

**III. RACE TO THE TOP APPLICATION ASSURANCES
(CFDA No. 84.395A)**

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<p>Required Applicant Signatures:</p> <p>To the best of my knowledge and belief, all of the information and data in this application are true and correct.</p> <p>I further certify that I have read the application, am fully committed to it, and will support its implementation:</p>	
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Signature of Governor or Authorized Representative of the Governor: <i>David A. Paterson</i>	Date: <i>5/28/10</i>
Chief State School Officer (Printed Name): David M. Steiner	Telephone: 518-474-5844
Signature of the Chief State School Officer: <i>David Steiner</i>	Date: 5/28/10
President of the State Board of Education (Printed Name): <i>MERRYL H. TISCH</i>	Telephone: 212-879-9414
Signature of the President of the State Board of Education: <i>Merryl H. Tisch</i>	Date: 5/28/10

State Attorney General Certification

I certify that the State's description of, and statements and conclusions concerning, State law, statute, and regulation in its application are complete, accurate, and constitute a reasonable interpretation of State law, statute, and regulation.

(See especially Eligibility Requirement (b), Selection Criteria (B)(1), (D)(1), (E)(1), (F)(2), (F)(3).)

I certify that the State does not have any legal, statutory, or regulatory barriers at the State level to linking data on student achievement (as defined in this notice) or student growth (as defined in this notice) to teachers and principals for the purpose of teacher and principal evaluation.

State Attorney General or Authorized Representative (Printed Name):

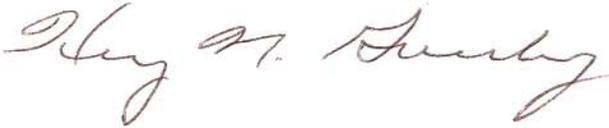
Telephone:

Henry M. Greenberg
Counsel to the Attorney General

(518) 474-7330

Signature of the State Attorney General or Authorized Representative:

Date: 6/1/10



IV. ACCOUNTABILITY, TRANSPARENCY, REPORTING AND OTHER ASSURANCES AND CERTIFICATIONS

Accountability, Transparency and Reporting Assurances

The Governor or his/her authorized representative assures that the State will comply with all of the accountability, transparency, and reporting requirements that apply to the Race to the Top program, including the following:

- For each year of the program, the State will submit a report to the Secretary, at such time and in such manner as the Secretary may require, that describes:
 - the uses of funds within the State;
 - how the State distributed the funds it received;
 - the number of jobs that the Governor estimates were saved or created with the funds;
 - the State's progress in reducing inequities in the distribution of highly qualified teachers, implementing a State longitudinal data system, and developing and implementing valid and reliable assessments for limited English proficient students and students with disabilities; and
 - if applicable, a description of each modernization, renovation, or repair project approved in the State application and funded, including the amounts awarded and project costs (ARRA Division A, Section 14008)
- The State will cooperate with any U.S. Comptroller General evaluation of the uses of funds and the impact of funding on the progress made toward closing achievement gaps (ARRA Division A, Section 14009)
- If the State uses funds for any infrastructure investment, the State will certify that the investment received the full review and vetting required by law and that the chief executive accepts responsibility that the investment is an appropriate use of taxpayer funds. This certification will include a description of the investment, the estimated total cost, and the amount of covered funds to be used. The certification will be posted on the State's website and linked to www.Recovery.gov. A State or local agency may not use funds under the ARRA for infrastructure investment funding unless this certification is made and posted. (ARRA Division A, Section 1511)
- The State will submit reports, within 10 days after the end of each calendar quarter, that contain the information required under section 1512(c) of the ARRA in accordance with any guidance issued by the Office of Management and Budget or the Department. (ARRA Division A, Section 1512(c))
- The State will cooperate with any appropriate Federal Inspector General's examination of records under the program. (ARRA Division A, Section 1515)

Other Assurances and Certifications

The Governor or his/her authorized representative assures or certifies the following:

- The State will comply with all applicable assurances in OMB Standard Forms 424B (Assurances for Non-Construction Programs) and to the extent consistent with the State's application, OMB Standard Form 424D (Assurances for Construction Programs), including the assurances relating to the legal authority to apply for assistance; access to records; conflict of interest; merit systems; nondiscrimination; Hatch Act provisions; labor standards; flood hazards; historic preservation; protection of human subjects; animal welfare; lead-based paint; Single Audit Act; and the general agreement to comply with all applicable Federal laws, executive orders and regulations.
- With respect to the certification regarding lobbying in Department Form 80-0013, no Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making or renewal of Federal grants under this program; the State will complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," when required (34 C.F.R. Part 82, Appendix B); and the State will require the full certification, as set forth in 34 C.F.R. Part 82, Appendix A, in the award documents for all subawards at all tiers.
- The State will comply with all of the operational and administrative provisions in Title XV and XIV of the ARRA, including Buy American Requirements (ARRA Division A, Section 1605), Wage Rate Requirements (section 1606), and any applicable environmental impact requirements of the National Environmental Policy Act of 1970 (NEPA), as amended, (42 U.S.C. 4371 et seq.) (ARRA Division A, Section 1609). In using ARRA funds for infrastructure investment, recipients will comply with the requirement regarding Preferences for Quick Start Activities (ARRA Division A, Section 1602).
- Any local educational agency (LEA) receiving funding under this program will have on file with the State a set of assurances that meets the requirements of section 442 of the General Education Provisions Act (GEPA) (20 U.S.C. 1232e).
- Any LEA receiving funding under this program will have on file with the State (through either its Stabilization Fiscal Stabilization Fund application or another U.S. Department of Education Federal grant) a description of how the LEA will comply with the requirements of section 427 of GEPA (20 U.S.C. 1228a). The description must include information on the steps the LEA proposes to take to permit students, teachers, and other program beneficiaries to overcome barriers (including barriers based on gender, race, color, national origin, disability, and age) that impede access to, or participation in, the program.
- The State and other entities will comply with the Education Department General Administrative Regulations (EDGAR), including the following provisions as applicable: 34 CFR Part 74—Administration of Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations; 34 CFR Part 75—Direct Grant Programs; 34 CFR Part 77—Definitions that Apply to Department Regulations; 34 CFR Part

80– Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments, including the procurement provisions; 34 CFR Part 81– General Education Provisions Act–Enforcement; 34 CFR Part 82– New Restrictions on Lobbying; 34 CFR Part 84–Governmentwide Requirements for Drug-Free Workplace (Financial Assistance); 34 CFR Part 85–Governmentwide Debarment and Suspension (Nonprocurement).

SIGNATURE BLOCK FOR CERTIFYING OFFICIAL

Governor or Authorized Representative of the Governor (Printed Name): David A. Paterson	
Signature of Governor or Authorized Representative of the Governor: <i>David A. Paterson</i>	Date: <i>5/28/10</i>

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SELECTION CRITERIA: PROGRESS AND PLANS IN THE FOUR EDUCATION REFORM AREAS

(A) State Success Factors (125 total points)

(A)(1) Articulating State’s education reform agenda and LEAs’ participation in it (65 points)

The extent to which—

- (i) The State has set forth a comprehensive and coherent reform agenda that clearly articulates its goals for implementing reforms in the four education areas described in the ARRA and improving student outcomes statewide, establishes a clear and credible path to achieving these goals, and is consistent with the specific reform plans that the State has proposed throughout its application; *(5 points)*
- (ii) The participating LEAs (as defined in this notice) are strongly committed to the State’s plans and to effective implementation of reform in the four education areas, as evidenced by Memoranda of Understanding (MOUs) (as set forth in Appendix D)¹ or other binding agreements between the State and its participating LEAs (as defined in this notice) that include— *(45 points)*
 - (a) Terms and conditions that reflect strong commitment by the participating LEAs (as defined in this notice) to the State’s plans;
 - (b) Scope-of-work descriptions that require participating LEAs (as defined in this notice) to implement all or significant portions of the State’s Race to the Top plans; and
 - (c) Signatures from as many as possible of the LEA superintendent (or equivalent), the president of the local school board (or equivalent, if applicable), and the local teachers’ union leader (if applicable) (one signature of which must be from an authorized LEA representative) demonstrating the extent of leadership support within participating LEAs (as defined in this notice); and
- (iii) The LEAs that are participating in the State’s Race to the Top plans (including considerations of the numbers and percentages of participating LEAs, schools, K-12 students, and students in poverty) will translate into broad statewide impact, allowing the State to reach its ambitious yet achievable goals, overall and by student subgroup, for—*(15 points)*

¹ See Appendices A_1_ii_1 and A_1_ii_2 for the Participating LEA MOU and Preliminary Scope of Work.

- (a) Increasing student achievement in (at a minimum) reading/language arts and mathematics, as reported by the NAEP and the assessments required under the ESEA;
- (b) Decreasing achievement gaps between subgroups in reading/language arts and mathematics, as reported by the NAEP and the assessments required under the ESEA;
- (c) Increasing high school graduation rates (as defined in this notice); and
- (d) Increasing college enrollment (as defined in this notice) and increasing the number of students who complete at least a year's worth of college credit that is applicable to a degree within two years of enrollment in an institution of higher education.

In the text box below, the State shall describe its current status in meeting the criterion, as well as projected goals as described in (A)(1)(iii). The narrative or attachments shall also include, at a minimum, the evidence listed below, and how each piece of evidence demonstrates the State's success in meeting the criterion. The narrative and attachments may also include any additional information the State believes will be helpful to peer reviewers. For attachments included in the Appendix, note in the narrative the location where the attachments can be found.

Evidence for (A)(1)(ii):

- An example of the State's standard Participating LEA MOU, and description of variations used, if any.
- The completed summary table indicating which specific portions of the State's plan each LEA is committed to implementing, and relevant summary statistics (see Summary Table for (A)(1)(ii)(b), below).
- The completed summary table indicating which LEA leadership signatures have been obtained (see Summary Table for (A)(1)(ii)(c), below).

Evidence for (A)(1)(iii):

- The completed summary table indicating the numbers and percentages of participating LEAs, schools, K-12 students, and students in poverty (see Summary Table for (A)(1)(iii), below).
- Tables and graphs that show the State's goals, overall and by subgroup, requested in the criterion, together with the supporting narrative. In addition, describe what the goals would look like were the State not to receive an award under this program.

Evidence for (A)(1)(ii) and (A)(1)(iii):

- The completed detailed table, by LEA, that includes the information requested in the criterion (see Detailed Table for (A)(1), below).

Recommended maximum response length: Ten pages (excluding tables)

EXECUTIVE SUMMARY

In recent weeks, New York State’s educational community has come together in an unprecedented show of support for the broad education reforms detailed in the State’s Race to the Top application. Thanks to the leadership of the Governor, the State legislature and the Board of Regents, New York State has passed new legislation that will usher in a new era of educational excellence in the State and will ensure that we are able to fully execute the innovative, coherent reform agenda outlined in our 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 our charter school cap from 200 to 460,(which qualifies as a “high” cap for purposes of Race to the Top), (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 (See Appendix A_1_i_1 for the full text of the new laws). The table below describes the main components of the May 2010 legislation and the dramatic impact each element should have on the education of students statewide:

Provision	Major Points	Impact
Teacher and Principal Evaluations (Chapter 103 of the Laws of 2010)	<ul style="list-style-type: none"> Establishes a new comprehensive annual evaluation system for teachers and principals based on multiple measures of effectiveness, including 40 percent student achievement, measures, which would result in a single composite effectiveness score for every teacher and principal 	<ul style="list-style-type: none"> Only a portion of the State’s teachers teach in subjects in which students take a State assessment. However, the new legislation ensures that <u>all</u> teachers will be evaluated based on student data, which will include assessment results and other measures of achievement, and provides a process for the development of measures beyond State assessments.

Provision	Major Points	Impact
	<ul style="list-style-type: none"> • Differentiates teacher and principal effectiveness using the following four rating categories: Highly Effective, Effective, Developing, and Ineffective; uses such annual evaluations as a significant factor for employment decisions including promotion, retention, tenure determination, supplemental compensation, and professional development. • Provides that two consecutive annual ratings of “Ineffective” constitutes a “pattern of ineffective teaching or performance,” which constitutes very significant evidence of incompetence and which may form the basis for just cause removal of a teacher or principal. • Establishes an expedited tenured employee disciplinary process for teachers and principals where the charges are based solely on a “pattern of ineffective teaching or performance.” 	<ul style="list-style-type: none"> • These changes will greatly facilitate the removal of ineffective teachers and principals.

Provision	Major Points	Impact
Charter Schools (Chapter 101 of the Laws of 2010)	<ul style="list-style-type: none"> • Raises New York’s cap on startup charter schools from 200 to 460. • Promotes equal access to charter schools for students with disabilities, English language learners and low-income students. • Establishes a new Request for Proposals process to allow the Board of Regents and State University of New York (SUNY) to target new startup charter schools in regions of the state and student populations with the greatest need for a charter school opportunity. 	<ul style="list-style-type: none"> • This “high” cap, which exceeds 10 percent of all public schools in New York State, will provide more students with the opportunity to attend high-quality charter schools. • The legislation expands access to and availability of a charter school education to high-need students Statewide.
Educational Partnership Organizations (Chapter 103 of the Laws of 2010)	<ul style="list-style-type: none"> • Provides authority for boards of education (or the Chancellor in New York City), with the approval of the Commissioner pursuant to Regents’ authority, to contract with an Educational Partnership Organization for a term of up to five years to manage a school designated by the Commissioner as a school under registration review or a persistently-lowest-achieving school. 	<ul style="list-style-type: none"> • This legislation will allow schools to partner with entities with proven track records of success in school improvement and turnaround.
Appropriation for State Longitudinal Data System (Chapter 100 of the Laws of 2010)	<ul style="list-style-type: none"> • Appropriates \$20.4M to the State Education Department to implement its longitudinal data system. 	<ul style="list-style-type: none"> • The appropriation provides NYSED with the necessary resources to continue its work on the implementation of the longitudinal data system. This will supplement a \$19.7M federal grant recently awarded to the Department by the Institute of Education Sciences (IES) (See Section C for more information).

To ensure that this new legislation is implemented in ways that reach all students, New York’s Race to the Top application is built around high-impact reforms with statewide reach. New York’s RTTT plan focuses intensely on the instructional core – the quality of the interaction between student and teacher – and is designed to provide those who are accountable for producing this interaction with the essential tools and support they need to drive increases in student achievement. Using RTTT funding, we commit to creating a statewide system of highly effective schools through focused efforts in the four RTTT assurance areas:

- World-class curricula; formative, interim, and summative assessments aligned to internationally benchmarked standards;
- A robust data system;
- Rigorous teacher and principal evaluation systems that include student achievement measures; redesigned teacher and principal preparation programs focused on clinical practice; and
- Coordinated and aligned interventions and supports for our lowest-achieving schools.

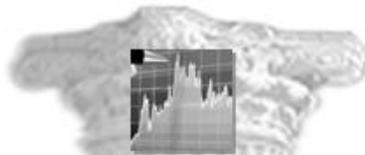
Through RTTT, New York will achieve the following reform goals:



STANDARDS AND ASSESSMENTS

New York will:

- Adopt Common Core State Standards for English Language Arts and Mathematics
- Realign high school diploma and assessment policies with college and career success
- Put in place new statewide curriculum models aligned with college- and career-readiness standards
- Create and implement new English Language Arts and Mathematics summative assessments, as a leader in a 27-state consortium
- Create new formative and interim assessments aligned to the Common Core standards
- Prepare new and existing teachers and principals to teach and design instruction aligned with the new standards and assessments



DATA SYSTEMS

New York's teachers will:

- Draw on best practices information and use data to differentiate instruction

New York's principals will:

- Use data to inform teacher recruitment, evaluation, and differentiated professional development

New York will:

- Create a statewide instructional reporting and improvement system, available through a Data Portal, so stakeholders can access and analyze data, make decisions, and take actions to improve student outcomes
- Develop an Early Warning System to help at-risk students and keep them on track to graduate.
- Launch research partnerships to identify and disseminate best practice



GREAT TEACHERS AND LEADERS

New York will:

- Provide teachers and principals with clinically-rich preparation and certify them based on clinical skills and results

- Provide highly-effective teachers and principals with career advancement opportunities and incentives to mentor colleagues and transfer to high-need schools

New York's teacher and principal evaluation system will:

- Incorporate student achievement as 40 percent of annual evaluations
- Inform differentiated professional development
- Enable expedited removal of teachers and principals who are rated "ineffective" for two consecutive years



TURN AROUND LOW-ACHIEVING SCHOOLS

New York will:

- Support LEAs in turning around persistently lowest-achieving schools, using whichever of the four intervention models is best suited to local need and capacity
- Expand Partnership Zones that empower clusters of low-performing schools to deliver dramatic gains in student achievement
- Foster innovative schools and practices, including leveraging educational partnership organizations (EPOs)
- Grow the number of high-performing charter schools

Clear accountability mechanisms will ensure effective performance at all levels of this system – from teachers, principals, schools, districts, and charter schools, to teacher and principal preparation programs, internal and external service providers, and the State Education Department.

Since August 2009, New York State has engaged in significant efforts to design a world-class Race to the Top reform plan that is built upon stakeholder input and support. With nearly 700 school districts, 140 charter schools, 37 Boards of Cooperative Educational Services (BOCES) across a State characterized by vast diversity, this has been a monumental undertaking. However, we have successfully garnered broad statewide support for our RTTT reform plans – 85.9 percent of our LEAs have signed on to the plan, representing 95.6 percent of all students statewide, and 98.2 percent of our students in poverty. Although not considered participating LEAs, in an overwhelming show of support and partnership, all of our 37 BOCES have submitted RTTT Memoranda of Understanding (MOUs).

The Department understands that in order for New York State’s RTTT plans to have maximum impact for all students in all schools, we must assist our LEA and charter school partners in making systemic, sustainable changes through an implementation structure that includes consistent, coherent, and focused guidance and supports. To do this, we commit to redesigning the State Education Department and will build upon our unique and powerful support structure, our network of 37 BOCES, which provide professional services and technical assistance to LEAs Statewide. We will augment the BOCES by establishing network teams – three-person teams of experts in curriculum, data analysis, and instruction – that will provide direct support to regional networks 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 (described in Section E): the External Technical Assistance Center for Innovation and Turnaround (ETACIT) and Joint Intervention Teams (JIT).

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

our struggling schools – our charter school authorization process is one of the strongest in the country, and our standards, assessments, and teacher preparation and certification programs have served as national models. However, with the passage of the State’s historic new legislation in May 2010; the strength of the commitment of educational partners across the State; and the appointment of a nationally-respected, reform-oriented leadership team at the State Education Department, New York stands ready to build on its strengths and successes and to fully execute the innovative, coherent reform agenda outlined in its Race to the Top application. The time has come for New York to embark upon its next phase of education reform. With the support of USED and our vast network of partners across the State, the New York State Education Department is ready and eager to begin.

Goals and Milestones

The overarching goal of the New York State Board of Regents is to ensure that all students are ready for college and career success. By supporting this vision with our new legislation, bold State leadership and deep implementation supports, we expect Race to the Top funding to significantly accelerate our progress toward this goal by considerably narrowing New York’s achievement gap, more than doubling the proficiency levels of students with disabilities, and tripling the proficiency of English language learners. These student outcomes will be achieved by reaching the following milestones:

- Teachers and principals will be evaluated using student growth data beginning in the 2011-12 school year
- All schools will implement the new Common Core Standards by the 2011-12 school year
- Our assessments will be aligned to the Common Core Standards by Spring 2012
- Our Education Data Portal will launch statewide in Fall 2012
- We will turnaround approximately 147 of our persistently lowest-achieving schools in four cohorts beginning in September 2010.

Foundation for Success

In addition to New York's new education reform legislation and broad statewide support for our RTTT application, the breadth and depth of authority of the Board of Regents of the University of the State of New York (USNY) will ensure that our ambitious reforms are effectively implemented and sustained statewide. *The Board of Regents has greater executive authority over public education in New York than any other state education board.* First established by the State legislature in 1784, the Regents form the oldest continuous state education entity in America and are responsible for the general supervision of all educational activities in the State (Pre-K through Postsecondary, Professional and Cultural Education). USNY is a rich portfolio of resources that comprises *all* of the State's institutions, both public and private, that offer education, and sets standards for schools from pre-kindergarten (PreK) through professional and graduate school as well as for the practice of a wide variety of professions. USNY, under the oversight of the Regents, the Commissioner, and the New York State Education Department (NYSED), includes:

- over 7,000 public and private elementary and secondary schools including 140 charter schools;
- 248 public colleges and universities, including the State University of New York (SUNY) and the City University of New York (CUNY);
- 251 proprietary (for-profit) schools;
- nearly 7,000 libraries and 750 museums;
- vocational and educational services for children and adults with disabilities;
- 25 public radio and television broadcasting stations;
- 750,000 licensed professionals practicing 48 professions; and
- 240,000 certified public school teachers, counselors, and administrators.

As a component of NYSED, the USNY network also includes 37 District Superintendents who oversee Boards of Cooperative Educational Services (BOCES) staffed with over 34,000 professionals. BOCES play a key role in supporting districts by providing

them with shared, fee-based educational programs and services. To support the technology needs of our LEAs, each BOCES is served by one of twelve Regional Information Centers (RICs) which annually provide the BOCES and their component districts with over \$300 million in high-quality technology-related services.

In 2002, the Regents embarked on an effort to create the conditions to promote greater statewide student achievement and lay a foundation for dramatic education reform. A key initial step was taken that year as the New York State legislature passed a new governance statute for New York City schools. The legislation invested accountability for New York City's schools in a Chancellor to be selected by the Mayor. Prior to this legislation, no single elected official was accountable for the education of the City's 1.1 million students (which represent over one-third of the State's K-12 students). The adoption of mayoral control created more robust accountability for New York City Schools and a framework for greater efficiency.

In 2005, following the adoption of statewide learning standards and summative assessments tied to those standards, the Board of Regents published *P-16 Education: A Plan for Action*. In this seminal document, which parallels several of the tenets of Race to the Top, the Regents envisioned a New York in which all people are prepared for citizenship, work and continued learning throughout their lives, where gaps in achievement have closed, and where the overall level of knowledge and skill among the people matches or exceeds the best in the world.

To achieve these goals in this first phase of reform, the Board implemented a five-year data driven action plan that aligned the resources of USNY around students, systems, and structures. Within the student category, the Regents set specific targets for increases in early childhood opportunities, outcomes for students with disabilities and English language learners, and high school attendance and graduation rates. In the systems category, the Regents set targets for strengthening the State's overall education infrastructure with specific improvements in State Learning Standards, the equitable distribution of teaching talent, proposals to reform the State Aid funding formula, and the capacity of NYSED to support schools. They also set out to develop a P-16 data system that would drive improvements in high school graduation rates.

Finally, within the structures category, the Regents set specific goals: to reduce barriers to teaching and learning in high needs schools by establishing education, health, and mental health collaborations; to increase the success rate of students at key transition points as they progress through the USNY system; and to leverage resources and improve student outcomes by developing a regional network strategy.

Continued Legislative Support for Education Reform

In line with the Regents *P-16 Action Plan*, the New York State legislature and Governor took bold action in 2007 to amend the State's education laws. The legislation established a "Foundation Aid formula" that consolidated 30 existing operating aid formulas, including aid for students with disabilities and limited English proficiency (LEP) students, which had previously been maintained separately. To ensure that the State aid formula provided sufficient resources, the legislature and Governor increased public funding to school districts by an unprecedented \$1.7 billion dollars (9.5 percent) in the 2007-08 State budget. It was the largest infusion of public resources in New York's history and was tied to a comprehensive agenda of reform and accountability. In addition, following the 1998 establishment of charter schools in New York State, the 2007 legislation raised the State's then existing charter school cap.

As detailed in the table below, these legislative reforms align closely with Race to the Top's four assurance areas, thus laying the critical groundwork to enable New York State to successfully implement our Race to the Top initiatives (See Appendix A_1_i_2).

RTTT Reform Areas	NYS 2007 Education Legislation
Standards and Assessments	<p>The Board of Regents must periodically review and evaluate all existing Regents learning standards, beginning with ELA, to ensure that they provide adequate opportunity for students to acquire the skills and knowledge necessary to succeed in employment or postsecondary education. (Education Law §211).</p> <p>The Regents must establish an interim accountability system that uses the State assessment system to support a growth model and proceed with the development of an enhanced accountability system that includes a value-added assessment model (Education Law §211-a).</p>
Data Systems to Support Instruction	<p>The Regents must develop a P-16 data system to track students’ performance from PreK through higher education (Education Law §305[40]).</p>
Great Teachers and Leaders	<p>The Commissioner must evaluate the effectiveness of all teacher preparation programs (Education Law §305[12-a]), review all available alternative teacher preparation programs and consider means to expand the availability of such preparation, while maintaining teacher quality (Education Law §3004[6]).</p> <p>The law established several initiatives to support teachers of science, technology, engineering and mathematics (STEM), which are described in Appendix A 1 i 2.</p>
Turning Around the Lowest-Achieving Schools	<p>The law established the Contracts for Excellence program – a comprehensive approach to targeting fiscal resources in districts with low-performing schools for specific allowable programs proven to raise the achievement of the students with the greatest educational need (Education Law §211-d).</p> <p>The new legislation called for an expansion of New York’s process for intervening in schools that have failed to demonstrate progress on established performance measures; these schools under registration review (known as “SURR schools”) may be targeted for closure (Education Law §211-b).</p> <p>The legislation also introduced several support and intervention tools designed to assist schools in improvement, corrective action, restructuring or registration review status, including: School Quality Review Teams, Joint Intervention Teams, and Distinguished Educators (Education Law §§211-b, 211-c)</p>
State Reform Conditions Criteria	<p>New York has had a history of thoughtful charter expansion through legislative action. In 2007, Education Law §2852(9) lifted the cap on the number of charter schools statewide from 100 to 200, with 100 allocated to SUNY and 100 to the Board of Regents and local boards of education. As described more fully above, Chapter 101 of the Laws of 2010 further increases the number of charter schools statewide to 460, which exceeds 10 percent of the State’s public schools.</p>

Our Plan for the Future

Together with the State's new legislation, Race to the Top provides New York with an unprecedented opportunity to reinforce and accelerate its efforts to transform schools and districts and align resources and practices, ensuring that all New York's graduates are prepared for success in college and career. Since November 2009, the Regents have approved pioneering policies in pursuit of RTTT funding that would support the State's aggressive reform agenda. The Governor, the Chancellor and Board of Regents, the State legislature, stakeholder groups including our statewide teachers' unions, along with 744 participating LEAs, have come together to support the State's plan and the unique opportunity it represents for the students of New York. While our plans are detailed within each of the assurance sections, an overview is provided below.

- ▶ **ENSURE COLLEGE AND CAREER READINESS FOR NYS'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**

We know that in order to increase student achievement, our educators must have the fundamental tools essential for producing successful interactions with students: an aligned system of world-class standards, detailed curricula, and assessments. New York thus plans to implement the new Common Core standards in English language arts and mathematics. To support implementation, New York will develop clear, content-rich, sequenced, spiraled², and detailed curricula, aligned to the new standards, that will collectively form the foundation for a new generation of assessments - assessments that will be redesigned to generate truly useful data for students, teachers, principals and parents. This next generation of assessments will include rich formative and interim assessments, offering feedback not only on students' acquisition of crucial foundational knowledge and skills, but also on their ability to

² A spiraled curriculum is one that repeatedly exposes students to a wide variety of ideas in different contexts, reinforcing and building on key concepts rather than focusing for relatively long periods on narrow topics in a linear progression. A spiraled curriculum allows students to revisit a subject matter's content at the different levels of development of the subject being studied.

demonstrate, through more performance-based tasks, the higher-order critical-thinking skills needed for success in higher education and the world of work. We will also vertically scale our assessments to facilitate value-added analysis – providing educators and administrators with information crucial for strengthening our teaching and principal corps.

As part of their recent actions, the Regents approved the Department’s participation as a governing state in the Partnership for Assessment, a consortium of 27 states that will develop summative assessments aligned to the Common Core Standards. The Chancellor of the New York State Board of Regents also authorized NYS Education Commissioner David Steiner to sign 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, subject to the NYS Board of Regents’ consideration of policy changes that are needed to implement the pilot.

In order to expand our curricular offerings to embrace the knowledge and skills students need in the 21st century, New York will develop curricula and assessments in the Arts, Economics, and Multimedia/Computer Technology. We will also prepare more students for advanced study and careers in the sciences, technology, engineering, and mathematics (STEM) by ensuring our students are equipped for higher level mathematics and science work through the design and implementation of a blended Grades 3-8 science testing program. This program will integrate computer-based assessment and take advantage of advances in computer technology to stage lab simulations, conduct data analysis, and test scientific hypotheses.

To support our educators in using the new standards, curricula, and assessments, NYSED will leverage our vast statewide professional development network which includes our 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 institutions of higher education (IHEs), and contracted service providers. Educators will be provided with comprehensive on-going professional development opportunities with particular emphasis on supporting our English language learners and students with disabilities.

▶ **DEVELOP A STATEWIDE, COMPREHENSIVE INSTRUCTIONAL REPORTING AND IMPROVEMENT SYSTEM AVAILABLE TO ALL STAKEHOLDERS THROUGH AN EDUCATION DATA PORTAL; HELP EDUCATORS USE THE DATA TO IMPROVE INSTRUCTION AND EDUCATIONAL RESEARCH AND POLICY**

To ensure that good teaching, effective school leadership, and thoughtful policy making are informed by accurate, actionable, and interconnected data, New York State will use RTTT funding to develop a statewide Education Data Portal that will provide all stakeholders with customized access to data and a uniform, comprehensive statewide instructional reporting and improvement system. The Data Portal will be a networking platform and information repository for dashboard reports and other customized resources so that diverse stakeholders – including educators, parents, students, policy leaders, researchers, and the media – can access and analyze educational data, make decisions, and take actions to improve outcomes for New York’s students. The statewide instructional reporting and improvement system will leverage the best of such systems already in use in New York State and provide both standard and customized, real-time reports (for formative, interim, and summative data) and analysis to teachers, school officials, boards, parents, researchers, and State education policy makers. The expanded data system will also use student performance data to help measure the effectiveness of educators and the educational programs that prepare them. Our system blueprint ensures that these new tools will be used to improve instruction through integrated, ongoing professional development. Educators will use the instructional reporting and improvement system to analyze data and then, once student needs are identified, to take appropriate, research-driven actions to improve student achievement and/or school climate.

▶ **ENSURE EFFECTIVE TEACHERS AND PRINCIPALS IN EVERY CLASSROOM AND SCHOOL**

Based on the Regents recent policy actions and the new State law on teacher and principal evaluation systems, New York has taken a significant step towards increasing the effectiveness of teachers and leaders. Working with districts, unions, higher education partners, and other stakeholders, New York will develop statewide measures of effectiveness using growth in student achievement as a significant factor and as part of multiple measures, to evaluate teachers, principals, LEAs and teacher preparation programs. Based on

Chapter 103 of the Laws of 2010, New York State will differentiate teacher and principal effectiveness using four rating categories – Highly Effective, Effective, Developing, and Ineffective – consistent with explicit minimum and maximum scoring ranges for each category, which will be proposed by the Commissioner for Regents approval. The State will also launch an incentive fund to encourage LEAs and their union partners to implement supplemental compensation for highly effective teachers and principals who engage in activities such as mentoring colleagues and leading professional development. We will incorporate the equitable distribution of effective teachers into the Department’s district report cards and accountability system. In addition, we will establish a Transfer Fund to provide targeted financial incentives to bring highly effective teachers and principals into our neediest schools and an incentive program to attract and retain effective teachers of STEM and other high-need subjects in the State’s high-need middle schools and high schools.

To ensure that we have effective leaders in our schools, New York will pilot new, non-traditional leader preparation programs similar to those planned for preparing teachers. We are developing a school leader evaluation that is focused on strengthening student performance, incorporating student achievement data and feedback from multiple sources, and aligning professional growth with areas that need improvement. We will also build on the best practices of our “Leadership Academies” to expand this program across the State, ensuring that our five largest city school districts and LEAs throughout the State have access to the highest quality professional development for school leaders.

New York will also redesign its system for training and certifying teachers and school leaders. Educators will be certified on the basis of new performance-based assessments that will include a measure of their ability to raise the academic achievement of all students who make up the rich diversity of our State’s student population. The State will develop more extensive and better-supervised clinical experiences for student-teachers and aspiring principals with a focus on serving the needs of students in the performance gap in high need schools, English language learners, and students with disabilities. We will use the best learning technologies and ensure that the next generation teacher training programs use video as a tool both for demonstrating best practices and for providing aspiring teachers

with critical feedback from highly effective mentor teachers. We will encourage the proliferation of online teacher learning communities that will allow teachers to share knowledge and learn from each other anytime, anywhere.

NYSED will partner with higher education institutions as they redesign their teacher preparation programs to align with the Department's new standards and performance-based assessments for teacher certification. The Regents have instituted new policies to facilitate the development of alternative preparation pathways – aligned with the new standards and performance-based assessments – for teachers by institutions that are not colleges or universities, but do have a track record of raising the achievement of high need student populations. Based on rigorous selection and evaluation criteria, New York will work with these institutions - such as cultural institutions and high-performing school networks – to pilot teacher preparation programs. NYSED will also publish transparent data profiles for all institutions that prepare teachers and principals that focus on the performance of students their graduates have taught.

► **TURNAROUND OUR LOWEST PERFORMING SCHOOLS AND MAKE THEM HIGH PERFORMING**

The Governor, Chancellor, Board of Regents, and Commissioner wholly agree with the premise embedded in Race to the Top that we must generate real options to turn around our failing schools and bring in effective new models and partners. Districts with persistently lowest-achieving schools will be supported in district-wide planning processes to include a diagnostic assessment that promotes a system-wide approach to turning around the lowest-performing schools, not a disjointed school-by-school strategy. Districts with persistently low achieving schools will be given four options: (1) closure; (2) turnaround (in which they replace the principal and 50 percent or more of the staff); (3) restart (reopening with an external partner); or (4) transformation (in which they replace the principal and implement rigorous staff and school leader development and evaluation systems).

Research has shown that external lead partners can be a critical part of school turnaround work. New York State's education and legislative leaders recognized this by supporting Chapter 103 of the Laws of 2010, which authorizes boards of education (or the Chancellor in New York City), with the approval of the Commissioner, to contract with educational partnership organizations (EPOs)

for a term of up to five years to manage schools identified as a persistently lowest-achieving, or schools under registration review, for the purpose of turning the schools around. Under the new law, EPOs will assume the powers and duties of the superintendent of schools for the purposes of implementing the educational program of the school, including making recommendations to the board of education on matters of budgeting, staffing (including assignment, tenure, evaluation, discipline and termination), student discipline, and curriculum.

New York will encourage partnerships with institutions that have a demonstrated record of success in educational operations and management, including established education partnership organizations, charter management organizations, and our public higher education institutions – the State University of New York (SUNY), the nation’s largest comprehensive system of public higher education, offering programs at 64 campuses across the State, and the City University of New York (CUNY), the nation’s leading urban public university serving more than 480,000 students at 23 colleges and institutions in New York City – both of which are empowered with the statutory authority to operate schools directly (Education Law §§355[2][n], 2590-k). Notably, the New York City Department of Education is already preparing to enter into an agreement with SUNY for the management of low performing schools in Harlem, as part of a federal Investing in Innovation (“i3”) grant proposal.

► **SUPPORT AND EXPAND HIGHLY EFFECTIVE CHARTER SCHOOL MODELS AND CREATE STATEWIDE CONDITIONS FOR INNOVATION AND REFORM**

Recognizing the important role charter schools play in improving student achievement, in May 2010, Governor Paterson and the State legislature enacted Chapter 101 of the Laws of 2010. The new law raises New York State’s cap on start-up charter schools from 200 to 460, which is a “high” cap exceeding 10 percent of all public schools in the State. The legislation also supports the expansion of highly effective charter school models by establishing several new provisions to increase charter schools’ transparency and accountability, including:

- imposing higher ethics standards;
- authorizing audits by the State Comptroller;
- requiring regular, publicized meetings of governing boards;
- requiring that charter school annual reports and report cards be made publicly available;
- providing for uniform parent applications and lottery procedures; and
- requiring disclosure of efforts to meet enrollment and retention targets for students with disabilities, English language learners, and low-income students.

Chapter 101 of the Laws of 2010 also provides opportunities for the expansion of access to charter schools by establishing a new request for proposals process to allow the Board of Regents and SUNY Trustees to target new startup charter schools in regions of the State and toward student populations with the greatest need for a charter school opportunity. Additionally, the law promotes equal access to charter schools for students with disabilities, English language learners, and low-income students by requiring charter schools to set enrollment and retention targets for each student subgroup that must be comparable to those of the school district of location. Given the number of high-performing charter management organizations in New York State, the State is well-positioned as a result of Chapter 101 of the Laws of 2010 to leverage newly announced federal resources dedicated to the replication of effective charter models.

The continued expansion of charter schools in New York will build on the State's record of success. New York's existing charter school authorization process is among the strongest in the nation and New York City's charter schools have been heralded for verifiably outperforming their peer schools as found through a study by Stanford University economist Caroline Hoxby. Subsequently, a study by Stanford University's Center for Research on Education Outcomes (CREDO) found that the typical student in a New York City charter school learns more than his or her virtual counterpart in his or her feeder pool in reading and mathematics. (The composite virtual student is based on students in competitor traditional public schools, known as the charter school's feeder

pool.) Many of New York's 140 charter schools operate with the support of some of the country's highest performing charter management organizations (CMOs). CMOs such as KIPP³, Uncommon Schools, and Achievement First⁴ are beginning to demonstrate sustainable and scalable models that drive strong gains in student achievement.

New York's range of innovative educational options will be enhanced by the launch of a Partnership Zone model with Mass Insight.⁵ The Partnership Zone model builds on the successful collaborative school networks created with partners such as New Visions⁶ for Public Schools, one of the Bill and Melinda Gates Foundation's new small high school partners, and New York City's largest education reform partner, and The College Board.⁷ The state's initiative to turnaround 147 struggling schools will benefit from the additional capacity partner organizations will provide to LEAs.

³Starting in 2000, the non-profit KIPP Foundation began training prospective principals to replicate the success of the two original KIPP Academies in Houston and the South Bronx in New York City. There are currently 82 KIPP public schools in 19 states and the District of Columbia serving approximately 20,000 students. Across the KIPP network, most schools are charter schools. Many students begin KIPP in the fifth grade at least one grade level behind their peers in reading and math. After four years at KIPP, 100% of KIPP eighth grade classes outperformed their district averages in both math and reading/English Language Arts.

⁴Achievement First is a non-profit charter management organization with 7 charter schools in New York City. Their network includes 17 academies under nine charters in four cities nationwide. In New York City, Achievement First Crown Heights Elementary and Achievement First East New York Elementary fourth graders outperformed their New York City peers in math and English Language Arts proficiency by 19 percentage points and surpassed the State proficiency average by 14 percentage points.

⁵Mass Insight Education & Research Institute, founded in 1997, is non-profit that organizes public schools, higher education, business, and state government to significantly improve student achievement, with a focus on closing achievement gaps. Their Publication *Meeting the Turnaround Challenge* was internationally recognized and is now being implemented with a select group of states and districts including New York State.

⁶New Visions for Public Schools is a NYC based non-profit that has created over 139 new small schools. New Visions supports a network of 76 Schools. Their work includes all levels of education reform: from policy and advocacy to the creation of new, effective public schools and classrooms with rigorous instruction to developing new tools for teacher and leader development based on data driven decision making. Of the 139 New Small Schools New Visions created, initial graduation rates are 20% higher than the citywide average. In particular, Black and Latino students in New Visions' schools graduated at rates 20 percentage points higher than the citywide average for similar cohorts.

⁷The College Board is a not-for-profit membership association whose mission is to connect students to college success and opportunity. The College Board is composed of more than 5,700 schools, colleges, universities and other educational organizations. In September 2004, they initiated the creation of College Board

With RTTT funding, NYSED will support also the transformation of an additional 25 low-achieving schools through the creation of a State-level competitive Innovative Secondary Schools Model Incentive fund. Districts with schools that are in need of improvement, corrective action, or restructuring status will be eligible to compete for grant funds of one to two million dollars per school to implement innovative models, including partnerships with institutions of higher education, business, and industry in local communities, and other non-profit organizations. Funding will also be available to launch model schools and expanded learning opportunities that are centered on such themes as STEM, virtual/blended high schools, transfer schools, schools for the arts, career and technical schools, museum schools, and language acquisition schools. These funds will provide LEAs the resources to support, stimulate, and sustain customized pathways to successful high school completion and readiness for success in college and career.

To further expand the State's innovative educational models, New York State will implement new, Regents directed policies relating to online courses in our districts and our BOCES, add courses that are both rigorous and student-centered, and provide professional development and technical support that allows our teachers to be highly effective in a virtual environment. These coordinated activities will allow local school districts to address course makeup needs, advance opportunities for the acquisition of credit and provide equity in access to rigorous courses including Advanced Placement courses. Through a request for proposal (RFP) process, NYSED will establish technical assistance centers to assist LEAs with analyzing the technical learning environment in a building, as well as designing and delivering instruction in an online setting. As described further in Section F, the New York City DOE is already pursuing online initiatives and, in the fall of 2010, plans to launch the Innovation Zone ("iZone"). Schools that are part of the iZone will pilot a set of innovative online courses and blended schools models. A total of 84 schools serving over 13,000 students have been selected to participate in the iZone this coming school year. These efforts will result in innovative options for over-aged and under-credited students and other students disconnected from traditional schools as well as all learners who want to

Schools, laboratories of learning aimed at preparing underserved middle and high school students to get into college and graduate. The first two schools debuted in New York City's public school system.

participate in school “anytime, anywhere.” By 2014, we expect this approach to provide alternative pathways to completing graduation requirements and advanced courses of study for up to 20,000 students across the State who will have the opportunity to take online public school courses at no cost.

► **NEW YORK’S STEM INITIATIVES**

New York recognizes the need to strengthen the participation and advance the academic achievement of underrepresented groups and girls in STEM education and careers. To address this need, NYSED, in partnership with LEAs and charter schools, will implement the following strategies across the STEM initiatives included in the four RTTT assurance areas:

- Provide equitable access and opportunities for underrepresented groups and girls to engage in innovative and rigorous STEM curriculum at the elementary, middle, and secondary levels, especially in low-performing schools with high percentages of these underrepresented populations.
- Increase the number of qualified teachers in mathematics, science and technology, especially through ongoing professional development and alternative certification pathways. Increase the number of teachers in shortage areas through incentives.
- Build leadership opportunities and local capacity with districts and schools that emphasize the key role of teachers, administrators and guidance counselors in developing STEM course offerings and helping students, especially underrepresented groups and girls, to select and succeed in STEM courses.
- Develop partnerships with institutes of higher education to offer K-12 teachers and students opportunities to engage in STEM experiences through research and courses, and provide professional and student growth through peer support and face-to-face and virtual learning networks.
- Partner with business leaders and informal educational institutions in local communities, especially those with high concentrations of underrepresented groups, to build awareness of career pathways in STEM fields and develop and sustain the

schools’ capacity to acquire and implement student and teacher mentorships and internships that support relationships that spark meaningful encounters and create lasting impressions.

- Provide opportunities for peer study groups for both teachers and students that intersect different groups of students and include components of career exposure. Unite projects inside and outside of the school setting that reinforce working alongside scientists, mathematicians, and engineers who are women or from underrepresented groups.

OVERALL TIMELINE FOR IMPLEMENTATION OF NEW YORK’S RTTT EDUCATION REFORM AGENDA

MAJOR MILESTONE	TIMELINE
SECTION A	
Establish RTTT Performance Management Office	09/2010
SECTION B	
Regents adopt Common Core Standards	07/2010
Implement Common Core Standards in classrooms statewide	09/2011
Implement new formative and interim assessments	01/2012
Statewide curriculum models (aligned with the Common Core Standards) and companion professional development available to all LEAs	02/2012
Implement Common Core assessments from PARC consortium	05/2015
SECTION C	
Education Data Portal rolled out for all users	04/2012
Implement Early Warning Data System	09/2011
Statewide rollout of comprehensive instructional reporting and improvement system for all users	10/2012
SECTION D	
Regents adopt initial student growth model for measuring educator effectiveness	07/2011

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MAJOR MILESTONE	TIMELINE
Regents adopt value-added student growth model for measuring educator effectiveness	08/2012
Implement performance evaluations reflecting student growth for mathematics and English language arts teachers in grades 4-8 and principals of schools with grades 4-8	07/2011
Implement performance evaluations for all teachers and principals using State-developed value-added growth model	07/2013
Implement Innovative Compensation Incentive Fund (providing supplemental compensation to effective teachers)	10/2011
Implement Teacher and Principal Career Development Continuum (based on measures of effectiveness)	05/2012
Public reporting of teacher and principal evaluation data linked to preparation programs as part of a preparation program performance accountability system	06/2012
SECTION E	
First cohort of persistently lowest-achieving schools identified	January 2010
First cohort of persistently lowest-achieving schools begin model implementation	September 2010 and annually thereafter
Subsequent annual identification of persistently lowest-achieving schools	October 2010 and annually thereafter
Completion of annual evaluation report of intervention efforts by participating LEAs with persistently lowest achieving schools	March 2012 and annually thereafter

(A)(1)(ii) PARTICIPATING LEAs ARE STRONGLY COMMITTED TO THE STATE’S PLANS AND TO EFFECTIVE IMPLEMENTATION OF REFORM

The components of New York’s plan are designed to work together to create a comprehensive approach to improve teaching and learning; therefore participating LEAs’ strong commitment to implement all of the components is vital to producing broad statewide impact. To ensure the highest level of commitment and support from LEAs that elect to participate in our plan, New York’s MOU clarifies that participating LEAs must commit to implement **all** of the elements of the State’s reform plan. NYSED instructed LEAs that MOU submissions that include any language insertions, addenda (including any conditions on participation and/or implementation), comments, strikeouts or deletions **would not be approved**. As a result, by signing New York State’s MOU,

participating LEAs are demonstrating strong commitment to our reform agenda and a binding agreement to implement our RTTT plan (A copy of New York State’s Participating LEA Memorandum of Understanding (MOU) and Preliminary Scope of Work is included in Appendix A_1_ii_1 and A_1_ii_2, respectively. The Detailed Table of Participating LEAs is in Appendix A_1_ii_3).

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). 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 our LEAs, schools, and students, in order to reach the greatest number of high-needs students as quickly as possible our implementation plan prioritizes our 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 fully participating.

Because New York’s RTTT plan places particular emphasis on teacher and school leader effectiveness, support from our State’s teachers’ unions is critically important to the success of our implementation efforts. As described above and in Section D, the Department has worked in concert with its union partners in designing our great teachers and leaders reform plans and the newly-enacted legislation necessary to implement these plans. Based on this close partnership, our RTTT application received a tremendous show of support from our local teachers unions – 70.8% of local teachers union leaders from public school districts signing the MOUs.

Summary Table for (A)(1)(ii)(b)

Elements of State Reform Plans	Number of LEAs Participating (#)	Percentage of Total Participating LEAs (%)
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Elements of State Reform Plans	Number of LEAs Participating (#)	Percentage of Total Participating LEAs (%)
B. Standards and Assessments		
(B)(3) Supporting the transition to enhanced standards and high-quality assessments	744	100%
C. Data Systems to Support Instruction		
(C)(3) Using data to improve instruction:		
(i) Use of local instructional improvement systems	744	100%
(ii) Professional development on use of data	744	100%
(iii) Availability and accessibility of data to researchers	744	100%
D. Great Teachers and Leaders		
(D)(2) Improving teacher and principal effectiveness based on performance:		
(i) Measure student growth	744	100%
(ii) Design and implement evaluation systems	744	100%
(iii) Conduct annual evaluations	744	100%
(iv)(a) Use evaluations to inform professional development	744	100%
(iv)(b) Use evaluations to inform compensation, promotion and retention	744	100%
(iv)(c) Use evaluations to inform tenure and/or full certification	744	100%
(iv)(d) Use evaluations to inform removal	744	100%
(D)(3) Ensuring equitable distribution of effective teachers and principals:		
(i) High-poverty and/or high-minority schools	744	100%
(ii) Hard-to-staff subjects and specialty areas	744	100%
(D)(5) Providing effective support to teachers and principals:		
(i) Quality professional development	744	100%
(ii) Measure effectiveness of professional development	744	100%
E. Turning Around the Lowest-Achieving Schools		
(E)(2) Turning around the lowest-achieving schools	744	100%

Summary Table for (A)(1)(ii)(c)

Signatures acquired from participating LEAs:			
Number of Participating LEAs with all applicable signatures			
	Number of Signatures Obtained (#)	Number of Signatures Applicable (#)	Percentage (%) (Obtained / Applicable)
LEA Superintendent (or equivalent)	744	744	100%
President of Local School Board (or equivalent, if applicable)	637	744	85.6%
Local Teachers' Union Leader (if applicable)	454	641	70.8%

(A)(1)(iii) NEW YORK HAS SECURED THE SUPPORT OF PARTICIPATING LEAs THAT WILL ENSURE BROAD STATEWIDE IMPACT AND IMPLEMENTATION

The State's new legislation and the Regents' recent policy initiatives ensure that the reforms described in New York's application will be implemented statewide. With RTTT funding, New York State will be able to accelerate our existing plans to close of the achievement gap in New York State and lift overall student achievement above and beyond those gains expected without an award. We have 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. Without RTTT funding, New York's students will continue to make gains on state assessments. 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.

Our RTTT student achievement projections were developed by analyzing past patterns of performance across the indicators and creating assumptions about the "lift" that each of our RTTT initiatives would provide, particularly to target populations around, for example, school turnaround. (Since more of the target populations are in low-performing schools, the lift for those populations was

differentiated because of the differentiated strategies attached to those schools.) We attached growth targets that we thought were reasonable to achieve based on past trend analysis and expectations for a different trajectory that could be attributed to our RTTT strategy.

However, the effects of the RTTT-based reforms on student performance will be seen starting immediately in the 2010-11 school year. As the State's projects are developed and rolled out, as districts and their partners intervene in struggling schools, and as our students experience more years with better prepared and developed teachers and curricula, New York State's students will increasingly experience the greatest benefits from the Race to the Top award, and the incremental gains to student achievement will accelerate.

Targets for the National Assessment of Educational Progress (NAEP)

As indicated in the tables below, the State targets 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 (4 percent without the grant). We project that priority subgroups will increase on a faster trajectory of 8-10 percentage points over four years (contrast with 3-5 percent without RTTT funding).

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NAEP Targets By Subject and Subgroup, 2011 and 2013: Grade 4 Reading Percent Proficient

	Latest Score	Baseline (Without Grant) Targets		Race to the Top Grant Targets	
	2007	2011	2013	2011	2013
Black or African American	17%	20%	22%	24%	29%
Hispanic or Latino	18%	19%	20%	24%	30%
Students with Disabilities	8%	10%	11%	15%	20%
English Language Learners	5%	6%	6%	12%	18%
Economically Disadvantaged	20%	21%	22%	26%	32%
Female	39%	41%	42%	45%	49%
Male	33%	35%	36%	39%	43%
All Students	36%	38%	39%	42%	46%

NAEP Targets By Subject and Subgroup, 2011 and 2013: Grade 4 Math Percent Proficient

	Latest Score	Baseline (Without Grant) Targets		Race to the Top Grant Targets	
	2009	2011	2013	2011	2013
Black or African American	19%	21%	23%	23%	29%
Hispanic or Latino	25%	27%	29%	30%	35%
Students with Disabilities	13%	14%	16%	17%	23%
English Language Learners	13%	15%	17%	17%	23%
Economically Disadvantaged	28%	31%	34%	32%	38%
Female	37%	39%	41%	40%	46%
Male	43%	45%	47%	46%	51%
All Students	40%	42%	44%	43%	48%

note: numbers may not add due to decimal rounding

New York State: Race to the Top: Selection Criteria and Competition Priorities

As indicated in the tables below, New York State targets 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). We believe priority subgroups will rise on a faster trajectory of 8-10 percentage points over four years.

NAEP Targets By Subject and Subgroup, 2011 and 2013: Grade 8 Reading Percent Proficient

	Latest Score	Baseline (Without Grant) Targets		Race to the Top Grant Targets	
	2007	2011	2013	2011	2013
Black or African American	14%	14%	15%	19%	25%
Hispanic or Latino	16%	17%	17%	21%	27%
Students with Disabilities	9%	10%	10%	15%	21%
English Language Learners	1%	1%	2%	8%	13%
Economically Disadvantaged	19%	19%	20%	24%	29%
Female	38%	39%	39%	42%	46%
Male	26%	27%	27%	30%	34%
All Students	32%	33%	33%	36%	40%

NAEP Targets By Subject and Subgroup, 2011 and 2013: Grade 8 Math Percent Proficient

	Latest Score	Baseline (Without Grant) Targets		Race to the Top Grant Targets	
	2009	2011	2013	2011	2013
Black or African American	13%	14%	15%	17%	23%
Hispanic or Latino	15%	16%	17%	19%	25%
Students with Disabilities	10%	12%	13%	14%	20%
English Language Learners	5%	5%	6%	11%	15%
Economically Disadvantaged	22%	22%	23%	26%	32%
Female	32%	33%	33%	35%	40%
Male	36%	37%	37%	39%	44%
All Students	34%	35%	35%	37%	42%

note: numbers may not add due to decimal rounding

Note: NAEP exclusion and accommodations data and policy are included in Appendix A_1_iii_1.

Targets for State Assessments

For State exams, we set target *gains*, as opposed to target *achievement levels*, anticipating the Regents announced plan to adopt more rigorous standards and cut points for State assessments (please refer to Section B).

On Grade 4 English language arts, the statewide target is an 11 percentage-point gain over five years. This represents an incremental 4 percentage point gain over baseline targets (should New York State not get the RTTT grant). While in the last three years the State has seen an 8 percent increase, less aggressive gains are expected as the State moves to new assessments and changes cut points. Priority subgroups are expected to experience higher gains, since these groups will benefit most from our planned reforms. For example, we

target a 15 percentage point gain for African Americans (5 points above baseline), and a 12 percentage point gain for students with disabilities (7 points above baseline), as indicated in the table below.

2009–2014 State Assessment Percentage Gain Targets (Baseline and Goal): Grade 4 ELA Overall and By Subgroup

4th Grade ELA Assessment: Baseline (Without Grant) Targets							
	Percent Proficient 2008-09	Gains 2009-10	Gains 2010-11	Gains 2011-12	Gains 2012-13	Gains 2013-14	Cumulative Gain
Black or African American	65%	2%	2%	2%	2%	1%	10%
Hispanic or Latino	65%	2%	2%	2%	2%	1%	10%
Students with Disabilities	38%	1%	1%	1%	1%	1%	5%
English Language Learners	41%	2%	2%	2%	2%	1%	9%
Economically Disadvantaged	67%	2%	2%	2%	2%	1%	10%
All Students	77%	1%	2%	1%	1%	1%	7%

4th Grade ELA Assessment: Race to the Top Grant Targets							
	Percent Proficient 2008-09	Gains 2009-10	Gains 2010-11	Gains 2011-12	Gains 2012-13	Gains 2013-14	Cumulative Gain
Black or African American	65%	2%	2%	3%	4%	4%	15%
Hispanic or Latino	65%	2%	2%	3%	4%	4%	15%
Students with Disabilities	38%	1%	1%	3%	3%	3%	12%
English Language Learners	41%	2%	2%	3%	3%	3%	13%
Economically Disadvantaged	67%	2%	3%	4%	4%	3%	15%
All Students	77%	1%	2%	2%	3%	2%	11%

Note: numbers may not add due to decimal rounding.

On Grade 4 Math, the statewide target is an eight percentage point gain over five years. This represents an incremental 3 percentage-point gain over baseline targets (should New York State not get the grant). Again, while in the last three years the State has experienced a 9 percent increase, less aggressive net gains are expected as the State moves to new assessments and changes cut points. Priority subgroups will experience higher gains, reflecting the targeted investments included for those groups through the Race to the Top funding. For example, we target a 12 percentage point gain for Hispanics (three percent above baseline), and a 12 percentage point gain for English Language Learners (5 percent above baseline), narrowing the achievement gap. (See tables below.)

2009–2014 State Assessment Percentage Gain Targets (Baseline and Goal): 4th Grade Math Overall and By Subgroup

4th Grade Math Assessment: Baseline (Without Grant) Targets							
	Percent Proficient 2008-09	Gains 2009-10	Gains 2010-11	Gains 2011-12	Gains 2012-13	Gains 2013-14	Cumulative Gain
Black or African American	78%	2%	2%	2%	2%	1%	9%
Hispanic or Latino	82%	1%	2%	2%	2%	1%	9%
Students with Disabilities	61%	1%	1%	1%	1%	1%	4%
English Language Learners	71%	2%	2%	2%	1%	1%	7%
Economically Disadvantaged	82%	1%	2%	2%	2%	1%	9%
All Students	87%	2%	1%	1%	1%	0%	5%

4th Grade Math Assessment: Race to the Top Grant Targets							
	Percent Proficient 2008-09	Gains 2009-10	Gains 2010-11	Gains 2011-12	Gains 2012-13	Gains 2013-14	Cumulative Gain
Black or African American	78%	2%	2%	3%	3%	2%	13%
Hispanic or Latino	82%	1%	2%	3%	3%	2%	12%
Students with Disabilities	61%	1%	1%	2%	3%	2%	10%
English Language Learners	71%	2%	2%	3%	3%	2%	12%
Economically Disadvantaged	82%	1%	2%	3%	3%	2%	12%
All Students	87%	2%	1%	2%	2%	1%	8%

note: numbers may not add due to decimal rounding

New York State has also set ambitious targets for proficiency in science. Given the investment the State is making to improve teaching and learning in the STEM subjects, science proficiency levels are expected to increase commensurate with gains in math, as described above, especially given the comparability of baseline achievement levels. Targets for Grade 4 Science are shown below.

2009–2014 State Assessment Percentage Gain Targets (Baseline and Goal): 4th Grade Science Overall and By Subgroup

4th Grade Science Assessment: Baseline (Without Grant) Targets							
	Percent Proficient 2008-09	Gains 2009-10	Gains 2010-11	Gains 2011-12	Gains 2012-13	Gains 2013-14	Cumulative Gain
Black or African American	79%	2%	2%	2%	2%	1%	9%
Hispanic or Latino	79%	1%	2%	2%	2%	1%	9%
Students with Disabilities	69%	1%	1%	1%	1%	1%	4%
English Language Learners	63%	2%	2%	2%	1%	1%	7%
Economically Disadvantaged	81%	1%	2%	2%	2%	1%	9%
All Students	88%	2%	1%	1%	1%	0%	5%

4th Grade Science Assessment: Race to the Top Grant Targets							
	Percent Proficient 2008-09	Gains 2009-10	Gains 2010-11	Gains 2011-12	Gains 2012-13	Gains 2013-14	Cumulative Gain
Black or African American	79%	2%	2%	3%	3%	2%	13%
Hispanic or Latino	79%	1%	2%	3%	3%	2%	12%
Students with Disabilities	69%	1%	1%	2%	3%	2%	10%
English Language Learners	63%	2%	2%	3%	3%	2%	12%
Economically Disadvantaged	81%	1%	2%	3%	3%	2%	12%
All Students	88%	2%	1%	2%	2%	1%	8%

note: numbers may not add due to decimal rounding

As indicated in the tables below, in Grade 8 English language arts, the statewide target is a 13 percentage-point gain over five years. This represents an incremental 4 percentage-point gain over baseline targets (should New York State not get a Race to the Top grant). Previously, the State has experienced a 20 percentage-point increase over three years. Priority subgroups will experience higher gains. In particular, we believe measures like curricula that include strategies for teaching English language learners and improvements in teacher preparation programs to prepare teachers to teach in urban environments will assist our English language learner population in achieving a 20 percentage point gain over five years (9 percent above baseline).

2009–2014 State Assessment Percentage Gain Targets (Baseline and Goal): 8th Grade ELA Overall and By Subgroup

8th Grade ELA Assessment: Baseline (Without Grant) Targets							
	Percent Proficient 2008-09	Gains 2009-10	Gains 2010-11	Gains 2011-12	Gains 2012-13	Gains 2013-14	Cumulative Gain
Black or African American	52%	3%	3%	2%	2%	2%	12%
Hispanic or Latino	53%	3%	3%	2%	2%	2%	12%
Students with Disabilities	25%	2%	2%	1%	1%	1%	8%
English Language Learners	13%	3%	3%	2%	2%	1%	11%
Economically Disadvantaged	54%	3%	3%	2%	2%	2%	12%
All Students	69%	2%	2%	2%	2%	1%	9%

8th Grade ELA Assessment: Race to the Top Grant Targets							
	Percent Proficient 2008-09	Gains 2009-10	Gains 2010-11	Gains 2011-12	Gains 2012-13	Gains 2013-14	Cumulative Gain
Black or African American	52%	3%	3%	4%	4%	3%	18%
Hispanic or Latino	53%	3%	3%	4%	4%	4%	19%
Students with Disabilities	25%	2%	3%	3%	4%	3%	17%
English Language Learners	13%	3%	4%	4%	5%	4%	20%
Economically Disadvantaged	54%	3%	3%	3%	4%	3%	17%
All Students	69%	2%	2%	3%	3%	2%	13%

note: numbers may not add due to decimal rounding

In Grade 8 Math (please see tables below), the statewide target is a 12 percentage point gain over five years. This represents an incremental 3 percentage-point gain over baseline targets (should New York State not get the grant). Previously, the State has experienced a 26 percentage-point increase over three years – a rate we do not believe is sustainable in light of changing assessments and more rigorous cut points. Priority subgroups will experience higher gains. We target achieving 15-18 percentage points for our priority subgroups (in contrast to 8-12 percentage point gains, should New York not receive the grant). These gains translate into a ~5-8 percentage point decrease in the achievement gap.

New York State: Race to the Top: Selection Criteria and Competition Priorities

2009–2014 State Assessment Percentage Gain Targets (Baseline and Goal): 8th Grade Math Overall and By Subgroup

8th Grade Math Assessment: Baseline (Without Grant) Targets							
	Percent Proficient 2008-09	Gains 2009-10	Gains 2010-11	Gains 2011-12	Gains 2012-13	Gains 2013-14	Cumulative Gain
Black or African American	63%	3%	3%	2%	2%	2%	12%
Hispanic or Latino	69%	3%	3%	2%	2%	2%	12%
Students with Disabilities	46%	2%	2%	1%	1%	1%	8%
English Language Learners	53%	3%	3%	2%	2%	1%	11%
Economically Disadvantaged	71%	3%	3%	2%	2%	2%	12%
All Students	80%	2%	2%	2%	2%	1%	9%

8th Grade Math Assessment: Race to the Top Grant Targets							
	Percent Proficient 2008-09	Gains 2009-10	Gains 2010-11	Gains 2011-12	Gains 2012-13	Gains 2013-14	Cumulative Gain
Black or African American	63%	3%	3%	4%	4%	3%	18%
Hispanic or Latino	69%	3%	3%	3%	4%	3%	16%
Students with Disabilities	46%	2%	3%	3%	4%	3%	15%
English Language Learners	53%	3%	3%	4%	4%	3%	16%
Economically Disadvantaged	71%	3%	3%	3%	4%	3%	16%
All Students	80%	2%	2%	3%	3%	3%	12%

note: numbers may not add due to decimal rounding

New York State will set ambitious goals for proficiency in science. Given the investment the State is making to improve teaching and learning in the STEM subjects, science proficiency levels are expected to increase commensurate with gains in math, as described above, especially given the comparability of baseline achievement levels. Targets for Grade 8 Science are shown below.

2009–2014 State Assessment Percentage Gain Targets (Baseline and Goal): 8th Grade Science Overall and By Subgroup

8th Grade Science Assessment: Baseline (Without Grant) Targets							
	Percent Proficient 2008-09	Gains 2009-10	Gains 2010-11	Gains 2011-12	Gains 2012-13	Gains 2013-14	Cumulative Gain
Black or African American	45%	3%	3%	2%	2%	2%	12%
Hispanic or Latino	49%	3%	3%	2%	2%	2%	12%
Students with Disabilities	38%	2%	2%	1%	1%	1%	8%
English Language Learners	22%	3%	3%	2%	2%	1%	11%
Economically Disadvantaged	53%	3%	3%	2%	2%	2%	12%
All Students	68%	2%	2%	2%	2%	1%	9%

8th Grade Science Assessment: Race to the Top Grant Targets							
	Percent Proficient 2008-09	Gains 2009-10	Gains 2010-11	Gains 2011-12	Gains 2012-13	Gains 2013-14	Cumulative Gain
Black or African American	45%	3%	3%	4%	4%	3%	18%
Hispanic or Latino	49%	3%	3%	3%	4%	3%	16%
Students with Disabilities	38%	2%	3%	3%	4%	3%	15%
English Language Learners	22%	3%	3%	4%	4%	3%	16%
Economically Disadvantaged	53%	3%	3%	3%	4%	3%	16%
All Students	68%	2%	2%	3%	3%	3%	12%

note: numbers may not add due to decimal rounding.

Goals for performance statewide on secondary-level Regents Examinations target similarly ambitious gains for math and ELA, as well as science. The target high school exam gains illustrated in the table below reflect the same progress toward proficiency as the Grade 8 goals above, while reflecting the differences in baseline student achievement levels.

2009–2014 State Assessment Percentage Gain Targets (Baseline and Goal): Regents Exams Overall

	Regents Examinations: Baseline (<u>Without Grant</u>) Targets						
	Percent at or above 65 2008-09	Gains 2009-10	Gains 2010-11	Gains 2011-12	Gains 2012-13	Gains 2013-14	Cumulative Gain
Comprehensive English	82%	1%	1%	1%	1%	1%	5%
Integrated Algebra	72%	3%	3%	3%	3%	1%	13%
Living Environment	80%	1%	1%	1%	1%	1%	6%

	Regents Examinations: <u>Race to the Top Grant</u> Targets						
	Percent at or above 65 2008-09	Gains 2009-10	Gains 2010-11	Gains 2011-12	Gains 2012-13	Gains 2013-14	Cumulative Gain
Comprehensive English	82%	1%	1%	2%	2%	2%	8%
Integrated Algebra	72%	3%	3%	3%	4%	4%	17%
Living Environment	80%	1%	1%	1%	2%	2%	8%

note: numbers may not add due to decimal rounding.

New York State’s Race to the Top strategy will make possible immediate and long-term increases in successful, college-ready high school completion. In addition to setting statewide graduation targets, the State has also set ambitious targets for indicators of post-secondary success.

Graduation requirements in New York will increase through 2012 due to a policy phase-in requiring higher scores on the exit exams.⁸ It is within this ever more demanding context that we target a 76 percent graduation rate by 2013-14 in the State of New York (an

⁸ 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 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.

incremental three percentage points above the target should New York not win funds). As the table below illustrates, with the Race to the Top grant, the increase in graduation rate of 4.5 percent will be more than three times the otherwise anticipated gain of 1.3 percent. The spread between the goal and the baseline increases during the last years of the grant, not only because those students will benefit from a more mature set of RTTT reforms, but also because they will benefit from these initiatives as early as their freshman year of high school, a critical year in preparing a student for success.

Placing emphasis on reforms that enable students to succeed in high school, in college, and in their careers, New York State has set post-secondary targets for college enrollment and college persistence rates to rise in tandem with high school graduation rates. The State has set targets to reflect increases in the percent both of students who graduate and those who enroll in college. Likewise, college persistence targets increase with graduation and enrollment rates, resulting in a marked increase in the percent of overall students who enroll and persist in post-secondary studies. An 8.3 percent gain in the college enrollment rate and 4.3 percent gain in the college persistence rate (both nearly three times baseline gains) are anticipated.

New York State has also set a target for the percentage of secondary-level ELA and Math Regents exams passed with a score at or above 75. This higher standard of achievement is recognized by one of the State’s two public institutions of higher education, the City University of New York (CUNY), as predictive of college readiness. Specifically, CUNY requires remediation for matriculated students who do not meet this achievement bar, despite successfully meeting other high school graduation standards.

Graduation Rate, College Enrollment and College Persistence Rate Targets, 2010-2011 Through 2013-2014

	Actual Data: Baseline	2010-11	2011-12	2012-13	2013-14	5-Year Gain
Graduation rate: Four-year cohort high school graduation rate						
Goal	71% (07-08)	72%	72%	74%	76%	4.5%
Baseline	71% (07-08)	72%	71%	72%	73%	1.3%
College enrollment rate: Enrollment of HS <i>graduates</i> in an institution of higher education within 16 months of graduation						
Goal	80% (06-07)	81%	84%	86%	88%	8.3%
Baseline	80% (06-07)	81%	82%	83%	83%	3.1%
College persistence rate: Percent of students returning in the fall <i>who started a first-time, full-time program the year prior</i>						

New York State: Race to the Top: Selection Criteria and Competition Priorities

Goal	72% (07-08)	73%	74%	75%	76%	4.3%
Baseline	72% (07-08)	73%	74%	74%	74%	1.6%
College readiness: Percent of students scoring at or above 75 on Regents Exams						
<i>Secondary-level mathematics</i>						
Goal	60 % (05-06)	66%	69%	73%	77%	17%
Baseline	60 % (05-06)	65%	67%	70%	73%	13%
<i>Secondary-level ELA</i>						
Goal	61% (05-06)	66%	68%	71%	74%	8%
Baseline	61% (05-06)	64%	66%	68%	70%	5%

Note: Graduation requirements in New York will increase through 2012 due to a policy phase-in requiring higher scores on the exit exam. It is within this context that we target a 76% graduation rate by 2013-14 in the State of New York.

Summary Table for (A)(1)(iii)

	Participating LEAs (#)	Statewide (#)	Percentage of Total Statewide (%) (Participating LEAs / Statewide)
LEAs	744	866	85.9%
Schools	4,422	4,677	95.5%
K-12 Students	2,572,584	2,690,546	95.6%
Students in poverty	1,223,256	1,245,392	98.2%
Of the 695 public school districts in New York, 90.6% are participating LEAs for the purposes of Race to the Top.			

(A)(2) Building strong statewide capacity to implement, scale up and sustain proposed plans (30 points)

The extent to which the State has a high-quality overall plan to—

(i) Ensure that it has the capacity required to implement its proposed plans by— (20 points)

- (a) Providing strong leadership and dedicated teams to implement the statewide education reform plans the State has proposed;
 - (b) Supporting participating LEAs (as defined in this notice) in successfully implementing the education reform plans the State has proposed, through such activities as identifying promising practices, evaluating these practices' effectiveness, ceasing ineffective practices, widely disseminating and replicating the effective practices statewide, holding participating LEAs (as defined in this notice) accountable for progress and performance, and intervening where necessary;
 - (c) Providing effective and efficient operations and processes for implementing its Race to the Top grant in such areas as grant administration and oversight, budget reporting and monitoring, performance measure tracking and reporting, and fund disbursement;
 - (d) Using the funds for this grant, as described in the State's budget and accompanying budget narrative, to accomplish the State's plans and meet its targets, including where feasible, by coordinating, reallocating, or repurposing education funds from other federal, State, and local sources so that they align with the State's Race to the Top goals; and
 - (e) Using the fiscal, political, and human capital resources of the State to continue, after the period of funding has ended, those reforms funded under the grant for which there is evidence of success; and
- (ii) Use support from a broad group of stakeholders to better implement its plans, as evidenced by the strength of the statements or actions of support from— *(10 points)*
- (a) The State's teachers and principals, which include the State's teachers' unions or statewide teacher associations; and
 - (b) Other critical stakeholders, such as the State's legislative leadership; charter school authorizers and State charter school membership associations (if applicable); other State and local leaders (*e.g.*, business, community, civil rights, and education association leaders); Tribal schools; parent, student, and community organizations (*e.g.*, parent-teacher associations, nonprofit organizations, local education foundations, and community-based organizations); and institutions of higher education.

In the text box below, the State shall describe its current status in meeting the criterion. The narrative or attachments shall also include, at a minimum, the evidence listed below, and how each piece of evidence demonstrates the State's success in meeting the criterion. The narrative and attachments may also include any additional information the State believes will be helpful to peer reviewers. The State's response to (A)(2)(i)(d) will be addressed in the budget section (Section VIII of the application). Attachments,

such as letters of support or commitment, should be summarized in the text box below and organized with a summary table in the Appendix. For attachments included in the Appendix, note in the narrative the location where the attachments can be found.

Evidence for (A)(2)(i)(d):

- The State's budget, as completed in Section VIII of the application. The narrative that accompanies and explains the budget and how it connects to the State's plan, as completed in Section VIII of the application.

Evidence for (A)(2)(ii):

- A summary in the narrative of the statements or actions and inclusion of key statements or actions in the Appendix.

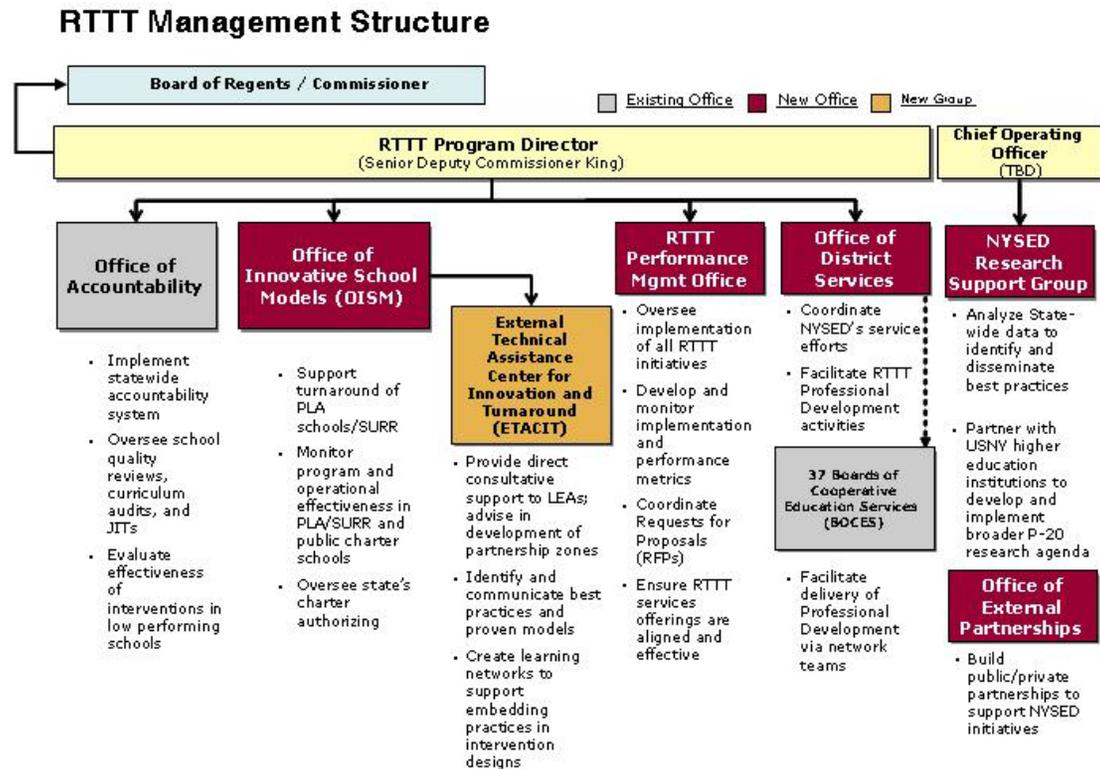
Recommended maximum response length: Five pages (excluding budget and budget narrative)

(A)(2)(i)(a) & (b) – NEW YORK STATE HAS THE STRONG, COMMITTED LEADERSHIP AND STATEWIDE SUPPORT NEEDED TO SUCCESSFULLY IMPLEMENT ITS RTTT PLAN

New York is fortunate to have three of the nation's most passionate and effective education reformers at the helm of the State's education system, providing the leadership needed to effectively implement our reform plans. Merryl Tisch, Board of Regents Chancellor since April, 2009, is a former first-grade teacher and has been a member of the Board of Regents since 1996. Working closely with the Chancellor is the State's new 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. Drs. Steiner and King have nationally renowned track-records of leading path-breaking innovations in education; innovations that have been proven to drive increases in student achievement and that are now core components of New York's RTTT plan. (Please see Appendix A_2_i_1 for biographies of these leaders.)

Within weeks of their appointments, Drs. Steiner and King presented the Board of Regents with their vision for education in New York State, fully aligned with and in service of the Regents' RTTT plans. The Commissioner and Senior Deputy envisioned a redesigned and streamlined State Education Department, as shown in Exhibit A, focused on serving the needs of LEAs while

building the capacity to implement the State’s RTTT plans. Since January 2010, they have launched several critical new functions: the Office of District Services to coordinate the provision of services and professional development offerings for LEAs in partnership with our BOCES, which have been critical partners in implementing our current standards and assessments; the Office of Innovative School Models (OISM) to help create optimal policy and operating conditions for dramatic school interventions within the State; a new research unit to identify promising practices and scalable innovations; and the Office of External Partnerships, to build the State’s capacity to develop public-private partnerships. Once funding is awarded, two additional structures will be created: a dedicated RTTT Performance Management Office to oversee the implementation of the State’s RTTT plans; and a specialized team of experts focused on assisting districts with their school turnaround efforts (ETACIT). These offices are described in more detail in the following paragraphs.



NYSED Redesign

Since early 2010, the Commissioner and Senior Deputy have begun to redesign 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

LEAs to achieve maximum outputs. NYSED is also developing its capacity to accurately evaluate the effectiveness of districts and charter schools and diagnose their strengths and weaknesses in key areas. Several state structures and processes have already been streamlined as follows:

- The Office of Special Education has merged with P-12 Education under Senior Deputy King to that ensure the needs of students with disabilities are integrated in all policies developed by the various offices of NYSED;
- The Office of Accountability has been restructured and is now led by an Assistant Commissioner, an elevated leadership position, and;
- Three offices will be combined under a new Deputy Commissioner – the offices of Workforce Development, Adult Education, and Vocational Rehabilitation - to ensure alignment and continuity between these services.

As noted above, 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 our 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.) New York's RTTT implementation plan strives to build cohesiveness across the four assurances and is based on three structural pillars: administration and coordination; content expertise; and teaching and instructional support. Overall administration and coordination will be performed by the RTTT Performance Management Office and Office of District Services. Content expertise will be provided by external partners and supported by NYSED's content offices. Teaching and instructional support will be provided by our statewide professional development network (described in the following pages in further detail). Additionally, as detailed in Section C, we will launch the Education Data Portal, an online platform offering rich instructional resources including lesson plans and videos of effective teaching. It will provide an online space for teachers to collaborate using social networking tools and will link to the State's instructional

reporting and improvement system while also providing access to virtual learning opportunities available to the public 24 hours a day, 7 days a week.

RTTT Performance Management Office

With an RTTT award, 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. It will supervise the development of project work plans and timelines; coordinate cross-project alignment; create supporting documentation; and monitor project performance metrics. The office will also ensure that quality-assurance methods are in place throughout implementation. Additionally, the office will compile data needed to track participating LEAs' progress in implementing the RTTT reforms to facilitate the provision of interventions and supports where necessary.

The RTTT Performance Management office will coordinate dedicated RTTT project teams, each overseen by a senior NYSED staff member who has the functional expertise to manage the implementation of our specific plans. The project teams will develop work plans and timelines as well as support the development of RFPs to augment the State's capacity where appropriate. The RTTT Performance Management Office will coordinate and align the work of the project teams and contracted external service providers to ensure that all support provided to LEAs is coherently disseminated through the Office of District Services, as described below.

Office of District Services

Former school district superintendent Ken Slentz was appointed in January 2010 to the position of Associate Commissioner of District Services to coordinate NYSED's efforts to move to a more service-oriented relationship with the State's LEAs. Mr. Slentz brings 16 years of experience in public and private P-12 education, most recently as the Superintendent of Schools in the West Canada Valley School District in New York. District Services will serve as the main point of contact for all LEA and BOCES RTTT initiatives and

will oversee and coordinate RTTT-related professional development and support in four main areas: enhanced standards, curricula, and redesigned assessments; the use of data to improve instruction; revised professional standards; and evaluations for teachers and principals. District Services will also coordinate the principal leadership academies and the State's virtual learning initiative.

District Services will work closely with the State's BOCES District Superintendents and the leadership of our Big 5 city school districts to ensure that services and offerings are coherently aligned and complementary; consistent in format, where applicable; and accessible through the Education Data Portal. Our RTTT budget includes funding for three program managers for this office to manage communications and logistics. NYSED is also pursuing private funds to enable this office to develop a modern call and online resource center to provide sophisticated real-time support and technical assistance to our BOCES and LEAs.

Office of Innovative School Models (OISM)

The newly created Office of Innovative School Models (OISM), which opened in February 2010, will oversee the State's school turnaround efforts and charter school authorizing. Led by newly appointed Executive Director Sally Bachofer, OISM works 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. As described in Section E, OISM engages with schools when they are identified as persistently-lowest achieving or as schools under registration review (SURR) and aggressively intervenes to coordinate turnaround efforts. OISM will be responsible for the performance management of this group of identified schools; will set performance plans for student academic performance and school operational performance; and will conduct school reviews. The office also oversees the State's charter authorizing work and will administer our State-level Innovative Secondary Schools Model Incentive fund program and coordinate the State's work with Mass Insight. In addition, RFPs to develop ETACIT (described below), and virtual and blended schools will be created and managed by OISM. Ms. Bachofer brings deep experience in both education administration and charter school

development. Prior to her appointment with NYSED, she served as the Director of Knowledge at the National Association of Charter School Authorizers.

OISM will also coordinate with *Mass Insight* to replicate their successful Partnership Zone model for turning around low-performing schools. (New York State is one of a handful of states selected to partner with Mass Insight, a MA-based non-profit organization focused on helping states turn around their lowest performing schools.) OISM will also be responsible for annually evaluating the efficacy of each participating LEA and school in meeting the conditions of the school's performance contract and providing additional supports (through ETACIT) where necessary. If more involvement is deemed necessary, OISM would partner with the Office of Accountability to facilitate further intervention

External Technical Assistance Center for Innovation and Turnaround (ETACIT)

New York will create ETACIT through a Request for Proposal to garner national expertise to support our LEAs in turning around their persistently lowest-achieving schools. ETACIT will be developed and managed by the Office of Innovative School Models, in close coordination with the RTTT Performance Management Office. ETACIT will build LEA capacity to support their lowest-achieving schools and implement one of the four RTTT turnaround models.

With support from ETACIT, each LEA will be able to select an educational partnership organization skilled in turnaround, called an Intervention Partner, to provide support throughout the turnaround process. Districts will receive an integrated system of supports through ETACIT and from Intervention Partners that includes targeted technical assistance and professional development; information management and data systems support; and community engagement services.

NYSED Research Support Group

Under the leadership of Laura Smith, the newly appointed Assistant Commissioner for External Partnerships and Research, the NYSED Research Support Group will package and disseminate information about proven best practices in education management and successful, scalable models for improving student achievement. Ms. Smith brings over 15 years of experience in urban education

program and project management, having served as an Eli & Edythe Broad Foundation *Resident in Urban Education* for the San Diego City School district in the Residency's inaugural year and later working for the NYC Charter School Center and the NYC Department of Education.

The Research Support Group will work in conjunction with the Office of Accountability to analyze state-wide data to identify and disseminate best practices from:

1. Schools that are “beating the odds” by dramatically outperforming schools with comparable student populations
2. Promising school-level practices that have demonstrated success in driving outstanding gains in student achievement
3. Districts that have implemented human resource and school portfolio management practices that have resulted in high performance for schools and/or targeted student populations

The Research Support group will leverage the unique structure of USNY and will partner with our institutions of higher education to develop and implement a research agenda. The office will also seek private funding to partner with other well-known research institutions.

NYSED Office of External Partnerships

To complement NYSED's expanded research capacity, the Office of External Partnerships will also be overseen by Laura Smith and will facilitate strategic public-private partnerships, cultivate private investments in state-level reform initiatives, and ensure that NYSED takes full advantage of all available federal grant opportunities. Reporting to the Commissioner, the Office of External Partnerships will leverage its close management relationship with the Research Support Group to ensure that all investments are aligned to evidenced-based strategies and that they are monitored through a rigorous evaluation process.

RTTT Implementation Support Structures – Statewide Professional Development Network

In order to ensure consistent statewide implementation of our RTTT plan, the Office of District Services will leverage one of the State’s greatest educational assets: our statewide professional development network. Direct, core support to our LEAs and schools in implementing our RTTT reforms will be provided by this formal network, which includes the State’s 37 BOCES and their 12 subsidiary RICs, which will be the delivery vehicle for support and professional development, as well as content providers - both internal and external. Two additional structures, Joint Intervention Teams and ETACIT (described above and in Section E), will support our persistently lowest-achieving schools and their LEAs.

Supplementing the work of the core support groups are numerous organizations that provide reinforcing professional development aligned to our RTTT plans. This includes the State’s Teacher Centers; cultural institutions; SUNY, CUNY and other private institutions of higher education; and our teacher, principal, and superintendent professional associations. These partners have historically played a critical role in the implementation of educational reform and will continue to do so throughout our RTTT implementation by aligning their services and activities.

Core Support

Each of New York’s 37 BOCES is lead by a District Superintendent who is both the Chief Executive Officer of the local BOCES, and the Commissioner’s representative in the field. This structure is unique within the United States and allows NYSED to have unparalleled statewide reach. The BOCES are linked together through a formal network that includes the Assistant Superintendents of Instruction from each BOCES, instructional administrators from each of our Big 5 city school districts, and NYSED senior staff. These representatives convene and communicate regularly, serving as “connective tissue” across the State. As part of the BOCES, the RICs provide technology support services to LEAs. *Collectively, the BOCES and RICs comprise over 34,000 professionals.*

Each BOCES will be staffed with network teams - three person teams of experts in curriculum, data analysis, and instruction – that will each serve a network of 25 schools within their component districts. Based on the success of a model developed by the New York City Department of Education, which has had network teams in place since 2007, funded with ESEA Title II funds, the State’s next four largest city school districts will build and maintain network teams within their internal structure. Network teams will work directly with educators in schools and will provide comprehensive, ongoing support throughout the grant period once they are phased in. LEAs will be encouraged to maintain network teams beyond the grant period with Title II funds. Network teams will be phased in to support all RTTT initiatives (See Budget Narrative for more details).

The Assistant Superintendent of Curriculum and Instruction within each BOCES will be responsible for hiring and managing the network teams. Under his or her guidance, network teams will:

- Assist schools in implementing the Common Core standards and aligning instruction to the new standards and curricula.
- Support schools in implementing the State’s comprehensive assessment program and adapting to more rigorous performance-based assessments.
- Support school-based inquiry teams⁹ (described in Section C) to analyze student performance data (both quantitative and qualitative) and make adjustments to instructional practices. The inquiry team approach has been well documented as a successful and sustainable development method in New York City, Southern California, and several other places.^{10, 11}

⁹ School-based inquiry teams analyze data for target groups of students that share common learning challenges (e.g., fifth grade ELL boys in math), investigate the root causes and skill gaps, use research-based instructional strategies to address the weaknesses at the skill level, and continually evaluate the success of the strategies used. The team then posts details on the student profile and strategy used on the Education Data Portal where the results are available to other inquiry teams across the district and State.

¹⁰ New York City Department of Education, “Collaborative Teacher Teams Engaged in Inquiry,” November 24, 2009. The NYCDOE analyzed the performance of eighth-grade students who benefited from their teachers’ professional development delivered through this system as compared to the performance of a control group. Then they correlated their improved test scores with high school graduation rates (studies have shown that the higher a student performs on the eighth-grade math test, the greater likelihood that student has of graduating from high school). The improvement translated into a 6 percentage point gain in graduation.

- Assist schools in interpreting and using/designing formative assessments closely tied to the curricula.
- Work closely with principals and key faculty leaders to provide school-based and network-level intensive, on-going, real-time coaching and professional development according to the needs of each school.
- Help principals find outside service providers based on the needs of each school’s faculty and students.
- Support Joint Intervention Teams in the evaluation of persistently lowest-achieving schools, as described in Section (E)(2); facilitate professional development to support the implementation of the turnaround plan.

In addition to providing ongoing guidance and support, the network teams will monitor the professional development activities and results in the schools for which they are responsible. The network teams will provide continuous feedback to facilitate the effectiveness of the inquiry teams and will also report to the BOCES District Superintendent (and ultimately to the NYSED Associate Commissioner for District Services) concerning the results of their work.

The Office of District Services will use a portfolio management approach in facilitating the development and delivery of professional development to achieve target outcomes. Each year, school principals will rate their satisfaction with their network team members as part of a twice-annual NYSED satisfaction survey administered electronically by the Office of District Services. 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. Wherever practical, LEAs will make the ultimate decision to select the best professional development partners given their specific needs.

12 Vescio, Ross, Adams, “A Review of Research on the Impact of Professional Learning Communities on Teaching Practice and Student Learning,” Teaching and Teacher Education, January 2008.

Saunders, Goldenberg, Gallimore, “Increasing Achievement by Focusing Grade-Level Teams on Improving Classroom Learning: A Prospective, Quasi-Experimental Study of Title I Schools,” American Educational Research Journal, January 2009.

Professional development content partners will be managed through performance-based contracts. Specific, measurable annual outcomes will be included in 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 and ensure content alignment consistent with all the State's reforms. Additionally, they will be responsible for the development of content and best practices, preparation of training materials, and supporting the delivery of training by the network teams. Finally, content partners will 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.

Core Support for Persistently Low Achieving Schools

LEAs with persistently lowest achieving schools will be guided through a four stage process coordinated by the Office of Accountability and Office of Innovative School Models:

- In the first stage, LEAs will participate in a **Diagnostic Needs Assessment** conducted by a Joint Intervention Team (JIT) to inform selection of an intervention model. These teams are appointed by the Commissioner and include a representative of the school district, an SED staff member, an education expert, and content area experts as appropriate.
- Next, the LEA will develop a **Quality Intervention Plan** in collaboration with the school community and with the support of ETACIT and Intervention Partners. Serving as a statewide clearinghouse of information and support for LEAs intervening in their persistently lowest-achieving schools, ETACIT will be run by an external partner selected via RFP from among top national providers. As part of the Quality Intervention Plan, LEAs will develop a performance contract for each persistently lowest achieving school that must be approved by the Commissioner.
- In the third stage, LEAs will **implement the approved Quality Intervention Plan with fidelity** and with the specialized support of ETACIT and Intervention Partners. ETACIT will guide LEAs through every step of the turnaround process, including selecting an intervention model and evaluating potential Intervention Partners. Intervention Partners will have proven track records of raising the achievement of high-need students. They will provide school support for turnaround, restart

and transformation models that ranges from “whole school” model implementation to targeted support in areas such as instructional strategies, professional development, and data analysis.

- In the last stage, LEA's will Participate in a **Performance Contract Analysis and Review** conducted by NYSED, which determines the type of support that the LEA will continue to receive, future funding levels, and possible State interventions and sanctions, which may include revocation of a school’s registration and the requirement that the LEA implement a plan developed by the Commissioner to protect the educational welfare of the students who attend such school

As noted above, those network teams supporting persistently lowest achieving schools will align their efforts to support the intervention.

Supplemental Implementation Support

Augmenting the work of the core support groups are numerous statewide organizations that will align their content to the State’s RTTT plan and provide reinforcing professional development. This includes our Teacher Centers; SUNY, CUNY and other private institutions of higher education; Leadership Academies; teacher, principal, and superintendent professional associations; networks of high-performing schools; charter management networks; and numerous cultural institutions. NYSED works closely with the governing bodies of these organizations and has actively engaged them in our RTTT planning.

Notably, the State’s 130 Teacher Centers, organized in seven regional networks, represent the largest professional learning community in New York State. The Centers work with all the BOCES, more than 685 public school districts, and over 1,000 non-public and charter schools in 62 counties to develop and deliver professional development to over 300,000 educators annually. Teacher Centers have developed expertise in professional learning and effective methods of collaborating with education partners to support teachers throughout the learning continuum – from learner to leader. The Centers will be a key partner in supporting the State’s RTTT plans, providing a multitude of learning opportunities through partnerships with institutions of higher education, the New York State United Teachers (NYSUT), and business and research organizations.

(A)(2)(i)(c) NEW YORK STATE IS ORGANIZED TO PROVIDE EFFECTIVE AND EFFICIENT OVERSIGHT

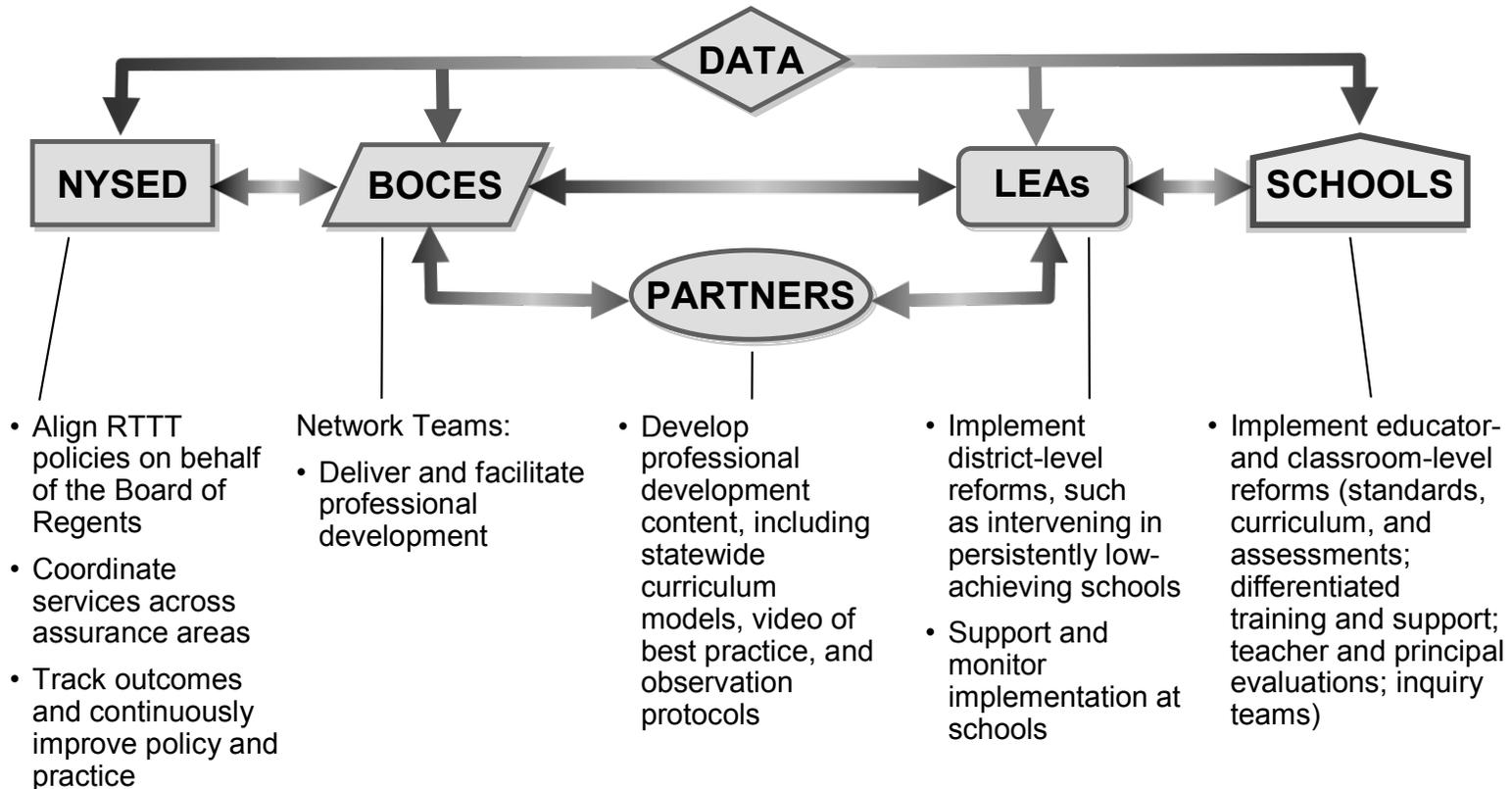
The RTTT Performance Management office will coordinate with existing NYSED internal control structures for purposes of RTTT fiscal administration and oversight. Several New York government entities are responsible for the management, implementation, and oversight of internal controls and for safeguarding 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, BOCES, or public libraries. 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.

NYSED has processes to guide staff on the procedures to be followed for those federal programs that require a performance and/or a fiscal report. The performance report is created by the program office responsible for the federal grant and they submit the final report to the Administrative Support Group (ASG) for review and recommendation of approval. For RTTT, this function will be performed by the RTTT Performance Management Office. Next, the NYSED's Bureau of Budget Coordination reviews and submits the report to NYSED's Chief Operating Officer (COO). All reports with a fiscal component are approved by the COO.

NYSED monitors the State's nearly 700 districts by reviewing their annual financial statements, single audits, and audits conducted by the Office of the State Comptroller. Other monitoring protocols include desk reviews, requests for additional documentation, and onsite reviews by program office staff and/or audit staff. Information on RTTT grants management and other related operations services will be made public, as appropriate, through online reports.



RTTT Implementation and Professional Development Structure



OUTCOME: *Every student on track to college and career success*

(A)(2)(i)(d) NEW YORK WILL ALIGN FISCAL RESOURCES TO ENSURE SUSTAINABILITY

To supplement RTTT award dollars and to ensure sustainability of RTTT initiatives, we see opportunities in the restructured federal §1003(g) funds. NYSED received \$308 million in 2009-2010 Title I School Improvement funds (including \$261 million in ARRA funds) that must be used to serve the lowest-performing five percent of schools. We anticipate receiving an additional \$260 million over the next four years. Three tiers of schools are eligible for SIG funds: Tier I: any Title I school that has been identified as persistently lowest achieving; Tier II: any secondary school that is eligible for, but does not receive Title I, Part A funds that has been identified as persistently lowest achieving; and Tier III: any Title I school improvement, corrective action, or restructuring that is not a Tier I school (only for SEAs that have sufficient funding for all Tier I and II schools and still have a surplus of SIG funds). SEAs will set exact criteria, which could include rewards for schools with low absolute performance but high growth rates over a number years, or the bottom 10 percent of Title I schools in improvement, corrective action, or restructuring. We will target the majority of funds to persistently lowest achieving schools, including high schools and their feeder schools, to complement Race to the Top funding, thus increasing the leverage of those dollars to implement the robust and comprehensive reforms that will dramatically transform school practice and culture to increase student outcomes.

The State has also identified additional opportunities to realign existing funds. For example, as a result of a 2004 class action settlement with Microsoft, New York State expects to receive between \$70-85 million for distribution to public schools in the State. To qualify, schools must have at least 50 percent of their students receiving free and reduced price lunches. The money can be used for software, hardware, professional development, or computer services, and NYSED anticipates that it will be targeted to support instructional technology initiatives as well as NYSED's instructional reporting and improvement system and P-20 data system.

(A)(2)(i)(e) NEW YORK WILL LIMIT THE NEED FOR ON-GOING FUNDING

In order to ensure the sustainability of our RTTT reforms, our State plan is carefully structured to limit the need for on-going funding past the grant period. The majority of New York's RTTT budget is to support one-time capacity-building investments. These projects will build the skills of our educators and also fund the development and launch of systemic instructional tools. LEAs will be able to use other federal funding sources to cover these ongoing needs; additionally, the State will allocate significant portions of Federal administrative funds and State general funds to maintain the data system and testing program.

(A)(2)(ii)(a) & (b) NEW YORK'S RTTT PLAN WAS DEVELOPED THROUGH OPEN ENGAGEMENT WITH DIVERSE STAKEHOLDERS

New York State's Race to the Top strategies were developed through an open engagement and feedback process with key stakeholders, and we are confident that such support will be a key factor in the successful implementation of our 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 (please see Appendix A_2_ii_b_1 for a List of NYS RTTT Engagement Meetings Held and Attendees). Included were LEA superintendents and boards of education, BOCES District Superintendents, our 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.

Throughout the spring of 2010, 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 our RTTT plan. We expect our union partners to continue their active participation throughout the

implementation of the grant, most notably through their Teacher Centers which will provide professional development aligned to our RTTT reforms. New York has also received over 100 letters from stakeholders across the State in support of our RTTT plan. Those letters consistently commend the breadth of vision and reform our State's Race to the Top plan promises to bring to the students of New York State. (Please see Sub-Appendix A_2_ii_b_2 for an index and copies of the State's Letters of Support.) Drawing on the strong support from this diverse group of educational partners and stakeholders, New York will be able to successfully implement its RTTT plans. Many organizations commented on their desire to partner with the State throughout our RTTT implementation by either responding to appropriate RFPs, aligning their complementary service offerings, or by supporting individual LEAs and schools in implementing the reforms.

(A)(3) Demonstrating significant progress in raising achievement and closing gaps (30 points)

The extent to which the State has demonstrated its ability to—

- (i) Make progress over the past several years in each of the four education reform areas, and used its ARRA and other federal and State funding to pursue such reforms; (5 points)
- (ii) Improve student outcomes overall and by student subgroup since at least 2003, and explain the connections between the data and the actions that have contributed to — (25 points)
 - (a) Increasing student achievement in reading/language arts and mathematics, both on the NAEP and on the assessments required under the ESEA;
 - (b) Decreasing achievement gaps between subgroups in reading/language arts and mathematics, both on the NAEP and on the assessments required under the ESEA; and
 - (c) Increasing high school graduation rates.

In the text box below, the State shall describe its current status in meeting the criterion. The narrative or attachments shall also include, at a minimum, the evidence listed below, and how each piece of evidence demonstrates the State's success in meeting the criterion. The narrative and attachments may also include any additional information the State believes will be helpful to peer

reviewers. For attachments included in the Appendix, note in the narrative the location where the attachments can be found.

Evidence for (A)(3)(ii):

- NAEP and ESEA results since at least 2003. Include in the Appendix all the data requested in the criterion as a resource for peer reviewers for each year in which a test was given or data was collected. Note that this data will be used for reference only and can be in raw format. In the narrative, provide the analysis of this data and any tables or graphs that best support the narrative.

Recommended maximum response length: Six pages

(A)(3)(i) NEW YORK HAS A STRONG FOUNDATION

Through the Regents’ 2005 *P-16: A Plan for Action*, New York has already created a strong foundation for RTTT’s reforms. Recently, the Center for American Progress graded all the states on school performance and ranked New York in the top five on two important criteria: managing school innovation and improving college and career readiness. This report also cited the State’s strong academic standards. As NYSED worked to implement the action steps in the Regents’ 2005 plan, the policy reforms provided under the plan allowed superintendents across the State to embark on their own local reform efforts to catalyze student achievement within their communities. During this second phase of our reforms over the past several years, New York has made significant progress within the assurance areas. The chart below summarizes of our statewide achievements follows:

Standards and Assessments	<ul style="list-style-type: none"> • In 1996, the Board of Regents approved our current student learning standards, considered to be among the most rigorous in the nation (See Section B and Appendix A_3_i_1 for a complete listing of the New York State Learning Standards). • 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. The integration of ESL into the development of the ELA standards was a major breakthrough in New York State and in the nation (See Appendix A_3_i_2 for a complete description of the work of the Standards Review Committee and Appendix A_3_i_3 for the Standards Review Initiative Working Principles).
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	<ul style="list-style-type: none"> • In 2007, New York became one of only eight states nationwide to have a <i>fully approved</i> assessment system under USDE’s rigorous Title I peer review (See Section B for a description of the New York State Testing Program). • 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 graduate 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. (See Appendix A_3_ii_1 for details on New York’s diploma requirements, as well as how those requirements have changed in recent years). • The Board of Regents has continually raised the standards for high school diplomas in order to increase both college readiness and preparedness in subjects such as science (including laboratory work), technology and mathematics. Notably, although the number of credits required for graduation has increased since 2001 from 18.5 credits to 22 credits, New York’s graduation rates for general education students have steadily increased.
<p>Data Systems to Support Instruction</p>	<ul style="list-style-type: none"> • Through an aggressive and accelerating plan of data collection, the Department has been able to expand its longitudinal data system dramatically and now collects all 12 data elements required in the America COMPETES Act. This growth in 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 other educational reforms will be built.
<p>Great Teachers and Leaders</p>	<ul style="list-style-type: none"> • The Regents have established alternative certification policies that enable non-traditional students to receive the education necessary to be certified as a teacher or principal. This has made the expansion of numerous programs possible, benefiting thousands of students. For example, this 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 given the educational opportunities they deserve.

	<ul style="list-style-type: none"> • The State’s efforts to develop a pipeline of effective school leaders have also progressed in several key areas. New Leaders for New Schools is one of the country’s pre-eminent alternative school leader certification programs and currently has 99 members working in New York City district and charter schools. Rochester is developing a principals’ Leadership Academy to create career-long training based on higher standards and will be focused on leaders of high-need schools.
<p>Turning Around the Lowest-Achieving Schools</p>	<ul style="list-style-type: none"> • New York State has consistently been given an “A” rating by Education Week’s “Quality Counts” for its system of school accountability. Low-performing schools are identified through the State’s Schools Under Registration Review process and given necessary support and intervention, including tiered services and additional funding to support improvement efforts as well as access to opportunities for training of school leadership, teachers and parents. Schools farthest from achieving adequate yearly progress under the Elementary and Secondary Education Act are subject to closure if student performance does not improve. Since 1989, more than 300 schools have been identified for registration review and more than 60 schools have been closed. • 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 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, contributing to an impressive 10 percent increase in the city’s high school

	<p>graduation rate since 2005. Sections E and F of our application contain detailed descriptions of new school initiatives in partnership with organizations such as New Visions for Public Schools, the College Board, and Say Yes to Education.</p> <ul style="list-style-type: none">• High-quality public charter schools have been a critical piece of New York’s comprehensive reform strategy since the State first enacted its charter law in 1998, allowing the creation of independent public schools to operate within a five-year performance contract or “charter.” Based on the strength of our charter law, the Center for Education Reform recently ranked New York 9th among the 40 states with existing charter laws, citing our highly regarded authorizer opportunities, and the National Alliance for Public Schools ranked New York 8th in their January 2010 report. Today, there are 140 charters operating in New York, and some of the country’s highest performing charter management organizations (CMOs) support these schools. Achievement First, KIPP, and Uncommon Schools are but a few that have demonstrated a sustainable and scalable ability to drive strong gains in student achievement.• To focus existing resources on the development of better education options, New York’s BOCES have created over 800 Career and Technical Education (CTE) programs serving thousands of secondary students and adults leading to entry-level employment or post-secondary education. BOCES provide a diverse portfolio of innovative, high quality CTE programs in areas such as health, education and human services, digital media, engineering, and communications. Learning standards and national credentials are integrated into most CTE courses. Students can also earn college credit with ever-expanding articulation agreements with area colleges.
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Funding Alignment

New York’s progress in the RTTT assurance areas over the past several years has been supported by the alignment of our ARRA and other Federal and State funding. Examples of this alignment can be found in the following funding streams:

State Funds

Contracts for Excellence (C4E) (\$854M) -The C4E program was established in 2007 to provide additional accountability over increased State Aid for low-performing school districts. C4E is a comprehensive approach to targeting fiscal resources to specific allowable programs proven to raise the achievement of the students with the greatest educational need. Districts are required to enter a contract and must document the schools, programs, and student subgroups to be targeted for funding, along with specific, achievable performance improvements that will result

Teachers of Tomorrow (\$25M) - Awards and stipends create incentives to retain and attract teachers, especially in STEM subjects and other areas where teacher shortages exist, and to assist subject matter specialists working in private industry to become certified teachers.

Bilingual Education (\$12.5M)- State funds are used to address the needs of Limited English Proficient/English Language Learners (LEP/ELLs) consistent with the Department's Strategic Plan for Raising Standards, with special focus on the implementation of the Seven Essential Elements for the Education of LEP/ELLs in high-need districts. Funds support activities in the areas of higher standards and new assessments involving LEP/ELLs; the preparation and certification of bilingual and ESL staff to incorporate the new standards and assessments into the curriculum for LEP/ELLs; LEP/ELL parent empowerment to increase their knowledge and understanding of the new requirements; capacity building at the school and district levels; and, most especially, the provision of equitable services for LEP/ELLs.

Charter Schools Development and Stimulus Fund (\$13.83M total, \$5.53M state) - State and federal funds provide assistance to applicants for planning purposes and to approved charter schools for the acquisition, renovation, or construction of school facilities. The Stimulus Fund makes these funds available for the specific purposes of providing start-up grants associated with the development and submission of a charter school application to the Board of Regents as the charter entity. The funds are also available for facilities grants for costs associated with school facilities.

Learning Technology (\$3.3M) - State funds provide grants to public school districts and Boards of Cooperative Education (BOCES) for progressive integration of instructional technology in classrooms and library media centers and sustained professional development to increase the skills of teachers in the use of instructional technology in order to help students attain higher levels of performance in the New York State Learning Standards.

Computer Hardware Aid (\$38M) - School districts are eligible for aid for the purchase or lease of micro-and/or mini-computer equipment or terminals for instructional purposes.

Aid for Computer Software Purchases (\$46M) - Each public school district may claim a maximum apportionment of Computer Software Aid to purchase and loan computer software for instructional purposes on an equitable basis to both public and nonpublic school students attending schools within the district's boundaries during the current school year.

National Board for Professional Teaching Standards Certification (\$0.49M) – New York funds grants for teachers of up to \$2,500 toward the cost of certification by the National Board for Professional Teaching Standards.

Transferring Success (\$0.31M) – New York funds this program which seeks to validate and support the replication of exemplary education programs.

ARRA Funds

Title I 1003(g) School Improvement Grants (SIG) (\$261M) - New York received a FY 2009 grant award in April 2010. These funds will be used primarily to complement RTTT investments in intervention models encouraged in the RTTT criteria, i.e., turnaround, restart, closure, and transformation. These funds will also support New York's efforts to expand the use of data to improve instruction and recruit, train, and retain effective teachers and principals. An additional \$47M was awarded as part of the regular SIG award.

In addition, New York has used Title I school improvement funds to support enrichment programs in science, technology, engineering and mathematics, provide professional development to teachers and principals, and provide grants to the lowest-achieving schools to improve teaching and learning.

Longitudinal Data System (approximately \$20M) – In May 2010, New York State was awarded \$19.7 million by the USDE toward the design and implementation of a statewide longitudinal data system. The award to New York was the largest of 20 made in a competition that drew applications from all 50 states, the District of Columbia, Puerto Rico, and the U.S. Virgin Islands. This Data System will include student-teacher linkages, a data base to support research and policy analysis, and metrics to track student progress.

Other Government Services Funds

“Say Yes to Education” (\$0.35M) – This is a grant to increase high school and college graduation rates for New York’s inner-city youth by offering a range of services including after-school and summer programming, mentoring, tutoring, school-day academic support, family outreach, scholarships, and social work/psychological services.

Math and Science / Early College High Schools (\$1.38M) - For the 2009 -10 school year, \$1.38 million in discretionary federal funding is provided to continue support to three math/science academies to provide expanded learning opportunities.

Title II-Part D Enhancing Education Through Technology (\$55.6M) - These ARRA funds will be used to:

- Create a Technology Rich Environment through Student-Centered Active Learning Environments (SCALE) for 21st Century Learning
- Develop Online Formative Assessment in Support of Personalized Instruction and Data-driven Decision-Making System
- Develop Online Learning and Instruction in support of increasing equity in opportunity to credit recovery and high-quality courses

- Ensure better use of Technology to Support Limited English Proficient/English Language Learners (LEP/ELLs) and/or Students with Disabilities
- To develop technical assistance centers, which will provide direct technical consulting as well as robust professional development for developing and teaching online courses

Other Federal Funds

Teacher and Leader Quality Partnership Program (\$5.6M) - This program is designed to improve the academic success of New York's students by improving the quality of their teachers.

(A)(3)(ii) NEW YORK HAS MADE IMPRESSIVE GAINS IN STUDENT ACHIEVEMENT

As a result of significant progress in implementing the Regents' 2005 plan, as evidenced by such successes as changes in the Foundation Formula for providing State Aid that increased funding for the highest need districts, reductions in the inequitable distribution of teaching talent, revisions in the system of support for students with disabilities and English language learners, the strengthening of early literacy programs and the expansion of access to pre-kindergarten, student achievement is up: performance on mathematics and ELA assessments demonstrates annual increases, and the percentages of students performing at the lowest level are down. The Regents efforts were focused on students with the greatest needs and the result is that the gap is narrowing: performance of Black and Hispanic students continues to improve. Students with disabilities are doing better - a large decrease in the percentage of below basic performance. English language learner's performance in English continues to improve. There have been significant improvements in our urban areas. As the data below illustrate, the achievement gap in New York State is closing, and student achievement overall is rising.

- (a) Increasing 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 State: Race to the Top: Selection Criteria and Competition Priorities

	2000	2001	2002	2003	2004	2005	2006	2007	2008	2009
NAEP: Percent in New York State at or above proficient										
Grade 4										
Mathematics	21%			33%		36%		43%		40%
Grade 4 Reading			35%	34%		33%		36%		
Grade 8										
Mathematics	24%			32%		31%		30%		34%
Grade 8 Reading			32%	35%		33%		32%		

Results from State Assessments

New York State 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, as illustrated in the table below. 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 continues 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:

New York State: Race to the Top: Selection Criteria and Competition Priorities

	98-99	99-00	00-01	01-02	02-03	03-04	04-05	05-06	06-07	07-08	08-09
New York State 3-8 assessments: Percent scoring levels 3 or 4											
<i>Mathematics</i>											
Grade 3								81%	85%	90%	93%
Grade 4	67%	65%	69%	68%	78%	79%	85%	78%	80%	84%	87%
Grade 5								68%	76%	83%	88%
Grade 6								60%	61%	79%	83%
Grade 7								56%	67%	79%	87%
Grade 8	38%	40%	39%	48%	51%	58%	56%	54%	59%	70%	80%
<i>English Language Arts</i>											
Grade 3								69%	67%	70%	76%
Grade 4	48%	59%	60%	62%	64%	62%	70%	69%	68%	71%	77%
Grade 5								67%	68%	78%	82%
Grade 6								60%	63%	67%	81%
Grade 7								56%	58%	70%	80%
Grade 8	48%	45%	45%	44%	45%	47%	48%	49%	57%	56%	69%
<i>Science</i>											
Grade 4							80%	86%	85%	85%	88%
Grade 8							68%	64%	65%	71%	68%
New York State Regents Exams: Percent scoring at or above 65											
<i>Secondary-level Regents Exams</i>											
Comprehensive English						80%	77%	78%	78%	81%	82%
Mathematics A (<i>phasing out beginning 2008</i>)						81%	78%	79%	77%	76%	
Integrated Algebra (<i>introduced 2008 to replace Mathematics A</i>)										75%	72%
Living Environment						79%	76%	76%	75%	75%	80%

(b) DECREASING ACHIEVEMENT GAPS ON THE NAEP AND ON THE ASSESSMENTS REQUIRED UNDER THE ESEA

Results from the National Assessment of Educational Progress (NAEP)

In closing long-standing student achievement gaps, New York State stands out among peers for its leadership as a “gap narrower” (“Gauging the Gaps: A Deeper Look at Student Achievement,” *Education Trust*, January 2010). *The latest NAEP scores reveal that New York significantly narrowed proportionately more of its gaps than did other states.* Specifically, New York is in the top seven states when looking across Reading (2007) and Math (2009) performance relative to 2003 for both Grades 4 and 8 and for three gaps considered among groups (African American-White, Hispanic-White and Low Income-High Income).

As the table below illustrates, between 2002 and 2007, the gap between the percentage of White students who score at or above proficient in Grade 4 Reading and the percentages of black and Hispanic students who score at or above proficient declined by 5 and 4 percentage points, respectively.

In Grade 4 Mathematics, NYS made even more dramatic 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: economically disadvantaged students gained 6 percent from 2003 to 2009, while all students increased by 2 percentage points.

NAEP: Percent in New York State at or above proficient				
	<i>2003</i>	<i>2005</i>	<i>2007</i>	<i>2009</i>
Grade 4 Mathematics				
Black or African American	12%	13%	18%	19%
Hispanic or Latino	15%	17%	25%	25%

New York State: Race to the Top: Selection Criteria and Competition Priorities

Students with Disabilities	11%	11%	15%	13%				
English Language Learners	6%	6%	12%	13%				
Economically Disadvantaged	18%	21%	28%	28%				
Female	31%	33%	42%	37%				
Male	35%	39%	45%	43%				
<i>All Students</i>	33%	36%	43%	40%				
Grade 8 Mathematics								
Black or African American	10%	11%	10%	13%				
Hispanic or Latino	16%	14%	15%	15%				
Students with Disabilities	7%	7%	6%	10%				
English Language Learners	3%	4%	2%	4%				
Economically Disadvantaged	16%	19%	19%	22%				
Female	31%	30%	29%	32%				
Male	33%	31%	31%	36%				
<i>All Students</i>	32%	31%	30%	34%				
	2002	2003	2004	2005	2006	2007	2008	2009
Grade 4 Reading								
Black or African American	14%	14%	17%	17%				
Hispanic or Latino	16%	18%	17%	18%				
Students with Disabilities	10%	11%	7%	8%				
English Language Learners	3%	5%	3%	5%				
Economically Disadvantaged	19%	18%	20%	20%				
Female	40%	38%	36%	39%				
Male	31%	30%	30%	33%				
<i>All Students</i>	35%	34%	33%	36%				
Grade 8 Reading								
Black or African American	12%	14%	11%	14%				
Hispanic or Latino	15%	18%	16%	16%				
Students with Disabilities	4%	8%	8%	9%				
English Language Learners	4%	4%	4%	1%				

New York State: Race to the Top: Selection Criteria and Competition Priorities

Economically Disadvantaged	15%	18%	20%	19%
Female	35%	42%	38%	38%
Male	29%	28%	28%	26%
All Students	32%	35%	33%	32%

Results from State Assessments

The subgroup achievement gap in ELA narrowed for both elementary and middle school students. (Please see table below.) From 2005-06 to 2008-09, the percentage of Black and Hispanic students meeting proficiency increased from 42 percent to 64 percent and from 46 percent to 65 percent, respectively. This translates into gains of 22 and 19 points (versus 15 points across all students). During the same period, students with disabilities meeting proficiency increased from 20 percent to 39 percent.

The subgroup achievement gap in Mathematics also narrowed for both elementary and middle school students. From 1998-99 to 2004-05, the percentages of Grade 4 Black and Hispanic students scoring at or above proficiency each more than doubled: from 26 percent to 54 percent for Black students, and from 26 percent to 57 percent for Hispanic students. Gains toward narrowing the achievement gap are also seen across Grades 3-8 in Mathematics from 2005-06 to 2008-09. The percentage of Black students performing at or above proficiency increased from 46 percent to 75 percent and the percentage of Hispanic students increased from 52 percent to 80 percent. The percentage of English Language Learners performing at or above proficiency similarly improved from 38 percent in 2005-06 to 67 percent in 2008-09. Over the same period, students with disabilities also made gains to close the achievement gap, raising the proficiency rate from 30 percent to 58 percent. Over the period 2005-06 to 2007-08, the percentages of Black and Hispanic students scoring below basic decreased significantly: from 21 percent to 9 percent and from 18 percent to 7 percent, respectively. As with Black and Hispanic students, a smaller share of students with disabilities showed serious academic difficulties: the percentages scoring below basic decreased from 37 percent in 2005-06 to 20 percent in 2007-08.

New York State: Race to the Top: Selection Criteria and Competition Priorities

Regional achievement gaps have also improved: From 2005-06 to 2008-09, the percentage of students performing at or above proficiency on math assessments in New York City increased 25 points from 57 percent to 82 percent. During that period, the other large cities gained 30 points, from 35 percent to 65 percent. When compared against the all-schools improvement of 20 points from 66 percent to 86 percent, these numbers highlight rapid increases in student achievement and an increasingly narrow achievement gap. On ELA assessments, New York City students showed 18 points improvement, from 51 percent in 2005-06 to 69 percent in 2008-09, as compared to 15 points, from 62 percent to 77 percent across the State. The other large cities improved from 37 percent to 57 percent, a gain of 20 points. These numbers highlight a narrowing achievement gap between students in city schools and their peers in the rest of the State.

New York State Assessment: Percent Scoring 3 or 4 on Grades 4 and 8 Math, ELA and Science, 2001-02 to 2008-09								
	<i>01-02</i>	<i>02-03</i>	<i>03-04</i>	<i>04-05</i>	<i>05-06</i>	<i>06-07</i>	<i>07-08</i>	<i>08-09</i>
<i>Grade 4 Math</i>								
Black or African American	45%	62%	53%	73%	62%	65%	72%	78%
Hispanic or Latino	49%	65%	67%	76%	67%	70%	77%	82%
Students with Disabilities	37%	48%	49%	55%	45%	47%	53%	61%
English Language Learners	29%	44%	48%	59%	50%	54%	64%	71%
Economically Disadvantaged	51%	69%	68%	77%	71%	71%	76%	82%
<i>Grade 8 Math</i>								
Black or African American	21%	26%	33%	31%	28%	34%	48%	63%
Hispanic or Latino	23%	28%	37%	36%	33%	40%	55%	69%
Students with Disabilities	15%	16%	19%	19%	17%	21%	31%	46%
English Language Learners	14%	17%	24%	24%	22%	26%	41%	53%
Economically Disadvantaged	27%	34%	39%	38%	39%	43%	56%	70%
<i>Grade 4 ELA</i>								
Black or African American	42%	48%	44%	54%	52%	51%	57%	65%
Hispanic or Latino	42%	48%	46%	57%	56%	51%	57%	65%
Students with Disabilities	30%	23%	22%	28%	27%	28%	30%	38%

New York State: Race to the Top: Selection Criteria and Competition Priorities

English Language Learners	14%	12%	21%	31%	27%	23%	32%	41%
Economically Disadvantaged	44%	52%	46%	57%	59%	54%	58%	67%
<i>Grade 8 ELA</i>								
Black or African American	21%	26%	27%	26%	28%	37%	37%	52%
Hispanic or Latino	22%	26%	30%	28%	32%	38%	37%	53%
Students with Disabilities	9%	8%	8%	10%	11%	16%	13%	25%
English Language Learners	3%	2%	5%	5%	5%	6%	6%	13%
Economically Disadvantaged	24%	29%	29%	30%	36%	39%	39%	55%
<i>Grade 4 Science</i>								
Black or African American				65%	75%	73%	72%	79%
Hispanic or Latino				63%	73%	72%	73%	79%
Students with Disabilities				57%	67%	64%	64%	69%
English Language Learners				40%	54%	51%	55%	63%
Economically Disadvantaged				68%	81%	76%	76%	81%
<i>Grade 8 Science</i>								
Black or African American				42%	36%	39%	48%	45%
Hispanic or Latino				43%	38%	40%	51%	49%
Students with Disabilities				41%	36%	36%	43%	38%
English Language Learners				22%	16%	18%	27%	22%
Economically Disadvantaged				50%	48%	46%	56%	53%

(C) INCREASING HIGH SCHOOL GRADUATION RATES

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. A fifth year makes a significant difference for Black and Hispanic students. About 10 percent more Black and Hispanic students graduated in the fifth year than they did after four years. New York City has increased its four-year graduation rate from 46.5 percent for the 2001 cohort to 59 percent for the 2005 cohort. Almost 10 percent more New York City students graduated in the fifth year. The four-year graduation rate for students with disabilities has risen and fallen over the past four years, but remains low, especially in high need districts. The four-year graduation rate for English language learners is also low, but is slowly increasing.

Four-year Cohort Graduation Rates	<i>03-04</i>	<i>04-05</i>	<i>05-06</i>	<i>06-07</i>	<i>07-08</i>	<i>08-09</i>
Cohort (Year of Entry to HS)	2000	2001	2002	2003	2004	2005
<i>Student Subgroups</i>						
Black or African American	44%	45%	48%	51%	54%	56%
Hispanic or Latino	41%	42%	45%	48%	52%	55%
Students with Disabilities	42%	38%	43%	40%	42%	42%
English Language Learners		30%	30%	27%	36%	39%
Economically Disadvantaged			56%	60%	58%	62%
<i>Largest School Districts</i>						
NYC		47%	49%	53%	56%	59%
Buffalo		52%	50%	45%	52%	53%
Rochester		39%	37%	44%	48%	42%
Syracuse		50%	48%	49%	47%	45%
Yonkers		53%	55%	57%	58%	58%
All students						
	66%	66%	67%	69%		72%

CONCLUSION

As described in this section, New York has seen improvements in student achievement across multiple measures, from test scores to graduation rates and beyond. These improvements are in part the result of the comprehensive reform agenda laid out in the Regents P-16 plan and summarized in Section A(3)(i), above – which mirror the Race to the Top Reforms. Further, New York's achievement gains derive from a longer history of reform, such as our commitment to rigorous standards (as reflected in our Regents exams and high school diploma requirements), high-quality alternative certification programs (the expansion of which corresponded with the Regents' elimination of temporary - or emergency - licenses in 2003), increased access to pre-kindergarten, and investment in supplemental programs geared toward closing the achievement gap (supported by Contracts for Excellence funding).

As an illustration of reform driving achievement, we must emphasize that the Board of Regents raised academic standards and graduation requirements in the late 1990's by requiring that all students pass the rigorous, highly regarded Regents Exams in English, Math, Science, U.S. History, and Global History in high school. They also required that high school students take three years of science and math courses and four years of English and social studies, with a total of 22 credits to graduate. Despite the increased requirements, the statewide graduation rate has risen as described above, and the graduation rate for Black and Hispanic students has improved the most. Impressive gains among minority students have effectively narrowed the achievement gap with white students by about 10 percentage points. The higher standards have galvanized schools and students to raise achievement levels statewide.

SELECTION CRITERIA: PROGRESS AND PLANS IN THE FOUR EDUCATION REFORM AREAS



(B) Standards and Assessments (70 total points)

State Reform Conditions Criteria

(B)(1) Developing and adopting common standards (40 points)

The extent to which the State has demonstrated its commitment to adopting a common set of high-quality standards, evidenced by (as set forth in Appendix B):

(i) The State's participation in a consortium of States that— (20 points)

- (a) Is working toward jointly developing and adopting a common set of K-12 standards (as defined in this notice) that are supported by evidence that they are internationally benchmarked and build toward college and career readiness by the time of high school graduation; and
- (b) Includes a significant number of States; and

(ii) — (20 points)

- (a) For Phase 1 applications, the State's high-quality plan demonstrating its commitment to and progress toward adopting a common set of K-12 standards (as defined in this notice) by August 2, 2010, or, at a minimum, by a later date in 2010 specified by the State, and to implementing the standards thereafter in a well-planned way; or
- (b) For Phase 2 applications, the State's adoption of a common set of K-12 standards (as defined in this notice) by August 2, 2010, or, at a minimum, by a later date in 2010 specified by the State in a high-quality plan toward which the State has made

significant progress, and its commitment to implementing the standards thereafter in a well-planned way.¹²

In the text box below, the State shall describe its current status in meeting the criterion. The narrative or attachments shall also include, at a minimum, the evidence listed below, and how each piece of evidence demonstrates the State's success in meeting the criterion. The narrative and attachments may also include any additional information the State believes will be helpful to peer reviewers. For attachments included in the Appendix, note in the narrative the location where the attachments can be found.

Evidence for (B)(1)(i)(1):

- A copy of the Memorandum of Agreement, executed by the State, showing that it is part of a standards consortium.
- A copy of the final standards or, if the standards are not yet final, a copy of the draft standards and anticipated date for completing the standards.
- Documentation that the standards are or will be internationally benchmarked and that, when well-implemented, will help to ensure that students are prepared for college success and careers.
- The number of States participating in the standards consortium and the list of these States.

Evidence for (B)(1)(ii)(1):

For Phase 1 applicants:

- A description of the legal process in the State for adopting standards, and the State's plan, current progress, and timeframe for adoption.

For Phase 2 applicants:

- Evidence that the State has adopted the standards. Or, if the State has not yet adopted the standards, a description of the legal process in the State for adopting standards and the State's plan, current progress, and timeframe for adoption.

Recommended maximum response length: Two pages

Standards and Assessment Overview

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. The State will adopt the Common Core standards and is a

¹² Phase 2 applicants addressing selection criterion (B)(1)(ii) may amend their June 1, 2010 application submission through August 2, 2010 by submitting evidence of adopting common standards after June 1, 2010.

member of two consortia formed to create and adopt 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 bold and

comprehensive plan which includes development of statewide curriculum models and performance-based formative and interim assessments for use in New York classrooms.

VISION	All public school students in New York will have access to a world-class curriculum based on rigorous, internationally-benchmarked Common Core standards and assessments that will prepare them for success in college and careers in the 21 st century.
STRATEGIES	<p>B1: Provide for public review and subsequent New York State Board of Regents adoption of Common Core State Standards for English Language Arts and Mathematics; develop, provide for public review, and adopt up to 15 percent additional standards following release of final Common Core State Standards</p> <p>B2: Provide leadership for a multi-state consortium to develop new common English Language Arts and Mathematics assessments (grade 3–high school) aligned to the Common Core and also work to revise other state assessments so that they measure and document student college and career readiness and support student transition into post-secondary education and/or workforce training without remediation. Pilot a high school board examination system as part of a multi-state consortium designed to prepare high school students for success in 2-year and 4-year open-admissions colleges.</p> <p>B3: Realign P-20 policies to support college success and career readiness; develop and implement summative assessments aligned to the Common Core State Standards; develop statewide curriculum models aligned to the new standards; develop supplemental assessments including performance-based formative and interim assessments; provide professional development resources for all teachers and principals; pilot board examination model; and develop and implement monitoring processes.</p>
GOALS	<p>B1: Adopt and implement Common Core State Standards for English Language Arts and Mathematics in July 2010.</p> <p>B2: Through the State's leadership or membership in two multi-state assessment consortia, develop and adopt high-quality assessments aligned to the Common Core and simultaneously strengthen entire state assessment system.</p> <p>B3: Create and implement a bold and comprehensive plan for implementation of the new standards and assessments to include statewide curriculum models and robust professional development with the support and engagement of critical partners, regional networks, Boards of Cooperative Educational Services (BOCES), and professional associations.</p>

SECTION B(1) OVERVIEW

New York has committed to adopting the Common Core State Standards in July 2010 with planned implementation by September 2011.

Background on State Context

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. (A copy of the MOA can be found in Appendix B_1_i_1; for a complete list of participants in the consortium, see Appendix B_1_i_2.) The Common Core State Standards will ensure college success and career readiness for all in English language arts and mathematics for grades K–12. 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. (For copies of the Draft Standards, please refer to Sub-Appendix 1: Draft Common Core State Standards for English Language Arts and Sub-Appendix 2: Draft Common Core State Standards for Mathematics.)

Evidence that Common Core standards are internationally benchmarked and build toward college success and career readiness

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. The Common Core State Standards Initiative has provided evidence demonstrating its research base. (See Appendix B_1_i_3 for a representative list of the works consulted in the drafting of Common Core State Standards for ELA and Mathematics.) The initiative includes a rigorous validation process led by national and international experts called the “Validation Committee for the Common Core State Standards Initiative.”

B(1)(ii) The State’s Process for Adoption of the Common Core standards by August 2, 2010

In December 2009, the New York State Board of Regents approved a process for the review and adoption of Common Core State Standards. The Board of Regents will adopt the standards in July 2010 and implement the standards through a strategic plan and district-focused capacity building initiative. (See Appendix B_1_ii_1 for the December 2009 Regents Item on Common Core standards and Appendix B_1_ii_2 for the April 2010 Regents item approving the adoption of the Common Core standards in July 2010). New York State implemented a high quality plan and received feedback from the public on the Common Core State Standards. Additional information about New York State’s plan to implement the standards can be found in Section (B) (3) of this application.

The Board of Regents has broad authority over the State’s entire education system, including student learning standards. Under State Education Law §211, the Board of Regents is required to periodically review and evaluate the existing New York State Learning Standards to ensure that they provide an adequate opportunity for students to acquire the skills and knowledge needed for success in employment, postsecondary education, and citizenship. (Additional information on the Board of Regents’ authority to review and evaluate the New York State Learning Standards can be found in Appendix B_1_ii_3.) New York State intends to adopt the Common Core standards in ELA and math in July 2010. The State’s adoption plan is segmented into three main phases:

- Phase I – Public review and Board of Regents adoption of the Common Core State Standards for ELA and Mathematics.
- Phase II – Development of up to 15 percent additional standards following release of final Common Core State Standards.

- Phase III – Public review of proposed additional standards and Board of Regents adoption.

Broad stakeholder engagement is critical for the effective implementation of new standards and assessments. By inviting stakeholder groups to provide feedback on the proposed standards, including school districts, institutions of higher education, unions, professional associations, and representatives of bilingual education, English language learners, and students with disabilities, the State will ensure that the final set of standards will be well-supported for implementation at the district, school, and classroom levels. Our engagement process will be structured to build support not only for the new standards, but also for aligned statewide curriculum models and comprehensive assessments. Building on the implementation of our previous standards and assessments, New York will use a regional process that utilizes our Boards of Cooperative Educational Services (BOCES), other regional networks, and professional associations to engage stakeholders and inform implementation. The NYSED website will be used to facilitate the dissemination of information, stakeholder communications, and the collection of feedback.

Phase I – Public review and Board of Regents adoption of the Common Core ELA and Mathematics standards — Over the last two years, under the leadership of Regent Saul Cohen and Dr. Walter Sullivan, the Standards Review Committee, as described in Section (A), has developed draft ELA/English as a Second Language (ESL) standards and taken a proactive leadership role in the development of the Common Core standards. The Committee provided feedback to the National Governor’s Association (NGA)/Council of Chief State School Officers (CCSSO) on the draft Common Core standards.

In December 2009, the Board of Regents approved a process for adopting the Common Core standards with the expectation that they would be released in early 2010. Concurrent with the release of the draft Common Core State Standards in early March 2010, NYSED engaged in a statewide process to collect feedback. A statewide survey was released and over 250 respondents provided comments and recommendations (102 for math; 152 for ELA). NYSED staff compiled the data, open-ended responses from the surveys, and shared the recommendations with the NGA/CCSSO in a letter sent by Commissioner Steiner in early April. Overall, the feedback was very positive; the majority of the respondents were classroom teachers. In addition to the survey, NYSED created an

online Common Core State Standards Toolkit which includes video of Commissioner Steiner, a frequently asked questions (FAQ) section, and other resources that have been used by several groups across the State to discuss the draft standards. New York State Teacher Centers and other statewide organizations hosted dialogues across the State and used the toolkit as a resource for their discussions.

Since the final Common Core State Standards are scheduled to be released on June 2, 2010, the Board of Regents amended the approved adoption process and timeline and is now scheduled to adopt the Common Core State Standards in July 2010.

Phase II – Development of up to 15 percent additional standards following release of final Common Core State Standards — Phase II will result in the potential development and adoption of an additional 15 percent of ELA and mathematics standards to ensure that the 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, our Phase II 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 identify opportunities to make New York State’s standards even more rigorous and more appropriate to a range of students, including English language learners and students with disabilities.

Phase III – Public review of proposed additional ELA and mathematics standards and Board of Regents adoption of up to 15 percent additional standards — The proposed additional learning standards will be brought to the Board of Regents for their review and discussion in Fall 2010, and subsequently released for public comment. The final ELA and mathematics standards for P–12 will be presented to the Board of Regents for approval in late 2010. Throughout Phase III, the Commissioner and Senior Deputy will use

existing State and regional structures for regular and ongoing consultations with school district leaders, including the Commissioner's School Superintendents Advisory Council, which consists of over 20 school district superintendents from around the State who meet bi-monthly with the Commissioner, and the New York State School Boards Association (NYSSBA).

New York State: Race to the Top: Selection Criteria and Competition Priorities

I. Activities and Timeline:	
Timeline	Activities
Spring 2009	Since joining the coalition of states in April 2009, NYSED has provided feedback to NGA/CCSSO through written responses (July 2009; October 2009; and December 2009) and through participation in various NGA/CCSSO meetings.
Summer 2009	Interim Commissioner Huxley provided feedback on the first official draft of the Common Core State Standards.
Fall 2009	Commissioner David Steiner provided feedback on the draft ELA and mathematics Common Core State Standards and encouraged New York State stakeholders to comment via the Core Standards State Standards Survey Website.
October 2009	NYSED launched a Common Core State Standards website with a toolkit including a video introduction from Commissioner Steiner with supporting documents outlining the framework for review and adoption. In addition, monthly emails to the field were begun to inform them of the progress of the Common Core State Standards work.
October 2009	The Board of Regents discussed New York State's involvement in the Common Core State Standards Initiative process and the impact on New York State at its October 13th, 2009 full board meeting.
December 2009	Board of Regents approved a timeline for adoption by July 2010 of Common Core Standards
March 2010	First Common Core draft standards released: NYSED solicited broad stakeholder feedback and provided such to NGA/CCSSO.
April 2010	The Board of Regents discussed the update of the New York State Common Core Standards Review and Adoption Process
June 2, 2010	Phase II (statewide public review and feedback period) begins with final release of the Common Core State Standards. Standards will be posted on NYSED's website for comment; Regional Forums conducted.
July 2010	The Board of Regents adopt Common Core Standards for ELA and Mathematics.

	Review for NCA/CCCC Common Core State Standards against New York's draft ELA/ESL Learning standards 2005 mathematics
	<p>(B)(2) Developing and implementing common, high-quality assessments (10 points)</p> <p>The extent to which the State has demonstrated its commitment to improving the quality of its assessments, evidenced by (as set forth in Appendix B) the State's participation in a consortium of States that—</p> <ul style="list-style-type: none"> (i) Is working toward jointly developing and implementing common, high-quality assessments (as defined in this notice) aligned with the consortium's common set of K-12 standards (as defined in this notice); and (ii) Includes a significant number of States. <p><i>In the text box below, the State shall describe its current status in meeting the criterion. The narrative or attachments shall also include, at a minimum, the evidence listed below, and how each piece of evidence demonstrates the State's success in meeting the criterion. The narrative and attachments may also include any additional information the State believes will be helpful to peer reviewers. For attachments included in the Appendix, note in the narrative the location where the attachments can be found.</i></p>
	network teams.
September 2011	Standards implemented in school districts across New York State.

Evidence for (B)(2):

- A copy of the Memorandum of Agreement, executed by the State, showing that it is part of a consortium that intends to develop high-quality assessments (as defined in this notice) aligned with the consortium’s common set of K-12 standards; or documentation that the State’s consortium has applied, or intends to apply, for a grant through the separate Race to the Top Assessment Program (to be described in a subsequent notice); or other evidence of the State’s plan to develop and adopt common, high-quality assessments (as defined in this notice).
- The number of States participating in the assessment consortium and the list of these States.

Recommended maximum response length: One page

SECTION B(2) OVERVIEW

New York is a governing member of two multi-state consortia formed to create and adopt high-quality assessments aligned with the Common Core State standards. The State will take the additional step of revising its entire state assessment system to ensure all students are prepared for success in college and careers upon high school graduation.

The Partnership for Assessment of Readiness for College and Careers (PARCC)

At its January 2010 meeting, the Board of Regents endorsed the State’s participation in a 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. (See Appendix B_2_i_1 for the January 2010 Regents Item: Developing and Implementing Common High Quality Assessments.) New York State initially signed a Memoranda of Understanding/Agreement with three consortia, each of which represented multiple states (ranging in size from 13 – 37 states). In the following months, two of the consortia consolidated into one and the State reviewed the objectives and strategies of the two remaining national consortia.

In April 2010, New York State committed to a governing role in the Partnership for Assessment of Readiness for College and Careers (PARCC) Consortium of States. (See Appendix B_2_i_2 for the April 2010 Regents item: Invitation for NY to be a Governing State in the Partnership for Assessment of Readiness for College and Career and Appendix B_2_i_3 for the Memorandum of Understanding

with PARCC.) Other governing states include California, Florida, Indiana, Louisiana, Massachusetts, Rhode Island, Tennessee, and the District of Columbia. (See Appendix B_2_i_5 for PARCC Participating States). As a member of the governing board, New York State 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. Achieve, Inc. has led the coordination of the consortium meetings and development of the application, with the National Center for the Improvement of Educational Assessment (Center for Assessment) serving as a technical support partner. As of May 29, 2010, PARCC is comprised of 27 states. As a member of PARCC, New York State will submit an application for a grant under the Comprehensive Assessment Systems portion of the United State Department of Education's \$320 million Race to the Top Assessment Program competition to develop and adopt common, high-quality assessments. New York State is fully committed to implementing the assessments by 2014–15.

The National Center on Education and the Economy's Board Examination Systems Consortium

The Chancellor of the New York State Board of Regents authorized NYS Education Commissioner David Steiner to sign 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 (see Appendix B_2_i_4: Memorandum of Understanding: State Consortium on Board Examination Systems), subject to the NYS Board of Regents' consideration of policy changes that are needed to implement the pilot. The consortium's goal is greatly raising 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 to 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 and could include the New York State Regents High School Examinations. New York State would identify at least 10 high schools from across the State to

participate in the pilot program. The NCEE Consortium on Board Examination Systems will apply for a grant under the High School Course Assessment portion of the United State Department of Education’s \$320M Race to the Top Assessment Program competition to develop and adopt common, high-quality assessments.

Reform Plan Criteria

(B)(3) Supporting the transition to enhanced standards and high-quality assessments (20 points)

The extent to which the State, in collaboration with its participating LEAs (as defined in this notice), has a high-quality plan for supporting a statewide transition to and implementation of internationally benchmarked K-12 standards that build toward college and career readiness by the time of high school graduation, and high-quality assessments (as defined in this notice) tied to these standards. State or LEA activities might, for example, include: developing a rollout plan for the standards together with all of their supporting components; in cooperation with the State’s institutions of higher education, aligning high school exit criteria and college entrance requirements with the new standards and assessments; developing or acquiring, disseminating, and implementing high-quality instructional materials and assessments (including, for example, formative and interim assessments (both as defined in this notice)); developing or acquiring and delivering high-quality professional development to support the transition to new standards and assessments; and engaging in other strategies that translate the standards and information from assessments into classroom practice for all students, including high-need students (as defined in this notice).

The State shall provide its plan for this criterion in the text box below. The plan should include, at a minimum, the goals, activities, timelines, and responsible parties (see Reform Plan Criteria elements in Application Instructions or Section XII, Application Requirements (e), for further detail). Any supporting evidence the State believes will be helpful to peer reviewers must be described and, where relevant, included in the Appendix. For attachments included in the Appendix, note in the narrative the location where the attachments can be found.

Recommended maximum response length: Eight pages

SECTION B(3) OVERVIEW

New York State will transition to new ELA and mathematics standards and assessments by implementing a bold and comprehensive implementation plan that includes development of statewide curriculum models, interim and formative assessments, and robust professional development opportunities.

VISION	New York will support the implementation of the Common Core ELA and mathematics standards and summative assessments by developing and implementing aligned statewide curriculum models, an integrated system of assessments, and comprehensive professional development.
STRATEGIES	<ol style="list-style-type: none">1. Realign high school diploma and assessment policies to support college success and career readiness2. Develop statewide curriculum models aligned to the new standards3. Develop supplemental assessments including performance-based formative and interim assessments4. Train all teachers and principals5. Pilot a board examination model
GOALS	New York's goal is to adopt the new Common Core State Standards in July 2010 and implement the standards in our classrooms for the 2011–12 school year. We will provide professional development for all our approximately 280,000 teachers and administrators prior to the start of the school year. The State will implement the Common Core summative assessments by the 2014–15 school year.

Many of the United State's high performing global competitors, including Japan, Korea, Singapore, and the United Kingdom, have achieved higher gains in student achievement by aligning their standards, curriculum, and assessments. These elements form the basis of both pre-service and in-service professional development, ensuring teachers are prepared to teach high standards and rigorous content and make full use of available assessment tools. Additionally, numerous high performing countries including the United Kingdom and France use Board Examination Systems to drive learning to high levels. These systems typically consist of a core program of courses, a well-designed syllabus, instructional materials matched to the syllabus, high-quality exams also matched to the

syllabus including formative and interim assessments, and professional development for teachers. In the United States, research has also shown that high-quality curriculum frameworks and assessments coupled with aligned professional development are significant factors in helping teachers provide effective instruction and quality education programs (citation: Don't Forget Curriculum, Grover J. "Russ" Whitehurst, The Brookings Institution, October 2009). New York intends to adapt these proven best practices to drive increases in student achievement statewide. As a first step, the Board of Regents College and Career Readiness Working Group has begun reviewing the State's high school diploma and assessment policies, programs, and systems to ensure New York's assessment system is vertically aligned with college and career expectations.

Strategies Supporting New York's Transition to Enhanced Standards and High-Quality Assessments

1. 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 New York State high school diploma requirements and Regents exams to better align them with college success and career readiness. The Working Group is also tasked with ensuring that New York's policies and criteria for the General Educational Development (GED) credential are better aligned to prepare those students seeking a GED. 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.

2. Develop Statewide Curriculum Models Aligned to the Common Core

To support the implementation of 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, etc.) regarding design principles and priorities. 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;
- 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.

3. Develop supplemental assessments including performance-based formative and interim assessments

To support instructional decision-making, teacher professional development, and accountability, New York will build an integrated and comprehensive assessment system that includes: formative, interim, and summative assessments aligned to the Common Core standards; comprehensive K–2 assessments; assessments in the arts, economics, and multimedia/computer technology, and the next generation of high school assessments.

Beginning with the Common Core standards in ELA and math for grades K–12, 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

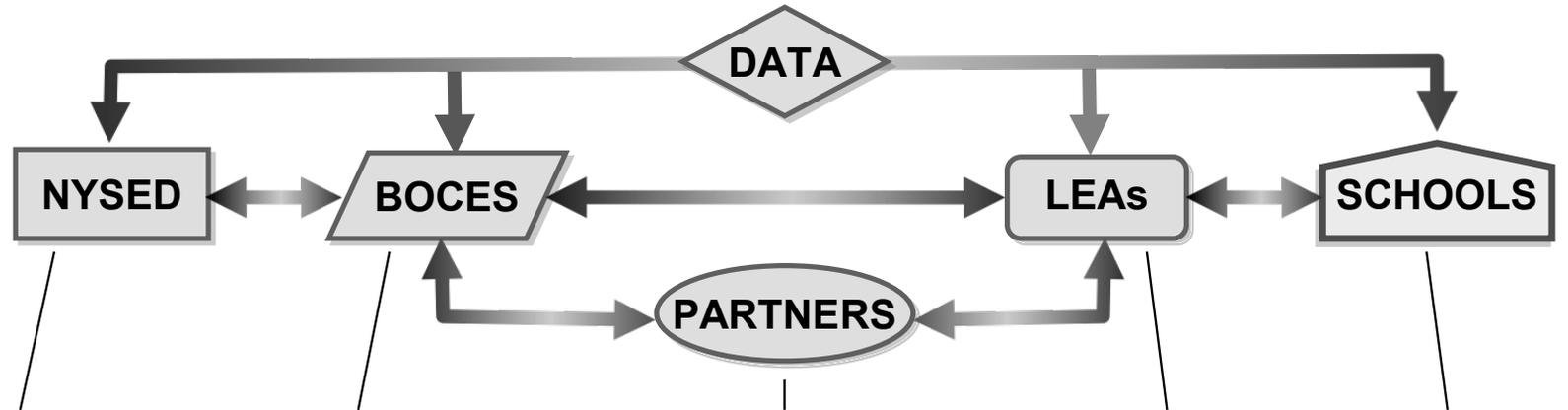
year diagnostic assessment, one-time or ongoing literacy assessments, and a bank of performance tasks and multiple choice items that can be integrated into curriculum and classroom instruction throughout the year. As students progress through our PreK–12 system, the results of our formative and interim assessments will be incorporated into our statewide P–20 data system, further informing professional development strategies and differentiated instruction for students. Specifically, the instructional reporting and improvement system (described in Section (C)(3)), will enable educators to view a wealth of data about their students, work together to analyze deficiencies in student achievement, decide on research-based interventions, and evaluate results.

We will also develop other supplemental assessments to ensure educators have a full suite of assessment resources. Early elementary educators will be provided with formative, interim, and summative assessments for grades K–2. We will also build new assessments in the arts, economics, and multimedia and computer technology to ensure our graduates are fully literate in 21st century skills. We will 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). We will also build formative and interim assessments for social studies that connect knowledge and skills (e.g. emphasis on document-based questions). Secondary school students will benefit from 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.

The State’s 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 (Mislevy, Almond, & Lukas, 2003).



STANDARDS AND ASSESSMENTS



- Regents adopt Common Core standards with NYS-generated 15% supplements
- Revise science and social studies standards; create/revise standards in arts, technology, and economics
- Regents analyze HS graduation requirements and align with college and career success
- Establish statewide curriculum models
- Create new formative, interim, and summative assessments as a leader in a 27-state consortium

- Network Teams:
- Deliver professional development to support implementation of new standards, curriculum, and assessments

- Participate in development of statewide curriculum models and formative/interim assessments
- Develop content for professional development

- Support and monitor schools in implementation of standards, curriculum, and assessments

- Implement new/revise standards, statewide curriculum models, and assessments
- Implement inquiry teams to drive instructional and curricular differentiation to support student achievement
- Create individual teacher development plans to address specific teacher needs

OUTCOME:
Students are on track to college and career success

4. Provide Professional Development for all Teachers, Principals, and Administrators

As described in Section (A), New York will provide professional development support for implementation of the Common Core standards, statewide curriculum models, and comprehensive assessments beginning in the 2011–12 school year. Network teams, based in the BOCES and within our five largest school districts, will provide sustained intensive professional development, which will include strategies for English language learners and students with disabilities. Network teams will also support teachers in using the more rigorous performance-based assessment tasks aligned to the Common Core which will first be introduced in a formative context during the school year before this type of assessment is used for summative and accountability purposes.

While network teams will be the delivery vehicle for our professional development, external partners will be selected via Request for Proposal (RFP) to develop professional development content which will leverage online learning technologies. Additionally, the State’s in-service professional development will include the use of video, allowing teachers to review videos of master teachers and also analyze their own teaching practices. The effectiveness of our professional development efforts will be continuously monitored and evaluated by the RTTT Performance Management team by analyzing the impact on student achievement data.

5. Pilot a Board Examination Model

New York intends, subject to Regents review, to pilot a board examination system as a governing state in a consortium with the National Center on Education and the Economy (NCEE). New York joined the State Consortium on Board Examination Systems,

currently made up of 10 states¹³ (see Appendix B_2_i_4: Memorandum of Understanding: State Consortium on Board Examination System). The consortium's goal is greatly raising 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. Consortium states will pilot the program in at least 10 schools before it is rolled out statewide. New York State would identify at least 10 high schools from across the State to participate in the pilot program. Those schools participating in the pilot will implement the Common Core State Standards in ELA and mathematics beginning in Fall 2011.

Goals

New York will adopt the new Common Core State Standards in July 2010 and implement the standards in our classrooms for the 2011–12 school year. Professional development will be provided for all approximately 280,000 teachers and administrators prior to the start of the 2011–12 school year. Summative assessments aligned to the Common Core will be implemented by the 2014–15 school year.

13 The states that are part of the NCEE Board Examination Consortium are Arizona, Connecticut, Kentucky, New Hampshire, Maine, Mississippi, New Mexico, New York, Rhode Island, and Vermont.

New York State: Race to the Top: Selection Criteria and Competition Priorities

Timeline	Activities
May 2010	Board Examination Pilot MOU signed with NCEE
July 2010	School districts volunteer to participate in Board Examination Pilot; NYSED finalizes participating districts, based on need and capacity to implement
July 2010	Board of Regents adopts Common Core ELA and math standards
July 2010	Recommendations to the Board from the Regents' College and Career Readiness Working Group to realign high school diploma and assessments to support college success and career readiness
December 2010	Select an external provider via RFP to build statewide curriculum models and related professional development content in ELA and math, aligned with the Common Core standards; stakeholder feedback will be solicited and considered as part of development process
January 2010	Select an external provider via RFP to collect performance-based formative assessment tasks aligned to the Common Core that have been developed by New York educators; conduct peer review process
January 2011	Board of Regents considers and adopts up to 15 percent additional standards
March 2011	Select external providers via RFP to develop item banks of performance-based formative assessment and interim assessments aligned to the Common Core standards and emerging statewide curriculum models
April 2011	Formative assessments developed by State educators disseminated through the State's Education Data Portal for use in the classroom and for professional development.
Summer 2011	Communicate through all USNY partners' resources and practices available to support the transition to the new standards and assessments; engage all stakeholders, including teacher and leader representatives, school boards, and parents in the dissemination of this information, maximizing the use of the NYSED website and e-mail distribution lists to promote this work
September 2011	New statewide curriculum models available for implementation in classrooms
September 2011	Begin pilot of NCEE State Board Examination System
December 2011	Select external providers via RFP to develop formative, interim, and summative tests for K-2 in the arts, economics, and multimedia and computer technology; and for grades 3-8 in blended sciences and social studies
September 2014	Implement summative assessments with the PARCC consortium

C) Data Systems to Support Instruction (47 total points)

(C)(1) Fully implementing a statewide longitudinal data system (24 points – 2 points per America COMPETES element)

The extent to which the State has a statewide longitudinal data system that includes all of the America COMPETES Act elements (as defined in this notice).

In the text box below, the State shall describe which elements of the America COMPETES Act (as defined in this notice) are currently included in its statewide longitudinal data system.

Evidence:

- Documentation for each of the America COMPETES Act elements (as defined in this notice) that is included in the State’s statewide longitudinal data system.

Recommended maximum response length: Two pages

SECTION (C) OVERVIEW

Over the past several years, the State of New York has developed a P–16 data system that meets all requirements of the America COMPETES Act. This system includes longitudinal student data from pre-kindergarten through grade 12 (P–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, among other things, 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. To reach this vision, New York will complete the following milestone activities:

- Further refine and adopt an updated statewide data governance structure (C)(2).

- 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 (C)(2).
- Create a statewide Comprehensive Instructional Reporting and Improvement System that will be 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 (C)(3).
- Provide integrated, ongoing professional development to educators on the use of data and information through a statewide network (C)(3).
- 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 best practices (C)(3).

SECTION (C)(1) OVERVIEW

Through an aggressive and accelerating plan of data collection, the New York State Education Department (NYSED) has been able to expand its data system dramatically and now collects all 12 data elements required in the America COMPETES Act. This growth in the data system was mandated by the Board of Regents and follows Regents policy developed in 2005.

NYSED established a statewide longitudinal data system (LDS) and a unique statewide student identifier system in the 2005–06 school year to collect and report student-level data for grades pre-kindergarten through 8. The LDS—or the Student Information Repository System (SIRS)—included demographic, enrollment and exit outcomes, program participation, and assessment information.

In 2006–07, the LDS was expanded to include these data for grades 9–12, as well as data from college readiness tests (e.g., SAT, Advanced Placement) that are approved alternatives to high school Regents examinations; that collection expanded this spring with a full agreement between the College Board and NYSED to exchange data and engage in joint research projects. In 2007–08, NYSED

began collecting additional data elements, including data for preschool students with disabilities, to assist with accountability reporting for the Individuals with Disabilities Education Act (IDEA).

In a state as large and diverse as New York, we have found that complex data initiatives are best introduced in phases. Such an approach allows for the voluntary participation of early leaders, the gathering of feedback and the implementation of improvements and feature enhancements prior to launch at scale, and decreased frustration and increased stakeholder buy-in. Building on work that began as early as the 2005–06 school year, NYSED established pilot projects this past fall with selected school districts and created a new system to collect teacher- and student-level transcript information. That system has now been expanded statewide, with unique statewide teacher and course codes for all schools and districts and procedures to include teacher and course data in the LDS.

In 2008, the Board of Regents developed a memorandum of understanding with the State’s two public systems of higher education—the State University of New York (SUNY) and the City University of New York (CUNY)—to work toward a P–16 data system with an exchange of data. That agreement has resulted this spring in an extensive exchange of data among the NYSED, SUNY, and CUNY systems that enables the analysis of student transition from high school to college, as well as remediation and retention in college.

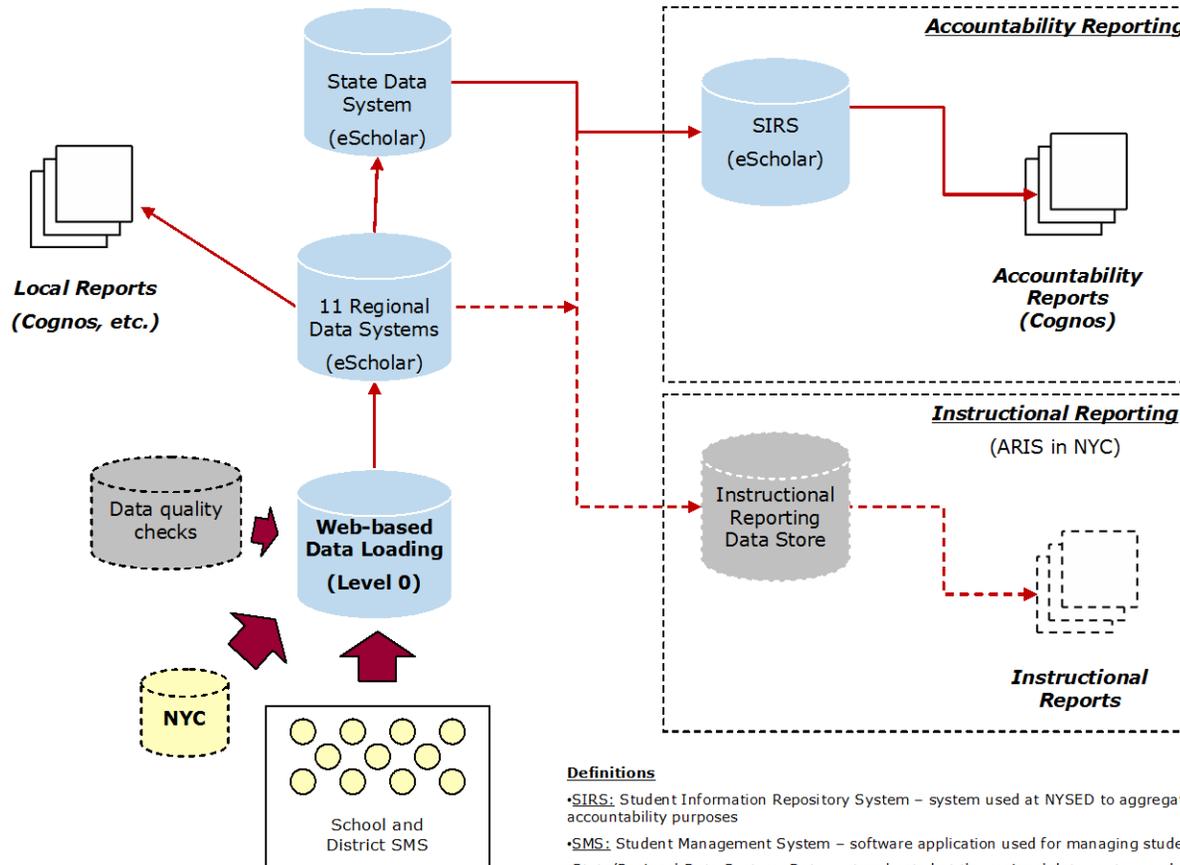
New York’s P–16 statewide data model is now collecting data on student demographics, assigned teachers, student enrollments and exit outcomes, course information, program services, assessments, and transition to and success in higher education. (See Appendices C_1_1 through C_1_14 for more information and documentation.)

Current Status of the P–16 Longitudinal Data System

Beyond meeting each of the America COMPETES data elements, New York’s LDS is distinctive in its design. The State’s work is based on the collaboration that occurs among NYSED, our 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. The schematic below depicts the P–12 portion of New York’s data system.

P-12 Data System with Instructional Reporting



Definitions

- SIRS:** Student Information Repository System – system used at NYSED to aggregate and report student data for accountability purposes
- SMS:** Student Management System – software application used for managing student data for a school or district
- State/Regional Data System:** Data system hosted at the regional data centers and NYSED that stores aggregated educational data from all districts within the region or state
- ARIS:** Achievement Reporting and Innovation System - system similar to SIRS but used for instructional reporting
- Level 0:** Web-based student data collection tool, used to upload data from districts

Many of the current features of the LDS had their origins in regional services that arose to meet the needs of local school districts. This dynamic has produced innovations that have matured into a statewide standard data model, a statewide standard data verification tool, and protocols for collecting data that link teacher, course, and student performance data. The State is now on the cusp of integrating and standardizing our statewide instructional reporting and professional development platform based on the regional best practices that have emerged over the past few years (see Section (C)(3)).

New Funding for Dramatic Improvements in the Data System

New York's data system will be even further enhanced and expanded through the receipt of two grants totaling \$40.1 million that were just awarded. The first grant came in the form of a special recognition by the federal government. In the competition for federal American Recovery and Reinvestment Act longitudinal data system grants, New York's application was ranked first among the 53 states and possessions that applied. As a result, NYSED was awarded a \$19.7 million federal grant, the largest amount awarded, from the Institute of Education Sciences (IES). Despite New York State's extraordinarily difficult financial situation, the Governor and State legislature also recognized the importance of education data by awarding the second grant, for \$20.4 million (see Appendix C_1_16). The State plans to leverage all of this funding to help expand the longitudinal data system and create the Education Data Portal and Comprehensive Instructional Reporting and Improvement System, which are described in the following subsections.

It will be in this last initiative that New York's regional data networks will return their richest dividends. The State has a store of best practices and regional experiences to help it manage the complex set of relationships that will be necessary to fully integrate its data system into an integrated network of ongoing instructional improvement and professional development.

Evidence for (C)(1): Documentation for each of the America COMPETES Act data elements (as defined in this notice) that is included in New York’s statewide longitudinal data system

America COMPETES Act Data Elements Included in the New York’s Statewide Longitudinal Data System

Element	NYS	Evidence
1	Yes	<p>New York has a unique student identifier system in place that does not permit a student to be individually identified by users of the system. This identifier is randomly generated from a combination of multiple data elements, and is encrypted throughout the data collection and storage process. This unique student identifier system has been used for reporting since 2005–06 (see Appendix C_1_1).</p>
2	Yes	<p>New York collects P–12 student-level enrollment, demographic, and program participation information. These data have been used for reporting since 2006–07 (see Appendix C_1_2).</p>
3	Yes	<p>New York collects student-level information about the points at which students exit, transfer in, transfer out, drop out, or complete P–16 educational programs. The P–16 student-level data system includes enrollment and outcomes that were reported directly by New York’s P–12 educational entities and public higher education institutions (see Appendix C_1_2). The system also includes nationwide postsecondary enrollments and outcomes available to New York through its statewide contract with the National Student Clearinghouse (see Appendices C_1_3 through C_1_5). These P–12 data have been in place for reporting purposes since 2006–07. The Parthenon Group began analysis of higher education data for NYSED in the summer of 2009 (Appendix C_1_6). Similar data from SUNY and CUNY are being collected now.</p>

4	Yes	<p>New York has the capacity to communicate with higher education data systems. During this year, NYSED has provided its two public systems of higher education—SUNY and CUNY—with the unique statewide student identifier, student-level enrollment and outcome information (including year of graduation and diploma earned), and assessment information (including performance on Regents examinations). SUNY and CUNY have provided NYSED with student-level enrollment information and key indicators of postsecondary success, including participation in remedial coursework, credit hours earned, grade point averages, academic program of study, and degree earned (see Appendices C_1_7 and C_1_8 for the data-sharing agreements between NYSED and SUNY/CUNY). In addition, CUNY shares electronic student-level transcript information with the New York City Department of Education (NYCDOE).</p> <p>NYSED, SUNY, and CUNY have agreed to pursue an aggressive program and analysis with the data. In November 2008, representatives from NYSED, SUNY, and CUNY, as well as representatives from three of New York’s big-city school districts, signed a memorandum of understanding to establish data governance and accessibility protocols for a P–16 data system (see Appendix C_1_9). In addition, New York has a contract with the National Student Clearinghouse and collects college enrollment and outcome information for New York students (see Appendix C_1_3). Additional higher education data will be available for reporting and analysis purposes beginning in 2010–11.</p>
5	Yes	<p>New York has a P–12 state data audit system in place to assess data quality, validity, and reliability. The vast majority of school districts submit their data to the LDS through a web-based application, which provides single-year and year-to-year edit checks and reports against within-domain and across-domain business rules (see</p>

		<p>Appendix C_1_10). Edit checks are also applied to all data when they are loaded to the LDS by regional data centers. Verification reports are provided to school districts to ensure consistency of data based on the statewide unique student identifier (see Appendix C_1_11). Year-to-year “reasonableness” checks are provided to users via Cognos- and Java-based verification reporting tools. Finally, NYSED personnel conduct additional checks and provide notifications to schools that appear to have unusual year-to-year changes on critical data elements.</p>
6	Yes	<p>New York collects yearly test records of individual students under section 1111(b) of the ESEA [20 U.S.C. 6311(b)]. These include performance level and item response data for the elementary/middle-level assessment program in English language arts, mathematics, science, and social studies, as well as scores obtained on New York’s secondary-level Regents examinations (see Appendix C_1_2).</p>
7	Yes	<p>New York collects information on students not tested by grade and subject for the elementary/middle-level assessment program in English language arts, mathematics, science, and social studies, as well as scores obtained on New York’s secondary-level Regents examinations (see Appendix C_1_2).</p>
8	Yes	<p>New York has a teacher identifier system with the ability to match teachers to students and is collecting these data (see Appendix C_1_12). These data are being collected now and will be available for reporting purposes beginning with the 2010–11 school year and will supply information for the instructional improvement reports described in Section (C)(3).</p> <p>The State took a phased approach to incorporating this data element into the LDS. Phase I of this statewide initiative, which began at the beginning of 2009–10, was optional for schools and districts through pilots and required manual data processing steps that will become automated during later phases.</p>

		<p>During Phase II, which began in Spring 2010, all schools and districts were requested to submit teacher and course data (see Appendix C_1_13). Districts receive statewide unique teacher identifiers from NYSED via a secure file transmission process. These are the unique identifiers that have long been present in the NYSED teacher certification database. Local and statewide teacher identifiers, teacher course and building assignment codes, student course enrollment (using both local and statewide course codes) for all elementary/middle- and secondary-level courses that lead to a State assessment, and course attributes (e.g., grades) for secondary-level courses that lead to a State assessment were extracted from the student management system. Statewide unique teacher identifiers were appended to the teacher/course manual extract, which was then sent manually to the regional data center. The regional data centers moved the teacher/course data to the statewide LDS through automated processes.</p> <p>During Phase III of this initiative, all districts will be required to provide data throughout the 2010–11 school year. The data described above will be extracted from the local student management system and loaded into the statewide LDS through typical automated data flow processes.</p>
9	Yes	<p>New York collects student-level transcript information, including information on courses completed and grades earned (see Appendix C_1_12). These data are being collected in spring 2010 and will be available for reporting purposes in the 2010–11 school year and will supply the information for the instructional improvement and early warning reports described in Section (C)(3), as well as a P–16 student transcript system capable of the direct exchange of student-level records, consistent with State and federal privacy laws and regulations, among NYSED, its SUNY and CUNY public institutions, and private higher education organizations.</p> <p>As described for Element (8), Phase I of this statewide initiative began at the beginning of the 2009–10 school year.</p>

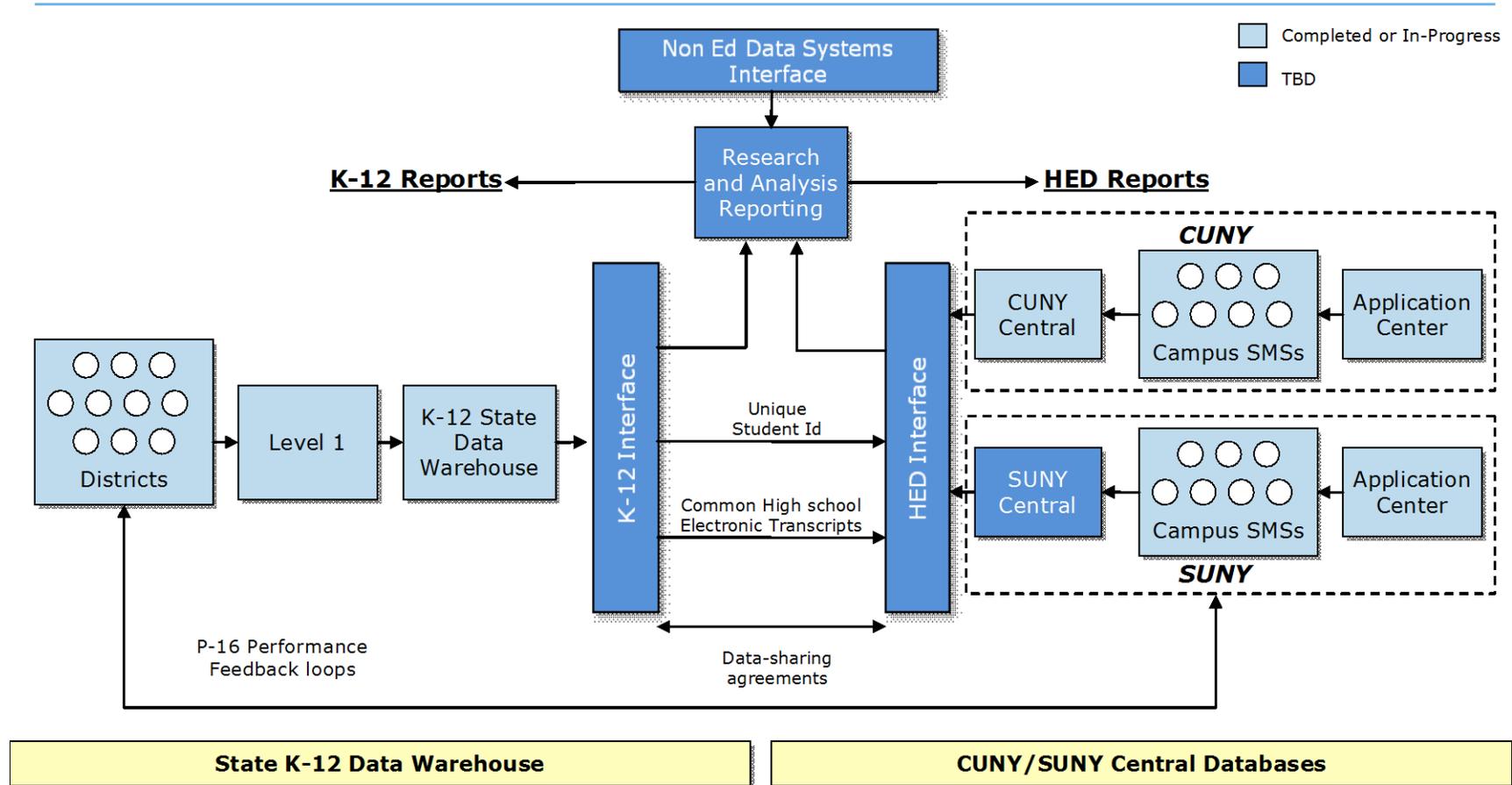
		<p>Phase I was optional for schools and districts through pilots and required manual data processing steps that will become automated during later phases (see below).</p> <p>Phase II began this spring. During Phase II, all schools and districts were requested to submit teacher and course data (see Appendix C_1_13). In Phase II, districts receive statewide unique teacher identifiers from NYSED via a secure file transmission process. These are the unique identifiers that have long been present in the NYSED teacher certification database. Local and statewide teacher identifiers, teacher course and building assignment codes, student course enrollment (using both local and statewide course codes) for all elementary/middle- and secondary-level courses that lead to a State assessment, and course attributes (e.g., grades) for secondary-level courses that lead to a State assessment were extracted from the student management system. Statewide unique teacher identifiers were appended to the teacher/course manual extract, which was then sent manually to the regional data center. The regional data center moved the teacher/course data to the statewide LDS through automated processes.</p> <p>During Phase III of this initiative, all districts will be required to provide data throughout the 2010–11 school year. The data described above will be extracted from the local student management system and loaded into the statewide LDS through typical automated data flow processes.</p>
10	Yes	<p>New York collects student-level college readiness test scores in the statewide LDS. NYSED receives these data, including PSAT, SAT, and Advanced Placement scores, through a data-sharing agreement with the College Board (see Appendix C_1_14), as well as through student performance scores on New York’s high school Regents examinations. NYSED also shares P–12 data with the College Board. This information will be used for reporting purposes beginning in 2010–11.</p>

11	Yes	<p>New York collects information regarding the extent to which students transition successfully from secondary school to postsecondary education, including whether students enroll in remedial coursework. SUNY, CUNY, and NYSED exchange information regarding the extent to which students transition successfully from secondary school to postsecondary education, including whether students enroll in postsecondary remedial coursework and the postsecondary grade point average (see Appendices C_1_7 and C_1_8 for the data-sharing agreements between NYSED and SUNY/CUNY).</p> <p>In addition, postsecondary data retrieved from the National Student Clearinghouse (see Appendix C_1_3) have been incorporated into the P–16 data system and matched to students’ P–12 data for further analysis. The National Student Clearinghouse data provide information on student enrollment, transfers, educational persistence, and completion of postsecondary education. Degree and course information are available for more in-depth analyses (e.g., higher education graduation rates by race/ethnicity; persistence by amount of remedial work, etc.). Additional higher education data will be available for reporting and analysis purposes beginning with the 2010–11 school year.</p>
12	Yes	<p>New York collects other information determined necessary to address alignment and adequate preparation for success in postsecondary education. SUNY, CUNY, and NYSED exchange other information necessary to address alignment and adequate preparation for success in postsecondary education, including high school diploma outcomes, performance on high school assessments, postsecondary total credits earned, academic program of study, and postsecondary degree earned (see Appendices C_1_7 and C_1_8 for the data-sharing agreements between NYSED and SUNY/CUNY). The Parthenon Group completed an analysis for NYSED that examined the student-</p>

	level demographic, enrollment, and assessment variables that predict success in postsecondary education (see Appendix C_1_6).
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The schematic below depicts New York’s expanded P-16 data system.

Expanded Bi-directional P-16 Data Flow Diagram (SUNY/CUNY)



CONCLUSION

New York has developed a P–16 data system that meets all requirements of the America COMPETES Act. New York’s data system will be a key resource upon which all other educational reform proposals will rely. The State plans to leverage this comprehensive data system to provide critical support for the development of the Education Data Portal and Comprehensive Instructional Reporting and Improvement System, which are described in the following subsections and which will provide a foundation for the State’s proposals in college-readiness standards and assessments, educator effectiveness, and school turnaround.

Reform Plan Criteria

(C)(2) Accessing and using State data (5 points)

The extent to which the State has a high-quality plan to ensure that data from the State’s statewide longitudinal data system are accessible to, and used to inform and engage, as appropriate, key stakeholders (e.g., parents, students, teachers, principals, LEA leaders, community members, unions, researchers, and policymakers); and that the data support decision-makers in the continuous improvement of efforts in such areas as policy, instruction, operations, management, resource allocation, and overall effectiveness.

The State shall provide its detailed plan for this criterion in the text box below. The plan should include, at a minimum, the goals, activities, timelines, and responsible parties (see Application Instructions or Section XII, Application Requirements (e), for further detail). Any supporting evidence the State believes will be helpful to peer reviewers must be described and, where relevant, included in the Appendix. For attachments included in the Appendix, note in the narrative the location where the attachments can be found.

Recommended maximum response length: Two pages

(C)(2) OVERVIEW

VISION	New York will have an Education Data Portal that provides a networking platform and information repository for dashboard reports and other customized resources so that diverse stakeholders—including educators, parents, students, policy leaders, researchers, and the media—can access and analyze educational data, make decisions, and take actions to improve outcomes for New York’s students.
STRATEGIES	<ol style="list-style-type: none"> 1. Design and build an Education Data Portal to be broadly accessible for New York’s diverse stakeholders, with customized and timely information, including dashboard reports based on stakeholder role. 2. Use the Data Portal as a multimedia networking platform to support professional development (including online video) and instructional improvement. 3. Ensure broad usage and stakeholder satisfaction through pilot programs and other staggered rollouts to gather feedback for improvements prior to statewide implementation. 4. Continually improve the Data Portal through embedded surveys and other feedback tools, as well as State and regional data governance initiatives.

GOALS

- ▶ Build an Education Data Portal prototype, with a pilot program rollout in a cross-section of urban, suburban, and rural districts by September 2011.
- ▶ Roll out and promote the improved Data Portal for all users, schools, and districts by April 2012.
- ▶ Achieve 240,000 annual Portal users by 2013–14.
- ▶ Receive feedback from at least 5 percent of the Portal users each year on how to improve user experience and increase the Portal's educational efficacy.
- ▶ By 2013–14, receive reports from 90 percent of users that the Data Portal helped drive policy decisions, instructional improvement efforts, and professional development activities.

EDUCATION DATA PORTAL DESCRIPTION

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.

All 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. All dashboard reports

can be customized, and additional reports can be created as needed through drag-and-drop modules. Easy-to-use basic descriptive and inferential statistical tools (e.g., charts and correlations) will be available.

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. 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.

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, identified in the following areas.

Educators and Educators-in-Training

The Education Data Portal will provide timely information to help teachers (including teacher trainees) and other school leaders make better instructional decisions; improve teacher recruitment, induction, evaluation, and retention; guide program design; and identify opportunities for effective professional development. The portal will help educators assess the early intervention needs of at-risk and typically underserved student populations (e.g., English language learners, students with disabilities, overage and under-credited high school students, etc.). Superintendents and leaders in higher education will be able to understand which teacher and administrator preparation programs tend to produce effective teachers and principals.

School Assistance Teams

As described in Section (E)(2), teams involved in the turnaround of struggling schools will need specialized access to local and statewide data to identify critical needs and evidence-based strategies. In developing the Portal, the State will keep in mind the specific needs of these users:

Joint Intervention Teams (JITs) are appointed by the Commissioner and make recommendations for schools in the Restructuring phase of Differentiated Accountability. They include a representative of the school district, a NYSED staff member, an external education expert, and content area specialists as appropriate. The JIT will use the Data Portal to conduct a diagnostic assessment of a school's educational program (including an analysis of student performance with a specific focus on the needs of English language learners, students with disabilities, and at-risk students) and establish the root causes for the school's failure to make progress.

The *External Technical Assistance Center for Innovation and Turnaround* (ETACIT) will use the Data Portal to help persistently lowest-achieving schools select, plan, and implement an intervention model, as well as identify Intervention Partners based on the needs of the school and school community. ETACIT will provide data-based technical assistance to help schools identify and develop the key competencies for principals and staff to ensure the success of the school's intervention model.

Intervention Partners, selected by persistently lowest-achieving schools with the approval of the Commissioner, will include nationally renowned private non-profit organizations, new small school developers, leading charter management organizations, universities, virtual and blended school providers, autonomous internal district offices, and individual Boards of Cooperative Educational Services (BOCES). These Intervention Partners will use the Data Portal to provide schools with differentiated supports for the turnaround, restart, and transformation models, including curriculum materials consistent with the State's curricular frameworks and with aligned professional development for both teachers and principals. Additionally, as a result of data gathered through our Teacher and Principal evaluation system (See Section D), Intervention Partners will use the Data Portal to assist schools in creating individualized teacher professional development plans for teachers who were rated unsatisfactory.

Parents

The Parent Portal will help parents understand their child’s progress as he or she moves through school toward graduation and college/career readiness. Modeled on the work completed by New York City as part of its instructional improvement system, the Parent Portal will provide an interactive portfolio of test scores, course grades, and attendance information and will be available in multiple languages.

Typically Underserved Users without Computers

Although we must leverage technology to allow the data system to achieve lasting impact on instructional and other educational decision-making, NYSED is well aware of the “digital divide” that exists between those with and without access to computers and Internet connections. For those without digital connections, the Parent Portal will be available online and in print archives at local libraries. NYSED will also seek grant funding, and will support the efforts of local school districts to do the same, to provide parents and students with access to the Internet through the purchasing and lending of laptops, netbooks, and personal digital assistants that can access the Internet in local libraries and other “hot spot” locations with free and secure wireless Internet connections. In addition, NYSED will explore options for developing push technology within the data system, so that Data Portal information can be downloaded onto equipment while students are at school and then available for review offline when students are at home. NYSED will encourage its P–16 partners, including schools and institutions of higher education, to allow parents and students without access to the Internet to use computer facilities as schedules and space permit.

Students

The Education Data Portal will serve as a convenient access point for students to access records (test scores, grades, schedules, attendance, discipline, etc.), as well as summary information about their own school and schools in other regions. The Data Portal’s localization features will allow regional data centers to innovate, and to integrate information contained in local district data systems

(such as student portfolio work samples) into a student’s Data Portal for archival and display purposes. The Data Portal will also be a useful tool for students who are researching their options for enrolling in college. Students will prefer the Data Portal over Internet searches because of the customization available on their portal home page and the simple access to trusted and authoritative data sources. Future enhancements can include integration of the college application experience, including a universal college application format and a quick and secure protocol for sharing student transcripts.

Policy Leaders

Leaders in educational policy—including superintendents, school board members, members of Congress and the State legislature, the Governor’s office, and the Board of Regents—will have access to customized reports that provide information regarding K–12 program effectiveness, higher education program effectiveness, and the adequacy of teacher preparation programs. Information will be available to help inform discussions regarding teacher and administrator evaluation, as well as policy decisions regarding student performance and the achievement gap. Models will be developed to determine the educational pathways that predict student success and “early warning systems” that predict high school dropout rates or lack of adequate preparation for college or careers. The system will allow systematic tracking of return on investments by linking interventions and outcomes, permitting data-informed decisions to reallocate resources away from underperforming initiatives and into innovative, high-performing ones.

Researchers, Media, and Advocates

To ensure that policy initiatives receive strong public scrutiny, the Data Portal will provide researchers, the media, and advocates with full access to data, consistent with State and federal privacy laws. This open-access approach aligns with NYSED’s aggressive research agenda and the efforts of the State’s many established research collaborations. The New York Education Research Consortium—which NYSED leads along with researchers from Syracuse University and the State University of New York at

Albany—fosters an exchange of ideas that inform education policy decisions; assist education policy decision-makers in identifying issues that require study; and produce quality and timely research that contributes to the development of education policy. Text and video summaries of the consortium’s yearly conferences will be available via the Data Portal. Similar information will be shared from NYSED’s other active research collaborations—including partnerships with Harvard University for an independent evaluation of the State’s assessment system, and Stanford University for an independent evaluation of New York’s network of charter schools. NYSED also makes data available freely to the media. For example, using data provided by NYSED, the *New York Times* recently posted an interactive web-based tool that allows the public to access a decade of assessment and student demographic data by school and district.

STEM Innovations

The use of the longitudinal data system (LDS) and Education Data Portal for ongoing research is particularly important to help close the achievement gap and further the progress of typically underrepresented groups, such as women and minorities, in science, technology, engineering, and mathematics (STEM). Since data available through the Portal will allow researchers to track students’ P–16 STEM education experiences, this information will assist NYSED in the design and evaluation of educational innovations to increase the number of citizens, including women and minorities, seeking higher education and, ultimately, careers in the STEM fields. New STEM initiatives are described in several parts of this application. In Section (D), there are initiatives to increase the number of qualified STEM teachers, to increase STEM course offerings, and to increase partnerships with institutions of higher education to provide more STEM experiences for middle and secondary students. In Section (E), there are proposals to increase the number of STEM-centered schools, especially for minority and women students, and to encourage Intervention Partners to focus on STEM initiatives. The data collected on all of these efforts will help NYSED and other policymakers to evaluate results and make adjustments as needed.

ACTIVITY 1: INCREASE THE REPRESENTATION AND EFFECTIVENESS OF STATE AND REGIONAL GOVERNANCE GROUPS

NYSED recognizes that educational reform is predicated on a comprehensive, system-wide management process that supports and promotes effective uses of high quality data. People only use data they trust; proper governance ensures data integrity. In particular, New York’s governance process will ensure that researchers continue to receive ongoing and transparent access to data contained in the Data Portal. Therefore, the continuous refinement of its data governance initiative is at the center of New York’s educational reform plans. With technical assistance from The Parthenon Group and the Center for Educational Leadership and Technology (CELT), NYSED is extending and refining its State and regional governance groups based on methodologies proven successful in other states (see Appendix C_2_1 for additional information about New York’s state and regional data governance models).

Responsible Parties: Data Management and Policy Boards and the P–20 Data System Executive Committee

Timeline for Completion: January 2010 to June 2010

ACTIVITY 2: IDENTIFY THE FUNCTIONAL REQUIREMENTS FOR THE DATA PORTAL THROUGH STATE AND REGIONAL GOVERNANCE GROUPS AND BASED ON LEADING RESEARCH

New York’s data system is governed by the Board of Regents and, under the Board, a P–20 Data System Executive Committee—composed of the leaders of the State Education Department, SUNY, CUNY, and three of the State’s largest school systems—that was created in 2008. Through its governance system, NYSED will work with P–16 representatives in higher education, key P–12 school districts, higher education, other State agencies, students and parents, union leaders, the New York State School Boards Association, and executive and legislative liaisons to ensure that clear and effective dashboards, analyses, and portal-based tools are available to support effective and continuous educational improvement. The State will build upon the strengths and lessons learned

from existing instructional reporting initiatives,¹⁴ as well as best practices from other states and organizations. (See Section (C)(3) for additional details.)

New York's extended governance network (which includes regional advisory boards throughout the State) will be responsible for gathering stakeholder feedback and making recommendations regarding functional design requirements for the Data Portal. The Data Management Board will be responsible for gathering this information and making recommendations to the Data Policy Committee. P-20 task forces will integrate this information with best practices, as determined by analyzing the relevant research literature, and make recommendations to the P-20 Data System Executive Committee (see Appendix C_2_1 for additional information on governance roles).

Responsible Parties: Data Management Board, Data Policy Committee, the P-20 task forces, and the P-20 Data System Executive Committee

Timeline for Completion: July 2010 to September 2010

ACTIVITY 3: BUILD THE DATA PORTAL PROTOTYPE WITH ROLLOUT IN A CROSS-SECTION OF URBAN, SUBURBAN, AND RURAL DISTRICTS

Activity 3.1: Create an Instructional Data Portal Prototype

Through a competitive procurement process, the State will establish a contractual relationship with a vendor to develop an instructional data presentation tool (such as New York City's instructional improvement system) that includes the capacity to quickly deliver student, classroom, and school-level instructional reports; allow for ad hoc data queries/reports; and contain teacher and parent portals that incorporate social media technologies to support collaboration and professional development. The State will

¹⁴ See Appendix C_2_2 for a sample summary of instructional reports, tools, and support presently available to districts and schools.

ensure that this data presentation tool will display data from the statewide data model, as well as local data sets that are important to individual regions of the State.

Responsible Parties: NYSED and Data Portal system vendor

Timeline for Completion: October 2010 to September 2011

Activity 3.2: Expand Capacity and Infrastructure of Regional Data Networks

All schools in New York State store data in and receive data reports from one of the State's regional data centers. The State and the regional data centers store data using the same standard data model (eScholar), which ensures compatibility across all levels of the system. The State will continue to develop the capacity and infrastructure of our regional data networks so that instructional data will be staged and refreshed regionally to ensure quick delivery of timely data to teachers. NYSED will pull relevant data from regional networks on a periodic and as-needed basis.

Responsible Parties: NYSED and regional data centers

Timeline for Completion: October 2010 to December 2010

Activity 3.3: Develop Capacity to Authenticate Users

The State will develop the capacity to authenticate users of the data system at the statewide, district, building, and classroom levels and for the teacher, teacher trainee, administrator, student, parent, policy leader, and researcher/media/advocacy roles. Data will be available as appropriate to each user role and level.

Responsible Parties: NYSED, Data Portal system vendor, and regional data centers

Timeline for Completion: October 2010 to December 2010

Activity 3.4: Create Enforceable and Accountable Performance Objectives

The State will create enforceable and accountable performance objectives for our statewide regional data centers and instructional networks (including New York City Department of Education, regional data centers, and BOCES), with opportunities for schools to choose support networks based on a demonstrated history of success. Performance objectives for regional data centers will include ensuring timely access to complete and accurate data for the regional stakeholders. Performance objectives for instructional networks will include implementing the professional development activities described in Section (C)(3).

Responsible Parties: NYSED and P-20 Data System Executive Committee

Timeline for Completion: January 2011 to September 2011

Activity 3.5: Provide Growth, Value-Added, and Other Student Information

The State will work with researchers (see Section D for the pending agreement between NYSED and the National Center for the Improvement of Educational Assessment to assist with the development of New York’s growth model), policymakers, and representatives from collective bargaining groups to provide growth and value-added information to stakeholders through the Data Portal. The growth model will provide a more precise measure of annual student growth and help educators to evaluate whether a student is “on track” to reach proficiency by a specified time or “on track” to remain proficient or improve the level of proficiency. The value-added model will be used in the updated teacher evaluation system described in Section (D)(2). These data will provide teachers and principals with growth percentiles and progress-toward-growth benchmarks for individual and aggregated groups of students. Growth and value-added information will help educators plan better curriculum and instruction, help parents understand their children’s progress, and assist policymakers in their efforts to set allocation and intervention priorities.

Data from other State agencies—including early childhood, health, children/family services, and criminal justice—will be incorporated into the data system in a manner consistent with federal and State privacy laws, which will improve the State’s ability

to develop Early Warning Reports designed to identify and provide support to students at risk of not completing education programs. Additional P–20 data, such as workforce and military, will be incorporated, and access will be granted to appropriate users.

Responsible Parties: NYSED and P–20 Data System Executive Committee

Timeline for Completion: August 2011

ACTIVITY 4: BASED ON PROTOTYPE FEEDBACK, IMPROVE THE DATA PORTAL PRIOR TO FULL ROLLOUT

There will be two primary loops for users of the Data Portal prototype to provide feedback regarding user experience and suggested improvements:

1. The field-based regional governance networks, organized within New York City and the regional BOCES, will have direct and ongoing contact with stakeholders as they use the Data Portal in its intended educational context. These governance liaisons will gather and organize feedback through the Associate Commissioner for District Services on a weekly basis.
2. Users will have an immediate and direct mechanism to submit feedback through print, audio, or video format directly through the survey and other social media tools embedded in the Data Portal. This information will be coordinated by the system vendor and provided to Data System Task Force and Data Policy Committee on a weekly basis.

Planning and project management sessions will be held on a weekly basis between the Data Portal system vendor, the Data System Task Force, the Data Policy Committee, and the Associate Commissioner for District Services to integrate ongoing feedback into a timeline for planned and prioritized system revisions. The State must respond as rapidly as possible to improve the system’s relevance and usability.

Responsible Parties: Associate Commissioner for District Services, Data System Task Force, the Data Policy Committee, and the Data Portal system vendor

Timeline for Completion: October 2011 to March 2012

ACTIVITY 5: ROLL OUT AND PROMOTE THE IMPROVED DATA PORTAL FOR ALL USERS, SCHOOLS, AND DISTRICTS

Activity 5.1: Roll out the Data Portal to All Users and Provide Training and Support

NYSED will make the Data Portal available to all users statewide. In addition to the professional development activities described in Section (C)(3), all stakeholders will be provided with an introduction to portal functionality, user benefits, expectations, and necessary training. The Portal's social media features will allow users to access context-based text and video support as needed.

The Data Portal will contain data that stakeholders need to answer educational and instructional questions that they are already asking, as well as think of new questions for exploration. The focus will be on supporting structured conversations among teachers, parents, students, and other educational leaders who are focused on student work and performance. The data system will be a needed tool to inform these conversations through the provision of timely, relevant, and desired information

Responsible Parties: NYSED and P-20 Data System Executive Committee

Timeline for Completion: April 2012

Activity 5.2: Update Commissioner's Regulations to Require Proficiency in Data Analysis and the Use of Data Portal

NYSED will update Commissioner's Regulations so that proficiency with data analysis and the Data Portal are necessary for teacher certification and tenure, as well as successful completion of the requirements contained in a district's professional development plan.

Responsible Parties: NYSED

Timeline for Completion: April 2012

Activity 5.3: Update Commissioner’s Regulations to Require Using Data for Instructional Decisions as Part of Clinical Training Models

NYSED will update Commissioner’s Regulations so that using information in the Data Portal to guide instructional decisions will be required experiences embedded into teacher/administrator clinical training models. These clinical training models will include mentor relationships, peer networks, and inquiry teams—all would be expected to have conversations informed by use of the data system.

Responsible Parties: NYSED

Timeline for Completion: April 2012

Activity 5.4: Hold Principals Accountable for Successful Use

As key change agents and instructional leaders, school principals will be held accountable on an ongoing basis for their role in ensuring that the Data Portal is utilized by students, teachers, and other professional staff to improve instruction and other student outcomes. School superintendents and principals will be provided with the necessary professional development to prioritize and effectively fulfill this instructional leadership responsibility.

Responsible Parties: NYSED

Timeline for Completion: April 2012

Activity 5.5: Promote Parent Participation

Regional networks will be responsible for increasing parent use of the Data Portal through parent trainings, specifically to ensure that parents take advantage of the Portal’s survey tools to influence the prioritization of improvements and feature enhancements, as well as the social media tools that will allow communication among parents who find affiliation with others through geographic location or areas of interest (e.g., parents of students with disabilities, etc.). Parent participation will place natural pressure on teachers and principals to become active and proficient users.

Responsible Parties: Regional data centers and instructional networks

Timeline for Completion: April 2012 and ongoing

Activity 5.6: Market Data System Using Social Media

We will market the data system using social media technologies such as those contained in the New York City Department of Education's ARIS system (teacher portals with capabilities to connect with friends, create groups, follow status updates, and post best practices in text, audio, or video format, etc.). Regional networks will be responsible for supporting the participation of power users to maintain a facilitator presence on these networks and build momentum (viral marketing).

Responsible Parties: NYSED, regional data center, instructional networks

Timeline for Completion: April 2012 and ongoing

ACTIVITY 6: EVALUATE AND PUBLISH THE EXTENT TO WHICH THE DATA PORTAL IS UTILIZED AND DRIVING POLICY DECISIONS, INSTRUCTIONAL IMPROVEMENT EFFORTS, AND PROFESSIONAL DEVELOPMENT ACTIVITIES

NYSED will create university and non-profit-based research alliances in which user behavior within the Data Portal will be studied quantitatively and qualitatively. Research partners will be provided with access to de-identified Data Portal user logs, as well as access to conduct interviews and other research activities with key users of the system across all stakeholder roles. Research partners will be required to disseminate and publish their findings through regional associations and peer-reviewed journals.

Responsible Parties:

Timeline for Completion: October 2012 and ongoing

(C)(2) TIMELINE

MAJOR ACTIVITIES	2010	2011	2012	2013	RESPONSIBLE PARTIES
Activity 1: Increase the representation and effectiveness of State and regional governance groups					NYSED, P-20 Data System Executive Committee, BOCES, regional data centers, school districts and charter schools, representatives from higher education (public and private), collective bargaining groups, and non-education systems
Activity 2: Gather feedback on functional requirements for the Data Portal through State and regional governance groups and based on leading research					System vendor and governance groups in (1)
Activity 3: Build the Data Portal prototype with rollout in a cross-section of urban, suburban, and rural districts					System vendor and governance groups in (1)
Activity 4: Based on prototype feedback, improve the Data Portal prior to full rollout					System vendor and governance groups in (1)
Activity 5: Roll out and promote the improved Data Portal for all users, schools, and districts					System vendor and governance groups in (1)
Activity 6: Evaluate and publish the extent to which the Data Portal is utilized and driving policy decisions, instructional improvement efforts, and professional development activities					Research alliances and governance groups in (1)

Performance Measures	Actual Data: Baseline (Current school year or most recent)	End of SY 2010-2011 (prototype)	End of SY 2011-2012	End of SY 2012-2013	End of SY 2013-2014
Number of unique Data Portal users (1 or more login per year)	N/A	5,000	72,000	160,000	240,000
Number of Data Portal visits (per year)	N/A	16,000	240,000	680,000	1,200,000
Number of stakeholders providing feedback on the Data Portal	N/A	500	3,600	8,000	12,000

CONCLUSION

Providing all stakeholders with access to the Education Data Portal will improve the quality and content of data reporting, and ultimately drive increased student achievement. Section (C)(3) further addresses how the State will support the use of data to improve instruction.

(C)(3) Using data to improve instruction (18 points)

The extent to which the State, in collaboration with its participating LEAs (as defined in this notice), has a high-quality plan to—

- (i) Increase the acquisition, adoption, and use of local instructional improvement systems (as defined in this notice) that provide teachers, principals, and administrators with the information and resources they need to inform and improve their instructional practices, decision-making, and overall effectiveness;
- (ii) Support participating LEAs (as defined in this notice) and schools that are using instructional improvement systems (as defined in this notice) in providing effective professional development to teachers, principals and administrators on how to use these systems and the resulting data to support continuous instructional improvement; and
- (iii) Make the data from instructional improvement systems (as defined in this notice), together with statewide longitudinal data system data, available and accessible to researchers so that they have detailed information with which to evaluate the effectiveness of instructional materials, strategies, and approaches for educating different types of students (*e.g.*, students with disabilities, English language learners, students whose achievement is well below or above grade level).

The State shall provide its detailed plan for this criterion in the text box below. The plan should include, at a minimum, the goals, activities, timelines, and responsible parties (see Reform Plan Criteria elements in Application Instructions or Section XII, Application Requirements (e), for further detail). Any supporting evidence the State believes will be helpful to peer reviewers must be described and, where relevant, included in the Appendix. For attachments included in the Appendix, note the location where the attachment can be found.

Recommended maximum response length: Five pages

SUBSECTION(C)(3) OVERVIEW

VISION

New York will have a statewide data system that continually generates information that will be used to improve instruction and is integrated with a system of ongoing professional development activities to ensure teachers, school officials, and parents can obtain and analyze all relevant data and use it to support students' academic achievement.

STRATEGIES

1. Create a statewide comprehensive instructional reporting and improvement system available to all stakeholders through the Education Data Portal.
2. Provide integrated, ongoing professional development to educators on the use of data to improve instruction through a statewide network.
3. 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 identify and replicate best practices.

GOALS

- ▶ A comprehensive instructional improvement system will be piloted in selected districts through October 2011 and then rolled out statewide by October 2012.
- ▶ An integrated statewide professional development system will be rolled out by 2012–13 to complement the instructional improvement system. All schools and districts will be required to participate.
- ▶ An Early Warning System to determine whether students are on track to complete middle and high school will be incorporated into the longitudinal data system in September 2011.
- ▶ All data from the longitudinal data system will be fully accessible electronically to researchers by June 2011 and all data from the instructional improvement system will be fully accessible to all researchers and other users as soon as the system is completed in October 2012.

(C)(3) NARRATIVE

The State of New York believes that collecting and using data is fundamental to student learning. Throughout the State, educators have stated that using data enables them to understand the unique needs of every student. Comprehensive data on students, teachers, and schools, when accompanied by information on research-based best practices, gives educators and parents the information they need to identify progress and problems and intervene effectively to help a single child, a class, a specific group of children (including at-risk populations), or an entire school or district.

To ensure that happens, New York has developed a three-part plan. New York will:

1. Using the Education Data Portal as its foundation, create a best-in-class statewide instructional reporting and improvement system that involves teachers, school officials, and parents in a data-driven culture dedicated to improving student achievement and helping close the achievement gap;
2. Provide ongoing, integrated professional development on using data to improve instruction through a statewide network that draws on a model system used in New York City and other systems already used regionally throughout the state; and
3. Make the data from the statewide instructional improvement system and the longitudinal data system fully accessible electronically to researchers, while at the same time promoting a comprehensive, transparent, and open research agenda.

Through the Education Data Portal, the statewide instructional reporting and improvement system will make available the 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 behind or ahead, with matching interventions to address their specific needs. Data will be uploaded daily for rapid-time analysis, supporting the use of data from formative and interim assessments which will be produced by the State and by the Assessment

Consortium, described in Section (B)(3). 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 will be particularly valuable for educating traditionally underserved target populations including Black and Hispanic students, English Language Learners (ELLs), Long-Term ELLs, students with disabilities, and Students with Interrupted Formal Education (SIFEs). The system will allow educators to identify and exchange information about research-based or other promising interventions being used in individual schools specifically for these target populations. System rollout will prioritize persistently low-performing school districts and schools, and educators in these schools will receive additional targeted professional development in the use of data to inform instruction and close the achievement gap. Proper analysis of student performance data, combined with robust and comprehensive professional development for school and district staff, are critical components in the effort to increase student achievement in all of New York State's districts and schools.

Educators will work together in inquiry teams within each school (described in (C)(3)(ii) below), communicate through the instructional reporting system, diagnose problems at all levels of the school and examine and implement best practices to solve them, and evaluate and share results system-wide. NYSED's comprehensive instructional and reporting system will also serve to support the State as it develops its student growth model and value-added models and its teacher and principal evaluation system. As the system is built, NYSED will ensure that both technical capacity through the Education Data Portal and ongoing professional development are integrated. NYSED will deploy teams of curriculum, instruction, and data experts to work with schools statewide. All network team members will be trained—as teams—in providing professional development, the use of the data reporting system, analysis of student data, selection of best-practice interventions, and evaluation. Local schools will be required to form local inquiry teams to work with the network teams on specific, identified problems in student achievement within the school. This statewide model will be built on the best practices of current operational models that exist in each region of the state.

(C)(3)(i) CREATE A UNIFORM STATEWIDE COMPREHENSIVE INSTRUCTIONAL REPORTING AND IMPROVEMENT SYSTEM

A unique strength of New York State is the fact that most school districts already use instructional improvement systems. All of the State's 12 Regional Information Centers (RICs, part of the BOCES established under law and reporting to NYSED) have created instructional improvement systems, with similar organizations and functions, for all of the school districts within their region. For example, the Central New York RIC (CNYRIC) provides customized reports to schools and sends teams of curriculum, instruction, and data experts into schools to help them interpret data and decide on research-based interventions to help specific groups of students, as determined by the analysis. The Western New York RIC (WNYRIC) provides "gap analysis charts" that interactively display school assessment results for each question to identify performance gaps; this is an example of the type of analysis, described above, that will be available statewide. Once the gaps are analyzed, the user can view the content strand, key idea and performance indicator—and link to instructional resources that have been reviewed and added by teachers in the region. Data coaches and curriculum experts are sent from WNYRIC to schools upon request.

The BOCES and RICs have developed these systems over time through extensive feedback from local teachers and administrators in the constituent schools, which are their clients. However, the regionalized nature of these systems has produced uneven quality. Some regional systems are strong, providing substantial information and analysis; others are more limited. To ensure that all students, teachers, and schools benefit from best practices, the Board of Regents has decided that it will be most effective to build a uniform, comprehensive statewide system, fully accessible through the Education Data Portal (see Section (C)(2)). This integrated system will build on best practices now being carried out in the RICs, all of which are linked and all of which report to NYSED. The New York City Department of Education (NYCDOE), which is its own RIC, has an instructional reporting and improvement system that is a national model; because it is the most advanced, its greater technical capacity will be used as a guide in building the statewide system.

New York City's system currently provides over 80,000 educators with a single, secure, and comprehensive online platform to analyze data; improve student outcomes; share information on best practices through publishing documents and taking part in discussions or blogs; and search out and work with other educators facing similar challenges. The parents of New York City's 1.1 million students can also login and access secure, individualized reports on their children. The system uploads new data daily to ensure rapid-time usability. NYSED will build on the New York City model and incorporate best practices from the other instructional improvement systems across New York and in other states nationwide. All data will be loaded regionally from each school and district to the RIC to ensure the utmost flexibility in local use of the data. This procedure is

already in use for data reporting; schools and districts will thus be able to load local assessment and similar data for analysis and other uses. Selected data will also be uploaded to the State longitudinal data warehouse as needed for additional purposes, including school and district accountability, the annual State School Report Cards, among others. As with the current New York City system, teachers will be able to communicate with each other, create their own websites within the system, obtain resources about best practices, work together to decide on appropriate interventions with at-risk students, and evaluate and share results. Using a targeted group of students versus a control group, NYCDOE has evaluated the effectiveness of its instructional reporting system—including the professional development described in the next section—and has found significant math gains across all grades by those students who have benefited from the instructional reporting system.¹⁵ NYSED has been working closely with NYCDOE and the other RICs to plan the rollout and integration of the statewide system; feedback has been very positive.

The statewide comprehensive instructional reporting and improvement system will allow users to take the following key actions:

- Examine rapid-time school and student data, including the formative and interim assessments outlined in Section (B)(3).
- View standardized reports using the data or create custom reports drawing from the entire data repository.
- Provide extensive data on student growth, especially with the development of a growth model.
- Utilize a complete profile of individual students as they progress across grades, with data on classroom performance, number of credits toward high school graduation, demographics, attendance, discipline, and additional data as desired.
- View performance on individual assessment items for all State tests across a classroom, school, demographic group, etc.
- Diagnose students' learning needs by analyzing student-specific data (even down to each item on formative, interim, and summative assessments, in addition to attendance and other measures), set classroom goals for improvement, and measure success.

¹⁵New York City Department of Education, "Collaborative Teacher Teams Engaged in Inquiry," November 24, 2009. The NYCDOE analyzed the performance of eighth-grade students who benefited from their teachers' professional development delivered through this system as compared to the performance of a control group. Then it correlated their improved test scores with high school graduation rates. NYCDOE's studies have shown that the higher a student performs on the eighth-grade math test, the greater likelihood that student has of graduating from high school. The improvement translated into a six-percentage-point gain in graduation.

- Access a library of instructional resources (including specific instructional tools, books, interventions, and best practices) that are research-based and proven to work. In addition, resources can be contributed by teachers statewide to address problems identified for one student, a group of students, a classroom, or a school or district.
- Diagnose systemic problems in a classroom and, relying on appropriate teacher and principal evaluations, provide professional development to help individual teachers and principals improve student learning.
- Use the resources described above to decide on appropriate interventions for individual students or groups of students or entire schools. This will also apply, for example, when Joint Intervention Teams and Intervention Partners are working to improve the lowest-performing schools.
- Identify other educators who have similar interests and face similar challenges and collaborate on solutions, thereby creating communities of learners.
- Organize and share work documents with team members and collaborators.
- Through all of the resources above, provide extensive tools that will help teachers and other educators to improve instruction and raise achievement.
- For parents, log in to see their student's current and past performance.

Activity 1.1: Pilot Uniform Instructional Reporting and Improvement Model in Selected LEAs, Then Scale Up to a Statewide System

As part of a statewide rollout of the system, New York State will first integrate New York City's instructional reporting model and the best of other regional instructional improvement systems to build a uniform pilot program in a cross-section of districts across the state. All of the features of the current New York City instructional improvement system will be present in the pilot, along with best practices from other RICs statewide. Initial rollout will prioritize both LEAs with low-performing schools, as defined in Section E, and LEAs with high percentages of low-performing students. In addition to accessing a set of standard reports and analyses, LEAs will have the capability to enter their own local data into the statewide system, allowing schools and districts to create their own customized reports and utilize best practices. The New York City Department of Education (NYCDOE) is already committed to creating pilots with other large and small school districts in the State.

After the changes are made and perfected in the pilots, the system will then be expanded to the entire state, and all districts and schools will be required to utilize it.

Responsible Parties: NYSED and districts chosen to participate in the pilot

Timeline for Completion: October 2011 for pilot and October 2012 for full statewide rollout

Activity 1.2: Provide Access to Educators

The State will provide access to the comprehensive instructional reporting and improvement system so that teachers and school leaders can view detailed information about their own classrooms or schools, including unique local data, and create customized reports. Enable School Inquiry Teams to create their own websites with data analyses, practices they used to improve instruction, and subsequent evaluations. Allow this information to be shared with other teams system-wide.

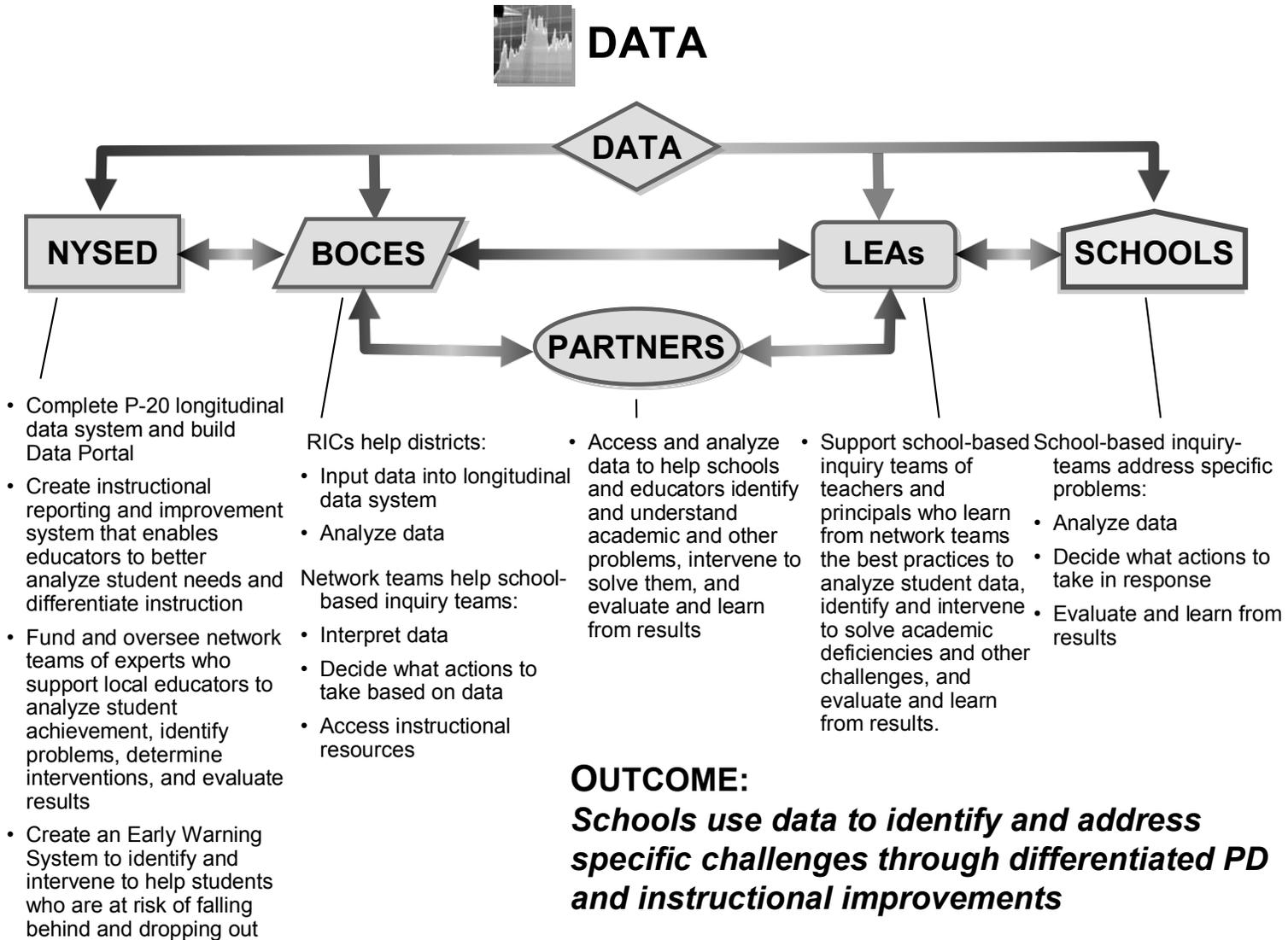
Responsible Parties:

Timeline for Completion: Statewide implementation by October 2012

(C)(3)(ii) PROVIDE INTEGRATED, ONGOING PROFESSIONAL DEVELOPMENT THROUGH A STATEWIDE NETWORK

New York State will 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. We 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 administration to work continuously with school-based **inquiry teams**. All 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 the data, analyzing the 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.



Each of New York City's network teams works with a group of schools (approximately 25 schools). Each network team is responsible for providing the professional development and ongoing coaching required for the school-based teams in those schools. The school-based inquiry teams work with different groups of students on different issues, and use the instructional improvement website to create their own "inquiry website." Aided by a network team, each inquiry team accesses local student data to create customized reports around specific problems in each school and view detailed information to devise new instructional strategies. Each team analyzes the data for groups of students with learning deficits, investigates and uses research-based instructional strategies to solve specific problems, and evaluates the success of its strategies. The team posts information on results, which is shared with other inquiry teams citywide. This inquiry team approach is documented as a successful and sustainable method of professional development in New York City, Southern California, and several other places.¹⁶

NYSED will expand this network team system to the entire state. The network teams will be the main vehicle to deliver professional development across an array of new initiatives, as described in Section (A)(2). The system of professional development will be rolled out statewide in the following way:

Activity 2.1: Form the Network Teams

BOCES: In expanding the instructional reporting and improvement system to all school districts, the State will create one collaborative network of teams that will support local schools in each region. The State already has a school-support network through the 37 BOCES and their affiliated Regional Information Centers. The BOCES, funded by the State and reporting to NYSED, already have data, curriculum, assessment, and

¹⁶Vescio, Ross, Adams, "A Review of Research on the Impact of Professional Learning Communities on Teaching Practice and Student Learning," *Teaching and Teacher Education*, January 2008. Saunders, Goldenberg, Gallimore, "Increasing Achievement by Focusing Grade-Level Teams on Improving Classroom Learning: A Prospective, Quasi-Experimental Study of Title I Schools," *American Educational Research Journal*, January, 2009.

New York City Department of Education, "Collaborative Teacher Teams Engaged in Inquiry," November 24, 2009. The NYCDOE analyzed the performance of eighth-grade students who benefited from their teachers' professional development delivered through this system as compared to the performance of a control group. Then it correlated their improved test scores with high school graduation rates. NYCDOE's studies have shown that the higher a student performs on the eighth-grade math test, the greater likelihood that student has of graduating from high school. The improvement translated into a six-percentage-point gain in graduation.

instructional experts working with schools and districts. Their services will be integrated into a single coordinated effort, and aligned with other professional development and capacity building initiatives. The District Superintendents who head each BOCES will report to the NYSED Associate Commissioner for District Services (acting for the Commissioner of Education) in carrying out all aspects of the professional development work. Each BOCES will form a specific number of network teams, enough for each team to serve 25 schools and their local inquiry teams in the region. Each network team will consist of an expert in curriculum, an expert in data, and an expert in instruction; one member of the team will also be appointed to serve as the team leader. In addition, the District Superintendent in each BOCES will work with superintendents of the component school districts to ensure that the network teams and other BOCES experts in data, curriculum, and instruction help to build district capacity to support schools.

Big 5 School Districts: New York City already has a network system, as described above, which is working successfully. NYSED will work directly with the Big 4 school districts (Buffalo, Rochester, Syracuse, and Yonkers) to create local systems of network and inquiry teams. NYSED leaders will work directly with the superintendents and the leaders in curriculum, assessment, and data within each of the Big 4 districts. This is necessary for two reasons: (1) BOCES historically have not been closely involved in the Big 5 school districts, and (2) the Big 5 school districts are both larger than other districts and have greater concentrations of at-risk students and low-achieving schools and therefore warrant more intensive involvement.

Responsible Parties: NYSED, BOCES and RICs, Big 5 school districts

Timeline for Completion: Network teams will be hired, trained and phased in to support LEAs and schools through the grant period as RTTT reforms are implemented. In Year 1 (2010-11), network teams of two curriculum and instruction experts will be deployed to the LEAs engaging in 2010-11 turnaround interventions of persistently lowest achieving schools; each team will serve 25 schools. (Please note that New York City already has full network teams in place.) In Year 2 (2011-12), the existing teams will be sustained and additional teams of two curriculum and instruction experts will be phased in statewide to support the implementation in all LEAs of the new standards, curriculum frameworks, and assessments and the new teacher evaluation system; again, each team will serve 25 schools. The teams will continue to support school turnaround efforts through the grant period. In Year 3, as the instructional reporting and improvement system is launched, data experts will be added to each of the 124 teams statewide; each network team will then have three members. Full teams will be sustained through Year 4. This work will be

funded through the Race to the Top grant during the period of the grant; after the grant expires, NYSED will strongly encourage districts to use Title II and other funds to continue the professional development.

Activity 2.2: Form the School-based Inquiry Teams and Integrate Their Work with the Network Teams

The network teams will promote in all of New York State's school districts the continuous use of the instructional improvement system. All school districts will be required to form local inquiry teams in each school. Each network team will help the principals and teachers in assigned schools to identify specific problems related to student achievement and to form the inquiry teams to deal with those problems. Each inquiry team will consist of teachers who face common challenges in student achievement (e.g., poor performance in 3rd grade math). Each network team will provide extensive professional development, guiding the inquiry teams to use their own local data, analyze the problems, decide on research-based interventions, carry out those interventions, and then evaluate the results. Network teams will also prioritize work in districts with the lowest-performing schools and will contribute to school improvement intervention initiatives as described in Section (E) to ensure that the use of data to inform instruction is embedded in the educational core in turnaround schools.

Responsible Parties: NYSED, BOCES and RICs, LEAs

Timeline for Completion: NYSED will use the same timeline outlined for the network teams.

Activity 2.3: Build an Early Warning System

The data system will generate reports to monitor students to determine whether they are on track toward high school completion and other postsecondary goals and will provide those reports to teachers and administrators for use in developing instructional, intervention, and recovery strategies and for communicating with parents. All school districts will be required to use the reports and take action to support at-risk students. In turn, the network teams described above will work with schools to ensure that every school takes appropriate actions to work with and support at-risk students. The system will review enrolled courses, grades, accumulated credits, attendance, and discipline, as well as portfolio-type

assessments of student progress. As a complement to tracking students, there will be an **Early Warning System** that includes the early indicators (some as early as elementary school) that predict the likelihood that a student will drop out prior to completing the P–16 system. Such indicators include frequency of lateness and/or absences, frequency of disciplinary actions, number of credits accumulated, below-average performance on 8th grade and other State and local assessments, overage status, and status of English

language learners (ELLs) who are not making adequate progress in English acquisition. All of the leading indicators required for School Improvement Grants will be included for each individual student.¹⁷ These indicators will help teachers and principals identify and take corrective actions quickly to help a student or a group of students get back on track. This Early Warning System will be a critical support to school turnaround and teacher effectiveness initiatives focused on narrowing the achievement gap in traditionally underserved student groups, including ELLs, students with disabilities, and Black and Hispanic students.

New York State has one of the largest populations of English language learners in the nation. To ensure the Early Warning System is especially helpful to them, NYSED is greatly expanding its collection of data about their background and progress. The State already collect basic demographic information, test scores, dropout and graduation status, length of time in ELL status, special education status, and information on bilingual and English as a Second Language (ESL) programs. The State is beginning to collect more detailed information on ELL Students with

¹⁷ The leading indicators are (1) Number of minutes within the school year; (2) Student participation rate on State assessments in reading/language arts and in mathematics, by student subgroup; (3) Dropout rate; (4) Student attendance rate; (5) Number and percentage of students completing advanced coursework (e.g., AP/IB), early-college high schools, or dual enrollment classes; (6) Discipline incidents; (7) Truancy; (8) Distribution of teachers by performance level on an LEA's teacher evaluation system; and (9) Teacher attendance rate.

Interrupted Formal Education (SIFE); native language proficiency; ELLs in Newcomer Programs, After School Programs and GED programs; and the status of ELLs in mainstream programs and extended service. This expansion will enable us to create a detailed profile of each ELL student that will help local educators, with more aggregate data becoming available to policymakers to create better intervention strategies.

Responsible Parties: NYSED

Timeline for Completion: Completed as part of the longitudinal data system prior to full implementation of the Comprehensive Instructional Reporting and Improvement System—September 2011.

Activity 2.4: Require of All School Districts: Guidance, Monitoring, and Independent Evaluation

All school districts and schools will be required to participate in the instructional improvement system. Each LEA will provide 90 minutes of weekly collaborative time for teachers and leaders to participate in school-based inquiry teams. The Board of Regents will consider this requirement in 2011, to begin by October 2012 when the network teams are in place statewide. The inquiry teams will be guided and supported by the network teams from the BOCES and, in New York City, from the NYCDOE. The State's accountability system will be changed to require all schools and districts to join this Statewide Collaborative Inquiry Network and utilize the instructional improvement system. Participation will be factored into the formula by which schools are judged to make adequate progress.

In addition to providing constant guidance and support, the network teams will monitor the professional development activities and results in the schools for which they are responsible. The network teams will provide continuous feedback to help the inquiry teams improve and will also report to the BOCES District Superintendent (and ultimately to the NYSED Associate Commissioner for District Services) the results of their work. NYSED will commission periodic independent evaluations to report on the success of the overall instructional reporting and improvement system and the related professional development. Any deficiencies that are identified will be addressed in a process of constant attention to improvement.

Responsible Parties: NYSED

Timeline for Completion: October 2012

(C)(3)(iii) MAKE THE DATA FROM THE INSTRUCTIONAL IMPROVEMENT SYSTEM AND THE LONGITUDINAL DATA SYSTEM FULLY ACCESSIBLE ELECTRONICALLY TO RESEARCHERS

NYSED is committed to encouraging the widespread use of data for research and aggressively pursues a research agenda to help improve student achievement and close the achievement gap. NYSED leads an Education Research Consortium that engages in research with Syracuse University and the State University of New York at Albany (see Section (C)(2)). Recently, NYSED asked the Harvard Graduate School of Education to conduct a variety of important research projects focusing on college- and career-readiness in New York State; NYSED 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. NYSED also provides extensive data to our 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 is now working to streamline the electronic data system to make it even more accessible.

Activity 3.1: Provide Data to Researchers

Provide data to all researchers who need de-identified student-level data. Student identifiers have been replaced with unique research identifiers to ensure student privacy. These data are already provided quickly to researchers upon request.

Responsible Parties: Responsible parties for all activities in this section are NYSED Data Director and staff as well as a P-20 Education Research Consortium that NYSED leads. Under the overall leadership of the Board of Regents, the Consortium is responsible for setting the research agenda, helping define the data and report formats, and helping to encourage analysis of student and teacher data to drive instructional and policy decisions.

Timeline for Completion: June 2010

Activity 3.2: Publish School and District Aggregate Data Tables

Create and publish de-identified school and district aggregate tables that allow for reporting, research and policy analysis. These tables will be made accessible electronically to ensure that they are available to all researchers. Although many tables current exist, the number and variety will be greatly increased to cover the broadest possible scope of data.

Responsible Parties: NYSED Data Director and staff

Timeline for Completion: June 2011

Activity 3.3: Publish Data Tables for Student Subgroups

Supplement this information with specific data tables that facilitate data analysis of crucial results, including different types of students who are in the achievement gap—English language learners, students with disabilities, economically disadvantaged students, students in the different racial/ethnic groups (including by gender), etc.

Responsible Parties: NYSED Data Director and staff

Timeline for Completion: June 2011

(C)(3) TIMELINE

MAJOR ACTIVITIES	2010	2011	2012	2013	RESPONSIBLE PARTIES
Strategy 1: Create a single statewide Comprehensive Instructional Reporting and Improvement System					NYSED, Contractors, BOCES, Regional Information Centers, NYCDOE, some Big 4 school districts (for pilot)
Activity 1.1: Pilot, then scale-up, uniform instructional reporting model in selected LEAs					
Strategy 2: Provide Integrated, Ongoing Professional Development through a Statewide Network					NYSED, Regional Information Centers, BOCES
Activity 2.1: Form the Network Teams					
Activity 2.2: Form the School-based Inquiry Teams and integrate their work with the Network Teams					
Activity 2.3: Build an Early Warning System					
Activity 2.4: Require of all school districts: guidance, monitoring and independent evaluation					
Strategy 3: Make the Data from the Instructional Improvement System and the Longitudinal Data System Fully Accessible Electronically to Researchers					NYSED Data Director, NYSED Information Reporting Services, the P-20 Research Committee
Activity 3.1: Provide data to researchers					
Activity 3.2: Publish school and district aggregate data tables					
Activity 3.3: Publish data tables for student subgroups					
Activity 3.4: Provide access to educators					

(C)(3) PERFORMANCE MEASURES

Performance Measures	Actual Data: Baseline (Current school year or most recent)	End of SY 2010-2011	End of SY 2011-2012	End of SY 2012-2013	End of SY 2013-2014
Number of schools using the statewide instructional improvement system	N/A	N/A	40% of schools	100% of schools	100% of schools
Number of Teachers and Administrators receiving professional development through the “network teams”	80,000 (includes NYC)	90,000	135,000	240,000	240,000

(D) Great Teachers and Leaders (138 total points) (Appendix D for a complete set of timelines)

State Reform Conditions Criteria

(D)(1) Providing high-quality pathways for aspiring teachers and principals (21 points)

The extent to which the State has—

- (i) Legal, statutory, or regulatory provisions that allow alternative routes to certification (as defined in this notice) for teachers and principals, particularly routes that allow for providers in addition to institutions of higher education;
- (ii) Alternative routes to certification (as defined in this notice) that are in use; and
- (iii) A process for monitoring, evaluating, and identifying areas of teacher and principal shortage and for preparing teachers and principals to fill these areas of shortage.

In the text box below, the State shall describe its current status in meeting the criterion. The narrative or attachments shall also include, at a minimum, the evidence listed below, and how each piece of evidence demonstrates the State's success in meeting the criterion. The narrative and attachments may also include any additional information the State believes will be helpful to peer reviewers. For attachments included in the Appendix, note in the narrative the location where the attachments can be found.

Evidence for (D)(1)(i), regarding alternative routes to certification for both teachers and principals:

- A description of the State's applicable laws, statutes, regulations, or other relevant legal documents, including information on the elements of the State's alternative routes (as described in the alternative route to certification definition in this notice).

Evidence for (D)(1)(ii), regarding alternative routes to certification for both teachers and principals:

- A list of the alternative certification programs operating in the State under the State's alternative routes to certification (as defined in this notice), and for each:
 - The elements of the program (as described in the alternative routes to certification definition in this notice).
 - The number of teachers and principals that successfully completed each program in the previous academic year.
 - The total number of teachers and principals certified statewide in the previous academic year.

Recommended maximum response length: Two pages

SECTION (D) OVERVIEW

On May 28, 2010, New York State enacted historic new legislation – proposed by NYSED and the Regents with the public endorsement of the statewide teachers’ union and its largest local union – that sets a new course for teacher and school leader effectiveness by requiring annual evaluations based in significant part on student achievement. This new law not only fundamentally changes the way teachers and principals are evaluated – but requires that such evaluations be a significant factor in decisions relating to promotion, retention, tenure, and differentiated support and professional development. The law also provides an expedited disciplinary process for the removal of ineffective teachers and principals (see Appendix D, Chapter 103 of the Laws of 2010). The State will build on this new law to recognize outstanding teachers by establishing criteria for supplemental compensation and new career paths.

Teachers and principals, held accountable for their professional achievement, provided with tailored support to improve performance, recognized for their success, and supported by world-class data systems, will be prepared to drive student academic achievement to benchmarked levels of achievement that are critical for their success in college and the 21st century workplace.

To reach this goal, New York will:

- Radically redesign teacher and school leader preparation programs through the creation of clinically-grounded instruction, performance-based assessments and innovative alternative certification pathways.
- Prepare teachers and school leaders to meet the instructional needs of students, particularly in high-need schools, by supporting residency-based teacher and school leader preparation programs and enlisting new, non-traditional providers of teacher and principal preparation.

- Hold the teacher and school leader preparation institutions accountable for the performance of their graduates by backward-mapping the teaching and school performance of those graduates to the institutions that prepared them.
- Enhance the *Annual Professional Performance Review* for teachers grounded in the newly-developed teacher standards to clearly differentiate effectiveness using four qualitative rating categories, employ multiple measures, and include student growth as a significant factor.
- Implement an expedited process for removing ineffective teachers from the classroom.
- Develop a school leader *Principal Performance Evaluation System* grounded in the newly-developed principal standards to clearly differentiate effectiveness using four qualitative rating categories, employ multiple measures, and include student growth as a significant factor.
- Implement an expedited process for removing ineffective principals from schools.
- Create incentives for outstanding teachers and principals in the STEM fields, teachers of English language learners and teachers of students with disabilities to take assignments in high-need schools.
- Provide supplemental compensation to retain outstanding teachers and principals, especially in high-need schools.
- Create for public review, accountability systems for teacher/school leader preparation programs to ensure that all teachers and school leaders are prepared to teach all students, and for all LEAs to ensure the effective implementation of performance evaluations for all educators.

(D)(1) Providing high-quality pathways for aspiring teachers and principals (21 points)

The extent to which the State has—

- (iv) Legal, statutory, or regulatory provisions that allow alternative routes to certification (as defined in this notice) for teachers and

principals, particularly routes that allow for providers in addition to institutions of higher education;

- (v) Alternative routes to certification (as defined in this notice) that are in use; and
- (vi) A process for monitoring, evaluating, and identifying areas of teacher and principal shortage and for preparing teachers and principals to fill these areas of shortage.

In the text box below, the State shall describe its current status in meeting the criterion. The narrative or attachments shall also include, at a minimum, the evidence listed below, and how each piece of evidence demonstrates the State's success in meeting the criterion. The narrative and attachments may also include any additional information the State believes will be helpful to peer reviewers. For attachments included in the Appendix, note in the narrative the location where the attachments can be found.

Evidence for (D)(1)(i), regarding alternative routes to certification for both teachers and principals:

- A description of the State's applicable laws, statutes, regulations, or other relevant legal documents, including information on the elements of the State's alternative routes (as described in the alternative route to certification definition in this notice).

Evidence for (D)(1)(ii), regarding alternative routes to certification for both teachers and principals:

- A list of the alternative certification programs operating in the State under the State's alternative routes to certification (as defined in this notice), and for each:
 - The elements of the program (as described in the alternative routes to certification definition in this notice).
 - The number of teachers and principals that successfully completed each program in the previous academic year.
 - The total number of teachers and principals certified statewide in the previous academic year.

Recommended maximum response length: Two pages

SUBSECTION (D)(1) OVERVIEW

VISION

New York has alternative and expedited pathways to certification for teachers and principals that run along a continuum from traditional preparation to streamlined preparation by collegiate and non-collegiate institutions to prepare qualified candidates for all students designed to close the performance gaps between student populations and raise the academic performance of all students.

STRATEGIES	<p>The New York State Board of Regents has:</p> <ul style="list-style-type: none">• Used its legal authority to create new, clinically grounded, performance-based pathways for preparing teachers and school leaders, and to enable non-traditional providers to compete for the opportunity to offer such programs.• Encouraged innovative partnerships using the alternative routes to certification that are already in use to expand the State's teaching force in high- need schools and subject areas.• Created a process for monitoring, evaluating, and identifying areas of teacher and principal shortage and for preparing teachers and principals to fill these critical areas.
GOALS	<p>▶ All students will be taught by highly effective teachers and leaders regardless of where they attend school.</p>

SUBSECTION D(1) NARRATIVE

The Board of Regents and the Commissioner of Education have the authority to establish the examination and certification requirements for teachers and school leaders (see Appendix D_1_i_1 - Education Law §§3001 and 3004). 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 (see Appendix D_1_i_1 - Education Law §§207, 210, 214, 215, 216, 224, 3004[6]). 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.

D(1)(i) THE NEW YORK STATE BOARD OF REGENTS HAS USED ITS LEGAL AUTHORITY TO CREATE MULTIPLE PATHWAYS AND PROVIDERS FOR PREPARING TEACHERS AND SCHOOL LEADERS.

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-need schools. Such programs must meet the same standards as those required of IHEs,

including academic level (graduate or undergraduate), content, rigor, and other resources [see Appendix D_1_i_1- Commissioner's Regulations §§52.21(b)(5) and 52.21(c)(7)]. To ensure a rigorous programmatic review and to select only the highest quality providers to assist in the preparation of teachers and principals for our 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.

D(1)(ii) THE BOARD OF REGENTS HAS ENCOURAGED PARTNERSHIPS USING THE ALTERNATIVE ROUTES TO CERTIFICATION THAT ARE ALREADY IN USE TO EXPAND THE STATE'S TEACHING FORCE IN HIGH NEED SCHOOLS AND SUBJECT AREAS.

New York has long recognized the critical link between high-quality teachers and leaders and student achievement gains and firmly believes that alternative routes to certification are an important means of ensuring that all students have effective teachers and leaders [See Sections D(2) and D(3)]. As a result, there are many forms of alternative certification and pathways already in place. For example, in order to address shortages in high-need schools and hard-to-staff subject areas, in 2000, the 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 - 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 New York State Teacher Certification Examinations, including a rigorous Content Specialty Test, before teaching.

Before entering the classroom, 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 (Appendix D_1_i_2 Tables 1-4 for providers, data, and other information). In 2008-09, the State'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, 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 backgrounds directly into the classroom after passing a New York State examination. Trans A focuses exclusively on career and technical fields (e.g., welding, etc.). Since 2003, 888 teachers have been placed through the Trans A route in hard-to-fill trade and career subjects, to the benefit of students. The number of teachers certified under the three routes in 2008-09 is shown below. (Additional data are found in Appendix D_1_i_2)

Alternative Certification Route	# of Teaching Certificates Issued, 2008-09	# of Programs
Transitional B	2,070	389
Transitional C	10	23
Transitional A	119	N/A

In 1999, the Regents voted to eliminate temporary licenses for teachers by September 2003, initiating a dramatic increase in demand for high-quality alternative certification routes. A temporary license allowed an individual who had not met the standards for certification to teach in a NYS school by request of the superintendent on an emergency basis, due to an unforeseen vacancy. Although temporary licenses were intended to fill a specific short-term need, their use had become so widespread that by 2001-02,

approximately 13,000 temporary licensed teachers were teaching in NYS schools, with the majority teaching in New York City. The Regents decision to eliminate temporary licenses by 2003 created an urgent need for a supply of skilled teachers in New York City and several upstate districts. To meet the need for highly qualified teachers, in 2000 the Regents established the alternative teacher preparation program (Transitional B and Transitional C certificate programs).

Alternative teacher preparation programs have had a history of success in both addressing critical shortages, particularly in high-need schools and LEAs, and raising student achievement. As described below, New York State continues to pursue high-quality partnerships to create additional pathways to the classroom.

In New York City, the largest Trans B and C programs are within the New York City Teaching Fellows Program. Since its inception, the New York City Fellows Program, one of the nation's largest and most successful alternative preparation programs, has placed over 10,000 teachers in New York City's neediest schools and has succeeded in replacing temporary licensed teachers who had been teaching in 63 percent of New York City's schools without valid certification with teachers holding Trans B or Trans C certificates.

The Math Immersion Program (MIP) is a specialized New York City Teaching Fellows program created to address New York City's critical shortage of mathematics teachers by attracting candidates without a math major who have deep math knowledge and experience (e.g., engineering, economics, business) by providing them with immersion training in math during pre-service and a customized master's program to address their specific needs as alternative teachers and non-math majors. Before entering the classroom, these individuals must demonstrate math proficiency by passing the Math Content Specialty Test. Since 2002, the MIP has placed 1,983 Math Fellows in New York City schools, comprising 83 percent of all Math Fellows, 38 percent of New York City's new math hires, and about 22 percent of New York City's approximately 5,000 math teachers. The program has been so successful that New York City began a similar Science Immersion Program, another alternative program, in 2006, and Science Immersion Fellows now comprise 16 percent of New York City science teachers.

New York State not only has the largest Fellows program, but also the largest *Teach for America* program of any state. Contingent upon financial support, Teach for America plans to double the number of candidates in New York City public schools from 500 in 2010-11 to 1,000 within the next three years, and to expand with a new site to serve the western New York area (e.g., Syracuse, Rochester, Buffalo) with an additional 30-50 teachers.

There are 53 intensive teacher institutes in bilingual education/special education which are fully funded, content-rich, specialized 15-credit programs that began in 1990 and have prepared nearly 3,000 bilingual teachers in regular and special education subjects to address a critical statewide shortage of bilingual teachers.

In 2007, three of the highest-performing urban charter organizations in the country, Achievement First, KIPP and Uncommon Schools, partnered with the Hunter College School of Education and the New York City Charter School Center to design a teacher preparation program that would lead to initial certification and a master's degree in education. The resulting model, *Teacher U*, was launched in the summer of 2007. The *Teacher U* model focuses on preparing teachers to meet the needs of students in inner-city public schools. The courses and in-school clinical activities cover such areas as classroom management, curriculum and effective pedagogy for various subject areas, assessment of student learning, and working with students with special needs, including English language learners. Program candidates are closely monitored and supported through on-site visits by faculty, and the opportunity to meet with faculty to analyze video recordings of their teaching. In 2009, *Teacher U* initiated a program for special education teachers in partnership with Teach for America and the New York City Teaching Fellows. Originally launched with a cohort of 40 teachers, that number more than doubled in its first two years.

In 2009, New Visions for Public Schools partnered with the Hunter College School of Education and the New York City Department of Education to launch the Urban Teacher Residency (UTR) program. UTR is a 14-month teacher preparation program that fully integrates the graduate coursework of the aspiring teacher (Resident) with intensive, hands-on experience in New York City schools. In a strong public school, Residents collaborate with expert educators on all aspects of teaching and learning while taking graduate

courses at Hunter College specifically designed by UTR to align with experiences in urban schools. Successful completion of the program results in Initial teacher certification and a master's degree in education. UTR graduates are guaranteed the opportunity to be hired by a school within New Visions' network of 76 public schools and are asked to commit to four years of teaching in New Visions schools after completing their residencies. In 2009-10, UTR will prepare 24 residents to teach English and science in grades 7-12. In 2010-11, that number will double to 48 residents to teach English, biology and mathematics in grades 7-12 and special education in grades 5-8.

To further increase the supply of highly effective teachers in hard-to-staff subjects and high-need schools, in April 2010, the Regents adopted regulations authorizing IHEs and non-IHE providers to apply for approval of clinically-rich graduate-level teacher preparation programs. These programs must be collaborations between program providers and partnering high-need schools or districts, and they must meet the same established standards of academic content level, rigor, academic and other resources, as IHEs. Pursuant to the regulations, such programs must: (1) contain a recruitment process that will admit only the highest-caliber candidates who are strongly committed to teaching in high-need schools; (2) incorporate an intensive residency component; (3) be grounded in the New York State teaching standards (to be brought to the Regents for approval in Fall 2010); (4) include a research-based curriculum that links theory and practice; and (5) focus on teaching skills and practices that research has shown to make a difference in the classroom. Providers will collaborate with high-need schools to select highly effective teachers to serve as mentors who will be provided with research-based training and continuous support. Providers must also show how they will provide mentoring and support to candidates throughout and after the program. To ensure a rigorous programmatic review and to select only the highest quality providers to assist in the preparation of teachers for our high-need schools, the Regents will charge a Blue Ribbon Commission of highly regarded teacher educators to evaluate all applications and to recommend to the Regents those programs that should be authorized to establish clinically-rich graduate level teacher preparation programs, both IHE and non-IHE providers, or in combination (see Section D4).

Alternative pathways exist for principals as well. NYSED currently partners with six leadership programs in the State through the federally funded Teacher/Leader Quality Partnership Program (TLQP): Developing a Cohesive Leadership System in New York State. Through these grants, programs will transform their leadership preparation by providing leadership candidates in high-need schools with full-time clinical internships based on “real world” school improvement initiatives in which to apply leadership skills and research-based best practices in school environments. Approximately 230 new school leaders will be prepared for high-need schools with this initiative. NYSED is also working with the NYS Council of School Superintendents and BOCES, with funding from the Wallace Foundation, to offer the Future Superintendents Academy to build a strong core of school leaders in the State. Through a rigorous admission process, a small cadre of school leaders/administrators is enrolled in a focused, project-based, program of study that leads to superintendent certification. The first cohort graduated this term, and the 2010 cohort begins in June with 25 enrollees.

New Leaders for New Schools (NLNS) began in 2000, and in 2001 trained a cohort of 13 individuals as school leaders in New York City and Chicago. Currently, 99 NLNS members are serving as school leaders in NYC district and charter schools. The program is structured around two components: 1) a summer foundations training institute where residents develop instructional and organizational leadership skills to use in the second component; and 2) residencies in urban public schools alongside a mentor principal. In New York City, schools led by NLNS graduates have outperformed others in the district in English language arts and math scores and four-year graduation rates.

Additionally, since 2003, the NYC Leadership Academy¹⁸ prepared new principals and provided intensive coaching and support to existing principals working to lead and transform NYC’s neediest schools. Using a non-traditional preparation approach for new principals that includes a six-week “summer boot-camp,” a ten-month residency under an experienced mentor principal, and a

¹⁸ New York City Leadership Academy: Elementary and middle schools led by APP graduates for three consecutive years achieved almost twice the gains in students’ reading proficiency ratings than comparison schools (6.4 percent versus 3.7 percent gains). High schools led by APP graduates for three consecutive years posted 9.6 percent higher gains in the percent of students earning 10+ credits over time than comparison schools.

planning summer to transition leaders into new positions, the NYC Leadership Academy has provided a pipeline of newly-trained principals who are well-prepared with problem-based, action-learning experiences. This approach has achieved significant gains in student achievement. The NYC Leadership Academy also offers the New School Intensive program for first-year principals selected to open and lead small schools. This program provides leadership and technical assistance to help new principals build and sustain high-functioning educational environments. In NYC, 258 public school principals (16 percent of all NYC principals) are graduates of NYC Leadership Academy's Aspiring Principals Program (APP), a partnership with Baruch College, and 89 percent of APP graduates serve in leadership and support positions within the New York City school system.

NYSED recognizes that ongoing effort is needed to ensure that New York has a sufficient supply of principals in our high-need schools to strengthen teaching and student achievement. As a result, at its May 2010 meeting, the Regents approved an alternative route to certification for school principals based on a clinically-rich approach and focused on preparing principals for high-need schools. The Regents are inviting both colleges and non-collegiate institutions to compete to be authorized to implement these programs for our high-need schools (See Section D4).

D(1)(iii) Created a process for monitoring, evaluating, and identifying areas of teacher and principal shortage and for preparing teachers and principals to fill these areas of shortage.

Research has shown that 85 percent of New York State's new teachers take their initial assignments within 40 miles of their hometown (Wyckoff et al, 2003). In response to this research, in 2005 NYSED 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: (1) the number of new teacher/principal hires by LEA and by certification area, (2) the total number of new teachers and principals certified by certification area the previous year, (3) rates of annual teacher and principal turnover, and (4) the percentage of teachers and principals working out of their appropriate certification area as compared to the total number certified in that area the

previous year. This database also allows NYSED to evaluate shortage areas by comparing the number of new teachers and principals prepared to the actual number of vacancies filled by a first-year teacher or principal. When the ratio of new certified teachers or principals to vacancies filled is high (e.g., five new teachers prepared for one new teacher hired), a surplus is projected. If the data show fewer than two new teachers/principals for each vacancy filled, NYSED flags the area as a potential shortage area or one needing a greater number of newly prepared teachers or principals (i.e., more program graduates). NYSED monitors certification trends and annually presents analyses to the New York State Board of Regents and publishes the results. A sample of the supply and demand analysis is included in Appendix D_1_iii_1.

To more precisely identify teacher and principal shortages at the school level, beginning in the fall of 2010, NYSED will collect vacancy data from each LEA by certification area and grade level and will add these data to the existing certificate supply data described above. LEAs will report vacancies in two areas: 1) open positions that are unable to be filled by any teacher or principal; and 2) open positions that cannot be filled by an appropriately certified teacher or principal but that the LEA may have filled by a teacher or principal not directly certified in the area. Based on the approach used in the National Center for Education Statistics' school and staffing survey, the data will identify the regions, subjects, and certification areas with the most urgent need for attention. In addition, through existing communication networks (e.g., the Staff and Curriculum Development Network, Teacher Centers, NYS Council of Educational Associations, and deans' meetings), NYSED will continue to reach out to administrators, high school guidance counselors, and deans of education to encourage their use of the teacher/principal supply and demand data in planning and in attracting prospective students to the areas of greatest need.

These new data, together with the existing supply data, will inform NYSED, 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. The analyses already have had a substantial effect on statewide planning. 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 our 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 [See Section D4]), the Transfer Fund, which 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 were developed because the supply-demand data identified these specific staffing needs in our high need schools. (Appendix D_1_iii_1 includes examples of reports.)

(D)(2) Improving teacher and principal effectiveness based on performance *(58 points)*

The extent to which the State, in collaboration with its participating LEAs (as defined in this notice), has a high-quality plan and ambitious yet achievable annual targets to ensure that participating LEAs (as defined in this notice)—

(i) Establish clear approaches to measuring student growth (as defined in this notice) and measure it for each individual student; *(5 points)*

(ii) Design and implement rigorous, transparent, and fair evaluation systems for teachers and principals that (a) differentiate effectiveness using multiple rating categories that take into account data on student growth (as defined in this notice) as a significant factor, and (b) are designed and developed with teacher and principal involvement; *(15 points)*

(iii) Conduct annual evaluations of teachers and principals that include timely and constructive feedback; as part of such evaluations, provide teachers and principals with data on student growth for their students, classes, and schools; *(10 points)* and

(iv) Use these evaluations, at a minimum, to inform decisions regarding— *(28 points)*

- (a) Developing teachers and principals, including by providing relevant coaching, induction support, and/or professional development;
- (b) Compensating, promoting, and retaining teachers and principals, including by providing opportunities for highly effective teachers and principals (both as defined in this notice) to obtain additional compensation and be given additional responsibilities;
- (c) Whether to grant tenure and/or full certification (where applicable) to teachers and principals using rigorous standards and streamlined, transparent, and fair procedures; and
- (d) Removing ineffective tenured and untenured teachers and principals after they have had ample opportunities to improve, and ensuring that such decisions are made using rigorous standards and streamlined, transparent, and fair procedures.

The State shall provide its detailed plan for this criterion in the text box below. The plan should include, at a minimum, the goals, activities, timelines, and responsible parties (see Reform Plan Criteria elements in Application Instructions or Section XII, Application Requirements (e), for further detail). Any supporting evidence the State believes will be helpful to peer reviewers must be described and, where relevant, included in the Appendix. For attachments included in the Appendix, note in the narrative the location where the attachments can be found.

Recommended maximum response length: Ten pages

SUBSECTION D(2) OVERVIEW

VISION	New York will have a teacher and principal performance evaluation system that focuses on student learning and growth and provides the data and targeted preparation, training and professional development necessary to elevate teaching, learning, and school leadership in New York State.
STRATEGIES	1. Establish clear approaches to measuring student growth for each individual student and apply them to help determine teacher and principal effectiveness

<p>STRATEGIES CONTD</p>	<ol style="list-style-type: none"> 2. Design and implement rigorous, transparent, and fair evaluation systems for teachers and principals that (a) differentiate effectiveness using multiple rating categories that take into account data on student growth (as defined below) as a significant factor, and (b) are designed and developed with teacher and principal involvement 3. Conduct annual evaluations of teachers and principals that include timely and constructive feedback; as part of such evaluations, provide teachers and principals with data on student growth for their students, classes and schools 4A. Use these evaluations to inform decisions regarding developing teachers and principals, including by providing relevant coaching, induction support, and/or professional development 4B. Use these evaluations to inform decisions regarding compensating, promoting, and retaining teachers and principals, including providing opportunities for highly effective teachers and principals to obtain additional compensation and career advancement opportunities 4C. Use these evaluations to inform decisions regarding whether to grant tenure and/or full certification (where applicable) to teachers and principals using rigorous standards and streamlined, transparent, and fair procedures 4D. Use teacher and principal evaluations to inform decisions regarding removing ineffective tenured and nontenured teachers and principals after they have had ample opportunities to improve, and ensuring that such decisions are made using rigorous standards and streamlined, transparent, and fair procedures
<p>GOALS</p>	<ul style="list-style-type: none"> ▶ All districts implement the new mandated performance evaluation systems. ▶ Teachers and principals that are rated developing and/or ineffective are provided appropriate support to improve their practice. ▶ Teachers and principals who are deemed to be adding value to student growth receive supplemental compensation. ▶ Ineffective teachers and principals are removed from service in an expedited manner.

SUBSECTION (D)(2) NARRATIVE

The New York State Board of Regents has committed to the transformation of the preparation, support and evaluation of all teachers and school leaders in New York State. New York understands that investment in human capital (great teachers and great school leaders) is *the* critical component in improving student performance and student growth. To this end, our RTTT plan, which was informed through consultation with educators across the State, incorporates a comprehensive and integrated system that spans an educator’s entire career. This system focuses on student learning and provides the data and targeted preparation, training and professional development necessary to elevate teaching and learning in New York State to a world-class level.

While New York has a long history of reform efforts in the areas of teacher preparation and accountability, New York State has just enacted historic legislation (Chapter 103 of the Laws of 2010, Appendix D) that fundamentally changes the way teachers and principals are evaluated for decisions relating to promotion, retention, tenure, supplemental compensation, support and professional development, and expedites the disciplinary process for the removal of ineffective teachers and principals. New York State has now established a new comprehensive evaluation system for teachers and principals based on multiple measures of effectiveness, which include student achievement as a significant factor. The legislation was proposed by NYSED and publicly endorsed by the statewide teachers' union, New York State United Teachers (NYSUT), and its largest local, the United Federation of Teachers. NYSED, teachers unions, legislature and Governor worked together to craft this ground-breaking plan. With this new law, New York State has taken a substantial step towards increasing the effectiveness of teachers and leaders.

For the first time, student achievement data will be a significant component of **all** teacher and principal evaluations. To help implement this new legislation, New York has begun to develop teaching standards that will serve as the foundation for the integrated set of initiatives described in Section D, including: the transformation of teacher preparation programs, new performance-based assessments for required initial and professional certification, a new induction program for beginning teachers, a high-quality evaluation system that incorporates student growth, and a career ladder which will differentiate teachers and principals based upon their effectiveness in the classroom particularly their ability to improve student achievement. New York plans to develop statewide measures of effectiveness using growth in student achievement as a significant factor and as part of multiple measures, to evaluate teachers, principals, LEAs and teacher preparation programs. Taken together, these actions demonstrate that New York State currently has in place the necessary platform, including broad-based support from the State's education community, upon which our RTTT plan will be successfully implemented statewide.

In response to the State's legislative and regulatory changes regarding teacher evaluation, the New York City Department of Education has already commenced an action research project whereby roughly 20 schools will serve as design partners for the City's forthcoming teacher evaluation and development system. Schools will pilot teacher action rubrics, methods for quantifying teacher effect on

student learning, and best management practices to produce recommendations on the evaluation instrument to be negotiated, and on the data systems and organizational roles necessary to implement fair evaluations that help teachers progress. The action research project will also prepare the system to integrate findings from the Measuring Effective Teaching (MET) partnership between the Department, the United Federation of Teachers, and the Bill and Melinda Gates Foundation.

System of Effectiveness

Under the new State law, every teacher and principal must have an annual evaluation, based in significant part on student growth as well as other appropriate measures of effectiveness, and these evaluations must be used to assign ratings in one of four different categories of effectiveness, to develop improvement plans, and will support expedited removal of teachers and principals rated as ineffective for two years in a row. Building on New York's existing teacher evaluation system, the new teacher and principal evaluation systems will allow for: (1) the development of a single composite effectiveness score – that includes student growth – for every teacher and principal; and (2) the development of performance profiles – based on aggregate teacher and/or leader effectiveness data – for every school district and every teacher or school leader preparation program. As a result, robust and credible data that link students, teachers, and principals, and that measure individual student growth and achievement, are necessary to support deep reforms to improve student outcomes. By linking individual student data with the evaluations of critical partners in the education of our students – from classroom teachers and building leaders to the school districts in which they serve and the programs that prepare them for such service – New York State will be able to drive increases in student achievement at every level of the educational system.

New state law calls on NYSED to establish for Regents approval a statewide value-added growth model for teacher and principal evaluations and to promulgate regulations governing development of local measures of student growth and other valid measures of teacher effectiveness. As noted above, New York's system is based on multiple measures of effectiveness, which include student achievement as a significant factor. Pursuant to the law, student growth is one measure of student achievement and is defined as “the change in student achievement for an individual student between two or more points in time.” The law specifies that student

achievement will comprise 40 percent of teacher and principal evaluations and ratings in accordance with the following minimum requirements:

- 2011-12 for teachers in the common branch subjects or ELA and math in grades 4-8 only and for school principals in buildings in which these teachers are employed: 20 percent student growth on State assessments or comparable measures, and 20 percent other locally-selected measures that are rigorous and comparable across classrooms in accordance with standards prescribed by the Commissioner.
- 2012-13 and subsequent years before Regents approval of a value-added model for all teachers and principals: 20 percent student growth on State assessments or comparable measures, and 20 percent other locally selected measures that are rigorous and comparable across classrooms in accordance with standards prescribed by the Commissioner.
- Subsequent years following Regents approval of a value-added model for all teachers and principals: 25 percent student growth on State assessments or comparable measures, and 15 percent other locally selected measures that are rigorous and comparable across classrooms in accordance with standards prescribed by the Commissioner.
- The remaining 60 percent of the evaluations and ratings would be based on locally developed measures through collective bargaining (e.g., classroom observations by trained evaluators), in accordance with standards prescribed by the Commissioner.

The annual professional performance reviews will result in a single composite teacher or composite principal effectiveness score that will incorporate multiple measures related to the criteria included in the Commissioner's Regulations which include student growth.

NYSED will continue to seek the input of teachers, principals and other stakeholders in developing the teacher and principal evaluation systems and in monitoring and evaluating their effectiveness during implementation. Chapter 103 of the Laws of 2010 requires that any regulations relating to the evaluation system must be developed in consultation with an advisory committee consisting of representatives of teachers, principals, superintendents of schools, school boards, school district and board of cooperative educational services officials and other interested parties. This will be accomplished through close, ongoing collaboration with NYSED's Teacher and Principal Effectiveness Advisory Committee, discussed more fully below.

(D)(2)(i) STRATEGY 1: ESTABLISH CLEAR APPROACHES TO MEASURING STUDENT GROWTH FOR EACH INDIVIDUAL STUDENT AND APPLY THEM TO HELP DETERMINE TEACHER AND PRINCIPAL EFFECTIVENESS

Activity 1.1: Develop a statewide student growth model and a value-added model

NYSED intends to work with the Center for Assessment in order to design and implement a growth model and value-added model for use in making growth calculations for educator evaluations [see Appendix D_2_i_1 for a copy of the contract]. The Center for Assessment 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; Scott Marion, Brian Gong, and Damian Betebenner will be the project leads for the Center for Assessment. Specifically the Center for Assessment will:

- Review the growth models of Colorado, Massachusetts, and other states and determine their use for New York State.
- Write the specific description for the proposed New York State growth model, utilizing work already done for the growth models 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. As described in Section B, New York will adopt the use of the Common Core standards and the resulting assessments as they become available, and the growth model will be aligned concurrently.)
- Evaluate the 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 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.

Responsible Parties: NYSED

Timeline for Completion: June 2011

Activity 1.2: Form a Teacher and Principal Effectiveness Advisory Council (TPEAC)

In order to apply the student growth model within the context of the teacher and principal evaluation systems mandated by the new State law, NYSED will also seek input from the field by forming a Teacher and Principal Effectiveness Advisory Committee (TPEAC). This Committee will provide recommendations to the Commissioner for consideration and approval by the Board of Regents. TPEAC will be comprised of representatives from key stakeholder groups, including: LEAs, BOCES and the District Superintendents, New York State United Teachers, teacher and principal preparation programs, the New York State Council of School Superintendents, the New York State School Boards Association, the School Administrators Association of New York State, the Council of School Supervisors and Administrators (NYC-based), the New York State Association of School Personnel Administrators, and the New York State Teacher Centers.

Working with TPEAC and with NYSED staff, the Center for Assessment will build on the work they have completed for the growth model to create a value-added model for measuring teacher effectiveness. By July 2011, TPEAC will provide the Commissioner and Board of Regents with recommendations for developing a comprehensive measure of effectiveness to be integrated into the State's teacher and principal performance evaluation systems. Recognizing the complexity of measuring student growth in both tested and non-tested areas (e.g., art and music), New York's phase-in approach will allow for a thoughtful, participatory process culminating in a comprehensive, well-designed system that receives statewide stakeholder support.

Responsible Parties: NYSED, LEAs, BOCES

Timeline for Completion:

- 1) Center for Assessment student growth model and TPEAC recommendations by July 2011.
- 2) By August 2012, Regents adopt value-added growth model for measuring educator effectiveness.

(D)(2)(ii) STRATEGY 2: DESIGN AND IMPLEMENT RIGOROUS, TRANSPARENT, AND FAIR EVALUATION SYSTEMS FOR TEACHERS AND PRINCIPALS THAT (A) DIFFERENTIATE EFFECTIVENESS USING MULTIPLE RATING CATEGORIES THAT TAKE INTO ACCOUNT DATA ON STUDENT GROWTH AS A SIGNIFICANT FACTOR, AND (B) ARE DESIGNED AND DEVELOPED WITH TEACHER AND PRINCIPAL INVOLVEMENT

Current Systems of Evaluation – What is the State’s starting point.

(1) Annual Professional Performance Review for Teachers: New York State currently has an annual evaluation system, the Annual Professional Performance Review, in place for teachers which is governed by Section 100.2(o) of the Commissioner’s Regulations (Appendix D_2_ii_1). The regulations require that each LEA in New York State submit a professional development plan identifying the procedures it will use to conduct required annual teacher evaluations. As part of the Annual Professional Performance Review, school districts and BOCES are currently required to evaluate teachers based on at least eight criteria that are prescribed in regulation and reflect national research, including: content knowledge; preparation (including knowledge and application of necessary pedagogical practices); instructional delivery; classroom management; knowledge of student development; student assessment (implementing assessment techniques based on appropriate learning standards designed to measure a student’s learning progress and successfully utilizing available student performance data and other relevant information when providing instruction); effective collaboration with students, parents or caregivers, as needed, and appropriate support personnel to meet students’ learning needs; and reflective and responsive practice.

(2) Principal Performance Evaluation System: Through a grant awarded to the State by the Wallace Foundation, NYSED is currently working with an advisory group, made up of a diverse group of stakeholders from throughout the State, to develop a Principal Performance Evaluation System. The PPES will be built upon the ISLLC 2008 standards and other research-based leadership standards and designed to differentiate principal effectiveness employing multiple measures. To accurately assess a principal’s effectiveness as a school leader and ensure a sharp focus on the connection among strong school leadership, teacher effectiveness, and

student achievement, the PPES will require: (1) specific and measurable performance goals which address substantive issues identified through analysis of student achievement data and other factors that influence teaching and learning; (2) action plans that are based on a thorough understanding and application of relevant research and ensure attainment of goals; (3) growth in student learning and achievement; (4) feedback from multiple sources including educational stakeholders; and (5) identification of targeted areas for professional development and evidence of growth. In addition, in conjunction with implementation of the new law, the PPES will include the composite effectiveness score gains for teachers supervised by each principal and the gap-closing performance of those teachers.

Activity 2.1: Revise systems of performance evaluations under the new law

Numerous national studies have demonstrated the importance of effective teaching in raising student achievement. A recent Columbia University study concluded that teacher evaluation systems that use a combination of objective data (including student test scores) and subjective data (such as observations by trained mentor teachers) are powerful and have the potential to improve teacher quality.¹⁹ Research by William Sanders, the creator of Tennessee’s value-added assessment system, has found that students who have three ineffective teachers in a row fall so far behind that they are unlikely to ever regain that lost ground.²⁰ The four reform areas established by United States Education Department (USED) for the RTTT competition, as well as for School Improvement Grants and other new federal initiatives, highlight the critical nexus among teacher preparation, effectiveness, and student achievement. It is because New York believes so strongly in the soundness of the philosophy and approach supported by national research and current federal initiatives that we have worked so strenuously to garner statewide support for our vision of revised teacher and principal evaluation systems.

¹⁹ Rockoff, Jonah E. and Cecilia Speroni. 2010. “Subjective and Objective Evaluations of Teacher Effectiveness: Evidence from New York City,” http://www0.gsb.columbia.edu/faculty/jrockoff/papers/rockoff_speroni_april_2010.pdf.

²⁰ Sanders, William L., and June C. Rivers. 1996. *Cumulative and Residual Effects of Teachers on Future Student Academic Achievement*. Knoxville: University of Tennessee Value-Added Research and Assessment Center.

New York's law recognizes the importance of these findings and both reinforces and expands our existing work on the Annual Professional Performance Review and PPES. 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. Pursuant to Chapter 103 of the Laws of 2010, (see Appendix D), each rating category will now have explicit minimum and maximum scoring ranges, which will be prescribed in Commissioner's Regulations. A system for teacher evaluation must differentiate effectiveness and provide appropriate support for those teachers who are either rated ineffective or developing. As we move to include student growth as part of the evaluation system for teachers, it is clear that this evaluation will highlight the varying impact teachers have on student learning and achievement. A system with four, well-defined categories allows educators to better differentiate among the effectiveness of teachers and to target professional development to assist effective, developing and/or ineffective teachers to improve their professional outcomes. Furthermore, the highly effective category allows the state to acknowledge true excellence in teaching and to reward those individuals with supplemental compensation and leadership responsibilities in the school. To that end, NYSED will support LEAs in using evaluation results in making critical staffing decisions such as implementing career ladder systems and identifying and deploying effective teachers and leaders 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 are more than just evaluation instruments for teachers and principals – they are a way to assist teachers, principals and LEAs to develop capacity over time and to ultimately improve student learning.

Using data from the new rating categories and scoring bands, NYSED will conduct correlation analyses to determine that composite teacher scores match student achievement. As described more fully in Section D(3) (equitable distribution), if data reveal that teachers receive high scores without a corresponding increase in student achievement, NYSED will intervene to require that LEAs address the lack of student growth and/or inflated evaluation. The Office of Accountability will survey LEAs that have demonstrated

equitable distributions of effective teachers in order to identify and disseminate emerging best practices and strategies to measure and address equitable distribution and its impact on student growth.

Process for approving other locally selected and locally developed measures

As noted above, the new law requires that teacher and principal evaluations include consideration not only of student growth (eventually moving to value-added) on State assessments or comparable measures, but also of other locally-selected measures that are rigorous and comparable across classrooms in accordance with standards prescribed by the Commissioner. Using TPEAC's work as a foundation, NYSED will propose new regulations that set standards to ensure that any locally-selected measures meet the requirements of the law. In addition to initial approval, NYSED will also propose frameworks for ongoing monitoring and evaluation of the validity and effectiveness of locally-selected measures.

Timeline for Completion:

- June 2011 – Center for Assessment completes its work on the student growth model
- By July 2011 – TPEAC provides its recommendations to the Board of Regents for using the growth model for teacher/principal evaluations
- July 2011 – The Board of Regents enact regulations for using student growth for performance evaluations.
- 2011-2012 – Implement new Annual Professional Performance Review, including prescribed student growth measures, for teachers in the common branch subjects or ELA and math teachers in grades 4-8 and for principals in schools in which those teachers are employed
- 2012-2013 – Implement new Annual Professional Performance Review for all remaining teachers and principals
- 2013-2014 – Implement performance evaluations for all teachers and principals utilizing the State-developed value-added growth model

Activity 2.2: Develop a process for approving other locally selected and locally developed measures

Under new state law, the 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. NYSED is researching potential locally-selected assessment instruments; examples include: (1) Northwest Evaluation Association’s Measures of Academic Progress assessments, 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.

Timeline: The Board of Regents enact regulations in July 2011 to guide the use of local measures in performance evaluations

Activity 2.3: Establish criteria and evaluation tools for the remaining 60% of the evaluation

With respect to the remaining 60 percent of the teacher evaluations, the State’s existing Annual Professional Performance Review regulations currently establish eight criteria to be used in addition to student growth. To implement the new law, the State/Board of Regents will establish evaluation tools for measuring each criterion. Based on preliminary analysis, the following potential evaluative tools were identified:

Annual Professional Performance Review Evaluation Criteria	Examples of Possible Evaluative Tools
Content knowledge	Observations by trained evaluators [using standard rubrics; e.g., Charlotte Danielson’s “Framework for Teaching” rubrics, Doug Lemov’s teaching taxonomy, and the University of Virginia’s Classroom Assessment Scoring System (CLASS)], demonstration of proficiency in the development of lesson plans, unit plans, and instructional assessments that meet learning objectives

Annual Professional Performance Review Evaluation Criteria	Examples of Possible Evaluative Tools
Preparation – including knowledge and application of necessary pedagogical practices	Observations by trained evaluators [using standard rubrics; e.g., Charlotte Danielson’s “Framework for Teaching” rubrics, Doug Lemov’s teaching taxonomy, and the University of Virginia’s Classroom Assessment Scoring System (CLASS)], demonstration of application of the theories of learning, video, communication with mentors, variety of instruments to assess student performance
Instructional delivery	Observations by trained evaluators [using standard rubrics; e.g., Charlotte Danielson’s “Framework for Teaching” rubrics, Doug Lemov’s teaching taxonomy, and the University of Virginia’s Classroom Assessment Scoring System (CLASS)], the effective use of a variety of learning modalities assessed against a standard rubric, the effective use of instructional technology (e.g., video)
Classroom management	Observations by trained evaluators [using standard rubrics; e.g., Charlotte Danielson’s “Framework for Teaching” rubrics, Doug Lemov’s teaching taxonomy, and the University of Virginia’s Classroom Assessment Scoring System (CLASS)], video, promotion of social and global concerns, promotion of community awareness, sensitivity to diversity
Knowledge of student development	Observations by trained evaluators [using standard rubrics; e.g., Charlotte Danielson’s “Framework for Teaching” rubrics, Doug Lemov’s teaching taxonomy, and the University of Virginia’s Classroom Assessment Scoring System (CLASS)], demonstration of a variety of teaching strategies and methods to meet the varied learner’s needs, development and modification of teaching to engage and elevate learners in the zone of proximal development, teacher utilizes student assessment to inform teaching

Annual Professional Performance Review Evaluation Criteria	Examples of Possible Evaluative Tools
Student assessment (implementing assessment techniques based on appropriate learning standards designed to measure a student’s learning progress and successfully utilizing available student performance data and other relevant information when providing instruction)	Development of data-driven instruction action plans and individualized student learning plans
Effective collaboration with students, parents or caregivers, as needed, and appropriate support personnel to meet students’ learning needs	Communicates effectively with stakeholders, develops student plans with support personnel, school climate surveys
Reflective and responsive practice	Teacher self-reflective journals, communication with trained mentors, evidence of improved practice

With respect to the remaining 60 percent of the principal evaluations, the Regents have begun discussing the feasibility of such locally developed measures as the rate of student achievement gap reduction, qualitative rubric-based evaluations, and other quantitative measures (for example, results of “climate surveys” of parents, students and staff that measure the principal’s effectiveness in creating positive school and work environments). This work will be informed by our Wallace Foundation grant to create a Principal Performance Evaluation System. Once the Regents develop policies on locally developed measures for principal evaluations, 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.

Responsible Parties: NYSED

Timeline for Completion:

- June 2011 – Center for Assessment completes its work on the student growth model

- By July 2011 – TPEAC provides its recommendations to the Board of Regents for using the growth model for teacher/principal evaluations
- July 2011 – The Board of Regents enact regulations for using student growth and to guide the use of local measures for performance evaluations.
- 2011-2012 – Implement new Annual Professional Performance Review for teachers in the common branch subjects or ELA and math teachers in grades 4-8 and for principals in schools in which those teachers are employed
- 2012-2013 – Implement new Annual Professional Performance Review for all remaining teachers and principals
- 2013-2014 – Implement performance evaluations for all teachers and principals utilizing the State-developed value-added growth model

Activity 2.3: Hold LEAs Accountable for Educator Effectiveness Outcomes

Prior Commissioner’s regulations and new State law require annual evaluations of teachers. The new law bases these evaluations significantly on student achievement and requires a range of actions designed to provide data and feedback to strengthen teacher and principal effectiveness. As part of our plan to create a cohesive system to support effective teaching, leadership and learning in every school, NYSED will use data from the new evaluation systems to inform its evaluation and review of school districts. For example, in consultation with TPEAC, NYSED will use data from principal evaluations to create evaluation measures for the superintendents and assistant superintendents who manage them. Such measures would focus on the level and quality of support provided to principals, including the composite effectiveness score gains of the supervised principals, the student achievement growth of the supervised principals, and the gap-closing performance of the supervised principals.

NYSED will also leverage this law to strengthen state technical assistance to raise student achievement in our high need schools. NYSED also has broad authority over registered public and nonpublic schools (see Section E for more detail). Using such tools as the Schools Under Registration Review process, the Commissioner can revoke the registration of registered public and nonpublic schools

that fail to meet certain performance standards and criteria over time. NYSED will therefore propose a process for using teacher and principal effectiveness data to inform the reviews of Schools Under Registration Review.

As the governmental agency entrusted with the education of the State's children, NYSED places great value on providing the public with data through which they can fairly and accurately evaluate the performance of their schools and school leaders, including superintendents and building principals. New York State's School and District Report cards currently contain data on student performance, teacher qualifications, and school/district accountability measures. To further enhance the utility of the State's new evaluation systems and to provide additional data on the performance of our schools and leaders, NYSED will also require that LEAs report on the implementation of their evaluation processes and results on the School Leadership Report Card and School Progress Report Cards as follows:

- Rates of student growth and gap closing achieved by teachers and principals (broken down by race, income, etc.);
- Composite effectiveness scores for teachers and principals; and
- Correlation between non-growth measures and State assessment measures.

The effectiveness of the teacher and principal evaluation systems will also be enhanced by NYSED plans to provide clear and transparent data reports, including student growth data, at the district, school, classroom and individual student levels (see Section C). This data will be made available to LEA teachers, principals, superintendents and boards and will assist them in assessing their instructional programs as well as their teacher and principal evaluation systems. Specifically, New York's School District Report Cards will include:

- percentage of teachers and principals in each rating category, by poverty-status of school
- percentage of teachers and principals in each rating category, by high or low minority-status of school
- percentage of teachers in each rating category, by subject taught

- average composite score improvement
- percentage of teachers and principals moving to lower rating categories
- retention of teachers and principals in each rating category
- data on tenure granting and denial based on the categories

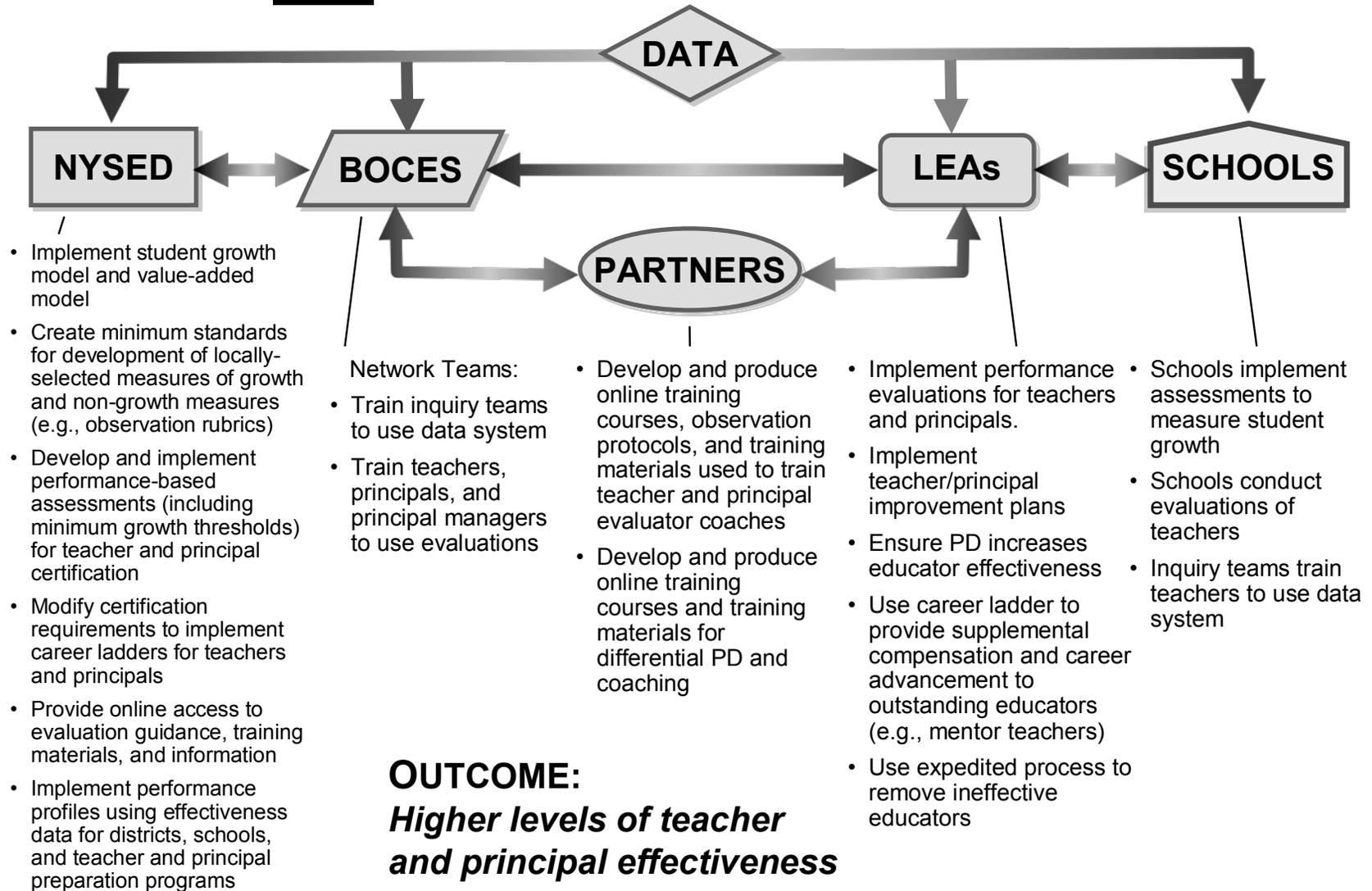
NYSED will also provide data on the validity of teacher and principal evaluation indicators, as follows:

- District and school-level correlation report between State test data and non-State test growth measures in tested subjects/grades (e.g., Are State test scores and writing portfolios consistent?)
- District and school-level correlation report between State test data and non-growth measures in tested subjects/grades (e.g., Are the principal's observations consistent with State test performance?)
- District and school-level correlation report non-State test growth measures and non-growth measures (e.g., Are the principal's observations consistent with the writing portfolios?)

Responsible Parties: NYSED

Timeline for Completion: Beginning in September 2013 the school report card will reflect new measures of accountability

GREAT TEACHERS AND LEADERS



(D)(2)(iii) STRATEGY 3: CONDUCT ANNUAL EVALUATIONS OF TEACHERS AND PRINCIPALS THAT INCLUDE TIMELY AND CONSTRUCTIVE FEEDBACK; AS PART OF SUCH EVALUATIONS, PROVIDE TEACHERS AND PRINCIPALS WITH DATA ON STUDENT GROWTH FOR THEIR STUDENTS, CLASSES AND SCHOOLS

Clear, transparent and ongoing communication with teachers, principals and district leaders about New York's new evaluation systems will be a critical part of successful implementation. Through its Office of District Services, NYSED will provide LEAs with timely and relevant information as well as with opportunities to continue the critical statewide dialogue on teacher and principal effectiveness.

New York will ensure that LEAs and BOCES, in accordance with regulation, will properly conduct annual evaluations and that teachers and principals receive constructive feedback in a timely manner on all criteria evaluated. Such feedback must provide teachers with data on student growth for each of their students, their classroom, and their school as a whole, and training on how the teacher can use such data to improve instruction. To help ensure the effective implementation as described above by July 2011, the 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, and schedules for all other aspects of these evaluations.

Activity 3.1: Establish and develop training for teams of "evaluation coaches"

To ensure that school leaders fully understand and properly implement all aspects of teacher and principal evaluations, 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 training 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 (explained more fully in Sections A and C). Generally, this model consists of district-level “network teams” that work constantly with school-based “inquiry teams.” Each of New York City’s network teams works with groups of approximately 25 schools. Each network team is responsible for providing the professional development and ongoing coaching required for the school-based teams in those 25 schools. The 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. 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.

Building on the approach taken by the NYC Department of Education, 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 the Big 5 school districts (described in Section A2) will work with principals and other local school staff to help teachers strengthen their practice and provide differentiated instruction to students, as needed. New York State’s system of accountability will thus be strengthened by measuring student growth and tying it directly to the ways a teacher is evaluated and then provided targeted professional development.

Timeline: Beginning Spring 2011 and ongoing thereafter

(D)(2)(iv)(a) STRATEGY 4A: USE THESE EVALUATIONSTO INFORM DECISIONS REGARDING DEVELOPING TEACHERS AND PRINCIPALS, INCLUDING BY PROVIDING RELEVANT COACHING, INDUCTION SUPPORT, AND/OR PROFESSIONAL DEVELOPMENT

Over the past several years, New York has implemented several initiatives to strengthen retention, coaching, and professional development opportunities for teachers, by requiring that each LEA implement a professional development plan, that teachers participate in 175 hours of professional development every five years as a condition of maintaining the Professional Certificate, and that all first-year teachers (including long-term substitutes) participate in mentoring activities. With the momentum of the new law, New York views RTTT as an opportunity to design a plan in which standards, curriculum and professional development are aligned and based on educator evaluation outcomes and are supported by the state's Data Portal. To that end, in addition to being grounded in educator evaluations, NYSED's differentiated professional development initiatives will be aligned to college-ready standards and curriculum and the use of data to improve instruction.

Activity 4A.1: Implement teacher and principal improvement plans

New York State law requires that 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. NYSED will also propose regulations regarding other elements to be included in the plans, which may include:

- Measurable goals for improving the deficiencies to satisfactory levels
- Specific professional development or activities to accomplish the goals

- Specific resources necessary to implement the plan, including: opportunities for the teacher to work with a curriculum specialist, subject area specialist, instructional specialist, and/or other relevant experts
- Procedures and evidence that must be collected to determine that the goals of the plan were met
- Timeline for the plan – including intermediate checkpoints to determine progress
- Procedures for determining satisfactory improvement

Responsible Parties: NYSED

Timeline for Completion: As per the new State law, this will begin in July 2011 and continue every year thereafter

(D)(2)(iv)(b) STRATEGY 4B: USE THESE EVALUATIONS TO INFORM DECISIONS REGARDING COMPENSATING, PROMOTING, AND RETAINING TEACHERS AND PRINCIPALS, INCLUDING PROVIDING OPPORTUNITIES FOR HIGHLY EFFECTIVE TEACHERS AND PRINCIPALS TO OBTAIN ADDITIONAL COMPENSATION AND CAREER ADVANCEMENT OPPORTUNITIES.

Activity 4B.1: Implement the use of evaluations in exiting educators

The law 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. Specifically, those 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 hearing would have to be completed within 60 days unless an adjournment is granted under the limited circumstances authorized by the statute.

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.

Responsible Parties: NYSED, LEAs

Timeline for Completion: July 2011 and every year thereafter begin to use performance evaluations in employment decisions

The new law requires that educator evaluation outcomes play a role in both career advancement and additional compensation for teachers. Recognizing that RTTT provides a major opportunity to implement this law in a manner that will maximize impact, the state proposes the creation of two programs: 1) a career development pathway, and 2) a supplemental compensation incentive program for highly effective teachers.

Activity 4B.2: Establish career development pathways for teachers and principals that increase performance requirements over time

NYSED is also already 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. Historically, teacher career advancement in New York – in terms of both certification and compensation – has been linked to higher education degrees and credits (e.g., baccalaureate degree for initial certification, master's degree for professional certification, additional compensation for additional credits and/or degrees). To change this approach, the Board of Regents will amend the teacher certification system in New York State to provide a pathway for teachers to advance through a State-authorized career continuum including novice teacher,

professional teacher, master teacher and teacher leader. Now, teachers in New York State will have a choice of advancement based on a State TCDC that establishes criteria for those who choose to enhance their teaching abilities, and establishes criteria for teachers who choose to advance into teacher leadership roles. 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. Each step will require a deeper level of demonstrated proficiency in practice, as evidenced through data that show student growth and achievement and the attainment of higher-level professional skills.

To compensate, promote, and retain principals, including by providing opportunities for highly effective principals to obtain additional compensation and be given additional responsibilities, New York will establish a Principal Career Development Continuum (PCDC) based on demonstrated effectiveness (see December 2009 Regents item on Transforming Teaching and Learning in Appendix D_2_iv_1).

New York will establish a PCDC within the New York State certification system using performance-based assessments that incorporate student growth. To strengthen school leadership, in December 2009 the Regents 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. The continuum will be based on a system to evaluate a school leader's:

- Participation in developing the profession directly through mentoring early career leaders;
- Delivery of high quality professional development to colleagues within the region and across the State;
- Turnaround school leadership skills that translate to improvement in instruction and learning at the principal's school;
- Actions linked to reform initiatives affecting student achievement at the principal's school and improved school culture and;

- Active encouragement and inspiration of others to become school leaders and support for them throughout the process.

Eligibility for career development continuum advancement will consider input from peers, who recognize and value the principal's contributions to the field over time, as supported by feedback from families, teachers, staff, administrators, and students where appropriate (e.g. 360 degree assessment model).

In addition, using a portion of the State's discretionary RTTT award, New York will also establish an Innovative Compensation Incentive Fund for LEAs that are committed to recognizing (through development or leadership opportunities) and rewarding Highly Effective and Effective teachers and principals through supplemental compensation based on the new performance evaluation systems. For example, LEAs could use such funding to provide Highly Effective and Effective teachers with supplemental compensation to serve as mentors and coaches for other teachers and student teachers and to lead professional development programs within the LEA. The State will give priority funding to those highly outstanding teachers and school leaders who are employed in high-need schools to help retention and ensure the equitable distribution of outstanding educators. (See Section D(3) for more detail)

New York 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. Similarly, for principals, New York will establish a Highly Effective Principal Transfer Fund through which LEAs can provide monetary incentives for highly effective principals to transfer to high-need schools within their LEA. The Transfer Fund for teachers and principals is detailed in Section D(3) of this application.

Responsible Parties: NYSED

Timeline for Completion:

- September 2012 and thereafter – use Innovative Supplemental Compensation Incentive Fund to provide supplemental compensation for teachers and principals

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- April 2011- November 2011– Collaboration among LEAs, teacher preparation program provider partners, experts in the field, and NYSED to finalize recommendations regarding the TCDC (e.g., develop appropriate roles and responsibilities)
- May 2012 – Regents approve regulations to implement the new TCDC certification structure (e.g., Novice, Professional, Master and Teacher Leader)
- April 2011 – November 2011: Collaboration among LEAs, principal preparation program provider partners, experts in the field, and NYSED to finalize recommendations regarding the PCDC (appropriate roles and responsibilities)
- May 2012 – Regents approve regulations to implement new PCDC certification structure (e.g., Novice, Lead, Peer, Master)

New York State Teacher Career Development Continuum		
Role	Criteria for Eligibility	Roles and Responsibilities
Novice Teacher	<ul style="list-style-type: none"> • Initial Certification 	<ul style="list-style-type: none"> • Classroom teacher • Formally mentored by trained mentors • Professional development
Professional Teacher	<ul style="list-style-type: none"> • Professional Certificate • Earned Master’s Degree appropriate for the Professional Certificate • Performance based assessment using multiple measures of effectiveness • Performance-based assessment including at least 2 years of data evidencing the achievement and growth of their students 	<ul style="list-style-type: none"> • Classroom teacher • Eligible for increased responsibilities • Actively participates in cohort teams for relevant, research based professional development led by a Mentor teacher • May participate on shared decision making committee • Progress toward required professional development • Increased recognition • Opportunities to co-teach
Teacher Leadership options.		
Professional teachers may choose to move to one or both of the options below.		

educator's tenure decision. Now, under New York's new evaluation law, not only are student performance data and achievement mandatory considerations in the tenure process, they are also significant factors.

To guide and support LEAs in implementing the new law, 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.

Responsible Parties: NYSED, LEAs

Timeline for Completion: July 2011 – The Board of Regents enact new regulations defining how student growth will be used for performance evaluations and tenure decisions.

Activity 4C.2: Implement a performance-based assessment for initial and professional teaching certification

New York will also implement a performance-based assessment for initial certification. In combination with more rigorous content exams, the performance-based assessment will require teacher candidates to demonstrate the knowledge and skills that research has shown to be linked to classroom effectiveness. When a new teacher has earned an initial certificate and completed two years of teaching, that teacher will complete an additional performance-based assessment that focuses on the effectiveness of the teacher's skills during the first two years of teaching, and will use the State's data system to include student growth data (described in Section C). Demonstrated teaching skills on this results-oriented assessment of teacher effectiveness, which will incorporate threshold student growth measures, will be required for teachers to earn professional certification. The time for completing a master's degree will be extended to six years from initial certification to allow each teacher to complete an advanced degree more directly aligned to the teacher's individual goals for professional development. If a teacher cannot pass the performance assessment, the teacher cannot earn the professional teaching certificate, which is required for continued employment in any New York State public school after five years of teaching with an initial certificate. 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.

Responsible Parties: NYSED

Timeline for Completion:

- In collaboration with the State’s testing vendor and the educational community, design and validate the performance assessment for initial certification, May 2010 through April 2011.
- In collaboration with the State’s testing vendor and the educational community, design and validate the performance assessment for professional certification, October 2010 through September 2011.
- Implement the new performance assessment linked to effectiveness for initial certification, May 2012 for pilot programs and May 2013 for all teacher education programs [see Section (D)(4)]
- Pilot the new performance assessment for professional certification in 2012-13 and implement shortly thereafter [see Section (D)(4)].

Activity 4C.3: Implement a performance-based assessment for school leader certification

In May 2010, the Regents approved development of a performance-based assessment for use by preparation programs to evaluate principal candidates for certification. During fall 2010, NYSED and its partners (including principals and other school stakeholders) will begin to develop the performance-based assessment, which will include formative and summative assessments through the submission of a portfolio of artifacts demonstrating candidates’ leadership skills and knowledge. These artifacts could include videos, audio, graphics, self-evaluations, school quality reviews, and other school data that indicates their knowledge and skills in school leadership.

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 New York until they meet the new, more rigorous standards. Principal candidates enrolled in the clinically-rich principal

preparation program to be offered by both IHEs and non-IHEs must pass this performance assessment beginning in the spring of 2012 (pilot program) [See section (D)(4)]. All principal candidates in the State's preparation programs must pass this performance assessment beginning in the spring of 2013 for principal certification.

Responsible Parties: Office of Higher Education, LEAs, principal preparation program providers

Timeline for Completion: Spring 2012 for pilot programs, spring 2013 for all other principal preparation programs

(D)(2)(iv)(d) STRATEGY 4D: USE TEACHER AND PRINCIPAL EVALUATIONS TO INFORM DECISIONS REGARDING REMOVING INEFFECTIVE TENURED AND NONTENURED TEACHERS AND PRINCIPALS AFTER THEY HAVE HAD AMPLE OPPORTUNITIES TO IMPROVE, AND ENSURING THAT SUCH DECISIONS ARE MADE USING RIGOROUS STANDARDS AND STREAMLINED, TRANSPARENT, AND FAIR PROCEDURES

Activity 4D.1: Expedited disciplinary process for ineffective educators

In New York State, a board of education has the right to terminate a probationary (non-tenured) teacher's or administrator's employment at any time during the educator's probationary period without a hearing (Education Law §3012[1][a] and [b], Appendix D_2_iv_2). New York's plans for implementing a streamlined, transparent and fair process, which includes appeals, for removing ineffective educators with tenure who have had ample opportunities to improve is described below.

Ineffective tenured and nontenured teachers and principals can be removed after they have had ample opportunities to improve based on the redesigned Annual Professional Performance Review (incorporating student growth). LEAs will be required to use the more rigorous Annual Professional Performance Review to be implemented in 2011-12, including consideration of student growth [Section (D)(2)(iii)], to evaluate both tenured and non-tenured teachers and principals. The enhanced evaluations will be a component of each teacher's and principal's record for use in removal procedures. Ineffective non-tenured teachers and principals may be dismissed on notice for any reason (including incompetence).

In 2006, the State's largest LEA, New York City, began to use student achievement data to assess the effectiveness of educators. Principals received training on how to assist teachers in using student achievement data to strengthen their teaching practice and differentiate instruction. The lessons learned in New York City will help the State to quickly scale up this new statutory, mandated requirement for the rest of the State.

For purposes of disciplinary proceedings, the new State law (See Appendix D, Chapter 103 of the Laws of 2010) defines a pattern of ineffective teaching or performance as two consecutive annual ratings of "ineffective" received by a classroom teacher or building principal on the Annual Professional Performance Review, after (1) professional development plans have been developed and implemented, and (2) multiple opportunities for improvement and supports have been afforded to the teacher or building principal that have not resulted in improvement in performance, student achievement, or both. A pattern of ineffective teaching or performance constitutes very significant evidence of incompetence.

In addition, the law requires that, where charges of incompetence are brought based solely on a pattern of ineffective teaching or performance of a classroom teacher or principal, an expedited hearing will be conducted before a single hearing officer (as compared to the previous law requiring a panel of three), which shall commence within seven days after the pre-hearing conference and be completed within 60 days after the pre-hearing conference, with any adjournment extending the hearing beyond 60 days based only upon circumstances or occurrences substantially beyond the control of the requesting party and resulting in an injustice if the adjournment were not granted. **During this period, the teacher or principal would be removed from the classroom or school.**

This process will result in a short-term increase in the number of due process hearings to remove ineffective teachers. The New York City Department of Education has negotiated an expedited process for its affected teachers with their bargaining agent and anticipates that all teachers currently awaiting hearings will have their hearings by September 2010, with final resolution within 60 days. This will significantly reduce the number of pending cases in New York State.

Responsible Parties: NYSED, LEAs

Timeline for Completion: By July 2011– The Board of Regents enact regulations to implement the expedited disciplinary hearing.

New state law (Chapter 103 of the Laws of 2010, effective July 1, 2010) requires that all performance reviews conducted on or after July 1, 2011, must be a significant factor for employment decisions, including promotion, retention, tenure, termination and supplemental compensation. It further requires that all collective bargaining agreements entered into after July 1, 2010, be consistent with the new state law. Based on our analysis of current district collective bargaining agreements, the great majority of current agreements will expire and be renegotiated prior to the 2011-12 school year the point at which the state growth measures and regulations regarding teacher and leader evaluation will become operational. This includes New York City and some of New York's largest districts, educating a high percentage of our disadvantaged students. Further, nearly 100 percent of current agreements will expire and be renegotiated prior to the beginning of the 2013-14 school year, and districts and bargaining units are empowered to renegotiate terms at any time. Finally, our analysis shows that only approximately 10 percent of district agreements are pending negotiation beyond expiration date at any time, and nearly all of these are resolved within one or two years. Therefore, as indicated in our performance measures, New York expects that at least 70 percent of our districts will have new evaluation systems in use consistent with new state law within two years, which is the first year that growth measures and evaluation systems will be fully operational, and all districts will have such systems in place before the end of the Race to the Top grant term.

Performance Measures Notes: Data should be reported in a manner consistent with the definitions contained in this application package in Section II. Qualifying evaluation systems are those that meet the criteria described in (D)(2)(ii).		Actual Data: Baseline (Current school year or most recent)	End of SY 2010-2011	End of SY 2011-2012	End of SY 2012-2013	End of SY 2013-2014
Criteria	General goals to be provided at time of application:	Baseline data and annual targets				
(D)(2)(i)	Percentage of participating LEAs that measure student growth (as defined in this notice).	N/A	N/A	70	90	100
(D)(2)(ii)	Percentage of participating LEAs with approved evaluation systems for teachers.	N/A	N/A	70	90	100

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(D)(2)(ii)	Percentage of participating LEAs with approved evaluation systems for principals.	N/A	N/A	70	90	100
(D)(2)(iv)	Percentage of participating LEAs with approved evaluation systems that are used to inform:					
(D)(2)(iv)(a)	<ul style="list-style-type: none"> Developing teachers and principals. 	0	N/A	70	90	100
(D)(2)(iv)(b)	<ul style="list-style-type: none"> Compensating and advancing teachers and principals. 	0	N/A	70	90	100
(D)(2)(iv)(b)	<ul style="list-style-type: none"> Promoting teachers and principals. 	0	N/A	70	90	100
(D)(2)(iv)(b)	<ul style="list-style-type: none"> Retaining effective teachers and principals. 	0	N/A	70	90	100
(D)(2)(iv)(c)	<ul style="list-style-type: none"> Granting tenure and/or full certification (where applicable) to teachers and principals. 	0	N/A	100	100	100
(D)(2)(iv)(d)	<ul style="list-style-type: none"> Removing ineffective tenured and untenured teachers and principals.²¹ 	0	N/A	100	100	100
General data to be provided at time of application:						
Total number of participating LEAs.		744				
Total number of principals in participating LEAs.		~3,866				
Total number of teachers in participating LEAs.		~190,968				
Criterion	Data to be requested of grantees in the future:					
(D)(2)(ii)	Number of teachers and principals in participating LEAs with qualifying evaluation systems.					
(D)(2)(iii) ²²	Number of teachers and principals in participating LEAs with qualifying evaluation systems who were evaluated as effective or better in the prior academic year.					

²¹ In 2011-12, the new evaluation system will be used for removal decisions for all nontenured teachers and principals. Also in 2011-12, the point at which the new system becomes operational, evaluations under the new system may be used as evidence in removal proceedings for tenured teachers and principals. The expedited process for removal for ineffective teaching or performance will be available following evaluations in 2012-13.

²² Note that for some data elements there are likely to be data collection activities the State would do in order to provide aggregated data to the Department. For example, in Criteria (D)(2)(iii), States may want to ask each participating LEA to report, for each rating category in its evaluation system, the definition of that category and the number of teachers and principals in the category. The State could then organize these two categories as effective and ineffective, for Department reporting purposes.

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(D)(2)(iii)	Number of teachers and principals in participating LEAs with qualifying evaluation systems who were evaluated as ineffective in the prior academic year.	
(D)(2)(iv)(b)	Number of teachers and principals in participating LEAs with qualifying evaluation systems whose evaluations were used to inform compensation decisions in the prior academic year.	
(D)(2)(iv)(b)	Number of teachers and principals in participating LEAs with qualifying evaluation systems who were evaluated as effective or better and were retained in the prior academic year.	
(D)(2)(iv)(c)	Number of teachers in participating LEAs with qualifying evaluation systems who were eligible for tenure in the prior academic year.	
(D)(2)(iv)(c)	Number of teachers in participating LEAs with qualifying evaluation systems whose evaluations were used to inform tenure decisions in the prior academic year.	
(D)(2)(iv)(d)	Number of teachers and principals in participating LEAs who were removed for being ineffective in the prior academic year.	

(D)(3) Ensuring equitable distribution of effective teachers and principals (25 points)

The extent to which the State, in collaboration with its participating LEAs (as defined in this notice), has a high-quality plan and ambitious yet achievable annual targets to—

(i) Ensure the equitable distribution of teachers and principals by developing a plan, informed by reviews of prior actions and data, to ensure that students in high-poverty and/or high-minority schools (both as defined in this notice) have equitable access to highly effective teachers and principals (both as defined in this notice) and are not served by ineffective teachers and principals at higher rates than other students; (15 points) and

(ii) Increase the number and percentage of effective teachers (as defined in this notice) teaching hard-to-staff subjects and specialty areas including mathematics, science, and special education; teaching in language instruction educational programs (as defined under Title III of the ESEA); and teaching in other areas as identified by the State or LEA. (10 points)

Plans for (i) and (ii) may include, but are not limited to, the implementation of incentives and strategies in such areas as recruitment, compensation, teaching and learning environments, professional development, and human resources practices and processes.

The State shall provide its detailed plan for this criterion in the text box below. The plan should include, at a minimum, the goals, activities, timelines, and responsible parties (see Reform Plan Criteria elements in Application Instructions or Section XII, Application Requirements (e), for further detail). In the text box below, the State shall describe its current status in meeting the criterion. The narrative or attachments shall also include, at a minimum, the evidence listed below, and how each piece of evidence demonstrates the State's success in meeting the criterion. The narrative and attachments may also include any additional information the State believes will be helpful to peer reviewers. For attachments included in the Appendix, note in the narrative the location where the attachments can be found.

Evidence for (D)(3)(i): Definition of high-minority and low-minority schools as defined by the State for purposes of the State's Teacher Equity Plan:

Recommended maximum response length: Three pages

SUBSECTION D(3) OVERVIEW

VISION	New York will ensure equity in educator effectiveness by focusing on dramatically reducing the number of ineffective teachers and principals, with a particular emphasis on high-needs LEAs and subject areas
STRATEGIES	<ol style="list-style-type: none">1. Ensure equitable distribution of the most effective teachers and principals across the State of New York.2. Increase the number and percentage of effective teachers teaching hard-to-staff subjects and specialty areas, including STEM fields and special education, and teachers of English language learners
GOALS	▶ All schools will employ an equal percentage of highly effective educators.

SUBSECTION D(3) NARRATIVE

NYSED's efforts to achieve statewide equity in the quality of education has focused on (1) dramatically reducing the number of uncertified teachers in shortage areas in high-need LEAs, (2) ensuring the distribution of highly effective teachers across both high- and low-need LEAs and (3) with the implementation of the P-20 data system, develop a statewide monitoring system on the equitable distribution of effective and highly effective teachers and principals based on teacher and principal performance evaluations newly mandated by Chapter 103 of the Laws of 2010. In response to troubling trends in those areas, the Regents took action in 2003 to abolish emergency certifications (i.e., temporary licensed teachers), which were used disproportionately in large urban districts and led to the inequitable distributions of effective/highly effective teachers (see Section (D)(1)). As a result of the Regents' action, between 2000-01 and 2007-08 the percentage of uncertified teachers in shortage areas in New York's largest high-need LEAs dropped by 13 percent and 24 percent, depending on the specific subject area and school district.

(D)(3)(i) STRATEGY 1: ENSURE EQUITABLE DISTRIBUTION OF THE MOST EFFECTIVE TEACHERS AND PRINCIPALS ACROSS THE STATE OF NEW YORK

Activity 1.1: Strengthen existing processes for monitoring the equitable distribution of teachers and principals

As the P-20 Longitudinal Data System (described in Section C) is phased in, NYSED will collect single composite effectiveness scores (described in Section D2) 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 these comprehensive evaluation and data systems in place, NYSED will also have the ability to monitor the equitable distribution of effective teachers and principals with two specific goals: 1) to 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 and 2) to evaluate the proportion of an LEA’s teachers and leaders receiving high composite teacher and principal effectiveness scores. The State will 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 be a key initiative to help ensure that school districts are effectively implementing the new evaluation system for teachers and principals as described in Section (D)(2). 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.

Responsible Parties: Offices of Accountability and District Services, LEAs

Timeline for Completion:

- 2010-11 (existing measures)

- 2011-12 (new measures)
- 2012-13 (new measures further developed and refined)

Activity 1.2: Develop LEAs' capacity to use the new APPR and PPES (which will include student growth and differentiate effectiveness using four rating categories [Highly Effective, Effective, Developing and Ineffective]) to improve the equitable distribution of effective teachers and principals.

While evaluations based on effectiveness (including student growth) are necessary, they alone are not sufficient to ensure an equitable distribution of effective and highly effective educators. Instructional leaders – whether they are superintendents supporting principals or principals supporting teachers – must have the knowledge and skills to help educators improve. NYSED's will provide tools those leaders can use to improve the effectiveness of their teachers and principals through investments in the development of PreK-12 curriculum frameworks (see Section (B)), aligned professional development (see Section (B)), formative and interim assessments and redesigned summative assessments (see Section (B)), a robust data and instructional reporting system (see Section (C)), and new induction programs and principal leadership academies to support new and experienced principals (see Section (D)(5)). 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.

Responsible Parties: Office of District Services, LEAs.

Timeline for Completion:

- 2010-11: Diagnostic review of the evaluation processes and use of evaluations by participating LEAs
- 2011-12: Begin the implementation of new APPR and PPES
- 2012-13: Implementation by LEAs of teacher/principal improvement plans for educators identified as ineffective or developing

Activity 1.3: Invest in differentiated professional development and supports with a focus on teachers and principals who are in high-need schools and shortage subject areas.

As outlined in Sections A, B, and D(5), 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.

New York will have BOCES-based Network Teams (see Section (C)) and the External Technical Assistance Center for Innovation and Turnaround (ETACIT) for high-need schools (see Section (E)) focused at the district level, particularly on high-need districts (see Section (D)(5) Goal 1). These support efforts will assist LEAs in building capacity in effective evaluation and providing differentiated professional development as warranted.

Responsible Parties: Office of District Services, LEAs.

Timeline for Completion: Spring 2011 and ongoing

(D)(3)(ii) STRATEGY 2: INCREASE THE NUMBER AND PERCENTAGE OF EFFECTIVE TEACHERS TEACHING HARD-TO-STAFF SUBJECTS AND SPECIALTY AREAS, INCLUDING STEM FIELDS AND SPECIAL EDUCATION, AND TEACHERS OF ENGLISH LANGUAGE LEARNERS.

New York State has made great strides 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 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).

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. In 2004-05, statewide, teachers without appropriate certification held 7.9 percent of full-time teaching assignments; by 2007-08, this was reduced to 4.7 percent. For the same period NYC experienced a reduction of full-time teaching assignments held by teachers out of their certification area from 18.7 percent to 10.4 percent; the reduction in the rest of the State was from 2.7 percent to 2.1 percent.

While progress has been made in certain subjects and geographic locations, the proportion is significantly higher in other areas. In New York City, there are large numbers of out-of-certification teachers in Bilingual Education (26 percent), Career and Technical Education (24 percent), Special Education middle/secondary (19 percent), the Sciences (18 percent), Languages other than English (14 percent), and English as a second language (12 percent). Many high-need districts also have percentages of out of certification teachers that exceed the statewide average. Also, while the statewide 2006-07 to 2007-08 teacher turnover rate was five percent, many regions and certificate areas exceeded that rate.

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. In 2007-08, the State produced only an estimated 72 percent of the Career and Technical Education teachers and 60 percent of the special education middle and secondary teachers needed to fill the need in those subject areas. While research (Wyckoff et al, 2003) found that 85 percent of new teachers took their first assignments within 40 miles of their hometowns, just 17 percent of the Career and Technical Education teachers and an estimated 29 percent of the special education middle and secondary teachers that New York City needed to fill its shortages (assuming it hired all teachers certified in the subject that year) came from the New York City area. Shortages in these areas persist from year to year.

Moving forward, New York will build on its prior efforts and successes, and the new evaluation system, to increase the number and percentage of effective teachers teaching in hard-to-staff fields. New York will employ several strategies, in addition to those presented in Section D(3)(i) above.

Activity 2.1: Strengthen existing processes to monitor the number and percentage of effective teachers in hard-to-staff subjects and specialty areas (as described in Section (D)3(i), Goal 1, Activity 1).

Responsible Parties: Offices of Accountability and District Services, LEAs.

Timeline for Completion:

- 2010-11 (existing measures)
- 2011-12 (new measures)
- 2012-13 (new measures further developed and refined)

Activity 2.2: To ensure sustainable, long-term equitable distribution of teachers and school leaders in New York's high-need schools and LEAs, New York's plan will fundamentally redesign teacher and principal preparation programs and create expedited pathways to certification for teacher shortage areas

The state will initiate new, clinically-rich undergraduate teacher preparation programs for schools serving high-need populations and shortage or specialty areas (English language learners, students with disabilities) (see Section (D)(4)(ii)1a);

- The Regents recently approved regulations to establish clinically-rich graduate level teacher preparation programs for high-need schools and shortage or specialty areas (English language learners, students with disabilities) [see Section (D)(1)]. Both IHEs and non-IHEs may apply for approval by the Board to offer such programs. The programs contain an intensive residency component and rigorous curriculum (Commissioner's Regulations §52.21(b)(5) Appendix D_1_i_1) (see Section (D)(4)(ii)Activity 2.5);

- The Regents recently approved regulations to establish a clinically-rich approach to prepare principals to directly strengthen teaching and learning for high-need schools and shortage or specialty areas (English language learners, students with disabilities) (See Section D(1)). Both IHEs and non-IHEs that are selected by the Board through a competitive process can offer such programs. This program also contains an intensive clinical component and rigorous curriculum, and is aimed at providing candidates with effective leadership skills in high-need schools (Commissioner's Regulations §52.21(c)(7); Appendix D_1_i_1 See Section D(4)(ii)Activity 2.6); and
- 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.

Responsible Parties: Office of Higher Education

Timeline for Completion:

- September 2010 – The Board of Regents enact new regulations to create an expedited teacher certification pathway for professionals in the STEM fields to teach in high need schools.
- September 2011 and continuing for 6 years -- Implementation of both the clinically rich preparation programs for teachers and principals

Activity 2.3: In addition to in-service professional development supports described above, begin new induction programs for teachers in high-need schools.

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 help create teacher leaders who will help new teachers achieve expertise in curriculum planning, assessment, and using data and reflection on practice to improve teaching and learning [See Section D(5)(ii)].

Responsible Parties: Office of Higher Education

Timeline for Completion: February 2011 – issue RFP, programs are implemented in September 2011

Activity 2.4: Transfer Fund. Through an RTTT-supported Transfer Fund, provide financial incentives to encourage the most effective teachers and principals to take teaching assignments in high-need schools, especially in STEM areas.

Because certified and highly effective teachers are central to improving student performance and closing achievement gaps, 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. Principals must also have had three outstanding evaluations, including student growth, to meet eligibility requirements

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. NYSED will award bonuses progressively. For example, eligible teachers will receive an additional \$6,000 in the first year and additional \$1,000 increments up to \$9,000 in the fourth and

final year. This initiative will be expected to reach 1,000 teachers annually in approximately 300 high-need schools. Once the first cohort successfully reaches the fourth year, the annual direct cost for a maximum annual cohort of 1,000 teachers will remain constant at \$30 million. The principal initiative is expected to reach 300 principals annually in approximately 300 high-need schools. The annual direct cost would be \$9 million over the four year period. To sustain this initiative and continue to retain highly effective teachers in high-need schools and subject areas, beginning in Fall 2015 New York will use ESEA Title II, Part A funds.

Responsible Parties: Office of Higher Education

Timeline for Completion: The beginning of the 2011-12 school year through the 2014-15 school year.

Activity 2.5: Innovative Supplemental Compensation Incentive Fund

The Fund will offer LEAs and their collective bargaining units the opportunity to provide outstanding principals, and outstanding teachers teaching in hard-to-staff subjects and specialty areas with supplemental compensation based upon effectiveness. This program would utilize \$30 million in Race to the Top funds to support the retention of these effective educators.

While all 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). For example, LEAs could use such funding to provide highly effective and effective teachers with supplemental compensation to serve as mentors and coaches for other teachers and student teachers, or to lead professional development programs within the LEA. 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.

Responsible Parties: NYSED, LEAs

Timeline For Completion: Beginning in October 2011, the State will make grants to participating LEAs from the Innovative Supplemental Compensation Incentive Fund

Performance Measures for (D)(3)(i)23 The baseline data for 2010-2011 represents certification data for teachers and principals. Teachers/principals were identified as ineffective if they were not appropriately certified for their teaching assignment. Beginning with the 2011-12 year, the State will collect performance evaluation data for all teachers and principals. The percentages for 2011-12 and thereafter are based on the State's goal, through our Race to the Top initiatives, to equalize the equitable distribution of highly effective and effective teachers across high poverty and low poverty schools to be measured by the newly mandated performance evaluations for teachers and principals. <i>Note: All information below is requested for Participating LEAs.</i>	Actual Data: Baseline (Current school year or most recent)	End of SY 2010-2011	End of SY 2011-2012	End of SY 2012-2013	End of SY 2013-2014
General goals to be provided at time of application:	Baseline data and annual targets				
Percentage of teachers in schools that are high-poverty, high-minority, or both (as defined in this notice) who are highly effective (as defined in this notice).	N/A	10	20	30	40
Percentage of teachers in schools that are low-poverty, low-minority, or both (as defined in this notice) who are highly effective (as defined in this notice).	N/A	15	25	30	40
Percentage of teachers in schools that are high-poverty, high-minority, or both (as defined in this notice) who are ineffective.	N/A	30	25	20	<10
Percentage of teachers in schools that are low-poverty, low-minority, or both (as defined in this notice) who are ineffective.	N/A	30	25	20	<10

New York State: Race to the Top: Selection Criteria and Competition Priorities

Percentage of principals leading schools that are high-poverty, high-minority, or both (as defined in this notice) who are highly effective (as defined in this notice).	N/A	10	20	30	40
Percentage of principals leading schools that are low-poverty, low-minority, or both (as defined in this notice) who are highly effective (as defined in this notice).	N/A	20	25	30	40
Percentage of principals leading schools that are high-poverty, high-minority, or both (as defined in this notice) who are ineffective.	N/A	30	25	20	<10
Percentage of principals leading schools that are low-poverty, low-minority, or both (as defined in this notice) who are ineffective.	N/A	10	5	<5	<5
General data to be provided at time of application:					
Total number of schools that are high-poverty, high-minority, or both (as defined in this notice).	1,947				
Total number of schools that are low-poverty, low-minority, or both (as defined in this notice).	369				
Total number of teachers in schools that are high-poverty, high-minority, or both (as defined in this notice).	69,491				
Total number of teachers in schools that are low-poverty, low-minority, or both (as defined in this notice).	88,503				
Total number of principals leading schools that are high-poverty, high-minority, or both (as defined in this notice).	1,526				
Total number of principals leading schools that are low-poverty, low-minority, or both (as defined in this notice).	1,946				
Data to be requested of grantees in the future:					
Number of teachers and principals in schools that are high-poverty, high-minority, or both (as defined in this notice) who were evaluated as highly effective (as defined in this notice) in the prior academic year.					
Number of teachers and principals in schools that are low-poverty, low-minority, or both (as defined in this notice) who were evaluated as highly effective (as defined in this notice) in the prior academic year.					

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Number of teachers and principals in schools that are high-poverty, high-minority, or both (as defined in this notice) who were evaluated as ineffective in the prior academic year.						
Number of teachers and principals in schools that are low-poverty, low-minority, or both (as defined in this notice) who were evaluated as ineffective in the prior academic year.						
Performance Measures for (D)(3)(ii)		Actual Data: Baseline (Current school year or most recent)	End of SY 2010-2011	End of SY 2011-2012	End of SY 2012-2013	End of SY 2013-2014
<i>Note: All information below is requested for Participating LEAs.</i>						
General goals to be provided at time of application:		Baseline data and annual targets				
Percentage of mathematics teachers who were evaluated as effective or better.		N/A	70	70	75	80
Percentage of science teachers who were evaluated as effective or better.		N/A	70	70	75	80
Percentage of special education teachers who were evaluated as effective or better.		N/A	70	70	75	80
Percentage of teachers in language instruction educational programs who were evaluated as effective or better.		N/A	70	70	75	80
General data to be provided at time of application:						
Total number of mathematics teachers.		17,683				
Total number of science teachers.		16,329				
Total number of special education teachers.		41,398				
Total number of teachers in language instruction educational programs.		6,966				
Data to be requested of grantees in the future:						
Number of mathematics teachers in participating LEAs who were evaluated as effective or better in the prior academic year.						

Number of science teachers in participating LEAs who were evaluated as effective or better in the prior academic year.	
Number of special education teachers in participating LEAs who were evaluated as effective or better in the prior academic year.	
Number of teachers in language instruction educational programs in participating LEAs who were evaluated as effective or better in the prior academic year.	

(D)(4) Improving the effectiveness of teacher and principal preparation programs (14 points)

The extent to which the State has a high-quality plan and ambitious yet achievable annual targets to—

- (i) Link student achievement and student growth (both as defined in this notice) data to the students’ teachers and principals, to link this information to the in-State programs where those teachers and principals were prepared for credentialing, and to publicly report the data for each credentialing program in the State; and
- (ii) Expand preparation and credentialing options and programs that are successful at producing effective teachers and principals (both as defined in this notice).

The State shall provide its detailed plan for this criterion in the text box below. The plan should include, at a minimum, the goals, activities, timelines, and responsible parties (see Reform Plan Criteria elements in Application Instructions or Section XII, Application Requirements (e), for further detail). Any supporting evidence the State believes will be helpful to peer reviewers must be described and, where relevant, included in the Appendix. For attachments included in the Appendix, note in the narrative the location where the attachments can be found.

Recommended maximum response length: One page

SUBSECTION D(4) OVERVIEW

VISION	New York will improve student achievement by reforming, strengthening, and holding accountable teacher and principal preparation programs to ensure that all graduates are effective.
STRATEGIES	<ol style="list-style-type: none"> 1. Link student achievement and growth data to teachers and principals and the programs that prepared them. 2. Report effectiveness outcomes for all teacher and principal preparation programs and link effectiveness outcomes to state program

	approval criteria and close ineffective preparation programs 3. Expand preparation and credentialing options and programs that are successful at producing effective teachers and principals.
GOALS	▶ By 2014, all teacher and principal preparation programs in the state are graduating effective educators.

SUBSECTION D(4) NARRATIVE

(D)(4)(i) STRATEGY 1: Link student achievement and growth data to teachers and principals and the programs that prepared them. Report effectiveness outcomes for all teacher and principal preparation programs and link effectiveness outcomes to state program approval criteria and close ineffective preparation programs

New York’s plan focuses on improving student achievement by reforming and strengthening teacher and principal effectiveness and accountability. Using the State’s new data system (described in Section (C)) as a platform, the new teacher and principal evaluation systems discussed in Section (D)(2) will provide for: (1) the development of a single composite effectiveness score, based in substantial part on student growth for every teacher and principal; and (2) the development of performance profiles, based on aggregate teacher and/or leader effectiveness data, for every teacher or school leader preparation program. By linking individual student data with the evaluations of every critical partner in the education of our students – from classroom teachers and building leaders to the school districts in which they serve and the programs that prepare them for such service – New York State will be able to analyze all preparation programs in this State to ensure that they are producing effective teachers and leaders.

Activity 1.1: Link student achievement and growth data to teachers and principals using the new evaluation systems as outlined in Sections (C) and (D)(2).

Responsible Parties: Regional Information Centers (RICs), LEAs, Office of Higher Education

Timeline For Completion: June 2011, ongoing

Activity 1.2: Link teacher and principal evaluation data to the in-State programs preparing those teachers and principals and report them publicly

As the government agency entrusted with the registration of New York State's teacher and principal preparation programs, NYSED places great value on providing the public data through which the effectiveness of such programs can be fairly and accurately evaluated. To this end, NYSED will 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 to prepare school building leader (principal) certification candidates.

The 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 the public or private institutions that prepared those teachers and leaders. In addition to the accountability measures already in place for teacher and principal preparation programs (i.e., requiring all programs to achieve accreditation and maintain at least an 80 percent pass rate on all certification examinations), by December 2010 the Regents will approve a teacher and principal preparation program performance accountability system. Beginning in June 2012, this system will publicly report the data from existing accountability measures (as well as those identified here as planned for development) to hold teacher and principal preparation programs accountable in several areas, including:

- Performance of their graduates on the respective certification examinations (already in place);
- Percent of their graduates certified in/employed in shortage subjects;
- Percent of their graduates employed in high-need schools;
- Retention rates of graduates; and
- Performance of their graduates in positively affecting student growth, based on data collected through the P-20 Longitudinal Data System (disaggregated by student sub-groups).

The reports will provide the public, the institutions and their programs, and NYSED critical information on the effectiveness of each teacher and principal preparation program, thus raising the level of transparency and holding the institutions accountable. The reports will help institutions and their school and community partners analyze strengths and weaknesses and make decisions on program improvement, and will enable NYSED to design and implement further institutional accountability measures.

Exercising NYSED's authority with respect to teacher and principal certification and its broad authority over 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 to incorporate teacher and principal effectiveness data (which will include 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. NYSED has the authority to register the curricula of programs leading to teacher and school leader certification and can therefore control for the quality of such programs. If a teacher or principal preparation program fails to meet the quality standards set forth in Commissioner's regulations -- which will include a specific average teacher or school leader effectiveness score, as discussed in Section D(2) -- 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 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).

To add a strong measure of accountability to this comprehensive plan, NYSED will also propose measures that would allow only institutions producing a minimum percentage of teachers and principals who are rated highly effective and effective on their evaluations to develop new programs or maintain existing ones. In order to gain approval, programs will be required to meet all accountability measures and provide evidence that they are helping the State to produce effective teachers and leaders to ensure the equitable distribution of teachers in high-need schools.

Responsible Parties: Regional Information Centers (RICs), LEAs, Office of Higher Education

Timeline For Completion: June 2012, ongoing

(D)(4)(ii) STRATEGY 2: EXPAND PREPARATION AND CREDENTIALING OPTIONS AND PROGRAMS THAT ARE SUCCESSFUL AT PRODUCING EFFECTIVE TEACHERS AND PRINCIPALS

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 2010.²⁴ 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 will closely monitor new lessons learned from analysis of the data and use this to inform the process of ensuring ongoing program development and improvement. As discussed above, 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.

Activity 2.1: To improve the effectiveness of the teaching force, NYSED will require all teaching candidates to pass a performance-based assessment to obtain initial teaching certification.

Beginning in May 2013, all registered teacher preparation programs preparing candidates for Initial certification will be required to use the performance-based assessment 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.

24 Boyd, D., Grossman, P., Lankford, H., & Wyckoff, J. (2009). Teacher preparation and student achievement

The 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, the preparation programs will evaluate their candidates throughout the program to ensure that they continuously meet the NYS standards for teaching quality. The 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.

The 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 the 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.. All students enrolled in both IHEs and non-IHEs (that the Board of Regents recently authorized to offer clinically-rich teacher preparation programs for

high-need schools) will be required to pass the new performance-based assessments to receive an initial teaching certificate. The Commissioner's Regulations will require all teacher preparation programs to use the assessment by the spring of 2013.

Responsible Parties: Office of Higher Education, LEAs, teacher preparation program providers

Timeline For Completion: Spring 2012 for pilot programs, spring 2013 for all teacher educator programs

Activity 2.2: To improve the effectiveness of the teaching force, require a performance-based assessment, including evidence of student growth and achievement, for professional teaching certification

Once a new teacher earns an initial certificate and completes at least two years of teaching, the teacher will be required to complete a performance-based assessment that focuses on the effectiveness of the teacher's skills, and that uses the State's data system to include student growth data (as described in Section (C)). The assessment will include a portfolio of the teacher's work, comprising elements of the performance-based assessment for initial certification in teaching plus a student growth component. In order to attain professional certification, teachers will need to meet a minimum student growth threshold established in Commissioner's regulations. This more rigorous professional certification process will ensure that teacher applicants who have not raised student achievement over multiple years will not be able to receive professional certification and continue teaching in New York until they meet the new, more rigorous standards.

Responsible Parties: Office of Higher Education, LEAs, teacher preparation program providers

Timeline For Completion: Pilot the new performance assessment for professional certification in 2012-13 and implement shortly thereafter

Activity 2.3: To improve the effectiveness of the teaching force, enhance the rigor of the existing Content Specialty Tests (CSTs)

Research shows that a teacher's strong content knowledge positively affects student growth and achievement.²⁵ To assure that candidates have the knowledge and skills to help students meet the expectations of the New York State Learning Standards, by December 2012 New York will redesign its CSTs to better assess program candidates' mastery of the relevant content area. Candidates will be required to take the redesigned CSTs beginning in Spring 2012 (December 2009 Regents item on Transforming Teaching and Learning, Appendix D_2_iv_1). The new CSTs will include a subtest for the candidate to demonstrate literacy and writing competence that must be passed independently of the overall test. In addition, the early childhood, childhood, and middle childhood education CSTs will include separate literacy/English language arts and mathematics subtests. Candidates will be required to pass each subtest to satisfy the CST requirement.

Responsible Parties: Office of Higher Education, LEAs, teacher preparation program providers

Timeline For Completion: December 2012

Activity 2.4: To improve the effectiveness of the school leader force, require a performance-based assessment for certification of principals.

In May 2010, the Regents approved development of a performance-based assessment for use by preparation programs to evaluate principal candidates for certification. During fall 2010, NYSED and its partners (including principals and other school stakeholders) will begin to develop the performance-based assessment, which will include formative and summative assessments through the submission of a portfolio of artifacts demonstrating candidates' leadership skills and knowledge. These artifacts could include videos,

²⁵ Gimbert, B., Bol, L. & Wallace, D. (2007). The influence of teacher preparation on student achievement and the application of national standards by teachers of mathematics in urban secondary schools.

audio, graphics, self-evaluations, school quality reviews, and other school data that indicates their knowledge and skills in school leadership.

As part of the performance-based assessment, principal preparation programs must ensure that candidates demonstrate the skills in instructional leadership that lead to school improvement (e.g., leading data inquiry teams), and have clinical experience in, authentic, problem-based, leadership responsibilities focused on school improvement. Candidates will become active members of school improvement teams focused on specific initiatives to raise achievement, providing leadership and support for initiatives that positively impact student growth and achievement.

Clinical experiences will occur throughout the program. Formative performance assessments at strategic transition points in the program will determine candidate eligibility to progress to the next phase. Faculty from the preparation institution, school leaders, teachers, and other stakeholders (such as parents) will participate in the evaluation. The State will be requiring 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 a principal in New York until they meet the new, more rigorous standards. Principal candidates enrolled in the clinically-rich principal preparation program to be offered by both IHEs and non-IHEs must pass this performance assessment beginning in the spring of 2012 (pilot program). All principal candidates in the State's preparation programs must pass this performance assessment beginning in the spring of 2013 for principal certification.

Responsible Parties: Office of Higher Education, LEAs, principal preparation program providers

Timeline For Completion: Spring 2012 for pilot programs, Spring 2013 for all other principal preparation programs

Activity 2.5: To improve the effectiveness of the teaching workforce, develop a clinically-rich approach to preparing teachers for high-need schools by creating residency programs

Research shows that preparation grounded in a strong clinical approach produces teachers who are more effective in raising student achievement (Boyd et al., 2009a). To address the reality that an estimated 50 percent of new teachers in high-need schools leave within the first five years, we will ensure that all teachers demonstrate effective performance before certification to increase the supply of highly effective teachers in high-need subjects and to positively affect student growth and achievement. Through a Fall 2010 RFP process, NYSED will select providers to develop clinically-rich teacher preparation programs. The transformed programs will include intensive residency components grounded in the newly-developed teaching standards, and will be centered on practicing real-world skills that make a difference in the classroom. They will prepare teachers to be effective in high-need schools with a focus on students in the performance gap: ELLs, students with disabilities, and Black and Hispanic males. Teachers will spend time in effective classroom settings serving high-need students in order to model effective practices.

NYSED will use RTTT funding to encourage strong partnerships between preparation programs and high-need LEAs across the State to place up to 400 effective teachers in schools serving high-need populations – more than any other such program in the nation. Funding will be used to provide a \$30,000 annual stipend to graduate candidates or tuition reimbursement for undergraduates. Funding is also earmarked for an intensive evaluation of the residency programs to assess their efficacy. Data and lessons learned will help frame recommendations for continuation of programs, possible future expansion, and bringing effective models to scale.

A) Undergraduate Model. In collaboration with IHEs, New York will develop a more clinically-rich undergraduate program that will recruit candidates through a highly selective screening process, place them in year-long residencies in their fourth year of teacher preparation, and provide tuition reimbursement during the program. Over time, participating LEAs can enhance this more clinically-rich component by employing the best candidates in teaching assistant/paraprofessional positions during their residencies. To promote high quality preparation, resident placement priority will be in effective classrooms serving high-need students (based on demonstrated growth among high-need students and/or dramatic gains).

Preparing teachers through an intensive clinical component by directly supporting the application of theory in practice enables resident teachers to understand first-hand the diversity of the student population, the culture of the learning environment in high-need schools, and the strategies appropriate to raise academic performance for all students. Trained mentors and/or supervising teachers who supervise and mentor the residents during their teaching placements will receive the time and resources to make mentoring an integral component of their jobs.

Candidates will be required to commit to teach in schools serving high-need populations for four years after finishing the preparation program -- ensuring that highly effective teachers, properly prepared for the demands of high-need schools and with one year of experience, will be available to teach in those schools. After completing their clinical components, candidates hired as full-time teachers will continue to receive support from faculty in their preparation programs and P-12 partners in their first years of teaching. Participating IHEs will be expected to demonstrate that faculty participation in the programs will be a positive factor in tenure and promotion decisions.

B) Graduate Model. In April 2010, the Regents authorized a clinically-rich graduate level teacher preparation program to prepare teachers for high-need schools, and authorized both IHEs and non-IHEs to participate in a competitive bidding process to participate in such programs. To help ensure that the very best teacher preparation providers are selected, the Regents will convene a Blue Ribbon Commission of distinguished teacher educators, teachers, school leaders, etc. to advise the Board of Regents who should be selected for these programs. Using RTTT funds, financial resources will be provided to approved programs to design and implement two types of rigorous clinically-based tracks (Models A and B) to prepare effective teachers for high-need schools. All candidates must hold baccalaureate degrees and will commit to teaching for four years in a high-need school.

Model A will place the resident teacher in a closely-supervised classroom environment with a mentor teacher. To participate, a mentor teacher must be evaluated as highly effective in serving high-need students and will supervise the year-long residency.

Residents will be evaluated on a continuing basis using developed performance assessments. During the clinical component, residents will continue to work toward certification by completing program requirements.

The Model B track accommodates the resident who is employed as the teacher of record. In this track, LEAs and program providers will demonstrate how they will collaborate to mentor and supervise the resident to assure a clinically-rich environment. Candidates in the clinically-rich programs who are chosen to be employed as a teacher of record will be eligible for Transitional B certification upon entry into the program and completion of a State-approved introductory preparation component. After successfully completing the program and all required teacher certification examinations, candidates will receive their initial certificate. After the teacher completes three years of teaching and passes a second performance-based assessment, he/she will be eligible for a professional teaching certificate.

To ensure equitable treatment of candidates in both traditional and non-IHE programs, the Board of Regents will confer master's degrees on graduate level students who successfully complete the registered clinically based programs offered by institutions that do not offer degrees (i.e., non-IHEs such as cultural institutions, research centers, and other non-profit organizations), consistent with Education Law §208 which grants the Regents authority to award earned degrees (Appendix D_4_ii_1).

Responsible Parties: Office of Higher Education, LEAs, teacher preparation program providers

Timeline For Completion: Begin programs in 2011 and will be evaluated by the Regents after six years of operation

Activity 2.6: To improve the effectiveness of the school leader workforce, develop a clinically-rich approach to preparing school leaders for high-need schools by creating clinically rich preparation programs

In May 2010, the Regents approved regulations that authorize IHEs and non-IHEs to participate in a competitive program to prepare principals for high-need schools. The State is developing an RFP to invite qualified applicants to apply for funding programs that will

partner leadership preparation providers with schools serving high-need students through a research-based program that is demonstrated through performance-based assessments. To be considered as a qualified applicant, non-IHEs must be able to demonstrate their effectiveness in preparing school leaders for high-need schools. To help ensure that only the very best principal preparation programs are selected, the Regents will convene a Blue Ribbon Commission of distinguished principal educators, teachers, principals, superintendents, etc. to advise the Board of Regents who should be selected for these programs.

The first cohort will begin their programs in September 2011. Clinical preparation will be substantive in scope, full-time, and include active participation in leadership responsibilities in schools that are serving high-need students effectively, as demonstrated by student growth data. They will be provided authentic educational problems, such as building capacity within the school to foster the success of minority and female students in STEM courses. The goal of the programs is to create a sustainable pipeline of highly effective, qualified school leaders that have specifically been prepared to meet the demands and challenges of high-need schools. ESEA funding will be used to sustain and potentially expand this work after RTTT funding ends.

For both the clinically-rich teacher and principal preparation program, the Regents are keenly interested in monitoring and evaluating program outcomes. As a result, the RFP will require that programs track their graduates to verify that they are taking assignments and being retained in high-need schools and that they are being rated effective in their evaluations. NYSED also plans to issue an RFP for qualified researchers to evaluate clinically-rich preparation programs for both teachers and principals. NYSED and Regents will use the evaluation results to inform policy actions that will ensure sustained improvement in these programs and positive effects on student learning and achievement.

Responsible Parties: NYSED, LEAs, principal preparation program providers

Timeline For Completion:

- Begin in September 2011
- Begin programs in 2011 and will be evaluated by the Regents after six years of operation

Activity 2.7: Incorporate Emerging Best Practices Into Teacher And Principal Preparation Program Redesign.

New York will conduct regular surveys of preparation programs identified as most effective based on the institutional profiles. The State will publish emerging best practices, aligned to research, and incorporate best practices into program redesign on an ongoing basis, as relevant.

Responsible Parties: Contractors, Regional Data Centers, LEAs, Office of Higher Education

Timeline For Completion: September 2011, Ongoing

Performance Measures	Actual Data: Baseline (Current school year or most recent)	End of SY 2010-2011	End of SY 2011-2012	End of SY 2012-2013	End of SY 2013-2014
<p>General goals to be provided at time of application:</p> <p>(In addition to the teacher/principal preparation programs in our public university systems (SUNY and CUNY), there are 84 independent colleges in New York with teacher and/ or principal preparation programs. The State estimates that it will take three years to phase in all of these independent institutions into the P-20 longitudinal data system so student achievement data can be provided for teachers and principals prepared by each of these institutions.)</p>	Baseline data and annual targets				
<p>Percentage of teacher preparation programs in the State for which the public can access data on the achievement and growth (as defined in this notice) of the graduates' students.</p>	0	0	20	70	100
<p>Percentage of principal preparation programs in the State for which the public can access data on the achievement and growth (as defined in this notice) of the graduates' students.</p>	0	0	20	70	100

New York State: Race to the Top: Selection Criteria and Competition Priorities

General data to be provided at time of application:		
Total number of teacher credentialing programs in the State.	4,897	
Total number of principal credentialing programs in the State.	127	
Total number of teachers in the State.	226,000	
Total number of principals in the State.	4,540	
Data to be requested of grantees in the future:		
Number of teacher credentialing programs in the State for which the information (as described in the criterion) is publicly reported.		
Number of teachers prepared by each credentialing program in the State for which the information (as described in the criterion) is publicly reported.		
Number of principal credentialing programs in the State for which the information (as described in the criterion) is publicly reported.		
Number of principals prepared by each credentialing program in the State for which the information (as described in the criterion) is publicly reported.		
Number of teachers in the State whose data are aggregated to produce publicly available reports on the State’s credentialing programs.		
Number of principals in the State whose data are aggregated to produce publicly available reports on the State’s credentialing programs.		

(D)(5) Providing effective support to teachers and principals (20 points)

The extent to which the State, in collaboration with its participating LEAs (as defined in this notice), has a high-quality plan for its participating LEAs (as defined in this notice) to—

(i) Provide effective, data-informed professional development, coaching, induction, and common planning and collaboration time to teachers and principals that are, where appropriate, ongoing and job-embedded. Such support might focus on, for example, gathering,

analyzing, and using data; designing instructional strategies for improvement; differentiating instruction; creating school environments supportive of data-informed decisions; designing instruction to meet the specific needs of high-need students (as defined in this notice); and aligning systems and removing barriers to effective implementation of practices designed to improve student learning outcomes; and

(ii) Measure, evaluate, and continuously improve the effectiveness of those supports in order to improve student achievement (as defined in this notice).

The State shall provide its detailed plan for this criterion in the text box below. The plan should include, at a minimum, the goals, activities, timelines, and responsible parties (see Reform Plan Criteria elements in Application Instructions or Section XII, Application Requirements (e), for further detail). Any supporting evidence the State believes will be helpful to peer reviewers must be described and, where relevant, included in the Appendix. For attachments included in the Appendix, note in the narrative the location where the attachments can be found.

Recommended maximum response length: Five pages

SUBSECTION (D)(5) NARRATIVE

As described throughout this application, New York's vision for the future of education in this State focuses on improving student outcomes through the use of data, measures of effectiveness, and other tools to strengthen teacher and principal effectiveness. New York proposes a coherent statewide system of supports and interventions focused on supporting LEAs as they develop the capacity to strengthen and improve instructional practice, and ultimately to increase educator effectiveness. To accomplish this, we will leverage our statewide professional development network -- which includes our 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. 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 will establish performance targets for LEAs for improved educator effectiveness outcomes.

SUBSECTION (D)(5) OVERVIEW

VISION	New York will create a coherent statewide system of supports and interventions, grounded in educator evaluation outcomes, and focused on supporting LEAs as they develop capacity to strengthen and improve instructional practice and increase educator effectiveness.
STRATEGIES	<ol style="list-style-type: none">1. Develop a statewide system of professional development directly linked to educator evaluation outcomes, which is effective and coherent, and focused on improving instructional practice, and student achievement.2. Develop statewide, regional, and local capacity with a specific focus on assisting educators in high-need schools.3. Measure, evaluate and continuously improve educator supports to ensure professional development is effective at improving instruction and, ultimately, increasing student achievement.
GOALS	▶ Beginning in 2011-12, provide a comprehensive system of differentiated professional development for teacher and principals grounded in the state's new evaluation system and linked to new more rigorous standards, assessments, and curriculum models (as described in Section (B)).

4. D(5)(i) STRATEGY 1: Develop a statewide system of professional development directly linked to educator evaluation outcomes, which is effective, coherent, and focused on improving instructional practice and student achievement.

Through the P-20 Longitudinal Data System, all educational partners – including BOCES and Big 5 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. The 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 academic focus for professional development activities. Rather than the fragmented model that is too often the norm throughout the country, 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. Due to the tragic persistence of the learning gap, 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.²⁶

Activity 1.1: Develop a statewide system of coherent, high-quality professional development rubrics and resources

As described in Section A, the Office of District Services will use a portfolio management approach in facilitating the development and delivery of professional development, aggressively managing 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 twice a year by the Office of District Services. 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.

Similarly, 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. Finally, content partners will 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. We 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 in these professional development programs.

²⁶ Rockoff, J. (2008). Does mentoring reduce turnover and improve skills of new employees? Evidence from teachers in New York City. Ingersoll, R. and Kralik, J. (2004). The impact of mentoring on teacher retention: What the research says.

Activity 1.2: Enhance statewide network model to assist LEAs in delivering appropriate professional development

NYSED recognizes that, through regional partnerships, it can best provide all LEAs with State-developed, coherent high-quality professional development tools and other resources -- along with critical “on-the-ground” technical assistance and support from experienced, locally-based experts. Therefore, to efficiently provide training regarding the use of our longitudinal data system, and to focus teaching skills on the specifics of the new curriculum, standards, and assessments, the State will rely on core and supplemental providers from our Statewide Professional Development Network and will evaluate the effectiveness of these providers. These providers will work collaboratively with the school-based Inquiry Teams and the regionally-based Network Teams -- consisting of an expert in curriculum, an expert in data, and an expert in instruction -- to use their own local data to analyze the problems, decide on research-based interventions, carry out those interventions, and then evaluate the results. Diagnostic analysis of those results will allow for the development of differentiated professional development that will lead to improved instruction in all schools. Repetition of this cycle at critical points in the year (using data from interim and formative assessments) will allow for continuous improvement of instruction and, consequently, academic growth of our students.

Responsible Parties: Office of District Services, LEAs

Timeline For Completion: Beginning spring 2011, ongoing

D(5)(i) STRATEGY 2: DEVELOP A STATEWIDE, REGIONAL, AND LOCAL CAPACITY WITH A SPECIFIC FOCUS ON ASSISTING EDUCATORS IN HIGH-NEED SCHOOLS.

Activity 1.1: Align resources across the four assurances to bolster New York’s comprehensive professional development strategy, giving priority to districts with low-performing schools -- and reallocating resources (such as the Wallace Foundation leadership grant) in support of the reforms.

A network of partners will help transform BOCES-based Network Teams diagnoses into differentiated supports for LEA-based Inquiry Teams, principals, and teachers. Based on New York's deep experience in school intervention, both curricular supports and differentiated professional development across content areas and pedagogy are critical to the effective support of teachers and leaders in improving student achievement and growth. While the State expects the data system to be a powerful tool for our educators, it also will develop a network of partners with records of delivering high quality results in high-poverty and high-minority school settings. These partners will have robust data tools to diagnose student needs and help teachers respond to them.

As noted in Section A, potential partners include New York's 133 Teacher Centers and their 14 regional networks. The New York Teacher Centers were established by the New York State Legislature in 1984 to, among other things, provide professional development to support quality teaching for more than 211,000 educators in 650 districts, 36 BOCES, and 1,400 non-public and charter schools (Education Law §316, Appendix D_5_i_1). Through partnerships with IHEs, state agencies, BOCES, NYSUT, businesses, and research organizations, Teacher Centers have developed significant areas of expertise in professional learning, and they design effective ways of collaborating with education partners to support teachers throughout the learning continuum – from learner to leader.

New York Teacher Centers offer programs that target improving teacher effectiveness, mastering academic content knowledge, and sustaining teacher-development practices. Their programs result in long-term regional resources fulfilling the needs of many educators for powerful professional learning. Teacher Center programs and collaborative partner programs:

- Link external and internal teacher-driven PD in targeted areas supporting New York State Board of Regents initiatives.
- Establish high quality program learning outcomes that indicate evidence and benchmarks for teacher content knowledge, student learning outcomes, and systemic change in schools.
- Support teachers' candidacies for National Board certification from the National Board for Professional Teaching Standards.

- Create and sustain informed opinion on teacher development and leadership by building a knowledge base from research study, policy review, and examination of reform elements.

PD partner responsibilities will 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 easily 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). Partners will integrate the latest technologies in their offerings (e.g., online learning modules and the use of video) to demonstrate good practice. LEAs then will select partners that best meet their identified strategic needs. The State 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 in these professional development programs.

Responsible Parties: Office of District Services, BOCES, IHEs, external service providers

Timeline For Completion: Beginning Winter 2011 and continuing throughout implementation of RTTT projects.

Activity 1.2: Create a sustainable network to ensure that all principals receive research-based professional development focused on strengthening teaching and student learning.

Strong leadership --with capacity to lead Inquiry Teams across grades and sub-groups -- is a core predictor of schools' capacity to drive data-informed strategies for teacher support, induction, and development, and ultimately to drive student achievement and growth.²⁷ New York State has been a leader in supporting entrepreneurial partners such as the New York City Leadership Academy

²⁷ David, J.L. (2009). Collaborative Inquiry. *Educational Leadership*, 66(4), p. 87.

Marsh, J.A., Pane, J.F., & Hamilton, S. (2006). Making sense of data-driven decision making in education: Evidence from Recent RAND Research. Santa Monica, CA: RAND.

and New Leaders for New Schools to assist LEAs to develop robust pipelines of high quality school leaders. These partners, in addition to The New Teacher Project and Teacher U, focus on serving LEAs with high-need populations. They are leaders in the national conversations on improved alignment between teacher and principal professional development and student achievement and growth.

NYSED has used its Wallace grant to develop regional two Leadership Academies that give school leaders professional development based on research, good practice, and regional needs determined from student performance data in addition to the development of the principal performance evaluation system (PPES). The first academy serves school leaders in the Rochester City School District (RCSD). NYSED, RCSD, and St. John Fisher College collaborated to build a data-informed, customized curriculum responsive to school leaders' day-to-day demands, which was designed to give graduates the skills and dispositions needed to implement RCSD's turnaround reform agenda. All 66 RCSD principals are participating. A second Academy began operation serving 42 LEAs north of New York City.

The Academies offer problem-based learning using the job-embedded challenges principals face in their schools that are informed by real time data from their schools. Further, each Academy includes a research-based coaching component that supports principals and ensures application of the learned skills and improvement strategies.²⁸

As funding from the Wallace grant is limited, New York will use \$6 million in RTTT funds to replicate the successful Rochester and New York City Leadership Academies. Eleven more RTTT Management Team-coordinated Academies are planned, so that all regions of the State -- including the remaining three large city districts -- will be served. Further, in order to reach and develop highly effective educational leaders in the State's high-need schools, the State has provided an additional \$10 million of §1003(g) funds --

28 Bloom, G.S., Castagna, E.M. & Warren, B. (2005). *Blended Coaching and Strategies to Support Principal Development*. Corwin Press.
Costa, A., & Robert G. (2002). *Cognitive Coaching: a Foundation for Renaissance Schools*. Norwood, MA: Christopher-Gordon.

and will continue this investment with federal funds annually -- to sustain the Leadership Academies, and to ensure that they are grounded in research and good practices from such organizations as the New York City Leadership Academy and New Leaders for New Schools. The Academies will serve more than 700 principals in New York (about 15 percent overall) by Fall 2011. When all Academies are fully operational, school leaders will have access to research-based PD that is focused on the use of student data to improve student achievement and growth.

To assess the continued effectiveness of the Academies, NYSED is currently working with national experts to develop an evaluation model to assess the Academies' successes in improving student achievement and growth. Additionally, New York is partnering with 10 other states in the Leading Change Learning Community consortium to share research and effective turnaround intervention strategies. The consortium selected New York as a case study for the sustainability of such academies.

In sum, with 133 fully operational teacher centers and leadership academies for principals established throughout New York State, New York will have established an unprecedented network of professional development for all practicing educators in the State.

Responsible Parties: RTTT Management Team, Office of District Services, LEAs, Partners

Timeline For Completion: Beginning fall 2011, ongoing

Activity 1.3: Create a new teacher induction program designed to create teacher leaders and effective teacher mentors.

In 2008-09, New York had 503 high-need, low-performing schools (see Section (D)(30(ii))). School improvement is most effective in environments where teachers are encouraged to become the teacher leaders who are fundamental to implementing instructional change, cultivating cultures of excellence, and supporting and mentoring the next generation of new teachers.²⁹

²⁹ Harrison & Killion, 2007; Sack, 2005

Data on teacher attrition show that some 10 percent of beginning teachers leave before the end of their first year, 30 percent in the first three years, and between 40 and 50 percent within five years. High poverty schools experience higher rates of teacher turnover than low-poverty ones. Quality, evidence-based induction programs are very effective ways to give teachers the support needed for success and to improve retention. Research shows that 80 to 90 percent of teachers in such programs stay in the field for five years or more (Sack, 2005).

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). By Spring 2011, it will issue an RFP to support models that will:

- Use formative assessments to provide effective support to help new teachers progress along the teaching skills continuum, provide differentiated PD support, and link PD to teacher effectiveness early in their careers;
- Retain and motivate new teachers;
- Grow teacher leaders; and
- Help transform schools into true teaching and learning communities.

Beginning in Fall 2011, these funded induction programs will give new teachers mentoring and support to help them become instructional leaders and improve teaching and learning. They will help new teachers achieve expertise in curriculum planning, assessment, and using data and reflections on practice to inform instruction, especially for high-need students. They also will help to develop their skills for (1) creating school environments supportive of data-informed decisions, (2) aligning service delivery systems and removing barriers to effective implementation of practices designed to improve student learning outcomes, and (3) energizing and engaging partners in turnaround initiatives.

A detailed evaluation plan, including both qualitative and quantitative measures (particularly the achievement of students taught by program participants), will measure each program's outcomes. To sustain the initiative, NYSED will take the most successful practices learned from these models and amend the existing certification requirements for new teachers to include an enhanced induction program designed to prepare teacher leaders. As part of the sustainability plan, participating LEAs and teacher education programs will agree to provide training to personnel in other LEAs, IHEs, and Teacher Centers.

Responsible Parties: RTTT Management Team, Office of District Services, LEAs, Partners

Timeline For Completion: Spring 2011 (RFP), Fall 2011, implement new induction programs for a three year period. Evaluation of programs to occur in the 2014-15 school year.

D(5)(ii) STRATEGY 1: Measure, evaluate and continuously improve educator supports to ensure professional development is effective at improving instruction and, ultimately, increasing student achievement

NYSED will require LEAs to measure success by conducting interim and summative evaluations, using both qualitative and quantitative measures that NYSED will define. LEAs will conduct mid-year interim evaluations (e.g., observation of induction program activities; and survey and interviews with administrators, new teachers, and mentors) and end-year summative evaluation (e.g., retention data, measure of school culture) to demonstrate a program's success in retaining effective teachers and improving student achievement and growth.

NYSED will establish baseline data and use it to set performance targets for LEAs. The targets will be used on an annual basis (if not more frequently) to create an environment of continual quality improvement in instruction tied to student achievement and growth. The data will be analyzed for effective knowledge management and support to LEAs on the use of effective strategies tied to student outcomes, including all subgroups. Through the work of the RTTT Management Team and ETACIT (see Section (E)), low performing schools will be able to give priority to strategies that produce the greatest results in student achievement and growth.

Responsible Parties: RTTT Management Team, Offices of Accountability and District Services

Timeline For Completion: Fall 2011, ongoing

New York State Race to the Top: Selection Criteria and Competition Priorities



(E) Turning Around the Lowest-Achieving Schools (50 total points)

State Reform Conditions Criteria

(E)(1) Intervening in the lowest-achieving schools and LEAs (10 points)

The extent to which the State has the legal, statutory, or regulatory authority to intervene directly in the State's persistently lowest-achieving schools (as defined in this notice) and in LEAs that are in improvement or corrective action status.

In the text box below, the State shall describe its current status in meeting the criterion. The narrative or attachments shall also include, at a minimum, the evidence listed below, and how each piece of evidence demonstrates the State's success in meeting the criterion. The narrative and attachments may also include any additional information the State believes will be helpful to peer reviewers. For attachments included in the Appendix, note in the narrative the location where the attachments can be found.

Evidence for (E)(1):

- A description of the State's applicable laws, statutes, regulations, or other relevant legal documents.

Recommended maximum response length: One page

SECTION E OVERVIEW

In order to fully develop a robust and coherent system of education for the students of New York, the New York State Education Department (NYSED) must dramatically improve the State's lowest-achieving schools. New York has strong legal authority to intervene in persistently lowest-achieving schools and districts. Over the past 20 years, New York has made measurable progress in

improving student performance in its lowest-performing schools. To build upon these efforts, in December of 2009, the New York State Board of Regents approved a bold reform agenda focused on improving the lowest achieving schools and creating excellent schools across the State that prepare all students for college and careers (see Appendix E_1). This agenda has served as the basis for legislation enacted on May 28th, 2010, that provides school districts with the ability to contract with Educational Management Organizations (known in New York as Educational Partnership Organizations) to implement a whole school reform intervention through a restart model, requires that student achievement be a significant factor in teacher and principal evaluations, and increases the cap on charter schools (see Appendix E_2_ii). This groundbreaking legislation, combined with the lessons New York has learned through its past efforts, allows New York to implement a comprehensive plan for identifying schools, supporting LEAs in implementing intervention models, and turning persistently lowest-achieving schools into high performing models of excellence.

Using School Improvement Grant and Race to the Top funds, New York will strengthen its statewide system of accountability and incentives to dramatically accelerate intervention in the lowest-achieving schools. With the additional funds, NYSED will reach more low-performing schools than ever before and provide more robust supports to LEAs as they intervene in low-performing schools. NYSED's vision is to dramatically improve low-performing schools and make them schools that serve as examples of innovation within New York—schools in which all students are proficient in English language arts and mathematics, and well-prepared for college, the global economy, 21st century citizenship, and lifelong learning.

(E)(1) New York Has Significant Longstanding Authority to Intervene in its Lowest-Achieving Schools and LEAs

A robust and coherent system of education will establish performance expectations and support for the talented and passionate teachers and leaders who work in school buildings, networks, and systems across the state. In order to fully accomplish this task, NYSED must be able to deal effectively with lowest-achieving schools and districts. To this end, State Education Law §§210, 211-b, and 211-c, and Commissioner's regulation §100.2(p) highlight the State's legal authority to intervene directly in the State's persistently lowest-achieving schools and LEAs in improvement or corrective action.

Schools Under Registration Review

Under Education Law §210, the Regents have 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) (see Appendix E_1_1, 8 NYCRR §100.2[p][9]). 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 Race to the Top guidelines (see Appendix E_1_1, 8 NYCRR §100.2[p][14][ix]). To further align the SURR and persistently lowest-achieving school intervention processes, the Regents made a policy decision in April 2010 that will allow the department to use identical methods for identification of SURR and persistently lowest-achieving schools beginning in the 2010–11 school year (see Appendix E_1_2).

Specifically, a SURR undergoes a resource, planning, and program audit, and is required to develop and implement a restructuring plan (see Appendix E_1_1, 8 NYCRR §100.2[p][10][i]). If a SURR fails to demonstrate adequate improvement within a specified timeframe, usually two full school years, its registration may be revoked by the Board of Regents (see Appendix E_1_1, 8 NYCRR §100.2[p][10][iii]). Following revocation of a school's registration, the Commissioner has the authority to develop a plan to ensure that the educational welfare of affected students is protected (see Appendix E_1_1, 8 NYCRR §100.2[p][10][iii]). As the Regents now have a single method for identification of SURR and persistently lowest-achieving schools, regulations that the Regents will adopt in June 2010 will require that schools under registration review implement one of the four 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.

District Improvement Plan and Distinguished Educator Program

Pursuant to Education Law §211-b[3], school districts 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 (see Appendix E_1_1). One of these interventions is the creation of a district improvement plan to address chronic failure within an LEA (see Appendix E_1_1, Education Law §211-b[3]; 8 NYCRR §100.2[p][7]). This plan, which is subject to the approval of the Commissioner, requires school districts 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 (see Appendix E_1_1, Education Law §§211-b[3], 211-d[3][a]; 8 NYCRR §100.2[p][7]).

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 (see Appendix E_1_1, Education Law §211-c). The distinguished educator reviews any school or district improvement plans and either endorses such plan without change or recommends modifications (see Appendix E_1_1, Education Law §211-c[5]). The school district must either modify its plans as directed by the distinguished educator or seek permission from the Commissioner not to do so (see Appendix E_1_1, Education Law §211-c[5]).

In addition to New York's general authority to intervene directly in low-performing districts, the legislature has, in the past, enacted special legislation authorizing removal of the board of education of a district and giving the Commissioner the authority to appoint, supervise, and remove the superintendent; disapprove appointment of building principals and other school administrators, including tenure appointments; and exercise increased fiscal control over the district.

Differentiated Accountability with Interventions for Schools and LEAs

In January 2009, the United States Department of Education approved New York's proposal to participate in its Differentiated Accountability pilot. Under the pilot, New York's plan bases accountability designations on both the degree to which a school

manifests systemic failure of groups of students to make AYP, and the length of time that failure has persisted. The interventions that are incorporated into this model are part of New York's enhanced accountability system, established by Chapter 57 of the laws of 2007, which also created the State's Contract for Excellence program, which provides substantial additional resources to selected school districts in exchange for greater accountability in the use of targeted funds (see Section F). The Differentiated Accountability model creates three progressive phases of accountability identification that are based on the number of years a school fails to make AYP: improvement, corrective action, restructuring. In addition, New York's state accountability system allows for the identification of persistently lowest-achieving schools and high schools with unacceptably low graduation rates with a unique stage called persistently lowest-achieving (PLA)/SURR. A school moves from one phase to the next phase when it fails to achieve AYP for two years, unless the school is identified as a PLA/SURR.

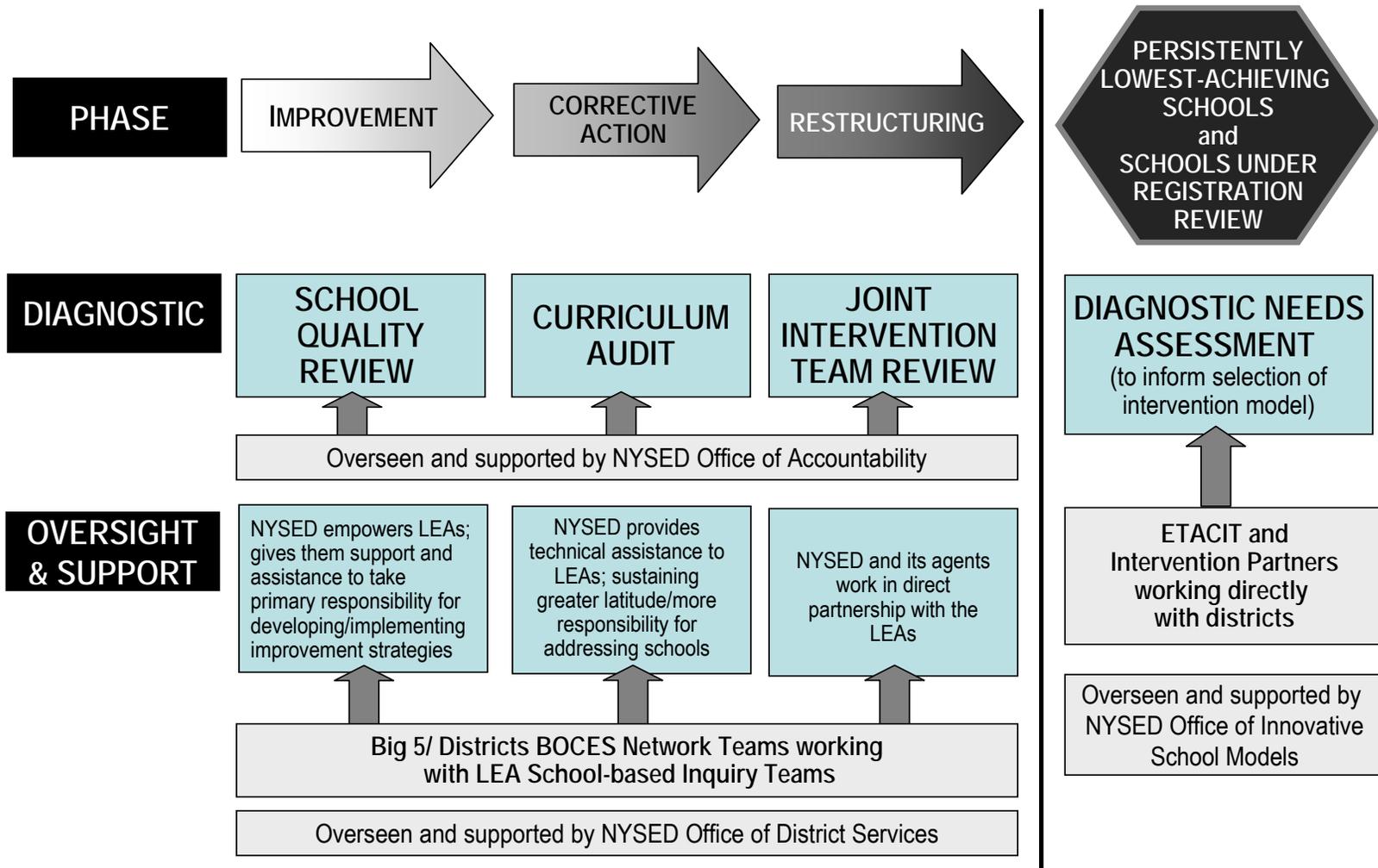
New York State's interventions are research-based and intensify as a school moves through the school improvement continuum. The depth, scope, and comprehensiveness of intervention vary by phase and category, as does the provider of support and oversight:

- The Commissioner has the authority to appoint School Quality Review teams, Joint School Intervention Teams, and Distinguished Educators to schools and districts that are at various stages in the Differentiated Accountability continuum (Education Law §§211-b and 211-c and §100.2(p)(6)(iv) of the Commissioner's regulations).
- Schools in corrective action may be required to participate in a curriculum audit (see Appendix E_1_1, Education Law §211-c [4]; 8 NYCRR §100.2[p][6][iv][b][1]).
- LEAs are required to develop restructuring plans for schools in restructuring, which are subject to the Commissioner's approval. These plans must include fundamental reforms such as significant changes in the staff, governance, or organization of the school, and may include closing or phasing out the school (see Appendix E_1_1, 8 NYCRR §100.2[p][6][iv][c]).

- In the final stage of New York’s Differentiated Accountability model, schools are identified as PLA/SURR and required to implement one of the four intervention models.

A schema of New York’s differentiated accountability model is presented on the next page. The model illustrates the progression from the improvement phase through corrective action, to restructuring and PLA/SURR. The Boards of Cooperative Educational Services (BOCES)/Big 5 Districts’ network teams train school-based inquiry teams, and the External Technical Assistance Center for Innovation and Turnaround (ETACIT) (described in subsection (E)(2)), provides comprehensive support to LEAs in selecting intervention strategies and assisting persistently lowest-achieving schools in implementing the chosen intervention.

DIFFERENTIATED ACCOUNTABILITY MODEL



Reform Plan Criteria

(E)(2) Turning around the lowest-achieving schools (40 points)

The extent to which the State has a high-quality plan and ambitious yet achievable annual targets to—

(i) Identify the persistently lowest-achieving schools (as defined in this notice) and, at its discretion, any non-Title I eligible secondary schools that would be considered persistently lowest-achieving schools (as defined in this notice) if they were eligible to receive Title I funds; and (5 points)

(ii) Support its LEAs in turning around these schools by implementing one of the four school intervention models (as described in Appendix C): turnaround model, restart model, school closure, or transformation model (provided that an LEA with more than nine persistently lowest-achieving schools may not use the transformation model for more than 50 percent of its schools). (35 points)

The State shall provide its detailed plan for this criterion in the text box below. The plan should include, at a minimum, the goals, activities, timelines, and responsible parties (see Reform Plan Criteria elements in Application Instructions or Section XII, Application Requirements (e), for further detail). In the text box below, the State shall describe its current status in meeting the criterion. The narrative or attachments shall also include, at a minimum, the evidence listed below, and how each piece of evidence demonstrates the State's success in meeting the criterion. The narrative and attachments may also include any additional information the State believes will be helpful to peer reviewers. For attachments included in the Appendix, note in the narrative the location where the attachments can be found.

Evidence for (E)(2) (please fill in table below):

- The State's historic performance on school turnaround, as evidenced by the total number of persistently lowest-achieving schools (as defined in this notice) that States or LEAs attempted to turn around in the last five years, the approach used, and the results and lessons learned to date.

Recommended maximum response length: Eight pages

SUBSECTION (E) (2) OVERVIEW

VISION	<p>New York will build a statewide system of accountability and incentives that dramatically accelerate intervention in the lowest-achieving schools. Using School Improvement Grant and Race to the Top funds, NYSED will reach more low-performing schools than ever before and provide more robust supports to LEAs as they intervene in low-performing schools. Persistently lowest-achieving schools that do not improve will be subject to closure by the Commissioner. NYSED seeks to improve low-performing schools, and make them schools that serve as examples of innovation within New York in which all students are proficient in ELA and mathematics, and well-prepared for college, the global economy, 21st century citizenship, and lifelong learning.</p>
STRATEGIES	<ol style="list-style-type: none"> 1. Build on lessons learned from past reform efforts and continue to learn from NYSED’s efforts. 2. Build a system that annually identifies schools as persistently lowest achieving and supports LEA s in implementing the four intervention models. 3. Require each LEA to implement an appropriate intervention model based on the needs of the school, and support implementation of that model. 4. Expand Partnership Zones. 5. Foster innovative schools and practices.
GOALS	<ul style="list-style-type: none"> ▶ By the end of the grant period, 100 percent of identified high schools that have completed implementation of a model will have a graduation rate above 60 percent; 50 percent of identified high schools will have a graduation rate above 70 percent; and 25 percent of identified high schools will have a graduation rate above 80 percent. ▶ By the end of the grant period, the percentage of students that are not proficient in ELA or mathematics will be reduced by a minimum of 33 percent in all persistently lowest-achieving schools. For each year of model implementation in identified schools, the percentage of students that are not proficient in ELA or mathematics will be reduced by a minimum of 10 percent. ▶ By the end of the grant period, each of New York’s 243 schools currently in restructuring status will have returned to an accountability status of <i>In Good³⁰ Standing</i> or be in the process of implementing an intervention model. One hundred formerly persistently lowest-achieving schools will attain the status of <i>In Good Standing</i>, and in 33 percent of these schools, performance in English language arts and mathematics will exceed State averages.

(E)(2)(i) NEW YORK HAS AND WILL CONTINUE TO IDENTIFY ITS PERSISTENTLY LOWEST-ACHIEVING SCHOOLS

New York State has a United States Department of Education (USED)-approved methodology to identify the persistently lowest-achieving Title I schools in improvement, corrective action, and restructuring (Tier I schools) as well the lowest-achieving secondary

³⁰ *In Good Standing* – This term means that a school or district is not identified for intervention under the state’s accountability system. In other words, the school is not identified for improvement, corrective action, or restructuring. If a school has been identified, it can return to “good standing” by making its AYP targets for two consecutive years, effectively resetting its accountability status.

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 (see Appendix E_1_2).

For 2009–10, schools were identified as persistently lowest-achieving if:

- the school was in the Restructuring phase of New York's Differentiated Accountability System; and
- the school's 2008–09 average Performance Index for the All Students group in English language arts and mathematics combined was 144.5 or less if a Title I school, or 146.5 or less if a Title I-eligible secondary school; and
- the school failed to make at least a 25-point gain for the All Students group on each ELA and mathematics measure for which the school was accountable between 2005–06 and 2008-09; **OR**
- the school has a graduation rate below 60 percent for the All Students group in its 2002, 2003, and 2004 graduation rate cohort.

Fifty-seven schools in seven LEAs (Albany, Buffalo, New York City, Rochester, Roosevelt, Syracuse, and Yonkers) met these criteria, and the Commissioner published the list on January 21, 2010 (see Appendix E_2_i_2). NYSED informed those LEAs that each identified school must implement one of the four intervention strategies as defined by the Race to the Top and School Improvement Grant guidelines. All seven districts have signed an RTTT Memorandum of Understanding

Our 5 Core Strategies for Intervention

1. Build on lessons learned from past reform efforts
2. Build a system to support LEAs in implementing the 4 intervention models
3. Require each LEA to implement an appropriate intervention model based on its needs, and support implementation of that model
4. Expand Partnership Zones
5. Foster innovative schools and practices

with NYSED committing to take the actions required to turn around their persistently lowest-achieving schools.

Based on this methodology, which NYSED will apply annually pursuant to regulations to be adopted by the Board of Regents, New York plans to identify another 30–35 schools each year as persistently lowest-achieving during the period of the Race to the Top grant, for a total of approximately 150 schools by the end of the grant period.

Five percent of the State’s schools (a total of 243 schools) are currently in restructuring status, and the 150 persistently lowest-achieving schools are primarily a subset of those restructuring schools. NYSED expects another 25 of the schools in restructuring will take advantage of NYSED’s proposed Innovative School Secondary Fund (see Section (E)(2)(ii) for a description) to implement one of the four intervention models. Further, the combined effect of the RTTT-funded activities discussed in Sections (B), (C), and (D) will enable many more schools to improve significantly. Finally, NYSED expects that districts will take the initiative to turn around or close the remainder of the 243 schools on their own³¹. By the end of the grant period, the bottom five percent of schools in the State either will have been closed, will have returned to Good Standing, or will be in the process of implementing one of the four intervention models.

³¹ In recent years, five of the seven districts that currently have persistently lowest-achieving schools have closed one or more schools for poor academic performance prior to the schools being placed under Registration Review. In the last two years, New York City agreed to close four schools, Buffalo to close two schools, and Rochester to close one school that would otherwise have been identified for registration review. As part of New York City’s aggressive effort to address low-performing schools, the district since the 2004–05 school year has phased out 80 schools, many of which were not Schools Under Registration Review but had been designated for closure under a local initiative.

(E)(2)(ii) Support LEAs in turning around these schools by implementing one of the four school intervention models

Through strategies described in Sections (E) and (F), New York will increase significantly the number of schools in which intervention occurs, provide them with the supports necessary to become excellent schools, and ensure that students in these schools are educated to college- and career-ready standards. Building upon the lessons learned from two decades of turning around low-achieving schools, NYSED is building a new infrastructure to support LEAs in their intervention efforts and to provide incentives for districts and schools to adopt innovative practices. This new support will create exciting new education options for students. The new schools that districts will create, as well as those schools that will be transformed or turned around as a result of NYSED's intervention efforts, will both replace the State's persistently lowest-achieving (PLA) schools and respond to community demand for new start-up and conversion public charter schools. New York believes that intervening aggressively in schools that have not worked, and ensuring the conditions needed to bring new schools to communities seeking new school options, are key elements of the overall system that will dramatically impact student academic performance.

STRATEGY 1: BUILD UPON LESSONS LEARNED FROM PAST REFORM EFFORTS

Over the last two decades New York pursued dramatic school changes through a variety of interventions and policy initiatives, including the Schools Under Registration Review (SURR) process, Chapter 57 of the Laws of 2007, the Board of Regents P-12 Strategy, and NYSED's Differentiated Accountability system. The USED cited New York's leadership in turning around low-performing schools in its study, *Turning Around Low-Performing Schools: A Guide for State and Local Leaders*. In that publication, USED highlighted Registration Review as a successful strategy for intervening in chronically low-performing schools. *Education Week's* annual report, *Quality Counts*, has for the last decade given New York an "A" rating each year for its system of standards, assessments, and accountability. As noted in Section (E)(1), New York is merging the SURR and PLA processes to ensure that every identified school in the state will implement one of the four intervention models.

The Registration Review process has improved student outcomes (see Table E1). Since the inception of SURR in 1989, 316 schools in New York have been identified for registration review, of which 217 have been removed from review because they improved their performance. Another 70 schools that did not improve their performance sufficiently were phased out or closed and, in most cases, replaced by new schools. Between 2004–05 and 2008–09, 66 schools were identified as SURR. Of those, 42 have made sufficient progress to be removed from SURR, and 8 have been closed, or are in the process of being phased out and being replaced by new schools. The SURR process has measurably improved student performance, but it has fallen short of transforming these schools into models of excellence that prepare all students for college and careers.

Table E1: Percentage of Students Proficient in English Language Arts and Math in Former NYC SURR Schools Rose Significantly from 2004–05 to 2008–09

Assessment	2004–05	2008–09	Percentage Point Increase
3–8 ELA	33%	60%	+27%
3–8 Math	50%	79%	+29%
High School ELA	49%	76%	+27%
High School Math	47%	72%	+25%

Source: NYSED

From its long experience in school turnaround, NYSED has learned valuable lessons regarding the characteristics of the persistently lowest-achieving schools, the areas in which they struggle, the types of interventions necessary to turn them around, and the challenges of sustaining improvement over time. Historically, the SURR process has focused on making many incremental changes to school performance to address issues such as low academic standards, inadequate instructional leadership, curriculum deficiencies, ineffective instructional methods, inexperienced teachers, lack of alignment between professional development and staff needs, inefficient use of time, lack of parent and community involvement, ineffective classroom management practices, and lack of strategic social support. To move beyond incremental improvements, it is necessary to:

- Create a structure for ensuring school-based autonomies in exchange for increased accountability;
- Provide ongoing and balanced school review and monitoring to ensure that schools are producing dramatic and rapid improvements in student academic achievement; and
- Provide ongoing, integrated school and LEA support targeted to the unique needs of New York’s lowest-performing schools.

These lessons were informed not only by NYSED’s experiences with SURR, but also through work with high-quality charter schools and innovative new schools. An important lesson from intervention work in New York City has come from the practices of successful charter management organizations—including Achievement First, KIPP (Knowledge is Power Program), and Uncommon Schools—which have demonstrated the power of cross-school collaboration and sharing of data. Schools within and between these networks come together at the teacher and principal level to discuss instructional intervention strategies, share case studies, plan professional development, and analyze data.

In order to support changes in governance and operating structures between low-achieving schools and districts, NYSED reorganized its school improvement support structure. As described in Strategy 2 and Strategy 5, the Office of Innovative School Models (OISM) will be the primary resource for LEAs in developing performance contracts with persistently lowest-achieving schools. These contracts will allow LEAs to grant operational autonomies to low-achieving schools, while at the same time holding schools accountable for dramatic increases in student achievement.

The External Technical Assistance Center for Innovation and Turnaround (ETACIT, described in Strategy 2), with the support of Intervention Partners, will build LEA capacity to support their lowest-achieving schools. As outlined in Strategy 3, LEAs with persistently lowest-achieving schools will receive an integrated system of supports through ETACIT and from Intervention Partners that include targeted technical assistance and professional development; information management and data systems support; and community engagement services. Each year, the LEA will participate in a Performance Contract Analysis and Review conducted by

NYSED, which determines the type of support that the LEA will continue to receive, future funding levels, and possible State interventions and sanctions, which may include revocation of a school's registration and the requirement that the LEA implement a plan developed by the Commissioner to protect the educational welfare of the students who attend such school.

Partnership Zones, as described in Strategy 4, will be the organizational structure for partnerships between Intervention Partners and LEAs. "Zone schools," which are developed in clusters, remain inside the LEA and can continue to tap into the scale efficiencies of many central office services. However, Zone schools also afford principals and Intervention Partners increased flexibility to make scheduling, curriculum, and staffing decisions (to the extent agreed upon through the LEA collective bargaining agreement) in return for being held accountable for dramatic student achievement gains within two years.

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. As required by federal School Improvement Grant (SIG) guidelines, New York will award SIG funds of up to \$2 million per school for up to three years to LEAs that prove they have the capacity to implement one of the four intervention models in each school identified as persistently lowest-achieving. LEAs are asked to submit a Quality Intervention Plan for model implementation in each identified school, along with a budget based upon the costs of implementing each of the required actions in the models. Should New York receive Race to the Top funds, they will be directed towards activities that support implementation of the models at the school and the LEA level, thereby accelerating school changes that will have been put in motion through SIG funding. As previously described above, beginning with 2010–11, persistently lowest-achieving schools/SURR will be required to implement a turnaround, restart, closure or transformation model, and thus are expected to have a powerful incentive to be able to demonstrate their capacity to implement these models fully and effectively so as to be able to access SIG funds.

By integrating the Registration Review and persistently lowest-achieving processes, New York will have an unprecedented opportunity to build upon its current efforts and increase the support that it provides to LEAs and schools to implement school intervention strategies. For the first time NYSED will have an office (OISM) and an external technical assistance center (ETACIT)

that are exclusively focused on persistently lowest-achieving schools and will be able to provide significant grant awards to LEAs that demonstrate full and effective implementation of the intervention strategies. Merging these two processes will also ensure that each LEA and school will adhere to this performance contract and the Commissioner can 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. As a result, NYSED will be able to more than triple annually the number of schools in which it intervenes mostly intensively, while increasing the likelihood that such interventions will improve student achievement and make these schools ones in which students are educated to college and career ready standards.

What Research and Experience Tell Us
About School Improvement

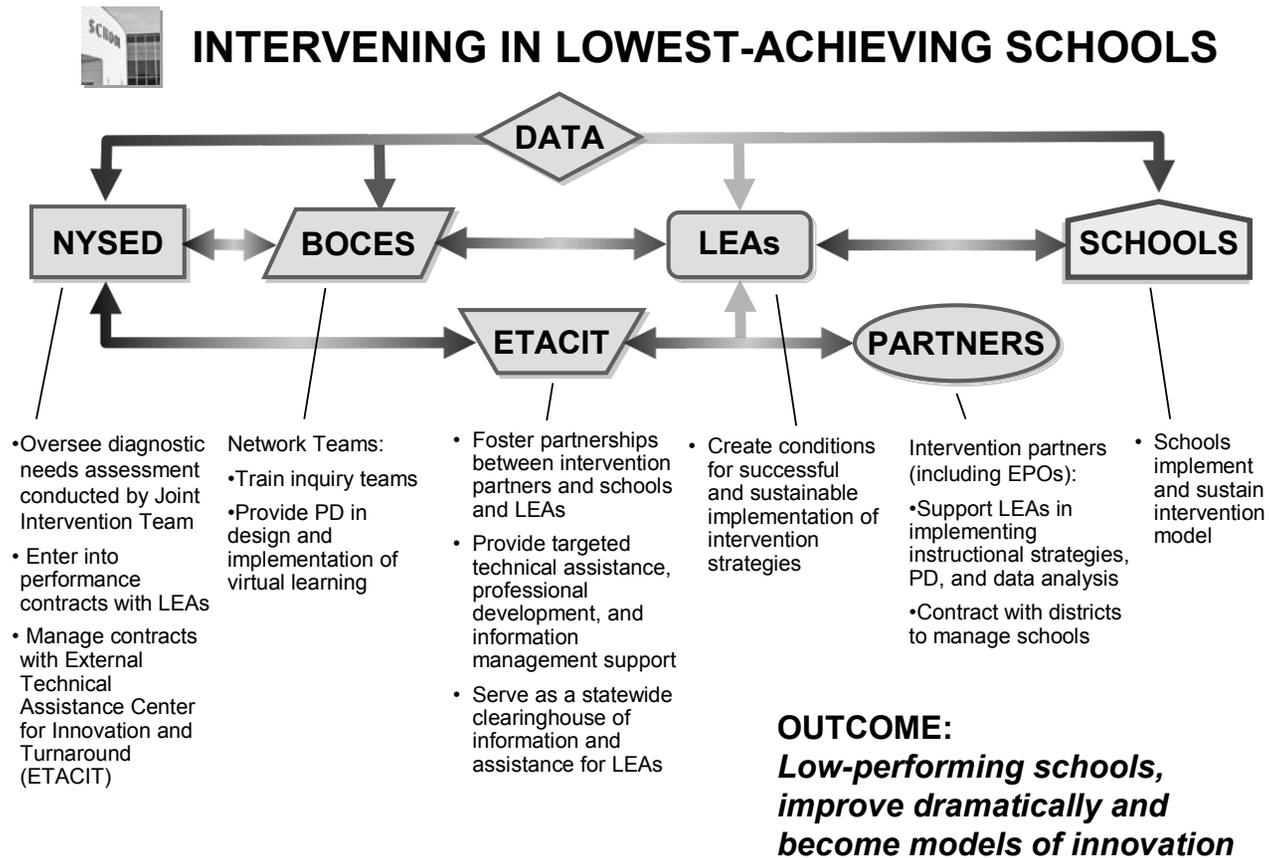
- ▶ Context is critical
- ▶ Conduct a rapid, high-quality needs assessment
- ▶ Introduce an external partner
- ▶ Maintain district involvement and responsibility
- ▶ Concentrate resources on a few, high-leverage strategies to yield the largest effects

NYSED’s plan is informed not only by experience, but also by research on school intervention strategies:

1. *Context is critical*: “If there is anything close to a law in the turnaround literature, it is that context is critical,” states Murphy (2008, p. 349). Brady (2003, p. 320 in Murphy & Myers) argues, “The specific intervention strategy is not important. What’s important is having the right mix of people, energy, timing, and other elements—particularly school leadership—that together contribute to school success.” (See also Brinson & Rhim, 2009.)
2. *Conduct a rapid, high-quality needs assessment*: For each school designated for turnaround, conducting a comprehensive assessment that illuminates the school’s strengths, identifies areas of concern, and provides information about causes for strength and weakness and context is essential. Murphy (2008, p. 337) states “that according to nearly every analyst in the turnaround game,” after the decision is made to undertake a turnaround, “the next step is to have an accurate diagnosis of the organization.” (Goodman, 1982, p. 50)

3. *Introduce an external partner:* “In no other sector do many organizations have the internal capacity to do turnarounds. It’s often considered highly specialized work.” (See Murphy & Myers, 2008; Brinson & Rhim, 2009; Hess, 2008.) The LEA should be required to engage an external partner to assist with the turnaround. The extent to which the partner takes control of the school should depend on the context and the capacity of the LEA and be subject to approval of the State. The external partner should have an in-building, embedded relationship with the school. Its efforts cannot be an occasional or light touch; they must involve intensive face-to-face, school-embedded support.
4. *Maintain district involvement and responsibility:* “The research indicates that school districts are central players in effective and sustainable school reform; consequently, efforts to improve schools should incorporate school districts (Archer, 2006a; Dwyer, et al., 2005; McLaughlin & Talbert, 2003; O’Day & Bitter, 2003; Spillane, 1996, 1997, 1998, as quoted from Rhim, Hassel, & Redding, 2008).” In every example of the successful turnaround schools chronicled by the Center on Innovation and Improvement, district involvement was intensive. In several instances districts stated that what they learned from their efforts was being used to prevent other schools from falling into the same category (see Brinson & Rhim, 2009.)
5. *Concentrate resources on a few, high-leverage strategies to yield the largest effects* (Kowal, Hassel, Hassel, & Rhim, 2007): A targeted focus on the instructional core is a high-leverage strategy to improve school performance and the only strategy that can ultimately abet high performance (Elmore, n.d.). Research can guide decisions about what actions inside the instructional core will have the most leverage.

STRATEGY 2: BUILD A SYSTEM TO SUPPORT LEAs IN IMPLEMENTING THE FOUR INTERVENTION MODELS



By creating a comprehensive and responsive system of support, NYSED will more effectively assist districts in their intervention efforts. To build LEA capacity for reform, as well as to support planning and implementation of quality interventions, NYSED has begun to redesign the support structure for low-performing schools. That support structure has three principal elements:

- NYSED’s Office of Innovative School Models (OISM) will coordinate the statewide system of support for LEAs and persistently lowest-achieving schools, along with the Office of Accountability and the Office of District Services.
- NYSED’s External Technical Assistance Center for Innovation and Turnaround (ETACIT) will provide expertise to LEAs on issues specific to persistently lowest-achieving schools, such as establishing human capital pipelines; establishing teacher leader support networks; selecting partners; and establishing new LEA governance structures that provide flexibility and autonomy to schools. ETACIT will also provide key support in the development of LEA Quality Implementation Plans for persistently lowest-achieving schools.
- Each LEA will be able to select an Intervention Partner to support school level implementation of the Quality Implementation Plan. The Intervention Partner will provide school-level support in areas such as instructional strategies, professional development, and data analysis. Through newly enacted legislation, the Intervention Partner can also assume the role of an educational partnership organization, and contract with the LEA to implement “whole school reform models” as part of a restart intervention.

Office of Innovative School Models

The 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 models within identified persistently lowest-achieving schools.

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; and redefining the charter authorizing work of the Board of Regents. By combining oversight of the charter authorizing and turnaround processes in one office, NYSED will adapt the “best-in-class” charter authorizing processes for which New York is known and apply these practices to NYSED’s efforts to turn around persistently lowest-achieving schools.

In order to support LEAs with persistently lowest-achieving schools, OISM will:

1. Oversee the **External Technical Assistance Center for Innovation and Turnaround (ETACIT)** in its provision of support to LEAs, and coordinate with the Office of District Services the provision of additional state services and programs (as described in Sections (A), (B), (C), and (D)) to LEAs.
2. Serve as a **clearinghouse for innovative Intervention Partners; systems and structures** that schools and districts can use to define school autonomies, and hold individual buildings and school networks accountable for those increased flexibilities and autonomies; and serve as a statewide network for sharing what works.
3. **Work 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 York State (see Section F (2)(ii)), will track growth on academic and leading indicators; require LEAs to address indicators that are lagging; and track progress toward non-negotiable performance targets (see Strategy 3 for further description).

4. **Gather qualitative and quantitative data on student academic performance**, and monitor LEA and school progress towards meeting the terms of performance contracts.
5. **Administer NYSED's state-level Innovative Secondary Schools Model Incentive fund program**, and manage the RFPs to develop the External Technical Assistance Center for Innovation and Turnaround (ETACIT) (see Strategy 2 for a description) and to create virtual and blended schools.
6. Review requests from persistently lowest-achieving schools regarding the **use of variances to provide flexibility** in implementing Commissioner's Regulations.

OISM will be supported in its work by two other NYSED offices, the Office of Accountability and the Office of District Services. The Office of Accountability is led by Ira Schwartz, who has more than two decades of experience leading NYSED efforts in school accountability. It will oversee school accountability and compliance for all schools and LEAs in the state. The Office will identify persistently lowest-achieving schools on an annual basis and coordinate and monitor grant programs. The Office will also oversee visits by Joint Intervention Teams and Distinguished Educators that will occur when a school is identified as persistently lowest-achieving. The Joint Intervention Team (JIT) will visit the LEA and school and prepare a report that will provide critical contextual information that the LEA will use in the selection of an intervention model. OISM and ETACIT will use these JIT reports to structure their efforts. The Office of Accountability will conduct an annual evaluation of the intervention efforts of participating LEAs with low-performing schools.

The Office of District Services will coordinate NYSED’s provision of key Race to the Top initiatives and programs to persistently lowest-achieving schools and their districts. In particular, the Office will collaborate with OISM to ensure that these schools and districts benefit from the Principal Leadership Academies (see Section (D)(5)(i)), professional development related to school-based inquiry teams (see Section (C)(3)(ii)), and the use of data and data systems to enhance instruction. The Office is led by Ken Slentz—a former schoolteacher, building administrator, and superintendent who has been a recognized leader in the technological, financial, and day-to-day operations of school districts.

External Technical Assistance Center for Innovation and Turnaround (ETACIT)

Should New York receive Race to the Top funding, the Board of Regents has approved the creation of the External Technical Assistance Center for Innovation and Turnaround. ETACIT 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. Specific expertise includes establishing human capital pipelines; establishing teacher leader support networks; selecting partners; and establishing new LEA governance structures that provide flexibility and autonomy to schools.

ETACIT will foster dynamic partnerships between organizations skilled in turnaround work (Intervention Partners) and persistently lowest-achieving schools and LEAs to create new start-up charter schools, conversion charter schools, and new, innovative public schools to replace persistently lowest-achieving schools. Recently enacted legislation that expands the charter cap and the way in which charters are overseen within New York State will significantly facilitate use of charter schools as a turnaround strategy. Intervention Partners will provide school support for turnaround, restart, and transformation models that ranges from serving as an Educational Partnership Organization that provides “whole school” model implementation to providing targeted support in areas such as instructional strategies, professional development, and data analysis.

ETACIT will focus on providing support to persistently lowest-achieving schools and will serve as a statewide clearinghouse of information and assistance for LEAs intervening in their lowest-achieving schools. ETACIT will be developed and run by an external organization. ETACIT will also have the ability to contract with additional external organizations to provide specialized support services, further building the State's capacity to support LEA intervention efforts.

Intervention Partners

NYSED will also support planning by providing districts with the option to select and benefit from the assistance of contracted Intervention Partners. ETACIT will assume long-term responsibility for creating and supporting a dynamic repository of Intervention Partners with proven track records of raising the achievement of high-need students. Potential Intervention Partners will include nationally renowned private non-profit organizations, new small school developers, leading charter management organizations, universities, virtual and blended school providers, autonomous internal district offices, and individual Boards of Cooperative Educational Services (BOCES). Intervention Partners can provide targeted support in areas such as instructional strategies, professional development, and data analysis. Chapter 103 of the Laws of 2010 (Education Law section 211-e, Appendix E_2_ii) also allows Intervention Partners to assume the role of the educational partnership organization, and contract with districts to provide “whole school” model implementation. Potential Intervention Partners will be evaluated based on their ability to effect change and demonstrated knowledge of the complexity associated with school turnarounds.

As a basis for developing NYSED's standards for approval of Intervention Partners, NYSED will take lessons learned from exemplary school partnerships—including those forged by New Visions for Public Schools, College Board Schools, and the Harlem Children's Zone, three organizations that provide partner schools with many of the same instructional services and supports historically provided to schools by their local districts. Building on the strength of these models, the NYC Department of Education has taken the partnership archetype to scale by having all 1600+ schools choose a support package from a collection of school support partners

comprised of for-profit and not-for-profit organizations as well as internal service organizations that provide differentiated advisory and support services.

STRATEGY 3: REQUIRE EACH LEA TO IMPLEMENT AN INTERVENTION MODEL BASED ON ITS NEEDS, AND SUPPORT IMPLEMENTATION OF THAT MODEL

New York State is requiring LEAs to choose an intervention model and implement a Quality Intervention Plan for each persistently lowest-achieving school that not only fully and effectively meets Race to the Top intervention model requirements, but also “raises the bar” for school intervention throughout the state. NYSED believes strongly that persistently lowest-achieving schools that implement Quality Intervention Plans will serve as exemplars for innovation, highlighting how challenged schools were able to overcome obstacles and raise student achievement.

The following process details the steps LEAs are required to take to ensure quality interventions are being implemented in persistently lowest-achieving schools:

1. Participate in a **Diagnostic Needs Assessment** conducted by a Joint Intervention Team (appointed by the Commissioner) to inform selection of an intervention model.
2. Develop a **Quality Intervention Plan** in collaboration with the school community and ETACIT. The Quality Intervention Plan must be submitted to the Commissioner for review and approval.
3. **Implement the Quality Intervention Plan** with fidelity, and with the continued support of ETACIT and the specialized technical assistance from Intervention Partners
4. Participate in a **Performance Contract Analysis and Review** conducted by NYSED, which determines the type of support that the LEA will continue to receive, future funding levels, and possible State interventions and sanctions, which may include

revocation of a school's registration and the requirement that the LEA implement a plan developed by the Commissioner to protect the educational welfare of the students who attend such school (see Section (E)(1)).

New York State requires that LEAs take these steps in all schools identified as persistently lowest-achieving/SURR. As noted above, Race to the Top funds will be used to enhance the support structure for building LEA capacity for intervening and producing dramatic change in these schools, as well as to accelerate the change process.

Activity 3.1: Diagnostic Needs Assessment with the Assistance of Joint Intervention Teams

To aid LEAs in their selection of one of four intervention models for each persistently low-achieving school, LEAs will be required to participate in a diagnostic assessment conducted by a Joint Intervention Team that includes an analysis of student performance with a focus on the needs of ELL students, students with disabilities, and at-risk students; analysis of leading indicators and achievement data from the Early Warning System (see Section C)); LEA capacity to manage school interventions; and the LEA's current allocation of strategic resources. All of these elements will inform the selection of an intervention model and Intervention Partner, as well as subsequent implementation planning.

As discussed in Section (C)(3), LEAs with identified persistently lowest-achieving schools will be prioritized as the State implements its instructional data system. Specifically, the Early Warning System will provide crucial data necessary for the diagnostic needs assessment and selection of the appropriate school intervention model; will provide Intervention Partners with data necessary to make programmatic and operational changes within the school; and will inform recruitment, training, and retention of teachers within these schools. The capacity of educators within persistently lowest-achieving schools to effectively use data will be supported through professional development as outlined in Section (C) and also in NYSED's educator preparation programs, outlined in Section (D).

Responsible Parties: LEAs with persistently lowest-achieving schools with the assistance of NYSED Office of Accountability

Timeline for Completion: Fall 2010 and annually each fall thereafter for newly identified PLAs

Activity 3.2: Development of Quality Intervention Plan with the Assistance of ETACIT

LEAs will select an intervention model based on the results of the Diagnostic Needs Assessment, and begin the process of planning for implementation. LEAs must submit a Quality Intervention Plan for each persistently lowest-achieving school within the LEA. An LEA's plans must include a description of the LEA's governance structure that will oversee the LEA's intervention efforts (such as an internal LEA office, Partnership Zone, or an EPO); and a description of proposed instructional programming and school culture changes (including staffing, faculty incentives and rewards, student enrollment practices, and parent and community engagement activities). The plan must address the needs of English language learners, students with disabilities, and at-risk students, while also articulating dropout prevention efforts.

To support development of a Quality Intervention Plan, ETACIT will provide LEAs with expertise on establishing human capital pipelines; establishing teacher leader support networks; selecting Intervention Partners; and establishing new LEA governance structures that provide flexibility and autonomy to schools. ETACIT will:

1. Guide LEAs through every step of the process—from selecting an intervention model, to evaluating potential Intervention Partners and selecting the one that best meets the needs of the LEA and school community, through implementation of the model.
2. Provide for those LEAs choosing the turnaround or transformation models technical assistance on identifying the key competencies principals and staff must have for successful implementation.

3. Coordinate with the Office of District Services to provide professional development on key competencies to principals and staff within identified schools, and also coordinate resources such as NYSED's Regional Special Education Technical Assistance and Support Centers.
4. Provide LEAs that are planning to close their schools with roadmaps and templates for efficient school closure that ensure a smooth transition for the enrolled students, their families, and the local community.

LEAs will submit the Quality Implementation Plans to the Commissioner for review and approval. In order to review the plans, the Commissioner will appoint a panel consisting of members of the Joint Intervention Team (JIT) and Distinguished Educators. One of three recommendations will be made by the panel to the Commissioner: 1) accept the LEA's plan and approve school opening, 2) accept the LEA's plan on the condition that suggested revisions are made, or, 3) return the LEA's plan and require the LEA to submit a new plan. Each year, LEA plans will be reviewed and approved in March in preparation for the start of the next school year.

Responsible Parties: LEAs with persistently lowest-achieving schools with the assistance of NYSED and ETACIT

Timeline: Beginning Fall 2011 and annually each fall thereafter for newly identified PLAs

Activity 3.3: Implementation of Quality Intervention Plan with the Assistance of Intervention Partners

Once the Quality Intervention Plan is approved, LEAs are tasked with implementing the plan at the school level with fidelity.

NYSED will support this implementation by providing districts with the option to select and benefit from the assistance of contracted Intervention Partners. ETACIT will also continue to support LEAs with implementation, by serving as a statewide clearinghouse for best practices in turnaround and as the repository for Intervention Partners.

Intervention Partners will provide school support for turnaround, restart, and transformation models that ranges from “whole school” model implementation pursuant to Educational Partner Organization legislation enacted in May 2009, to targeted support in areas such as instructional strategies, professional development, and data analysis.

For implementation of the turnaround and transformation models, districts may contract with Intervention Partners to provide services related to the implementation of required elements of the models. Drawing on significant experience in school intervention, NYSED recognizes that strong curricular supports and professional development are critical elements. In the case of the transformation and turnaround models, NYSED will seek Intervention Partners who can provide schools with curriculum materials consistent with the State’s new curricular frameworks and with aligned professional development for both teachers and principals. While NYSED anticipates that the State’s data system will be a powerful tool for educators, NYSED will also seek Intervention Partners who have complementary data tools to diagnose student needs and help teachers respond to those needs. Additionally, as a result of data gathered through NYSED’s Teacher and Principal Evaluation System (see Section (D)), Intervention Partners will be able to assist schools in creating individualized teacher professional development plans for teachers who were rated ineffective or developing, and provide targeted support and resources for these teachers.

On May 28, 2010, New York enacted Chapter 103 of the Laws of 2010, which adds a new Education Law section 211-e (Appendix E_2_ii) to expand the opportunities for school districts to implement a restart model. Under the legislation, the Board of Education of a school district or the Chancellor of the New York City School District, with the approval of the Commissioner of Education, can contract with an educational partnership organization (New York’s legal term for an educational management organization) for a term of up to five years, to manage a school identified as a SURR or persistently lowest-achieving school, for the purpose of intervention to turn around that school. As a condition of the Commissioner’s approval, the Department intends to require that the educational partnership organization (EPO) be selected through a rigorous review process. The contract will be required to include district expectations and/or benchmarks for school operations and academic outcomes, and provide that failure to meet such expectations or

benchmarks may be ground for termination of the contract. The EPO will assume the duties of the superintendent of schools with respect to the school, including but not limited to making recommendations to the board of education to implement the educational program, including budgetary, staffing, student discipline, and curriculum decisions, and determining the daily schedule and the school calendar, consistent with collective bargaining agreements.

As part of their contract with the LEA, Intervention Partners will have access to data gathered by the Early Warning System. Intervention Partners can use this data to make decisions on programmatic and operational issues. Districts that want to implement the restart model but do not wish to contract with an EPO may also choose to convert the identified school to a charter school. LEAs that wish to implement a restart model may also contract with the State University of New York per section 355(2)(n) of Education Law, or the City University of New York per section 2590-k of Education Law, for management of lowest-achieving schools. The New York City Board of Education is already preparing to enter into an agreement with SUNY for the management of low-performing schools in Harlem, as part of an i3 (Investing in Innovation) grant proposal. This arrangement will provide valuable information on how districts can utilize the knowledge and capacity of SUNY and CUNY as Intervention Partners (see Section F for a more detailed explanation of this partnership and supporting examples).

Intervention Partners will also focus on innovative and effective programs to advance the academic achievement of underrepresented groups and girls—those who have traditionally been marginalized and underrepresented in STEM education and careers. They will:

- Provide equitable access and opportunities for underrepresented groups and girls to engage in innovative and rigorous STEM curriculum at the elementary, middle and secondary levels.
- Partner with business leaders and informal educational institutions in local communities, especially those with high concentrations of students from underrepresented groups, to build awareness of career pathways in STEM fields.
- Develop and sustain schools' capacity to establish mentorships and internships in STEM fields.
- Provide opportunities for peer study groups for both teachers and students that intersect different groups of students and include components of career exposure.

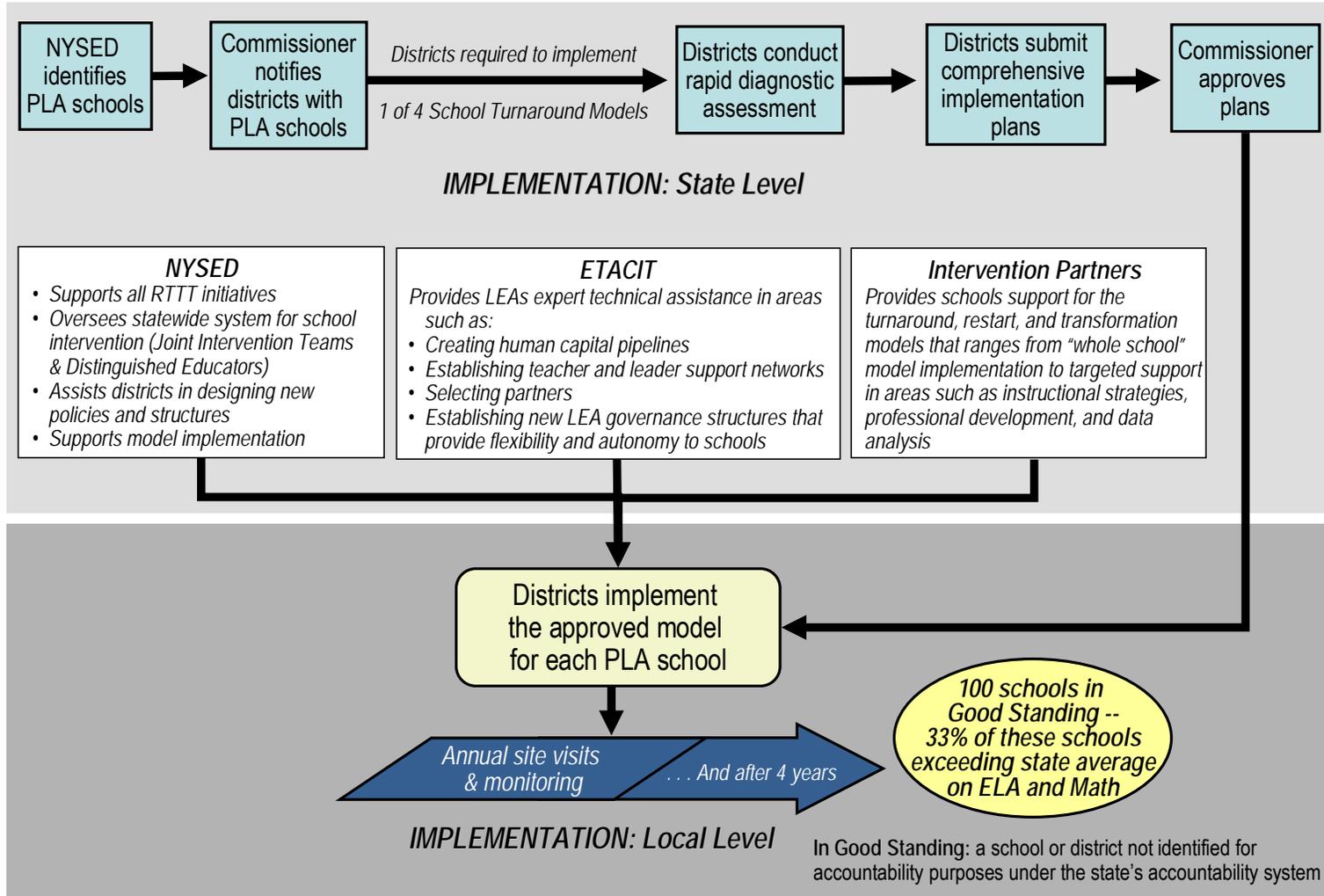
- Unite projects inside and outside of the school setting that reinforce working alongside scientists, mathematicians, and engineers who are women or members of underrepresented groups.

With each of these models, the process begins anew each year with the identification of additional persistently lowest-achieving schools. The timelines for achieving full implementation of one of the four intervention models will vary based on the federal requirements of the intervention plan and performance contract. All schools, in the school year following their identification as PLA, must implement a Quality Intervention Plan that contains sufficient elements of one of the four intervention models to be approved by the Commissioner to meet the requirements for a School Under Registration Review. Most schools will fully and effectively implement the core elements of an intervention model at the beginning of that first year following identification and thus will receive School Improvement Grant funds to support their implementation. By the beginning of the second year of implementation, all schools will be expected to fully and effectively implement all elements of their chosen intervention model. NYSED expects elementary and middle schools to have completed their model implementation after three years and high schools after four years.

Responsible Parties: LEAs with persistently lowest-achieving schools, with the assistance of NYSED OISM and ETACIT

Timeline for Completion: Developed annually with implementation for the first cohort of schools beginning in September 2010

NEW YORK STATE'S PLAN FOR DRAMATIC SCHOOL INTERVENTION



Activity 3.4: Performance Contract Analysis/Review

LEAs are responsible for producing dramatic increases in student achievement as a result of the implementation of one of the four models. New York State is committed to holding LEAs accountable for these increases and may seek to intervene (as outlined in Section (E)(1)) when persistently lowest-achieving schools do not improve, or when it has been determined that models are not being implemented with fidelity. In order to hold LEAs accountable, LEAs will be required to submit a performance contract for each identified school as part of the LEA's annual School Improvement Grant application, which defines persistently lowest-achieving school performance over the grant period. The school performance contract will:

1. Track growth on academic and leading indicators, as defined by the School Improvement Grant guidelines;
2. Require LEAs to address indicators that are lagging; and
3. Track progress toward non-negotiable performance targets that LEAs must meet within persistently lowest-achieving schools in order to continue to receive funding.

This performance contract is based on best chartering practices and is similar to the agreements that charter schools are required to enter into with charter authorizers in New York State (see Section (F)(2)(ii)). Schools that continually miss meeting performance targets will be subject to increasingly aggressive interventions (see Section (E)(1)), and the LEAs that serve them may face a reduction in funding. Persistently lowest-achieving schools that achieve the non-negotiable performance targets set by the state will be on track to make AYP and for all students score proficient on state exams.

Staff from the Office of Innovative School Models will use performance-based management practices similar to those that are used for charter school oversight. These staff will be assigned a portfolio of persistently lowest-achieving schools, and will make on-site visits to the LEAs and to the identified schools to gather qualitative and quantitative data on student academic performance, and monitor their overall progress and progress in implementation of the approved plan. Liaisons will conduct classroom observations; school site

walkthroughs; and interviews with school site governing boards, school leadership, teachers, students, families, community partners, and Intervention Partners. The information gathered, in combination with other monitoring reports, will be used to determine whether the LEA will continue to receive funding to support its intervention plan—or whether it is necessary for NYSED to initiate more aggressive interventions and sanctions for the school and LEA.

Over the course of the three-year grant period, and with the help of an external contracted evaluation partner, NYSED will measure the overall progress and performance of New York State’s lowest-performing schools. The purpose of this overall evaluation is to raise awareness, identify and assess best practices at the core of improvement efforts in these schools, and position NYSED to further support the transformation of participating schools and include additional schools in future funding opportunities. All schools implementing the transformation, turnaround, or restart model—as well as those participating in NYSED’s State-level Innovative Secondary School Model Incentive Fund (described in Strategy 5, below)—will participate in a longitudinal study as part of a statewide evaluation. Through a Request for Proposals, research partners will be identified who will collect qualitative and quantitative data on the performance of each school; conduct an analysis to measure the progress and performance of each school and its associated model; and identify those characteristics and factors that contribute to the challenges and successes of schools statewide.

Responsible Parties: LEAs with persistently lowest-achieving schools with the assistance of NYSED OISM

Timeline for Completion: Fall 2011 and annually thereafter

STRATEGY 4: EXPAND PARTNERSHIP ZONES

New York is one of six states collaborating with Mass Insight in a multi-year, \$70 million public-private partnership to create Partnership Zones—clusters of lowest-performing schools that retain the benefits of being part of a school district, but are free from many of the restrictions that traditionally restrict school operations. Partnership Zone schools remain inside the district and can continue to access many central office services. However, Partnership Zone schools are not required to follow all district policies and procedures in making decisions about staffing, scheduling, curriculum, and salary (to the extent agreed upon through the district collective bargaining agreement). This flexibility has been proven to empower educators to be more innovative, dynamic, and responsive to the needs of their students. In return, they are held accountable for dramatic student achievement gains within a specified timeframe.

The project is designed to create scalable and sustainable strategies for turning around clusters of lowest-performing schools, starting with a selected group of one or two districts in each of the six states. Mass Insight will launch the initiative by helping NYSED and participating LEAs conduct an analysis of the statutory and regulatory conditions affecting operating flexibility. They will then work with NYSED staff and school districts to develop the state and local-level strategies needed to increase flexibility for school leaders and Intervention Partners.

Three districts within New York State have already begun implementing the principles of the Partnership Zone model with their lowest-achieving schools:

1. **New York City's Children First Initiative**, launched in 2002, is centered on the belief that autonomy and accountability should rest with those closest to the decision being made—the principals. This autonomy is accompanied by strict accountability standards, with the ultimate goal being to create a new sense of empowerment for school leaders while creating an environment where local decision-making leads to successful outcomes in student performance. These reforms have

achieved significant results, with the percentage of New York City students graduating with local or Regents diplomas increasing by more than 10 percent since 2002, the percentage of students proficient on the grades 3–8 ELA State assessments increasing by 15 percent, and the percentage proficient in mathematics increasing by 30 percent. In 2007, New York City’s efforts were recognized when it received the prestigious Broad Prize for Urban Education. In the fall of 2010, the New York City plans to build upon the success of the Children’s First Initiative to create an Innovation Zone (“iZone”). Schools that are part of this iZone will pilot a set of innovations related to instructional delivery in the form of online courses and blended schools models; innovations that extend and improve learning time; and innovations in school and classroom staffing models that maximize the effectiveness of principals and teachers. A total of 84 schools serving over 13,000 students have been selected to participate in the iZone this coming school year.

2. **The Syracuse City School District** has developed a comprehensive district-wide approach to school intervention, focusing on providing schools with resources and autonomy. This approach is based upon a coordinated system of school improvement, required classroom and LEA-level walkthroughs, and a formative assessment pilot with WestEd. **Syracuse Say Yes** is the first to embrace an entire city school district, making it the largest school improvement program of its kind in the nation. The Say Yes program promises higher graduation rates for students by providing a project-based enrichment curriculum that aligns with the Syracuse School District curricula. Talent development, enrichment and leadership opportunities, and family support services are also major components of the program.
3. **Rochester City School District (RCSD)** is providing increased flexibility to schools through its program, Autonomous Contract Schools. High-performing schools with high capacity are empowered with the flexibility to make certain decisions, requesting support from central administration on an as-needed basis. The Rochester City School District has worked with the Rochester Teachers Association to create flexibility in collective bargaining agreement provisions for Autonomous Contract Schools. Each Autonomous Contract School may adopt a plan that exempts the school from particular collective bargaining

agreement provisions, providing that the plan has been approved by a Living Contract Committee that is composed of the principal and teacher union representatives. Through the plan, schools can seek flexibility in determining professional duties for teachers, school and group accountability, and compensation for teachers for non-school day activities. In addition, RCSD is exploring other practices that empower schools and support students, including differential pay for teachers.

Responsible Parties: NYSED, Mass Insight, and Pilot LEAs

Timeline: Beginning Fall 2011

STRATEGY 5: FOSTER INNOVATIVE SCHOOLS AND PRACTICES

In addition to supporting dramatic changes in persistently lowest-achieving schools, New York will provide incentives for LEAs to voluntarily implement bold new education options that significantly increase student achievement in schools at risk of being identified as persistently lowest-achieving. NYSED will extend the reach of intervention efforts by fostering innovative schools and practices through the Innovative Secondary School Model Fund, the creation of virtual and blended schools, the recognition of successful innovations through the Commissioner's Schools program, and the creation of a variance process to remove barriers to innovation. In order to sustain and scale up effective school interventions, NYSED will fund innovative new school models in collaboration with higher education institutions, local leaders in business and industry, full service school partners, and other organizations. These innovations will target at-risk students and will be designed to dramatically increase graduation rates in targeted schools, particularly in large urban high schools.

Activity 5.1: Innovative Secondary Schools Model Fund

NYSED will support the turnaround of 25 additional low-achieving schools by creating a competitive Innovative Secondary Schools Model Incentive Fund. This fund will serve as an incentive for eligible school districts with schools in improvement, corrective action, or restructuring status (but which have not yet been identified as persistently lowest-achieving) to implement innovative new

models in partnership with higher education institutions, local leaders in business and industry, full-service school partners, and other profit/nonprofit organizations. In order to support, stimulate, reengage, and sustain customized pathways to high school completion, the fund will focus on creating new models centered on themes including STEM, virtual high schools, transfer schools serving overage and under-credited students, schools for the arts, career and technical schools, museum schools, and language acquisition schools.

Selected LEAs with Tier III schools, as defined pursuant to Section 1003(g) of ESEA, may apply to open an innovative model school or program under the Incentive Fund. Upon approval of the application by the Commissioner and the commitment of the LEA to use a portion of its RTTT participating LEA allocation to support implementation of a model, NYSED will use RTTT funds to provide grants of up to \$500,000 per school per year for up to three years.

Responsible Parties: NYSED

Timeline for Completion: Schools begin implementation in 2011–12 and complete implementation in 2013–14

Activity 5.2: Virtual and Blended School Models

To provide students with increasing opportunities to make up courses, acquire initial credits, and explore rigorous classes in areas of interest, New York is developing a statewide, virtual network strategy that will build digital content, digital capacity and access, professional development, and accountability by working with NYSED’s network partners across the University of the State of New York (USNY), the Big 5 city school districts, the BOCES, and LEAs in general to identify and enhance best practices in virtual learning opportunities by:

- 1) Working with the International Association for K–12 Online Learning to complete a statewide survey that will identify existing opportunities being provided to students and relevant professional development offered to teachers (2010);

- 2) Completing a gap analysis to identify areas of strength and weakness in course provision, content of courses, and professional development offered (2010);
- 3) Issuing an RFP for rigorous, high-quality courses in core areas, as well as in Advanced Placement courses that will enhance student learning opportunities (2011); and
- 4) Issuing an RFP to develop technical assistance centers that will provide regional professional development related to teaching in an online environment, evaluate courses for inclusion in the network, and provide infrastructure analysis for LEAs wishing to implement online learning (2011–12).

This effort is one of the initiatives of the Statewide Learning Technology Plan, which was adopted by the Board of Regents in January 2010. By having options that range from fully online courses to a blended model where students are in online classes for a portion of their time and in traditional classes for the remainder, schools will provide options not only for overage and under-credited students and other students disconnected from traditional schools, but also for all learners who want access to participate in school “anytime, anywhere.” This approach grants alternative pathways to completing graduation requirements and advanced courses of study and further allows students statewide the option to take online public school courses at no cost. To further support this, professional development models consisting of online and face-to-face courses for teachers will be identified in NYSED’s network, and will be collaboratively built and disseminated through the USNY system. In sum, NYSED’s statewide virtual network will empower and support nontraditional students and all students through alternative approaches to teaching and learning while also providing sustainability through use of local, state, and federal funding, as well as through local and state innovation.

Responsible Parties: NYSED

Timeline for Completion: September 2011

Activity 5.3: Commissioner's Schools Program

The Office of Accountability will establish a mechanism to acknowledge schools and districts that have leveraged school autonomies, innovation, and accountability to raise student academic achievement and create streamlined, efficient operational programs. These schools will be “Commissioner’s Schools” and will receive special recognition by the Department for their efforts and successes. Commissioner’s Schools will be successful examples of autonomy, accountability, and performance. Through conferences, webinars, and public television programs, these schools will be highlighted as leaders in New York and the nation, showcasing how schools that are responsive and adaptable transform into successful organizations that meet the needs of students. Commissioner’s Schools will share best practices for increasing student achievement within all student groups, and in every context. Through funding sources such as the State Transferring Success Program and Section 1003(a) of ESEA, NYSED will make available dissemination grants to Commissioner’s Schools and planning grants to schools wishing to replicate a Commissioner’s School model.

Responsible Parties: NYSED

Timeline for Completion: October 2011

Activity 5.4: Variance Process

Currently, LEAs seeking to implement a program “designed to provide excellence in education” may apply for a variance from the requirements of Part 100 of the Commissioner’s regulations (New York State’s general education requirements) that may otherwise be a barrier to such innovation (see Appendix E_2_ii, 8 NYCRR §100.2(n)). To further encourage and/or enhance innovative practices in providing robust student learning opportunities, NYSED is redesigning the variance process that has been largely unused by LEAs for the past fifteen years. In order to maximize opportunities for student learning and the associated awarding of credit towards graduation, LEAs will be encouraged to utilize new provisions of regulations pertaining to making up credit and independent study

that will be in place for the 2010–11 school year (see 8 NYCRR section 100.5(d)(8); Appendix E_2_ii) and new regulations on independent study that are being proposed for adoption and NYSED expects to be in place during the 2010–11 school year.

Responsible Parties: NYSED

Timeline for Completion: September 2010

CONCLUSION

New York’s vision for educational excellence is focused on the centrality of the teaching and learning experience in the classroom supported by the synergistic efforts of state, regional, district, and school-based organizations. NYSED’s plan for intervention in lowest-achieving schools reflects the other elements of NYSED’s Race to the Top plan that will fundamentally alter what happens in classrooms and is based upon NYSED’s past successes in school turnaround. NYSED’s plan articulates how NYSED will reorganize itself and create new structures to support LEAs in their turnaround work, secure for LEAs the assistance of Intervention Partners, and leverage NYSED’s regulatory authority and ability to disseminate funding to provide both incentives and consequences for LEA action.

The strategies described throughout NYSED’s Race to the Top Plan in Sections (A), (C), and (D) will provide LEAs with key supports needed to implement the requirements of the four models. The Teacher and Principal Evaluation System will provide LEAs with crucial information when making the staffing and professional development decisions required to implement the four models. Principal Leadership Academies across the state will ensure that administrators are prepared with the key competencies necessary for intervening in lowest-achieving schools. In order to ensure that high-need schools have access to experienced and highly effective teachers, New York will create a transfer fund to support a differential pay initiative to attract outstanding STEM and special

education teachers and teachers of English language learners to work in high-need schools. Teachers with a demonstrated record of success in the classroom will be eligible for a five-year pay differential totaling \$30,000 (see Section (D)(3)). ETACIT and Intervention Partners will have access to NYSED's comprehensive data system and Early Warning System, facilitating professional development targeted towards the needs of teachers and students. School-based Inquiry Teams will provide a mechanism for instructional and program planning as well as delivery of professional development. All of the strategies link together to support NYSED's commitment to improving education options for all students and communities in the state.

NYSED has set forth a high-quality and ambitious plan for school reform, designed to support dramatic increases in student achievement within the lowest-achieving schools in New York. The five core strategies described in NYSED's plan will be leveraged to provide LEAs with the capacity and expertise necessary to implement dramatic and successful school change. Over the RTTT year grant period, NYSED estimates that 150 persistently lowest-achieving schools will be turned around, and thousands of students will benefit from the quality interventions implemented.

SECTION E TIMELINE

Please note on the following timeline that in the first year of NYSED's plan (through December 2010), we will use internal staff and structures to begin supporting LEAs; long-term, this work will be done by external partners following the completion of State-level RFPs.

SECTION (E) TIMELINE

MAJOR ACTIVITIES	2010	2011	2012	2013	RESPONSIBLE PARTIES
Strategy 1: Build upon lessons learned from past reform efforts					NYSED: Office of Accountability
Strategy 2: Build a system to support LEAs in implementing the four intervention models					NYSED: Office of Accountability, External Technical Assistance Center for Innovation and Turnaround, identified LEAs
Strategy 3: Require each LEA to implement an intervention model based on its needs, and support implementation of that model Activity 3.1: Diagnostic Needs Assessment Activity 3.2: Develop Quality Intervention Plan Activity 3.3: Implement Quality Intervention Plan Activity 3.4: Performance Contract Analysis/Review					NYSED: Office of Innovative School Models, Office of Accountability; External Technical Assistance Center for Innovation and Turnaround; identified LEAs
Strategy 4: Expand Partnership Zones					NYSED: Office of Innovative School Models, Mass Insight, identified LEAs
Strategy 5: Foster innovative schools and practices Activity 5.1: Innovative Secondary Schools Model Fund Activity 5.2: Virtual and Blended School Models Activity 5.3: Commissioner's Schools Program Activity 5.4: Variance Process					NYSED: Office of Innovative School Models, External Technical Assistance Center for Innovation and Turnaround, identified LEAs

Evidence for (E)(2)

New York is an extremely diverse state whose school districts range from small rural districts with less than 100 students to large urban districts with more than one million students. Historically, New York’s persistently lowest-achieving schools have been located in NYSED’s five largest school districts, and particularly in New York City.

Therefore, most of New York’s experience in turning around low-performing schools is based on NYSED’s actions in and collaboration with the New York City Department of Education. Since 2002, the New York City Department of Education, with the support of NYSED, has been involved in a major reform initiative that incorporates many of the elements of the four school

intervention models outlined in Race to the Top. The State’s accountability system made New York City’s school portfolio management model possible by providing a process by which low-performing schools are identified for improvement and replaced if they do not make gains in achievement. While these improvements have resulted in an overall 10 percent increase in the graduation rate, in order to close the achievement gap, New York City continues to reform its organizational structure to provide increased support for high-performing schools, schools at risk of chronic underperformance, and schools that replace low-performing schools.

**What the New York City Experience Tells Us
About School Improvement**

- ▶ Importance of thoughtful enrollment plans
- ▶ Critical role of intermediary support partners and school leader effectiveness in success of replacement schools
- ▶ Need strategies to manage costs and disruptions created by significant staff displacement

Significant lessons learned from New York City’s experience include: (1) the importance of a thoughtful enrollment plan to ensure that school replacement strategies do not result in extraordinary concentrations of very high-need students in struggling neighboring schools; (2) the critical role intermediary support partners and school leader effectiveness play in the success of replacement schools; and (3) the need for strategies to manage the costs and disruption created by significant staff displacement. A critical role of ETACIT will be to help LEAs anticipate and address these challenges through comprehensive enrollment strategies and processes to select high-quality

intermediaries and to provide turnaround, restart, and transformation school leaders with intensive support (including leveraging the leadership academies described in Section (D)), and human capital strategies that rely on annual evaluations (that incorporate student growth) to provide differentiated professional development and mentoring. Thus, lessons learned from both NYSED’s experience throughout the State and the NYC Department of Education’s efforts have informed New York’s RTTT application, as described in the table below:

Approach Used	# of Schools Since 2004-05	Results and Lessons Learned		
NYS Schools Under Registration Review (SURR) Process	66	Out of the 66 schools identified between 2004–05 and 2008–09:		
		Area of Identification	Average Proficiency, Year of Identification	Average Proficiency for 2008–09
		Grade 3–8 ELA	24.7	43.9
		Grade 3–8 Mathematics	30.6	57.9
		High School ELA	48.9	63.5
		High School Mathematics	48.7	60.9
		From New York’s experience with the Registration Review process, NYSED has learned that:		
<ol style="list-style-type: none"> 1) A turnaround strategy must encompass not only individual schools, but also the whole district. A school is frequently identified as persistently lowest-achieving because the school serves a disproportionate percentage of high-need students in the district; the school does not receive an equitable distribution of effective teachers and leaders; and the district resources that are available to the school are not utilized optimally. Districts must ensure that those schools with the greatest needs within the district receive the greatest support as well as the assistance necessary to be able to use this support effectively. 2) To improve student achievement, persistently lowest-achieving schools must typically address most, if not all, of the following: low academic standards, inadequate instructional leadership, curriculum deficiencies, ineffective instructional methods, many inexperienced teachers, lack of alignment between professional development and staff needs, assessment data not used to plan instruction, inefficient use of time, lack of parent and community involvement, ineffective classroom management practices, lack of strategic social supports and effective college goal-setting with students. 				

Approach Used	# of Schools Since 2004-05	Results and Lessons Learned
		<p>3) There is no single intervention strategy that works in all situations. Schools and districts vary in their ability to devise effective turnaround strategies and their willingness to implement them. While in some situations, intensive technical assistance and support is sufficient, in other cases, both the school and the district lack the capacity to develop an effective turnaround strategy. Therefore, a key decision point for the State Education Agency is determining whether its role should be primarily supportive or prescriptive (see Murphy (2008), p. 349). Brady (2003, p. 320 in Murphy & Myers) who argue, “The specific intervention strategy is not important. What’s important is having the right mix of people, energy, timing, and other elements—particularly school leadership—that together contribute to school success.” (See also Brinson & Rhim, 2009.)</p> <p>4) Building the capacity of districts to support their persistently lowest-achieving schools is a key ingredient to success. Schools most typically succeed in large part because of effective district support. Districts must have a broad strategy, not just school-by-school approach. In some cases, support external to the district may need to be leveraged to assist a school (see Fullan, 2003).</p> <p>5) It is critical that schools have assistance in coordinating the many and different resources available to them, in the form of an intervention partner (see Murphy & Myers, 2008; Brinson & Rhim, 2009; Hess, 2008).</p> <p>6) It is easy to close schools, but much harder to open successor schools that are truly better and different than the schools they replace. Merely changing the administration and a significant percentage of a school’s staff will not, in itself, typically engender dramatic school improvement.</p> <p>7) The gains that transformed schools make are often fragile. It takes continued sustained support to ensure that changes in the school's culture become institutionalized (see Hess, 1999). After schools improve performance, it is critical that they have viable transition plans to avoid relapse into performance patterns that initially led to intervention.</p>

Approach Used	# of Schools Since 2004-05	Results and Lessons Learned
		<p>8) When a school must close and be replaced, phasing out the school and replacing it with a school that phases in over time has several advantages over either abruptly closing the school or turning the management of the school over to an external entity. The phase-in, phase-out model engenders less community opposition, permits the new school to grow slowly and organically, and allows for a better and more rational allocation of resources.</p> <p>9) Districts must consider all policies that impact on school choice, enrollment, and student transfers and, as mentioned above, must therefore consider both school- and district-wide strategy for turning around low-performing schools.</p>

Approach Used	# of Schools Since 2004-05	Results and Lessons Learned
<p>New York City, Children First Initiative (includes elements of Transformation, Turnaround, and Closure)</p>	<p>1600</p>	<p>Reforms have achieved significant results, with the percentage of NYC students graduating with local or Regents diplomas increasing by more than 10 percent since 2002, the percentage of students proficient on the grades 3–8 ELA State assessments increasing by 15 percent, and the percentage proficient in mathematics increasing by 30 percent. In 2007, NYC’s efforts were recognized when it received the prestigious Broad Prize for Urban Education.</p> <p>From their past work with lowest-achieving schools, the NYC Department of Education has built the Children First Initiative upon three key lessons:</p> <ol style="list-style-type: none"> 1) Those lowest performing students should make the key decisions about what will help students succeed. Resources and decision-making power are put directly into the hands of principals, who decide with their teams which strategies and supports will best serve their students. 2) Schools should be able to count on sufficient, fair and transparent funding. Schools now receive a base allocation for each student and receive additional funds for students who cost more to educate. Principals have more control over their budgets and incentives to welcome the challenge of educating students with greater needs 3) Empowered schools must be accountable for results. Under New York City’s accountability system, qualitative reports supplement test scores, all schools are graded and schools earn “extra credit” for gains by their neediest students. In turn, the system is committed to dealing forcefully with chronically low-performing schools. Every school annually receives an overall letter grade and sub-scores that compare it to both similar schools and the City’s best schools. Schools also are evaluated by skilled educators who spend up to three days observing the teaching that occurs in classrooms and interviewing the principal, teachers, parents, and students. <p>New York City has been aggressive in seeking to replace its lowest-achieving schools. Every school annually receives an overall letter grade and sub-scores that compare it to both similar schools and the City’s best schools. Schools that receive a “D” or “F” are targeted for closure. In particular, NYC has largely dismantled its system of large comprehensive high schools, many of which had become “dropout factories,” and replaced them with smaller, theme-centered high schools.</p>

NYSED will use what it has learned from the SURR process, especially as it relates to the replacement of schools to assist in implementing the RTTT requirements.

Performance Measures	Actual Data: Baseline (Current school year or most recent)	End of SY 2010– 2011	End of SY 2011– 2012	End of SY 2012– 2013	End of SY 2013– 2014
The number of schools for which one of the four school intervention models (described in Appendix (C)) will be initiated each year.					
The number of schools identified as persistently lowest-achieving (cumulative)	57	88	119	150	
The number of persistently lowest-achieving schools for which one of the four school intervention models will be initiated each year.	0*	28	87	117	147
The number of schools in restructuring for which one of the four school intervention models will be initiated each year	0	10	23	34	55**

NOTES:

*Consistent with the guidelines set forth in the School Improvement Grant under Section 1003(g), the LEAs with schools identified as persistently lowest-achieving are using 2009–2010 to engage in diagnostic work to develop an overall approach to their portfolio of schools before opening redesigned schools in September of 2010. In addition to the schools identified in the table above, SED projects that 41 schools in restructuring will return to Good Standing during the grant period after implementing a locally developed restructuring plan and prior to the schools implementing one of the four intervention models.

**The total of 55 schools includes both schools that will participate in the Innovative School Model Fund and schools in which LEAs will voluntarily begin implementing one of the four models before identification by the Commissioner as a persistently lowest-achieving/SURR.

(F) General (55 total points)

State Reform Conditions Criteria

(F)(1) Making education funding a priority (10 points)

The extent to which—

- (i) The percentage of the total revenues available to the State (as defined in this notice) that were used to support elementary, secondary, and public higher education for FY 2009 was greater than or equal to the percentage of the total revenues available to the State (as defined in this notice) that were used to support elementary, secondary, and public higher education for FY 2008; and
- (ii) The State’s policies lead to equitable funding (a) between high-need LEAs (as defined in this notice) and other LEAs, and (b) within LEAs, between high-poverty schools (as defined in this notice) and other schools.

In the text box below, the State shall describe its current status in meeting the criterion. The narrative or attachments shall also include, at a minimum, the evidence listed below, and how each piece of evidence demonstrates the State’s success in meeting the criterion. The narrative and attachments may also include any additional information the State believes will be helpful to peer reviewers. For attachments included in the Appendix, note in the narrative the location where the attachments can be found.

Evidence for (F)(1)(i):

- Financial data to show whether and to what extent expenditures, as a percentage of the total revenues available to the State (as defined in this notice), increased, decreased, or remained the same.

Evidence for (F)(1)(ii):

- *Any supporting evidence the State believes will be helpful to peer reviewers.*

Recommended maximum response length: Three pages

SECTION (F) OVERVIEW

New York has the resources and supports to enact large-scale education reform and significantly impact the State’s public schools. New York has set the conditions to equitably fund schools and create a policy environment that encourages innovation in public schools. Section (F) outlines some of these conditions; namely, the State’s thoughtful and aggressive approach to equitably funding all schools and creating conditions for public charter schools and autonomous, innovative public schools to flourish. New York has shown extraordinary commitment to public education through a six percent increase in state education expenditures from FY 2008 to FY 2009, at a time when state revenues declined. Further, the new foundation aid formula has led to greater equity in LEA and school funding. New York is also known for its encouragement of innovative school models through a nationally recognized charter school initiative and the establishment of a new State Office of Innovative School Models.

SUBSECTION (F)(1) OVERVIEW

The State of New York has demonstrated commitment to adequately and equitably funding public education, even in an era of declining state revenues. This increased funding has prioritized high-need school districts through the new foundation aid education funding formula and high-need schools through the Contracts for Excellence initiative.

VISION	The State will adequately and equitably fund all of its public schools so that all students have the same opportunities to reach their highest academic potential and schools and districts will be held accountable for effective and efficient use of these resources.
STRATEGIES	<ol style="list-style-type: none"> 1. Implement a foundation aid formula based on the cost of educating students in successful school districts, adjusted to reflect geographic cost differences and each district’s unique resources and student needs. 2. Require districts that receive large funding increases and have schools in need of improvement to distribute increases in funding equitably across schools and to invest the additional funds in programs proven to raise student achievement. 3. Improve financial accountability by providing web-based access to meaningful fiscal and statistical information on school districts.
GOALS	<ul style="list-style-type: none"> ▶ All schools will receive adequate funding to be successful. ▶ Funding will be distributed equitably across and within districts. ▶ School districts will invest funds in successful programs.

(F)(1)(i) State funds for education increased for the 2008–09 school year

The following table shows that New York State increased the share of the State 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 our students.

**Percent of All State Funds Going to Support Education Increased in the 2008–09 School Year:
State Support for Education Increased by \$1.835 Billion, or almost 6 percent,**

<i>All Figures in Millions of Dollars</i>	All State Funds Receipts			Education: Cash Disbursements by Function, State Funds								Percent of State Funds for Education
	Taxes	Misc. Receipts	Total	School Aid	School Aid— Medicaid Assistance	STAR Property Tax Relief	Special Education Categorical Programs	City University of New York	State University of New York	State University Construction Fund	Total	
2007–08	60,871	19,643	80,514	18,903	80	4,657	1,017	1,105	5,938	15	31,715	39.4%
2008–09	60,337	20,064	80,401	20,603	106	4,435	1,041	1,071	6,278	16	33,550	41.7%
Absolute Increase											1,835	
Percent Increase											5.8%	

Sources: New York State Mid-Year Financial Plan Update 2008–09 through 2011–12, October 28, 2008, pp. T-23, T-219;
New York State Mid-Year Financial Plan Update 2009–10 through 2012–13, October 30, 2009, pp. T-23, 140.

(F)(1)(ii)(a) State policies lead to equitable funding between high-need LEAs and other LEAs

In 2007–08, New York State 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.³² The same year, the State made a historic \$1.87 billion, 10.5 percent 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 fully phased-in.

The foundation aid formula improved transparency by consolidating a difficult-to-understand mosaic of approximately 30 aid programs into a single, simplified formula. The amount of foundation aid a district is to receive is calculated based on the cost of educating students in successful school districts—factoring in each district’s level of student need and regional cost differences—minus an “expected local contribution” based on each community’s ability to pay:

$$\text{Foundation Aid} = [\text{Cost of Adequate Education} \times \text{Pupil Need} \times \text{Regional Cost}] - \text{Expected Local Contribution}$$

The additional weighting for students with disabilities is 1.41. The additional weighting for English language learners and students in poverty ranges from 0 to 1.0, based on the concentration of need. Thus, the foundation aid formula is designed to drive dollars to

³² The phase-in was designed to allow districts time to plan how to use large increases in State funds effectively and efficiently. Due to the current economic crisis, the State has extended the phase-in period and has made formula adjustments based on district wealth and student need.

those districts serving the highest concentrations of students in need of extra time and help. So far, the new policies have provided the greatest increase in funding to those school districts spending below the foundation aid level.

The following table shows that in 2008–09, students from high-need school districts, including those attending charter schools, generated far more state aid than students from average-need and low-need districts. (Note that New York classifies districts in “Need/Resource Capacity” categories according to a combination of both their need, based on free and reduced-price lunch data and census poverty data, and their resources, i.e., their ability to raise revenues locally to address those needs.) The 204 high-need districts—which included New York City, the “Big 4” cities (Buffalo, Rochester, Yonkers, and Syracuse), 45 urban-suburban districts, and 154 rural districts—made up just over half of the State’s average daily enrollment, but received nearly two-thirds of the state aid. By contrast, the 337 average-need districts comprised about 30 percent of the average daily enrollment and received almost 30 percent of the aid, and the 135 low-need districts comprised around 15 percent of the enrollment but received just over 8 percent of the aid. The average aid per pupil in high-need school districts and charter schools was \$10,497—24 percent more than the per-pupil aid to average-need districts, which was \$8,450, and more than twice as much as the average per-pupil aid to low-need districts, which was just \$5,110.

Students in High-Need Districts Generate Significantly More State Aid Than Low-Need Districts

Need/Resource Capacity Category	Number of Districts	Average Daily Enrollment, Including Charter School Students	% of Total Enrollment	% Share of State Revenues	State Revenues Per Pupil
1. High-Need	204	1,536,346	55.2	63.7	\$10,497
2. Average-Need	337	841,447	30.2	28.1	\$8,450
3. Low-Need	135	405,183	14.6	8.2	\$5,110
Total	676	2,782,976			

Source: New York State Education Department, 2008–09 school year.

(F)(1)(ii)(b) State policies lead to equitable funding within LEAs, between high-poverty schools and other schools

New York addresses intra-district equity through district improvement plans. Education Law §211-b(3) requires each school district identified as requiring academic progress, defined in 100.2(p)(7) of the Commissioner's Regulations as a district that has failed to make adequate yearly progress for two consecutive years on specified accountability indicators, or which has one or more schools under registration review, in need of improvement, in corrective action or restructuring status, to submit a district improvement plan to the Commissioner for approval (see Appendix F_1_ii_b). In formulating the district improvement plan, the district is required to consider redirecting resources to programs and activities to improve student achievement, which are included in the menu of options under subdivision 3 of Education Law § 211-d for districts required to prepare a Contract for Excellence. If such options are not adopted in the district improvement plan, the school district must provide the Commissioner with an explanation of why they have made this decision. This shall be considered by the Commissioner in determining whether to approve such plan. School districts must also hold a public hearing before adoption of the district improvement plan, and a transcript of the testimony at such hearing must be submitted to the Commissioner for review with the district improvement plan.

New York also addresses intra-district equity through its Contracts for Excellence (C4E) initiative. As part of this initiative, New York's Big 5 districts and dozens of other high-need districts are required by NYSED to allocate the majority of their increases in operating aid that resulted from the foundation aid formula or a supplemental educational improvement plan grant to high-need schools (based on student poverty and other indicators of need). NYSED intends to use school-level per-pupil expenditure data to ensure that C4E districts distribute their funding equitably across schools. See Appendix F_1_ii_b for Education Law §211-d, New York's Contract for Excellence statute.

The Spitzer/Paterson administration created C4E to ensure that the historic 2007 education funding increase went hand in hand with increased accountability. Under Education Law §211-d, as enacted in 2007, school districts that had one or more schools in

accountability status (in need of improvement, corrective action, restructuring, or the state law equivalent) and that had either received a significant increase in foundation aid in 2007–08 (an increase of 10 percent or \$15 million, whichever was less), or received a substantial aid increase through a state supplemental educational improvement plan grant, were required to enter into a contract with NYSED to improve student achievement by implementing effective, research-based educational improvement programs. There were 56 C4E districts in the first year, including the Big 5 cities and several high-need districts.

To ensure that C4E funding is distributed equitably within school districts, C4E districts are required to allocate their C4E funds to schools in accountability status, in proportion to student need as defined in terms of poverty, low achievement, English language learner status, and disabilities. Under the initiative, New York City and the other four large cities—which together educate 41.4 percent of the children in the State—are required to demonstrate that they are distributing C4E funds equitably to schools within their districts.

The C4E initiative is showing signs of success in raising student achievement. Several C4E districts have achieved dramatic gap-closing gains in student achievement over the last few years. For example, Middletown has made tremendous progress by leveraging investments in professional development and technology, and by aligning students' high school learning experiences and their postsecondary aspirations. Since the beginning of the program, 21 C4E districts have already improved student achievement sufficiently to leave the program, and another seven achieved their student performance targets and will leave the program at the end of the current school year.

Despite declining state revenues that delayed further increases in foundation aid, in the last enacted state budget in 2009–2010, the C4E program was continued and low-performing districts, which received considerable resources in 2007 and 2008, were required to target those additional resources to research-based educational improvement programs and to schools whose students have the greatest educational needs.

(F)(2) Ensuring successful conditions for high-performing charter schools and other innovative schools (40 points)

The extent to which—

- (i) The State has a charter school law that does not prohibit or effectively inhibit increasing the number of high-performing charter schools (as defined in this notice) in the State, measured (as set forth in Appendix B) by the percentage of total schools in the State that are allowed to be charter schools or otherwise restrict student enrollment in charter schools;
- (ii) The State has laws, statutes, regulations, or guidelines regarding how charter school authorizers approve, monitor, hold accountable, reauthorize, and close charter schools; in particular, whether authorizers require that student achievement (as defined in this notice) be one significant factor, among others, in authorization or renewal; encourage charter schools that serve student populations that are similar to local district student populations, especially relative to high-need students (as defined in this notice); and have closed or not renewed ineffective charter schools;
- (iii) The State’s charter schools receive (as set forth in Appendix B) equitable funding compared to traditional public schools, and a commensurate share of local, State, and Federal revenues;
- (iv) The State provides charter schools with funding for facilities (for leasing facilities, purchasing facilities, or making tenant improvements), assistance with facilities acquisition, access to public facilities, the ability to share in bonds and mill levies, or other supports; and the extent to which the State does not impose any facility-related requirements on charter schools that are stricter than those applied to traditional public schools; and
- (v) The State enables LEAs to operate innovative, autonomous public schools (as defined in this notice) other than charter schools.

In the text box below, the State shall describe its current status in meeting the criterion. The narrative or attachments shall also include, at a minimum, the evidence listed below, and how each piece of evidence demonstrates the State’s success in meeting the criterion. The narrative and attachments may also include any additional information the State believes will be helpful to peer reviewers. For attachments included in the Appendix, note in the narrative the location where the attachments can be found.

Evidence for (F)(2)(i):

- A description of the State’s applicable laws, statutes, regulations, or other relevant legal documents.
- The number of charter schools allowed under State law and the percentage this represents of the total number of schools in the

State.

- The number and types of charter schools currently operating in the State.

Evidence for (F)(2)(ii):

- A description of the State’s approach to charter school accountability and authorization, and a description of the State’s applicable laws, statutes, regulations, or other relevant legal documents.
- For each of the last five years:
 - The number of charter school applications made in the State.
 - The number of charter school applications approved.
 - The number of charter school applications denied and reasons for the denials (academic, financial, low enrollment, other).
 - The number of charter schools closed (including charter schools that were not reauthorized to operate).

Evidence for (F)(2)(iii):

- A description of the State’s applicable statutes, regulations, or other relevant legal documents.
- A description of the State’s approach to charter school funding, the amount of funding passed through to charter schools per student, and how those amounts compare with traditional public school per-student funding allocations.

Evidence for (F)(2)(iv):

- A description of the State’s applicable statutes, regulations, or other relevant legal documents.
- A description of the statewide facilities supports provided to charter schools, if any.

Evidence for (F)(2)(v):

- A description of how the State enables LEAs to operate innovative, autonomous public schools (as defined in this notice) other than charter schools.

Recommended maximum response length: Six pages

SUBSECTION (F)(2) OVERVIEW

The State of New York is committed to the creation of innovative, high-quality, new education options for the students and communities, including public charter schools. These new schools and networks of schools will both replace the state’s persistently lowest-achieving schools and respond to community demand for new start-up and conversion public charter schools. The State of New York believes that intervening aggressively in persistently low-achieving schools, and providing the conditions needed to bring new schools to communities seeking new school options are key elements of the overall system that will dramatically impact student academic performance.

VISION	Build a statewide system that dramatically accelerates student academic performance by creating new learning opportunities for students and communities chronically underserved by our traditional approach to public education. Integrate these innovative, new education options for students and communities in New York State in a system of accountability and ongoing supports to ensure success.
STRATEGIES	<ol style="list-style-type: none">1. Ensure successful conditions for high-performing charter schools and other innovative schools.2. Provide ongoing, appropriate professional development through statewide networks.3. Create a comprehensive structure for allowing site-based autonomies in exchange for increased accountability in the State’s lowest performing schools and the State’s public charter schools.
GOALS	<ul style="list-style-type: none">▶ An accountability structure that holds schools responsible and accountable for student academic performance and school operational performance.▶ A defined school review and monitoring plan that balances comprehensive school programmatic review and mandated federal compliance reporting.▶ A robust technical assistance center that supports dramatic interventions in persistently low-performing schools and facilitates school community turnarounds.

(F)(2)(i) The State has a charter school law that 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’s charter school environment and community is unique and unparalleled in the nation, as it has uniquely 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. Throughout the State, the charter school community—authorizers, philanthropic support partners, charter school associations, and charter management organization (CMO) partners—have worked together to create charter schools that thrive and provide viable and needed educational choice options for New York’s students and in particular, for those students most in need.

Since the enactment of the original New York Charter Schools Act of 1998 (New York State Education Law, Article 56), thoughtful expansion of charter schools and enactment of meaningful oversight and accountability measures have provided students and communities with quality educational options. With the historic passage of Chapter 101 of the Laws of 2010, which 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’s charter school community is well-positioned to support the next generation of high-quality charter schools in New York.

New York State 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), and 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 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, and these authorizers rigorously monitor the academic and operational programs of the public charter schools in the State. Quality support organizations, like 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 has historically incubated quality charter school networks that have scaled up and replicated across the state. Nationally recognized charter school organizations such as Uncommon Schools, Achievement First, and Knowledge is Power Program (KIPP) all

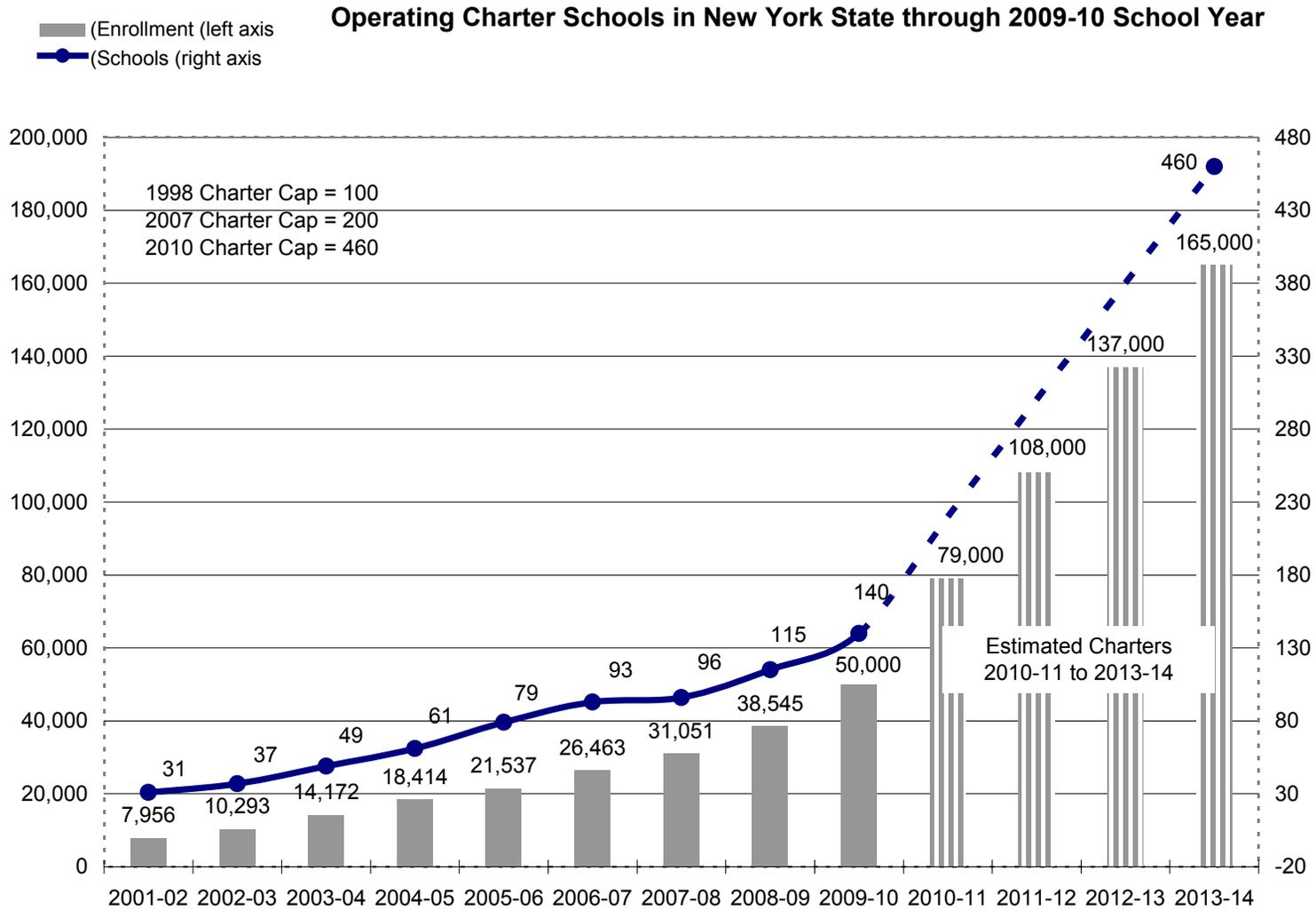
have roots in New York, serving the State's most underserved students. National and local philanthropic partners have supported school choice and public charter schools in New York from the beginning, and are eager to partner in this expanding initiative.

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. From their inception in 1998, public charter schools in New York State have benefited from a quality authorizing environment, public demand, and a sophisticated network of support partners.

New York has consistently been recognized as a leader in the charter school initiative. The New York Charter Schools Act of 1998 granted the Board of Regents authorizing power to issue charters for the purpose of organizing and operating independent and autonomous public charter schools. The Act also outlined the Board of Regents' responsibility for the oversight of the public charter schools in the state, including the partnership with the State University of New York (SUNY) Board of Trustees and its Charter Schools Institute, which carries out its charter authorizing work.

New York has been thoughtful and responsive to charter school growth in the state. Between 1999 and 2007, authorizers in the state awarded charters and entered into charter contracts with 100 school governing boards and their new schools. In 2007, the cap was raised to 200 charter schools, largely due to the demand for quality charter schools and the ready supply of community-based start-up schools and network providers such as Uncommon Schools, KIPP, and Achievement First. By May 2010, the Board of Regents had issued all 100 of its charters and the SUNY Board of Trustees has 18 charters left under the 2007 state cap. Over this period, public charter school enrollment has steadily increased.

As of the 2009–10 school year, New York has 140 operating charter schools serving 47,600 students and 4,540 public schools other than charter schools. The State expects its current charter schools to enroll more than 70,000 additional students as they add grades in fulfillment of their charters. Additionally, fourteen new charter schools have been approved to begin operating in 2010–11 or later.



Sources: New York State Report Cards (through 2007–08); NY State Education Dept., NYC Dept. of Education, SUNY Charter Schools Institute, and self-reports (2008–09). School counts refer to issued charters, not campuses.

Chapter 101 of the Laws of 2010 now authorizes an additional 260 charter schools to be formed over time through a new Requests for Proposals (RFP) process designed to assure continued growth in the number of high-quality charter schools. The Board of Regents will issue 130 charters directly, and 130 of these additional charters will be issued by the Board of Regents upon recommendation of the Board of Trustees of SUNY. 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 Race to the Top, 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.

Chapter 101 of the Laws of 2010 enacts a new Education Law §2852(9-a) to establish a new RFP process under which the Board of Regents and the Board of Trustees of SUNY, in approving 130 additional charters each, will be required to consider the demand for charter schools by the community and to seek to locate charter schools in a region or regions where there is a lack of alternatives and charter schools would provide new alternatives within the local public education system (see Appendix F_2_i_1). This RFP process will be informed by, and modeled on, the RFP processes developed by the country's leading authorizers in collaboration with the National Association of Charter School Authorizers (NACSA). The RFP will reflect lessons learned by the Louisiana Board of Elementary and Secondary Education after Hurricane Katrina for New Orleans schools; the success of the Renaissance 2010 initiative in Chicago; and Denver Public Schools' recently released RFP, which calls for the creation of new schools responsive to the unique needs of Denver's students, families, and communities.

In addition to formal school improvement models and new school autonomy in exchange for accountability contracts, public charter schools are a key element of New York State's school turnaround strategy. As restart is one of the four federally identified school improvement models, described in detail in Section E, LEAs will be able to replace existing low-performing and failing schools with public charter schools. We are looking to our veteran charter school network operators, such as Uncommon Schools, KIPP, and

Achievement First, as well as successful start-up school governing boards to take on the challenge of creating an alternative for students and communities. The Office of Innovative School Models will provide support and oversee efforts to help LEAs transform their persistently lowest-achieving schools into charter schools.

(F)(2)(ii) The State has laws, statutes, regulations, or guidelines regarding how charter school authorizers approve, monitor, hold accountable, reauthorize, and close charter schools.

New York has a rigorous approval, monitoring, and reauthorization process. New York's charter school authorization and approval process has been nationally recognized by a number of research and advocacy organizations. New York State authorizers set rigorous and appropriate expectations for student academic achievement and school operational performance. Individual school buildings and school networks are held accountable for performance.

- The strength of New York's process was recognized in the Charter Schools Monitoring Report prepared by WestEd in June 2009 on behalf of United States Department of Education. WestEd found that New York's "consistent, focused attention on its grant and charter school objectives guides its program implementation and helps drive the creation of high-quality charter schools in the State." It also reported that "monitoring and performance is another strong point in New York's Charter Schools Program. Oversight of charter schools for both program compliance and performance is exceptionally comprehensive, rigorous, and persistent."
- The National Alliance for Public Charter Schools recently released a ranking of charter school laws in January 2010. Currently 40 states and the District of Columbia allow for charter school authorization and the operation of public charter schools in their states. The Alliance assessed the 40 state laws and the law for the District of Columbia against a composite "model charter law," highlighting four key quality control measures:

- Transparent Charter Application, Review, and Decision-Making Processes
- Performance-Based Charter Contracts Required
- Comprehensive Charter School Monitoring and Data Collection Processes
- Clear Processes for Renewal, Non-Renewal, and Revocation Decisions

The Alliance found that “New York ranks the second highest on our four ‘quality control’ components. It is also a leader in providing multiple authorizers to charter applicants and in ensuring operational autonomy.”

- Authorizers in New York State oversee a comprehensive system of charter application review, monitoring, and renewal procedures. The collective oversight of public charter schools includes ensuring compliance with applicable laws, regulations and charter provisions. Authorizers carry this out through a combination of desk audits and on-site school visits.
- The National Association of Charter School Authorizers routinely recognizes the State University of New York’s Charter School Institute (SUNY-CSI) as a veteran, quality authorizer. Authorizing schools since 1998, SUNY has been a leader in developing policies, protocols and systems to define its authorizing practice and the oversight responsibilities for the schools that it oversees. SUNY-CSI has refined a set of renewal criteria; an accountability plan template; and a differentiated accountability system for its public charter schools that have served as exemplars for dozens of authorizers across the country.

New York’s Charter Laws

New York State leads the nation in charter school policy and innovation. The State’s authorizing environment, its newly amended charter law that raises the statewide cap on public charter schools to 460 and increases public accountability and transparency, and its unparalleled network of quality school choice options ensures that New York will continue to make a significant impact on the landscape of education reform.

Education Law §2851(2) establishes detailed 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. Chapter 101 of the Laws of 2010 has added a new Education Law §2852(9-a) to institute, for the 260 new startup charter schools now authorized, a new, rigorous Request for Proposals process that will build upon New York's already rigorous application process. Appendix F_2_ii_1 shows the number of charter school applications made, approved, and denied for each of the past five years.

Upon approval by a charter entity, a charter agreement is entered into, and for a charter entity other than the Board of Regents, the proposed charter must be submitted to the Board of Regents for review (Education Law §2852(5), (5-a) and (5-b); (9-a)). If the Board of Regents approves the charter or it is deemed approved by law, the new charter school is formed for a term of up to five years, or in the case of the 260 additional charters, five years in which instruction is provided (see Education Law 2853(1)(a), as amended by Chapter 101 of the Laws of 2010). A charter may be renewed for a period of up to five years, or in the case of the 260 additional charters, five years in which instruction is provided (Education Law §2851(4), as amended by Chapter 101 of the Laws of 2010), provided the charter entity makes the same findings required for a new charter school. Upon renewal, the applicant is required (Education Law §2851(4)) to submit additional information, including a report of the progress of the charter school in meeting its educational objectives, including its record of student achievement.

There are numerous provisions in Article 56 relating to accountability. 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.

Charter schools are required by Education Law §2857(2) to submit an Annual Report to the charter entity and the Board of Regents. Part of the required Annual Report is a Charter School Report Card, which must include measures of the academic and fiscal performance of the school, including graduation rates, dropout rates, student performance on standardized tests, and college entry rates. Finally, charter schools are required by Education Law §2851(2)(f) to have annual programmatic and fiscal audits comparable to those required of other public schools, and the annual fiscal audit must be submitted with the Annual Report.

Chapter 101 of the Laws of 2010 adds a number of new requirements to ensure greater accountability and transparency on the part of charter schools. The new statute provides, among other things, that monthly meetings of the governing board of charter schools be held and publicized, that charter schools codes of ethics include standards for disclosure of conflicts of interest, that charter schools and their officers and employees will be held to the same conflict of interest requirements that apply to school district officers and employees, that uniform applications for parents seeking to enroll children in charter schools will be developed, that uniform procedures will be developed for the lotteries (random selection process) used in charter school admissions, that the New York State Comptroller may conduct audits of charter schools and that Charter School Report Cards must be made publicly available and be posted on the charter school's website, must describe efforts to recruit and retain students with disabilities, English language learners, and students from families in poverty and must include any State Comptroller audits as an attachment.

Education Law §2855(1) authorizes the charter entity or the Board of Regents to revoke or terminate the charter on certain specified grounds including: (i) when the charter school's outcomes on student assessments fall below the level that would allow the Commissioner to revoke the registration of another public school, and student achievement has not improved over the preceding three years; (ii) serious violations of law; (iii) material and substantial violation of the charter, including fiscal mismanagement; and (iv) repeated failure to meet or exceed enrollment and retention targets for students with disabilities, English language learners or children

from families in poverty. In addition, Education Law §2855(3) gives the charter entity or the Board of Regents authority to place a charter school in probationary status to allow implementation of a remedial action plan (corrective action), and provides that failure of the charter school to comply with that remedial action plan may result in summary revocation of the charter. Appendix F_2_ii_1 contains a chart showing the NYS charter schools that were closed and the reasons therefore. A number of charter schools have either been placed on corrective action or probation, or have been given renewals shorter than five years in response to deficiencies.

Thus, educational soundness and student achievement are required factors to be considered 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.

Article 56 includes provisions that encourage the formation of charter schools that serve student populations similar to those of the local school district, including high-need students. Education Law §2854(2)(a) 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. Education Law §2852(2) encourages charter entities to give preferences to applications that demonstrate the capability to provide comprehensive learning experiences to students at-risk of academic failure. As a result, New York charter schools do serve high-need students, though the percentages of students with disabilities and English language learners enrolled in charter schools have lagged behind the percentages of such students in the school districts in which charter schools are located. In the case of students living in poverty, for example, a total of 23,072 students eligible for a free or reduced lunch were reported, representing 75 percent of all students attending a State charter school in 2007–08. This compared to 45 percent of students statewide eligible for free or reduced-priced lunch in the same academic year.

A major focus of Chapter 101 of the Laws of 2010 is to provide equal access to charter schools for students with disabilities, English language learners (ELLs), and children from families in poverty (students who qualify for a free or reduced-price lunch). Under the

Request for Proposals process for the additional 260 charters that are authorized, one of the criteria that the charter authorizers must use in approving an application is that the charter school will meet or exceed enrollment and retention targets for these three subgroups. Education Law §2851(4)(e) as added by Chapter 101 of the Laws of 2010, also requires that each application for renewal of a charter describe the means by which the charter school will meet or exceed enrollment and retention targets for the three subgroups. Education Law §2854(2) is also amended to clarify that charter schools may be formed to serve students with disabilities or ELLs, whether or not they are considered at risk of academic failure, and that charter schools must demonstrate good faith efforts to attract and retain an enrollment of students with disabilities, ELLs, and children from families in poverty comparable to that of the school district in which the charter school is located. Education Law §2855(1) also is amended to make repeated failure to meet or exceed enrollment and retention targets for students in these three subgroups a ground for revocation of a charter. Finally, Education Law §2857(2) is amended to require that Charter School Report Cards describe efforts in the existing school year and a plan for efforts in the succeeding year to meet or exceed enrollment and retention targets for students in these subgroups. The new statute very specifically promotes the formation of charter schools that serve similar student populations to those of the school districts in which they are located.

The strength of New York's charter school authorizing process is evidenced by our robust charter school outcomes, particularly in New York City. As mentioned previously, a study by Stanford University economist Caroline Hoxby showed that New York City charter school students are more likely to be proficient in math and reading than students in the nearest comparable public school. Overall, charter students have proficiency rates that are 5.2 percent higher than their public school counterparts in reading and 3.2 percent higher in math. Further, Hoxby's study shows that charter school students' gains in academic achievement, relative to their public-school peers, tend to increase as the charter schools mature. Subsequently, a report issued by the Center for Research on Education Outcomes (CREDO), also at Stanford University, found that charter schools in New York City are demonstrating significantly better results for their students in reading and math than their traditional public school counterparts. These trends were consistent for students overall, as well as for several key groups, including Blacks and Hispanics in both subjects and for students who

had not previously done well in traditional public schools in the subject area of reading. Other key groups include students in poverty and students enrolled for at least two or more years in math; these trends were consistent for all students regardless of how long they were enrolled.

The success of New York State's charter school initiative is also reflected in the State's success in attracting some of the highest-performing charter operators in the country, including KIPP (in both New York City and Albany), Achievement First (in New York City), and Uncommon Schools (in New York City, Rochester, and Troy), and some of the most innovative charter models in the country, such as the Harlem Children's Zone schools.

(F)(2)(iii)—The State's charter schools receive equitable funding as compared to traditional public schools.

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 (see Appendix F_2_iii_1). 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.

The charter school tuition formula is based upon the school district's operating expenditures rather than the revenue source, and reflects expenditures supported by both State aid and local taxes for public school students. The key definition in computing charter school basic tuition is that of approved operating expense (AOE). AOE includes instructional expenditures, but excludes, among other things, transportation and capital expenses, cafeteria and school lunch expenses, and most expenditures supported by federal funds. AOE includes many types of expenditures that charter schools are not required to make, such as costs of providing special education services, textbooks, and other services and materials to students attending non-public schools, and costs of school health

services. As described in Appendix F_2_iii_1, school districts are required to provide a range of services to charter schools in addition to payment of charter school tuition. Beyond the charter school basic tuition, New York's charter schools are eligible to receive Charter School Stimulus Funds from the State (see (F)(2)(iv) below).

In addition, 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.

There are significant costs that charter schools avoid because of their autonomy. Most importantly, charter schools are free from most state mandates which allow them to craft their budgets in a manner that makes the most sense for their unique educational plans. Further, charter schools avoid the costs for pensions and health care benefits that make up a significant portion of school budgets in large cities with declining enrollments—costs beyond the district's direct control. New York charter schools also tend to be substantially smaller than traditional public schools and often offer programs in the elementary grades, which require fewer teachers than a school district must provide in departmentalized secondary schools. All of these factors in combination suggest that a charter school formula based on total school district operating expenditures from grades PreK–12 provides charter school funding that is fair and adequate.

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.

(F)(2)(iv)—The State provides funding for facilities, assistance with facilities acquisition, access to public facilities and other supports.

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. First, charter school basic tuition may be used to pay facilities costs. In addition, the New York State Charter Schools Stimulus Fund (described in more detail in Appendix F_2_iv_1) 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.

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 worksite, in a public building, or in any other suitable location. Education Law §2853(4)(c) 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 as described in Appendix F_2_iv_1).

The NYS Office of General Services annually publishes a list of vacant and unused state buildings and portions of state buildings which may be suitable for the operation of a charter school (see Education Law §2853(3)(c)). Upon request, a school district is required to make available a similar list of vacant and unused school buildings within the district, including private school buildings, which may be suitable for a charter school. Charter schools are also eligible to participate in energy improvement programs funded by the NYS Energy Research and Development Authority, such as the Not-for-Profit Energy Incentive Program pursuant to 9 N.Y.C.R.R. §7920.1-7920.11.

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 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.

As described more fully in Appendix F_2_iv_1, there also are situations in which a charter school may indirectly benefit from school district bonding for school construction. In addition, the Regents have supported and continue to support legislation to afford charter schools access to financing of school construction through bonds issued by the Dormitory Authority of the State of New York, a state public authority with expertise in financing construction for school districts, Boards of Cooperative Educational Services (BOCES), and other educational institutions.

Pursuant to Education Law §2853(3)(a), for purposes of local zoning and building code compliance, a charter school is treated as a non-public school. The requirements that apply to private facilities are less restrictive than those for traditional public school facilities. Education Law §2854(1)(b) also requires charter schools to comply with the same health and safety requirements as public schools. Pursuant to Chapter 101 of the Laws of 2010, the 260 new charter schools authorized by that statute, unless a waiver is granted, will be treated as public schools for purposes of zoning and building code compliance and the State Education Department, or local building code authorities in the case of charter schools in New York City, will approve plans and specifications and issue certificates of occupancy for charter school facilities, using the same processes and same standards as apply to school district facilities.

A waiver will be available if imposition of the public school standards will result in undue economic hardship or for other good cause (see Appendix F_2_i_1).

In addition, New York State is committed to exploring public/private partnerships to provide highly leveraged uses of capital to support its aggressive reform agenda. Foundations such as the Brighter Choice Foundation in Albany, New York, have assisted many charter schools in constructing high quality schools. Charter schools have also been recipients of national philanthropic support from the Gates, Broad, Icahn, and Walton foundations.

New York endeavors to drive innovation to create high quality and results-oriented education opportunities for all youth. As noted in Sections (A) and (E), New York has a strong network of school reform partners, such as Uncommon Schools, Achievement First, and KIPP. They have demonstrated results across the state and want to expand. NYSED is seeking to leverage private funding for credit enhancement to support the establishment and expansion of high-quality charter schools and innovative school models across NY State, to be matched by other funders. If a match is successfully negotiated, the State will contribute up to \$10 million (see Appendix F_2_iv_2: Bill and Melinda Gates Foundation Letter Re: Charter Facilities Financing).

Specifically, New York State may leverage opportunities to develop a charter school facilities credit enhancement program similar to what was established by Texas Governor Perry and Education Commissioner Scott in May of 2009. To implement this approach, NYSED would identify public sources of funds as potential reserves to support credit enhancement for high-quality charter school facilities and innovative school models across the state. In the short term, this credit enhancement program could enable high-performing charter operators in NY to reduce interest payments on facilities debt, provide students in those schools with adequate facilities, and enable the strongest networks to expand to more sites. In the long term, this program could create a public mechanism for financing other types of next-generation models.

(F)(2)(v)—The State enables LEAs to operate innovative, autonomous public schools other than charter schools.

New York State encourages and supports LEAs in establishing and operating innovative, autonomous public schools. This section describes several program and policy efforts that the State has undertaken in this regard, and the legal support for such autonomous schools. The board of education of each school district has the authority to prescribe the course of study, employ teachers and other staff, exercise budgetary control, and otherwise exercise the superintendence, management, and control of the school district (e.g. Education Law §§1709(3), (16), (20), and (33); 2503(3), (4)(c), and (5); 2554(2), (11), (13)(a), and (15)(a)). Some board decisions are non-delegable, but New York law generally leaves it to the discretion of the board of education to determine how much autonomy to grant to a school within the school district in exercising its authority to manage and control the school district.

Office of Innovative School Models

The core belief of NYSED is that all children can learn. The Office of Innovative School Models (OISM) began operation in March 2010 with the mission of creating state-level policy and operating conditions to dramatically raising student achievement. The office will ensure that LEAs build on successful and innovative practices. Described in detail in Section (E), the Office of Innovative School Models 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 buildings, school networks accountable for those increased flexibilities, and a statewide network for sharing what works. OISM will be a resource to 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; and

- Implementing the Board of Regents charge to strengthen the State Education Department’s approach to charter authorizing. New York State’s charter school authorizing 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.

The head of OISM, Sally Bachofer, formerly served as the Director of Knowledge at the National Association of Charter School Authorizers. In that capacity, she led the development of model policies, practices, and procedures that define school and system quality and worked closely with multiple school districts, including Chicago, Denver, and Los Angeles, and multiple states, including Missouri and Louisiana. Prior to joining NACSA, the head of OISM served first as Coordinator of Charter School Accountability and then as State Manager of School Evaluation with the Massachusetts Department of Education.

Examples of the state and LEAs capitalizing on their ability to create autonomous public schools are detailed below.

Tech Valley High School

A leading example of an innovative approach to public education is the Tech Valley High School, a joint program of two BOCES that was authorized by special State legislation (see Appendix F_2_v_1) and provides a grades 9–12 high school course of instruction dedicated to providing expanded learning opportunities in technology and the core academic subjects required for issuance of a high school diploma. The school’s mission is to engage a broad spectrum of students in rigorous and enriching educational experiences focused on emerging technologies, project-based learning, and collaboration—and to provide such experiences through linkages with high-tech businesses that will foster a direct connection between student learning and real-world experience in advanced technical

facilities. The school was established as a corporate entity separate from the two BOCES, though its governing board is appointed by the two BOCES. The school's governing board is given authority to employ its own joint officers and employees, determine the curriculum, determine the school calendar and daily schedule, and adopt its budget, subject to approval of the BOCES. The school is given flexibility to contract with private, for-profit, and not-for-profit entities to carry out its supplemental innovative technological activities. Students receive their high school diplomas through their school districts of residence. Tech Valley High School is financed through a combination of State aid and funding from school districts of residence, in the same manner as other BOCES programs.

The College Board School

A second leading example of an innovative approach to public education is the College Board School. The College Board School: The Palisade Preparatory School in Yonkers was established in collaboration with the Bill & Melinda Gates Foundation. The school offers a college preparatory program serving grades 6–10. The school will expand to grades 6–12 in September 2011. The school is a smaller learning community with a total of 560 students. There are no admission requirements and students are randomly selected. The school offers a college prep learning environment where students must possess a strong sense of motivation. Springboard Mathematics and English Language Arts, a unique program designed around the rigorous College Board Standards for College Success, prepares students in grades 6–12 to master the critical-thinking, reasoning, and writing skills and competencies needed for success in college-level work. The school is led and staffed by outstanding professionals with deep knowledge of their subject matter and learning processes, strong leadership skills, and a commitment to create and participate in a community of continuous learners. The school is supported by fully integrated, cutting-edge technology in every element of teaching, learning, and operations.

Early College High School

New York is investing in early college high schools (ECHS) to close the achievement gap. With the initial support of a \$6 million grant from the Bill & Melinda Gates Foundation, the University of the State of New York is developing a network of Smart Scholars Early College High Schools. Eleven school-college partnerships across the state are in the process of planning their respective Smart Scholars ECHSs that will open in the fall of 2010. Approximately 2,570 students will be served. These schools are being designed to serve students from backgrounds traditionally underrepresented in college. The students will receive extensive academic and social supports that will help them develop college-ready skills. They will also be provided with the structure and support to accelerate the completion of their high school studies while earning at least 20 college credits by the time they graduate. The college courses will be offered at not cost to their families. These strategies will help increase not only high school graduation rates but also college completion rates for thousands of underrepresented students. The academic and social support these students receive in high school will remove their need for remedial classes when they reach college, and increase their potential to successfully complete college degrees.

CUNY has made college-sponsored learning opportunities for high school students an essential aspect of its efforts to better prepare students for success in college. The centerpiece of those efforts is College Now, which provides the opportunity for qualified students to take free college credit courses while still in high school. For those students not yet ready to take college-credit courses, College Now provides opportunities to develop the essential academic skills necessary for high school graduation and college preparedness. There is evidence that College Now is making a difference. More than 28 percent of public high school graduates entering CUNY in the fall of 2002 had been in College Now, with more than 32 percent in the fall of 2003. While CUNY's community colleges serve the majority of College Now students, most of those students enter baccalaureate programs after they graduate. This means that those students met the more stringent requirements for admission to those programs. Preliminary research indicates that College Now alumni are more likely to persist in their pursuit of a degree than other New York City public school graduates, as measured by their rates of re-enrollment for a third semester.

NYSED is in the process of preparing a Request for Proposal (RFP) to create a second cohort of Smart Scholars ECHS partnerships. The second cohort will be funded through the New York State budget.

In addition to developing the network of Smart Scholars Early College High Schools, NYSED has organized a Smart Scholars Advisory Council to help formulate State policies that will sustain these schools and facilitate transferability of credit for all New York college students. The advisory council will also identify best practices that can be applied to future ECHSs and that can address the achievement gap in a variety of school settings.

Partnership Zone

The Partnership Zone model leverages the power of a network to build capacity at both the school and district levels. An important lesson from our intervention work in New York City has come from the practices of successful charter management organizations, including Achievement First, KIPP, and Uncommon Schools, which have demonstrated the power of cross-school collaboration and sharing of data. Schools within and between these networks come together at the teacher- and principal-level to discuss instructional intervention strategies, share case studies, plan professional development, and analyze data. Other innovative programs to increase high school graduation and reduce dropout rates include Intervention Baccalaureate, Project Lead the Way, Say Yes to Education, and Advancement Via Individual Determination (AVID).

Three districts within New York have already begun implementing the principles of the innovative Partnership Zone model with their lowest-achieving schools. These examples are outlined in detail in Section (E), as well.

4. **New York City's Children First Initiative**, launched in 2002, is organized around the principles of a Partnership Zone. This initiative is based upon the lessons learned from the creation of a Chancellor's District in 1996. In the Chancellor's District, schools were provided with additional funding, 45-minute extension of the school day, and class-size reductions to 20 students in grades K–3 and 25 students in grades 4–8. The current Children's First Initiative is centered on the belief that autonomy

and accountability should lie with those closest to the decision being made—the principals. This autonomy is accompanied by strict accountability standards, with the ultimate goal being to create a new sense of empowerment for school leaders while creating an environment where local decision-making leads to successful outcomes in student performance. These reforms have achieved significant results, with the percentage of New York City students graduating with local or Regents diplomas increasing by more than 10 percent since 2002, the percentage of student’s proficient on the grades 3–8 English language arts State assessments increasing by 15 percent, and the percentage proficient in mathematics increasing by 30 percent. In 2007, New York City’s efforts were recognized when it received the prestigious Broad Prize for Urban Education.

5. **NYC Innovation Zone**, built on the success of the Children’s First Initiative, will be launched in the fall of 2010. Schools that are part of this Zone will pilot a set of innovations related to instructional delivery in the form of online courses and blended schools models; innovations that extend and improve learning time; and innovations in school and classroom staffing models that maximize the effectiveness of principals and teachers. The New York City Department of Education is working to create the Innovation Zone (“iZone”) in the fall of 2010 to challenge longstanding assumptions around “business as usual” in K–12 education. A total of 84 schools serving over 13,000 students have been selected to participate in the iZone this coming school year.

While most industries have experienced tremendous change over the past 50 years, our education system has remained remarkably static, adhering to the following set of 19th century assumptions that fail to fully engage and challenge students who have grown up in a digital world:

- **School Time:** The school calendar revolves around the harvest calendar and consists of 180 days per school year with approximately six hours of instruction per day.

- **Teacher Roles:** As part of one job, teachers are responsible for managing classrooms, delivering instruction, assessing performance, and presenting feedback to students; teacher compensation is tied to time on the job, rather than performance on the job.
 - **Instructional Delivery:** Students are grouped in similar cohorts of 25–30 students who move together through a set of classes taught by a single adult.
6. **The Syracuse City School District** has developed a comprehensive district-wide approach to school intervention focusing on providing schools with resources and autonomy. This approach has grown from a unique partnership that has been formed between Syracuse City School District, the non-profit organization “Say Yes to Education,” and Syracuse University, with the support of the NYS Governor’s Office and Education Department and the City of Syracuse. The Syracuse City School District has coordinated a system of school improvement, required classroom and LEA-level walkthroughs, and a formative assessment pilot with WestEd. The **Syracuse Say Yes** chapter is the first to embrace an entire city school district, making it the largest school improvement program of its kind in the nation. The Say Yes program promises higher graduation rates for students by providing a project-based enrichment curriculum that aligns with the Syracuse School District curricula. Talent development, enrichment and leadership opportunities, and family support services are also major components of the program.
7. **Rochester City School District (RCSD)** is providing increased flexibility to schools through its program, Autonomous Contract Schools. Strong-performing schools with high capacity are empowered with the flexibility to make certain decisions, requesting support from central administration on an as-needed basis. In addition, through its Office of School Innovation, RCSD is exploring practices that empower schools and support students, including differential pay for teachers. In addition, Rochester is the home of the **Hillside Family of Agencies** and the Hillside Work-Scholarship Connection (HW-SC). Hillside Family of Agencies is one of the largest non-profit agencies in New York State and has been a cornerstone of the Rochester

community for more than 170 years. Hillside provides services to over 9000 families across New York State each year. The Hillside Work-Scholarship Connection is an innovative program working with over 3000 high-risk students in the Rochester and Syracuse City school districts. Through its service system of mentoring, academic support, employment skills training, job placement, and student advocacy, HW-SC has more than doubled the graduation rates of high-need students in these communities. It has also supported students' academic growth and their access to post-secondary opportunities. HW-SC has established strong community collaborations in Rochester and Syracuse, which include businesses, civic leaders, other service agencies, government, and the school districts.

New York has many examples of innovative, autonomous and charter school models operating in communities across the State. The State is committed to learning from these leaders in education and expanding on lessons learned to replicate and expand on their success. A State law enacted in May 2010, authorizing boards of education to contract with educational partnership organizations (EPOs) to manage schools, offers a new framework within which the State can further promote innovative models (Chapter 103 of the Laws of 2010; Appendix E_2_ii); this new law is described further in Section (E).

(F)(3) Demonstrating other significant reform conditions (5 points)

The extent to which the State, in addition to information provided under other State Reform Conditions Criteria, has created, through law, regulation, or policy, other conditions favorable to education reform or innovation that have increased student achievement or graduation rates, narrowed achievement gaps, or resulted in other important outcomes.

In the text box below, the State shall describe its current status in meeting the criterion. The narrative or attachments shall also include, at a minimum, the evidence listed below, and how each piece of evidence demonstrates the State's success in meeting the criterion. The narrative and attachments may also include any additional information the State believes will be helpful to peer reviewers. For attachments included in the Appendix, note in the narrative the location where the attachments can be found.

Evidence for (F)(3):

- A description of the State's other applicable key education laws, statutes, regulations, or relevant legal documents.

Recommended maximum response length: Two pages

SUBSECTION (F)(3) OVERVIEW

As stated in Subsection (F)(1) above, New York has resources and supports to drive education reform at scale, and to significantly impact the State's public schools. In addition to the reform conditions and resources described above, New York State's interconnected network of educational services, all under the guidance and direction of the Board of Regents, provides a unique environment for fostering innovation and collaboration between LEAs, charter schools, museums, colleges, universities, and state agencies. Further, New York's Children's Cabinet, led by the Governor and focused on "from birth to age five" policies, leverages all of the State's resources in an efficient and effective manner to ensure young children are prepared for school. New York is a national leader in innovative career/technical education programs that graduate students at higher rates than traditional high school programs and prepare students for college and careers in the 21st century. New York recently adopted legislation allowing boards of education to contract with educational partnership organizations (EPOs) to manage schools identified as a persistently lowest-achieving, or

schools under registration review, for the purpose of turning the schools around. The combination of these significant reform conditions demonstrates that New York is experienced and capable of carrying out its ambitious Race to the Top reform agenda.

VISION	All students in New York will be prepared for college and careers that will allow them to be successful in the 21 st century global economy.
STRATEGIES	<ol style="list-style-type: none">1. Support innovative school models that foster educational reform and innovation and increase student achievement—particularly increasing graduation rates and narrowing achievement gaps.2. Leveraging the streamlined educational governance structure found in the Board of Regents to take full advantage of P–20 policy alignment and use of all available resources, including libraries, museums, institutions of higher education, and other cultural programs to enhance students' educational experience.3. Strengthen career/technical education programs, programs to prepare students for 21st century careers.
GOALS	<ul style="list-style-type: none">▶ All students will graduate in four years, ready for college and careers.▶ The achievement gap will be eliminated.▶ Successful practices from innovative school models will be shared with all educators.

New York State's educational system provides a complete, interconnected network of educational services all under the guidance and direction of the Board of Regents, who under Education Law §§ 101 and 201, serve as the governing board of the University of the State of New York (USNY), and the Commissioner of Education, who is also appointed as the President of USNY in accordance with 8 NYCRR §§ 3.5 and 3.6. Pursuant to Education Law §214, USNY encompasses all secondary and higher education institutions incorporated in the State and all libraries, museums, schools, cultural education institutions, and other education institutions that are incorporated by the Board of Regents or admitted to USNY. Under Education Law §216, the Regents incorporate or charter museums, libraries, colleges, universities, and other educational institutions, and no such institutions can be incorporated under other laws without the consent of the Regents or the Commissioner. As a result, USNY provides an extraordinary opportunity to employ a

large number of institutions to solve problems of education reform and innovation in order to increase student achievement and graduation rates, narrow achievement gaps, or pursue other important outcomes. As such, USNY is uniquely situated to enact conditions favorable to education reform.

As mentioned in Section (E), LEAs that wish to implement a restart model may also contract with the State University of New York per Section 355(2)(n) of Education Law, or the City University of New York (CUNY) per Section 2590-k of Education Law, for management of lowest-achieving schools. The New York City Board of Education is preparing to enter into an agreement with SUNY for management of low-performing schools in Harlem, as part of an i3 grant proposal. This arrangement will provide valuable information on how districts can utilize the knowledge and capacity of SUNY and CUNY as Intervention Partners.

Examples of the Regents' determination to raise student achievement and graduation rates are their 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 PreK–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

The goal of the Cabinet's activities is to strengthen the beginning of the education pipeline and ensure that all young children in New York are prepared for the rigors of schooling.

Career and Technical Education

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.

Across the state, New York's CTE programs enroll approximately 40,000 students. The largest concentration of CTE programs is in New York City, which hosts programs in 125 schools throughout the city. CTE has been championed and supported in the City by the Mayoral Taskforce on Career and Technical Education Innovation, which has worked with the State Education Department to gain NYSED approval of just over 80 programs in the City.

Most CTE programs are primarily coordinated and supported through the State's 37 Boards of Cooperative Educational Services (BOCES). In June 2005, New York launched the CTE Resource Center, housed at Questar III BOCES. The focus and scope of the

center includes all career and technical education high schools in New York, including high need and urban schools. Assistance is provided at no cost. To date, the CTE Resource Center has provided:

- professional development;
- technical assistance and a framework of proven strategies and recommended curriculum to increase student achievement on state assessments; and
- the latest research and school efforts demonstrating successful practices; and, meetings, workshops and conferences as well as materials, specifically designed to increase student achievement.

NYSED plans to widen the scope of the Center through a competitive RFP process this summer, launching a new and improved CTE Resource Center in the winter of 2010.

Next Generation of Learners

New York's efforts to advance innovation and the conditions that promote innovation were bolstered in April when the State was competitively selected to host an Innovation Lab as part of the Council of Chief State School Officers' (CCSSO) Next Generation Learners (NxGL) initiative. With generous support from the Stupski Foundation, New York was one of six states selected to work to create a personalized system of education that engages and motivates each child to be prepared for life, meaningful work, and citizenship. Closely aligned to the Regents' priorities and the State's RTTT plan, the initiative concentrates on the elements of education that have direct bearing on students and their learning experiences, and focuses on learners and learning, rather than on schools and schooling, in four program areas: early childhood; expanded learning opportunities; virtual learning; and Individuals with Disabilities Education Act partnerships.

Through this initiative, New York will receive the following supports: collective state action to ensure sustainability and support for new system implementation and public will-building; information sharing for change through an open-architected knowledge platform

to enable the Innovation Labs to learn from new research and one another; innovation design expertise from various national and international sectors to co-develop new system designs; system design tools to assist in the transition to new systems at the state and district levels and to develop change management processes for leaders; and a research development and dissemination (RD&D) agenda to conduct rigorous analyses of existing examples of next-generation learning and synthesize what is learned.

Funding secured through Race to the Top will help to focus the tremendous opportunities within USNY and engage its members in additional transformational approaches to address major education reform areas for improving student achievement, reducing the achievement gap and raising graduation rates. Three examples of the opportunities that USNY presents are:

Providing universal access to libraries, museums, archives, and other cultural institutions is an important strategy for minimizing the gaps in educational opportunities and experiential learning. The Office of Cultural Education (OCE) is comprised of New York State Research Library, Museum, Archives and Public Broadcasting. In addition to its collection stewardship and public programs, OCE administers chartering, technical assistance, program coordination, and grant and aid programs serving 7,000 public and academic libraries, and 73 library systems; museums, historical societies, zoos, aquaria, botanical gardens, science centers, and other similar organizations; 26 public radio and television stations; 3,000 historical records repositories; and 4,500 local government units. The OCE also operates the Talking Book and Braille Library (TBBL), which provides reading material (books in Braille and recorded media) to over 54,000 eligible readers who are visually impaired, physically disabled, or learning disabled.

Institutes of High Education (IHE) provide extensive support to schools and students, especially through opportunities for middle and high school students to interact with colleges and take courses that carry college credit as well as high school credit. This is one of New York's strongest and most successful reform efforts. New York has a 35-year history of encouraging cooperation between LEAs and IHEs. The oldest early college high school in the State has been in operation since 1974. This year, NYSED received a \$6 million grant from the Gates Foundation to support the development of 11 early college high schools

statewide, serving more than 2,700 students, operated by LEAs in cooperation with IHEs. Existing early college high schools are operated by CUNY colleges and by private IHEs (e.g., Bard College). In 2007, more than 60,000 high school students benefited from cooperation between LEAs and IHEs: CUNY's College Now program served more than 30,000 students in 230 New York City public high schools; another 30,000 high school students, statewide, took college credit courses from SUNY campuses that year. Programs such as the 23-year-old NYSED-administered Science and Technology Entry Programs (collaborations between IHEs and LEAs) and the NYSED-administered Liberty Partnerships Program (55 IHEs collaborate with LEAs to provide comprehensive pre-college dropout prevention services to at-risk middle and high school students) effectively raise graduation rates and college enrollment rates of participants above statewide averages.

Transforming Teaching and Learning and School Leadership. Within NYSED, the Office of Higher Education (OHE) recommends and implements higher education policies, provides oversight, monitors the quality of the State's higher education system, and promotes access to higher education for all New York State citizens. The State's higher education system encompasses 270 colleges and universities, and 246 non-degree proprietary schools. OHE manages the licensing and certification of teachers, coordinates the State's efforts to ensure standards for academic excellence and performance in higher education, implements the statutory requirements that protect the educational and financial interest of students attending New York State institutions, and administers a variety of grant programs that provide access to higher education for those individuals who are under-represented and under-served. Collaborations between higher education, elementary and secondary education, with assistance from museums, libraries and public broadcasting stations, will be critical in transforming the teaching, learning, and school leadership necessary to close student achievement gaps and promote excellence in learning.

Finally, in May 2010, a new State law was enacted authorizing boards of education to contract with educational partnership organizations to manage schools identified as a persistently lowest-achieving, or schools under registration review, for the purpose of turning the schools around (see Chapter 103 of the Laws of 2010; Appendix E_2_ii). The EPO would assume the duties of the superintendent with respect to the school, making recommendations to the board of education regarding the educational program,

budgetary decisions, staffing decisions, student discipline, and decisions on curriculum and determining the daily schedule and the school calendar, consistent with collective bargaining agreements.

In summary, conditions are right for school reform in New York State. The Race to the Top does not mean a new direction for New York, but an acceleration of work already underway.

COMPETITION PRIORITIES

Priority 1: Absolute Priority -- Comprehensive Approach to Education Reform

To meet this priority, the State's application must comprehensively and coherently address all of the four education reform areas specified in the ARRA as well as the State Success Factors Criteria in order to demonstrate that the State and its participating LEAs are taking a systemic approach to education reform. The State must demonstrate in its application sufficient LEA participation and commitment to successfully implement and achieve the goals in its plans; and it must describe 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.

The absolute priority cuts across the entire application and should not be addressed separately. It is assessed, after the proposal has been fully reviewed and evaluated, to ensure that the application has met the priority.

Priority 2: Competitive Preference Priority -- Emphasis on Science, Technology, Engineering, and Mathematics (STEM). (15 points, all or nothing)

To meet this priority, the State's application must have a high-quality plan to address the need to (i) offer a rigorous course of study in mathematics, the sciences, technology, and engineering; (ii) cooperate with industry experts, museums, universities, research centers, or other STEM-capable 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 (iii) prepare more students for advanced study and careers in the sciences, technology, engineering, and mathematics, including by addressing the needs of underrepresented groups and of women and girls in the areas of science, technology, engineering, and mathematics.

The competitive preference priority will be evaluated in the context of the State's entire application. Therefore, a State that is responding to this priority should address it throughout the application, as appropriate, and provide a summary of its approach to addressing the priority in the text box below. The reviewers will assess the priority as part of their review of a State's application and determine whether it has been met.

Recommended maximum response length, if any: One page

Priority 2: Competitive Preference Priority – Emphasis on Science, Technology, Engineering and Mathematics (STEM).

This proposal demonstrates throughout that New York has the desire, the commitment, the strategies and the resources to raise the level of achievement for all of our schoolchildren by dramatically improving the ways in which we train our teachers and educate our students. This will be particularly true in the STEM disciplines. With some of the most prestigious STEM universities at our disposal (Rensselaer Polytechnic Institute , Rochester Institute of Technology, Clarkson University, and the University at Albany College of Nanoscale Science and Engineering), learning standards in Mathematics, Science, and Technology, and Career Development and Occupational Studies in place since 1996 and a professional development network that can implement the necessary training, New York State will dramatically enhance STEM access and education using Race To The Top funds.

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 sparked 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.

New York's proposed plan for RTTT funding would incorporate STEM elements into execution of the four assurances:

- Enhanced Standards and Assessments
 - Implement the new Common Core mathematics standards. (Section B)
 - Revise and strengthen the state's science standards and assessments. (Section B)
 - 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. (Section B)
 - 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. (Section B)
 - Review and scale-up initiatives for all students, but particularly underrepresented groups, including minorities and women.
- 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 [Section C(2)]
- 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 our highest poverty, lowest achieving schools. (Section A)
 - Provide financial incentives for teachers to be certified in STEM disciplines and to teach in high-need schools. (Section A and Section D)

- 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. (Section D)
- 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. (Section D)
- 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. (Section D)
- Collaborate with such networks 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. (Section A)
- Train teachers from targeted LEAs (as determined by data analysis) to prepare them to implement AP programs within their respective schools. [Section D(1)]
- 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. (Section A)
 - Strengthen partnerships with institutions of higher education whose focus is science; coordinate effective design of online learning for STEM courses (Section A)
 - Set targets and goals to increase achievement, particularly for historically underperforming groups in science and mathematics. (Section 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. (Section A)
- Increase students’ access to career and technical education programming, focusing on mathematics and science. (Section E, section F)
- 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. (Section A)
- Provide access to high quality virtual STEM courses for students in low performing schools (Section E, Regents Action Item, December, 2009)
- Provide intensive professional development to teachers who will teach in an online environment (Section E)

STEM Projects Included in New York’s RTTT Budget

Project Name	Project Description	Budgeted Amount	Budget Source
Summer STEM AP for high-needs students	<p>These grants are for the highest poverty and lowest performing LEAs in New York State to close the achievement gap and increase graduation rates. These extended learning opportunities in STEM include after school, weekend, and summer enrichment programs, as well as summer residential programs at colleges and universities.</p> <p>The funds are for middle and high school level students that are economically disadvantaged and low performing (levels 1&2 on state assessments in the area of mathematics). These academic enrichment experiences must encompass in-depth study; creative, hands-on learning that fosters higher-level thinking, cooperative learning, and advanced problem solving. The goal is to help students develop an appreciation of and confidence in their ability to excel and succeed in school and aspire to achieve a college education.</p>	\$27.7 MM	Title I 1003(g) Carryover

New York State: Race to the Top: Selection Criteria and Competition Priorities

Project Name	Project Description	Budgeted Amount	Budget Source
STEM AP training and professional development for teachers	These grants are to enable the highest poverty and lowest performing (based on performance on state assessments) LEAs in New York State to provide professional development for middle and high school level teachers to develop curricula and instructional strategies for teaching Advanced Placement (AP) or college-level (type) courses	\$9.5MM	Title I 1003(g) Carryover
Incentive Fund for STEM Certification and High Needs School Placement	<p>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), and for the new expedited pathway for individuals with advanced degrees in the STEM areas to teach in high need schools.</p> <ul style="list-style-type: none"> • Teacher retention – supplemental compensation for STEM certified teachers to remain in low performing schools serving high poverty and minority student populations. Teachers must also remain highly qualified • Transfer Fund – supplemental compensation for STEM certified teachers to transfer to low performing schools serving high poverty and minority student populations. 	\$69MM	RTTT Teacher Retention Fund RTTT Teacher Transfer Fund
Virtual Courses in core and AP STEM related subjects	This grant will provide virtual STEM courses and related professional development to high needs rural and urban areas and will prioritize providing access to persistently lowest achieving schools and schools with high levels of poverty and high numbers of underrepresented groups.	Included in the \$22MM Virtual School Network Budget	RTTT

See Appendix CP_1 for other examples of existing STEM initiatives statewide compiled by the Governor’s STEM Work Group.

Conclusion

New York is committed to improving the existing synergy between STEM and school districts’ curricula. Student learning and achievement in STEM disciplines will continue to be enhanced to target all students, especially those in low-performing schools and underrepresented groups and of women and girls, through education and career attainment in STEM fields.

NYSED will emphasize STEM by reviewing, revising, and adopting world class standards in the STEM disciplines: the sciences, technology, engineering, and mathematics (common core). These standards will be supported by state-wide curriculum and professional development to ensure the implementation of rigorous and relevant STEM courses that will reach all students. Student achievement of these standards will be measured, in part, by aligned, rigorous assessments that include more performance-based activities and open-ended questions. The data collected from these assessments will be used by state policymakers to make informed decisions about policy related to STEM education and to assess the effectiveness of efforts to reach underrepresented groups and of women and girls. NYSED will support participating schools as they develop innovative models in collaboration with institutes of higher education, business leaders in local communities, the state's world-class museums, including NY City's Museum of Natural History, and other partners. By providing a statewide network of virtual courses, NYSED will provide course makeup opportunities (Regents Action Item, March 2010) and initial acquisition of credit in STEM disciplines, will open alternative pathways to completing graduation requirements, and will allow more opportunities for all students to take advanced courses of study in the STEM disciplines (including Advanced Placement courses).

Race to the Top presents the opportunity for New York State to build upon the foundation of innovative programs and extensive network of partners to broaden, strengthen, and enhance New York's ability to meet the needs of all students (Appendix CP-1 contains a summary of programs). By addressing all of the State's students while also targeting the persistently lowest achieving schools in these initiatives, we are purposefully targeting those populations underrepresented in the STEM fields to ensure that all of New York's schoolchildren have access to and opportunities in these fields.

Priority 3: Invitational Priority – Innovations for Improving Early Learning Outcomes *(not scored)*

The Secretary is particularly interested in applications that include practices, strategies, or programs to improve educational outcomes for high-need students who are young children (prekindergarten through third grade) by enhancing the quality of preschool programs. Of particular interest are proposals that support practices that (i) improve school readiness (including social, emotional, and cognitive); and (ii) improve the transition between preschool and kindergarten.

The State is invited to provide a discussion of this priority in the text box below, but such description is optional. Any supporting evidence the State believes will be helpful must be described and, where relevant, included in the Appendix. For attachments included in the Appendix, note in the narrative the location where the attachments can be found.

Recommended maximum response length, if any: Two pages

New York State has made a strong commitment to early learning. In 2007-08 there was a 50 percent increase in funding for prekindergarten programs, which increased the total investment to \$435 million. During the past five years, there has been a 135 percent increase in districts implementing prekindergarten programs (450 out of 677 districts) and 96 percent of districts now offer full day kindergarten. Having increased access to programs, New York State will move forward to ensure high quality programs regardless of settings. The service delivery system for early learning is diverse and extremely varied in New York. New York State will address school readiness and transitions between preschool and kindergarten by building on current initiatives and policies. The goal of the following initiatives is to ensure that transitions to school are focused on school readiness for young children (ages 4 – 6) and preparing a strong foundation for academic success.

- New York State will assume a leadership role in establishing world class internationally benchmarked early learning standards for prekindergarten and kindergarten to improve school readiness:
 - Engage content area experts to review standards for alignment with the Common Core K– 3 ELA and math standards.
 - Benchmark prekindergarten standards to international standards.

- Ensure that 21st century skills are embedded in prekindergarten standards.
- Develop a comprehensive assessment protocol and data system for PreK –3.
 - Develop an appropriate assessment system consisting of screening, on-going progress monitoring (formative) and outcome assessment for prekindergarten and kindergarten across all settings, with a particular focus on early literacy and mathematical reasoning skills.
 - Phase in an assessment system for grade 1-2 within three years.
 - Develop a data system for prekindergarten, linked to the P–16 data system to include community based organizations. The data system will include information on individual student’s developmental progress.
- Develop early childhood professional development and technical assistance initiative.
 - Develop an on-line early childhood component for the current on-line literacy academy developed under Reading First.
 - Develop an early childhood self-assessment tool for districts to assess the effectiveness of their prekindergarten to kindergarten transitions. Components of the self assessment would include:
 - A quantitative and qualitative analysis of the feeder system used by families prior to entering prekindergarten or kindergarten.
 - Analysis of shared professional development for early childhood staffs of school districts and community organizations to determine if they are receiving knowledge that is helping them provide appropriate instruction to students.
 - Analysis of how data is used for instructional improvement in prekindergarten and kindergarten classes.
- A public report card for each district and school developed by the NYSED. An early childhood component will be added to this document.

- New data could include attendance in prekindergarten and kindergarten and other school readiness indicators.
- Development of a tool for parents' use in identifying high quality settings in prekindergarten.

Priority 4: Invitational Priority – Expansion and Adaptation of Statewide Longitudinal Data Systems *(not scored)*

The Secretary is particularly interested in applications in which the State plans to expand statewide longitudinal data systems to include or integrate data from special education programs, English language learner programs, early childhood programs, at-risk and dropout prevention programs, and school climate and culture programs, as well as information on student mobility, human resources (*i.e.*, information on teachers, principals, and other staff), school finance, student health, postsecondary education, and other relevant areas, with the purpose of connecting and coordinating all parts of the system to allow important questions related to policy, practice, or overall effectiveness to be asked, answered, and incorporated into effective continuous improvement practices.

The Secretary is also particularly interested in applications in which States propose working together to adapt one State’s statewide longitudinal data system so that it may be used, in whole or in part, by one or more other States, rather than having each State build or continue building such systems independently.

The State is invited to provide a discussion of this priority in the text box below, but such description is optional. Any supporting evidence the State believes will be helpful must be described and, where relevant, included in the Appendix. For attachments included in the Appendix, note in the narrative the location where the attachments can be found.

Recommended maximum response length, if any: Two pages

NYSED has made significant enhancements to its existing data system, moving to a next generation data system that will support all data elements required by the America Competes Act, provide for an instructional improvement system, support a principal and teacher evaluation system and create transparent performance profiles for districts and schools, and principal and teacher preparation programs. These enhancements, both completed and planned, include the following components:

- **The ability to link teachers and other professionals to their students (now in effect).** This link enables all of the following:
 - Analysis of the effectiveness of teacher preparation programs and teacher certification processes.

- Creation of a principal and teacher evaluation system by linking teachers to their student's assessment results. Like all other data in the P-20 system, these data will be made public.
- **Expansion of data on English Language Learners (ELLs) (planned).** New York State is expanding the data elements collected on ELLs to over 25 data elements. This expansion will enable all of the following:
 - A detailed profile of the ELL that will inform policy on instructional practices.
 - A full analysis of the phenomenon of the Students with Interrupted Formal Education. This will provide policy makers with profiles for identification of such students, strategies for preventing this occurrence, and instructional strategies for dealing with the outcome of this experience.
- **Inclusion of systematic survey results on the school environment (planned).** Surveys of school climate, with school ratings based in part on results, have been shown to be effective in Cleveland, Chicago, and New York City.
- **Creation of a system to track student progress throughout P-20 with an accompanying “Early Warning System” (planned).** This overall reporting system will identify patterns of performance and behavior that are predictive of failure and the likelihood of a student becoming a dropout, not being prepared for college and career, or potential failure to complete postsecondary programs.
- **Creation of a full P-20 system (higher education links now in effect; links with State agencies planned).** New York State has linked the NYSED data system to the comprehensive data systems for its two public university systems: the State University of New York (SUNY) and the City University of New York (CUNY). Data from public and private higher education institutions throughout the nation are stored in the NYSED data system through a data exchange agreement with the National Student Clearinghouse. In a parallel effort, NYSED is working with the State Department of Labor, Office of Children and Family Services, Department of Health, Department of Mental Health, and Office of Criminal Justice Services. The combined Chief Information Officers (CIOs) of these agencies shall decide how to link student information, first through

matching and then through a common identification number that will follow individuals throughout their lives. Once this is completed, the State agencies will link these databases into a full P-20 data system.

- **The expansion of a version of the P-20 longitudinal data system designed specifically to support research and policy analysis (planned). Data is already made widely available to researchers; these efforts will be expanded).** This database will:
 - Comply with Family Educational Rights and Privacy Act (FERPA) requirements and all other applicable privacy and confidentiality requirements by stripping all personally identifiable information from the database.
 - Be available to all State policy makers, researchers, and the public through a series of pre-formed and pre-aggregated data sets.
 - Ensure disaggregated data is available to researchers in accordance with NYSED's data governance procedures.

As described in Section C, NYSED has secured resources to support this work through its receipt of an IES2 grant and a state capital allocation of \$20.4 million included in the historic education reform legislation passed on May 28, 2010.

Priority 5: Invitational Priority -- P-20 Coordination, Vertical and Horizontal Alignment *(not scored)*

The Secretary is particularly interested in applications in which the State plans to address how early childhood programs, K-12 schools, postsecondary institutions, workforce development organizations, and other State agencies and community partners (*e.g.*, child welfare, juvenile justice, and criminal justice agencies) will coordinate to improve all parts of the education system and create a more seamless preschool-through-graduate school (P-20) route for students. Vertical alignment across P-20 is particularly critical at each point where a transition occurs (*e.g.*, between early childhood and K-12, or between K-12 and postsecondary/careers) to ensure that students exiting one level are prepared for success, without remediation, in the next. Horizontal alignment, that is, coordination of services across schools, State agencies, and community partners, is also important in ensuring that high-need students (as defined in this notice) have access to the broad array of opportunities and services they need and that are beyond the capacity of a school itself to provide.

The State is invited to provide a discussion of this priority in the text box below, but such description is optional. Any supporting evidence the State believes will be helpful must be described and, where relevant, included in the Appendix. For attachments included in the Appendix, note in the narrative the location where the attachments can be found.

Recommended maximum response length, if any: Two pages

NYSED is working with social service agencies, workforce development organizations, health agencies, criminal justice agencies, and community organizations to coordinate all parts of education, from early childhood through graduate school. The goal is to create a P-20 system that will follow individuals from birth through adulthood and provide the support needed to improve education and other life outcomes.

There currently is a lack of shared knowledge among all the agencies and stakeholders who are responsible for children and adults. Therefore, the essential bases of this P-20 coordination must be: the seamless sharing of information through a multi-institutional database, and follow-up actions developed through an analysis of that information. NYSED's major tool will be a continuously updated electronic transcript that will follow an individual from early childhood through all aspects of education and into the

workforce and include an “early warning system” of data indicators that will enable each agency or organization within the system to intervene early, as soon as the individual appears to need help.

NYSED participates in three diverse workgroups of state agencies and institutions and community and advocacy organizations. Each participating state agency has close ties with and oversight of comparable local agencies (e.g., the state Department of Health and local health departments).

- **The Early Childhood Advocacy Council** consists of the state agencies in child health and welfare and education, as well as representatives of cultural institutions, Head Start and day care, community groups, and advocacy organizations. The New York State Board of Regents, which has authority for education policy, adopted a comprehensive policy on early education in 1996. More recently, the executive branch created a Children’s Cabinet to promote children’s health and welfare. The Early Childhood Advocacy Council is one outgrowth of both of these initiatives. NYSED and the state Office of Children and Family Services created a Quality Rating System for early child care and education settings. NYSED has also developed draft prekindergarten standards and, with its partners, is now creating new birth to age 3 early learning standards. The Council is developing a process for sharing important data on children as they progress from birth to age 4, when they join the prekindergarten system. The data would be uploaded to every school’s database and ultimately become part of NYSED’s statewide database.
- **The State Agency Workgroup on Information Sharing.** The chief information officers of NYSED and other major state agencies (departments of labor, corrections, taxation, health, children and family services, and temporary and disability assistance) have partnered to create a protocol for sharing and matching data and transmitting it horizontally and vertically throughout the state government system.

- **Executive Committee for a Statewide P-16 Data System.** NYSED, the State University of New York (SUNY), the City University of New York (CUNY), and the New York City Department of Education and other school districts began over a year ago on a collaboration to create a P-16 data system. This effort has been financed in part by the Bill & Melinda Gates Foundation and a grant from the U.S. Education Department's Institute of Education Sciences. NYSED, SUNY and CUNY are developing common student identifiers, course code designations, and other means to match and integrate data from P-12 through college and graduate school.

The data that will be produced from these collaborations will help ensure vertical alignment, especially the transfer of knowledge at all key points where a transition occurs between earliest childhood agencies (e.g., Head Start and day care) and prekindergarten, between elementary school and middle school, between middle school and high school and between high school and college and careers. Agencies and schools will be able to access critical information about each student at each transition point, which will guide their intervention strategies as needed. From all this data collection will come a dashboard of critical indicators tailored to each stage of a child's development that will form an early warning system. For example, at the early childhood stage, health will be a major factor, as will achievement of basic learning standards (such as knowledge of the alphabet). Attendance will be an increasingly important indicator as the student progresses through the education system. Different types of assessments will be included and monitored. The system will be horizontally aligned through the involvement of partner state agencies, local agencies and community organizations, all of which will have access to and supply data.

Priority 6: Invitational Priority -- School-Level Conditions for Reform, Innovation, and Learning *(not scored)*

The Secretary is particularly interested in applications in which the State’s participating LEAs (as defined in this notice) seek to create the conditions for reform and innovation as well as the conditions for learning by providing schools with flexibility and autonomy in such areas as—

- (i) Selecting staff;
- (ii) Implementing new structures and formats for the school day or year that result in increased learning time (as defined in this notice);
- (iii) Controlling the school’s budget;
- (iv) Awarding credit to students based on student performance instead of instructional time;
- (v) Providing comprehensive services to high-need students (as defined in this notice) (*e.g.*, by mentors and other caring adults; through local partnerships with community-based organizations, nonprofit organizations, and other providers);
- (vi) Creating school climates and cultures that remove obstacles to, and actively support, student engagement and achievement; and
- (vii) Implementing strategies to effectively engage families and communities in supporting the academic success of their students.

The State is invited to provide a discussion of this priority in the text box below, but such description is optional. Any supporting evidence the State believes will be helpful must be described and, where relevant, included in the Appendix. For attachments included in the Appendix, note in the narrative the location where the attachments can be found.

Recommended maximum response length, if any: Two pages

NYSED has a comprehensive plan across the four assurance areas that will build on existing conditions for school-level reform and innovation within New York’s LEAs. Through state policy flexibility, innovative LEA policies, and creative local collective bargaining agreements (each described below and in Sections E and F), schools have been provided with flexibility and autonomy in such areas as selection of staff, increased learning time, budgetary control, awarding of credit based on performance, creation of school climates that engage students and increase academic achievement, and in implementation of community and family engagement strategies focused on supporting the academic success of students. New York will use Race to the Top to fund a competitive grant process that will give LEAs the resources needed to provide comprehensive services to high-need students through

Full Service School Models and community based organizations. Landmark legislation passed on May 28, 2010 authorizing Educational Partnership Organizations to manage schools directly provides an additional tool to engage partner organizations – with proven track records of raising the achievement of high needs students – in transforming the state’s persistently lowest achieving schools and schools under registration review (SURR). NYSED’s statewide structure of school support will enable expansion of flexibility and autonomy through its Office of Innovative School Models and a partnership with Mass Insight Education, a nonprofit organization that creates strategies to transform public schools into high performance organizations and close the achievement gaps.

LEAs, Boards of Cooperative Educational Services (BOCES), and institutions of higher learning have provided these flexibilities and autonomies to schools:

1. **New York City Department of Education’s Children First Initiative**, launched in 2002, is centered in the belief that autonomy and accountability should lie with those closest to the decisions being made – the principals. This autonomy is accompanied by strict accountability standards, with the ultimate goal being to create a new sense of empowerment for school leaders and an environment in which local decision-making leads to successful outcomes in student performance. The NYCDOE’s efforts were recognized when it received the prestigious Broad Prize for Urban Education in 2007. NYCDOE plans to build on the success of Children First in the fall of 2010 by creating an Innovation Zone (“iZone”). Schools that are part of this iZone will pilot a set of innovations related to: instructional delivery in the form of online courses and blended schools models; extending and improving learning time; and school and classroom staffing models that maximize the effectiveness of principals and teachers. A total of 84 schools serving over 13,000 students have been selected to participate in the iZone this coming school year.

2. **The Syracuse City School District** has developed a comprehensive district-wide approach to school intervention focusing on providing schools with resources and autonomy. This approach is based on a coordinated system of school improvement, required classroom and LEA walkthroughs and a formative assessment pilot with West Ed, a nonprofit organization that develops research-based programs, intervention strategies and other resources. **Syracuse Say Yes** is the first program to embrace an entire city school district, making it the largest school improvement program of its kind in the nation. Say Yes promises higher graduation rates for students by providing a project-based enrichment curriculum that aligns with the Syracuse School District curricula. Talent development, enrichment and leadership opportunities, and family support services are also major components of the program.
3. **Rochester City School District** is providing increased flexibility to schools through its program, Autonomous Contract Schools. Strong-performing schools with high capacity are empowered with the flexibility to make certain decisions, requesting support from central administration as needed. The Rochester City School District has worked with the Rochester Teachers Association to create flexibility in collective bargaining agreements for Autonomous Contract Schools. Each Autonomous Contract School may adopt a plan that exempts it from particular collective bargaining provisions, provided that the plan has been approved by the School Level Living Contract Committee, composed of the principal and teacher union representatives. Through the plan, schools can seek flexibility for determining professional duties for teachers, school and group accountability, and compensation for teachers for non-school-day activities. In addition, RCSD is exploring other practices that empower schools and support students, including supplemental compensation for teachers.
4. **Tech Valley High School**, in Rensselaer, is a leading example of an innovative approach to public education. Tech Valley High School is a joint program of two Boards of Cooperative Educational Services (BOCES), authorized in law (see Appendix F_2_v_1), that offers a grades 9-12 high school course of instruction dedicated to providing expanded learning opportunities in technology and the core academic subjects required for a high school diploma. The school's mission is to engage a broad

spectrum of students in rigorous and enriching educational experiences focused on emerging technologies, project-based learning and collaboration, provided through linkages with high-tech businesses that will foster a direct connection between student learning and real world experience in advanced technical facilities. The school's governing board has authority to employ its own joint officers and employees, determine the curriculum, determine the school calendar and daily schedule and adopt its budget, subject to approval of both BOCES. The school has the flexibility to contract with private and for-profit and nonprofit entities to carry out its supplemental innovative technological activities.

5. **The College Board School: The Palisade Preparatory School** in Yonkers was established in collaboration with the Bill & Melinda Gates Foundation. The school offers a college preparatory program serving grades 6, 7, 9, and 10. The school will expand to grades 6 to 12 in September 2011. The school offers Springboard Mathematics and English Language Arts, a unique program designed around the rigorous College Board Standards for College Success, that prepares students in grades 6-12 to master the critical thinking, reasoning, and writing skills and competencies needed for success with college work. The school is supported by fully integrated, cutting-edge technology in every element of teaching, learning, and operations.
6. **NYSED** is developing a network of **Early College High Schools**. Eleven school-to-college partnerships across the state are in the process of planning their respective ECHSs, which will open in the fall of 2010. Approximately 2,570 students will be served. These schools are being designed for students from backgrounds traditionally underrepresented in college. The students will receive extensive academic and social supports that will help them develop college-ready skills. They will also be provided the structure and support to accelerate the completion of their high school studies while earning at least 20 college credits by the time they graduate. The college courses will be offered at no cost to their families. These strategies will help increase not only high school graduation rates but also college completion rates for thousands of underrepresented students. The academic and social supports these students receive in high school will eliminate the need for remedial classes when they reach college, and increase their potential to successfully complete college.

7. **College Now**, a program created by the City University of New York (CUNY), provides the opportunity for qualified students to take, for free, college credit courses while still in high school. For students not yet ready to take college credit courses, College Now helps develop the essential academic skills necessary for high school graduation and college preparedness. There is evidence that College Now is making a difference. More than 28 percent of public high school graduates who entered CUNY in the fall of 2002 and more than 32 percent who entered in the fall of 2003 had been in College Now. While CUNY's community colleges serve the majority of College Now students, most of those students enter baccalaureate programs after they graduate. This means that those students met the more stringent requirements for admission to those programs. Preliminary research indicates that College Now alumni are more likely to persist in their pursuit of a degree than other New York City public school graduates, as measured by their rates of re-enrollment for a third semester.

To extend and build on the work of LEAs and institutions of higher education, the New York State Education Department and the Board of Regents will pursue several initiatives that will increase flexibility and autonomy within schools. The Board of Regents has supported changes to policy to specifically support innovation in school turnaround and district portfolio development. The Board of Regents took these actions in the last year:

- Established the offices of Innovative School Models and District Services.
- Allowed new schools to seek a variance from NYSED regulations when they are registered by the Board of Regents that enables them to organize their instructional programs in innovative ways.
- Expanded the means by which students can earn high school credit based on completion of competencies, including the achievement of credit through virtual and on-line courses. Credit is based on student performance instead of instructional time. The Board of Regents has authorized several ways that students can earn credits (e.g. exams and independent study).

- Approved the creation of a competitive Innovative Secondary Schools Model Incentive Fund to support the turnaround of 25 low-achieving schools. This fund will serve as an incentive for eligible school districts with schools in improvement, corrective action, or restructuring status, but which have not yet been identified as persistently lowest-achieving, to implement innovative new models in partnership with higher education institutions, local business leaders, full-service school partners, and other for-profit and nonprofit organizations to support, stimulate, re-engage, and sustain customized pathways to high school completion. The fund will focus on creating new models centered on STEM, virtual high schools, transfer schools serving students who are over-age and lacking enough credits to graduate, schools for the arts, career and technical schools, museum schools, and language acquisition schools. Selected LEAs with Tier III schools, as defined in section 1003(g) of ESEA, will be eligible to apply for up to \$500,000 to open an innovative model school or program as long as they commit to use a portion of their RTTT participating LEA allocation for implementation.

As mentioned above, LEAs will also be able to provide their schools with more flexibility and autonomy through the use of educational partnership organizations, called Intervention Partners. Under the new law passed on May 28, 2010, the board of education of a school district or the chancellor of the New York City Department of Education can contract with an educational partnership organization (intervention partner) selected through a rigorous review process consistent with NYSED regulations, for a term of up to five years, to manage a School Under Registration Review (SURR) or a persistently lowest-achieving school for the purpose of intervention for school turnaround. The intervention partner will assume the duties of the superintendent of schools with respect to the school, including making recommendations to the board of education to implement the educational program, and about the budget, staffing, student discipline, curriculum decisions, daily schedule and school calendar, consistent with collective bargaining agreements.

Building upon such existing efforts in New York State as the Harlem Children Zone schools and the Children's Aid Society schools, New York will allocate \$5 million of Race to the Top funds to support a competitive application to create "full service" school

models. Under this competitive application, 10 schools will receive \$500K over a three year grant period to provide comprehensive services to high need students. A goal of the competition is to develop models for use in urban, suburban, and rural high need communities as well as at the elementary, middle, and high school levels. Preference will be given to districts that develop plans for an aligned system of K-12 “full service” support for students.

The Board of Regents issued a *Policy Statement on Improving Student Achievement and School Performance through Parent and Family Partnerships* (January 2007) to ensure that successful family partnerships are created so families and communities are actively engaged in supporting the academic success of their students. This policy recommends that:

- parents and families be encouraged to fully engage in and contribute to the academic development of their child and to the school’s learning environment;
- schools and districts inform parents of their rights and responsibilities in a manner that is clear, courteous, consistent, and in a language that they understand;
- schools and districts create opportunities for parents and families to support academic achievement;
- each school board develop and implement a comprehensive parent partnerships policy that ensures that every school develop and implement an effective plan for parental and family engagement
- NYSED develop and implement a plan for interagency collaboration in support of family partnerships;
- NYSED include, where appropriate, a parent and family involvement component in all policy and program initiatives;
- appropriate institutions be encouraged to develop and implement a parent and family education and outreach program.

Finally, New York will expand Partnership Zones: clusters of lowest-performing schools that retain the benefits of being part of a school district but are free from many of the restrictions on traditional school operations. Partnership Zone schools remain inside the district and can continue to access many central office services. New York is one of six states collaborating with Mass Insight

Education in a multi-year, \$70 million public-private partnership to create Partnership Zones. Partnership Zone schools are not required to follow all district policies and procedures in making decisions about staffing, scheduling, curriculum and compensation (to the extent agreed upon through the district’s collective bargaining agreement). This flexibility has been proven to empower educators to be more innovative, dynamic, and responsive to the needs of their students. In return, they are held accountable for dramatic student achievement gains within two years. Mass Insight Education will launch the initiative by helping NYSED and participating LEAs conduct an analysis of the statutory and regulatory conditions affecting operating flexibility. They will then work with NYSED staff and school districts to develop state and local strategies needed to increase flexibility for school leaders and intervention partners.

These activities demonstrate New York’s commitment to working with LEAs to promote school autonomy, provide students with “anywhere, anytime” access to credit accumulation, support comprehensive “full service” schools, and engage parents and families as meaningful partners in their children’s education.

BUDGET PART I: BUDGET SUMMARY TABLE

The following table summarizes New York State’s total request for Race to the Top funding.

Budget Part II: Project Budget Table (in \$K)					
Budget Categories	Project Year 1	Project Year 2	Project Year 3	Project Year 4	Total
1. Personnel	\$1,226	\$1,262	\$1,300	\$1,339	\$5,127
2. Fringe Benefits	\$508	\$524	\$539	\$556	\$2,127
3. Travel	\$82	\$60	\$60	\$60	\$261
4. Equipment	\$3,630	\$0	\$0	\$0	\$3,630
5. Supplies	\$0	\$0	\$0	\$0	\$0
6. Contractual	\$51,784	\$54,879	\$49,055	\$33,507	\$189,223
7. Training Stipends	\$0	\$0	\$0	\$0	\$0
8. Other	\$9,886	\$2,511	\$2,511	\$2,511	\$17,419
9. Total Direct Costs (lines 1-8)	\$67,115	\$57,824	\$53,464	\$37,972	\$216,376
10. Indirect Costs	\$433	\$446	\$459	\$473	\$1,810
11. Funding for Involved LEAs	\$5,775	\$5,775	\$5,775	\$5,253	\$22,577
12. Supplemental Funding for Participating LEAs	\$14,282	\$28,282	\$31,282	\$32,304	\$106,150

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13. Total Costs (lines 9-12)	\$87,605	\$93,737	\$90,980	\$76,001	\$348,323
14. Funding Subgranted to Participating LEAs (50% of Total Grant)	\$87,605	\$93,737	\$90,980	\$76,001	\$348,323
15. Total Budget (lines 13-14)	\$175,209	\$187,474	\$181,960	\$152,003	\$696,646

BUDGET PART I: BUDGET SUMMARY NARRATIVE

New York State requests \$696.6MM of Race to the Top funding to support 27 projects over the four grant years.

New York envisions the Race to the Top projects as advancing progress of a reform agenda that leverages the State's diverse but limited resources. The State has identified a variety of additional sources of funding to align to support this work, increasing the impact of each dollar of Race to the Top. The complete portfolio of projects planned to move New York forward toward its ambitious goals will require an overall investment over the next four years of \$1,347MM.

The total Race to the Top benefit granted to LEAs is \$477MM, planned as follows:

- \$348.3MM, awarded in subgrants to participating LEAs, distributed based on participating LEAs' shares of Title I, Part A funds, comprise 50% of the budget. New York State will monitor and track all expenditures to ensure that participating LEAs spend these funds in accordance with the State's plan and the scope of work described in the agreement between the State and the participating LEA.
- \$106MM will be awarded as Supplemental Funding for Participating LEAs and \$23MM is Funding for Involved LEAs.
- Additional projects in support of Race to the Top initiatives and consistent with the State's Plan and the MOU will be identified upon receipt of the LEAs workplans and budgets.

Projects drawing money from the remainder of the State's share (direct and indirect state-level costs) total \$219MM. The largest projects are those directly affecting all LEAs and those that build the capacity of our educators and directly support the development and launch of new, foundational systems, including: curriculum models, adopting standards and K-12 formative assessment; instructional improvement system construction & rollout, and integration of higher education, the External Technical Assistance Center for Innovation and Turnaround; and the competitively awarded Full-Service School Model Fund.

Wherever possible, the State intends to leverage existing State resources and supplies to limit the amount of RTTT funds requested. For example, office furniture, office space, and computers (but not servers) will all be supplied by redeploying existing state sources.

The State has identified multiple potential resources of ongoing funding that can absorb the increased demand of sustaining the projects. In addition to the Federal resources described below, the State will take advantage of this period of reorganization to create opportunities to redeploy staff in support of the ongoing initiatives. In addition, new allocational and competitive federal funding opportunities are expected to emerge, for which the State hopes to qualify.

Specifically, NYSED will undertake the following 27 projects as part of the RTTT grant:

Project-by-Project Budget Summary (\$696.6MM)					
Project Name	Assurance Section	State's Project Cost (in MM)	Total Project Cost (in MM)	RTTT Requirement, Including Expected LEA Investment (in MM)	Non-RTTT Dollars and Source (in MM)
RTTT Performance Management Office	A1	\$3.1	\$3.1	\$3.1	
Office of District Services	A2	\$2.0	\$2.0	\$2.0	
Provision Of Professional Development Through A Statewide Network	A3	\$0	\$143.4	\$143.4	
Development of PK-12 Curriculum Models	B1	\$26.6	\$26.6	\$26.6	
Consortium on Board Examination Systems	B2	\$5.9	\$5.9	\$5.9	
Development of Formative and Interim Assessments	B3	\$41.8	\$41.8	\$41.8	
Instructional Improvement System Construction And Rollout	C1	\$50.0	\$50.0	\$50.0	
Integration Of Higher Education (Public And Independent)	C2	\$9.7	\$9.7	\$9.7	

Project-by-Project Budget Summary (\$696.6MM)					
Integration of Non-Education Systems	C3	\$4.5	\$4.5	\$4.5	
Advanced Placement Professional Development for STEM	D1	\$5.0	\$5.0	\$5.0	
Creating Teacher And Principal Career Ladder	D2	\$2.1	\$2.1	\$2.1	
Clinically Rich Teacher Preparation Program	D3	\$21.8	\$31.0	\$21.8	\$9.2 (Microsoft Settlement)
Clinically Rich Principal Preparation Programs	D4	\$3.7	\$10.8	\$3.7	\$7.1 (Microsoft Settlement)
Leadership Academies For School Principals	D5	\$6.0	\$49.0	\$6.0	\$40.0 (Title-I, Sec.1003(a)) \$3.0 (Microsoft Settlement)
Model Induction Programs To Prepare All Teachers To Be Teacher Leaders	D6	\$0.1	\$20.1	\$.1	\$20.0 (Microsoft Settlement)
Adoption And Development Of Growth Model	D7	\$2.6	\$2.6	\$2.6	
Innovative Compensation Incentive Fund	D8	\$30.0	\$30.0	\$30.0	
Transfer Fund	D9	\$39.0	\$39.0	\$39.0	
Turning Around Struggling Schools	E1		\$568.0		\$568.0 (Title I, Section

New York State: Race to the Top: Selection Criteria and Competition Priorities

Project-by-Project Budget Summary (\$696.6MM)					
					1003(g)
External Technical Assistance Center For Innovation And Turnaround (ETACIT)	E2	\$20.4	\$20.4	\$20.4	
New York State Department Office Of Innovative School Models	E3	\$13.0	\$13.0	\$13.0	
Secondary School Innovation Fund	E4	\$27.5	\$55.0	\$55.0	
Statewide Evaluation Of Intervention And Innovative School Models	E5	\$2.0	\$2.0	\$2.0	
Virtual Schools: Digital Learning: Development Of High Quality Digital Courses (RFP)	E6	\$3.2	\$3.2	\$3.2	
Virtual Schools: Technical Assistance Centers for Development of Virtual Learning Environments (RFP)	E7	\$20.0	\$20.0	\$20.0	
Improving Early Learning Outcomes (RFP)	Invitational 1	\$3.3	\$3.3	\$3.3	
Full Service Schools (RFP)	Invitational 2	\$5.0	\$5.0	\$5.0	
Race To The Top Project Total		\$348.3	\$1,166.5	\$519.2	\$647.3
Total Across All Projects		\$348.3	\$1,166.5	\$519.2	\$647.3

New York State: Race to the Top: Selection Criteria and Competition Priorities

Funds are required to support initiatives across all of the reform assurances, as well as for overall grant management. In particular, projects associated with each of the assurances require shares of the State’s Race to the Top budget: 32% for Great Teachers & Leaders, 18% for Data Systems to Support Instruction, 22% for Standards & Assessments, 24% for Turning Around Struggling Schools and the remaining 4% for overall project management and other initiatives to ensure success of the assurance-related strategies, as well as to invest in early childhood education.

Assurance-Level Budget Summary (\$348.3MM)					
Project Name	Assurance Section	State’s Project Cost	Total Project Cost	RTTT Requirement, Including Expected Lea Investment	Non-RTTT Dollars and Source
State Success Factors	A	\$5.1	\$148.5	\$148.5	
Standards & Assessments	B	\$74.3	\$74.3	\$74.3	
Data Systems To Support Instruction	C	\$64.2	\$64.2	\$64.2	
Great Teachers & Leaders	D	\$110.3	\$189.6	\$110.3	\$79.3
Turning Around The Lowest-Achieving Schools	E	\$86.1	\$681.6	\$113.6	\$568.0
Invitational Priorities	Invitational	\$8.3	\$8.3	\$8.3	
Race To The Top Project Total		\$348.3	\$1,166.5	\$519.2	\$647.3

The state will leverage *Federal* funds as follows in support of the above projects to ensure success of the Race to the Top plan:

- NYSED received an FY2009 grant award of \$308MM in ARRA Title I 1003(g) School Improvement Grant funds. The period of availability for this award is July 1, 2009 through September 30, 2013. In addition NYSED expects to receive approximately another \$260MM in years 2010-14 for a total available SIG funding of \$568MM over the course of RTTT. The funds will

target persistently lowest achieving schools, including high schools and their feeder schools, to implement robust and comprehensive reforms to dramatically transform school culture and increase student outcomes.

- Section 1003(g) money will be used to implement the same intervention models that are encouraged in the Race to the Top criteria, i.e., turnaround, restart, closure and transformation. Section 1003(g) dollars will partner with Race to the Top funds to drive this turnaround of struggling schools.
- New York’s P-20 data system will be even further enhanced and expanded through the receipt of two recent grants totaling \$27.5 million. The first grant came in the form of a special recognition by the federal government. In the competition for federal ARRA longitudinal data system grants, New York’s application was ranked first among the 53 states and territories that applied. As a result, NYSED was awarded a \$19.7 MM federal grant, the largest amount awarded, from the Institute of Education Sciences (IES). A second grant of \$7.8MM was awarded during 2009.
- The State has built in \$10MM to fund development and support of Principal Leadership Academies. This planned use of Section 1003(a) will make possible sustaining the Academies established under the two-year \$3MM Wallace Foundation grant, expanding the reach of those Academies, and creating new Principal Leadership Academies modeled on those Academies. The State intends to include this \$10MM obligation in subsequent years for a total commitment of \$40MM.

The State will also make additional alignments of Federal funds with Race to the Top priorities, not projects, as follows:

- New York has used NCLB Title I school improvement funds of approximately \$56MM to support enrichment programs in science, technology, engineering and mathematics, provide professional development to teachers and principals, and provide grants to the lowest achieving schools to improve teaching and learning.
- ARRA funds distributed under Title II-Part D, Enhancing Education through Technology, of approximately \$56MM, will be used for several aligned projects: to create a technology rich environment through student-centered active learning environments (SCALE), to develop online formative assessment in support of personalized instruction and data-driven decision-making, to develop online learning and instruction connected with NYSED Virtual High School, to ensure better use of technology to support English language learners (ELLs) and students with disabilities (SWDs), and to implement a process for digital content providers to submit for state approval their high school level courses in the four core content areas, ultimately for credit-bearing electronic delivery programs at the LEAs.
- ARRA Government Services Funds (\$350,000): “Say Yes to Education” is a grant to increase high school and college graduation rates for New York’s inner city youth by offering a range of services including after-school and summer

programming, mentoring, tutoring, and school-day academic support, family outreach, scholarships, and social work/psychological services.

- Teacher and Leader Quality Partnership Program (\$5.6MM): Improve the academic success of New York's students by improving the quality of their teachers.

The state will draw on *State* funds in support of many aligned projects to ensure success of the Race to the Top plan:

- *State Capital Funds for Data Systems* (\$20.4MM) - Despite the extraordinarily difficult financial times for New York State, the Governor and State Legislature also recognized the important of education data by awarding the Education Department \$20.4 million (see Appendix C_1_16). The State plans to leverage all of this funding to help expand the longitudinal data system and create the Education Data Portal and Comprehensive Instructional Reporting and Improvement System, which are described in the following sections. It will be in this last initiative that New York's regional data networks will return their richest dividends. We have a store of best practices and regional experiences to help us manage the complex set of relationships that will be necessary to fully integrate our data system into an integrated network of ongoing instructional improvement and professional development.
- *Bilingual Education* (\$12.5MM)- state funds are used to address the needs of LEP/ELLs consistent with the Department's Strategic Plan for Raising Standards, with special focus on the implementation of the Seven Essential Elements for the Education of LEP/ELLs in high-need districts. Funds support activities in the areas of higher standards and new assessments involving LEP/ELLs; the preparation and certification of bilingual and ESL staff to incorporate the new standards and assessments into the curriculum for LEP/ELLs; LEP/ELL parent empowerment to increase their knowledge and understanding of the new requirements; capacity building at the school and district levels; and, most especially, the provision of equitable services for LEP/ELLs.
- *Charter Schools Development and Stimulus Fund* (\$4.8MM state, \$14.4MM federal -spread over 3 years) - state and federal funds provide assistance to applicants for planning purposes and to approved charter schools for the acquisition, renovation or construction of school facilities. The Stimulus Fund makes these funds available for the specific purposes of providing start-up grants associated with the development and submission of a charter school application to the Board of Regents as the charter entity. The funds are also available for facilities grants for costs associated with school facilities.
- *Learning Technology* (\$3.3MM) - state funds provide grants to public school districts and Boards of Cooperative Education (BOCES) for progressive integration of instructional technology in classrooms and library media centers and sustained professional development to increase the skills of teachers in the use of instructional technology in order to help students attain higher levels of performance in the New York State Learning Standards.

- *Computer Hardware Aid* (\$38MM) - School districts are eligible for aid for the purchase or lease of micro and/or mini computer equipment or terminals for instructional purposes. School districts are eligible for aid for the purchase or lease of micro and/or mini computer equipment or terminals for instructional purposes.
- *Aid for Computer Software Purchases* (\$46MM) - Each public school district may claim a maximum apportionment of Computer Software Aid to purchase and loan computer software for instructional purposes on an equitable basis to both public and nonpublic school students attending schools within the district's boundaries during the current school year.
- *Teachers of Tomorrow* (\$25MM) - Awards and stipends to create incentives to retain and attract teachers, especially in STEM subjects and other areas where teacher shortages exist, and to assist subject matter specialists working in private industry to become certified teachers.
- *National Board for Professional Teaching Standards Certification* (\$0.49MM) – New York funds grants for teachers of up to \$2,500 toward the cost of certification by the National Board for Professional Teaching Standards.
- *Contracts for Excellence* (C4E) (\$854MM) -The C4E program was established in 2007 to provide additional accountability over increased State Aid for low performing school districts. C4E is a comprehensive approach to targeting fiscal resources to specific allowable programs proven to raise the achievement of the students with the greatest educational need. Districts are required to enter a contract and must document the schools, programs, and student subgroups to be targeted for funding, along with specific, achievable performance improvements that will result.

Finally, as result of a class action settlement with Microsoft, New York State will receive between \$70-85MM for distribution to qualifying, high-poverty public schools. The SEA can set requirements for use of the money within broad guidelines established under the terms of the settlement (i.e. money will be used for software, hardware, professional development, and/or computer services). New York State will target \$38MM to ensure successful implementation of the pilots of model induction programs to prepare all teachers to be teacher leaders. The administration of this program will be established under Race to the Top funding.

BUDGET PART II: PROJECT-LEVEL BUDGET TABLES AND NARRATIVES

all figures in tables are in thousands of dollars

Project ID: A1

Project Name: RTTT Performance Management Office

Associated with Criteria: All

(in \$K)

Budget Categories	Project Year 1	Project Year 2	Project Year 3	Project Year 4	Total
1. Personnel					
2. Fringe Benefits					
3. Travel	\$4.0	\$4.0	\$4.0	\$4.0	\$16.0
4. Equipment					
5. Supplies					
6. Contractual	\$762.0	\$762.0	\$762.0	\$762.0	\$3,048.0
7. Training Stipends					
8. Other	\$1.2	\$1.2	\$1.2	\$1.2	\$4.8
9. Total Direct Costs (lines 1-8)	\$767.2	\$767.2	\$767.2	\$767.2	\$3,068.8
10. Indirect Costs					
11. Funding for Involved LEAs					
12. Supplemental Funding for					

Participating LEAs					
13. Total Costs (lines 9-12)	\$767.2	\$767.2	\$767.2	\$767.2	\$3,068.8

1) Personnel

2) Fringe Benefits

3) Travel

To oversee the provision of technical assistance and monitoring and to meet with superintendents to ensure the reforms are coordinated and communicated effectively.

4) Equipment

5) Supplies

6) Contractual

New York will hire a senior consultant who will serve as Executive Director of the RTTT Performance Management Office for the grant's four year term. The Executive Director's compensation will be consistent with the responsibilities of managing a \$700MM program. The Executive Director will be supported by four program analysts, who will work cross-functionally across assurance areas, and a program coordinator. The analysts will have graduate-level degrees in business, public policy, education, or law and experience in project and/or program management or management consulting. Also included is the cost of the annual development of communications materials which we anticipate to be \$20,000. Given the size of New York and the need to communicate effectively with over 4,000 schools and 270,000 teachers, we anticipate the office will subcontract the development of select communications-related collaterals to be distributed online and in print when electronic distribution is impractical. Staffing may be hired as temporary employees if approved.

7) Training Stipends

8) Other

\$1.200 per year

9) Total Direct Costs

- Each project year: \$.767MM
- Total: \$3.1M

10) Indirect Costs

11) Funding For Involved LEAs

12) Supplemental Funding for Participating LEAs

13) Total Costs

- Each project year: \$.767M

Project ID: A2

Project Name: Office of District Services

Associated with Criteria: (B) (3), (C) (2), (C) (3) (D) (2) and (E) (1)

(in \$K)

Budget Categories	Project Year 1	Project Year 2	Project Year 3	Project Year 4	Total
1. Personnel	\$270.0	\$278.1	\$286.4	\$295.0	\$1,129.6
2. Fringe Benefits	\$112.0	\$115.4	\$118.8	\$122.4	\$468.7
3. Travel	\$12.0	\$12.0	\$12.0	\$12.0	\$48.0
4. Equipment					
5. Supplies					
6. Contractual					
7. Training Stipends					
8. Other					
9. Total Direct Costs (lines 1-8)	\$394.0	\$405.5	\$417.3	\$429.4	\$1,646.2
10. Indirect Costs	\$95.3	\$98.2	\$101.1	\$104.1	\$398.7
11. Funding for Involved LEAs					
12. Supplemental Funding for Participating LEAs					
13. Total Costs (lines 9-12)	\$489.3	\$503.7	\$518.4	\$533.6	\$2,045.0

1) Personnel

Three program managers will be hired for the duration of the grant at a salary of approximately \$90K each. The program managers will manage District Services' efforts to coordinate communications and logistics related to the provision of RTTT services to

LEAs. They will also work closely with the four large LEAs (Buffalo, Rochester, Syracuse, and Yonkers) that will build network teams within their organizational structures with support and guidance from District Services. District Services will also coordinate the delivery of professional development for network teams in a train-the-trainer model.

2) Fringe Benefits

Calculated at 41.49% of Personnel costs

3) Travel

Travel to BOCES and LEAs to ensure services are being implemented effectively.

4) Equipment

5) Supplies

7) Training Stipends

8) Other

9) Total Direct Costs

- Project Year 1 \$.394MM
- Project Year 2: \$.405MM
- Project Year 3: \$.417MM
- Project Year 4: \$.429MM
- All Project Years \$1.646MM

10) Indirect Costs

Calculated using 35.30% as a percent of Personnel costs

11) Funding for Involved LEAs;

12) Supplemental Funding for Participating LEAs

13) Total Costs

- P Project Year 1 \$.489M
- Project Year 2: \$.503M
- Project Year 3: \$.518M
- Project Year 4: \$.533M
- All Project Years \$2.045MM

Project ID: A3

Project Name: Provision of Professional Development through Network Teams

Associated with Criteria: (C)(2) and (C)(3)

(in \$K)

This project will be funded entirely from the 50% Funding Subgranted to Participating LEAs

Budget Categories	Project Year 1	Project Year 2	Project Year 3	Project Year 4	Total
1. Personnel	\$1,098.0	\$22,725.0	\$34,160.8	\$35,185.6	\$93,169.3
2. Fringe Benefits	\$461.0	\$9,544.0	\$14,347.5	\$14,777.9	\$39,130.9
3. Travel	\$20.0	\$550.0	\$620.0	\$620.0	\$1,810.0
4. Equipment					
5. Supplies					
6. Contractual					
7. Training Stipends					
8. Other					
9. Total Direct Costs (lines 1-8)	\$1,579.0	\$32,819.4	\$49,128.3	\$50,583.5	\$134,110.2
10. Indirect Costs	\$109.8	\$2,272.5	\$3,416.1	\$3,518.6	\$9,316.9
11. Funding for Involved LEAs					
12. Supplemental Funding for Participating LEAs					
13. Total Costs (lines 9-12)	\$1,688.8	\$35,091.9	\$52,544.4	\$54,102.1	\$143,427.1

This project will be funded entirely from the 50% Funding Subgranted to Participating LEAs

1) Personnel and 6) Contractual

This project comprises of hiring and sustaining three-person Network teams to support the implementation of: the new standards, curriculum models and assessments; new teacher evaluations; and new education data system. Each team will serve 25 schools. Statewide, we will deploy 124 teams into our four largest school districts and each of our BOCES to serve 3,100 schools. (Note: New York City already funds network teams with their Title II funds so additional teams have not been budgeted for them.)

The structure of each network team will include a Senior Achievement Facilitator (Instructional Specialist), a Data Specialist and a Curriculum Specialist. Network teams will be hired, trained and phased in to support LEAs and schools through the grant period as RTTT reforms are implemented. In Year 1 (2010-11), Senior Achievement Facilitators and Curriculum Specialists will be deployed to the LEAs engaging in 2010-2011 turnaround interventions of persistently lowest achieving schools. In Year 2 (2011-12), the existing teams will be sustained and Senior Achievement Facilitators and Curriculum Specialists will be phased in Statewide to support the implementation in all participating LEAs of the new standards, curriculum models, and assessments and the new teacher evaluation system. The teams will continue to support school turnaround efforts through the grant period. In Year 3, as the education data system is launched, Data Specialists will be added to each of the 124 teams Statewide. Full teams will be sustained through Year 4. As noted earlier, since the NYC Department of Education already has network teams in place, our Network Team budget and phase in plans do not require the deployment of additional teams to those schools.

2) Fringe Benefits (Estimated BOCES Fringe Rate)

Calculated at 42.00% of Personnel costs

3) Travel

Travel for 124 teams to provide professional development to approximately 744 LEAs as part of a major state initiative for RTTT implementation.

4) Equipment

5) Supplies

7) Training Stipends

8) Other

9) Total Direct Costs

- Project Year 1 \$-1.6MM
- Project Years 2: \$32.8MM
- Project Years 3: \$49.1MM
- Project Years 4: \$50.5MM
- All Project Years \$134.1MM

10) Indirect Costs (BOCES Indirect Cost Rate)

Calculated using 10.00% as a percent of Personnel costs

11) Funding for Involved LEAs;

Total LEA costs for this provision of professional development to all LEAs, participating and involved, inclusive, is \$91MM.

Funding provided to the involved LEAs for providing professional development for adoption of the instructional system will total \$1.7MM.

12) Supplemental Funding for Participating LEAs

Supplements to participating LEAs who require additional funds to fully participate in all Race to the Top plans will total \$36MM.

13) Total Costs (This project will be funded entirely from the 50% Funding Subgranted to Participating LEAs)

- Project Year 1 \$-1.6MM
- Project Years 2: \$35.1MM
- Project Years 3: \$52.5MM
- Project Years 4: \$54.1MM
- All Project Years \$143.4MM

Project ID: B1

Project Name: Development of PK-12 Curriculum Models

Associated with Criterion: (B) (3)

(in \$K)

Budget Categories	Project Year 1	Project Year 2	Project Year 3	Project Year 4	Total
1. Personnel					
2. Fringe Benefits					
3. Travel	\$4.0	\$4.0	\$4.0	\$4.0	\$16.0
4. Equipment					
5. Supplies					
6. Contractual	\$8,129.0	\$6,133.0	\$6,137.0	\$6,141.0	\$26,540.0
7. Training Stipends					
8. Other	\$1.2	\$1.2	\$1.2	\$1.2	\$4.8
9. Total Direct Costs (lines 1-8)	\$8,134.2	\$6,138.2	\$6,142.2	\$6,146.2	\$26,560.8
10. Indirect Costs					

11. Funding for Involved LEAs					
12. Supplemental Funding for Participating LEAs					
13. Total Costs (lines 9-12)	\$8,134.2	\$6,138.2	\$6,142.2	\$6,146.2	\$26,560.8

1) Personnel

2) Fringe Benefits

3) Travel

To provide technical assistance and monitoring.

4) Equipment

5) Supplies

6) Contractual

The State requires funding for the competitive RFP for a four-year contract for a Statewide Curriculum Resource Center to develop and disseminate Pre-Kindergarten to Grade 12 statewide curriculum models based on the Common Core standards and to support the development of professional development content related to the curriculum models and new standards. The \$26MM requirement will be apportioned across the four grant years with \$8MM in the first year and \$6MM in each subsequent year. The Curriculum Resource Center will be managed and overseen by the Director of NYSED’s Office of Curriculum and Instructional Support

7) Training Stipends

8) Other

\$1200 per year.

9) Total Direct Costs

- Project Year 1: \$8.1MM
- Project Years 2: \$6.1MM
- Project Years 2: \$6.1MM
- Project Years 2: \$6.1MM
- Project Total \$26.6MM

10) Indirect Costs

11) Funding for Involved LEAs

12) Supplemental Funding for Participating LEAs

13) Total Costs

- Project Year 1: \$8.1MM
- Project Years 2: \$6.1MM
- Project Years 2: \$6.1MM
- Project Years 2: \$6.1MM
- Project Total \$26.6MM

Project ID: B2

Project Name: Consortium on Board Examination Systems

Associated with Criteria: (B) (3)

(in \$K)

Budget Categories	Project Year 1	Project Year 2	Project Year 3	Project Year 4	Total
1. Personnel					
2. Fringe Benefits					
3. Travel					
4. Equipment					
5. Supplies					
6. Contractual	\$740.0	\$1,410.0	\$1,820.0	\$1,890.0	\$5,860.0
7. Training Stipends					
8. Other					
9. Total Direct Costs (lines 1-8)	\$740.0	\$1,410.0	\$1,820.0	\$1,890.0	\$5,860.0
10. Indirect Costs					
11. Funding for Involved LEAs					
12. Supplemental Funding for Participating LEAs					
13. Total Costs (lines 9-12)	\$740.0	\$1,410.0	\$1,820.0	\$1,890.0	\$5,860.0

1) Personnel

2) Fringe Benefits

3) Travel

4) Equipment

5) Supplies

6) Contractual

New York has joined the State Consortium on Board Examination Systems made up of 10 states at the time of submission. Its work is directed at greatly raising 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. These Board Examinations are aligned instructional systems: syllabi, courses, both formative and summative assessments, professional development and externally scored examinations that meet or exceed the Common Core Standards. This project is one way for New York to implement Common Core Standards in the core subjects at the high school level beginning in the Fall of 2011.

Budget includes funds for 4 years including:

Years 1 LEAs \$290,000 Years 2 LEAs \$910,000, Year 3 LEAs \$1,320,000, Year 4 LEAs \$1,390,000. LEA Total: \$3,910,000;

Year 1 Contract NCEE \$100,000, Year 2 Contract NCEE \$100,000, Year 3 Contract NCEE \$100,000, Year 4 Contract NCEE \$100,000; NCEE Contract Total: \$400,000;

Year 1 Travel and State Coordination and Data Systems Interface \$350,000, Year 2 Travel and State Coordination and Data Systems Interface \$400,000, Year 3 Travel and State Coordination and Data Systems Interface \$400,000, Year 4 Travel and State Coordination and Data Systems Interface \$400,000, State Total: \$1,550,000.

Members include: Arizona, Connecticut, Kentucky, New Hampshire, Maine, Mississippi, New Mexico, New York, Pennsylvania, Rhode Island, and Vermont

7) Training Stipends

8) Other

9) Total Direct Costs

- Project Year 1 \$.740MM
- Project Year 2 \$1.410MM
- Project Year 3 \$1.820MM
- Project Year 4 \$1.890MM
- All Project Years \$5.860MM

10) Indirect Costs

11) Funding for Involved LEAs

12) Supplemental Funding for Participating LEAs

13) Total Costs

- Project Year 1 \$.740MM
- Project Year 2 \$1.410MM
- Project Year 3 \$1.820MM
- Project Year 4 \$1.890MM
- All Project Years \$5.860MM

Project ID: B3

Project Name: Development of Formative and Interim Assessments

Associated with Criteria: (B) (3)

(in \$K)

Budget Categories	Project Year 1	Project Year 2	Project Year 3	Project Year 4	Total
1. Personnel					
2. Fringe Benefits					
3. Travel					
4. Equipment					
5. Supplies					
6. Contractual	\$10,000.0	\$10,300.0	\$10,609.0	\$10,927.0	\$41,836.0
7. Training Stipends					
8. Other					
9. Total Direct Costs (lines 1-8)	\$10,000.0	\$10,300.0	\$10,609.0	\$10,927.0	\$41,836.0
10. Indirect Costs					
11. Funding for Involved LEAs					
12. Supplemental Funding for Participating LEAs					
13. Total Costs (lines 9-12)	\$10,000.0	\$10,300.0	\$10,609.0	\$10,927.0	\$41,836.0

1) Personnel

2) Fringe Benefits

3) Travel

4) Equipment

5) Supplies

6) Contractual

This project will fund a competitive RFP for a four-year contract to develop new K-12 formative and interim assessment tools, including K-3 early reading formative assessments, and professional development content related to the assessments. Providers will be asked to include new technologies for online administration.

7) Training Stipends

8) Other

9) Total Direct Costs

- Project Year 1 \$10.0MM
- Project Year 2 \$10.3MM
- Project Year 3 \$10.6MM
- Project Year 4 \$10.9MM
- All Project Years \$41.8MM

10) Indirect Costs

11) Funding for Involved LEAs

12) Supplemental Funding for Participating LEAs

13) Total Costs

- Project Year 1 \$10.0MM
- Project Year 2 \$10.3MM

- Project Year 3 \$10.6MM
- Project Year 4 \$10.9MM
- All Project Years \$41.8MM

Project ID: C1

Project Name: Construction and Rollout of Data Portal / Statewide Instructional Reporting and Improvement System

Associated with Criteria: (C) (2) and (C) (3)

(in \$K)

Budget Categories	Project Year 1	Project Year 2	Project Year 3	Project Year 4	Total
1. Personnel					

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2. Fringe Benefits					
3. Travel					
4. Equipment	\$990.0				\$990.0
5. Supplies					
6. Contractual	\$15,337.0	\$15,337.0	\$15,336.0		\$46,010.0
7. Training Stipends					
8. Other	\$3,000.0				\$3,000.0
9. Total Direct Costs (lines 1-8)	\$19,327.0	\$15,337.0	\$15,336.0		\$50,000.0
10. Indirect Costs					
11. Funding for Involved LEAs					
12. Supplemental Funding for Participating LEAs					
13. Total Costs (lines 9-12)	\$19,327.0	\$15,337.0	\$15,336.0		\$50,000.0

1) Personnel

2) Fringe Benefits

3) Travel

4) Equipment

Increased set of servers, networking and storage will require \$990K

5) Supplies

6) Contractual

This project is comprised of two key sub-projects:

1. Data Portal / Expansion of Instructional System
2. Integration of Growth Model and Creation of Teacher Evaluation System

Sub-project 1: Data Portal / Expansion of Instructional System: Includes funding for building out the statewide Data Portal and instructional improvement system. Includes infrastructure, design, coding, implementation, testing, and standardized reports for building out the data portal and instructional system. This sub-project will have no grants to LEAs. Total cost \$42,000,000.

Sub-project 2: Integration of Growth Model and Creation of Teacher Evaluation System: Includes funding for building out the teacher evaluation IT system. Includes infrastructure, design, coding, implementation, testing, and standardized reports for integration of a growth model and building out the teacher evaluation system at the state level. All teacher related data is or will be collected as part of enhancements to the state system based on grants from IES and other sources of ongoing funding. This sub-project will have no grants to LEAs. Total cost \$4,000,000.

7) Training Stipends

8) Other

Increased Oracle licensing costs requires \$3MM

9) Total Direct Costs

- Project Year 1 \$19.327MM
- Project Year 2 \$15.337MM

- Project Year 3 \$15.336MM
- Project Year 4 \$-
- All Project Years \$50MM
-

10) Indirect Costs

11) Funding for Involved LEAs

- Funding provided to the involved LEAs to ensure their systems meet performance and data requirements of the State

12) Supplemental Funding for Participating LEAs

13) Total Costs

- Project Year 1 \$19.337MM
- Project Year 2 \$15.337MM
- Project Year 3 \$15.336MM
- Project Year 4 \$-
- All Project Years \$50MM

Project ID: C2

Project Name: Integration of Higher Education (Public and Independent)

Associated with Criteria: (C) (2) and (C) (3)

(in \$K)

Budget Categories	Project Year 1	Project Year 2	Project Year 3	Project Year 4	Total
1. Personnel					
2. Fringe Benefits					
3. Travel					
4. Equipment	\$1,650.0				\$1,650.0
5. Supplies					
6. Contractual	\$2,533.0	\$2,532.0			\$5,065.0
7. Training Stipends					
8. Other	\$3,000.0				\$3,000.0
9. Total Direct Costs (lines 1-8)	\$7,183.0	\$2,532.0			\$9,715.0
10. Indirect Costs					
11. Funding for Involved LEAs					
12. Supplemental Funding for Participating LEAs					

13. Total Costs (lines 9-12)	\$7,183.0	\$2,532.0			\$9,715.0
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1) Personnel

2) Fringe Benefits

3) Travel

4) Equipment

Increased set of servers, networking and storage – \$1,650K

5) Supplies

6) Contractual

This project comprises of one key sub-project:

1. Integrating 4 private colleges associated with CICU - \$5,065,000 Total Cost

Sub-project 1: Integrating four independent colleges associated with CICU: This project begins the integration with four independent colleges, standardizing the interfaces, gathering best practices, and using the same for integrating the rest of the private colleges. This sub-project will have no grants to LEAs though sub-grants to the four CICU colleges will be provided.

7) Training Stipends

8) Other

Budget of \$3MM to pay for increased software licensing costs.

9) Total Direct Costs

- Project Year 1 \$7.183MM
- Project Year 2 \$2.532MM
- Project Year 3
- Project Year 4
- All Project Years \$9.715MM

10) Indirect Costs

11) Funding for Involved LEAs

12) Supplemental Funding for Participating LEAs

13) Total Costs

- Project Year 1 \$7.183MM
- Project Year 2 \$2.532MM
- Project Year 3
- Project Year 4
- All Project Years \$9.715MM

Project ID: C3

Project Name: Integration of Non-Education Systems

Associated with Criteria: (C) (2) and (C) (3)

(in \$K)

Budget Categories	Project Year 1	Project Year 2	Project Year 3	Project Year 4	Total
1. Personnel					
2. Fringe Benefits					
3. Travel					
4. Equipment	\$660.0				\$660.0
5. Supplies					
6. Contractual		\$3,100.0			\$3,100.0
7. Training Stipends					
8. Other	\$750.0				\$750.0
9. Total Direct Costs (lines 1-8)	\$1,410.0	\$3,100.0			\$4,510.0
10. Indirect Costs					
11. Funding for Involved LEAs					
12. Supplemental Funding for Participating LEAs					
13. Total Costs (lines 9-12)	\$1,410.0	\$3,100.0			\$4,510.0

1) Personnel

2) Fringe Benefits

3) Travel

4) Equipment

Increased set of servers, networking and storage will require \$660K

5) Supplies

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6) Contractual

The plan is to integrate two systems in the next four years, and develop standards and best practices to aid integration of other relevant systems. None of this funding will go to LEAs. Total cost \$3,100,000.

7) Training Stipends

8) Other

Increased software licensing costs requires \$750K

9) Total Direct Costs

- Project Year 1 \$1.410MM
- Project Year 2 \$3.100MM
- Project Year 3
- Project Year 4
- All Project Years \$4.510MM

10) Indirect Costs

11) Funding for Involved LEAs

12) Supplemental Funding for Participating LEAs

13) Total Costs

- Project Year 1 \$1.410MM
- Project Year 2 \$3.100MM
- Project Year 3
- Project Year 4
- All Project Years \$4.510MM

Project ID: D1

Project Name: Advanced Placement Professional Development for STEM

Associated with Criteria: (D) (2)

(in \$K)

Budget Categories	Project Year 1	Project Year 2	Project Year 3	Project Year 4	Total
1. Personnel					
2. Fringe Benefits					
3. Travel					
4. Equipment					
5. Supplies					
6. Contractual					
7. Training Stipends					
8. Other (Printing)					
9. Total Direct Costs (lines 1-8)					
10. Indirect Costs					
11. Funding for Involved LEAs					
12. Supplemental Funding for Participating LEAs	\$1,250.0	\$1,250.0	\$1,250.0	\$1,250.0	\$5,000.0
13. Total Costs (lines 9-12)	\$1,250.0	\$1,250.0	\$1,250.0	\$1,250.0	\$5,000.0

1) Personnel:

2) Fringe Benefits

3) Travel

4) Equipment

5) Supplies

6) Contractual

7) Training Stipends

8) Other

9) Total Direct Costs

- Project Year 1
- Project Year 2
- Project Year 3
- Project Year 4
- Project Total:

10) Indirect Costs

11) Funding for Involved LEAs

12) Supplemental Funding for Participating LEAs

New York will provide grants to participating LEAs to enhance advanced math and science course offerings by investing in Advanced Placement (AP) programs aimed at expanding the pool of teachers qualified to teach AP course work and the number of students taking high quality AP courses. The College Board will provide trainings to teams of teachers from targeted high need LEAs to prepare them to implement AP programs in the content areas of STEM within their respective schools.

13) Total Costs

- Project Year 1 \$1.25MM
- Project Year 2 \$1.25MM
- Project Year 3 \$1.25MM
- Project Year 4 \$1.25MM
- Project Total: \$5.0MM

Project ID: D2

Project Name: Creating Teacher and Principal Career Ladder

Associated with Criteria: (D) (2)

(in \$K)

Budget Categories	Project Year 1	Project Year 2	Project Year 3	Project Year 4	Total
1. Personnel					
2. Fringe Benefits					
3. Travel					
4. Equipment					
5. Supplies					
6. Contractual	\$513.0	\$521.0	\$537.0	\$553.0	\$2,124.0
7. Training Stipends					
8. Other	\$1.3	\$1.3	\$1.3	\$1.3	\$5.2
9. Total Direct Costs (lines 1-8)	\$514.3	\$522.3	\$538.3	\$554.3	\$2,129.2
10. Indirect Costs					
11. Funding for Involved LEAs					
12. Supplemental Funding for Participating LEAs					
13. Total Costs (lines 9-12)	\$514.3	\$522.3	\$538.3	\$554.3	\$2,129.2

1) Personnel

2) Fringe Benefits

3) Travel

4) Equipment

5) Supplies

6) Contractual

In addition,

A contracted team will be identified to carry out the work of the project:

- Project Coordinator responsible for the overall Teacher and School Leader career ladders including reporting results to the USED as part of the Race to the Top Grant. The Associate will also work specifically to implement the new teacher and principal career ladders described in D2(iv)(b) and any new pathways to certification identified in (D)(3), including preparation of state regulations for modifications to the certification structure for both teachers and principals to implement the new career ladders and new pathway; oversee the budget for training staff of LEAs in the implementation of the new career ladders; advising LEAs on the interpretation of the new regulations; responding to complaints and questions from interested parties, such as teacher and principal unions, school board association, and other professional associations.
- In year 2-4 and beyond, the Department will need to review applications and issue certificates for new levels created in the Teacher and Principal Career Ladders and the new pathway to Teacher Certification created in (D)(2). The Department anticipates at least three new credentials resulting from the new career ladder and one new pathway created in (D) (2). If only 10% of the workforce receive these credentials, that would represent more than 25,000 additional credentials to be issued.
- Staff may be hired as temporary employees if approved.

In addition, the Department will contract for development of the Career Ladders levels, including any new certificates for the Teachers and Principal Career Ladder and identification of any statewide assessments necessary as part of both career ladders. This will only include identification of the need for statewide assessments and not include work on developing any assessments required.

7) Training Stipends

8) Other

\$1300/per year.

9) Total Direct Costs

- Project Years 1-4 \$0.5MM
- All Project Years \$2.1MM

10) Indirect Costs

11) Funding for Involved LEAs

12) Supplemental Funding for Participating LEAs

13) Total Costs

- Project Year 1 \$0.5MM
- All Project Years \$2.1MM

Project ID: D3

Project Name: Clinically Rich Teacher Preparation Program

Associated with Criteria: (D) (4)

(in \$K)

Budget Categories	Project Year 1 (a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Total (e)
1. Personnel	\$105.4	\$108.6	\$111.8	\$115.2	\$441.0
2. Fringe Benefits	\$43.7	\$45.1	\$46.4	\$47.8	\$183.0
3. Travel	\$5.0	\$5.0	\$5.0	\$5.0	\$20.0
4. Equipment					
5. Supplies					
6. Contractual					
7. Training Stipends					
8. Other	\$1.5	\$1.5	\$1.5	\$1.5	\$6.0
9. Total Direct Costs (lines 1-8)	\$155.6	\$160.2	\$164.7	\$169.5	\$650.0
10. Indirect Costs*	\$37.2	\$38.3	\$39.5	\$40.7	\$155.7
11. Funding for Involved LEAs	\$5,250.0	\$5,250.0	\$5,250.0	\$5,250.0	\$21,000.0
12. Supplemental Funding for Participating LEAs					
13. Total Costs (lines 9-12)	\$5,442.8	\$5,448.5	\$5,454.2	\$5,460.2	\$21,805.6

1) Personnel

- Project Coordinator (Associate in Teacher Education, Grade 26): This position will meet the minimum qualifications per the New York State Civil Service system and have the overall responsibility to coordinate this initiative including the continuing analysis and review of data, goals and objectives; development of the RFP; the review of applications; provide technical assistance and monitoring; etc... This position is assigned to this initiative 100% of the time at an initial salary of \$77,654.
- Secretary (Keyboard Specialist, Grade 6) This position will meet the minimum qualifications per the New York State Civil Service system will maintain all data, files and information pertinent to this initiative, prepare reports, tables, charts and necessary correspondence, etc. This position is assigned to this initiative 100% of the time at an initial salary of \$27,744

2) Fringe Benefits

The fringe benefit rate is calculated at 41.49% of salary.

3) Travel

- Approximately 12-13 trips per year at an average of \$400.00 per trip to provide technical assistance and monitoring for a total of \$5,000.00.

4) Equipment

5) Supplies

8) Other

- Total \$1,500.00 annually

9) Total Direct Costs

- Project Year One \$.155MM
- Project Year Two \$.160MM
- Project Year Three \$.164MM
- Project Year Four \$.169MM
- Total Direct Costs \$.650MM

10) Indirect Costs

- The Indirect Costs rate is calculated at 35.30%

11) Funding for Involved LEAs

Stipends or tuition reimbursement provided for IHEs partnering with high need low performing schools to provide effective residency teacher preparation to prepare teachers who will be effective in meeting the needs of the students in such districts, specifically English language learners, students with disabilities and black and Hispanic males, and targeting content shortage areas. Per the tables below, eligible candidates will receive \$30,000.00 in stipends or tuition reimbursement during the residency year.

- 100 teachers annually in high need schools

13) Total Costs

Project Year One	\$ 5,442.8MM
Project Year Two	\$ 5,448.5MM
Project Year Three	\$ 5,454.2MM
Project Year Four	\$ 5,460.2MM
Total Expenditures	\$21,805.6MM

An additional \$9,100,000 will be provided from the Microsoft Settlement as supplemental funding for a total project cost of \$30,959,800.

Project ID: D4

Project Name: Clinically Rich Principal Preparation Programs

Associated with Criteria: (D) (4)

(in \$K)

Budget Categories	Project Year 1 (a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Total (e)
1. Personnel	\$105.4	\$108.6	\$111.8	\$115.2	\$441.0
2. Fringe Benefits	\$43.7	\$45.1	\$46.4	\$47.8	\$183.0
3. Travel	\$8.0	\$8.0	\$8.0	\$8.0	\$32.0
4. Equipment					
5. Supplies					
6. Contractual	0.0	\$200.0	\$200.0	\$400.0	\$800.0
7. Training Stipends					
8. Other	\$1.5	\$1.5	\$1.5	\$1.5	\$6.0
9. Total Direct Costs (lines 1-8)	\$158.6	\$363.2	\$367.7	\$572.5	\$1,462.0
10. Indirect Costs*	\$37.2	\$38.3	\$39.5	\$40.7	\$155.7
11. Funding for Involved LEAs	\$521.8	\$521.8	\$521.8	\$521.8	\$2,087.3

12. Supplemental Funding for Participating LEAs					
13. Total Costs (lines 9-12)	\$717.6	\$923.3	\$929.0	\$1,135.0	\$3,704.8

1) Personnel

- Project Coordinator (Associate in Higher Education, Grade 26): This position will meet the minimum qualifications per the New York State Civil Service system and have the overall responsibility to coordinate this initiative including the preparation of a Request for Proposals (RFP) based on research-based leader preparation program design elements; review of applications; technical assistance and monitoring of transformed leader preparation programs; etc. This position is assigned to this initiative 100% of the time at an initial salary of \$77,654.
- Secretary (Keyboard Specialist, Grade 6) This position will meet the minimum qualifications per the New York State Civil Service system will maintain all data, files and information pertinent to this initiative, prepare reports, tables, charts and necessary correspondence, etc. This position is assigned to this initiative 100% of the time at an initial salary of \$27,744.

2) Fringe Benefits

The fringe benefit rate is calculated at 41.49% of salary.

3) Travel

- To provide technical assistance and monitoring for a total of \$8,000.00.

4) Equipment

5) Supplies

6) Contractual

- Estimated cost for a rigorous evaluation of the efficacy of the project as measured by the impact of leadership on student achievement.

8) Other

- Total \$1,500.00 annually

9) Total Direct Costs

- Project Year One \$.158MM
- Project Year Two \$.363MM
- Project Year Three \$.367MM
- Project Year Four \$.572MM
- Total Direct Costs \$1.462MM

10) Indirect Costs

- The Indirect Costs rate is calculated at 35.3%

11) Funding for Involved LEAs

The program provider, as fiscal agent, will be responsible for overseeing the expenditures necessary to transform the leader preparation programs. These monies will be awarded to 10 additional leadership preparation programs based on a competitive Request for Proposals (RFP) process. Institutes of Higher Education (IHE's) as well as non-collegiate providers will be eligible for these funds to transform their programs exclusively to prepare principals to serve in high need schools.

13) Total Costs

- Project Year One \$.717MM
- Project Year Two \$.923MM

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Project Year Three	\$.929MM
Project Year Four	\$ 1.135MM
Total Expenditures	\$ 3.704MM

An additional \$7,000,000 will be provided from the Microsoft Settlement as supplemental funding for a total project cost of \$10,755,100.

Project ID: D5

Project Name: Leadership Academies for School Principals

Associated with Criteria: (D) (5)

(in \$K)

Budget Categories	Project Year 1	Project Year 2	Project Year 3	Project Year 4	Total
1. Personnel					
2. Fringe Benefits					
3. Travel	\$16.0	\$16.0	\$16.0	\$16.0	\$64.0
4. Equipment					
5. Supplies					
6. Contractual	\$947.5	\$947.5	\$947.5	\$947.5	\$3,790.0
7. Training Stipends					
8. Other	\$1.5	\$1.5	\$1.5	\$1.5	\$6.0
9. Total Direct Costs (lines 1-8)	\$965.0	\$965.0	\$965.0	\$965.0	\$3,860.0

10. Indirect Costs					
11. Funding for Involved LEAs	\$3.0	\$3.0	\$3.0	\$3.0	\$12..0
12. Supplemental Funding for Participating LEAs	\$532.0	\$532.0	\$532.0	\$532.0	\$2,130.0
13. Total Costs (lines 9-12)	\$1,500.0	\$1,500.0	\$1,500.0	\$1,500.0	\$6,000.0

1) Personnel

2) Fringe Benefits

3) Travel

- To provide technical assistance and monitoring for a total of \$16,000

4) Equipment

5) Supplies

6) Contractual

In addition, to execute the work on this project, an RFP will be developed to hire an outside vendor to coordinate the development of leadership academies including the continuing analysis and review of data, goals and objectives; the review of applications; provide technical assistance and monitoring; etc

7) Training Stipends

8) Other

- Total \$1,500 annually

9) Total Direct Costs

- Project Year 1 \$.965MM
- Project Year 2 \$.965MM

- Project Year 3 \$.965MM
- Project Year 4 \$.965MM
- All Project Years \$3.,860MM

10) Indirect Costs

11) Funding for Involved LEAs

12) Supplemental Funding for Participating LEAs

The three coordinators will each launch two Academies in each of the first two years with each requiring an initial investment of \$250K per Academy. Investments will be made possible through Principal “tuitions” paid out of LEA Race to the Top funds. Each leadership academy site will conduct focus groups for Principals and develop curriculum based on needs, research-based best practice on closing the achievement gap. Turnaround coaches will be identified and trained. Once academies are launched, the later years of the grant money will provide for the regional expansion of existing Academies, as well as to focus on sharing practices across Academies. The total expected investment in Principal Leadership Academies over the life of the grant will be \$6MM. The State will provide, from its share of Race to the Top, approximately \$2MM to supplement the investments LEAs make in this program. The balance of the project costs (\$40MM) will be covered by the LEA share of Title I School Improvement Funds – 1003(a) at 10MM per year for four years.

13) Total Costs

- Project Year 1 \$1.500MM
- Project Year 2 \$1.500MM
- Project Year 3 \$1.500MM
- Project Year 4 \$1.500MM
- All Project Years \$6.000MM

An additional \$40,000,000 will be provided from Title I Section 1003(a) and \$3,000,000 from the Microsoft Settlement as supplemental funding for a total project cost of \$49,000,000.

Project ID: D6

Project Name: Model Induction Programs To Prepare All Teachers To Be Teacher Leaders

Associated with Criteria: (D) (5)

(in \$K)

Budget Categories	Project Year 1	Project Year 2	Project Year 3	Project Year 4	Total
1. Personnel					
2. Fringe Benefits					
3. Travel	\$26.5	\$4.0	\$4.0	\$4.0	\$38.5
4. Equipment					
5. Supplies					
6. Contractual					
7. Training Stipends					
8. Other	\$76.3	\$1.3	\$1.3	\$1.3	\$80.2
9. Total Direct Costs (lines 1-8)	\$102.8	\$5.3	\$5.3	\$5.3	\$118.7
10. Indirect Costs					
11. Funding for Involved LEAs					
12. Supplemental Funding for Participating LEAs					
13. Total Costs (lines 9-12)	\$102.8	\$5.3	\$5.3	\$5.3	\$118.7

1) Personnel

2) Fringe Benefits

3) Travel

- To provide technical assistance and monitoring for a total of \$4,000. In year 1, an additional \$22,500 is needed to support five meetings of the ten-member work group of teachers and school leaders developing the model program.

4) Equipment

5) Supplies

6) Contractual

7) Training Stipends

8) Other

- \$50,000 in Year 1 for replacement teacher costs for members of the work group to participate in five meetings.
- \$25,000 in Year 1 to support a statewide collaborative meeting to initiate the roll out of the model program.
- Includes miscellaneous of \$1,300 annually

9) Total Direct Costs

- Project Year 1 \$.102MM
- Project Year 2 \$.500MM
- Project Year 3 \$.53MM
- Project Year 4 \$.53MM
- All Project Years \$.118MM

10) Indirect Costs

11) Funding for Involved LEAs

12) Supplemental Funding for Participating LEAs

This project fosters pilots of model induction programs for first- and second-year teachers in the highest-need schools. The model induction program will require approximately \$20MM LEA-level investment. The State has identified funds for this project within a settlement with Microsoft of which the money is intended to benefit highest-need, high-poverty schools. These dollars will provide for replacement teacher costs, coordination costs, professional development, supplies; and travel. The estimate of \$6,000 per teacher was derived using the information generated from the existing Mentor Teacher Internship Program grant.

For this project, Race to the Top funds will be used only for program administration, not LEA-level costs. An additional \$20,000,000 will be provided from the Microsoft Settlement as supplemental funding for a total project cost of \$20,118,700.

13) Total Costs

- Project Year 1 \$.102MM
- Project Year 2 \$.500MM
- Project Year 3 \$.53MM
- Project Year 4 \$.53MM
- All Project Years \$.118MM

Project ID: D7

Project Name: Adoption of Growth Model (*IT System Enhancements*)

Associated with Criteria: (D) (2)

(in \$K)

Budget Categories	Project Year 1	Project Year 2	Project Year 3	Project Year 4	Total
1. Personnel					
2. Fringe Benefits					

3. Travel					
4. Equipment	\$330.0				\$330.0
5. Supplies					
6. Contractual	\$1,700.0				\$1,700.0
7. Training Stipends					
8. Other	\$550.0				\$550.0
9. Total Direct Costs (lines 1-8)	\$2,580.0				\$2,580.0
10. Indirect Costs					
11. Funding for Involved LEAs					
12. Supplemental Funding for Participating LEAs					
13. Total Costs (lines 9-12)	\$2,580.0				\$2,580.0

1) Personnel

2) Fringe Benefits

3) Travel

4) Equipment

Increased set of servers, networking and storage will require \$330K

5) Supplies

6) Contractual

Develop the IT system (design, coding and implementation) as well as supporting reports for adopting the new growth model. The cost is based on Colorado's growth model and considered representative of any growth model New York State will adopt. None of this funding will go to LEAs. Total Cost \$1,700,102

7) Training Stipends

8) Other

Increased software licensing costs requires \$550K

9) Total Direct Costs

- Project Year 1 \$2.6MM
- Project Year 2
- Project Year 3
- Project Year 4
- All Project Years \$2.6MM

10) Indirect Costs

11) Funding for Involved LEAs

12) Supplemental Funding for Participating LEAs

13) Total Costs

- Project Year 1 \$2.6MM
- Project Year 2
- Project Year 3
- Project Year 4
- All Project Years \$2.6MM

Project ID: D8

Project Name: Innovative Compensation Incentive Fund

Associated with Criteria: (D) (2)

(in \$K)

Budget Categories	Project Year 1	Project Year 2	Project Year 3	Project Year 4	Total
1. Personnel					
2. Fringe Benefits					
3. Travel					
4. Equipment					
5. Supplies					
6. Contractual					
7. Training Stipends					
8. Other					
9. Total Direct Costs (lines 1-8)					
10. Indirect Costs					
11. Funding for Involved LEAs					
12. Supplemental Funding for Participating LEAs	\$6,000.0	\$7,000.0	\$8,000.0	\$9,000.0	\$30,000.0
13. Total Costs (lines 9-12)	\$6,000.0	\$7,000.0	\$8,000.0	\$9,000.0	\$30,000.0

1) Personnel

2) Fringe Benefits

3) Travel

4) Equipment

5) Supplies

6) Contractual

7) Training Stipends

8) Other

9) Total Direct Costs

10) Indirect Costs

11) Funding for Involved LEAs

12) Supplemental Funding for Participating LEAs

This program would utilize \$30 million in Race to the Top funds to support the retention of outstanding teachers teaching hard-to-staff subjects and specialty areas as well as the number of outstanding principals by offering LEAs and their collective bargaining units the opportunity to provide those educators with supplemental compensation based upon effectiveness.

While all RTTT participating LEAs must use effectiveness ratings for initiatives around placing effective teachers in hard-to-staff subjects, LEAs participating in the Innovative Supplemental Compensation Incentive Fund can use performance evaluations, beginning in 2011-12, to provide supplemental compensation to highly effective and effective teachers (as determined by those evaluations) 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. For example, LEAs could use such funding to provide highly effective and effective teachers with supplemental compensation to serve as mentors and coaches for other teachers and student teachers and to lead professional development programs within the LEA. 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 to help retention and ensure the equitable distribution of outstanding educators.

13) Total Costs

- Project Year 1 \$6MM
- Project Year 2 \$7MM
- Project Year 3 \$8MM
- Project Year 4 \$9MM
- All Project Years \$30MM

Project ID: D9

Project Name: Transfer Fund

Associated with Criteria: (D) (2)

(in \$K)

Budget Categories	Project Year 1	Project Year 2	Project Year 3	Project Year 4	Total
1. Personnel					
2. Fringe Benefits					
3. Travel					
4. Equipment					
5. Supplies					
6. Contractual					
7. Training Stipends					
8. Other					
9. Total Direct Costs (lines 1-8)					
10. Indirect Costs					
11. Funding for Involved LEAs					
12. Supplemental Funding for Participating LEAs		\$13,000.0	\$13,000.0	\$13,000.0	\$39,000.0
13. Total Costs (lines 9-12)		\$13,000.0	\$13,000.0	\$13,000.0	\$39,000.0

1) Personnel

2) Fringe Benefits

3) Travel

4) Equipment

5) Supplies

6) Contractual

7) Training Stipends

8) Other

9) Total Direct Costs

- Project Year 1
- Project Year 2
- Project Year 3
- Project Year 4
- All Project Years

10) Indirect Costs

11) Funding for Involved LEAs

12) Supplemental Funding for Participating LEAs

Through an RTTT-supported Transfer Fund, provide financial incentives to encourage the most effective teachers and principals to take teaching assignments in high-need schools, especially in STEM areas.

Because certified and highly effective teachers are central to improving student performance and closing achievement gaps, 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. Principals must also have had three outstanding evaluations to meet eligibility requirements.

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 consistent with New York State's newly established comprehensive evaluation system for teachers and principals (Chapter 103 of the Laws of 2010). NYSED will award bonuses progressively. For example, eligible teachers will receive an additional \$6,000 in year one and additional \$1,000 increments up to an additional \$9,000 in the fourth and final year. This initiative will be expected to reach 1,000 teachers annually in approximately 300 high-need schools. Once the first cohort successfully reaches the fifth year, the annual direct cost for a maximum annual cohort of 1,000 teachers will remain constant at \$30 million. The principal initiative is expected to reach 300 principals annually in approximately 300 high-need schools. The annual direct cost would be \$9 million over the four year period

13) Total Costs

- Project Year 1
- Project Year 2 \$13MM
- Project Year 3 \$13MM
- Project Year 4 \$13MM
- All Project Years \$39MM

Project ID: E1

Project Name: Turning Around Lowest-Achieving Schools

Associated with Criteria: (E) (2)

(in \$K)

Budget Categories	Project Year 1	Project Year 2	Project Year 3	Project Year 4	Total
1. Personnel					
2. Fringe Benefits					
3. Travel					
4. Equipment					
5. Supplies					
6. Contractual					
7. Training Stipends					
8. Other					
9. Total Direct Costs (lines 1-8)					
10. Indirect Costs					
11. Funding for Involved LEAs					
12. Supplemental Funding for Participating LEAs					
13. Total Costs (lines 9-12)					

1) Personnel

- 2) Fringe Benefits**
- 3) Travel**
- 4) Equipment**
- 5) Supplies**
- 6) Contractual**
- 7) Training Stipends**
- 8) Other**
- 9) Total Direct Costs**
- 10) Indirect Costs**
- 11) Funding for Involved LEAs**
- 12) Supplemental Funding for Participating LEAs**

13) Total Costs

- Project Year 1:
- Project Year 2:
- Project Years 3-4:
- Project Total: Non –RTTT- (Title I 1003(g) SIG)

Districts will have the option to deploy one of the four strategies listed below that best fits the need of the school in need of turnaround. Each RTTT funded turnaround is expected to last three years.

Strategy (a): The Turnaround model

Strategy (b): Restart model.

Strategy (c): School closure

Strategy (d) Transformation model

New York will utilize Title I 1003(g) funding to turnaround its 57 schools identified as Persistently Lowest Achieving. Each school will receive approximately \$1.8MM in year one, \$1.2MM in year two and \$.60MM in year three for a total grant of approximately \$3.6MM over the 3 year period. An additional 30-35 schools are expected to be identified and funded in subsequent years. We expect participating LEAs may choose to target their 50% share of RTTT funds to supplement these turnaround efforts.

Project ID: E2

Project Name: External Technical Assistance Center for Innovation and Turnaround

Associated with Criteria: (E) (2)

(in \$K)

Budget Categories	Project Year 1	Project Year 2	Project Year 3	Project Year 4	Total
1. Personnel					
2. Fringe Benefits					
3. Travel					
4. Equipment					
5. Supplies					
6. Contractual	\$5,012.0	\$5,136.0	\$5,136.0	\$5,136.0	\$20,420.0
7. Training Stipends					
8. Other					
9. Total Direct Costs (lines 1-8)	\$5,012.0	\$5,136.0	\$5,136.0	\$5,136.0	\$20,420.0
10. Indirect Costs					
11. Funding for Involved LEAs					
12. Supplemental Funding for Participating LEAs					

13. Total Costs (lines 9-12)	\$5,012.0	\$5,136.0	\$5,136.0	\$5,136.0	\$20,420.0
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- 1) Personnel**
- 2) Fringe Benefits**
- 3) Travel**
- 4) Equipment**
- 5) Supplies**
- 6) Contractual**

To execute the work on this project, an outside vendor will be contracted: Total cost 16,960,000

- Create a Technical Assistance Center called the External Technical Assistance Center for Innovation and Turnaround (ETACIT). The new center will work with those LEAs that have PLAs within their districts. The responsibilities include: working with participating LEAs to plan and implement one of the four intervention models; gathering and disseminating research to LEAs on effective school intervention strategies; coordinating with other SED offices and outside educational organizations to provide professional development to LEAs; identifying lead partners to work with LEAs, for implementation of the restart and transformation models; outreach and technical assistance to possible lead partners; and collecting data on LEA model implementation and results.
 - The ETACIT staff must have extensive knowledge and experience in school improvement/intervention, with specific experience in one or more of the following areas:
 - school organization and leadership;
 - curriculum content and standards alignment, assessment and instruction;
 - specialized intervention strategies, including serving students with disabilities and/or English language learners;
 - smaller learning communities and grade reconfiguration;
 - zoning or enrollment changes;
 - expanded options for over-age/under- credited students;

- innovative use of facilities;
- phasing-out/closing schools and developing new schools; and/or
- any other effective school intervention strategies.

In addition, the following services will be purchased:

- Professional Development - Cost related to design and provision of professional development for LEAs prior to selection of school intervention model, and during the development of the school intervention model Plan. This allocation will cover the cost of consultants and materials.
 - \$400,000 per year
- Outreach and Development of Lead Partners- Estimate cost for conducting outreach activities to recruit new lead partners to work with LEAs in the turnaround, restart and transformation models. This includes travel, meetings, materials, and speakers.
 - \$340,000 per year
- Data Collection and Research - Cost related to gathering and disseminating research on effective turnaround practices to LEAs, and data collection to document LEA efforts and choices. This includes an evaluation conducted by a vendor on the outcomes of the implementation of the school intervention models.
 - \$125,000 per year

7) Training Stipends

8) Other

9) Total Direct Costs

- Project Year 1: \$5MM
- Project Years 2-4: \$5.1MM each
- Project Total: \$20.4MM

10) Indirect Costs

11) Funding for Involved LEAs

12) Supplemental Funding for Participating LEAs

13) Total Costs

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- Project Year 1: \$5MM
- Project Years 2-4: \$5.1MM each
- Project Total: \$20.4MM

Project ID: E3

Project Name: New York State Education Department Office of Innovative School Models

Associated with Criteria: (E) (2)

(in \$K)

Budget Categories	Project Year 1	Project Year 2	Project Year 3	Project Year 4	Total
1. Personnel	\$408.0	\$420.0	\$433	\$446.0	\$1,707.0
2. Fringe Benefits	\$169.3	\$174.3	\$179.7	\$185.0	\$708.3
3. Travel	\$2.5	\$2.5	\$2.5	\$2.5	\$10.0
4. Equipment					
5. Supplies					
6. Contractual					
7. Training Stipends					
8. Other	\$2,500.0	\$2,500.0	\$2,500.0	\$2,500.0	10,000.0
9. Total Direct Costs (lines 1-8)	\$3,079.8	\$3,096.8	\$3,115.2	\$3,133.5	\$12,425.2
10. Indirect Costs	\$144.0	\$148.3	\$152.8	\$157.4	\$602.6
11. Funding for Involved LEAs					
12. Supplemental Funding for Participating LEAs					
13. Total Costs (lines 9-12)	\$3,223.8	\$3,245.0	\$3,268.0	\$3,291.0	\$13,027.8

1) Personnel

New York will reallocate current SED staff to resource the Office of Innovative School Models. In addition, SED will leverage federal funds to hire 5 additional temporary staff, and a Coordinator. After the initial grant period of four years, these positions will be eliminated, and the remaining staff will carry on the work of the OISM:

- One FTE Coordinator (G-28) will coordinate the activities of the ETACIT, and the progress of LEAs intervening in the persistently lowest- achieving schools; hired at an initial salary of \$83,000
- Four FTE Professional Staff (G 26) will have expertise in grants management/compliance, procurement, contract management, human capital management and state policy; hired at an initial salary of \$72,000 each
- One FTE Support Staff (G 11), hired at an initial salary of \$37,000

2) Fringe Benefits

Calculated at 41.49% of Personnel costs

3) Travel

Travel to support LEAs in developing new policies and implement grants.

4) Equipment

5) Supplies

6) Contractual

7) Training Stipends

8) Other

New York State may leverage opportunities to develop a charter school facilities credit enhancement program, similar to what was established by Texas Governor Perry and Education Commissioner Scott in May of 2009. To implement this approach, NYSED would identify public sources of funds as potential reserves to support credit enhancement for high quality charter school facilities and innovative school models across the state. In the short term, this credit enhancement program could enable high-performing charter operators in NY to reduce interest payments on facilities debt, provide students in those schools with adequate facilities, and enable the strongest networks to expand to more sites. In the long term, this program could create a public mechanism for financing other

types of next-generation models. (Please see appendix F_2_iv_2: Bill and Melinda Gates Foundation Letter Re: Charter Facilities Financing).

9) Total Direct Costs

- Project Years 1-4: \$3.0MM each
- Project Total: \$13.0MM

10) Indirect Costs

Calculated using 35.30% as a percent of Personnel costs

11) Funding for Involved LEAs

12) Supplemental Funding for Participating LEAs

13) Total Costs

- Project Years 1-4: \$3.0MM each
- Project Total: \$13.0MM

Project ID: E4

Project Name: Secondary School Innovation Fund

Associated Criteria: (E) (2)

(in \$K)

Budget Categories	Project Year 1	Project Year 2	Project Year 3	Project Year 4	Total
1. Personnel					
2. Fringe Benefits					
3. Travel					
4. Equipment					
5. Supplies					
6. Contractual					
7. Training Stipends					
8. Other					
9. Total Direct Costs (lines 1-8)					
10. Indirect Costs					
11. Funding for Involved LEAs					
12. Supplemental Funding for Participating LEAs	\$3,000.0	\$6,000.0	\$9,000.0	\$9,500.0	\$27,500.0
13. Total Costs (lines 9-12)	\$3,000.0	\$6,000.0	\$9,000.0	\$9,500.0	\$27,500.0

1) Personnel

2) Fringe Benefits

3) Travel

4) Equipment

5) Supplies

6) Contractual

7) Training Stipends

8) Other

9) Total Direct Costs

- Project Year 1 \$3MM
- Project Year 2 \$6MM
- Project Year 3 \$9MM
- Project Year 4 \$9.5MM
- Project Total: \$27.5MM

10) Indirect Costs

11) Funding for Involved LEAs

12) Supplemental Funding for Participating LEAs

13) Total Costs

- Project Years 1-4: \$6.25MM each
- Project Total: \$25MM

In addition to the schools identified as Persistently Lowest Achieving that are receiving the Title I 1003(g) turnaround funding, New York is allowing those schools identified as low performing to opt into the Innovative School Model. Those schools will receive

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\$500,000 per year for three years for turnaround activities designed to improve student performance and to avoid the school being identified as Persistently Lowest Achieving. The rollout of the funds would be as follows:

Year 1 – 6 new schools @ \$500,000 = \$3MM

Year 2 – 6 new schools (12 total) @\$500,000 = \$6MM

Year 3 – 6 new schools (18 total) @\$500,000 = \$9MM

Year 4 – 7 new schools (19 total) @\$500,000 = \$9.5MM

Total – 25 Schools @ 27.5MM

This total would be matched from the Funding Subgranted to Participating LEAs for a project total of \$55MM.

Project ID: E5

Project Name: Statewide Evaluation Of Intervention and Innovative School Models

Associated Criteria: (E) (2)

(in \$K)

Budget Categories	Project Year 1	Project Year 2	Project Year 3	Project Year 4	Total
1. Personnel					
2. Fringe Benefits					
3. Travel					
4. Equipment					
5. Supplies					
6. Contractual	\$500.0	\$500.0	\$500.0	\$500.0	\$2,000.0
7. Training Stipends					
8. Other					
9. Total Direct Costs (lines 1-8)	\$500.0	\$500.0	\$500.0	\$500.0	\$2,000.0
10. Indirect Costs					
11. Funding for Involved LEAs					
12. Supplemental Funding for Participating LEAs					
13. Total Costs (lines 9-12)	\$500.0	\$500.0	\$500.0	\$500.0	\$2,000.0

1) Personnel

2) Fringe Benefits

3) Travel

4) Equipment

5) Supplies

6) Contractual

The state will issue a competitive RFP to select an independent statewide evaluator to evaluate the implementation and performance of all intervention and innovation schools.

7) Training Stipends

8) Other

9) Total Direct Costs

- Project Years 1-4: \$0.5MM each
- Project Total: \$2.0MM

10) Indirect Costs

11) Funding for Involved LEAs

12) Supplemental Funding for Participating LEAs

13) Total Costs

- Project Years 1-4: \$0.5MM each
- Project Total: \$2.0MM

Project ID: E6

Project Name: Virtual Schools: Digital Learning: Development Of High Quality Digital Courses

Associated Criterion: (E) (2)

(in \$K)

Budget Categories	Project Year 1	Project Year 2	Project Year 3	Project Year 4	Total
1. Personnel					
2. Fringe Benefits					
3. Travel					
4. Equipment					
5. Supplies					
6. Contractual	\$400.0	\$250.0	\$250.0	\$250.0	\$1,150.0
7. Training Stipends					
8. Other					
9. Total Direct Costs (lines 1-8)	\$,400.0	\$250.0	\$250.0	\$250.0	\$1,150.0
10. Indirect Costs					
11. Funding for Involved LEAs					
12. Supplemental Funding for Participating LEAs	\$2,000.0				
13. Total Costs (lines 9-12)	\$2,400.0	\$250.0	\$250.0	\$250.0	\$3,150.0

- 1) Personnel**
- 2) Fringe Benefits**
- 3) Travel**
- 4) Equipment**
- 5) Supplies**
- 6) Contractual**

Purchased services to include:

Issuance of an RFP to develop rigorous, high quality courses in core subject areas as well as Advanced Placement courses that will enhance student learning opportunities (2011-2013) 25 courses will be developed over the 4 years and on-line professional development will be provided for teachers.

- 7) Training Stipends**
- 8) Other**
- 9) Total Direct Costs**

- Project Year 1: \$.4MM
- Project Years 2-4: \$.3MM each
- Total Project: \$ 3.2MM

- 10) Indirect Costs**

- 11) Funding for Involved LEAs**

- 12) Supplemental Funding for Participating LEAs**

The project creates a hybrid computer-assisted instructional model that uses evidence-based best practices in special education, adolescent literacy and content areas. It will initiate the development of an interval assessment system which directs RtI, academic intervention services and individual teacher instructional decision-making. An internal data warehouse system will provide teachers with easy access to gather all pertinent data (reading and math abilities and deficits, behavioral interventions, IEP goals) and facilitate real-time decision-making.

13) Total Costs

- Project Year 1: \$2.4MM
- Project Years 2-4: \$.3MM each
- Total Project: \$ 3.2MM

Project ID: E7

Project Name: Virtual Schools: Technical Assistance Centers for Development of Virtual Learning Environments

Associated Criterion: (E) (2)

(in \$K)

Budget Categories	Project Year 1	Project Year 2	Project Year 3	Project Year 4	Total
1. Personnel					
2. Fringe Benefits					
3. Travel					
4. Equipment					
5. Supplies					
6. Contractual	\$5,000.0	\$5,000.0	\$5,000.0	\$5,000.0	20,000.0
7. Training Stipends					
8. Other					
9. Total Direct Costs (lines 1-8)					
10. Indirect Costs					
11. Funding for Involved LEAs					
12. Supplemental Funding for Participating LEAs					
13. Total Costs (lines 9-12)	\$5,000.0	\$5,000.0	\$5,000.0	\$5,000.0	20,000.0

1) Personnel

2) Fringe Benefits

3) Travel

4) Equipment

5) Supplies

6) Contractual

Purchased services to include:

Issuance of an RFP to develop two technical assistance centers which will:

Provide regional professional development related to teaching in an on-line environment; evaluate courses for inclusion in the network; and infrastructures analysis for LEAs wishing to implement on-line learning (2011-12).

7) Training Stipends

8) Other

9) Total Direct Costs

- Project Year 1: \$5.0MM
- Project Year 2: \$5.0MM
- Project Year 3: \$5.0MM
- Project Year 4: \$5.0MM
- Project Total: \$20.0MM

10) Indirect Costs

11) Funding for Involved LEAs

12) Supplemental Funding for Participating LEAs

13) Total Costs

- Project Year 1: \$5.0MM
- Project Year 2: \$5.0MM
- Project Year 3: \$5.0MM

- Project Year 4: \$5.0MM
- Project Total: \$20.0MM

Project ID: I1

Project Name: Improving Early Learning Outcomes

Associated with Criteria: Invitational Priority 3

(in \$K)

Budget Categories	Project Year 1	Project Year 2	Project Year 3	Project Year 4	Total
1. Personnel	336.7	346.8	357.2	367.9	1,408.6
2. Fringe Benefits	139.7	143.9	148.2	152.7	584.4
3. Travel	4.0	4.0	4.0	4.0	16.0
4. Equipment					
5. Supplies					
6. Contractual	210.0	250.0	320.0		780.0
7. Training Stipends					
8. Other	1.2	1.2	1.2	1.2	4.8
9. Total Direct Costs (lines 1-8)	691.6	745.9	830.6	525.8	2,793.9
10. Indirect Costs	118.9	122.4	126.1	129.9	497.2
11. Funding for Involved LEAs					
12. Supplemental Funding for Participating LEAs					
13. Total Costs (lines 9-12)	810.5	868.3	956.7	655.6	3,291.1

1) Personnel

The following requested personnel will all be hired as employees of this project:

- 1 FTE Director of Project (M-3) in years 1 – 4 at an initial salary of \$90,684

- 1 FTE accompanying Support Staff (G-6) in years 1 – 4 at an initial salary of \$27,774

- 2 Early Childhood Content Specialists
 - 1 Associates (G-26) in years 1 – 4 at an initial salary of \$77,654
 - 1 Assistants (G-22) in years 1 – 4 at an initial salary of \$63,041
 - Responsible for coordination of standards; work with SED staff; assist with Network Teams

- 1 Data Coordinator
 - 1 Associate (G-26) in years 1 – 4 at an initial salary of \$ 77,654
 - Responsible for data system development and coordination

2) Fringe Benefits

Calculated at 41.49% of Personnel Costs

3) Travel

\$4,000 per year

4) Equipment

5) Supplies

6) Contractual

RFP (\$780,000) to include the following activities:

Year One

- Development of World Class Prekindergarten Standards
 - International benchmarking

- Ensure rigor and alignment, including: Cognition and Knowledge of the World (Science and Math, Social Studies, The ARTS); Social Emotional Development; Communication, Language and Literacy; Physical Development and Health and Approaches to Health
- Develop statewide curriculum models on prekindergarten standards
- Incorporate statewide curriculum models into SED web

- Build an Assessment Protocol (RFP)
 - Gather and analyze information from the Birth-3 early childhood providers and prekindergarten through grade three constituents to assess what is currently used for assessing children’s development and learning progress community agencies and school districts
 - Pilot pre-k early literacy assessment
 - Pilot pre-k early math assessment
 - Pilot pre-k early social-emotional development skills assessment

- Data Elements for Early Childhood
 - Design protocol and build corresponding data elements to enhance the existing P-16 Data System; data will be included in Statewide analysis

- Professional Development
 - Develop early childhood training module which will be provided through professional development network (See section A (3))
 - Pilot pre-k early literacy training module
 - Pilot pre-k early math training module
 - Pilot pre-k early social-emotional development skills training module

- Parent Toolkit
 - Develop a toolkit to include criteria for identifying high quality prekindergarten programs; seamless transitions to kindergarten; research; and guidance materials for English Language Learners and Students with Disabilities (See Section A (3))

Year Two

- Roll-Out of World Class Prekindergarten Standards through Curriculum Resource Center (See Project B)
 - Provide access to Professional development through: Web-Based Training, face to face site visits, and technical assistance phone calls for all prekindergarten and related programs (eg. Preschool Special Education)
 - Extend partnerships with community-based agencies, Network Teams, and Regional supports for the dissemination of the prekindergarten standards and statewide curriculum models through conference calls, and regional meetings for dissemination and roll-out of standards and curriculum models.

Year Three

- Evaluation of Effectiveness of programs and impact on development and learning
 - Develop protocol and evaluation tools to evaluate the quality of prekindergarten programs and effects on learning, and academic achievement transitions Conduct evaluation of parent assessment tool
- Provide professional development and technical assistance for the implementation of New York State Early Childhood Learning Standards and curriculum models
(See Project B2)

Year Four

- Provide professional development and technical assistance for the implementation of New York State Early Childhood Learning Standards and curriculum models
(See Projects A3 and B2)

7) Training Stipends

8) Other

- Total \$1,200 per year

9) Total Direct Costs

- 10) Project Year One \$.692MM
- 11) Project Year Two \$.746MM
- 12) Project Year Three \$.831MM

13) Project Year Four \$.526MM

14) Total Project \$2.795MM

10) Indirect Costs

Calculated using 35.3% as a percent of Personnel costs

11) Funding for Involved LEAs

12) Supplemental Funding for Participating LEAs

13) Total Costs

- Project Year One \$.811MM
- Project Year Two \$.868MM
- Project Year Three \$.957MM
- Project Year Four \$.656MM
- Total Project \$3.292MM

Project ID: I2

Project Name: Full Service Schools RFP

Associated with Criteria: Invitational Priority 6

(in \$K)

Budget Categories	Project Year 1	Project Year 2	Project Year 3	Project Year 4	Total
1. Personnel					
2. Fringe Benefits					
3. Travel					
4. Equipment					
5. Supplies					
6. Contractual	\$0.0	\$2,500.0	\$1,500.0	\$1,000.0	\$5,000.0

7. Training Stipends					
8. Other					
9. Total Direct Costs (lines 1-8)	\$0.0	\$2,500.0	\$1,500.0	\$1,000.0	\$5,000.0
10. Indirect Costs					
11. Funding for Involved LEAs					
12. Supplemental Funding for Participating LEAs					
13. Total Costs (lines 9-12)	\$0.0	\$2,500.0	\$1,500.0	\$1,000.0	\$5,000.0

- 1) Personnel
- 2) Fringe Benefits
- 3) Travel
- 4) Equipment
- 5) Supplies
- 6) Contractual

The project will competitively award, through RFP process, \$500,000 annually over a three year period to ten schools for a total of \$5,000,000. These contracts are budgeted to be awarded so that each school will receive \$250,000 in the first year of the grant, \$150,000 in the second year of the grant and \$100,000 in the third year of the grant.

- 7) Training Stipends
- 8) Other
- 9) Total Direct Costs
 - Project Year 1
 - Project Year 2 \$2.5MM
 - Project Year 3 \$1.5MM

- Project Year 4 \$1.0MM
- All Project Years \$5.0MM
- Total \$5.0MM

10) Indirect Costs

11) Funding for Involved LEAs

12) Supplemental Funding for Participating LEAs

13) Total Costs:

- Project Year 1
- Project Year 2 \$2.5MM
- Project Year 3 \$1.5MM
- Project Year 4 \$1.0MM
- All Project Years \$5.0MM
- Total \$5.0MM

Districts may choose to target their 50% share of RTTT funds to supplement these efforts.

Budget: Indirect Cost Information

To request reimbursement for indirect costs, please answer the following questions:

Does the State have an Indirect Cost Rate Agreement approved by the Federal government?

YES

NO

If yes to question 1, please provide the following information:

Period Covered by the Indirect Cost Rate Agreement (mm/dd/yyyy):
From: 04 / 01 / 2009 To: 03 / 31 / 2010*

Approving Federal agency: X ED ___ Other
(Please specify agency): _____

*Using prior year rate in absence of current year approved rate per guidance from bidders conference

Directions for this form:

1. Indicate whether or not the State has an Indirect Cost Rate Agreement that was approved by the Federal government.

2. If “No” is checked, ED generally will authorize grantees to use a temporary rate of 10 percent of budgeted salaries and wages subject to the following limitations:
 - (a) The grantee must submit an indirect cost proposal to its cognizant agency within 90 days after ED issues a grant award notification; and
 - (b) If after the 90-day period, the grantee has not submitted an indirect cost proposal to its cognizant agency, the grantee may not charge its grant for indirect costs until it has negotiated an indirect cost rate agreement with its cognizant agency.

If “Yes” is checked, indicate the beginning and ending dates covered by the Indirect Cost Rate Agreement. In addition, indicate whether ED, another Federal agency (Other) issued the approved agreement. If “Other” was checked, specify the name of the agency that issued the approved agreement.