political and bureaucratic will to re-organize and re-focus that will be necessary to drive their reform agenda to fruition over the next several years. A score at the top of the "high" range is awarded.

(A)(1)(ii)

The applicant's Memoranda of Understanding (MOUs) with its participating LEAs requires commitments to implement all of the elements of the state's reform plan. The MOUs closely follow the Model MOU provided by the Department with no significant deviations to the scope of work descriptions. The state department of education specifically instructed LEAs that any language insertions, addenda (including any conditions on participation and/or implementation), comments, strikeouts, or deletions would not be approved. As a result, the MOUs represent strong commitments by the 744 participating LEAs to implement all portions of the state's RTTT plans. Signatures were obtained from 100% of the LEA superintendents, 85.6% of the local school board presidents, and 70.8% of the applicable local teachers' union leaders, demonstrating broad but not universal leadership support within the participating LEAs. One concern with the participation of local teachers' union is that the local teachers union did not sign the MOU in five of the seven large urban districts identified as serving high numbers of high-needs students (together, these districts make up

forty percent of the students in the state, and 65 percent of the state's high-needs students). Full points were awarded for parts (a) and (b) but a "medium" level of points for part (c), for an overall score in the "high" range.

(A)(1)(iii)

The state has provided ambitious yet achievable goals for increasing overall and student subgroup proficiency scores on 2011 and 2013 4th and 8th grade math and reading NAEP assessments. The increased proficiency targets under an RTTT grant are contrasted with baseline targets expected if a RTTT grant is not awarded. In addition, ambitious yet achievable goals are set for percentage gains on state assessments in 4th and 8th grade math, science, and English language arts (and also for several Regents Exams) through 2014, again compared with baseline projections for targets if RTTT funding is not provided. The applicant's discussion of how it set those targets and why some recent increases might not be sustained at the same level of progress in future years is thoughtful and detailed, and it demonstrates the integrity of the process by which these targets were determined.

Overall achievement gains between subgroups in reading/language arts and math on NAEP and state assessments are predicted to be larger with RTTT funding than without, but RTTT funding is not expected to drive significantly larger closing of the achievement gaps than without funding. This is disturbing, as it shows that all students and subgroups may achieve 3-4 percentage points better with RTTT funding than without, but that the size of most achievement gaps will remain roughly the same as without funding. Thus, the applicant's RTTT plans do not seem aimed at diminishing the size of achievement gaps by significantly boosting the achievement of under-performing subgroups, only at increasing student achievement levels overall and across all subgroups, with achievement gaps remaining roughly constant or only minimally smaller over the course of a RTTT grant.

Similarly, aggressive goals under RTTT and without RTTT funding are provided for overall graduation rates, college enrollment, and college persistence rates, showing that the state predicts increases 2.5 to 3.5 times faster with RTTT funding than without through 2014. No information is provided by subgroups, however, for these three sets of goals.

The state's goals in the areas described above are likely to have broad statewide impact, as 85.9% of the state's LEAs are participating in RTTT, covering 95.5% of the state's schools, 95.6% of the state's K-12 students, and 98.2% of the state's students in poverty. A score in the top of the "medium" range is awarded for this subsection.

(A)(2) Building strong statewide capacity to implement, scale up, and sustain proposed plans	30	29	29	
(i) Ensuring the capacity to implement	20	19	19	
(ii) Using broad stakeholder support	10	10	10	

(A)(2) Reviewer Comments: (Tier 1)

(A)(2)(i)

The applicant's existing capacity and its thoughtful restructuring of the RTTT management structure under a Senior Deputy Commissioner is one of the key strengths of this application. By creating new offices focused on supporting turnaround schools, coordinating the state department of education's services to districts, building public/private partnerships, analyzing statewide data and partnering with higher education institutions to develop a broader P-20 research agenda, and overseeing implementation of all RTTT activities, the state has developed a complex but coordinated structure for managing its RTTT reform plans and ensuring adequate supports are provided to districts, school leaders, and teachers. In addition, the plan leverages well the statewide professional development network, one of the state's biggest assets. The application inspires confidence that the state knows what it is about to undertake and will be able to

achieve an effective and efficient oversight and implementation of a RTTT grant if one is awarded. The state's budget is well designed to accomplish the state's plan and enable it to meet its targets. Significant attention is provided to coordinating the state's RTTT budget with other federal and state funds. A "high" score is awarded.

(A) (2)(ii)

The state's plan was developed with input from and open engagement with a broad group of stakeholders. Over 100 letters of strong support were provided, including from the State's teachers unions and other diverse, critical stakeholders. A score in the "high" range is awarded.

(A)(3) Demonstrating significant progress in raising achievement and closing gaps	30	21	21	
(i) Making progress in each reform area	5	5	5	
(ii) Improving student outcomes	25	16	16	
(A)(3) Reviewer Comments: (Tier 1)				
(A)(3)(i)				
<p>The applicant demonstrates that it has made significant progress in each of the four education reform areas and positioned itself to build upon those reforms with RTTT. This strong foundation has enabled the state to build an aggressive set of reforms into the RTTT program to take the state's K-12 system to a higher level of achievement. This progress has been supported by considerable alignment of federal and state funding in recent years. A score in the "high" range is awarded.</p>				
(A)(3)(ii)				
<p>The state provides student outcomes on NAEP and state assessments going back, when available, to 1998 -1999. Consistent achievement gains are shown on the state's grades 3-8 assessments in math and reading, although the percentage of students scoring at or above 65 on the State Regents Exams have been relatively stable for English and actually dropped for math (a new math exam was introduced in 2008). NAEP overall scores showed significant gains in 4th grade reading since 2003, slightly increased scores in 4th grade math and 8th grade math, and stable scores in 8th grade reading. Subgroup scores on NAEP exams were not provided, although the application notes that English language learners (ELLs) on Grade 4 NAEP math improved rapidly from 2003 to 2009. As a result, no achievement gaps decreases were discernable from the NAEP data provided. For the state assessments, achievement gaps between subgroups appear to have remained relatively flat or decreased slightly since 2003. The data did not provide any subgroup information for white students, allowing only achievement gap comparisons between subgroups and the overall group.</p> <p>High school graduation rates overall and by subgroup have improved steadily and significantly since 2003, with the notable exception of students with disabilities, which have remained flat. In general, the state has done a good job of explaining the data and actions that have contributed to the progress made in the areas described above, with the notable exception of why achievement and graduation rates for students with disabilities tend to be relatively stable, when the K-12 system overall is seeing gains. A score in the "middle" range is awarded for this subsection.</p>				
Total	125	104	104	

B. Standards and Assessments

	Available	Tier 1	Tier 2	Init
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(B)(1) Developing and adopting common standards	40	40	40	
(i) Participating in consortium developing high-quality standards	20	20	20	
(ii) Adopting standards	20	20	20	

(B)(1) Reviewer Comments: (Tier 1)

(B)(1)(i)

The applicant is a member of the Common Core State Standards Initiative, involving 48 states, 2 territories, and the District of Columbia. Full points are awarded for this subsection. Requested documentation is complete.

(B)(1)(ii)

The applicant plans to adopt the Common Core State Standards in math and English language arts in July 2010. Full points are awarded for this subsection.

(B)(2) Developing and implementing common, high-quality assessments	10	10	10	
(i) Participating in consortium developing high-quality assessments	5	5	5	
(ii) Including a significant number of States	5	5	5	

(B)(2) Reviewer Comments: (Tier 1)

(B)(2)(i)

The state is a governing member of two multi-state consortia formed to create and adopt high-quality assessments aligned with the Common Core State Standards. Full points are awarded for this subsection.

(B)(2)(ii)

These two assessment consortia are the Partnership for Assessment of Readiness for College and Careers (PARCC) (27 states), and the National Center on Education and the Economy's Board Examination Systems Consortium (10 states). Full points are awarded for this subsection.

(B)(3) Supporting the transition to enhanced standards and high-quality assessments	20	20	20	
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(B)(3) Reviewer Comments: (Tier 1)

(B)(3)

The applicant provides a detailed, thorough, and high-quality plan for how participating LEAs will deliver standards-aligned instruction, and for how the state will deliver comprehensive LEA supports for standards and high-quality assessment implementation. Specific foci include realigning the high school diploma and assessment policies to support college success and career readiness, developing statewide curriculum models aligned to the Common Core, developing supplemental assessments, including performance-based formative and interim assessments, providing professional development for all teachers, principals, and

administrators, and piloting a board examination system. A detailed and sequenced timeline is provided that identifies key activities relevant to the implementation of standards-aligned instructional systems in the state. A score in the "high" range" is awarded.

Total	70	70	70	
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C. Data Systems to Support Instruction

	Available	Tier 1	Tier 2	Init
(C)(1) Fully implementing a statewide longitudinal data system	24	24	24	
(C)(1) Reviewer Comments: (Tier 1)				
(C)(1) The applicant currently has 12 of 12 America Competes Act elements in its statewide longitudinal data system. Several elements will be enhanced over the next couple years, but the required functions exist currently. Full points are awarded for this section.				
(C)(2) Accessing and using State data	5	4	4	
(C)(2) Reviewer Comments: (Tier 1)				
(C)(2) The State sets forth a high-quality plan for ensuring that data from the State's longitudinal data system are accessible to, and used to inform and engage, key stakeholders. The applicant will design and build an Education Data Portal to be broadly accessible to the state's diverse stakeholders and use the Data Portal as a multimedia networking platform to support professional development and instructional improvement. Usage will proceed from pilot programs to staggered rollouts to ensure broad usage and stakeholder satisfaction, and continual improvement of the Data Portal will be a focus. Detailed performance measures are provided, but it is not clear whether an average of 5 visits per year per visitor to the portal is aggressive or sufficient to substantively improve instruction in the state. A score in the "high" range is provided.				
(C)(3) Using data to improve instruction	18	17	17	
(i) Increasing the use of instructional improvement systems	6	6	6	
(ii) Supporting LEAs, schools, and teachers in using instructional improvement systems	6	6	6	
(iii) Making the data from instructional improvement systems available to researchers	6	5	5	
(C)(3) Reviewer Comments: (Tier 1)				
(C)(3)(i) The applicant has a high-quality, detailed plan for how it will use data to improve instruction. It will create a statewide comprehensive instructional reporting and improvement system available to all stakeholders through the Education Data Portal and provide integrated, ongoing professional development to educators				

on the use of data to improve instruction through the statewide network. Within 3 years, every school will be using the statewide instructional improvement system detailed in the application, and 240,000 teachers and administrators will have been trained through network teams to use it. Each activity is well developed, with appropriate timelines and responsible parties. A score in the "high" range is awarded.

(C)(3)(ii)

The state department of education will fund and oversee network teams of experts who will support local educators who analyze student achievement, identify problems, determine interventions, and evaluate results. The state will also create an early warning system to help LEAs identify and help students at risk of falling behind or dropping out. BOCES will help districts to input data into the longitudinal data systems and analyze the data, and it will coordinate the network teams helping school-based inquiry teams to interpret the data and decide what actions to take in response. Each activity is well developed, with appropriate timelines and responsible parties. A score in the "high range" is awarded.

(C)(3)(iii)

The data from the comprehensive instructional reporting and improvement system and the longitudinal data system will be made fully accessible electronically to researchers. A wide-ranging research agenda will be pursued to identify and replicate best practices. Each activity is well developed, with appropriate timelines and responsible parties. A score in the "high range" is awarded.

Total	47	45	45	
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D. Great Teachers and Leaders

	Available	Tier 1	Tier 2	Init
(D)(1) Providing high-quality pathways for aspiring teachers and principals	21	16	16	
(i) Allowing alternative routes to certification	7	5	5	
(ii) Using alternative routes to certification	7	5	5	
(iii) Preparing teachers and principals to fill areas of shortage	7	6	6	

(D)(1) Reviewer Comments: (Tier 1)

(D)(1)(i)

In April and May 2010, the Regents approved pilot programs for new alternative routes to certifications for teachers and principals in high-need schools that may be offered by approved non-institutions of higher education. Such programs must meet the same standards as those required of institutions of higher education (IHEs), including academic level, content, rigor, and other resources. A Blue Ribbon Commission of distinguished educators will evaluate all applications and recommend to the Regents those programs that should be authorized to establish new clinically rich teacher and principal preparation programs. The application does not clearly address all 5 elements of alternative routes to certifications, but the statute and regulations cited appear to include at least 4 of the 5. "High" points are awarded for this subsection.

(D)(1)(ii)

The Board of Regents has long encouraged partnerships using the alternative routes to teacher certification that are already in use to expand the state's teaching force in high-need schools and subject areas. There is a route for individuals with baccalaureate degrees and one for individuals with graduate degrees, plus a

couple lesser-used transitional certification routes. Thirty IHEs with 389 programs offer these two main alternative certification routes. Most of the employees with transitional certificates work in the New York City school system. Alternative pathways exist for principals as well through six leadership programs. All of the existing routes in use are offered through IHEs, although the Regents are inviting non-IHEs to compete to be authorized to implement the new pilot routes for high-need schools. "High" points are awarded for this subsection.

(D)(1)(iii)

In 2005, the state department of education implemented a data-driven teacher and principal supply and demand model to identify, evaluate, and monitor the regions of the state with the greatest shortages of newly certified teachers and principals. Beginning the fall of 2010, the state department of education will also collect vacancy data from each LEA by certification area and grade level and add these data to the existing certificate supply data. This will inform the state, LEAs, teacher and principal preparation institutions, and the public where and in what areas shortages exist, allowing them to better address teacher and principal need. "High" points are awarded for this subsection.

(D)(2) Improving teacher and principal effectiveness based on performance	58	52	52
(i) Measuring student growth	5	4	4
(ii) Developing evaluation systems	15	12	12
(iii) Conducting annual evaluations	10	8	8
(iv) Using evaluations to inform key decisions	28	28	28

(D)(2) Reviewer Comments: (Tier 1)

(D)(2)

The state has provided a high-quality plan with ambitious yet achievable targets to ensure that participating LEAs have teacher and principal performance evaluation systems that focus on student learning and growth and that provide the data and targeted preparation, training, and professional development necessary to achieve the state's RTTT goals.

(D)(2)(i)

The state has committed to developing a statewide student growth model and a value-added model that will measure student growth at the individual student level and apply these models to help them determine teacher and principal effectiveness. A Teacher and Principal Effectiveness Advisory Council will be formed to advise on this process and make recommendations to the Commissioner by July 2001. By August 2012, the Regents will adopt a value-added growth model for measuring educator effectiveness. A score in the "high" range is awarded.

(D)(2)(ii)

The state has recently passed a new law requiring the design and implementation of rigorous, transparent, and fair evaluation systems for teachers and principals that will differentiate effectiveness using multiple rating categories that take into account data on student growth as a relatively significant factor (40% after July 2011) and are designed and developed with teacher and principal involvement. A high-quality plan is provided for making this happen in the next several years. Other than having representation on the Teacher and Principal Effectiveness Advisory Council, it is not clear how input from teachers and principals will inform the development of the evaluation systems. A score in the "high" range is awarded.

(D)(2)(iii)

Under the new teacher and principal evaluation law, the state will conduct annual evaluations of teachers and principals that include timely and constructive feedback, as well data on student growth for their students. Teams of evaluation coaches will be trained to work with groups of schools to ensure school leaders fully understand and implement all aspects of the new teacher and principal evaluations. A score in the "high range" is awarded.

(D)(2)(iv)

The new state law requires that teacher and principal evaluations conducted on or after July 1, 2011 shall be a significant factor in (1) teacher and principal development, including coaching, induction support, and differentiated professional development; (2) a wide array of critical employment decisions, including tenure determination, promotion, supplemental compensation, and termination, as well as professional development; and (3) teacher and principal tenure and/or full certification (where applicable). It also provides an expedited disciplinary process for ineffective teachers and principals. By the end of 2013-2014, 100% of participating LEAs will have approved evaluation systems for the elements covered by this subsection. A high-quality plan is detailed for how these systems will be developed and implemented, and a score at the top of the "high" range is awarded for this subsection.

(D)(3) Ensuring equitable distribution of effective teachers and principals	25	18	18	
(i) Ensuring equitable distribution in high-poverty or high-minority schools	15	11	11	
(ii) Ensuring equitable distribution in hard-to-staff subjects and specialty areas	10	7	7	

(D)(3) Reviewer Comments: (Tier 1)

(D)(3)(i)

The state has set forth a high-quality plan with relatively ambitious yet achievable annual targets to ensure the equitable distribution of teacher and principals. The state will invest in differentiated professional development and supports with a focus on teachers and principals who are in high-need schools and shortage subject areas. The annual targets for (D)(3)(i) seem appropriate, given the state's inability to set a baseline until 2010-2011, but not overly ambitious over the four years of the grant cycle. A score in the lower end of the "high" range is awarded.

(D)(3)(ii)

The state will fundamentally redesign teacher and principals preparation programs and create expedited pathways to certification for teacher and principal shortage areas, including for teachers in the STEM disciplines. The state also will establish a Transfer Fund to provide financial incentives to encourage the most effective teachers and principals to take teaching assignments in high-need schools, especially in the STEM areas, as well as an Innovative Supplemental Compensation Incentive Fund that will give priority funding to the best teachers and school leaders in high-need schools. It is not clear how many new effective teachers in hard-to-staff subjects and specialty areas will result from this plan. The annual targets for (D)(3)(ii) seem appropriate, given the state's inability to set a baseline until 2010-2011, but not overly ambitious, given that by the end of 2013-2014, only 80 percent of math, science, special education, and ELL teachers are expected to be rated effective or better. A score in the upper end of the "medium" range is awarded.

(D)(4) Improving the effectiveness of teacher and principal preparation programs	14	12	12	
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(i) Linking student data to credentialing programs and reporting publicly	7	6	6	
(ii) Expanding effective programs	7	6	6	
(D)(4) Reviewer Comments: (Tier 1)				
(D)(4)(i) The State commits to linking student achievement and growth data to teachers and principals using the new evaluation system passed into law in 2010, to linking this data to the in-State programs preparing those teachers and principals by June 2012, and to reporting the data publicly. The state's annual targets are ambitious and the plan of sufficient quality as to merit a score in the "high" range.				
(D)(4)(ii) The state has a high-quality plan for expanding preparation and credentialing options and programs that are successful at producing effective teachers and principals. All teaching candidates will be required to pass a performance-based assessment to obtain initial teaching certification, and a second performance-based assessment, including evidence of student growth and achievement, for professional teaching certification. A performance-based assessment will also be required for certification of principals. The state plans to increase the rigor of its Content Specialty Tests and incorporate emerging best practices into teacher and principal preparation program redesign. A score in the "high" range is awarded.				
(D)(5) Providing effective support to teachers and principals	20	14	14	
(i) Providing effective support	10	7	7	
(ii) Continuously improving the effectiveness of the support	10	7	7	
(D)(5) Reviewer Comments: (Tier 1)				
(D)(5)(i) By 2011-2012, the state plans to provide a comprehensive new system of differentiated professional development for teachers and principals linked to educator evaluation outcomes. Specific attention will be paid to developing state, regional, and local capacity to assist educators in high-need schools. The state's plan is of high quality in terms of its detailed steps for revamping professional development but less specific in describing the value and uses of the various supports that will be developed. A score in the "medium" range is awarded.				
(D)(5)(ii) The state will measure the effectiveness at improving instruction and, ultimately, of increasing student achievement, of its professional development supports by conducting interim and summative evaluations, using both qualitative and quantitative measures. Relatively little discussion is provided on the process by which and criteria under which local professional development will be evaluated. A score in the "middle" range is awarded.				
Total	138	112	112	

E. Turning Around the Lowest-Achieving Schools

	Available	Tier 1	Tier 2	Init
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(E)(1) Intervening in the lowest-achieving schools and LEAs	10	10	10
(E)(1) Reviewer Comments: (Tier 1)			
(E)(1) The state has longstanding, strong legal authority to intervene in persistently lowest-achieving schools and in districts through its Schools Under Registration Review (SURR) process, District Improvement Plan process, and Distinguished Education program. Full points are awarded.			
(E)(2) Turning around the lowest-achieving schools	40	40	40
(i) Identifying the persistently lowest-achieving schools	5	5	5
(ii) Turning around the persistently lowest-achieving schools	35	35	35
(E)(2) Reviewer Comments: (Tier 1)			
(E)(2)(i) The applicant has already and will continue to identify its persistently lowest-achieving schools as well as the lowest-achieving secondary schools that are eligible for but do not receive Title I funds in the state. The state's methodology is approved by the U.S. Department of Education. Fifty-seven schools have been already identified, and the state plans to identify another 30-35 schools each year during the RTTT grant period, for a total of approximately 150 schools by the end of the grant period. Full points are awarded.			
(E)(2)(ii) The state has a long history of working to turn around struggling schools. Since the inception of SURR in 1989, 316 schools have been identified for registration review, of which 217 were removed from review because they improved their performance. Another 70 schools were phased out or closed. The state is reorganizing its state department of education to provide more focused and sustained support to LEAs with persistently lowest schools, and it provides detailed plans for dramatic school interventions using the four school intervention models. The plan is of high-quality and is awarded points in the "high" range.			
Total	50	50	50

F. General

	Available	Tier 1	Tier 2	Init
(F)(1) Making education funding a priority	10	9	9	
(i) Allocating a consistent percentage of State revenue to education	5	5	5	
(ii) Equitably funding high-poverty schools	5	4	4	
(F)(1) Reviewer Comments: (Tier 1)				
(F)(1)(i)				

The state increased the level of its State budget support for elementary, secondary, and public higher education from 39.4 percent in 2007-2008 to 41.7 percent for 2008-2009, an increase of \$1.835 billion or 6 percent. High points are awarded.

(F)(1)(ii)

The state has a "foundation aid" education funding formula that ensures adequate funding across school districts, explicitly taking into account student need. Through district improvement plans for districts that fail to make adequate yearly progress for two consecutive years on specified accountability measures, the state also addresses intra-district equity between high-poverty and other schools. Additionally, through the state's Contracts for Excellence Initiative, dozens of high-need districts are required to allocate the majority of their increases in operating aid to high-need schools. A "high" level of points is awarded for this subsection.

(F)(2) Ensuring successful conditions for high-performing charter schools and other innovative schools	40	34	34	
(i) Enabling high-performing charter schools "(caps)"	8	5	5	
(ii) Authorizing and holding charters accountable for outcomes	8	8	8	
(iii) Equitably funding charter schools	8	7	7	
(iv) Providing charter schools with equitable access to facilities	8	8	8	
(v) Enabling LEAs to operate other innovative, autonomous public schools	8	6	6	

(F)(2) Reviewer Comments: (Tier 1)

(F)(2)(i)

The State's new charter cap is 460 schools, which is 9.84 percent of the total schools in the state (using a denominator of 4,677, the total number of school included in the summary chart for (A)(1)(iii)). This qualifies as a "medium" cap under the Reviewer Guidance. There is no cap, however, on the ability of the state's public schools to convert to charter schools. Points at the top of the "medium" range are awarded.

(F)(2)(ii)

The state has a rigorous approval, monitoring, and reauthorization process for charter schools. The 2010 amendment to the state's charter school law increased public accountability and transparency and promotes the formation of charter schools that serve student populations similar to local district student populations. Educational soundness and student achievement are also required factors upon formation or renewal of the charter of a charter school, and poor academic performance is one of the grounds upon which a charter may be revoked. "High" points are awarded for this subsection.

(F)(2)(iii)

The state's charter school tuition formula is based upon the school district's operating expenditures rather than revenue source, and reflects expenditures supposed by both State aid and local taxes for public school students. Appendix F 2 iii 1 provides a detailed explanation of how equitable funding is achieved, on a roughly equal basis as public schools, although on a lagged basis. From the narrative, it appears that this lagged level of funding is greater than 90 percent of the level of funding provided each year to public schools. "High" points are awarded for this subsection.

(F)(2)(iv)

The applicant provides funding for facilities, assistance with facilities acquisition, access to public facilities, and other supports to its charter schools. The state's charter schools have authority to issue corporate

bonds, which are tax exempt. There are also situations in which a charter school may indirectly benefit from school district bonding for school construction. "High" points are awarded for this subsection.

(F)(2)(v)

In addition to charter schools, the state enables LEAs to operate innovative, autonomous public schools, many of which are developed at the LEA level. A score in the "high" range is awarded.

(F)(3) Demonstrating other significant reform conditions	5	3	3
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(F)(3) Reviewer Comments: (Tier 1)

(F)(3)

The state is focused on enhancing its P-20 policy alignment and making use of all available resources to enhance students' educational experience, and on strengthening its career/technical education programs to prepare students better for college and careers. Insufficient detail is provided to fully gauge the extent to which the reforms in this section have increased student achievement or graduation rates, narrowed achievement gaps, or resulted in other important outcomes. A score in the "medium" range is awarded.

Total	55	46	46
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Competitive Preference Priority 2: Emphasis on STEM

	Available	Tier 1	Tier 2	Init
Competitive Preference Priority 2: Emphasis on STEM	15	15	15	

Competitive Reviewer Comments: (Tier 1)

The applicant provides a comprehensive focus on the STEM disciplines throughout the application. The state has established partnerships with numerous stakeholders in STEM education and has a wide array of federally and state-funded STEM initiatives that have already led to the integration of the STEM disciplines throughout the K-12 system. The state's plan for RTTT funding incorporates STEM elements into its plans for reforms in all four education reform areas promoted under the ARRA. Specifically under the RTTT proposal, projects would be funded to provide extended learning opportunities in STEM after school and during the summer for high-needs students, to enhance Advanced Placement training and professional development for teachers, to provide supplemental compensation for teachers of STEM disciplines to work in high-need schools, and to provide virtual STEM courses and related professional development to high-needs rural and urban areas. The applicant addresses all three components of the STEM competitive priority.

Total	15	15	15
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Absolute Priority - Comprehensive Approach to Education Reform

	Available	Tier 1	Tier 2	Init
Absolute Priority - Comprehensive Approach to Education Reform		Yes	Yes	

Absolute Reviewer Comments: (Tier 1)

This is an exceptional application—clear, well organized, comprehensive, and detailed in how the applicant will use RTTT funds to implement significant reforms across all four education reform areas of the ARRA, as well as the State Success Factors Criteria.

Absolute Reviewer Comments: (Tier 2)

The state panel presentation and the panel's responses to reviewer questions demonstrated that this state's top education leadership is keenly focused on and committed to the reforms included in its application. The panel's comments were strong and coherent, and they reinforced that this state is a superior candidate for using RTTT funds to reform the state's K-12 educational system and align it with college and career readiness expectations. Strong curriculum and aligned assessments, aided by significantly improved, data-driven professional development, will drive reform, not merely strong standards. The state's leadership is not waiting for RTTT funds to begin their reforms and is already proceeding with beginning implementation of its plans, but RTTT funding will allow this state to proceed with fully implementing its strong collection of reforms. The state is aware of and honest about where its previous attempts at reform have fallen short or been insufficient, and the state is ready to address those deficiencies head on. A RTTT grant will greatly help this state implement its high-quality application and the plans therein.

Total		0	0	
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Grand Total	500	442	442	
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Race to the Top

Technical Review Form - Tier 2



New York Application #3650NY-4

A. State Success Factors

	Available	Tier 1	Tier 2	Init
(A)(1) Articulating State's education reform agenda and LEA's participation in it	65	54	54	
(i) Articulating comprehensive, coherent reform agenda	5	5	5	
(ii) Securing LEA commitment	45	37	37	
(iii) Translating LEA participation into statewide impact	15	12	12	

(A)(1) Reviewer Comments: (Tier 1)

A 1 (i)

New York describes a comprehensive approach to education reform and improvement including many policies already established in 2007 legislation. In addition, New York State has passed new legislation to fully execute the reform agenda outlined in the Race to the Top application. The new laws (1) establish a new teacher and principal evaluation system that makes student achievement data a substantial component of how educators are assessed and supported, (2) raise the charter school cap from 200 to 460,, (3) enable school districts to enter contracts with Educational Partnership Organizations (the term for non-profit Education Management Organizations in New York State) for the management of their persistently lowest-achieving schools and schools under registration review, and (4) appropriate more than \$20 million to the State Education Department to implement its longitudinal data system. When coupled with New York's proposed adoption of the Common Core Standards, New York is addressing each of the RTTT reform areas.

In addition, for the past several years, New York has participated in the development of the Common Core Standards.

In order for New York State's RTTT plans to have maximum impact for all students in all schools, New York will redesign the State Education Department and will build upon its unique and powerful support structure, the network of 37 BOCES, which provide professional services and technical assistance to LEAs Statewide. The New York Education Department will augment the BOCES' efforts by establishing network teams – three-person teams of experts in curriculum, data analysis, and instruction – that will provide direct support to regional network schools across the four RTTT assurance areas, with a sharp focus on using data to improve instruction. Targeted support will also be provided to districts engaging in school turnaround reforms through lead intervention partners and two dedicated resources: the External Technical Assistance Center for Innovation and Turnaround (ETACIT) and Joint Intervention Teams (JIT).

NYS has its priorities in place and an organizational structure to accomplish its goals.

A 1 (ii)

New York has secured significant support from LEAs including teacher union support in 70.8% of its participating 744 school districts and charter schools. NY, also, did not accept any signatures that were conditional.

New York would not accept any revisions in the MOU wording or any signatures that would only support the reform efforts on a conditional (C) basis. The agreements with the school districts indicate that they will support an evaluation instrument that assigns at least 40% of the credit to the teacher's impact on student learning.

744 LEAs, including 171 charter schools, have committed to implement all portions of the State plan by signing New York State's RTTT MOU (New York State has used the terms and conditions set forth in USDE's model MOU).

While New York's RTTT reforms will impact all the LEAs, schools, and students, in order to reach the greatest number of high-needs students as quickly as possible New York's implementation plan prioritizes the five largest city school districts, as well as those LEAs supporting persistently lowest-achieving schools. These large districts represent 40.0 percent of the State's total student population and 65.1 percent of the State's high-needs students. All of these districts are fully participating.

The fact that only 70.9% of the teacher unions in the participating 744 school districts signed the MOU is a factor in the decision to award only 37 points.

A 1 (iii)

New York proposes a focus on its minority students and provides reasonable targets for academic gains, high school graduation rates and college attendance. NY provides examples with RTTT support and without RTTT support.

While NY's RTTT includes most school districts, it does not include all.

(A)(2) Building strong statewide capacity to implement, scale up, and sustain proposed plans	30	24	24	
(i) Ensuring the capacity to implement	20	16	16	
(ii) Using broad stakeholder support	10	8	8	

(A)(2) Reviewer Comments: (Tier 1)

A 2 (i)

Providing the leadership needed to effectively implement New York's reform plans are:

Meryl Tisch, Board of Regents Chancellor since April 2009, a former first-grade teacher who has been a member of the Board of Regents since 1996.

The newly selected New York State Commissioner of Education and President of the University of the State of New York, Dr. David Steiner, a nationally recognized expert on teacher preparation, and Dr. John King, his Senior Deputy, who founded one of the country's most successful charter schools.

New York has long been a leader in education reform and in recent years has been building the infrastructure necessary to further improve student achievement in the areas of standards and assessments, data systems, great teachers and leaders, and turning around New York State. The appointment of a nationally-respected, reform-oriented leadership team at the State Education Department will administer these various reform efforts.

New York describes in detail how it will implement each phase of its proposal, including the constant use of feedback and revisions.

The RTTT Performance Management office will coordinate with existing NYSED internal control structures for purposes of RTTT fiscal administration and oversight. Several New York government entities are responsible for the management, implementation, and oversight of internal controls and for safeguarding taxpayers' money. This includes the Office of the State Comptroller (OSC), which will take an active role in monitoring the use of RTTT funds. NYSED's Office of Grants Finance will process approved subgrants for payment and maintain a tracking system for all subgrant payments. Monthly reconciliations are conducted

between the Grants Finance system and the Comptroller's system to ensure segregation levels, expenditures, encumbrances, and cash balances are accurate. The Grants Finance Office continuously monitors the availability of grant funds to assure that funds are obligated and expended within the appropriate time period for the fund source.

All grants exceeding \$50,000 must be approved by OSC, and the New York State Attorney General must also approve grants exceeding \$50,000 to agencies other than public school districts, such as BOCES. For internal control, only grants administration and program staff can enter and approve subgrants on the tracking system and only Grants Finance staff can enter payment information and perform voucher, refund, and transfer functions.

The proposal does not provide sufficient examples of how LEAs will successfully implement the reform agenda.

A 2 (ii)

New York describes a proposal development process involving significant stakeholder input.

744 LEAs, including 171 charter schools, have committed to implement all portions of the NYS plan by signing New York State's RTTT MOU (New York State has used the terms and conditions set forth in USDE's model MOU). Also included in these numbers are New York State's Big 5 city school districts, which represent 39.7 percent of all students statewide and 64.6 percent of the State's high-need students. While New York's RTTT reforms will impact all the LEAs, schools, and students, in order to reach the greatest number of high-needs students as quickly as possible, the implementation plan prioritizes the five largest city school districts, as well as those LEAs supporting persistently lowest-achieving schools. These districts are Albany, Buffalo, New York City, Rochester, Roosevelt, Syracuse, and Yonkers, which together represent 40.0 percent of the State's total student population and 65.1 percent of the State's high-needs students. All seven of these districts are participating.

NY has developed an excellent plan that includes a broad range of support from administrators and teachers from the participating 744 LEAs and 171 charter schools.

(A)(3) Demonstrating significant progress in raising achievement and closing gaps	30	25	25	
(i) Making progress in each reform area	5	5	5	
(ii) Improving student outcomes	25	20	20	

(A)(3) Reviewer Comments: (Tier 1)

A 3 (i)

New York provides a lengthy list of projects focused on the state and federal reform efforts. In the past few years, New York has:

Participated in the development of the Common Core Standards,

Has completed its system to collect all 12 data elements required in the America COMPETES Act,

Has established alternative certification programs including a Great Leaders program revising the preparation of school administrators, and

Has developed a nationally recognized system of school accountability.

New York will be able to build on its successful history of reform efforts as it moves to implement its plans for RTTT.

A 3 (ii)

New York provides data showing academic improvement over the past five years for almost all categories of students. In addition, graduation rates have improved. While Black and Hispanic students' achievement still is behind that of White students, the gaps are narrowing. Note the following results:

Increased student achievement in reading/language arts and mathematics, both on the NAEP and on the assessments required under the ESEA; Results from the National Assessment of Educational Progress (NAEP)

New York students have consistently performed higher than national averages on both Grade 4 and Grade 8 Mathematics exams from 2003 to 2009.

On Grade 4 Mathematics exams, in all years 2003 through 2009, average scale scores for all subgroups were at or above national averages.

The percentage of New York students who are at or above Basic in Grade 8 Reading exceeds the national average and the percentage who are at or above Proficient in Grade 8 Mathematics also exceeds the national average.

Performance of ELLs on Grade 4 Mathematics improved rapidly from 2003 to 2009, with the average scale score increasing from 4 percent below the national average to equal the national average.

New York presents significant data illustrating improvement for most students. However, data is not made available for specific sub groups or for improvements in graduation rates leading to assigning a low rating in the high range for this criterion.

Total	125	103	103	
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B. Standards and Assessments

	Available	Tier 1	Tier 2	Init
(B)(1) Developing and adopting common standards	40	40	40	
(i) Participating in consortium developing high-quality standards	20	20	20	
(ii) Adopting standards	20	20	20	
(B)(1) Reviewer Comments: (Tier 1)				
B 1 (i)				
New York will adopt the Common Core Standards in July 2010. All but two States are participating in the consortium of states working to implement these standards.				
B 1 (ii)				
New York provides documentation that the state began the process for adopting the Common Core Standards in 2009 and has followed its timeline for adoption since that time. Revisions have been made when necessary. The New York State Board of Regents plans to adopt the Common Core Standards in July 2010.				
(B)(2) Developing and implementing common, high-quality assessments	10	10	10	
(i) Participating in consortium developing high-quality assessments	5	5	5	
(ii) Including a significant number of States	5	5	5	
(B)(2) Reviewer Comments: (Tier 1)				

B 2 (i)

New York will adopt the Common Core standards and is a member of two consortia formed to develop and implement high-quality assessments: the Partnership for Assessment of Readiness for College and Careers (PARCC), and the National Center on Education and the Economy Statewide Consortium on Board Examination System.

To support educators' implementation of these standards and assessments, the State has a comprehensive plan, which includes the development of statewide curriculum models and performance-based formative and interim assessments for use in New York classrooms.

B 2 (ii)

New York is a member of several consortia focusing on assessment. Twenty-seven states participate in the largest of these consortia.

(B)(3) Supporting the transition to enhanced standards and high-quality assessments	20	20	20	
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(B)(3) Reviewer Comments: (Tier 1)

B 3

New York provides a comprehensive description of its transition plan, as follows:

1. Realign high school diploma and assessment policies to support college success and career readiness.
2. Develop statewide curriculum models aligned to the Common Core,

New York's curriculum models will include:

- Grade-by-grade student expectations (standards and performance indicators), including the knowledge, skills, and understandings that students are expected to achieve at each grade;
- Grade-level learning examples, which include developmentally, appropriate instructional strategies and sample tasks to demonstrate how students can achieve standards, including resources for teachers of students with disabilities and English language learners;
- An appendix of recommended authors and text-normed reading at each grade level to inform local curriculum development;
- Formative assessment tools at each grade level to permit teachers to measure ongoing student grade-level achievement;
- Alignment tools to analyze existing programs and resources against new learning expectations;
- Supplemental curriculum guidance for teachers of English language learners and students with disabilities.

3. Develop supplemental assessments including performance-based formative and interim assessments
4. Provide Professional Development for all Teachers, Principals, and Administrators

The range of various approaches described above by NY will support awarding a high quality score for this criterion leading to the transition to enhanced standards and high-quality assessments at a high-level.

Total	70	70	70	
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C. Data Systems to Support Instruction

	Available	Tier 1	Tier 2	Init
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(C)(1) Fully implementing a statewide longitudinal data system	24	24	24	
<p>(C)(1) Reviewer Comments: (Tier 1) C 1 <i>New York data system includes all 12 required categories.</i></p>				
(C)(2) Accessing and using State data	5	5	5	
<p>(C)(2) Reviewer Comments: (Tier 1) C 2 <i>New York provides considerable detail in the planned use of its system including a focus on STEM.</i> <i>The State's data system will provide needed and timely information to its key stakeholders and play a major role in pursuing the RTTT plans.</i></p>				
(C)(3) Using data to improve instruction	18	18	18	
(i) Increasing the use of instructional improvement systems	6	6	6	
(ii) Supporting LEAs, schools, and teachers in using instructional improvement systems	6	6	6	
(iii) Making the data from instructional improvement systems available to researchers	6	6	6	
<p>(C)(3) Reviewer Comments: (Tier 1) C 3 (i) New York will build its instructional system on existing programs, evaluate their effectiveness and then move the system statewide. Diverse stakeholders—including educators, parents, students, policy leaders, researchers, and the media—will use the information and reports provided by the Data Portal to make decisions and take actions to improve outcomes for New York's students.</p> <p>C 3 (ii) <i>The Portal will be a mechanism for delivering the professional development, training, and materials needed to support the State's reform agenda, including increasing educator effectiveness, developing college-ready standards and assessments, integrating information from interim assessments and the formative assessment process, and supporting school turnaround.</i> <i>The State expects that the portal will have almost 250,000 unique users annually by the end of 2013–14, with 1.2 million annual visits. The system's tools and reports will allow users to customize their experience, prioritize the display of useful information, and share information according to the certain stakeholder roles.</i></p> <p>C 3 (iii) New York is creating a high quality data system by building on its excellent existing data system by developing Education Data Portals (dashboards) to deliver data to the range of interested parties including researchers. A typical dashboard will be a quadrant, with key indicators situated in the four corners of the user's screen. Each dashboard will be designed to feature data useful and appropriate to the specific user, including full longitudinal State assessment data, interim benchmark scores, and student information gathered through the formative assessment process, and early warning reports designed to help identify and provide support for students at risk of not completing educational programs. The content and format of default dashboards will vary by user role, but some common features will include aggregated data with drill-through capability as relevant to district, school, teacher, and student subgroups.</p>				

Teachers will have access to this data in order to evaluate the effectiveness of instructional materials and strategies for educating different types of students

Total	47	47	47	
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D. Great Teachers and Leaders

	Available	Tier 1	Tier 2	Init
(D)(1) Providing high-quality pathways for aspiring teachers and principals	21	21	21	
(i) Allowing alternative routes to certification	7	7	7	
(ii) Using alternative routes to certification	7	7	7	
(iii) Preparing teachers and principals to fill areas of shortage	7	7	7	

(D)(1) Reviewer Comments: (Tier 1)

D 1 i

The Board of Regents and the Commissioner of Education have the authority to establish examination and certification requirements for teachers and school leaders. The law also gives the Regents authority to approve alternative routes to certification for teachers and principals, which includes the authority to incorporate and/or authorize providers other than traditional institutions of higher education (IHEs) to prepare teachers and principals. As a result, New York State offers routes to certification that run along a continuum from traditional IHE preparation to streamlined preparation for qualified candidates through alternative pathways. New York in May 2010 was given the authority to approved alternative routes to certification and is now in the process of establishing the requirements for such programs.

D 1 ii

To ensure a rigorous programmatic review and to select only the highest quality providers to assist in the preparation of teachers and principals for the state's high-need schools, the Regents will charge a Blue Ribbon Commission of distinguished educators – including both teachers and school leaders, to evaluate all applications to meet Commissioner's standards as approved by the Board of Regents, and to recommend to the Regents those programs that should be authorized to establish clinically-rich teacher and principal preparation programs through IHE and non-IHE providers, or in combination. New York is addressing the four alternative route priorities (can be provided by various types of qualified providers, are selected in acceptable candidates, provide school-based experiences and support, limit coursework requirements or allow a candidate to test out)

In order to address shortages in high-need schools and hard-to-staff subject areas, in 2000, the New York Regents approved regulations establishing a fast track, non-traditional approach to certification that would attract qualified, educated individuals into teaching who had not completed traditional teacher education programs. These alternative routes - Transitional B (Trans B) for individuals with baccalaureate degrees; and Transitional C (Trans C) for those with graduate degrees – were geared toward career changers or talented recent graduates with liberal arts or content-area degrees who seek to teach yet lack needed pedagogical training. Candidates entering these programs who meet high admission standards may “test out” of content requirements through transcript review, or rigorous examination. Candidates must also pass New York State Teacher Certification Examinations, including a rigorous Content Specialty. In addition, New York has supported candidates from the Teach for America for over ten years.

D 1 iii

New York uses both state and federal data to determine shortages and monitors this data yearly. For example, SUNY and CUNY campuses have adjusted their recruitment to reflect regional shortages and oversupply. Informed by data, NYSED recently made recommendations to change the certification structure for teachers of students with disabilities (SWD). In addition, NYSED recently expanded the testing window for principals and school superintendents to give candidates in these programs more opportunities to take their required exams, also helping to alleviate shortages. Other important uses of the data include the annual designation of federal shortage areas, disbursement strategies for the Teachers of Tomorrow (TOT) funding (\$25 million 2009-10 State appropriation to attract teachers in hard-to-staff subjects to high-need schools), and NYSED's regular meetings with deans of education to discuss expansion or contraction of existing and new programs.

The initiatives in this proposal (particularly the clinically-rich teacher and principal preparation programs for high-need schools, the Transfer Fund), that will provide: differential pay incentive for outstanding teachers of STEM/English language learners/students with disabilities to work in high-need schools (which include many minorities underrepresented in STEM fields), and

the new expedited pathway for individuals with advanced degrees in the STEM areas to teach in high-need schools.

NY has both a history of and plans for addressing shortages in high need schools and hard to staff subject areas.

(D)(2) Improving teacher and principal effectiveness based on performance	58	55	55	
(i) Measuring student growth	5	5	5	
(ii) Developing evaluation systems	15	12	12	
(iii) Conducting annual evaluations	10	10	10	
(iv) Using evaluations to inform key decisions	28	28	28	

(D)(2) Reviewer Comments: (Tier 1)

D 2 i

New York is working with The Center for Assessment that has worked with Colorado and Massachusetts and a broadly based advisory committee to develop its system.

New York recognizes how difficult and challenging this task will be.

Respondents are being asked to design evaluations systems that have not been implemented successfully in any state. New York discusses developing a value-added system.

New York is awarded high quality points for this criterion based on its plan to work with knowledgeable individuals and approaches that are designed to measure student growth.

D 2 ii

New York has a plan that should lead to the development of a valid evaluation system. Advisory committees will assist in the development of the teacher and principle evaluation systems. Both systems will include multiple categories with student growth a requirement in each.

D 2 iii

New York is developing systems for conducting annual evaluations.

D 2 iv

New York addresses this criterion in the "Great Teachers and Leaders" chart on page 180, which includes an extensive description of the uses for the evaluation data.

(D)(3) Ensuring equitable distribution of effective teachers and principals	25	22	22	
(i) Ensuring equitable distribution in high-poverty or high-minority schools	15	12	12	
(ii) Ensuring equitable distribution in hard-to-staff subjects and specialty areas	10	10	10	

(D)(3) Reviewer Comments: (Tier 1)

New York State shows improvement in its efforts to ensure that all students are taught by highly qualified teachers, as required by the Elementary and Secondary Education Act. In 2004-05, in high poverty schools teachers who were not highly qualified taught 18.3 percent of elementary school classes and 19.7 percent of classes in middle/high schools. By 2007-08, in high poverty schools, New York State teachers who were not highly qualified taught only 5.2 percent of elementary school classes and 12.1 percent of classes in middle/high schools (13.1 percent and 7.6 percent respective reductions from 2004-05). NYSED's will provide tools for school administrators to use to improve the effectiveness of teachers and principals through investments in the development of PreK-12 curriculum frameworks, aligned professional development, formative and interim assessments and redesigned summative assessments, a robust data and instructional reporting system, and new induction programs and principal leadership academies to support new and experienced principals. Central to the diagnostic process for participating LEAs' use of evaluations will be: (1) an analysis of the LEA's ability to enhance educator effectiveness, particularly in high-poverty and high-minority schools, and (2) development of a plan to expand supports for ineffective and developing educators. NYSED's Office of District Services will develop the parameters for the LEAs to follow in completing this self assessment of their performance evaluation systems.

New York is addressing this need through several approaches including but not limited to:

- Identifying teachers and principals in high poverty or high-minority schools,
- Recruiting teachers for shortage areas,
- Providing professional development,
- Monitoring progress through evaluations,
- Providing bonuses for teachers who demonstrate their effectiveness.

Performance measures are included in Chart D 3 ii.

(D)(4) Improving the effectiveness of teacher and principal preparation programs	14	14	14	
(i) Linking student data to credentialing programs and reporting publicly	7	7	7	
(ii) Expanding effective programs	7	7	7	

(D)(4) Reviewer Comments: (Tier 1)

D. 4 i

New York has a reasonable plan for linking the scores of students to their teachers who graduate from the 4,987 state approved programs. When the data is collected, New York will consider eliminating programs where colleges are unable to consistently prepare effective teachers and deny institutions the right to add new programs until they have demonstrated their candidates' effectiveness.

D 4 ii

New York has a comprehensive plan for improving the preparation to teachers at both the undergraduate and graduate levels. Principal programs will, also, be revised. These programs will include a significant clinical experience, be adaptive to different candidates' needs, and provide bonuses and supplemental compensation for many candidates.

(D)(5) Providing effective support to teachers and principals	20	18	18	
(i) Providing effective support	10	10	10	
(ii) Continuously improving the effectiveness of the support	10	8	8	
(D)(5) Reviewer Comments: (Tier 1)				
<p>New York has an extensive network of organizations dedicated to professional development, which it will draw on to, meet the needs of teachers and administrators. The state will evaluate these programs and revise them as necessary.</p> <p>New York will develop programs that focus on interim and summative evaluations, which will provide feedback to LEAs.</p>				
Total	138	130	130	

E. Turning Around the Lowest-Achieving Schools

	Available	Tier 1	Tier 2	Init
(E)(1) Intervening in the lowest-achieving schools and LEAs	10	10	10	
(E)(1) Reviewer Comments: (Tier 1)				
E 1				
<p>New York has full authority, through law and regulations, to intervene in its lowest performing schools and LEAs using one of the four interventions included in RTTT.</p>				
(E)(2) Turning around the lowest-achieving schools	40	37	37	
(i) Identifying the persistently lowest-achieving schools	5	5	5	
(ii) Turning around the persistently lowest-achieving schools	35	32	32	
(E)(2) Reviewer Comments: (Tier 1)				
E 2 (i)				

New York has in place and describes in detail its approach to identifying its lowest-achieving schools and districts. New York is awarded full credit for this criterion based on its historical record of identifying and closing or turning around these low achieving schools and districts.

E 2 (ii)

New York has extensive experience in turning round schools through its Registration Review process, which has seen 216 schools out of 317 moved out of the lowest-achieving schools categories. These approaches include closing schools and/or establishing new schools, two of the four possible approaches endorsed in RTTT.

New York is building its intervention strategies on experience and research, beginning with "Context is critical."

Total	50	47	47	
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F. General

	Available	Tier 1	Tier 2	Init
(F)(1) Making education funding a priority	10	10	10	
(i) Allocating a consistent percentage of State revenue to education	5	5	5	
(ii) Equitably funding high-poverty schools	5	5	5	
(F)(1) Reviewer Comments: (Tier 1)				
<p>F 1 (i)</p> <p>New York increased funding for education funding by 6% during the years 2007-08 to 2008-09.</p> <p>F 1 (ii)</p> <p>In 2008-09 New York high need schools and charter schools received an average of almost three times more fiscal support than the low need schools received.</p>				
(F)(2) Ensuring successful conditions for high-performing charter schools and other innovative schools	40	38	35	
(i) Enabling high-performing charter schools "(caps)"	8	8	5	
(ii) Authorizing and holding charters accountable for outcomes	8	8	8	
(iii) Equitably funding charter schools	8	6	6	
(iv) Providing charter schools with equitable access to facilities	8	8	8	
(v) Enabling LEAs to operate other innovative, autonomous public schools	8	8	8	
(F)(2) Reviewer Comments: (Tier 1)				
<p>F 2 (i)</p> <p>New York initiated charter schools in 1998 and extended their potential through legislation in 2010.</p> <p>New York has established a new cap of 460 public charter schools that the proposal states exceeds 10 percent of the total number of public schools in the State, and therefore qualifies as a "high" cap for the purposes of Race to the Top,</p>				

particularly if the ability of New York's public schools to convert to charter schools, which are not subject to a cap, is factored in.

F 2 (ii)

NY education law establishes detailed application requirements for charter schools, including a required description of student achievement goals and the methods of evaluating whether students have achieved such goals. Under Education Law, a charter entity may only approve an application upon certain specified findings, which include whether the charter school is in compliance with law, whether the applicant can demonstrate the ability to operate the school in an educationally and fiscally sound manner, and whether granting the application is likely to improve student learning and achievement.

Under the new Education Law for the 260 new startup charter schools now authorized, a new, rigorous Request for Proposals process is required that will build upon New York's already rigorous application process.

F 2 iii

New York's primary funding mechanism for charter schools is through mandated tuition payments by school districts. Education Law requires that public school districts with resident students attending charter schools pay a per pupil tuition amount (the "charter school basic tuition") to the charter school for each of these students. That per-pupil amount is based on a computation designed to ensure that the district provides support for charter school pupils in an amount equivalent to the school district's per-pupil operating expenditures on instructionally related activities. The per-pupil tuition amount ranges from \$8,000 to \$24,700, based on the expenditures of the student's district of residence. The weighted average per-pupil tuition amount is approximately \$12,000 per pupil.

New York has provisions holding students in charter schools to positive academic performance.

While New York provides significant funds to charter school through funds that flow through local districts, the funds are reduced slightly based on the fact that charter schools have fewer required expenditures than public schools. This would be considered equitable funding.

F 2 (iv)

Education Law provides that charter schools may be located in part of an existing public school building, in space provided on a private worksite, in a public building, or in any other suitable location. Education Law provides that charter schools may contract with a school district or the governing body of a public college or university for the use of a school building and grounds. Any such contract must provide such services or facilities at cost. There are currently 65 charter schools located in space leased from public schools or public universities. The New York City School District, in which approximately 64 percent of the State's charter schools are located (99 of 140 charter schools), actively provides many charter schools with space in public school buildings and also provides help in obtaining facilities.

F 2 (v)

New York provides an extensive list of LEAs operating innovative, autonomous public schools.

(F)(2) Reviewer Comments: (Tier 2)

F 2 i

The score was reduced from 8 to 5 based on the explanation from the panel that NY based its 10 percent total on the number of public schools not the total of public schools and charter schools as required in the definition accompanying the application.

(F)(3) Demonstrating other significant reform conditions

5

4

4

(F)(3) Reviewer Comments: (Tier 1)

F 3

Examples of the Regents' determination to raise student achievement and graduation rates are the policy decisions in the past six months to adopt higher standards and improved assessments, adopt regulations to provide new teachers and school leaders with rich clinical experiences, build data links between Pre K-12 education and higher education institutions, and adopt regulations to align the State's accountability system with the new requirements for persistently low-achieving schools.

In addition, the Governor's Children's Cabinet (referred to as the Children's Cabinet) was established by Executive Order on June 12, 2007. The cabinet includes the Governor's Office, Board of Regents, Education Department, and 22 other state agencies. The mission of the Children's Cabinet is to advise and make recommendations to the Governor on the most effective policies and programs that promote the Governor's Birth to Five Agenda and other priorities, including but not limited to:

- Implementation of universal children's health insurance
- Implementation of universal pre-kindergarten throughout New York State
- Development of a legislative program focused on the Governor's Birth to Five Agenda
- Development of programs focused on disconnected youth.

Examples of a positive effect on student graduation rates are found in the state's Career and Technical (CTE) programs. The Regents' Policy on CTE created a process of program approval for career and technical education programs that grants increased flexibility for districts that improve graduation rates through implementation of CTE programs. The integration of technical and core subjects has resulted in an approach that accommodates many learning styles and provides students with learning opportunities that improve their chances of finishing high school studies. Once students are engaged, students are able to persist to graduation at higher rates than their peers who are not as traditionally engaged. For example, 83.19 percent of students with a concentration in CTE who entered ninth grade in 2005 graduated in four years, compared to 71.8 percent for their non-CTE peers. CTE is also helping close the achievement gap for minority students. The four year graduation rate was 77.5 percent for Black CTE students compared to 55.7 percent for their non-CTE peers; and 75.9 percent for Hispanic CTE students compared to 54.8 percent for their non-CTE peers. For those not graduating on time, more CTE students in the cohort were still enrolled in programs and fewer dropped out than non-CTE students.

Total	55	52	49	
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Competitive Preference Priority 2: Emphasis on STEM

	Available	Tier 1	Tier 2	Init
Competitive Preference Priority 2: Emphasis on STEM	15	15	15	

Competitive Reviewer Comments: (Tier 1)

New York State will dramatically enhance STEM access and education using Race To The Top funds through working with some of the most prestigious STEM universities at New York's disposal (Rensselaer Polytechnic Institute, Rochester Institute of Technology, Clarkson University, and the University at Albany College of Nanoscale Science and Engineering), with learning standards in Mathematics, Science, and Technology, and Career Development and Occupational Studies in place since 1996 and with a professional development network that can implement the necessary training,

NYSED's STEM strategy incorporates recommendations from such prestigious organizations as the Carnegie Institute for Advanced Study (The Opportunity Equation: Transforming Mathematics and Science Education for Citizenship and the Global Economy, 2009) and Rensselaer Polytechnic Institute (the Empire State STEM Education Initiative Inaugural Progressive Dialogue, 2009, which generated input from over 500 stakeholders from across state, including over 40 companies and professional organizations). Individual organizations such as the Science Teachers Association of New York State (the state's oldest professional organization of prekindergarten to university science educators) and the Association of Mathematics Teachers of New York State, as well as collaborative groups such the NYS STEM Education Collaborative are active partners in fostering STEM education.

NYSED's partnerships with these and other stakeholders in STEM education as well the effective use of federal and state funding and human resources have already led to the integration of STEM disciplines throughout the breadth of school districts' curricula.

These initiatives will result in expanded, rigorous courses of study for both boys and girls.

Total	15	15	15	
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Absolute Priority - Comprehensive Approach to Education Reform

	Available	Tier 1	Tier 2	Init
Absolute Priority - Comprehensive Approach to Education Reform		Yes	Yes	
Absolute Reviewer Comments: (Tier 1)				
New York receives a "Yes" evaluation on this criterion for the following reasons:				
New York provides extensive examples of work already underway in the major priority areas supported by RTTT. Timelines provided illustrate a commitment to move forward even if not funded. In many cases, New York is merging other state, federal or foundation funds to supplement RTTT. In addition, a major agency reorganization is proposed to administer and oversee RTTT efforts.				
Total		0	0	

Grand Total	500	464	461	
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Race to the Top

Technical Review Form - Tier 2

New York Application #3650NY-8



A. State Success Factors

	Available	Tier 1	Tier 2	Init
(A)(1) Articulating State's education reform agenda and LEA's participation in it	65	45	45	
(i) Articulating comprehensive, coherent reform agenda	5	5	5	
(ii) Securing LEA commitment	45	33	33	
(iii) Translating LEA participation into statewide impact	15	7	7	

(A)(1) Reviewer Comments: (Tier 1)

(A) (1) (i): The State has developed a comprehensive reform agenda in the four areas stipulated by RTTT. NY State passed new legislation that includes laws in the four areas: teacher and principal evaluations, charter schools, educational partnership organizations (to manage schools designated as persistently low-achieving), and a State longitudinal data system. Should the reform effort be fully realized, the impact will be broad and have the potential for improving the lives of students throughout the state.

The reform efforts a) establish a comprehensive annual evaluation system that focuses on the effectiveness of teachers and principals by differentiating among different rating categories that can be used to provide PD and to monitor changes in teacher and principal performance for annual evaluations, b) increase the cap on startup charter schools and promote access to charter schools for students with disabilities, English language learners, and low incomes students, c) provide authority for boards of education to contract with an educational partnership organization to manage schools designated as persistently low performing, and d) appropriate money to implement a longitudinal data system. The Plan focuses on "the instructional core--the quality of the interaction between teacher and student." The State has a solid history of reform efforts and the RITT reform agenda builds on what presently exists.

(A) (1) (ii): The MoU is strong and clearly identifies the Scope of Work, Project Administration (State and LEA Responsibilities, as well as Joint Responsibilities), State Recourse for LEA Non-Performance, Assurances, Modifications, and Duration/Termination.

The letters of support represent a broad constituency and include a letter from the President of the NY State School Boards Association and a letter from the President of NY State United Teachers Union, as well as a signed letter of support from the President of the NY State Council of Educational Association. However, it appears that at the LEA level, signed letters from key people representing the LEA School Board and the LEA President of the Local Teachers' Association are missing for several key LEAs, i.e., there is a blank space in the column where it should indicate that they have signed the MoU and support the RTTT agenda (as designated by a "1"). Without clarification in the Table, it is assumed that a blank means the individual has elected not to sign the MoU and does not support the reform agenda for the district. This is of particular concern because of the implications for the five largest LEAs and the LEAs with the largest number of persistently lowest-achieving schools.

According to the application materials the LEAs with the highest numbers of persistently low-performing students are Albany, Buffalo, NY City, Rochester, Roosevelt, Syracuse, and Yonkers. Of these 7 LEAs, the MoU was not been signed by 5 of the local Teacher Association Presidents. In addition, of the 7 LEAs, the one with the largest number of low-performing students--NY City--the School Board President has not

signed the MoU. If the lack of signature means lack of support, it is going to be difficult to implement any of the reforms at the LEA level in these districts. Given that these districts in particular have been identified in the application as the LEAs with the greatest number of high-needs students, this is a great concern.

(A) (1) (iii): The reform agenda as noted above is broad yet very focused on RTTT areas and includes programs, projects, and practices that have the potential to affect student achievement, particularly of low-performing students who represent different sub-groups, the potential to reduce the achievement gap among different sub-groups and overall, increase high school graduation rates, and increase college enrollment. The target growth for achievement does not appear to be high enough to make a significant difference in students being able to graduate and enter college. This is particularly the case for minority and disadvantaged students (targeted gains, for example, even with RITT funding are not as ambitious enough to have a pronounced effect on graduation and college entry). The greatest concern, however, is in the LEAs that are high-need LEAS who do not appear to have the support from the local teachers association.

(A)(2) Building strong statewide capacity to implement, scale up, and sustain proposed plans	30	30	30	
(i) Ensuring the capacity to implement	20	20	20	
(ii) Using broad stakeholder support	10	10	10	

(A)(2) Reviewer Comments: (Tier 1)

(A) (2) (i):

(a)/(b): NY has strong, committed leadership and statewide support needed to successfully implement its RTTT plan. The State has three educators at the helm. Together, they presented the Board of Regents with their vision for education for NY. It was fully aligned with RTTT. Since January 2010 they have launched several critical new functions: the Office of District Services, which will coordinate the provision of services and PD to LEAs in partnership with the BOCES (it will use a portfolio management approach in facilitating the development and delivery of PD), a new research unit to identify promising practices and scalable innovations; and, the Office of External Partnerships, which will build the State's capacity to develop public-private partnerships.

As part of the NYSED Redesign there will be a RTTT Management Structure. Directly beneath the Board of Regents there will be a RTTT Program Director. Under this individual there will be an Office of Accountability, where LEAs with persistently lowest achieving schools will be guided through a four stage process that includes a diagnostic needs assessment, development of quality intervention plan, implementation of the plan, and participation in a performance contract analysis and review, Office of Innovative School Models, which will oversee an external TA Center for Innovation and Turnaround and charter school authorizing (including coordinating Mass Insight for turning around low-performing schools), an RTTT Performance Management Office, which will coordinate RTTT project teams, and the Office of District Services, which will be the main point of contact for all LEAs and BOCES RTTT initiatives and will also oversee RTTT-related PD and support in the areas of enhanced standards, curricula, and redesigned assessments. Directly beneath the COO, who has the same status as the RTTT Program Director, there will be the NYSED Research Support Group, which will package and disseminate information about proven best practices in education management and successful models for improving student achievement, and the Office of External Partnerships, which will facilitate public-private partnerships, as well as cultivate private investments in state-level reform initiatives.

(c): The State is organized to provide effective and efficient oversight. The RTTT performance Management office will coordinate with existing NYSED internal control structures for purposes of RTTT fiscal administration and oversight. The NYSED has processes in place for federal programs that require performance and/or a fiscal report. The NYSED monitors the State's LEAs by renewing their annual financial statements, single audits, and audits conducted by the Office of the State Comptroller.

(d): NYSED received \$308 million in 2009-2010 Title 1 School Improvement funds that must be used to serve the lowest-performing 5% of the schools. The State will target the majority of funds to persistently

lowest achieving schools, including high schools and their feeder schools, to complement the RTTT funding. The State has also identified additional opportunities to realign existing funds (e.g., money from a class action suit with Microsoft to purchase software, hardware, PD, or computer computer services).

(e): The majority of NY's RTTT budget is to support one-time capacity building investments. The State will allocate significant portions of Federal administration funds and State general funds to maintain the data system and testing program.

(A) (2) (ii):

(a)/(b): The State's RTTT strategies were developed through an open engagement and feedback process with key stakeholders: LEA superintendents and boards of education, BOCES District Superintendents, union partners, ELL coalitions, non-profit school providers and charter school organizations, deans and faculty of colleges and universities, ECE groups, parent groups, advisory groups for arts and culture, representatives for individuals with disabilities, civil rights groups, members of the business community, and members of the philanthropic community.

(A)(3) Demonstrating significant progress in raising achievement and closing gaps	30	23	23	
(i) Making progress in each reform area	5	3	3	
(ii) Improving student outcomes	25	20	20	

(A)(3) Reviewer Comments: (Tier 1)

(A) (3) (i): The State has been actively involved in reform efforts in each of the four education areas for many years, albeit in some areas there has been more success or improved change than in others. For example, the State's charter schools have been a critical piece of NY's comprehensive reform. It appears that students who attend some charter schools such as KIPP consistently outperform students attending traditional schools. Similarly, the State has worked hard on it longitudinal data system and the system is now able to track students from pre-K through high school to college. There are also alternative certification policies in place that enable non traditional students to receive the required education to become a teacher. The one area where does not appear to be a strong foundation is in turning around low performing schools, particularly certain sub-groups of students within the schools. Although the State's assessment indicates progress and relatively high percentages of students who score 3 or 4 on the state assessment, NAEP data suggest that far few percentages of students are performing at or above the proficiency level in reading and math in grades 4 and 8. The percentages are even lower when one looks at the disaggregated data. (This will be addressed in the following sub-section.) Thus although there has been progress over the past several years in areas related to RTTT, the issue of low academic achievement of certain groups of students is problematic.

(A) (3) (ii):

(a)/(b): The incremental changes in student achievement are positive from year to year but much smaller, e.g., 1 percentage point, on NAEP than on the state assessment. Thus the achievement gap can be considered as shrinking within a sub-group across cohorts of students, i.e., looking at scores for a sub-group from year to year. However, the changes do not appear to be significant when comparisons are made between and across cohorts in different sub-groups. Some sub-groups appear to be making greater progress than others, e.g., cohorts of Hispanic or Latino students are making greater progress from year to year than Black or African American students. Given that the data represent entirely differently cohorts of kids at specific grade levels it is not known if the differences noted have to do with different cohorts entering with higher academic performance. For example, a 4th grade group of Hispanic students in one year may be higher performing at the beginning of the year than a cohort the previous year. It is also not known if the NAEP and state assessment data include exactly the same groups of students.

(c): Looking at the disaggregated data by sub-group there has been minimal change in the percentage of students who are graduating from high school, with some groups making slightly more progress than others.				
Total	125	98	98	

B. Standards and Assessments

	Available	Tier 1	Tier 2	Init
(B)(1) Developing and adopting common standards	40	40	40	
(i) Participating in consortium developing high-quality standards	20	20	20	
(ii) Adopting standards	20	20	20	
(B)(1) Reviewer Comments: (Tier 1)				
(B) (1) (i)/(ii): In April, 2009, the Governor and the former Education Commissioner signed an MOA with governors and State Commissioners of Education from 48 states, 2 territories, and the District of Columbia to develop a set of internationally benchmarked standards—Common Core State Standards—to be adopted by July, 2010. The Standards will be implemented in school districts across the state in September 2011.				
(B)(2) Developing and implementing common, high-quality assessments	10	10	10	
(i) Participating in consortium developing high-quality assessments	5	5	5	
(ii) Including a significant number of States	5	5	5	
(B)(2) Reviewer Comments: (Tier 1)				
(B) (2) (i)/(ii): In January 2010, the Board of regents endorsed the State's participation in a consortium that will work together in developing and implementing common, high quality assessments aligned with the K-12 Common Core State Standards. The consortium consists of over half of the States in the country.				
(B)(3) Supporting the transition to enhanced standards and high-quality assessments	20	20	20	
(B)(3) Reviewer Comments: (Tier 1)				
(B) (3): The State has developed a comprehensive plan for supporting a statewide transition to and implementation of internationally benchmarked K-12 standards that are focused on graduation and preparation for entering college/career. The standards are linked to a statewide assessment system. Adoption of the standards will take place this year and there is a roll out plan for implementation of the assessments. The application describes the strategies to be used to support the ambitious agenda; they include: realigning the hs diploma and assessment policies to support college success and career readiness, developing statewide curriculum models aligned to the new standards, developing supplemental assessments, training all teachers and principals, and piloting a board examination model. This is an ambitious agenda.				
There are several important activities/strategies the state and LEAS will engage in that are related to the standards:				

1. Realigning the high school diploma and assessment policies to support college success and career readiness.
2. Developing statewide curriculum models aligned to the common core. They include grade level expectations (standards and performance indicators), grade level instructional examples, formative assessment tools, and supplemental curriculum guidance for teachers of ELA and SPED students. An external provider—through an RFP process—will develop the curriculum models and related PD content in ELA and math in December 2010. Feedback will be solicited as part of the process. In September 2011 the curriculum models are expected to be available to teachers for implementation in their classrooms.
3. Developing supplemental assessments including performance based formative and interim assessments. These assessment are are designed to support instructional decision making, PD, and accountability. The assessment system will include formative, interim, and summative assessments that are linked to the Common core standards. An external provider through an RFP process will be hired in January 2011 (the materials say 2010 but this may be a misprint) to collect performance based tasks aligned with the Common Core that have been developed by NY educators. In March 2011 external providers via an RFP process will develop item banks of formative based assessments aligned to Common Core and statewide curriculum models. They will begin in math and ELA for grades K-12. The results of the assessments will be incorporated into the statewide P-20 data system and will be available to develop PD by April 2011.
4. Provide PD for all teachers, principals, and administrators. PD for the standards begins in the 2011-2012 school year. Network teams based in the BOCES will provide the intensive PD. In addition to Network Teams, other external partners will be hired through an RFP process to develop PD content. The PD will be provided for all of the 280,000 teachers prior to the start of the 2011-12 school year which means that contractors hired through the RFPs must be able to begin PD content development immediately in order to meet this projected timeline. It is not clear how the PD provided by these different groups will be coordinated and by whom and linked to the curriculum models being developed.

Total	70	70	70	
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C. Data Systems to Support Instruction

	Available	Tier 1	Tier 2	Init
(C)(1) Fully implementing a statewide longitudinal data system	24	24	24	

(C)(1) Reviewer Comments: (Tier 1)

(C) (1): The State has a longitudinal system that includes all of the America COMPLETES Act data elements:

1. unique student identifier system
2. P-12 student level enrollment, demographic, and program participation information
3. student level information about the points at which students exit, transfer in, transfer out, drop out, or complete P-16 educational programs
4. capacity to communicate with higher education data systems (SUNY and CUNY)
5. P-12 state data audit system to assess data quality, validity, and reliability
6. yearly test records of individual students (performance level and item response data for elem, middle in ELA, math, science, and social studies, as well as Regents information
7. information on students not tested by grade and subject
8. teacher identification system with ability to match teachers to students
9. student level transcript information, including information on courses completed and grades earned
10. student level college readiness test scores

11. information regarding the extent to which students transition successfully from secondary school to post secondary education, including whether students enroll in remedial coursework.
12. other types of information determined necessary to address alignment and adequate preparation for success in postsecondary education, e.g., student-level demographic enrollment, and assessment variables that predict success in post secondary education.

(C)(1) Reviewer Comments: (Tier 2)

(C)(2) Accessing and using State data	5	4	4	
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(C)(2) Reviewer Comments: (Tier 1)

(C) (2): The State has a comprehensive plan to ensure that data from the State's longitudinal system are accessible to and used by a broad constituency and the data are able to support decision-makers in multiple areas. The State expects that there will be 250,000 unique users by the end of 2013-14.

Information from the Data Portal will be available to the following groups:

1. Educators and educators in training: data will be available to help teachers and other school personnel to make important decisions, improve teacher recruitment, induction, evaluation, and training, guide program design, and identify opportunities for effective PD.
2. School assistance teams: JITS, ETACIT, and intervention partners will have access to data that can be used by them to help turn around struggling schools
3. Parents: data will be available to parents to help them see the progress of their children through school toward graduation and college/career readiness.
4. Individuals without computers: the Parent portal will be available in print at local libraries. The State will apply for additional funding to purchase computers that can be loaned to students without computers
5. Students: students will be able to access their records (test data, grades, schedules, attendance, discipline, etc.) as well as summary information about their school and other schools in the region
6. Policy Leaders: this group will have access to customized reports that provide information about K-12 program effectiveness, higher education program effectiveness, and the adequacy of teacher preparation programs
7. Researchers, media, and advocates: these groups will have full access to data to use in research and policy making, as well as reporting out to the public
8. STEM innovation: data will be used for research on different STEM initiatives to determine their effectiveness

The State has developed several activities to ensure that the plan is successful and results in constituent groups having full access to the data. There are 6 major activities and within some activities there are sub-activities. Each activity has key individuals/groups involved and a specific timeline for targeted completion. For example, activity 3—build the data portal prototype with rollout in a cross-section of urban, suburban, and rural districts has a timeline of 2010-2011. There are 5 sub-activities for major activity 3.

Funding appears to be adequate in this area. The only concern is that the timeline for several of the activities will result in a delayed start up of some important activities, which could affect the State from being able to achieve its targeted academic growth.

(C)(2) Reviewer Comments: (Tier 2)

(C)(3) Using data to improve instruction	18	12	15	
(i) Increasing the use of instructional improvement systems	6	4	5	

(ii) Supporting LEAs, schools, and teachers in using instructional improvement systems	6	3	5	
(iii) Making the data from instructional improvement systems available to researchers	6	5	5	

(C)(3) Reviewer Comments: (Tier 1)

(C) (3) (i): As noted in the materials, a unique strength of the State is the fact that most schools already use instructional improvement systems. However, as also noted by the materials, the regionalized nature of the systems has resulted in unevenness in quality. To remedy this problem and ensure that all students, teachers, and schools are able to benefit from best practices, the State plans to build a uniform, comprehensive system that is accessible through its Education Data Portal. This new system will allow teachers, for example, to be able communicate with one another, access information about best practices, have easy to access data about their students, develop appropriate interventions from available resources, view individual student results across demographic groups, diagnose students' needs, design more effective interventions, evaluate their practices, and share results. School administrators will have quick access to how their students are performing, resources that can be used with different groups of students who are struggling.

Two specific activities have been planned: 1) piloting the model in selected LEAs (completion: October 2011) and then scaling up to a statewide system (completion: October 2012) and 2) providing access to educators (completion: October 2012). The State has acknowledged the unevenness in the present system and this will continue until midway through the grant with the identified timelines for completion. Another concern is that teachers may not be fully onboard with the use of the system as evidenced by the lack of teacher association support in several low-performing LEAs (where the system would be very beneficial).

(C) (3) (ii): The State has been using a Collaborative Inquiry Network model consisting of network teams and school-based inquiry teams to provide PD. The teams include leaders, data experts, and specialists in curriculum, assessment, and instruction. The new system will build on the Collaborative Inquiry Network model. The model provides PD directly to LEAs and to teachers and students using a data-driven approach. The model is tiered such that the network teams provide assistance to the school-based inquiry teams. Implementation of the model is interactive among players and begins with the NYSED creating the system describe in (i) above, funding and overseeing network teams, and creating an early warning system to identify and help students who are at risk of falling behind or dropping out. Following this the network teams help the school-based inquiry teams interpret data, decide what actions to take, and access instructional resources. Each network team works with approximately 25 schools.

Each network team is responsible for providing the PD and ongoing coaching assistance required for the school inquiry teams. The school-based inquiry teams work with different groups of students. The structure of the teams is based on what research has determined to be successful model of PD. The state is involved in several activities (new initiatives) that will result in statewide implementation of the model:

1. Forming the Network Teams: the State will create one collaborative network of teams that will support local schools in each region. The present services provided by BOCES will be integrated into a single coordinated effort and will be aligned with other PD and capacity building initiatives. Each BOCE will form a specific number of network teams. According to the materials, because BOCES has not historically worked with the big 5 LEAS, the NYSED will work directly with the big 4 districts to create local systems of network and inquiry teams. These LEAs have larger percentages of at-risk and low-achieving students and thus may warrant more intensive PD. A concern with the plan for working with the big 4 LEAs identified in the materials--Buffalo, Rochester, Syracuse, and Yonkers--is that in 3 of the 4, the local teacher association does not appear to be onboard for RTTT. This is cause for concern because the intensive PD required for teachers in these districts could be thwarted by lack of teacher association endorsement. Another concern is the timeline for implementation for the initiative. The dates for implementation are staggered, not surprising given the magnitude of the work involved in creating this elaborate system of PD. The first year--2010-2011--is appropriately targeted at the persistently lowest performing schools involved in turnaround interventions. Given that 3 of the big 4 districts just cited fall into this category, it is questionable how much work can be done without teacher association endorsement. In Year 2--2011-2012 additional teams will be phased in

statewide. In Year 3, as the instructional reporting and improvement system is launched, data experts are added. This delay of data experts until Year 3 is of concern given that the data experts are such an integral part of the PD. The full teams will be sustained through Year 4. While it is understandable that the formation of Network Teams is a large undertaking, the concerns raised will undoubtedly have an impact on the State's ability to meet its targeted growth for students in math and ELA.

2. Forming the School-based inquiry Teams and Integrating Their Work with the Network Teams: While the Network Teams are designed to provide important PD to teachers and administrators, the school based inquiry teams consist of teachers who face challenges in student achievement. The network teams work specifically with these teachers on the issue that they share in common--guiding the teams in how to use local data, analyze problems, decide on appropriate interventions, carry out the interventions, and analyze the results. The same timeline for the Network Teams is scheduled for these teams. The same concerns raised above are of concern with the nature of the work and the timelines. While this level of team effort is important it is not clear if 1) there will be teacher support in the big LEAs and 2) if the dates for implementation will affect the State's targeted goals for increases in student achievement.

3. Build an Early Warning System: This activity does not have a PD component.

(C) (3) (iii): The NYSED has a history of providing data to researchers in different universities for independent evaluations. According to the materials, the NYSED is committed to continuing to make data available to researchers. The State has several activities planned to further this effort. Two of the activities (publish school and district aggregate data tables and publish data tables for student sub-groups) will not be completed until Year 2, which could delay the ability of researchers to evaluate the effectiveness of instructional materials, strategies, approaches for educating different types of students in a timely manner..

(C)(3) Reviewer Comments: (Tier 2)

(C)(3)(i/ii): Based on the description provided by members of the panel about the acquisition, adoption, and use of local instructional improvement systems and the support that is and will be given to LEAs in the provision of professional development to teachers and principals (on how to use the the system and data to support the ongoing improvement of of teachers and principals) an increase in points is being given.

Total	47	40	43	
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D. Great Teachers and Leaders

	Available	Tier 1	Tier 2	Init
(D)(1) Providing high-quality pathways for aspiring teachers and principals	21	21	21	
(i) Allowing alternative routes to certification	7	7	7	
(ii) Using alternative routes to certification	7	7	7	
(iii) Preparing teachers and principals to fill areas of shortage	7	7	7	

(D)(1) Reviewer Comments: (Tier 1)

(D) (1) (i): The Board of Regents and the Commissioner of Education have the authority to establish the examination and certification requirements for teachers and school leaders under Education Law 3001 and 3004. The law also gives the regent authority to approve alternative routes to certification for teachers and principals, which include the authority to incorporate and/or authorize providers other than IHEs to prepare teachers and principals. The application provides evidence that the Regents approved new alternative routes to certification for teachers and principals to be offered by non-IHE providers.

(D) (1) (ii): The application provides evidence of a large variety of of IHE and non IHE alternative routes to certification that are currently in use and place teachers (in particular) and principals in schools where there is a recognized need.

(D) (1) (iii): The application materials provide evidence that the State has created a process for monitoring, evaluating, and identifying areas of teacher and principal shortage and working to fill the vacancies as they occur. The database allows the NYSED to evaluate shortages areas and in fall 2010 to collect vacancy data from each LEA by certification area and grade level.

The budget for these initiatives appears to be adequate.

(D)(1) Reviewer Comments: (Tier 2)

(D)(2) Improving teacher and principal effectiveness based on performance	58	58	58	
(i) Measuring student growth	5	5	5	
(ii) Developing evaluation systems	15	15	15	
(iii) Conducting annual evaluations	10	10	10	
(iv) Using evaluations to inform key decisions	28	28	28	

(D)(2) Reviewer Comments: (Tier 1)

(D) (2) (i): As of June 2011 the State will have developed a statewide student growth model and a value-added model. According to the application, the NYSED will work with the Center for Assessment in order to design and implement a growth model. It is not yet established. In order to apply the growth model within the context of teacher and principal evaluation, the NYSED will seek input from the field. This activity is scheduled for completion by 2012.

(D) (2) (ii): The State currently has an evaluation system and will revise its system in accordance with RTTT requirements. The new system will be staged for implementation with complete rollout by the end of the grant. The new annual performance review which will include student assessment data and be capable of differentiating among different levels of teacher and principal effectiveness will be fully implemented by the end of the grant period. Different constituency groups will be involved in the design of the system including principals and teachers.

(D) (2) (iii): NY recently enacted historic legislation that fundamentally changes the ways teachers and principals are evaluated for decisions relating to promotion, retention, tenure, supplemental compensation, support and professional development, and expedites the disciplinary process for removal of ineffective teachers and principals. The new system is based on multiple measures, of which student achievement is a significant factor.

For the first time, student achievement data will become a significant component of all teachers and principal evaluations. Student achievement data will comprise 40% of teacher and principal evaluations. Data from the state assessment, other comparable measures, or locally selected or locally developed measures, will be used in accordance with minimum requirements established by the law. The state has a rollout plan that begins in 2011-12 with data from ELA and math, in grades 4-8 only for teachers and for principals. The following year all teachers and principals will be assessed using data from a variety of assessments that are comparable across classrooms.

(D) (2) (iv): The State has provided evidence that it has met the requirements for (D) (2) (iv).

(a): Over the past several years, NY has implemented several initiatives to strengthen retention, coaching, and professional development opportunities for teachers and principals. RTTT will afford the state an opportunity to align professional development with its standards and curriculum. The state has developed

an activity to implement teacher and principal improvement plans that incorporate the alignment and will provide coaching and professional development, particularly for teachers and principals rated developing or ineffective. For this group in particular teacher and principal improvement plans will be developed that include specific professional development.

(b) The state will use the evaluations of teachers and principals to compensate, promote, and retain individuals, as well as use the information to provide specialized and tailored professional development for teachers and principals rated developing or ineffective. A Career Development Continuum is being developed for both teachers and principals whereby individuals will progress along the continuum and at different steps will be eligible for promotion and compensation. Each step represents a deeper level of demonstrated proficiency in practice. In addition to the career development continuum for teachers and principals, the state will also establish a Transfer Fund through which LEAs can provide monetary incentives for highly effective teachers to transfer to high-need schools within their LEA. A similar fund is also being developed for highly effective principals.

NY will also establish a Transfer Fund through which LEAs can provide monetary incentives for highly effective teachers and principals to transfer to high-need schools within their LEA. The only concern with these activities is the timeline. Completion is not scheduled until years 2 and 3 of the grant. Implementation is staggered where a certain number of LEAs implement each year.

(c) Annual teacher and principal evaluations must now use student achievement data as part of the evaluation thus making student growth a significant factor in teacher and principal decisions. As a major part of the evaluation process, rigorous state and local assessments will be used to make tenure decisions.

The state is also focused on implementing performance-based assessments for both new teachers and principals. The first is the implementation of a performance-based assessment for initial and professional teaching certification. The state will ensure that teacher certification applicants who have not demonstrated a positive effect on improving student learning will not be able to receive professional certification. Similarly, the State's authority over principal certification decisions will ensure that principal certification applicants who have not demonstrated a positive effect on improving teaching and student learning will not be able to receive professional certification and be principals in NY until they meet the new, more rigorous standards.

(d): The state will provide ample opportunities to help teachers and principals become effective and proficient in their work in schools. Ineffective tenured and nontenured teachers and principals (determined through the new evaluation system) can be removed only after they have been given opportunities to improve. Professional development plans and multiple opportunities for improvement must be provided.

The budget planned for these activities appears to be adequate. The annual targets as illustrated in the applicaiotn materials are ambitious and realistic.

(D)(2) Reviewer Comments: (Tier 2)

(D)(3) Ensuring equitable distribution of effective teachers and principals	25	19	22	
(i) Ensuring equitable distribution in high-poverty or high-minority schools	15	11	14	
(ii) Ensuring equitable distribution in hard-to-staff subjects and specialty areas	10	8	8	

(D)(3) Reviewer Comments: (Tier 1)

(D) (3) (i): It is not known from the data presented if there is a large number of effective or ineffective teachers working in schools identified as high poverty, high minority or both, or the number of effective or ineffective principals working in these schools thus making it difficult to assess if the plan developed by the State will rectify the distribution and result in students having access to effective teachers and principals.

The plan developed by the state appears to be reasonable but without an intersection of data that brings together the percentage of effective teachers and principals in high poverty, high minority schools it is not possible to evaluate if the annual targets that will result in an equitable distribution are ambitious and doable.

(D) (3) (ii): NY has a history of not having sufficiently qualified teachers in all of its subject areas; this has been particularly problematic in hard to staff subject areas and specialty areas such as math, science, and SPED and teaching in language areas and this is borne out when test data are examined in these areas. The State has several activities planned to meet the criteria in this area: 1) strengthen existing processes to monitor the number and percentage of effective teachers in hard to staff subjects and specialty areas (completion date: years 2 and 3 of grant); 2) ensure sustainable, long-term equitable distribution of teachers and school leaders in NY's high need schools and LEAs by redesigning teacher and principal preparation programs and creating expedited pathways to certification in teacher shortage areas (beginning in year 1 and continuing for 6 years); 3) begin new induction programs for teachers in high-need schools (completion end of year 1); through a Transfer Fun provide financial incentives to encourage the most effective teachers and principals to take teaching and administrative jobs in high-need schools (beginning end of year 2 through end of grant period); offer an innovative supplemental compensation incentive fund to provide outstanding principals, and outstanding teachers teaching in hard to staff subjects and specialty areas supplemental compensation based on effectiveness (beginning in year 2). As implementation continues through the grant period, implementation will be staggered with annual targets.

Funding appears adequate for the planned activities.

(D)(3) Reviewer Comments: (Tier 2)

(D)(3)(i): Based on the discussion by panel members in response to the question about the distribution of effective teachers and principals in high poverty, high minority schools there is an increase in points. Dr. King explained how the state would ensure an equitable distribution of teachers and principals by using data-based decision making for determining which teachers and principals were in the schools identified as high poverty/high minority. He also explained the incentive structure in place for [effective] teachers who desire to teach in these schools and the overwhelming positive response of teachers to work in these settings.

(D)(4) Improving the effectiveness of teacher and principal preparation programs	14	14	14	
(i) Linking student data to credentialing programs and reporting publicly	7	7	7	
(ii) Expanding effective programs	7	7	7	

(D)(4) Reviewer Comments: (Tier 1)

(D) (4) (i): The state is currently linking student achievement and growth data to teachers and principals using the new evaluation systems described earlier in section C and in D (2). There is also an activity planned to further meet the criteria in this section: 1) linking teacher and principal evaluation data to the in-State programs preparing those teachers and principals and reporting the information publicly. The P-20 Longitudinal System will make this link possible. The timeline is the end of the second year of the grant and continuing until it is complete. Funding appears to be adequate.

(D) (4) (ii): The state's current system will be expanded: 1) beginning in 2013, to improve the effectiveness of the new teaching force, NYSED will require all teaching candidates to pass a performance based assessment to obtain initial teaching certification; 2) beginning in 2012-13, to improve the effectiveness of the teaching force a performance based assessment, including evidence of student growth and achievement will be required for professional teaching certification; 3) the rigor of the existing Content Specialty Test will be enhanced to improve the teaching force; 4) beginning in spring 2012, performance based assessment of principals will be required to improve the effectiveness of the school leader force; 5) beginning in 2011, a clinically rich approach for preparing undergraduate and graduate students, as well as

school leaders, to work in high need schools (using a residency program model) will be implemented to prepare and improve the effectiveness of the teaching and administrator force; 6) beginning in 2011, publishing emerging best practices that are aligned to research, and incorporating the practices into program redesign.

Funding appears to be adequate for these activities.

(D)(4) Reviewer Comments: (Tier 2)

(D)(5) Providing effective support to teachers and principals	20	20	20	
(i) Providing effective support	10	10	10	
(ii) Continuously improving the effectiveness of the support	10	10	10	

(D)(5) Reviewer Comments: (Tier 1)

(D) (5) (i): As noted in earlier sections, the State's P-20 Longitudinal Data System will include data that can be used to develop differentiated PD tools that are targeted to improve instructional practice and student growth. Specific activities for meeting the two criteria for this section are planned: 1) beginning in 2011, enhancing the statewide network model to assist LEAs in delivering appropriate PD; 2) beginning 2011, aligning resources across the four assurances to bolster NY's comprehensive PD, giving priority to districts with low-performing schools and reallocating resources in support of the reforms; 3) beginning in 2011, creating a sustainable network to ensure that all principals receive research-based PD focused on strengthening teaching and student learning; and 4) beginning in 2011, creating a new teacher induction program designed to create teacher leaders and effective teacher mentors. The activities include several of the types of support identified in the criteria.

(D) (5) (ii): The NYSED will require LEAs to measure success by conducting interim and summative evaluations, using both qualitative and quantitative data. The NYSED will establish baseline data and use it to set performance targets for LEAs. The targets will be used annually to create an environment of continual quality improvement in instruction tied to student achievement and growth.

Funding appears to be adequate for these activities.

(D)(5) Reviewer Comments: (Tier 2)

Total	138	132	135	
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E. Turning Around the Lowest-Achieving Schools

	Available	Tier 1	Tier 2	Init
(E)(1) Intervening in the lowest-achieving schools and LEAs	10	10	10	

(E)(1) Reviewer Comments: (Tier 1)

(E) (1): NY has a significant longstanding authority to intervene in its lowest achieving schools and LEAs. This includes a three-phase differentiated accountability model that begins with improvement followed by corrective action followed by restructuring. There is NYSED oversight and support at each stage.

(E)(1) Reviewer Comments: (Tier 2)

(E)(2) Turning around the lowest-achieving schools	40	37	40	
(i) Identifying the persistently lowest-achieving schools	5	5	5	
(ii) Turning around the persistently lowest-achieving schools	35	32	35	
(E)(2) Reviewer Comments: (Tier 1)				
<p>(E) (2) (i): The State has historically been able to identify its persistently lowest performing lowest-achieving Title 1 schools in each stage: improvement, corrective action, and restructuring as well as the lowest-performing non Title schools that are eligible but not receive Title 1 funds in the State.</p> <p>(E) (2) (ii): The State has historically been attending to its lowest performing schools using a SURR process, however, it has fallen short of transforming these schools into models of excellence that prepare all students for college and careers. From its long experience NYSED has learned valuable lessons. The SURR 's process has focused on making small incremental changes to address the issues in each school. That has not been sufficient. The NYSED is now building a comprehensive system to support LEAs in implementing the four intervention models. With RTTT funding, the Board of Regents has approved the creation of the ETACIT which will provide expertise on the unique conditions and requirements that are needed by turnaround schools and charter school leaders as well as teachers and local communities. The State is requiring LEAs to choose an intervention model and implement a Quality intervention Plan for each persistently lowest-performing school. LEAs are to follow a process to ensure that quality interventions are being implemented in each school. Depending on the model chosen, specific assistance Intervention Partners are assigned. Schools that do not improve will be subject to increasingly aggressive interventions. Over the course of a three-year period and with the help of an evaluation partner, the NYSED will measure the overall progress and performance of NY's lowest-performing schools. Three schools have begun implementing a new structure but not any of the models identified in the criteria for this section. NY appears to have its own models, except how it may use public charter schools.</p> <p>According to information in Section F, public charter schools are a key element of the State's turnaround strategy. LEAs will be able to replace--the restart model--existing low-performing and failing schools with public charter schools.</p>				
(E)(2) Reviewer Comments: (Tier 2)				
(E)(2)(ii): Based on the feedback from panel members to the question about turning around the persistently lowest-achieving schools, points have been added.				
Total	50	47	50	

F. General

	Available	Tier 1	Tier 2	Init
(F)(1) Making education funding a priority	10	10	10	
(i) Allocating a consistent percentage of State revenue to education	5	5	5	
(ii) Equitably funding high-poverty schools	5	5	5	
(F)(1) Reviewer Comments: (Tier 1)				
(F) (1) (i): The State has increased its share of the State budget for education from 2008 to 2009 by 5.8%.				
(F) (1) (ii):				

(a): The State revenues per pupil are greatest for high-need students (\$10,497), followed by average-need students (\$8,450), and lowest for low-need students (\$5,110).

(b): As part of a new initiative, the big 5 LEAs and other high-need districts are required by NYSED to allocate the majority of their increases in operating aid that resulted from a funding formula to high-need schools based on student poverty and other indicators of need. To ensure that funding is distributed equitably within LEAs, districts are required to allocate their funds to schools in accountability status in proportion to student need as defined by poverty, low achievement, ELL status, and disabilities.

(F)(2) Ensuring successful conditions for high-performing charter schools and other innovative schools	40	37	37	
(i) Enabling high-performing charter schools "(caps)"	8	5	5	
(ii) Authorizing and holding charters accountable for outcomes	8	8	8	
(iii) Equitably funding charter schools	8	8	8	
(iv) Providing charter schools with equitable access to facilities	8	8	8	
(v) Enabling LEAs to operate other innovative, autonomous public schools	8	8	8	

(F)(2) Reviewer Comments: (Tier 1)

(F) (2) (i): There is a discrepancy in the information presented in the application. On the one hand, the state states that it has more than doubled its charter cap from 200 schools to 460 schools. As of 2009 NY has 140 operating charter schools. The cap has been raised incrementally each year and it is estimated that by 2013-14, the end of the grant period, there will be 460 charter schools. The concluding statement in this section is that the new cap exceeds 10% of the total number of public schools. However, in calculating the data presented where the numerator is 460 charters and the denominator is 4,680 schools (including charters), the percentage is 9.85%, not 10%.

(F) (2) (ii): NY has a rigorous approval, monitoring, and reauthorization process for its charter schools. Under its Charter Laws, there are detailed application requirements that include student achievement goals and methods for evaluating if students have met the goals, requirements for renewal as a charter entity, provisions for accountability, and a requirement that annual reports must be submitted that include measures of academic and fiscal performance of the school, graduation rates, dropout rates, student performance on standardized tests, and college entry rates. The Law authorizes the charter entity or Board of Regents to revoke or terminate the charter of specified grounds including student performance, violations of the law, fiscal mismanagement, repeated failure to meet or exceed enrollment and retention targets for high-need groups of students. Ineffective charter schools have not had their license renewed. The Law also includes provisions that encourage the formation of charter schools that serve populations similar to those of the LEA. A major focus of the law is to provide equal access to charter schools for students with disabilities, ELLs, and children from families in poverty.

(F) (2) (iii): LEAs with resident students attending charter schools are required to pay a per pupil tuition amount that is based on a computation designed to ensure that the LEA provides support for charter school students in an amount equivalent to the school's per-pupil operating expenditures on instructionally related activities. LEAs per-pupil tuition amount ranges from \$8,000 to \$24,700, based on the expenditures of the student's district of residence. The weighted average per-pupil tuition amount is approximately \$12,000 per pupil.

(F) (2) (iv): NY supports charter schools in obtaining facilities in a variety of ways: basic tuition may be used to pay facilities costs; the Charter School Stimulus Fund provides grants for development, implementation, and operation of charter schools, including start-up costs and costs associated with the acquisition, renovation, or construction of charter school facilities.. Charter schools have authority to issue corporate

bonds. There are also situations where a charter school may indirectly benefit from school district bonding for school construction.

(F) (2) (v): The State encourages and supports LEAs in establishing and operating innovative, autonomous public schools. Effective March 2010, the State has an Office of Innovative School models. The Office will ensure that LEAs build on successful and innovative practices. The application showcases several examples of autonomous public schools: Tech Valley HS, The College Board School, and Early College HS. There is also a partnership zone model that leverages the power of a network to build capacity at both the school and district levels.

(F)(3) Demonstrating other significant reform conditions	5	5	5	
(F)(3) Reviewer Comments: (Tier 1)				
(F) (3): The State has created through its laws, regulations, and policies conditions that are favorable and bode well for increasing student achievement and graduation rates, as well as narrowing its achievement gaps.				
Total	55	52	52	

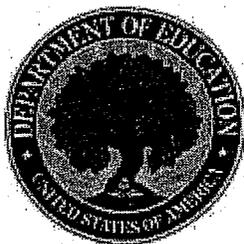
Competitive Preference Priority 2: Emphasis on STEM

	Available	Tier 1	Tier 2	Init
Competitive Preference Priority 2: Emphasis on STEM	15	15	15	
Competitive Reviewer Comments: (Tier 1)				
(i): The State currently offers a rigorous course of study in math, the sciences, technology and engineering through universities in the local area, standards in math, science, and technology, and career development and occupational studies, as well as a professional development network. The state will offer as part of RTTT extended learning opportunities in these areas through enrichment experiences that will include in-depth study.				
(ii) The State's STEM strategy incorporates recommendations from a diverse group of organizations and partners such as the Carnegie institute for Advanced Study, Rensselaer Polytechnic Institute, the science teachers association, and the association of Mathematics Teachers, as well as collaborative groups including the NYS STEM Education Collaborative. Through the STEM collaborative, partnerships with IHEs whose focus is on science will be strengthened. Several projects are planned to train teachers and school leaders in STEM areas. One of the planned projects will provide professional development for middle and high school teachers to develop curricula and instructional strategies for teaching AP or college-level courses in STEM areas.				
(iii) One of the projects planned is an Incentive Fund for STEM Certification and High Needs School Placement. These grants will provide for supplemental compensation for teachers of STEM/ELLs/SWDs to work in high need schools (which include underrepresented groups and women and girls in STEM fields) to prepare students to work in careers in the sciences, technology, engineering, and mathematics.				
Total	15	15	15	

Absolute Priority - Comprehensive Approach to Education Reform

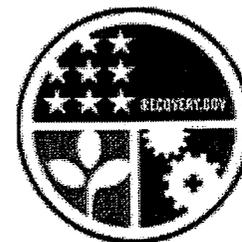
	Available	Tier 1	Tier 2	Init
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Absolute Priority - Comprehensive Approach to Education Reform		Yes	Yes	
<p>Absolute Reviewer Comments: (Tier 1)</p> <p>The State has demonstrated in its comprehensive reform package, specifically in the activities it has planned, that it is committed to achieving its goals. Each of the activities has been carefully planned and there is broad support for the reform agenda to be successful. However there are some concerns based on information in the application:</p> <ol style="list-style-type: none"> 1. The targeted growth outcomes are modest and not ambitious. Although students appear to do perform much better on the state assessments than on NAEP assessments, when the data are disaggregated there are sub-groups of students in high-need LEAs in particular that are performing at low levels. The targeted growth for these students in particular need to be at a much higher level specially given the intense effort by the State in its planned activities to help these students. 2. There does not appear to be support by the teacher association in several high-need LEAs. This is of concern because a lack of support could thwart the reform activities planned. 3. Because several charter school models, e.g., KIPP, have been so successful, activities planned to increase student achievement in LEAs would benefit from modeling the practices of these schools. 4. The development and implementation timeline for many activities does not begin until years 2 and beyond in many reform areas. This will affect being able to make the type of needed improvements for students, especially students in high-need LEAs and schools. 				
Total		0	0	
Grand Total	500	454	463	



Race to the Top

Technical Review Form - Tier 2



New York Application #3650NY-5

A. State Success Factors

	Available	Tier 1	Tier 2	Init
(A)(1) Articulating State's education reform agenda and LEA's participation in it	65	57	62	
(i) Articulating comprehensive, coherent reform agenda	5	5	5	
(ii) Securing LEA commitment	45	40	45	
(iii) Translating LEA participation into statewide impact	15	12	12	

(A)(1) Reviewer Comments: (Tier 1)

(A)(1) Articulating State's education reform agenda and LEA's participation in it

(i) Articulating comprehensive, coherent reform agenda

REVIEWER'S SYNOPSIS OF EVIDENCE PRESENTED BY APPLICANT:

- New York has proposed a comprehensive and coherent reform agenda that clearly articulates its goals for implementing reforms in the four education areas described in the ARRA legislation. The state is committed to significantly improving student achievement outcomes statewide through a clear and credible path that is focused on its reform goals. These are defined and amplified in its RTTT application.

- New York's reform plan specifically seeks to:

- Ensure college and career readiness for the state's high school graduates by developing and adopting world class common standards; sequenced, spiraled, content-rich curricula; and formative, interim, and summative assessments fully aligned with those standards;
- Prepare educators to use student performance and other data to improve instruction and to inform educational research and policy;
- Ensure effective teachers and principals in every classroom and school;
- Turn around its persistently lowest performing schools;
- Support and expand highly effective charter school models and create statewide conditions for curricular innovation and reform;
- Strengthen the participation and advance the academic achievement of underrepresented groups and girls in STEM education and related careers.

EVALUATIVE COMMENTS:

New York has proposed a comprehensive and coherent reform agenda that clearly articulates its goals for implementing reforms in the four education areas described in the ARRA legislation. There is a high level of commitment to significantly improving student achievement outcomes statewide through a clear and credible agenda focused on its reform goals. These goals are bold, carefully conceived, effectively communicated and achievable, in the judgment of this reviewer. More specifically, after an intensive study of New York's RTTT proposal, this reviewer came away deeply impressed with the overall depth of thinking apparent in the preparation of the proposal. There is a strong will on the part of New York's executive, legislative and educational

leadership to make reform work for the benefit of the State's huge student population. This conviction comes through in every section of the plan. In essence, New York's proposal communicates a very strong professional ethic, a fundamental conceptual understanding of what RTTT is all about and an unequivocal commitment to be a national education reform leader.

(ii) Securing LEA commitment

REVIEWER'S SYNOPSIS OF EVIDENCE PRESENTED BY APPLICANT:

- New York has secured the participation of those LEAs serving students most in need of improved educational opportunities and outcomes. There are 744 LEAs, including 171 charter schools, which have committed to implementing all portions of the State plan by signing New York State's RTTT MOU. Included in these numbers are New York State's Big 5 city school districts which represent 39.7 percent of all students statewide and 64.6 percent of the State's high-need students. While New York's RTTT reforms will impact all of its LEAs, schools, and students in order to reach the greatest number of high-needs students as quickly as possible, its implementation plan prioritizes the state's five largest city school districts, as well as those LEAs supporting persistently lowest-achieving schools. These districts are Albany, Buffalo, New York City, Rochester, Roosevelt, Syracuse, and Yonkers, which together represent 40.0 percent of the State's total student population and 65.1 percent of the state's high-needs students.
- Because New York's RTTT plan places particular emphasis on teacher and school leader effectiveness, support from the state's teachers' unions is viewed as critically important to the success of its implementation efforts. The NYSED has worked in concert with its union partners in designing its reform plans including the newly enacted legislation necessary to implement these plans. Based on this close partnership, the New York RTTT application has received strong support from its local teachers unions with 70.8% of local teachers union leaders from public school districts signing the state MOU.
- To ensure the highest level of commitment and support from LEAs that elect to participate in the plan, New York's MOU clarifies that participating LEAs must commit to implement all of the elements of the State's reform plan. The NYSED instructed LEA that MOU submissions that included any language insertions, addenda (including any conditions on participation and/or implementation), comments, strikeouts or deletions would not be approved. As a result, participating LEAs have demonstrating strong commitment to the state's reform agenda including a binding agreement to implement the complete RTTT plan.

EVALUATIVE COMMENTS:

In this reviewer's judgment, New York has sufficiently secured the participation of a critical mass of LEAs serving the state's students most in need of improved educational opportunities and outcomes. There are 744 participating LEAs, including 171 charter schools, which have committed to implementing all portions of the State plan by signing New York State's RTTT MOU—including 70.8% of local teachers union leaders from public school districts also signing the state MOU. Included among signatories are New York State's Big 5 city school districts which represent 39.7 percent of all students statewide and 64.6 percent of the State's high-need students. The NYSED has sought to work in concert with its union partners in designing its reform plans including the newly enacted legislation necessary to implement these plans. **HOWEVER**, this reviewer notes a troubling lack of teacher union support, especially at the local district level. Based on an otherwise close partnership among the state's executive, legislative and professional leadership, full implementation of New York RTTT plan would seem to have a high probability of success.

(iii) Translating LEA participation into statewide impact

REVIEWER'S SYNOPSIS OF EVIDENCE PRESENTED BY APPLICANT:

- New York has set aggressive but attainable annual targets, having secured the participation of those LEAs serving the students most in need of improved educational opportunities and outcomes. The state's

plan identifies specific targets for 4th and 8th grade English language arts (ELA), Math and Science Elementary and Secondary Education Act (ESEA) assessments, secondary-level ELA, Math and Science Regents Examinations, high school graduation rates, and college enrollment and persistence rates.

- New York has targeted overall NAEP proficiency levels of 46 percent for Grade 4 Reading and 48 percent for Grade 4 Math by 2013, representing an incremental gain of 7 percent and 4 percent, respectively, above the gains anticipated in the absence of a Race to the Top award. While the overall gain for Grade 4 Reading is targeted at 10 percentage points over six years, priority subgroup gain targets are higher at 12-13 percentage points. These gains will narrow the achievement gap, more than double proficiency levels of students with disabilities, and triple the proficiency of English language learners (baseline gains are 1-4 percentage points). The Grade 4 Math gain target for all students is 8 percentage points over four years.

- New York has targeted overall NAEP proficiency levels of 40 percent for Grade 8 Reading and 42 percent for Grade 8 Math by 2013 (an incremental 7 percentage-point gain in both areas above the gains anticipated in the absence of a Race to the Top award). While the overall gain for Grade 8 Reading is targeted at 8 percentage points over six years, priority subgroup gain targets are higher, with growth ranging from 10-12 percentage points, as strategies specific to traditionally underserved populations will support greater academic achievement for these students. The Grade 8 Math gain target for all students is 8 percentage points over four years (1 percentage point without RTTT). The state projects that priority subgroups will rise on a faster trajectory of 8-10 percentage points over four years.

- New York is projecting immediate and long-term increases in successful, college-ready high school completion rates. In addition to setting statewide graduation targets, the state has also set ambitious targets for indicators of postsecondary success. Graduation requirements in New York will increase through 2012 due to a policy phase-in requiring higher scores on the exit exams. Prior to 2005, a passing grade of 55 on the New York State Regents examinations in five subjects—comprehensive English, mathematics, science, U.S. history, and global history—was sufficient to obtain a diploma and graduate from high school. Recognizing that a score of 55 did not represent proficiency, the Board of Regents in 2005 approved regulations phasing-in 65 as the passing score for Regents exams. That phase-in was to be completed with the students who entered ninth grade in 2008. Students graduating in 2012 earn a diploma upon passing all five of the required Regents exams with a score of 65 or higher, passing their courses and earning 22 course credits. It is within this significantly more demanding context that New York projects a 76 percent graduation rate by 2013-14. With the RTTT support, the increase in graduation rate (4.5 percent) will be more than three times the otherwise anticipated gain of 1.3 percent.

EVALUATIVE COMMENTS:

New York's response to this criterion is essentially focused and convincing, in this reviewer's judgment. However, there is an apparent disconnect between the State's intent and the full development of its strategies for addressing high-minority/high-needs students. Otherwise, the State has set bold and attainable annual goals for its LEAs which include specifically targeted improvements in student achievement for 4th and 8th grade English language arts (ELA); development of mathematics and science Elementary and Secondary Education Act (ESEA) assessments; improved high school graduation rates; and increased college enrollment and persistence rates. In addition to setting statewide graduation targets, the state has also set ambitious targets for indicators of postsecondary success. The scope and general excellence of New York's response to this criterion, combined with the critical mass of its participating LEA's, suggests a powerful statewide impact can be reasonably predicted.

(A)(1) Reviewer Comments: (Tier 2)

This reviewer has modified the score for this criterion based upon the explanatory testimony of the New York Presentation Team specifically including that of Commissioner Steiner and United Federation

of Teachers' president Mulgrew which provided data supporting extensive union support of the state's RTTT proposal.

(A)(2) Building strong statewide capacity to implement, scale up, and sustain proposed plans	30	30	30	
(i) Ensuring the capacity to implement	20	20	20	
(ii) Using broad stakeholder support	10	10	10	

(A)(2) Reviewer Comments: (Tier 1)

(A)(2) Building strong statewide capacity to implement, scale up, and sustain proposed plans

(i) Ensuring the capacity to implement

REVIEWER'S SYNOPSIS OF EVIDENCE PRESENTED BY APPLICANT:

New York has presented substantial and convincing evidence of its statewide capacity to implement, scale up and sustain its RTTT plans including identification of a cadre of high level and accomplished state officials who will have major leadership roles. The NYSED is committed to providing major support to participating LEAs to enable their successful implementation of RTTT education reforms. This support will include oversight and accountability functions and grant administration. A long term post-RTTT grant commitment to continued reform efforts is also in place. Of special note are the following points:

- Since early 2010, the Commissioner and Senior Deputy have begun to redesign the NYSED at the direction of the Board of Regents to transform it from a compliance-oriented agency focused on monitoring inputs to a service-oriented agency focused on supporting the state's Race to the Top initiatives and priorities including its capacity to accurately evaluate the effectiveness of districts and charter schools and diagnose their strengths and weaknesses in key areas.
- The Board of Regents has authorized the establishment within the State Education Department of several new offices that will play a key role in implementing the State's RTTT reforms. These offices have been staffed with newly-hired leaders, bringing fresh ideas and the capacity to support RTTT implementation. (Note: these senior positions have been funded with existing State and federal funds to ensure sustainability beyond the term of the RTTT grant.)
- The state will establish the RTTT Performance Management Office, which will be comprised of a project director, four project analysts, and a team coordinator who will all bring best-in-class project management and program evaluation capabilities to NYSED. Reporting to the Senior Deputy, who is responsible for ensuring the implementation of the State's RTTT reforms, the Performance Management Office will oversee all RTTT implementation work and resources.
- A newly created Office of Innovative School Models (OISM) opened in February 2010, and is charged with overseeing the State's school turnaround efforts and charter school authorizing. The OISM will work to create optimal State-level policy and operating conditions for dramatic school intervention to ensure that LEAs can build on successful and innovative practices in areas such as school enrollment and placement to ensure equity; maximizing use of instructional time and teacher scheduling.
- An External Technical Assistance Center for Innovation and Turnaround (ETACIT) will be created through a Request for Proposal to garner national expertise to support the state's LEAs in turning around their persistently lowest-achieving schools.
- The NYSED Research Support Group will package and broadly disseminate information about proven best practices in education management and successful, scalable models for improving student achievement.

EVALUATIVE COMMENTS:

In this reviewer's judgment, New York's response to this criterion is strong and convincing. The state has provided substantial evidence of its capacity to implement, scale up and sustain its RTTT plans statewide including specific identification of a cadre of high level and accomplished state officials and educational leaders who will have major leadership roles. The State Education Department (NYSED) expresses an unequivocal commitment to provide major support to participating LEAs to enable their full and successful implementation of RTTT reforms. Of special significance to this reviewer is the willingness of the NYSED to undertake significant internal restructuring in order to meet its leadership responsibilities relative to implementing and sustaining statewide reform efforts.

(ii) Using broad stakeholder support**REVIEWER'S SYNOPSIS OF EVIDENCE PRESENTED BY APPLICANT:**

- New York State's Race to the Top strategies were developed through an open engagement and feedback process with key stakeholders in order to assure the successful implementation of its RTTT initiatives. During 2009 and 2010, a senior NYSED leadership team—the Chancellor, the Board of Regents Chair for the Race to the Top Committee, and the Commissioner of Education along with his Senior Deputy—met with nearly 200 individuals and groups from around the state to plan New York's response to the RTTT legislation. Included were LEA superintendents and boards of education, Boards of Cooperative Educational Services (BOCES), District Superintendents, union partners, English language learner coalitions, non-profit school providers and charter school organizations, deans and faculty of colleges and universities, early childhood groups, parent associations, advocacy groups for the arts and culture, representatives for individuals with disabilities, civil rights groups, members of the business community, and members of the philanthropic community.
- The NYSED worked in close partnership with New York State United Teachers and the United Federation of Teachers to develop a proposal for a new teacher and principal evaluation system, which was passed into law in May 2010, and forms a critical component of the state's RTTT plan.
- Over 100 letters from stakeholders across the State in support of the RTTT plan. Those letters consistently commend the breadth of vision and reform of New York's Race to the Top education reform plan.

EVALUATIVE COMMENTS:

This reviewer believes that New York has demonstrated strong stakeholder support. Specifically, New York's Race to the Top strategic planning appears to have been developed through an open, highly collaborative engagement and feedback process involving key stakeholders. During 2009 and 2010, a senior NYSED leadership team—the Chancellor, the Board of Regents Chair for the Race to the Top Committee, and the Commissioner of Education along with his Senior Deputy—met with nearly 200 individuals and groups from around the state to plan New York's response to the RTTT legislation. These included LEA superintendents and boards of education, Boards of Cooperative Educational Services (BOCES), district superintendents, teachers' union partners, English language learner coalitions, non-profit school providers and charter school organizations, deans and faculty of colleges and universities, early childhood groups, parent associations. The consequence is a plan with great substance and professional integrity, in this reviewer's judgment.

(A)(3) Demonstrating significant progress in raising achievement and closing gaps	30	28	28	
(i) Making progress in each reform area	5	5	5	
(ii) Improving student outcomes	25	23	23	

(A)(3) Reviewer Comments: (Tier 1)

(A)(3) Demonstrating significant progress in raising achievement and closing gaps

(i) Making progress in each reform area

REVIEWER'S SYNOPSIS OF EVIDENCE PRESENTED BY APPLICANT:

New York has presented extensive evidence of its progress over the past several years in each of the four ARRA education reform areas. Highlights of this evidence include:

• Standards and Assessments

- In 1996, the Board of Regents approved current student learning standards, considered to be among the most rigorous in the nation;
- Over the last two years, the Regents Standards Review Committee worked with State and national stakeholders and partners to revise the State's ELA and ESL standards;
- In 2007, New York became one of only eight states nationwide to have a fully approved assessment system under USDE's rigorous Title I peer review;
- Prior to 2005, a passing grade of 55 on the New York State Regents examinations in five subjects—comprehensive English, mathematics, science, US history, and global history—was sufficient to obtain a diploma and to graduate from high school; recognizing that a score of 55 did not represent proficiency, the Board of Regents in 2005 approved regulations phasing-in 65 as the passing score for Regents exams.

• Data Systems

The NYSE has expanded its longitudinal data system dramatically and now collects all 12 data elements required by the America COMPETES Act. This expansion of the data system was mandated by the Board of Regents and follows Regents' policy developed in 2005. The system is now able to track students from pre-kindergarten to high school and college. The State envisions a fully-developed P-16 longitudinal data system to be a key resource on which new educational reforms will be built.

• Great Teachers and Leaders

The Board of Regents has established alternative certification policies that enable teacher and principal candidates to receive their education through alternate preparation programs leading to certification as a teacher or principal. During the current year, through Teach for America, a corps of 1,000 of the nation's top recent college graduates is working in underserved schools across New York City and in Westchester County to ensure that students facing the challenges of poverty are provided with innovative instructional practices.

• Turning Around the Lowest Achieving Schools

—Approved by USDE in January 2009, New York's Differentiated Accountability pilot program allows the State to differentiate between underperforming schools in need of dramatic interventions and those that are closer to meeting the goals of the Elementary and Secondary Education Act. New York's program allows the State to provide more targeted intervention earlier in the process so as to address issues before they result in the need for turnaround.

—Contracts for Excellence, a program created by the state legislature in 2007, requires poorly performing districts to segregate state funding and use it for programs approved by NYSED geared toward closing the achievement gap.

—In an effort to create new high-quality education opportunities for families and replace failing schools, New York State contends that it has incubated and launched some of the most innovative new school

models and school partners in the country, including 140 charter schools. In the largest five urban districts (New York City, Yonkers, Syracuse, Rochester and Buffalo), superintendents have facilitated the creation of hundreds of new schools, a number of which have been designed to advance science, technology, engineering, and mathematics (STEM) education. Since 2003, New York City, with nearly one-third of the State's students, has opened over 250 new small high schools and has created multiple pathways to graduation for students who are over-age and without enough credits to graduate.

EVALUATIVE COMMENTS:

In this reviewer's judgment, New York's responses to this criterion are substantial and convincing in relation to each ARRA reform area. Worthy of particular note in this respect are: (a) the state's expanded longitudinal data system which collects all 12 data elements required by the America COMPETES Act with further immediate plans for a fully-developed P-16 longitudinal data system which New York sees as a key resource on which its proposed educational reforms will be built; and (b) the new State Differentiated Accountability pilot program which will allow differentiation between/among underperforming schools in need of dramatic interventions and those that are closer to meeting the goals of the ESEA.

(ii) Improving student outcomes

REVIEWER'S SYNOPSIS OF EVIDENCE PRESENTED BY APPLICANT:

New York has presented detailed evidence to show improved student outcomes overall and by student subgroup since at least 2003 with explanations of the connections between the data and the actions that have contributed to these improvements. Highlights of this evidence include the following points:

- New York students have consistently performed higher than national averages on both Grade 4 and Grade 8 Mathematics exams from 2003 to 2009. On Grade 4 Mathematics exams, in all years 2003 through 2009, average scale scores for all subgroups were at or above national averages. The percentage of New York students who are at or above Basic in Grade 8 Reading exceeds the national average and the percentage who are at or above Proficient in Grade 8 Mathematics also exceeds the national average. Performance of ELLs on Grade 4 Mathematics improved rapidly from 2003 to 2009, with the average scale score increasing from 4 percent below the national average to equal the national average.
- New York tested students in Grades 4 and 8 in school years 1999-2000 through 2004-05. During this period, the percentage of students scoring at or above proficiency in elementary English language arts (ELA) rose from 59 percent to 70 percent. The percentage of students at or above proficiency in middle level ELA improved from 44 percent in 2001-02 to 48 percent in 2004-05. Since the implementation of Grades 3-8 testing in the 2005-06 school year, performance in Grades 3-8 ELA has continued to improve, with a 15-point increase in the percentage of students who were proficient – from 62 percent in 2005-06 to 77 percent in 2008-09. In elementary school mathematics, the percentage of students who scored at or above proficiency increased from 65 percent to 85 percent from 1999-2000 to 2004-05 while the percentage of students at or above proficiency in Grade 8 Mathematics rose from 40 percent to 56 percent. In Grades 3-8 Mathematics, the percentage of students who scored at or above proficiency rose from 66 percent in 2005-06 to 86 percent in 2008-09.
- In its efforts to close achievement gaps, New York made significant gains with the percentage of all students who are proficient increasing between 2003 and 2009 by 7 percent; of black students by 7 percent; of Hispanic students by 10 percent; of English Language Learners by 7 percent; and of economically disadvantaged students by 10 percent. Grade 8 Mathematics results similarly highlight the closing gap between high- and low-income students with economically disadvantaged students gaining 6 percent from 2003 to 2009, while all students increased by 2 percentage points.

EVALUATIVE COMMENTS:

This reviewer believes that New York's responses to this criterion are broadly inclusive and convincing. However, the State did not provide sub-group NAEP scores. Additionally, no explanation was offered as to why the test results for students with disabilities were essentially flat. Worthy of special attention are the State's continuing efforts to close its student achievement gaps as evidenced by significant gains reported for the percentage of students who demonstrated increased academic proficiency between 2003 and 2009. The increases were for: ALL students, 7%; black students, 7%; Hispanic students, 10%; English Language Learners (ELL) 10%; and for economically disadvantaged students, 10 %. Additionally, grade 8 mathematics testing results similarly highlight New York's efforts to close the gap between high-and low-income students with economically disadvantaged students gaining 6 percent points from 2003 to 2009 compared to all students who increased by 2 percentage points. Additionally, almost 72 percent of New York's students who began 9th grade in 2005 had graduated after 4 years (by June 2009). This is compared with a 66 percent graduation rate for students who started 9th grade in 2001. For the 2005 cohort, the graduation rate improved to over 74 percent for those students who graduated in August 2009. A fifth year of high school also makes a difference for many students. Among students who started 9th grade in 2004, 77 percent had graduated by 2009, an increase of 5 percentage points or 12,500 more students during the fifth year. The four-year graduation rate of Black students increased from 45 to almost 56 percent between 2005 and 2009. More Black students are now also staying in school beyond four years. The four-year graduation rate of Hispanic students increased from 42 to almost 55 percent between 2005 and 2009. More Hispanic students are now also staying in school longer. For the 2005 cohort, the achievement gap between Black and Hispanic students on the one hand, and White students on the other, has declined to 25 percentage points, down from about 34 percentage points for Black students and 37 percentage points for Hispanic students four years before.

Total	125	115	120	
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B. Standards and Assessments

	Available	Tier 1	Tier 2	Init
(B)(1) Developing and adopting common standards	40	40	40	
(i) Participating in consortium developing high-quality standards	20	20	20	
(ii) Adopting standards	20	20	20	

(B)(1) Reviewer Comments: (Tier 1)

(B)(1) Developing and adopting common standards

(i) Participating in consortium developing high-quality standards

REVIEWER'S SYNOPSIS OF EVIDENCE PRESENTED BY APPLICANT:

- New York is committed to adopting and implementing rigorous state standards and assessments in order to ensure all students are ready for success in college and careers upon high school graduation. In April 2009, Governor David Paterson and former Education Commissioner Richard P. Mills signed a Memorandum of Agreement (MOA) with Governors and State Commissioners of Education from 48 states,

two territories, and the District of Columbia, committing to develop Common Core State Standards. The Common Core State Standards Initiative is a state-led effort coordinated by the National Governors Association Center for Best Practices (NGA Center) and the Council of Chief State School Officers (CCSSO) in collaboration with Achieve, Inc., the College Board, and ACT. New York is a member of two consortia formed to create and adopt these high-quality assessments. These are the Partnership for Assessment of Readiness for College and Careers (PARCC), and the National Center on Education and the Economy Statewide Consortium. The Board of Regents will adopt the newly developed Common Core Standards in July 2010 and begin implementing them through a strategic plan focused on a LEA capacity building initiative. To support educators' implementation of these standards and assessments, the State has a bold and comprehensive plan which includes development of statewide curriculum models and performance-based formative and interim assessments for use in New York classrooms.

- The Common Core State Standards are based on national and international benchmarks that have been used to determine what students should know and be able to do in English language arts (ELA) and mathematics by the time of high school graduation in order to be successful in college and career ready.

EVALUATIVE COMMENTS:

This reviewer believes that New York has fully and appropriately responded to this criterion. Governor David Paterson and former Education Commissioner Richard P. Mills signed a Memorandum of Agreement (MOA) with Governors and State Commissioners of Education from 48 states, two territories, and the District of Columbia, committing themselves to develop Common Core State Standards. The Common Core State Standards Initiative is a state-led effort coordinated by the National Governors Association Center for Best Practices (NGA Center) and the Council of Chief State School Officers (CCSSO) in collaboration with Achieve, Inc., the College Board, and ACT.

(ii) Adopting standards

REVIEWER'S SYNOPSIS OF EVIDENCE PRESENTED BY APPLICANT:

- The New York Board of Regents plans to adopt the internationally benchmarked Common Core State Standards in July 2010. Additionally, the state plans to develop and adopt an additional 15 percent of ELA and mathematics standards to ensure that new standards meet and/or exceed New York's current ELA and mathematics standards. Through the leadership of the Board of Regents Standards Review Committee, New York's plans call for convening teams of teachers, administrators, college faculty members, and cognitive psychologists to review the final Common Core standards against current New York State ELA standards, the State's draft ELA/ESL learning standards, the 2005 mathematics learning standards, and the Standards Review Committee Working Principles. After that process, a proposed draft of P-12 NYS Learning Standards for English Language Arts and Mathematics will be developed that includes up to 15 percent of additional standards as needed. The committee will also incorporate suggestions from a number of stakeholder groups that are working to make New York State's standards even more rigorous and more appropriate for a broad of students including English language learners and students with disabilities.

EVALUATIVE COMMENTS:

This reviewer believes the applicant has full satisfied the requirements of this criterion. Specifically, the New York Board of Regents plans to adopt the internationally benchmarked Common Core State Standards in July 2010. Through the leadership of the Board of Regents' Standards Review Committee, New York's plans call for convening teams of teachers, administrators, college faculty members, and cognitive psychologists to review the final Common Core standards against current New York State ELA standards, the State's draft ELA/ESL learning standards, the State's 2005 mathematics learning standards, and the State's Standards Review Committee Working Principles as a critical part of its effort to implement the standards in a well-planned way.

(B)(2) Developing and implementing common, high-quality assessments	10	10	10	
(i) Participating in consortium developing high-quality assessments	5	5	5	
(ii) Including a significant number of States	5	5	5	

(B)(2) Reviewer Comments: (Tier 1)

(B)(2) Developing and implementing common, high-quality assessments

(i) Participating in consortium developing high-quality assessments

(ii) Including a significant number of States

REVIEWER'S SYNOPSIS OF EVIDENCE PRESENTED BY APPLICANT:

- The Board of Regents has endorsed the state's participation in the Partnership for Assessment of Readiness for College and Careers (PARCC) consortium that will work toward jointly developing and implementing common, high-quality assessments aligned with a common set of K-12 Common Core State Standards for ELA and Mathematics.
- In April 2010, New York committed to a governing role in the Partnership for Assessment of Readiness for College and Careers (PARCC) Consortium of States. As a member of the governing board, New York will be responsible for major policy decisions such as the overall direction of the partnership, major purposes and uses of the assessment system, fiscal authority and rules for state engagement. It should be noted that Achieve, Inc. has led the coordination of the consortium meetings with the National Center for the Improvement of Educational Assessment (Center for Assessment) serving as a technical support partner.
- The NYSED has signed a Memorandum of Understanding with the National Center on Education and the Economy (NCEE) indicating New York's good faith intention to participate as a governing state in a State Consortium on Board Examination Systems. The consortium's goal is to significantly raise the proportion of high school students who leave high school ready to do college work without remediation by adopting instructional systems based on international best practice. The consortium will identify board examination systems that are ready for use at the end of the sophomore year of high school. The examinations offered by the consortium will be aligned to the Common Core standards.

EVALUATIVE COMMENTS:

This reviewer believes that New York has fully and appropriately responded to criteria B(2)(i) and B(2)(ii). Specifically: (a)The Board of Regents has endorsed the state's participation in the Partnership for Assessment of Readiness for College and Careers (PARCC) consortium that will work toward jointly developing and implementing common, high-quality assessments aligned with the common set of K-12 Common Core State Standards for ELA and Mathematics; and (b) the NYSED has signed an MOU with the National Center on Education and the Economy (NCEE) indicating New York's good faith intention to participate as a governing state in a State Consortium on Board Examination Systems.

(B)(3) Supporting the transition to enhanced standards and high-quality assessments	20	20	20	
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(B)(3) Reviewer Comments: (Tier 1)

(B)(3) Supporting the transition to enhanced standards and high-quality assessments

REVIEWER'S SYNOPSIS OF EVIDENCE PRESENTED BY APPLICANT:

- In planning its support for the transition to enhanced standards and high quality assessments, New York proposes to:

- Realign high school diploma and assessment policies to support college success and career readiness. The Board of Regents' College and Career Readiness Working Group was established in December 2009 to develop recommendations for possible changes to the state's high school diploma requirements. The Working Group is reviewing all current and related Board of Regents regulations, policies, and systems as they consider revisions to the State's high school diploma requirements and assessments. To inform their work, they have convened experts from early childhood, K–12 education, higher education, as well as representatives of business and industry. It is anticipated that the Working Group's recommendations will include the expansion of the State's Standards Review process to include science, economics (including statistics), multimedia and computer technology, arts, and social studies.

- Develop Statewide Curriculum Models Aligned to the Common Core Standards. New York will develop sequenced, spiraled, content-rich PreK–12 statewide curriculum models with grade-by-grade performance expectations beginning with ELA and math. Partners selected to develop the curriculum models will convene stakeholders (practitioners, higher education institutions, professional associations, and others). All frameworks and related professional development resources will be available through the State's Education Data Portal.

- New York's curriculum models will include:

- Grade-by-grade student expectations (standards and performance indicators), including the knowledge, skills, and understandings that students are expected to achieve at each grade level;
- Grade-level learning examples, which include developmentally appropriate instructional strategies and sample tasks to demonstrate how students can achieve standards, including resources for teachers of students with disabilities and English language learners;
- An appendix of recommended authors and lexile-normed reading at each grade level to inform local curriculum development;
- Formative assessment tools at each grade level to permit teachers to measure ongoing student grade-level achievement;
- Alignment tools to analyze existing programs and resources against new learning expectations;
- Supplemental curriculum guidance for teachers of English language learners and students with disabilities.

- New York will build an integrated and comprehensive assessment system that includes: (a) formative, interim, and summative assessments aligned to the Common Core Standards; (b) comprehensive K–2 assessments; assessments in the arts, economics, and multimedia/computer technology, and (c) the next generation of high school assessments.

- Beginning with the Common Core standards in ELA and math for grades K–12, the NYSED will develop a comprehensive set of formative and interim assessments. Schools and districts will be provided with a series of formative tools, including a beginning of year diagnostic assessment, one-time or ongoing literacy assessments, and a bank of performance tasks and multiple choice items that can be integrated into curriculum and classroom instruction throughout the year. As students progress through the state's PreK–12 system, the results of formative and interim assessments will be incorporated into the statewide P–20 data system, further informing professional development strategies and differentiated instruction for students.

- New York proposes to:
 - Build new assessments in the arts, economics, and multimedia and computer technology to ensure that high school graduates are fully literate in 21st century skills.
 - Implement a blended grades 3–8 science testing program in order to prepare more students for advanced study and careers in the sciences, technology, engineering, and mathematics (STEM).
 - Build formative and interim assessments for social studies that connect knowledge and skills (e.g. emphasis on document-based questions).
 - Construct next generation high school assessments that leverage adaptive technologies and adjust to each student’s performance. These assessments will be linked to college success and career readiness and will engage and motivate students using innovative strategies. These strategies will allow for varied demonstrations of student learning and offer opportunities for students to demonstrate their learning in multiple ways, beyond traditional testing protocols.
 - New supplemental assessments, specifically those developed by external partners, will leverage advances in technology which now make it possible to capture more complex performances in assessment settings by including simulation, interactivity, collaboration, and constructed response.

EVALUATIVE COMMENTS:

New York’s responses to this criterion are essentially robust and ambitious, in this reviewer’s judgment. For example, the state proposes: (a) development of Statewide Curriculum Models aligned to the Common Core Standards which will be sequenced, spiraled, and content-rich with grade-by-grade performance expectations beginning with ELA and math; (b) construction of next generation high school assessments that leverage adaptive technologies and adjust to each student’s performance level; these will be linked to college success and career readiness, and (c) a major commitment to provide adjacent professional development support for teachers and principals designed to enhance transition to the Common Core standards, statewide curriculum models, and comprehensive assessments beginning in the 2011–12 school year.

Total	70	70	70	
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C. Data Systems to Support Instruction

	Available	Tier 1	Tier 2	Init
(C)(1) Fully implementing a statewide longitudinal data system	24	24	24	

(C)(1) Reviewer Comments: (Tier 1)

(C)(1) Fully implementing a statewide longitudinal data system

REVIEWER’S SYNOPSIS OF EVIDENCE PRESENTED BY APPLICANT:

• New York has developed a P–16 longitudinal data system (LDS) that meets all requirements of the America COMPETES Act. This system includes longitudinal student data from pre-kindergarten through grade 12 (PK–12) and is currently able to connect with the state’s public systems of higher education data repositories so that student transitions from high school to college can be monitored and analyzed. The state envisions a fully-developed P–20 longitudinal data system to be the key resource upon which all other educational reform proposals will rely. This data system will provide information to educators and others that will allow them to make better instructional decisions—from teacher training to student-specific interventions—so that all students are able to reach their academic potential.

- Of special note is New York's plan to further refine and adopt a statewide data governance structure through its commitment to:
 - Build an Education Data Portal that provides customized (“dashboard”) information so that diverse stakeholders can access and analyze materials and information, make decisions, and take actions to improve outcomes for New York’s students;
 - Create a statewide Comprehensive Instructional Reporting and Improvement System accessed through the Education Data Portal so that educators and key partners can drive instructional improvement in all schools statewide, with a targeted focus on low-achieving schools and the achievement gap;
 - Provide integrated, ongoing professional development to educators on the use of data and information through a statewide network;
 - Make the data from the Comprehensive Instructional Reporting and Improvement System and the longitudinal data system fully accessible electronically to researchers while simultaneously promoting a wide-ranging research agenda to engage educators and researchers in the identification and replication of professional best practices.

• New York’s LDS is distinctive in its design. The state’s work is based on collaboration that occurs among NYSED, diverse schools and districts and the statewide network of 11 regional data centers. These data centers include New York City, Yonkers City School District, and nine of the State’s 12 Regional Information Centers (RICs). Both the regional data centers and the statewide LDS are built upon a standardized data model (eScholar Complete Data Warehouse®) and a standardized reporting tool (Cognos Business Intelligence). The data collection and reporting activities of the state’s LDS and the networks of regional data centers are coordinated through project and technical management teams that communicate weekly via teleconference and meet once a month for extended collaboration meetings in person and via video conference.

EVALUATIVE COMMENTS:

This reviewer believes that New York has developed a fundamentally bold, collaboratively designed P–16 longitudinal data system (LDS) that meets all requirements of the America COMPETES Act. This system includes collection of longitudinal student data from pre-kindergarten through grade 12 (PK–12) and is currently able to connect with the state’s public systems of higher education data repositories so that student transitions from high school to college can be monitored and analyzed. The state envisions an *avant-garde* (reviewer’s descriptor) fully-developed P–20 longitudinal data system as its key resource upon which all other educational reform initiatives will rely. This reviewer finds it especially compelling and insightful that the applicant has so forcefully identified the very high priority attached to this critical element of its RTTT plan.

(C)(2) Accessing and using State data	5	5	5	
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(C)(2) Reviewer Comments: (Tier 1)

(C)(2) Accessing and using State data

REVIEWER'S SYNOPSIS OF EVIDENCE PRESENTED BY APPLICANT:

• New York is committed to building an Education Data Portal that different stakeholders can access easily to view useful reports that may be customized as needed. NYSED already provides extensive reports about students, schools, districts, and the State in standardized formats. These include annual School Report Cards, teacher profiles, assessment data, school financial data, demographic data, and the disaggregated data on the performance of diverse groups of students. Through Race to the Top, New York plans to move beyond this more “static” system to a dynamic system in which the user can be in charge of creating and/or customizing clear and relevant reports for specific purposes.

- Users will obtain access to the Education Data Portal based on role and interest (from parent/guardian to teacher and principal, to researcher and policymaker) through unique user credentials. A typical dashboard will be a quadrant, with key indicators situated in the four corners of the user's screen. Each dashboard will be designed to feature data useful and appropriate to the specific user, including full longitudinal state assessment data, interim benchmark scores, student information gathered through the formative assessment process, and early warning reports designed to help identify and provide support for students at risk of not completing educational programs. The content and format of default dashboards will vary by user role, but some common features will include aggregated data with drill-through capability as relevant to district, school, teacher, and student subgroups.

EVALUATIVE COMMENTS:

New York's proposed Education Data Portal is dynamic and cutting edge, in the reviewer's judgment. The Education Data Portal will enable a wide range of stakeholders to access and easily view useful reports that may be customized as needed. NYSED already provides extensive reports about students, schools, districts, and the State in standardized formats. These include annual school report cards, teacher profiles, assessment data, school financial data, demographic data, and disaggregated data on the performance of diverse groups of students. Now, even more importantly, through RTTT, New York plans to move beyond this "static" system to a more dynamic system in which the user can be in charge of creating and/or customizing clear and relevant reports for specific purposes. This is clearly highly promising in terms of predicted success for the state's ability to achieve its reform goals.

(C)(3) Using data to improve instruction	18	18	18	
(i) Increasing the use of instructional improvement systems	6	6	6	
(ii) Supporting LEAs, schools, and teachers in using instructional improvement systems	6	6	6	
(iii) Making the data from instructional improvement systems available to researchers	6	6	6	

(C)(3) Reviewer Comments: (Tier 1)

(C)(3) Using data to improve instruction

(i) Increasing the use of instructional improvement systems

REVIEWER'S SYNOPSIS OF EVIDENCE PRESENTED BY APPLICANT:

- New York's RTTT plan proposes to increase the acquisition, adoption, and use of local instructional improvement systems and is based on the conviction that the availability of comprehensive data on students, teachers, and schools, when accompanied by information on research-based best practices, will give educators and parents the information they need to identify progress and problems and to intervene effectively to help a single child, a class, a specific group of children (including at-risk populations), or an entire school or district.

- Through the Education Data Portal, the statewide instructional reporting and improvement system will make available information from the existing longitudinal data system and will allow users to customize the system to meet their needs. In addition to providing a set of standardized reports and analyses, the system will be flexible in order to maximize the instructional benefit for individual schools and districts by allowing users in each LEA to select their own unique data and create customized reports. The system will include analysis of each assessment standard and item for every student and classroom. Curriculum scope and sequence will also be included in the system to provide a dashboard showing in what content areas

students are either behind or ahead, with matching interventions to address their specific needs. Data will be uploaded daily for rapid-time analysis thereby supporting the use of data from formative and interim assessments which will be produced by the State and by the Assessment Consortium (previously described). An Early Warning System will identify and flag students for intervention if they are, or are likely to be, off track for promotion and graduation. The system is projected to be particularly valuable for educating traditionally underserved target populations.

EVALUATIVE COMMENTS:

New York has developed a three-part plan in response to this criterion which is convincing and predictably achievable. To illustrate, the state will use its proposed Education Data Portal as the base for creating a best-in-class statewide instructional reporting and improvement system that will involve teachers, school officials, and parents in a data-driven culture dedicated to improving student achievement and closing the achievement gap. This reviewer is intrigued with the concept of a "data-driven culture".

(ii) Supporting LEAs, schools, and teachers in using instructional improvement systems

REVIEWER'S SYNOPSIS OF EVIDENCE PRESENTED BY APPLICANT:

- New York proposes to create a sustainable system to provide continuous professional development so that educators can effectively use the instructional improvement system to analyze data, identify student deficiencies, and take appropriate, research-driven actions to improve student achievement and/or school climate. The state's RTTT plan will build on New York City's two-and-half-year-old Collaborative Inquiry Network model that has proven to be successful and effective in raising student achievement. This model consists of network teams dispatched from central LEA administration to work with school-based inquiry teams. Network teams are composed of tiered layers of leaders, data experts, and specialists in curriculum, assessment, and instruction. The design is a sustainable model driven by data and evidence that emphasizes both principal leadership and teacher cooperation. It makes time for teachers to work actively together—using data, analyzing results, and making and evaluating adjustments in their instruction as needed. Schools are held accountable for utilizing the system and for their results through a quality review process and a subsequent rating.

EVALUATIVE COMMENTS:

This reviewer notes that New York proposes to provide continuous professional development for LEAs, schools, and teachers focused on data analysis, identification of specific student deficiencies, and appropriate, research-driven actions to improve student achievement and/or school climate. The response to this criterion is conceptually bold and logistically demanding. The big challenge for the State will be to effectively plan, deliver and manage the multiple components of its professional development initiative. This is one of the most important and demanding features of New York's reform agenda. Of additional special note is that the State's instructional improvement system's professional development plan will build on New York City's two-and-half-year-old Collaborative Inquiry Network (CIN), a model that has proven to be successful and effective in raising student achievement.

(iii) Making the data from instructional improvement systems available to researchers

REVIEWER'S SYNOPSIS OF EVIDENCE PRESENTED BY APPLICANT:

- The NYSED is committed to encouraging the widespread use of data for research and presents evidence of an aggressively pursued research agenda designed to help improve student achievement and to close the state's achievement gap. The NYSED has asked the Harvard Graduate School of Education to conduct a variety of priority research projects focusing on college and career readiness and has provided extensive middle and high school data with no restrictions on their use or publication. Additionally, NYSED has

provided charter and other public school data to researchers at the Stanford University School of Education for an independent evaluation of New York's charter schools. The NYSED also provides extensive data to its independent Technical Advisory Group (TAG) made up of eminent psychometricians from across the country; the TAG reviews all state tests for validity and reliability. No restrictions are placed on the use of the data or the research conducted. NYSED leads an Education Research Consortium that engages in research with Syracuse University and the State University of New York at Albany.

EVALUATIVE COMMENTS:

In this reviewer's judgment, the NYSED provides strong evidence of its commitment to the widespread use of data for research purposes—especially with respect to research focused on ways to help improve student achievement and to close the state's achievement gap. Examples of the strength of its commitment to make data from instructional improvement systems available to researchers are: (a) agreement between the NYSED and the Harvard Graduate School of Education to conduct a variety of priority research projects focusing on college and career readiness including the State's provision of extensive middle and high school data with no restrictions on their use or publication; (b) NYSED's provision of charter and other public school data to researchers at the Stanford University School of Education for an independent evaluation of New York's charter schools; (c) provision of extensive educational assessment data to its independent Technical Advisory Group (TAG)—eminent psychometricians from across the country—for the purpose of examining state tests for validity and reliability with no restrictions placed on the use of the data or the research conducted.

Total	47	47	47	
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D. Great Teachers and Leaders

	Available	Tier 1	Tier 2	Init
(D)(1) Providing high-quality pathways for aspiring teachers and principals	21	20	21	
(i) Allowing alternative routes to certification	7	6	7	
(ii) Using alternative routes to certification	7	7	7	
(iii) Preparing teachers and principals to fill areas of shortage	7	7	7	

(D)(1) Reviewer Comments: (Tier 1)

(D)(1) Providing high-quality pathways for aspiring teachers and principals

(i) Allowing alternative routes to certification

REVIEWER'S SYNOPSIS OF EVIDENCE PRESENTED BY APPLICANT:

- The New York Board of Regents and the Commissioner of Education have the authority to establish the examination and certification requirements for teachers and school leaders. The law also gives the Regents authority to approve alternative routes to certification for teachers and principals, which includes the authority to incorporate and/or authorize providers other than traditional institutions of higher education (IHEs) to prepare teachers and principals. As a result, New York State offers routes to certification that run

along a continuum from traditional IHE preparation to streamlined preparation for qualified candidates through alternative pathways.

- At their April and May 2010 meetings, the Regents approved new alternative routes to certification for teachers and principals to be offered by non-IHE providers by authorizing their eligibility to apply to offer clinically-rich, performance-based graduate level teacher and principal preparation programs for high-needs schools. Such programs must meet the same standards as those required of IHEs, including academic level (graduate or undergraduate), content, rigor, and other resources.
- In order to ensure a rigorous programmatic review and to select only the highest quality alternative providers to assist in the preparation of teachers and principals for high-need schools, the Regents will charge a Blue Ribbon Commission of distinguished educators—including both teachers and school leaders, to evaluate all applications to ensure that they meet the Commissioner's standards, as approved by the Board of Regents, and to recommend to the Regents those programs that should be authorized to establish clinically-rich teacher and principal preparation programs through IHE and non-IHE providers, or in combination.

EVALUATIVE COMMENTS:

New York law gives the Board of Regents authority to approve alternative routes to certification for teachers and principals which includes the authority to incorporate and/or authorize providers other than traditional institutions of higher education (IHEs). The Regents have approved new alternative routes to certification for teachers and principals to be offered by non-IHE providers by authorizing their eligibility to apply to offer clinically-rich, performance-based graduate level teacher and principal preparation programs for high-needs schools. This reviewer would have liked to see more complete data from the applicant relative to the meaning of a "clinically rich" performance-based preparation program. It is an excellent concept but there is no evidence of what it will look like in practice.

(ii) Using alternative routes to certification

REVIEWER'S SYNOPSIS OF EVIDENCE PRESENTED BY APPLICANT:

- New York presents substantial evidence to show that it has a long history of using alternative routes to certification to address teacher shortages. As a result, there are many forms of alternative certification and pathways already in place. In order to address shortages in high-need schools and hard-to-staff subject areas, the Board of Regents (2000) approved regulations establishing a fast-track, non-traditional approach to certification that would attract qualified, educated individuals into teaching who had not completed traditional teacher education programs. These alternative routes—Transitional B (Trans B) for individuals with baccalaureate degrees and Transitional C (Trans C) for those with graduate degrees—are geared toward career changers or talented recent graduates with liberal arts or content-area degrees who seek to teach yet lack needed pedagogical training. Candidates entering these programs who meet high admission standards may "test out" of content requirements through transcript review, or rigorous examination. Candidates must also pass the New York State Teacher Certification Examinations before teaching.
- Candidates in alternative programs must complete embedded school-based experiences and, once teaching, they must continue to participate in daily mentoring for a specified length of time. Alternative programs lead to the same Initial or Professional certificate as traditional routes. To date, NYSED has approved 9 public and 21 private IHEs to offer 389 Trans B and 23 Trans C programs. In 2008-09, New York's schools employed 2,088 teachers with Trans B and C certificates. Building on the success of the Trans B and C certificate programs, in 2003, the NYSED began offering the Transitional A (Trans A) certificate route in order to more quickly place into classrooms experienced individuals with specialized training and skills in rapidly evolving trade or career fields. A distinguishing factor of the Trans A route is its ability to place individuals with required years of demonstrated work experience and without college

The applicant's response to this criterion is comprehensive and strong. In support of this judgment, this reviewer notes that the NYSED has implemented a data-driven teacher and principal supply and demand model to identify, evaluate, and monitor the regions of the state with the greatest shortages of newly certified teachers and principals. A database of teacher and leader certificates issued yearly, by type and subject area, is matched to individual teachers and principals, their employment histories, and their teaching or building assignments. This database identifies, on a regional basis: (a) the number of new teacher/principal hires by LEA and by certification area; (b) the total number of new teachers and principals certified by certification area the previous year, (c) rates of annual teacher and principal turnover, and (d) the percentage of teachers and principals working outside their appropriate certification area as compared to the total number certified in that area the previous year.

(D)(1) Reviewer Comments: (Tier 2)

This reviewer has modified the score for criterion D(1) (i) based upon the testimony of the New York Presentation Team, specifically including explanations by Commissioner Steiner and Senior Deputy Commissioner King which clarified and amplified the state's firm commitment to support alternative routes to certification. Based on this information this reviewer concluded that the criterion warranted the full number of available points.

(D)(2) Improving teacher and principal effectiveness based on performance	58	48	53	
(i) Measuring student growth	5	5	5	
(ii) Developing evaluation systems	15	7	10	
(iii) Conducting annual evaluations	10	8	10	
(iv) Using evaluations to inform key decisions	28	28	28	

(D)(2) Reviewer Comments: (Tier 1)

(D)(2) Improving teacher and principal effectiveness based on performance

(i) Measuring student growth

REVIEWER'S SYNOPSIS OF EVIDENCE PRESENTED BY APPLICANT:

- The NYSED proposes to work with the Center for Assessment in order to design and implement a growth model and value-added model for use in making individual student growth calculations for educator evaluations. The Center for Assessment has developed the highly regarded growth models for Colorado and Massachusetts and has had extensive experience working with different states to research and design growth and value-added measures.

- The Center for Assessment will:
 - Review the growth models of Colorado, Massachusetts, and other states and determine their potential for use by the NYSED;

- Write the specific description for the proposed New York State growth model, utilizing work already done for the growth models used in other states and adapting that work to New York State;
- Ensure that the use of state assessments and other measures of student learning, such as student scores on end-of-course tests and English language proficiency assessments, will be rigorous. New York will adopt the use of the Common Core Standards and the resulting assessments as they become available; the growth model will be aligned concurrently;
- Evaluate data and make projections forward for the next 3-5 years;
- Identify any irregularities to linear models;
- Produce a completed growth model, with all projections taken into account;
- Present work to the Board of Regents;
- Facilitate public hearings;
- Make changes to the growth model as needed after policy and public review;
- Develop and write the implementation plan;
- Act as NYSED’s expert during the USED peer review process for the growth accountability model and plan.

EVALUATIVE COMMENTS:

New York has responded effectively to this criterion, in this reviewer's judgment. Specifically, the NYSED proposes to work with the National Center for the Improvement of Educational Assessment (NCEA) in order to design and implement a growth model and value-added model for use in making individual student growth calculations for teacher and principal evaluations. The NCEA has developed highly regarded growth models for Colorado and Massachusetts and has had extensive experience working with other states to research and design growth and value-added measures.

(ii) Developing evaluation systems

REVIEWER'S SYNOPSIS OF EVIDENCE PRESENTED BY APPLICANT:

- New York’s response to this criterion is quite weak and clouded by rhetoric, in the judgment of this reviewer. The quality of the response is inconsistent with the excellence of the majority of the remainder of the New York RTTT application. The criterion asks for evidence that the applicant has a clear plan for designing and implementing a rigorous, transparent and fair evaluation system for both teachers and principals that differentiates effectiveness using multiple rating categories that take into account data on student growth and are designed with teacher and principal involvement. The applicant has not fully and effectively responded to the criterion. The application essentially omits any reference to teacher and principal involvement in the design of the new evaluation system.
- Under New York’s existing regulations, beginning July 1, 2011, teachers and principals will receive one of four ratings: Highly Effective, Effective, Developing, or Ineffective. Each rating category will now have explicit minimum and maximum scoring ranges, which will be prescribed in Commissioner’s Regulations which specify that a system for teacher evaluation must differentiate effectiveness and provide appropriate support for those teachers who are either rated ineffective or developing. The NYSED will support LEAs in using evaluation results to make critical staffing decisions such as implementing career ladder systems and identifying and deploying effective teachers and leaders. Data will also be used to identify teachers for such critical roles as mentors, instructional and evaluation coaches, department chairs and other leadership positions. The career ladders (teacher/principal career development continuums) will provide LEAs with a State developed measure of differentiated teacher/principal effectiveness that can be used to reward highly effective teachers/principals with supplemental compensation. The revised Annual Professional Performance Reviews for both teachers and principals will be designed to assist teachers, principals and LEAs to develop professional capacity over time and to ultimately improve student learning.
- New York's Board of Regents will establish regulations to guide local action in development of both student achievement and other valid local measures for teacher evaluation to ensure rigor and validity in

determining effectiveness. The NYSED is researching potential locally-selected assessment instruments; examples include: (1) Northwest Evaluation Association's Measures of Academic Progress assessments; these are vertically scaled assessments taken on-line; (2) TerraNova's norm-referenced assessments; and (3) the Scholastic Reading Inventory or Burn's and Roe's (IRI), reading assessment programs that provides immediate, actionable data on students' reading levels and growth over time. NYSED will also consider the development of standards for other types of locally selected measures, such as writing portfolios, science experiments, and other performance-based assessments.

- When the Regents have completed policies on locally developed measures for principal evaluations, the NYSED will propose corresponding regulations to govern their use and will establish procedures for ongoing evaluation of their validity and reliability in measuring principal effectiveness.

EVALUATIVE COMMENTS:

The quality of the response is inconsistent with the excellence of the majority of the remainder of the New York RTTT application. The criterion asks for evidence that the applicant has a clear plan for designing and implementing a rigorous, transparent and fair evaluation system for both teachers and principals that differentiates effectiveness using multiple rating categories that take into account data on student growth and are designed with teacher and principal involvement. The applicant has not fully and effectively responded to the criterion. The response also essentially omits any reference to teacher and principal involvement in the design of the new evaluation system.

(iii) Conducting annual evaluations

REVIEWER'S SYNOPSIS OF EVIDENCE PRESENTED BY APPLICANT:

- Through its Office of District Services, NYSED will ensure that LEAs and BOCES will properly conduct annual teacher and principal evaluations and that these personnel will receive constructive feedback in a timely manner on all evaluative criteria. Feedback will be designed to provide teachers with data on student growth for each of their students, their classroom, and their school as a whole as well as training on how the teacher can use such data to improve instruction. To help ensure effective implementation, the Education Commissioner will, based on TPEAC's input, provide LEAs with specific guidelines regarding the timeliness and frequency of observations conducted pursuant to the Annual Professional Performance Reviews and PPESs.

- The NYSED will establish and develop training for teams of "evaluation coaches." Through an RFP process funded with the State's discretionary RTTT monies, NYSED will contract with a qualified entity to develop and produce online training courses, observation protocols and professional materials to be used to train evaluation coaches. The training will be delivered using New York City's Collaborative Inquiry Network model which NYSED plans to expand to the entire State. (This model is explained elsewhere in the application.) Each network team will be responsible for providing the professional development and ongoing coaching required for the school-based teams in each network. Network teams will employ several methods to deliver training for new evaluation coaches, relying on nationally recognized tools such as Charlotte Danielson's "Framework for Teaching" rubrics, Doug Lemov's teaching taxonomy, and the University of Virginia's Classroom Assessment Scoring System (CLASS), an observational tool that assesses classroom quality based on such factors as emotional support, classroom organization and instructional support. The NYSED will further support this work by providing online access to guidance, training materials, and a clearinghouse of information on best practices, including video demonstrations of effective evaluation practices for ongoing access by teachers and administrators.

- The State will use student growth data for individual teachers to develop teacher data reports, which will help shape professional development for every teacher. The network teams from every BOCES and New York's Big 5 school districts will work with principals and other local school staff to help teachers strengthen their practice and provide differentiated instruction to students, as needed.

EVALUATIVE COMMENTS:

This is a strong and promising response to the criterion. Specifically, the NYSED proposes to ensure that LEAs and BOCES will properly conduct annual teacher and principal evaluations and that these personnel will receive constructive feedback in a timely manner on all evaluative criteria. Teachers will be provided with data on student growth for each of their students, their classroom, and their school as a whole as well as training on how they can use such data to improve instruction. To help ensure effective implementation, the Education Commissioner will, based on TPEAC's input, provide LEAs with specific guidelines regarding the timeliness and frequency of observations conducted pursuant to the Annual Professional Performance Reviews and PPEs. *While the response to this criterion is rich in terms of other relevant detail the applicant needs to address in more depth the criterion's reference to annual principal evaluations.*

(iv) Using evaluations to inform key decisions**REVIEWER'S SYNOPSIS OF EVIDENCE PRESENTED BY APPLICANT:**

- New York State law requires that professional evaluations conducted on or after July 1, 2011 shall be a significant factor in teacher and principal development, including coaching, induction support, and differentiated professional development. For teachers and principals rated Developing or Ineffective, the school district or BOCES must formulate and begin implementation of a customized improvement plan no later than 10 days after the date on which teachers are required to report prior to the opening of classes for the school year. The improvement plans must be consistent with the regulations of the Commissioner and must include identification of needed areas of improvement, a timeline for achieving improvement, the manner in which improvement will be assessed, and, where appropriate, differentiated activities to support a teacher's or principal's improvement in those areas.
- Additionally, New York's new legislation requires that evaluations conducted on or after July 1, 2011 shall be a significant factor in a wide array of critical employment decisions, including tenure determination, promotion, supplemental compensation, and termination as well as professional development. Teachers and principals rated Developing or Ineffective will receive additional support through a customized improvement plan. Teachers and principals with a pattern of ineffective teaching or performance—defined by law as two consecutive annual ineffective ratings—can be charged with incompetence and considered for termination through an expedited hearing process before a single hearing officer. A pattern of ineffective teaching or performance would constitute very significant evidence of incompetence which may form the basis for removal. The Office of District Services, through its BOCES/Big 5 District Network Teams, will provide technical assistance and monitor the LEAs implementation of these initiatives.
- The NYSED is working to build frameworks for both a Teacher Career Development Continuum (TCDC) and a Principal Career Development Continuum (PCDC), which will establish career development pathways that increase performance requirements over time. Teachers will progress along a continuum from novice teacher to teacher leader, with each step along the pathway requiring a deeper level of proficiency in practice and positive effect on student learning. A teacher's ability to advance through the TCDC depends on evaluation ratings (Highly Effective or Effective) and minimum student growth thresholds. Teachers who demonstrate accomplishments in positively affecting student growth and improving their content knowledge and professional teaching skills can be recognized by their districts and compensated as they progress along a career continuum from novice teacher to teacher leader.
- To compensate, promote, and retain principals—including provision of opportunities for highly effective principals to obtain additional compensation and be given additional responsibilities, New York will establish a Principal Career Development Continuum (PCDC) within the New York State certification system. New York's Regents have affirmed a determination to create a statewide PCDC (with designated tiers for principals comparable to the teacher model) that recognizes commitment to the profession plus improved results in student achievement over time. LEAs can use this continuum to compensate principals for demonstrating growth and leadership throughout their careers.

- Under New York's new teacher and principal evaluation law, not only are student performance data and achievement mandatory considerations in the tenure process, they will also represent significant factors in determining continued employment (granting of tenure) or termination. To guide and support LEAs in implementing the new teacher and principal evaluation requirements, the NYSED will provide regulations and issue guidance on such issues as the format and content of implementation plans and the conduct and timeline for evaluations.

EVALUATIVE COMMENTS:

This reviewer finds New York's response to this criterion to be strong and consistent with RTTT goal. Specifically, as examples, State law now requires that professional evaluations conducted on or after July 1, 2011 shall be a significant factor in teacher and principal development, including coaching, induction support, and differentiated professional development; the state's new legislation also requires that evaluations conducted on or after July 1, 2011 shall be a significant factor in a wide array of critical employment decisions including tenure determination, promotion, supplemental compensation and termination; LEAs will be required to use this more rigorous annual review—beginning in 2011-2012—to evaluate both tenured and non-tenured teachers and principals.

(D)(2) Reviewer Comments: (Tier 2)

This reviewer has modified the scores for criterion D(2) (ii) and criterion D(2) (iii) based upon information provided by the New York Presentation Team, specifically including explanations by Commissioner Steiner and Senior Deputy Commissioner King, which clarified and expanded the reviewer's understanding of the continuing development of the state's teacher and principal evaluation systems and their relation to the conduct of annual teacher and principal evaluations described in the state's RTTT proposal.

(D)(3) Ensuring equitable distribution of effective teachers and principals	25	21	23	
(i) Ensuring equitable distribution in high-poverty or high-minority schools	15	11	13	
(ii) Ensuring equitable distribution in hard-to-staff subjects and specialty areas	10	10	10	

(D)(3) Reviewer Comments: (Tier 1)

(D)(3) Ensuring equitable distribution of effective teachers and principals

(i) Ensuring equitable distribution in hard-to-staff subjects and specialty areas

REVIEWER'S SYNOPSIS OF EVIDENCE PRESENTED BY APPLICANT:

- New York's proposed P-20 Longitudinal Data System will collect single composite effectiveness scores for every teacher and principal and will also develop performance profiles—based on aggregate teacher and/or leader effectiveness data—for every school district and every teacher or school leader preparation program. Data will be disaggregated by student subgroups (minorities, English language learners, students with disabilities) as well as by relevant school and district characteristics such as high-need and high poverty status. With its comprehensive evaluation and data systems in place, NYSED will also have the ability to monitor the equitable distribution of effective teachers and principals through two specific goals: —Determine where student subgroups exist and whether they receive an equitable share of effective teachers and principals as measured by the new teacher and principal evaluation system;

—Evaluate the proportion of an LEA's teachers and leaders receiving high composite teacher and principal effectiveness scores.

- New York proposes to focus its monitoring efforts on the number of teachers and principals receiving high effectiveness scores without a corresponding change in student achievement, and will implement targeted interventions to require that LEAs address the lack of student growth and/or the inflated evaluation. This will help ensure that school districts are effectively implementing the new evaluation system for teachers and principals.

- The NYSED's Office of Accountability will survey LEAs that have equitable distributions of teachers and principals for the purpose of identifying emerging promising practices and strategies and measuring and addressing equitable distribution. The Office of District Services will encourage cross-LEA collaboration between the high and low performers on the equity index and will document and disseminate statewide emerging promising practices.

—New York will provide targeted professional development and supports for teachers and principals based on student performance data and outcomes of the evaluation. The Office of District Services will coordinate all of New York's professional development activities. NYSED will focus on developing robust supports, especially for teachers of English language learners and students with disabilities. It will give priority to teachers and principals in high-poverty and high-minority schools, especially those with the largest gaps in the equitable distribution of effective teachers and in hard-to-staff and specialty subject areas.

EVALUATIVE COMMENTS:

New York proposes an aggressive high-quality plan with achievable annual targets to ensure the equitable distribution of highly effective teachers and principals among high-poverty and/or high-minority schools. The plan is logistically complex and will demand very close attention to every aspect of data collection and management, in the opinion of this reviewer. This reviewer notes that the applicant's response to the criterion fails to adequately address the required commitment that students in high-poverty and/or high-minority schools will not be served by ineffective teachers and principals at higher rates than other students.

(ii) Ensuring equitable distribution in hard-to-staff subjects and specialty areas

REVIEWER'S SYNOPSIS OF EVIDENCE PRESENTED BY APPLICANT:

- New York State has made important strides in its efforts to ensure that all students are taught by highly qualified teachers, as required by the Elementary and Secondary Education Act. The data also show that New York has made progress in reducing the proportion of full-time teaching assignments held by teachers without appropriate certification. While progress has been made in certain subjects and geographic locations, the level of disproportion is significantly higher in other areas. Although New York produces more teachers than ever before (25,660 new teachers in 2007-08), they are not always in the subject areas where shortages exist or in the regions of the State where they are most needed.

- New York now proposes to build on its prior efforts and successes—using its new evaluation system, to increase the number and percentage of effective teachers teaching in hard-to-staff fields. Specific strategies include:

- Establish clinically-rich graduate level teacher preparation programs for high need schools and shortage or specialty areas (English language learners, students with disabilities). Both IHEs and non-IHEs may apply for approval by the NYSED to offer such programs. These programs must provide an intensive residency component and rigorous curriculum.

- Establish a clinically-rich preparation program for principals focused on strengthened teaching and learning for high-need schools and/or specialty areas (English language learners, students with disabilities). Both IHEs and non-IHEs may offer such programs. The proposed principal preparation program must also

contain an intensive clinical component and rigorous curriculum. It must be focused on developing candidates with effective leadership skills for assignments to high-need schools

- NYSED will develop an expedited pathway for teachers in the STEM disciplines. Having approved this approach in concept, the Regents will, in the fall of 2010, consider regulations authorizing a new and expedited certification route for persons with doctoral degrees in STEM disciplines to teach in high-need middle and high schools (grades 7-12). In addition, a teaching certificate will be available to persons with a master's or doctoral degree in STEM disciplines who have taught in IHEs. To qualify, faculty must have college-level teaching experience and demonstrate classroom effectiveness.
- Approximately 2,000 new teachers from high-need schools and shortage or specialty areas (English language learners, students with disabilities) will receive rigorous training, mentoring by trained teacher mentors, access to current research, peer support, and targeted high quality professional development to create teacher leaders who will help new teachers achieve expertise in curriculum planning, assessment, using data, and reflection on practice to improve teaching and learning.
- The NYSED's Transfer Fund will target teachers who support the learning needs of students in STEM disciplines in high-need middle and high schools. To qualify for a Transfer Fund incentive, teachers must be certified in a STEM discipline, or to teach English language learners or students with disabilities (to ensure that all students in high-need schools benefit from the STEM disciplines), with at least three years of outstanding experience demonstrated by a variety of measures, including student growth. Beginning in Summer 2011, eligible teachers will receive \$30,000 in total bonuses over four years to support the learning needs of students in STEM disciplines and other designated subjects in high-need middle and high schools. Also in the summer of 2011, eligible principals will receive \$30,000 in total bonuses over four years to support the professional development of teachers as the instructional leader in high-need middle and high schools. To continue to receive this differential pay over the four year period, teachers and/or principals must continue to demonstrate student growth.
- RTTT participating LEAs must use effectiveness ratings in placing effective teachers in hard-to-staff subjects, LEAs participating in the Innovative Supplemental Compensation Incentive Fund can use the results of performance evaluations (beginning in 2011-12) to provide supplemental compensation to highly effective and effective teachers in hard-to-staff subjects and specialty areas, as well as effective principals (with a potential focus on high-poverty and/or high minority schools). Highly effective and effective principals will serve as turnaround school mentors. The State will give priority funding to those outstanding teachers and school leaders who are employed in high-need schools, which will help retention and ensure the equitable distribution of outstanding educators.

EVALUATIVE COMMENTS:

In response to this criterion, New York proposes an ambitious plan to implement specific strategies to ensure equitable distribution of effective teachers and principals in hard-to-staff subjects and specialty areas. This reviewer especially notes and commends those strategies that call for clinically-rich graduate level teacher preparation programs addressed to: (a) high-need schools and (b) academic shortages and/or specialty areas including English Language Learners (ELL), and students with disabilities. These programs must provide an intensive residency component and a rigorous curriculum. New York also proposes to establish a clinically-rich preparation program for principals focused on strengthened teaching and learning for high-need schools and/or specialty areas including ELL and students with disabilities. This program must also contain an intensive clinical component and a rigorous curriculum. This reviewer notes and commends NYSED's plan to develop an expanded pathway for teacher preparation in the STEM disciplines via a new and expedited certification route for persons with doctoral degrees in STEM disciplines to teach in high-need middle and high schools (grades 7-12). This and other evidence provided by the applicant is convincing to this reviewer and demonstrates New York's intent to aggressively assure equitable distribution of educators in high-needs schools, hard-to-staff subjects and specialty areas.

(D)(3) Reviewer Comments: (Tier 2)

This reviewer has modified the score for criterion D(3) (i) based upon the testimony of the New York Presentation Team, specifically including explanations by Chancellor Tisch, Commissioner Steiner and Senior Deputy Commissioner King, which clarified and amplified the state's procedures for assuring equitable distribution of effective teachers and principals in high-poverty and/or high-minority schools. Based upon this information additional points were awarded for this criterion.

(D)(4) Improving the effectiveness of teacher and principal preparation programs	14	14	14	
(i) Linking student data to credentialing programs and reporting publicly	7	7	7	
(ii) Expanding effective programs	7	7	7	

(D)(4) Reviewer Comments: (Tier 1)

(D)(4) Improving the effectiveness of teacher and principal preparation programs

(i) Linking student data to credentialing programs and reporting publicly

REVIEWER'S SYNOPSIS OF EVIDENCE PRESENTED BY APPLICANT:

- The NYSED proposes to develop performance profiles for all of New York State's teacher and principal preparation programs. New York has 4,897 registered programs to prepare candidates for teacher certification and 127 programs to prepare school building leader (principal) certification candidates. The state's new P-20 Longitudinal Data System will make it possible to link student performance and growth data to the teachers and school leaders responsible for their performance—and to the public or private institutions that prepared those teachers and leaders.
- These data will help institutions and their school and community partners analyze strengths and weaknesses and make decisions on program improvement. They will enable the NYSED to design and implement further institutional accountability measures. The NYSED has broad authority with respect to teacher and principal certification and the registration of teacher and school leader preparation programs. The Board of Regents will consider regulations in September 2010 that would amend its quality review standards for registered programs by incorporating teacher and principal effectiveness data (including student performance and growth data linked to that teacher or principal) to ensure that New York's teacher and principal preparation programs are producing effective teachers and school leaders. If a teacher or principal preparation program fails to meet the quality standards set forth in the Commissioner's regulations—which will include a specific average teacher or school leader effectiveness score—the NYSED will have the authority to conduct a review of that program's registration. Programs subject to a registration review under such circumstances must develop a corrective action plan for approval by the NYSED. If NYSED does not approve the plan or determines that the program is not producing effective teachers or school leaders, the program shall be subject to denial of re-registration (requiring closure).

EVALUATIVE COMMENTS

New York proposes a logistically complex yet predictably achievable plan in response to this criterion. This reviewer notes and commends the conceptual strength of the applicant's response.

However, in this reviewer's judgment, there will be an intense challenge for New York to effectively collect and manage the data required to link student achievement with a systematic public reporting plan and there will be little room for slippage from both a professional and a public relations standpoint. The state's new P-20 Longitudinal Data System (LDS) will make it possible to link student performance and growth data to the teachers and school leaders responsible for their professional performance—and to the public or private institutions that prepared those teachers and leaders. If a teacher or principal preparation program fails to meet the quality standards set forth in the Commissioner's regulations—which will include a specific average teacher or school leader effectiveness score—the NYSED will have the authority to conduct a review of that program's registration. Programs subject to a registration review under such circumstances must develop a corrective action plan for approval by the NYSED. If NYSED does not approve the plan or determines that the program is not producing effective teachers or school leaders, the program is subject to denial of re-registration—and closure.

(ii) Expanding effective programs

REVIEWER'S SYNOPSIS OF EVIDENCE PRESENTED BY APPLICANT:

- New York proposes a teacher and principal preparation program transformation, as approved by the New York State Board of Regents, to improve the effectiveness of the teaching force. The NYSED will require all teaching candidates to pass a performance-based assessment to obtain initial teaching certification. As the NYSED improves its capacity to collect and analyze statewide student performance data and linkages among students, their teachers and principals, and the state's teacher and principal preparation programs, it will closely monitor resulting data and use this to inform the process of ensuring ongoing professional program development and improvement.
- Beginning in May 2013, all registered teacher preparation programs preparing candidates for Initial certification will be required to use the performance-based assessment data to determine their candidates' readiness to be recommended for initial certification. In combination with more rigorous Content Specialty Tests, the performance-based assessment will require teaching candidates to demonstrate the knowledge and skills that research has shown to be linked to classroom effectiveness.
- Performance-based assessments will incorporate formative and summative assessments through the submission of a portfolio of artifacts demonstrating candidates' teaching skills and knowledge. For teachers, these artifacts might consist of videos, audio, text, or graphics, lesson plans, student work, and self-evaluations. Under the new performance-based assessment, professional preparation programs must evaluate their candidates throughout the program to ensure that they continuously meet the NYS standards for teaching quality. Professional preparation programs will recommend for certification only those candidates who consistently demonstrate the necessary skills and knowledge. Through ongoing formative assessments and a final summative assessment, candidates will demonstrate that they have achieved the skills and knowledge necessary to be highly effective teachers.
- Performance-based assessment for teachers will be grounded in statewide teaching standards that are being developed in consultation with a representative group of stakeholders. All teacher preparation programs will be expected to use the developed standards in the formative assessment process and ensure that their teacher candidates demonstrate:
 - content knowledge and teaching skills;
 - ability to disaggregate data;
 - ability to analyze and use data to improve instruction;
 - ability to develop differentiated instructional plans for English language learners and students with disabilities (based on data);
 - ability to deliver effective instruction (using video recorded presentations evaluated against a standard rubric);and
 - knowledge and skills in curriculum development and instructional planning.

- Once statewide teaching standards are in place, NYSED will develop the performance-based assessments for teachers in partnership with state and national education leaders, statewide P-12 and teacher preparation institution partners, teacher union representatives, the State Professional Standards and Practices Board for Teaching, and other interested parties.

EVALUATIVE COMMENTS

This reviewer notes that consistent with the research regarding programmatic elements that lead to effective teacher and principal preparation programs, New York has embarked on teacher and principal preparation program transformation, as approved by the New York State Board of Regents in December 2009, April 2010, and May 2010. As NYSED improves its capacity to collect and analyze statewide student performance data and linkages among students, their teachers and principals, and the teacher and principal preparation programs, it proposes to closely monitor new lessons learned from analysis of the data and use this to inform the process of ensuring ongoing program development and improvement. Programs failing to prepare effective teachers and principals pursuant to standards set by the Commissioner will be required to develop corrective action plans to improve their candidates' effectiveness or face program closure.

New York's response to this criterion represents state-of-the-art thinking. There will be a need for intense planning and highly focused administrative implementation.

(D)(5) Providing effective support to teachers and principals	20	20	20	
(i) Providing effective support	10	10	10	
(ii) Continuously improving the effectiveness of the support	10	10	10	

(D)(5) Reviewer Comments: (Tier 1)

(D)(5) Providing effective support to teachers and principals

(i) Providing effective support

REVIEWER'S SYNOPSIS OF EVIDENCE PRESENTED BY APPLICANT:

- New York proposes to leverage its statewide professional development network— BOCES, unions, Teacher Centers, professional associations, leadership academies, cultural institutions, museums, the State University of New York (SUNY), the City University of New York (CUNY), private IHEs, alternative preparation programs, and contracted services providers—in order to provide effective, data-informed professional development for the state' teachers and principals. Educators will be provided with comprehensive on-going professional development opportunities, with particular emphasis on supporting our English language learners and students with disabilities. Further, the State proposes to establish performance targets for LEAs to help ensure improved educator effectiveness outcomes.

- Through the state's P-20 Longitudinal Data System, all educational partners—including BOCES and Big 5 District Network Teams, LEA Inquiry Teams, district personnel, principals, and teachers – will have access to data to develop differentiated professional development tools that are targeted to improve instructional practice, and ultimately student achievement and growth. Adoption of the Common Core Standards, the construction of state-wide curriculum models and the development of the new generation of assessments will provide, for the first time, the essential focus for professional development activities. The integration of data, standards, curriculum and assessments will provide the structure within which high-quality

professional development can be modeled and taken to scale. The state's professional development initiatives will prioritize teachers and principals in schools serving high-poverty and high-minority populations, especially those with the largest gaps in equitable distribution of effective teachers and in hard-to-staff and specialty subject areas.

- Professional development partner responsibilities will also include codifying content and emerging/good practices in the field/area, preparing training materials, and delivering high quality sustained training. Partners will embed data-based inquiry in all of their sessions. They will provide self-assessments for teachers and principals to use to identify their own development needs in specific areas (e.g., using data to drive instruction, translating rigorous standards and curriculum models into instruction, and developing and using formative assessments).
- The NYSED will create induction programs to assist more than 4,000 new teachers to become teacher leaders skilled at school improvement (2,000 of these teachers will be from high-need schools). Beginning in Fall 2011, these funded induction programs will give new teachers mentoring and other support to help them become instructional leaders in the areas of improved teaching and learning. They will help new teachers achieve expertise in curriculum planning and assessment and in using data and reflection about their professional practice to inform instruction, especially for high-need students. The induction programs also will help to develop skills related to: (1) creation of school environments supportive of data-informed decision-making; (2) alignment of service delivery systems and removing barriers to effective implementation of practices designed to improve student learning outcomes; and (3) energizing school turnaround initiatives.

EVALUATIVE COMMENTS:

This reviewer concludes that New York has developed a fundamentally deep, focused plan to leverage its statewide professional development network— BOCES, unions, Teacher Centers, professional associations, leadership academies, cultural institutions, museums, the State University of New York (SUNY), the City University of New York (CUNY), private IHEs, alternative preparation programs, and contracted services providers—in order to provide effective, data-informed professional development support for the state' teachers and principals. To be especially commended is New York's identification of the Common Core Standards, the construction of state-wide curriculum models and the development of the new generation of assessments as the essential focus for the state's professional development activities. In this reviewer's judgement, integration of data, standards, curriculum, and assessments will provide the structure within which high-quality professional development can be modeled and taken to scale.

(ii) Continuously improving the effectiveness of the support

REVIEWER'S SYNOPSIS OF EVIDENCE PRESENTED BY APPLICANT:

- The NYSED Office of District Services will use a portfolio management approach in facilitating the development and delivery of professional development support and will aggressively manage core and supplemental providers to achieve target outcomes. Each year school principals will rate their satisfaction with their network team members as part of a NYSED satisfaction survey administered electronically. By providing regular feedback about their network team, principals and their faculty will be assured that those who support them will be held accountable for delivering excellent performance.
- Professional development content partners will be managed through performance-based contracts. Specific, measurable annual outcomes will be codified into all partner contracts and will be the basis for contract maintenance and renewal. Partners will be required to embed data-based inquiry into all content, align that content with the state-wide curriculum, and ensure content alignment consistent with all the State's reforms in core standards and assessments. Additionally, they will be responsible for codification of content and best practices, preparation of training materials, and supporting the delivery of training by the network teams. Content partners will also be required to integrate the latest online and collaboration

technologies into their offerings, including online learning modules and the use of video to demonstrate best practice. The NYSED will continuously assess the performance of the professional development content partners by measuring the change in student achievement over time for participating teachers and school leaders.

EVALUATIVE COMMENTS:

Of immediate relevance to the criterion is the NYSED Office of District Services' intent to use a portfolio management approach in facilitating the development and delivery of professional development support and will aggressively manage core and supplemental providers to achieve target outcomes. Each year school principals will rate their satisfaction with their network team members as part of a NYSED satisfaction survey administered electronically. By providing regular feedback about their network team, principals and their faculty will be assured that those who support them will be held accountable for delivering excellent performance.

Total	138	123	131	
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E. Turning Around the Lowest-Achieving Schools

	Available	Tier 1	Tier 2	Init
(E)(1) Intervening in the lowest-achieving schools and LEAs	10	10	10	

(E)(1) Reviewer Comments: (Tier 1)

(E)(1) Intervening in the lowest-achieving schools and LEAs

REVIEWER'S SYNOPSIS OF EVIDENCE PRESENTED BY APPLICANT:

- Under provisions of Education Law §210, the New York Board of Regents has the authority to register New York State educational institutions. Pursuant to §100.2(p) of the Commissioner's regulations, only registered public and nonpublic high schools may issue diplomas and administer Regents examinations. Any public school in a school district that is identified as being among those that are farthest from meeting the benchmarks established by the Commissioner or as being a poor learning environment may be identified as a School Under Registration Review (SURR). The methodology for identifying SURR schools is based upon the performance of the "all students" group on English language arts and mathematics assessments and bears significant similarities to the process by which schools are identified as persistently lowest-achieving under RTTT guidelines. In order to further align the SURR and persistently lowest-achieving school intervention processes with RTTT, the Regents adopted a policy in April 2010 that will allow the NYSED to use identical methods for identification of SURR designated schools and persistently lowest-achieving schools (PLA) beginning with the 2010–11 school year.
- If a SURR school's registration is revoked, the Commissioner has the authority to develop a plan to ensure that the educational welfare of affected students is protected. Since the Regents now have a single method for identifying SURR and persistently lowest-achieving schools, regulations adopted by the Regents in June 2010 will require that schools under registration review implement one of the four RTTT approved intervention models. The Regents also have the authority to close any public school of a school district in the State that, after being identified as a SURR, is determined to be an unsound educational environment.

- Pursuant to Education Law §211-b[3], LEAs that have been identified as requiring academic progress, or schools that are in improvement, corrective action, restructuring, or SURR status face a series of interventions focused on improving student achievement. One of these interventions is the creation of a district improvement plan to address chronic failure within an LEA. This plan is subject to the approval of the Commissioner, and requires LEAs to consider redirecting resources towards such strategies as increased time on task; teacher and principal quality initiatives; middle school and high school restructuring; services to English language learners; or PreK programs. In addition, whenever a school or district fails to make Adequate Yearly Progress (AYP) for four or more years, the Commissioner may appoint a distinguished educator to become an ex-officio non-voting member of the school district's board of education. The distinguished educator reviews any school or district improvement plans and either endorses such plan without change or recommends modifications. The school district must either modify its plans as directed by the distinguished educator or seek permission from the Commissioner not to do so.
- New York's interventions are research-based and intensify as a school moves through the school improvement continuum. The depth, scope, and comprehensiveness of intervention vary by phase and category, as does the provision of support and oversight.

EVALUATIVE COMMENTS:

This reviewer has determined that New York has clear and convincing authority to intervene in the state's persistently lowest-achieving schools. Specifically, under provisions of Education Law §210, the New York Board of Regents has the authority to register New York State educational institutions. Any public school in a school district that is identified as being among those that are farthest from meeting the benchmarks established by the Commissioner or as being a poor learning environment may be identified as a School Under Registration Review (SURR). The methodology for identifying SURR schools is based upon the performance of the "all students" group on English language arts and mathematics assessments and bears significant similarities to the process by which schools are identified as persistently lowest-achieving under RTTT guidelines. In order to further align the SURR and persistently lowest-achieving school intervention processes with RTTT, the Regents adopted a policy in April 2010 that will allow the NYSED to use identical methods for identification of SURR designated schools and persistently lowest-achieving schools (PLA) beginning with the 2010–11 school year. From this reviewer's perspective New York has the legal, statutory and/or regulatory capacity to intervene directly in the future of its persistently lowest-achieving schools.

(E)(2) Turning around the lowest-achieving schools	40	37	37	
(i) Identifying the persistently lowest-achieving schools	5	5	5	
(ii) Turning around the persistently lowest-achieving schools	35	32	32	

(E)(2) Reviewer Comments: (Tier 1)

(E)(2) Turning around the lowest-achieving schools

(i) Identifying the persistently lowest-achieving schools

REVIEWER'S SYNOPSIS OF EVIDENCE PRESENTED BY APPLICANT:

- New York has a US Department of Education (USED)-approved methodology to identify its persistently lowest achieving Title I schools with respect to improvement, corrective action, and restructuring (Tier I schools) as well its lowest-achieving secondary schools that are eligible for but do not receive Title I funds in the state (Tier II schools). In April 2010, USED approved New York State's application for School Improvement Funds under Section 1003(g) of the Elementary and Secondary Education Act, which included NYSED's methodology for identifying persistently lowest-achieving schools. For

consistency, the State has incorporated this same methodology into its State Fiscal Stabilization Fund (Phase II) application.

- Fifty-seven schools in seven LEAs met these criteria. The NYSED informed those LEAs that each identified school must implement one of the four intervention strategies as defined by the RTTT School Improvement Grant guidelines. All seven districts have signed an RTTT Memorandum of Understanding (MOU) with the NYSED committing to take the actions required to turn around their persistently lowest-achieving schools. New York plans to identify another 30–35 schools each year as persistently lowest-achieving during the period of the RTTT grant for a total of approximately 150 schools by the end of the grant period.
- Five percent of New York's schools (a total of 243 schools) are currently in restructuring status. The 150 persistently lowest-achieving schools are primarily a subset of those schools currently in restructuring. The NYSED expects another 25 of the schools in restructuring will take advantage of NYSED's proposed Innovative School Secondary Fund to implement one of the four RTTT approved intervention models.

EVALUATIVE COMMENTS:

New York has a specific and functional approach to the identification of its persistently lowest achieving Title I schools relative to their need for improvement, corrective action, and/or restructuring (Tier I schools), as well as the identification of its lowest-achieving secondary schools that are eligible for but do not receive Title I funds (Tier II schools). In April 2010, the USED approved New York State's application for School Improvement Funds under Section 1003(g) of the Elementary and Secondary Education Act. The approved application included NYSED's methodology for identifying persistently lowest-achieving schools. This reviewer concludes that the applicant has responded appropriately to the criterion.

(ii) Turning around the persistently lowest-achieving schools

REVIEWER'S SYNOPSIS OF EVIDENCE PRESENTED BY APPLICANT:

- New York believes that it will have an unprecedented opportunity to build upon its current efforts to increase the support that it provides to LEAs and schools to implement intervention strategies for its persistently lowest-achieving schools. The NYSED proposes to have an Office of Innovative School Models (OISM) and an external technical assistance center (ETACIT) that are exclusively focused on persistently lowest-achieving schools. The NYSED will be able to provide significant grant awards to LEAs that demonstrate full and effective implementation of RTTT approved intervention strategies. The Commissioner will be able to recommend to the Regents that they revoke the registration of a school when an intervention plan is unsuccessful, close the school, and require that the LEA implement a plan developed by the Commissioner to protect the educational welfare of the students.
- The NYSED Office of Innovative School Models, supported by the Office of Accountability and the Office of District Services, will implement a comprehensive system of support for LEAs as they work with persistently lowest-achieving schools to implement one of the four approved intervention models. OISM was established by the Board of Regents in February 2010 and charged with supporting the creation of new school models to serve as successors to low-achieving schools that have been phased out, closed, transformed, turned around, or restarted.
- The NYSED OISM will oversee the External Technical Assistance Center for Innovation and Turnaround (ETACIT) in its provision of support to LEAs, and will coordinate with the Office of District Services in the provision of additional state services and programs including working with LEAs to develop required performance contracts for each persistently lowest-achieving school. These performance contracts will include indicators that define the performance expectations that schools must achieve for student academics and school operations. This performance contract, which is based on best practices and is similar to the agreements that charter schools are required to enter into with charter authorizers in New

Total	50	47	47	

F. General

	Available	Tier 1	Tier 2	Init
(F)(1) Making education funding a priority	10	10	10	
(i) Allocating a consistent percentage of State revenue to education	5	5	5	
(ii) Equitably funding high-poverty schools	5	5	5	

(F)(1) Reviewer Comments: (Tier 1)

(F)(1) Making education funding a priority

(i) Allocating a consistent percentage of State revenue to education

REVIEWER'S SYNOPSIS OF EVIDENCE PRESENTED BY APPLICANT:

- New York increased the share of the state's budget devoted to elementary, secondary, and public higher education from 39.4 percent in the 2007–08 school year to 41.7 percent in the 2008–09 school year. This represents an increase of \$1.835 billion—or almost 6 percent—in a year that saw a decline in State revenues, thereby indicating the importance New York places on providing world-class education to its students.

(ii) Equitably funding high-poverty schools

REVIEWER'S SYNOPSIS OF EVIDENCE PRESENTED BY APPLICANT:

- In 2007–08, New York adopted and began phasing-in a new "foundation aid" education funding formula designed to ensure adequate funding across school districts, explicitly taking into account student need. The same year, the State made a historic \$1.87 billion—10.5 %—increase in education funding. The early results of these policies have been promising. The greatest increase in funding has gone to school districts whose previous funding levels were farthest below the formula amount, and in 2008–09 (the most recent year for which data are available) high-need school districts and charter schools received an average of almost three times as much state aid per student as low-need districts. High-need LEAs will continue to benefit from additional increases, as the foundation aid formula is phased in.

EVALUATIVE COMMENTS:

New York has provided a sufficient response to criteria F(1)(i) and F(1)(ii). Specifically satisfied were the requests for evidence to show: (a) that the percentage of the total revenues available to the state that were used to support elementary, secondary and higher education for FY 2009 were greater than or equal to the percentage of the total revenues available to the state that were used to support elementary, secondary, and public higher education for FY 2008 and (b) affirmation that the state's policies lead to equitable funding between high-need LEAs and other LEAs, and within LEAs, between high-poverty schools and other schools.

(F)(2) Ensuring successful conditions for high-performing charter schools and other innovative schools	40	37	37	
(i) Enabling high-performing charter schools "(caps)"	8	5	5	
(ii) Authorizing and holding charters accountable for outcomes	8	8	8	
(iii) Equitably funding charter schools	8	8	8	
(iv) Providing charter schools with equitable access to facilities	8	8	8	
(v) Enabling LEAs to operate other innovative, autonomous public schools	8	8	8	

(F)(2) Reviewer Comments: (Tier 1)

(F)(2) Ensuring successful conditions for high-performing charter schools and other innovative schools

(i) Enabling high-performing charter schools "(caps)"

REVIEWER'S SYNOPSIS OF EVIDENCE PRESENTED BY APPLICANT:

- New York's charter school law does not prohibit or effectively inhibit increasing the number of high performing charter schools (as defined in this notice) in the State. New York State has leveraged the resources and expertise of multiple stakeholders to support high-quality charter schools. Public/private partnerships work collaboratively to set a culture and expectation for quality and rigor in the choice options available to children and communities. Passage of Chapter 101 of the Laws of 2010 significantly increases the number of charter schools authorized in the State and enacts several accountability and oversight enhancements to ensure quality and integrity.
- New York has two statewide charter school authorizers: the New York State Board of Regents and the Board of Trustees of the State University of New York (SUNY). Local boards of education and the Chancellor of the New York City School District may be charter authorizers for charter schools within their school districts. This authorizing structure is intended to foster innovation and support the establishment of charter schools with varied philosophical bases. The two statewide charter school authorizers work in partnership with the New York City Department of Education to ensure that only governing boards with the will, skill, and capacity to sustain quality schools are awarded charters. The authorizers rigorously monitor the academic and operational programs of the public charter schools in the State. Quality support organizations including the New York State Charter School Association and the New York City Charter School Center, provide high-quality technical assistance to the state's public charter schools, as well as advocacy and links to national policy and research resources for schools.
- New York more than doubled its charter cap from 200 schools to 460 schools on May 28, 2010, when Chapter 101 of the Laws of 2010 was enacted. New York's new cap of 460 public charter schools exceeds 10 percent of the total number of public schools in the State, and therefore qualifies as a "high" cap for the purposes of RTTT, particularly if the ability of New York's public schools to convert to charter schools, which are not subject to a cap, is factored in.

EVALUATIVE COMMENTS:

This reviewer concludes that, essentially, New York's charter school law does not prohibit or effectively inhibit increasing the number of high performing charter schools and that New York continues to leverage the resources and expertise of multiple stakeholders to support high-quality charter schools throughout the State. However, attention is called to the fact that New York failed to provide evidence in its application needed to satisfy that part of this criterion which asks for the

percentage of total schools in the State that are allowed to be charter schools (the 10% factor). The actual number for New York is 9.85%.

(ii) Authorizing and holding charters accountable for outcomes

REVIEWER'S SYNOPSIS OF EVIDENCE PRESENTED BY APPLICANT:

- New York's Education Law §2851(2) establishes detailed charter school application requirements, including a required description of student achievement goals and the methods of evaluating whether students have achieved such goals. Under Education Law §2852(2), a charter entity may only approve an application upon certain specified findings, which include whether the charter school is in compliance with law, whether the applicant can demonstrate the ability to operate the school in an educationally and fiscally sound manner, and whether granting the application is likely to improve student learning and achievement.
- The Board of Regents and any other charter entity that approved the charter are required by Education Law §2853(2) to exercise oversight sufficient to ensure the charter school is in compliance with law and its charter, and both the Regents and the other charter entities are given authority to visit, examine and inspect each charter school. Education Law §2853(2-a) affords the school district in which the charter school is located the power to visit, examine and inspect the charter school.
- Education Law §2854 specifically requires charter schools to demonstrate good faith efforts to attract and retain a greater enrollment of students with disabilities and English language learners than the school district in which it is located. Education Law §2854(2)(a) authorizes the formation of charter schools designed to provide expanded learning opportunities to students at risk of academic failure, and thus the establishment of admissions criteria encouraging admission of at-risk students.

EVALUATIVE COMMENTS:

New York's Education Law §2851(2) establishes detailed charter school application requirements, including a required description of student achievement goals and the methods of evaluating whether students have achieved such goals. Under Education Law §2852(2), a charter entity may only approve an application upon certain specified findings, which include whether the charter school is in compliance with law, whether the applicant can demonstrate the ability to operate the school in an educationally and fiscally sound manner, and whether granting the application is likely to improve student learning and achievement. This reviewer concludes that the applicant has satisfactorily responded to the criterion.

(iii) Equitably funding charter schools

REVIEWER'S SYNOPSIS OF EVIDENCE PRESENTED BY APPLICANT:

- New York's primary funding mechanism for charter schools is through mandated tuition payments by school districts. Education Law §2856(1) requires that public school districts with resident students attending charter schools pay a per pupil tuition amount (the "charter school basic tuition") to the charter school for each of these students. That per-pupil amount is based on a computation designed to ensure that the district provides support for charter school pupils in an amount equivalent to the school district's per-pupil operating expenditures on instructionally related activities. The per-pupil tuition amount ranges from \$8,000 to \$24,700, based on the expenditures of the student's district of residence. The weighted average per-pupil tuition amount is approximately \$12,000 per pupil.
- Charter schools are considered local educational agencies (LEAs), as defined in 20 U.S.C. §7801(26), and apply as LEAs for awards under the Elementary and Secondary Education Act (ESEA) or other federal funding sources that use the ESEA definition and for the school lunch and school breakfast programs. Also, federal Individuals With Disabilities Education Act (IDEA) Part B funding attributable to students with disabilities (SWD) must be paid by the school district to a charter school that opts to provide special

education to such students. Since 1999, New York has been awarded \$56,161,991 from the Federal Charter Schools Program for grants to charter schools. Thus, New York charter schools are eligible to receive a commensurate share of federal funds.

- By linking charter school basic tuition to school district operating expenditures and requiring that a variety of services be provided to charter school students at school district expense, New York's charter school funding formula provides equitable funding as compared to traditional public schools.

EVALUATIVE COMMENTS:

New York's primary funding mechanism for charter schools is through mandated tuition payments by school districts. Education Law §2856(1) requires that public school districts with resident students attending charter schools pay a per pupil tuition amount (the "charter school basic tuition") to the charter school for each of these students and that the per-pupil amount is based on a computation designed to ensure that the district provides support for charter school pupils in an amount equivalent to the school district's per-pupil operating expenditures on instructionally related activities. This reviewer concludes that the applicant has satisfactorily responded to the criterion.

(iv) Providing charter schools with equitable access to facilities

REVIEWER'S SYNOPSIS OF EVIDENCE PRESENTED BY APPLICANT:

- New York supports charter schools in obtaining facilities in a variety of ways and intends to augment existing avenues through exploration of credit enhancement programs. Charter school basic tuition may be used to pay facilities costs. In addition, the New York State Charter Schools Stimulus Fund provides grants for the development, implementation and operation of charter schools, including start-up costs and costs associated with the acquisition, renovation, or construction of charter school facilities. Additionally, Education Law §2853(3)(a) provides that charter schools may be located in part of an existing public school building, in space provided on a private work site, in a public building, or in any other suitable location. Education Law §2853(4)(c) also provides that charter schools may contract with a school district or the governing body of a public college or university for the use of a school building and grounds. Any such contract must provide such services or facilities at cost.
- Pursuant to Education Law §2853(1)(d), charter schools have authority to issue corporate bonds, which are tax exempt. Charter schools have found it much easier to obtain permanent financing as more and more charter schools have had their initial charters renewed. As LEAs, they are eligible to apply to participate in Federal school bond programs, including Qualified Zone Academy Bonds and Qualified School Construction Bonds. These programs provide interest free borrowing to LEAs and result in a higher proportion of overall project funding to be devoted to actual brick-and-mortar construction instead of incidental costs. New York charter school applicants are ranked based on their student eligibility for the federal free and reduced-price lunch program. Charter schools that serve low-wealth, high-poverty populations will rank highly among applicants providing a greater opportunity to access interest-free bonding programs.

EVALUATIVE COMMENTS:

The New York State Charter Schools Stimulus Fund provides grants for the development, implementation and operation of charter schools, including start-up costs and costs associated with the acquisition, renovation, or construction of charter school facilities. Additionally, Education Law §2853(3)(a) provides that charter schools may be located in part of an existing public school building, in space provided on a private work site, in a public building, or in any other suitable location. Education Law §2853(4)(c) also provides that charter schools may contract with a school district or the governing body of a public college or university for the use of a school building and grounds. Charter schools also have authority to issue corporate bonds, which are tax exempt.

Charter schools have found it much easier to obtain permanent financing as more and more charter schools have had their initial charters renewed. As LEAs, Charter school are eligible to apply to participate in Federal school bond programs, including Qualified Zone Academy Bonds and Qualified School Construction Bonds. This reviewer concludes that the applicant has satisfactorily responded to the criterion.

(v) Enabling LEAs to operate other innovative, autonomous public schools

REVIEWER'S SYNOPSIS OF EVIDENCE PRESENTED BY APPLICANT:

- The NYSED Office of Innovative School Models (OISM) began operation in March 2010 with the mission of creating state-level policy and operating conditions to dramatically increase student achievement. This office will work with districts and schools statewide to identify and support approaches to academic and operational programs that are outside of the traditional district approach to public schooling. OISM will serve as a clearinghouse for innovative supporting partners, systems and structures that schools and districts can use to define school autonomies and hold individual schools and school networks accountable for those increased flexibilities.
- The OISM will be a resource for schools and districts as they define flexible school autonomies and linked school performance contracts for:
 - Under performing schools, implementing one of the four prescribed improvement models;
 - High-functioning schools seeking increased autonomy or flexibility from existing district structures;
 - Schools and districts acknowledging the need for increased site-based autonomies in order for schools to be more responsive to student needs and the needs of the professional teaching staff in the building;
 - Implementing the Board of Regents charge to strengthen the State Education Department's approach to charter authorizing which is a key component of the Department's strategy to help schools maximize student academic achievement, advance the education reform agenda of the Regents, and ensure full public accountability and transparency for the expenditure of public dollars.

EVALUATIVE COMMENTS:

The NYSED Office of Innovative School Models (OISM) began operation in March, 2010 with the mission of creating state-level policy and operating conditions to dramatically increase student achievement. This office will work with districts and schools statewide to identify and support approaches to academic and operational programs that are outside of the traditional district approach to public schooling. This reviewer concludes that the applicant has satisfactorily responded to the criterion.

(F)(3) Demonstrating other significant reform conditions	5	5	5	
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(F)(3) Reviewer Comments: (Tier 1)

REVIEWER'S SYNOPSIS OF EVIDENCE PRESENTED BY APPLICANT:

- New York cites a variety of evidence in response to this criterion which asks about other conditions—created through law, regulation, or policy—favorable to education reform or innovation. Among examples is the State's strong assertion

that it has a complete, interconnected network of educational services capable of being focused on educational reform areas addressed in the State's Race to the Top application—all under the guidance and direction of the Board of Regents. Also cited is the Regents' determination to raise student achievement and graduation rates reflected in their recent policy decisions to adopt higher standards and improved assessments; adopt regulations to provide new teachers and school leaders with rich clinical experiences; build data links between PreK–12 education and higher education institutions; and adopt regulations to align the State's accountability system with the new requirements to assist persistently low-achieving schools.

EVALUATIVE COMMENTS:

In this reviewer's judgment, of greatest significance in response to this criterion are the copious references within New York's RTTT application relative to legislation, commissions, initiatives, collaborative strategies, and other actions and activities—past and present—which now demonstrate a remarkable level of commitment in support of the robust reform agenda found in New York's RTTT application. What appears to this reviewer to have happened is a fundamental coalescence of will on the part of the major stakeholders—in effect a deep synergistic impact—which is now reshaping the future of education in New York—with RTTT as the catalyst—resulting in a remarkable proposal.

Total	55	52	52	
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Competitive Preference Priority 2: Emphasis on STEM

	Available	Tier 1	Tier 2	Init
Competitive Preference Priority 2: Emphasis on STEM	15	15	15	

Competitive Reviewer Comments: (Tier 1)

EVALUATIVE COMMENTS:

The Competitive Preference Priority (STEM) asks for evidence of: (a) a high-quality plan to address provision of rigorous courses of study in the STEM disciplines; (b) cooperation with STEM-capable school and community partners to prepare and assist teachers in integrating STEM content across grades and disciplines; and (c) a plan to prepare more students for advanced study and careers in STEM fields—including addressing the needs of underrepresented groups and of women and girls.

New York proposes to address STEM elements, as defined by the criterion, in the following manner:

(a) Enhanced Standards and Assessments

- Implement the new Common Core mathematics standards;
- Revise and strengthen the state's science standards and assessments;
- Upgrade and make more rigorous the mathematics, science and technology learning standards; create and implement learning standards and assessments for technology education and create learning standards and assessments for engineering education;
- Provide aligned, spiraled, sequenced, content-rich statewide curriculum models within and across each of the STEM disciplines to provide direction to the field for content and its integration across the STEM disciplines;
- Review and scale-up initiatives for all students, but particularly underrepresented groups, including minorities and women.

(b) Data Systems

- Use data systems to access, analyze and apply data to inform and differentiate instruction, to track students' STEM education through P-12 and into higher education and careers and to target students for additional coursework in STEM related subjects.

(c) Great Teachers and School Leaders

- Develop new and innovative human capital strategies that will: strengthen supports for recruitment, pre-service, induction and promotion of teachers and leaders in STEM disciplines, be strategically placed in geographic regions where shortages exist, and serve the highest poverty, lowest achieving schools;
- Provide financial incentives for teachers to be certified in STEM disciplines and to teach in high-need schools;
- Through the NYS STEM Collaborative, strengthen partnerships with institutions of higher education whose focus is science (such as those institutions mentioned above) to open new learning opportunities for educators who in turn can inspire students to pursue STEM professions.

- Promote professional development that trains school leaders and teachers to analyze data, identify the differentiated learning needs of students, and assess the need for interventions;
- Invest in sophisticated on-line professional development systems that facilitate learning communities and cyber-learning and use these systems to facilitate communication about STEM between faculty and administrators in the lowest performing schools and districts as well as the more successful ones;
- Collaborate with networks such as the Empire State STEM Education Progressive Dialogue, the statewide professional development network and with universities to provide professional development and support to school leaders and teachers in STEM disciplines;
- Train teachers from targeted LEAs (as determined by data analysis) to prepare them to implement AP programs within their respective schools;

(d) Address Low-Performing Schools

- Support innovation in low-performing schools to integrate STEM throughout the curriculum with a particular focus on underrepresented populations, including women, economically disadvantaged students, and minorities;
- Strengthen partnerships with institutions of higher education whose focus is science; coordinate effective design of online learning for STEM courses;
- Set targets and goals to increase achievement, particularly for historically underperforming groups in science and mathematics.

(e) Promote and facilitate partnerships between school districts, colleges and universities and the corporate sector to create STEM programs that feature best practices, including in-depth, creative problem-solving and cooperative learning.

(f) Increase students' access to career and technical education programming, focusing on mathematics and science;

(g) Increase utilization of the statewide professional development network already in place to support turnaround efforts in the lowest-performing schools through technical assistance, data analysis and targeted professional development;

(h) Provide access to high quality virtual STEM courses for students in low performing schools (Note Regents Action Item, December, 2009).

(i) Provide intensive professional development to teachers who will teach in an online environment.

EVALUATIVE COMMENTS:

In New York's response to the competitive performance priority, this reviewer found evidence of a high-quality plan which addresses each required element: (a) provision of rigorous courses of study in the STEM disciplines; (b) cooperation with STEM-capable school and community partners to prepare and assist teachers in integrating STEM content across grades and disciplines, in promoting effective and relevant instruction, and in offering applied learning opportunities for students; and (c) a plan to prepare more students for advanced study and careers in STEM fields—including addressing the needs of underrepresented groups and of women and girls.

Total	15	15	15	
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Absolute Priority - Comprehensive Approach to Education Reform

	Available	Tier 1	Tier 2	Init
Absolute Priority - Comprehensive Approach to Education Reform		Yes	Yes	

Absolute Reviewer Comments: (Tier 1)

REVIEWER'S SYNOPSIS OF EVIDENCE PRESENTED BY APPLICANT:

- Expectations

The Absolute Priority asks for evidence that the State's application comprehensively and coherently addresses the four education reform areas specified in the ARRA as well as the State Success Factors Criteria in order to show that the State and participating LEAs are taking a systemic approach to education reform. The State must also have demonstrated in its application sufficient LEA participation and commitment to successfully implement and achieve the goals in its plans; and it must have described how the State, in collaboration with its participating LEAs, will use Race to the Top and other funds to increase student achievement, decrease the achievement gaps across student subgroups, and increase the rates at which students graduate from high school prepared for college and careers.

EVALUATIVE COMMENTS:

This reviewer has intensely studied the New York RTTT application and believes that the conditions required to satisfy the Absolute Priority criterion have been fully met and substantially exceeded. The plan is uniformly characterized by creative and bold thinking, high quality exposition, evidence of professional integrity, inherent logic, evidence of a reasonable prospect of being achieved, and the highest kind of professional commitment to fully succeed during the implementation phase(s). In support of this judgment, the reviewer has provided synopses of the applicant's responses to each criterion together with summative evaluative comments which elaborate the previous observation. These are found in each section of this reviewer's Race to the Top Application Review for New York.

Total		0	0	
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Grand Total	500	469	482	
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Race to the Top

Technical Review Form - Tier 2



New York Application #3650NY-11

A. State Success Factors

	Available	Tier 1	Tier 2	Init
(A)(1) Articulating State's education reform agenda and LEA's participation in it	65	57	59	
(i) Articulating comprehensive, coherent reform agenda	5	5	5	
(ii) Securing LEA commitment	45	40	40	
(iii) Translating LEA participation into statewide impact	15	12	14	

(A)(1) Reviewer Comments: (Tier 1)

(i) New York has developed a comprehensive, cohesive, and well thought-out reform agenda that includes participation from the entities critical to the success of the plan. The state has been proactive in initiating or facilitating the passage of new legislation that will support and provide the financial structure for the reforms delineated in this section. These new laws target the following areas:

- developing an evaluation system for teachers and principals that positions student achievement data at the center of how educators are assessed and supported,
- raising the cap on charter schools from 200 to 460,
- permitting school districts to contract with New York non-profit organizations to manage their lowest-performing schools, and
- appropriating more than \$20 million to the New York State Department of Education to implement its longitudinal data system.

Synopses of salient legislation and their impact on the state are highlighted in the proposal.

Themes articulated throughout this proposal demonstrate clearly that the state understands the importance of data-driven decision-making, whether for instructional planning, educator evaluation, school reconfiguration, the establishment of long- and short-term goals, or targeting areas warranting sustainability from other sources once the Race to the Top funds have been expended.

(ii) Almost eighty-six percent, or 744 of New York's 866 LEAs, which represent 95.6% of students across the state, and, more significantly 98.2% of New York's students in poverty, will participate in New York's Race to the Top initiative. Additionally, all 37 Boards of Cooperative Education Services (BOCES) will participate in the state's plan for Race to the Top, which will greatly enhance its implementation. However, only 637 School Board Presidents and 454 Presidents of Local Teachers' Union signers have signed on to implement New York's plan. Greater participation by these critical players would have strengthened New York's proposal. The scope of work delineated in the state's MOU clearly specifies the requirements for participation and the expectations for success.

(iii) The fact that legislation has directed the Regents to develop a single P-16 data system, which will be used by all affected entities, will greatly strengthen timely access to common student and school performance information and promulgate data-driven decision making at the state, district, school, class, and student levels. Additionally, this statistically sound and coherent data set can be used to perform longitudinal analyses of student performance and other critical factors affecting student performance and growth. This proposal includes numerous tables that display information regarding the impact of Race to the Top funding on the implementation of its planned reforms, which will be able to be put in place at an accelerated rate with this funding. Tables included in the proposal also display projected data of student performance for all students and for student groups disaggregated by gender, ethnicity, socio-economic status, disability, and language proficiency status on both NAEP and state assessments with and without Race to the Top funding. New York's adoption and implementation of the new Common Core Standards will facilitate the development of a coherent curricula based on new content standards in English language arts and mathematics across participating states, which will provide New York not only a benchmark for determining student growth within New York but across participating states. Additionally, New York's plan for vertically scaling its assessments across grades/levels will simplify the development of psychometrically-sound growth models. No definitive information was provided in this proposal to support the target gains on the 2011 and 2013 National Assessment of Educational Progress (NAEP).

(A)(1) Reviewer Comments: (Tier 2)

(A)(1)(iii) Sufficient information was provided during the presentation to support the target gains on the 2011 and 2013 NAEPs.

(A)(2) Building strong statewide capacity to implement, scale up, and sustain proposed plans	30	30	30	
(i) Ensuring the capacity to implement	20	20	20	
(ii) Using broad stakeholder support	10	10	10	

(A)(2) Reviewer Comments: (Tier 1)

(i) New York is making significant changes in its department of education to strengthen the roll-out, management, and sustainability of its RTTT reforms to address subcriterion (c). The Office of District Services will partner with the BOCES to provide RTTT and professional development services. In a state the size of New York, the BOCES play a significant role in affecting, facilitating, and implementing change at the local district level and buy-in from the BOCES whose assistance with the proposed RTTT reforms is critical to the reforms' successes. The critical role of the BOCES was described in detail in this proposal. Additionally, for these reforms to have lasting impact, they must be implemented in a cohesive manner at the NYSED. The reorganization of the NYSED in order to group the offices with the majority of the RTTT responsibilities under a Senior Deputy Commissioner, who reports to the Board of Regents and Commissioner, should enhance the coordination among the impacted NYSED offices (organizational chart displayed in the proposal). Oversight of RTTT reforms will be monitored by the appropriate entities within the NYSED. In order to help ensure that the initiatives of RTTT are sustained after this funding has ceased, the state will make available additional funding and has identified opportunities to realign existing funds.

(ii) New York has described in detail its strategies to engage pertinent parties, such as the Chancellor, Regents, LEA Superintendents, local boards of education, BOCES District Superintendents, union representatives ELL coalitions, non-profit and charter school organizations, university deans and faculty, and early childhood, parent, advocacy business, and philanthropic groups, in this systemic initiative.

(A)(3) Demonstrating significant progress in raising achievement and closing gaps	30	28	28	
(i) Making progress in each reform area	5	5	5	
(ii) Improving student outcomes	25	23	23	
(A)(3) Reviewer Comments: (Tier 1)				
<p>(i) New York has documented a comprehensive list of recent reforms in each of the 4 education reform areas and describes the specific programs receiving the funds and how the funds were used.</p> <p>(ii) New York has shown notable gains on state assessments for the entire student population and for subgroups. Some gains are also evidenced on recent NAEP assessments, but the gains are not as dramatic as those evidenced on the State's assessments, especially for the populations targeted for Race to the Top funding. New York has included a number of charts that display the dramatic increases in student performance on NAEP, state assessments, and graduation rates that have taken place subsequent to the implementation of the Regents' 2005 plan, which changed the state's Foundation Formula for providing state aid to the highest need districts, its methodologies for the distribution of teachers, the support system for students with disabilities and those who are English language learners, and the expansion of early literacy and pre-kindergarten programs.</p>				
Total	125	115	117	

B. Standards and Assessments

	Available	Tier 1	Tier 2	Init
(B)(1) Developing and adopting common standards	40	40	40	
(i) Participating in consortium developing high-quality standards	20	20	20	
(ii) Adopting standards	20	20	20	
(B)(1) Reviewer Comments: (Tier 1)				
<p>(i) New York is a member of the Common Core Standards consortium that is developing rigorous state content standards for English language arts and Mathematics .These standards will be benchmarked internationally and build toward college and career readiness. The state will make the draft standards available for public review, and, unlike some other consortium states, will adopt up to 15% additional standards following the release of the Common Core Standards. This stipulation of permitting up to 15% additional standards on top of the Common Core will provide New York with the flexibility to personalize pertinent standards to fit the state's learning trajectories while containing costs for instructional materials, educator preparation, and assessments .</p> <p>Thus, continuity among New York's content standards and those of other states will be ensured, while providing New York educators and advocates flexibility in adding to the Common Core Standards.</p> <p>Additionally, New York is participating in two multi-state assessment consortia to develop and adopt high-quality assessments aligned to the Common Core and strengthen New York's state's assessment system.</p>				

(ii) New York is scheduled to adopt the Common Core Standards in July 2010.

(B)(2) Developing and implementing common, high-quality assessments	10	10	10	
(i) Participating in consortium developing high-quality assessments	5	5	5	
(ii) Including a significant number of States	5	5	5	

(B)(2) Reviewer Comments: (Tier 1)

(i) In April 2010 New York committed to serve in a governing role in the Partnership for Assessment of Readiness for College and Careers.

(ii) As of May 25, 2010, a total of 27 states were participating in this consortium.

(B)(3) Supporting the transition to enhanced standards and high-quality assessments	20	20	20	
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(B)(3) Reviewer Comments: (Tier 1)

The State, in conjunction with its LEAs, has developed a high-quality plan to transition to enhanced standards and high-quality assessments. The plan is both thorough and cohesive in that all plan elements are linked through the Common Core English language arts and mathematics standards. New York has clearly articulated the inexorable links among content standards, curriculum models that are based on the standards, a vertically-aligned assessment system based on the standards, and professional development targeted at providing New York educators with the knowledge and tools to ensure that students are prepared for higher education and the workplace. New York has outlined a reasonable timeline for implementing this systemic reform.

The major components of this plan are to:

- Realign high school diploma and assessment policies to support college and career readiness. A group of appropriate stakeholders is developing recommendations to better align high school diploma requirements, the Regents exams, and college and career readiness.
- Develop statewide curriculum models aligned to the common core. The appropriate stakeholders will participate, and the resources will be available on NY's Data Portal.
- Develop supplemental assessments including performance-based formative and interim assessments. This endeavor will lead to a cohesive system of formative, interim, and summative assessments.
- Provide professional development for all educators on the components of the plan, as delineated above.
- Pilot a board examination model.

The implementation of the aforementioned plan involves stakeholders at all levels of providing education services to students in New York, and should result in statewide buy-in of a comprehensive plan.

Total	70	70	70	
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C. Data Systems to Support Instruction

	Available	Tier 1	Tier 2	Init
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(C)(1) Fully implementing a statewide longitudinal data system	24	24	24	
<p>(C)(1) Reviewer Comments: (Tier 1)</p> <p>New York has developed a P-16 data system that meets all requirements of the America COMPETES Act.</p>				
(C)(2) Accessing and using State data	5	5	5	
<p>(C)(2) Reviewer Comments: (Tier 1)</p> <p>New York has a high-quality, detailed plan to build an Education Data Portal that various stakeholders can access and create customized reports, including School Report Cards, teacher profiles, assessment data, school financial data, demographic data, and disaggregated data that report the performance of various student groups. With appropriate access, this information will be available to parents, teachers, principals, researchers, and policymakers. A thorough description of the planned portal was presented. According to the dates shown in the proposal, the development of this portal is underway and all elements will be fully implemented by the end of the 2012-2013 school year.</p>				
(C)(3) Using data to improve instruction	18	18	18	
(i) Increasing the use of instructional improvement systems	6	6	6	
(ii) Supporting LEAs, schools, and teachers in using instructional improvement systems	6	6	6	
(iii) Making the data from instructional improvement systems available to researchers	6	6	6	
<p>(C)(3) Reviewer Comments: (Tier 1)</p> <p>(i) The State plans to use its Education Data Portal to develop a cohesive system for fostering and facilitating data-driven decision-making. A comprehensive and reasonable timeline is provided. This system will provide teachers, principals, and administrators with the information necessary to inform and improve instruction in their classrooms, schools, and districts. Likewise, parents will have easily accessible data and instructional resources so that they will be able to help their children at home and become full partners in furthering their child's education. Users will be able to customize the system to meet their needs, e.g. providing an analysis of each assessment standard to facilitate teachable lessons/units to meet the needs of an individual child. Student performance data will be uploaded on a daily basis to facilitate timely instruction. This system will target individual and small-group instruction to traditionally under-served student populations. Through easy access to a wide array of data, educators will be able to quickly and accurately diagnose school- and class-level problems so that curricula and instruction can be redirected to focus on areas of instructional weakness. An integrated system such as the one proposed by the State of New York is grounded in the systems currently in use in New York City and other districts across the state. Thus, the successes of these systems can be applied to the state-developed system.</p> <p>(ii) The State's system will include an analysis of each assessment standard and will provide curriculum scope and sequence and item analyses for every student and classroom. Data from both formative and summative assessments will be made available to teachers on a daily basis so that any needed interventions can take place in a timely manner. Most school districts already use instructional improvement systems, but this plan calls for the implementation of a uniform, comprehensive statewide system. The elements of this statewide instructional</p>				

reporting and improvement system are clearly delineated in the proposal. Most notably, all pertinent school and district personnel will be trained to use and, most importantly, to understand the system, which will provide them the tools to redirect instruction on a timely basis to focus on student needs, both those of student groups and individual students.

(iii) Data from the instructional improvement systems will be made available to researchers, as they are currently. With the integrated data system described in this proposal, researchers will be able to perform a wide array of analyses, the results of which should have a positive and timely impact on directling and redirecting instruction for the benefit of all students and instructional leaders.

Total	47	47	47	
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D. Great Teachers and Leaders

	Available	Tier 1	Tier 2	Init
(D)(1) Providing high-quality pathways for aspiring teachers and principals	21	15	18	
(i) Allowing alternative routes to certification	7	7	7	
(ii) Using alternative routes to certification	7	4	7	
(iii) Preparing teachers and principals to fill areas of shortage	7	4	4	

(D)(1) Reviewer Comments: (Tier 1)

(i) The Board of Regents and the Commissioner have the legal authority to establish the examination and certification requirements for New York teachers and school leaders. Statute also gives the Regents the authority to approve alternative routes to certification for teachers and principals other than traditional institutions of higher education. Additionally, at the April and May 2010 meetings of the NY Board of Regents new alternative routes to certification were approved for teachers and principals to be offered by non-IHE providers if they offered clinically-rich, performance-based graduate level and principal preparation programs for high-need schools. These alternative routes to certification include at least 4 of the 5 elements listed in the definition of alternative routes to certification. All program applications will be evaluated by a Blue Ribbon Commission and only those programs deemed to meet the criteria will be recommended to the Regents for authorization.

(ii) The processes already in place for candidates to pursue various pathways to attaining alternative certification were described; however more detail should have been provided regarding candidates' "embedded school-based experiences" and the "daily mentoring" provided to these individuals. Data documenting the numbers of alternative certification programs in each specific area of certification were provided.

(iii) Various analyses of educator shortage data were presented, and the state's plans for addressing these shortage areas were described generally. Findings revealed that 85% of New York State's teachers take their initial teaching assignments within 40 miles from their hometown. However, no comparisons were made between this finding in New York and the results of similar analyses in other states. Even though these findings are interesting and not surprising, strong plans for ameliorating this situation were not presented.

(D)(1) Reviewer Comments: (Tier 2)

(D)(1)(ii) Sufficient information was provided during the presentation to clarify the effective use of "daily mentoring" and "embedded school-based experiences" to document and enhance the iterative nature of feedback to alternative certification candidates.

(D)(2) Improving teacher and principal effectiveness based on performance	58	52	54	
(i) Measuring student growth	5	5	5	
(ii) Developing evaluation systems	15	12	14	
(iii) Conducting annual evaluations	10	7	7	
(iv) Using evaluations to inform key decisions	28	28	28	

(D)(2) Reviewer Comments: (Tier 1)

(i) The NYSED has developed a credible plan for designing both its growth and value-added models. The plan for the development of these models for New York is based on procedures that have been previously approved by the USDOE for the No Child Left Behind Act, have been validated by groups of expert psychometricians, and have been used successfully in other states.

(ii) The NYSED has delineated a strategy for developing an effective system for evaluating teachers and principals that takes into account multiple measures of performance of both students and the educators themselves. A fully developed plan for implementing this strategy would have enhanced the proposal. One of the implementation activities for this section calls for the development of "...a process for approving other locally selected and locally developed measures." Thus, it appears that the NYSDE is researching a variety of measures that can be applied in a standardized manner. It is unclear from the proposal the extent to which teachers and principals were involved in the development of New York's plan.

(iii) RTTT funding will be used to develop training for evaluation coaches to interpret student growth data for individual teachers and develop teacher data reports. Evaluations will be held annually, and a system to provide evaluation coaches will be developed through a Request for Proposals process. Grades and subject-areas not tested will be included in the process, but the timeliness of the feedback to individuals being evaluated was not clearly stated.

(iv) An effective, detailed plan is in place for evaluating educators for a variety of purposes, such as tenure determination, promotion, additional compensation, termination, and professional development. With the award of RTTT funding, the state will set up an Innovative Compensation Incentive Fund, designed for highly effective teachers to serve as mentors and coaches.

(D)(2) Reviewer Comments: (Tier 2)

(D)(2)(ii) Clarifying information was provided during the presentation to document the system for evaluating teachers and principals.

(D)(3) Ensuring equitable distribution of effective teachers and principals	25	24	24	
(i) Ensuring equitable distribution in high-poverty or high-minority schools	15	15	15	
(ii) Ensuring equitable distribution in hard-to-staff subjects and specialty areas	10	9	9	

(D)(3) Reviewer Comments: (Tier 1)

(i) The Department will collect composite effectiveness scores and develop performance profiles for each educator. This information will be used to monitor the equitable distribution of effective principals and teachers across the state. Additionally, the state will put into place a system to monitor both the distribution of teachers as well as the relationship between high effectiveness of teachers compared with the growth of their students' performance. This system will identify anomalies between educator effectiveness scores and the rates of student growth.

(ii) Plans are underway to hire effective, qualified teachers for high-poverty/high-minority schools by offering incentives for these educators to teach in their area of specialization in high-need schools. The Regents' approval of clinically-rich graduate level teacher preparation programs for high-need schools and shortage or specialty areas will further address this need. Attainable annual targets are delineated in the performance measures chart, but current baseline data were not provided.

(D)(4) Improving the effectiveness of teacher and principal preparation programs	14	14	14	
(i) Linking student data to credentialing programs and reporting publicly	7	7	7	
(ii) Expanding effective programs	7	7	7	

(D)(4) Reviewer Comments: (Tier 1)

(i) As stated in the proposal, the state's plan to link student data to credentialing programs for teachers and principals and to report those data publicly is critical to ensure that program graduates have been properly prepared to perform their jobs effectively and that the programs are held accountable for the successes/failures of their graduates. New York's P-20 Longitudinal Data System will make possible the linking of students performance data to the state's teachers, school leaders, and the preparation programs for those teachers and leaders. The preparation programs will be held to a high standard of both achieving accreditation and maintaining a pass rate of at least 80% on certification examinations administered to candidates in their programs.

(ii) The state has embraced the expansion of successful preparation programs and credentialing options to attract and retain qualified educators in New York. The NYSED has implemented a requirement that all teaching candidates pass a performance-based assessment to obtain initial teacher certification, in addition to the traditional certification examination. The addition of this multi-faceted performance assessment, consisting of submissions of portfolios that will demonstrate both the candidates' knowledge and skills, will greatly enhance both the content of the preparation programs and the level of performance expected for candidates to attain certification.

(D)(5) Providing effective support to teachers and principals	20	16	20	
(i) Providing effective support	10	10	10	
(ii) Continuously improving the effectiveness of the support	10	6	10	

(D)(5) Reviewer Comments: (Tier 1)

(i) All of the state's education partners will have access to pertinent data to develop professional development, coaching, and induction to support effective instruction. The alignment of the Common Core standards with state curriculum models and new assessments will provide the underpinnings of a cohesive system to foster sustainable growth in the areas of educator development and student performance.

(ii) The NYSED will define both qualitative and quantitative measures that will be used by LEAs to evaluate professional development. However, few details were provided to describe either the process that will be developed for measuring the effectiveness of LEAs' professional development or the criteria that will be used to measure program effectiveness.

(D)(5) Reviewer Comments: (Tier 2)

(D)(5)(ii) Sufficient details were provided during the presentation to indicate clearly that targeted professional development plans are being implemented throughout the state.

Total	138	121	130	
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E. Turning Around the Lowest-Achieving Schools

	Available	Tier 1	Tier 2	Init
(E)(1) Intervening in the lowest-achieving schools and LEAs	10	10	10	
(E)(1) Reviewer Comments: (Tier 1) NYSED has strong legal authority to intervene in persistently low-achieving schools and districts. Regents now have a single method for identifying persistently low-achieving schools, and new legislation will require that schools under registration review implement one of four specified intervention models.				
(E)(2) Turning around the lowest-achieving schools	40	35	35	
(i) Identifying the persistently lowest-achieving schools	5	5	5	
(ii) Turning around the persistently lowest-achieving schools	35	30	30	
(E)(2) Reviewer Comments: (Tier 1) (i) The Department has a USED-approved methodology for identifying the lowest-achieving schools. (ii) The Department has performed analyses on its effectiveness in turning around its lowest-performing schools and has provided relevant data to support its new plan. Additionally, the NYSDE examined the successes that have been attained in its charter schools and these data will be used in developing its proposed plan that is based on cross-school collaboration and data sharing. An Office of Innovative School Models will be created within the NYSED to collaborate with other pertinent NYSDE offices to work with the lowest-achieving schools. Each LEA will be required to implement and support an intervention model based on its needs. The plan delineates the responsible parties for each component/activity and includes a corresponding timeline for completion. A notable component of this initiative is NYSDE's plan to develop technical assistance centers to provide regional professional development related to teaching in an online environment. The proposal did not address restrictions on the use of the transformation model. LEAs will be required to submit a Quality Intervention Plan and budget to support implementation of these plans at the district and school levels.				
Total	50	45	45	

F. General

	Available	Tier 1	Tier 2	Init
(F)(1) Making education funding a priority	10	10	10	
(i) Allocating a consistent percentage of State revenue to education	5	5	5	
(ii) Equitably funding high-poverty schools	5	5	5	
(F)(1) Reviewer Comments: (Tier 1)				
<p>(i) The absolute increase in funds for education increased 5.8% from 2007-08 to 2008-09 from 39.4% to 41.7% of state funds.</p> <p>(ii) The state has taken notable steps to phase in a formula that ensures adequate funding across school districts, with the greatest increase in funding being allocated to school districts whose previous funding levels were farthest below the formula amount. In 2007-08 the state made a 10.5% increase in educational funding. In 2008-09 high-need school districts and charter schools received an average of almost 3 times as much state aid per student as low-need districts. New York's 204 high-need school districts include slightly over one-half of the state's average daily enrollment and now receive almost two-thirds of the state aid. The state also has a state-mandated procedure that requires districts in need of academic progress to consider redirecting resources to programs designed to improve student achievement.</p>				
(F)(2) Ensuring successful conditions for high-performing charter schools and other innovative schools	40	37	37	
(i) Enabling high-performing charter schools "(caps)"	8	5	5	
(ii) Authorizing and holding charters accountable for outcomes	8	8	8	
(iii) Equitably funding charter schools	8	8	8	
(iv) Providing charter schools with equitable access to facilities	8	8	8	
(v) Enabling LEAs to operate other innovative, autonomous public schools	8	8	8	
(F)(2) Reviewer Comments: (Tier 1)				
<p>(i) New York has significantly increased its cap on charter schools from 200 to 460, which does not clearly exceed 10% of the total number of public schools in the state, depending on the methodology used to calculate the percentage. More information is needed to explain the methodology used to calculate the percentage articulated in this proposal. The state did not address having any restrictions that would evenly mildly impede the creation of high-quality charter schools.</p> <p>(ii) New York has a stringent process, delineated in state statute, for approving, monitoring, and reauthorizing its charter schools. This process has been recognized nationally as a rigorous process. If the Board of Regents approves a charter or it is approved by statute, the new charter school is formed for a term of up to 5 years, or in other instances for 5 years during which the entity provides instruction. Throughout this section of the proposal, New York describes its priorities for ensuring that charter schools of high quality are created, maintained, and monitored. The state's charter schools laws and oversight procedures are described in sufficient detail to ensure this emphasis on quality. The charter schools community, including authorizers, philanthropic partners, charter school associations, and</p>				

charter schools management organizations have collaborated to help ensure the success of the state's charter schools, particularly for students in the most need.

(iii) The state's primary funding for charter schools is through mandated tuition payments by school districts. Funding for the charter schools is equivalent to districts' per-pupil expenditure; therefore the funding is greater than 90% of that allocated to traditional public school students.

(iv) The state supports charter schools in obtaining facilities in a variety of ways. For example, charter school tuition can be used to pay costs for facilities. The states's stimulus fund provides grants for the development and operation of charter schools. Additionally, charter schools may be located in part of an existing public school building or any other suitable building. Facility-related requirements on charter schools are not more strict than those applied to traditional public schools, and, in fact, some requirements for charter schools are less strict than those applied to traditional public schools.

(v) New York supports the establishment of innovative and autonomous public schools. The state recently created the Office of Innovative School Models, whose mission is to work with school districts to support approaches to academic and operational programs outside of traditional approaches to public schooling and to serve as a clearinghouse for these innovative models. The proposal describes an array of programs that serve as successful model approaches to public education.

(F)(3) Demonstrating other significant reform conditions	5	5	5	
(F)(3) Reviewer Comments: (Tier 1)				
<p>The integration of public education in New York from P-20 in a realistic manner is laudable and speaks to the necessity of beginning to prepare students at an early age for success in college or the workforce. The coherent P-20 design for education, involving both the public and private sectors, will greatly enhance the state's ability to both serve its neediest students and provide to all of its students the readiness for higher education or the workforce. New York provides an array of educational services, all of which are under the guidance and direction of the Board of Regents. The Regents have created a process for career and technical education programs designed to improve high school graduation rates, sponsored an Innovation Lab as part of the Next Generation of Learners initiative, collaborated with the University of the State of New York to provide universal access to libraries, museums, and other cultural institutions, and partnered with New York Institutions of Higher Education to provide middle and high school students with the opportunity to take dual credit courses.</p>				
Total	55	52	52	

Competitive Preference Priority 2: Emphasis on STEM

	Available	Tier 1	Tier 2	Init
Competitive Preference Priority 2: Emphasis on STEM	15	15	15	
Competitive Reviewer Comments: (Tier 1)				
<p>New York has integrated its focus on STEM into its overall education reform plan by targeting instruction and enhancing student performance in the STEM areas to foster success in higher education or a career. Throughout the proposal New York describes its plans and current initiatives to provide a rigorous course of study in the STEM areas by partnering with appropriate industry experts, universities, and other STEM-focused entities to assist educators in the STEM areas. New York's plan especially emphasizes integrating STEM content across</p>				

the curriculum and providing a cohesive pathway to prepare more students in the STEM areas, especially targeting currently underrepresented groups.

Total	15	15	15	
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Absolute Priority - Comprehensive Approach to Education Reform

	Available	Tier 1	Tier 2	Init
Absolute Priority - Comprehensive Approach to Education Reform		Yes	Yes	

Absolute Reviewer Comments: (Tier 1)

New York has presented a well-developed and integrated plan for systemic education reform. The state has described in detail a coherent system for addressing education reform P-16 and has established reasonable priorities for attaining the goals of ensuring that all New York students leave school prepared for higher education and/or the workplace. New York's proposal has successfully and effectively addressed all elements of this priority.

Total		0	0	
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Grand Total	500	465	476	
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